#### Basel Amendments:

Past, Present, Future

OEWG12 / Face-to-Face Segment / Nairobi, Kenya

April 4-6, 2020



#### Program

#### Jim Puckett, Director, Basel Action Network (BAN)

- Welcome
- Basel Ban Amendment
- Plastic Waste Amendments
- Russian Federation Amendment
- EU's Annex IV Amendment
- Swiss/Ghanaian e-Waste Amendment
- Discussion





## The Basel Ban Amendment

Article 4a

Entry into Force: December 2019

Text of original Basel Ban 1994

### BASEL CONVENTION

#### ARTICLE 4A General Obligations<sup>3</sup>

ON THE CONTROL OF TRANSBOUNDARY MOVEMENTS OF HAZARDOUS WASTES AND THEIR DISPOSAL

- 1. Each Party listed in Annex VII shall prohibit all transboundary movements of hazardous wastes which are destined for operations according to Annex IV A to States not listed in Annex VII.
- 2. Each Party listed in Annex VII shall phase out by 31 December 1997, and prohibit as of that date, all transboundary movements of hazardous wastes under Article 1(1)(a) of the Convention which are destined for operations according to Annex IV B to States not listed in Annex VII. Such transboundary movement shall not be prohibited unless the wastes in question are characterized as hazardous under the Convention.

The Conference of the Parties adopted Decision III/1 at its third meeting to amend the Convention by adding, inter alia, a new Article 4A. This amendment entered into force on 5 December 2019 (depositary notification C.N.420.2019). For information on the status of individual Parties in relation to the amendment/s, please see the Status of Ratifications page on the Basel Convention website.

#### 3. a Amendment to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal

#### Geneva, 22 September 1995

Entry into force

: 5 December 2019, in accordance with article 17(5) of the Convention which reads as follows:

"Instruments of ratification, approval, formal confirmation or acceptance of amendments shall be deposited with the Depositary. Amendments adopted in accordance with paragraphs 3 or 4 [of article 17 of the Convention] shall enter into force between Parties having accepted them on the ninetieth day after the receipt by the Depositary of their instrument of ratification, approval, formal confirmation or acceptance by at least three-fourths of the Parties who accepted them or by at least two thirds of the Parties to the protocol concerned who accepted them, except as may otherwise be provided in such protocol. The amendments shall enter into force for any other Party on the ninetieth day after that Party deposits its instrument of ratification, approval, formal confirmation or acceptance of the amendments".

Registration: 5 December 2019, No. 28911

Status : Parties : 100

Text : <u>Certified true copy</u>

Doc. UNEP/CHW.3/35.

#### Parties (88) that Have Still not Ratified the Ban

- Canada
- Japan
- South Korea
- Australia
- New Zealand
- Russia
- Brazil
- India

- Vietnam
- Philippines
- Thailand
- United Arab Emirates
- Singapore
- Pakistan
- Iraq
- Israel

## The Basel Ban Denier's Message to the World?

"We wish to retain the option of exporting hazardous wastes to developing countries or importing them from developed countries, even when the Basel Convention, which we are party to, has been changed after much deliberation to forbid this type of trade."

# We Encourage the Following Actions:

- 1. Ratify the Amendment! 88 Still have not!
- 2. Those that Have Ratified, Add Annex II to the BAN.
  - -- While the Convention in all of its legal requirements, includes both hazardous and other wastes (Annex II) the Article 4a Ban does not include Annex II.
  - -- The EU has rectified this problem.
  - -- All are encouraged to do likewise in their national legislation



#### THE ENTRY INTO FORCE OF THE BASEL BAN AMENDMENT

A GUIDE TO IMPLICATIONS AND NEXT STEPS

November 2019







#### New in-depth Guide to the Basel Ban available on **BAN** and IPEN websites.

www.ban.org



## The Plastic Waste Amendments

Annex VIII, A3020 / Annex IX, B3011 Annex II, Y48

Entry into Force: January 2021







#### **New Listings of Plastic Waste**

- → Annex VIII, A3020 Any plastic waste with Annex I Constituents, Exhibiting Annex III Characteristics are Hazardous Wastes.
- → Annex IX, B3011 are non-Hazardous Wastes as long as they are going to R3 ESM destinations only and are either
  - --Single unmixed polymers, cured resins or condensation products (except PET, PE, PP mix)
  - --Not contaminated
  - --Not Halogenated Polymers (e.g. PVC, except a list of
  - → Annex II, Y48 are all other plastic wastes other than the two categories above and are "wastes for special consideration"

#### **Effect of Plastic Waste Amendments**

#### The Control is normally via "Prior Informed Consent" (PIC).

- → Requires Notification by Exporting State and Consent of Importing State prior to export
- → Assurance of Environmentally Sound Management
- → Failure equates to illegal traffic/criminal act

#### But in two key instances a <u>ban</u> is in effect rather than PIC:

- → Exports by the 27 EU countries to non-OECD are banned.
   (EU bans exports of Basel Annex II wastes to non-OECD)
- → Imports from US (a non-Party) banned by Basel Parties except Canada. (Party to non-Party ban)

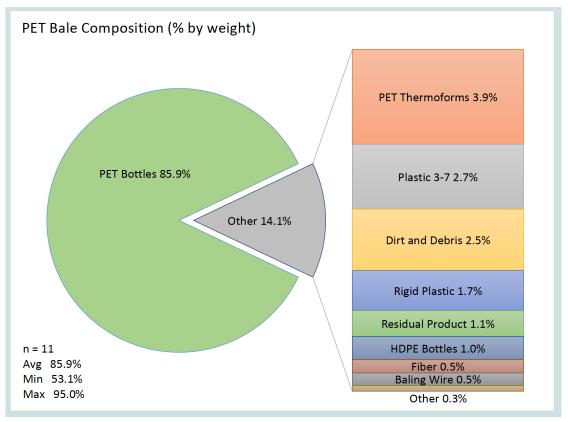
#### What is meant by Contaminated?

- Amendments use the terms "almost free from contamination and other types of wastes."
- This is very strong legal language signifying "deminimus"
- Countries are left on their own to interpret this on a national basis.

#### Contamination Levels Allowed / to Date

Country	Allowable Contamination Level	
Brunei	0%	
China	0%	
European Union	2%	
Hong Kong	.5%	
Indonesia	2%	
Malaysia	0% (non-plastics), 5% (other plastics)	
Turkey	1%	
Vietnam	1% (non-plastics), 10% (other plastics)	







### Conventional and Biodegradable Plastics in Agriculture

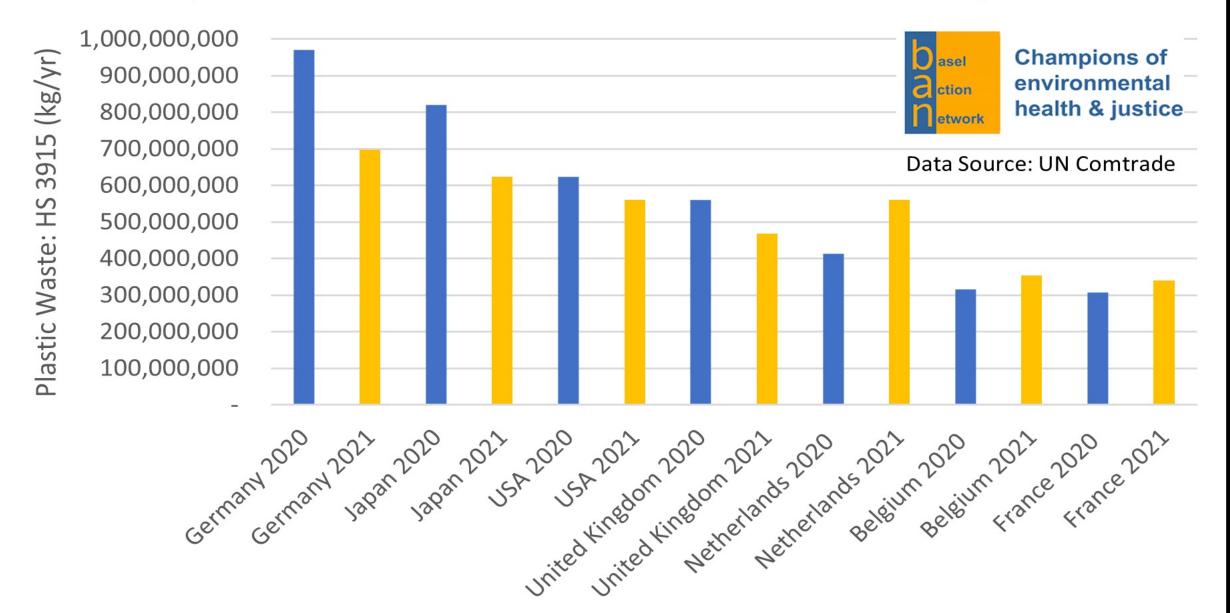
#### E.2.2.2 Barriers to Recycling

The main barriers to recycling agri-plastics in the EU are:

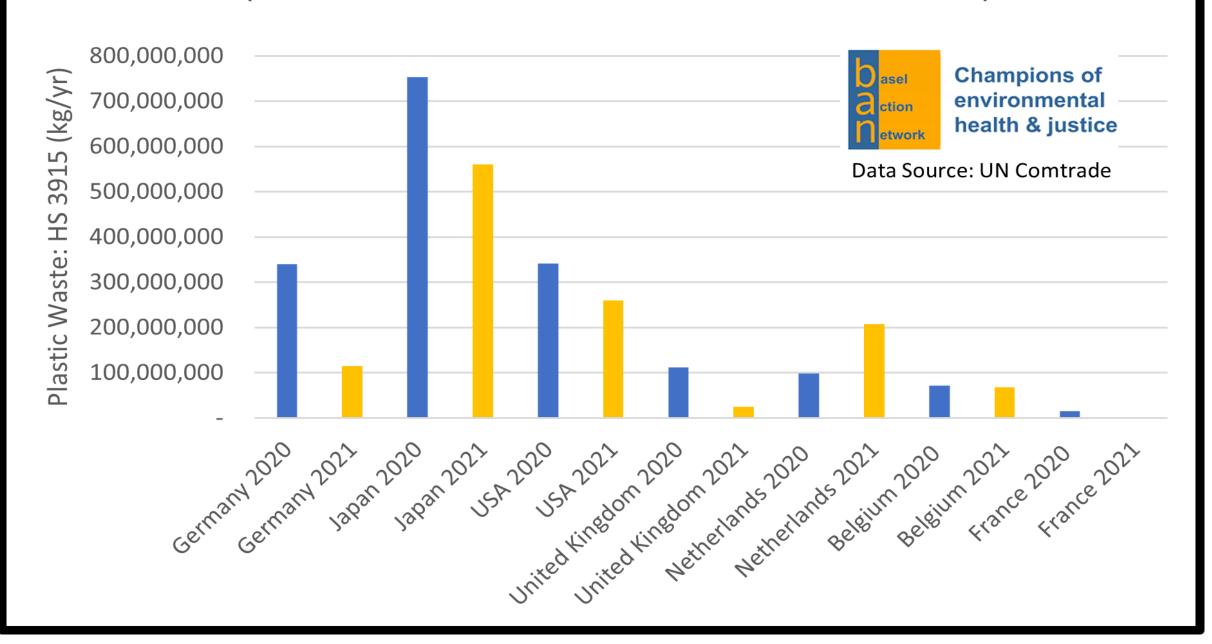
 High processing costs primarily due to high contamination rates. For example, stakeholders suggest that even with the best practices applied, a contamination rate of 30% to 40% for mulch films is to be expected.



#### Top Countries: 2020-2021 Total Plastic Waste Exports



#### Top Countries: 2020-2021 Non-OECD Plastic Waste Exports



## The Plastic Waste Amendments: Some Examples of Poor Implementation

- I. United States
- II. European Union / UK
- III. Japan Ignoring their landmark stance
- IV. Canada Hiddenplastic in Paper Bales
- V. Australia Hiding Plastic in RDF



The Plastic **Amendments: Examples of Implementation Concerns** 





187 Basel Country Members (Parties). Just 8 UN countries are not Parties: East Timor, Grenada, Fiji, Haiti, San Marino, Solomon Islands, South Sudan, and the **USA**.

The US Exports / Legality of Trade in Annex II **Plastics** 

То	Yes / No	Note
Special Art. 11	Yes	Canada Only
Agreement		
Other Basel		Butonly to East Timor,
Non-Parties	Yes	Grenada, Haiti, San Marino,
(7 countries)		South Sudan, Solomon
		Islands, Fiji. (other non-
		Parties)
Basel Parties	No!	Party to non-Party ban is
not in OECD		relevant here
(153)		
OECD except	No	US challenged OECD's
Canada	(except	automatic adoption of
(34)	for	Basel amendments no
	Canada)	agreement > default Basel.

#### **US Exports of Annex II Plastic Wastes**

#### Illegal to Import

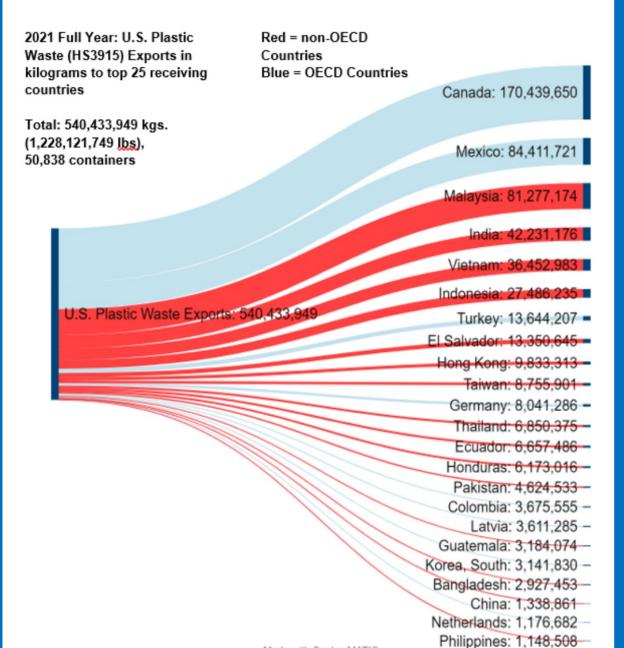
#### **Legal to Import**

- Mexico
- China (including HK) Pakistan
- Malaysia
- Indonesia
- India
- Vietnam
- Turkey
- Bangladesh

- Thailand
- Philippines
- South Korea
- EU
- Japan
- Australia
- .....173 other countries!

- Canada
- Solomons
- South Sudan
- San Marino
- Fiji
- Haiti
- Grenada
- East Timor

#### 2021 Plastic Waste Exports from the US



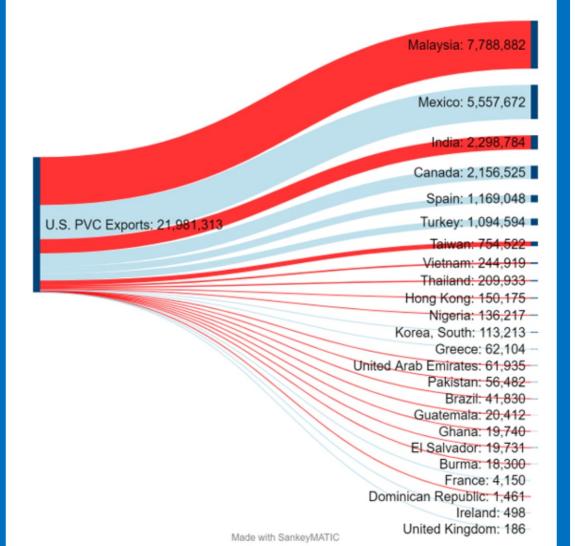
The 369,994,299 kgs, (not exported to Canada) are likely to be ILLEGAL **exports**. That is unless you believe these shipments are unmixed polymers (with one mixture exception) are uncontaminated, not PVC nor exported for incineration.

#### 2021 PVC Waste Exports from the US

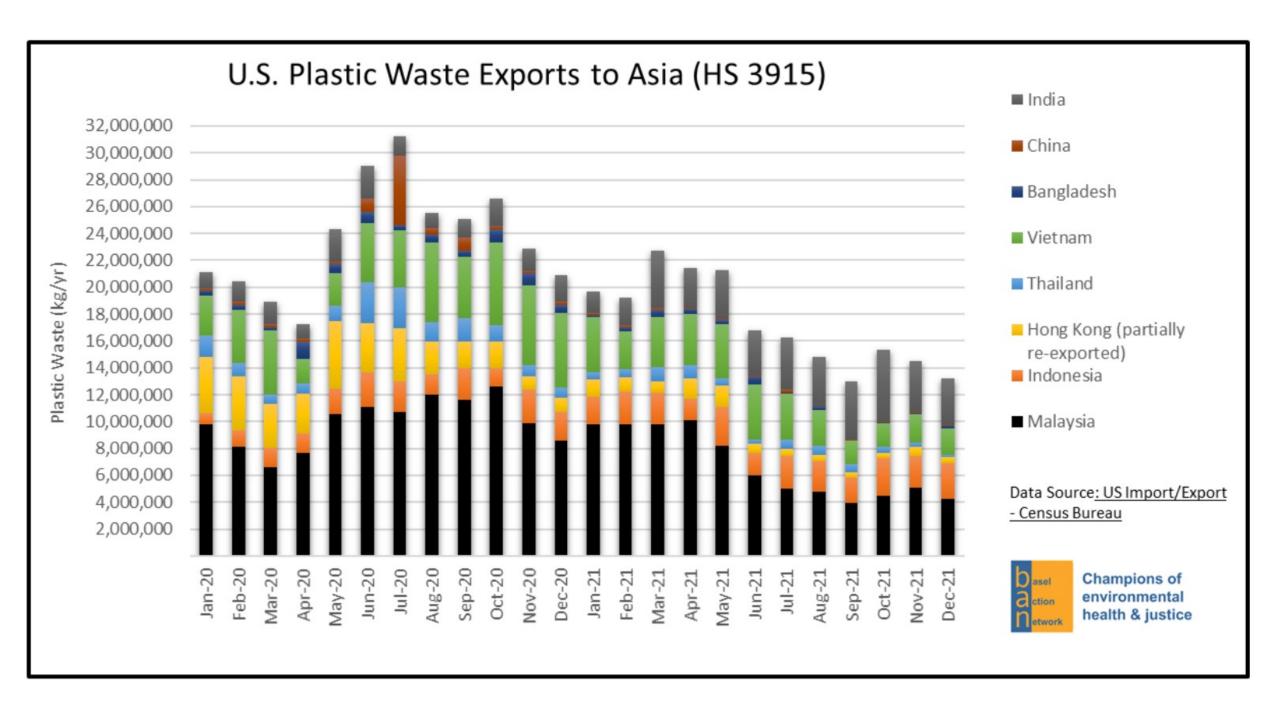
2021 Full Year: U.S. PVC Scrap

Exports in Kilograms Total: 21,981,313 kilograms

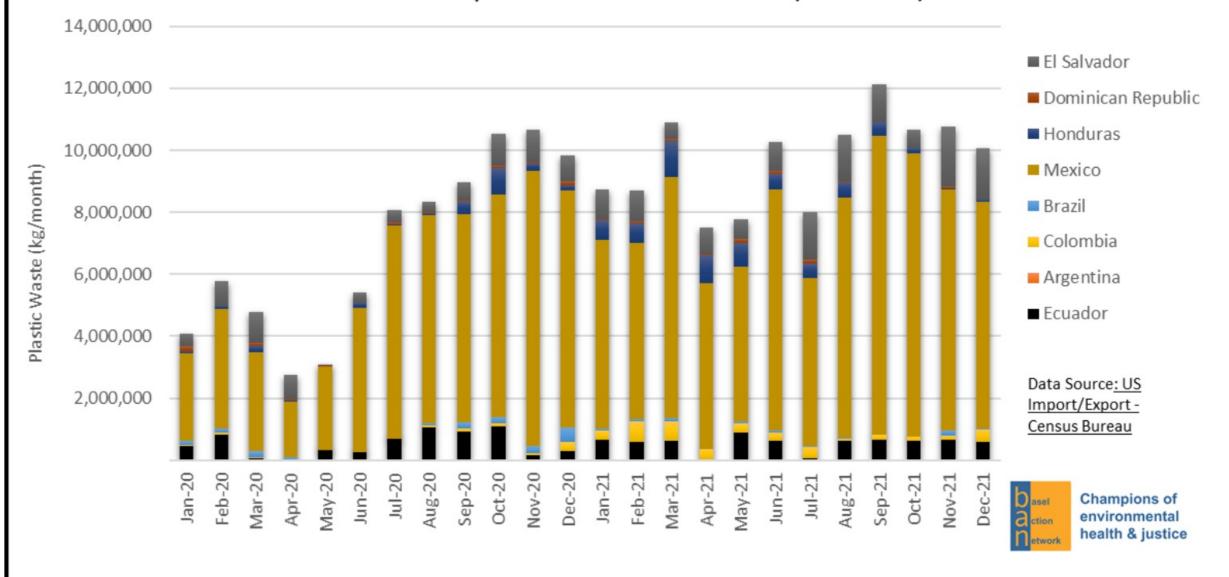
(48,460,499 lbs), 2,067 containers Red = non-OECD Countries Blue = OECD Countries

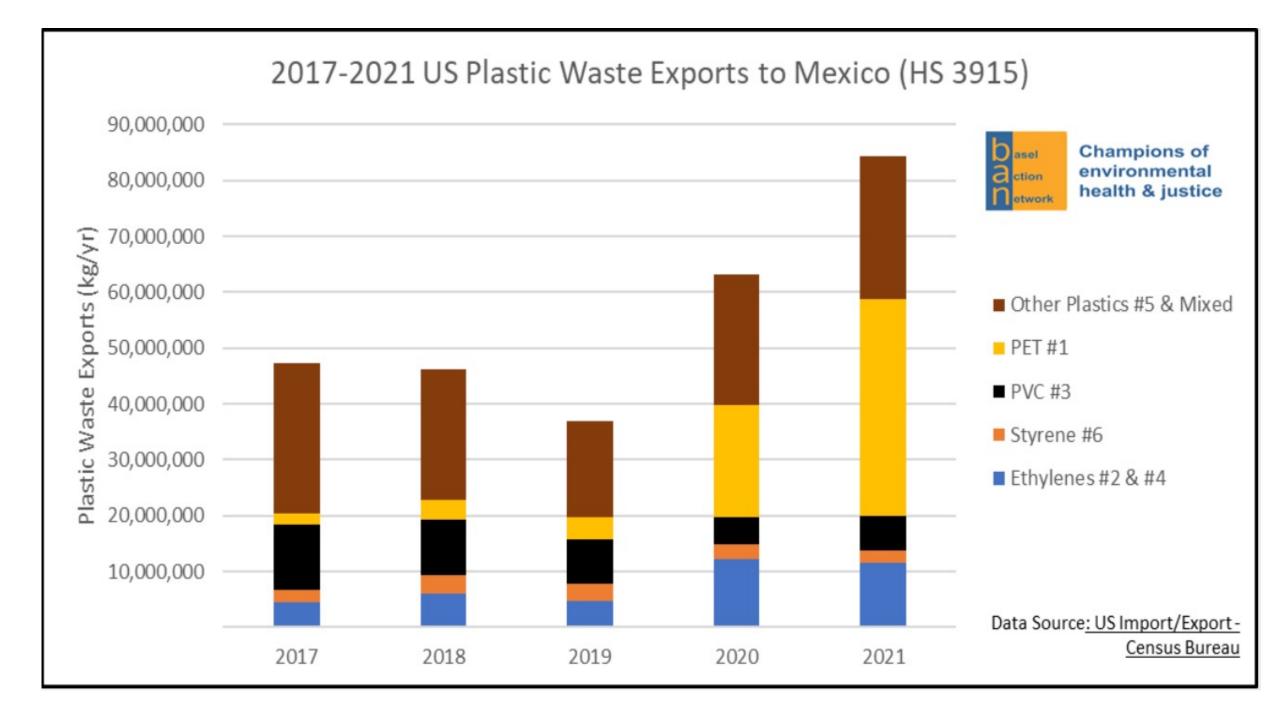


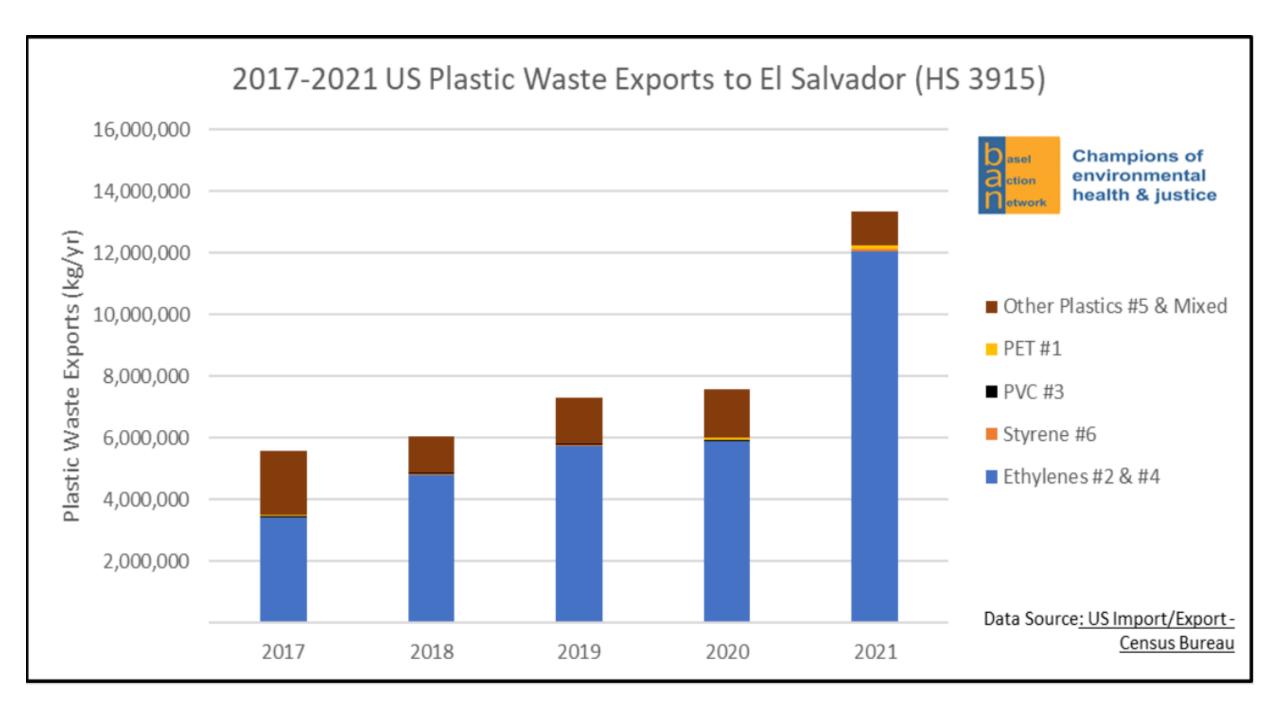
And we know that at least 19,824,788 kgs, exported in 2021 **WAS ILLEGAL**, as it was PVC wastes.

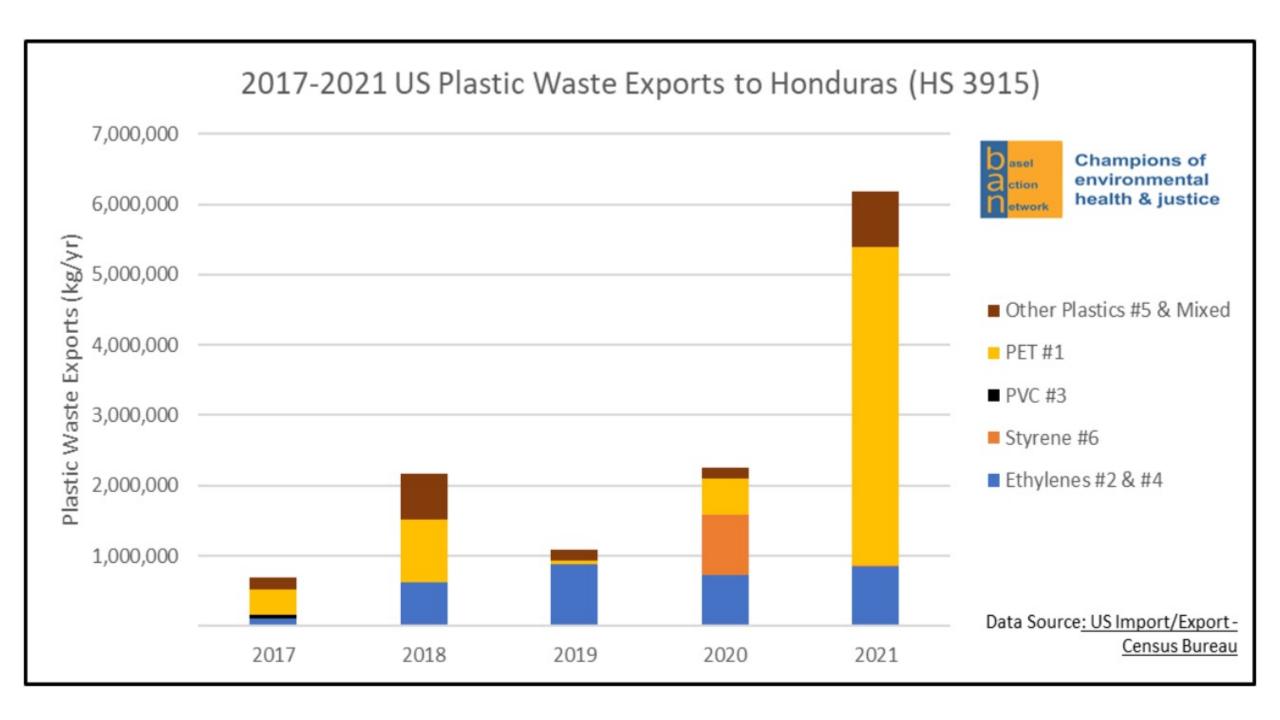


#### U.S. Plastic Waste Exports to Latin America (HS 3915)









# Summary of Plastic Waste Trade from the US in the year 2021

- Overall US exports in plastic waste have decreased by 11% (2020 - 2021)
- But, waste still flows to Basel Parties (369,994 metric tonnes not counting Canada) despite Party to non-Party Ban!
- US Exports to Canada increased from 164 million kg/yr (2020) to 170 (2021).
- Apart from increases to India and Indonesia, we are generally seeing decreases to Asia, yet increased exports to Latin America.

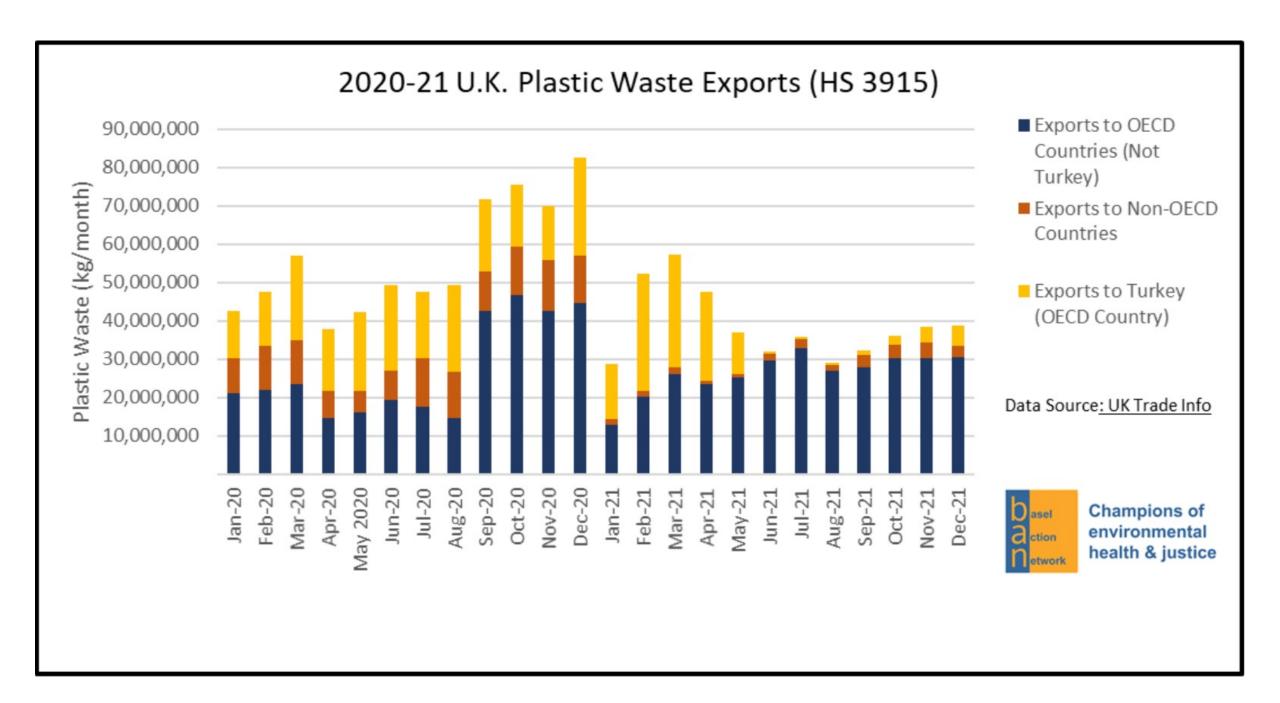


The Plastic
Waste
Amendments:
Examples of
Implementation
Concerns

Trade from the UK and EU

# **UK Plastic Waste in Turkey**







2021 Full Year: United Kingdom Plastic Waste

Exports in Kilograms (HS 3915)

Total: 465,458,941 kilograms (1,026,161,311 lbs),

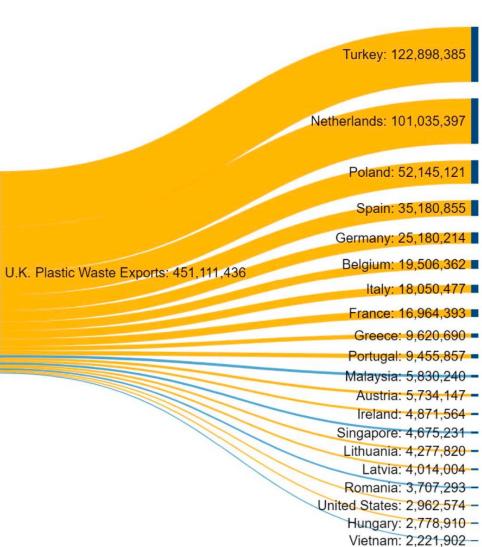
43,771 containers

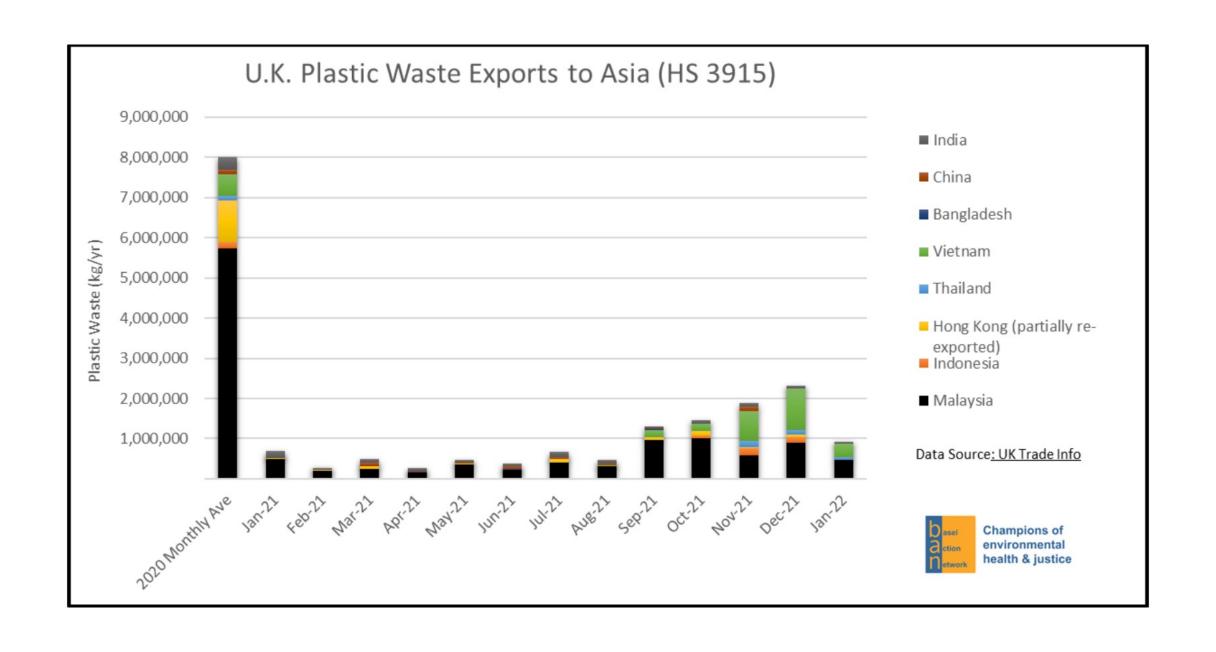
Chart shows top 20 countries the U.K. is

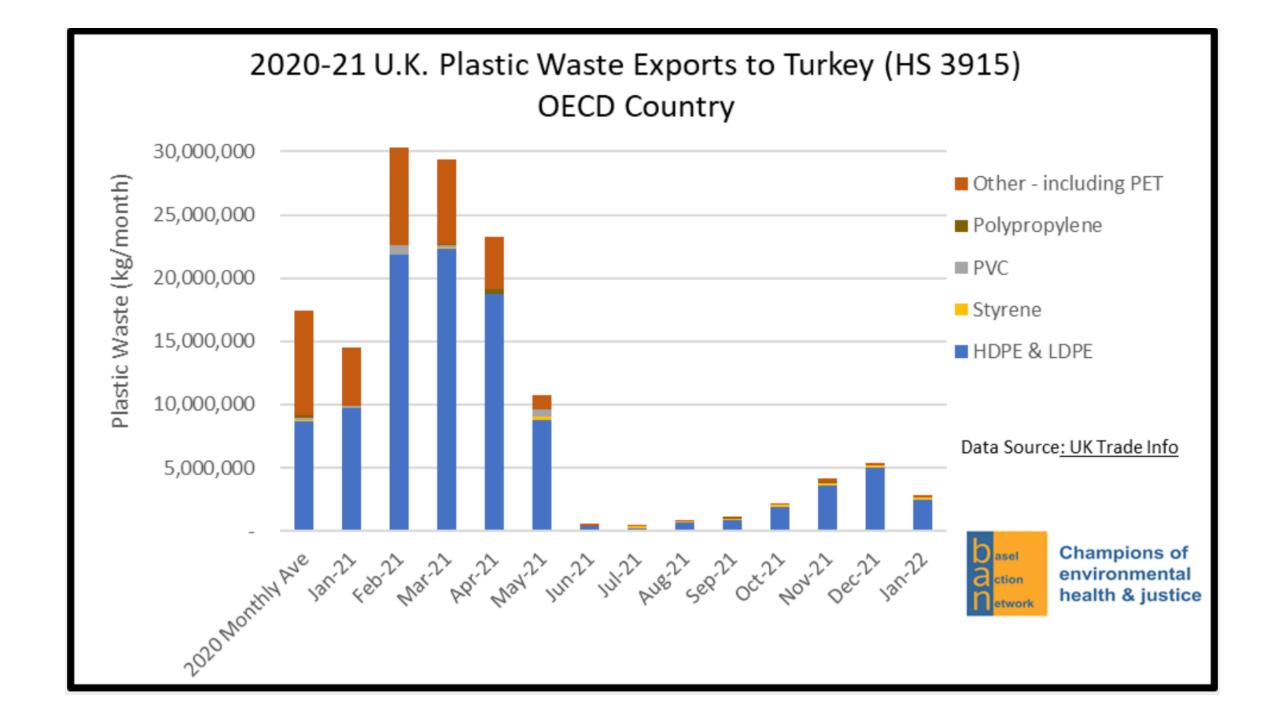
exporting plastic waste to

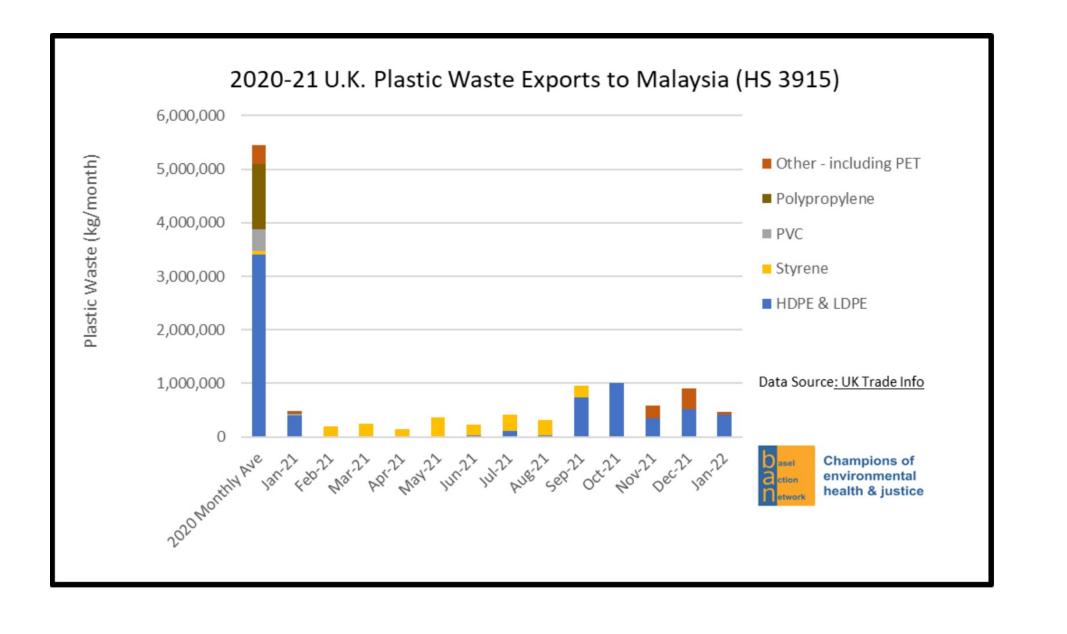
Gold=OECD Country

Blue=Non OECD Country

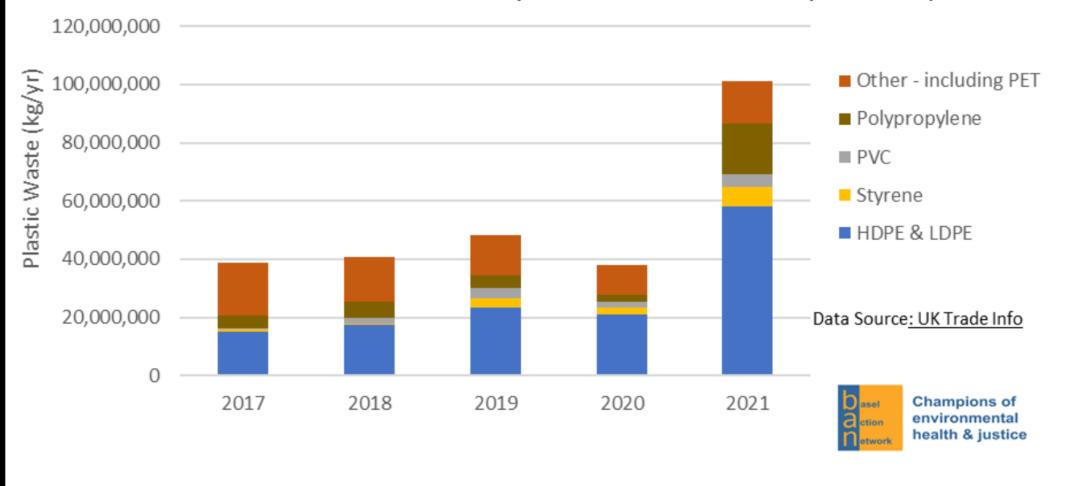


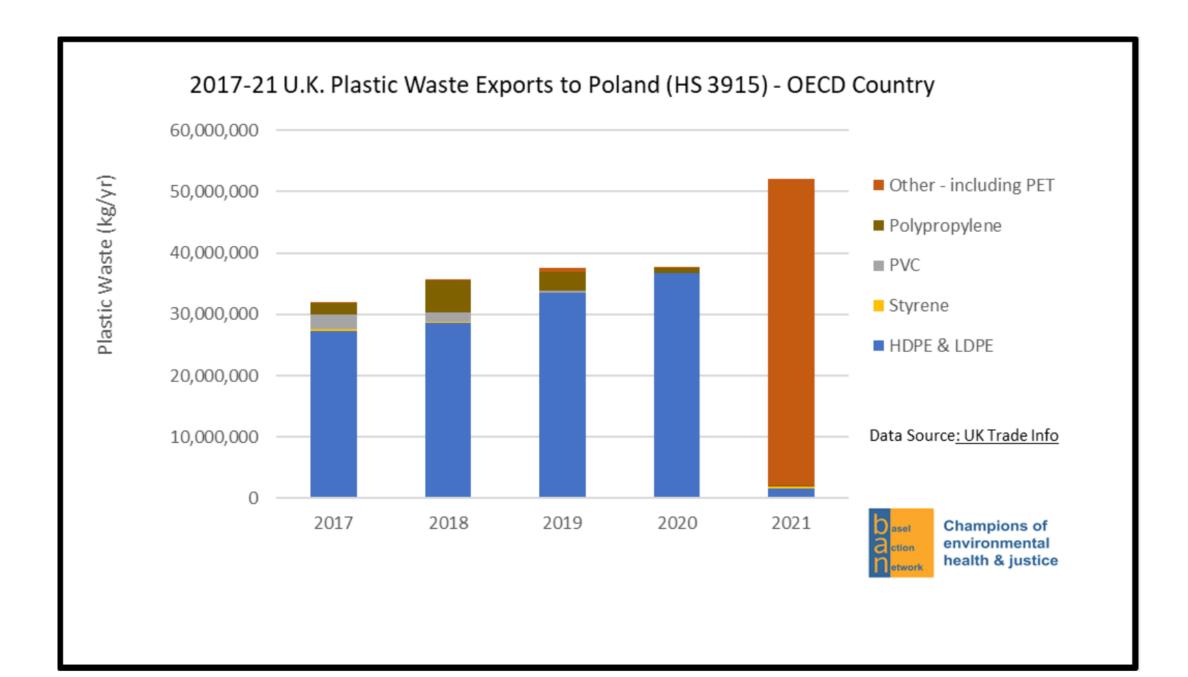






### 2017-21 U.K. Plastic Waste Exports to Netherlands (HS 3915)



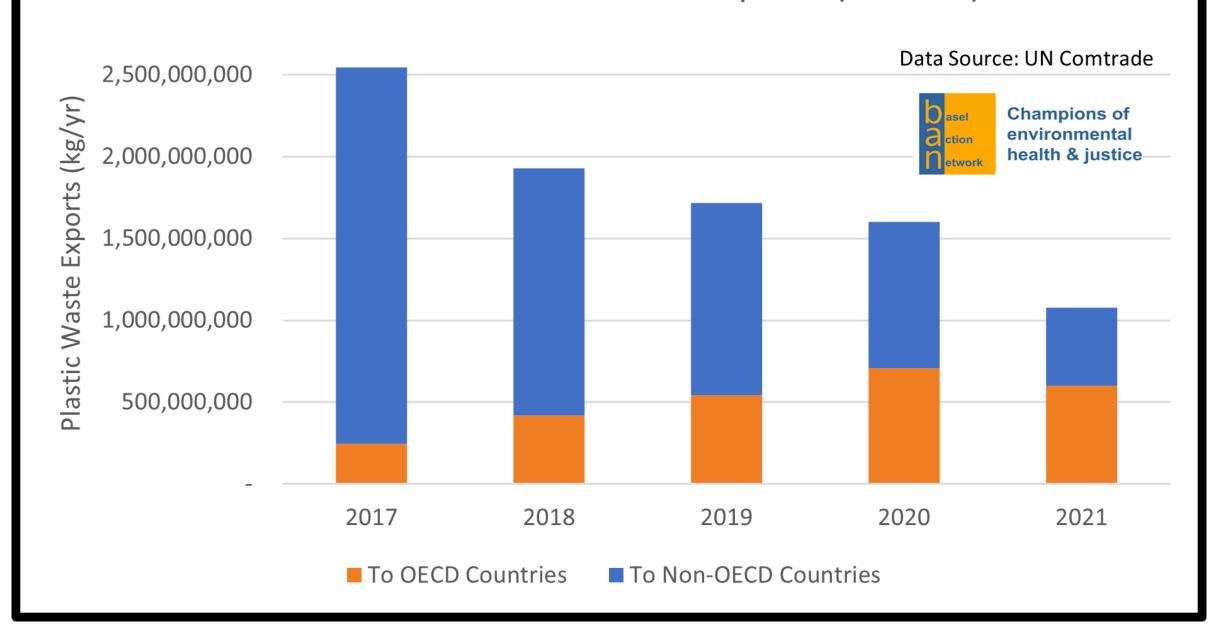


# Summary of Plastic Waste Trade from the UK in the year 2021

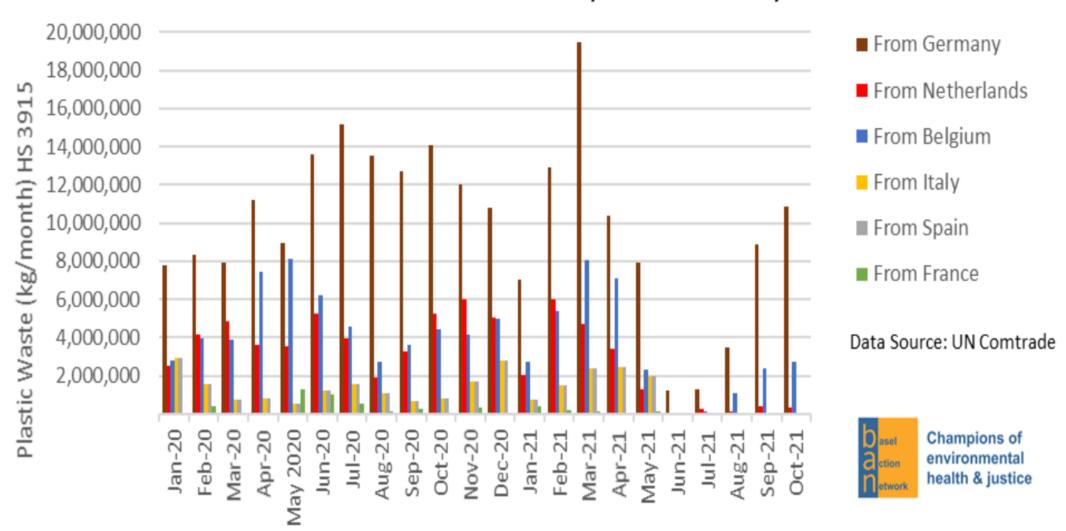
- Overall U.K. exports <u>decreased</u> from 537 million kg (2020) to 467 in (2021).
- Exports to Turkey <u>decreased</u> from 210 million kg (2020) to 123 (2021). <u>But now starting to rise.</u>
- Exports to Malaysia <u>dramatically decreased</u> from to 66 million kg (2020) to 5.83 in (2021).
- Exports to Poland have increased to 53 million kg/yr (2021) from 38 million kg/yr (2020).
- Poland appears to be a UK alternative to Turkey
- Exports to NL increased dramatically -- 101 million kg/yr (2021) from 38 million kg/yr (2020).
- It appears Netherlands is now the transshipment country for UK plastic waste to Asia!



## 2017-2021 EU Plastic Waste Exports (HS3915)

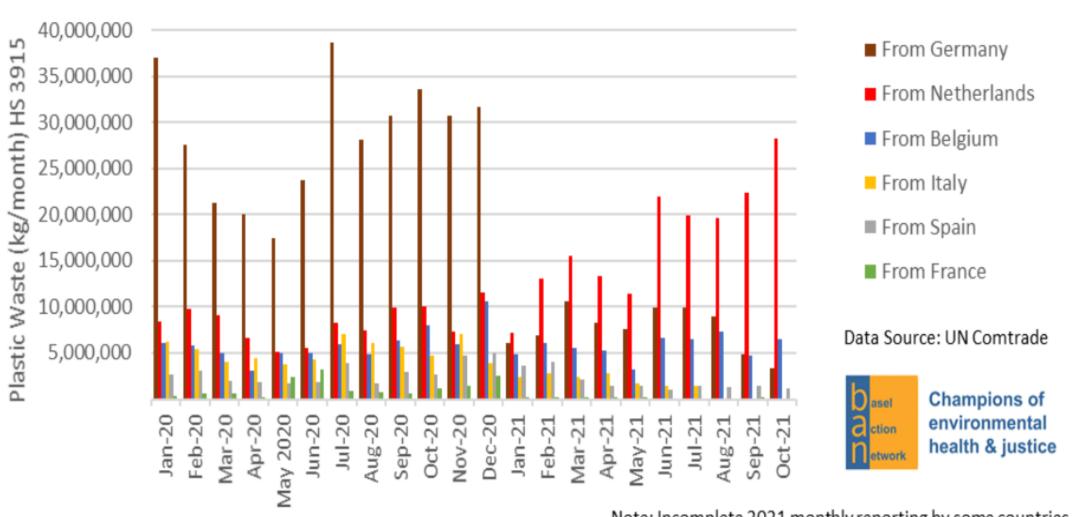


### 2020-21 E.U. Plastic Waste Exports to Turkey



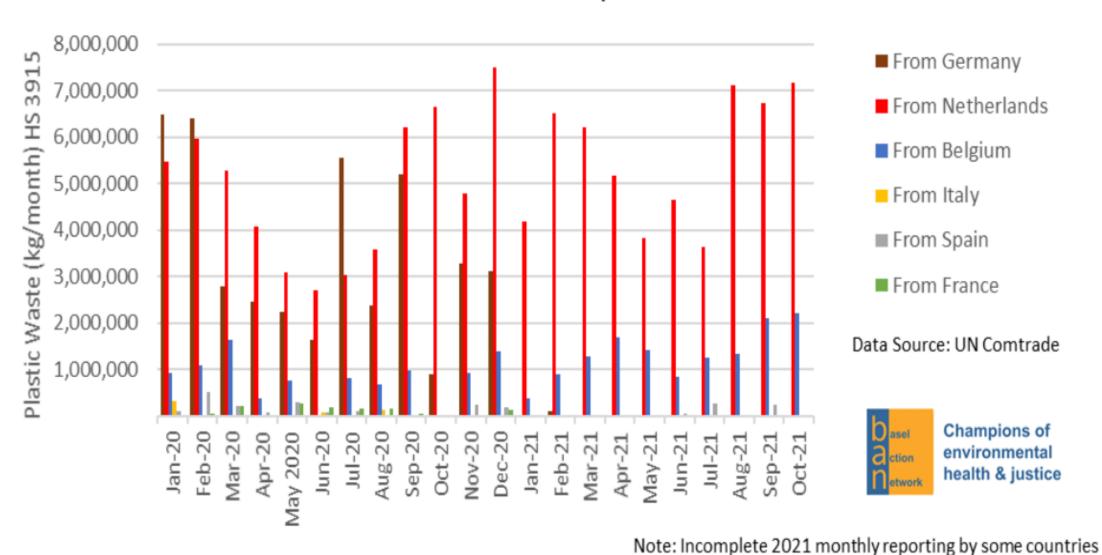
Note: Incomplete 2021 monthly reporting by some countries

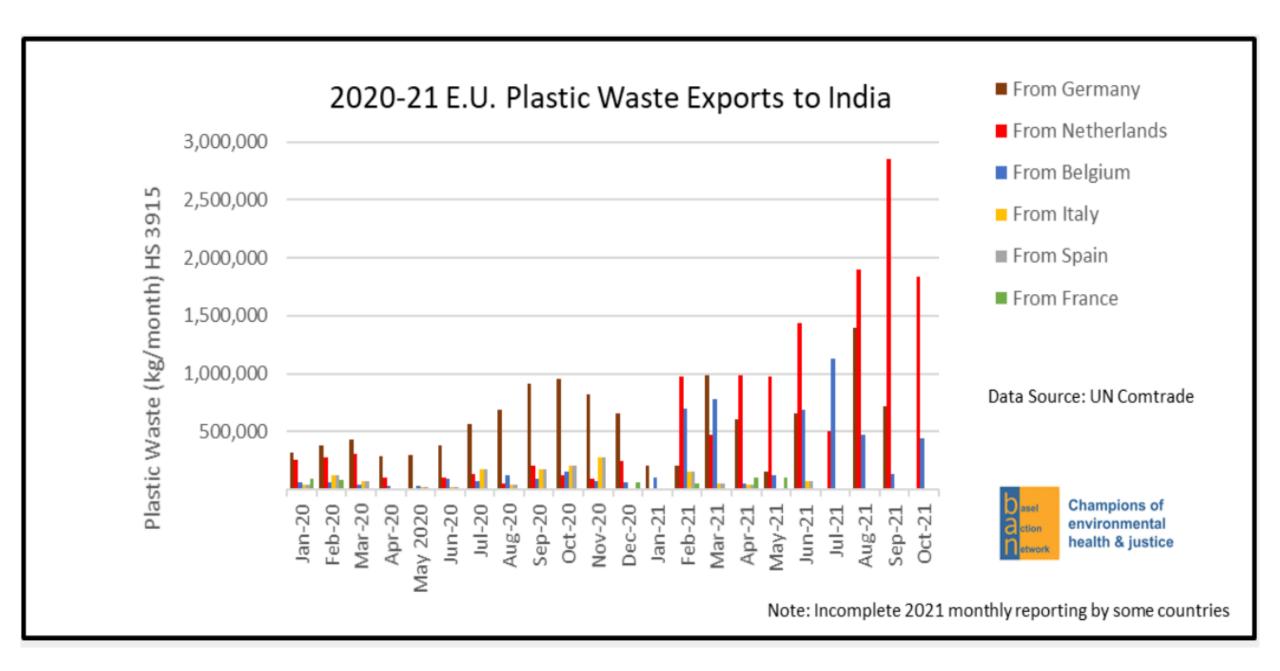
### 2020-21 E.U. Plastic Waste Exports to Non-OECD Countries



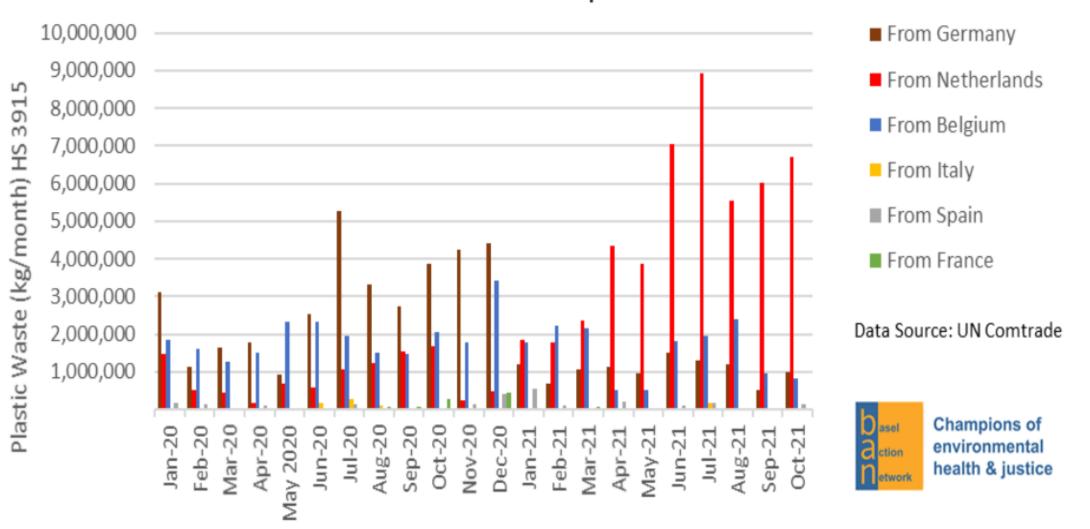
Note: Incomplete 2021 monthly reporting by some countries

### 2020-21 E.U. Plastic Waste Exports to Indonesia



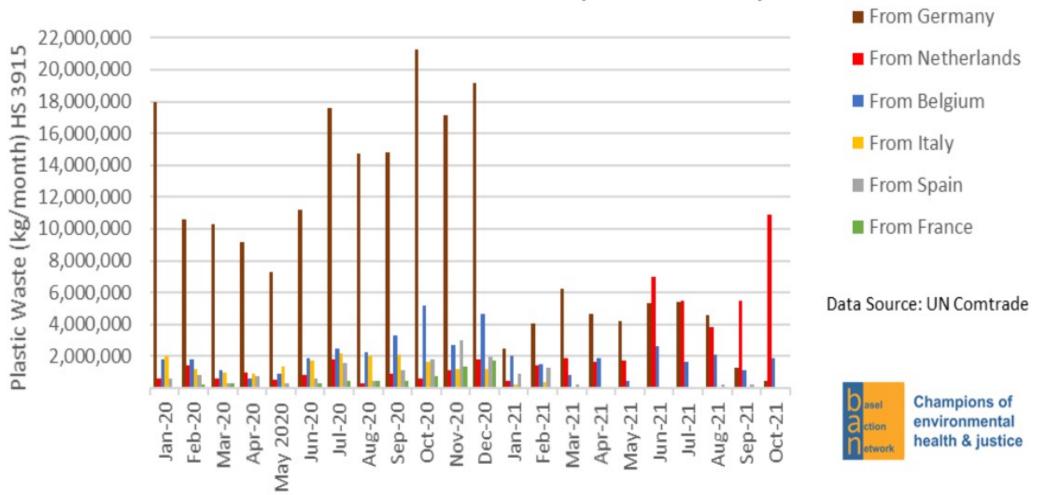


### 2020-21 E.U. Plastic Waste Exports to Vietnam



Note: Incomplete 2021 monthly reporting by some countries



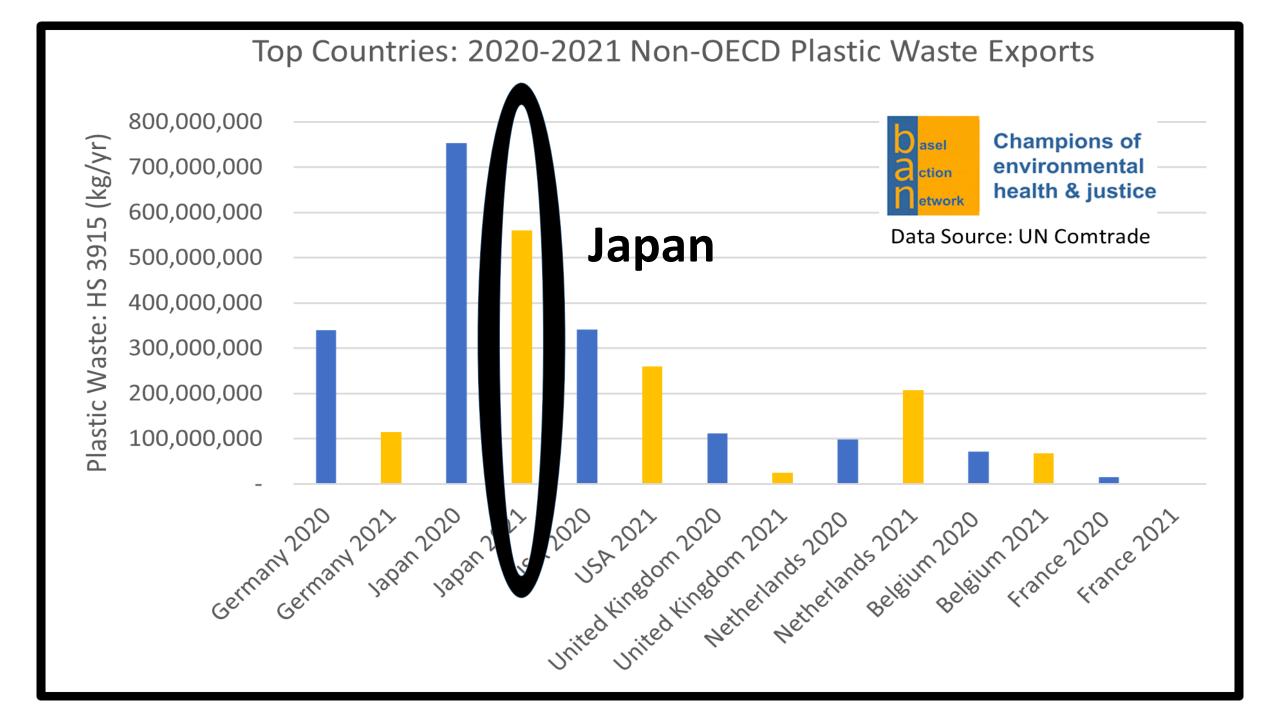


Note: Incomplete 2021 monthly reporting by some countries

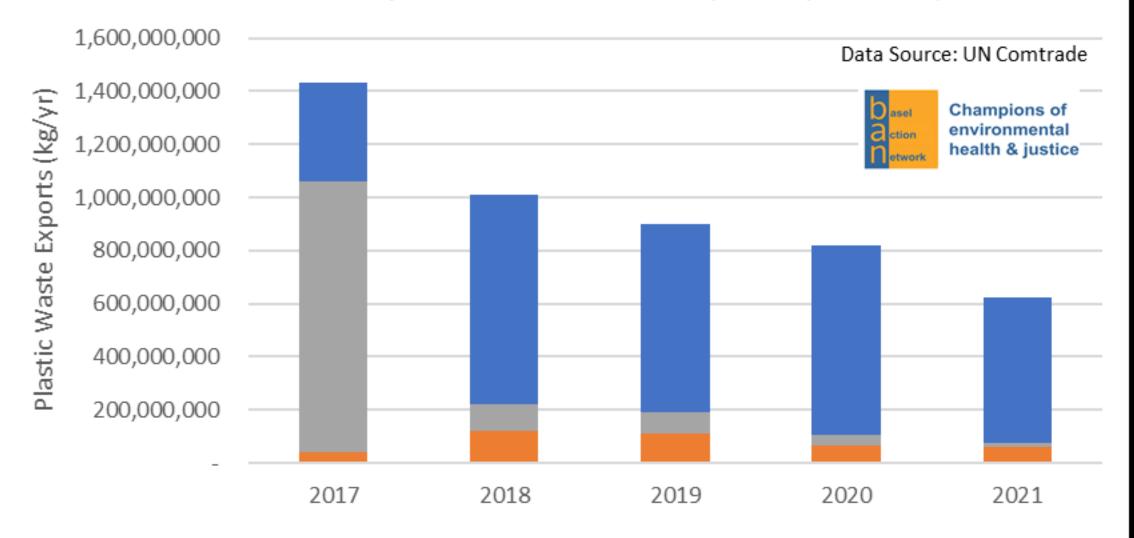
# Summary of Plastic Waste Trade from the EU in the year 2021

- Exports to non-OECD declined after Plastic Amendment entered into force but has been steadily increasing recently.
- Increase to Turkey from 4.5 million kg/month in June 2021 to 27.9 in October 2021. Primarily German Exports as Turkey's BAN was relaxed.
- Netherlands dramatically increased plastic waste exports to Asian non-OECD in 2021, from an average of 8.3 million kg/month in 2020 to 18.2 in August 2021!
- High levels of Dutch exports to: Malaysia (10.9 million kg/month), Indonesia (7.12 million kg/month) and to Vietnam (6.7 million kg/month) in October 2021.





## 2017-2021 Japan Plastic Waste Exports (HS3915)



■ To OECD Countries ■ To China and Hong Long ■ To Non-OECD Countries (Not China or Hong Kong)



2021 Full Year: Japan Plastic Waste Exports in Kilograms (HS 3915)

Total: 623,200,342 kilograms (1,373,921,572 lbs), 58,605 containers

Chart shows top 20 countries Japan is exporting plastic waste to

Gold=OECD Country

Blue=Non OECD Country

Malaysia: 207,215,346

Viet Nam: 158,611,171

Taiwan: 98,089,600

Rep. of Korea: 56,266,686

Japan Plastic Waste Exports: 627,625,555

Thailand: 53,222,363

China: 18,441,644

Hong Kong: 10,462,856 - Philippines: 7,891,780 -

USA: 5,457,845 -

India: 4,583,497 -

South Africa: 2,114,020

Singapore: 1,884,253

Singapore: 1,884,253

Russian Federation: 1,067,939

Saudi Arabia: 658,758

Kenya: 531,032

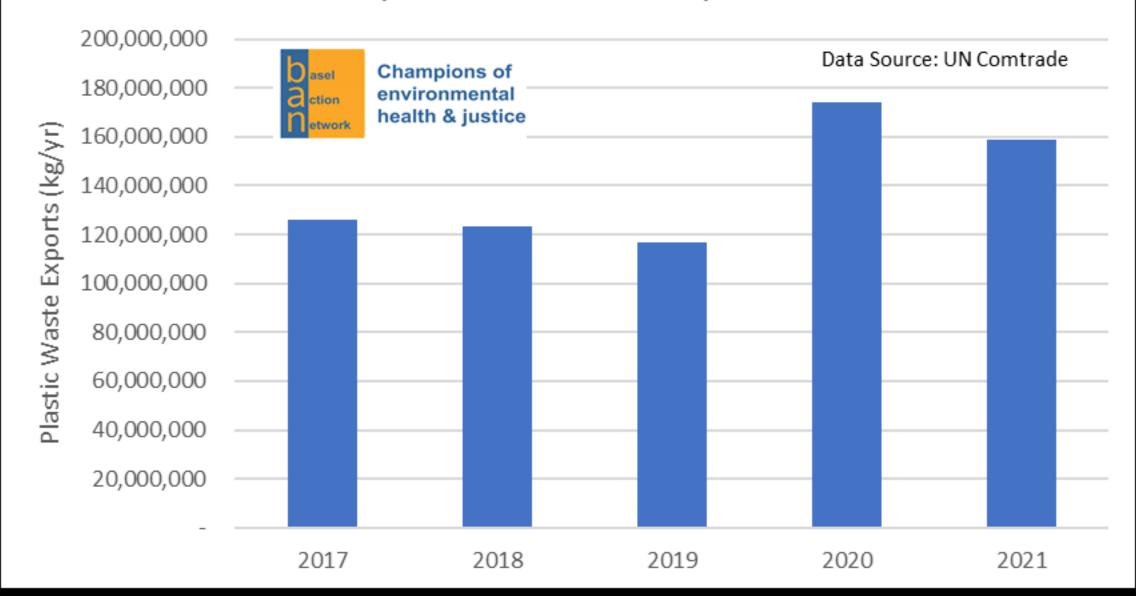
Spain: 377,761

Ukraine: 298,863

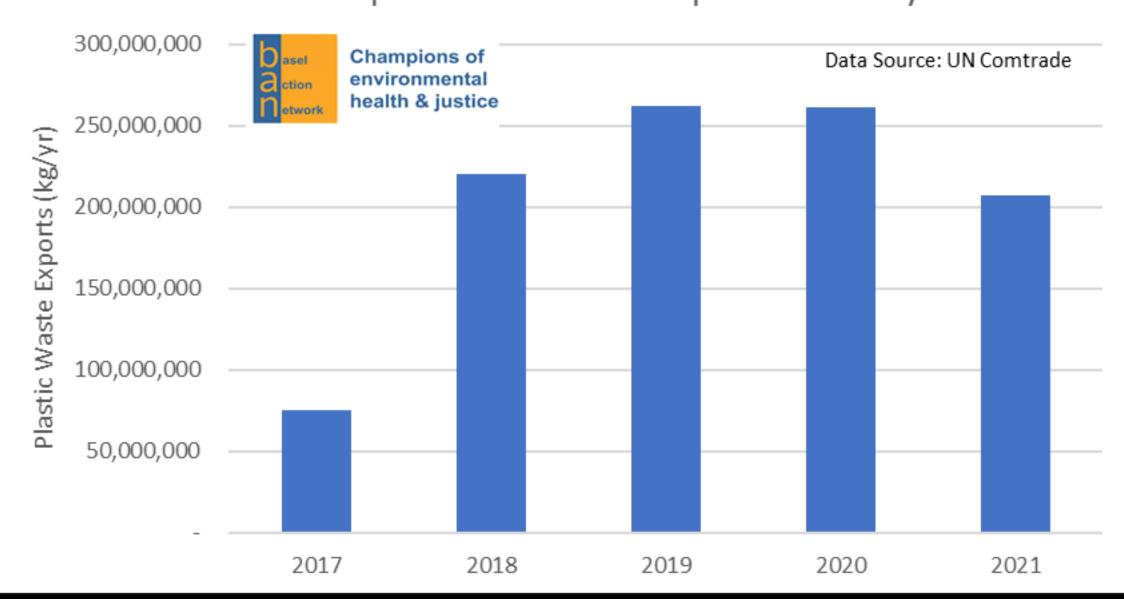
Lao People's Dem. Rep.: 151,330

Mexico: 149,583 Pakistan: 149,228

## 2017-2021 Japan Plastic Waste Exports to Vietnam



## 2017-2021 Japan Plastic Waste Exports to Malaysia



# Summary of Plastic Waste Trade from Japan in the year 2021

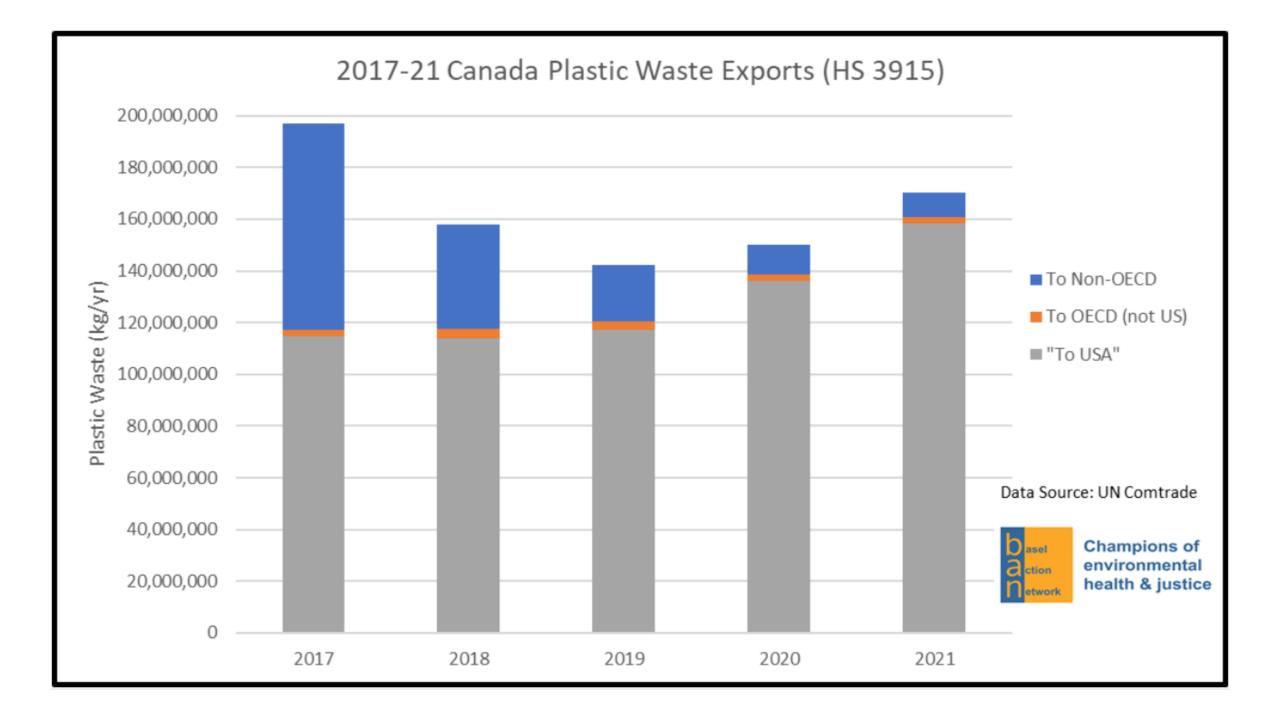
- Overall exports have reduced, not by so much....and...
- Japan continues to lead the world in exports of plastic waste to non-OECD countries. They are world champion plastic waste dumper.

• The leading countries they export to are Malaysia, Vietnam and Taiwan



The Plastic
Waste
Amendments:
Examples of
Implementation
Concerns

Trade from Canada





2021 Full Year: Canadian Plastic Waste Exports

in Kilograms (HS 3915)

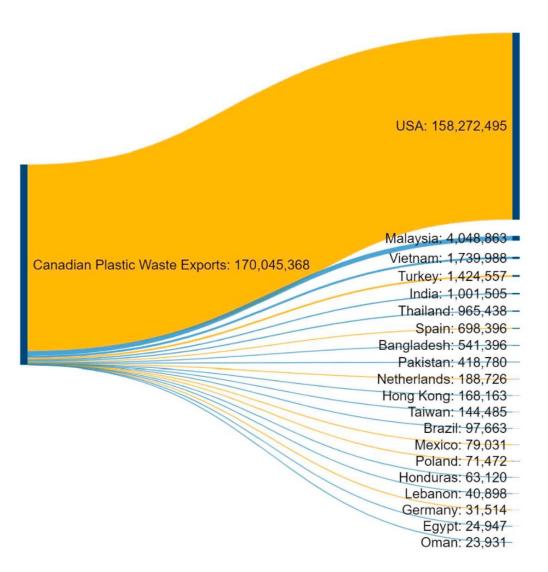
Total: 170,235,616 kilograms (375,305,290 lbs),

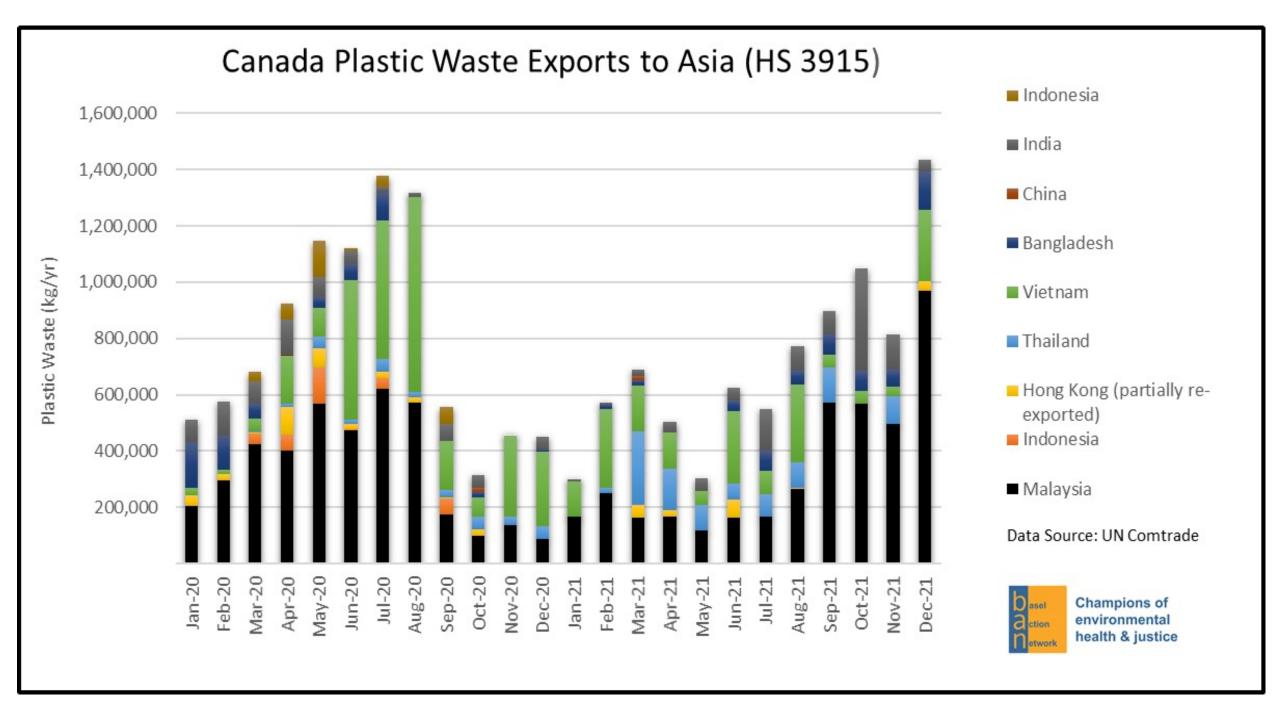
16,009 containers

Chart shows top 20 countries Canada is exporting plastic waste to

Gold=OECD Country

Blue=Non OECD Country







# Summary of Plastic Waste Trade from Canada in the year 2021

- Full Year 2021: One of few countries to actually increased its exports.
- Increases to Asia
- Increases to USA, <u>creating a concern that</u> <u>Canadian waste brokers may be using the</u> <u>US</u> as a non-Basel transshipment country.
- Also, apart from HS3915, ecent Radio
   Canada and CBC reporting reveals Exports
   of as much as 25% plastic waste mixed
   into bales of paper waste reported.
- This should type of export should be considered Y48 plastic waste subject to Basel control.



The Plastic
Waste
Amendments:
Some Examples
of Poor
Implementation

**Trade from Australia** 



## Indonesia: a case study in Australian 'export model of waste recycling'















When the story of plastic waste contaminating the Indonesian food chain made front page of the New York Times, Indonesia, Malaysia and the Philippines started rejecting Australian waste shipments.

The New Hork Times

To Make This Tofu, Start by Burning Toxic Plastic



Indonesia sends rubbish back to
Australia and says it's too contaminated
to recycle

Indonesian officials say containers of paper contaminated by

Indonesian officials say containers of paper contaminated by electronic waste, used cans and plastic bottles



#### Malaysia sends our rubbish back

Malaysia will "immediately" ship back to Australia two containers of maggot-infested waste.

#### Manila objects to waste dumping

The Philippines has accused Australia of using it as a "dumping ground".

## The Australian government reacted and was applauded for announcing a waste export ban and pumping billions into domestic recycling

#### Joint media release: World-first ban on waste plastic exports

1 July 2021

The Hon Sussan Ley MP, Minister for the Environment

The Hon Trevor Evans MP, Assistant Minister for Waste Reduction and Environmental Management



## But it turned out the plan was to export "refuse derived fuel" (RDF)

• RDF and Process Engineered Fuel (PEF) are shredded plastics, paper, timber etc. compressed for burning in cement kilns and incinerators.

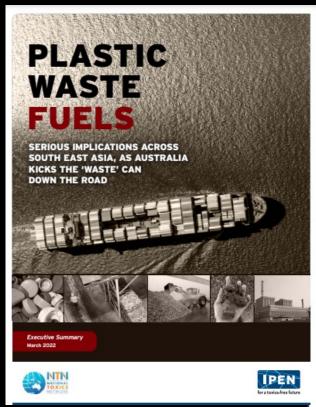
Australia is allowing these to be exported from as 'product' (i.e. fuel) and not waste, in this way they avoid the restrictions of the Basel Convention

 Australia produces more than 250,000 tonnes annually.





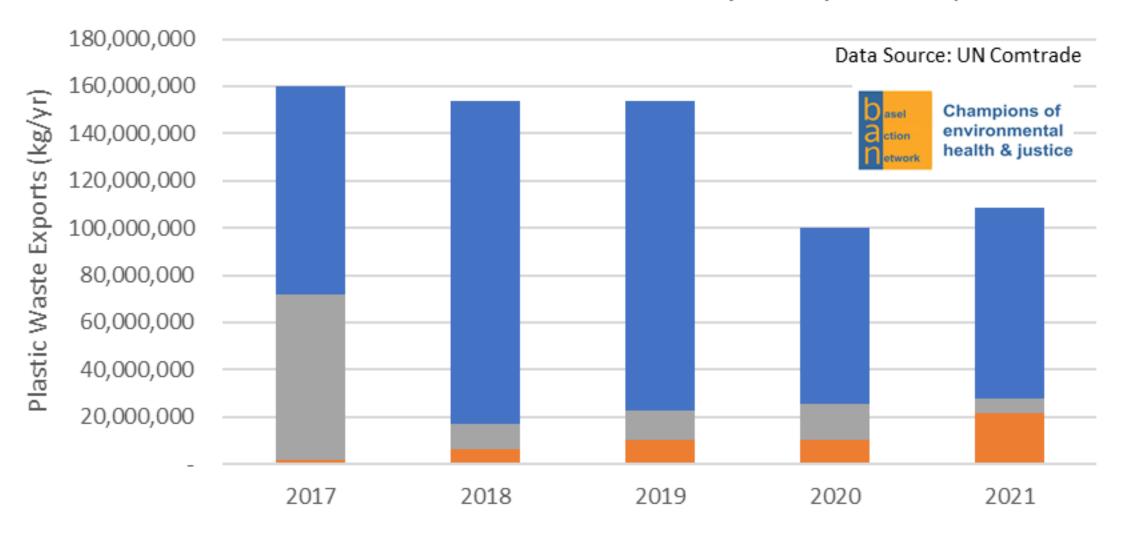
- Refuse Derived Fuels should be classified as 'waste shipments' not products.
- They should be assigned an HS code so there is trade transparency.
- RDF must eventually be prohibited as an environmentally unsound practice with toxic emissions and high carbon footprint.



Further information: www.ipen.org

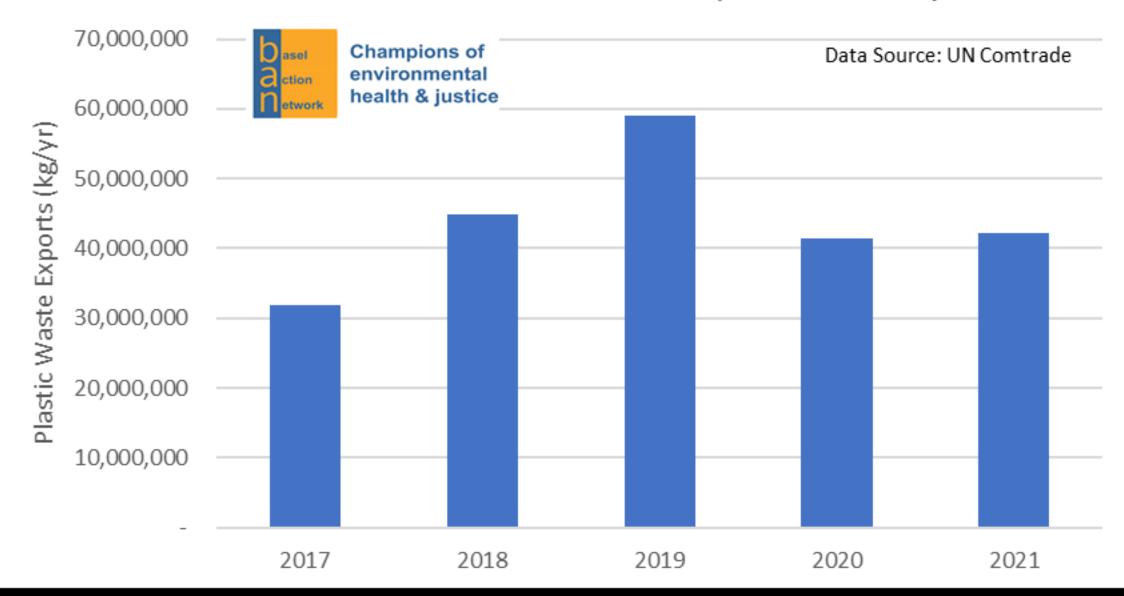


#### 2017-2021 Australia Plastic Waste Exports (HS3915)

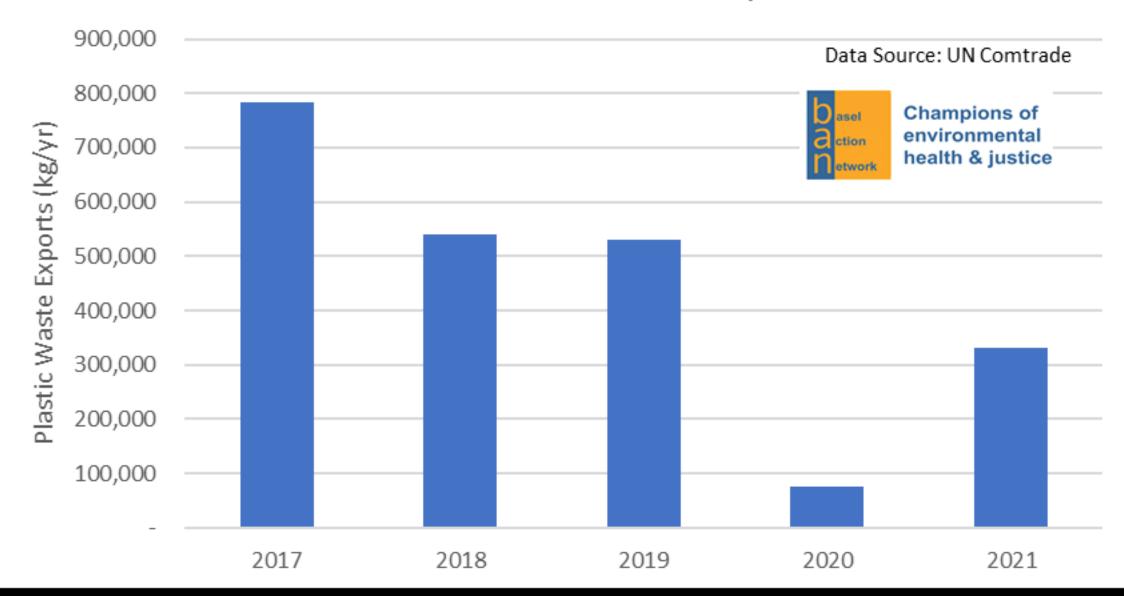


■ To OECD Countries ■ To China and Hong Long ■ To Non-OECD Countries (Not China or Hong Kong)

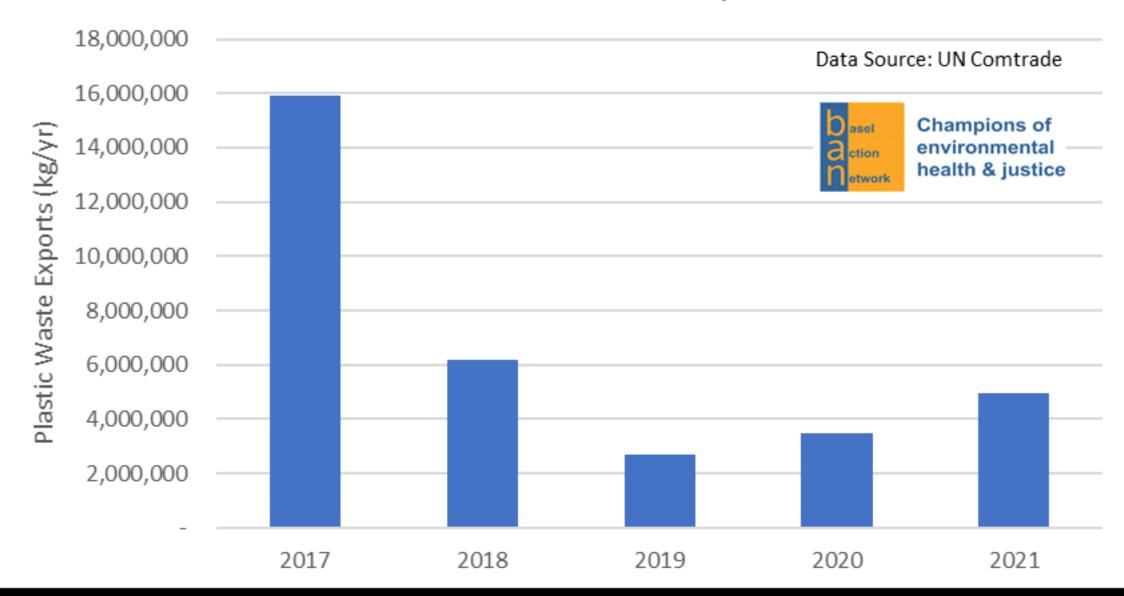
#### 2017-2021 Australia Plastic Waste Exports to Malaysia



#### 2017-2021 Australia Plastic Waste Exports to India



#### 2017-2021 Australia Plastic Waste Exports to Vietnam



# Summary of Plastic Waste Trade from Australia in the year 2021

- Australia is another country that actually <u>increased</u> its exports in 2021 from 2020.
- Increased destinations included <u>India</u>, <u>Vietnam and Malaysia</u>.
- And this was in the context of announcing a <u>national Ban on Plastic</u> <u>Waste Exports on July 2021!</u>
- Another frightening development is a unilateral determination by Australia to Consider RDF (refuse derived fuel) as a non-waste. Basel never agreed to this!

# We Encourage the Following Actions:

- 1. All OECD Countries must strictly enforce against uncontrolled exports of Y48.
- 2. All countries should establish low Contamination Levels (e.g. .5%)
- 3. All countries must strictly enforce against illegal party to non-Party trade with the US.
- 4. Countries should enforce against Hidden Plastic Trade (e.g. RDF, plastics in paper, polyester in textile waste, plastics in electronic waste, auto fluff etc.)



## The Russian Federation Amendment

To amend Article 6

Proposal: COP 15, June 2022

#### Russian Federation Proposal:

Paragraph 2 of Article 6 should read as follows:

"The State of import shall respond to the notifier in writing within 30 days, consenting to the movement with or without conditions or denying permission for the movement or requesting additional information. A copy of the final response of the State of import shall be sent to the competent authorities of the States concerned which are Parties."

#### **Pros**

• Requires a time frame for more rapid implementation of the PIC regime.

#### Cons

- Fails to stipulate what happens if there is no response from the importing country after 30 days.
- Time frame does not correspond to the Convention's 60 day requirement for transit states to respond.
- Could take years for this to go into force as it will need 141 ratifications.

# We Encourage the Following Actions:

- 1. Support the Russian Federation Proposal.
- 2. Support a new Guidance Document on Recommended norms for efficient and timely Implementation of the PIC procedure.
- 3. Support moving as soon as possible to an electronic system of PIC implementation which includes automatic reminders and warnings over overdue responses.
- 4. Empower the Secretariat to report overdue responses on the BRS website.



## EU Amendment for a New Annex IV

Proposal: COP 15, June 2022

#### **Pros**

- Very well considered re-organization of Annex IV.
- Includes for the first time, "releases to the atmosphere"
- Specifically categorizes pre-treatment operations
- Includes "catch-alls" (safety nets) for each section to ensure that the Convention closes unforeseen loopholes.
- Includes a new listing (R20 "Preparation for Reuse") which is vitally important to close "repair loopholes"

### Why R20 "Preparation for Reuse" and closing the "repair loophole" is essential

- 1. Exports for repair almost always include recycling or final disposal:
  - Repairs involve replacement and thus disposal of parts.
  - Market conditions can easily and suddenly make repair uneconomic.
  - Fraudulent claims of repair with no intent to do so.
- 2. Original Intent / the title of Annex IVB includes "direct-reuse", and "alternative use"
- 3. The Glossary of Terms clearly states that "Repair is an operation that can be applied to both waste and non-waste."
- 4. Further, the glossary defines possibilities for waste to cease to be waste. One of these possibilities is listed as: "It has been prepared for reuse."

### Why R20 "Preparation for Reuse" and closing the "repair loophole" is essential

- 5. Without this, a large loophole for unscrupulous trading is created.

  Until something has been repaired so that it is fully functional and readied for re-use, it needs to be considered as a waste.
- 6. <u>Loopholes in the Convention do not enhance Circularity but defeat it.</u>

  The circular economy cannot exist in a landscape riddled with opportunity for externalities.
- 7. Harms Legitimate Recyclers with Unfair Export Advantage. When a loophole is created to allow some to circumvent the Convention's rules, legitimate recyclers suffer an unfair competitive advantage.

### Why R20 "Preparation for Reuse" and closing the "repair loophole" is essential

- 8. Finally, the view to consider all non-functional electronic equipment as waste is consistent with the Viewpoint of the Bamako Convention, which in Decision 3/9 stated in paragraph 3:
- 3. To call upon parties and other African States that have not yet done so to legally consider all non-functional or untested, used electronic equipment as hazardous waste and to prevent the import into Africa of such equipment, and to consider the addition to annex I of all non-functional electronic equipment, bearing in mind the procedures to be followed under article 18, to ensure that traders do not make the African continent a target for foreign plastic waste;

#### Cons

- R21 Recycling of organic substances (e.g. physical/mechanical treatment, chemical treatment)
  - conflates Mechanical recycling with Chemical Recycling. This is a bad idea. They should be listed separately.

### Why Organic material recycling should be divided into Mechanical and Chemical Recycling

- 1. The discussion at COP19 which resulted in R3 (R21 in EU) being used to confine the allowed destinations for B3011 (non-hazardous) plastics was mean to be all about mechanical recycling. It is not appropriate to enlarge the intended exemption to include the unproven, climate damaging and toxic -- chemical recycling.
- 2. "Chemical Recycling" is as different to "mechanical recycling" as night and day. Chemical recycling changes the polymer molecule entirely, and is often used to create fuels leading to negative climate impacts rather than cleaning and refining the existing polymer.

# We Encourage the Following Actions:

- 1. Adopt the EU's proposed EU Annex IV with the one change indicated below.
- 2. Revise R21, and create a new R21 (bis) as follows:

R21 Physical/mechanical recycling of organic substances (e.g. shredding, pelletizing and remelting)

R21 (bis) Chemical Recycling of organic substances by changing chemical compound (e.g. pyrolysis, gasification, solvolysis)



## Swiss-Ghanaian e-Waste Amendment

To amend Article 6

Proposal: COP 15, June 2022

#### **Proposal for a New Entry Y49**

Y49 Waste electrical and electronic equipment, including scrap thereof

- -- without a component containing Annex I constituents to an extent that it exhibits an Annex III characteristic (e.g. with glass from cathode ray tubes or a battery included on list A, a mercury switch, a fluorescent tube containing mercury, a capacitor containing PCBs, a component containing asbestos) and without a component (e.g. a circuit board, a plastic component containing a brominated flame retardant) containing Annex I constituents to an extent that the waste exhibits an Annex III characteristic; or
- -- not containing or contaminated with Annex I constituents to an extent that the waste exhibits an Annex III characteristic; or

waste components of electrical and electronic equipment, including scrap thereof, not containing or contaminated with Annex I constituents to an extent that the waste exhibits an Annex III characteristic (note the related entry on list A A1180)<sup>1</sup>

<sup>&</sup>lt;sup>1</sup> PCBs or PBBs are at a concentration level of less than 50 mg/kg in equipment including scrap thereof or in a component.

#### **Pros**

- Controls more e-waste exports which have a propensity and track records of causing harm in developing countries.
- Avoids having to go through expensive testing to prove something is non-hazardous before one can exercise control on e-Waste.
- Prevents massive dumping of electronic equipment in future when it is expected electronic waste will be less likely to be considered hazardous, but like household and plastic wastes, still an environmental problem particularly when not processed in an environmentally sound manner.

#### Cons

• Fails to address the most fundamental e-Waste problem remaining – which is controlling exports for hazardous, non-functional electronic equipment shipped for alleged or actual "Repair" which can not be 100% repaired.

• Fails to ensure that fractions that have been separated and cleaned and are currently found on Annex IX, that are derived from e-waste are allowed to be freely traded.

We Encourage the Following Actions:

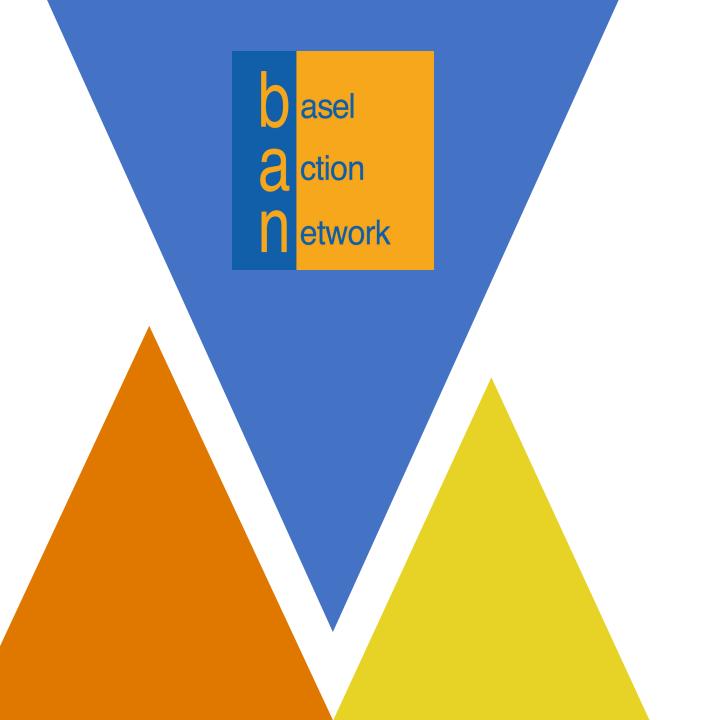
#### Change (add new paragraph):

Non-hazardous waste fractions derived from waste electrical and electronic equipment or their components following initial dismantling or separation, which are listed in another Annex IX entry other than B1110 or B4030, e.g. B3011, or B1010, are excluded from this listing.

#### Thank You!



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