

# ROTTERDAM CONVENTION

ON THE PRIOR INFORMED CONSENT PROCEDURE  
FOR CERTAIN HAZARDOUS CHEMICALS  
AND PESTICIDES IN INTERNATIONAL TRADE

TEXT AND ANNEXES

REVISED IN 2019



Food and Agriculture  
Organization of the  
United Nations



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## INTRODUCTION

The dramatic growth in chemicals production and trade has raised public and official concern about the potential risks posed by hazardous chemicals and pesticides. Countries lacking adequate infrastructure to monitor the import and use of these chemicals are particularly vulnerable.

In response to these concerns, the United Nations Environment Programme (UNEP) and the Food and Agriculture Organization of the United Nations (FAO) developed and promoted voluntary information-exchange programmes in the mid-1980s. FAO launched its International Code of Conduct on the Distribution and Use of Pesticides in 1985 and UNEP set up the London Guidelines for the Exchange of Information on Chemicals in International Trade in 1987.

The two organizations then introduced the 1989 Prior Informed Consent (PIC) procedure. Jointly implemented by FAO and UNEP, it helped to ensure that governments had the information needed about hazardous chemicals for assessing risks and taking informed decisions on chemical imports.

Chapter 19 of Agenda 21, adopted at the 1992 Rio Summit, called for the adoption of a legally binding instrument on the PIC procedure by the year 2000. Consequently, the FAO Council and the UNEP Governing Council mandated their executive heads to launch negotiations which lead to the finalization of the text of the Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals in International Trade. The Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals in International Trade was adopted at a Conference of Plenipotentiaries on 10 September 1998 and entered into force on 24 February 2004.

Since its adoption, the Rotterdam Convention has seen a number of significant developments. This booklet reflects the various amendments to Annex III adopted at the meetings of the Conference of the Parties. These amendments significantly increased the number of industrial chemicals and pesticides coming within the scope of the Convention, thereby increasing information exchange and shared responsibility as set out in the Convention's provisions.

In 2019, Annex VII was added to the Convention by the ninth meeting of the Conference of the Parties, to give effect to Article 17 of the Convention that requires the Conference of the Parties to develop and approve procedures and institutional mechanisms for determining non-compliance with the provisions of the Convention.

FAO and UNEP jointly perform the secretariat functions for the Rotterdam Convention. Should you wish to obtain additional information about the Rotterdam Convention, please consult the website at [www.pic.int](http://www.pic.int).

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**The Secretariat of the Rotterdam Convention, August 2020.**

# ROTTERDAM CONVENTION ON THE PRIOR INFORMED CONSENT PROCEDURE FOR CERTAIN HAZARDOUS CHEMICALS AND PESTICIDES IN INTERNATIONAL TRADE

## The Parties to this Convention,

Aware of the harmful impact on human health and the environment from certain hazardous chemicals and pesticides in international trade,

Recalling the pertinent provisions of the Rio Declaration on Environment and Development and chapter 19 of Agenda 21 on “Environmentally sound management of toxic chemicals, including prevention of illegal international traffic in toxic and dangerous products”,

Mindful of the work undertaken by the United Nations Environment Programme (UNEP) and the Food and Agriculture Organization of the United Nations (FAO) in the operation of the voluntary Prior Informed Consent procedure, as set out in the UNEP Amended London Guidelines for the Exchange of Information on Chemicals in International Trade (hereinafter referred to as the “Amended London Guidelines”) and the FAO International Code of Conduct on the Distribution and Use of Pesticides (hereinafter referred to as the “International Code of Conduct”),

Taking into account the circumstances and particular requirements of developing countries and countries with economies in transition, in particular the need to strengthen national capabilities and capacities for the management of chemicals, including transfer of technology, providing financial and technical assistance and promoting cooperation among the Parties,

Noting the specific needs of some countries for information on transit movements,

Recognizing that good management practices for chemicals should be promoted in all countries, taking into account, *inter alia*, the voluntary standards laid down in the International Code of Conduct and the UNEP Code of Ethics on the International Trade in Chemicals,

Desiring to ensure that hazardous chemicals that are exported from their territory are packaged and labelled in a manner that is adequately protective of human health and the environment, consistent with the principles of the Amended London Guidelines and the International Code of Conduct,

Recognizing that trade and environmental policies should be mutually supportive with a view to achieving sustainable development,

Emphasizing that nothing in this Convention shall be interpreted as implying in any way a change in the rights and obligations of a Party under any existing international agreement applying to chemicals in international trade or to environmental protection,

Understanding that the above recital is not intended to create a hierarchy between this Convention and other international agreements,

Determined to protect human health, including the health of consumers and workers, and the environment against potentially harmful impacts from certain hazardous chemicals and pesticides in international trade,

**Have agreed as follows:**

## **ARTICLE 1**

### **Objective**

The objective of this Convention is to promote shared responsibility and cooperative efforts among Parties in the international trade of certain hazardous chemicals in order to protect human health and the environment from potential harm and to contribute to their environmentally sound use, by facilitating information exchange about their characteristics, by providing for a national decision-making process on their import and export and by disseminating these decisions to Parties.

## **ARTICLE 2**

### **Definitions**

For the purposes of this Convention:

- [a] “Chemical” means a substance whether by itself or in a mixture or preparation and whether manufactured or obtained from nature, but does not include any living organism. It consists of the following categories: pesticide (including severely hazardous pesticide formulations) and industrial;

- (b) “Banned chemical” means a chemical all uses of which within one or more categories have been prohibited by final regulatory action, in order to protect human health or the environment. It includes a chemical that has been refused approval for first-time use or has been withdrawn by industry either from the domestic market or from further consideration in the domestic approval process and where there is clear evidence that such action has been taken in order to protect human health or the environment;
- (c) “Severely restricted chemical” means a chemical virtually all use of which within one or more categories has been prohibited by final regulatory action in order to protect human health or the environment, but for which certain specific uses remain allowed. It includes a chemical that has, for virtually all use, been refused for approval or been withdrawn by industry either from the domestic market or from further consideration in the domestic approval process, and where there is clear evidence that such action has been taken in order to protect human health or the environment;
- (d) “Severely hazardous pesticide formulation” means a chemical formulated for pesticidal use that produces severe health or environmental effects observable within a short period of time after single or multiple exposure, under conditions of use;
- (e) “Final regulatory action” means an action taken by a Party, that does not require subsequent regulatory action by that Party, the purpose of which is to ban or severely restrict a chemical;
- (f) “Export” and “import” mean, in their respective connotations, the movement of a chemical from one Party to another Party, but exclude mere transit operations;
- (g) “Party” means a State or regional economic integration organization that has consented to be bound by this Convention and for which the Convention is in force;
- (h) “Regional economic integration organization” means an organization constituted by sovereign States of a given region to which its member States have transferred competence in respect of matters governed by this Convention and which has been duly authorized, in accordance with its internal procedures, to sign, ratify, accept, approve or accede to this Convention;
- (i) “Chemical Review Committee” means the subsidiary body referred to in paragraph 6 of Article 18.

## **ARTICLE 3**

### **Scope of the Convention**

1. This Convention applies to:
  - (a) Banned or severely restricted chemicals; and
  - (b) Severely hazardous pesticide formulations.
2. This Convention does not apply to:
  - (a) Narcotic drugs and psychotropic substances;
  - (b) Radioactive materials;
  - (c) Wastes;
  - (d) Chemical weapons;
  - (e) Pharmaceuticals, including human and veterinary drugs;
  - (f) Chemicals used as food additives;
  - (g) Food;
  - (h) Chemicals in quantities not likely to affect human health or the environment provided they are imported:
    - (i) For the purpose of research or analysis; or
    - (ii) By an individual for his or her own personal use in quantities reasonable for such use.

## **ARTICLE 4**

### **Designated national authorities**

1. Each Party shall designate one or more national authorities that shall be authorized to act on its behalf in the performance of the administrative functions required by this Convention.
2. Each Party shall seek to ensure that such authority or authorities have sufficient resources to perform their tasks effectively.

3. Each Party shall, no later than the date of the entry into force of this Convention for it, notify the name and address of such authority or authorities to the Secretariat. It shall forthwith notify the Secretariat of any changes in the name and address of such authority or authorities.

4. The Secretariat shall forthwith inform the Parties of the notifications it receives under paragraph 3.

## **ARTICLE 5**

### **Procedures for banned or severely restricted chemicals**

1. Each Party that has adopted a final regulatory action shall notify the Secretariat in writing of such action. Such notification shall be made as soon as possible, and in any event no later than ninety days after the date on which the final regulatory action has taken effect, and shall contain the information required by Annex I, where available.

2. Each Party shall, at the date of entry into force of this Convention for it, notify the Secretariat in writing of its final regulatory actions in effect at that time, except that each Party that has submitted notifications of final regulatory actions under the Amended London Guidelines or the International Code of Conduct need not resubmit those notifications.

3. The Secretariat shall, as soon as possible, and in any event no later than six months after receipt of a notification under paragraphs 1 and 2, verify whether the notification contains the information required by Annex I. If the notification contains the information required, the Secretariat shall forthwith forward to all Parties a summary of the information received. If the notification does not contain the information required, it shall inform the notifying Party accordingly.

4. The Secretariat shall every six months communicate to the Parties a synopsis of the information received pursuant to paragraphs 1 and 2, including information regarding those notifications which do not contain all the information required by Annex I.

5. When the Secretariat has received at least one notification from each of two Prior Informed Consent regions regarding a particular chemical that it has verified meet the requirements of Annex I, it shall forward them to the Chemical Review Committee. The composition of the Prior Informed Consent regions shall be defined in a decision to be adopted by consensus at the first meeting of the Conference of the Parties.

6. The Chemical Review Committee shall review the information provided in such notifications and, in accordance with the criteria set out in Annex II, recommend to the Conference of the Parties whether the chemical in question should be made subject to the Prior Informed Consent procedure and, accordingly, be listed in Annex III.

## **ARTICLE 6**

### **Procedures for severely hazardous pesticide formulations**

1. Any Party that is a developing country or a country with an economy in transition and that is experiencing problems caused by a severely hazardous pesticide formulation under conditions of use in its territory, may propose to the Secretariat the listing of the severely hazardous pesticide formulation in Annex III. In developing a proposal, the Party may draw upon technical expertise from any relevant source. The proposal shall contain the information required by part 1 of Annex IV.

2. The Secretariat shall, as soon as possible, and in any event no later than six months after receipt of a proposal under paragraph 1, verify whether the proposal contains the information required by part 1 of Annex IV. If the proposal contains the information required, the Secretariat shall forthwith forward to all Parties a summary of the information received. If the proposal does not contain the information required, it shall inform the proposing Party accordingly.

3. The Secretariat shall collect the additional information set out in part 2 of Annex IV regarding the proposal forwarded under paragraph 2.

4. When the requirements of paragraphs 2 and 3 above have been fulfilled with regard to a particular severely hazardous pesticide formulation, the Secretariat shall forward the proposal and the related information to the Chemical Review Committee.

5. The Chemical Review Committee shall review the information provided in the proposal and the additional information collected and, in accordance with the criteria set out in part 3 of Annex IV, recommend to the Conference of the Parties whether the severely hazardous pesticide formulation in question should be made subject to the Prior Informed Consent procedure and, accordingly, be listed in Annex III.

## **ARTICLE 7**

### **Listing of chemicals in Annex III**

1. For each chemical that the Chemical Review Committee has decided to recommend for listing in Annex III, it shall prepare a draft decision guidance document. The decision guidance document should, at a minimum, be based on the information specified in Annex I, or, as the case may be, Annex IV, and include information on uses of the chemical in a category other than the category for which the final regulatory action applies.
2. The recommendation referred to in paragraph 1 together with the draft decision guidance document shall be forwarded to the Conference of the Parties. The Conference of the Parties shall decide whether the chemical should be made subject to the Prior Informed Consent procedure and, accordingly, list the chemical in Annex III and approve the draft decision guidance document.
3. When a decision to list a chemical in Annex III has been taken and the related decision guidance document has been approved by the Conference of the Parties, the Secretariat shall forthwith communicate this information to all Parties.

## **ARTICLE 8**

### **Chemicals in the voluntary Prior Informed Consent procedure**

For any chemical, other than a chemical listed in Annex III, that has been included in the voluntary Prior Informed Consent procedure before the date of the first meeting of the Conference of the Parties, the Conference of the Parties shall decide at that meeting to list the chemical in Annex III, provided that it is satisfied that all the requirements for listing in that Annex have been fulfilled.

## **ARTICLE 9**

### **Removal of chemicals from Annex III**

1. If a Party submits to the Secretariat information that was not available at the time of the decision to list a chemical in Annex III and that information indicates that its listing may no longer be justified in accordance with the relevant criteria in Annex II or, as the case may be, Annex IV, the Secretariat shall forward the information to the Chemical Review Committee.

2. The Chemical Review Committee shall review the information it receives under paragraph 1. For each chemical that the Chemical Review Committee decides, in accordance with the relevant criteria in Annex II or, as the case may be, Annex IV, to recommend for removal from Annex III, it shall prepare a revised draft decision guidance document.

3. A recommendation referred to in paragraph 2 shall be forwarded to the Conference of the Parties and be accompanied by a revised draft decision guidance document. The Conference of the Parties shall decide whether the chemical should be removed from Annex III and whether to approve the revised draft decision guidance document.

4. When a decision to remove a chemical from Annex III has been taken and the revised decision guidance document has been approved by the Conference of the Parties, the Secretariat shall forthwith communicate this information to all Parties.

## **ARTICLE 10**

### **Obligations in relation to imports of chemicals listed in Annex III**

1. Each Party shall implement appropriate legislative or administrative measures to ensure timely decisions with respect to the import of chemicals listed in Annex III.

2. Each Party shall transmit to the Secretariat, as soon as possible, and in any event no later than nine months after the date of dispatch of the decision guidance document referred to in paragraph 3 of Article 7, a response concerning the future import of the chemical concerned. If a Party modifies this response, it shall forthwith submit the revised response to the Secretariat.

3. The Secretariat shall, at the expiration of the time period in paragraph 2, forthwith address to a Party that has not provided such a response, a written request to do so. Should the Party be unable to provide a response, the Secretariat shall, where appropriate, help it to provide a response within the time period specified in the last sentence of paragraph 2 of Article 11.

4. A response under paragraph 2 shall consist of either:

(a) A final decision, pursuant to legislative or administrative measures:

(i) To consent to import;

- (ii) Not to consent to import; or
  - (iii) To consent to import only subject to specified conditions; or
- (b) An interim response, which may include:
- (i) An interim decision consenting to import with or without specified conditions, or not consenting to import during the interim period;
  - (ii) A statement that a final decision is under active consideration;
  - (iii) A request to the Secretariat, or to the Party that notified the final regulatory action, for further information;
  - (iv) A request to the Secretariat for assistance in evaluating the chemical.
5. A response under subparagraphs (a) or (b) of paragraph 4 shall relate to the category or categories specified for the chemical in Annex III.
6. A final decision should be accompanied by a description of any legislative or administrative measures upon which it is based.
7. Each Party shall, no later than the date of entry into force of this Convention for it, transmit to the Secretariat responses with respect to each chemical listed in Annex III. A Party that has provided such responses under the Amended London Guidelines or the International Code of Conduct need not resubmit those responses.
8. Each Party shall make its responses under this Article available to those concerned within its jurisdiction, in accordance with its legislative or administrative measures.
9. A Party that, pursuant to paragraphs 2 and 4 above and paragraph 2 of Article 11, takes a decision not to consent to import of a chemical or to consent to its import only under specified conditions shall, if it has not already done so, simultaneously prohibit or make subject to the same conditions:
- (a) Import of the chemical from any source; and
  - (b) Domestic production of the chemical for domestic use.

10. Every six months the Secretariat shall inform all Parties of the responses it has received. Such information shall include a description of the legislative or administrative measures on which the decisions have been based, where available. The Secretariat shall, in addition, inform the Parties of any cases of failure to transmit a response.

## **ARTICLE 11**

### **Obligations in relation to exports of chemicals listed in Annex III**

1. Each exporting Party shall:
  - (a) Implement appropriate legislative or administrative measures to communicate the responses forwarded by the Secretariat in accordance with paragraph 10 of Article 10 to those concerned within its jurisdiction;
  - (b) Take appropriate legislative or administrative measures to ensure that exporters within its jurisdiction comply with decisions in each response no later than six months after the date on which the Secretariat first informs the Parties of such response in accordance with paragraph 10 of Article 10;
  - (c) Advise and assist importing Parties, upon request and as appropriate:
    - (i) To obtain further information to help them to take action in accordance with paragraph 4 of Article 10 and paragraph 2 (c) below; and
    - (ii) To strengthen their capacities and capabilities to manage chemicals safely during their life-cycle.
2. Each Party shall ensure that a chemical listed in Annex III is not exported from its territory to any importing Party that, in exceptional circumstances, has failed to transmit a response or has transmitted an interim response that does not contain an interim decision, unless:
  - (a) It is a chemical that, at the time of import, is registered as a chemical in the importing Party; or
  - (b) It is a chemical for which evidence exists that it has previously been used in, or imported into, the importing Party and in relation to which no regulatory action to prohibit its use has been taken; or

- (c) Explicit consent to the import has been sought and received by the exporter through a designated national authority of the importing Party. The importing Party shall respond to such a request within sixty days and shall promptly notify the Secretariat of its decision.

The obligations of exporting Parties under this paragraph shall apply with effect from the expiration of a period of six months from the date on which the Secretariat first informs the Parties, in accordance with paragraph 10 of Article 10, that a Party has failed to transmit a response or has transmitted an interim response that does not contain an interim decision, and shall apply for one year.

## **ARTICLE 12**

### **Export notification**

1. Where a chemical that is banned or severely restricted by a Party is exported from its territory, that Party shall provide an export notification to the importing Party. The export notification shall include the information set out in Annex V.
2. The export notification shall be provided for that chemical prior to the first export following adoption of the corresponding final regulatory action. Thereafter, the export notification shall be provided before the first export in any calendar year. The requirement to notify before export may be waived by the designated national authority of the importing Party.
3. An exporting Party shall provide an updated export notification after it has adopted a final regulatory action that results in a major change concerning the ban or severe restriction of that chemical.
4. The importing Party shall acknowledge receipt of the first export notification received after the adoption of the final regulatory action. If the exporting Party does not receive the acknowledgement within thirty days of the dispatch of the export notification, it shall submit a second notification. The exporting Party shall make reasonable efforts to ensure that the importing Party receives the second notification.
5. The obligations of a Party set out in paragraph 1 shall cease when:
  - (a) The chemical has been listed in Annex III;
  - (b) The importing Party has provided a response for the chemical to the

Secretariat in accordance with paragraph 2 of Article 10; and

- (c) The Secretariat has distributed the response to the Parties in accordance with paragraph 10 of Article 10.

## **ARTICLE 13**

### **Information to accompany exported chemicals**

1. The Conference of the Parties shall encourage the World Customs Organization to assign specific Harmonized System customs codes to the individual chemicals or groups of chemicals listed in Annex III, as appropriate. Each Party shall require that, whenever a code has been assigned to such a chemical, the shipping document for that chemical bears the code when exported.
2. Without prejudice to any requirements of the importing Party, each Party shall require that both chemicals listed in Annex III and chemicals banned or severely restricted in its territory are, when exported, subject to labelling requirements that ensure adequate availability of information with regard to risks and/or hazards to human health or the environment, taking into account relevant international standards.
3. Without prejudice to any requirements of the importing Party, each Party may require that chemicals subject to environmental or health labelling requirements in its territory are, when exported, subject to labelling requirements that ensure adequate availability of information with regard to risks and/or hazards to human health or the environment, taking into account relevant international standards.
4. With respect to the chemicals referred to in paragraph 2 that are to be used for occupational purposes, each exporting Party shall require that a safety data sheet that follows an internationally recognized format, setting out the most up-to-date information available, is sent to each importer.
5. The information on the label and on the safety data sheet should, as far as practicable, be given in one or more of the official languages of the importing Party.

## **ARTICLE 14**

### **Information exchange**

1. Each Party shall, as appropriate and in accordance with the objective of this Convention, facilitate:

- (a) The exchange of scientific, technical, economic and legal information concerning the chemicals within the scope of this Convention, including toxicological, ecotoxicological and safety information;
- (b) The provision of publicly available information on domestic regulatory actions relevant to the objectives of this Convention; and
- (c) The provision of information to other Parties, directly or through the Secretariat, on domestic regulatory actions that substantially restrict one or more uses of the chemical, as appropriate.

2. Parties that exchange information pursuant to this Convention shall protect any confidential information as mutually agreed.

3. The following information shall not be regarded as confidential for the purposes of this Convention:

- (a) The information referred to in Annexes I and IV, submitted pursuant to Articles 5 and 6 respectively;
- (b) The information contained in the safety data sheet referred to in paragraph 4 of Article 13;
- (c) The expiry date of the chemical;
- (d) Information on precautionary measures, including hazard classification, the nature of the risk and the relevant safety advice; and
- (e) The summary results of the toxicological and ecotoxicological tests.

4. The production date of the chemical shall generally not be considered confidential for the purposes of this Convention.

5. Any Party requiring information on transit movements through its territory of chemicals listed in Annex III may report its need to the Secretariat, which shall inform all Parties accordingly.

## **ARTICLE 15**

### **Implementation of the Convention**

1. Each Party shall take such measures as may be necessary to establish and strengthen its national infrastructures and institutions for the effective implementation of this Convention. These measures may include, as required, the adoption or amendment of national legislative or administrative measures and may also include:

- (a) The establishment of national registers and databases including safety information for chemicals;
- (b) The encouragement of initiatives by industry to promote chemical safety; and
- (c) The promotion of voluntary agreements, taking into consideration the provisions of Article 16.

2. Each Party shall ensure, to the extent practicable, that the public has appropriate access to information on chemical handling and accident management and on alternatives that are safer for human health or the environment than the chemicals listed in Annex III.

3. The Parties agree to cooperate, directly or, where appropriate, through competent international organizations, in the implementation of this Convention at the subregional, regional and global levels.

4. Nothing in this Convention shall be interpreted as restricting the right of the Parties to take action that is more stringently protective of human health and the environment than that called for in this Convention, provided that such action is consistent with the provisions of this Convention and is in accordance with international law.

## **ARTICLE 16**

### **Technical assistance**

The Parties shall, taking into account in particular the needs of developing countries and countries with economies in transition, cooperate in promoting technical assistance for the development of the infrastructure and the capacity necessary

to manage chemicals to enable implementation of this Convention. Parties with more advanced programmes for regulating chemicals should provide technical assistance, including training, to other Parties in developing their infrastructure and capacity to manage chemicals throughout their life-cycle.

## **ARTICLE 17**

### **Non-Compliance**

The Conference of the Parties shall, as soon as practicable, develop and approve procedures and institutional mechanisms for determining non-compliance with the provisions of this Convention and for treatment of Parties found to be in non-compliance.

## **ARTICLE 18**

### **Conference of the Parties**

1. A Conference of the Parties is hereby established.
2. The first meeting of the Conference of the Parties shall be convened by the Executive Director of UNEP and the Director-General of FAO, acting jointly, no later than one year after the entry into force of this Convention. Thereafter, ordinary meetings of the Conference of the Parties shall be held at regular intervals to be determined by the Conference.
3. Extraordinary meetings of the Conference of the Parties shall be held at such other times as may be deemed necessary by the Conference, or at the written request of any Party provided that it is supported by at least one third of the Parties.
4. The Conference of the Parties shall by consensus agree upon and adopt at its first meeting rules of procedure and financial rules for itself and any subsidiary bodies, as well as financial provisions governing the functioning of the Secretariat.
5. The Conference of the Parties shall keep under continuous review and evaluation the implementation of this Convention. It shall perform the functions assigned to it by the Convention and, to this end, shall:

- (a) Establish, further to the requirements of paragraph 6 below, such subsidiary bodies as it considers necessary for the implementation of the Convention;
  - (b) Cooperate, where appropriate, with competent international organizations and intergovernmental and non-governmental bodies; and
  - (c) Consider and undertake any additional action that may be required for the achievement of the objectives of the Convention.
6. The Conference of the Parties shall, at its first meeting, establish a subsidiary body, to be called the Chemical Review Committee, for the purposes of performing the functions assigned to that Committee by this Convention. In this regard:
- (a) The members of the Chemical Review Committee shall be appointed by the Conference of the Parties. Membership of the Committee shall consist of a limited number of government-designated experts in chemicals management. The members of the Committee shall be appointed on the basis of equitable geographical distribution, including ensuring a balance between developed and developing Parties;
  - (b) The Conference of the Parties shall decide on the terms of reference, organization and operation of the Committee;
  - (c) The Committee shall make every effort to make its recommendations by consensus. If all efforts at consensus have been exhausted, and no consensus reached, such recommendation shall as a last resort be adopted by a two-thirds majority vote of the members present and voting.
7. The United Nations, its specialized agencies and the International Atomic Energy Agency, as well as any State not Party to this Convention, may be represented at meetings of the Conference of the Parties as observers. Any body or agency, whether national or international, governmental or nongovernmental, qualified in matters covered by the Convention, and which has informed the Secretariat of its wish to be represented at a meeting of the Conference of the Parties as an observer may be admitted unless at least one third of the Parties present object. The admission and participation of observers shall be subject to the rules of procedure adopted by the Conference of the Parties.

## **ARTICLE 19**

### **Secretariat**

1. A Secretariat is hereby established.
2. The functions of the Secretariat shall be:
  - (a) To make arrangements for meetings of the Conference of the Parties and its subsidiary bodies and to provide them with services as required;
  - (b) To facilitate assistance to the Parties, particularly developing Parties and Parties with economies in transition, on request, in the implementation of this Convention;
  - (c) To ensure the necessary coordination with the Secretariats of other relevant international bodies;
  - (d) To enter, under the overall guidance of the Conference of the Parties, into such administrative and contractual arrangements as may be required for the effective discharge of its functions; and
  - (e) To perform the other secretariat functions specified in this Convention and such other functions as may be determined by the Conference of the Parties.
3. The secretariat functions for this Convention shall be performed jointly by the Executive Director of UNEP and the Director-General of FAO, subject to such arrangements as shall be agreed between them and approved by the Conference of the Parties.
4. The Conference of the Parties may decide, by a three-fourths majority of the Parties present and voting, to entrust the secretariat functions to one or more other competent international organizations, should it find that the Secretariat is not functioning as intended.

## **ARTICLE 20**

### **Settlement of disputes**

1. Parties shall settle any dispute between them concerning the interpretation or application of this Convention through negotiation or other peaceful means of their own choice.

2. When ratifying, accepting, approving or acceding to this Convention, or at any time thereafter, a Party that is not a regional economic integration organization may declare in a written instrument submitted to the Depositary that, with respect to any dispute concerning the interpretation or application of the Convention, it recognizes one or both of the following means of dispute settlement as compulsory in relation to any Party accepting the same obligation:

(a) Arbitration in accordance with procedures to be adopted by the Conference of the Parties in an annex as soon as practicable; and

(b) Submission of the dispute to the International Court of Justice.

3. A Party that is a regional economic integration organization may make a declaration with like effect in relation to arbitration in accordance with the procedure referred to in paragraph 2 (a).

4. A declaration made pursuant to paragraph 2 shall remain in force until it expires in accordance with its terms or until three months after written notice of its revocation has been deposited with the Depositary.

5. The expiry of a declaration, a notice of revocation or a new declaration shall not in any way affect proceedings pending before an arbitral tribunal or the International Court of Justice unless the parties to the dispute otherwise agree.

6. If the parties to a dispute have not accepted the same or any procedure pursuant to paragraph 2, and if they have not been able to settle their dispute within twelve months following notification by one party to another that a dispute exists between them, the dispute shall be submitted to a conciliation commission at the request of any party to the dispute. The conciliation commission shall render a report with recommendations. Additional procedures relating to the conciliation commission shall be included in an annex to be adopted by the Conference of the Parties no later than the second meeting of the Conference.

## **ARTICLE 21**

### **Amendments to the Convention**

1. Amendments to this Convention may be proposed by any Party.

2. Amendments to this Convention shall be adopted at a meeting of the Conference of the Parties. The text of any proposed amendment shall be communicated to

the Parties by the Secretariat at least six months before the meeting at which it is proposed for adoption. The Secretariat shall also communicate the proposed amendment to the signatories to this Convention and, for information, to the Depositary.

3. The Parties shall make every effort to reach agreement on any proposed amendment to this Convention by consensus. If all efforts at consensus have been exhausted, and no agreement reached, the amendment shall as a last resort be adopted by a three-fourths majority vote of the Parties present and voting at the meeting.

4. The amendment shall be communicated by the Depositary to all Parties for ratification, acceptance or approval.

5. Ratification, acceptance or approval of an amendment shall be notified to the Depositary in writing. An amendment adopted in accordance with paragraph 3 shall enter into force for the Parties having accepted it on the ninetieth day after the date of deposit of instruments of ratification, acceptance or approval by at least three fourths of the Parties. Thereafter, the amendment shall enter into force for any other Party on the ninetieth day after the date on which that Party deposits its instrument of ratification, acceptance or approval of the amendment.

## **ARTICLE 22**

### **Adoption and amendment of annexes**

1. Annexes to this Convention shall form an integral part thereof and, unless expressly provided otherwise, a reference to this Convention constitutes at the same time a reference to any annexes thereto.

2. Annexes shall be restricted to procedural, scientific, technical or administrative matters.

3. The following procedure shall apply to the proposal, adoption and entry into force of additional annexes to this Convention:

(a) Additional annexes shall be proposed and adopted according to the procedure laid down in paragraphs 1, 2 and 3 of Article 21;

(b) Any Party that is unable to accept an additional annex shall so notify the Depositary, in writing, within one year from the date of communication

of the adoption of the additional annex by the Depositary. The Depositary shall without delay notify all Parties of any such notification received. A Party may at any time withdraw a previous notification of non-acceptance in respect of an additional annex and the annex shall thereupon enter into force for that Party subject to subparagraph (c) below; and

- (c) On the expiry of one year from the date of the communication by the Depositary of the adoption of an additional annex, the annex shall enter into force for all Parties that have not submitted a notification in accordance with the provisions of subparagraph (b) above.

4. Except in the case of Annex III, the proposal, adoption and entry into force of amendments to annexes to this Convention shall be subject to the same procedures as for the proposal, adoption and entry into force of additional annexes to the Convention.

5. The following procedure shall apply to the proposal, adoption and entry into force of amendments to Annex III:

- (a) Amendments to Annex III shall be proposed and adopted according to the procedure laid down in Articles 5 to 9 and paragraph 2 of Article 21;
- (b) The Conference of the Parties shall take its decisions on adoption by consensus;
- (c) A decision to amend Annex III shall forthwith be communicated to the Parties by the Depositary. The amendment shall enter into force for all Parties on a date to be specified in the decision.

6. If an additional annex or an amendment to an annex is related to an amendment to this Convention, the additional annex or amendment shall not enter into force until such time as the amendment to the Convention enters into force.

## **ARTICLE 23**

### **Voting**

1. Each Party to this Convention shall have one vote, except as provided for in paragraph 2 below.

2. A regional economic integration organization, on matters within its competence,

shall exercise its right to vote with a number of votes equal to the number of its member States that are Parties to this Convention. Such an organization shall not exercise its right to vote if any of its member States exercises its right to vote, and vice versa.

3. For the purposes of this Convention, “Parties present and voting” means Parties present and casting an affirmative or negative vote.

## **ARTICLE 24**

### **Signature**

This Convention shall be open for signature at Rotterdam by all States and regional economic integration organizations on 11 September 1998, and at United Nations Headquarters in New York from 12 September 1998 to 10 September 1999.

## **ARTICLE 25**

### **Ratification, acceptance, approval or accession**

1. This Convention shall be subject to ratification, acceptance or approval by States and by regional economic integration organizations. It shall be open for accession by States and by regional economic integration organizations from the day after the date on which the Convention is closed for signature. Instruments of ratification, acceptance, approval or accession shall be deposited with the Depositary.

2. Any regional economic integration organization that becomes a Party to this Convention without any of its member States being a Party shall be bound by all the obligations under the Convention. In the case of such organizations, one or more of whose member States is a Party to this Convention, the organization and its member States shall decide on their respective responsibilities for the performance of their obligations under the Convention. In such cases, the organization and the member States shall not be entitled to exercise rights under the Convention concurrently.

3. In its instrument of ratification, acceptance, approval or accession, a regional economic integration organization shall declare the extent of its competence in respect of the matters governed by this Convention. Any such organization shall also inform the Depositary, who shall in turn inform the Parties, of any relevant modification in the extent of its competence.

## **ARTICLE 26**

### **Entry into force**

1. This Convention shall enter into force on the ninetieth day after the date of deposit of the fiftieth instrument of ratification, acceptance, approval or accession.
2. For each State or regional economic integration organization that ratifies, accepts or approves this Convention or accedes thereto after the deposit of the fiftieth instrument of ratification, acceptance, approval or accession, the Convention shall enter into force on the ninetieth day after the date of deposit by such State or regional economic integration organization of its instrument of ratification, acceptance, approval or accession.
3. For the purpose of paragraphs 1 and 2, any instrument deposited by a regional economic integration organization shall not be counted as additional to those deposited by member States of that organization.

## **ARTICLE 27**

### **Reservations**

No reservations may be made to this Convention.

## **ARTICLE 28**

### **Withdrawal**

1. At any time after three years from the date on which this Convention has entered into force for a Party, that Party may withdraw from the Convention by giving written notification to the Depositary.
2. Any such withdrawal shall take effect upon expiry of one year from the date of receipt by the Depositary of the notification of withdrawal, or on such later date as may be specified in the notification of withdrawal.

## **ARTICLE 29**

### **Depositary**

The Secretary-General of the United Nations shall be the Depositary of this Convention.

## **ARTICLE 30**

### **Authentic texts**

The original of this Convention, of which the Arabic, Chinese, English, French, Russian and Spanish texts are equally authentic, shall be deposited with the Secretary-General of the United Nations.

IN WITNESS WHEREOF the undersigned, being duly authorized to that effect, have signed this Convention.

Done at Rotterdam on this tenth day of September, one thousand nine hundred and ninety-eight.



## **ANNEXES**



# ANNEX I

## INFORMATION REQUIREMENTS FOR NOTIFICATIONS MADE PURSUANT TO ARTICLE 5

Notifications shall include:

1. Properties, identification and uses
  - (a) Common name;
  - (b) Chemical name according to an internationally recognized nomenclature {for example, International Union of Pure and Applied Chemistry (IUPAC)}, where such nomenclature exists;
  - (c) Trade names and names of preparations;
  - (d) Code numbers: Chemical Abstracts Service (CAS) number, Harmonized System customs code and other numbers;
  - (e) Information on hazard classification, where the chemical is subject to classification requirements;
  - (f) Use or uses of the chemical;
  - (g) Physico-chemical, toxicological and ecotoxicological properties.
2. Final regulatory action
  - (a) Information specific to the final regulatory action:
    - (i) Summary of the final regulatory action;
    - (ii) Reference to the regulatory document;
    - (iii) Date of entry into force of the final regulatory action;
    - (iv) Indication of whether the final regulatory action was taken on the basis of a risk or hazard evaluation and, if so, information on such evaluation, covering a reference to the relevant documentation;

- (v) Reasons for the final regulatory action relevant to human health, including the health of consumers and workers, or the environment;
  - (vi) Summary of the hazards and risks presented by the chemical to human health, including the health of consumers and workers, or the environment and the expected effect of the final regulatory action;
- (b) Category or categories where the final regulatory action has been taken, and for each category:
- (i) Use or uses prohibited by the final regulatory action;
  - (ii) Use or uses that remain allowed;
  - (iii) Estimation, where available, of quantities of the chemical produced, imported, exported and used;
- (c) An indication, to the extent possible, of the likely relevance of the final regulatory action to other States and regions;
- (d) Other relevant information that may cover:
- (i) Assessment of socio-economic effects of the final regulatory action;
  - (ii) Information on alternatives and their relative risks, where available, such as:
    - Integrated pest management strategies;
    - Industrial practices and processes, including cleaner technology.

## **ANNEX II**

### **CRITERIA FOR LISTING BANNED OR SEVERELY RESTRICTED CHEMICALS IN ANNEX III**

In reviewing the notifications forwarded by the Secretariat pursuant to paragraph 5 of Article 5, the Chemical Review Committee shall:

- (a) Confirm that the final regulatory action has been taken in order to protect human health or the environment;
- (b) Establish that the final regulatory action has been taken as a consequence of a risk evaluation. This evaluation shall be based on a review of scientific data in the context of the conditions prevailing in the Party in question. For this purpose, the documentation provided shall demonstrate that:
  - (i) Data have been generated according to scientifically recognized methods;
  - (ii) Data reviews have been performed and documented according to generally recognized scientific principles and procedures;
  - (iii) The final regulatory action was based on a risk evaluation involving prevailing conditions within the Party taking the action;
- (c) Consider whether the final regulatory action provides a sufficiently broad basis to merit listing of the chemical in Annex III, by taking into account:
  - (i) Whether the final regulatory action led, or would be expected to lead, to a significant decrease in the quantity of the chemical used or the number of its uses;
  - (ii) Whether the final regulatory action led to an actual reduction of risk or would be expected to result in a significant reduction of risk for human health or the environment of the Party that submitted the notification;
  - (iii) Whether the considerations that led to the final regulatory action being taken are applicable only in a limited geographical area or in other limited circumstances;
  - (iv) Whether there is evidence of ongoing international trade in the chemical;
- (d) Take into account that intentional misuse is not in itself an adequate reason to list a chemical in Annex III.

## ANNEX III <sup>1</sup>

### CHEMICALS SUBJECT TO THE PRIOR INFORMED CONSENT PROCEDURE

Chemical	Relevant CAS number(s)	Category
2,4,5-T and its salts and esters	93-76-5*	Pesticide
Alachlor	15972-60-8	Pesticide
Aldicarb	116-06-3	Pesticide
Aldrin	309-00-2	Pesticide
Azinphos-methyl	86-50-0	Pesticide
Binapacryl	485-31-4	Pesticide
Captafol	2425-06-1	Pesticide
Carbofuran	1563-66-2	Pesticide
Chlordane	57-74-9	Pesticide
Chlordimeform	6164-98-3	Pesticide
Chlorobenzilate	510-15-6	Pesticide
DDT	50-29-3	Pesticide
Dieldrin	60-57-1	Pesticide
Dinitro- <i>ortho</i> -cresol (DNOC) and its salts (such as ammonium salt, potassium salt and sodium salt)	534-52-1 2980-64-5 5787-96-2 2312-76-7	Pesticide
Dinoseb and its salts and esters	88-85-7*	Pesticide
1,2-dibromoethane (EDB)	106-93-4	Pesticide
Endosulfan	115-29-7	Pesticide
Ethylene dichloride	107-06-2	Pesticide
Ethylene oxide	75-21-8	Pesticide
Fluoroacetamide	640-19-7	Pesticide
HCH (mixed isomers)	608-73-1	Pesticide

<sup>1</sup> As amended by the Conference of the Parties by its decision RC-1/3 of 24 September 2004; RC-4/5 of 31 October 2008; RC-5/3, RC-5/4 and RC-5/5 of 24 June 2011; RC-6/4, RC-6/5, RC-6/6 and RC-6/7 of 10 May 2013; RC-7/4 of 15 May 2015; RC-8/2, RC—8/3, RC-8/4, RC-8/5 of 5 May 2017; and RC-9/3 and RC-9/4 of 10 May 2019.

<b>Chemical</b>	<b>Relevant CAS number(s)</b>	<b>Category</b>
Heptachlor	76-44-8	Pesticide
Hexachlorobenzene	118-74-1	Pesticide
Lindane	58-89-9	Pesticide
Mercury compounds, including inorganic mercury compounds, alkyl mercury compounds and alkyloxyalkyl and aryl mercury compounds		Pesticide
Methamidophos	10265-92-6	Pesticide
Monocrotophos	6923-22-4	Pesticide
Parathion	56-38-2	Pesticide
Pentachlorophenol and its salts and esters	87-86-5*	Pesticide
Phorate	298-02-2	Pesticide
Toxaphene	8001-35-2	Pesticide
Trichlorfon	52-68-6	Pesticide
Dustable powder formulations containing a combination of: – Benomyl at or above 7 per cent, – Carbofuran at or above 10 per cent, and – Thiram at or above 15 per cent	17804-35-2 1563-66-2 137-26-8	Severely hazardous pesticide formulation
Phosphamidon (soluble liquid formulations of the substance that exceed 1,000 g active ingredient/l)	13171-21-6 (mixture, [E] & [Z] isomers) 23783-98-4 ([Z]-isomer) 297-99-4 ([E]-isomer)	Severely hazardous pesticide formulation
Methyl-parathion (emulsifiable concentrates (EC) at or above 19.5% active ingredient and dusts at or above 1.5% active ingredient)	298-00-0	Severely hazardous pesticide formulation
Asbestos: – Actinolite – Anthophyllite – Amosite – Crocidolite – Tremolite	77536-66-4 77536-67-5 12172-73-5 12001-28-4 77536-68-6	Industrial Industrial Industrial Industrial Industrial

<b>Chemical</b>	<b>Relevant CAS number(s)</b>	<b>Category</b>
Commercial octabromodiphenyl ether including: – Hexabromodiphenyl ether – Heptabromodiphenyl ether	36483-60-0 68928-80-3	Industrial
Commercial pentabromodiphenyl ether including: – Tetrabromodiphenyl ether – Pentabromodiphenyl ether	40088-47-9 32534-81-9	Industrial
Hexabromocyclododecane	25637-99-4 3194-55-6 134237-50-6 134237-51-7 134237-52-8	Industrial
Perfluorooctane sulfonic acid, perfluorooctane sulfonates, perfluorooctane sulfonamides and perfluorooctane sulfonyls including: – Perfluorooctane sulfonic acid – Potassium perfluorooctane sulfonate – Lithium perfluorooctane sulfonate – Ammonium perfluorooctane sulfonate – Diethanolammonium perfluorooctane sulfonate – Tetraethylammonium perfluorooctane sulfonate – Didecyltrimethylammonium perfluorooctane sulfonate – N-Ethylperfluorooctane sulfonamide – N-Methylperfluorooctane sulfonamide – N-Ethyl-N-(2-hydroxyethyl) perfluorooctane sulfonamide – N-(2-hydroxyethyl)-N-methylperfluorooctane sulfonamide – Perfluorooctane sulfonyl fluoride	1763-23-1 2795-39-3 29457-72-5 29081-56-9 70225-14-8 56773-42-3 251099-16-8 4151-50-2 31506-32-8 1691-99-2 24448-09-7 307-35-7	Industrial

<b>Chemical</b>	<b>Relevant CAS number(s)</b>	<b>Category</b>
Polybrominated biphenyls (PBB)	36355-01-8 (hexa-) 27858-07-7 (octa-) 13654-09-6 (deca-)	Industrial
Polychlorinated biphenyls (PCB)	1336-36-3	Industrial
Polychlorinated terphenyls (PCT)	61788-33-8	Industrial
Short-chain chlorinated paraffins	85535-84-8	Industrial
Tetraethyl lead	78-00-2	Industrial
Tetramethyl lead	75-74-1	Industrial
Tris (2,3-dibromopropyl) phosphate	126-72-7	Industrial
All tributyltin compounds including:		Pesticide/ Industrial**
– Tributyltin oxide	56-35-9	
– Tributyltin fluoride	1983-10-4	
– Tributyltin methacrylate	2155-70-6	
– Tributyltin benzoate	4342-36-3	
– Tributyltin chloride	1461-22-9	
– Tributyltin linoleate	24124-25-2	
– Tributyltin naphthenate	85409-17-2	

\* Only the CAS numbers of parent compounds are listed. For a list of other relevant CAS numbers, reference may be made to the relevant decision guidance document.

\*\* All tributyltin compounds are listed in Annex III in both the industrial and pesticide categories. These chemicals were initially listed in Annex III in the pesticide category by decision RC-4/5, with the amendment entering into force on 1 February 2009. Decision RC-8/5 subsequently amended Annex III to list all tributyltin compounds in the industrial category, with the amendment entering into force on 15 September 2017.

## **ANNEX IV**

### **INFORMATION AND CRITERIA FOR LISTING SEVERELY HAZARDOUS PESTICIDE FORMULATIONS IN ANNEX III**

#### **Part 1. Documentation required from a proposing Party**

Proposals submitted pursuant to paragraph 1 of Article 6 shall include adequate documentation containing the following information:

- (a) Name of the hazardous pesticide formulation;
- (b) Name of the active ingredient or ingredients in the formulation;
- (c) Relative amount of each active ingredient in the formulation;
- (d) Type of formulation;
- (e) Trade names and names of the producers, if available;
- (f) Common and recognized patterns of use of the formulation within the proposing Party;
- (g) A clear description of incidents related to the problem, including the adverse effects and the way in which the formulation was used;
- (h) Any regulatory, administrative or other measure taken, or intended to be taken, by the proposing Party in response to such incidents.

#### **Part 2. Information to be collected by the Secretariat**

Pursuant to paragraph 3 of Article 6, the Secretariat shall collect relevant information relating to the formulation, including:

- (a) The physico-chemical, toxicological and ecotoxicological properties of the formulation;
- (b) The existence of handling or applicator restrictions in other States;

- (c) Information on incidents related to the formulation in other States;
- (d) Information submitted by other Parties, international organizations, non-governmental organizations or other relevant sources, whether national or international;
- (e) Risk and/or hazard evaluations, where available;
- (f) Indications, if available, of the extent of use of the formulation, such as the number of registrations or production or sales quantity;
- (g) Other formulations of the pesticide in question, and incidents, if any, relating to these formulations;
- (h) Alternative pest-control practices;
- (i) Other information which the Chemical Review Committee may identify as relevant.

### **Part 3. Criteria for listing severely hazardous pesticide formulations in Annex III**

In reviewing the proposals forwarded by the Secretariat pursuant to paragraph 5 of Article 6, the Chemical Review Committee shall take into account:

- (a) The reliability of the evidence indicating that use of the formulation, in accordance with common or recognized practices within the proposing Party, resulted in the reported incidents;
- (b) The relevance of such incidents to other States with similar climate, conditions and patterns of use of the formulation;
- (c) The existence of handling or applicator restrictions involving technology or techniques that may not be reasonably or widely applied in States lacking the necessary infrastructure;
- (d) The significance of reported effects in relation to the quantity of the formulation used;
- (e) That intentional misuse is not in itself an adequate reason to list a formulation in Annex III.

## **ANNEX V**

### **INFORMATION REQUIREMENTS FOR EXPORT NOTIFICATION**

1. Export notifications shall contain the following information:
  - (a) Name and address of the relevant designated national authorities of the exporting Party and the importing Party;
  - (b) Expected date of export to the importing Party;
  - (c) Name of the banned or severely restricted chemical and summary of the information specified in Annex I that is to be provided to the Secretariat in accordance with Article 5. Where more than one such chemical is included in a mixture or preparation, such information shall be provided for each chemical;
  - (d) A statement indicating, if known, the foreseen category of the chemical and its foreseen use within that category in the importing Party;
  - (e) Information on precautionary measures to reduce exposure to and emission of, the chemical;
  - (f) In case of a mixture or a preparation, the concentration of the banned or severely restricted chemical or chemicals in question;
  - (g) Name and address of the importer;
  - (h) Any additional information that is readily available to the relevant designated national authority of the exporting Party that would be of assistance to the designated national authority of the importing Party.
2. In addition to the information referred to in paragraph 1, the exporting Party shall provide such further information specified in Annex I as may be requested by the importing Party.

## **ANNEX VI<sup>2</sup>**

### **SETTLEMENTS OF DISPUTES**

#### **A. Rules on arbitration**

The arbitration procedure for purposes of paragraph 2 (a) of article 20 of the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade shall be as follows:

##### **Article 1**

1. A Party may initiate recourse to arbitration in accordance with article 20 of the Convention by written notification addressed to the other Party to the dispute. The notification shall be accompanied by a statement of the claim, together with any supporting documents, and shall state the subject matter for arbitration including, in particular, the articles of the Convention the interpretation or application of which are at issue.
2. The claimant Party shall notify the Secretariat that the Parties are referring a dispute to arbitration pursuant to Article 20. The written notification of the claimant Party shall be accompanied by the statement of claim and the supporting documents referred to in paragraph 1 above. The Secretariat shall forward the information thus received to all Parties.

##### **Article 2**

1. In disputes between two Parties, an Arbitral Tribunal shall be established. It shall consist of three members.
2. Each of the Parties to the dispute shall appoint an arbitrator and the two arbitrators so appointed shall designate by common agreement the third arbitrator, who shall be the President of the Tribunal. The President of the Tribunal shall not

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<sup>2</sup> The amendment whereby Annex VI was added to the Convention entered into force on 11 January 2006, on expiry of one year from the date of the communication of its adoption by the depositary (C.N.10.2005 reflecting decision RC-1/11 adopted by the first meeting of the Conference of the Parties).

be a national of one of the Parties to the dispute, nor have his or her usual place of residence in the territory of one of these Parties, nor be employed by any of them, nor have dealt with the case in any other capacity.

3. In disputes between more than two Parties, Parties in the same interest shall appoint one arbitrator jointly by agreement.

4. Any vacancy shall be filled in the manner prescribed for the initial appointment.

5. If the Parties do not agree on the subject matter of the dispute before the President of the Arbitral Tribunal is designated, the Arbitral Tribunal shall determine the subject matter.

### **Article 3**

1. If one of the Parties to the dispute does not appoint an arbitrator within two months of the date on which the respondent Party receives the notification of the arbitration, the other Party may inform the Secretary-General of the United Nations who shall make the designation within a further two-month period.

2. If the President of the Arbitral Tribunal has not been designated within two months of the date of the appointment of the second arbitrator, the Secretary-General of the United Nations shall, at the request of a Party, designate the President within a further two-month period.

### **Article 4**

The Arbitral Tribunal shall render its decisions in accordance with the provisions of the Convention and international law.

### **Article 5**

Unless the parties to the dispute agree otherwise, the Arbitral Tribunal shall determine its own rules of procedure.

### **Article 6**

The Arbitral Tribunal may, at the request of one of the Parties, recommend essential interim measures of protection.

## **Article 7**

The Parties to the dispute shall facilitate the work of the Arbitral Tribunal and, in particular, using all means at their disposal, shall:

- (a) Provide it with all relevant documents, information and facilities; and
- (b) Enable it, when necessary, to call witnesses or experts and receive their evidence.

## **Article 8**

The Parties and the arbitrators are under an obligation to protect the confidentiality of any information they receive in confidence during the proceedings of the Arbitral Tribunal.

## **Article 9**

Unless the Arbitral Tribunal determines otherwise because of the particular circumstances of the case, the costs of the Tribunal shall be borne by the Parties to the dispute in equal shares. The Tribunal shall keep a record of all its costs and shall furnish a final statement thereof to the Parties.

## **Article 10**

A Party that has an interest of a legal nature in the subject matter of the dispute which may be affected by the decision in the case, may intervene in the proceedings with the consent of the Arbitral Tribunal.

## **Article 11**

The Arbitral Tribunal may hear and determine counterclaims arising directly out of the subject matter of the dispute.

## **Article 12**

Decisions of the Arbitral Tribunal on both procedure and substance shall be taken by a majority vote of its members.

## **Article 13**

1. If one of the Parties to the dispute does not appear before the Arbitral Tribunal or fails to defend its case, the other Party may request the Tribunal to continue the proceedings and to render its decision. Absence of a Party or failure of a Party to defend its case shall not constitute a bar to the proceedings.
2. Before rendering its final decision, the Arbitral Tribunal must satisfy itself that the claim is well founded in fact and law.

## **Article 14**

The Arbitral Tribunal shall render its final decision within five months of the date on which it is fully constituted, unless it finds it necessary to extend the time limit for a period which should not exceed five more months.

## **Article 15**

The final decision of the Arbitral Tribunal shall be confined to the subject matter of the dispute and shall state the reasons on which it is based. It shall contain the names of the members who have participated and the date of the final decision. Any member of the Tribunal may attach a separate or dissenting opinion to the final decision.

## **Article 16**

The award shall be binding on the parties to the dispute. The interpretation of the Convention given by the award shall also be binding upon a Party intervening under Article 10 above insofar as it relates to matters in respect of which that Party intervened. The award shall be without appeal unless the parties to the dispute have agreed in advance to an appellate procedure.

## **Article 17**

Any controversy which may arise between those bound by the final decision in accordance with Article 16 above, as regards the interpretation or manner of implementation of that decision, may be submitted by any of them for decision to the Arbitral Tribunal which rendered it.

## **B. Rules on conciliation**

The conciliation procedure for purposes of paragraph 6 of article 20 of the Convention shall be as follows.

### **Article 1**

1. A request by a party to a dispute to establish a conciliation commission in consequence of paragraph 6 of Article 20 shall be addressed in writing to the Secretariat. The Secretariat shall forthwith inform all Parties accordingly.
2. The conciliation commission shall, unless the parties otherwise agree, be composed of five members, two appointed by each Party concerned and a President chosen jointly by those members.

### **Article 2**

In disputes between more than two parties, parties in the same interest shall appoint their members of the commission jointly by agreement.

### **Article 3**

If any appointments by the parties are not made within two months of the date of receipt by the Secretariat of the written request referred to in article 1, the Secretary-General of the United Nations shall, upon request by a party, make those appointments within a further two-month period.

### **Article 4**

If the President of the conciliation commission has not been chosen within two months of the fourth member of the commission being appointed, the Secretary-

General of the United Nations shall, upon request by a party, designate the President within a further two-month period.

## **Article 5**

1. The conciliation commission shall, unless the parties to the dispute otherwise agree, determine its own rules of procedure.
2. The parties and members of the commission are under an obligation to protect the confidentiality of any information they receive in confidence during the proceedings of the commission.

## **Article 6**

The conciliation commission shall take its decisions by a majority vote of its members.

## **Article 7**

The conciliation commission shall render a report with recommendations for resolution of the dispute within twelve months of being established, which the parties shall consider in good faith.

## **Article 8**

Any disagreement as to whether the conciliation commission has competence to consider a matter referred to it shall be decided by the commission.

## **Article 9**

The costs of the Commission shall be borne by the parties to the dispute in shares agreed by them. The Commission shall keep the record of all its costs and shall furnish a final statement thereof to the parties.

## **ANNEX VII<sup>3</sup>**

### **PROCEDURES AND MECHANISMS ON COMPLIANCE WITH THE ROTTERDAM CONVENTION**

1. A compliance committee (hereinafter referred to as “the Committee”) is hereby established.

#### **Members**

2. The Committee shall consist of 15 members. Members shall be nominated by Parties and elected by the Conference of the Parties on the basis of equitable geographical representation of the five regional groups of the United Nations.

3. Members shall have expertise and specific qualifications in the subject matter covered by the Convention. They shall serve objectively and in the best interest of the Convention.

#### **Election of members**

4. At its first meeting after the entry into force of the present annex, the Conference of the Parties shall elect eight members of the Committee for one term and seven members for two terms. The Conference of the Parties shall, at each ordinary meeting thereafter, elect for two full terms new members to replace those members whose period of office as expired or is about to expire. Members shall not serve for more than two consecutive terms. For the purpose of the present annex, “term” shall mean the period that begins at the end of one ordinary meeting of the Conference of the Parties and ends at the end of the next ordinary meeting of the Conference of the Parties.

5. If a member of the Committee resigns or is otherwise unable to complete his or her term of office or to perform his or her functions, the Party that nominated that member shall nominate an alternate to serve for the remainder of the term.

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<sup>3</sup> The amendment whereby Annex VII was added to the Convention entered into force on 6 November 2020, on expiry of one year from the date of the communication of its adoption by the depositary [C.N.574.2019 reflecting decision RC-9/7 adopted by the ninth meeting of the Conference of the Parties].

## **Officers**

6. The Committee shall elect its own chair. A vice-chair and a rapporteur shall be elected, on a rotating basis, by the Committee in accordance with rule 30 of the rules of procedure of the Conference of the Parties.

## **Meetings**

7. The Committee shall hold meetings as necessary and wherever possible in conjunction with meetings of the Conference of the Parties or other Convention bodies.

8. Subject to paragraph 9 below, the meetings of the Committee shall be open to Parties and the public unless the Committee decides otherwise. When the Committee is dealing with submissions pursuant to paragraph 12 or 13 below, the meetings of the Committee shall be open to Parties and closed to the public unless the Party whose compliance is in question agrees otherwise. The Parties or observers to whom the meeting is open shall not have the right to participate in the meeting unless the Committee and the Party whose compliance is in question agree otherwise.

9. Where a submission is made with regard to the possible non-compliance of a Party, it shall be invited to participate in the consideration of the submission by the Committee. Such a Party, however, may not take part in the elaboration and adoption of a recommendation or conclusion of the Committee in relation to the matter.

10. The Committee shall make every effort to reach agreement on all matters of substance by consensus. Where this is not possible, the report shall reflect the views of all Committee members. If all efforts to reach consensus have been exhausted and no agreement has been reached, any decision shall, as a last resort, be taken by a four-fifths majority of the members present and voting or by eight members, whichever is greater. Ten members of the Committee shall constitute a quorum.

11. Each member of the Committee shall, in respect of any matter that is under consideration by the Committee, avoid direct or indirect conflicts of interest. When a member finds himself or herself faced with a direct or indirect conflict of interest, or is a citizen of a Party whose compliance is in question, that member shall bring the issue to the attention of the Committee before consideration of the matter. The concerned member shall not participate in the elaboration and adoption of a recommendation of the Committee in relation to that matter.

12. Submissions may be made in writing, through the Secretariat, by:
- (a) A Party that believes that, despite its best endeavours, it is, or will be, unable to comply with certain obligations under the Convention. Such a submission should include details as to which specific obligations are concerned and an assessment of the reason why the Party may be unable to meet those obligations. Where possible, substantiating information, or advice as to where such substantiating information may be found, may be provided. The submission may include suggestions for solutions which the Party considers may be most appropriate to its particular needs;
  - (b) A Party that is directly affected or likely to be directly affected by another Party's alleged failure to comply with the obligations of the Convention. A Party intending to make a submission under the present subparagraph should, before so doing, undertake consultations with the Party whose compliance is in question. The submission should include details as to which specific obligations are concerned, and information substantiating the submission, including how the Party is affected or likely to be affected.
13. The Committee, in order to assess possible difficulties faced by Parties in fulfilling their obligations under Articles 4 (1), 5 (1), 5 (2) and 10 of the Convention, upon receipt of information from the Secretariat provided by such Parties pursuant to those provisions, shall notify the Party in writing regarding the matter of concern. If the matter has not been resolved within 90 days by consultation through the Secretariat with the Party concerned and the Committee considers the matter further, it shall do so in accordance with paragraphs 16 to 24 below.
14. The Secretariat shall forward submissions made under subparagraph 12 (a) above, within two weeks of receiving such submissions, to the members of the Committee for consideration at the Committee's next meeting.
15. The Secretariat shall, within two weeks of its receiving any submission made under subparagraph 12 (b) or in furtherance to paragraph 13 above, send a copy to the Party whose compliance with the Convention is in question and to the members of the Committee for consideration at the Committee's next meeting.
16. A Party whose compliance is in question may present responses or comments at every step of the proceedings described in the present annex.
17. Without prejudice to paragraph 16 above, additional information, provided

by a Party whose compliance is in question in response to a submission, should be forwarded to the Secretariat within three months of the date of receipt of the submission by that Party, unless the circumstances of a particular case require an extended period of time. Such information shall be immediately transmitted to the members of the Committee for consideration at the Committee's next meeting. Where a submission has been made pursuant to subparagraph 12 (b) above, the information shall be forwarded by the Secretariat also to the Party that made the submission.

18. The Committee may decide not to proceed with submissions which it considers to be:

- (a) De minimis;
- (b) Manifestly ill-founded.

## **Facilitation**

19. The Committee shall consider any submission made to it in accordance with paragraph 12 or in furtherance of paragraph 13 above, with a view to establishing the facts and the root causes of the matter of concern and to assisting in its resolution, taking into account Article 16 of the Convention.

To that end, the Committee may provide a Party with:

- (a) Advice;
- (b) Non-binding recommendations;
- (c) Any further information required to assist the Party in developing a compliance plan, including timelines and targets.

## **Possible measures to address compliance issues**

20. If, after undertaking the facilitation procedure set forth in paragraph 19 above and taking into account the cause, type, degree and frequency of compliance difficulties, including financial and technical capacities of the Parties whose compliance is in question, the Committee considers it necessary to propose further measures to address a Party's compliance problems, the Committee may recommend to the Conference of the Parties, bearing in mind its ability under Article 18 (5) (c) of the Convention, that it consider the following measures, to be taken in accordance with international law, to attain compliance:

- (a) Further support under the Convention for the Party concerned, including facilitation, as appropriate, of access to financial resources, technical assistance and capacity-building;
- (b) Providing advice regarding future compliance in order to help Parties to implement the provisions of the Convention and to promote cooperation among all Parties;
- (c) Requesting the Party concerned to provide an update on its efforts;
- (d) Issuing a statement of concern regarding possible future non-compliance;
- (e) Issuing a statement of concern regarding current non-compliance;
- (f) Requesting the Executive Secretary to make public cases of non-compliance;
- (g) Recommending that a non-compliance situation be addressed by the non-compliant Party with the aim of resolving the situation.

## **Handling of information**

21. (1) The Committee may receive relevant information, through the Secretariat, from:

- (a) The Parties;
- (b) Relevant sources, as it considers necessary and appropriate, with the prior consent of the Party concerned or as directed by the Conference of the Parties;
- (c) The Convention clearing-house mechanism and relevant intergovernmental organizations. The Committee shall provide the Party concerned with such information and invite it to present comments thereon.

(2) The Committee may also request information from the Secretariat, where appropriate, in the form of a report, on matters under the Committee's consideration.

22. For the purpose of examining systemic issues of general compliance under paragraph 25 below, the Committee may:

- (a) Request information from all Parties;

- (b) In accordance with relevant guidance by the Conference of the Parties, request relevant information from any reliable sources and outside experts;
- (c) Consult with the Secretariat and draw upon its experience and knowledge base.

23. Subject to Article 14 of the Convention, the Committee, any Party or any person involved in the deliberations of the Committee shall protect the confidentiality of information received in confidence.

### **Monitoring**

24. The Committee should monitor the consequences of action taken in pursuance of paragraph 19 or 20 above.

### **General compliance issues**

25. The Committee may examine systemic issues of general compliance of interest to all Parties where:

- (a) The Conference of the Parties so requests;
- (b) The Committee, on the basis of information obtained by the Secretariat, while acting pursuant to its functions under the Convention, from Parties and submitted to the Committee by the Secretariat, decides that there is a need for an issue of general non-compliance to be examined and for a report on it to be made to the Conference of the Parties.

### **Reports to the Conference of the Parties**

26. The Committee shall submit a report to each ordinary meeting of the Conference of the Parties reflecting:

- (a) The work that the Committee has undertaken;
- (b) The conclusions or recommendations of the Committee;
- (c) The future programme of work of the Committee, including the schedule of expected meetings which it considers necessary for the fulfilment of its programme of work, for the consideration and approval of the Conference of the Parties.

### **Other subsidiary bodies**

27. Where the activities of the Committee in respect of particular issues overlap with the responsibilities of another Rotterdam Convention body, the Conference of the Parties may direct the Committee to consult with that body.

### **Information-sharing with compliance committees under relevant multilateral environmental agreements**

28. Where relevant, the Committee may solicit specific information, upon request by the Conference of the Parties or at its own initiative, from compliance committees dealing with hazardous substances and wastes under the auspices of relevant multilateral environmental agreements and report on these activities to the Conference of the Parties.

### **Review of the compliance mechanism**

29. The Conference of the Parties shall regularly review the implementation of the procedures and mechanisms set forth in the present annex.

### **Relationship with settlement of disputes**

30. These procedures and mechanisms shall be without prejudice to Article 20 of the Convention.

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