

Appendix I

Terminology included in the Practical Manuals for the Promotion of the Environmentally Sound Management of Wastes

Basel
Convention

I. Introduction

1. This document has been prepared to accompany the practical manuals for the promotion of the environmentally sound management (ESM) of wastes. These manuals are directly related to the Basel Convention framework¹ for the environmentally sound management of hazardous wastes and other wastes.²
2. To help understand the terms in this manual and why they are used, it is important to understand the legal context within which they sit, in particular that:
 - (a) Hazardous and other wastes are to be managed in a manner which will protect human health and the environment against the adverse effects which may result from such waste;³
 - (b) Transboundary movements of hazardous and other wastes subject to the Basel Convention should be reduced to the minimum consistent with their environmentally sound and efficient management;⁴
 - (c) The generation of hazardous and other wastes should be minimized.⁵
3. Additionally, in its decision BC-11/1 on follow-up to the Indonesian-Swiss country-led initiative to improve the effectiveness of the Basel Convention, the Conference of the Parties requested a small intersessional working group on legal clarity to, among other things, complete a glossary of terms in an effort to provide Parties and others with consistent advice on the interpretation of certain terminology in the Basel Convention. The Conference of the Parties at its twelfth meeting, in its decision BC-12/,1 invited the small intersessional working group on legal clarity to continue its work and to prepare a revised version of this draft glossary and the Open-ended Working Group at its tenth meeting, in its decision OEWG-10/8, welcomed the work undertaken by the small intersessional working group on legal clarity and recommended that the Conference of the Parties at its thirteenth meeting adopt the glossary of terms developed by the small intersessional working group on legal clarity (see document UNEP/CHW.13/4/Add.2). This manual has been developed in consideration of the work of the small intersessional working group on legal clarity and does not duplicate the terms defined in the aforementioned glossary.
4. The terminology in this manual is intended to assist in the understanding of the practical manuals for the promotion of the environmentally sound management of wastes, rather than provide a legal definition of the terms in question. It is not intended to have broader application or represent an interpretation of the Basel Convention.
5. It should be recognized that each country may have its own definitions of certain terms, for example, “permit”, “license” or “authorization”, in its national legislation.

¹ Adopted by decision BC-11/1 and available in document UNEP/CHW.11/3/Add.1/Rev.1 (annex) and at: <http://www.basel.int/Implementation/CountryLedInitiative/EnvironmentallySoundManagement/ESMFramework/t/abid/3616/Default.aspx>.

² Article 1 paragraph 2 read in conjunction with annex II of the Basel Convention defines the term “other wastes” as ‘Y46 Wastes collected from households’ and ‘Y47 Residues arising from the incineration of household wastes’.

³ Article 2 paragraph 8 defines the term “environmentally sound management of hazardous wastes or other wastes” as taking all practicable steps to ensure that hazardous wastes or other wastes are managed in a manner which will protect human health and the environment against the adverse effects which may result from such wastes. Additionally, the Basel Convention refers to ESM of waste in the following provisions: Preamble; Article 4 paragraphs 2, 8 and 10; Article 6 paragraph 3 (b); Article 10.

⁴ Article 4 paragraph 2 (d) of the Basel Convention.

⁵ Article 4 paragraph 2 (a) of the Basel Convention.

II. List of acronyms⁶

BAT	Best available techniques
BEP	Best environmental practices
BREF	Best available techniques reference document
EIA	Environmental impact assessment
EMAS	Eco-Management and Audit Scheme
EMS	Environmental management system
EPEAT	Electronic Product Environmental Assessment Tool
EPR	Extended producer responsibility
ESM	Environmentally sound management
EWG	Expert working group
ISO	International Organization for Standardization
NGO	Non-governmental organization
NSB	National Standards Body(ies)
OECD	Organization for Economic Cooperation and Development
OHSAS	Occupational Health and Safety Assessment Series
OSH	Occupational safety and health
PIC	Prior informed consent
POP	Persistent organic pollutant
SAICM	Strategic Approach to International Chemicals Management
SME	Small and medium-sized enterprise
TBM	Transboundary movement (of wastes)
UNEP	United Nations Environment Programme
WEEE	Waste electrical and electronic equipment

⁶ Chemical abbreviations, country codes, and trade names are not listed.

III. Terminology⁷

Accreditation	The formal recognition by an independent body, generally known as an accreditation body, that a certification body is capable of carrying out certification. Accreditation is not always obligatory but it adds another level of confidence, as 'accredited' means the certification body has been independently checked to make sure it operates according to international standards. The International Accreditation Forum provides the contact details of national accreditation bodies. National accreditation bodies keep lists of accredited certification bodies or individuals for each country. (See certification)
Authorization	A written decision (or several such decisions) delivered by the designated authority approving the operation of a waste management facility and/or activity, subject to certain conditions which guarantee that the facility or activity complies with all the requirements established. This definition is the same as for "license" and "permit".
Broker	Anyone arranging the recovery or disposal of waste on behalf of others, including such brokers who do not take physical possession of the waste.
Certification	The provision by an independent body of written assurance (a certificate) that the product, service or system in question meets specific requirements. For example, the International Organization for Standardization (ISO). (See accreditation)
Damage	Damage ⁸ includes: (i) Loss of life or personal injury; (ii) Loss of or damage to property; (iii) Loss of income directly deriving from an economic interest in any use of the environment, incurred as a result of impairment of the environment.
Designated authority	Institution responsible for the development, implementation and enforcement of a regulation and/or other measure. In some countries, the designated authority is also the competent authority.
Environmental management system	A set of processes and practices that enable an organization to reduce its environmental impacts and increase its operating efficiency. A waste facility should have an environmental management system (EMS) in place, taking into account the size of the enterprise, the level of risk associated with the operation of the facility and other factors relevant to implementation. An EMS is often designed to be integrated into the "plan, do, check and act" model for continuous improvement and many existing systems already use this approach. It helps to ensure that environmental issues are systematically identified, controlled and monitored in the context of the need to reinforce continuous improvement. Several applicable EMS already exist in countries which are members of the Organization for Economic Cooperation and Development (OECD): ISO 14001, which is worldwide; the Eco-Management and Audit Scheme (EMAS), which is specific to European countries and has somewhat more ambitious requirements than ISO 14001. Also considered to be applicable EMS are those that are tailor-made for individual circumstances – for example, systems designed for the purpose of specific industrial sectors or enterprises.
First-party verification / Self-certification	The practice of giving information about oneself or one's company in a formal statement rather than asking a third party to do so. For example, ISO 14001 has self-certification as an option; alternatively users may choose third-party verification and certification. (See second-party verification and third-party verification)

⁷ Refer to Article 2 of the Basel Convention for further definitions.

⁸ Refer to Article 2 of the Protocol on liability and compensation for damage resulting from transboundary movements of hazardous wastes and their disposal for the full definition of the term "damage".

<i>License</i>	A written decision (or several such decisions) delivered by the designated authority approving the operation of a waste management facility and/or activity, subject to certain conditions which guarantee that the facility or activity complies with all the requirements established. This definition is the same as for “authorisation” and “permit”.
<i>Life cycle</i>	The entire life cycle, from the extraction of natural resources and including material processing, manufacturing, marketing, distribution, use and waste management.
<i>Management system standards</i>	Standards that provide a model to follow when setting up and operating a management system. An organization or company assesses its current situation, fixes objectives and develops policy, implements actions to meet these objectives and then measures the results. With this information the effectiveness of the policy, and the actions taken to achieve it, can be continually reviewed and improved. It is noted that all ISO management system standards are based on the principle of continual improvement i.e. the “plan, do, check, act” model.
<i>Minimization</i>	Waste minimization includes strict avoidance, source reduction, direct reuse, reuse and recycling.
<i>Monitoring</i>	Periodic or continuous surveillance or testing to determine the level of compliance with management system requirements, or process requirements, or statutory requirements, for example, of material flows or of compliance with values limiting emissions to air and releases to land and water.
<i>Permit</i>	A written decision (or several such decisions) delivered by the designated authority approving the operation of a waste management facility and/or activity, subject to certain conditions which guarantee that the facility or activity complies with all the requirements established. This definition is the same as for “authorisation” and “license”.
<i>Prevention</i>	Practical actions that reduce the waste quantity and/or the hazard potential and/or the hazardous content of products and materials prior to becoming wastes. Prevention may include strict avoidance, source reduction and direct reuse.
<i>Second-party verification</i>	Where a certified company hires an audit firm, which is not a member of an independent certified body, to verify conformity with the standard. (See first-party verification and third-party verification)
<i>Source reduction</i>	Altering production processes to minimize the use of toxic or harmful substances and/or minimizing material or energy consumption and/or maximally substituting primary raw materials with secondary raw materials that result from high quality recycling.
<i>Standards</i>	Standards exist principally to provide a reliable basis on which common expectations can be shared regarding specific characteristics of a product, service or process. Standards have become a tool through which industry can demonstrate their commitment to best practices to policymakers, regulators, customers and the general public. Governments may choose to make such standards mandatory.
<i>Storage</i>	Activity where waste is stored prior to disposal on site or for unloading in order to allow its preparation or handling for further transport for disposal elsewhere. National legislation may apply various time limitations on the length of storage.
<i>Strict avoidance</i>	Involves the prevention of waste generation by elimination of the need for a product or material, or by a reduction of hazardous substances and inputs, or by reducing material or energy intensity in production, consumption, and distribution. Also includes designing products for prolonged life. Waste prevention in this latter context extends the product life and acts as a diversion of waste flows.

<i>Third-party verification</i>	Where the certified company uses an independent certification body (that is accredited by a formal accreditation body) to verify conformity with the standard. (See first-party verification and second-party verification)
<i>Treatment</i>	Treatment options are listed in annex IV to the Basel Convention. This term is used in differing ways in different countries. For example, in some countries treatment includes any physical, chemical, biological or mechanical activity and in others it includes all recovery and final disposal operations.
<i>Waste management hierarchy</i>	Recognized by decision BC-10/2 as prevention, minimization, reuse, recycling, other recovery including energy recovery, and final disposal; in doing so, encouraging treatment options that deliver the best overall environmental outcome, taking into account life-cycle thinking.