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**Rotterdam Convention on the Prior
Informed Consent Procedure for Certain
Hazardous Chemicals and Pesticides in
International Trade
Conference of the Parties
Fifth meeting
Geneva, 20–24 June 2011**

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

I. Opening of the meeting

1. The fifth meeting of the Conference of the Parties to the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade was held at the Geneva International Conference Centre from 20 to 24 June 2011.
2. Ms. Noluzuko Gwayi (South Africa), President of the Conference, declared the meeting open at 10.25 a.m. on Monday, 20 June 2011.
3. Opening statements were made by the President; Mr. Jim Willis, Executive Secretary, Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, Rotterdam Convention and Stockholm Convention on Persistent Organic Pollutants; Mr. Peter Kenmore, Executive Secretary, Rotterdam Convention; and Mr. Bakary Kante, Director, Division of Environmental Law and Conventions, on behalf of Mr. Achim Steiner, Executive Director, United Nations Environment Programme (UNEP).
4. In her statement, the President welcomed the participants, acknowledging that financial constraints had restricted the support normally made available to some delegations to attend the meeting. She urged the parties to make the most of the opportunity afforded by the current meeting to improve the effectiveness of the Convention and achieve the common objective of protecting human health and the environment in a precautionary manner.
5. Mr. Willis, in his statement, recalled that the Convention was a vehicle for taking binding informed decisions on imports while working together to build infrastructure for global chemical safety. Looking to the work related to chemicals before the Conference of the Parties, he laid special emphasis on the discussions that would take place regarding endosulfan and chrysotile asbestos, urging representatives to seek a way forward for chemicals where consensus was not yet mature.
6. Technical assistance and its financing were complex and challenging issues crucial to the future of the Convention. The Secretariat had assisted parties in implementing the Convention and such assistance should be reinforced by national safety programmes. Synergies were also essential for the successful delivery of technical assistance and much work had been accomplished in that regard by UNEP and the Food and Agriculture Organization of the United Nations (FAO) and by the secretariats

of the Basel, Rotterdam and Stockholm conventions. More remained to be done, however, and he would propose a modified organizational structure for the three conventions by the end of 2011.

7. The Secretariat was, however, facing a financial crisis stemming from the fluctuation of the currencies that it used and arrears of a host country contribution. There was a shortfall of approximately \$2 million in the funding required to meet commitments up to the end of 2011. Unless the problem could be solved and contingency plans established during the current meeting, the carry-over would be depleted by October 2011 and the work of the Secretariat would cease. The parties should also consider establishing a mechanism that would enable the Secretariat to continue functioning should the problem persist into the following biennium.

8. In his statement, Mr. Kenmore said that the Secretariat was committed not only to organizing cost-effective meetings, but also to ensuring high-quality technical assistance and capacity-building. In that regard, FAO contributed over \$1 million per year from core funds and, since 2008, had completely restructured its strategic framework to focus on three global goals: reducing hunger, eliminating poverty and sustainably managing natural resources. The Convention was at the top of the list of FAO strategic objectives. FAO focused on pesticides, which accounted for three quarters of the substances listed in Annex III to the Convention, by leading capacity-building efforts in farmer field schools in over 60 developing countries. Pesticide use continued to require mitigation, as many agricultural workers, including millions of children, were exposed to dangerous levels of hazardous formulations without protection or information.

9. On behalf of the Executive Director, Mr. Kante hailed the current meeting as an opportunity to review progress and commit to new action. At its recent nineteenth session, the Commission on Sustainable Development had confirmed the challenges faced in intergovernmental negotiations and the need for progress to be made in working towards common objectives. In the run-up to 2012, which would mark the twentieth anniversary of the United Nations Conference on Environment and Development and the fortieth anniversary of the United Nations Conference on the Human Environment, it was important to celebrate the achievements of the Convention and capitalize on the opportunities that it offered for prosperity and health. He urged the representatives to focus on the implementation of the Convention at the national, regional and global levels, recalling that their decisions would have lasting implications for human health and the environment and that maintaining the status quo was no longer acceptable. Innovative thinking was also needed in finding solutions to financing the chemicals and waste agenda, he said, drawing attention to the UNEP-led consultative process on financing options for chemicals and wastes.

10. A number of representatives, including several speaking on behalf of groups of countries, made general statements on the issues to be discussed during the meeting.

II. Adoption of the agenda

11. The Conference of the Parties adopted the following agenda, on the basis of the provisional agenda contained in document UNEP/FAO/RC/COP.5/1/Rev.1:

1. Opening of the meeting.
2. Adoption of the agenda.
3. Organizational matters:
 - (a) Election of officers;
 - (b) Report on the credentials of representatives at the fifth meeting of the Conference of the Parties;
 - (c) Organization of work.
4. Rules of procedure for the Conference of the Parties.
5. Matters related to the implementation of the Convention:
 - (a) Status of implementation;
 - (b) Chemical Review Committee;
 - (c) Consideration of chemicals for inclusion in Annex III to the Convention;
 - (d) Non-compliance;
 - (e) Financial resources;

- (f) Technical assistance;
 - (g) Trade;
 - (h) Information exchange.
6. Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions.
 7. Programme of work of the Secretariat and adoption of the budget.
 8. Venue and date of the sixth meeting of the Conference of the Parties.
 9. Other matters.
 10. Adoption of the report.
 11. Closure of the meeting.

III. Organizational matters

A. Attendance

12. Representatives of the following parties participated in the meeting: Argentina, Armenia, Australia, Austria, Belgium, Benin, Bolivia (Plurinational State of), Bosnia and Herzegovina, Botswana, Brazil, Bulgaria, Burkina Faso, Burundi, Cameroon, Canada, Chile, China, Colombia, Costa Rica, Cuba, Cyprus, Czech Republic, Democratic People's Republic of Korea, Denmark, Dominican Republic, Ecuador, European Union, Finland, France, Gabon, Gambia, Georgia, Germany, Ghana, Greece, Guatemala, Guinea, Hungary, India, Iran (Islamic Republic of), Ireland, Italy, Jamaica, Japan, Jordan, Kazakhstan, Kenya, Kuwait, Kyrgyzstan, Liechtenstein, Lithuania, Madagascar, Malaysia, Maldives, Mali, Mauritania, Mexico, Mozambique, Nepal, Netherlands, New Zealand, Nicaragua, Niger, Nigeria, Norway, Oman, Pakistan, Panama, Paraguay, Peru, Philippines, Poland, Qatar, Republic of Korea, Republic of Moldova, Romania, Samoa, Senegal, Serbia, Slovakia, South Africa, Spain, Sri Lanka, Sudan, Suriname, Sweden, Switzerland, Thailand, Togo, Trinidad and Tobago, Ukraine, United Kingdom of Great Britain and Northern Ireland, United Republic of Tanzania, Uruguay, Venezuela (Bolivarian Republic of), Viet Nam, Zambia.
13. Representatives of the following parties without acceptable credentials attended the meeting as observers: Congo, Côte d'Ivoire, Djibouti, Equatorial Guinea, Ethiopia, Saudi Arabia, Syrian Arab Republic.
14. In addition, representatives of the following countries attended the meeting as observers: Bahrain, Indonesia, Iraq, Morocco, Russian Federation, Turkey, United States of America, Zimbabwe.
15. The following United Nations bodies and specialized agencies were represented as observers: United Nations Institute for Training and Research, World Health Organization, World Trade Organization.
16. The League of Arab States was also represented as an observer.
17. A number of non-governmental organizations were represented as observers. The names of those organizations are included in the list of participants (UNEP/FAO/RC/COP.5/INF/19).

B. Officers

18. In accordance with paragraph 2 of rule 22 of the rules of procedure of the Conference of the Parties, the Bureau for the current meeting was elected at the fourth meeting of the Conference and commenced its term at the close of that meeting. The member so elected from South Africa, Ms. Nolwazi Cobbinah, was unable to complete her term and was replaced by her compatriot Ms. Noluzuko Gwayi in accordance with rule 25 of the rules of procedure. The Bureau for the current meeting was thus constituted as follows:

President:	Ms. Noluzuko Gwayi (South Africa)
Vice-Presidents:	Ms. Kerstin Stendahl (Finland)
	Ms. Rocio Eden Wynter (Mexico)
	Mr. Hamood bin Darwish al-Hasani (Oman)
	Ms. Magdalena Balicka (Poland)

Ms. Stendahl also served as Rapporteur.

19. According to rule 22 of the rules of procedure, at each ordinary meeting of the Conference following the first meeting the election of officers from among the parties to serve as the Bureau for the following meeting is to take place before the end of the meeting. The officers elected are to commence their terms of office at the closure of the meeting and serve until the closure of the following ordinary meeting, including for any intervening extraordinary meeting.

20. Following consultations by the United Nations regional groups, the Conference elected for its sixth meeting the following Bureau in accordance with rule 22 of the rules of procedure:

President:	Ms. Magdalena Balicka (Poland)
Vice-Presidents:	Ms. Gladys Njeri Maina (Kenya)
	Mr. Mohammed Khashashneh (Jordan)
	Ms. Christina Charlotte Tolfsen (Norway)
	Mr. Luis Vayas-Valdivieso (Ecuador)

Mr. Vayas-Valdivieso agreed to serve also as Rapporteur.

C. Report on the credentials of representatives at the fifth meeting of the Conference of the Parties

21. Introducing the item, the representative of the Secretariat recalled that, in accordance with rule 20 of the rules of procedure, the Bureau would examine the credentials of the representatives participating in the current meeting and submit a report to the Conference of the Parties on the results of its examination during the current meeting.

22. The representative of the Secretariat also provided a brief summary of the status of ratification of the Convention, noting that 141 parties had lodged instruments of ratification or accession with the Depositary for the Convention prior to the deadline for participation as parties at the current meeting. Morocco and the Russian Federation had deposited instruments of accession with the Depositary in April 2011, meaning that, in accordance with Article 26, the Convention would enter into force for them in July 2011 and they would not become parties to the Convention until after the closure of the current meeting.

23. On the morning of Friday, 24 June, the Bureau reported that it had examined the credentials of the representatives of the 104 parties that had registered for the meeting. Of those, the credentials of 97 had been found to be in order. Seven parties without acceptable credentials had been identified. The Conference of the Parties accordingly agreed that those seven parties would be recorded in the present report as having participated in the current meeting as observers. The report of the Bureau on credentials is set out in annex III to the present report.

D. Organization of work

24. In carrying out its work at the current meeting, the Conference of the Parties had before it working and information documents pertaining to the various items on the meeting agenda. Those documents, listed according to the agenda items to which they pertain, are set out in annex II to the present report.

25. The Conference of the Parties agreed to work in plenary session and to establish contact and drafting groups as it considered necessary. The parties agreed that the current meeting would be a paperless one; except upon request, documents would accordingly be distributed in electronic form only.

IV. Rules of procedure for the Conference of the Parties

26. Introducing the item, the representative of the Secretariat recalled that the Conference of the Parties had, at its first meeting, adopted the rules of procedure set out in the annex to decision RC-1/1 in their entirety, with the exception of the second sentence of paragraph 1 of rule 45, relating to the adoption of decisions on substantive matters by consensus or by two-thirds majority vote, which had been enclosed in square brackets to indicate that it had not been adopted. The matter had been discussed further by the Conference of the Parties at its second, third and fourth meetings, but no formal decision had been taken and the sentence had remained enclosed in square brackets.

27. The Conference of the Parties agreed that it would again forgo taking a formal decision on the item, that the brackets would remain in place and that, until it decided otherwise, it would continue to decide substantive matters by consensus.

V. Matters related to the implementation of the Convention

A. Status of implementation

1. Implementation of the Convention to date

28. Introducing the sub-item, the representative of the Secretariat summarized progress in the implementation of the Convention during the period from 1 May 2008 to 31 October 2010, reviewing the situation relating, among other things, to ratification of the Convention by parties; communication with official contact points and designated national authorities; notifications of final regulatory action from parties; submission of new or revised import responses for the chemicals listed in Annex III to the Convention; use of the standard export notification form to facilitate the process of sending and acknowledging export notifications; and information exchange, particularly with regard to chrysotile asbestos and endosulfan.

29. In the ensuing discussion, a number of representatives emphasized the need for equality among the three conventions. They described various actions that could facilitate the implementation of the Convention by parties, including the strengthening of international cooperation; international coordination on the concurrent implementation of the three conventions; the regular provision of information on, and updates to, international standards regarding hazardous pesticides and chemicals; and the strengthening of countries' capacities to implement the Convention through information-sharing, awareness-raising activities and the continued provision of technical assistance.

30. Many representatives welcomed the increase in the overall number of notifications verified as complete. One representative, however, expressed concern over the slow process for adding new chemicals to the review procedure. Several representatives called for targeted activities to encourage, in particular, additional notifications for chemicals for which a notification had already been submitted.

31. Several representatives welcomed the Secretariat's efforts to increase the number of import responses, calling for further information to be provided on the number and status of countries that had provided no such responses.

32. The Conference took note of the information set out in the documents and the President reminded parties of their obligations to ensure the effective operation of the Convention under Articles 5, 6 and 10 of the Convention, including notifications of final regulatory actions, import responses, export notifications and information exchange.

2. Current regulatory processes for chemicals and their relationship to the definitions of banned or severely restricted chemicals in Article 2 of the Convention

33. Introducing the subject, the representative of the Secretariat said that, by its decision RC-4/1, the Conference of the Parties had requested the Secretariat to review the current regulatory processes for chemicals to determine their relationship to the definitions of banned or severely restricted chemicals in Article 2 of the Convention and to submit the results of its review for the consideration of the Conference of the Parties at the current meeting.

34. In the ensuing discussion, many representatives commended the Secretariat on the report.

35. One representative suggested that the Secretariat should develop a guidance document on preparing and submitting notifications for use by parties in order to encourage parties to submit notifications where necessary. Such a document was necessary because the meaning of the term "severely restricted" was unclear. The same representative underlined the importance of documenting regulatory procedures in as detailed and as clear a way as possible. Some representatives said that notifications of final regulatory actions constituted a key element in the implementation of the Convention, but that capacity to tackle the issue in many developing countries and those with economies in transition was limited as such activities required chemical management systems and a clear legislative framework. Further action was required to increase the capacities of those countries to submit notifications of final regulatory actions and to provide import responses.

36. Some representatives expressed concerns at the difficulties encountered in the management of industrial chemicals, as countries had no specific designated national authority to take on the issue.

37. With regard to Annex III to the Convention, some representatives said that the Secretariat should continue to provide expert advice and technical support to developing countries on, among other things, the management of pesticides and capacity-building.

38. The Conference agreed that the Secretariat should prepare for its consideration a draft decision on the matter.

39. Decision RC-5/2, on increasing the number of notifications of regulatory actions and communication between parties, as adopted by the Conference, is set out in annex I to the present report.

3. Possible approaches for dealing with chemicals recommended for listing in Annex III by the Chemical Review Committee on which the Conference of the Parties is unable to reach consensus

40. The representative of the Secretariat introduced the relevant documentation, recalling that the Conference of the Parties had discussed the issue at its fourth meeting but had been unable to reach consensus on the topic. It had therefore agreed to defer its consideration of the matter until the current meeting, at which time it would use the draft decision prepared by the contact group established at the fourth meeting as the starting point for its work.

41. In the ensuing discussion, with regard to the proposed options for a mechanism that could be used should consensus not be reached, several representatives stressed that any amendment to the Convention would be a lengthy procedure. One representative reiterated that the inclusion of a substance in Annex III did not imply an international ban or impose any obligation on parties to ban its use; rather the main purpose of the prior informed consent procedure was to facilitate information exchange to allow parties to make informed decisions based on their own national circumstances. Many representatives expressed support for further discussion of the idea proposed at the fourth meeting of the Conference of the Parties regarding ways of enhancing information exchange and the voluntary application of the prior informed consent procedure to those substances on which consensus could not be reached.

42. The Conference agreed that the contact group established under agenda item 5 (c) would also take up the matters raised under the present item. Its mandate and presiding officers are set out in section C of chapter V of the present report.

43. Following discussions, the contact group was not able to reach consensus on possible approaches for dealing with chemicals recommended for listing in Annex III by the Chemical Review Committee but on which the Conference of the Parties was unable to reach consensus. The Conference of the Parties did not take up the issue further.

B. Chemical Review Committee

1. Appointments to the Committee

44. The representative of the Secretariat introduced the relevant documentation, noting that, by its decision RC-4/3, the Conference had identified 17 Governments that would designate experts to serve on the Chemical Review Committee for a period of four years commencing on 1 October 2009, pending formal confirmation by the Conference at its fifth meeting.

45. In addition, by its decision RC-1/6, the Conference of the Parties had decided that any vacancy in the Committee arising during the intersessional period should be filled on an interim basis in accordance with such procedure as the region concerned might determine, that the name and relevant qualifications of the new member should be circulated to the parties through the Secretariat and that the Conference of the Parties should consider confirmation of the appointment at its next meeting. France, India, Mexico and Sri Lanka, which had designated experts in accordance with decisions RC-1/6 and RC-3/2 to serve on the Committee for a period of four years commencing on 1 October 2007, had informed the Secretariat that they had designated new experts to serve at the Committee's sixth and seventh meetings, until October 2011, as the originally designated experts were no longer in a position to serve.

46. At its seventh meeting, the Committee had selected Ms. Hala Sultan Saif Al-Easa (Qatar) to serve as Acting Chair of the Committee pending the election of a Chair by the Conference of the Parties at the current meeting. Ms. Al-Easa had replaced Ms. Marit Randall (Norway), who had served as Chair at the Committee's sixth and seventh meetings.

47. As proposed by the Committee, the Conference of the Parties confirmed the appointments of the above-mentioned experts, the retroactive appointment of Ms. Randall as Chair and, as proposed at the Committee's seventh meeting, selected Ms. Al-Easa as the new Chair of the Committee.

48. The Conference agreed that the Secretariat should prepare for its consideration a draft decision on the matter.

49. Decision RC-5/6, on the confirmation of the appointments of government-designated experts as members of the Chemical Review Committee, as adopted by the Conference, is set out in annex I to the present report.

2. Nomination of experts to the Committee

50. The representative of the Secretariat introduced the relevant documentation, saying that, given that the sixth meeting of the Conference was scheduled for 2013, it was necessary for regional groups to identify at the current meeting 14 parties to be invited to nominate experts to replace those whose terms would expire in October 2011. The nominated experts would participate in the Committee's eighth and ninth meetings, to be held in 2012 and 2013, on an interim basis, pending confirmation of their appointments by the Conference at its sixth meeting.

51. The President invited regional groups to consider the matter and to identify the Governments that would nominate members to the Committee.

52. The Conference agreed that the Secretariat should prepare for its consideration a draft decision on the matter, which would include a list of the Governments that would nominate members to the Committee.

53. Decision RC-5/7, on the nomination of Governments to designate experts for the Chemical Review Committee, as adopted by the Conference, is set out in annex I to the present report.

3. Reports of the Committee

54. Introducing the item, Ms. Randall, the outgoing Chair of the Committee, provided an account of the issues covered by the Committee at its fifth, sixth and seventh meetings. During those meetings, the Committee had reviewed the notifications and supporting documentation that had been submitted for consideration, established drafting groups to develop decision guidance documents, and reviewed and finalized decision guidance documents that had been prepared by intersessional drafting groups.

55. She described the process that had been followed for proposing endosulfan for inclusion in Annex III to the Convention, noting that the Committee had adopted a recommendation to list endosulfan based on new notifications of final regulatory actions and an associated draft decision guidance document.

56. In the ensuing discussion, one representative, speaking on behalf of a group of countries, welcomed the further development of procedures and policy guidance for the Committee, in particular on the application of the criteria set out in paragraph (b) of Annex II to the Convention which, she said, would help increase the number of notifications meeting the criteria of Annex II in future. She voiced support for the Committee's proposed approach for dealing with notifications that had raised the possibility of intentional misuse. She stressed that "misuse" was understood to mean use not as a pesticide or industrial chemical, whereas "intentional misuse" related to, for instance, suicides and intentional poisonings. She considered that criterion (d) of Annex II made reference to that situation and that, if criteria (a)–(c) were met, it was unlikely that intentional misuse would be the sole reason for the notified final regulatory action. Notifications should therefore be examined on a case-by-case basis and the opinion of the UNEP legal office used to inform the Committee's discussions. Another representative, while agreeing that notifications should be examined on a case-by-case basis, offered his interpretation of paragraph (d) of Annex II, giving examples of scenarios where it could be applied, and said that paragraph (d) should continue to apply even if the other criteria were not met.

57. One representative, speaking on behalf of a group of countries, welcomed the report on the Committee's activities and commended it on its work. He urged the Conference to recognize that bridging studies were a valid tool for meeting the criteria set out in Annex II to the Convention and could help to increase submissions of notifications from developing countries.

58. Two representatives commended the Committee on its high level of expertise. In response to an observer's concern, those representatives highlighted the transparency of the Committee's work and its ability to deliver sound scientific and technical advice to serve the Convention. They noted the significant role of observers in providing vital information for use by the Committee in reaching a decision and the valuable involvement of non-governmental organizations.

59. The Conference took note of the reports on the work of the Chemical Review Committee at its fifth, sixth and seventh meetings.

C. Consideration of chemicals for listing in Annex III to the Convention

1. Alachlor

60. The representative of the Secretariat introduced the relevant documentation, noting that alachlor had been recommended for listing in Annex III to the Convention based on two notifications

of final regulatory actions: one from Canada and the other from the European Community.¹ The Chemical Review Committee, at its fifth meeting, had finalized a draft decision guidance document on alachlor and had decided to forward it together with a recommendation for the inclusion of the chemical in Annex III to the Conference of the Parties for consideration at the current meeting.

61. Inviting comments on the item, the President suggested that the Conference of the Parties might first wish to verify whether the requirements set out in Articles 5 and 7 of the Convention had been met. Those requirements were, first, that at least one notification from each of two prior informed consent regions had been considered; second, that the Chemical Review Committee had found that the notifications met the criteria in Annex II and accordingly recommended that the chemical should be made subject to the prior informed consent procedure and included in Annex III; third, that the Committee had prepared a draft decision guidance document; and fourth, that the recommendation of the Committee for inclusion, together with the draft decision guidance document, had been forwarded to the Conference of the Parties.

62. The Conference agreed that the procedure for reviewing the notifications of final regulatory actions for alachlor had been followed and that alachlor met the requirements of Articles 5 and 7 of the Convention, including the criteria set out in Annex II. It further agreed that the process followed in developing the decision guidance document for alachlor was in accordance with that set out in decision RC-2/2. The Conference therefore decided to approve the draft decision guidance document and to list alachlor in Annex III to the Convention.

63. Decision RC-5/3, on the listing of alachlor in Annex III to the Rotterdam Convention, as adopted by the Conference, is set out in annex I to the present report.

2. Aldicarb

64. The representative of the Secretariat introduced the relevant documentation, noting that aldicarb had been recommended for listing in Annex III to the Convention based on two notifications of final regulatory actions: one from the European Community and the other from Jamaica. The Chemical Review Committee, at its fifth meeting, had finalized the draft decision guidance document on aldicarb and had decided to forward it, together with the recommendation for the inclusion of the chemical in Annex III, to the Conference of the Parties for consideration at the current meeting.

65. Inviting comments on the item, the President suggested that the Conference of the Parties might first wish to verify whether the requirements set out in Articles 5 and 7 of the Convention had been met.

66. The Conference agreed that the procedure for reviewing the notifications of final regulatory actions for aldicarb had been followed and that aldicarb met the requirements of Articles 5 and 7 of the Convention, including the criteria set out in Annex II. It further agreed that the process followed in developing the decision guidance document for aldicarb was in accordance with that set out in decision RC-2/2. The Conference therefore decided to approve the draft decision guidance document and to list aldicarb in Annex III to the Convention.

67. Decision RC-5/4, on the listing of aldicarb in Annex III to the Rotterdam Convention, as adopted by the Conference, is set out in annex I to the present report.

3. Endosulfan

68. The representative of the Secretariat introduced the relevant documentation, noting that endosulfan had been considered for listing in Annex III to the Convention by the Conference of the Parties at its fourth meeting, based on two notifications of final regulatory actions: one from the Netherlands and the other from Thailand. All intersessional tasks requested by the Conference in decision RC-4/6 on endosulfan had been carried out. In the light of a supplementary legal opinion furnished by the UNEP legal office, at its sixth meeting the Chemical Review Committee had upheld its conclusion reached at its second meeting that the Thai notification met all the criteria of Annex II to the Convention. In addition, at its third, fifth and sixth meetings, the Committee had reviewed further

¹ As indicated by the Depositary of the Convention in a notification dated 31 March 2010 (reference: C.N.182.2010.TREATIES-2), which was in turn based on a communication from the Council of the European Union dated 8 March 2010, following the entry into force of the Treaty of Lisbon amending the Treaty on European Union and the Treaty establishing the European Community, with effect from 1 December 2009 the European Union replaced the European Community (Article 1, third paragraph, of the Treaty of Lisbon) and took over all rights and obligations of the European Community. The former European Community has accordingly been replaced by the European Union in respect of all conventions or agreements for which the Secretary-General of the United Nations is the depositary and to which the European Community is a signatory or a contracting party.

notifications of final regulatory actions from the European Community and eight Sahelian countries (Burkina Faso, Cape Verde, the Gambia, Guinea-Bissau, Mali, Mauritania, the Niger and Senegal) and had recommended, at its sixth meeting, that endosulfan should be listed in Annex III to the Convention.

69. Inviting comments on the item, the President suggested that the Conference of the Parties might first wish to verify whether the requirements set out in Articles 5 and 7 of the Convention had been met.

70. In the ensuing discussion, one representative asserted that listing the substance would pose major challenges in terms of implementation by developing countries, seeking an assurance that technical and financial assistance would be forthcoming. One representative, speaking on behalf of a group of countries, recalled that similar concerns had been raised at the fifth meeting of the Conference of the Parties to the Stockholm Convention, suggesting that, as those concerns had been satisfactorily resolved in that forum, a solution might similarly be found at the current meeting.

71. Following discussion of the concerns raised in the contact group on budget and technical assistance, it was agreed that they had been addressed in decision RC-5/10 on technical assistance: workplan for the biennium 2012–2013. The Conference subsequently decided to approve the draft decision guidance document and to list endosulfan in Annex III to the Convention.

72. Decision RC-5/5, on the listing of endosulfan in Annex III to the Rotterdam Convention, as adopted by the Conference, is set out in annex I to the present report.

4. Chrysotile asbestos

73. Introducing the item, the representative of the Secretariat said that, with regard to the listing of chrysotile asbestos in Annex III to the Convention, the Conference of the Parties had determined, at its third meeting, that the requirements set out in Articles 5 and 7 of the Convention had been met. It had not, however, been possible at that meeting to reach consensus on the listing of the substance in Annex III. Further discussion of the matter at the fourth meeting of the Conference of the Parties had again failed to achieve consensus, and it had been decided, by decision RC-4/4, to give further consideration at the current meeting to a draft decision to amend Annex III to the Convention to list chrysotile asbestos.

74. In the ensuing discussion, a number of representatives expressed disappointment at the failure to reach consensus on the listing of chrysotile asbestos, even when all scientific and technical criteria for the inclusion of the substance in Annex III had been met and many countries continued to experience the negative effects of exposure to the substance and were taking steps to ban its use. It was also suggested that the opposition to listing chrysotile asbestos in Annex III could stem from a lack of accessibility of the available information and that further discussion could help to resolve the issue.

75. A number of representatives opposed the listing of chrysotile asbestos in Annex III to the Convention on grounds that included the poor quality of the notifications on the substance; the lack of conclusive evidence of its harmful effects; the lack of alternatives to the substance for its main uses; and the possibility that alternatives might themselves be harmful to human health. Two representatives said that the use of chrysotile asbestos posed no risk to health provided that all safety standards were observed. Several representatives outlined the advantages to their countries of using chrysotile asbestos in specific applications, including roofing for low-cost housing, for which alternatives were of lower quality or more costly.

76. The great majority of representatives favoured listing chrysotile asbestos in Annex III. Several drew attention to the overwhelming weight of evidence linking negative health effects to asbestos, including asbestosis and various cancers. One representative said that the fact of asbestos having been banned in many countries showed that there was a large body of opinion believing that asbestos could not be handled with safety and parties who remained unconvinced would not be prevented from continuing to use it by its being listed in Annex III. Many representatives stressed that the listing of the substance did not amount to a ban, but rather provided a mechanism, within the prior informed consent procedure, to enable parties to make informed decisions on whether to allow its import and use, and to facilitate information exchange on the substance. Some representatives said that a failure to list chrysotile asbestos in Annex III in the face of the recommendation of the Chemical Review Committee would constitute a serious threat to the proper working of the Convention and give cause for discussion on ways and means of improving its effectiveness.

77. The Conference agreed to establish a contact group, to be chaired by Mr. Karel Blaha (Czech Republic) and Ms. Al-Easa, to review the issues that had been raised regarding chrysotile asbestos and its alternatives and to determine whether progress could be made on the possible development of a

draft decision on listing chrysotile asbestos in Annex III to the Convention. It would also consider, if necessary, possible approaches for dealing with chemicals recommended for listing in Annex III by the Chemical Review Committee on which the Conference of the Parties was unable to reach consensus, using as a basis for the discussion the draft text prepared at the fourth meeting of the Conference of the Parties and a conference room paper on the subject.

78. Subsequently, the co-chairs of the contact group reported back on the group's progress. Some movement on the issue by a number of countries notwithstanding, consensus had yet to be reached on the listing of chrysotile asbestos in Annex III to the Convention. It had therefore been proposed that the contact group should work on two draft decisions: first, on the possible next steps for the discussions, and, second, on possible approaches for chemicals on which the Conference of the Parties was unable to reach consensus.

79. In the ensuing discussion, many representatives voiced disappointment and frustration that consensus had yet to be reached, reiterating their support for the listing of the chemical since all the criteria had been met. A few representatives again recalled that listing in Annex III did not constitute a ban. Following a request by one representative, speaking on behalf of a group of countries, and supported by many others, the co-chairs of the contact group provided a list of countries opposed to the listing of the chemical.

80. A number of representatives explained that their reservations stemmed from the shortage of current and explicit scientific data on both the health impacts of chrysotile asbestos and available alternatives. Several representatives suggested that the UNEP legal office should produce a document setting out clear explanations of, and legal arguments regarding, the issues surrounding the discussion, in particular as they pertained to Article 5 and paragraph 5 of Article 22 of the Convention.

81. A few representatives proposed that discussion of the issue should be deferred until the sixth meeting of the Conference of the Parties to allow time for scientific conferences and information exchange to take place during the intersessional period. Such a step could enable greater progress to be made in future.

82. One representative explained that his Government's long-standing commitment to ensuring the safe use, import and export of chrysotile asbestos meant that it opposed the listing of the chemical. It would, however, be amenable to the idea of a voluntary mechanism for those substances on which a consensus could not be reached. In response, several representatives expressed strong reservations concerning any possible voluntary mechanism.

83. Many representatives commended one party on agreeing to join a growing consensus regarding the listing of chrysotile asbestos, which marked a turning point with regard to its previous stance.

84. The Conference of the Parties agreed to establish an informal group, facilitated by Mr. Barry Reville (Australia), to exchange information on chrysotile asbestos, in particular to understand the needs for specific information and possibilities for obtaining that information, with a view to moving the discussions forward.

85. Subsequently, reporting on the deliberations of the informal group, Mr. Reville said that some opponents of the listing of chrysotile asbestos had requested additional information. The group had succeeded in identifying some of the information required and websites on which it could be found. A list of those websites would be posted on the Convention website to assist parties who had yet to join the consensus on chrysotile asbestos or those requiring assistance in managing the use of the substance in their countries.

86. During the informal consultations, concerns relating to the listing of chrysotile asbestos had emerged, demonstrating differing perceptions of the implications of listing the chemical. Some representatives had said that the substance was not sufficiently hazardous to be listed and had suggested that there was a need to consider whether a hazard threshold should be applied in the procedure for listing a chemical in Annex III to the Convention.

87. Some representatives had also requested information on alternatives to chrysotile asbestos, as they were concerned that those alternatives might be less safe than chrysotile asbestos itself. Others had indicated that a wealth of information on alternatives was already available on the internet. While acknowledging that the listing of a chemical did not equate to banning it, some representatives had argued that listing nevertheless amounted to a ban by stealth, which prevented them from agreeing to list chrysotile asbestos in Annex III.

88. The President proposed that, as it had not proved possible to reach consensus on the matter, the decision should be postponed to the sixth meeting of the Conference of the Parties, to allow further discussion and information exchange to take place.

89. In response, numerous representatives reiterated their disappointment and frustration at the lack of consensus on the issue. One introduced a declaration on chrysotile asbestos, which was endorsed by a large number of representatives. The declaration, which has not been formally edited, read as follows:

Recognizing the achievement in adding the hazardous chemicals aldicarb, alachlor and endosulfan to the Rotterdam Convention;

Recalling that decision RC-3/3 of the third Conference of the Parties, adopted by consensus, found that the criteria for listing chrysotile asbestos in Annex III were met;

Deeply concerned that the listing of chrysotile asbestos nonetheless has been prevented by a small number of Parties for three consecutive Conferences of the Parties;

Noting that the reasons put forward for preventing listing by consensus were not relevant to the criteria of the Convention;

Encouraged by the willingness of some Parties to reconsider their position and support the listing;

We the undersigned:

Call upon all Parties to hold paramount the protection of human health and the environment;

Resolve to move forward to list chrysotile asbestos in Annex III and improve the effectiveness of the Convention in listing chemicals in the future;

Declare our intent to pursue further action under the Convention to ensure that the export of hazardous chemicals occurs only with the prior informed consent of the importing Party and that the Party is provided with accurate information on the characteristics, potential dangers, safe handling and use of those chemicals.

Signed by: the African group (Benin, Botswana, Burkina Faso, Burundi, Cameroon, Congo, Côte d'Ivoire, Djibouti, Equatorial Guinea, Ethiopia, Gabon, Gambia, Ghana, Guinea, Kenya, Madagascar, Mali, Mauritania, Mozambique, Niger, Nigeria, Senegal, South Africa, Sudan, Togo, Zambia); Argentina, Australia, Chile, Colombia, the European Union and its member States (Austria, Belgium, Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, the Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden and the United Kingdom of Great Britain and Northern Ireland), Jamaica, Japan, Jordan, New Zealand, Norway, Panama, Peru, Switzerland, Uruguay, Venezuela (Bolivarian Republic of).

90. One representative proposed that the text of the draft decision on follow-up actions by the Chemical Review Committee on listing chrysotile asbestos in Annex III to the Convention prepared by the contact group should be annexed to the present report as a basis for discussion at the sixth meeting of the Conference of the Parties. Several representatives argued, however, that including a paragraph referring to an agreement to list chrysotile asbestos in Annex III to the Convention, when no such agreement had been reached, could cause confusion. The Conference agreed to annex the draft decision to the present report with the addition of an explanatory paragraph describing the process and reasoning behind the inclusion of the draft decision in the annex to the present report. In addition, the entire text of the draft decision would be placed in square brackets, to avoid any ambiguity.

91. The draft decision is set out in annex IV to the present report.

D. Non-compliance

92. Introducing the sub-item and the relevant documentation, the representative of the Secretariat said that, at its fourth meeting, the Conference of the Parties had decided, by its decision RC-4/7, further to consider at the current meeting the procedures and institutional mechanisms on non-compliance required under Article 17 of the Convention with a view to their adoption. It had further decided that the draft text set out in the annex to decision RC-4/7 should form the basis of further discussion at the current meeting on those procedures and institutional mechanisms.

93. In the ensuing discussion, it was generally agreed that ensuring compliance with the Convention was essential and that the effectiveness and integrity of the Convention could be undermined unless appropriate measures were introduced. Many representatives stressed the need to

establish a compliance mechanism. Numerous representatives said that procedures and mechanisms on non-compliance should be non-adversarial, with a view to promoting compliance rather than punishing non-compliance.

94. Several representatives said that, in the light of the progress made at the fourth meeting of the Conference of the Parties, the time was ripe to introduce an effective compliance mechanism at the current meeting, while several others maintained that the current inability of developing countries to gain access to sufficient funding posed a serious threat to the objectives of the Convention. A number of representatives stated that they could not support the adoption of any decision on non-compliance at the current meeting, given that, in their view, the implementation of the Convention could be achieved successfully only when robust financing mechanisms were in place for all the chemicals conventions.

95. The Conference agreed to establish a contact group, co-chaired by Ms. Abiola Olanipekun (Nigeria) and Ms. Mona Westergaard (Denmark), to discuss the draft text on non-compliance and to identify the obstacles to be overcome for consensus on the matter to be reached. The group would endeavour to make as much progress as possible on the issue during the current meeting with a view to concluding the work.

96. Subsequently, the co-chairs of the contact group on non-compliance reported on the outcome of its deliberations, drawing attention to a co-chairs' proposal set out in a conference room paper that was before the Conference for its consideration.

97. The President proposed that the Conference should adopt the compliance mechanism on the basis of the co-chairs' proposal. Several representatives opposed that proposal, however, meaning that there was no agreement to adopt a compliance mechanism on that basis. Those opposed were of the view that, while they appreciated the co-chairs' efforts to reach consensus, no consensus had been reached on the compromise text, and they were not ready to adopt a compliance mechanism at the current meeting, preferring to consider the matter at the sixth meeting of the Conference of the Parties. Some of those representatives emphasized the need to secure financial resources to enable compliance, pointing out the need to identify a financial mechanism to facilitate the implementation of the Convention in the development of a compliance mechanism. Some of those representatives also expressed concerns regarding some elements of the compromise text.

98. One representative, speaking on behalf of a group of countries, stressed his disappointment that the compromise text could not be adopted at the current meeting. Another, endorsed by some others, said that it would be prudent to await the outcome of the consultative process on financing options for chemicals and wastes undertaken by UNEP. He suggested that the co-chairs' compromise text, within square brackets, should be carried forward to the sixth meeting of the Conference. Some, including one speaking on behalf of a group of countries, said that the compromise text was being proposed for consideration and adoption as a package only at the current meeting and could not be carried forward as a basis for further negotiation. Several others called for the compromise text to be taken forward, as, in their opinion, it contained useful elements.

99. One representative, speaking on behalf of a group of countries, said that the Secretariat should prepare a decision similar to decision RC-4/7 on compliance, by which the Conference would decide to consider the matter at its sixth meeting. Several representatives said that the final text agreed upon by the contact group should also be forwarded as the basis for further negotiations.

100. The Conference subsequently considered the draft decision prepared by the Secretariat and agreed to consider further a compliance mechanism at its sixth meeting. Similar to decision SC-4/33 of the Conference of the Parties to the Stockholm Convention, the decision would contain, in an annex, the results of the deliberations of the contact group as the basis for further negotiations, together with the co-chairs' compromise text as a reference point.

101. Decision RC-5/8, on procedures and mechanisms on compliance with the Rotterdam Convention, as adopted by the Conference, is set out in annex I to the present report.

E. Financial resources

102. Introducing the sub-item, the representative of the Secretariat reviewed the actions taken by the Secretariat with regard to the implementation of decision RC-4/8 on progress made towards the implementation of decision RC-3/5 on possible options for lasting and sustainable financial mechanisms.

103. Mr. Kante reported on the current status of the UNEP consultative process on financing options for chemicals and wastes. Four meetings had already been held as part of the process and four possible options were being proposed: mainstreaming the sound management of chemicals and hazardous wastes; encouraging industry involvement, including public-private partnerships and the use

of economic instruments at the national and international levels; establishing safe chemicals and waste management as a new Global Environment Facility (GEF) focal area, expanding the existing persistent organic pollutants focal area under GEF or establishing a new trust fund under GEF; or establishing a new trust fund similar to the Multilateral Fund for the Implementation of the Montreal Protocol. The last meeting in the process would take place in Bangkok in October 2011.

104. Several representatives emphasized the vital importance to developing countries and countries with economies in transition of financial assistance for the full implementation of the Convention and a number expressed appreciation to those parties that had provided voluntary contributions. One proposed that an independent financial mechanism similar to the Multilateral Fund could be developed either for the sole use of the Rotterdam Convention, or for use by all three conventions. One representative, however, said that, since only administrative action was required to implement the Convention, the costs involved were not significant, provided that countries already had the basic capacity to manage chemicals. Other options would therefore be more suitable.

105. With regard to the proposed establishment of a new FAO trust fund, some representatives expressed concern that such a fund would fall outside the decision-making remit of the Conference of the Parties.

106. The Conference agreed that the Secretariat should prepare for its consideration a draft decision on the matter.

107. Decision RC-5/11, on the progress made in the implementation of decision RC-3/5 on possible options for lasting and sustainable financial mechanisms, as adopted by the Conference, is set out in annex I to the present report.

F. Technical assistance

108. Introducing the sub-item, the representative of the Secretariat said that, in its decision RC-4/9 on national and regional delivery of technical assistance, the Conference of the Parties had requested the Secretariat to report to the Conference at the current meeting on the experience gained since 2009 in the national and regional delivery of technical assistance to the parties to the Convention. He briefly described the technical assistance activities that had been undertaken in response to the decision.

109. He then noted that, by its decision RC-4/9, the Conference of the Parties had requested the Secretariat to prepare for consideration by the Conference of the Parties at the current meeting a detailed, costed programme of activities for the national and regional delivery of technical assistance for the biennium 2012–2013, based on the level of resources expected to be available from all sources. The Secretariat had done so and had also prepared a draft strategic plan for strengthening the capacity of parties to the Convention to provide import responses and notifications of final regulatory actions for industrial chemicals.

110. In the ensuing discussion, the President thanked those countries that had made financial contributions to enable the implementation of the technical assistance programme and expressed the wish that such contributions would continue and even increase.

111. Many representatives voiced appreciation for technical assistance received during the current triennium, seeing it as crucial in advancing the implementation of the Convention. One said that the needs of developing countries and countries with economies in transition in that respect could not be met by workshops alone and required more sustained forms of financial assistance. Another said that the financial situation of the Convention should not affect technical assistance activities, suggesting that the Secretariat should seek increased support from donor countries. One representative said that training and other forms of technical assistance could also be undertaken at the regional level through, for example, information exchange activities. A number of representatives called for more targeted technical assistance.

112. Several representatives expressed their appreciation and support for the 2012–2013 programme of work, while questioning whether resources would be sufficient to undertake technical assistance activities. One, supported by others, said that, given the paucity of financial resources, technical assistance activities should be accorded priority. He added that the activities should fit within the scope of the Convention, build upon existing work, take into account the current funding situation, be facilitated and coordinated by the Secretariat and make use of expertise in other legally binding instruments. One representative endorsed the industrial chemicals strategic plan, provided that the content of the activities was applicable and clearly for the purpose of increasing the number of notifications under the Convention, and that there was no duplication between the strategic plan and the 2012–2013 programme of work.

113. One representative, speaking on behalf of a group of countries, noted the apparent usefulness of the activities identified in the 2012–2013 programme of work, while cautioning that it was necessary to be realistic about the budget that was likely to be available to implement those activities. She suggested further streamlining to promote a synergistic, cost-effective approach to implementation, pointing out that the activities proposed in the industrial chemicals strategic plan were broad and not necessarily linked to the implementation of the Convention. To be successful, they should be seen in conjunction with activities such as the development of guidance to facilitate the interpretation and implementation of the term “severely restricted” in relation to industrial chemicals. She suggested that the Secretariat should provide an appendix containing the summary table of the costs of technical assistance similar to that provided at the fourth meeting of the Conference of the Parties.

114. One representative, speaking on behalf of a group of countries, called for an evaluation of the effectiveness of the technical assistance programme to ensure that the activities undertaken had had maximum effectiveness at minimum cost. Care was needed in prioritization and the use of limited resources. Effectiveness and affordability should also be considerations when discussing compliance issues.

115. One representative stressed that the number of activities included in the programme of work was the minimum necessary and should be increased if countries were to succeed in implementing the Convention. Synergies with programmes in other international organizations that could be of assistance in implementation activities should be identified. Some representatives suggested several activities that could be included.

116. The Conference agreed that the contact group established to consider the budget and programme of work under agenda item 7 should also examine technical assistance issues and prepare a draft decision for consideration by the Conference. It also agreed that Mr. Mohammed Khashashneh (Jordan) should serve as co-chair of the group with Ms. Stendahl.

117. Decision RC-5/10, on technical assistance: workplan for the biennium 2012–2013, as adopted by the Conference, is set out in annex I to the present report.

G. Trade

118. Introducing the sub-item, the representative of the Secretariat said that the Secretariat had obtained observer status on the Committee on Trade and Environment in Special Session of the World Trade Organization on a meeting-by-meeting basis. In another committee of the World Trade Organization, the Committee on Trade and Environment, a decision on the request for observer status remained pending.

119. In the ensuing discussion, one representative, speaking on behalf of a group of countries, thanked the Secretariat for the efforts being made to seek observer status on those World Trade Organization committees. Another representative urged parties to be more proactive in supporting those efforts, suggesting that improved coordination at the national level could facilitate the implementation of the decision to grant observer status.

120. Another representative, speaking on behalf of a group of countries, expressed concern at the slow pace of implementation of the Globally Harmonized System for the Classification and Labelling of Chemicals in developing countries, and called for greater cooperation with the United Nations Institute for Training and Research to facilitate the implementation of paragraphs 4 and 5 of Article 13 of the Convention. Related measures should include training of Customs officers to ensure the effective application of the Globally Harmonized System. The representative of the Secretariat explained that those issues had been taken into account as part of the discussion on financial resources.

121. The Conference agreed that the Secretariat should prepare for its consideration a draft decision on the matter.

122. Decision RC-5/13, on cooperation with the World Trade Organization, as adopted by the Conference, is set out in annex I to the present report.

H. Information exchange

123. Introducing the sub-item, the representative of the Secretariat recalled that, by its decision RC-4/12 on financing and budget for the triennium 2009–2011, the Conference of the Parties had adopted a programme of work and budget that included a request to the Secretariat to establish a clearing-house mechanism for the Rotterdam Convention in cooperation with the Basel and Stockholm conventions. The conferences of the parties to the three conventions, at their simultaneous extraordinary meetings held in Bali, Indonesia, in February 2010, had approved on a preliminary basis a joint workplan for establishing a joint clearing-house mechanism to serve all three conventions and had requested the secretariats to prepare a revised workplan for consideration by the conferences of the parties at their ordinary meetings, in 2011. He introduced a draft strategic plan for establishing procedures for the operation of the Rotterdam Convention component of the joint clearing-house mechanism.

124. Many representatives voiced appreciation for the draft strategic plan, one saying that a single clearing-house mechanism would help countries to implement the three conventions. One representative, speaking on behalf of a group of countries and supported by another representative, emphasized the need for a well-functioning information system that would facilitate the implementation of all three conventions.

125. The Conference agreed that the Secretariat should prepare for its consideration a draft decision on the matter.

126. Decision RC-5/9, on information exchange, as adopted by the Conference, is set out in annex I to the present report.

VI. Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions

127. Introducing the item, the representative of the Secretariat said that the relevant documentation had been presented to the Conference of the Parties to the Stockholm Convention at its fifth meeting, held in Geneva from 25 to 29 April 2011. The documentation would also be made available to the Conference of the Parties to the Basel Convention at its tenth meeting, to be held in Cartagena, Colombia, from 17 to 21 October 2011. The Conference of the Parties to the Stockholm Convention had adopted decision SC-5/27 on enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions, with the proviso that the adoption of the decision was subject to the adoption of decisions that were in substance identical to that decision by the conferences of the parties to the Basel and Rotterdam conventions.

128. All representatives who took the floor voiced support for the synergies process and the adoption of a decision that was in substance identical to the decision taken by the Conference of the Parties to the Stockholm Convention. One representative, speaking on behalf of a group of countries, noted with appreciation the extensive and dedicated work undertaken during the fifth meeting of the Conference of the Parties to the Stockholm Convention on the development of a decision on synergies. Several representatives emphasized the need for a financial mechanism with sufficient, predictable and sustainable funds to ensure progress in the synergies process and welcomed the consultative process on financing options for chemicals and wastes. Another representative, speaking on behalf of a group of countries, stressed the importance of ensuring that the savings realized from enhanced cooperation and coordination were allocated where they were most needed, particularly for providing technical assistance to developing countries and countries with economies in transition.

129. One representative suggested that the synergies process would benefit from joint meetings of the bureaux of the three conventions. Another said that the focus of synergies should be on promoting additional activities in the field using the resources available. A third, speaking on behalf of a group of countries, added that synergies among the three conventions and synergies on chemicals and wastes in general would greatly help to improve chemicals and waste management.

130. The Conference agreed that the Secretariat should prepare for its consideration a draft decision on the matter. One representative said that such a draft decision should have been prepared in advance of the meeting, given the degree of concordance between the Rotterdam Convention draft decision and decision SC-5/27 of the Stockholm Convention.

131. Decision RC-5/12, on enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions, as adopted by the Conference, is set out in annex I to the present report.

VII. Programme of work of the Secretariat and adoption of the budget

132. Introducing the item, a representative of the Secretariat described the activities of the Secretariat during the period from 1 May 2008 to 31 October 2010, summarizing those activities in four main areas: meetings of the Conference of the Parties and its subsidiary bodies; facilitating of assistance to countries in the implementation of the Convention; coordination with the secretariats of other international bodies; and other Secretariat functions as specified by the Convention and determined by the Conference of the Parties.

133. A second representative of the Secretariat summarized the main issues pertaining to the financial report and review of the staffing situation in the Secretariat and to the programme of work and proposed budget for the biennium 2012–2013. Although arrears of assessed contributions had continued to improve, with an amount of \$220,024 being outstanding for 2010 and prior periods as at 31 December 2010, arrears of host country contributions had increased, with an amount of \$2,114,513 (1,478,045 euros) being outstanding as at 31 May 2011, which had major implications for the operation of the Secretariat. The Secretariat had received 77 requests for the travel of participants to the current meeting to be funded, but had been able to approve support for only 54 of those participants. As at 31 May 2011, earmarked voluntary contributions had been received or pledged in the amount of \$242,700 for participant travel to the meeting. With regard to staffing in the Secretariat, recruitment had been completed and all posts filled. Turning to the programme of work and proposed budget for the biennium 2012–2013, she outlined for consideration by the Conference of the Parties three budget scenarios proposed with a view to developing a full programme of activities that corresponded to country needs in the implementation of the Convention.

134. Regarding host country arrears, the representative of Italy said that his Government had now paid 452,641 euros, 96,355 euros of which comprised the mandatory contribution for 2011, while the remainder represented the host country contribution for 2009 and partial payment of the arrears for 2011. The payment of the arrears for 2010 and 2011 would be finalized without delay.

135. In the ensuing discussion, several representatives expressed satisfaction that the plans for increasing synergies between the Basel, Rotterdam and Stockholm conventions, including the harmonization of budgetary and meeting cycles, were beginning to come to fruition and stressed that the discussions at the current meeting should benefit from, and further develop, the discussions that had taken place at the fifth meeting of the Conference of the Parties to the Stockholm Convention.

136. One representative, speaking on behalf of a group of countries, said that the global financial crisis rendered it increasingly difficult for multilateral environmental agreements, including the Rotterdam Convention, to garner adequate financial support, and it was therefore crucial to adopt a strategic approach and explore synergies to increase efficiency. Given the delays hampering the restructuring of the secretariats of the Basel, Rotterdam and Stockholm conventions arising from the late appointment of the new Executive Secretary, some flexibility should be granted, as an exceptional measure, to determine the staffing levels, numbers and structure of the Secretariat in line with the decision on the matter taken by the Conference of the Parties to the Stockholm Convention at its fifth meeting.

137. The representative of Switzerland said that, while his country gave 600,000 euros annually as the host country contribution to the Convention, it was concerned that the mobilization of resources to ensure the participation of representatives of developing countries or countries with economies in transition had become increasingly difficult, and it therefore made additional contributions to encourage the attendance of participants from those countries. Accordingly, it proposed reallocating a portion of its host country contribution from the General Trust Fund to the Special Trust Fund, which would also provide the Secretariat with the flexibility needed to undertake more joint activities. Another representative said that care should be taken to ensure adequate funds remained within the General Trust Fund to finance core activities.

138. Two representatives expressed concern that the attendance of representatives of their countries had been hampered by the refusal of their applications for travel funding, and the late notification by the Secretariat of that refusal.

139. The Conference of the Parties agreed to establish a contact group, chaired by Ms. Stendahl, to consider the budget and the programme of work.

140. Decisions RC-5/14, on financing and budget for the biennium 2012–2013, and RC-5/1, on amendments to the financial rules for the Conference of the Parties, its subsidiary bodies and the Convention Secretariat, as adopted by the Conference, are set out in annex I to the present report.

VIII. Venue and date of the sixth meeting of the Conference of the Parties

141. The representative of the Secretariat said that a tentative booking had been made for the sixth meeting of the Conference of the Parties to take place at FAO headquarters in Rome from 1 to 5 July 2013.

142. In response to a question, Mr. Willis said that that arrangement was subject to any further decisions that might be made by the bureaux of the Basel, Rotterdam and Stockholm conventions to adjust their meeting schedules to improve cooperation and coordination between the conventions.

143. The Conference endorsed the venue and date of the sixth meeting, subject to any decision that might be taken by the bureaux.

IX. Other matters

A. Attendance of observers

144. The representative of the Secretariat outlined the rules of procedure pertaining to the attendance of observers, and drew attention to a list of new observers set out in document UNEP/FAO/RC/COP.5/INF/10/Rev.1.

145. The Conference took note of the list of new observers.

B. Universal ratification

146. One representative, drawing attention to the importance of achieving universality in the participation of countries in the Convention through its widespread implementation, suggested that the Secretariat should spare no effort to help non-parties to ratify the Convention. He suggested that the issue should be placed on the agenda of the sixth meeting of the Conference of the Parties.

147. The Conference took note of his statement.

X. Adoption of the report

148. The Conference of the Parties adopted the present report on the basis of the draft report contained in documents UNEP/FAO/RC/COP.5/L.1 and Add.1, as amended during adoption.

XI. Closure of the meeting

149. Following the customary exchange of courtesies, the meeting was declared closed at 7.30 p.m. on Friday, 24 June 2011.

Annex I

Decisions adopted by the Conference of the Parties at its fifth meeting

- RC-5/1: Amendments to the financial rules for the Conference of the Parties, its subsidiary bodies and the Convention Secretariat
- RC-5/2: Increasing the number of notifications of final regulatory actions and communication between parties
- RC-5/3: Listing of alachlor in Annex III to the Rotterdam Convention
- RC-5/4: Listing of aldicarb in Annex III to the Rotterdam Convention
- RC-5/5: Listing of endosulfan in Annex III to the Rotterdam Convention
- RC-5/6: Confirmation of the appointments of government-designated experts as members of the Chemical Review Committee
- RC-5/7: Nomination of Governments to designate experts for the Chemical Review Committee
- RC-5/8: Procedures and mechanisms on compliance with the Rotterdam Convention
- RC-5/9: Information exchange
- RC-5/10: Technical assistance: workplan for the biennium 2012–2013
- RC-5/11: Progress made in the implementation of decision RC-3/5 on possible options for lasting and sustainable financial mechanisms
- RC-5/12: Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions
- RC-5/13: Cooperation with the World Trade Organization
- RC-5/14: Financing and budget for the biennium 2012–2013

RC-5/1: Amendments to the financial rules for the Conference of the Parties, its subsidiary bodies and the Convention Secretariat

The Conference of the Parties,

Recalling paragraph 4 of Article 18 of the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade,

Decides to amend the financial rules for the operation of the Conference of the Parties, its subsidiary bodies and the Convention Secretariat set out in the annex to decision RC-1/4 to read as follows:

“Financial rules

Scope

Rule 1

The present rules shall govern the financial administration of the Conference of the Parties to the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade, its subsidiary bodies and the Convention Secretariat. In respect of matters not specifically provided for by the present rules, the Financial Regulations and Rules of the United Nations shall apply.

Financial period**Rule 2**

The financial period shall be a biennium consisting of two consecutive calendar years.

Budget**Rule 3**

1. The head(s) of the Convention Secretariat (Executive Secretaries of the Secretariat of the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade) shall prepare the budget estimates for the following biennium in United States dollars showing projected income and expenditures for each year of the biennium concerned. The budget should be presented in programmatic formats harmonized with those used by the secretariats of the Stockholm and Basel conventions. The head(s) shall dispatch the estimates, as well as the actual income and expenditure for each year of the previous biennium and estimates of actual expenditure in the current biennium, to all parties to the Convention at least 90 days before the opening of the meeting of the Conference of the Parties at which the budget is to be adopted.

2. The Conference of the Parties shall, prior to the commencement of the financial period that the budget covers, consider the budget estimates and adopt an operational budget by consensus authorizing expenditures, other than those referred to in rule 4, paragraphs 3 and 4.

3. The head(s) shall provide the Conference of the Parties with cost estimates for actions that have budgetary implications that are not foreseen in the draft programme of work but are included in proposed draft decisions prior to the adoption of those decisions by the Conference of the Parties.

4. Adoption of the operational budget by the Conference of the Parties shall constitute authority to the head(s) of the Convention Secretariat to incur obligations and make payments for the purposes for which the appropriations were approved and up to the amounts so approved, provided always that, unless specifically authorized by the Conference of the Parties, commitments shall be covered by related income.

5. The head(s) of the Convention Secretariat may make transfers within each of the main appropriation lines of the approved operational budget. The head(s) of the Convention Secretariat may also make transfers between such appropriation lines up to 20 per cent unless another limit is set by the Conference of the Parties.

Funds**Rule 4**

1. A General Trust Fund for the Convention shall be established by the Executive Director of the United Nations Environment Programme and managed by the head(s) of the Convention Secretariat. The fund is to provide financial support to the work of the Convention Secretariat. Contributions made pursuant to rule 5, paragraph 1 (a), shall be credited to this fund. Contributions made to offset operational budget expenditures that are made, pursuant to rule 5, paragraph 1 (b), by the Government hosting the Convention Secretariat or pursuant to rule 5, paragraph 1 (c), by the United Nations Environment Programme and the Food and Agriculture Organization of the United Nations, shall also be credited to this fund. All budget expenditures that are made pursuant to rule 3, paragraph 4 shall be charged to the General Trust Fund.

2. Within the General Trust Fund there shall be maintained a working capital reserve at a level to be determined from time to time by the Conference of the Parties by consensus. The purpose of the working capital reserve shall be to ensure continuity of operations in the event of a temporary shortfall of cash. Draw downs from the working capital reserve shall be restored from contributions as soon as possible.

3. A Special Trust Fund shall be established by the head(s) of the Convention Secretariat. It shall be managed by the head(s) of the Convention Secretariat. This fund shall receive contributions pursuant to rule 5, paragraphs 1 (b) and (c), to support, in particular:

(a) Facilitation and promotion of technical assistance, training and capacity-building in accordance with Article 16;

(b) Participation of representatives of developing-country parties, in particular least-developed-country parties and small island developing States among them, and of parties with economies in transition in the meetings of the Conference of the Parties and its subsidiary bodies pursuant to the procedure set out in the annex to the financial rules;

(c) Other appropriate purposes consistent with the objectives of the Convention.

4. Subject to the approval of the Conference of the Parties, the Executive Director of the United Nations Environment Programme may establish other trust funds, provided that they are consistent with the objectives of the Convention.

5. In the event that the Conference of the Parties decides to terminate a trust fund established pursuant to the present rules, it shall so advise the Executive Director of the United Nations Environment Programme at least six months before the date of termination so decided. The Conference of the Parties shall decide, in consultation with the Executive Director of the United Nations Environment Programme, on the distribution of any uncommitted balances after all liquidation expenses have been met.

Contributions

Rule 5

1. The resources of the Conference of the Parties shall comprise:

(a) Contributions made each year by parties on the basis of an indicative scale adopted by consensus by the Conference of the Parties and based on such a scale of assessments of the United Nations as may be adopted from time to time by the General Assembly, adjusted so as to ensure that no party contributes less than 0.01 per cent of the total, that no one contribution exceeds 22 per cent of the total and that no contribution from a least-developed-country party exceeds 0.01 per cent of the total;

(b) Contributions made each year by parties in addition to those made pursuant to paragraph (a) including those made by the Government hosting the Convention Secretariat;

(c) Contributions from States not parties to the Convention, as well as governmental, intergovernmental and non-governmental organizations, and other sources;

(d) The uncommitted balance of appropriations from previous financial periods;

(e) Miscellaneous income.

2. The Conference of the Parties shall, in adopting the indicative scale of contributions referred to in rule 5, paragraph 1 (a), make adjustments to take account of contributions of parties that are not members of the United Nations, as well as those of regional economic integration organizations that are parties.

3. In respect of assessed contributions made pursuant to rule 5, paragraph 1 (a):

(a) Contributions for each calendar year are expected by 1 January of that year and should be paid promptly and in full. Parties should be notified of the amount of their contributions for a given year by 15 October of the previous year;

(b) Each party shall, as far in advance as possible of the date due for the contribution, inform the head(s) of the Convention Secretariat of the contribution it intends to make and of the projected timing of that contribution;

(c) If contributions of any parties have not been received by 31 December of the relevant year, the head(s) of the Convention Secretariat shall write to those parties to impress upon them the importance of paying their respective arrears for prior periods, and shall report to the Conference of the Parties at its next meeting on the consultations with such parties;

(d) The head(s) of the Convention Secretariat shall agree with any party whose assessed contributions are in arrears for two or more years on a payment schedule to permit such party to clear all outstanding arrears within six years, depending on the financial circumstances of the party, and to pay future contributions by their due dates. The head(s) of the Convention Secretariat shall report to the Bureau and to the Conference of the Parties at their next meetings on progress under any such schedule;

(e) Parties that are not least developed countries or small island developing States and whose contributions are in arrears for two or more years shall be subject to effective measures to be decided by the Conference of the Parties;

(f) Given the importance of full and effective participation of developing-country parties, in particular least developed countries and small island developing States, and parties with economies in transition, the head(s) of the Convention Secretariat shall remind parties of the need for contributions to the Special Trust Fund at least six months prior to each ordinary meeting of the Conference of the Parties, reflecting on the financial need, and urge parties in a position to do so to ensure that any contributions are paid at least three months before the next meeting of the Conference of the Parties.

4. Contributions made pursuant to rule 5, paragraphs 1 (b) and (c) shall be used in accordance with such terms and conditions, consistent with the objectives of the Convention and the Financial Regulations and Rules of the United Nations, as may be agreed between the head(s) of the Convention Secretariat and the contributor.

5. Contributions made pursuant to rule 5, paragraph 1 (a), from States and regional economic integration organizations that become parties to the Convention after the beginning of a financial period shall be made pro rata temporis for the balance of that financial period. Consequent adjustments shall be made at the end of each financial period for other parties, unless the Conference of the Parties decides otherwise.

6. All contributions shall be paid in United States dollars or the equivalent in a convertible currency. They shall be paid into a bank account to be designated by the Executive Director of the United Nations Environment Programme in consultation with the head(s) of the Convention Secretariat. In conversion into United States dollars, the United Nations operational rate of exchange shall be used.

7. The head(s) of the Convention Secretariat shall acknowledge promptly the receipt of all pledges and contributions and shall inform the parties, twice a year, by publishing on the Convention website up-to-date information on the status of pledges and payments of assessed and host country contributions.

8. Contributions not immediately required shall be invested at the discretion of the Executive Director of the United Nations Environment Programme, in consultation with the head(s) of the Convention Secretariat. The resulting income shall be credited to the relevant Convention trust fund.

Accounts and audit

Rule 6

1. The accounts and financial management of all funds governed by the present rules shall be subject to the internal and external audit process of the United Nations.

2. An interim statement of accounts for the first year of the financial period shall be provided to the Conference of the Parties during the second year of the period, and a final audited statement of accounts for the full financial period shall be provided to the Conference of the Parties as soon as possible after the accounts for the financial period are closed.

3. The Conference of the Parties shall be informed of any relevant remarks in the report of the United Nations Board of Auditors on financial statements of the United Nations Environment Programme.

Administrative support costs

Rule 7

The Conference of the Parties shall reimburse the United Nations Environment Programme for the services provided to the Conference of the Parties, its subsidiary bodies and the Convention Secretariat from the funds referred to in rule 4, paragraphs 1, 3 and 4, on such terms as may from time to time be agreed upon between the Conference of the Parties, the United Nations Environment Programme and the Food and Agriculture Organization of the United Nations in accordance with article 19, paragraph 3, of the Convention or, in the absence of such agreement, in accordance with the general policy of the United Nations.

Amendments

Rule 8

Any amendment to the present rules shall be adopted by the Conference of the Parties by consensus.”

Annex to decision RC-5/1

Procedure for the allocation of funding from the voluntary Special Trust Fund (RV) for facilitating the participation of parties in meetings of the Conference of the Parties

1. The procedure described herein for facilitating the participation of eligible delegates in meetings under the Convention should aim at the full and active participation of developing-country parties, in particular least developed countries and small island developing States, and parties with economies in transition, in the activities of the Convention to improve the legitimacy of Convention decisions and encourage the implementation of the Convention at the local, national, regional and international levels.

2. The procedure should give priority to least developed countries and small island developing States and thereafter aim at ensuring adequate representation of all eligible parties. It should continue to be guided by established United Nations practice.

3. The Secretariat should notify parties as soon as possible, and preferably six months in advance, of the dates and venues of meetings of the Conference of the Parties.

4. Following the dispatch of a notification that a meeting will take place, eligible parties should be invited to inform the Secretariat, through official channels of communication, as soon as possible and no later than three months before the meeting, whether funding is requested.

5. Based on the availability of financial resources and the number of requests received, the head(s) of the Convention Secretariat shall prepare a list of sponsored delegates. The list shall be established in accordance with paragraphs 1 and 2 above with a view to ensuring adequate geographical representation of eligible regions, with priority given to least developed countries and small island developing States.

6. The Secretariat should, four weeks in advance of the meeting, notify eligible countries that will not be sponsored, inviting them to seek other alternative sources of funding.

7. The head(s) of the Convention Secretariat is invited to liaise with the Executive Director of the United Nations Environment Programme and the Director-General of the Food and Agriculture Organization of the United Nations, with a view to ensuring a waiver of the 13 per cent programme support costs on contributions to the voluntary Special Trust Fund (RV) for the participation of representatives from developing countries, with the understanding that the additional money secured will be used to enhance the representation of eligible parties.

RC-5/2: Increasing the number of notifications of final regulatory actions and communication between parties

The Conference of the Parties,

Recalling the objective of the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and the obligations set forth in Article 5 concerning the procedures for banned or severely restricted chemicals,

Recognizing the concerns raised at the fourth meeting of the Conference of the Parties regarding the low number of notifications of final regulatory actions submitted by parties,

Welcoming the fact that progress has been made by parties in notifying the Secretariat of final regulatory actions,

Reaffirming that the listing of chemicals in Annex III to the Convention does not imply banning or severely restricting their use,

Welcoming the review of current regulatory processes for chemicals to determine their relationship to the definitions of banned or severely restricted chemicals in Article 2 of the Convention,² and noting with appreciation the work of the Secretariat in that regard,

2 UNEP/FAO/RC/COP.5/4.

Acknowledging that, under Article 5 of the Convention, every effort should be made by parties to notify the Secretariat of all chemicals that have been banned or severely restricted through final regulatory actions,

Recognizing the needs of developing countries for training and assistance in preparing notifications, in addition to the importance of all parties having adequate capacity in that regard,

Concerned about the possible consequences for parties that have not submitted import responses according to Article 10 of the Convention,

Considering the benefits of the information provided by export notifications pursuant to Article 12 of the Convention,

1. *Invites* parties that have taken final regulatory actions to notify the Secretariat of such actions within the time frame established by the Convention, given that notifications of final regulatory actions are key to the inclusion of chemicals in Annex III to the Convention, the prior informed consent procedure and the information-exchange provisions of the Convention;
2. *Requests* the Secretariat to propose ways and means of improving levels of notifications of final regulatory actions by parties under Article 5 of the Convention and to submit those proposals for the consideration of the Conference of the Parties at its sixth meeting;
3. *Notes* that there is a need to have information on:
 - (a) Exports under paragraph 2 of Article 11 of the Convention, including to what extent the criteria in that paragraph have been applied as the basis for export and imports that have taken place after the expiration of the one-year period provided for that paragraph; and
 - (b) Export notifications submitted pursuant to Article 12 of the Convention;
4. *Requests* the Secretariat to consider ways of meeting these information needs and to report on the matter to the Conference of the Parties at its sixth meeting as part of the report on the status of implementation;
5. *Also requests* the Secretariat to prepare guidelines to assist parties in preparing notifications of final regulatory actions to ban or severely restrict pesticides and industrial chemicals, giving particular regard to the explanation of terms and definitions used in the Convention, notably the term “severely restricted chemicals”;
6. *Requests* the Secretariat to carry out work on industrial chemicals within available resources.

RC-5/3: Listing of alachlor in Annex III to the Rotterdam Convention

The Conference of the Parties,

Noting with appreciation the work of the Chemical Review Committee,

Having considered the recommendation of the Chemical Review Committee to make alachlor subject to the prior informed consent procedure and accordingly to list it in Annex III to the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade,

Satisfied that all the requirements for listing in Annex III to the Rotterdam Convention have been met,

1. *Decides* to amend Annex III to the Rotterdam Convention to list the following chemical:

Chemical	Relevant CAS number(s)	Category
Alachlor	15972-60-8	Pesticide

2. Also decides that this amendment shall enter into force for all parties on 24 October 2011.

3. *Approves* the decision guidance document for alachlor.³

³ UNEP/FAO/RC/COP.5/14, annex V.

RC-5/4: Listing of aldicarb in Annex III to the Rotterdam Convention

The Conference of the Parties,

Noting with appreciation the work of the Chemical Review Committee,

Having considered the recommendation of the Chemical Review Committee to make aldicarb subject to the prior informed consent procedure and accordingly to list it in Annex III to the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade,

Satisfied that all the requirements for listing in Annex III to the Rotterdam Convention have been met,

1. *Decides* to amend Annex III to the Rotterdam Convention to list the following chemical:

Chemical	Relevant CAS number(s)	Category
Aldicarb	116-06-3	Pesticide

2. *Also decides* that this amendment shall enter into force for all parties on 24 October 2011.

3. *Approves* the decision guidance document for aldicarb.⁴

RC-5/5: Listing of endosulfan in Annex III to the Rotterdam Convention

The Conference of the Parties,

Noting with appreciation the work of the Chemical Review Committee,

Having considered the recommendation of the Chemical Review Committee to make endosulfan subject to the prior informed consent procedure and accordingly to list it in Annex III to the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade,

Satisfied that all the requirements for listing the chemical in Annex III to the Convention have been met,

1. *Decides* to amend Annex III to the Convention to list the following chemical:

Chemical	Relevant CAS number(s)	Category
Endosulfan	115-29-7	Pesticide

2. *Also decides* that this amendment shall enter into force for all parties on 24 October 2011.

3. *Approves* the decision guidance document for endosulfan.⁵

RC-5/6: Confirmation of the appointments of government-designated experts as members of the Chemical Review Committee

The Conference of the Parties,

Recalling its decision RC-1/6, in which it identified 31 Governments to designate formally a member to the Chemical Review Committee to serve for a period of two or four years, as appropriate, from 1 October 2005,

Recalling also that the experts so designated were confirmed by its decision RC-2/1,

Recalling further its decision RC-4/3, in which it identified 17 new parties to designate a new expert to serve on the Committee for a period of four years beginning on 1 October 2009, pending

4 UNEP/FAO/RC/COP.5/15, annex V.

5 UNEP/FAO/RC/COP.5/13, annex V.

formal confirmation of their appointment by the Conference of the Parties at its fifth meeting, and in which it requested those parties, through the Secretariat, to provide the names and relevant qualifications of its designated expert by May 2009,

Acknowledging with thanks the contributions of the outgoing experts to the Committee's efficient operation,

1. *Decides* to appoint the following 17 experts formally designated by the Governments of those parties identified in decision RC-4/3 to serve as members of the Committee for a period of four years beginning on 1 October 2009:

African States

Côte d'Ivoire	Mr. Goné Droh Lanciné
Kenya	Mr. Peter Opiyo
Mauritania	Mr. Sidi Ould Aloueimine
Sudan	Mr. Azhari Omer Abdelbagi

Asian and Pacific States

Iran (Islamic Republic of)	Mr. Hesameddin Nasirzadeh (served as a designated member from October 2009 to February 2011) Mr. Mehdi Ghaemian (will serve as a designated member for the remainder of the term)
Pakistan	Mr. Muhammad Bashir Khan
Qatar	Ms. Hala Sultan Saif Al-Easa
Yemen	Mr. Shoki Abdulwali A. Al-Dobai (served as a designated expert from October 2009 to March 2011) Mr. Abdullah Shamlan (will serve as a designated member for the remainder of the term)

Central and Eastern European States

Armenia	Ms. Anahit Aleksandryan
Poland	Ms. Magdalena Balicka

Latin American and Caribbean States

Ecuador	Ms. Jacqueline Arroyo
Jamaica	Mr. Michael Frank Ramsay
Peru	Ms. Vilma Morales Quillama

Western European and other States

Canada	Ms. Hang Tang
Netherlands	Mr. Jan B. H. J. Linders
New Zealand	Ms. Susan Jane Collier
Spain	Mr. Jürgen Helbig

2. *Also decides* to appoint the following four experts formally designated by the Governments of the parties identified in decision RC-3/2 to serve for the remainder of the four-year period beginning on 1 October 2007:

Asian States

India	Mr. Manoranjan Hota
Sri Lanka	Ms. Jeevani Prasadika Marasinghe

Latin American and Caribbean States

Mexico	Ms. Leonor Alicia Cedillo Becerril
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Western European and other States

France	Ms. Mirijam Kristina Brigitta Seng
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3. *Reaffirms* the provisions of decision RC-1/6 with regard to the duration and terms of service of the experts;
4. *Decides*, in accordance with the wishes expressed by the Committee, to elect with retroactive effect Ms. Marit Randall (Norway) as Chair of the Committee, having completed her term as Chair at the end of the Committee's seventh meeting;
5. *Also decides*, in accordance with the wishes expressed by the Committee at its seventh meeting, to elect Ms. Hala Sultan Saif Al-Easa (Qatar) as Chair of the Committee.

RC-5/7: Nomination of Governments to designate experts for the Chemical Review Committee

The Conference of the Parties,

Recalling its decision RC-1/6 on the establishment of the Chemical Review Committee,

1. *Decides* that each of the following parties shall designate an expert to serve on the Chemical Review Committee for a period of four years beginning on 1 October 2011, pending the formal confirmation of the experts by the Conference of the Parties at its sixth meeting:

African States:	Congo, Gambia, Mali, Zambia
Asian and Pacific States:	India, Kuwait, Republic of Korea, Saudi Arabia
Central and Eastern European States:	Bulgaria
Latin American and Caribbean States:	Brazil, Mexico
Western European and other States:	Austria, Germany, Switzerland

2. *Requests* each party named in paragraph 1 to provide through the Secretariat the name and relevant qualifications of its designated expert by 10 August 2011.

RC-5/8: Procedures and mechanisms on compliance with the Rotterdam Convention

The Conference of the Parties,

Recalling Article 17 of the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade,

Mindful that the procedures and mechanisms called for under Article 17 will help address issues of non-compliance, including by facilitating assistance and providing advice to parties facing compliance issues,

1. *Decides* to consider further at its sixth meeting for adoption the procedures and institutional mechanisms on non-compliance required under Article 17 of the Convention;
2. *Also decides* that the draft text set out in the annex to the present decision shall form the basis for its further work on the procedures and institutional mechanisms at its sixth meeting;
3. *Further decides* that further work on the procedures and mechanisms on compliance with the Convention shall be placed early on the agenda at its sixth meeting, bearing in mind the proposal of the co-chairs of the contact group on compliance as set out in the appendix to the present decision.

Annex to decision RC-5/8

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 interests of the Convention.

Election of members

4. At the meeting at which the Committee is established, 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 has expired or is about to expire. Members shall not serve for more than two consecutive terms. For the purpose of the present decision, "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 who nominated that member shall nominate an alternate to serve for the remainder of the term.

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 [or referrals] pursuant to paragraph 12 [or XXX], 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 a right to participate in the meeting unless the Committee and the party whose compliance is in question agree otherwise.

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

10/11. 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 the 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 two-thirds majority of the members present and voting or by eight members, whichever is greater.] Ten members of the Committee shall constitute a quorum.

12. Submissions may be made in writing, through the Secretariat where subparagraphs (a) and (b) apply, by:

(a) A party which 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 this 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;

[new paragraph after 12: XXX If the Secretariat, while acting pursuant to its functions under [articles 4, 5[(4)], and 10 of] the Convention, becomes aware of possible difficulties for any party in complying with its obligations under [articles 4, 5[(4)], and 10 of] the Convention provided that the matter has not been resolved within three months by consultation with the party concerned, the Secretariat shall refer the matter to the Committee[.][which, if appropriate, shall consider the matter at the Committee's next meeting.]

13. 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.
14. The Secretariat shall, within two weeks of its receiving any submission made under subparagraph 12 (b) [or referring a matter under paragraph XXX 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.
15. Parties whose compliance is in question may present responses or comments at every step of the proceedings described in the present decision.
16. Without prejudice to paragraph 15 above, additional information, provided by a party whose compliance is in question in response to a submission [or referral], should be forwarded to the Secretariat within three months of the date of receipt of the submission [or referral] 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.
17. The Committee may decide not to proceed with submissions [or referrals] which it considers to be:
- (a) De minimis;
 - (b) Manifestly ill-founded.

Facilitation

18. The Committee shall consider any submission [or referral] made to it in accordance with paragraph 12 [or XXX] above with a view to establishing the facts and the root causes of the matter of concern, and to assisting in its resolution. 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

19. If, after undertaking the facilitation procedure set forth in paragraph 18 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, it 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 between all parties;
 - (c) Issuing a statement of concern regarding possible future non-compliance;
 - (d) Issuing a statement of concern regarding current non-compliance;
 - (e) Requesting the Executive Secretary to make public cases of non-compliance;
 - (f) Recommending that a non-compliant situation be addressed by the non-compliant party with the aim of resolving the situation.

Handling of information

21. (1) The Committee may [only] 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].]

[(b alt) The Convention clearing-house mechanism and relevant intergovernmental organizations, with the prior consent of the party concerned or as directed by the Conference of the Parties.]

21. (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 purposes of examining systemic issues of general compliance under paragraph 25, 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; and
 - (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 and any person involved in the deliberations of the Committee shall protect the confidentiality of information received in confidence.

Monitoring

24. The Compliance Committee should monitor the consequences of action taken in pursuance of paragraphs 18 or 19 above.

General compliance issues

25. The Compliance 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 with respect to 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 other relevant multilateral environmental agreements

28. Where relevant, the Committee may solicit specific information, upon request by the Conference of the Parties, or directly, from compliance committees dealing with hazardous substances and wastes under the auspices of other 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 decision.

Relationship with settlement of disputes

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

Appendix to Annex to decision RC-5/8

[[Co-chairs text

The annex to this note contains the draft text of procedures and mechanism on compliance prepared by the co-chairs of the contact group on compliance.

In preparing this draft text, the co-chairs introduced the following changes to the draft text reflecting the deliberations of the contact group as at 23 June 2011 afternoon:

- Two introductory paragraphs in the beginning of the text;
- Paragraph 2: Change of the total number of members of the compliance committee, together with the indication of number of members from each UN region;
- Paragraph 10/11: increased threshold of qualified majority for decision-making;
- Paragraph 12 bis: deletion of the Secretariat trigger and insertion of the Committee trigger;
- Paragraph 18: additional facilitation measures;
- Paragraph 19 (a): addition of reference to training, etc;
- Paragraph 21 (1) (b): indication of potential source of information.
- Having made the above changes, paragraph numbers have been adjusted as follows: paragraphs 10/11 is changed to 10, 12 to 11, 12 bis to 12, 21 to 20 (and the subsequent paragraphs).

Subject to the adoption of the compliance mechanism, the following amendment to the financial rules will be adopted:

Insert in paragraph 9 of the financial rules an additional objective of the special trust fund for the implementation of measures under the compliance mechanism, which reads as follows:

“Assistance to parties that are developing countries or countries with economies in transition for the implementation of measures initiated in accordance with the compliance mechanism”.

[Annex: Procedures and mechanism on compliance with the Rotterdam Convention

The objective of these procedures and mechanisms on compliance is to assist parties to comply with their obligations under the Convention and to facilitate, promote, monitor and aim to secure the implementation of and compliance with the obligations under the Convention.

The mechanism shall be non-confrontational, transparent, cost-effective and preventive in nature, and oriented in the direction of helping parties to implement the provisions of the Convention. It will pay particular attention to the special needs of developing countries and countries with economies in transition, and is intended to promote cooperation between all parties.

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

Members

2. The Committee shall consist of 17 members. Members shall be nominated by parties and elected by the Conference of the Parties on the basis of the five regional groups of the United Nations as follows:

- African States: 4;
- Asian and Pacific States: 4;
- Central and Eastern European States: 2;
- Latin American and Caribbean States: 3;
- Western European and other States: 4.

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

Election of members

4. At the meeting at which the Committee is established, the Conference of the Parties shall elect eight members of the Committee for one term and nine 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 has expired or is about to expire. Members shall not serve for more than two consecutive terms. For the purpose of the present decision, "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 who nominated that member shall nominate an alternate to serve for the remainder of the term.

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 11 or any questions identified in accordance with paragraph 12, 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 a 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 respect to the possible non-compliance of a party or questions are identified in accordance with paragraph 12, 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.

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 the 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 three-quarter majority of the members present and voting or by nine members, whichever is greater. Eleven members of the Committee shall constitute a quorum.

11. Submissions may be made in writing, through the Secretariat where subparagraphs (a) and (b) apply, by:

(a) A party which 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 this 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;

12. The Committee shall examine the information gathered by the Secretariat while acting pursuant to its functions under articles 4, 5(4), and 10 of the Convention, and identify if there are any questions relating to parties' compliance with the Convention. If such questions are identified, the Committee shall inform the party or parties whose compliance is in question and consider such questions at its next meeting.

13. The Secretariat shall forward submissions made under subparagraph 11 (a) above, within two weeks of receiving such submissions, to the members of the Committee for consideration at the Committee's next meeting.
14. The Secretariat shall, within two weeks of its receiving any submission made under subparagraph 11 (b), 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.
15. Parties whose compliance is in question may present responses or comments at every step of the proceedings described in the present decision.
16. Without prejudice to paragraph 15 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 11 (b) above, the information shall be forwarded by the Secretariat also to the party that made the submission.
17. The Committee may decide not to proceed with submissions which it considers to be:
 - (a) De minimis;
 - (b) Manifestly ill-founded.

Facilitation

18. The Committee shall consider any submission made to it in accordance with paragraphs 11 or any questions identified in accordance with paragraph 12 with a view to establishing the facts and the root causes of the matter of concern, and to assisting in its resolution. To that end, the Committee may provide a party with:
 - (a) Advice;
 - (b) Non-binding recommendations;
 - (c) Information required to assist the party in developing a compliance plan, including timelines and targets.
 - (d) Assistance, upon request, in the review of the implementation of the compliance plan;
 - (e) Facilitation of assistance in particular when the party is a developing country or a country with economy in transition, including on how to access financial and technical support, including capacity-building;
 - (f) Recommendations and information other than those listed above upon request by the party.

Possible measures to address compliance issues

19. If, after undertaking the facilitation procedure set forth in paragraph 18 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, it 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 further advice and the facilitation, as appropriate, of access to financial resources, technical assistance, training and other capacity-building measures;
 - (b) Providing advice regarding future compliance in order to help parties to implement the provisions of the Convention and to promote cooperation between all parties;
 - (c) Issuing a statement of concern regarding possible future non-compliance;
 - (d) Issuing a statement of concern regarding current non-compliance;
 - (e) Requesting the Executive Secretary to make public cases of non-compliance;
 - (f) Recommending that a non-compliant situation be addressed by the non-compliant party with the aim of resolving the situation.

Handling of information

20. (1) The Committee may only receive relevant information, through the Secretariat, from:
- (a) The parties;
 - (b) Relevant sources, as it considers necessary and appropriate, such as intergovernmental organizations, with the prior consent of the party concerned or as directed by the Conference of the Parties.
- (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.
21. For the purposes of examining systemic issues of general compliance under paragraph 24, 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; and
 - (c) Consult with the Secretariat and draw upon its experience and knowledge base.
22. Subject to Article 14 of the Convention, the Committee, any party and any person involved in the deliberations of the Committee shall protect the confidentiality of information received in confidence.

Monitoring

23. The Compliance Committee should monitor the consequences of action taken in pursuance of paragraphs 18 or 19 above.

General compliance issues

24. The Compliance 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

25. 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

26. Where the activities of the Committee with respect to 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 other relevant multilateral environmental agreements

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

Review of the compliance mechanism

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

Relationship with settlement of disputes

29. These procedures and mechanisms shall be without prejudice to article 20 of the Convention.]]

RC-5/9: Information exchange*The Conference of the Parties,*

Recognizing the importance of timely and high-quality information for the implementation of the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade,

Taking into account the decisions taken by the Conference of the Parties on enhancing cooperation and coordination between the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, the Rotterdam Convention and the Stockholm Convention on Persistent Organic Pollutants,

Mindful of the need for the Secretariat to harmonize approaches to exchanging information among the three conventions,

1. *Approves* the draft strategic plan for establishing procedures for the operation of the Rotterdam Convention component of the joint clearing-house mechanism;⁶
2. *Invites* parties and other stakeholders to contribute to and promote the development of the Rotterdam Convention component of the joint clearing-house mechanism through voluntary means;
3. *Decides* that all new phases in the development of the clearing-house mechanism functions of the Rotterdam Convention should be implemented as part of the development of the joint clearing-house mechanism serving the Basel, Rotterdam and Stockholm conventions and that future activities under workplans and progress reports should be presented for consideration by the Conference of the Parties as joint activities of the three conventions.

RC-5/10: Technical assistance: workplan for the biennium 2012–2013*The Conference of the Parties,*

Noting with appreciation the work of the Secretariat and relevant partners in the implementation of decision RC-4/9 on technical assistance,

Reiterating that the unsound management of hazardous chemicals and pesticides covered by the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade contributes to poverty through its adverse effects on human health and the environment and that the effective implementation of the Convention contributes to attaining the Millennium Development Goals,

Stressing the importance of technical assistance in enabling parties, especially developing countries, in particular, the least developed countries, and countries with economies in transition, to implement the Convention and to manage industrial chemicals and pesticides effectively,

Emphasizing the need to promote coordination and cooperation in the provision of technical assistance among international organizations, conventions and programmes, and in particular between the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, the Stockholm Convention on Persistent Organic Pollutants and the Strategic Approach to International Chemicals Management and at the national level between designated national authorities and relevant key stakeholders in the management of chemicals,

Keeping in mind paragraph 5 of chapter III of decision RC.Ex-1/1, by which it requested the modification of the organization of the three secretariats for the biennium 2012–2013 to be undertaken in a way that saved costs on support services and moved resources towards assistance for the implementation of the three conventions,

Recalling the functions of the Secretariat of the Convention as laid down in Article 19 of the Convention,

6 UNEP/FAO/RC/COP.5/20, annex.

Emphasizing the need for effective delivery of technical assistance as laid down in Article 16 of the Convention,

Noting that support will be needed in relation to the chemicals newly listed in Annex III to the Convention,

1. *Requests* the Secretariat to facilitate assistance to developing-country parties, in particular least developed countries and small island developing States, and countries with economies in transition, in the implementation of the Convention, particularly with regard to the activities included in the annexes to the present decision and set out also in the budget for the biennium 2012–2013, specifically according priority to activities therein related to the chemicals newly listed in Annex III to the Convention;

2. *Also requests* the Secretariat to report to the Conference of the Parties at its sixth meeting on the experience gained in the regional and national delivery of technical assistance and opportunities for joint activities with the secretariats of the Basel Convention, the Stockholm Convention and the Strategic Approach to International Chemicals Management;

3. *Invites* developing-country parties and parties with economies in transition to provide information to the Secretariat on their technical assistance needs, difficulties and any other views in this regard;

4. *Invites* developed-country parties to inform the Secretariat of the technical assistance that they have available to developing-country parties and parties with economies in transition;

5. *Requests* the Secretariat to prepare a synergistic, prioritized and detailed workplan of activities for the regional and national technical assistance for the implementation of the Convention, taking into account the information provided under paragraphs 3 and 4 of the present decision, for consideration by the Conference of the Parties at its sixth meeting;

6. *Invites* parties and others in a position to do so to contribute to the voluntary Special Trust Fund of the Convention to support the above-mentioned technical assistance activities and to provide technical assistance to developing countries, in particular least developed countries and small island developing States, and countries with economies in transition to implement their obligations with regard to the chemicals newly listed in Annex III to the Convention.

Annex I to decision RC-5/10: Technical assistance activities of high priority in support of the implementation of the Rotterdam Convention

Technical assistance workplan category	Budget activity number	Activities
Resource kit	5 (8P)	Review content and components of resource kit, prepare new material and update established key publications, to be made available also in an electronic format with consideration of possible training opportunities
Awareness-raising, training and elements of national plans	8 (10)	Develop action-orientated tools, including electronic ones, to identify and outline elements for national actions and strategies for the implementation of the Rotterdam Convention. Activities to include Secretariat helpdesk support, video conference meetings, a comprehensive independent review and sub-regional hands-on trainings or meetings
Support for submissions of proposals for severely hazardous pesticide formulations	10 (12P)	Strengthen national capacities related to severely hazardous pesticide formulations, including by facilitating pilot projects
Facilitating the preparation of notifications of final regulatory action	12 (14P)	Preparation of notifications of final regulatory action to strengthen the capacities of countries to prepare and submit notifications, including appropriate documentation of national decisions

Annex II: Technical assistance activities of lower priority in support of the implementation of the Rotterdam Convention

Technical assistance workplan category	Budget activity number	Activities
Awareness-raising, training and elements of national plans	13 (17P)	Customs training activities, with possible linkages to relevant chemicals activities
	11 (23P)	Develop programmes and provide respective training to assist Parties on specific issues upon requests Training to focus on basic obligations under the Convention, especially for new Parties and those experiencing difficulties and the development of electronic training tools to be considered, where relevant
	14N (new)	Development of orientation workshop for the effective participation in the work of the CRC

Technical assistance workplan category	Budget activity number	Activities
	former S2 (synergy 2)	Capacity building programmes: development and deliver assistance based on regional and national needs and in accordance with the technical assistance strategy plan.
	former S3, S7N, S18N (synergy 3)	Undertake synergies capacity building projects for the development of national institutional frameworks for the implementation of the conventions and to provide technical assistance through the regional centres and in cooperation and coordination with the subregional offices of FAO and UNEP.
	former S5N (synergy 6)	Support the work of and coordination among the scientific bodies under the conventions and identify common issues and linkages between conventions.
Resource kit	former S1 (synergy 1)	Development of a toolkit and electronic training tools and upgrade of existing ones.
Strengthening capacity for industrial chemicals management	16 (24P)	Continue to develop, in collaboration with IOMC and other relevant partners, a program on industrial chemicals
Building parties' capacity to gain access to and use the Rotterdam Convention components of the joint clearing-house mechanism	21 (33)	Support to Parties in the operation of the PIC procedure and information exchange provisions of the Convention by the review of information submitted and liaison concerning nominations and changes of designated national authorities and official contact points, notifications of final regulatory action, severely hazardous pesticide formulations and import responses.
	former S10N (new), S11, S12 (synergy 10)	Joint clearing-house mechanism for information exchange

RC-5/11: Progress made in the implementation of decision RC-3/5 on possible options for lasting and sustainable financial mechanisms

The Conference of the Parties,

Mindful of the importance of establishing a reliable and sustainable mechanism for the adequate implementation of the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade,

Recognizing the synergies achieved among the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, the Rotterdam Convention and the Stockholm Convention on Persistent Organic Pollutants,

1. *Takes note* of the actions taken by the Secretariat pursuant to decision RC-3/5 on possible options for lasting and sustainable financial mechanisms;

2. *Also takes note* of the progress made in the implementation of United Nations Environment Programme Governing Council decision SS.XI/8 on the consultative process on financing options for chemicals and wastes;

3. *Encourages* the Secretariat to seek further synergies among the Basel, Rotterdam and Stockholm conventions in the area of chemicals and waste management;

4. *Requests* the Secretariat to continue its collaboration with partners, including the Global Environment Facility and its implementing agencies and the United Nations Institute for Training and Research, in order to ensure that the provisions of the Rotterdam Convention are taken into account in technical assistance projects and activities carried out pursuant to decision RC-3/5.

RC-5/12: Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions

The Conference of the Parties,

Mindful of the legal autonomy of each of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and the Stockholm Convention on Persistent Organic Pollutants,

Recognizing the broad scope of the three conventions,

Welcoming the continued commitment of all parties to ensuring the implementation of the full breadth of the three conventions,

Recalling decision IX/10 of the Conference of the Parties to the Basel Convention, decision RC-4/11 of the Conference of the Parties to the Rotterdam Convention and decision SC-4/34 of the Conference of the Parties to the Stockholm Convention, hereinafter referred to as the “synergies decisions”,

Recalling also decision BC.Ex-1/1 of the Conference of the Parties to the Basel Convention, decision RC.Ex-1/1 of the Conference of the Parties to the Rotterdam Convention and decision SC.Ex-1/1 of the Conference of the Parties to the Stockholm Convention, hereinafter referred to as the “omnibus decisions”,

Reaffirming that actions taken to enhance coordination and cooperation should be aimed at strengthening the implementation of the three conventions at the national, regional and global levels, promoting coherent policy guidance and enhancing efficiency in the provision of support to parties, with a view to reducing their administrative burden and maximizing the effective and efficient use of resources at all levels,

Mindful of the various principles recognized within the three conventions, including pertinent provisions of the Rio Declaration on Environment and Development such as principle 7,⁷

Bearing in mind the potential further to enhance coordination and cooperation with other existing and newly developed instruments and frameworks in the chemicals and wastes management cluster such as the Strategic Approach to International Chemicals Management and the global legally binding instrument on mercury currently under negotiation,

Taking note of decision 26/7 on the consultative process on financing options for chemicals and wastes and decision 26/12 on enhancing cooperation and coordination within the chemicals and wastes cluster adopted by the Governing Council of the United Nations Environment Programme at its twenty-sixth session,

Welcoming decision SC-5/27 on enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions adopted by the Conference of the Parties to the Stockholm Convention at its fifth meeting,

1. *Adopts* the present decision, subject to the adoption of a decision that is in substance identical to the present decision by the Conference of the Parties to the Basel Convention, and invites it to adopt that decision;

⁷ *Report of the United Nations Conference on Environment and Development, Rio de Janeiro, 3–14 June 1992* (United Nations publication, Sales No. E.93.I.8 and corrigenda), vol. I: Resolutions adopted by the Conference, resolution 1, annex I.

I

Joint activities

2. *Takes note* of the information provided in the note by the Secretariat on joint activities⁸ and its related information documents;⁹
3. *Also takes note* of the progress made in enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions;
4. *Approves* the proposed cross-cutting and joint activities for inclusion in the programmes of work of the secretariats of the Basel, Rotterdam and Stockholm conventions for 2012-2013 set out in annex I to the present decision;
5. *Requests* the Secretariat to pursue further cooperation and coordination in respect of activities that are not listed in annex I but are included in the approved programme of work and budget for 2012-2013 and can be undertaken in a cost-neutral manner;
6. *Acknowledges* that joint activities should be aimed at strengthening the implementation of the Basel, Rotterdam and Stockholm conventions in a manner that results in no additional overall burden for parties, particularly developing-country parties and parties with economies in transition;
7. *Takes note* of the progress made by the secretariats of the Basel, Rotterdam and Stockholm conventions in the integration of their clearing-house mechanism functions and tools into a joint clearing-house mechanism to serve the three conventions;
8. *Invites* the Meeting of the Parties to the Montreal Protocol on Substances that Deplete the Ozone Layer, considering its decision XX/7, to participate in and support partnership activities with the Basel, Rotterdam and Stockholm conventions and other multilateral environment agreements as outlined in the joint activities set out in annex I to the present decision;
9. *Invites* parties and others from the donor community in a position to do so to continue to support joint activities of the three conventions through voluntary contributions;
10. *Approves* the revised workplan of the clearing-house mechanism for the three conventions set out in annex III to the present decision;
11. *Acknowledges* that joint activities under the Basel, Rotterdam and Stockholm conventions should not result in the diversion of resources from activities otherwise necessary to implement the three conventions;

II

Joint managerial functions

12. *Welcomes* the establishment of the position of Executive Secretary of the Basel Convention, the Stockholm Convention and the United Nations Environment Programme part of the Rotterdam Convention and the successful completion of the recruitment process for that position;
13. *Expresses regret* that the Executive Secretary was not appointed with the urgency requested in paragraph 4 of section II of the omnibus decisions, which makes it difficult to complete the reorganization of the secretariats of the three conventions by 2011, as foreseen in paragraph 5 of section III of the omnibus decisions;
14. *Authorizes* the Executive Secretary to determine the staffing levels, numbers and structure of the Secretariat in a flexible manner, provided that he remain within the ceiling established by decision RC-5/14 on financing and budget for the biennium 2012-2013;
15. *Requests* the Executive Secretary, by 31 December 2011 and in consultation with the parties to the Basel, Rotterdam and Stockholm conventions through the bureaux, to prepare a proposal for the organization of the secretariats of the three conventions, including staffing levels, numbers and structure, to be implemented by 31 December 2012;

8 UNEP/FAO/RC/COP.5/25/Add.1.

9 UNEP/FAO/RC/COP.5/INF/11, UNEP/FAO/RC/COP.5/INF/12, UNEP/FAO/RC/COP.5/INF/13/Rev.1, UNEP/FAO/RC/COP.5/INF/14-16.

16. *Reiterates* its request that the Executive Director of the United Nations Environment Programme, in consultation with the Director-General of the Food and Agriculture Organization and the Executive Secretary and taking into account the reports on the review¹⁰ referred to in section VI of the present decision, develop, for consideration by the conferences of the parties to the three conventions in 2013, a full proposal for the organization of the secretariats of the Basel Convention, the Stockholm Convention and the United Nations Environment Programme part of the Rotterdam Convention, including the possible continuation of the Executive Secretary, that is cost-neutral in respect of the adopted operating budgets of the three conventions;

17. *Decides* that the meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions should be held in a coordinated manner and requests the Executive Secretary to schedule them in a way that facilitates their coordination;

18. *Also decides*, subject to the submission of the reports on the review referred to in section VI of the present decision and taking into account comments made by parties on the matter, to convene, back-to-back with and at the same venue as the last ordinary meeting of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions to take place in 2013, simultaneous extraordinary meetings of the three conferences of the parties, the agendas for which shall include matters related to cooperation and coordination between the conventions, with the main focus on:

- (a) Draft decisions on the review of arrangements adopted pursuant to the synergies decisions;
- (b) The proposal for the organization of the secretariats referred to in paragraph 15 of the present decision;
- (c) Draft proposals for joint activities for 2014–2015;
- (d) Budget for joint activities and possible necessary amendments to the budget of the three conventions for the biennium 2014–2015;
- (e) Outcome of the United Nations Environment Programme Executive Director's consultative process on financing options for chemicals and wastes;

19. *Requests* the Executive Secretary, in consultation with the parties through the bureaux, to prepare a proposal on the timing and organization of the meetings of the conferences of the parties to the Basel, Rotterdam, and Stockholm conventions for consideration by the three conferences of the parties in 2013, taking into account the results of the review referred to in section VI of the present decision;

III

Joint services

20. *Welcomes* the progress made by the Executive Director of the United Nations Environment Programme, in consultation with the Director-General of the Food and Agriculture Organization of the United Nations and through the executive secretaries of the three conventions, in the establishment, implementation and consolidation of the joint services of the three conventions;

21. *Approves* the proposal of the Executive Secretary for the interim organization of the Secretariat consisting of the Joint Convention Services unit and three technical units to support the operations of the Basel Convention, the Stockholm Convention and the United Nations Environment Programme part of the Rotterdam Convention;¹¹

22. *Welcomes* the proposals of the Executive Secretary for the interim organization of the three secretariats, providing for a secretariat consisting of the Joint Convention Services unit and three technical units and for the modification, as depicted in the chart in annex II to the present decision, of the organization of the joint services of the Basel, Rotterdam and Stockholm conventions;

23. *Recalls* its invitation to parties and the donor community to consider providing funding, through voluntary contributions, of 80,000 United States dollars to defray the cost of integrating the information technology platforms and services of the three secretariats;

¹⁰ The review reports to be prepared by the secretariats of the three conventions and by the evaluation units of the United Nations Environment Programme and the Food and Agriculture Organization of the United Nations.

¹¹ UNEP/FAO/RC/COP.5/25/Add.2.

24. *Requests* the Executive Director of the United Nations Environment Programme, in consultation with the Director-General of the Food and Agriculture Organization of the United Nations and through the Executive Secretary, to continue efforts to implement joint services for the Basel, Rotterdam and Stockholm conventions;

IV

Synchronization of budget cycles

25. *Welcomes* the information on the synchronization of the budget cycles of the three conventions in the note by the Secretariat on that subject;¹²

V

Joint audits

26. *Takes note* of the information in the note by the Secretariat on the audit by the Office of Internal Oversight Services in 2011 of the strategic management of those multilateral environmental agreements for which the United Nations Environment Programme provides secretariat services, including the Basel, Rotterdam and Stockholm conventions;¹³

27. *Requests* the Executive Director of the United Nations Environment Programme to report to the conferences of the parties to the Basel, Rotterdam and Stockholm conventions at their meetings in 2013 on the outcome of the audit insofar as it relates to the Basel, Rotterdam and Stockholm conventions;

VI

Review arrangements

28. *Adopts* the terms of reference set out in annexes IV and V to the present decision for the reports pertaining to the review of the arrangements adopted pursuant to the synergies decisions called for in section VI of the omnibus decisions, on review arrangements;

29. *Requests* the secretariats, and invites the Executive Director of the United Nations Environment Programme, in consultation with the Director-General of the Food and Agriculture Organization of the United Nations, to continue to implement section VI of the omnibus decisions, using the terms of reference referred to in the preceding paragraph;

VII

Final provisions

30. *Requests* the Executive Director of the United Nations Environment Programme, in consultation with the Director-General of the Food and Agriculture Organization of the United Nations, through the Executive Secretary, to report to the conferences of the parties to the Basel, Rotterdam and Stockholm conventions at their meetings in 2013 on the implementation of the present decision.

12 UNEP/FAO/RC/COP.5/25/Add.4.

13 UNEP/FAO/RC/COP.5/25/Add.5.

Annex I to decision RC-5/12

Proposed cross-cutting and joint activities for inclusion in the programmes of work of the Basel, Rotterdam and Stockholm conventions for 2012–2013

I. Technical assistance

Title of activity	S1. Develop tools to support countries in implementing the conventions
Mandate	Omnibus decisions (BC.Ex-1/1, RC.Ex-1/1, SC.Ex-1/1).
Objective	Tools are developed and exchange of experience and good practices promoted to enhance knowledge and capacity of parties to implement the conventions.
Indicators of achievement	<ol style="list-style-type: none"> 1. Updated toolkit and electronic tools available under the three conventions; 2. Number of users of the electronic tools; 3. Number of parties trained in the environmentally sound management of persistent organic pollutants and new persistent organic pollutant wastes; 4. Number of good practices and experiences shared on environmentally sound management of persistent organic pollutant wastes; 5. Number of follow-up activities and projects undertaken to support environmentally sound management of persistent organic pollutant wastes.
Short description of the activity	<ol style="list-style-type: none"> 1. Develop and upgrade toolkits and electronic training tools, including tools for persistent organic pollutant wastes, pesticides and industrial chemicals; 2. Make tools available online.
Expected outputs	<ol style="list-style-type: none"> 1. Tools developed, upgraded as appropriate and made available; 2. Parties enabled to review and update their strategies for identifying stockpiles, products and articles in use that contain or are contaminated with the newly listed persistent organic pollutants; 3. Regional workshops organized to share experiences between parties.
Method of implementation (internal or external)	<p>Internal:</p> <ul style="list-style-type: none"> - Development of updated training materials, including electronic training tools, in a coordinated manner between the three secretariats. <p>External:</p> <ul style="list-style-type: none"> - Involvement of the regional centres of the Basel and Stockholm conventions and of other regional partners, such as the Food and Agriculture Organization of the United Nations (FAO) and the United Nations Environment Programme (UNEP) regional offices, in the conduct of workshops; - Inviting of relevant existing national, subregional and regional institutions, such as non-governmental organizations and the private sector, in addition to intergovernmental organizations working in the field of sound chemicals management such as the Global Environment Facility (GEF), FAO, the United Nations Industrial Development Organization, the United Nations Development Programme, the World Bank and the United Nations Institute for Training and Research (UNITAR).
Partner(s)	Regional centres of the Basel and Stockholm conventions, Governments hosting regional centres, FAO and UNEP regional offices, experts.

Title of activity	S2. Capacity-building programmes at the regional level
Mandate	Synergies decisions (BC-IX/10, RC-4/11, SC-4/34).
Objective	Enhanced capacity of parties to implement the conventions at the national level.
Indicators of achievement	<ol style="list-style-type: none"> 1. Number of parties that have participated in training activities; 2. Number of project proposals developed that are consistent with the workplans of the three conventions; 3. Number of parties that are able to identify potential donors or partners and negotiate funding for projects related to the three conventions; 4. Number of regional experts that play a key role in the delivery of technical assistance and capacity development; 5. Number of technical assistance requests answered in a timely manner.
Short description of the activity	<ol style="list-style-type: none"> 1. Develop and implement training activities, based on previous experience and on needs identified at the national and regional levels and using the resource mobilization tools developed previously, to assist parties in developing coherent project proposals and inform them about resource mobilization techniques and funds available for the implementation of the three conventions; 2. Establish a network of regional experts (national contact points, regional experts, regional officers, regional centres, etc.) who are knowledgeable about, and assist and participate in when relevant, the delivery of technical assistance and capacity-building; 3. Provide training on the use of technical and policy guidance; 4. Enhance countries' capacity to prepare, draft and update national legal frameworks (such as legislative and administrative measures to give effect to the obligations and procedures under the conventions), support countries in the enforcement of national legal frameworks, including national legislation and guidelines, and identify and develop additional legal and other relevant tools; 5. Follow up with individual parties requiring tailored assistance, for example providing advice.
Expected outputs	<ol style="list-style-type: none"> 1. Focal points, designated national authorities and regional centres are trained in the various issues relating to the implementation of the conventions; 2. Terms of reference for regional experts are developed; regional experts fully understand the strategy, methodology, programme and activities of the secretariats regarding delivery of technical assistance and support the programme; 3. Awareness of the legal requirements under the three conventions and of the status of each party's legal framework related to the chemicals and wastes multilateral environmental agreements is increased; 4. Parties are provided with tools, including legal guidelines and model legislation, to implement the conventions; 5. Better understanding of the obstacles faced by parties in implementing their obligations under the conventions is gained; 6. Tailored assistance is provided to individual parties upon request.
Method of implementation (internal or external)	<p>Internal:</p> <ul style="list-style-type: none"> - Development of tools and organization of training sessions. <p>External:</p> <ul style="list-style-type: none"> - Involvement of the regional centres of the Basel and Stockholm conventions and other regional partners, such as FAO and UNEP regional offices, in the execution of workshops.
Partner(s)	UNITAR, Strategic Approach to International Chemicals Management, UNEP.

Title of activity	S3. Support for sound chemicals and wastes management at the national level
Mandate	Synergies decisions (BC-IX/10, RC-4/11, SC-4/34); Omnibus decisions (BC.Ex-1/1, RC.Ex-1/1, SC.Ex-1/1).
Objective	National institutional frameworks for the coordinated implementation of the three conventions, such as national action plans and strategies, are developed.
Indicators of achievement	<ol style="list-style-type: none"> 1. Number of countries that have developed updated comprehensive chemicals and wastes management strategies; 2. Number of countries that have developed policy-enabling environments supporting sound chemicals and wastes management; 3. Number of countries in which priority follow-up activities identified in the chemicals and wastes management strategies have been implemented; 4. Number of parties benefiting from programmes facilitated or implemented through regional centres.
Short description of the activity	Projects on the coordinated implementation of the Basel, Rotterdam and Stockholm conventions will be implemented at the national level. Activities will include close cooperation between the focal points of the three conventions and other major stakeholders to identify challenges to and gaps in the implementation of the conventions; to develop proposals for necessary technical and functional elements including priority activities; and to develop legal and administrative bases and supportive policy environments that allow the implementation of coordinated chemicals management programmes that take into consideration obligations under multilateral environmental agreements and make full use of the benefits of such agreements. National institutions will create, adopt, implement and sustain life-cycle-based chemicals management initiatives such as chemicals and wastes management strategies. The activity will also provide for assistance to national chemicals and wastes management committees in developing countries. Workshops will be organized to develop national action plans, strategies and institutional frameworks on chemicals and wastes management. Training will be provided to focal points and enforcement authorities of the three conventions.
Expected outputs	<ol style="list-style-type: none"> 1. Development of national chemicals and wastes management programmes, such as systems for the control of exports and imports of hazardous chemicals and wastes; 2. Draft legislation and administrative regulations or plans for putting them in place are developed; 3. Priority activities aimed at implementing the conventions are identified; 4. Partnerships and coordination at the national level among key stakeholders in chemicals and wastes management, including designated national authorities, national focal points and official contact points, are developed; 5. Capacity to manage chemicals and wastes by participating parties is improved; 6. Capacity to implement the conventions is strengthened.
Method of implementation (internal or external)	The three secretariats will collaborate closely and jointly coordinate and facilitate the development of national programmes to be implemented as appropriate through the Basel and Stockholm regional centres, countries and relevant partners.
Partner(s)	FAO, UNEP, the Strategic Approach, UNITAR, the World Health Organization, the World Customs Organization, Basel and Stockholm Convention regional centres, FAO and UNEP regional offices.

Title of activity	S4. Develop partnerships with other multilateral environmental agreements
Mandate	Synergies decisions (BC-IX/10, SC-4/34); decision XX/7 of the Twentieth Meeting of the Parties to the Montreal Protocol.
Objective	Strategic partnerships with other multilateral environmental agreements, such as for the management and disposal of ozone-depleting substances, persistent organic pollutants and other hazardous substances, are developed.
Indicators of achievement	<ol style="list-style-type: none"> 1. Plan on strategic partnerships with other multilateral environmental agreements developed; 2. Number of strategic partnerships established; 3. Number of implementation plans for joint management and disposal operations for ozone-depleting substances, persistent organic pollutant wastes and other hazardous chemicals developed per region; 4. Tons of ozone-depleting substances, persistent organic pollutant wastes and other hazardous chemicals destroyed through joint management and disposal operations.
Short description of the activity	<ol style="list-style-type: none"> 1. Develop and implement a plan to identify strategic partnerships with other multilateral environmental agreements; 2. Implement the already identified partnership related to ozone-depleting substances and carry out an institutional, technical and cost-analysis study to ensure that the collection, transportation and destruction of ozone-depleting substances, persistent organic pollutant wastes and other hazardous substances can take place economically and in a sound manner in four regions. Pilot disposal operations will be carried out in pilot countries through a national and/or regional approach as feasible. In addition, efforts will be made to identify common goals between the conventions and the Montreal Protocol.
Expected outputs	<ol style="list-style-type: none"> 1. Plan on strategic partnerships with other multilateral environmental agreements is developed; 2. Strategic partnerships are identified and implemented; 3. Legal and procedural issues raised by co-disposal of ozone-depleting substances and persistent organic pollutants are clarified at the national level; 4. Capacity for dealing with the destruction of ozone-depleting substances and persistent organic pollutants is developed; 5. Disposal operations are carried out for ozone-depleting substances, persistent organic pollutant wastes and other hazardous chemicals through a joint management and disposal approach.
Method of implementation (internal or external)	A pilot project on ozone-depleting substance and persistent organic pollutant destruction will be implemented by the Basel and Stockholm convention regional centres in their regions with the support of the secretariats of the Basel and Stockholm conventions, UNEP and donor and participating countries.
Partner(s)	Regional centres of the Basel and Stockholm conventions, Governments hosting regional centres and pilot operations, UNEP.

Title of activity	S5. Working with regional liaison offices in Latin America and the Caribbean, Africa, Asia and Europe in collaboration with key partners
Mandate	Omnibus decisions (BC.Ex-1/1, RC.Ex-1/1, SC.Ex-1/1).
Objective	Coordinated delivery of technical assistance and capacity-building programmes and activities at the regional level to support the implementation of the Basel, Rotterdam and Stockholm conventions.
Indicators of achievement	<ol style="list-style-type: none"> 1. Number of times UNEP liaison offices and multilateral environmental agreement officers are involved in capacity-building and technical assistance activities related to the implementation of the three conventions; 2. Number of activities related to the implementation of the three conventions undertaken by UNEP liaison offices and multilateral environmental agreement officers; 3. Number of parties in the regions that receive support from UNEP liaison offices and multilateral environmental agreement officers; 4. Increased coordination between secretariats and UNEP liaison offices and multilateral environmental agreement officers.
Short description of the activity	<p>UNEP chemicals and wastes multilateral environmental agreement focal points will, among other things:</p> <ol style="list-style-type: none"> 1. Provide technical advice and guidance to countries to facilitate national and regional implementation of the chemicals and wastes multilateral environmental agreements; 2. Assist countries in identifying their needs and gaps relating to implementation of the chemicals and wastes multilateral environmental agreements and in finding solutions and needed support; 3. Assist countries in preparing, updating and submitting national implementation plans and in fulfilling national reporting requirements; 4. Collaborate with the chemicals and wastes multilateral environmental agreement secretariats in organizing and delivering technical assistance (regional meetings, workshops and training); 5. Increase the profile of the chemicals and wastes multilateral environmental agreements through awareness-raising in cooperation with the secretariats; 6. Promote interlinkages at the national level between the chemicals and wastes multilateral environmental agreements to enhance implementation activities and to promote synergies between the conventions; 7. Coordinate with the Basel and Stockholm convention regional and coordinating centres and contribute to capacity-building activities; 8. Act as a knowledge repository for chemicals and wastes issues in the region; 9. Facilitate information exchange in coordination with the secretariats, Basel and Stockholm convention regional centres and FAO regional and subregional offices and assist countries in updating the secretariats on changes of designated national authorities, national focal points and official contact points; 10. Provide the secretariats with regular feedback on important issues in the regions.
Expected outputs	Strengthened coordination of technical assistance and capacity-building programmes and activities at the regional and national levels.
Method of implementation (internal or external)	UNEP programme officers and chemicals and wastes multilateral environmental agreement focal points based at the UNEP regional offices. Funded via UNEP; staff costs only.
Potential partner(s)	UNEP regional offices, UNEP Division of Environmental Law and Conventions, Chemicals Branch of the UNEP Division of Technology, Industry and Economics (UNEP Chemicals), FAO regional and subregional offices.

II. Scientific and technical activities

Title of activity	S6. Support the work of and coordination between the scientific bodies of the conventions and identify common issues and linkages between the conventions
Mandate	Synergies decisions (BC-IX/10, RC-4/11, SC-4/34); Omnibus decisions (BC.Ex-1/1, RC.Ex-1/1, SC.Ex-1/1).
Objective	<ol style="list-style-type: none"> 1. Technical and policy support are provided to the scientific bodies of the three conventions in a coordinated manner; 2. Information exchange and cooperation on cross-cutting scientific, technical and policy issues are established; 3. Opportunities for the technical and scientific bodies to network, communicate and exchange skills are provided; 4. Reflection on the role and performance of the scientific bodies is facilitated.
Indicators of achievement	<ol style="list-style-type: none"> 1. Number of studies carried out on the linkages between the conventions and other relevant issues; 2. Cooperation on common issues by the scientific bodies of the conventions; 3. Roster of experts and website listing meeting and workshop alumni is established.
Short description of the activity	<ol style="list-style-type: none"> 1. Work with relevant scientific experts to tackle common issues that hamper the effective work of the scientific bodies; 2. Study and review linkages between conventions and identify cross-cutting technical issues on which cooperation needs to be developed or enhanced, e.g., climate change and persistent organic pollutants; handling of electronic wastes containing brominated flame retardants and mercury; life-cycle management of hazardous chemicals; sound trade of hazardous chemicals and pesticides; identification of hazardous chemical, waste and environmental occurrence hot spots; connection with biodiversity, land degradation, etc.; 3. Work with the clearing-house mechanism to establish a roster of experts relevant to the technical and scientific bodies of the three conventions; to develop an alumni website for meeting, training and awareness-raising workshop participants; and to develop joint scientific and technical documents or guidance as required.
Expected outputs	<ol style="list-style-type: none"> 1. The technical and scientific bodies of the three conventions receive technical and policy support, facilitating the exchange and sharing of relevant information between themselves and with other relevant intergovernmental processes, including the Strategic Approach; 2. Report on linkages and potential cooperation between the scientific bodies of the conventions; 3. Roster of experts and alumni websites is established.
Method of implementation (internal or external)	Internal: staff travel, consultant, subcontracts, travel of participants and translation and printing.
Partner(s)	Interested intergovernmental organizations, non-governmental organizations and industry bodies.

Title of activity	S7. Support parties' implementation of the life-cycle approach to chemicals management: update the general technical guidelines on the environmentally sound management of persistent organic pollutant wastes to include the new persistent organic pollutants
Mandate	Synergies decisions (BC-IX/10, SC-4/34), Section II C, paragraphs 4 and 5; Omnibus decisions (BC.Ex-1/1, SC.Ex-1/1).
Objective	Parties to the Basel and Stockholm conventions receive technical and scientific information and guidance when required to allow them to deal with wastes from the nine new persistent organic pollutants.
Indicators of achievement	<ol style="list-style-type: none"> 1. Technical guidelines on the environmentally sound management of persistent organic pollutant wastes are updated to include the new persistent organic pollutants; 2. Number of parties implementing environmentally sound management of persistent organic pollutant wastes; 3. Number of requests for technical assistance and advice on life-cycle approach to chemicals management answered in a timely manner.
Short description of the activity	<ol style="list-style-type: none"> 1. Update the general technical guidelines on the environmentally sound management of persistent organic pollutant wastes to include the new persistent organic pollutants; 2. Provide technical and scientific information and guidance to the parties to the two conventions to allow them to deal with the new persistent organic pollutant wastes; 3. Provide policy guidance and technical information to parties to the two conventions to assist them to manage chemicals and wastes following a life-cycle approach.
Expected outputs	<ol style="list-style-type: none"> 1. The general technical guidelines on the environmentally sound management of persistent organic pollutant wastes are updated to include the new persistent organic pollutants; 2. Parties to the Basel and Stockholm conventions receive technical and scientific information and guidance when required to allow them to deal with the wastes from the new persistent organic pollutants; 3. Parties to the two conventions receive policy guidance and technical information when required to assist them to manage chemicals following the life-cycle approach.
Method of implementation (internal or external)	Internal: consultant, subcontracts, travel of participants and translation and printing.
Partner(s)	Industry bodies, non-governmental organizations and other interested intergovernmental organizations.

III. Regional centres

Title of activity	S8. Cooperation and coordination between regional centres and FAO and UNEP regional offices: annual joint meetings
Mandate	Synergies decision (BC-IX/10, RC-4/11, SC-4/34), sections I A, I B and I C; Omnibus decisions (BC.Ex-1/1, RC.Ex-1/1, SC.Ex-1/1), section I, paragraph 5.
Objective	<ol style="list-style-type: none"> 1. Enhanced coordination on regional strategies and identification of opportunities for the development of joint activities; 2. Enhanced coordination and collaboration between the regional centres, regional offices and other entities engaged in technical assistance at the regional level.
Indicators of achievement	<ol style="list-style-type: none"> 1. Annual coordination meeting held; 2. Coordinated regional implementation plans for Basel and Stockholm Convention regional centres and FAO and UNEP regional offices.
Short description of the activity	Annual meetings of the Basel and Stockholm convention regional centres and FAO and UNEP regional offices will be convened and coordinated by the secretariats of the conventions. Regional officers of FAO, UNEP and the Basel and Stockholm convention regional centres will meet to present and review their activities and

	exchange information on workplans and business plans with a view to enhancing coordination of regional activities and strategies and identifying opportunities for the development of joint activities. The meetings will operate through a series of plenary sessions, sessions for regional groups and convention-specific sessions. It is expected that convention-specific regional activities will be coordinated and scheduled in such a way that efficiency is increased. Coordination of activities will increase the effectiveness of work undertaken.
Expected outputs	<ol style="list-style-type: none"> 1. Experience is exchanged and coordination improved between the Basel and Stockholm convention regional centres and UNEP and FAO regional offices in implementing the elements of technical assistance activities of the three conventions; 2. Improved overview of financial requirements and regional resources in support of the delivery of the technical assistance programme through the preparation of a joint, coordinated plan and discussions between the secretariats and regional officers and representatives of regional centres will result in the identification and development of a number of proposals for pilot projects, joint activities and resource mobilization strategies; 3. Finalized pilot projects on the coordinated use of regional centres; 4. Joint activities are part of the workplans and business plans of the regional centres.
Method of implementation (internal or external)	<p>Internal:</p> <ul style="list-style-type: none"> - The activity will be implemented by representatives of the secretariats of the three conventions with regional officers of FAO and UNEP and the Basel and Stockholm convention regional centres. <p>External:</p> <ul style="list-style-type: none"> - A network of centres and regional partners is established.
Partner(s)	Basel Convention regional centres for training and technology transfer, Stockholm Convention regional and subregional centres for capacity-building and the transfer of technology, UNEP multilateral environmental agreement focal points for chemicals and wastes, FAO regional offices and FAO subregional offices.

Title of activity	S9. South-South cooperation
Mandate	Synergies decisions (BC-IX/10, RC-4/11, SC-4/34), section I C, paragraph 18; Omnibus decisions (BC.Ex-1/1, RC.Ex-1/1, SC.Ex-1/1), section I, paragraph 5.
Objective	Enhanced South-South cooperation on pilot activities, exchange of experience, successes and strategic alliances between regional centres and parties for the joint implementation of the conventions.
Indicators of achievement	<ol style="list-style-type: none"> 1. Number of bilateral and multilateral cooperation agreements signed to facilitate the exchange of experiences on the environmentally sound management of hazardous chemicals and wastes; 2. Number of joint activities implemented by the regional centres.
Short description of the activity	Regional centres tackle specific priority issues in their region related to the Basel, Rotterdam and Stockholm conventions, e.g., transport, import and export, or collection and disposal issues, and liaise with regional centres in other regions to identify and cooperate on issues of common interest such as technical, institutional and management approaches. The project will facilitate exchange of technical staff between the centres in a twinning project approach and other approaches using the experience of the Bali Strategic Plan for Technology Support and Capacity-building.
Expected outputs	<ol style="list-style-type: none"> 1. Joint activities developed and implemented by the regional centres on a bilateral or multilateral basis; 2. Practical tools for the implementation of joint activities, best practices and lessons learned are provided and disseminated via the centres' and secretariats' websites; 3. Exchange of regional centres' staff in twinning arrangements between regional centres and convention secretariats as appropriate.
Method of implementation (internal or external)	Cooperation between the regional centres will begin online with regular information exchanges, video conferences and sharing of technical experience and expertise.

Partner(s)	Basel and Stockholm Convention regional centres, FAO and UNEP regional offices, secretariats of the Basel, Rotterdam and Stockholm conventions.
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IV. Clearing-house mechanism

Title of activity	S10. Clearing-house mechanism for information exchange
Mandate	Synergies decisions (BC-IX/10, RC-4/11, SC-4/34), section I A, paragraphs 2 and 3, section III B, paragraph 4; Omnibus decisions (BC.Ex-1/1, RC.Ex-1/1, SC.Ex-1/1), section III.
Objective	<ol style="list-style-type: none"> To provide one entry point to a wide range of sources of available information relevant to chemicals and wastes management; To facilitate the sharing of information on the implementation of the Basel, Rotterdam and Stockholm conventions, including on models of coordination mechanisms and examples of good coordination practices from countries; To facilitate the transfer of expertise and know-how between stakeholders; To develop a unique development strategy for the clearing-house mechanism across the three conventions, making better use of available resources; To keep parties and other stakeholders well informed regarding convention issues, meetings, programmes, etc., in a more integrated and user-friendly environment; To consolidate the use of available resources.
Indicators of achievement	<ol style="list-style-type: none"> Relevance and pertinence of information packages for users; Number of parties that will contribute and gain access to the information; Availability of new tools such as social networking mechanisms to facilitate information exchange; Satisfaction of parties and other stakeholders with the service provided and increased number of website hits; Number of articles, best practices, project information exchanged between stakeholders; Greater access to information and expertise available to all stakeholders; Joint strategy for the development of the clearing-house mechanism; Integration of the websites of the three conventions.
Short description of the activity	<ol style="list-style-type: none"> Development of cross-cutting information packages; Development of a joint clearing-house mechanism; Maintenance and continuation of the development of the conventions' websites.
Expected outputs	<ol style="list-style-type: none"> Improved access to all information relevant to parties' obligations under the three conventions and identification of new opportunities for information sharing and aggregation. Examples of cross-cutting information packages: <ul style="list-style-type: none"> - Public awareness materials (United Nations Body Burden Forum, Safe Planet campaign, etc.); - Joint legal information; - Search tool for decisions by the conferences of the parties by thematic area; - Joint calendar of meetings; - Map of regional centres and offices for all three conventions; - Map of ratification status for all three conventions; - Chemicals and wastes profiles; - Focal points for all three conventions; - Country profiles, showing the status of implementation for all three conventions and information on best practices, successful projects, etc.; - Any other information package as required; Integrated and user-friendly collaboration environment available for parties and other users; More integrated systems across the three conventions that facilitate the

	<p>implementation of the conventions by parties;</p> <p>4. Constantly improving websites that meet the parties' requirements and provide useful information to other audiences.</p>
Method of implementation (internal or external)	<p>Internal:</p> <ul style="list-style-type: none"> - Staff time to design the information packages and coordinate data collection and dissemination; - Hardware, software licences. <p>External:</p> <ul style="list-style-type: none"> - Consultants and partners, e.g., regional centres, pilot projects in countries.
Partner(s)	<p>Governments, the UNEP Chemical Information Exchange Network, the Strategic Approach, Basel and Stockholm convention regional centres.</p> <p>UNEP Division of Environmental Law and Conventions and other multilateral environmental agreements through the existing information and knowledge management initiative.</p>

Title of activity	S11. Joint information technology services
Mandate	<p>Synergies decisions (BC-IX/10, RC-4/11, SC-4/34), section IV D, paragraph 10 (b):</p> <p style="padding-left: 40px;">“to establish through the Executive Secretaries of the three Conventions, within the secretariats in Geneva and with the aim of improving the level and efficiency of delivery of services, ...</p> <p style="padding-left: 40px;">(b) A joint information technology service;”</p> <p>Omnibus decisions (BC.Ex-1/1, RC.Ex-1/1, SC.Ex-1/1), section III, paragraph 3 (c):</p> <p style="padding-left: 40px;">“to establish, through the executive secretaries of the three conventions, taking into account the experiences gained during the interim period, ...</p> <p style="padding-left: 40px;">(c) Joint information technology service.”</p>
Objective	<ol style="list-style-type: none"> 1. Improve the level and efficiency of delivery of information technology services; 2. Facilitate the provision and sharing of information by parties; 3. Improve the services provided to parties during meetings of the Conference of the Parties and other relevant meetings by using new technologies to facilitate negotiations; 4. Provide efficient communication mechanisms through e-mail, e-fax and the internet between parties, the Secretariat and other convention stakeholders; 5. Provide technology, services and training to the Secretariat staff that will ensure the quality and timeliness of meeting documents, information packages, publications, websites and other knowledge management tools; 6. Ensure the necessary security in hosting and archiving the institutional memory of the Basel, Rotterdam and Stockholm conventions; 7. Provide a more integrated and user-friendly information technology environment for parties, the Secretariat and other users; 8. Provide a solid platform for building up the clearing-house mechanism and other information systems in a standardized manner, achieving as much savings as possible from the reuse of common components and sharing of staff time and other resources.
Indicators of achievement	<ol style="list-style-type: none"> 1. New information technology tools and services are available to facilitate the work of the Secretariat, parties and other relevant convention stakeholders; 2. Parties and other stakeholders are satisfied with the service; 3. The quality of meeting documents, information packages, websites, etc., meet contemporary standards; 4. Greater efficiency and personalization in communication with parties and other stakeholders is achieved; 5. Joint information technology services are available and functioning on a regular basis; 6. The clearing-house mechanism, information systems and other projects that depend heavily on technology are running smoothly and not facing any delays due to technological issues.

Title of activity	S11. Joint information technology services
Short description of the activity	Provision to the secretariats of the Basel, Rotterdam and Stockholm conventions of the basic information technology and services required to run the secretariats, including: <ul style="list-style-type: none"> - Provision, maintenance and disposal of hardware, including personal computers, network equipment, audio-visual equipment, etc.; - Selection, installation and training of office software packages; - Network administration, including cabling, switches, servers, network printers, etc.; - E-mail and e-fax administration, including user account maintenance; - Internet, including remote access for Secretariat staff and external users; - Network security, covering anti-spam, anti-virus, backup, etc.; - Helpdesk and troubleshooting.
Expected outputs	<ol style="list-style-type: none"> 1. New information technology tools and services are available to facilitate the work of the Secretariat, parties and other relevant convention stakeholders; 2. More integrated information technology platform and service across the three conventions to facilitate parties' implementation of the conventions; 3. Greater efficiency in servicing meetings of the conferences of the parties and other meetings under the three conventions; 4. Stable platform and services to facilitate building the clearing-house mechanism and other information systems; 5. Effective and efficient delivery by the secretariats of the outputs envisaged under their programmes of work.
Method of implementation (internal or external)	<p>Internal:</p> <ul style="list-style-type: none"> - Staff time, hardware, software licences. <p>External:</p> <ul style="list-style-type: none"> - Consultants, subcontracts.
Partner(s)	

V. Public awareness, outreach and publications

Title of activity	S12. Joint communication outreach
Mandate	Synergies decisions (BC-IX/10, RC-4/11, SC-4/34), section III A; Omnibus decisions (BC.Ex-1/1, RC.Ex-1/1, SC.Ex-1/1), section III.
Objective	Increased awareness of and participation in activities of the Basel, Rotterdam and Stockholm conventions in 2012–2013, including the United Nations Conference on Sustainable Development in May 2012 and national implementation activities thereafter.
Indicators of achievement	<ol style="list-style-type: none"> 1. Number of press releases and media coverage of the Basel, Rotterdam and Stockholm conventions; 2. Number of outreach materials produced.
Short description of the activity	Joint communication outreach includes the development of outreach materials, e.g., audio-visual materials, posters, newsletters, leaflets, brochures, exhibitions, etc., press briefings, press releases and others.
Expected outputs	Support for the implementation of the Basel, Rotterdam and Stockholm conventions provided through the preparation of outreach materials, including printing and publication, such as: <ul style="list-style-type: none"> - Press and crisis management strategy; - Ensuring the integrity and management of brands created under the public awareness and outreach thematic group; - Printing and publication; - Speech writing; - Press releases; - Press liaison (United Nations, media, non-governmental organizations);

	<ul style="list-style-type: none"> - New media communication strategies (websites, blogs, social networking, clearing house, e-newsletters, editing, web maintenance and development and content research, etc.).
Method of implementation (internal or external)	Internal: through collaboration between the three secretariats; staff cost only (non-staff costs are included in relevant programmes of each convention). ¹⁴
Partner(s)	Stockholm and Basel convention regional centres, UNEP and FAO regional offices, Basel Action Network, Basel Waste Solutions Circle, International POPs Elimination Network, OzonAction, PCBs Elimination Network, Strategic Approach, regional activity centres for cleaner production, other international stakeholder and United Nations organizations and non-profit and private-sector stakeholders, as appropriate.

Title of activity	S13. Joint outreach and public awareness
Mandate	Synergies decisions (BC-IX/10, RC-4/11, SC-4/34), section III A; Omnibus decisions (BC.Ex-1/1, RC.Ex-1/1, SC.Ex-1/1), section III.
Objective	<ol style="list-style-type: none"> 1. Increased popular awareness of the Basel, Rotterdam and Stockholm conventions; 2. Support for goals 4 (Reduce Child Mortality) and 7 (Ensure Environmental Sustainability) of the Millennium Development Goals and the World Summit on Sustainable Development 2020 target to achieve sound management of chemicals and wastes; 3. Development of a joint outreach and public awareness plan, including target groups, key messages and strategic, cost-effective communication channels.
Indicators of achievement	<ol style="list-style-type: none"> 1. Number of events organized; 2. Web traffic and usage statistics; 3. Number of target groups participating in events; 4. Number of regional, national and local public awareness and outreach activities launched.
Short description of the activity	Joint public awareness and outreach activities will build on the secretariats' joint public awareness and outreach strategy. Activities will include organization of events involving strategic target groups, participation in events organized by others and the inclusion of Safe Planet activities undertaken by participating organizations and individuals at the regional, national and subnational levels. In addition, the secretariats will study the feasibility of developing a global marketing and sponsorship strategy and promote mobilization of resources by external partners in support of the conventions' joint outreach and public awareness objectives.
Expected outputs	<ol style="list-style-type: none"> 1. Adoption and implementation of the joint outreach and public awareness strategy; 2. Facilitation and oversight of partnership-led activities among target groups; 3. Increased popular awareness of the Basel, Rotterdam and Stockholm conventions in advance of, during and after the United Nations Conference on Sustainable Development and the third meeting of the International Conference on Chemicals Management in 2012; 4. Increased popular understanding of and support for the life-cycle approach to chemicals and wastes management.
Method of implementation (internal or external)	<p>Internal:</p> <ul style="list-style-type: none"> - Through collaboration between the three secretariats and subcontracts. <p>External:</p> <ul style="list-style-type: none"> - Activities with participating organizations and individuals through their acceptance of United Nations principles and in conformity with the joint strategic public awareness and outreach objectives, aiming at the leveraging of existing resources, partnership agreements, and in kind and voluntary contributions.

14 Funds for outreach materials are covered by programmes of the Rotterdam and Stockholm conventions.

Potential partner(s)	Stockholm and Basel convention regional and subregional centres, UNEP and FAO regional offices, Basel Waste Solutions Circle, International POPs Elimination Network, OzonAction, PCBs Elimination Network, Strategic Approach, regional activity centres for cleaner production and other international stakeholder or United Nations organizations, non-profit and private-sector stakeholders, as appropriate.
Title of activity	S14. Publications: Produce and disseminate various legal and technical publications, both reprinting and development of new publications
Mandate	Synergies decisions (BC-IX/10, RC-4/11, SC-4/34); Omnibus decisions (BC.Ex-1/1, RC.Ex-1/1, SC.Ex-1/1).
Objective	Legal and technical information is provided to parties and others for the effective implementation of the conventions.
Indicators of achievement	<ol style="list-style-type: none"> 1. High-quality publications in printed and electronic form produced; 2. Timely production and delivery of publications; 3. Cost-effective production of publications; 4. Number of legal and technical publications published, reprinted and distributed.
Short description of the activity	<p>The activity will include the following:</p> <ol style="list-style-type: none"> 1. Meet legal, technical and other publication production needs, upon request; 2. Coordinate planning, forecasting, editing, production and distribution of convention publications; 3. Oversee graphic design, review print proofs and provide quality assurance; 4. Liaise with programme officers of the secretariats, graphic designers and printers and follow up on submission dates for final drafts and production schedules.
Expected outputs	<ol style="list-style-type: none"> 1. Improved sources of information on legal and technical aspects of hazardous chemicals and wastes; 2. Better understanding of issues related to hazardous chemicals and wastes; 3. Support provided for the implementation of the conventions; 4. Timely and relevant information provided to parties and others.
Method of implementation (internal or external)	<p>Internal:</p> <ul style="list-style-type: none"> - Staff time. <p>External:</p> <ul style="list-style-type: none"> - Translators, graphic designers, printers, etc.
Potential partner(s)	United Nations, UNEP, etc.

VI. Reporting

Title of activity	S15. National reporting: revise the reporting systems of the Basel and Stockholm conventions and identify possible areas for streamlining
Mandate	Synergies decisions (BC-IX/10, SC-4/34), section II A; Omnibus decisions (BC.Ex-1/1, SC.Ex-1/1), section I, paragraph 2.
Objective	<ol style="list-style-type: none"> 1. To streamline the reporting formats of the Basel and Stockholm conventions in a harmonized manner; 2. A coordinated and simultaneous information collection mechanism from relevant government agencies for both conventions; 3. National mechanisms for reporting relating to chemicals and wastes multilateral environmental agreements are in place; 4. Increased capacity of focal points and designated authorities to collect and report information.
Indicators of achievement	<ol style="list-style-type: none"> 1. Number of reporting parties using the streamlined reporting system for both conventions; 2. Number of participants, number of parties and level of participant satisfaction at each workshop.

Short description of the activity	<p>Currently parties to the Basel Convention have annual reporting requirements while parties to the Stockholm Convention report every four years. To facilitate national reporting for both conventions, the secretariats will:</p> <ol style="list-style-type: none"> 1. Review the reporting systems of both conventions and identify possible areas for streamlining; 2. Analyse the electronic reporting systems in place, identify ways to improve them and implement changes required to allow for more similar national reporting under both conventions; 3. Develop a guidance document or documents for information collection and reporting; 4. Organize regional capacity-building workshops on national reporting to take place in 2012 and 2013.
Expected outputs	<ol style="list-style-type: none"> 1. Increased number of reports submitted under the Basel and Stockholm conventions; 2. Reporting system that supports integrated national reporting under both conventions; 3. Capacity-building workshops; 4. A coordinated and simultaneous information collection mechanism from relevant government agencies for both conventions; 5. High-quality information is received through national reports.
Method of implementation (internal or external)	<p>Internal:</p> <ul style="list-style-type: none"> - Thorough revision of the questionnaires and recommendations for streamlined systems; - Preparation of streamlined reporting systems and online reporting interface; - Preparation of guidance materials on the collection and reporting of information. <p>External:</p> <ul style="list-style-type: none"> - Regional capacity-building workshops and training to assist parties to achieve better reporting.
Partner(s)	Regional centres and the parties to the conventions.

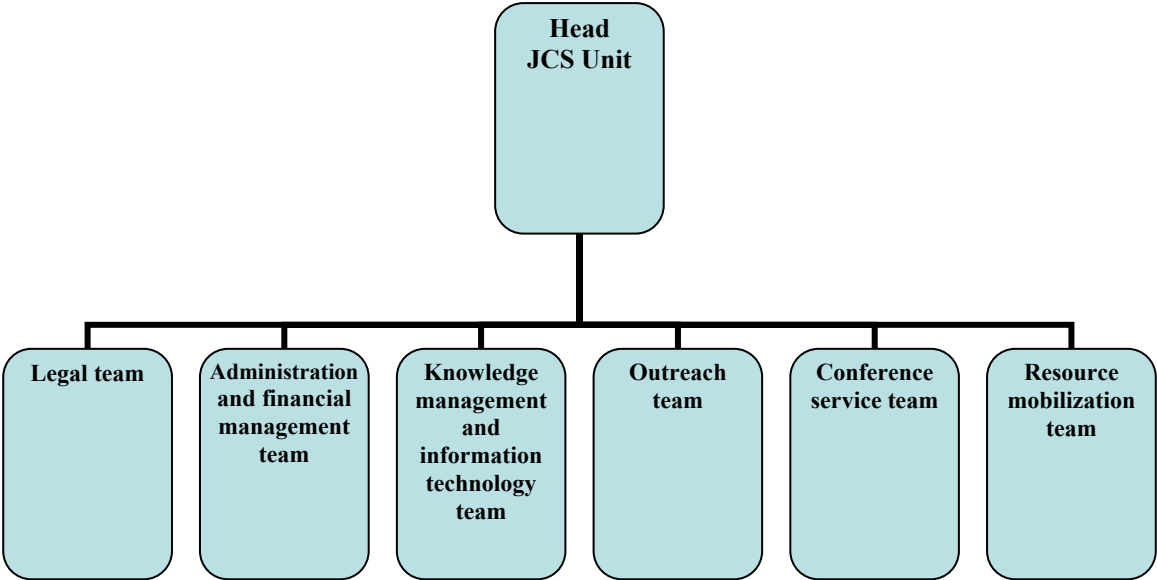
VII. Overall management

Title of activity	S16. Resource mobilization
Mandate	Synergies decisions (BC-IX/10, SC-4/34), section IV B; Omnibus decisions (BC.Ex-1/1, RC.Ex-1/1, SC.Ex-1/1), section III, paragraph 3 (e).
Objective	Maximized access to public and private sector funding for implementing the chemicals and wastes agenda in a synergistic manner.
Indicators of achievement	<ol style="list-style-type: none"> 1. Joint resource mobilization and fund-raising strategies developed; 2. Identification of funding opportunities and matching needs from countries and regions; 3. Number of project proposals for which funding is obtained.
Short description of the activity	<p>The activities will include to:</p> <ol style="list-style-type: none"> 1. Develop and implement joint resource mobilization and fund-raising strategies; 2. Undertake donor and partner profiling and to set up an information database; 3. Monitor and report in compliance with donor requirements; 4. Meet donors; 5. Integrate and support communication and awareness-raising policies.
Expected outputs	Increased ratio of secure funding in relation to projects presented to donors.
Method of implementation (internal or external)	Internal: staff travel; special events for raising funds; partnerships with other United Nations entities and the private sector.
Potential partner(s)	United Nations organizations and the private sector.

Title of activity	S17. Review arrangements
Mandate	Omnibus decisions (BC.Ex-1/1, RC.Ex-1/1, SC.Ex-1/1), section VI.
Objective	<p>Review of how far the arrangements adopted pursuant to the synergies decisions, in particular on joint activities, joint managerial functions and joint services, have contributed to achieving the following six objectives:</p> <ol style="list-style-type: none"> 1. Strengthening the implementation of the Basel, Rotterdam and Stockholm conventions at the national, regional and global levels; 2. Promoting policy coherence; 3. Reducing administrative burden; 4. Maximizing the effective and efficient use of resources at all levels; 5. Taking into account global concerns and the specific needs of developing countries and countries with economies in transition in this assessment; 6. Protecting human health and the environment for the promotion of sustainable development.
Indicators of achievement	<ol style="list-style-type: none"> 1. A questionnaire on the contribution of the arrangements is sent to parties and posted on the conventions' websites in February 2012; 2. A report on how far the arrangements have contributed to achieving the six objectives is published 90 days before the first meeting of a conference of the parties in 2013.
Short description of the activity	<p>As detailed in annex IV to decision RC-5/12, the secretariats will:</p> <ol style="list-style-type: none"> 1. Prepare in the six official United Nations languages a questionnaire to collect information from parties to the conventions; 2. Send the questionnaire to all parties and post it on the conventions' websites; 3. Collect responses from parties; 4. Prepare a report; 5. Publish the report 90 days before the first meeting of the conference of the parties of any of the three conventions in 2013.
Expected outputs	A report on how far the arrangements pursuant to the synergies decisions have contributed to achieving the objectives mentioned above.
Method of implementation (internal or external)	Internal and external: consultant and translation.
Potential partner(s)	Parties to the conventions.

Annex II to decision RC-5/12

Modification of the organization of the joint services of the Basel, Rotterdam and Stockholm conventions



Annex III to decision RC-5/12

Joint workplan for the development of a clearing-house mechanism serving the Basel, Rotterdam and Stockholm conventions covering the biennium 2012–2013

	Activity	Deadline
1.	Take stock of existing systems: Develop an inventory of information, tools and infrastructure and human and institutional networks that relate to the three conventions' current information-exchange activities.	March 2012
2.	Undertake a needs assessment for the Basel and Rotterdam conventions: In consultation with parties, Basel Convention regional centres and other stakeholders, as appropriate to each convention, assess needs in the context of a clearing-house mechanism.	August 2012
3.	Design a joint clearing-house mechanism for the Basel, Rotterdam and Stockholm conventions, taking into account the inventory of existing systems (activity 1), the needs assessment (activity 2) and the report of the Secretariat on other clearing-house mechanisms and similar mechanisms in the area of chemicals and wastes, including the identification and prioritization of common components and tools, for development during the biennium 2012–2013.	October 2012
4.	Develop and deploy the joint clearing-house-mechanism components and tools: This covers diverse activities such as purchasing hardware and software, hiring experts in the area of systems development and architecture, subcontracting graphic designers and software companies for possible systems customization, computer programming, preparation of user manuals and documentation and testing systems and fixing bugs.	December 2012 Phase 1 December 2013 Phase 2
5.	Develop cross-cutting information package as a “one-stop-shop” of information on chemicals and wastes, covering all three conventions, including country information profiles, joint calendar and joint contact information.	August 2012
6.	Data entry and formatting: Migrate, where appropriate, data to the joint clearing-house mechanism. Enter any new data gathered through the joint activities of the three conventions.	February 2013
7.	Jointly maintain websites: Maintain and develop the three conventions' websites and the joint portal.	Continuous
8.	Develop a guidance document for the joint clearing-house mechanism: This guidance document will cover standards and best practices for regional and national institutions that would like to develop their own clearing-house mechanism nodes. It will facilitate the compatibility and interoperability of systems under the joint clearing-house mechanism.	December 2012
9.	Implement joint capacity-building and stakeholder consultation: Implement joint capacity-building, including through training workshops and technical capacity enhancement activities for parties to all three conventions; gather feedback to inform the future development of the clearing-house mechanism.	December 2013

Annex IV to decision RC-5/12

Detailed terms of reference for the preparation of the report by the secretariats of the three conventions

I. Purpose of the report

1. In line with section VI of the omnibus decisions, the purpose of the report by the secretariats is to review how far the arrangements adopted pursuant to the synergies decisions, in particular on joint activities, joint managerial functions and joint services, have contributed to achieving the following objectives (hereinafter referred to as “the six objectives”):

(a) Strengthening the implementation of the three conventions at the national, regional and global levels;

- (b) Promoting coherent policy guidance;
- (c) Reducing administrative burden;
- (d) Maximizing the effective and efficient use of resources at all levels;
- (e) Taking into account global concerns and the specific needs of developing countries and countries with economies in transition;
- (f) Protecting human health and the environment for the promotion of sustainable development.

II. Scope of the report

2. The material scope of the report will be based on the six objectives and how far the arrangements adopted pursuant to the synergies decisions, in particular on joint activities, joint managerial functions and joint services, have contributed to achieving them. The report will extend to other arrangements adopted pursuant to the synergies decisions, if and where appropriate, keeping in mind that the report is not intended to review parties' activities.

3. The report covers the period from the adoption of the synergies decisions (May 2009) to August 2012.

III. Methodology

A. Questionnaire

4. A questionnaire to be sent to parties will be jointly prepared by the three secretariats. It will be made available in the six official languages of the United Nations. The questionnaire will be concise and consist of three parts:

(a) Request for information on whether and how much the arrangements – joint activities, joint managerial functions, and joint services – have contributed to the six objectives. In addition, parties will have an opportunity to make specific comments and recommendations on whether and how the arrangements have contributed to each objective and on their experience at the country level;

(b) Request for information or comments on the challenges or obstacles experienced in the achievement of the six objectives;

(c) Request for specific or general recommendations to parties, the secretariats, UNEP, FAO and other institutions and stakeholders as appropriate, on steps that could be taken to make the synergies arrangements, in particular on joint activities, joint managerial functions and joint services, better contribute to the six objectives.

5. The questionnaires will be sent to all parties and made available on the individual and on the synergies websites of the conventions. Completed questionnaires will also be made available on these websites.

B. Report

6. A report of no more than 20 pages in length will be jointly prepared by the three secretariats and will be based on the following outline:

- (a) Introduction;
- (b) Review of the responses from parties submitted via the questionnaire;
- (c) Views of the secretariats on the arrangements;
- (d) Conclusions and recommendations.

7. The completed questionnaires will also be made available to the conferences of the parties.

IV. Working relationship with the joint evaluation offices

8. Although the two reports that will be prepared for the conferences of the parties will be independent of each other, the secretariats and the UNEP and FAO evaluation offices will cooperate and exchange information to avoid duplication and to gain from each other's efforts, where applicable.

V. Timeline for the preparation of the report

<i>Activity</i>	<i>Deadline</i>
Preparation and translation of the questionnaire	31 March 2012
Questionnaire sent out to all parties and posted on the websites of the conventions	30 April 2012
Collection of responses from parties	31 August 2012
Finalization of the secretariats' report	31 December 2012
Report published on the website of the conventions	Ninety days before the first meeting of a conference of the parties in 2013

Annex V to decision RC-5/12

Terms of reference for the preparation of the report by the evaluation offices of the United Nations Environment Programme and the Food and Agriculture Organization of the United Nations

I. Background

1. Decisions BC.Ex-1/1, RC.Ex-1/1 and SC.Ex-1/1 (the “omnibus decisions”), were adopted by the conferences of the parties to the Basel, Rotterdam and Stockholm conventions, respectively, at their simultaneous extraordinary meetings in Bali, Indonesia, on 24 February 2010. In section VI of the omnibus decisions, entitled “Review arrangements”, the conferences of the parties decided that at their respective meetings in 2013, in accordance with the timetable contained in the annex to the omnibus decisions, they would review the arrangements adopted pursuant to the synergies decisions, in particular on joint activities, joint managerial functions and joint services, to determine how far they had contributed to achieving the following objectives:

- (a) Strengthening of the implementation of the three Conventions at the national, regional and global levels;
- (b) Promoting coherent policy guidance;
- (c) Reducing administrative burden;
- (d) Maximizing the effective and efficient use of resources at all levels;
- (e) Taking into account global concerns and the specific needs of developing countries and countries with economies in transition;
- (f) Protecting human health and the environment for the promotion of sustainable development;

2. The purpose of the review is to assess progress made towards the implementation of the synergies decisions with the objective of establishing how the synergies process has contributed to enhancing cooperation and coordination at the national, regional and global levels. The review will take into account progress made by the parties, the secretariats, UNEP, FAO and other institutions mentioned in the synergies decisions towards the implementation of those decisions and other relevant decisions emerging from the extraordinary meetings of the conferences of the parties.

II. Objectives and scope of the review

A. Objectives

3. In order to undertake an evaluation following international best practices, the objectives of the review are to examine:

- (a) The extent to which the processes for enhancing cooperation and coordination have taken into account global concerns and responded to the specific needs of developing countries and countries with economies in transition;
- (b) The extent to which actions taken to enhance coordination and cooperation have helped to strengthen the implementation of the three conventions at the national, regional and global levels, have helped to promote coherent policy guidance and have enhanced efficiency in the provision

of support to parties with a view to reducing their administrative burden and maximizing the effective and efficient use of resources at all levels;

(c) Whether enhanced coordination and cooperation among the three conventions have contributed to the achievement of their ultimate common objectives: the protection of human health and the environment for the promotion of sustainable development.

4. The review would contain recommendations to parties, the secretariats, UNEP, FAO and other institutions and stakeholders, as appropriate. It would take into account assessments that may have been undertaken in response to decisions by the conferences of the parties at their meetings in 2011.

B. Scope

5. The review will be both retrospective and prospective. This involves taking stock of the past while looking into the future with regard to the role of the secretariats in enhancing cooperation and coordination and promoting enhanced policy guidance and efficiencies in their support for parties. While taking a longer-term perspective on the issue, the review will focus on the period since the synergies decisions came into effect. In doing so, the review will take account of the conditions prevailing before the synergies decisions were adopted.

6. The review will not assess, or seek to reach any definitive conclusions on, compliance with the provisions of the conventions. Instead, its focus will be on overall efforts by the respective organizations and the secretariats of the conventions to cooperate and to coordinate their activities with the aim of promoting efficiencies in their support for parties. The review will identify key lessons learned or to be learned and make targeted recommendations for future improvement.

7. It will involve, among other things, a detailed analysis of actions initiated to enhance cooperation and coordination with a view to reducing the administrative burden of the conventions and maximizing the efficient use of resources at all levels.

III. Review criteria and key questions

8. While always taking into account the standard internationally accepted evaluation criteria included under objectives-based evaluations (i.e., relevance, effectiveness, efficiency, impact and sustainability), these review criteria are not exclusive. The review will be organized around a set of specific review questions. With such an approach, the criteria will be translated into specific questions, and each question may be aimed at eliciting information pertinent to one or more of the criteria. These questions are intended to give a more precise and accessible form to the review criteria and to articulate the key issues of concern to stakeholders, thus optimizing the focus and usefulness of the review.

A. Relevance

9. The review will assess the overall relevance of the synergies decisions, asking whether they make sense in the broader global political, institutional and environmental context; whether they respond to the particular needs of all parties to the conventions, in particular developing countries and countries with economies in transition; and whether they are likely to enhance the effectiveness and efficiency of the three conventions.

10. The review will further determine whether, in retrospect, the actions taken to enhance synergies among the conventions were consistent with the decisions adopted by the parties. It will ascertain the nature and significance of the contribution to the outcomes achieved to date, to the broader goal of reducing the administrative burden on the conventions and to maximizing the use of resources.

B. Effectiveness and impact

11. The review will evaluate how, and to what extent, the synergies decisions have strengthened the implementation of the three conventions at the national, regional and global levels and effectively promoted policy coherence between them. The assessment will take into account any achievement indicators that may have been stated in the decisions themselves.

12. The analysis of outcomes achieved should include an assessment of the extent to which the mechanisms established following the adoption of the omnibus decisions have directly or indirectly assisted in promoting and enhancing cooperation and coordination among the conventions. The review will seek to establish how these outcomes have contributed or will contribute to the achievement of the ultimate common objectives of the conventions: the protection of human health and the environment for the promotion of sustainable development.

C. Efficiency

13. Efficiency will be assessed at three levels. First, the review will consider whether the efforts and actions taken to forge synergies among the three conventions were cost-effective and undertaken in a timely manner.

14. Second, the review will evaluate whether the actions taken as a result of the synergies decisions have effectively reduced the administrative burden on the convention secretariats, parties and other stakeholders, and have genuinely contributed to maximizing the efficient use of resources at all levels.

15. Third, the review will assess whether the synergies decisions have led to improved efficiency in the implementation of convention-related actions or activities at the national level.

D. Sustainability

16. Sustainability is understood as the probability of continued long-term outcomes and impacts. The review will bring to light the factors that will determine the persistence of benefits derived from the efforts to foster synergies, such as enhanced effectiveness and efficiency of the conventions or improved coherence among them. Other factors might be stronger institutional capacity, better coordinated and informed decision-making or a positive perception by the parties of the outcomes of the synergies decisions themselves.

IV. Methods

17. This study will be conducted as an in-depth review using a participatory approach by the UNEP and FAO evaluation offices. The secretariats of the respective conventions, the bureaux, parties and other relevant stakeholders will be kept informed regularly. The independent reviewers commissioned to undertake the review will liaise with the evaluation offices on any logistical and methodological issues germane to the proper conduct of the review in a manner that is as independent as possible given the circumstances and the resources provided.

18. The review will seek inputs from parties, the secretariats of the Basel, Rotterdam and Stockholm conventions, as well as other stakeholders, and comprise broad research, data collection and analysis, in addition to selected investigations through interviews, a questionnaire or questionnaires, global consultations, regional consultations and reviews of key documents and financial information. All these approaches will focus on the questions set out in section III above.

19. The omnibus decisions and other related supporting documentation were used to derive preliminary outcome- and output-level performance indicators¹⁵ for use in the review, which are listed in table 1.

Table 1

Preliminary performance indicators for use in the review

<i>Outcomes</i>	<i>Indicators</i>
Joint implementation of substantive activities at the national, regional and global levels	<ul style="list-style-type: none"> ▪ Number and outputs of joint activities under implementation such as technical guidance and standards and capacity-building ▪ Coordinated national reporting compliant with individual convention requirements ▪ Satisfaction of parties with joint activities ▪ Proportion of joint activities of projects undertaken by regional centres ▪ Satisfaction of regional centres with regard to cooperation between them
Institutionalized joint financial management and audit services for the three conventions	<ul style="list-style-type: none"> ▪ Satisfaction of stakeholders with arrangements for sharing audit reports ▪ Cross-cutting Office of Internal Oversight Services audit report shared with the conferences of the parties at their meetings in 2011 ▪ Convention budget cycles remain synchronized with

¹⁵ Section VI of the omnibus decisions, on review arrangements, specifies in paragraph 4 that the terms of reference for the review should include performance indicators.

<i>Outcomes</i>	<i>Indicators</i>
	<p>those of UNEP and FAO</p> <ul style="list-style-type: none"> ▪ Satisfaction of stakeholders and secretariats with financial and administrative support arrangements
Resource mobilization: increased funding for the implementation of convention-related activities	<ul style="list-style-type: none"> ▪ Increase in secured funding for national, regional and global implementation per convention as reflected in the secretariats' budgets ▪ Increase in expenditure on advocacy for resource mobilization per convention
Public information products and outreach services jointly provided in relation to the three conventions	<ul style="list-style-type: none"> ▪ Satisfaction of all stakeholders with public information products (such as websites) and outreach services provided
Joint management processes and structures operational for the three conventions	<ul style="list-style-type: none"> ▪ Formal joint management group established with defined terms of reference ▪ Executive Secretary of the three convention secretariats appointed ▪ Satisfaction of regional centres with regard to information exchange with the joint management structure ▪ Ratio/percentage of documents that have been prepared reflecting the policy framework of all three conventions
Joint resource mobilization efforts	<ul style="list-style-type: none"> ▪ Preparation of a joint resource mobilization strategy
Common information technology service provision for the three conventions	<ul style="list-style-type: none"> ▪ Satisfaction of Secretariat staff with information technology services provided ▪ Reduced costs of the provision of information technology services
Legal service for the three conventions operational	<ul style="list-style-type: none"> ▪ Satisfaction of Secretariat staff and stakeholders with legal services provided ▪ Ratio/percentage of draft decisions that have been prepared taking into account the legal framework of all three conventions ▪ Reduced costs of the provision of legal services
Common information-sharing tools and mechanisms	<ul style="list-style-type: none"> ▪ Existence of tools, procedures and agreements for sharing legal, technical and scientific information
Increased cooperation and coordination on technical issues	<ul style="list-style-type: none"> ▪ List of joint coordinated work on technical issues (e.g., guidelines)

20. The review will consist of three main phases, in the course of which four methodological stages will be developed. The phases are listed in table 2.

Table 2

Main phases of the review process

<i>Three main phases of development</i>	<i>Four methodological stages</i>
<ul style="list-style-type: none"> • Inception • Implementation • Synthesis and reporting 	<p>Structuring of the review</p> <p>Data collection</p> <p>Analysis</p> <p>Judgements on findings and recommendations</p>

A. Inception

21. This phase will include the preparation of a review framework and data collection and analysis methods and tools. It will feature an extensive desk study and be concluded with the preparation of an inception report.

22. The review framework will provide details on the review questions, information sources, data collection and analysis tools, and performance indicators. The desk study will review decisions of the conferences of the parties, relevant documents prepared by the secretariats, documents and decisions of the Ad Hoc Joint Working Group on Enhancing Cooperation and Coordination among the Basel,

Rotterdam and Stockholm Conventions, progress reports, minutes of meetings and relevant correspondence.

23. Preliminary interviews will be conducted with staff working on convention issues, the management teams of the secretariats and of the administering organizations (UNEP and, in the case of the Rotterdam Convention, with FAO), representatives of parties, non-governmental and civil society organizations and other relevant stakeholders. Their views will be sought on the progress made by parties, the secretariats, UNEP, FAO and other institutions mentioned in the synergies decisions towards the implementation of those decisions and relevant decisions emerging from any extraordinary meetings of the conferences of the parties.

24. The inception report will present the context of the synergies decisions and the review framework. It will present the first findings derived from the desk study and include a list of issues requiring further investigation in the implementation phase of the review. The inception report will be shared with the advisory panel for the review (see below).

B. Implementation phase

25. The main purpose of the implementation phase will be to complete and validate the information obtained during the inception phase. It will mainly consist of further document reviews and in-depth interviews with and surveys of key individuals in UNEP, FAO, the secretariats, party representatives and other key partner organizations.

26. Questionnaires could also be employed to gather data from a broad range of stakeholders. There are obvious potential synergies in this regard with the parallel review being led and undertaken by the secretariats. If feasible, and to avoid duplication of effort, the evaluators will engage with the secretariats to prepare a consolidated and comprehensive survey instrument that will meet the needs of both review efforts.

27. Analysis of the information collected will lead to an overall judgement on progress made towards the implementation of the synergies decisions and, ultimately, the degree to which implementation of the decisions has contributed to enhanced coordination and cooperation between the conventions and has made the use of their resources more efficient. Before the synthesis and reporting phase, the review team will present its emerging findings to the advisory panel for feedback.

C. Synthesis and reporting phase

28. Based on the information collected and analysed during the previous phases, the review team will draft a review report. The report will build on relevant sections of the inception report and expand on the issues for further investigation previously identified therein. It will also present the lessons learned and recommendations of the review. The draft report will be reviewed by the advisory panel before it is finalized.

V. Expected outputs

29. The main output of the review will be a final report. The report should be brief, to the point and easy to understand. It must explain the purpose of the review, exactly what was reviewed and the methods used. The report must highlight any methodological limitations, identify key concerns and present evidence-based findings, consequent conclusions, recommendations and lessons. The report should provide information on when the review took place, the places visited and who was involved and should be presented in a way that makes the information accessible and comprehensible. The report should include an executive summary that encapsulates the essence of the information contained in the main report to facilitate dissemination and distillation of lessons.

30. Evidence, findings, conclusions and recommendations should be presented in a complete and balanced manner. The report must be written in English, be no longer than 50 pages (excluding annexes), use numbered paragraphs and include:

- (a) An executive summary (no more than three pages) providing a brief overview of the review's main conclusions and recommendations;
- (b) Introduction and background giving a brief overview of the synergies decisions under review in their broader context and of the origins of the review;
- (c) Scope, objective and methods presenting the review's purpose, the review criteria used and questions to be considered;
- (d) Overall performance and impact providing factual evidence relevant to the questions asked and interpretations of such evidence (the main substantive section of the report);

(e) Conclusions presenting the review's concluding assessments against the given review criteria and standards of performance. The conclusions should provide answers to the key questions and assess the results achieved to date;

(f) Lessons learned, presenting general conclusions based on established good practices that have the potential for wider application and use. Lessons may also be derived from problems, gaps and mistakes. The context in which lessons may be applied should be clearly specified, and lessons should always state or imply some prescriptive action. A lesson should be written such that experiences derived could be applied in other similar situations;

(g) Recommendations suggesting actionable proposals for improvement. Prior to each recommendation, the issue or problem that the recommendation is meant to solve should be clearly stated. The recommendations should be relevant within the context of the conventions and organized by target groups. They should be prioritized according to their importance and urgency to the purpose of the review. Options for implementing the recommendations with an indication of their respective limits and possible risks should be presented. Recommendations will in all cases need to be cross-referenced to the corresponding findings or conclusions;¹⁶

(h) Annexes, including terms of reference, a list of interviewees, documents reviewed and a brief summary of the expertise of the review team. Dissenting views or management responses to the review findings may later be annexed.

VI. Tasks and schedule

31. The review is expected to be implemented as set out in table 3.

Table 3
Schedule for the review

<i>Deliverable/activity</i>	<i>Indicative time frame</i>
<i>Inception (November 2011–March 2012)</i>	
Inception – evaluation framework (following decision of the final meeting of a conference of the parties in 2011)	November 2011
Desk review	December 2011
Draft inception report	End of February 2012
Final inception report	End of March 2012
<i>Implementation (December 2011–15 May 2012)</i>	
Additional desk review	March–April 2012
Stakeholder interviews (including field missions)	April–May 2012
Data collation and analysis	May–June 2012
Debriefing on emerging findings	15 May 2012
<i>Reporting (15 May 2012–March 2013)</i>	
Submission of the first draft report to UNEP and FAO	30 June 2012
Presentation of the first draft report to the advisory panel	15 July 2012
Presentation of the second draft report to the advisory panel	7 September 2012
Distribution of the report by UNEP and FAO for comments by the parties and other stakeholders	31 October 2012
Deadline for comments by the parties and other stakeholders on the report by UNEP and FAO	15 December 2012
Publishing of the final report on the websites	15 January 2013
Consideration of the review by the conferences of the parties and	After March 2013

¹⁶ A high-quality recommendation is an actionable proposal that is feasible to implement within the time frame and resources available; commensurate with the available capacities of implementation partners; specific in terms of who would do what and when; contains results-based language (i.e., a measurable performance target); and includes a trade-off analysis, when its implementation may require using significant resources that would otherwise be used for other purposes.

<i>Deliverable/activity</i>	<i>Indicative time frame</i>
adoption of decisions by the conferences of the parties	

VII. Management arrangements

32. The review will be jointly managed by the evaluation offices of UNEP and FAO, which will each appoint a task manager to manage the review process. The task managers will provide backstopping support and ensure coordination and liaison with all concerned units and other key agencies and stakeholders; they will determine the review team composition, provide overall guidance and ensure substantive supervision of all research. The UNEP Evaluation Office will, in consultation with its FAO counterpart, select and contract the international consultants to the review team.

33. The review team will be responsible for the development, research, drafting and finalization of the review in close consultation with the task managers and other relevant units of UNEP and FAO, in addition to the secretariats.

34. The evaluation offices will meet all costs related to conducting the review and will manage the review process, providing support and ensuring coordination and liaison with key agencies. They will be responsible for the final evaluation report and for its formal presentation to the conferences of the parties.

VIII. Review team

35. The review will be carried out by a team with advanced knowledge and experience in the following fields: chemicals and wastes; multilateral environmental agreements; international affairs and international development administration; institutional reform and business processes. The team must also possess an in-depth understanding of, and familiarity with, evaluation methods and techniques and documented experience in conducting evaluations and reviews. The team must be prepared to work in English and possess excellent drafting skills.

36. The core review team will comprise two international consultants. One will be designated as the team leader and will provide intellectual leadership and direction for the review and be responsible for delivering the final product. The other will be a subject-matter specialist and have a good understanding of and expertise in multilateral and intergovernmental processes and in evaluation methods and processes. The team will be supported by designated staff from the UNEP and FAO evaluation offices. These task managers will provide overall guidance for the review and participate in the review as they deem appropriate.

37. The review team leader and all other members of the review team will be selected by the evaluation offices taking into account the technical qualifications of the consultants in the subject matter and in evaluation and review methods.

38. All team members will be responsible for drafting components of the report while the team leader will be responsible for drafting the integrated final report and executive summary with the support of the task managers.

IX. Advisory panel

39. As part of the consultative process in undertaking the review, an external advisory panel comprising six experts will be set up by the evaluation offices. The members will be selected on the basis of their recognized stature in the fields of chemicals and wastes, multilateral environmental agreements and evaluations and reviews. The advisory panel will ensure quality control of the review. It will review and provide comments on the inception report, the draft report and the final review report. The evaluation offices will form part of the extended advisory panel, which will remain in existence until the completion, dissemination and final review of the report. Inputs from and comments of the advisory panel are expected to enrich the process and enhance broader understanding of the issues.

X. Quality assurance team

40. A joint internal quality assurance team comprising designated staff from the evaluation offices (but excluding task managers) will be set up to ensure adherence to the evaluation offices' quality standards pertaining to both the process and the review outputs or milestones.

XI. Review audience

41. The users of the review are the parties to the conventions, the UNEP and FAO management teams and the secretariats. Considerable interest is likely to be shown in the review by other stakeholders, including other convention parties and secretariats, various multinational organizations, the academic community, think tanks and many non-governmental and civil society organizations.

XII. Follow-up, dissemination and learning

42. The review is expected to help the parties, the secretariats, UNEP and FAO to identify key lessons on strategic positioning that can provide a useful basis for strengthening cooperation and coordination among the conventions. It will present good practices and also draw lessons from unintended results.

43. The review and resulting recommendations will be shared with the parties to the conventions, the secretariats and other interested stakeholders. The review will be presented to the conferences of the parties and the secretariats, who will be responsible for preparing a management response to the findings and recommendations. Innovative ways of disseminating the review findings will be sought to reach as wide a range of stakeholders as possible.

Decision RC-5/13: Cooperation with the World Trade Organization

The Conference of the Parties,

Taking note of the progress made in the implementation of decision RC-1/15 on cooperation between the Secretariat and the World Trade Organization,

1. *Requests* the Secretariat to communicate with the World Trade Organization with a view to achieving continued participation by the Secretariat in the meetings of the Committee on Trade and Environment in Special Session of the Organization on a meeting-by-meeting basis;
2. *Also requests* the Secretariat to continue to follow up on its application for observer status with the Committee on Trade and Environment of the World Trade Organization and to report on the status of that application to the Conference of the Parties at its sixth meeting;
3. *Invites* parties to coordinate at the national level in order to promote mutual supportiveness between trade and environment policies, and to support the request for observer status, as appropriate.

RC-5/14: Financing and budget for the biennium 2012–2013

The Conference of the Parties,

Taking note of the amended financial rules of the Conference of the Parties, its subsidiary bodies and the Convention Secretariat adopted in decision RC-5/1,

1. *Approves* the programme of activities and operational budget for the biennium 2012–2013 of 3,740,876 United States dollars for 2012 and 3,803,087 dollars for 2013 for the purposes set out in table 1 of the present decision, which are presented by budget code line in table 2;
2. *Authorizes* the executive secretaries of the Secretariat of the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade (hereinafter referred to as the executive secretaries) to make commitments up to the approved operational budget, drawing upon available cash resources;
3. *Invites* the governing bodies of the United Nations Environment Programme and the Food and Agriculture Organization of the United Nations to continue their financial and other support for the operation of the Convention and its Secretariat in 2012–2013;
4. *Welcomes* the continued annual contribution by Italy and Switzerland, the host Governments, of 600,000 euros each to the Secretariat to offset planned expenditures;

5. *Takes note* of the commitment of the Government of Italy in a communiqué to the executive secretaries on 22 June 2011 to pay to the Secretariat 452,461 euros of its host country arrears no later than July 2011;
6. *Requests* the Government of Italy to pay the balance of its host country arrears according to the following schedule: 250,000 euros by 30 September 2011; 250,000 euros by 30 November 2011; and the balance of 525,583.89 euros by 30 April 2012;
7. *Notes* that the Italian host country arrears payments will be used, among other things, to enable the Secretariat to perform its functions in line with paragraph 2 of Article 19 of the Convention, in particular to facilitate assistance to the parties, particularly developing-country parties, on request, in the implementation of the Convention;
8. *Requests* the Executive Director of the United Nations Environment Programme, on an exceptional and as-needed basis, to authorize the loan of financial resources up to a maximum of 500,000 dollars to enable the continued and uninterrupted operation of the Secretariat pending receipt of Italian host country arrears repayments;
9. *Requests* the Government of Italy to adhere to the terms of its offer presented at the first meeting of the Conference of the Parties to host jointly with the Government of Switzerland the Secretariat in 2012 and subsequent years;
10. *Decides* on an exceptional basis not to approve a staffing table but instead to take note of the indicative staffing table for the Secretariat for the biennium 2012–2013 as set out in table 5, with that table being used for costing purposes to set the overall budget;
11. *Authorizes* the executive secretaries to determine the staffing levels, numbers and structure of the Secretariat in a flexible manner, provided that the executive secretaries remain within the overall budget for the biennium 2012–2013;
12. *Adopts* the indicative scale of assessments for the apportionment of expenses for the biennium 2012–2013 set out in table 4 of the present decision and authorizes the executive secretaries, consistent with the Financial Regulations and Rules of the United Nations, to adjust the scale to include all parties for which the Convention enters into force before 1 January 2012 for 2012 and before 1 January 2013 for 2013;
13. *Decides to* maintain the working capital reserve at the level of 15 per cent of the average annual operational budgets for 2012–2013;
14. *Notes with concern* that a number of parties have not paid their contributions to the operational budgets for 2010 and prior years, contrary to the provisions of paragraph 15 (a) of the financial rules and urges parties to pay their contributions promptly by or on 1 January of the year to which the contributions apply;
15. *Decides*, with regard to assessed and host country contributions due from 1 January 2010 onwards that any party whose contributions are in arrears for two or more years shall not be eligible to become a member of the Bureau of the Conference of the Parties or a member of its subsidiary bodies. This shall not apply to parties that are least developed countries or small island developing States or to parties that have agreed on and are respecting a schedule of payments;
16. *Takes note* of the funding estimates included in table 3 for activities under the Convention to be financed from the Special Trust Fund of the Convention and urges parties and observers to contribute to that Fund;
17. *Decides* that the trust funds for the Convention shall be continued until 31 December 2013 and requests the Executive Director of the United Nations Environment Programme to extend them for the biennium 2012–2013, subject to the approval of the Governing Council of the United Nations Environment Programme;
18. *Notes with concern* the level of funds available in the Special Trust Fund for the participation of developing-country parties, in particular from least developed countries and small island developing States, and parties with economies in transition, in meetings of the Convention;
19. *Takes note* of the suggestion by the Government of Switzerland to allocate 50 per cent of its annual host country contribution to the General Trust Fund and 50 per cent to the Special Trust Fund, for the purpose of ensuring the broad participation of developing-country parties, in particular least developed countries and small island developing States, and parties with economies in transition at the meetings of the Conference of the Parties and of supporting joint activities between the Basel, Rotterdam and Stockholm conventions;

20. *Decides* to consider this suggestion further at the sixth meeting of the Conference of the Parties;
21. *Urges* parties and others in a position to do so to contribute urgently to the Special Trust Fund with a view to ensuring the broad participation of developing-country parties, in particular least developed countries and small island developing States, and parties with economies in transition at the meetings of the Conference of the Parties and for joint activities between the Basel, Rotterdam and Stockholm conventions;
22. *Requests* the executive secretaries, bearing in mind decision SC-4/34, further to enhance efficiency in the use of financial and human resources in accordance with the priorities set by the Conference of the Parties and to report on the outcome of their efforts;
23. *Requests* the executive secretaries to prepare a budget for the biennium 2014–2015, for consideration by the Conference of the Parties at its sixth ordinary meeting, explaining the key principles and assumptions on which the budget is based and presenting expenditures for the 2014–2015 period in the programmatic format while also presenting them by budget code lines;
24. *Notes* that there is a need to facilitate priority-setting by providing the parties with timely information on the financial consequences of different options and, to that end, requests the executive secretaries to include in the proposed operational budget for the biennium 2014–2015 three alternative funding scenarios based on:
- (a) Their assessment of the required growth of the operational budget to finance all proposals before the Conference of the Parties that have budgetary implications;
 - (b) Maintaining the operational budget at the 2012–2013 level in nominal terms;
 - (c) Increasing the operational budget from the 2012–2013 level by 5 per cent in nominal terms;
25. *Requests* the executive secretaries at the sixth ordinary meeting of the Conference of the Parties to provide, where relevant, cost estimates for actions that have budgetary implications that are not foreseen in the draft programme of work but are included in proposed draft decisions before the adoption of those decisions by the Conference of the Parties;
26. *Requests* the Executive Director to request an audit by the Office of Internal Oversight Services on coordination and cooperation among the Basel, Rotterdam and Stockholm conventions and to present the report of that audit to the Conference of the Parties for consideration at its sixth ordinary meeting, in 2013.

Table 1

A. Programme budget for 2012–2013 (in United States dollars)

Preparation and delivery of meetings of the Conference of the Parties and subsidiary bodies

Activity number *	Activities	Year 2012					Year 2013				
		Amount			Source of funding		Amount			Source of funding	
		Staff costs	Non-staff costs	Total costs	RO Trust Fund	RV Trust Fund	Staff costs	Non-staff costs	Total costs	RO Trust Fund	RV Trust Fund
1	Sixth meeting of the Conference of the Parties. Duration: 5 days.	185 202	310 000	495 202	495 202	-	332 960	805 000	1 137 960	637 960	500 000
2	Eighth and ninth meetings of the Chemical Review Committee. Duration: 5 days each.	216 069	217 500	433 569	433 569	-	225 389	217 500	442 889	442 889	-
3	Annual meetings of the Bureau: one regular meeting of the Rotterdam Convention Bureau in 2012 and one joint Bureau meeting in 2013.	12 347	14 000	26 347	26 347	-	12 806	14 000	26 806	26 806	-
4 (Synergy 6)	Support the work of and coordination among the scientific bodies under the conventions and identify common issues and linkages between the conventions. Proposed co-funding by the three conventions: Basel: BC: \$6,650 and BD: \$15,000 per year; Rotterdam: RO: \$6,650 and RV: \$25,000 per year; and Stockholm: SC: \$6,700 and SV: \$25,000 per year; total: \$20,000 and \$65,000 per year.	24 694	31 650	56 344	31 344	25 000	25 612	31 650	57 262	32 262	25 000
	A. Resource kit										
5	Review content and components of resource kit, prepare new material and update key publications, and make available in electronic format; consider possible training opportunities (Joint portion included under joint budget S1).	46 419	72 500	118 919	71 419	47 500	46 092	67 500	113 592	66 092	47 500
6 (synergy)	Develop toolkit and electronic training tools and upgrade existing tools. <i>Proposed co-</i>	74 081	108 300	182 381	82 381	100 000	76 837	108 300	185 137	85 137	100 000

1)	<i>funding by the three conventions: Basel: BC: \$8,400 and BD: \$82,500 per year; Rotterdam: RO: \$8,300 and RV: \$100,000 per year; and Stockholm: SC: \$8,300 and SV: \$132,500 per year; total: \$25,000 and \$315,000 per year.</i>										
7	Update and reproduce the text of the Convention.	31 485	20 000	51 485	51 485	-	-	-	-	-	-
8 (synergy 7)	Update the general technical guidelines on the environmentally sound management of persistent organic pollutant waste to include new persistent organic pollutants. <i>Proposed co-funding by two conventions: Basel: BD: \$17,500 per year; Stockholm: SV: \$20,000 per year; total: \$37,500 per year.</i>	-	-	-	-	-	-	-	-	-	-
9 (synergy 14)	Publications: produce and disseminate various legal and technical publications. <i>Proposed co-funding by the three conventions: Basel: BC: \$19,150 per year; Rotterdam: RO: \$19,150 per year; and Stockholm: SC: \$19,200 per year; total: \$57,500 per year.</i>	12 347	19 150	31 497	31 497	-	12 806	19 150	31 956	31 956	-
	B. National and subregional meetings										
10 (synergy 2)	Capacity-building programmes: develop and deliver assistance based on regional and national needs. <i>Proposed co-funding by the three conventions: Basel: BC: \$6,650 and BD: \$115,000 per year; Rotterdam: RO: \$6,700 and RV: \$100,000 per year; and Stockholm: SC: \$6,650 and SV: \$120,00 per year; total: \$20,000 and \$335,000 per year.</i>	69 142	106 700	175 842	75 842	100 000	71 715	106 700	178 415	78 415	100 000
11 (synergy 15)	National reporting. <i>Proposed co-funding by two conventions: Basel: BD: \$45,000 in 2012 and \$50,000 in 2013; and Stockholm: SV: \$45,000 in 2012 and \$50,000 in 2013; total: \$90,000 in 2012 and \$100,000 in 2013.</i>	-	-	-	-	-	-	-	-	-	-
12 *	Develop action-oriented tools, including electronic ones, to identify and outline elements for national activities and strategies for the implementation of the Rotterdam Convention, including Secretariat helpdesk support, videoconferences, a comprehensive independent review and subregional hands-on training courses or meetings. (Joint portion is	91 366	95 000	186 366	91 366	95 000	92 204	95 000	187 204	92 204	95 000

	included under joint activities S3).										
13 (synergy 3)	Undertake synergistic capacity-building projects for the development of national institutional frameworks for the implementation of the conventions; provide technical assistance through the regional centres and in cooperation and coordination with the subregional offices of FAO and UNEP. <i>Proposed co-funding by the three conventions: Basel: BC: \$9,150 in 2012 and \$10,800 in 2013, BD: \$259,000 per year; Rotterdam: RO: \$0 and RV: \$120,000 per year; Stockholm: SC: \$9,150 in 2012 and \$10,900 in 2013, SV: \$269,000 per year; total: \$60,000 for 2012–2013 and \$600,000 per year.</i>	61 734	120 000	181 734	61 734	120 000	64 031	120 000	184 031	64 031	120 000
14 *	Strengthen national capacities related to severely hazardous pesticide formulations, including by facilitating pilot projects.	55 561	285 000	340 561	55 561	285 000	56 347	195 000	251 347	56 347	195 000
15 *	Develop programmes and provide training to assist Parties with specific issues upon their request; provide training focusing on basic obligations under the Convention, especially for new Parties and those experiencing difficulties; consider the development of electronic training tools, where relevant (under resource kits).	9 877	75 000	84 877	9 877	75 000	10 245	75 000	85 245	10 245	75 000
16 *	Prepare notifications of final regulatory action to strengthen countries' capacities to prepare and submit notifications, including appropriate documentation of national decisions.	19 755	92 000	111 755	19 755	92 000	19 209	80 000	99 209	19 209	80 000
17 *	Provide customs training activities, with possible linkages to relevant chemicals activities, and link to S3 and to 9 (trade partners meetings) where relevant.	41 979	150 000	191 979	41 979	150 000	40 980	50 000	90 980	40 980	50 000
18 N (new) *	Develop orientation workshop for effective participation in the work of the Chemical Review Committee, and link to S6.	11 524	25 000	36 524	11 524	25 000	11 312	25 000	36 312	11 312	25 000
19 (synergy 8)	Annual joint meetings: organize meetings for FAO and UNEP regional officers and directors or coordinators of the Basel and Stockholm convention regional centres to	24 694	22 500	47 194	24 694	22 500	25 612	22 500	48 112	25 612	22 500

	elaborate regional strategies and identify opportunities for the development of joint activities, in particular technical assistance and capacity-building activities. One meeting per year at a total cost of \$100,000 per year for the three conventions. <i>Proposed co-funding by the three conventions: Basel: BD: \$37,500 per year; Rotterdam: RV: \$22,500 per year; Stockholm: SV: \$40,000 per year; total: \$100,000 per year.</i>										
20 (synergy 9)	Facilitate South-South cooperation through the regional centres by addressing specific priority issues related to the Basel, Rotterdam and/or Stockholm conventions. <i>Proposed co-funding by the three conventions: Basel: BD: \$10,000 per year; Rotterdam: RV: \$20,000 per year; Stockholm: SV: \$20,000 per year; total: \$50,000 per year.</i>	12 347	20 000	32 347	12 347	20 000	12 806	20 000	32 806	12 806	20 000
21 (synergy 4)	Develop strategic partnerships with other multilateral environmental agreements, such as for the management and disposal of ozone-depleting substance, persistent organic pollutants and other hazardous substances. <i>Proposed co-fundings by two conventions: Basel: BD: \$100,000 per year; Stockholm: SV: \$100,000 per year, total: \$200,000 per year.</i>	-	-	-	-	-	-	-	-	-	-
	C. Working on industrial chemicals										
22 *	Continue to develop, in collaboration with the Inter-Organization Programme for the Sound Management of Chemicals and other relevant partners, a programme on industrial chemicals.	87 662	190 000	277 662	87 662	190 000	90 924	122 500	213 424	90 924	122 500
	D. Partners in the regional delivery of technical assistance										
23 *	Develop and apply an approach to identify a limited number (up to 20) of technical experts from the regions to collaborate with the	29 632	50 000	79 632	29 632	50 000	25 612	-	25 612	25 612	-

	Secretariat in the delivery of technical assistance activities; convene one meeting to enable the experts to coordinate the delivery of such activities.										
24	Integrate appropriate Rotterdam Convention-specific components in individual field projects of the FAO pesticide management programme and provide technical support at regular meetings of regional entities related to pesticides and chemicals management better to address and include Rotterdam Convention-specific components; including continued cooperation with the Strategic Approach to International Chemicals Management, United Nations Industrial Development Organization, World Health Organization and others.	53 092	152 500	205 592	53 092	152 500	58 907	98 500	157 407	58 907	98 500
25 (synergy 5)	Work with regional liaison offices in Latin America and the Caribbean, Africa and Asia in collaboration with key partners.	14 816	-	14 816	14 816	-	15 367	-	15 367	15 367	-
	E. Outreach and public awareness										
26	Public awareness meetings: implement outreach activities, including activities specifically related to the Rotterdam Convention, e.g., "Right to know" campaign. (Joint portion included in the joint budget under S14 and S15).	28 398	70 000	98 398	28 398	70 000	30 735	30 000	60 735	30 735	30 000
27	Develop and implement communication strategy (specifically related to the Rotterdam Convention).	53 091	40 000	93 091	53 091	40 000	55 067	20 000	75 067	55 067	20 000
28 (synergy 12 and 13)	Joint outreach and awareness-raising. Basel: BD: \$22,000 per year; Rotterdam: RV: \$31,000 per year ; Stockholm: SV: \$38,000 per year; total: \$91,000 per year.	61 734	31 000	92 734	61 734	31 000	64 030	31 000	95 030	64 030	31 000
	F. Knowledge and information management										
29 *	Support parties in the operation of the prior informed consent procedure and information exchange provisions of the Convention by reviewing information submitted and liaising concerning designated national authorities, official contact points, final regulatory	135 815	-	135 815	135 815	-	131 904	-	131 904	131 904	-

	actions, severely hazardous pesticides formulations; importing country responses. (Link to S10: clearing-house mechanism).										
30	PIC database.	90 132	10 000	100 132	100 132	-	87 082	10 000	97 082	97 082	-
31	PIC Circular.	101 244	30 000	131 244	131 244	-	96 046	30 000	126 046	126 046	-
32	Decision guidance documents: translate into 3 languages.	66 313	45 000	111 313	111 313		68 793	15 000	83 793	83 793	-
33	Rotterdam Convention website: translate into French and Spanish only. (Joint portion is included under the joint budget under S12).	41 979	37 000	78 979	53 979	25 000	38 418	37 000	75 418	50 418	25 000
34 (synergy 10)	Joint clearing-house mechanism for information exchange. <i>Proposed co-funding by the three conventions: Basel: BC: \$28,000 and BD: \$37,600 per year; Rotterdam: RO: \$0 and RV: \$39,500 per year; Stockholm: SC: \$28,000 and SV: \$39,500 per year; total: \$127,500 per year.</i>	123 468	59 500	182 968	143 468	39 500	125 500	59 500	185 000	145 500	39 500
35 (synergy 11)	Joint information technology services. <i>Proposed co-funding by the three conventions: Basel: BD: \$0; Rotterdam: RO: \$31,500 per year and RV: \$0; Stockholm: SC: \$31,500 per year and SV: \$80,000; total: \$63,000 per year and \$80,000.</i>	18 520	31 500	50 020	50 020	-	19 209	31 500	50 709	50 709	-
	G. Executive direction, management and strategic planning										
36	Provide general and legal policy advice to Parties.	24 694	-	24 694	24 694	-	28 174	-	28 174	28 174	-
37	Provide overall management of the Secretariat.	55 561	35 000	90 561	90 561	-	56 347	35 000	91 347	91 347	-
38	Provide financial management and administration of the Secretariat.	43 214	-	43 214	43 214	-	43 541	-	43 541	43 541	-
39	Cooperate and coordinate with partners, including other multilateral environmental agreements and intergovernmental organizations.	27 163	10 000	37 163	37 163	-	23 051	10 000	33 051	33 051	-
40	Contribute to FAO and UNEP chemicals-related activities.	32 102	10 000	42 102	42 102	-	23 051	10 000	33 051	33 051	-
41	Raise funds for activities under the voluntary trust fund (RV).	54 326	20 000	74 326	74 326	-	58 908	20 000	78 908	78 908	-

42 (synergy 16)	Resource mobilization: develop and implement joint resource mobilization and fund-raising strategies; undertake donor and partner profiling; carry out monitoring and reporting in compliance with donor requirements; meet with donors. <i>Proposed co-funding by the three conventions: Basel: BC: \$15,000 per year; Rotterdam: RO: \$15,000 per year; and Stockholm: SC: \$15,000 per year; total: \$45,000 per year.</i>	7 408	15 000	22 408	22 408	-	7 684	15 000	22 684	22 684	-
43 (synergy 17)	Provide support for the review of the synergies decisions. <i>Proposed co-funding by the three conventions: Basel: BC: \$10,350 in 2012; Rotterdam: RO: \$10,300 in 2012; and Stockholm: SC: \$10,350 in 2012; total: \$31,000 in 2012.</i>	6 173	10 300	16 473	16 473	-	2 561	-	2 561	2 561	-
	H. Office equipment, supplies and services										
44	Procure expendable equipment, including office supplies, toners and stationary.	27 163	30 000	57 163	57 163	-	24 332	30 000	54 332	54 332	-
45	Procure non-expendable office equipment, including furniture. (Joint portion for computer software and hardware, and required licenses reported under joint activities under S11).	27 163	19 000	46 163	46 163	-	24 332	14 000	38 332	38 332	-
46	Rent and maintain equipment, provide communication, mail and postage.	27 163	47 500	74 663	74 663	-	24 332	47 500	71 832	71 832	-
47	Rent office space, including electricity and cleaning.	27 163	65 000	92 163	92 163	-	24 332	65 000	89 332	89 332	-
		2 265 806	2 792 600	5 058 406	3 303 406	1 755 000	2 385 204	2 783 800	5 169 004	3 347 504	1 821 500

Note:

N = New activity included in the proposed programme of work for 2012–2013

() = Former activity number from approved programme of work for 2009–2011

P = Priority

S = Synergy/joint activity

* = Amended activity

Table 2

Summary table of total costs per budget code level (in United States dollars)

	RO budget 2009	RO budget 2010	RO budget 2011	Total triennium 2009–2011	RO budget 2012	RO budget 2013	Total biennium 2012–2013
10 Project personnel component							
11 Project personnel							
1199 Total	1 795 685	1 867 513	1 942 215	5 605 413	1 831 273	1 933 289	3 764 563
12 Consultants							
1201 Outreach in implementation of the Convention: assistance to parties	-	-	-	-	-	-	-
1202 Core Secretariat costs: consultants	90 000	85 000	45 000	220 000	27 000	22 000	49 000
1280 Consultants: joint: technical assistance/training tools	-	-	-	-	8 300	8 300	16 600
1281 Consultants: joint: scientific and technical	-	-	-	-	20 000	20 000	40 000
1282 Consultants: joint: clearing-house development	-	-	-	-	6 650	6 650	13 300
1285 Consultants: joint: review arrangements	-	-	-	-	5 300	-	5 300
1299 Total	90 000	85 000	45 000	220 000	67 250	56 950	124 200
13 Administrative support							
General Service staff							
<i>Subtotal administrative support staff</i>	<i>521 878</i>	<i>542 753</i>	<i>564 463</i>	<i>1 629 094</i>	<i>434 533</i>	<i>451 914</i>	<i>886,447</i>
				-			
1305 Conference services: meetings of the Conference of the Parties	150 000	230 000	245 000	625 000	310 000	275 000	585,000
1331 Conference services: Chemical Review Committee	110 000	110 000	110 000	330 000	110 000	110 000	220 000
1399 Total	781 878	882 753	919 463	2 584 094	854 533	836 914	1 691 447
16 Travel on official business							
1601 Travel on official business	155 000	150 000	139 000	444 001	87 500	117 500	205,000
1680 Travel on official business (joint: capacity-building regional level)	-	-	-	-	6 700	6 700	13,400
1681 Travel on official business (joint: overall management)	-	-	-	-	15 000	15 000	30,000
1699 Total	155 000	150 000	139 000	444 001	109 200	139 200	248,400
1999 Component total	2 822 564	2 985 267	3 045 677	8 853 508	2 862 256	2 966 353	5 828 609
20 Subcontract component							
23 Subcontracts with commercial companies							

	RO budget 2009	RO budget 2010	RO budget 2011	Total triennium 2009–2011	RO budget 2012	RO budget 2013	Total biennium 2012–2013
2311 Core Secretariat costs: dedicated line	20 000	20 000	20 000	60 000	-	-	-
2199 Total	20 000	20 000	20 000	60 000	-	-	-
2999 Component total	20 000	20 000	20 000	60 000	-	-	-
30 Training component							
33 Meetings/conferences							
3301 Participants' travel: Bureau meeting	12 500	12 500	25 000	50 000	14 000	14 000	28,000
3302 Chemical Review Committee experts' travel	90 000	90 000	90 000	270 000	90 000	90 000	180,000
3304 Participants' travel Compliance Committee	36 600	36 600	36 600	109 800	-	-	-
3399 Total	139 100	139 100	151 600	429 800	104 000	104 000	208,000
3999 Component total	139 100	139 100	151 600	429 800	104 000	104 000	208 000
40 Equipment and premises component							
41 Expendable equipment							
4101 Office equipment: paper, toner, diskettes, CD-ROMs	24 000	24 000	24 000	72 000	30 000	30 000	60,000
4199 Total	24 000	24 000	24 000	72 000	30 000	30 000	60 000
42 Non-expendable equipment							
4201 Core Secretariat costs: computer hardware and software	54 000	54 000	35 000	143 000	19 000	14 000	33 000
4280 Office equipment: hardware and software: joint IT services					31 500	31 500	63 000
4299 Total	54 000	54 000	35 000	143 000	50 500	45 500	96 000
43 Premises							
4301 Office rental/premises	39 700	39 700	44 600	124 000	65 000	65 000	130 000
4399 Total	39 700	39 700	44 600	124 000	65 000	65 000	130 000
4999 Component total	117 700	117 700	103 600	339 000	145 500	140 500	286 000
52 Reporting costs							
Other Secretariat functions: printing decision							
5201 guidance documents in the official languages of the United Nations	5 000	5 000	5 000	15 000	45 000	15 000	60 000
5211 Outreach in implementation of the Convention: resource kit	40 000	40 000	40 000	120 000	20 000	20 000	40 000
5212 Other Secretariat functions: translation/printing of PIC Circulars	30 000	30 000	30 000	90 000	30 000	30 000	60 000
5214 Other printing: reprinting and new publications	85 000	85 000	85 000	255 000	20 000	-	20 000

	RO budget 2009	RO budget 2010	RO budget 2011	Total triennium 2009–2011	RO budget 2012	RO budget 2013	Total biennium 2012–2013
5280 Translation and publishing: joint: publications	-	-	-	-	19 150	19 150	38 300
5282 Translation and publishing: joint: review arrangements	-	-	-	-	5 000	-	5 000
5299 Total	160 000	160 000	160 000	480 000	139 150	84 150	223 300
53 Sundry							
5301 Core Secretariat costs: communications, postage, etc.,	24 000	24 000	24 000	72 000	47 500	47 500	95 000
5399 Total	24 000	24 000	24 000	72 000	47 500	47 500	95 000
54 Hospitality							
5401 Hospitality	5 000	5 000	5 000	15 000	5 000	5 000	10 000
5499 Total	5 000	5 000	5 000	15 000	5 000	5 000	10 000
5999 Component total	189 000	189 000	189 000	567 000	191 650	136 650	328 300
Direct project cost operational budget	3 288 364	3 451 067	3 509 877	10 249 308	3 303 406	3 347 504	6 650 910
UNEP programme support costs: 13%	427 487	448 639	456 284	1 332 410	429 443	435 175	864 618
Total operational budget	3 715 851	3 899 705	3 966 162	11 581 718	3 732 849	3 782 679	7 515 528
Increment to the working capital reserve: 15%	48 884			48 884	(15 421)	-	(15 421)
Increment to the special contingency reserve: indexed to fluctuations in salary scales	46 876	18 001	18 721	83 598	23 449	20 408	43 856
Grand total	3 811 611	3 917 706	3 984 883	11 714 199	3 740 876	3 803 087	7 543 963

Percentage increase from year to year	9.2%	2.8%	1.7%		-6.1%	1.7%	-4.5%
Host country contribution	1 752 000	1 752 000	1 752 000	5 256 000	1 615 200	1 615 200	3 230 400
Usage of fund balance	25 000	75 000	50 000	150 000	-	-	-
Covered by parties	2 034 611	2 090 706	2 182 883	6 308 199	2 125 676	2 187 887	4 313 563
Percentage increase from year to year	3.4%	2.8%	4.4%		-2.6%	2.9%	0.9%

* €1,200,000 equal to \$1,634,877 for 2012–2013 at the United Nations exchange rate of 1.362 as at 1 February 2011. Revised to include the average United Nations exchange rate of 1.346 (average €=\$ for the period January 2010 to May 2011) equal to \$1,615,200.

Table 3
Voluntary budget for 2012–2013 (in United States dollars)
Summary table of the total costs per budget code level

	RV budget 2009	RV budget 2010	RV budget 2011	Total triennium 2009–2011	RV budget 2012	RV budget 2013	Total biennium 2012–2013
10 Project personnel component							
12 Consultants							
1202 Core Secretariat costs: consultants	10 000	10 000	-	20 000	188 250	76 250	264 500
1212 Outreach in implementation of the Convention: website development	100 000	50 000	50 000	200 000	-	-	-
1215 Technical assistance: measuring success: work on indicators	20 000	-	-	20 000	-	-	-
1280 Consultants: joint: technical assistance/training tools	-	-	-	-	10 000	10 000	20 000
1281 Consultants: joint: capacity-building national level	-	-	-	-	19 000	19 000	38 000
1282 Consultants: joint: scientific and technical	-	-	-	-	1 900	1 900	3 800
1285 Consultants: joint: clearing-house development	-	-	-	-	28 400	28 400	56 800
1299 Total	130 000	60 000	50 000	240 000	247 550	135 550	383 100
13 Conference services							
1380 Conference services: joint: annual meeting for regional centres			-	-	2 000	2 000	4 000
1399 Total		-	-	-	2 000	2 000	4 000
16 Travel on official business							
1601 Travel on official business	-	-	-	-	80 000	80 000	160 000
1681 Travel on official business: joint: technical assistance/training tools			-	-	5 000	5 000	10 000
1682 Travel on official business: joint: capacity-building regional level			-	-	3 000	3 000	6 000
1683 Travel on official business: joint: capacity-building national level			-	-	12 000	12 000	24 000
1685 Travel on official business: joint: scientific and technical	-	-	-	-	3 600	3 600	7 200
1699 Total		-	-	-	103 600	103 600	207 200
1999 Component total	130 000	60 000	50 000	240 000	353 150	241 150	594 300
20 Subcontract component							
2201 Subcontracts	-	-	-	-	10 000	-	10 000
2280 Subcontracts: joint: technical assistance/training tools	-	-	-	-	74 000	74 000	148 000
2281 Subcontracts: joint: capacity-building regional level	-	-	-	-	96 000	96 000	192 000
2282 Subcontracts: joint: capacity-building national level	-	-	-	-	85 000	85 000	170 000
2284 Subcontracts: joint: scientific and technical	-	-	-	-	6 000	6 000	12 000

	RV budget 2009	RV budget 2010	RV budget 2011	Total triennium 2009–2011	RV budget 2012	RV budget 2013	Total biennium 2012–2013
2287 Subcontracts: joint: south-south cooperation	-	-	-	-	16 000	16 000	32 000
2288 Subcontracts: joint: clearing-house development	-	-	-	-	7 600	7 600	15 200
2289 Subcontracts: joint: public awareness/Safe Planet campaign	-	-	-	-	31 000	31 000	62 000
2299 Total	-	-	-	-	325 600	315 600	641 200
2999 Component total	-	-	-	-	325 600	315 600	641 200
30 Training component							
33 Meetings/conferences							
3303 Meetings/workshops	1 293 000	2 154 000	1 085 000	4 532 000	926 250	629 750	1 556 000
3311 Participants' travel for meetings of the Conference of the Parties	-	-	500 000	500 000	-	500 000	500 000
3380 Participants' travel: joint: scientific and technical	-	-	-	-	11 500	11 500	23 000
3382 Participants travel: joint: annual meeting regional centres	-	-	-	-	20 500	20 500	41 000
3399 Total	1 293 000	2 154 000	1 585 000	5 032 000	958 250	1 161 750	2 120 000
3999 Component total	1 293 000	2 154 000	1 585 000	5 032 000	958 250	1 161 750	2 120 000
40 Equipment and premises component							
4200 Non-expendable equipment							
4281 Office equipment: hardware and software: joint: clearing-house development	-	-	-	-	3 500	3 500	7 000
4299 Total	-	-	-	-	3 500	3 500	7 000
4999 Component total	-	-	-	-	3 500	3 500	7 000
52 Reporting costs							
5213 Technical assistance resource kit	10 000	15 000	15 000	40 000	32 500	32 500	65 000
5214 Other Secretariat functions	-	-	-	-	60 000	45 000	105 000
5280 Reporting: joint	-	-	-	-	22 000	22 000	44 000
5299 Total	10 000	15 000	15 000	40 000	114 500	99 500	214 000
5999 Component total	10 000	15 000	15 000	40 000	114 500	99 500	214 000
Direct project costs: operational budget	1 433 000	2 229 000	1 650 000	5 312 000	1 755 000	1 821 500	3 576 500
UNEP programme support costs: 13%	186 290	289 770	214 500	690 560	228 150	236 795	464 945

	RV budget 2009	RV budget 2010	RV budget 2011	Total triennium 2009–2011	RV budget 2012	RV budget 2013	Total biennium 2012–2013
Total operational budget	1 619 290	2 518 770	1 864 500	6 002 560	1 983 150	2 058 295	4 041 445
Grand total	1 619 290	2 518 770	1 864 500	6 002 560	1 983 150	2 058 295	4 041 445
Percentage increase from year to year	28.1%	55.5%	-26.0%		6.4%	3.8%	-7.8%
Deduction from the reserve and fund balance	-	-	-		-	-	-
Host country contribution	-	-	-		-	-	-
Covered by parties	1 619 290	2 518 770	1 864 500	6 002 560	1 983 150	2 058 295	4 041 445
Percentage increase from year to year	28.1%	55.5%	-26.0%		6.4%	3.8%	-7.8%

				2012	2013
		United Nations scale of assessment 2010**	Scale with 22% ceiling and 0.010% base	Assessed contributions to be covered by the parties	Assessed contributions to be covered by the parties
	<i>Member State</i>	<i>Percentage</i>	<i>Percentage</i>		
47	Gabon	0.014	0.018	378	390
48	Gambia	0.001	0.010	213	219
49	Georgia	0.006	0.010	213	219
50	Germany	8.018	10.197	216 754	223 098
51	Ghana	0.006	0.010	213	219
52	Greece	0.691	0.879	18 680	19 227
53	Guatemala*	0.280	0.356	7 569	7 791
54	Guinea	0.002	0.010	213	219
55	Guinea-Bissau	0.001	0.010	213	219
56	Guyana	0.001	0.010	213	219
57	Hungary	0.291	0.370	7 867	8 097
58	India	0.534	0.679	14 436	14 858
59	Iran (Islamic Republic of)	0.233	0.296	6 299	6 483
60	Ireland	0.498	0.633	13 463	13 857
61	Italy	4.999	6.358	135 140	139 095
62	Jamaica	0.014	0.018	378	390
63	Japan	12.530	15.935	338 730	348 643
64	Jordan	0.014	0.018	378	390
65	Kazakhstan	0.076	0.097	2 055	2 115
66	Kenya	0.012	0.015	324	334
67	Kuwait	0.263	0.334	7 110	7 318
68	Kyrgyzstan	0.001	0.010	213	219
69	Lao People's Democratic Republic	0.001	0.010	213	219
70	Latvia	0.038	0.048	1 027	1 057
71	Lebanon	0.033	0.042	892	918
72	Lesotho	0.001	0.010	213	219
73	Liberia	0.001	0.010	213	219
74	Libyan Arab Jamahiriya	0.129	0.164	3 487	3 589
75	Liechtenstein	0.009	0.010	213	219
76	Lithuania	0.065	0.083	1 757	1 809
77	Luxembourg	0.090	0.114	2 433	2 504
78	Madagascar	0.003	0.010	213	219
79	Malawi*	0.001	0.010	213	219
80	Malaysia	0.253	0.322	6 839	7 040
81	Maldives	0.001	0.010	213	219
82	Mali	0.003	0.010	213	219
83	Marshall Islands	0.001	0.010	213	219
84	Mauritania	0.001	0.010	213	219
85	Mauritius	0.011	0.014	297	306
86	Mexico	2.356	2.996	63 691	65 555
87	Mongolia	0.002	0.010	213	219
88	Morocco*	0.058	0.074	1 568	1 614
89	Mozambique*	0.003	0.010	213	219
90	Namibia	0.008	0.010	213	219
91	Nepal	0.006	0.010	213	219
92	Netherlands	1.855	2.359	50 147	51 615
93	New Zealand	0.273	0.347	7 380	7 596
94	Nicaragua	0.003	0.010	213	219
95	Niger	0.002	0.010	213	219
96	Nigeria	0.078	0.099	2 109	2 170
97	Norway	0.871	1.108	23 546	24 235
98	Oman	0.086	0.109	2 325	2 393
99	Pakistan	0.082	0.104	2 217	2 282
100	Panama	0.022	0.028	595	612
101	Paraguay	0.007	0.010	213	219
102	Peru	0.090	0.114	2 433	2 504
103	Philippines	0.090	0.114	2 433	2 504
104	Poland	0.828	1.053	22 384	23 039
105	Portugal	0.511	0.650	13 814	14 218

				2012	2013
		United Nations scale of assessment 2010**	Scale with 22% ceiling and 0.010% base	Assessed contributions to be covered by the parties	Assessed contributions to be covered by the parties
	<i>Member State</i>	<i>Percentage</i>	<i>Percentage</i>		
106	Qatar	0.135	0.172	3 650	3 756
107	Republic of Korea	2.260	2.874	61 096	62 884
108	Republic of Moldova	0.002	0.010	213	219
109	Romania	0.177	0.225	4 785	4 925
110	Russian Federation*	1.602	2.037	43 308	44 575
111	Rwanda	0.001	0.010	213	219
112	Saint Vincent and the Grenadines	0.001	0.010	213	219
113	Samoa	0.001	0.010	213	219
114	Saudi Arabia	0.830	1.056	22 438	23 094
115	Senegal	0.006	0.010	213	219
116	Serbia*	0.037	0.047	1 000	1 030
117	Singapore	0.335	0.426	9 056	9 321
118	Slovakia	0.142	0.181	3 839	3 951
119	Slovenia	0.103	0.131	2 784	2 866
120	Somalia*	0.001	0.010	213	219
121	South Africa	0.385	0.490	10 408	10 712
122	Spain	3.177	4.040	85 885	88 399
123	Sri Lanka	0.019	0.024	514	529
124	Sudan	0.010	0.013	270	278
125	Suriname	0.003	0.010	213	219
126	Sweden	1.064	1.353	28 764	29 605
127	Switzerland	1.130	1.437	30 548	31 442
128	Syrian Arab Republic	0.025	0.032	676	696
129	Thailand	0.209	0.266	5 650	5 815
130	The former Yugoslav Republic of Macedonia*	0.007	0.010	213	219
131	Togo	0.001	0.010	213	219
132	Tonga*	0.001	0.010	213	219
133	Trinidad and Tobago*	0.044	0.056	1 189	1 224
134	Uganda	0.006	0.010	213	219
135	Ukraine	0.087	0.111	2 352	2 421
136	United Arab Emirates	0.391	0.497	10 570	10 879
137	United Kingdom of Great Britain and Northern Ireland	6.604	8.399	178 529	183 754
138	United Republic of Tanzania	0.008	0.010	213	219
139	Uruguay	0.027	0.034	730	751
140	Venezuela (Bolivarian Republic of)	0.314	0.399	8 489	8 737
141	Viet Nam	0.033	0.042	892	918
142	Yemen	0.010	0.013	270	278
143	Zambia*	0.004	0.010	213	219
Grand total		79	100	2 125 676	2 187 887

* New parties that have ratified the Convention.

** United Nations scale of assessment for the period 2010–2012 according to General Assembly resolution 64/248 of 24 December 2009.

Table 5

Staff category and level	Approved			Proposed 4			Remarks
	2009–2011 Staffing total	FAO 2009–2011	UNEP 2009–2011	2012–2013 Staffing total	FAO 2012–2013	UNEP 2012–2013	
A. Professional category							
D-1	0.50	0.25	0.25	0.50	0.25	0.25	note 1, 2
P-5	2.00	1.00	1.00	2.00	1.00	1.00	note 1
P-4	2.50	1.00	1.50	2.50	1.00	1.50	note 2
P-3	7.00	3.00	4.00	7.00	3.00	4.00	note 1
P-2	2.00	1.00	1.00	2.00	1.00	1.00	
Subtotal	14.00	6.25	7.75	14.00	6.25	7.75	
B. General Service category							
GS	7.25	2.50	4.75	5.75	1.25	4.50	note 1, 3
Total (A+B)	21.25	8.75	12.50	19.75	7.50	12.25	

Note 1. FAO includes 0.25 D-1, one P-5, one P-3 and 0.25 General Service posts provided in-kind by FAO.

Note 2. UNEP includes 0.25 D-1 co-financed by the Stockholm and Rotterdam conventions, and 0.50 Administrative Officer funded from programme support costs.

Note 3. UNEP includes four 50 per cent finance/budget, administrative, database and publication assistants funded from programme support costs.

Note 4. The staff costs provided in table 1 are equivalent to 92 per cent of the staff costs required to fill all posts under this indicative staffing table.

Standard salary cost for Geneva and Rome 2012–2013 (in United States dollars)

	Geneva				Rome			
	2010	2011	2012 ¹	2013 ²	2010	2011	2012 ¹	2013 ²
A. Professional category								
D-2 level	268 840	279 594	297 336	309 229	266 373	277 028	283 071	294 394
D-1 level	245 336	255 149	273 416	284 353	252 807	262 920	274 697	285 685
P-5 level	217 255	225 945	244 088	253 852	220 859	229 693	242 249	251 939
P-4 level	187 616	195 121	206 336	214 589	192 217	199 906	205 009	213 209
P-3 level	157 872	164 187	172 432	179 329	156 225	162 474	168 892	175 648
P-2 level	132 080	137 363	143 624	149 369	133 074	138 397	139 901	145 497
B. General Service category								
GS	106 600	110 864	125 216	130 225	110 935	115 372	121 493	126 353

1 The United Nations standard salary costs for Geneva and Rome for the year 2011 (version 10, dated 11 January 2011) were used to calculate the staff costs in 2012 plus 4 per cent.

2 The 2012 costs plus 4 per cent were used to calculate the staff costs in 2013.

Annex II

List of pre-session documents organized by agenda item

Item 2: Adoption of the agenda

UNEP/FAO/RC/COP.5/1/Rev.1 Provisional agenda

Item 3: Organizational matters

(a) Organization of work

UNEP/FAO/RC/COP.5/1/Rev.1/Add.1/Rev.1 Annotations to the provisional agenda

UNEP/FAO/RC/COP.5/2 Scenario note for the fifth meeting of the
Conference of the Parties to the Rotterdam
Convention

UNEP/FAO/RC/COP.5/INF/1 Provisional list of meeting documents
organized by provisional agenda item and by
document number

Item 4: Rules of procedure for the Conference of the Parties

UNEP/FAO/RC/COP.5/3 Rules of procedure for the Conference of the
Parties

Item 5: Matters related to the implementation of the Convention

(a) Status of implementation

UNEP/FAO/RC/COP.5/4 Current regulatory processes for chemicals and
their relationship to the definitions of banned
or severely restricted chemicals in Article 2 of
the Rotterdam Convention

UNEP/FAO/RC/COP.5/5 Status of implementation of the Convention

UNEP/FAO/RC/COP.5/6 Possible approaches for dealing with chemicals
recommended for listing in Annex III by the
Chemical Review Committee but on which the
Conference of the Parties is unable to reach
consensus

UNEP/FAO/RC/COP.5/INF/2 Status of ratification of the Rotterdam
Convention as at 30 May 2011

UNEP/FAO/RC/COP.5/INF/3 Status of designated national authorities and
official contact points

UNEP/FAO/RC/COP.5/INF/7 Communication of the Secretariat

(b) Chemical Review Committee

UNEP/FAO/RC/COP.5/7/Rev.1 Appointments to the Chemical Review
Committee

UNEP/FAO/RC/COP.5/8 Nomination of Governments to designate
experts to the Chemical Review Committee

UNEP/FAO/RC/COP.5/9 Reports of the Chemical Review Committee

UNEP/FAO/RC/COP.5/9/Add.1/Rev.1 Addendum: Report of the Chemical Review
Committee on the work of its fifth meeting

UNEP/FAO/RC/COP.5/9/Add.2/Rev.1 Addendum: Report of the Chemical Review
Committee on the work of its sixth meeting

UNEP/FAO/RC/COP.5/9/Add.3 Addendum: Report of the Chemical Review
Committee on the work of its seventh meeting

UNEP/FAO/RC/COP.5/INF/4/Rev.1	Information pertaining to experts serving on the Chemical Review Committee
UNEP/FAO/RC/COP.5/INF/5	Legal opinion on the application of criterion (d) of Annex II to the Rotterdam Convention
(c) Consideration of chemicals for inclusion in Annex III to the Convention	
UNEP/FAO/RC/COP.5/11	Inclusion of chrysotile asbestos in Annex III to the Rotterdam Convention
UNEP/FAO/RC/COP.5/12	Inclusion of endosulfan in Annex III to the Rotterdam Convention, as recommended by the Chemical Review Committee at its second meeting following notifications of final regulatory action from the Netherlands and Thailand
UNEP/FAO/RC/COP.5/13	Inclusion of endosulfan in Annex III to the Rotterdam Convention, as recommended by the Chemical Review Committee at its sixth meeting following notifications of final regulatory action from Burkina Faso, Cape Verde, the European Community, the Gambia, Guinea-Bissau, Mali, Mauritania, the Niger and Senegal
UNEP/FAO/RC/COP.5/14	Inclusion of alachlor in Annex III to the Rotterdam Convention
UNEP/FAO/RC/COP.5/15	Inclusion of aldicarb in Annex III to the Rotterdam Convention
(d) Non-compliance	
UNEP/FAO/RC/COP.5/16	Non-compliance: procedures and institutional mechanisms for determining non-compliance with the provisions of the Convention and for the treatment of parties found to be in non-compliance
(e) Financial resources	
UNEP/FAO/RC/COP.5/17	Follow-up to decision RC-4/8 on progress made towards the implementation of decision RC-3/5 on possible options for lasting and sustainable financial mechanisms
UNEP/FAO/RC/COP.5/INF/18	Progress report on the implementation of Governing Council decision SS.XI/8 on the consultative process on financing options for chemicals and wastes
(f) Technical assistance	
UNEP/FAO/RC/COP.5/10	Draft strategic plan for strengthening party capacity to provide import responses and notifications of final regulatory action for industrial chemicals
UNEP/FAO/RC/COP.5/18	Technical assistance: report on activities and analysis for the period 2009–2011
UNEP/FAO/RC/COP.5/19	Technical assistance: workplan for the biennium 2012–2013

UNEP/FAO/RC/COP.5/INF/6	National and regional delivery of technical assistance: information on 2009–2010 national, subregional and regional meetings in support of the implementation of the Rotterdam Convention
(g) Trade	
UNEP/FAO/RC/COP.5/21	Cooperation with the World Trade Organization
(h) Information exchange	
UNEP/FAO/RC/COP.5/20	Draft strategic plan for establishing procedures for the operation of the Rotterdam Convention component of the joint clearing-house mechanism
UNEP/FAO/RC/COP.5/INF/8	Information exchange requirements under the Rotterdam Convention and other information relevant to the development of a draft strategic plan for establishing procedures for the operation of the Rotterdam Convention components of the joint clearing-house mechanism

Item 6: Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions

UNEP/FAO/RC/COP.5/25	Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions
UNEP/FAO/RC/COP.5/25/Add.1	Addendum: Joint activities
UNEP/FAO/RC/COP.5/25/Add.2	Addendum: Joint managerial functions
UNEP/FAO/RC/COP.5/25/Add.3	Addendum: Joint services
UNEP/FAO/RC/COP.5/25/Add.4	Addendum: Synchronization of budget cycles
UNEP/FAO/RC/COP.5/25/Add.5	Addendum: Joint audits
UNEP/FAO/RC/COP.5/25/Add.6	Addendum: Review arrangements
UNEP/FAO/RC/COP.5/INF/11	Report on joint activities carried out by the secretariats of the Basel, Rotterdam and Stockholm conventions during 2009 and 2010
UNEP/FAO/RC/COP.5/INF/12	Submissions from parties, regional centres and other stakeholders on activities carried out to implement the synergies decisions
UNEP/FAO/RC/COP.5/INF/13/Rev.1	Information submitted by the Inter-Organization Programme for the Sound Management of Chemicals on efforts to promote programmatic cooperation and coordination and on activities to implement the synergies decisions
UNEP/FAO/RC/COP.5/INF/14	Information submitted by the United Nations Environment Programme and the Food and Agriculture Organization of the United Nations on progress on programmatic cooperation in the field to support the implementation of the three conventions in areas of common concern and the inclusion of such cooperation in their biennial work programmes

UNEP/FAO/RC/COP.5/INF/15	Report on clearing-house mechanisms and similar mechanisms in the area of chemicals and wastes
UNEP/FAO/RC/COP.5/INF/16	Additional information on Safe Planet: the United Nations Campaign for Responsibility on Hazardous Chemicals and Wastes
UNEP/FAO/RC/COP.5/INF/17	Decision SC-5/27 of the Conference of the Parties to the Stockholm Convention on Persistent Organic Pollutants on enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions

Item 7: Programme of work of the Secretariat and adoption of the budget

UNEP/FAO/RC/COP.5/22	Activities of the Secretariat
UNEP/FAO/RC/COP.5/23	Financial report and review of the staffing situation in the Secretariat
UNEP/FAO/RC/COP.5/24	Programme of work and proposed budget for the biennium 2012–2013
UNEP/FAO/RC/COP.5/24/Add.1	Addendum: Budget scenarios
UNEP/FAO/RC/COP.5/INF/9	Update on funding and staffing situation

Item 9: Other matters

UNEP/FAO/RC/COP.5/INF/10/Rev.1	List of new observers
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Annex III

Report of the Bureau on the credentials of representatives to the fifth meeting of the Conference of the Parties

1. In accordance with rule 19 of the rules of procedure of the Conference of the Parties to the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade, the credentials of representatives and the names of alternate representatives and advisers must be submitted to the Secretariat if possible not later than 24 hours after the opening of the meeting. Any later change in the composition of the delegation must also be submitted to the Secretariat. The credentials must be issued either by the Head of State or Government or by the Minister for Foreign Affairs or, in the case of a regional economic integration organization, by the competent authority of that organization.
2. As at the end of 23 June 2011, the representatives of 104 parties to the Convention had registered to participate in the fifth meeting of the Conference of the Parties.
3. The credentials issued by the Head of State or Government or by the Minister for Foreign Affairs were received for the representatives of the following 85 parties participating in the meeting: Argentina, Armenia, Australia, Austria, Belgium, Benin, Bosnia and Herzegovina, Botswana, Brazil, Bulgaria, Burkina Faso, Cameroon, Canada, Chile, China, Colombia, Cuba, Cyprus, Czech Republic, Democratic People's Republic of Korea, Denmark, Dominican Republic, Ecuador, European Union, Finland, France, Gabon, Gambia, Georgia, Germany, Greece, Guatemala, Guinea, Hungary, India, Iran (Islamic Republic of), Ireland, Jamaica, Japan, Jordan, Kazakhstan, Kuwait, Kyrgyzstan, Liechtenstein, Lithuania, Madagascar, Malaysia, Mali, Mexico, Mozambique, Nepal, Netherlands, New Zealand, Nicaragua, Niger, Nigeria, Norway, Oman, Pakistan, Panama, Paraguay, Peru, Poland, Qatar, Republic of Korea, Republic of Moldova, Samoa, Senegal, Serbia, Slovakia, South Africa, Spain, Sri Lanka, Suriname, Sweden, Switzerland, Thailand, Togo, Trinidad and Tobago, Ukraine, United Kingdom of Great Britain and Northern Ireland, United Republic of Tanzania, Uruguay, Viet Nam, Zambia.
4. The credentials issued by the Head of State or Government or by the Minister of Foreign Affairs were received by facsimile or in photocopy for the representatives of the following 12 parties participating in the meeting: Bolivia (Plurinational State of), Burundi, Costa Rica, Ghana, Italy, Kenya, Maldives, Mauritania, Philippines, Romania, Sudan, Venezuela (Bolivarian Republic of). In accordance with the prevailing practices, it is recommended the credentials of these parties are accepted, on the understanding that the originals are submitted as soon as possible to the Secretariat.
5. The following party submitted credentials issued by an authority other than the authorities listed in rule 19 of the rules of procedure: Equatorial Guinea.
6. The following six parties participating in the meeting have not submitted credentials for their respective representatives: Congo, Côte d'Ivoire, Djibouti, Ethiopia, Saudi Arabia, Syrian Arab Republic.
7. The parties listed in paragraphs 5 and 6 are therefore participating in the meeting as observers and will be recorded as such in the report of the meeting and the list of participants.

Annex IV

Chrysotile asbestos

1. The following text was prepared by the contact group on candidate chemicals, on the understanding that the adoption of such a decision would be contingent on the Conference of the Parties agreeing to the listing of chrysotile asbestos in Annex III to the Convention.
2. As the Conference of the Parties did not list chrysotile asbestos in Annex III to the Rotterdam Convention at its fifth meeting, it agreed to annex the draft decision set out below to the present report for possible consideration at a future meeting.

Draft decision RC-[/]: [Follow-up action by the Chemical Review Committee on the listing of chrysotile asbestos in Annex III to the Rotterdam Convention

Submission by the contact group on candidate chemicals

The Conference of the Parties,

Having amended the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade to list chrysotile asbestos in Annex III to the Convention,

Recalling Article 14 of the Convention,

Recognizing that the request for further action by the Chemical Review Committee with regard to chrysotile asbestos and its alternatives is exceptional,

Recognizing also the concerns expressed by a small number of parties regarding the scope of information made available through notifications of final regulatory actions and compiled in the decision guidance documents on chrysotile asbestos,

Noting that some parties have requested information on alternatives to chrysotile asbestos,

Noting also that some parties have requested information on additional protective measures not considered to be bans or severe restrictions but nevertheless intended to limit exposure to and control the risks posed by chrysotile asbestos,

Bearing in mind the capabilities of developing countries to manage risks and implement protective measures,

Acknowledging the potential role of the World Health Organization and other international organizations in contributing relevant information,

1. *Invites* parties and interested stakeholders to provide information to the Secretariat on alternatives to and risk management measures for chrysotile asbestos;
 2. *Requests* the Secretariat to compile and make available to the Chemical Review Committee and other interested stakeholders all information received in response to the invitation in paragraph 1 of the present decision;
 3. *Instructs* the Chemical Review Committee to review the available information and report on the results of its work to the Conference of the Parties at its sixth meeting.]
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