

Distr.: General  
17 April 2009



English only

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**International Conference on Chemicals Management**

**Second session**

Geneva, 11–15 May 2009

Item 4 (a) of the provisional agenda\*

**Implementation of the Strategic Approach to International Chemicals Management:  
evaluation of and guidance on implementation and review and update of the Strategic Approach**

**Guidance for developing implementation plans**

**Note by the secretariat**

1. The secretariat has the honour to circulate, in the annex to the present note, a copy of the April 2009 pilot edition of a guidance document for developing Strategic Approach to International Chemicals Management implementation plans prepared by the Strategic Approach secretariat and the United Nations Institute for Training and Research) in collaboration with the participating organizations of the Inter-Organization Programme for the Sound Management of Chemicals. The guidance note was prepared pursuant to paragraphs 22 and 28 (d) of the Overarching Policy Strategy. It has been reproduced as received, without formal editing.
2. The Conference may wish to review the pilot guidance document and indicate whether it is considered a useful tool for implementation of the Strategic Approach on which further development work should be encouraged.

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\* SAICM/ICCM.2/1.

**Annex**

# **GUIDANCE FOR DEVELOPING SAICM IMPLEMENTATION PLANS**

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**PILOT EDITION 2009**

***DRAFT***

*Draft document developed by the SAICM secretariat and UNITAR  
in collaboration with the IOMC*



**unitar**

United Nations Institute for Training and Research

**IOMC**

INTER-ORGANIZATION PROGRAMME FOR THE SOUND MANAGEMENT OF CHEMICALS  
A cooperative agreement among FAO, ILO, UNEP, UNIDO, UNITAR, WHO and OECD

### *About this Document*

Based on paragraph 28(d) of the Overarching Policy Strategy of the Strategic Approach to International Chemicals Management (SAICM) regarding the function of the secretariat “to facilitate the development and dissemination of guidance materials to support implementation of the Strategic Approach by stakeholders”, this document has been prepared to assist with the development of SAICM implementation plans at the national, regional, and organizational levels. The document was drafted by UNITAR and the SAICM secretariat, in collaboration with the IOMC. Initial drafts were provided for comment to the UNITAR Project Task Force (including representatives from the [IOMC Participating Organisations](#), the [Organization for the Prohibition of Chemical Weapons](#) (OPCW), the Secretariat of the [Basel Convention](#), and the Governments of Switzerland and Germany) in February 2009 and to the Inter-Organization Programme on the Sound Management of Chemicals in April 2009.

The current version, “Pilot Edition 2009”, will be presented as a draft to the second session of the International Conference on Chemicals Management in May 2009 for review and possible recommendations regarding its further development.

*The SAICM secretariat and UNITAR gratefully acknowledge the financial contributions of the German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety and the Government of Switzerland to the development of this document.*

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## Executive Summary

The Strategic Approach to International Chemicals Management (SAICM) is a policy framework to promote chemical safety around the world. In order to operationalise this framework, the Strategic Approach envisages the development of national and regional implementation plans, as well as implementation plans within organisations and by stakeholders. To support paragraph 28(d) of the Overarching Policy Strategy of the Strategic Approach regarding the function of the secretariat “to facilitate the development and dissemination of guidance materials to support implementation of the Strategic Approach by stakeholders”, this document has been prepared by the SAICM secretariat in collaboration with UNITAR to assist with the development of SAICM implementation plans at the national, regional, and organisational levels.

The approach and activities suggested in this guidance document take into account the importance of a coherent and integrated approach and build upon the experience gained and lessons learned through a wide range of earlier efforts for sound chemicals management. It is not intended to be prescriptive and could be used, in whole or in part, when a government, regional entity or organisation feels it will contribute to the successful development of an implementation plan and in conjunction with other relevant sources (such as the SAICM documents and other guidance materials available from a wide range of organisations).

While the development of SAICM implementation plans is encouraged, they are entirely voluntary and are not necessarily needed in all cases. It is also important to note that for both the process and substance of a SAICM implementation plan, existing national and regional mechanisms should be considered and used (e.g. national chemical safety committees or regional health and environment initiatives), as appropriate. The substance of such plans can also build on the significant body of materials that already exist, such as national planning documents, National Chemicals Management Profiles, and Stockholm Convention National Implementation Plans, among others.

This document outlines a range of possible activities and provides practical suggestions for taking concrete action towards developing and implementing a SAICM implementation plan. General suggestions, which may apply to national, regional and organisational implementation plans, include: establishment of a coordination mechanisms and organisational considerations; assessment of infrastructure and capacity; development of action plans, and implementation issues. Where possible, country-based examples and case studies illustrating particular elements are included. Following an introductory section, the document first reviews national SAICM implementation plans, followed by additional details specific to regional implementation plans and implementation plans that intergovernmental organisations, international financial institutions and private actors are encouraged to adopt.

## Glossary

AMCEN	African Ministerial Conference on the Environment
ASEAN	Association of South-east Asian Nations
FAO	Food and Agriculture Organization
GEF	Global Environment Facility
GHS	Globally Harmonized System of Classification and Labelling of Chemicals
GPA	Global Plan of Action (of SAICM)
ICCA	International Council of Chemical Associations
ICCM	International Conference on Chemicals Management
ICEM	International Federation of Chemical, Energy, Mine and General Workers' Union
ICMM	International Council on Mining and Metals
IHR	International Health Regulations
ILO	International Labour Organization
IOMC	Inter-organization Programme for the Sound Management of Chemicals
IPEN	International POPs Elimination Network
IUPAC	International Union of Pure and Applied Chemistry
MDGs	Millennium Development Goals
MEA	multilateral environmental agreement
NGO	non-governmental organisation
OAS	Organization of American States
OECD	Organization for Economic Cooperation and Development
OPCW	Organization for the Prohibition of Chemical Weapons
OPS	Overarching Policy Strategy (of SAICM)
PAN	Pesticide Action Network
POPs	persistent organic pollutants
PRTR	Pollutant and Release Transfer Registers
QSP	Quick Start Programme (of SAICM)
QSPTF	Quick Start Programme Trust Fund (of SAICM)
SAICM	Strategic Approach to International Chemicals Management
SETAC	Society of Environmental Toxicology and Chemistry
TOR	terms of reference
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNIDO	United Nations Industrial Development Organization
UNITAR	United Nations Institute for Training and Research
WHO	World Health Organization
WSSD	World Summit on Sustainable Development

## Part A: Introduction

### 1. The Strategic Approach to International Chemicals Management

The use of chemicals by all industries and modern society's reliance on chemicals for virtually all manufacturing processes make chemicals production one of the major and most globalized sectors of the world economy. Acknowledgement of the essential role of chemicals and their contributions to improved living standards needs, however, to be balanced with recognition of the potential adverse impacts of chemicals on the environment and human health. The diversity and potential consequences of such impacts make sound chemicals management a key cross-cutting issue for sustainable development.

The Strategic Approach to International Chemicals Management (SAICM) is a policy framework adopted by the International Conference on Chemicals Management (ICCM) at its first session in Dubai, United Arab Emirates, on 6 February 2006 to promote chemical safety around the world. It comprises the **Dubai Declaration** expressing high-level political commitment to SAICM and an **Overarching Policy Strategy** (OPS) which sets out its scope, needs, objectives, financial considerations, underlying principles and approaches, and implementation and review arrangements. Objectives are grouped under five themes:

- risk reduction;
- knowledge and information;
- governance;
- capacity-building and technical cooperation; and
- and illegal international traffic.

The Declaration and OPS, both adopted by the ICCM, are accompanied by a **Global Plan of Action** (GPA) that serves as a working tool and guidance document to support implementation of SAICM and other relevant instruments and initiatives. Activities in the GPA—currently a total of 273—are to be implemented, as appropriate, by stakeholders, according to their applicability.<sup>1</sup>

The Strategic Approach is a landmark initiative in international cooperation to protect human health and the environment. Its development was endorsed by Heads of State and Government at their summits in Johannesburg in 2002 (WSSD) and in New York in 2005 (World Summit). Adoption of the Strategic Approach by ICCM in 2006 followed a consultative process involving representatives of Governments, intergovernmental organisations, and civil society from all relevant sectors, including agriculture, environment, health, industry, and labour.<sup>2</sup>

<sup>1</sup> More information about SAICM, including the full texts, can be found on the website of the SAICM Secretariat: [www.saicm.org](http://www.saicm.org).

<sup>2</sup> Since then, SAICM has been formally acknowledged or endorsed by a number of governing bodies of intergovernmental organizations, Heads of State and Government, and ministerial forums. Specific references to the endorsements of SAICM by regional and international entities and organizations are found in sections 5 and 6 respectively.

At the heart of its policy framework, the Strategic Approach guides efforts to achieve the Johannesburg Plan of Implementation goal that, by 2020, chemicals will be produced and used in ways that minimize significant adverse impacts on the environment and human health. Participants at the first session of the ICCM in 2006 declared their firm commitment to the Strategic Approach and its implementation, and pledged to work in partnership with all stakeholders to achieve chemical safety, and in so doing to assist in fighting poverty, protecting vulnerable groups, and advancing public health and human security.

## **2. Developing and Sustaining an Integrated Programme for Sound Chemicals Management and SAICM Implementation**

Developing an integrated and coordinated approach to national chemicals management is one of the key messages of SAICM. Paragraph 16(b) of the OPS notes as one of the objectives to “promote the sound management of chemicals within each relevant sector and integrated programmes for sound chemicals management across all sectors”. The GPA includes “Implementation of integrated national programmes for the sound management of chemicals at the national level in a flexible manner” as one of its work areas. Under that work area, activity 166 of the GPA in particular suggests:

“With regard to the implementation of national programmes: develop comprehensive national profiles; formalize inter-ministerial and multi-stakeholder coordinating mechanisms on chemicals management issues, including coordination of national Government and multi-stakeholder positions in international meetings; develop national chemical safety policies outlining strategic goals and milestones towards reaching the Johannesburg Summit 2020 goal; develop national chemicals safety information exchange systems; develop national strategies to mobilize national and external resources and to raise the importance placed on chemicals management within national sustainable development frameworks; develop policies of systematic stakeholder involvement, bringing synergies from related initiatives on chemicals management.”

An *integrated* approach to sound chemicals management and SAICM implementation therefore requires efforts to strengthen coordination, ensuring that contributions are complementary across relevant actors with respect to the various activities undertaken.<sup>3</sup> Under an integrated scheme, in the national context for example, ministries of agriculture, environment, health, industry, labour, science and technology, trade, and transport, customs authorities, and others, continue to carry out their own sectoral mandates, but their efforts are coordinated to a reasonable degree to avoid conflicting policies, gaps, and unnecessary overlaps. An integrated approach also means involving ministries of finance, foreign affairs,

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<sup>3</sup> Efforts to develop integrated national approaches to chemicals management have been on-going, including before the adoption of SAICM. For example, projects for integrated chemicals management undertaken by UNITAR/IOMC and supported by the Government of Switzerland have been undertaken in eleven countries since 1996. And since the adoption of SAICM at the first session of the ICCM in 2006, new pilot projects to develop an Integrated National Programme for the Sound Management of Chemicals and Waste with a focus on governance, stakeholder participation, and partnerships to support national SAICM implementation, have been undertaken in five countries. Other projects containing elements of an integrated approach are also being undertaken in the context of the SAICM Quick Start Programme and its Trust Fund (QSPTF). For more information, visit: [www.unitar.org/cwm/inp](http://www.unitar.org/cwm/inp).



justice or legal affairs, planning, etc. with a view to integrating chemicals management into development planning (“mainstreaming”). From the perspective of the regulated community and others outside government, such coordination would also appear as a more streamlined and rationalised system.

Approaching chemicals management from a holistic, life-cycle approach additionally helps to promote that potential risks to health and environment at the various stages of the life-cycle are taken into account and that appropriate measures are put into place to manage and reduce those risks. This approach also helps expose issues or elements within a given stage that may have “fallen through the cracks” under existing schemes within individual ministries or agencies. For many countries, the challenge of establishing a coherent, integrated chemicals management framework that coexists with broader national development policies and effectively addresses local needs is still very much a “work in progress.”

Implementation of SAICM through an integrated approach also provides an important opportunity to streamline national efforts regarding international agreements. For example, coordination of the national focal points of international agreements and related activities could facilitate common national requirements under such agreements, which may include: information exchange and dissemination, risk assessment, risk management decision-making, education and training programmes, chemicals analysis and monitoring, and import and export control.

An integrated approach to chemicals management within the SAICM framework can provide a great variety of benefits from streamlining administrative procedures to contributing towards a healthier society. Some of those benefits, at the national level, include:

- administrative benefits such as minimising overlaps and inconsistencies in policies and programmes across agencies and programmes;
- communications-related benefits, including improved information exchange within and among relevant parties, and raised awareness for the general public;
- ensuring that chemicals management occurs at all stages of the life cycle—so that chemicals-related problems are not merely shifted from one medium to another, thereby increasing protection of human health and the environment; and
- contributing to chemical safety and thereby assisting in fighting poverty, protecting vulnerable groups and human rights, and advancing public health and human security.

### **3. National, Regional, and Organisational SAICM Implementation Plans**

As part of the collective efforts to expeditiously implement the Strategic Approach, all stakeholders need to take appropriate actions to achieve its objectives. Specifically, paragraph 22 of the OPS suggests that:

“Implementation of the Strategic Approach could begin with an enabling phase to build necessary capacity, as appropriate, to develop, with relevant stakeholder participation, a *national* Strategic Approach implementation plan, taking into consideration, as appropriate,

existing elements such as legislation, national profiles, action plans, stakeholder initiatives and gaps, priorities, needs and circumstances. Strategic Approach *regional* implementation plans may be developed, as appropriate, in a similar fashion. Subsequent implementation phases should focus on implementing specific action plans. In parallel, intergovernmental *organizations*, international financial institutions and private actors are encouraged to support these activities and to consider the development of their own action plans as appropriate. Partnerships among stakeholders should be pursued in support of implementation.”

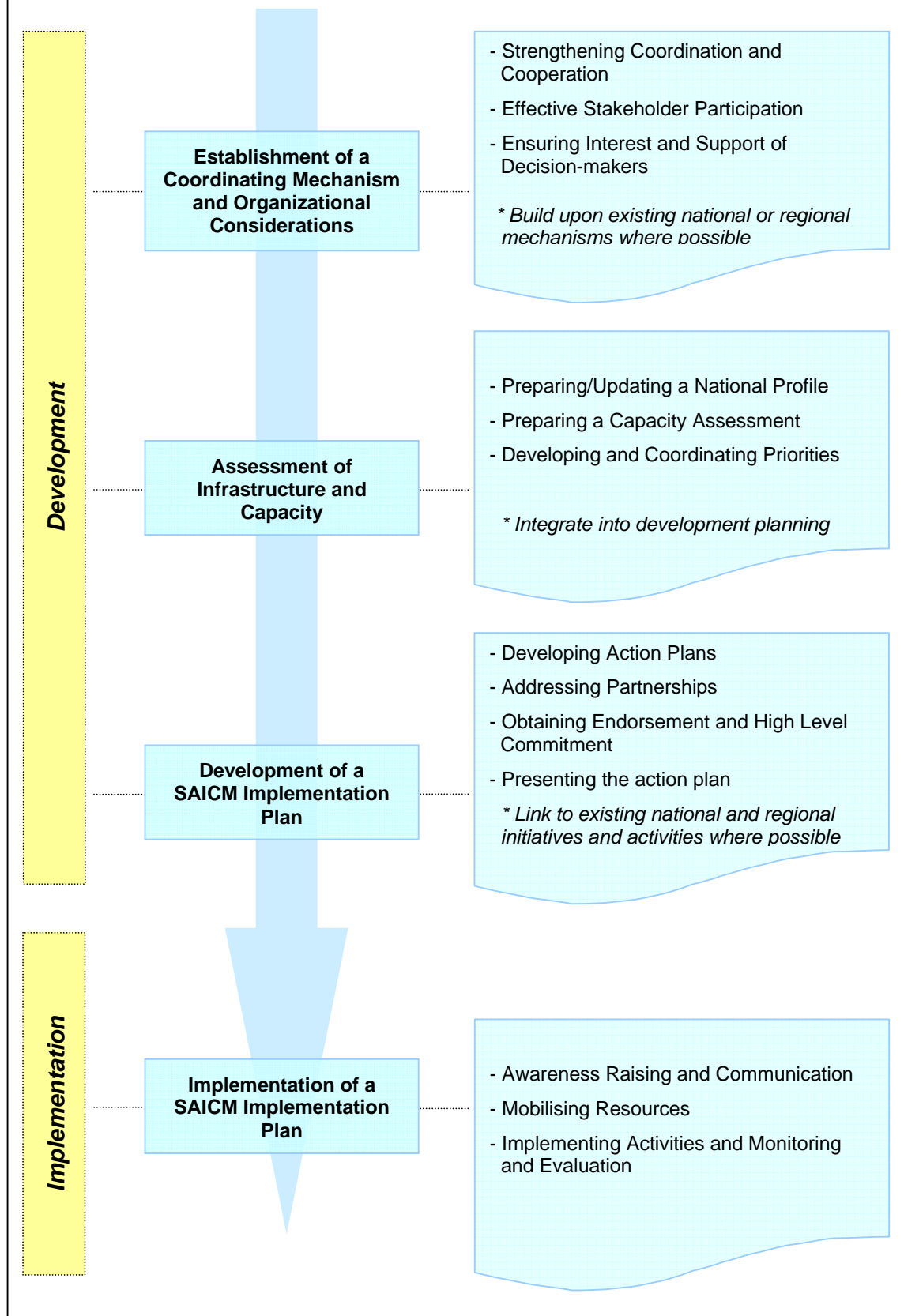
In addition, the ICCM adopted resolution I/1 (para. 2) addressing implementation arrangements, which “Encourage[d] Governments to focus their initial implementation work on those activities that will facilitate a prompt start in efforts to achieve the Johannesburg Plan of Implementation 2020 goal and the objectives set forth in the Strategic Approach, such as by continuing to facilitate existing international chemicals management priorities and considering additional efforts that are needed to develop a national Strategic Approach implementation plan, including the building of appropriate capacities and institutional arrangements, taking into consideration, as appropriate, existing priorities and elements.”

The development of SAICM implementation plans serves as a tool address the needs of each stakeholder, be it at the national, regional or organizational levels. Interactions among the different levels are also important to overall implementation. Implementation, of course, is also relevant in both a short-term (e.g. an immediate problem) and long-term context (creating a supportive, coordinated network of committed participants in which particular changes can occur over time).

While the development of SAICM implementation plans is encouraged, they are entirely voluntary and are not necessarily needed in all cases. It is also important to note that such plans can build on a significant body of similar instruments that already exists, such as other national planning documents, National Profiles, and Stockholm Convention National Implementation Plans, among others. The purpose of the development of Strategic Approach implementation plans is not to duplicate existing efforts, but rather to build upon them and to offer a framework through which relevant tools and instruments are utilized holistically. It is also important to note that for both the process and substance of a SAICM implementation plan, existing national (e.g. national chemical safety committees) and regional initiatives should be considered and used, as appropriate. In addition, a wide range of guidance material is available from a variety of sources on developing plans and related areas of, *inter alia*, coordination, stakeholder participation, national profile development, capacity assessments, priority setting, and awareness raising.

Following this general introduction to the issues, Part B of the document outlines a range of activities and provides practical suggestions for taking concrete action towards developing and implementing a SAICM implementation plan. National SAICM implementation plans are addressed first (in Section 4) followed by additional details specific to regional and organisation SAICM implementation plans (in Sections 5 and 6 respectively).

### Box 1 Overview of a Possible SAICM Implementation Plan Process



## Part B: Suggestions for Developing a SAICM Implementation Plan

In Part B of this guidance document, suggestions are provided regarding the development to national, regional, and organisational SAICM implementation plans. While a greater level of detail is provided in relation to developing national SAICM implementation plans, many of the suggested steps and activities are applicable to regional and organisational implementation plans as well. Nevertheless, additional details specific to regional and organisation SAICM implementation plans are also provided (in sections 5 and 6 respectively).

### 4. Developing a National SAICM Implementation Plan

This section first addresses a number of organisational considerations for developing a national SAICM implementation plan (and sound chemicals management in general), such as interministerial coordination and cooperation, effective stakeholder participation, and ensuring interest and support of decision-makers. It then discusses undertaking an assessment of the national infrastructure and capacity related to SAICM implementation. This is followed by a suggested step-by-step process for developing a national SAICM implementation plan. Lastly, issues related to implementation of the plan are considered.<sup>4</sup>

#### 4.1 Establishment of a Coordinating Mechanism and Organisational Considerations

In some cases, national coordination mechanisms for chemicals management may already exist and therefore SAICM-related issues could be included to the mandates of these existing mechanisms. Countries without a national coordination mechanism for chemicals management, however, may wish to consider establishing one as part of their SAICM activities, including development of a national implementation plan. In order to ensure a coordinated approach, it may also be possible to link or include SAICM implementation activities to other on-going processes for chemicals management or broader frameworks (such as national processes working on broader environment and health issues) that may exist at the national level.

##### 4.1.1 Strengthening Interministerial Coordination and Cooperation

###### *Ministries Concerned with the Sound Management of Chemicals*

Chemicals management is a diverse field, spanning issues of public health, environmental protection, economics, industry, agriculture, worker protection, international relations, and trade. In addition to ministries concerned with, or who have a role in, the management of chemicals (such as ministries of agriculture, environment, health, and labour), other governmental entities (such as central agencies or councils) could also have an interest, including those responsible for the development and implementation of laws, regulations, policies, and activities related to chemicals management throughout their life cycle, and/or aspects of pollution prevention and control.

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<sup>4</sup>

A general resource that provides details on numerous training and guidance materials available on SAICM and chemicals management-related topics that may be helpful at this stage is “National Implementation of SAICM: A Guide to Resource, Guidance, and Training Materials of IOMC Participating Organisations” available at [www.who.int/iomc/saicm/en/index.html](http://www.who.int/iomc/saicm/en/index.html).

### Box 2 Strengthening Interministerial Coordination – The Approach Taken in Panama

**SAICM OPS:** Para. 23. “To sustain an integrated approach to managing chemicals, each Government should establish arrangements for implementing the Strategic Approach on an inter-ministerial or inter-institutional basis so that all concerned national departmental and stakeholder interests are represented and all relevant substantive areas are addressed.”

As part of its SAICM Implementation Pilot Project on Strengthening Governance, Civil Society Participation and Partnerships within an Integrated National Chemicals and Waste Management Programme (2006-09), Panama established an Interministerial Steering Committee as an initial coordination mechanism between governmental institutions. This body is expected to be formalized through an Executive Decree in 2009, establishing the “Interministerial Coordination Committee” as the mechanism through which all decisions on chemicals management in the country will be fully discussed and agreed upon by all relevant ministries and agencies. The committee will also provide a forum where different views and technical knowledge on specific issues of chemicals management can be shared. Specific obligations of the Coordination Committee will include to: promote and discuss regulation mechanisms on chemicals management, establish on a regular basis national priorities for chemicals management, and identify resources for implementation of awareness raising and training programmes, etc. Meetings of the Committee are planned to be held every two months.

An integrated approach to sound chemicals management is complicated by the fact that usually different ministries participate in the control of chemicals in different phases of the chemical life-cycle. Other elements, such as emergency response, are dispersed across different ministries and agencies. The allocation of responsibilities can vary between countries. Countries may use different titles for their ministries/agencies. In most cases:

- Ministries of *Agriculture* are generally concerned with the use of agricultural chemicals for the benefit of securing food supplies
- *Customs Authorities* are generally responsible for ensuring that chemicals do not enter or leave the country contrary to government regulations, and tariffs and duties
- Ministries of *(Civil) Defence* or Ministries of *Interior* are usually responsible for emergency services; such are fire fighting and response to emergencies involving chemicals, as well as police services for both protection and law enforcement where toxic chemicals may be involved
- Ministries of *Education* may play an important role in awareness, promotion and training concerning chemical safety, both through the formal education system, at the primary and secondary school levels, and through universities and higher education institutions
- Ministries of *Environment* are generally concerned with the direct and indirect effects of releasing chemicals into the environment as emissions and wastes to air, water and land
- Ministries of *Finance* have a central role in financial resource allocations for chemicals-related activities
- Ministries of *Foreign Affairs* usually co-ordinate all international aspects of chemicals management, such as participation in relevant international agreements and conventions
- Ministries of *Health* are mainly concerned with the short- and long-term health impacts of chemicals (including emergencies and poisonings) on the general public or specific population groups

- Ministries of *Industry* are often concerned with the production of chemicals and chemical products and the introduction of cleaner production technologies
- Ministries of *Justice* or *Legal Affairs* are generally concerned with the development and enforcement of laws and regulations (including the publication and distribution of laws, regulations and other government documents which can also play a role in raising public awareness), and often deal with issues concerning public access to information, the protection of confidential business information, criminal and forensic issues and accidents/incidents/terrorism
- Ministries of *Labour* are generally concerned with occupational health and safety issues related to the use and handling of chemicals at the workplace
- Ministries of *Planning* primarily deal with economic planning (and land use/regional development). This ministry can also often deal with the donation or receipt of development assistance, which could include chemicals for agricultural use, technical or financial assistance for the development of chemical industries, or technical assistance for the management of chemicals
- Ministries of *Science and Technology* play an important role in deciding the future direction and resource allocations for research and, at least indirectly, action on chemicals
- Ministries of *Trade* are generally responsible for regulating the import and export of chemical substances and often have the authority to issue relevant trade permits
- Ministries of *Transport* are generally concerned with the safe transportation and storage of chemicals during the distribution phase
- Local Authorities can have an important role in chemicals management and may be covered at the national level though a ministerial authority which coordinates local government matters
- Government printing/publications offices are generally concerned with the publication and distribution of laws, regulations, and other government documents and can be an important local resource for public chemical safety education and awareness campaigns.

### ***Benefits, Challenges, and Opportunities for Coordination and Cooperation***

Governmental actors involved in chemicals management often operate on a sectoral basis (e.g. under their own, separate legislation) and thus may not be accustomed to working and sharing information. Other government bodies less directly involved in chemicals activities may not see a clear link between their activities and sound chemicals management, an area which may be considered to be largely the domain of environmental and health authorities. In addition, several orders of government, e.g. federal, provincial, and local governments, also typically share responsibilities (though often without formal collaboration) for the implementation of chemicals management programmes, laws, and policies. In fact, in some countries much of the actual implementation of relevant programmes and enforcement of chemicals-related laws is carried out at the local level.

Effective coordination among the whole range of those who have responsibility for or a stake in chemicals issues means that all those involved are familiar with each others' main chemicals-related activities, priorities, and positions, and the underlying reasons for each. Moreover, it suggests that all stakeholders use that information to make better quality and more strategic decisions on chemicals issues.

Country experiences and international discussions have identified a range of benefits related to interministerial coordination. These include:

- common positions on issues are identified and reinforced;
- synergies are created—work can take place in collaboration instead of in isolation, resulting in additional benefits to both (or several) parties;
- duplication of efforts is avoided where possible, freeing up scarce resources for other priority issues;
- gaps in chemicals management are identified; and
- understanding of divergent issues is increased, and thus the potential for misunderstanding is decreased

Challenges to sound inter- and intra-ministerial coordination and cooperation may include:

- conflicting or competing mandates
- poor inter- and intra-ministerial communication

### Box 3 SAICM and Existing International Chemicals Management Instruments

SAICM has clear and direct links to existing international chemicals and waste management instruments (such as the Basel, Rotterdam, and Stockholm Conventions) and the functions of the International Conference on Chemicals Management include promoting the implementation of existing international instruments and programmes and coherence among chemicals management instruments at the international level.

International agreements are referenced in several different areas of the SAICM texts, including for example, in the Dubai Declaration where the International Conference on Chemicals Management expressed its determination “to implement the applicable chemicals management agreements to which we are Party, strengthen the coherence and synergies that exist between them and work to address, as appropriate, existing gaps in the framework of international chemicals policy” (Dubai Declaration, para. 8).

Moreover, one of the objectives of the OPS is “to strengthen enforcement and encourage the implementation of national laws and regulations regarding chemicals management, including those that serve to implement international agreements” (OPS, para. 16d)

The OPS also provides that “in developing and implementing the Strategic Approach and the Global Plan of Action, Governments and other stakeholders should be guided by....the following agreements, where applicable to them:

- i. Montreal Protocol on Substances that Deplete the Ozone Layer;
- ii. Basel Convention on the Control of Transboundary Movement of Hazardous Wastes and their Disposal;
- iii. Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade;
- iv. Stockholm Convention on Persistent Organic Pollutants;
- v. ILO Convention No. 170 concerning safety in the use of chemicals at work.” (OPS, para. 20).

In addition, the “Ad Hoc Joint Working Group on Enhancing Cooperation and Coordination Among the Basel, Rotterdam, and Stockholm Conventions” has made a number of recommendations that also relate to SAICM. For example, regarding coordination at the national level, the Ad hoc Joint Working Group:

“Invites Parties to establish or strengthen, as necessary, national processes or mechanisms for coordinating ... activities to implement the Basel, Rotterdam and the Stockholm Conventions, in particular activities of the focal points and designated national authorities for the three conventions, the Strategic Approach to International Chemicals Management and other relevant policy frameworks, as appropriate”

For more information, see the information document for the second session of the ICCM: SAICM/ICCM.2/INF/2. The development of a legally binding instrument on mercury, to begin in 2010, as agreed by environment ministers at the UNEP Governing Council 25th Session, February 2009, is also likely to be of relevance to SAICM implementation. Countries developing SAICM implementation plans may wish to take UNEP GC Decision 25/5 into consideration, including identifying their needs in preparing for negotiations as well as identifying areas where partnership activity would be of the most benefit to them.



- gaps in expertise
- a lack of resources
- differing priorities given to chemicals issues within or between particular ministry(ies)

Most, if not all countries that have attempted to address these issues have recognised the benefits of multi-stakeholder “platforms” for addressing national chemicals management issues in an integrated and coordinated way. Such platforms often have a defined relationship with, for example, existing committees, such as a pesticides registration committee, a policy formulation committee or a PIC decision-making task force. For most issues (except, for example, where policies are being developed government-wide through an agreed process), each individual committee usually maintains its own mandate and decision-making power—contributing to the integrity of the whole “network” and adding value to its own work.

One can visualise varying degrees of formality for such a network, depending upon countries’ needs and preferences. Formalising national efforts in this regard, e.g. through a decree or law, may enhance its effectiveness. A decree or law can help to ensure that the efforts will have a real impact and that it will continue to function over the long term, notwithstanding changes in personnel or political leadership. Conversely, a less formalised collaboration—where existing committees and ministries merely share information informally—may prove to be a more dynamic forum where participants can share experiences, best practices and lessons learned with full confidence that their respective mandates may not change as a result of decisions made. Nevertheless, coordination can often require extensive and potentially time-consuming consultations. It is therefore important to find a reasonable degree of coordination on a day-to-day basis that balances the costs and benefits of such efforts.

#### **4.1.2 Effective Stakeholder Participation**

Chemicals play a part in nearly all aspects of modern life. As a result, many individuals and groups in society have an interest in, and are potentially affected by, the way in which chemicals are managed and used. Those who produce, sell, and use chemical products—from industrial managers to shopkeepers to homemakers—have responsibilities related to their judicious and correct use and sound management.

Most stakeholders (fortunately, for process management purposes) have self-organised into various identifiable categories. Such categories include:

- industry associations and industrial enterprises
- the agricultural sector (e.g. farmers, agricultural associations, co-operatives)
- provincial, local, or municipal authorities
- retailers and distributors
- public health professionals
- workers and workers’ unions
- public interest groups (e.g. environmental groups, health advocacy groups, consumer protection groups)
- research institutes and academia

- women's organisations
- indigenous communities
- communities
- individual citizens

The support and engagement of such groups is often critical for the successful implementation of chemicals management strategies and initiatives. For example, public interest groups may have high credibility with the public—thus making their support of great added value to any process. The public can also play a role in monitoring commitments to standards of practice and can participate in enforcement of chemicals laws. It is of the utmost importance that private industry also be a key partner for chemicals management—otherwise chemicals-related regulation and/or other approaches (e.g. voluntary) becomes much more difficult, if not impossible, to implement. Workers who produce or use chemicals (and therefore likely have a higher potential for exposure to harmful chemicals) have a similar, critical stake in the outcomes of any process or programme addressing integrated chemicals management. Academics can bring expertise and an analytical perspective that may be more “arm’s length” from any process or programme, and thus add value as well.

Governments should therefore consider how representatives of these groups could be most effectively involved in the identification of priority problems and in the development and implementation of practical solutions. Many stakeholders often have international networks and experiences they can “bring to the table”. This collection of expertise and experiences can be used inform participants about other potential solutions to challenging problems and to avoid making repeated mistakes.

A set of key principles and processes can be considered in any effort to meaningfully engage stakeholders in national SAICM implementation. Indeed, many components of these principles and processes are applicable not only to the involvement of stakeholders, but also for inter- and intra-ministerial engagement on chemicals issues. Key principles and processes include: transparency, ensuring roles and responsibilities are clear, comprehensive participation, two-way communication, understandable and timely information disclosure, stakeholder education, and adequate funding.

Most governments already engage external stakeholders at one or more levels as they deal with chemicals issues—through, for example, their participation on individual committees or initiatives, and often when consulting for general policy advice. Engaging stakeholders in a more integrated structure, however, can remain a challenge.

While stakeholder participation is an integral part of efforts for integrated chemicals management in many countries, in some cases, however, maintaining a separation between a body with stakeholder representation and one that is purely governmental in nature can be necessary. Civil servants are an integral part of government, with unique roles, responsibilities, and accountability to the public through their respective ministers. Thus, the mandate and functions of a body with stakeholder representation would usually be advisory in nature, and stakeholder membership should be of a different nature. Nevertheless, a government may decide to give such a body decision-making power, under some limited circumstances.

#### Box 4 Stakeholder Participation

**SAICM OPS:** Para. 2. “The involvement of all relevant sectors and stakeholders, including at the local, national, regional and global levels, is seen as key to achieving the objectives of the Strategic Approach, as is a transparent and open implementation process and public participation in decision-making, featuring in particular a strengthened role for women.”

The Government of Sweden has systematically funded environmental organisations [non-governmental] to raise awareness and be an independent critical voice. In the chemical safety sector, the “International Chemical Secretariat (ChemSec)” has been funded to raise awareness, educate the public, and participate in international discussions. It operates on the instructions of environmental organisations; for more information: <http://www.chemsec.org/index.php>

Multi-sectoral and multi-stakeholder involvement is also highly encouraged in the context of the Quick Start Programme (QSP) of the Strategic Approach. Appraisal of a QSP Trust Fund application takes multi-sectoral and multi-stakeholder involvement into consideration. Project proposals applying for the QSP Trust Fund are required to indicate its sectoral coverage, notably agriculture, environment, health and labour, and provide letters of support from relevant stakeholders. The majority of approved QSP Trust Fund projects are multi-sectoral and multi-stakeholder in nature. Project activities would, for instance, include the establishment of cross-sectoral and inter-agency coordinating mechanisms for developing and reviewing priorities and policies for the sound management of chemicals; the provision of capacity building opportunities for and information exchange forum among different sectors and stakeholders in regional, national and civil society levels; and the raising of public awareness, particularly among vulnerable groups, of chemicals hazards and safe handling of chemicals.

### 4.1.3 Ensuring Interest and Support of Decision-makers

A wide range of national decision-makers are typically involved in policy and budgetary decisions that affect the sound management of chemicals, including ministries such as agriculture, environment, health, industry and labour, as well as ministries of finance, planning, and foreign affairs. Local authorities and parliamentarians may also have a relevant role to play. (In Zambia in 2002, for example, new parliamentarians were engaged in the development of a national policy on chemical hazard communication and implementation of the Globally Harmonized System of Classification and Labelling.) The “buy-in” and support of such decision-makers will be needed to secure necessary human and financial resources. Such support is also needed to ensure that chemicals management concerns will be taken into account in the development of other policies and programmes that, although not of direct relevance, will ultimately impact on chemicals management concerns (e.g. economic policies, trade, agricultural policies). Generating support and commitment among decision-makers outside of government, such as industry executives, environmental advocates, and community leaders, is also important.

Chemicals management in itself is often not among the top priorities of high-level decision-makers who may be focussed on other societal and development goals, such as economic and industrial development, agricultural production, and public health protection, and whose decisions are impacted by driving forces, such as globalization of trade, economics, and international/regional policy commitments. There are, however, very real linkages between these concerns and the objectives of chemicals management and indeed it is now considered of key importance to integrate chemicals management in to development planning (often referred to as “mainstreaming” – see section 4.4.2 below and the country case study in Box 5).

Therefore the key to generating support among decision-makers, including those within as well as outside of government, is to highlight these linkages and illustrate how their priorities and concerns relate to and are impacted by chemicals management issues. For example, chemicals management can be shown to intersect with trade when one considers that ensuring a continued market for the country's export crops may depend on the country's ability to meet the pesticide residue limits of its major trading partners. Strong arguments can also be made to decision-makers of the costs of postponing necessary prevention and control activities for chemicals, citing examples such as significant chemicals accidents and disasters that affect human health and the environment.

### **Box 5 Mainstreaming Case Study: Zambia and the UNDP/UNEP Partnership Initiative**

UNDP and UNEP developed in 2006 a Partnership Initiative for implementation of SAICM that draws upon the unique support services that can be provided by each of the cooperation agencies.

The Partnership Initiative seeks to facilitate the integration of the sound management of chemicals (SMC) into national development planning processes to support sustainable development in developing countries and countries with economies in transition. The Partnership Initiative helps countries to:

- Identify specific areas of chemicals management likely to result in demonstrated environment, health and economic benefits and put in place a plan to begin addressing the identified specific areas;
- Assess their national development strategies for protecting the environment and human health from adverse effects from adverse effect through sound management of chemicals;
- Improve the integration of chemicals management priorities into the national development plans.

With support of funding secured through the SAICM Quick Start Programme Trust Fund, the UNDP-UNEP Partnership Initiative has been launched in Macedonia and Uganda, while activities in Belarus, Belize, Honduras, Ecuador and Liberia will start in the first quarter of 2009. In addition, thanks to support provided by the Government of Sweden through the Swedish Chemicals Agency (KemI), two more countries have been added: Zambia, where implementation was launched in 2007, and Cambodia, where activities began in June 2008.

The Sweden (KemI) supported project “*UNDP-UNEP Case Study in Partnership with Zambia: Mainstreaming Sound Management of Chemicals Issues into MDG based National Development Planning*” was officially launched at the Project’s Inception Workshop (14-15 November 2007, Lusaka) by the Zambian Minister of Tourism, Environment and Natural Resources, Honourable Michael L. Kaingu, MP. The wide diversity of ministries represented - 20 government ministries and agencies - and the participation of private sector, academic and NGOs representatives reinforced the understanding among participants of the cross-sectoral relevance of chemicals management and its economic significance. The active involvement and commitment to the project process by the Ministry of Finance and National Planning was a clear sign of the strategic value of the proposed project approach.

Sector teams were established to develop the national chemicals management situation report which was completed in the last quarter of 2008. The core analytical group, comprised of an economist, an environment health expert and an Environment Council of Zambia (ECZ) environmental expert, used the situation report as a basis for identifying national SMC priorities for action in context of the national development plan. These priorities were presented to and approved by the Interagency Coordinating Mechanism (ICM) in December 2008. Various additional meetings have been held with the Ministry of Finance and National Planning to secure their “buy-in” in the process of integrating SMC priorities into the Zambian national development planning process.

An economic cost-benefit analysis of the social and financial costs of relevant interventions in the Kafue river basin was started in the first quarter of 2009. Options and interventions related to chemicals management to foster development while improving health and environment conditions in the basin will be presented. The Zambian Fifth National Development Plan (FNDP) is currently undergoing a mid-term review. The project is therefore continuously engaging national planning authorities in its activities to ensure that SMC-MDG linkages are clear to planning officials and their commitment to the project’s objectives is being secured, with the objective to facilitate the mainstreaming of the highest national chemical management priorities into Zambia’s national development plan. In recognition of the importance to further enhance Zambia’s capacity with respect to environmental economics, the Government of Norway is providing additional resources to the project which are being used to train a junior environmental economist, who works with the senior economist, as part of the core analytical group.

## 4.2 Assessment of National Infrastructure and Capacity

### 4.2.1 Preparing/Updating a National Profile

A National Chemicals Management Profile provides a comprehensive overview and assessment of the national administrative, institutional, legal, and technical infrastructure for the management of chemicals. It includes information on, inter alia: chemical production, import, export and use; legal instruments and non-regulatory mechanisms; ministries, agencies and other institutions involved in managing chemicals; relevant activities of industry, public interest groups and the research sector; inter-ministerial commissions and coordinating mechanisms; data access and use; technical infrastructure; and international linkages. To-date, more than 100 countries (including developing countries, countries with economies in transition, and countries with advanced chemicals schemes) have prepared a National Profile in order to establish this fundamental, up-to-date baseline.<sup>5</sup> Importantly, a National Profile should be a “living” document and periodically reviewed, and updated as appropriate, to remain an authoritative national document.

#### *Using the National Profile as a Starting Point for Analysis*

Many countries that have prepared a National Profile have found that it can serve as a good basis for a national initiative to strengthen the chemicals management infrastructure and related capacities. In addition to providing a snapshot of the existing situation in the country, the National Profile should also reveal potential shortcomings and gaps in the current national chemicals management scheme including areas/topics which may warrant priority attention. For example, National Profiles prepared by countries revealed issues such as:

- insufficient coordination among and/or within concerned ministries;
- lack of access to and exchange of information among those involved in chemicals management;
- failure of existing sectoral policies to address all stages of the chemical life cycle;
- the need for better enforcement of existing legislation; and
- weaknesses in the technical infrastructure, e.g. lack of analytical capacities.

Thus, the preparation (or updating and review) of the National Profile may be one of several starting points for taking action toward strengthening certain aspects of the national chemicals management infrastructure and preparing for SAICM implementation.

#### *Using the National Profile as a Starting Point for Coordination and Collaboration*

The preparation of the National Profile may also be the first time that the various concerned and interested parties within and outside of government have joined together on a common project (see also section 4.1 above). Because it serves as a tool for revealing existing challenges and opportunities, and because it brings together many of the key actors, the National Profile process can provide an opportunity for strategic dialogue and even an opportune basis for follow-up activities. In many cases, countries have organised a national priority setting process or other national forum during which the outcomes of the National Profile process are discussed and priorities for action are identified and agreed.

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<sup>5</sup> Information regarding UNITAR’s National Profile support programme including the National Profile guidance document (which is being updated) is available at: [www.unitar.org/cwm/national-profile](http://www.unitar.org/cwm/national-profile).

### Box 6 SAICM and National Profiles: Case Study on Mongolia

**SAICM GPA:** The GPA cites National Profiles a number of times among its list of activities and work areas linked to SAICM implementation, including:

- Activity 1: Develop national profiles
- Activity 165: Have in place multi-sectoral and multi-stakeholder mechanisms to develop national profiles and priority actions
- Activity 166: With regard to the implementation of national programmes: Develop comprehensive national profiles.
- Activity 207: Provide assistance and training for the development of national profiles
- Activity 211: Promote programmes to develop chemicals-management instruments (national profiles, national implementation plans, national emergency preparedness and response plans)

In addition, ICCM Resolution I/4 to establish the QSP for the implementation of Strategic Approach Objectives, states that the strategic objectives of the QSP include as its first objective “Development or updating of national chemical profiles and the identification of capacity needs for sound chemicals management.”

The first Mongolian National Profile was produced in 1999. With support from the SAICM Quick Start Programme Trust Fund, an updated second edition was prepared in 2008. After the analysis and survey on chemicals management in Mongolia, the following recommendations were made in the 2008 National Profile:

1. Legal environment: standards and norms have many gaps and overlaps; weak non-regulatory mechanisms.
2. The strategies and plans in different sectors contradict each other and were developed without public involvement; enforcement is weak.
3. Public awareness is insufficient. There is a need (using funds to be allocated from state treasury) to raise public awareness for chemicals management.
4. There is no easy-to-use integrated database for public and government agencies. All information and data are kept by different authorities/agencies and it is difficult to access international literature.
5. Lack of capacity regarding technical infrastructure, difficult to obtain operative and correct analyses of chemicals.

A number of recommendations to improve chemical management in Mongolia in 8 key areas were also included in the Profile:

- Develop public awareness programme to support sound management of chemicals and waste
- Develop chemical accident management and emergency response strategy and carry out inventory on technical and material resource and describe capacity needs
- Health and environmental risk assessment management plan should be developed
- Hazardous waste management programme or strategy should be developed and harmonized with the national waste management plan.
- Build effective national infrastructure to implement international conventions and agreements in chemicals management.
- Undertake socio-economic and policy analysis pertaining to chemical management with strong public involvement
- Develop plan to improve chemical management in specific areas such as informal mining
- Create integrated database on chemicals and waste management.

**Source:** [www2.unitar.org/cwm/publications/cw/np/np\\_pdf/Mongolia\\_National\\_Profile\\_2009.pdf](http://www2.unitar.org/cwm/publications/cw/np/np_pdf/Mongolia_National_Profile_2009.pdf)

## 4.2.2 Preparing a Capacity Assessment

Resolution I/4 of ICCM-1, to establish the “Quick Start Programme for the implementation of SAICM objectives, building upon the outcomes of the ICCM and the Bali Strategic Plan for Technology Support and Capacity building” establishes as one of the strategic objectives of the QSP the “Development or updating of national chemical profiles and the identification of capacity needs for sound chemicals management” (Appendix 1.C.3(b)). The development of a capacity assessment (including identification of priorities) is considered an essential step towards preparing a SAICM implementation plan.<sup>6</sup> This takes into account that countries start from different baseline situations and need to focus on activities that address their national needs and priorities. It also recognises that no single country will be able to implement the many possible actions outlined in the SAICM documents at once and would need to focus on addressing the most pressing needs.

An IOMC guidance document on “Developing a Capacity Assessment for the Sound Management of Chemicals and National SAICM Implementation” is available.<sup>7</sup> It suggests that the national assessment involve two main components: an assessment of the national governance framework and an assessment of capacities for selected chemicals issues and priorities. The governance assessment may cover issues such as inter-ministerial coordination, stakeholder involvement, legislation, and integrating chemicals management into national development planning. The assessment of chemicals management capacities may address specific chemicals management issues such as chemicals information generation and dissemination, risk reduction, and import control. The proposed approach and structure for conducting the assessment takes into account the Dubai Declaration, OPS, and GPA. In addition, it includes concepts developed regarding elements for national capacity requirements of Programme Area E of Chapter 19, Agenda 21 (“Strengthening of national capabilities and capacities for management of chemicals”).

## 4.2.3 Developing and Coordinating Priorities

Another key activity for national SAICM implementation is the development and coordination of priorities. In many countries, situation analysis and information exchange activities undertaken as part of their National Profile and capacity assessment processes typically lead to a priority-setting process. These priority-setting processes have often been facilitated through a national coordinating platform.

A *priority* is something which is given prior (or superior) attention; to *prioritise* is to arrange in order of importance. A priority in the present context is considered to be a topic/area in which the level of interest (e.g. due to its importance/ urgency) and level of support (e.g. organisations and people willing to commit their time and resources) are sufficiently high that a decision is usually taken to initiate action. It is important to recognise that priorities exist at different levels: within ministries, within stakeholder groups, national priorities related to foreign affairs, and priorities related to national development planning.

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<sup>6</sup> SAICM OPS Para. 22.

<sup>7</sup> Available at: [www.unitar.org/cwm/publications](http://www.unitar.org/cwm/publications).



### Box 7 SAICM and Priority Setting: Country Examples

**SAICM GPA:** The GPA serves as guidance to all stakeholders at the global, regional, national and local levels, including when assessing the current status of their actions in support of the sound management of chemicals and identifying priorities to address gaps in such management. For many of the work areas, it is important to work in a concerted manner in order to be most effective. It is therefore critical for all stakeholders to take appropriate cooperative action on global priorities.

A number of these priorities are listed in paragraph 8 of the GPA, including among others: integrating chemicals issues into the broader development agenda; promoting ratification and implementation of relevant existing international conventions on health, safety, occupational health and safety and environment; and encouraging implementation of existing internationally recognized standards, tools and approaches for environment and health and protection from chemicals, such as the Globally Harmonized System of Classification and Labelling of Chemicals and pollutant release and transfer registers.

As part of projects supported by the SAICM Quick Start Programme Trust Fund, *Costa Rica*, *Republic of Congo*, and *Haiti* developed in 2009 lists of national priorities, based on the outcomes of their National Profiles and SAICM capacity assessment exercises.

In Costa Rica, the identified national priorities are:

- Promote public-private partnerships for hazardous chemicals and waste management.
- Create synergies between international conventions (including pilot projects)
- Develop a PRTR
- Develop national inventories of chemical waste
- Develop regulations for 12 priority chemicals and following priority chemicals
- Develop monitoring plans and strengthen control on existing regulations
- Design and develop action plans on hazardous waste management (considering the national Law on Integrated Waste Management)
- Strengthen the National Technical Coordinating Secretariat for Chemicals Management and establish its agenda and priority work areas
- Create capacities, infrastructure and research on contaminated sites
- Strengthen and train customs officers (considering illicit traffic and the Basel Convention)
- Promote and strengthen the creation of alternative technologies for hazardous waste management
- Undertake studies on the effects and diseases caused by chemicals.

In Haiti:

- Chemicals and waste legislation (including preparation of an inventory of existing laws on inventories and increasing stakeholder awareness)
- Groundwater and drinking water contamination by hazardous chemicals (including collecting information on the level of contamination of groundwater pollutants and conducting a national awareness raising campaign regarding needed measures)
- Hazardous waste management (including development of a waste inventory and awareness raising through specialized institutions)

The Republic of Congo identified the following priorities:

- Further develop the national institutional and programmatic framework (including implementation of an action plan, regular updating of progress and timeframe, and regular updating for stakeholders and the public)
- Implementation of a mechanism for integrating sound chemicals management into priorities for development planning
- Development and implementation of specific regulations

### ***Organising the Priority-Setting Process***

Defining the priorities to be addressed through centralised and decentralised activities which contribute to national SAICM implementation is an important step to providing input to developing a national SAICM implementation plan. This can also serve as a key component of the planning process for an integrated national programme for SAICM implementation. Broad participation among all interested and affected parties is crucial to the priority setting process. Those involved should be of sufficiently high authority to effectively engage in priority-setting and decision-making and be a catalyst for action within their respective organisations.

A National Profile and/or capacity assessment, if available, will serve as an important reference for identifying and prioritising the areas of chemicals management to be further considered for action. Another starting point could be the list of (273) activities found in the GPA. With regard to the GPA, experience to date has shown that it is useful to review these many activities and, using the participating stakeholders' own experiences of what are pressing needs, select a limited number of initial activities.

It is also important to take into account ongoing work of relevant parties when identifying priorities. It may not be necessary to develop new priorities for action or new areas of work: a reiteration and renewed commitment to ongoing work may often be a pragmatic way forward. In fact, a failure to take into account ongoing work during the priority setting process may diminish the interest and commitment of those who are involved in existing projects.

The input of the various parties participating in the process will also aid in identifying areas of priority concern. A priority setting process could generate:

- a list of national chemicals management priority issues to be addressed;
- a membership list of key ministries and stakeholders; and
- a work plan and time frame for planning (e.g. developing a National SAICM Implementation Plan) and implementation.

### ***Keeping the Number of Priorities Realistic***

Generally speaking, priority setting involves identifying a broad range of issues/topics based on input from stakeholders and ministries (in person, through the National Profile, etc.). This initial list is then narrowed down and prioritised according to agreed criteria. Decisions need to be made on which and how many of the items that appear at the top of the list should be slated for immediate action. This last step is generally a matter of available human and financial resources. Issues/topics for which resources are not currently available are not forgotten, but rather are set aside so that they can be taken up at a later point in time.

A key to this process is the identification of the criteria to be used in deciding what is a priority and what is not. Some possible criteria might include, for example:

- Feasibility: Can the problem/issue be effectively addressed (e.g. will a significant positive impact be realised), taking into consideration existing or readily obtainable capacities and resources?
- Time frame: Will benefits/results be realised within an acceptable time frame?  
There may be good reasons to select at least some issues for which early successes can be assured.

- Stakeholder commitment: Is there sufficient interest and commitment among stakeholders, particularly those whose cooperation and efforts would be needed in order to successfully tackle the issue?
- Potential for support: If it is an issue that is likely to require external support and expertise are there international organisations and/or other outside parties that are prepared to provide guidance and assistance?
- Assessment: Will it be possible to track or measure progress achieved in addressing the problem/issue?

The identification of decision-making criteria and their application to the various issues/topics on the table should be undertaken in a transparent way and with the involvement of interested and affected parties. Once the criteria are agreed, the various issues/topics can be compared as to how well they measure up. This may often require additional information, thus it is important to have the involvement of those who are working in relevant areas and who have first-hand knowledge of circumstances, existing constraints, etc. Upon selection of the priorities, it is important to communicate these to all interested and affected parties. This can help generate interest and support among those whose input may be needed to address the selected issues/topics.

It is also important to keep in mind that setting priorities should not simply be a one-time exercise. Instead, regular monitoring and evaluation regarding success in addressing priorities should be undertaken as well as revisiting priorities (and re-setting priorities as necessary) at certain points in the future (see also section 4.4.3 on “Implementing Activities and Monitoring and Evaluation”).

### **4.3 Development of a National SAICM Implementation Plan**

While the content and structure of a national SAICM implementation plan depends on each country’s interests and needs, common elements may include a summary of the national chemicals management situation (based on, for example, the National Profile and National SAICM Capacity Assessment), an outline of national SAICM priorities (based on a national priority setting exercise), and a number of action plans addressing priority issues. An example of a possible table of contents for a national SAICM implementation plan can be found in Annex 1. The following sections provide some practical suggestions for developing action plans, addressing partnerships, and obtaining endorsement and high-level commitment. Reference is also made to the related issue of developing a national policy on chemicals management.

#### **4.3.1 Developing Action Plans**

Action plan development helps a team to focus on priorities by developing and sharing one vision: a common goal, an agreed process to reach it, the means to track performance, and the ability to adequately adapt to change. While such efforts may be time-consuming at first, in the long-term action plan development will save time, effort and resources, and reduce the risk of failure.

Key elements of an action plan include:

- situation analysis and gap analysis
- goal and objectives

- outline of activities and tasks, and related timeframe, resources, responsibilities, etc.

### ***Preparatory Tasks and Considerations***

In addition to deciding on the number of action plans to be developed to address national priority topics/issues (i.e. based on the national priorities established earlier – see section 4.2.3), it is important to identify and involve stakeholders both within and outside the government to participate in the planning process (see also section 4.1.2 above). While not all stakeholders will need to be directly involved in developing and implementing an action plan, it is nevertheless important to understand who the stakeholders are for a given issue and to ensure that their perspectives and concerns are taken into account. In many cases, involving key stakeholders will be of practical relevance, since their actions and commitment will likely be essential to the implementation and success of the action plan.

#### **Box 8 SAICM and Action Plans**

**SAICM OPS:** Para. 22 of the OPS states “Implementation of the Strategic Approach could begin with an enabling phase...Subsequent implementation phases should focus on implementing specific action plans. In parallel, intergovernmental organizations, international financial institutions and private actors are encouraged to support these activities and to consider the development of their own action plans as appropriate.”

**SAICM GPA:** The development and implementation of action plans is also addressed in a number of activities listed in the GPA, including:

- Activity 1: Develop national profiles and implement action plans for sound management of chemicals
- Activity 7: Develop guidance materials to assist in the preparation of initial national assessments of health and the identification of priority concerns; develop and implement action plans to address those priority concerns
- Activity 69: Establish and implement national action plans with respect to waste minimization and waste disposal, taking into consideration relevant international agreements and by using the cradle-to-cradle and cradle-to-grave approaches
- Activity 101: Complete GHS awareness-raising and capacity-building guidance and training materials (including GHS action plan development guidance, national situation analysis guidance and other training tools) and make them available to countries

### ***Establishing the Problem Statement and Goal***

When embarking upon the development of an action plan for a priority topic of SAICM implementation, it is useful to begin by establishing a problem statement. A problem statement is a brief description of the specific problem (selected, for example, from the list of national priorities developed earlier – see section 4.2.3) that the action plan will address. It should include enough contextual detail to establish why it is important. A problem statement outlines the *need* for the action plan; an essential fact for decision-makers. Consider the example that pollutant release and transfers have been selected as one priority for an action plan: “Despite significant production of chemicals and use by industrial facilities, very little data is available regarding related emissions. This is due to poor enforcement of regulations and poor maintenance of emissions databases. Without such data, the following issues have been difficult to achieve: setting environmental management priorities; enhancing knowledge

within industry about inefficient and wasteful production processes; raising public awareness about potentially toxic releases; and increasing the ability of all stakeholders to participate in environmental decision-making.”

Building on the problem statement, it should be possible to establish a goal for the action plan. The goal is a concise statement that describes the action plan’s purpose (what it will achieve). Goals must be realistic and not too ambitious. For example: “Obtain regular, periodic information about releases and/or transfers of chemical substances of interest and make this information accessible to those who may be interested and/or affected by it—through the design and implementation of a Pollutant Release and Transfer Register (PRTR) by 2012—in order to promote efficient and effective policies for environmental protection and sustainable development.”

### ***Conducting a Situation and Gap Analysis***

Various situation analysis efforts—such as developing a National Profile, SAICM capacity assessment or Stockholm Convention National Implementation Plan—can already provide important information for the action plan. Based on a good understanding of the situation, it should be possible to identify where the current situation does not meet the action plan’s goal and related possible requirements—answering the question “*What is missing?*” This may involve the identification of gaps or needs in, inter alia: legislation, enforcement, analytical capacity, and material and human resources. In some cases, some additional information might be required (through literature reviews, personal communications, interviews or group discussions/meetings, site visits, etc.) regarding the situation or state of affairs in which a specific action plan will be carried out, what infrastructure is currently in place, where challenges lie and what opportunities exist, etc.

### ***Setting Objectives and Indicators***

Based on the situation and gap analysis, it will have become clear what needs to be achieved in order to meet the goal. This should provide the direction needed for setting objectives. Objectives state, at a finer level of detail than the goal, the specific outcomes that the action plan expects to accomplish—answering the question “*What needs to be achieved to get from where we are now to where we want to be?*” Some objectives can be attained only by the end of the project; others may be met along the way. An example of a goal and possible related objectives may be: For the goal above to develop a PRTR, objectives may include “Establish a system for periodic collection of information (with common identifiers for chemicals, facilities and locations, and computerised for ease of analysis) to identify major sources of releases and transfers of pollutants and to allow tracking of trends over time by 2010” and “Establish a legal framework and strengthen related enforcement for the collection of such information by 2011”.

The success of an action plan can be measured by the degree to which its objectives were achieved. Defining performance indicators for each objective (in quantifiable terms where possible) specifies how this achievement will be measured and verified. Simply stated, indicators can be developed by asking “*How will we know if we have achieved this objective?*”

### ***Defining Activities and Tasks***

Based on a strong understanding of the situation and gaps, and having identified clear objectives for the action plan, activities needed to achieve the objectives can be developed. In some cases, activities will only address one objective, while in other cases they will help to

deliver multiple objectives. Activities are the highest level of action in the action plan hierarchy—they set the path for which the fine details are developed. An activity has an expected duration, cost, and resource requirements.

Since activities are typically large elements, they will need to be broken down into more manageable tasks. Activities should only be broken down to a level which enables the action plan development working group to effectively estimate time and resource requirements and provides enough information for those responsible for the particular activity or task. For example, for the activity “Design the key features and characteristics of the national PTRR system” tasks could include “Define the scope of the national PTRR system”, “Address the legal implementation aspects of the national PTRR”, “Develop data collection and data management procedures”, and “Develop data analysis and dissemination procedures”.

### ***Defining the Timeframe, Budget, and Responsibilities***

Estimating how much time each activity/task will likely require to be completed is also key to developing an effective action plan. Reviewing earlier projects may provide insight into realistic timeframes. In addition, where activities or tasks are of a technical nature, it may be necessary to consult with those who have the related technical knowledge or expertise in order to make realistic estimations. Experience has shown that however careful the planning, it is wise to build in extra time to allow for unforeseen events.

Regarding the budget, a range of resources are typically required to implement an action plan. These may include, inter alia: human resources, facilities, equipment, travel, and materials. To determine the resource inputs required to complete each activity and related tasks, ask the following questions: How many people are required? What type of skills/expertise do they need to possess? Are particular facilities, equipment, services, or materials necessary? Are there any other special requirements not yet covered? Reviewing earlier projects may also provide insight into realistic resource requirements. Totalling the costs for each activity and task can provide a general estimate of the cost of the action plan.

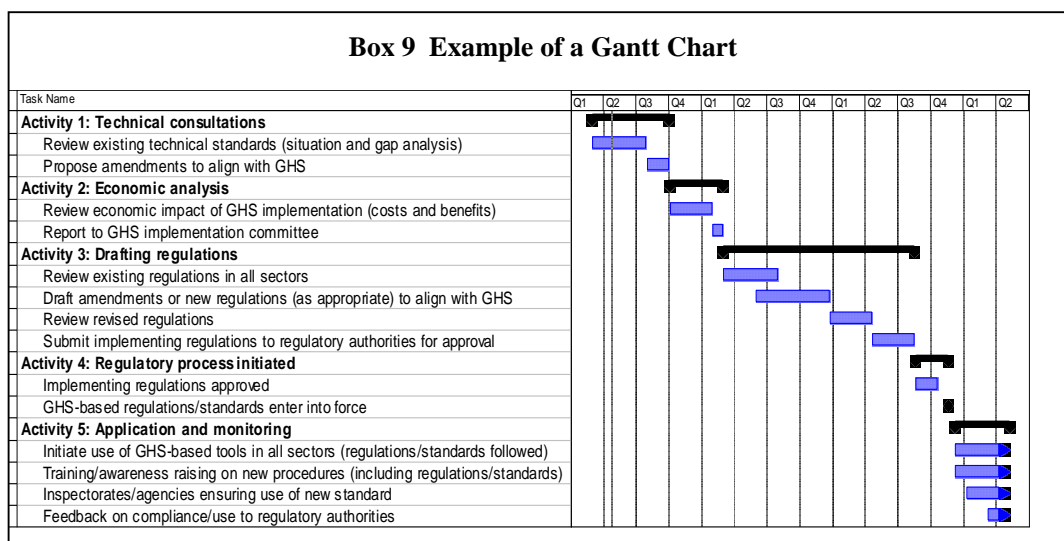
Accurate and detailed costing of the action plans is important for a number of reasons, for example, to convince experienced donors (budgetary committees, etc.) that the budget is realistic, and to reduce the chances that the project will run into problems during implementation (and require requests for additional funds). Related to this, it is also important to begin planning and undertaking resource mobilization efforts as early as possible and regularly to ensure the greatest chances of success (also see section 4.4.2).

It is also useful – and important – at this stage to determine, in a preliminary manner, who will be responsible for completing each activity and task. This demonstrates to donors that agreement and commitment in principle has been achieved from the action plan participants. Key questions include: Who has the appropriate knowledge? Whose commitment is required? Have the capability, skills, and expertise of each working group member, stakeholders, etc. been taken into account before allocating responsibilities for activities and tasks? Do all participants understand what will be required of them?

### ***Presenting the Action Plan***

A Gantt chart—which lists activities and tasks and uses horizontal bars for each across a timescale to indicate their start and end date and duration—can be used to provide a quick

graphical overview of the action plan (see Box 9). This is useful for efficiently communicating the content of the action plan to potential funders as well as a tool for project team members to gauge their efforts during the implementation process.



### 4.3.2 Addressing Partnerships

The implementation of SAICM is seen as the responsibility of all stakeholders, who are encouraged in the Dubai Declaration and OPS to act cooperatively and through partnerships. In particular, SAICM calls for the creation of partnerships between governments, the private sector, and civil society.

In the Dubai Declaration (para.19), ICCM participants commit to engaging actively in partnerships, including strengthening the participation of small and medium-sized enterprises and the informal sector. They agree to enhance industry partnerships by inviting industry to review and strengthen current voluntary industry initiatives; to develop new initiatives, including in partnership with foundations, academia and non-governmental organisations; and to provide resources for the implementation of Strategic Approach objectives.

The OPS includes the objectives for enhancing cooperation on the sound management of chemicals between governments, the private sector and civil society at the national, regional and global levels. In the Resolution on implementation arrangements (I/1.4), ICCM participants specifically encouraged NGOs and the private sector to engage in partnerships with governments, intergovernmental organisations, regional economic integration organisations and other stakeholders.

One possible approach to addressing partnerships in the context of a national SAICM implementation plan can be to select already identified priority areas for action that may best be addressed through concrete projects involving the collaboration of government, business and industry, and public interest and labour organisations. Following the action plan development methodology described above, implementation plans for such “partnership projects” could then be developed, which could include for example:

- Partnership project co-ordinating arrangements
- Project goal and objectives
- Situation analysis
- Activities required by all partners
- Workplan and budget
- Commitment of partners
- Linkage to national development priorities

#### **Box 10 Case Study of Partnership Projects for National SAICM Implementation: Tanzania**

In Tanzania, two partnership projects to support national SAICM implementation were initiated and developed in 2008 on the topics of “Awareness Raising for Chemical Safety and SAICM Implementation through Information Sharing and Training” and “Enhancing Protection of Human Health and the Environment from the Effects of Hazardous Industrial Chemicals in the areas of Emergency Preparedness, Inspection, and Training”.

Regarding the project on awareness raising, the activities are coordinated in partnership by both the Ministry of Agriculture and CREFT (an NGO). Initial activities have included development of a national data base for hazardous industrial chemicals and pesticides to ensure easy access to information for sound chemicals management to chemicals dealers in Tanzania; documentation of BAT/BEP for priority waste management practices for certain priority industrial chemicals (this activity involves the Cleaner Production Center); and the development and (planned) distribution of around 500 information packages (including brochures, booklets, posters) containing information on sound chemicals management and SAICM implementation in Tanzania to key stakeholders. As a next step, “train-the-trainers” sessions for sound management of chemicals in the workplace (training of five days each for 80 technical personnel) will be completed in 2009.

For the project on industrial chemicals, activities are coordinated by the Government Chemists Laboratory Agency (GCLA) and Agenda (also an NGO). Initial activities have focused on development of an integrated national chemical accident prevention and management system, which includes preparation and distribution of 300 copies of the national guidelines on emergency preparedness, prevention and reporting; and training and equipping inspectors for national chemicals and pesticides inspection (for 50 inspectors, 30 custom officers and 30 police officers located at 15 main entry points of chemicals in Tanzania). In addition, training will also be undertaken for selected industries (textiles, paints, foam, mining and agriculture) in the promotion of prevention and minimization of hazardous waste generation. For more information: <http://www.saicmtz.or.tz>

### **4.3.3 Obtaining Endorsement and High Level Commitment**

Commitment from national decision-makers needs to be obtained at various stages of the SAICM implementation plan development process: at the beginning, at critical points identified during the process, and at the end when the implementation plan has been finalised (see also section 4.1.3). There are different forms of commitment, such as formal agreements, ministerial directives, etc. For example, a country may already have a national chemicals management policy in place, to which the SAICM implementation plan should contribute or be integrated within; for countries without a national chemicals management policy, such a policy can be an effective, overarching tool for an integrated and sustainable national programme for SAICM implementation which the national implementation plan could help to catalyse (see Annex 2).



An important component of obtaining high level commitment involves assessing potential obstacles or bottlenecks. Such obstacles or bottlenecks could include: competing priorities that might threaten support for the implementation plan or certain action plans; a lack of awareness about the topics/issues; and contradictory or duplicative mandates (or lack of a mandate) related to the implementation plan. Such obstacles may have already been identified in the implementation plan development process and addressed. In other cases, these will require further attention.

At this stage, it will be necessary to communicate the intentions of the implementation plan to those who have decision-making power concerning its implementation. Raising awareness about the implementation plan is a good way to begin gathering support. The implementation plan itself can provide an excellent overview of the proposed action and may contain background information, such as the rationale for development, with anticipated benefits, links to other national priorities, and a summary of how the implementation plan was developed; key outputs, such as the main activities and tasks; and an overview of monitoring and evaluation procedures. An essential activity is to distribute some form of the implementation plan in a timely and appropriate manner, in pre-approved form, to those who have an influence over its approval. It is also important to modify the materials to target different audiences. For example, a brief executive summary of the implementation plan (or ministerial briefing note) outlining the need for action (and how it serves national development priorities), some of the proposed activities, and the intended outcomes will probably be sufficient for a high level audience. A press release will probably be the most appropriate document to promote the implementation plan through the print media or to communicate to the public at large.

One possible approach to communicating the relevancy of the implementation plan to decision-makers and ultimately to enhance commitment and cooperation is to highlight where several national goals may be served by the implementation plan. For example: Does the implementation plan contain elements that can be useful for chemicals management or environmental management in general? Are there elements that can be used to facilitate the attainment of national goals in the broader development agenda (e.g. related to agriculture, health, water, energy, or more generally poverty issues)?

### **Box 11 Case Study of Mexico: Initial SAICM Implementation Process**

In 2007, the Government of Mexico initiated its SAICM implementation process with a priority setting exercise by taking into consideration the objectives of the Strategic Approach. To accomplish this task, a methodology was developed to guide all relevant sectors and to provide criteria that facilitated identifying the main work areas and associated activities. The first step consisted in holding a stakeholder workshop with participation from all interested sectors, including public and private institutions, academia, and NGOs. The format of this event included several breakout sessions of previously established working groups (one for each objective of the Overarching Policy Strategy), and later followed by plenary discussions to share results. Supported by the above mentioned methodology, participants were able to apply selected criteria to evaluate all 273 activities as set out in the Global Plan of Action. The main outcome was a short list of 62 activities identified as those with higher priority at the national level. The results of this initial effort have provided an important input to plan the necessary enabling activities.

At a later stage, and under the coordination of the Foreign Affairs Ministry (designated National Focal Point), all competent public institutions and Ministries made use of the priority setting outcomes to design a matrix that contains a set of national priorities. These were later reviewed and given a level of importance (e.g. high, medium or low). Furthermore, the rationale to consider these priorities was provided, as well as the timeframe to accomplish related goals, and in some cases, the available resources. The purpose of this activity was to produce a reference guide to develop a plan of action for SAICM implementation.

The main activities to develop this plan of action include:

- Identification of specific activities by each of the competent Governmental institutions;
- Integration of interministerial working groups for each of the objectives contained in the OPS;
- Development of a project plan for each of these groups, which should include the relevant actions that can be carried out at the country level;
- Integration of documents developed by each group into a plan of action;
- Dissemination of the plan to all Ministries for approval; and
- Dissemination of the plan to all relevant sectors, for review.

Once completed, this plan of action will integrate specific national actions required to comply with country commitments under the SAICM framework. This is intended to be achieved through an effective coordination among participating governmental institutions, and with consideration of existing mechanisms for chemicals management, such as the Stockholm Convention National Implementation Plan.

## **4.4 Implementation of a National SAICM Implementation Plan**

With a completed national SAICM implementation plan, developed through a multi-stakeholder process, the implementation phase can begin based on the activities and details developed in the action plans. Key steps for this phase may include: undertaking outreach and communication; mobilising resources; and implementing activities and conducting regular monitoring and evaluation.

#### **4.4.1 Awareness Raising and Communication**

Obtaining the support and understanding of relevant groups and the general public is critical to ensure the success and sustainability of SAICM implementation. Engaging in strong awareness raising, outreach, and communication efforts can help to sustain such interest and support. The primary aims of such a process is to communicate key developments and achievements of ongoing SAICM implementation efforts to interested parties and to allow for input from stakeholder groups as the process evolves. This process is likely to entail activities at various levels. For example, efforts might be undertaken to disseminate information to the general public on national chemicals management goals and initiatives, to inform certain stakeholder groups (e.g. industry, workers) of progress made in addressing topics in which they have a particular interest, and/or to provide information to the international community on national capacity building initiatives and achievements.

There are numerous tools and approaches that can be used for awareness raising, outreach, and communication such as organising strategic briefings sessions; national or regional workshops, interministerial meetings, and consultations with industry and other nongovernmental groups; involving the media; and developing and disseminating simple information products. An country example can be found in Box 12.

#### **4.4.2 Mobilising Resources**

The issue of resources is likely to be a particularly challenging one, and should be addressed early on and throughout the process of developing and implementing a national SAICM implementation plan. Experiences suggest that resource mobilization efforts that are well planned, undertaken on an ongoing basis, with sufficiently high-level backing will have the greatest chances of success.

### Box 12 SAICM Awareness Raising: Example of Germany

A “National conference on implementation of SAICM in Germany” was held on 6 June 2008 in Berlin, Germany. The conference, attended by a wide range of stakeholders responsible for chemicals management, represented significant progress towards comprehensive SAICM implementation in Germany. Led by the Federal Ministry for the Environment, Nature Conservation and Nuclear Safety and assisted by the Federal Environment Agency, the conference brought together ministries in relevant sectors, for instance, agriculture, consumer, health, economics and technology as well as industry and nongovernmental organizations. The objective of the conference was to inform stakeholders of and encourage them to contribute to SAICM implementation. Around 130 participants presented their ongoing initiatives for safe chemicals management related to the work areas of the SAICM Global Plan of Action. The conference contributed also to summarizing relevant and existing national instruments and measures to implement SAICM, which serve as a basis for identifying gaps and further needs for actions, such as, ensuring world-wide safe trade with articles containing chemicals. A summary report of the conference in English (and possibly one other UN language) will be made available at the second session of International Conference on Chemicals Management. For additional information, please visit [www.saicmkonferenz.de/](http://www.saicmkonferenz.de/).

Source: [www.saicm.org/documents/newsletter/SAICM%20Newsletter%208%20-%20Nov%2008.pdf](http://www.saicm.org/documents/newsletter/SAICM%20Newsletter%208%20-%20Nov%2008.pdf)

**SAICM OPS:** Para. 8 of the OPS states “Knowledge, information and public awareness are basic needs for decision-making for the sound management of chemicals, including products and articles containing chemicals.”

**SAICM GPA:** Para. 10 of the Executive Summary explains “Measures to strengthen knowledge and information would include improved education, training and awareness-raising activities aimed at those who may be exposed to toxic substances at any stage in the life cycle of chemicals and the generation and dissemination of data on the hazards of all chemicals in commerce, taking account of legitimate commercial confidentiality needs. Among other measures in this area would be stepped-up monitoring of the impacts of chemicals on health and the environment, harmonized risk assessments, efforts to implement the Globally Harmonized System of the Classification and Labelling of Chemicals, and the development and publication of national pollutant release and transfer registers.”

In addition to being listed numerous times as an implementation aspect, awareness raising is also addressed in many of the GPA’s activities, including:

- Activity 101: Complete GHS awareness-raising and capacity-building guidance and training materials (including GHS action plan development guidance, national situation analysis guidance and other training tools) and make them available to countries
- Activity 110: Include a range of preventive strategies, education and awareness-raising and capacity-building in risk communication
- Activity 112: Undertake awareness raising for consumers, in particular by educating them on best practices for chemical use, about the risks that the chemicals they use pose to themselves and their environment and the pathways by which exposures occur
- Activity 163: Undertake awareness raising and preventive measures campaigns in order to promote safe use of chemicals
- Activity 195: Establish national multi-stakeholder coordination bodies on chemicals to provide information and increase awareness of their risks

While it is recognised that external resources may be needed to move certain action plans/projects forward, the commitment of national/local resources is essential. By committing resources (e.g. funding, staff time, data), officials/organisations demonstrate their interest in and support for the initiative. This commitment bodes well for successful implementation as well as for long-term sustainability. Initiatives that are solely funded from external sources may run the risk of falling flat once the external support has ceased.

A critical starting point for resource mobilization is to understand how budgetary and resource allocation decisions are made. Often those who are directly involved in chemicals management activities may not be closely involved in such processes and decisions, and thus a concerted effort may be needed to gather information in this regard. A first step might be to contact the relevant parties in the Ministry of Finance, in the Ministry of Foreign Affairs, budget offices of relevant line ministries (e.g. environment, health, agriculture), the national legislature, universities, and other relevant bodies in order to gain a thorough understanding of the process and the respective roles of the various actors. In Costa Rica, for example, as part of their SAICM capacity assessment exercise in 2008-09, a survey was conducted of all relevant ministries and organisations to review the annual plans for chemicals management activities – and associated budgets – in order to develop an understanding of possible existing funds for chemicals management at the national level. The survey revealed that funds for chemicals-related activities were available in existing budgets of various agencies and organisations, such as the Ministry of Environment, Ministry of Treasury, Ministry of Agriculture, Ministry of Health, and national Universities.

It is important not only to understand the official procedures, but also to gain insight into how budgetary proposals are typically initiated and what factors can help to support favourable outcomes. Gaining an appreciation for political priorities and how these affect resource allocation decisions can be particularly important. Understanding the time frame for such activities is also crucial. These elements again emphasise the key importance of integrating chemicals management in to development planning (please refer to Box 13 on “mainstreaming”).

### **Box 13 SAICM and Mainstreaming**

The Dubai Declaration declares that “the sound management of chemicals is essential if we are to achieve sustainable development, including the eradication of poverty and disease, the improvement of human health and the environment and the elevation of the standard of living in countries at all levels of development.”

Resolution I/4, as adopted at the first session of the ICCM, states, regarding the strategic priorities for the Quick Start Programme, “The Quick Start Programme should mobilize resources for national priority initial enabling activities in keeping with the work areas set out in the strategic objectives of section IV of the Overarching Policy Strategy, in particular:...c) Undertaking analysis, interagency coordination, and public participation activities directed at enabling the implementation of the Strategic Approach by integrating—i.e., mainstreaming—the sound management of chemicals in national strategies, and thereby informing development assistance cooperation priorities.”

Sound chemicals management also contributes to the achievement of the Millennium Development Goals (MDGs) and it is important to identify opportunities for incorporating chemicals management and SAICM implementation into MDG-based plans to take into consideration planning cycles (whether national MDG plans, Common Country Assessments, Poverty Reduction Strategies, etc.). For more information: [www.undp.org/chemicals/mainstreamingsmc.htm](http://www.undp.org/chemicals/mainstreamingsmc.htm).

In addition to understanding the national budgetary and resource allocation system, it is also important to understand how external donors allocate resources. Each donor entity (e.g. bilateral assistance organisation, multilateral bank) is likely to have specific application procedures through which countries can request support, as well as certain organisational objectives that influence its decisions as to what types of projects it will fund. It may be desirable to develop a list of all of the relevant external donors, in particular those with offices and activities in the country, and seek information on their relevant procedures as well as what types of projects each donor entity is most likely to support. A list of activities currently being funded by the respective donor agencies could also be of interest. To ensure that such information is available on an ongoing basis, setting up a process for periodically gathering/exchanging information on donor activities and priorities should be considered. Such a process could also be used to facilitate better coordination of funding requests.

Parallel to understanding the procedures and roles of the various donor entities, it is important to develop and maintain working contacts with the relevant officials in such organisations. Keeping external assistance agencies informed of national priorities, needs, and achievements, and otherwise ensuring effective channels of communication, can increase the likelihood that such entities will respond favourably to requests for support.

Obtaining necessary resources can require considerable time and perseverance. To ensure that such efforts are carried out in an effective and sustained manner, in some countries, a committee with representation from concerned ministries, if it has been established, or a relevant agency develops and implements a resource mobilization strategy (based on a solid understanding of the relevant procedures for requesting and obtaining support from national and external sources). It should address what resources are needed, from what sources such resources will be sought, what actions are to be taken to this end, and who/what entities are responsible.

Presenting project proposals that are tailored to the interests and priorities of those in a position to provide support can be particularly useful to increase the likelihood of success. Each organisation, ministry or external donor has its own objectives and priorities. Therefore, they must not only be convinced of the need for and viability of the proposed project, but they will also want to see how the project will benefit them and contribute towards their own organisational goals.

Resource mobilization is an ongoing task, and one that will change over time with the evolving nature and focus of the country's capacity building efforts. Thus, resource mobilization efforts are not a one-time undertaking, but rather an integral and ongoing component of SAICM implementation. In addition to the importance of mobilising resources "internally" at the national level, consideration should also be given to the wide-range of external sources of potential funding, which can include (but are not limited to) the SAICM Quick Start Programme Trust Fund (see below), bilateral donors, private foundations, the GEF (in relation to POPs for example), etc.

### ***SAICM's Quick Start Programme***

One opportunity for financial resource mobilisation may be found in SAICM's Quick Start Programme (QSP). As envisaged in the OPS, in paragraph 19 on financial considerations,

initial capacity building activities for the implementation of SAICM objectives are supported by the QSP. The ICCM decided in resolution I/4, adopted at its first session, to establish the “Quick Start Programme for the implementation of SAICM objectives, building upon the outcomes of the ICCM and the Bali Strategic Plan for Technology Support and Capacity building.” The QSP includes a voluntary, time-limited trust fund (the QSPTF), administered by the United Nations Environment Programme (UNEP), and multilateral, bilateral, and other forms of cooperation.

SAICM’s Quick Start Programme (QSP) aims to support initial enabling activities in developing countries, least developed countries, small island developing States, and countries with economies in transition. The QSP aims to mobilize resources for national priority initial enabling activities in keeping with the work areas set out in the strategic objectives of section IV of the SAICM Overarching Policy Strategy, in particular:

- a) Development or updating of national chemical profiles and the identification of capacity needs for sound chemicals management;
- b) Development and strengthening of national chemicals management institutions, plans, programmes and activities to implement SAICM, building upon work conducted to implement international chemicals-related agreements and initiatives;
- c) Undertaking analysis, interagency coordination, and public participation activities directed at enabling the implementation of SAICM by integrating—i.e. mainstreaming—the sound management of chemicals in national strategies, and thereby informing development assistance cooperation priorities.

The QSP is overseen by an Executive Board comprising two government representatives for each United Nations region, plus bilateral and multilateral donors and other contributors. A QSP Trust Fund Implementation Committee is made up of the seven IOMC organisations and UNDP. The SAICM secretariat services the Executive Board and Trust Fund Implementation Committee, and facilitates the overall operation of the QSP, including applications to the Trust Fund.<sup>8</sup>

<sup>8</sup>

More information about the QSP and QSPTF can be found at:  
[www.saicm.org/index.php?menuid=22&pageid=252](http://www.saicm.org/index.php?menuid=22&pageid=252)

#### Box 14 SAICM and Financial Resource Mobilisation

**SAICM OPS:** The OPS in para. 6 recognises that “There are inadequate resources available to address chemical safety issues in many countries, particularly to bridge the widening gap between developed countries on the one hand and developing countries and countries with economies in transition on the other.” In response, “...The Strategic Approach should call upon existing and new sources of financial support to provide additional resources...It should also include the mobilization of additional national and international financial resources, including through the Quick Start Programme and other measures...to accelerate the strengthening of capabilities and capacities for the implementation of the Strategic Approach objectives.” (Para. 19)

“Actions at the national or sub-national levels to support financing of Strategic Approach objectives [can include, among other things,] integrating Strategic Approach objectives in relevant programmes, plans and/or strategies at various levels; assessing current laws, policies and regulations to identify changes that may be needed to advance implementation of the Strategic Approach objectives, including an assessment of funding needs where appropriate; [and] assessing and where necessary adopting appropriate policies at the national and sub-national levels, which could include economic instruments, that can help to cover the cost of sound chemicals management”. (para 19. (a)(i-iii)).

**SAICM GPA:** The GPA addresses resource mobilisation in many of the activities and work areas linked to SAICM implementation, including:

- Activity 166: ...Develop national strategies to mobilize national and external resources and to raise the importance placed on chemicals management within national sustainable development frameworks...
- Activity 209: Strengthen capacities pertaining to infrastructure in developing countries and countries with economies in transition through financial assistance and technology transfer to such countries with a view to addressing the widening gap between developed and developing countries and countries with economies in transition
- Activity 222: Develop resources for national implementation plans and projects
- Activity 234: Provide the necessary technical training and financial resources for national Governments to detect and prevent illegal traffic in toxic and dangerous goods and hazardous wastes
- Activity 250: Make available sufficient financial and technical resources to support national and regional GHS capacity building projects in developing countries and countries with

### 4.4.3 Implementing Activities and Monitoring and Evaluation

Reporting on SAICM implementation will be a key tool in assessing progress towards the achievement of the Johannesburg Plan of Implementation’s goal of sound management of chemicals by 2020. It will also help assess progress on the individual objectives set out in the SAICM texts.

#### *Assessing Results of Ongoing Activities*

From time to time, perhaps every two to three years, it is important to take a step back to consider the direction that national SAICM implementation is headed, to reassess national priorities, and to consider whether ongoing initiatives are continuing to meet the country’s evolving needs. The Overarching Policy Strategy, in paragraph 24, provides that the ICCM will undertake periodic reviews of SAICM. In doing so, it will receive reports from all relevant stakeholders on progress in SAICM implementation. The ICCM will evaluate the implementation of SAICM with a view to reviewing progress against the 2020 target and



taking strategic decisions, programming, prioritizing and updating the approach as necessary. Paragraph 26 of the OPS assigns to regional meetings a role in reviewing progress in SAICM implementation. The functions of the SAICM secretariat include reporting to the ICCM on implementation of SAICM by all participants.

In preparation for the second session of the ICCM, the SAICM secretariat has developed a proposal for indicators of progress on SAICM implementation and will request the Conference to consider adopting this proposal. One of the 20 proposed indicators is “Number of countries (and organisations) with implementation plans for the Strategic Approach.”<sup>9</sup> In addition to reporting for ICCM, each country can consider how it will go about evaluating progress, reassessing priorities, and at what point in time. Various measurable objectives (as well as specific means for measuring their attainment) should have been identified in the national SAICM implementation plan through, for example, setting national priorities, designing a national policy, and preparing action plans.

By this stage in the process, numerous activities will have been initiated to implement SAICM, many with a direct link to the priorities set at the beginning of the country’s efforts to develop/implement a national SAICM implementation plan. An effort should be made to find out what has been achieved through these various and largely decentralised activities. In the ideal case, there will have been ongoing communication between the active bodies. These individuals and groups should have also conducted evaluations of their activities and thus should be in a position to demonstrate the extent to which they have been able to implement their action plans and what the results have been.

By gathering information on achievements made and assessing to what extent the initially defined national priorities have been addressed, the active bodies should be able to get an accurate sense of progress made and remaining challenges. The aim of this “taking stock”, which might result in a national programme report or updated SAICM implementation plan, is not to highlight areas in which results have fallen short of expectations. Rather, it is to ensure that the process of strengthening SAICM implementation is an iterative one, and that it is able to respond and adapt to changing circumstances and needs. Moreover, evaluations of clearly targeted and costed activities and plans can be presented to potential donors to support further phases of SAICM implementation.

### ***Updating the National Profile and SAICM Capacity Assessment***

Updating the National Profile and/or national SAICM capacity assessment can assist the evaluation and reassessment process. These documents provide a means for systematically reviewing the state of the national chemicals management infrastructure, including legal, administrative, technical, and organisational aspects, and assessing these capacities against the requirements of SAICM. They also can provide a useful basis for a national dialogue to revisit national needs and priorities.

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<sup>9</sup> See document SAICM/ICCM.2/3 at [www.saicm.org/documents/iccm/ICCM2/meeting%20documents/ICCM2%203%20reporting%20E.doc](http://www.saicm.org/documents/iccm/ICCM2/meeting%20documents/ICCM2%203%20reporting%20E.doc)

***Convening and Continuing a National Dialogue***

Some countries find it useful at this stage to reconvene interested and affected parties to review the progress that has been achieved to-date, to revisit the national priorities and revise them as needed, and to set the stage for the next phase of efforts to further implement SAICM. Experiences indicate that continuing the national dialogue through holding such an event regularly can be useful, in that it helps to keep stakeholders informed, may serve to maintain their interest in the process, and can ensure that changing needs and priorities of all parties are taken into account.

## 5. *Developing a Regional SAICM Implementation Plan*

It was acknowledged at the first session of the ICCM (in resolution I/1 on Implementation Arrangements) that participants in the SAICM process come from many different geographical regions, with different experiences, ideas, and mechanisms for approaching chemicals management and that such diversity would enhance and strengthen their collective efforts to achieve common goals. Coordinated action at the regional level is also a central theme addressed throughout the OPS and GPA. Regarding an enabling phase for SAICM implementation, paragraph 22 of SAICM's OPS suggests that similar to the national level, Strategic Approach regional implementation plans may be developed, as appropriate.<sup>10</sup> In general terms, a regional SAICM implementation plan may share many of the same elements and activities addressed in section 4 concerning the development of national SAICM implementation plans. This section provides suggestions related to regional coordination mechanisms and organisational issues, assessing infrastructure and capacity, and considerations for developing and implementing a regional SAICM implementation plan.

At the regional level, SAICM has received endorsement by the following forums: Decision 5 on Implementation of a strategic approach to international chemicals management and other chemical and hazardous waste management issues at the 11th and 12<sup>th</sup> sessions of the African Ministerial Conference on the Environment (AMCEN) in 2006 and 2008; Decision Ex.CL/Dec.322 (X) of the Executive Council of the African Union at its tenth ordinary session, Addis Ababa, 25-26 January 2007, in which it endorsed the decisions adopted by AMCEN at its eleventh session; and in the Lima Declaration at the Latin America and Caribbean-European Union Summit, Lima, Peru, 16 May 2008.<sup>11</sup>

### 5.1 Coordination Mechanisms and Organisational Considerations

Resolution I/1 also states that “intersessional work be promoted through, among other things, holding regional meetings and the designation of regional Strategic Approach focal points and communication of the details of the focal points to the Strategic Approach secretariat” (para. 8).<sup>12</sup> In the OPS, para. 26, the conveners of those regional SAICM meetings were urged to take on several functions:

- To review progress on implementation of the Strategic Approach within the regions
- To provide guidance on implementation to all stakeholders at a regional level
- To enable technical and strategic discussions and exchange of information to take place

Since the adoption of SAICM in February 2006, all regions have had at least one regional meeting and there have also been a number of subregional meetings (see Box 15).

<sup>10</sup> SAICM utilises the informal regional structure of the United Nations General Assembly comprising the following: African region, Asia-Pacific region, Central and Eastern European region, Latin American and Caribbean region, and Western European and Others Group.

<sup>11</sup> Text of the endorsements can be found at: [www.saicm.org/index.php?menuid=4&pageid=4](http://www.saicm.org/index.php?menuid=4&pageid=4).

<sup>12</sup> Regional Focal Points were nominated following the first session of the ICCM through a consultative process coordinated by the Governments whose representatives served on the bureau of the SAICM Preparatory Committee and the bureau of ICCM. See [www.saicm.org/index.php?ql=fc&pageid=6](http://www.saicm.org/index.php?ql=fc&pageid=6) for a list of SAICM Regional Focal Points.

### Box 15 Regional and Subregional SAICM Meetings

The following regional and subregional meetings and meetings of regional coordination bodies have been between 2006 and 2009:

#### *Africa*

- African Core Group meeting, Cairo, Egypt, 13-15 June 2006
- African regional meeting on SAICM, Cairo, Egypt, 11-14 September 2006
- Arab Core Group meeting on SAICM, Egypt, 29 October 2006
- Arab sub-regional meeting, Cairo, Egypt, 1-2 April 2007
- 2nd African regional meeting, Dar e Salaam, Tanzania, United Republic Of, 14-19 July 2008

#### *Asia-Pacific*

- Arab Core Group meeting on SAICM, Egypt, 29 October 2006
- Arab sub-regional meeting, Cairo, Egypt, 1-2 April 2007
- Asia-Pacific regional meeting on SAICM, Bangkok, Thailand, 21-23 May 2007
- Pacific Island workshop on SAICM, Apia, Samoa, 8-9 November 2007

#### *Central & Eastern Europe*

- Central and Eastern European meeting on SAICM, Riga, Latvia, 4-6 December 2006
- 2nd Central and Eastern European (CEE) regional meeting on SAICM and associated workshops, Bucharest, Romania, 8-11 September 2008

#### *Latin America and the Caribbean*

- Latin America and Caribbean meeting on SAICM, Panama City (preceded by UNEP workshops), Panama City, Panama, 14-16 February 2008
- Latin American and Caribbean regional coordinating committee meeting, Port of Spain, Trinidad And Tobago, 11-13 June 2008
- [Latin American and Caribbean regional consultation on current international chemicals management issues, Viña del Mar , Chile](#), 17-19 December 2008
- Caribbean workshop on SAICM and related chemicals and hazardous waste instruments, Bridgetown, Barbados, 10-13 March 2009

#### *Western European and Others group*

- 1st EU-JUSSCANNZ regional meeting on SAICM, Barcelona, Spain, 20-22 November 2006

Three regions—Africa, Central and Eastern Europe, and Latin American and Caribbean—have established regional coordination bodies and most have developed terms of reference (TOR) for their coordination bodies and/or for their focal points. The Arab core group has also developed TOR for its coordination unit. Common elements of those TOR include such matters as:<sup>13</sup>

- Supporting the Strategic Approach regional focal point in the execution of his/her duties
- Assisting that focal point and representatives from their region on the Strategic Approach Quick Start Programme Executive Board

<sup>13</sup> Further details on the membership structure, terms of reference for the regional focal points and coordination groups can be found at: [www.saicm.org/index.php?menuid=14&pageid=294](http://www.saicm.org/index.php?menuid=14&pageid=294).

- Encouraging advocacy for the creation of an expanded GEF focal area for chemicals management
- Revisiting the Strategic Approach Global Plan of Action from time to time, and to identify new issues for their possible inclusion
- Assisting their regional focal point in preparing, as appropriate, draft regional position papers for submission to the region, ministerial conferences, and ICCM.

## 5.2 Assessing Infrastructure and Capacity

In order to prepare for developing regional implementation plans, it may be useful to make an assessment of regional capacity and needs. Such an assessment could build on, *inter alia*, discussions that have already taken place at the SAICM-related regional and subregional meetings, regional assessments for chemicals-related multilateral environmental agreements, or compiling relevant information from National Profiles or SAICM capacity assessments from the countries of the region. An example of a regional assessment conducted for the GHS in ASEAN is provided in Box 16.

### **Box 16 Assessing Capacity and Developing a Regional Implementation Strategy: Lessons Learned from a GHS Project in ASEAN**

As part of a two-year project (2005-2007) to strengthen capacities in ASEAN countries to implement the GHS, a regional capacity assessment and a implementation strategy were prepared. These activities brought together governments, business and industry groups, and public interest and labour organizations of the region, as well as the secretariat of a regional organization: ASEAN. It sought to facilitate a coordinated approach to GHS implementation in the region, and consider how a chemicals-specific issue – the GHS – could be integrated into existing regional structures and workplans (such as the Vientiane Action Programme of ASEAN). The capacity assessment – prepared by a regional research institution – identified existing capacities, as well as challenges faced at both the national and regional level, in relation to GHS implementation. The “Regional GHS Implementation Strategy for ASEAN” – reviewed and agreed at a major regional conference in May 2007 – outlined the required actions, timeframes, and implementing bodies and serves as a ‘roadmap’ for regional GHS implementation. For more information: <http://www.unitar.org/cwm/ghs>.

## 5.3 Development and Implementation of Regional SAICM Implementation Plans

One approach to developing a regional SAICM implementation plan could be for the regional coordinating bodies (or an appointed working group) to take the lead in their respective regions and undertake a process similar to the national SAICM implementation plan process outlined in section 4. This section outlines some additional considerations that may be taken in to account when developing a regional SAICM implementation plan.

### ***Prioritizing Key Issues and Developing Action Plans***

A regional SAICM implementation plan can help to build on the efforts related to National SAICM Implementation Plan development and implementation, seeking to add value to addressing national priorities, as well as regional priorities (or shared national priorities),

through regional cooperation. In many cases, certain topics or issues are best addressed at the regional level. Based on an assessment of the existing regional infrastructure and capacity for SAICM implementation, consideration could be given to prioritising key issues, concerns or actions and developing action plans to address those regional priorities.

Two regions thus far—Africa, and Latin American and Caribbean—have prepared elements of a regional SAICM implementation plan. The African Core Group Initial Work Plan for first quarter of 2007 included ten activities, lead organisations, timeframes, and expected outputs.<sup>14</sup> In reviewing progress at the 2<sup>nd</sup> regional meeting in 2008, a number of implementation-related challenges were identified, including a need for strengthened capacity of the regional focal point and African Core Group and issues related to available funding for SAICM projects.<sup>15</sup> The Latin American and Caribbean region, in their 2008 “Elements to Develop a Regional Strategy on SAICM Implementation”, identified several cross-cutting issues (such as strengthening multi-sectoral participation and resource mobilisation), as well as a number of specific areas for regional cooperation (including illegal traffic and implementation of the GHS).<sup>16</sup>

Based on experience to date, a number of common themes or ‘challenges’ are emerging with respect to regional priorities and action plans: communication and coordination issues within and between regions (including the capacity of regional focal points); resource challenges, including the limitations of the QSPTF and need for other sources of funding for regional and national SAICM implementation projects; and ensuring continuing and effective engagement of all relevant sectors and stakeholders.

### ***Involving Regional organisations and infrastructures***

Regional organisations can play an integral role in SAICM implementation and support coordination, training and sensitization of SAICM among their member countries. The OAS, for example, is taking a key role to promote SAICM implementation in the Latin American and Caribbean region (further information on OAS can be found in section 6); and at the March 2009 Caribbean subregional workshop, representatives of the Caribbean Community (CARICOM) were invited to participate.

The African Ministerial Conference on the Environment in June 2008 made the following two explicit decisions:

- To provide high-level political support to the development and implementation of the national implementation plans for the Strategic Approach to International Chemicals Management and chemicals-related conventions.
- To invite subregional and regional economic communities and regional economic integration organisations to cooperate with convention secretariats and the Strategic Approach to International Chemicals Management secretariat for successful regional delivery.<sup>17</sup>

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<sup>14</sup> See [www.saicm.org/index.php?content=meetings&region=AFR&menuid=16&pageid=292](http://www.saicm.org/index.php?content=meetings&region=AFR&menuid=16&pageid=292).

<sup>15</sup> See the report of the 2<sup>nd</sup> African meeting at: [www.saicm.org/documents/meeting/afreg/Dar%20es%20Salaam\\_08/Documents/Afr2%209\\_meeting%20report.pdf](http://www.saicm.org/documents/meeting/afreg/Dar%20es%20Salaam_08/Documents/Afr2%209_meeting%20report.pdf)

<sup>16</sup> See [www.saicm.org/index.php?menuid=19&pageid=74&submenuheader](http://www.saicm.org/index.php?menuid=19&pageid=74&submenuheader).

<sup>17</sup> [www.saicm.org/documents/meeting/afreg/Dar%20es%20Salaam\\_08/Documents/Afr2%20INF14%20AMCEN%2012%20Declaration.pdf](http://www.saicm.org/documents/meeting/afreg/Dar%20es%20Salaam_08/Documents/Afr2%20INF14%20AMCEN%2012%20Declaration.pdf)

In addition to the five regions utilised by SAICM, a wider range of regional groupings or sub-groupings exist or could be established to help advance the Strategic Approach. This can include groups either within those regions—for example, a subregional group, such as the Central America<sup>18</sup>, or a regional economic integration organisation (such as ASEAN, Mercosur, or SAARC)—and across the regions—for example, the Arab countries, which span the African and the Asia-Pacific regions, established an Arab Core Group at a meeting of the Arab Technical Team for Multilateral Environment Agreements Relevant to the Management of Hazardous Chemicals and Wastes held in Cairo in September 2006. These other groups (as well as the five SAICM regional groups) might wish to focus on one or several thematic or special interest areas, such technical support, agricultural/pesticide issues (e.g. poisoning), information sharing and awareness raising, etc. These groupings can play important, complementary roles in helping to ensure that the aspirations of the Strategic Approach are fulfilled at the regional and sub-regional levels.

### *Linking to existing regional initiatives*

Perhaps one of the key considerations for developing national SAICM implementation plans is to establish links with relevant existing regional initiatives. This could include, for example, linking SAICM efforts to related ongoing sectoral initiatives (e.g. on health, environment, labour, etc.), ensuring that SAICM is addressed in social and economic development strategies, and involving regional economic integration organisations (as noted above).

In Africa, for example, countries have committed themselves to implementing the *Libreville Declaration on Health and Environment*, finalized on 29 August 2008.<sup>19</sup> The Libreville declaration was adopted through a high-level regional process involving both ministers of health and ministers of environment. The commitment includes implementing eleven “action points” in order to address health and environment inter-linkages. A process of situation analysis and needs assessment will be carried out to provide a basis for strategic plans in all countries. The situation analysis will address national mechanism for implementing international conventions and national regulations to protect populations from health threats related to the environment, including multilateral environmental agreements. Chemicals management is a cross-cutting theme.

While a “stand alone” regional SAICM implementation plan can be useful, there are potentially major advantages of linking (or integrating) regional SAICM plans to existing initiatives and workplans. Firstly, it is important to take advantage of the synergies of linking SAICM activities to existing chemicals management, health and environment initiatives. For example, the Meetings of the Ministers of Health and Environment of the Americas (HEMA) have the issue of sound chemicals management as part of their cooperative agenda and therefore regional SAICM activities can act as a “vehicle” for achieving this agenda.<sup>20</sup> Second, existing activities may already have budgets and resources allocated to them, which

<sup>18</sup> With support of USEPA, UNITAR is assisting the Central American region develop a sub-regional SAICM implementation strategy during the course of 2009-2010.

<sup>19</sup> <http://www.afro.who.int/declarations/LibrevilleDeclaration.pdf>

<sup>20</sup> See the HEMA Declaration of Mar del Plata, 17 June 2005, paragraph 5(b) and “Cooperative Agenda” item #2.

can help to address the challenge of mobilizing “new” resources for regional SAICM implementation activities.<sup>21</sup>

**Box 17 Sectoral Case Study: Chemicals Management and the  
International Health Regulations (IHR)**

In their efforts to implement the International Health Regulations (IHR, 2005), several regions are developing and applying an assessment tool for the core capacities required by the IHR. Implementation of the IHR is being given a high priority by health ministries as they are obligated to having an initial assessment completed by June 2009. As chemicals are one of the risks covered by the revised IHR, several of the core capacities relating to policy and coordination, surveillance, response, preparedness, risk communications, laboratory and human resources are also relevant to SAICM Implementation. For more information: [www.who.int/csr/ihr/en/](http://www.who.int/csr/ihr/en/)

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<sup>21</sup> The QSPTF has supported regional SAICM projects to-date, but only under the auspices of NGOs; see section 6.2.



## 6. Developing an Organisational SAICM Implementation Plan

SAICM implementation plans developed and implemented by organisations are also an important way of making contributions towards the goals of the Strategic Approach. There are a wide variety of groups that fit under the “organisations” umbrella, ranging from international and regional organisations, civil society and public interest non-governmental organisations (including the environment, health, labour, and research sectors, among others), and industry/private sector groups such as chemical companies and industry trade associations.<sup>22</sup>

Within the ICCM, resolution I/1 (para. 1) that addressed implementation of the Strategic Approach, participants in the 2006 Dubai meeting called “on...intergovernmental and nongovernmental organisations...representatives of civil society and the private sector, to take appropriate action to achieve the objectives set forth in the Strategic Approach.” Moreover, when considering specific activities, as discussed in Section 4.3.1 in relation to national implementation plans, in resolution I/1 (para. 4), NGOs and the private sector were encouraged to engage in partnerships with governments, intergovernmental organisations, regional economic integrations organisations, and other stakeholders. Moreover, the Global Plan of Action anticipates that all stakeholders (including organisations) “will adopt flexible programmes to build and sustain adequate and comprehensive capabilities for the sound management of chemicals consistent with national circumstances and the Strategic Approach objectives” (para. 6 of GPA).

In general terms, an organisational SAICM implementation plan may share many of the same elements and activities addressed in sections 4 and 5 concerning the development of national and regional SAICM implementation plans. This section provides information related to the activities of IGOs, civil society and public interest NGOs, and industry and the private sector.

### *Nominating Focal Points and Endorsement of SAICM*

One starting point is for organisations, as with national and regional entities, to nominate SAICM focal points. In particular, the ICCM, in its resolution I/1(7), called on “...non-governmental participants to designate Strategic Approach focal points and communicate the details of the focal points to the Strategic Approach secretariat.” These focal points then become part of the network of Strategic Approach stakeholders established and maintained by the secretariat in accordance with paragraph 28 of the OPS. Intergovernmental organisations have also nominated focal points for SAICM.<sup>23</sup>

ICCM resolution I/1 on implementation arrangements “commended SAICM to the attention of the governing bodies of relevant intergovernmental organisations and encouraged them to

<sup>22</sup> Para. 2 of the SAICM’s OPS notes more generally that “the main stakeholders in the Strategic Approach are understood to be Governments, regional economic integration organizations, intergovernmental organizations, non-governmental organizations and individuals involved in the management of chemicals throughout their life-cycles from all relevant sectors, including, but not limited to, agriculture, environment, health, industry, relevant economic activity, development cooperation, labour and science. Individual stakeholders include consumers, disposers, employers, farmers, producers, regulators, researchers, suppliers, transporters, and workers.”

<sup>23</sup> The lists of NGO and IGO focal points are available on the SAICM website at: [www.saicm.org/index.php?ql=fc&pageid=6](http://www.saicm.org/index.php?ql=fc&pageid=6).

endorse or otherwise appropriately acknowledge the SAICM with a view to incorporating its objectives into their programmes of work within their mandates and to report thereon to the ICCM.” Many organisations have also officially endorsed or otherwise supported SAICM and its implementation.

Since 2006, SAICM has been formally acknowledged or endorsed by the following governing bodies of intergovernmental organisations: UNEP, UNITAR, WHO, ILO, FAO, UNIDO, and OECD. In addition SAICM has also received the support of the OECD Joint Meeting of the Chemicals Committee and the Working Party on Chemicals, Pesticides and Biotechnology, and The International Federation of Chemical, Energy, Mine and General Workers’ Unions (ICEM).

## 6.1 IGOs

International and intergovernmental organisations have a key role in SAICM implementation. Paragraph 26(c) of the OPS notes:

The implementation of the Strategic Approach will depend in significant part on the activities of relevant intergovernmental organisations. In order to help ensure that these activities are coordinated properly, IOMC should continue to perform a coordinating function for intergovernmental organisation activities and work programmes.

Many different organisations have activities already linked to the broad objectives and numerous activities within SAICM; and, as noted above, many have already formally endorsed SAICM. Individual organisations, moreover, may develop workplans for supporting SAICM implementation or otherwise integrate SAICM objectives in to their existing work programmes. For example, UNEP has developed a workplan for supporting SAICM implementation for the period 2008-2020, with reference to the OPS and GPA.<sup>24</sup> This workplan was subsequently endorsed by UNEP’s Governing Council in 2007 and then integrated under UNEP’s overall medium-term strategy for 2010-2013 in the cross-cutting thematic priority on harmful substances and hazardous waste.<sup>25</sup> In the OECD, the Council decided in 2008 to “make implementation of the SAICM objectives...an integral part of its Chemicals Programme”.<sup>26</sup>

The case of the Inter-Organization Programme for the Sound Management of Chemicals (IOMC) may also be illustrated here. The IOMC is the pre-eminent mechanism for initiating, facilitating and coordinating international action to achieve the WSSD 2020 goal for sound management of chemicals.<sup>27</sup> It provides a framework for complementarity among the Participating Organizations (POs) and their contributions in supporting countries and regions based on their differing mandates and expertise.<sup>28</sup> An Inter-Organization Coordinating Committee (IOCC) composed of representatives of the Participating Organizations coordinates relevant activities. Planning, programming, implementation, and monitoring of

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<sup>24</sup> UNEP/GC/24/INF/15.

<sup>25</sup> UNEP/GC/25/5.

<sup>26</sup> C(2008)32, 1 (28 March 2008).

<sup>27</sup> More information about the IOMC and its SAICM engagement may be found at: [www.who.int/iomc/en/](http://www.who.int/iomc/en/) and [www.who.int/iomc/saicm/en/index.html](http://www.who.int/iomc/saicm/en/index.html).

<sup>28</sup> The seven participating organizations of the IOMC are: FAO, ILO, OECD, UNEP, UNIDO, UNITAR, and WHO. In addition, two observer organizations are also participating in the IOMC: UNDP and the World Bank.

activities undertaken jointly or individually by the Participating Organizations is carried out by the IOCC. This ensures full consultation among all those involved, with the aim to ensure effective implementation without duplication. IOMC was a co-convenor of the first session of the ICCM, held in Dubai in 2006 and actively contributed to preparations for the second session of the Conference. IOMC plays a key role in the implementation of government-mandated priorities agreed for SAICM.<sup>29</sup> Additionally, the IOMC has prepared a number of guidance materials for use by governments, stakeholders, and other organisations that can assist with SAICM implementation.<sup>30</sup>

In regards to an implementation plan for the IOMC itself, the “IOMC Strategy for Strengthening National Chemicals Management Capacities” was submitted to second session of the ICCM in May 2009.<sup>31</sup> The strategy identifies the objectives, action areas, key issues, and next steps that IOMC Participating Organizations will take to assist countries to strengthen national chemicals management capacities to effectively implement SAICM and enable the IOMC to further identify the roles of the Participating Organizations to assist with identified capacity needs.<sup>32</sup>

Another example of engagement of an international organisation is the Organization of American States (OAS).<sup>33</sup> In February 2008, the OAS participated at the Latin America and Caribbean (LAC) SAICM regional meeting in Panama and in June 2008, the OAS, in collaboration with the SAICM secretariat, organized the first meeting of the SAICM RCC for LAC at which regional and international experts offered recommendations and identified opportunities for developing a regional strategy for SAICM implementation in LAC region (see also section 5 above), and more importantly on the urgency of addressing the goals of SAICM and its mechanisms.<sup>34</sup> The OAS Sustainable Chemicals Management initiative is being implemented with the objective of building national and regional cooperation mechanisms and providing the necessary decision-making tools for supporting the region’s compliance with regard to the Stockholm, Rotterdam, and Basel Conventions, and related multilateral environmental agreements, as also articulated in SAICM.

## 6.2 Civil society and public interest NGOs

One work area of SAICM’s GPA specifically refers to “Civil society and public interest non-governmental organisation (NGO) participation”, and associated activities. NGOs may choose to use the GPA to assist development of a SAICM implementation plan, or they may

<sup>29</sup> See the IOMC report on “Activities of the IOMC and its participating and observer organizations for implementation of the SAICM” submitted to ICCM-2 (SAICM/ICCM.2/INF/3).

<sup>30</sup> See, for example, “National Implementation of SAICM: A Guide to Resource, Guidance, and Training Materials of IOMC Participating Organisations”, “Developing a Capacity Assessment for the Sound Management of Chemicals and National SAICM Implementation”, and “IOMC: Assisting Countries with the Transition Phase for GHS Implementation”. Available at: [www.who.int/iomc/saicm/en/index.html](http://www.who.int/iomc/saicm/en/index.html).

<sup>31</sup> SAICM/ICCM.2/11

<sup>32</sup> The seven action areas of the strategy are: strengthening capacities for engagement; increasing capacities to generate, access and use information and knowledge; enhancing capacities for policy and legislative development; strengthening capacities for programme development; strengthening capacities for management and implementation; increasing capacities to monitor and evaluate; and improving capacities to mobilize resources.

<sup>33</sup> For more information: [www.oas.org/dsd/Quimicos/Default.htm](http://www.oas.org/dsd/Quimicos/Default.htm).

<sup>34</sup> For more information: [www.saicm.org/index.php?menuid=19&pageid=74&submenuheader=](http://www.saicm.org/index.php?menuid=19&pageid=74&submenuheader=); and <http://www.oas.org/dsd/Quimicos/Meetingjune2008.htm>.

see how their existing and planned activities already contribute to the objectives, activities, and targets of SAICM.

A consortium of six international NGO networks with missions that include promoting aspects of sound chemicals management have joined together to engage in a joint “*SAICM NGO Global Outreach Campaign*.” The aims of this campaign are raising awareness in all regions about the harms caused by exposure to toxic chemicals and broadening the base of civil society groups working on issues related to the implementation of SAICM. The international NGO networks sponsoring this campaign are all registered with the SAICM Secretariat as SAICM NGO Focal Points.<sup>35</sup>

One aspect of this campaign was the production and circulation of booklet: “*An NGO Guide to SAICM: The Strategic Approach to International Chemicals Management*.” The booklet was prepared for organisations within civil society for whom chemical safety is—or should be—a topic of concern, including: public health and environmental advocacy organisations; organisations of medical and healthcare professionals; organisations representing communities or constituencies potentially impacted by toxic chemical exposure; trade unions; and others.<sup>36</sup> A companion document providing more specific guidance for civil society contributions to SAICM implementation is expected to be available in the second half of 2009. The campaign is also producing and distributing to NGOs introductory booklets on other chemical safety topics including: persistent organic pollutants, hazardous pesticides, toxic metals, and others. The NGO networks participating in the campaign have additionally drafted and adopted an “*NGO/CSO Global Common Statement on the Strategic Approach to International Chemicals Management*.” This statement is being circulated for endorsement by NGOs and other civil society organisations in more than 80 countries with the aim of securing more than one thousand organisational endorsements. When NGOs and civil society organisations endorse the common statement, they make a commitment to work to implement SAICM policies such as promoting reforms of domestic chemicals assessment and management laws, policies and practices in order to achieve the SAICM 2020 goal.<sup>37</sup>

The International POPs Elimination Network (IPEN) – which coordinates the outreach campaign – is a network of NGOs in more than 80 countries that was originally formed to promote the establishment and implementation of the Stockholm Convention on POPs. IPEN has now expanded its mission to incorporate all aspects of SAICM implementation.<sup>38</sup> In 2008, IPEN surveyed more than two hundred selected NGOs in developing countries and countries with economies in transition that work on chemical safety issues to gather information on their priorities, problems, plans and needs. This information is being used to prepare NGO regional action plans for the period 2009-2012 in eight regions: English-speaking Africa; French-speaking Africa; Arabic-speaking countries; Central Europe; Eastern Europe, the Caucasus and Central Asia; South Asia; Southeast Asia; and Latin America. These plans will be circulated in the first half of 2009.

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<sup>35</sup> They are: Health Care Without Harm (HCWH); the International POPs Elimination Network (IPEN); the International Society of Doctors for the Environment (ISDE); the Pesticide Action Network (PAN); Women in Europe for a Common Future (WECF); and the World Federation of Public Health Associations (WFPHA).

<sup>36</sup> The Guide is available at [www.ipen.org/campaign/education.html](http://www.ipen.org/campaign/education.html) in multiple languages.

<sup>37</sup> For more information about the Global NGO Outreach Campaign, visit: [www.ipen.org/campaign](http://www.ipen.org/campaign).

<sup>38</sup> For more information about IPEN, visit [www.ipen.org/](http://www.ipen.org/)

The Pesticide Action Network (PAN) is a network of over 600 NGOs, institutions, and individuals in over 90 countries, working to replace the use of hazardous pesticides with ecologically sound alternatives. Its projects and campaigns are coordinated by five autonomous Regional Centers. PAN representatives actively participated throughout the SAICM process, with a special interest and focus for purposes of the first and second sessions of the ICCM on risk reduction GPA work areas that address harmful pesticides and promote access to and use of lower- and no-risk, non-chemical, ecological alternatives. PAN currently has five working groups that have developed statements of core positions and goals, involving eliminating the worst pesticides; genetic engineering and pesticides; peoples' food sovereignty and corporate power; community-based monitoring; and sustainable alternatives to pesticides.<sup>39</sup> In the context of these working groups, PAN's work is directly relevant to the 2020 target of the Strategic Approach, contributing to SAICM's goals by working to eliminate dangerous synthetic pesticides.

Another organisation engaged with SAICM is the Society of Environmental Toxicology and Chemistry (SETAC).<sup>40</sup> SETAC is a global society of over 5000 environmental toxicologist, chemists and scientists from over 80 countries. Its members are drawn equally from government, industry, and academia. As with IPEN, SETAC is a SAICM NGO focal point. SETAC's efforts are focused on building scientific capacities in developing countries, and a SAICM QSPTF project is enabling a regional training workshop to take place in Tanzania, in the first half of 2009. The goal is to bring together as many of the currently available training materials on risk assessment as possible and to use these as the basis of building scientific capacity in the least developed countries of the region. The fifth SETAC World Congress held in Sydney, Australia, in 2008 on the theme of "Protecting our Global Environment" also provided an opportunity to reflect on the value and potential contribution that scientific associations and bodies such as SETAC can make to the implementation of SAICM.

The International Union of Pure and Applied Chemistry (IUPAC) is a scientific, international, non-governmental, and objective body that aims to advance the worldwide aspects of the chemical sciences and to contribute to the application of chemistry in the service of Mankind.<sup>41</sup> In relation to SAICM, IUPAC has taken the initiative to seek the designation by the United Nations of 2011 as "International Year of Chemistry". In August 2007, the SAICM secretariat participated in the World Chemistry Leadership Meeting in Turin, which is a regular event held during the biennial General Assembly of IUPAC. The meeting, which attracted 75 participants, focused on the health and environmental safety of chemical products, emerging issues of societal concern, and the resulting regulatory trends. It also provided an opportunity to introduce SAICM to members of the scientific community and to discuss possible avenues for IUPAC engagement in SAICM.

In 2007, the International Federation of Chemical, Energy, Mine and General Workers' Unions (ICEM), endorsed an action plan developed at the [ICEM World Conference for the Chemical Industries](#) (held in Port of Spain, Trinidad and Tobago, from 29 November to 1 December 2006) that noted the adoption of SAICM, and the opportunities it may offer for trade union involvement. The [Chemicals Sector action plan](#) adopted by both conferences calls on "using the SAICM process to build up a stronger influence on chemicals

<sup>39</sup> For more details on the five Working Groups, and related PAN activities, see [www.pan-international.org/panint/?q=en/node/33](http://www.pan-international.org/panint/?q=en/node/33).

<sup>40</sup> For more information, visit: [www.setac.org](http://www.setac.org).

<sup>41</sup> For more information, visit: [www.iupac.org](http://www.iupac.org).

management, safety and occupational health and safety on a national and regional and global level”.<sup>42</sup>

**Box 18 Resource Mobilisation for Organizations: Civil Society SAICM  
Projects under the QSPTF**

Resource mobilization is also crucial for organizations to prepare an implement SAICM implementation plans. Civil society networks are eligible for support under the QSPTF, and to-date there have been seven approved projects in the regions of Africa, Asia and the Pacific and Central and Eastern Europe, and Latin American and the Caribbean. Topics include, but are not limited to:

- SAICM implementation
- Awareness raising
- Capacity building

Further details can be found at: [www.saicm.org/index.php?menuid=27&pageid=302](http://www.saicm.org/index.php?menuid=27&pageid=302)

### 6.3 Industry and the Private Sector

One work area of SAICM’s GPA specifically refers to the “Promotion of industry participation and responsibility”, and associated activities. Industry may choose to use the GPA to assist development of a SAICM implementation plan, or they may see how their existing and planned activities already contribute to the objectives, activities, and targets of SAICM.

The International Council of Chemical Associations (ICCA) represents the chemical industry, chemical manufacturers, and producers all over the world. At the first session of the ICCM, the ICCA affirmed the chemical industry’s approach to product stewardship by launching the Global Product Strategy, and the ResponsibleCare® Global Charter. Together, the elements signify ICCA’s contribution to SAICM implementation. Building on those efforts, the second session of the ICCM is seen by ICCA as an important opportunity for the chemical industry to demonstrate its progress in performance, transparency and cooperation. ICCA has publicly indicated that it will provide information on its performance for evaluation and discussion at the second session of the Conference.<sup>43</sup> ICCA has also increased its commitment to building global capacity, especially in developing countries, to implement the best safety assessment practices and risk management procedures. Since ICCM-1,

<sup>42</sup> For more information: [www.icem.org/index.php?id=165&doc=2058&la=EN](http://www.icem.org/index.php?id=165&doc=2058&la=EN)

<sup>43</sup> Specifically it is expected that ICCA will announce some further steps to implement their Global Product Strategy; these include the development of a best practice for a base set of hazard and exposure information adequate to assess the safety of all chemicals in commerce; and a new approach to facilitate the sharing of relevant information for risk assessment with governments, other stakeholders, and the public, without cost compensation. This is a core element of the industry’s commitment to improve transparency by allocating significant resources to improve global product safety standards. More details on these topics, as well as GHS and nanotechnology, are available in ICCA’s 2007-2008 annual review, at: [www.icca-chem.org/pdf/icca\\_review07\\_08.pdf](http://www.icca-chem.org/pdf/icca_review07_08.pdf).



regional product stewardship workshops have been held in Colombia, Bulgaria, the Slovak Republic and Thailand, with subsequent workshops planned in Argentina, India, Taiwan, the Philippines, Indonesia and Russia, amongst others.

Another industry organisation active in the SAICM context is CropLife International.<sup>44</sup> CropLife has stated that it views its contribution to the implementation of the Strategic Approach as an opportunity to improve the safe management of chemicals and pesticides and to communicate further on the benefits of crop protection products, their effective management and important role in the development of sustainable agriculture. In preparing a CropLife SAICM implementation policy, the organisation has decided that implementation of the International Code of Conduct on the Distribution and Use of Pesticides would be the main vehicle for SAICM implementation. Identified priorities include integrated pest management and responsible use of pesticides, container and obsolete stock management, a stewardship vision for 2010, and illegal trade and counterfeiting.<sup>45</sup>

Other business or private sector organisations also support SAICM and are expected to develop action programmes for sound chemicals management and SAICM implementation.<sup>46</sup>

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<sup>44</sup> For more information: [www.croplife.org](http://www.croplife.org).

<sup>45</sup>

[www.saicm.org/documents/iccm/ICCM2/Submissions%20on%20reporting%20questionnaire/Organizations/ICCM2%20reporting%20questionnaire%20Croplife.pdf](http://www.saicm.org/documents/iccm/ICCM2/Submissions%20on%20reporting%20questionnaire/Organizations/ICCM2%20reporting%20questionnaire%20Croplife.pdf)

<sup>46</sup>

In relation to the International Council on Mining and Metals (ICMM), for example, see [www.icmm.com/page/2019/the-un-adopts-a-global-policy-framework-for-chemicals-management](http://www.icmm.com/page/2019/the-un-adopts-a-global-policy-framework-for-chemicals-management)

## Annex 1: Possible Table of Contents of a National SAICM Implementation Plan

### Executive Summary

- Summary of the rationale of the Plan, development process, and a list of action items for decision makers (*who* should do *what* on the basis of this document)

### 1. Introduction and Background

- Rationale and context of the Plan (including references to SAICM)
- Overview of the participation and preparation process
- Relationship or linkage to National Development Plan or Strategy

### 2. Situation Analysis and Gap Analysis

- Summary overview of the situation and gaps to be addressed (detailed situation and gap analysis can be included in Annex)

### 3. Goal and Objectives

- List of the goal and objectives of the Plan

### 4. Proposed Implementation Strategy

- Detailed description of the proposed activities, tasks, responsibilities, etc. (including partnership projects) as well as monitoring and evaluation details (proposed timelines and budget can be included in the annex)

### 5. Proposed Next Steps and Follow-up

- Brief description of next steps that need to be taken in order to be in a position to implement the Plan (this section should clarify *who* is expected to do *what*)

### Annexes

- Terms of reference of the National SAICM Implementation Plan development team (including names and contact addresses of members)
- Detailed situation and gap analysis
- Gantt chart/PERT chart for implementing the Plan
- Draft budget



## Annex 2: Development of a National Chemicals Management Policy: Key Considerations

Some countries have found it useful to develop a national policy on chemicals management as a set of principles and procedures which address a broad range of chemicals issues and that all ministries are required and have agreed to follow.

### *The difference between a policy and a plan*

- A policy can be a long-term, overarching tool to guide the SAICM implementation plan, has a broad scope, and describes more general priorities. The policy provides the highest level adopted national scheme for action to address chemicals management (under which the SAICM implementation plan would be implemented). The process of attempting to find common ground or even consensus among government and stakeholders participating in the development of such a policy is an exercise that, of itself, can provide many benefits for SAICM implementation.
- The plan may have a more limited scope, be revised more often, and describe detailed actions (activities, tasks, budgets, etc.) for different time frames. It may be later adopted by a coordinating body.

### *Key international recommendations*

The SAICM Global Plan of Action cites policy matters numerous times among its list of activities and work areas linked to SAICM implementation, including:

- Activity 120: Address matters of policy integration in consideration of life-cycle issues
- Activity 194: Strengthen policy, law and regulatory frameworks and compliance promotion and enforcement
- Activity 231: Address training needed to develop capacity in legislative approaches, policy formulation, analysis and management

### *Possible process to develop a national chemicals management policy*

Some countries may find it useful to set up an advisory body or independent committee to draft the national policy. An existing multi-sectoral national platform for chemicals management could oversee the development of a national policy and help to ensure that existing priorities will be taken into account, as diverse interests will be represented. Ensuring significant stakeholder involvement will be important for participation in following the stages and guidelines outlined in the policy, promoting the policy, and fostering action on the identified priorities, including obtaining the necessary political and financial support.

A process of awareness raising parallel to endorsement of the national policy could be an important step to obtain support from stakeholder groups and a high dissemination and agreement of its principles. The greater the number of groups and people that are informed about the national policy and what it stands for, the greater will be the endorsement of these principles in decision-making for chemicals management issues in the country.

***Possible contents of a national chemicals management policy***

The contents of a national policy will vary from one country to the next: what is important is that it lays out the key principles to be promoted in the country for chemicals management. As a means to operationalise the overall aims stated in the national policy and to put them into concrete and measurable terms, it may be useful to include specific “milestones” in the policy statement (milestones are simple statements on what is to be achieved). While milestones should be realistic and feasible, it is indeed possible that not all will be fulfilled in a short-term. Nevertheless, such targets are useful, in that they provide clear endpoints towards which efforts can then be directed and criteria for judging success, progress or failure.

Among the principles which may be kept in mind when designing, updating or implementing chemicals management policies and programmes are the following:

- The responsibility for chemical safety should be shared by all sectors of society
- Chemicals can and should be used to enhance sustainable development and chemicals management issues should be integrated in to development strategies
- Priorities should be set
- Life-cycle approaches and comprehensive understanding of pollutant sources and pathways should be taken into account
- Prevention should be emphasized
- A precautionary approach should be adopted
- Costs and benefits, as well as risks, should be assessed to ensure informed decision-making
- The polluter-pays principle should be applied
- The best available scientific information and assessments should be utilized
- Appropriate state-of-the-art technology should be made available
- Information on chemical safety, the use of chemicals, and their hazards should be readily available to governments, industry, workers, and the public
- Proprietary information should be respected as long as essential information for health and environmental protection is not withheld
- Management of chemical risks should include contingency planning for chemical emergencies
- Public participation is important in decision-making
- International obligations should be taken into account and international co-operation and coordination promoted in order to respect the protection of health and environment from effects of transboundary exposures.

The possible outline of a national policy could be:

**I. Introduction**

- National and international background

**II. Scope**

- Sectors involved, including leader of the national policy
- List of chemicals under the framework of the policy

**III. Objectives**

**IV. Principles and approaches**

- The principles in a national policy for chemicals management should be consistent with the basic aims to avoid harm to human health and adverse environmental impacts. Examples of often occurring principles in chemical safety policies are listed above.

**V. Work areas and possible milestones**

- A. Risk reduction
- B. Knowledge and information
- C. Governance
- D. Capacity-building and technical cooperation
- E. Illegal international traffic

**VI. Financial considerations and implementation mechanisms**

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