



**Rotterdam Convention on the Prior
Informed Consent Procedure for
Certain Hazardous Chemicals and
Pesticides in International Trade**

Distr.: General
3 March 2015

English only

**Conference of the Parties to the
Rotterdam Convention on the Prior
Informed Consent Procedure for Certain
Hazardous Chemicals and Pesticides in
International Trade
Seventh meeting**

Geneva, 4-15 May 2015

Item 5 (d) of the provisional agenda*

**Matters related to the implementation of the Convention:
technical assistance**

**Report on the technical assistance needs of developing country
parties and parties with economies in transition for the
implementation of the Rotterdam Convention and the technical
assistance available from developed country parties and others**

Note by the Secretariat

As referred to in the note by the Secretariat on technical assistance and capacity-building for the implementation of the Basel, Rotterdam and Stockholm conventions (UNEP/CHW.12/13-UNEP/FAO/RC/COP.7/13-UNEP/POPS/COP.7/13), the annex to the present note sets out the report on the technical assistance needs of developing country parties and parties with economies in transition for the implementation of the Rotterdam Convention and the technical assistance available from developed country parties and others. The present note, including its annex, has not been formally edited.

* UNEP/FAO/RC/COP.7/1.

Annex

Report on the technical assistance needs of developing country parties and parties with economies in transition for the implementation of the Rotterdam Convention and the technical assistance available from developed country parties and others

I. Introduction

1. This assessment of the technical assistance needs of developing countries and countries with economies in transition and the technical assistance available from developed countries and others has been developed as a follow-up to decision RC-6/11 adopted by the Conference of the Parties to the Rotterdam Convention.
2. The assessment has been taken into account by the Secretariat in the development of the technical assistance programme of the Secretariat for the biennium 2016-2017 in order to better respond to the needs of developing country parties and parties with economies in transition, also taking into account the technical assistance on offer by developed country parties and others.

II. Methodology

3. In order to facilitate the submission of information by parties, two online questionnaires were developed and posted on the website of the Rotterdam Convention and parties were invited, through their official contact points, to complete the relevant questionnaires.
4. The questionnaire on technical assistance needs was made available in three languages (English, French and Spanish) to relevant parties from 27 May to 16 June 2014. In order to increase the response rate, this deadline was extended until 19 September 2014. A total of 25 developing country parties and parties with economies in transition provided responses to the online questionnaire. Table 1 below provides information on the parties that answered the questionnaire on technical assistance needs.
5. The questionnaire on technical assistance available was made available in English to relevant parties from 5 September to 3 October 2014. A total of 14 developed country parties and others provided responses to the online questionnaire. Table 2 below provides information on the parties that answered the questionnaire on technical assistance available.

Table 1: Respondent parties to the questionnaire on technical assistance needs

Region	Number of respondent parties per region	Respondent parties
Africa	6	Lesotho, Madagascar, Mauritius, Morocco, Niger and Yemen
Asia and Pacific	7	China, Cook Islands, Iran (Islamic Republic of), Kyrgyzstan, Malaysia, Nepal and Philippines
Central and Eastern Europe	4	Albania, Bosnia and Herzegovina, Republic of Moldova and Serbia
Latin America and Caribbean	8	Argentina, Bolivia (Plurinational State of), Colombia, Costa Rica, Cuba, Ecuador, Jamaica and Panama
Western Europe and other groups	0	

Table 2: Respondent parties to the questionnaire on technical assistance available

Region	Number of respondent parties per region	Respondent parties
Africa	0	
Asia and Pacific	1	Japan
Central and Eastern Europe	3	Estonia, Hungary and Latvia
Latin America and Caribbean	0	
Western Europe and other groups	9	Belgium, Canada, European Union, Finland, France, Italy, Luxembourg, Norway and Spain

III. Compilation of responses received for the questionnaires on technical assistance needs and on technical assistance available

6. The results of the questionnaire on technical assistance needs, as set out in part I below, provide an overview of priority areas for developing country parties and parties with economies in transition. The results of the questionnaire on technical assistance on offer, as set out in part II below, allows for the identification of technical assistance that is currently available from developed country parties. The results are organized following the structure of the online questionnaires.

Part I: Technical assistance needs of developing country parties and parties with economies in transition to implement the Rotterdam Convention

A: Annex III chemicals

A.1: Submission of import responses

7. Table 3 below provides information on the types of challenges faced by parties with regards to the submission of import responses for chemicals listed in Annex III to the Rotterdam Convention.

Table 3: Chemicals in Annex III and types of challenges faced by parties (percentage of responses received)

Chemicals/challenges	No challenges identified	Other	To submit import responses to the Secretariat	To develop risk assessments
2,4,5-T and its salts	67.8%	7.1%	7.1%	17.8%
Alachlor	55.1%	10.3%	17.2%	17.2%
Aldicarb	58.6%	10.3%	17.2%	13.7%
Aldrin	71.4%	7.1%	10.7%	10.7%
Azinphos-methyl	60.7%	14.2%	10.7%	14.2%
Binapacryl	71.4%	7.1%	7.1%	14.2%
Captafol	71.4%	7.1%	7.1%	14.2%
Chlordane	67.8%	7.1%	7.1%	17.8%
Chlordimeform	71.4%	7.1%	7.1%	14.2%
Chlorobenzilate	67.8%	7.1%	10.7%	14.2%
DDT	65.5%	6.9%	10.3%	17.2%
Dieldrin	71.4%	7.1%	7.1%	14.2%
Dinitro-ortho-cresol	67.8%	7.1%	7.1%	17.8%
Dinoseb and its salts	67.8%	7.1%	7.1%	17.8%
EDB (1,2-)	64.2%	7.1%	7.1%	21.4%
Endosulfan	55.1%	10.3%	17.2%	17.2%
Ethylene-dichloride	64.2%	7.1%	7.1%	21.4%
Ethylene-oxide	62.0%	6.9%	10.3%	20.6%
Fluoroacetamine	67.8%	7.1%	7.1%	17.8%
HCH	67.8%	7.1%	7.1%	17.8%
Heptachlor	69.2%	7.1%	7.1%	14.2%

Chemicals/challenges	No challenges identified	Other	To submit import responses to the Secretariat	To develop risk assessments
Hexachlorobenzene	65.5%	6.9%	13.7%	13.7%
Lindane	67.8%	7.1%	7.1%	17.8%
Mercury compounds	58.6%	6.9%	17.2%	17.2%
Monogrotophos	62.0%	6.9%	13.7%	17.2%
Parathion	71.4%	7.1%	7.1%	14.2%
Pentachlorophenol	68.9%	6.9%	10.3%	13.7%
Toxaphene	71.4%	7.1%	7.1%	14.2%
Tributyl tin compounds	64.2%	14.2%	7.1%	14.2%
Dustable powder form	71.4%	7.1%	10.7%	10.7%
Methamidophos	65.5%	6.9%	10.3%	17.2%
Methylparathion	71.4%	7.1%	7.1%	14.2%
Phosphamidon	71.4%	7.1%	7.1%	14.2%
Actinolite asbestos	66.6%	7.4%	11.1%	14.8%
Anthrophyllite	62.9%	7.4%	11.1%	18.5%
Amosite asbestos	64.2%	7.1%	14.2%	14.2%
Crocidolite	58.6%	6.9%	13.7%	20.6%
Octabromodiphenyl	22.2%	18.5%	14.8%	44.4%
Pentabromodiphenyl	20.6%	20.6%	17.2%	41.3%
Perfluorooctane sulfonic acids, perfluorooctane sulfonates, perfluorooctane sulfonamides and perfluorooctane sulfonyls (PFOS)	20.0%	20.0%	20.0%	40.0%
PBBs	50.0%	10.7%	14.2%	25.0%
PCBs	59.2%	11.1%	7.4%	22.2%
PCTs	62.9%	7.4%	7.4%	22.2%
Tetraethyl lead	50.0%	10.0%	16.6%	23.3%
Tetramethyl lead	51.7%	6.9%	17.2%	24.1%
Tremolite	55.5%	14.8%	7.4%	22.2%
Tris (2,3 dibromopropyl)	48.8%	13.7%	10.3%	31.0%

8. Most (71%) respondents identified no challenges in relation to aldrin, binapacryl, captafol, chlordimeform, dieldrin, parathion, toxaphene, dustable powder form, methylparathion, and phosphamidon. Fewer participants considered that chemicals such as PFOS (20%), pentabromodiphenyl (20.6%), or octabromodiphenyl (22.2%) were not to be considered as a challenge.

9. PFOS, pentabromodiphenyl and octabromodiphenyl were identified by most respondents (40-44%) as topics where assistance is required to submit import responses in order to establish a decision making process or to develop a risk management strategy. In comparison, only 10.7% of the respondents identified the need for assistance in relation to aldrin and dustable powder form.

10. Few respondents indicated the need for assistance to submit the import responses to the Secretariat, in particular for PFOS, alachlor, aldicarb, pentabromodiphenyl and tetramethyl lead.

A.2: Alternatives to Annex III chemicals

11. In relation to alternatives to newly listed pesticides or industrial chemicals, many respondents indicated to require technical assistance in order to evaluate the need for alternatives (42.8%) or in order to use the alternative substances or methods (45%). Only 7% of the respondents have not indicated any challenges in this area.

A.3: Monitoring and reporting pesticide poisoning incidents related to severely hazardous pesticide formulations

12. In relation to the challenges faced to monitor and report pesticide poisoning incidents related to severely hazardous pesticide formulations, most respondents indicated challenges in monitoring incidents at the national level (53%) while other respondents expressed difficulties in reporting incidents to the Secretariat (37%). Only 11% of the respondents have not indicated any challenges in this area.

B: Non-annex III chemicals

B.1: Decision-making and notifications of final regulatory actions

13. Figure 1 below provides information on the areas in which countries require technical assistance related to final regulatory actions.

14. Most respondents indicated the development of risk evaluation and risk management strategies (35%) and the setting up of appropriate legal and administrative framework (28%) as challenges with the establishment of a final regulatory action in order to ban or severely restrict a chemical not listed in Annex III of the Rotterdam Convention. In comparison, fewer respondents have indicated challenges in relation to the development of a regulatory action (21%) and notifications to the Secretariat once the final regulatory action has been taken (16%).

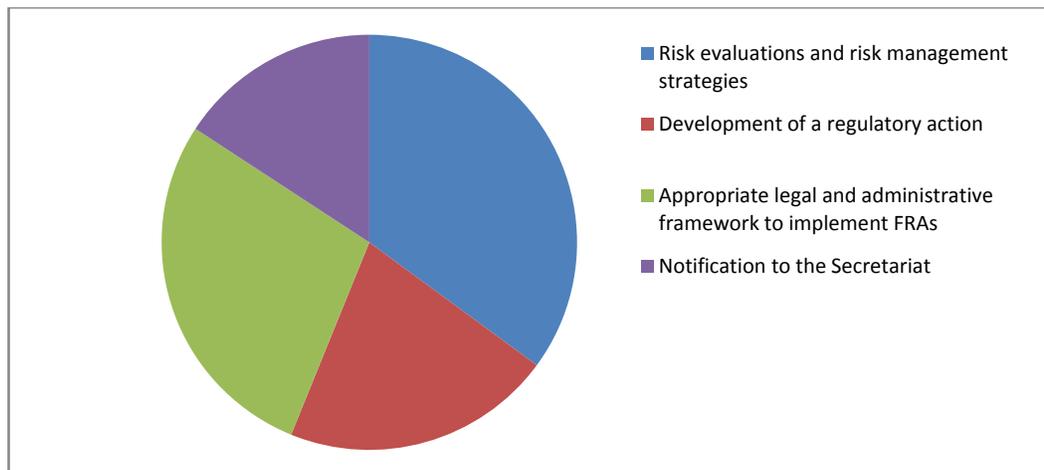


Figure 1: Challenges for the establishment of final regulatory actions

B.2: Export notifications

15. 52% of the respondents indicated that chemicals are exported by their countries. 29% of the respondents indicated facing challenges in developing and sending export notifications and 24% indicated having challenges in acknowledging receipt of export notifications sent by other countries.

C: Cross-cutting issues

C.1: Information exchange and management

16. When invited to communicate challenges in relation to information exchange obligations required under the Rotterdam Convention, some respondents (24%) indicated difficulties in facilitating the exchange of scientific, technical, economic and legal information concerning the chemicals within the scope of the Convention (including toxicological, ecotoxicological and safety information). 22.5% of the respondents also indicated difficulties in collecting information on hazardous chemicals (such as hazard data, risk evaluations, labelling information or export notification of non-Annex III chemicals).

17. Other factors identified as challenges included difficulties in disseminating information at the national level (15%), difficulties in facilitating the provision of information to other parties on domestic regulatory actions that restrict one or more uses of a chemical (12.5%), difficulties in ensuring that adequate labelling and information accompanies the exported chemical (8.7%), difficulties facilitating the provision of publicly available information on relevant domestic regulatory actions (7.5%), and difficulties on ensuring communication with potential national exporters of other countries (6.2%).

C.2: National implementing framework

18. Figure 2 below provides information on the areas in which countries require technical assistance to set up legal, administrative and other measures to implement the provisions of the Rotterdam Convention.

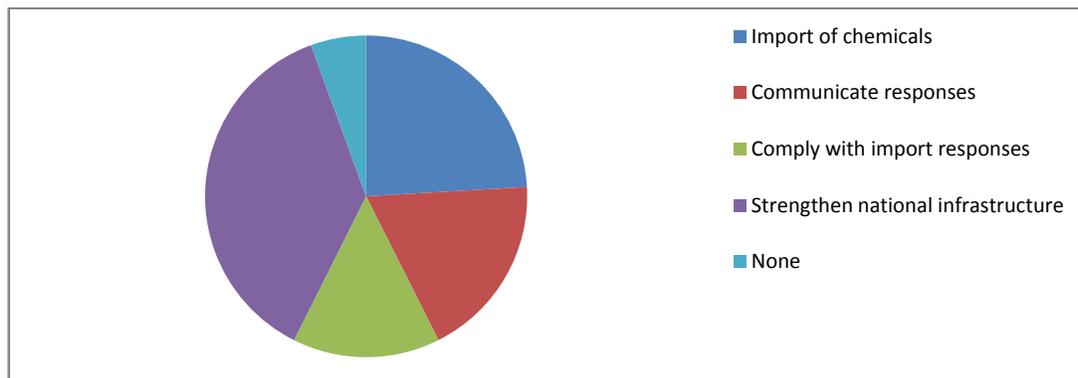


Figure 2: Overview of the challenges faced when setting up legal, administrative and other measures to implement and enforce the provisions of the Rotterdam Convention

19. 37% of the respondents pointed out that the adoption or amendment of legal or administrative measures to establish and strengthen national infrastructures and institutions was a challenge faced when setting up the appropriate legal, administrative and other measures to implement and enforce the provisions of the Rotterdam Convention.

20. Respondents identified the lack of appropriate legislative or administrative measures as an obstacle to the implementation to the Rotterdam Convention, in particular to ensure timely decisions with respect to the import of chemicals listed in Annex III (24%), to communicate the responses forwarded by the Secretariat in relation to the import of chemicals in Annex III (18.5%) and to ensure that exporters within their jurisdiction comply with decisions on import responses (14.8%).

21. 27.5% of the respondents expressed the need to improve national coordination between relevant national actors (including in the development of national action plans) and fostering cooperation between designated national authorities (DNAs) at the regional level as necessary to set up a national coordination and regional cooperation mechanism for the implementation of the Rotterdam Convention. 18.9% of the respondents also indicated the need to improve national coordination to implement synergies at the national level and to foster cooperation between official contact points (OCPs) at the regional level.

22. While the majority (53.3%) of the respondents mentioned not to have challenges to nominate their DNAs or OCPs, some respondents expressed the need for technical assistance in order to clarify the process/procedure of nomination (26.6%) or to understand the responsibilities of DNAs and OCPs in order to best select the appropriate entity/person (20%).

C.3: Customs

23. Figure 3 below provides information on the challenges faced with regard to customs for the implementation of the Rotterdam Convention.

24. In relation to the support required, most respondents identified the need for assistance in building the capacity of customs officers to control the import/export of chemicals (45.6%), followed by the need to enhance awareness of customs officers (26.0%) and the need to increase coordination with customs authorities (21.7%).

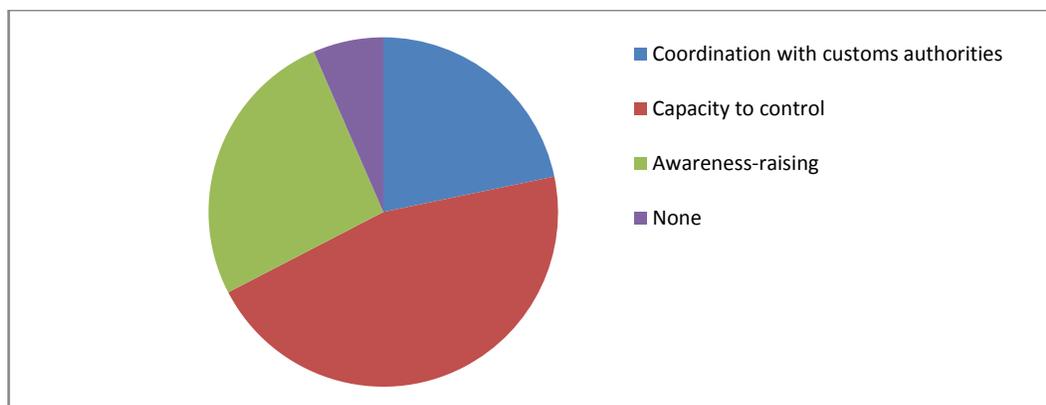


Figure 3: Overview of the challenges faced with regard to customs

C.4: Supporting the work of the Chemical Review Committee

25. Respondents expressed the need to better understand the process of reviewing and listing chemicals (37.2%) and to better understand the working procedures of the Committee (32.5%) as the main challenges to participate in the work of the Committee. Some respondents pointed out the need to acquire information on the different steps of the process.

D: Technical assistance

D.1: Priority areas of technical assistance

26. Figure 4 below provides a summary of the responses provided regarding priority areas identified for technical assistance.

27. When requested to identify priority areas for technical assistance, respondents indicated national coordination (including national action plans) (16.1%), legal and institutional frameworks (11.8%), regional cooperation among DNAs or OCPs (10.7%), obligations related to information exchange (10.7%), alternatives to Annex III chemicals (10.7%) and decision-making for the development and notification of final regulatory actions (FRAs) in relation to non-Annex III chemicals (10.7%).

28. Other areas identified by respondents included monitoring and reporting pesticide poisoning incidents related to severely hazardous pesticide formulations (SHPF) (8.6%), support to custom officers (7.5%), support to the work of the Chemical Review Committee (6.4%), export notifications (5.3%), and submission of import responses for Annex III chemicals (1%).

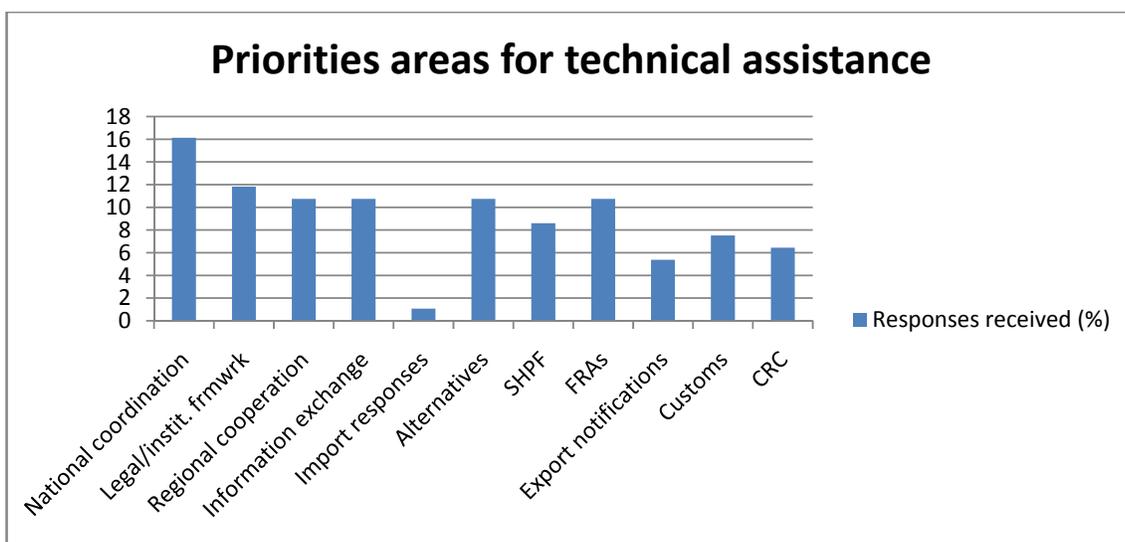


Figure 4: Summary of the priority areas for technical assistance identified by the respondents

D.2: Accessing technical assistance

29. 92% of the respondents mentioned being aware of the technical assistance activities organized in support of the implementation of the Rotterdam Convention. A majority of the respondents indicated they acquired information through the website of the Rotterdam Convention (32.7%), through the synergies website (29.3%) or through invitations received by e-mail (20.6%). Respondents also pointed out the role of the BRS newsletter (12%) and the communication between colleagues (3.4%).

30. Table 4 below compares the types of activities required for a number of topics under the Convention.

31. Most respondents identified the need for additional face-to-face meetings in the areas of customs (58.3%), sound management of industrial chemicals (48.7%) and cooperation between DNAs (46.6%). Many respondents also identified the need for additional online training on notification of FRAs (30%) and e-learning activities on topics such as export notifications and control of trade (30.4%) and the clearing-house mechanism (29%). Additional technical assistance for the facilitation of projects in relation to the development of national action plans (34.2%) and resource mobilization (31.4%) were also indicated.

Table 4: Requests received for technical assistance per type of assistance required (percentage of responses received)

Topic/type of delivery	Face-to-face meetings	Online training	E-learning	Facilitation of projects
Development of NAPs	42.4%	13.1%	10.5%	34.2%
Fostering regional cooperation of DNAs	46.6%	20.0%	16.6%	16.6%
Notification of FRAs	43.3%	30.0%	20.0%	6.6%
Export notifications and control of trade	30.4%	26.0%	30.4%	13.0%
Alternatives to annex III chemicals that are POPs pesticides	35.0%	22.5%	22.5%	20.0%
SHPF monitoring	33.3%	22.2%	19.4%	25.0%
Sound management of industrial chemicals	48.7%	17.0%	12.2%	21.9%
Clearing house mechanism	32.2%	25.8%	29.0%	12.9%
Customs	58.3%	13.8%	13.8%	13.8%
Resource mobilization	37.1%	14.2%	17.1%	31.4%
National coordination synergies	42.5%	17.5%	17.5%	22.5%
Support to the CRC	42.8%	25.0%	21.4%	10.7%

32. Respondents recognized difficulties in accessing technical assistance activities such as having encountered technical issues to connect to webinars (16.9%), difficulties in contacting the Secretariat (15%), invitations to workshops were not received on time (13.2%) and lack of access to data at the national level which prevented developing appropriate project proposals (13.2%). Other issues indicated include the timing proposed for the webinars (9.4%), difficulties in finding information on the website (7.5%), language of the activities (5.6%), and language of the website (3.7%).

Part II: Technical assistance available from developed country parties, with obstacles and barriers to providing technical assistance

33. 79% of the respondents to the questionnaire indicated that their country was willing to provide technical assistance to other parties to the Rotterdam Convention.

34. Figure 5 below provides information on the type of expertise available from respondent parties. Expertise is available in areas such as information exchange in relation to chemicals under the Rotterdam Convention (27.2%), export of chemicals (22.7%), and identification of problems caused by severely hazardous pesticide formulations (SHPF) under conditions of use in their territory (13.6%).

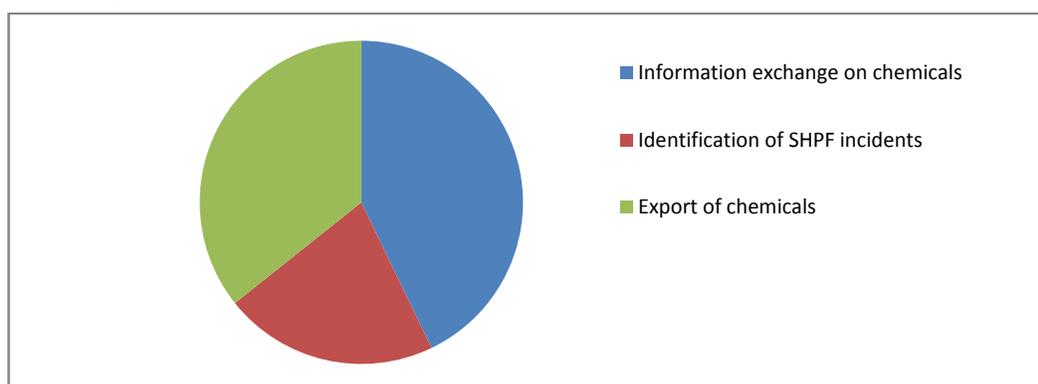


Figure 5: Overview of expertise available from respondents

35. Other areas of expertise mentioned related to: preparation and submission of import responses based on Decision Guidance Documents (DGDs), monitoring and reporting incidents related to the use of severely hazardous pesticide formulations, and assistance for developing, taking or notifying final regulatory actions. Respondents also included areas such as risk evaluation, registration of plant

protection and participation at regional or global meetings relevant for the implementation of the Convention under other types of available expertise.

36. 50% of the respondents were willing to provide technical assistance without restrictions to a particular group of countries. Among the types of technical assistance, respondents indicated their willingness to carry out webinars, provide experts, include topics under the Convention on bilateral cooperation projects, undertake capacity-building and technical support activities in response to the request made by targeted countries, support the organization of meetings, and support the technical assistance programme of the Secretariat.

37. Based on the questionnaire, respondents mentioned general conditions for the provision of technical assistance including those detailed in specific programmes, recipient countries needs, national priorities, national budget allocations, list of official development assistance, and specific languages. Among the barriers identified by the respondents for providing technical assistance, respondents included lack of human and financial resources and limitations of the national budget.

IV. Summary of the information collected

38. A majority of the parties that responded to the questionnaire on technical assistance needs are aware of the technical assistance activities related to the Rotterdam Convention. The majority of respondents indicated they use the Convention and the synergies websites for acquiring information related to upcoming activities.

39. National coordination is viewed as a priority area where technical assistance is required (Figure 4). The importance of strengthening national coordination is also highlighted through the need for additional face-to-face meetings on synergies and development of national action plans which were also highlighted by the respondents (Table 4).

40. The need for face-to-face training for customs officers was also indicated by the majority of the responses received (Table 4). In particular, respondents viewed the need to strengthen the capacity of customs to control the trade of chemicals.

41. In relation to the chemicals under Annex III of the Rotterdam Convention, a clear emphasis was given to the development of risk management strategies to industrial chemicals, in particular octabromodiphenyl ether, pentabromodiphenyl and perfluorooctane sulfonic acids (Table 3). In contrast, the majority of the respondents indicated that no challenges are being currently faced with chemicals such as aldrin, binaparclly, captafol, chlordimeform, dieldrin, heptachlor, parathion, toxaphene, dustable power form, methylparathion and phosphamidon (Table 3).

42. The responses received indicated that many developed countries are willing to provide some kind of technical assistance for parties to the Rotterdam Convention. It has also been point out that technical assistance is available in different areas related to the Convention and, in most cases, is not restricted to a specific group of countries.
