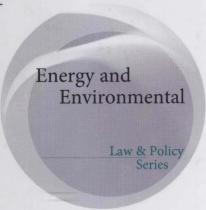
KLUWER LAW INTERNATIONAL



Prior Informed Consent and Hazardous Trade

Regulating Trade in Hazardous Goods at the Intersection of Sovereignty, Free Trade and Environmental Protection

By David Langlet



KLUWER LAW INTERNATIONAL

Prior Informed Consent and Hazardous Trade

Regulating Trade in Hazardous Goods at the Intersection of Sovereignty, Free Trade and Environmental Protection

David Langlet



Published by: Kluwer Law International PO Box 316 2400 AH Alphen aan den Rijn The Netherlands

Website: www.kluwerlaw.com

Sold and distributed in North, Central and South America by: Aspen Publishers, Inc. 7201 McKinney Circle Frederick, MD 21704 United States of America

Sold and distributed in all other countries by: Turpin Distribution Services Ltd. Stratton Business Park Pegasus Drive, Biggleswade Bedfordshire SG18 8TQ United Kingdom

Email: customer.care@aspenpubl.com

Email: kluwerlaw@turpin-distribution.com

Printed on acid-free paper.

ISBN 978-90-411-2821-8

© 2009 Kluwer Law International BV, The Netherlands

All rights reserved. No part of this publication may be reproduced, stored in a retrieval system, or transmitted in any form or by any means, electronic, mechanical, photocopying, recording, or otherwise, without written permission from the publisher.

Permission to use this content must be obtained from the copyright owner. Please apply to: Permissions Department, Wolters Kluwer Legal, 76 Ninth Avenue, 7th Floor, New York, NY 10011-5201, USA. Email: permissions@kluwerlaw.com.

Printed in Great Britain.

Foreword

David Langlet's study is the outgrowth of a doctoral dissertation successfully submitted to the Faculty of Law of the University of Stockholm in December 2007. It offers an in-depth analysis of the challenges posed by today's transboundary hazardous trade, thus of a highly topical and important issue in international law and public policy. The study traces individual states' precarious autonomy in safeguarding the national interest in protecting the environment and public health in an age of globalization, direct foreign investment and, generally, the flow of goods and services across national boundaries. By focusing on "prior informed consent" both as an enabling device for transboundary trade and as a marker of shared responsibility among exporting and importing states, the book canvasses in detail the normative reach of the Basel Convention (hazardous waste), the Rotterdam Convention (hazardous chemicals and pesticides) and the Cartagena Protocol (genetically modified organisms) against the background of general international law for transboundary environmental harm and the GATT/WTO-centered international trade regime.

If this normative landscape presents itself as a veritable thicket of partially overlapping, supplementary and, at times, conflicting international (and national) legal norms, Langlet skillfully guides the reader through it. His expert guidance is all the more impressive as he not only manages to demystify the specific interrelationship of international trade law and international environmental protection norms at a crucial juncture, but, in so doing, offers an illuminating study of the increasing complexity of international regulatory regimes in general. This volume thus clearly deserves a wide readership. For apart from representing a very competent examination of a highly technical, yet central theme of our times – increasing global interdependence as evidenced by transboundary hazardous trade – it is an

xii Foreword

examination that Langlet undertakes in a theoretically thorough, readily accessible and, therefore, ultimately convincing manner.

Günther Handl Eberhard Deutsch Professor of Public International Law Tulane Law School

Acknowledgements

The present book is a revised and updated version of my doctoral thesis, defended at Stockholm University in December 2007. It would not have existed but for Said Mahmoudi, Professor of Public International Law at Stockholm University. Not only did he inspire me to get involved in legal research and proposed prior informed consent as an interesting subject for a doctorial thesis. He has also been relentlessly supportive, encouraging and generous with his time and knowledge during his years as my supervisor.

When I defended the thesis it was my great privilege to have Günther Handl, Professor of Public International Law at Tulane University Law School, New Orleans, as my Examiner. It was a profoundly rewarding and stimulating experience which subsequently enabled me to further improve the text. I am also much indebted to Professors Ellen Hey, Marc Pallemaerts, and Timo Koivurova, who served as the Examining Committee. The text has benefited, as have I personally, from their extensive knowledge and intellectual generosity.

For his concise and analytical comments at different stages of my work process I am indebted to Jonas Ebbesson, Professor of Environmental Law at Stockholm University. A number of other former and concurrent colleagues have provided valuable comments. Among these mention should particularly be made of Ph.D. Andreas Duit at the Department of Political Science at Stockholm University, LL.M. Diana Amnéus and Mauro Zamboni, LL.D. in Jurisprudence, both at the Faculty of Law at Stockholm University and Ph.D. Jenny Grönwall, at the Stockholm Resilience Centre. Naturally many others have also contributed in various ways. For that I am grateful.

Among those that have extended valuable assistance and advice on Indian law I wish to particularly express my gratitude to Supreme Court Advocate Sanjay Parikh and Professor Bharat H. Desai at Jawaharlal Nehru University. I am further indebted to among others Thewolde Berhan Gebre Egziabher, General Manager at

the Ethiopian Environmental Protection Authority, Margareta Appelberg at the Swedish Environmental Protection Agency, Magnus Nyström at the Finnish Environment Institute and a member of the Chemical Review Committee of the Rotterdam Convention, and to Erik Wijkström at the WTO Secretariat for providing invaluable insights and sharing their knowledge and experience.

Julián A. Cárdenas Cornejo deserves much credit for his competent and enthusiastic work with notes and tables.

The Department of Law at Stockholm University has provided excellent practical and technical facilities. It has also generously provided funds for my participation in seminars and conferences. Most notably, it funded an indispensable visit to New Delhi. I am also grateful for the funds received from the foundations Stiftelsen av den 28 oktober 1982 and Emil Heijnes Stiftelse.

The language of this book has benefited greatly from the competent editing by Tim Crosfield.

Finally, I am greatly indebted to Annika and Hans Langlet for their loving support and encouragement.

The book takes into account developments up until the beginning of September 2008.

Stockholm, September 2008

Abbreviations

AIA

Advance Informed Agreement American Society of International Law ASIL

Biosafety Clearing-House **BCH**

Bovine spongiform encephalopathy **BSE**

Biosafety Protocol **BSP**

BSWG

Biosafety Working Group
Convention on Biological Diversity
Customary international economic law
Convention on International Trade in Endangered Species of **CBD** CIEcL

CITES

Wild Fauna and Flora

COP Conferences of the Parties Chemical Review Committee **CRC**

Committee on Trade and Environment CTE

Decision guidance document Designated national authority **DGD** DNA **DNA** Recombinant deoxyribonucleic acid

Domestically prohibited goods DPG Dispute Settlement Body **DSB** Dispute Settlement Mechanism

Understanding of Rules and Procedures Governing the Settlement DSU

of Disputes

DSM

EFTA European Free Trade Association **EIA Environmental Impact Assessment EPA**

Environmental Protection Agency
Extraordinary Meeting of the Conference of the Parties
Convention on Facilitation of International Maritime Traffic ExCOP **FAL**

FAO Food and Agriculture Organization

Abbreviations xvi

Federal Insecticide, Fungicide and Rodenticide Act **FIFRA**

General Agreement on Trade in Services **GATS** General Agreement on Tariffs and Trade General Agreement on Trade in Services **GATT** GC Genetic Engineering Approval Committee Global Environment Facility **GEAC**

GEF

GM

Genetically modified
Genetically modified organism
International Atomic Energy Agency
International Court of Justice **GMO IAEA**

ICJ **IEcL** International economic law IGO Intergovernmental organization International Law Commission **ILC ILM** International Legal Materials

INC

International Negotiating Committee International Register of Potentially Toxic Chemicals **IRPTC**

ITO **LMO**

International Trade Organization
Living modified organism
Living modified organism for food, feed or processing
Multilateral environmental agreement LMO-FFP

MEA

MFN Most-favoured-nation Meeting of the Parties MOP

NAFTA

North American Free Trade Agreement Organization for Economic Cooperation and Development Permanent Court of International Justice **OECD**

PCIJ

PIC Prior informed consent **POPs**

Persistent organic pollutants
Resource Conservation and Recovery Act
United Nations Environment Programme
United Nations Industrial Development Organization
United Nations General Assembly
International Convention for the Safety of Life at Sea **RCRA UNEP**

UNIDO

UNGA

SOLAS

State Pollution Control Board **SPCB**

SPS Sanitary and phytosanitary measures

TBT Technical barriers to trade

Trade-related aspects of intellectual property rights Toxic Substances Control Act TRIPS

TSCA World Health Organization WHO World Trade Organization
Yearbook of the International Law Commission WTO

YbILC

List of Tables

Table 1: Trade with Non-Parties	197
Table 2: Coverage of the PIC Procedure	199
Table 3: Shipments to Which PIC Applies	200
Table 4: Transit Shipments	201

Table of Contents

Fore	eword	XÎ
Ackı	xiii	
Abb	reviations	xv
List	xvii	
Part Issu	E I es and Concepts	1
	pter 1 oduction	3
1.1	Aspects of Hazardous Trade	3
	1.1.1 The Protection Aspect	5 8 9
	1.1.2 The Sovereignty Aspect	8
	1.1.3 The Trade Aspect	
1.2		12
1.3 1.4	Definitions and Terminology General Structure of the Study	14 18
Cha	pter 2	
	rnational Law Premises	21
2.1	Introduction	21
2.2	Particular Features of International Law	21
2.3	On Customary Law	24

Table o	f Contents
---------	------------

2.4 2.5	Indeterminacy and Concreteness The Role of Domestic Law	25 27
	pter 3 ereignty	31
3.1	Introduction	31
3.2	Historical Outline	32
3.3	Sovereignty and Territory	34
3.4	Economic Sovereignty	36
3.5	Sovereignty a Viable Notion?	38
3.6	Effective Sovereignty and Hazardous Trade	42
3.7	Perspectives on Sovereignty	44
3.8	Conclusions	46
	pter 4 ardous Trade as Transboundary Harm	49
4.1	Introduction	49
4.2	The No-Harm Principle	49
4.3	Substantive Obligations	52
4.4	Procedural Obligations	54
4.5	ILC's Draft Articles	57
4.6	The Contribution of Case Law	58
4.7	Conclusions Regarding the No-Harm Principle	60
4.8	The No-Harm Principle and Trade in Hazardous	00
7.0	Substances	61
4.9	Domestically Prohibited Goods	66
Part Haz	II ardous-Trade Regimes	71
	C	/1
	pter 5 Hazardous-Waste Regime	73
5.1	Introduction	73
	5.1.1 Historical Background	74
5.2	The Basel Convention	75
	5.2.1 The Negotiations	75
	5.2.2 Objectives and Basic Premises	76
	5.2.3 Scope	77
	5.2.4 Minimization of Generation and Trade	79
	5.2.5 Prerequisites for Export	79
	5.2.6 The PIC Procedure	81
	5.2.7 Obligations Pertaining to Exported Wastes	83

Tabi	le of Cor	ntents	vii
	5.2.8	The Basel Ban	84
	5.2.9	The Membership and Non-Parties	86
5.3	The B	Samako Convention	87
	5.3.1	Introduction	87
	5.3.2	Provisions of the Convention	87
5.4		Regional Conventions	90
	5.4.1	The Waigani Convention	91
	5.4.2	The Mediterranean Sea Protocol	91
5.5	Radio	active Waste	92
5.6	EC La	aw .	94
5.7	Indian	Law	98
5.8	US La	aw .	102
5.9	Comm	nents and Conclusions	106
	5.9.1	Introduction	106
	5.9.2	Minimizing Generation and Trade	107
	5.9.3	The PIC Procedure	108
	5.9.4	Environmentally Sound Management	110
	5.9.5	Trade Bans	111
	5.9.6	Parties and Non-Parties	113
	pter 6 Hazard	ous-Chemicals Regime	115
			110
6.1	Introd	uction	115
	6.1.1	Historical Background	116
6.2		otterdam Convention	120
	6.2.1		120
	6.2.2	\mathcal{C}	121
	6.2.3	Objective	122
	6.2.4	Scope and Definitions	123
	6.2.5	Inclusion of Chemicals in the PIC Procedure	124
	6.2.6	Severely Hazardous Pesticide Formulations	127
	6.2.7	Removal of Chemicals from the PIC	
		Procedure	128
	6.2.8	Functioning of the PIC Procedure	128
	6.2.9	Export Notification	130
	6.2.10		131
	6.2.11	The Membership and Non-Parties	131
6.3	EC La		132
6.4	Indian		139
6.5	US La		141
6.6		nents and Conclusions	144
	6.6.1	Introduction	144
	6.6.2	The PIC Procedure	145
	6.6.3	Risk Assessment	148

Tubic of Comen	le of Conten	ts
----------------	--------------	----

	٠	•	•	
٧	1	1	1	

	6.6.4	Inclusion of Chemicals in the Procedure	149
	6.6.5	Export Notification	153
	6.6.6	Export in Breach of Obligations	154
	6.6.7	Decision-Making	155
Cha	pter 7		
		ty Regime	157
7.1	Introd	uction	157
		Historical Background	158
7.2		Cartagena Protocol	159
	7.2.1		159
	7.2.2		162
	7.2.3	•	164
	7.2.4		165
	7.2.5		169
	7.2.6		171
	7.2.7	The Membership and Non-Parties	174
7.3	EC La		175
7.4	Indian		178
7.5	US La		181
7.6		nents and Conclusions	182
	7.6.1	Introduction	182
	7.6.2		182
	7.6.3	The Procedure for LMO-FFPs	184
	7.6.4	Non-responding Parties	186
	7.6.5	Decision-Making: The Precautionary	100
	,,,,,,	Approach	187
	7.6.6	Decision-Making: Socio-economic	107
	7.0.0	Considerations	190
	7.6.7		191
	7.6.8	Non-Parties	193
			175
	pter 8	and Analysis of the Heavy bear The Land	105
Com	iparison	and Analysis of the Hazardous-Trade Regimes	195
8.1	Introd	uction	195
8.2	Bans		195
8.3	PIC Pi	rocedures	197
	8.3.1	The Substances to Which PIC Applies	197
	8.3.2	Instances of Transboundary Movements to	
		Which PIC Applies	199
	8.3.3	Nature of Consent Requirement	201
	8.3.4	Decision-Making on PIC	202
	8.3.5	How Decisions Are Made	203
	8.3.6	Principles Governing Decision-Making	205

Table of Contents	ix

	8.3.7 The Role of Precaution 8.3.8 Concluding Reflections	208
8.4		211 212
8.5	Prior Notification in Maritime Transport	212
0.0	That I confession in Francisco Transport	213
Part The	III Free-Trade Regime	215
1110	Tree Trade Regime	213
	pter 9	
Free	r-Trade Law	217
9.1	The Role of General International Law	217
Cha	pter 10	
	O Law	221
	Introduction	221
	The World Trade Organization	221
10.3	General Overview of Relevant WTO Law	223
	10.3.1 The GATT	223
	10.3.2 Other Relevant Agreements	225
10.4		226
	10.4.1 Focus of the Analysis	226
	10.4.2 Procedural Aspects	226
10.5	· · · · · · · · · · · · · · · · · · ·	228
	10.5.1 Elimination of Quantitative Restrictions	228
	10.5.2 Most-Favoured-Nation	229
	10.5.3 National Treatment	229
10.	10.5.4 Environmental and Health Exceptions	232
10.6	$\boldsymbol{\mathcal{U}}$	238
10.7		241
10.8	1	248
10.9	Compatibility of PIC-Applying MEAs with WTO Law	249
	10.9.1 Bans	249
	10.9.2 PIC Procedures	253
	10.9.3 The SPS and TBT Agreements	256
	10.9.4 Export Notification Procedures	260
	10.9.5 Conclusions	260
	oter 11 Ticts between the Environmental Regime and the	
Free	Trade Regime	263
11.1 11.2	Introduction The Symmetrical Membership Con-	263
11.2	The Asymmetrical Membership Case	264
11.3	The Asymmetrical Membership Case	269

Part IV Analysis and Reflections		275
	oter 12 ectives and Regulatory Instruments	277
12.2	Values and Objectives Assessment Criteria	277 281
12.3	Trade Bans 12.3.1 Import Bans 12.3.2 Export Bans	284 284 285
	PIC Procedures Export Notifications	287 290
	oter 13 her Aspects of PIC	291
13.1	What PIC Is Not Preconditions for the Functioning of PIC	291
13.2		293 296
	oter 14 ral Conclusions	303
14.1 14.2	The Right to Regulate The Ability to Control	303 305
Table	es of Materials	309
Cases		309 314
	ography al Documents	317 328
	ellaneous	334
Index		335

Part I Issues and Concepts