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*Technical expert workshop on indicators for chemicals  
and waste beyond 2020*

*3-5 September 2019, WYNG Gardens Trinity Hall, Cambridge, UK*

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# Background Document: SAICM Background Information

The below information and documents are suggested reading relating to the Strategic Approach to International Chemicals Management (SAICM) and will serve as background material for the workshop. This document has been prepared by the SAICM secretariat.

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# Current Strategic Objectives and Targets as Deliberated at OEWG3<sup>1</sup>

*Targets to support the attainment of each strategic objective are described below*

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**Strategic objective A:** **[Measures are identified, implemented and enforced in order to prevent or, where not feasible, minimize harm from chemicals throughout their life cycle [and waste]]**

**Considerations:** Intended to address the need for all countries to have basic capacity, legal frameworks and institutional mechanisms to manage chemicals and waste, including illegal trafficking thereof, and for other stakeholders, such as industry, to also assume their responsibilities to prevent harm from chemicals throughout their life cycle.

**Target A.1:** Countries adopt, implement and enforce legal frameworks that address risk prevention and the reduction of adverse impacts from chemicals throughout their life cycle and waste.

**Target A.2:** Countries have sufficient capacity to address chemicals and waste issues nationally, including appropriate inter-agency coordination and stakeholder participation mechanisms, such as national action plans.

**Target A.3:** Countries are implementing the chemicals and waste-related multilateral environmental agreements, as well as health, labour and other relevant conventions, and voluntary mechanisms such as the Globally Harmonized System of Classification and Labelling of Chemicals.

**Target A.4:** Stakeholders have incorporated the sound management of chemicals throughout their life cycle and waste into their planning, policies and practices, thereby supporting the development and implementation of chemicals management systems and other sector-appropriate mechanisms.

**Target A.5:** Governments and industry ensure that workers are protected from the risks associated with chemicals and waste and that workers have the means to protect themselves.

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**Strategic objective B:** **Comprehensive and sufficient knowledge, data and information are generated, available and accessible to all to enable informed decisions and actions**

**Considerations:** Intended to address the need for new information and data to be generated to address gaps and for greater transparency and accessibility, as well as to address the need for training and education to protect all levels of society.

**Target B.1:** Comprehensive data and information for chemicals on the market are available and accessible, including information and data on properties, health and environmental effects, uses, hazard- and risk-assessment results and risk-management measures, monitoring results and regulatory status throughout their life cycle.

**Target B.2:** All stakeholders, in particular industries and regulators, have and are using the most appropriate and standardized tools, guidelines and best practices for assessments

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<sup>1</sup> Third meeting of the Open-ended Working Group (OEWG-3) - Montevideo, Uruguay, 2-4 April 2019:  
<http://saicm.org/About/OEWG/OEWG3/tabid/5984/language/en-US/Default.aspx>

and sound management, as well as for the prevention of harm, risk reduction, monitoring and enforcement.

- Target B.3:** Information and standardized methods are available and used to understand the impacts of chemicals and waste for improved burden-of-disease and cost-of-inaction estimates, to inform the advancement of chemical safety measures and to measure progress towards reducing those impacts.
- Target B.4:** Educational, training and public awareness programmes on chemical safety and sustainability have been developed and implemented, including for vulnerable populations, along with worker safety curricula and programmes at all levels.
- Target B.5:** Countries and stakeholders are implementing training on environmentally sound and safer alternatives, as well as on substitutions and the use of safer alternatives, such as agroecology.
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**Strategic objective C:** **Issues of concern [that warrant [global] [and] [joint] action] are identified, prioritized and addressed;**

**Considerations:** Intended to cover the need to effectively identify, select and address issues of concern that warrant global action. The intention is to cover topics similar in nature to those covered by the Strategic Approach, emerging policy issues and other issues of concern, as well as topics such as managing specific chemicals, the burden of disease and financing. There may be a need to develop and identify the criteria for issues of concern.

- Target C.1:** Programmes of work including timelines are established, adopted and implemented for identified issues of concern.
- Target C.2:** Information on the properties and risk management of chemicals across the supply chain and the chemical contents of products is available to all to enable informed decisions.
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**Strategic objective D:** **Benefits to human health and the environment are maximized and risks are prevented or, where not feasible, minimized through safer alternatives, innovative and sustainable solutions and forward thinking**

**Considerations:** Intended to cover the ongoing need for innovative thinking and solutions to address current and future aspects of managing chemicals and waste, such as life-cycle management, the circular economy, green and sustainable chemistry, safer alternatives, better recycling technologies and resource efficiency.

- Target D.1:** Companies adopt corporate policies and practices that promote resource efficiency and that incorporate the development, production and use of sustainable and safer alternatives, including new technologies and non-chemical alternatives.
- Target D.2:** Governments implement policies that promote innovation to facilitate the recycling and re-use of products, the adoption of sustainable and safe alternatives, including new technologies and non-chemical alternatives (e.g., the prioritized licensing of reduced-risk alternatives, assessment frameworks, labelling schemes and purchasing policies).
- Target D.3:** Companies, including from the investment sector, incorporate strategies and policies to support the sound management of chemicals and waste in their investment approaches and business models and apply internationally-recognized

reporting standards where relevant. Target D.4: Companies apply sustainable production principles and life-cycle management in the design of chemicals, materials and products, taking reduced-risk, design-for-recycling and non-chemical solutions and processes into account.

**Target D.5:** Industry associations promote change towards sustainability and the safe management of waste and of chemicals and consumer products throughout their life cycles, including in sharing information and building the capacity of small and medium-sized enterprises to reduce risks.

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**Strategic objective E targets:** [The importance of the sound management of chemicals and waste as an essential element to achieving sustainable development is recognized by all]; adequate financial and non-financial resources are [identified and] mobilized; actions are accelerated; and necessary [transparent and accountable] partnerships are established to foster cooperation among stakeholders].]

**Considerations:** Intended to address the need for high-level commitment across sectoral boundaries, to ensure appropriate attention is given and action taken to accelerate progress, and to contribute to the 2030 Agenda for Sustainable Development.

**Target E.1:** The highest levels of stakeholder organizations, including government, industry, civil society and international organizations in all relevant sectors, formally recognize the importance of and commit to action on the sound management of chemicals and waste, and recognize its relevance to sustainable development.

**Target E.2:** Policies and processes for the management of chemicals and waste are integrated into national and regional development strategies.

**Target E.3:** Inter- and intra-sectoral partnerships, networks and collaborative mechanisms are established to mobilize resources, to share information, experiences and lessons learned, and to promote coordinated action at the regional and international levels.

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**The following targets were raised and / or reformulated in the OEWG3 contact group but not discussed:**

**Target Under Strategic Objective A:** A Code of Conduct on chemicals and waste management incorporating the elements of the OOG, is developed and countries have incorporated its provision in their national legislation.

**Target Under Strategic Objective A:** Countries, industry, IOMC, and other stakeholders in a position to do so, collaborate with developing countries through providing technical and non-financial assistance to enable the necessary tools to achieve the sound management of chemicals throughout their life cycle.

**Target Under Strategic Objective E:** Identify and mobilize the financial and non-financial resources needed to promote the sound management of chemicals and waste in all sectors, by and for all stakeholders.

**Target Under Strategic Objective E:** Gaps between developed and developing countries are narrowed in terms of the implementation of sound management of chemicals and waste. 6 Stakeholders may wish to decide whether targets should be time bound. Dates have not been inserted in the present draft.

## 20 Indicators of Progress

### Agreed to by SAICM Stakeholders at ICCM2<sup>2</sup> in 2009

The following 20 indicators of progress were agreed upon by the International Conference on Chemicals Management at its second session in May 2009 ([SAICM/ICCM.2/15, annex III](#)). The original aim of these indicators was to help assess progress on the individual objectives set out in the [SAICM texts](#) and determine whether SAICM is having a positive impact on chemicals management, human health, and the environment.

Strategic Approach Objective	Indicator of Progress	
<b>A. Risk Reduction</b>	1.	Number of countries (and organizations) implementing agreed chemicals management tools
	2.	Number of countries (and organizations) with mechanisms to address key categories of chemicals
	3.	Number of countries (and organizations) with hazardous waste management arrangements
	4.	Number of countries (and organizations) engaged in activities that result in monitoring data on selected environmental and human health priority substances
	5.	Number of countries (and organizations) having mechanisms in place for setting priorities for risk reduction
<b>B. Knowledge and information</b>	6.	Number of countries (and organizations) providing information according to internationally harmonized standards
	7.	Number of countries (and organizations) that have specific strategies in place for communicating information on the risks associated with chemicals to vulnerable groups
	8.	Number of countries (and organizations) with research programmes
	9.	Number of countries (and organizations) with websites that provide information to stakeholders
<b>C. Governance</b>	10.	Number of countries (and organizations) that have committed themselves to implementation of the Strategic Approach
	11.	Number of countries (and organizations) with multi-stakeholder coordinating mechanism
	12.	Number of countries (and organizations) with mechanisms to implement key international chemicals priorities
<b>D. Capacity Building and Technical Cooperation</b>	13.	Number of countries (and organizations) providing resources (financial and in kind) to assist capacity-building and technical cooperation with other countries
	14.	Number of countries (and organizations) that have identified and prioritized their capacity building needs for the sound management of chemicals
	15.	Number of countries (and organizations) engaged in regional cooperation on issues relating to the sound management of chemicals
	16.	Number of countries where development assistance programmes include the sound management of chemicals
	17.	Number of countries (and organizations) with projects supported by the Strategic Approach's Quick Start Programme Trust Fund
	18.	Number of countries (and organizations) with sound management of chemicals projects supported by other sources of funding (not Quick Start Programme funding)
<b>E. Illegal International Traffic</b>	19.	Number of countries having mechanisms to prevent illegal traffic in toxic, hazardous and severely restricted chemicals individually
	20.	Number of countries having mechanisms to prevent illegal traffic in hazardous waste

<sup>2</sup> <http://www.saicm.org/About/ICCM/ICCM2/tabid/5966/language/en-US/Default.aspx>

# 11 Basic Elements

## Guidance towards the Achievement of the 2020 Goal<sup>3</sup>

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The following set of 11 basic elements<sup>4</sup> has been recognized as critical at the national and regional levels to the attainment of sound chemicals and waste management, namely:

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

An interim report on progress on the Overall Orientation and Guidance was reported to the third meeting of the SAICM Open-ended Working Group ([SAICM/OEWG.3/INF/5](#)).

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<sup>3</sup> SAICM's overall objective is the achievement of the sound management of chemicals throughout their life cycle so that by the year 2020, chemicals are produced and used in ways that minimize significant adverse impacts on the environment and human health.

<sup>4</sup> The 11 elements were developed on the basis of input from the 2013 and 2014 regional meetings of the Strategic Approach and are not set out in any order of priority. They are set out in the 'Overall Orientation and Guidance to Achieve the 2020 Goal':

<http://www.saicm.org/Implementation/Towards2020/tabid/5499/language/en-US/Default.aspx>

# Global Plan of Action

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The [Overarching Policy Strategy](#) (OPS) includes the **Global Plan of Action** of the Strategic Approach to International Chemicals Management. This plan has been structured into work areas and associated activities that may be undertaken voluntarily by stakeholders in order to pursue the commitments and objectives expressed in the Dubai Declaration on International Chemicals Management and the Overarching Policy Strategy.

Experts could refer to 'Table B. List of possible work areas and their associate activities, actors, targets/timeframes, indicators of progress and implementation aspect' within the chapter dedicated to the **Global Plan of Action** and found on page 33 of the following document:

[http://saicm.org/Portals/12/Documents/saicmtxts/New%20SAICM%20Text%20with%20ICCM%20resolutions\\_E.pdf](http://saicm.org/Portals/12/Documents/saicmtxts/New%20SAICM%20Text%20with%20ICCM%20resolutions_E.pdf)

Table B lists the work areas together with the possible associated activities and suggested actors, targets and timeframes, indicators of progress and implementation aspects, set out in five separate sections corresponding to the five categories of the objectives. The columns in Table B dealing with suggested actors, targets and timeframes, indicators of progress and implementation aspects have not been fully discussed and sufficient time was not available to achieve agreement during the process to develop the Strategic Approach.

The **Global Plan of Action** comprised 273 activities across the five OPS objectives and work areas. Each activity had associated targets and timeframes, indicators of progress and actors to be involved in their implementation. It is suggested that participants at this workshop consider the '267 indicators of progress' in Table B during the discussions.

## Independent Evaluation of SAICM (2006-2015)

### (Extractions from the evaluation on the existing framework for measuring progress - SAICM/OEWG.3/3)

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The Strategic Approach has undergone an independent evaluation of the Strategic Approach from 2006 – 2015, in line with the annex to International Conference on Chemicals Management Resolution IV/4.

It may be useful for experts at this workshop to review and consider the key conclusions of the Independent Evaluation in terms of the history and challenges of the existing framework for measuring progress towards the 2020 goal (N.B. following text is taken directly from the evaluation):

- Data for indicators were to be collected nationally and monitored at the regional and global levels. The indicators were aligned to each SAICM objective and designed to monitor progress made at the national level in achieving the SAICM objectives over time.
- The Global Plan of Action, agreed at ICCM1, lists 273 activities aimed at addressing all five Overarching Policy Objectives. Each had its own target/ timeline, together with its indicator of progress.
- In regard to Governments reporting on progress made in delivering on the GPAs there was no systematic reporting to ICCM. However, governments were invited to participate in the systematic collection of data relating to the 20 indicators of progress designed to monitor the progress in implementing SAICM.
- A baseline report covering the period 2006-2008, and two progress reports (2009-2010; 2011-2013) have been produced, reviewing countries' performance in making progress towards the five overarching policy objectives, as reflected by the 20 indicators.
- Whilst the baseline data collected in 2006-2008 was voluminous, it did not lend itself to translation of the data into a form that could be used to populate the 20 indicators. Consequently, the data collection exercise did not allow for the development of a comprehensive baseline for all 20 indicators. In the end, baseline estimates were only possible for seven of the indicators (below table).

Indicator	Description
6	Number of countries providing information according to internationally harmonized standards
9	Websites providing publicly available information
10	Number of countries that have committed themselves to implementation of the Strategic Approach
11	Number of countries with multi-stakeholders coordinating mechanism
12	Number of countries with mechanisms to implement key international chemicals priorities
14	Number of countries that have identified and prioritized their capacity building needs for the sound management of chemicals
17	Number of countries with projects supported by the Strategic Approach's Quick Start Programme (QSP) Trust Fund



- The second progress report and summary report presented to ICCM4 provided reflections on the efficacy of the 20 indicators:
  - **Methodological:** Firstly, it was not certain whether respondents were reporting on activities that had taken place in the relevant reporting period. This uncertainty was particularly acute for those governments that did not report in both reporting periods. Secondly, there were challenges in integrating the contributions of non-government stakeholders due to stakeholders' own surveys and reports that were not fully reflected in the online submissions. Thirdly, the activity-based indicators and questions asked are open to variability in responses depending upon who is completing the questionnaire and their interpretation of the questions and their level of knowledge.
  - **Scope:** Firstly, activities on compliance and enforcement of policy are not explicitly addressed in the indicators. For example, indicators 19 and 20 address illegal international traffic of chemicals and waste but do not address illegal international trade, such as through informal markets, which may pose significant challenges to meeting the 2020 goal. Secondly, the extent of national funding for chemicals management through government budgets and ODA is not included in Indicator 18. Thirdly, Indicator 1 focuses on alternative chemicals to support risk reduction, with no monitoring of policy or implementation relating to non-chemical alternatives and agroecological approaches.
  - **Results-based indicators:** The 20 indicators are outputs based and, whilst being a necessary condition for meeting the 2020 goal, may not be sufficient. There is a need for outcome and impact focused indicators to complement the existing indicators of progress, i.e. results-based indicators that measure tangible reductions in health and environmental impacts of chemicals use. The probable inclusion of chemicals management targets within many of the SDGs will also require more quantitative results-based evidence.
- In 2015 the Overall Orientation and Guidance, which recognizes eleven basic elements as critical to the attainment of the sound management of chemicals and waste, was welcomed by the ICCM. Whilst this alignment fits up to a point, the challenge of integrating the basic elements with the existing 20 indicators of progress has been acknowledged.
- While there is some coherence in this relationship, stakeholders may wish to further examine the indicators with a view to improving their coverage of the basic elements for future reporting.
- The indicators and milestones listed for each activity within the GPA offer the potential for monitoring progress in delivery of these activities and with it progress towards achieving the five objectives of the OPS, which the activities within the GPA are aligned.

## IOMC Indicators of Progress in Implementing SAICM

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At the fourth session of the Conference, the Inter-Organization Programme for the Sound Management of Chemicals (IOMC) proposed a concise set of quantitative indicators from verifiable sources and for which global data are available. Indicator data is displayed in map form <sup>5</sup> wherever possible to provide quick access to the country or region of interest. The organizations listed are responsible for the information displayed.

The eight IOMC indicators for which data are now available are:

1. Number of countries with National Profiles (UNITAR)
2. Number of countries with a PRTR (UNITAR)
3. Number of countries with poisons centres (WHO)
4. Countries with controls for lead in decorative paint (WHO and UNEP)
5. Countries which have implemented pesticide legislation based on the FAO/WHO International Code of Conduct (FAO)
6. Number of countries that have achieved core capacities for chemicals under the International Health Regulations (WHO)
7. Number of parties to the Basel, Rotterdam, Stockholm and Minamata Conventions (Secretariats)
8. Implementation of the GHS (UNITAR/UNECE)

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<sup>5</sup> <https://www.who.int/gho/ihr/monitoring/chemical/en/index1.html>

## Further Background Reading

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At its fourth session, the International Conference on Chemicals Management (ICCM4), through its resolution IV/4, launched an intersessional process open to all stakeholders to provide recommendations, for consideration at its fifth session in 2020, on the Strategic Approach to International Chemicals Management and the sound management of chemicals and waste beyond 2020.<sup>6</sup> The fifth session is scheduled to be held in Bonn, Germany, from 1 to 4 October 2020.

Documents	Link
Overarching Policy Strategy / Global Plan of Action	<a href="http://www.saicm.org/Portals/12/Documents/saicmtxts/New%20SAICM%20Text%20with%20ICCM%20resolutions_E.pdf">http://www.saicm.org/Portals/12/Documents/saicmtxts/New%20SAICM%20Text%20with%20ICCM%20resolutions_E.pdf</a>
Overall Orientation and Guidance	<a href="http://www.saicm.org/Portals/12/Documents/OOG%20document%20English.pdf">http://www.saicm.org/Portals/12/Documents/OOG%20document%20English.pdf</a>
Proposal on objectives in support of the 2030 Agenda and related milestones	<a href="http://www.saicm.org/Portals/12/Documents/meetings/IP2/IP_2_8_OBJECTIVES-and-SDG.pdf">http://www.saicm.org/Portals/12/Documents/meetings/IP2/IP_2_8_OBJECTIVES-and-SDG.pdf</a>
First SAICM progress report (2009-2010) - Summary of the first progress report – evaluation against 20 indicators	<a href="http://www.saicm.org/Portals/12/Documents/reporting/SAICM_ICCM3_4-summary-first-progress-report.pdf">http://www.saicm.org/Portals/12/Documents/reporting/SAICM_ICCM3_4-summary-first-progress-report.pdf</a>
Second SAICM progress report (2011-2013) - Summary of the second progress report – evaluation against 20 indicators	<a href="http://www.saicm.org/Portals/12/Documents/reporting/K1502325%20SAICM-ICCM4-3-summary-second-progress-report.pdf">http://www.saicm.org/Portals/12/Documents/reporting/K1502325%20SAICM-ICCM4-3-summary-second-progress-report.pdf</a>
Third SAICM progress report (2014-2016) - Summary of the third progress report – evaluation against 20 indicators	<a href="http://www.saicm.org/Portals/12/Documents/reporting/OEWG3-5-summary-third-progress-report_EN.pdf">http://www.saicm.org/Portals/12/Documents/reporting/OEWG3-5-summary-third-progress-report_EN.pdf</a>
WHO Road Map to enhance health sector engagement in the strategic approach to international chemicals management towards the 2020 goal and beyond	<a href="https://www.who.int/ipcs/saicm/roadmapworkbook/en/">https://www.who.int/ipcs/saicm/roadmapworkbook/en/</a>
Knowledge Management and Information Sharing for the Sound Management of Industrial Chemicals	<a href="http://www.saicm.org/Portals/12/Documents/EP/ Knowledge_Information_Sharing_Study_UNEP_ICCA.pdf">http://www.saicm.org/Portals/12/Documents/EP/ Knowledge_Information_Sharing_Study_UNEP_ICCA.pdf</a>

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<sup>6</sup> <http://saicm.org/Beyond2020/IntersessionalProcess/tabid/5500/language/en-US/Default.aspx>