



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

Distr.: General  
8 July 2013

Original: English

**Conference of the Parties to the  
Rotterdam Convention on the Prior  
Informed Consent Procedure for Certain  
Hazardous Chemicals and Pesticides in  
International Trade  
Sixth meeting  
Geneva, 28 April–10 May 2013**

### **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 sixth meeting**

#### **Introduction**

1. The sixth ordinary 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 28 April to 10 May 2013.
2. The meeting was held in coordination with the eleventh ordinary meeting of the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal, the sixth ordinary meeting of the Conference of the Parties to the Stockholm Convention on Persistent Organic Pollutants and the second simultaneous extraordinary meetings of the conferences of the parties to the three conventions.
3. Brief regular sessions of the sixth ordinary meeting of the Conference of the Parties to the Rotterdam Convention took place on the morning and afternoon of 28 April for the purposes of opening the meeting and adopting its agenda, respectively, and full regular sessions were held on 7, 8 and 9 May. In addition, on the afternoon of 28 April and the afternoon of 29 April, full sessions were held simultaneously with sessions of the ordinary meetings of the conferences of the parties to the Basel and Stockholm conventions to address cross-cutting issues of concern to the three conventions. Brief individual and simultaneous sessions were also held from time to time as necessary until the end of all the meetings on 10 May. On the afternoon of 9 May and the morning of 10 May a high-level segment featuring ministerial round-table discussions was held. A report on the high-level segment is set out in annex II to the report of the second simultaneous extraordinary meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions (UNEP/FAO/CHW/RC/POPS/EXCOPS.2/4). The closing session of the meeting, along with the closing sessions of the other ordinary and extraordinary meetings, was held on the evening of 10 May.
4. The separate sessions of the sixth ordinary meeting of the Conference of the Parties to the Rotterdam Convention and the simultaneous sessions of the three ordinary meetings are described in the present report. The separate sessions of the eleventh ordinary meeting of the Conference of the Parties to the Basel Convention, the sixth ordinary meeting of the Conference of the Parties to the Stockholm Convention and the second simultaneous extraordinary meetings of the three conventions are described in the reports of those meetings, which are set out in documents UNEP/CHW.11/24, UNEP/POPS/COP.6/33 and UNEP/FAO/CHW/RC/POPS/EXCOPS.2/4, respectively.

## **I. Opening of the meeting**

5. The sixth ordinary meeting of the Conference of the Parties to the Rotterdam Convention was opened at 10 a.m. on Sunday, 28 April 2013, by Ms. Magdalena Balicka (Poland), President of the Conference of the Parties.

6. Opening remarks were made during the second extraordinary meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions, which began immediately after the opening of the current meeting, and are summarized in the report of those meetings (UNEP/FAO/CHW/RC/POPS/EXCOPS.2/4).

## **II. Adoption of the agenda**

7. The Conference of the Parties adopted the following agenda, on the basis of the provisional agenda contained in document UNEP/FAO/RC/COP.6/1:

1. Opening of the meeting.
2. Adoption of the agenda.
3. Organizational matters:
  - (a) Election of officers;
  - (b) Organization of work;
  - (c) Report on the credentials of representatives at the sixth meeting of the Conference of the Parties.
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.
6. Programme of work of the Secretariat and adoption of the budget.
7. Venue and date of the seventh meeting of the Conference of the Parties.
8. Other matters.
9. Adoption of the report.
10. Closure of the meeting.

### III. Organizational matters

#### A. Attendance

8. The meeting was attended by representatives of the following 137 parties: Albania, Antigua and Barbuda, Argentina, Armenia, Australia, Austria, Bahrain, Belgium, Belize, Benin, Bolivia (Plurinational State of), Bosnia and Herzegovina, Botswana, Brazil, Bulgaria, Burkina Faso, Burundi, Cameroon, Canada, Chile, China, Colombia, Congo, Cook Islands, Costa Rica, Cote d'Ivoire, Croatia, Cuba, Cyprus, Czech Republic, Democratic People's Republic of Korea, Democratic Republic of the Congo, Denmark, Djibouti, Dominican Republic, Ecuador, El Salvador, Eritrea, Estonia, Ethiopia, European Union, Finland, France, Gabon, Georgia, Germany, Ghana, Greece, Guatemala, Guinea, Guinea-Bissau, Guyana, Honduras, Hungary, India, Iran (Islamic Republic of), Ireland, Israel, Italy, Jamaica, Japan, Jordan, Kazakhstan, Kenya, Kuwait, Kyrgyzstan, Lao People's Democratic Republic, Latvia, Lebanon, Lesotho, Liberia, Liechtenstein, Lithuania, Luxembourg, Madagascar, Malawi, Malaysia, Maldives, Mali, Mauritania, Mauritius, Mexico, Mongolia, Montenegro, Morocco, Mozambique, Namibia, Nepal, Netherlands, New Zealand, Nicaragua, Niger, Nigeria, Norway, Oman, Pakistan, Panama, Paraguay, Peru, Philippines, Poland, Qatar, Republic of Korea, Republic of Moldova, Romania, Russian Federation, Saint Kitts and Nevis, Saint Vincent and the Grenadines, Samoa, Saudi Arabia, Senegal, Serbia, Singapore, Slovakia, Slovenia, South Africa, Spain, Sri Lanka, Sudan, Suriname, Swaziland, Sweden, Switzerland, Thailand, The former Yugoslav Republic of Macedonia, Togo, Trinidad and Tobago, Uganda, United Arab Emirates, United Kingdom of Great Britain and Northern Ireland, United Republic of Tanzania, Uruguay, Venezuela (Bolivarian Republic of), Viet Nam, Yemen, Zambia, Zimbabwe.

9. In addition, the meeting was attended by representatives of two States that were not parties to the Convention: the State of Palestine and the United States of America. It was also attended by representatives of eight parties that did not submit valid credentials: Chad, Dominica, Gambia, Libya, Rwanda, Syrian Arab Republic, Tonga, Ukraine.

10. The following United Nations bodies and specialized agencies were represented as observers: Food and Agriculture Organization of the United Nations, Global Environment Facility, International Labour Organization, International Maritime Organization, International Telecommunication Union, Office for the Coordination of Humanitarian Affairs, Office of the United Nations High Commissioner for Human Rights, United Nations Conference on Trade and Development, United Nations Development Programme, United Nations Industrial Development Organization, United Nations Institute for Training and Research, United Nations University, World Bank, World Health Organization, World Intellectual Property Organization, World Trade Organization.

11. The following intergovernmental organizations were represented as observers: League of Arab States, South Centre.

12. A number of non-governmental organizations were represented as observers. The names of those organizations are included in the list of participants (UNEP/FAO/CHW/RC/POPS/EXCOPS.2/INF/26).

#### B. Election of officers

13. In accordance with paragraph 2 of rule 22 of the rules of procedure of the Conference of the Parties, the Bureau that served during the current meeting was elected at the fifth meeting of the Conference and commenced its term at the close of that meeting. That Bureau was thus constituted as follows:

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

Mr. Vayas-Valdivieso served also as Rapporteur.

14. According to rule 22 of the rules of procedure, at each ordinary meeting of the Conference of the Parties the election of officers from among the parties to serve as the new Bureau 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.

15. Following consultations by the United Nations regional groups, the Conference of the Parties elected the following members of the new Bureau, whose terms would commence upon the closure of the current meeting and terminate upon the closure of the next ordinary meeting of the Conference of the Parties:

President:	Mr. Mohammed Khashashneh (Jordan)
Vice-Presidents:	Mr. Mario Vega (Costa Rica)
	Ms. Ekaterine Imerlishvili (Georgia)
	Ms. Marie Pierre Meganck (France)
	Mr. David Kapindula (Zambia)

Ms. Meganck would also serve as Rapporteur.

### **C. Organization of work**

16. The Conference of the Parties agreed to conduct its work during the current meeting in accordance with the agreement of the parties to the Basel, Rotterdam and Stockholm conventions reached during the first session of the second simultaneous extraordinary meetings of the conferences of the parties to the three conventions, as described in the report of those meetings (UNEP/FAO/CHW/RC/POPS/EXCOPS.2/4).

17. In carrying out its work, the Conference of the Parties had before it working and information documents pertaining to the various items on the meeting agenda. A list of those documents, arranged according to the agenda items to which they pertain, is set out in annex II to the present report.

### **D. Report on the credentials of representatives at the sixth meeting of the Conference of the Parties**

18. 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 of the parties present at the current meeting and submit a report to the Conference of the Parties.

19. Subsequently, the President reported that, following its examination of credentials received, the Bureau had decided that those parties that had submitted copies of credentials or had not submitted credentials would have until noon on 9 May to submit original credentials, failing which they would from that point be treated as observers for purposes of the current meeting.

20. On the basis of the above, on the afternoon of Thursday, 9 May, the Bureau reported that it had examined the credentials of 144 parties that had registered for the meeting. Of those, the credentials of 131 had been found to be in order, and 13 parties whose representatives lacked acceptable credentials had been identified. Those 13 parties were therefore deemed to be participating as observers in the meeting of the Conference of the Parties and would be recorded as such in the report of the meeting and the list of participants. The Bureau, however, recommended that parties submitting original credentials to the Secretariat by noon on Thursday, 16 May 2013, be listed as parties in the final report of the meeting and in the final list of participants.

21. Following a discussion, the Conference of the Parties agreed with the Bureau's report.

## **IV. Rules of procedure for the Conference of the Parties**

22. Introducing the item, the representative of the Secretariat recalled that at its first meeting the Conference of the Parties had 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, fourth and fifth meetings, but no decision had been adopted and the sentence had remained enclosed in square brackets.

23. The Conference of the Parties agreed that it would again forgo adopting a 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**

24. The President indicated that the item on status of implementation would be considered in three parts: general issues related to implementation of the Convention; proposals to increase the number of notifications of final regulatory action and guidance to assist parties in their preparation; and issues relevant specifically to exchanging information on exports and export notifications.

#### **1. General issues**

25. Introducing the section on general issues, the representative of the Secretariat said that document UNEP/FAO/RC/COP.6/4 presented information on the implementation of the Convention as at 31 October 2012, highlighting progress made since the fifth meeting of the Conference of the Parties. The document contained information on the number of parties to the Convention; official contact points and designated national authorities; notifications of final regulatory action; proposals for the inclusion of severely hazardous pesticide formulations; obligations in relation to the import of chemicals listed in Annex III to the Convention; obligations in relation to the export of chemicals; and information exchange.

26. One representative, speaking on behalf of a group of countries, expressed disappointment at the low number of notifications of final regulatory action – 45 from 16 parties – submitted during the reporting period. He also encouraged developing countries and countries with economies in transition to propose the listing of severely hazardous pesticide formulations in accordance with Article 6 of the Convention. In addition, he highlighted the importance of the submission of import responses for protection from unwanted imports of dangerous chemicals, given that Article 11 of the Convention only offered protection for one year in the absence of such responses. Finally, he said that up-to-date contact details for designated national authorities were vital to the exchange of information between parties and expressed concern that the rate of confirmations of receipt in response to export notifications in accordance with Article 12 of the Convention was very low.

27. The Conference of the Parties adopted the decision on implementation of the Rotterdam Convention set out in document UNEP/FAO/RC/COP.6/4, as orally amended, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

28. Decision RC-6/1, on implementation of the Rotterdam Convention, as adopted by the Conference of the Parties, is set out in annex I to the present report.

#### **2. Proposals to increase the number of notifications of final regulatory action and guidance to assist parties in their preparation**

29. Introducing the matter, the representative of the Secretariat recalled that by decision RC-5/2 the Conference of the Parties had requested the Secretariat to propose ways and means of increasing the number of notifications of final regulatory action to ban or severely restrict pesticides and industrial chemicals submitted by parties under Article 5 of the Convention. Decision RC-5/2 had also requested the Secretariat to prepare guidelines to assist parties in preparing notifications of final regulatory action. Those guidelines had been submitted to the Chemical Review Committee at its eighth meeting, in March 2012, and revisions (including a change of terminology from “guidelines” to “guidance”) had been made based on comments received from members of the Committee. The proposals and guidance were contained in annexes to document UNEP/FAO/RC/COP.6/16.

30. In the ensuing discussion, one representative, speaking on behalf of a group of countries, welcomed the proposals and guidance, saying that they would assist parties in preparing notifications of final regulatory action. Another representative said that notifications of final regulatory action were a key element of the Rotterdam Convention and that the proposals and guidance would be of particular importance in assisting developing countries to fulfil their obligations.

31. The Conference of the Parties took note of the activities of the Secretariat with regard to notifications of final regulatory action, as described in document UNEP/FAO/RC/COP.6/16, as well as the guidance to assist parties in preparing notifications of final regulatory action set out in annex II to that document. In addition, the Conference of the Parties requested the Secretariat to implement the proposals to increase the number of notifications of final regulatory action listed in annex I to document UNEP/FAO/RC/COP.6/16.

### 3. Exchange of information on exports and export notifications

32. The representative of the Secretariat recalled that, by decision RC-5/2, the Conference of the Parties had noted a need for further information on exports under paragraph 2 of Article 11 of the Convention and export notifications submitted pursuant to Article 12 of the Convention. That decision had also requested the Secretariat to consider ways of meeting the need for such information and to report on the matter at the current meeting. Document UNEP/FAO/RC/COP.6/5 contained the Secretariat's proposals on ways of exchanging information on exports and export notifications and a draft decision on the matter.

33. In the ensuing discussion, one representative, speaking on behalf of a group of countries, said that the proposals of the Secretariat constituted an appropriate way of providing the required information on exports and export notifications and recommended that the proposed questionnaire be kept as simple and concise as possible to avoid discouraging parties from completing it.

34. The Conference of the Parties adopted the decision on ways of exchanging information on exports and export notifications set out in document UNEP/FAO/RC/COP.6/5, as orally amended, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

35. Decision RC-6/2, on exchanging information on exports and export notifications, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## B. Chemical Review Committee

36. Introducing the item, the representative of the Secretariat said that the Chemical Review Committee had held its eighth meeting in Geneva from 19 to 23 March 2012. Matters concerning the Committee that required action by the Conference of the Parties included membership and election of the Chair of the Committee; effective participation of members; translation of tabular summaries of contents; and cooperation and coordination with other scientific bodies. Document UNEP/FAO/RC/COP.6/6 contained information on those matters and also set out a draft decision on issues related to the Chemical Review Committee.

37. The Chair of the Chemical Review Committee, Ms. Hala Al-Easa, presented a report on the technical work of the Committee, noting that the Committee had decided to recommend to the Conference of the Parties that it consider listing six chemicals, including one severely hazardous pesticide formulation, in Annex III to the Convention. Chemicals scheduled for review by the Committee at its ninth meeting included cyhexatin, lead arsenate, lead carbonate, methamidophos, pentachlorobenzene and fenthion 640 ULV. She also introduced a paper on possible cooperation between the Chemical Review Committee and the Persistent Organic Pollutants Review Committee of the Stockholm Convention (UNEP/FAO/CHW/RC/POPS/EXCOPS.2/INF/17).

38. In the ensuing discussion, one representative expressed support for the proposal to hold back-to-back meetings of the Chemical Review Committee and the Persistent Organic Pollutants Review Committee and said that measures were needed to promote synergies at the technical level. In addition, the Secretariat should carry out an evaluation of the experience gained in holding the meetings back to back and report on the matter to the Conference of the Parties at its next meeting.

39. The Conference of the Parties adopted the decision on the Chemical Review Committee set out in document UNEP/FAO/RC/COP.6/6, as orally amended, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

40. Decision RC-6/3, on operation of the Chemical Review Committee, as adopted by the Conference of the Parties, is set out in annex I to the present report.

41. In accordance with decision RC-6/3, the following experts were nominated as members of the Chemical Review Committee, with terms to run from 1 May 2014 to 30 April 2018, by the parties listed in the annex to that decision:

From the African Group:

Mr. Peter Ayuk Enoh (Cameroon); Mr. Mohammed Ali Mohammed (Ethiopia); Ms. Amal Lemsoui (Morocco); Mr. N'Ladon Nadjo (Togo)

From the Asian and Pacific group:

Ms. Jinye Sun (China); Mr. Mohammed Fauzan Yunus (Malaysia); Ms. Khalida Bashir (Pakistan); Dr. Nuansri Tayaputch (Thailand)

- From the Central and Eastern European group: Ms. Magdalena Balicka (Poland); Ms. Tatiana Tugui (Republic of Moldova)
- From the Latin American and Caribbean group: *[To be determined]*
- From the Western European and others group: Mr. Jack Holland (Australia); Ms. Hang Tang (Canada); Ms. Leonarda Christina van Leeuwen (Netherlands); Mr. Juergen Helbig (Spain)

The Latin American and Caribbean group agreed that Antigua and Barbuda, the Dominican Republic and Honduras would nominate experts to serve as members of the Committee from the Latin American and Caribbean region. By the close of the current meeting, however, the three parties had not yet nominated those experts. The Conference of the Parties accordingly agreed that the nominations would be communicated to the Secretariat and thence to the parties following the close of the current meeting.

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

42. Under the item the Conference of the Parties considered whether to list five chemicals and one severely hazardous pesticide formulation in Annex III to the Convention. Initiating the discussion, the President suggested that the Conference of the Parties might first wish to verify whether the requirements of Articles 5 and 7 of the Convention had been met in respect of each of the five chemicals, whether the requirements of Articles 6 and 7 of the Convention had been met in respect of the severely hazardous pesticide formulation, and whether the procedures for the development of decision guidance documents set out in decision RC-2/2 had been followed.

43. The requirements of Articles 5 and 7 in respect of the five chemicals were that the Chemical Review Committee had considered at least one notification from each of two prior informed consent regions; that the Committee had found that the notifications met the criteria in Annex II to the Convention and had accordingly recommended that the chemicals should be made subject to the prior informed consent procedure and included in Annex III; that the Committee had prepared a draft decision guidance document; and that the recommendation of the Committee for inclusion, together with the draft decision guidance document, had been made available to the Conference of the Parties in due time.

44. The requirements of Articles 6 and 7 in respect of the severely hazardous pesticide formulation were that the Chemical Review Committee had reviewed a proposal submitted by a developing country or a country with an economy in transition for the listing of a severely hazardous pesticide formulation; that the Committee had found that the proposal met the criteria in part 3 of Annex IV to the Convention and had accordingly recommended that the pesticide formulation should be made subject to the prior informed consent procedure and included in Annex III; that the Committee had prepared a draft decision guidance document; and that the recommendation for inclusion of the pesticide formulation, together with the draft decision guidance document, had been made available to the Conference of the Parties for its consideration in due time.

### 1. Azinphos-methyl

45. The representative of the Secretariat introduced the relevant documentation, noting that azinphos-methyl had been recommended for listing in Annex III to the Convention based on one notification of final regulatory action from Canada and one from Norway. The Chemical Review Committee, at its seventh meeting, had finalized a draft decision guidance document on azinphos-methyl 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.

46. The Conference of the Parties agreed that the procedure for reviewing the notifications of final regulatory action for azinphos-methyl had been followed and that azinphos-methyl 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 azinphos-methyl was in accordance with that set out in decision RC-2/2. The Conference of the Parties therefore adopted a decision approving the draft decision guidance document and listing the substance in Annex III to the Convention, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement the decision or that it would have no budgetary implications.

47. Decision RC-6/4, on the listing of azinphos-methyl in Annex III to the Rotterdam Convention, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## 2. Pentabromodiphenyl ether and pentabromodiphenyl ether commercial mixtures

48. The representative of the Secretariat introduced the relevant documentation, noting that pentabromodiphenyl ether and pentabromodiphenyl ether commercial mixtures had been recommended for listing in Annex III to the Convention based on notifications of final regulatory action from Canada, the European Community and Norway. The Chemical Review Committee, at its eighth meeting, had finalized a draft decision guidance document on pentabromodiphenyl ether and pentabromodiphenyl ether commercial mixtures and had decided to forward it together with a recommendation for the inclusion of the chemicals in Annex III to the Conference of the Parties for consideration at the current meeting.

49. The Conference of the Parties agreed that the procedure for reviewing the notifications of final regulatory action for pentabromodiphenyl ether and pentabromodiphenyl ether commercial mixtures had been followed and that pentabromodiphenyl ether and pentabromodiphenyl ether commercial mixtures 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 pentabromodiphenyl ether and pentabromodiphenyl ether commercial mixtures was in accordance with that set out in decision RC-2/2.

50. The Conference of the Parties therefore agreed that pentabromodiphenyl ether and pentabromodiphenyl ether commercial mixtures should be listed in Annex III to the Convention. Concerns were expressed, however, regarding how the chemicals should be referred to in the listing. As the Conference of the Parties had never before listed mixtures in Annex III it was agreed that care should be taken in doing so in the case of pentabromodiphenyl ether and pentabromodiphenyl ether commercial mixtures.

51. The Conference of the Parties established a contact group, chaired by Ms. Hala Al-Easa (Qatar) and Mr. Bjorn Hanssen (European Union), to consider further the listing of pentabromodiphenyl ether and pentabromodiphenyl ether commercial mixtures in Annex III. The group was to consider a general approach to the listing of mixtures as well as how to refer to pentabromodiphenyl ether commercial mixtures in particular.

52. Subsequently, the Conference of the Parties considered a conference room paper prepared by the contact group setting out a revised version of the draft decision set out in document UNEP/FAO/RC/COP.6/8, which contained an amended table showing the listing to appear in Annex III to the Convention.

53. The Conference of the Parties adopted the draft decision, thereby approving the draft decision guidance document and listing commercial pentabromodiphenyl ether (including tetrabromodiphenyl ether and pentabromodiphenyl ether when present in the commercial product) in Annex III to the Convention, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement the decision or that it would have no budgetary implications.

54. Decision RC-6/5, on the listing of commercial pentabromodiphenyl ether in Annex III to the Rotterdam Convention, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## 3. Octabromodiphenyl ether commercial mixtures

55. The representative of the Secretariat introduced the relevant documentation, noting that octabromodiphenyl ether commercial mixtures had been recommended for listing in Annex III to the Convention based on notifications of final regulatory action from Canada, the European Community and Norway. The Chemical Review Committee, at its eighth meeting, had finalized a draft decision guidance document on octabromodiphenyl ether commercial mixtures and had decided to forward it together with a recommendation for the inclusion of those mixtures in Annex III to the Conference of the Parties for consideration at the current meeting.

56. The Conference of the Parties agreed that the procedure for reviewing the notifications of final regulatory action for octabromodiphenyl ether commercial mixtures had been followed and that octabromodiphenyl ether commercial mixtures 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 octabromodiphenyl ether commercial mixtures was in accordance with that set out in decision RC-2/2.

57. The Conference of the Parties therefore agreed that octabromodiphenyl ether commercial mixtures should be listed in Annex III to the Convention. As was the case with pentabromodiphenyl



ether and pentabromodiphenyl ether commercial mixtures, however, concerns were expressed regarding how the substances should be referred to in the listing.

58. In that context, a number of representatives suggested that, since the listing for octabromodiphenyl ether would include mixtures, it should also include some means by which countries could identify products containing the chemicals in question, including in mixtures. One of those representatives suggested that the chemicals to be covered could be named in the safety data sheets supplied by exporters under Article 13 of the Convention, which his country used extensively. One representative, speaking on behalf of a group of countries, said that implementing the Convention in respect of mixtures would pose a challenge to developing countries and that they would therefore require related capacity-building.

59. The Conference of the Parties agreed that the contact group established to consider pentabromodiphenyl ether and pentabromodiphenyl ether commercial mixtures would also discuss octabromodiphenyl ether commercial mixtures. The group was to consider a general approach to the listing of mixtures, as well as how to refer to octabromodiphenyl ether commercial mixtures in particular. The group would also discuss the issues raised concerning products that might contain octabromodiphenyl ether.

60. Subsequently, the Conference of the Parties considered a conference room paper prepared by the group setting out a revised version of the draft decision set out in document UNEP/FAO/RC/COP.6/9, which contained an amended table showing the listing to appear in Annex III to the Convention.

61. The Conference of the Parties adopted the draft decision, thereby approving the draft decision guidance document and listing commercial octabromodiphenyl ether (including hexabromodiphenyl ether and heptabromodiphenyl ether when present in the commercial product) in Annex III to the Convention, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

62. Decision RC-6/6, on the listing of commercial octabromodiphenyl ether in Annex III to the Rotterdam Convention, as adopted by the Conference of the Parties, is set out in annex I to the present report.

#### 4. **Perfluorooctane sulfonic acid, perfluorooctanesulfonates, perfluorooctanesulfonamides and perfluorooctanesulfonyls**

63. The representative of the Secretariat introduced the relevant documentation, noting that perfluorooctane sulfonic acid (PFOS), perfluorooctanesulfonates, perfluorooctanesulfonamides and perfluorooctanesulfonyls had been recommended for listing in Annex III to the Convention based on notifications of final regulatory action from Canada, the European Community and Japan. The Chemical Review Committee, at its eighth meeting, had finalized a draft decision guidance document on PFOS, perfluorooctanesulfonates, perfluorooctanesulfonamides and perfluorooctanesulfonyls and had decided to forward it together with a recommendation for the inclusion of those chemicals in Annex III to the Conference of the Parties for consideration at the current meeting.

64. Many representatives, including one speaking on behalf of a group of countries, expressed support for the draft decision guidance document and for including PFOS, perfluorooctanesulfonates, perfluorooctanesulfonamides and perfluorooctanesulfonyls in Annex III to the Convention. Several representatives said that the procedure for reviewing the notifications of final regulatory actions had been followed and that PFOS, its salts and its precursors met the requirements of Articles 5 and 7 of the Convention, including the criteria set out in Annex II. One representative, however, said that his Government was not yet in a position to support the inclusion of PFOS-related substances in Annex III because they were still widely used in his country.

65. Several other representatives who supported listing the substances made suggestions relating to the listing and to the movement of the chemicals: one representative said that the listing should include the Chemical Abstract Service (CAS) identification numbers of chemicals encompassed by the listing, while a number of representatives said that efforts were needed to require labelling for products containing chemicals listed in Annex III to the Convention that clearly revealed the concentrations of those chemicals.

66. Subsequently the Conference of the Parties considered a revised version of the draft decision set out in document UNEP/FAO/RC/COP.6/10, to which the CAS numbers of the chemicals to be included in the listing had been added. The Conference of the Parties adopted the draft decision, as orally amended and subject to confirmation from the contact group on synergies and budget matters

that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

67. Decision RC-6/7, on the listing of PFOS, perfluorooctane sulfonates, perfluorooctane sulfonamides and perfluorooctane sulfonyls in Annex III to the Rotterdam Convention, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## 5. Chrysotile asbestos

68. The representative of the Secretariat drew attention to the relevant documentation, recalling that the Conference of the Parties had deliberated on the inclusion of chrysotile asbestos in Annex III to the Convention at its third, fourth and fifth meetings and had agreed that the procedures set out in Articles 5 and 7 of the Convention had been met. The President recalled that in spite of that agreement the parties had not been able to reach agreement on whether to list chrysotile asbestos in Annex III and said that the task at the current meeting was to try once again to see if consensus could be achieved.

69. In the ensuing discussion many representatives expressed support for listing chrysotile asbestos in Annex III, arguing that the Chemical Review Committee had confirmed that the procedure for listing had been followed and that the criteria for listing had been met. Several other representatives, however, maintained their countries' opposition, saying that there was no clear scientific proof of the toxicity of chrysotile asbestos to human health and suggesting that the Committee had not fully followed the requisite procedures.

70. Several representatives referred to their national situations concerning chrysotile asbestos. Several, including one speaking on behalf of a group of countries, emphasized that listing the chemical in Annex III would not constitute a ban on its use; parties that considered it safe to do so could still use the chemical, but the exchange of information required for chemicals listed in Annex III would enable them to use the chemical in a more informed manner with information received from exporting countries. Another representative suggested that a programme of work be developed to address the concerns of some parties.

71. Other representatives, also referring to their national situations, said that chrysotile asbestos continued to be used domestically, for example in the production of roofing for low-income housing, contributed to employment in that sector and had not yielded any proof of harmful effects. One representative said that although listing the chemical in Annex III was not a ban it would nevertheless have a negative impact on trade. Another representative said that consensus on the matter would be difficult to reach and that any decision on listing should be postponed to a later date. Expressing support for that view, several others said they could not support listing the chemical absent further evidence of its harmfulness.

72. One representative said that there were insufficient scientific data to convincingly support the listing of chrysotile asbestos in Annex III. Supported by other representatives, he said that the alternatives to the substance had not been sufficiently examined to determine their safety and that they might present a risk equal to or greater than that posed by chrysotile asbestos itself.

73. One representative, speaking on behalf of a group of countries, said that his country, and perhaps others in its position, would need technical assistance to move away from reliance on chrysotile asbestos.

74. The representative of the World Health Organization (WHO) reported that the International Agency for Research on Cancer (IARC) had concluded that all forms of asbestos, including chrysotile, were carcinogenic to humans, the latest information having been published in 2012. She said that owing to the widespread use of chrysotile in building materials and other asbestos products it was not possible to prevent the exposure of workers and the general public. Furthermore, the chemical could not be used safely owing to the way in which products containing it were produced and handled and degraded in situ, as well as the challenges that they presented in decommissioning and subsequent waste management. She added that WHO and IARC had conducted an evaluation of fibrous chrysotile asbestos substitutes and had concluded that safer alternatives were available.

75. In the light of the varying views expressed, the President requested the contact group established to consider the listing of other chemicals in Annex III to discuss as well a possible way forward for the listing of chrysotile asbestos, taking the draft decision set out in Annex IV to the report of the Conference of the Parties on its fifth meeting (UNEP/FAO/RC/COP.5/26) as a possible starting point.

76. During a subsequent session, the co-chair of the contact group reported that the group had been unable to agree on whether to list chrysotile asbestos in Annex III to the Convention. At the invitation

of the President the representatives of some parties opposing the listing of chrysotile asbestos reiterated the arguments against listing outlined above.

77. One representative, asking that his statement be reflected in the present report, then restated his country's reasons in favour of listing, saying that the costs of listing the substance were negligible, while the failure to list would deprive developing countries of the ability to manage the risks posed by the import of a substance that had been banned in 30 countries of the Organization for Economic Cooperation and Development; the arguments of those opposing listing, while relevant to each country's determination of how it should manage chrysotile, were simply not relevant to the question of whether to list it in Annex III given that no one disputed that the criteria for listing set out in the Convention had been satisfied. His country, he said, was paying, and would pay for generations to come, the price for its past use of asbestos, and the price was paid not just in economic terms but in immense human misery as well. He urged all parties to conclude that because the criteria for listing set out in the Convention had been satisfied the substance must be listed.

78. Many other representatives, including one speaking on behalf of a group of countries, then took the floor to express support for the statement of the first. At the invitation of the President and in view of the lack of time for all to speak, most other representatives then raised their flags as a show of support for the statement.

79. The Conference of the Parties decided, given the lack of consensus, to include further consideration of the listing of chrysotile asbestos in Annex III of the Convention on the agenda of its seventh ordinary meeting.

**6. Liquid formulations (emulsifiable concentrate and soluble concentrate) containing paraquat dichloride at or above 276 g/L, corresponding to paraquat ion at or above 200 g/L**

80. The representative of the Secretariat introduced the relevant documentation, noting that liquid formulations containing paraquat dichloride at or above 276 g/L, corresponding to paraquat ion at or above 200 g/L, had been recommended for listing in Annex III based on a proposal from Burkina Faso to list Gramoxone Super in Annex III to the Convention as a severely hazardous pesticide formulation. The Chemical Review Committee, at its eighth meeting, had finalized a draft decision guidance document and had decided to forward it together with a recommendation for the inclusion of liquid formulations containing paraquat dichloride at or above 276 g/L, corresponding to paraquat ion at or above 200 g/L, in Annex III to the Conference of the Parties for consideration at the current meeting.

81. Many representatives, including some speaking on behalf of groups of countries, expressed support for the inclusion of liquid formulations containing paraquat dichloride at or above 276 g/L, corresponding to paraquat ion at or above 200 g/L, in Annex III to the Convention. Several representatives, however, expressed concern or opposition, saying that paraquat dichloride continued to be used in their countries in important agricultural sectors.

82. Many of those supporting inclusion said that the requirements set out in the Convention had been met and the procedures for listing complied with at each stage of the process. Many expressed appreciation to the Government of Burkina Faso for its proposal. The proposal, the work of the Chemical Review Committee and inclusion of the formulations in Annex III would provide information and otherwise help parties to identify imports and uses of products containing paraquat dichloride and thus to make informed decisions about possible regulatory actions.

83. Several representatives, including one speaking on behalf of a group of countries, noted that the listing of a chemical in Annex III resulted in the application of the prior informed consent procedure under the Convention and did not imply that countries should impose restrictions on the substance. In that regard, several representatives that supported the inclusion in Annex III noted that their countries allowed the import or use of certain products containing paraquat dichloride.

84. Many representatives outlined the impacts on human health and the environment of paraquat dichloride, as well as its various uses, and reported on steps taken in their countries to regulate its import and use. One said that there was a need for focused technical assistance at the regional, national and local levels to assist farmers to understand the risks, to reduce the use of herbicides, to use what they continued to apply in an environmentally sound manner and to gain access to effective substitute practices and products. Another said that the threshold identified in the draft decision, which exempted formulations in lower concentrations, could constitute a loophole that threatened human health and the environment.

85. The Conference of the Parties agreed to ask the contact group established to consider the listing of other chemicals to discuss also a possible way forward for listing liquid formulations containing paraquat dichloride at or above 276 g/L, corresponding to paraquat ion at or above 200 g/L,

in Annex III to the Convention, along with the issues raised during the discussion of the chemical in plenary, including concentration levels.

86. During a subsequent session, the co-chair of the contact group reported that the group had been unable to agree on whether to list liquid formulations (emulsifiable concentrate and soluble concentrate) containing paraquat dichloride at or above 276 g/L, corresponding to paraquat ion at or above 200 g/L, in Annex III to the Convention. He said that those delegations that opposed the listing of the formulations had expressed concern regarding the scientific basis for listing, the availability of cost-effective alternatives, and the potential impact on trade that might result from including the formulations in Annex III. It was acknowledged by those opposing listing that such concerns were not normally taken into account in the process of reviewing chemicals and deciding whether to list them in Annex III. In the light of its lack of consensus on listing, the contact group had agreed to establish a drafting group to prepare a draft decision that would defer decision-making on the issue to the seventh meeting of the Conference of the Parties. Introducing that draft decision at a subsequent session, the contact group co-chair said that it confirmed that the criteria for listing in Annex III had been met, that the Conference of the Parties had nevertheless failed to reach consensus and that the matter should be placed on the agenda for the seventh ordinary meeting of the Conference of the Parties.

87. The Conference of the Parties adopted the draft decision prepared by the drafting group, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

88. Decision RC-6/8, on the consideration of liquid formulations (emulsifiable concentrate and soluble concentrate) containing paraquat dichloride at or above 276 g/L, corresponding to paraquat ion at or above 200 g/L, for listing in Annex III to the Rotterdam Convention, as adopted by the Conference of the Parties, is set out in annex I to the present report.

89. Following the adoption of the decision, two representatives, speaking on behalf of groups of countries, expressed disappointment, saying that a small number of parties had blocked the listing of the substance, thereby preventing others from benefiting from the prior informed consent procedure. They also expressed the hope that the progress made on the matter at the current meeting would enable the Conference to agree on the listing at its seventh meeting.

## **D. Non-compliance**

90. The discussion summarized in the present section, on non-compliance (agenda item 5 (d)), took place during simultaneous sessions of the eleventh ordinary meeting of the Conference of the Parties to the Basel Convention, the sixth ordinary meeting of the Conference of the Parties to the Rotterdam Convention and the sixth ordinary meeting of the Conference of the Parties to the Stockholm Convention. Paragraphs 91–115 below are replicated in the report of the Conference of the Parties to the Basel Convention on the work of its eleventh meeting (UNEP/CHW.11/24), paragraphs 100–124, and in the report of the Conference of the Parties to the Stockholm Convention (UNEP/POPS/COP.6/33), paragraphs 199–223.

91. Introducing the item, the President said that the aim of the parties with regard to the present item was to exchange information on progress in respect of the establishment and functioning of compliance mechanisms under the Basel, Rotterdam and Stockholm conventions, thus contributing to synergies among the three conventions. The discussion would be in four parts: issues for decision by the parties to the Basel Convention regarding the Committee Administering the Mechanism for Promoting Implementation and Compliance with the Basel Convention (Implementation and Compliance Committee); lessons learned from the experience of the Implementation and Compliance Committee; compliance under the Rotterdam Convention; and compliance under the Stockholm Convention.

### **1. Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention**

92. Introducing the sub-item, the representative of the Secretariat said that the main issues under consideration were the report of the Implementation and Compliance Committee, including a draft decision set out in the note by the Secretariat on the item (UNEP/CHW.11/10), and the election of five new members of the Committee. The report of the Committee was supported by draft terms of reference for cooperative arrangements on preventing and combating illegal traffic (UNEP/CHW.11/10/Add.1), as well as two information documents setting out three guidance documents under the Convention, namely, draft guidance on the take-back provision, a preliminary draft guide on the development of inventories and a draft revised guide to the control system (UNEP/CHW.11/INF/18); and the classification of compliance performance on national reporting and comments received thereon (UNEP/CHW.11/INF/14).

93. Ms. Anne Daniel (Canada), as a member of the Implementation and Compliance Committee and on behalf of Ms. Jimena Nieto (Colombia), Chair of the Committee, presented an oral report on the work of the Committee during the previous biennium. On the mode of operation of the Committee, she said that considerable efforts had been made to improve the efficiency and transparency of the Committee's activities through intersessional work and by making documentation and reporting more widely available. The Committee had last met in November 2012, when it had considered nine specific submissions by parties. The Committee had also made progress on a number of key initiatives, including terms of reference for cooperative arrangements on illegal traffic and guidance documents on the take-back provision, the development of inventories and the control system. Given the increased workload of the Committee, she welcomed proposals to extend the length of its meetings to three days or to hold an additional meeting during each biennium. With regard to the Committee's specific submissions mandate, the focus of the work of the Committee was on identification of the causes of non-compliance and the provision of assistance to help parties to return to compliance. With regard to the review of general issues of implementation and compliance, she noted that no party had reported fully and on time for the years 2009 and 2010, and she suggested that the Conference of the Parties might undertake further work on the issue of national reporting. In conclusion, she recalled that at its tenth meeting the Conference of the Parties to the Basel Convention had invited the conferences of the parties to the Rotterdam and Stockholm conventions to take note of the Implementation and Compliance Committee's legal framework programme and consider opportunities for cooperation.

94. During the ensuing discussion, several representatives welcomed the report on the work of the Implementation and Compliance Committee and the progress that had been made in improving the efficiency of its operations. There was general support for the facilitative and supportive approach adopted by the Implementation and Compliance Committee in dealing with cases of non-compliance. One representative said that the increased workload of the Committee warranted giving it more time to work.

95. One representative, speaking on behalf of a group of countries, expressed concern that national reporting targets had not been met and urged the Secretariat to provide further assistance with reporting systems and inventories. Another representative said that a lack of resources was preventing many countries from meeting their national reporting obligations and that financial support was therefore of great importance.

96. A number of representatives expressed support for extending the Secretariat trigger. One representative, speaking on behalf of a group of countries, said that the implementation fund did not follow the usual governance arrangements for voluntary funds, which discouraged contributions. Referring to the consultative process on financing options for chemicals and wastes, she also said that the fund increased fragmentation. Another representative said that financial accountability was key and that the respective responsibilities of the Committee and the Executive Secretary should be clarified.

97. Several representatives highlighted the issue of illegal traffic as one of particular importance to their countries and regions. One representative, speaking on behalf of a group of countries, highlighted the numerous difficulties that developing countries in particular faced when dealing with illegal trade in hazardous and other wastes and suggested a number of actions that would help in that regard, including information sharing, knowledge and technology transfer, strengthening of monitoring mechanisms and training. Another representative said that greater efforts should be made to identify and deal with those engaged in illegal traffic.

## **2. Lessons learned from the Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention**

98. Introducing the sub-item, the representative of the Secretariat noted that the Implementation and Compliance Committee had a dual mandate: first, to consider specific submissions in instances where parties were faced with non-compliance; and, second, to review general issues of implementation and compliance pertaining, for instance, to national reporting, illegal traffic and other relevant matters. Aspects of the compliance mechanism under the Basel Convention that might be of interest to other similar instruments included the facilitative nature of the mechanism; its triggers; the availability to parties of financial resources from the implementation fund; and the value of the general review mandate in building the Committee's understanding of difficulties that parties might face, which facilitated the prevention of non-compliance.

99. In the ensuing discussion, several parties highlighted lessons that could be learned from the long experience of the Implementation and Compliance Committee. One representative, speaking on behalf of a group of countries, expressed support for the facilitative approach of the Committee, welcomed the elaboration of voluntary compliance action plans and the work on national reports and

said that there was scope for further mutually supportive work. Several representatives said that any compliance regime under the other conventions should be supportive and not punitive. In that regard, one representative said that a self-trigger was preferable to any other.

100. Several representatives said that the lessons from the Implementation and Compliance Committee were more applicable to the Rotterdam Convention than to the Stockholm Convention, given that the latter was concerned with the control of chemicals, including through the provision of financial resources through the financial mechanism, while the obligations under the Basel and Rotterdam conventions were more of a procedural nature. Several representatives said that further work was needed to develop the financial mechanisms under the Stockholm Convention before turning attention to the compliance mechanism. One representative said that positive decisions by the Conference of the Parties to the Stockholm Convention on such matters as technology transfer and financial assistance would help lay the foundation for the establishment of a compliance mechanism. Another representative, speaking on behalf of a group of parties, said that decisions pertaining to financial support should be distinguished from decisions pertaining to non-compliance.

### **3. Compliance under the Rotterdam Convention**

101. The representative of the Secretariat, in her introduction, recalled that the Conference of the Parties to the Rotterdam Convention, at its fifth meeting, had decided that, at its sixth meeting, it should continue its consideration of procedures and institutional mechanisms on non-compliance required under Article 17 of the Convention, based on the draft text contained in the annex to decision RC-5/8 (UNEP/FAO/RC/COP.6/13). Should such procedures and mechanisms be adopted and a compliance committee established, the Conference would need to elect the members of the committee.

102. In the ensuing discussion, all representatives who spoke said that it was necessary to establish an effective compliance mechanism under the Rotterdam Convention as a matter of priority at the current meeting. One representative, speaking on behalf of a group of parties, drew attention to the fact that efforts at previous meetings had failed owing to entrenched positions on just three outstanding issues: submissions, decision-making and information. Precedents under other conventions could provide guidance.

103. It was generally agreed that the overarching goal of a compliance mechanism should be to assist parties in meeting their obligations under the Convention. Several representatives stressed that any mechanism should be facilitative and flexible, with a particular focus on cooperation between parties. One representative added that it should be non-punitive and non-adversarial. One representative called for a particular focus on a facilitation process; another said that further discussions in regional groups would be needed before going any further. Another representative said that the mechanism should provide the necessary support to help bring parties into compliance, including advice and studies to determine the reasons for non-compliance; nevertheless compliance should not be regarded as dependent on receiving such support.

104. Several representatives drew attention to compliance mechanisms under other processes that could serve as models in the case of the Rotterdam and Stockholm conventions, including the proposed Minamata Convention on Mercury, recently approved by the intergovernmental negotiating committee that had developed it, and the Basel Convention. Regarding the Minamata Convention, one representative described its compliance mechanism as the most recent and modern in international law, while another observed that it had not been agreed to in isolation but as part of a larger package of measures.

105. Several representatives said that compliance issues should be discussed in a contact group. A number of representatives, including one speaking on behalf of a group of countries, said that such a contact group should base its work on the text set out in the annex to decision RC-5/8; however, the draft text proposed by the co-chairs of the contact group at the fifth meeting of the Conference of the Parties, contained in the appendix to that annex, was not an acceptable basis for future negotiations.

### **4. Compliance under the Stockholm Convention**

106. The representative of the Secretariat, in her introduction, recalled that the Conference of the Parties to the Stockholm Convention had considered the issue of non-compliance at each of its previous meetings but had failed to reach agreement on the adoption of the procedures and institutional mechanisms required under Article 17. The Conference had decided, in decision SC-5/19, to continue to work on the matter at the current meeting on the basis of the draft text set out in the annex to decision SC-4/33. It had also invited the Bureau to facilitate intersessional consultations among the parties to promote a policy dialogue with a view to resolving outstanding issues and facilitating the adoption of a compliance mechanism at the current meeting. Ms. Daniel, as Vice-President of the Conference of the Parties, had been requested to initiate the consultations.

107. The Conference could base its work at the current meeting on the draft text set out in annex I to the note by the Secretariat on the procedures and institutional mechanisms for determining non-compliance with the provisions of the Stockholm Convention and for the treatment of parties found to be in non-compliance (UNEP/POPS/COP.6/29) or on the draft text resulting from the intersessional consultations set out in annex II to that document. Should the procedures and mechanisms be adopted and a compliance committee established, the Conference would need to elect the members of the committee.

108. Ms. Daniel then reported on the efforts made in the intersessional period to remove the obstacles to consensus that had arisen at the previous meetings of the conferences of the parties. Consultations had been held with China and the European Union and its member States and, thanks to their commitment and flexibility, solutions had been found and incorporated into the draft text set out in annex II to document UNEP/POPS/COP.6/29. Further consultations with other interested parties had, however, not been possible.

109. In the ensuing discussion, many representatives expressed a strong commitment to bringing the long and difficult negotiations on non-compliance to a positive conclusion at the current meeting. The underlying principles and nature of the requisite compliance mechanism, as well as the obstacles to a consensus, were much the same as in the case of the Rotterdam Convention, and lessons should be drawn from the compliance mechanisms of the Minamata and Basel conventions; developments during the twenty-seventh session of the UNEP Governing Council should also be taken into account. One representative, however, questioned the relevance of the Minamata model, as that Convention related specifically to mercury. Several representatives drew attention to the difficulties preventing their countries from achieving compliance, the solution to which would require a focus on the provision of technical and financial resources and scientific expertise. One representative objected to wording in paragraph 4 bis of the draft decision in annex II to document UNEP/POPS/COP.6/29, on the grounds that it could be interpreted to oblige individual developed country parties to provide financial assistance. One representative, speaking on behalf of a group of countries, said that they opposed using the text in annex II to document UNEP/POPS/COP.6/29 as the basis for discussion at the current meeting. Another representative suggested that the concept of collective responsibility should be considered and that developing countries should not be considered to be in non-compliance in the absence of adequate technical and financial assistance.

## **5. Contact group on compliance and other legal matters**

110. The parties agreed to establish a contact group on compliance and other legal matters under the Basel, Rotterdam and Stockholm conventions, to be co-chaired by Ms. Daniel and Ms. Nieto. Taking into account the discussions in plenary at the current meeting and the lessons learned from the Implementation and Compliance Committee of the Basel Convention, the group would take as its starting point the draft decisions set out in the annex to document UNEP/FAO/RC/COP.6/13, for the Rotterdam Convention, and annex I to document UNEP/POPS/COP.6/29, for the Stockholm Convention. The group would also consider Basel Convention compliance issues based on documents UNEP/CHW.11/10 and Add.1, together with, in due course, other legal matters that might arise, for instance on the issue of legal clarity.

111. Following discussions in the contact group, the co-chair of the group reported that, in the case of the Basel Convention, the group had reached agreement on the text of a draft decision setting out two annexes: the terms of reference for cooperative arrangements on illegal traffic, also referred to as the Environmental Network for Optimizing Regulatory Compliance on Illegal Traffic (ENFORCE), as well as the programme of work of the Implementation and Compliance Committee for 2014–2015. Japan offered funding to organize the first meeting of ENFORCE.

112. Subsequently, the co-chair of the contact group reported on the outcome of the discussions on compliance under the Rotterdam and Stockholm conventions. With regard to the Rotterdam Convention, the group had made some progress but had been unable to reach agreement on a voting rule or the question of whether the compliance mechanism could be brought into play by a third trigger. A number of representatives had insisted that a compliance mechanism without a third trigger would not be effective, but others had said that they were not comfortable with anything beyond a self-trigger and a party-to-party trigger.

113. For the Stockholm Convention compliance mechanism, three issues remained: first, the need to agree on the objective, nature and underlying principles of the compliance mechanism; second, the question of a third trigger; and third, the possible measures that the compliance committee could recommend to the Conference of the Parties to address compliance issues. There was also disagreement regarding a proposal that the measures under the compliance procedure not apply to any

developing country party or party with an economy in transition whose non-compliance was attributed to a lack of technology or technical or financial assistance.

114. During the discussion of the issue, the President of the Conference of the Parties to the Stockholm Convention reported that in an effort to resolve the impasse he had established a friends-of-the-President group and had engaged in informal consultations with interested parties. At the last session of the meeting he tabled a compromise proposal for both the Stockholm and Rotterdam conventions that was based on the outcome of the contact group discussions, the meetings of the friends-of-the-President group and his own consultations. Those who spoke in the discussion that followed praised the hard work of the contact group co-chairs and the President in attempting to find a solution to the issue, but the President's proposals proved unacceptable to many parties.

115. The conferences of the parties to the Rotterdam and Stockholm conventions agreed to consider the procedures and mechanisms on compliance further at their seventh meetings. They also agreed that the draft texts on compliance mechanisms and procedures as they stood at the conclusion of the contact group's deliberations at the current meeting would form the basis for the discussions at their seventh meetings and that they would take up the matter as early as possible during those meetings.

116. Decision RC-6/9, on procedures and mechanisms on compliance with the Rotterdam Convention, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **E. Financial resources**

117. The discussion summarized in the present section, on financial resources (agenda item 5 (e)), took place during simultaneous sessions of the eleventh ordinary meeting of the Conference of the Parties to the Basel Convention, the sixth ordinary meeting of the Conference of the Parties to the Rotterdam Convention and the sixth ordinary meeting of the Conference of the Parties to the Stockholm Convention. Paragraphs 118–135 below are replicated in the report of the Conference of the Parties to the Basel Convention on the work of its eleventh meeting (UNEP/CHW.11/24), paragraphs 187–204, and in the report of the Conference of the Parties to the Stockholm Convention (UNEP/POPS/COP.6/33), paragraphs 154–171.

118. At the suggestion of the President, the parties agreed to begin their deliberations under this heading by discussing issues related to achieving sustainable, predictable, adequate and accessible financing under the Stockholm Convention and then addressing synergies among the three conventions in support of achieving the objective of sustainable financing, with particular attention to the Basel and Rotterdam conventions. The outcomes of the UNEP Executive Director's consultative process on financing options for chemicals and wastes would be addressed during the second part of the discussion.

### **1. Financial resources under the Stockholm Convention**

119. The representative of the Secretariat drew attention to an extensive list of documents pertaining to the issues to be discussed under this heading. A representative of the Global Environment Facility (GEF) then outlined a report prepared by GEF for the sixth meeting of the Conference of the Parties to the Stockholm Convention in accordance with the memorandum of understanding between the Conference of the Parties and the GEF Council.

120. The GEF report described GEF activities in support of the Convention over the period from 1 July 2010 to 30 August 2012. It focused on how GEF had applied guidance from the Conference of the Parties and how it had improved its effectiveness through the implementation of key reforms. It also provided information on the wider work of GEF on chemicals, including multi-chemical issue projects and cross-cutting work made possible under its new chemicals strategy. During the reporting period, 21 full-sized projects, 3 medium-sized projects, 17 grants to support the preparation of full-sized projects and 18 requests for the development of national implementation plans had been funded. Through those and other related activities, GEF had approved \$139.6 million in funding to support implementation of the Convention, and an additional \$754 million had been leveraged from other sources. As at 30 August 2012, GEF had committed \$565 million to projects in the persistent organic pollutants focal area since the adoption of the Stockholm Convention in May 2001. The cumulative GEF investment in persistent organic pollutant projects had leveraged approximately \$1.5 billion in other resources, to bring the total value of the GEF persistent organic pollutants portfolio to over \$2 billion. Since the drafting of the report GEF had approved an additional 48 requests for national implementation plan updates, 21 additional full-sized projects and two additional medium-sized projects. The additional resources brought the total during the fifth replenishment period to \$257 million and \$1.15 billion in co-financing. The GEF secretariat had also implemented a number of key reforms directed towards improving the effectiveness and efficiency of its partnerships relating to persistent organic pollutants, significantly improving performance. The time required for project



development from approval of the project concept to the elaboration of the project had been reduced from 22 months to an average of 18 months. During the reporting period the GEF secretariat had taken on average less than four months from the time of first submission of a project concept to clear the concept for the work programme. The full report was available in document UNEP/POPS/COP.6/INF/24 and the executive summary of the report was set out in document UNEP/POPS/COP.6/22.

121. In the ensuing discussion many representatives underscored the importance of ensuring that sustainable, predictable, adequate and accessible financial resources were available to assist developing countries and countries with economies in transition to implement the Convention.

122. A number of representatives, including one speaking on behalf of a group of countries, said that the current meetings were an important opportunity to influence the sixth replenishment of the GEF trust fund, which could cover the chemicals and waste area as whole, in line with the invitation by the UNEP Governing Council set out in paragraph 12 of section VIII of decision 27/12, and called for clear communication with GEF on needs assessment, the memorandum of understanding between the GEF Council and the Conference of the Parties to the Stockholm Convention, the third review of the financial mechanism and consolidated guidance. One representative, speaking on behalf of a group of countries, said that the next needs assessment should examine the 2018–2022 period so that it coincided with the seventh replenishment of the GEF trust fund and that further work was needed to ensure consistency in the methodologies used by parties to estimate the costs of activities. The support provided to parties from the private sector was encouraging and more should be done to mobilize such funds. Future evaluations of the memorandum of understanding should take place every four years, in coordination with the review of the financial mechanism, and efforts should be made to establish a clear ranking of funding priorities and to balance new and existing priorities against available financial resources.

123. One representative said that the Stockholm Convention parties needed to send a clear signal that GEF should consider revising its chemicals focal area to address the integrated approach called for in the outcome of the consultative process on financing options for chemicals and wastes.

124. Another representative said that donor countries had an obligation to provide financial resources that was as legally binding as the obligations on all parties to take measures to control or eliminate specific persistent organic pollutants and that the links between those obligations should be considered in reviewing the financial mechanism.

125. A number of representatives said that there was a need for additional improvements in the operations of the financial mechanism to ease access to financing, stressing that the application procedures and information requirements, particularly those relevant to co-financing requirements, were excessively complicated. One representative said that, despite statements regarding improvements in the efficiency and effectiveness of GEF operations, his Government still found the procedures for implementing projects outlined in its Stockholm Convention national implementation plan to be cumbersome and too slow.

126. Several representatives thanked GEF for funding projects in their countries aimed at the elimination of persistent organic pollutants. One, however, also expressed concern regarding discussions within GEF of the so-called “graduation” of developing countries, which would affect their eligibility for funding, and requested an update on the issue from the representative of GEF. In response, the representative of GEF said that GEF had no graduation policy; country eligibility was determined in accordance with paragraphs 9 (a) and 9 (b) of the Instrument for the Establishment of the Restructured Global Environment Facility and guidance on eligibility criteria provided by the Conference of the Parties.

127. Following the discussion, the parties agreed that consideration of the matters raised under the present item should continue in the contact group on technical assistance and financial resources that was to be established.

## 2. Synergies among the Basel, Rotterdam and Stockholm conventions in support of sustainable financing, with particular attention to the Basel and Rotterdam conventions

128. The representative of the Secretariat drew attention to additional documents that informed this portion of the discussion, including one on the implementation of the relevant decisions of the Conference of the Parties to the Basel Convention, and its related information document, and another on the follow-up to decision RC-5/11, on progress made in the implementation of decision RC-3/5 on options for lasting and sustainable financial mechanisms. Recalling that the Basel and Rotterdam conventions had no financial mechanisms, he suggested that the parties might wish to consider ways to make more effective use of and build upon existing sources of relevant global funding. Key questions

on this topic might include how to ensure sustainable, predictable, adequate and accessible financing for the implementation of the three conventions, how the synergies process could lead to sustainable financing for the Basel and Rotterdam conventions and how developing countries and countries with economies in transition could gain access to resources.

129. In the ensuing discussion, all representatives who spoke said that a sustainable, predictable and reliable financial mechanism was essential to the implementation of the three conventions. Several representatives welcomed the outcome of the consultative process on financing options for chemicals and wastes and supported the proposal by the Executive Director of UNEP to incorporate the three elements of mainstreaming, industry involvement and dedicated external funding into an integrated approach as a long-term solution for all three conventions, as well as for the future mercury treaty and the Strategic Approach to International Chemicals Management. One representative, however, said that mainstreaming and industry involvement should be supplemental to dedicated external funding, should not impose additional obligations on developing countries and should be framed as suggestions for implementation on a voluntary basis. Others said that the integrated approach was only one of several possible options to be considered, with one representative stressing that the existing obligation of developed countries under the Stockholm Convention to provide new and additional financial resources was very important.

130. Several representatives, including one speaking on behalf of a group of countries, referred to the upcoming sixth replenishment of the GEF trust fund. One, speaking on behalf of a group of countries, said that the parties to all three conventions should send a clear signal to GEF that it should respond favourably to the invitation from the UNEP Governing Council in paragraph 12 of section VIII of its decision 27/12 and that it should consider revising its focal area structure and strategy for financing the chemicals and waste agenda. In its sixth replenishment, GEF should implement the integrated approach in two ways: first, by considering additional ways to build on interlinkages between the conventions to enhance overall outcomes, taking into account global environmental benefits flowing from the Basel and Rotterdam conventions and enabling activities to make their implementation more effective, and, second, by exploring cross-cutting links with other relevant GEF focal areas and multi-focus approaches.

131. A number of representatives said that there was a need for additional institution strengthening, which among other benefits would reduce costs. One representative applauded the UNEP Governing Council invitation to Governments to establish a special programme funded by voluntary contributions to support institutional strengthening at the national level for implementation of the chemicals and waste conventions and called upon the three conferences of the parties to adopt a decision on the matter. Several representatives called for the establishment of local chemicals and waste units to facilitate implementation of an integrated approach and to pave the way for future chemicals and waste conventions.

132. Several representatives described difficulties that they had encountered in applying the provisions of the conventions, citing such things as the effort demanded of parties to implement the conventions in general and difficulties in obtaining GEF funding, in particular as a result of the co-financing ratio used by GEF, which they said was too high.

133. One representative said that the private sector and national Governments should combine their ozone-depleting substance destruction and waste management efforts, suggesting that heavy reliance on donors would not yield a positive result and that access to carbon markets could be an added incentive for such projects. Another representative said that developed countries were primarily responsible for the generation of chemicals and wastes and therefore had responsibilities with regard to financing to address their harmful effects. Another representative said that the parties should consider the possibility of having industry and other waste generators contribute to project financing.

### **3. Establishment of a contact group and adoption of decisions**

134. Following the discussion summarized above, the parties agreed to establish a contact group on technical assistance and financial resources for the three conventions, co-chaired by Mr. Mohammed Khashashneh (Jordan) and Mr. Reginald Hernaus (Netherlands).

135. Taking into account the discussions in plenary, the group was to prepare draft decisions using as a starting point the draft decision text set out in documents UNEP/POPS/COP.6/18, UNEP/POPS/COP.6/19, UNEP/POPS/COP.6/19/Add.1, UNEP/CHW.11/15, UNEP/CHW.11/5, UNEP/CHW.11/5/Add.1 and UNEP/FAO/RC/COP.6/15, with regard to technical assistance, and UNEP/POPS/COP.6/20, UNEP/POPS/COP.6/21, UNEP/POPS/COP.6/23, UNEP/POPS/COP.6/24, UNEP/POPS/COP.6/25, UNEP/CHW.11/19 and UNEP/FAO/RC/COP.6/14 with regard to financial resources and resource mobilization. The group was also asked to address convention-specific issues

during each ordinary meeting of the three conferences and to report to each conference by the deadlines specified in annex II to document UNEP/FAO/CHW/RC/POPS/EXCOPS.2/INF/2/Rev.1. The contact group was also mandated to prepare draft decision text on the consultative process that would be included in the draft omnibus decision for possible adoption by the conferences of the parties at their second simultaneous extraordinary meetings.<sup>1</sup>

136. Subsequently, the Conference of the Parties to the Rotterdam Convention adopted a decision on progress made in the implementation of decision RC-3/5 on possible options for lasting and sustainable financial mechanisms, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

137. Decision RC-6/10, on follow-up to decision RC-5/11 on progress made in the implementation of decision RC-3/5 on possible options for lasting and sustainable financial mechanisms, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **F. Technical assistance**

138. The discussion summarized in the present section, on technical assistance (agenda item 5 (f)), took place during simultaneous sessions of the eleventh ordinary meeting of the Conference of the Parties to the Basel Convention, the sixth ordinary meeting of the Conference of the Parties to the Rotterdam Convention and the sixth ordinary meeting of the Conference of the Parties to the Stockholm Convention. Paragraphs 139–147 and 150–156 below are replicated in the report of the Conference of the Parties to the Basel Convention on the work of its eleventh meeting (UNEP/CHW.11/24), paragraphs 135–143 and 147–153, and in the report of the Conference of the Parties to the Stockholm Convention (UNEP/POPS/COP.6/33), paragraphs 133–141 and 144–150.

139. The parties first discussed general issues related to the delivery of technical assistance to parties to the three conventions and then the regional centres under the Basel and Stockholm conventions, including a proposed methodology for evaluating their performance and sustainability.

### **1. General issues related to the delivery of technical assistance**

140. The representative of the Secretariat drew attention to the relevant documentation and introduced the general issues related to the approach to the delivery of technical assistance to the parties to the Basel, Rotterdam and Stockholm conventions.

141. In the ensuing discussion, general support was expressed for the Secretariat's efforts to seek synergies in technical assistance activities. Many representatives, including one speaking on behalf of a group of countries, said that adequate and sustainable technical assistance, particularly through capacity-building and technology transfer, was crucial in enabling developing countries to implement their obligations under the conventions. One representative said that the goal of synergies should be not only to economize on resources but also to close the large gap between the needs of developing countries and the assistance provided. Several representatives suggested that a mechanism was needed for identifying countries' needs and setting technical assistance priorities.

142. There was general agreement that the regional centres were central to the delivery of technical assistance. Some representatives, however, noted that the centres' host countries were developing countries and said that all parties, including developed countries, had obligations to support the centres. One representative said that local capacity coupled with external financing should be used in the delivery of technical assistance. Several representatives said that technical assistance should also be delivered through cooperation among United Nations bodies, including UNEP and FAO, while a number said that other private-sector and public-sector stakeholders should be encouraged to participate through partnerships.

143. Several representatives, including one speaking on behalf of a group of countries, said that targeted projects were required to assist countries and regions with specific needs, particularly in the areas of electrical and electronic waste and chemicals management. One representative, however, said that sharing the outcomes of regional meetings could also be helpful in addressing common concerns.

144. Many representatives, including two speaking on behalf of groups of countries, welcomed the use of webinars for training. Many representatives, however, cautioned that technical and language

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<sup>1</sup> The draft text on the consultative process prepared by the contact group was later adopted by the conferences of the parties to the Basel, Rotterdam and Stockholm conventions at their second extraordinary meetings as section VII of decisions BC.Ex-2/1, RC.Ex-2/1 and SC.Ex-2/1.

barriers limited their usefulness in some countries. Several representatives suggested that webinars should be offered in French and Spanish in addition to English. A number of representatives said that face-to-face workshops were more effective than webinars as a training tool.

145. On the subject of lessons learned, one representative, speaking on behalf of a group of countries, said that the Secretariat should further refine its information-gathering technique using the clearing-house mechanism to ensure the receipt of comprehensive and accurate information.

146. A representative of the Inter-Organization Programme for the Sound Management of Chemicals outlined activities of the Programme's nine participating organizations in support of the Rotterdam and Stockholm conventions. The organizations, he said, coordinated policies and technical guidance and engaged in a wide range of activities to support countries in implementing their obligations under the conventions, and in 2012 the Programme had launched a toolbox that provided guidance on appropriate national action to solve chemicals management problems.

147. Following their discussion the parties agreed to refer the matters discussed under this heading to a joint contact group on technical assistance and financial resources. The establishment of that contact group is discussed in subsection 3 of section E, above.

148. Subsequently, the Conference of the Parties to the Rotterdam Convention adopted a revised version of the draft decision set out in document UNEP/FAO/RC/COP.6/15 prepared by the contact group, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

149. Decision RC-6/11, on technical assistance, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **2. Issues pertaining to regional centres under the Basel and Stockholm conventions**

150. The representative of the Secretariat drew attention to an extensive list of documents pertaining to the issues to be discussed under this heading, including the business plans, workplans, activity reports and draft criteria for the evaluation of the performance of the Basel Convention regional and coordinating centres that had been prepared at the request of the Basel Convention Expanded Bureau, along with a draft methodology for evaluating the performance and sustainability of the Stockholm Convention regional centres. She noted that the Secretariat and the regional centres had organized a fair on the regional delivery of assistance, to take place during the Conference. The fair would aim at showcasing how regional centres and the regional offices could assist parties in their implementation of the Basel, Rotterdam and Stockholm conventions.

151. Many representatives, including two speaking on behalf of groups of countries, underscored the importance of regional and subregional centres for capacity-building, technical assistance, information exchange and other activities that could assist parties in implementing the three conventions in a synergistic manner, and many described how the centres had worked with their Governments and other actors on related activities. Several representatives, however, said that despite their important role regional centres should not be the only mechanism for the provision of technical assistance and capacity-building. Many identified areas in which centres should develop more initiatives, including e-wastes, capacity-building, institutional strengthening, border controls, toxic chemicals in international trade, stockpiles of obsolete chemicals, information exchange within and across regions, and mobilizing private sector involvement, among others.

152. Many representatives, including one speaking on behalf of a group of countries, said that it was important to strengthen the capacity of the regional centres and to support them with increased and sustained financial resources drawn from all parties and other sources. Several representatives said that it was important to capitalize on the ability of other international organizations to conduct technical assistance and capacity-building activities and work with the regional centres, with one drawing specific attention to the regional offices of FAO, UNEP and the United Nations Development Programme.

153. Several representatives, including one speaking on behalf of a group of countries, called for the adoption of criteria for evaluating all regional centres, with some expressing support for the draft methodology developed by the Secretariat. One representative, speaking on behalf of a group of countries, proposed that all existing centres should be extended only for two years so that decisions on their further renewal, as well as decisions on any new centre, could take such evaluations into account. Several representatives proposed evaluating not only the activities and efficiency of the regional centres, but also the financial resources, including their source, that each had been provided to undertake capacity-building and technical assistance activities.

154. One representative said that it was important to coordinate the location and operations of centres within regions to take advantage of their comparative abilities, experience and expertise. Another representative called for a more harmonized approach to the Basel and Stockholm convention regional centres. One representative requested that parties review the process for making decisions regarding new centres and that no additional centres be designated until that review had been completed and criteria for evaluating current and potential new centres had been developed. One representative requested that the parties consider creating a subregional centre in Central Asia.

155. One representative said that the private sector had not participated in activities undertaken by the centres in his region and that such participation was critical to information exchange, technology transfer and evaluating and adopting alternatives. Another said that it was important to share information across regions regarding the content and results of activities and workshops undertaken by a particular regional centre.

156. Following their discussion the parties agreed to refer the matters discussed under the present heading to a joint contact group on technical assistance and financial resources. The establishment of that contact group is discussed in subsection 3 of section E, above.

## **G. Trade**

157. The representative of the Secretariat recalled the relevant decisions of the Conference of the Parties on cooperation with the World Trade Organization (WTO). She outlined the information contained in document UNEP/FAO/RC/COP.6/17, drawing attention to correspondence with the secretariat of WTO on the Secretariat's request for observer status in the WTO Committee on Trade and Environment. She also noted that, on 15 June 2011, the WTO Secretariat had circulated a revised version of the "Matrix on Trade-related Measures pursuant to Selected Multilateral Environmental Agreements (MEAs)", which had been prepared in consultation with the secretariats of a number of multilateral environmental agreements, including the Rotterdam Convention Secretariat, and would be further revised in the course of 2013.

158. In the ensuing discussion, one representative called for an emphasis on the labelling of hazardous chemical products within WTO and the development of projects to improve understanding and knowledge of labelling; for technical assistance to developing countries on complex issues of trade and environment; and for the enhancement of regional trade agreements to safeguard the environment. The Secretariat should cooperate with WTO on regional awareness-raising projects and workshops, with a focus on multilateral environmental agreements and associated national focal points.

159. The Conference of the Parties took note of the information presented and requested the Secretariat to continue to monitor progress in the relevant WTO committees and to continue to follow up on the application for observer status.

## **VI. Programme of work of the Secretariat and adoption of the budget**

160. The Conference of the Parties agreed to consider the programme of work and budget in accordance with the agreement of the parties to the Basel, Rotterdam and Stockholm conventions during the first session of their second simultaneous extraordinary meetings, as described in the report of those meetings (UNEP/FAO/CHW/RC/POPS/EXCOPS.2/4). The parties at the simultaneous extraordinary meetings had agreed to address the programmes of work and budgets of the Basel, Rotterdam and Stockholm conventions together, under item 4 (d) of the agenda for those meetings, "Budgets for joint activities and possible necessary amendments to the budget of the three conventions for the biennium 2014–2015". Under that item the parties had established a contact group to develop a budget for joint activities. The parties had also mandated the contact group to develop the full budget, and a related draft decision, for each of the three conventions, each of which would be presented to the relevant conference of the parties for consideration and possible adoption during its ordinary meeting.

161. Under the item the Executive Secretary reported that Italy had for some time been in arrears in the payment of its host country contributions. Saying that the resulting shortfall, which had grown to approximately 1.1 million euros, could have a significant impact on the Secretariat's ability to implement the programme of work, he urged the parties to seek a durable solution to the problem.

162. During a subsequent session he reported that the Minister for the Environment of Italy had subsequently written to the Executive Director of UNEP to explain that an amount previously transferred by Italy to UNEP was intended as a payment towards the amount due under the Rotterdam Convention. It was confirmed that the amount, 892,860 euros, had been transferred to the Rotterdam Convention general trust fund and was available for use. The representative of Italy expressed regret at

the delay in the payment of his country's contributions, explaining that it had arisen out of a difficult transition from the previous Government to the current one, and assured the parties that his Government would henceforth be in a position to fulfil its obligations. The President thanked the representative of Italy for his Government's efforts to rectify the situation.

163. The co-chair of the contact group on synergies and budget matters subsequently reported that the group had reached agreement on the programmes of work and budgets for the Basel, Rotterdam and Stockholm conventions, noting in particular that the average increase in the core operating budgets for the conventions had been held to 1.39 per cent, very close to the agreed target of zero nominal growth. He then introduced conference room papers setting out separate draft decisions on the budget and programme of work for each of the three conventions, noting that in the case of the Rotterdam Convention the budget had increased by 1.63 per cent.

164. He reported that in the view of the members of the contact group the long-term financing of the conventions was a matter of great concern. The long-term accumulation of arrears had resulted in a cash shortfall that currently amounted to \$2 million. As a result, the parties would be unable to capitalize fully on the cost savings from synergies, and some important activities might not be implemented. The conventions could not run a deficit and those who paid their contributions could not substitute for those who failed to pay. He urged the parties to take the situation seriously and to recognize the importance of paying their assessed contributions in full and on time.

165. The Conference of the Parties to the Rotterdam Convention then adopted the draft decision prepared by the contact group for the Rotterdam Convention.

166. Decision RC-6/16, on financing and budget for the biennium 2014–2015, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **VII. Venue and date of the seventh meeting of the Conference of the Parties**

167. The present item, on the venue and date of the seventh meeting of the Conference of the Parties (agenda item 7), was discussed during simultaneous sessions of the meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions, and the item was entrusted to the contact group on synergies and budget matters established during the simultaneous extraordinary meetings of the conferences of the parties to the three conventions. Following the work of that contact group its co-chair reported on the group's discussions regarding the venue and dates of the next meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions.

168. In the light of that report the conferences of the parties to the three conventions decided to convene their next meetings back to back. The meetings would not include high-level segments or be held in conjunction with extraordinary meetings of the conferences of the parties, and the priority for the meetings would be to have agendas that prioritized substantive matters related to implementation of the conventions and a schedule that provided sufficient time for the consideration of such matters. The bureaux of the three conferences of the parties would decide, in consultation with the Secretariat, whether the meetings should feature joint sessions. The parties decided further that the meetings would take place from 4 to 15 May 2015 in Geneva unless the bureaux, meeting jointly, decided otherwise.

169. Decision RC-6/12, on the date and venue of the next meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **VIII. Other matters**

### **A. Official communications**

170. Introducing the matter, the representative of the Secretariat drew attention to the relevant documentation, including a proposed harmonized form for use by parties when transmitting notifications of designated contacts in accordance with the provisions of the Basel, Rotterdam and/or Stockholm conventions (UNEP/FAO/RC/COP.6/18, annex). The proposed form was intended to facilitate the transmission of information to the Secretariat, while respecting the legal autonomy of each convention. She also reported that the proposed harmonized form had been adopted by the Conference of the Parties to the Basel Convention at its eleventh meeting and the Conference of the Parties to the Stockholm Convention at its sixth meeting, subject to confirmation from the contact

group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

171. In the ensuing discussion, most of the representatives that spoke expressed appreciation to the Secretariat for having revised the draft form for the notification of designation of contacts in a manner consistent with all three conventions. One representative said that the harmonized form should facilitate the timely submission of up-to-date contact details, which was crucial to the functioning of the Convention and the protection of human health and the environment.

172. After some debate, the Conference of the Parties adopted the draft decision set out in document UNEP/FAO/RC/COP.6/18 and a revised version of the harmonized form for notification of designation of contacts prepared by the Secretariat to reflect the views expressed, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement the decision or that it would have no budgetary implications.

173. Decision RC-6/13, on official communications, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **B. Admission of observers**

174. Introducing the matter, the representative of the Secretariat drew attention to document UNEP/FAO/RC/COP.6/19, containing a revised form and explanatory note on the process for admission as an observer to meetings of the Conference of the Parties and, as appropriate, its subsidiary bodies. The form had been reviewed to take into account the process of enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions in order to align practices regarding the admission of observers under the three conventions.

175. Following a brief discussion on the draft revised form and process, the conferences of the parties to the Basel, Rotterdam and Stockholm conventions established a small group of representatives of parties and observers to examine the issue. Following discussions within that group, a further revised version of the form was presented to the meeting. The representative of the Secretariat reported that the Conference of the Parties to the Basel Convention at its eleventh meeting had adopted the revised form, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement the decision or that it would have no budgetary implications. The matter would be considered again by the Conference of the Parties to the Stockholm Convention when it reconvened later in the week.

176. The Conference of the Parties adopted the draft decision prepared during the informal consultations, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

177. Decision RC-6/14, on admission of observers, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **C. Possible memorandum of understanding between the United Nations Environment Programme, the Food and Agriculture Organization of the United Nations and the Conference of the Parties to the Rotterdam Convention**

178. The representative of the Secretariat outlined the background information contained in document UNEP/FAO/RC/COP.6/INF/10 and recalled that the Bureau of the Conference of the Parties to the Rotterdam Convention, at its meeting held on 13 and 14 September 2012, had acknowledged the steps taken by the Bureau of the Conference of the Parties to the Stockholm Convention in developing a memorandum of understanding between UNEP and the Conference of the Parties to the Stockholm Convention. The Bureau had also noted that if such a memorandum were to be developed for the Rotterdam Convention it would need to include both UNEP and FAO and had therefore requested the Secretariat to consult the legal department of FAO on the necessity and feasibility of preparing a memorandum of understanding between UNEP, FAO and the Conference of the Parties to the Rotterdam Convention. The Bureau had recommended that, at its sixth meeting, the Conference of the Parties should consider the outcomes of the process under the Stockholm Convention and any results of consultations within FAO. In November 2012, the legal department of FAO had expressed the view that there was no need to develop a new memorandum unless otherwise requested by the Conference of the Parties. The matter was referred to the contact group on synergies and budget matters, as the conferences of the parties to the Basel and Stockholm conventions had already considered the matter and decided to refer it to that contact group.

179. Following the work of the contact group the parties discussed the matter at a session of the extraordinary meetings. One representative, speaking on behalf of a group of countries and supported by another, said that a memorandum of understanding would be beneficial. Recalling decision 27/13 of the UNEP Governing Council, however, by which the Council had asked UNEP to consult widely on the future relationship between UNEP and the conventions for which it provided the secretariat and to report on the issue by 30 June 2013, she suggested that an informed decision could only be taken once that report had been received. In the meantime, she proposed that the contact group on synergies and budget matters prepare draft decisions for the three conferences of the parties requesting the Executive Secretary to participate actively in the preparation of the UNEP report, in consultation with the bureaux. The parties agreed that the contact group on synergies and budget matters should prepare such draft decisions.

180. The co-chair of the contact group subsequently reported that the group had prepared conference room papers setting out substantially identical draft decisions on the memorandums of understanding for the three conventions. The Conference of the Parties to the Rotterdam Convention then adopted the draft decision pertaining to the Rotterdam Convention.

181. Decision RC-6/15, on the development of a draft memorandum of understanding between FAO, UNEP and the Conference of the Parties to the Rotterdam Convention, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **IX. Adoption of the report**

182. The Conference of the Parties adopted the present report on the basis of the draft report set out in documents UNEP/FAO/RC/COP.6/L.1 and Add.1 and 2, as orally amended, on the understanding that the finalization of the report would be entrusted to the Rapporteur, in cooperation with the Secretariat, under the authority of the President of the Conference of the Parties.

## **X. Closure of the meeting**

183. Following the customary exchange of courtesies the meeting was declared closed at 11.55 p.m. on Friday, 10 May 2013.



## Annex I

### Decisions adopted by the Conference of the Parties at its sixth meeting

- RC-6/1: Implementation of the Rotterdam Convention
- RC-6/2: Exchanging information on exports and export notifications
- RC-6/3: Operation of the Chemical Review Committee
- RC-6/4: Listing of azinphos-methyl in Annex III to the Rotterdam Convention
- RC-6/5: Listing of commercial pentabromodiphenyl ether in Annex III to the Rotterdam Convention
- RC-6/6: Listing of commercial octabromodiphenyl ether in Annex III to the Rotterdam Convention
- RC-6/7: Listing of perfluorooctane sulfonic acid, perfluorooctane sulfonates, perfluorooctane sulfonamides and perfluorooctane sulfonyls in Annex III to the Rotterdam Convention
- RC-6/8: Consideration of liquid formulations (emulsifiable concentrate and soluble concentrate) containing paraquat dichloride at or above 276 g/L, corresponding to paraquat ion at or above 200 g/L for listing in Annex III to the Rotterdam Convention
- RC-6/9: Procedures and mechanisms on compliance with the Rotterdam Convention
- RC-6/10: Follow-up to decision RC-5/11 on progress made in the implementation of decision RC-3/5 on possible options for lasting and sustainable financial mechanisms
- RC-6/11: Technical assistance
- RC-6/12: Venue and date of the next meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions
- RC-6/13: Official communications
- RC-6/14: Admission of observers
- RC-6/15: Development of a draft memorandum of understanding between the Food and Agriculture Organization of the United Nations and the United Nations Environment Programme and the Conference of the Parties to the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade
- RC-6/16: Financing and budget for the biennium 2014–2015

## RC-6/1: Implementation of the Rotterdam Convention

### *The Conference of the Parties*

1. *Takes note* of the information on the implementation of the Rotterdam Convention by parties and the progress achieved between 1 November 2010 and 31 October 2012;
2. *Reminds* parties of their obligations to ensure the effective implementation of the Convention, including the procedures under Articles 5, 6, 10 and 12 of the Convention, and, in particular:
  - (a) Encourages parties to exchange information in accordance with the provisions of the Convention, by submitting notifications of final regulatory action for banned or severely restricted chemicals;
  - (b) Invites parties which have not yet done so to submit import responses for alachlor, aldicarb and endosulfan, or to request the Secretariat for assistance if deemed necessary;
  - (c) Requests exporting and importing parties to fully implement Article 12 of the Convention by sending export notifications and by acknowledging their receipt.

## RC-6/2: Exchanging information on exports and export notifications

### *The Conference of the Parties*

1. *Requests* the Secretariat to prepare questionnaires for the collection of the information indicated in paragraphs 6 and 7 of the note by the Secretariat on a proposal on ways of exchanging information on exports and export notifications;<sup>2</sup>
2. *Invites* parties to gather information requested in paragraph 1 above and to complete the questionnaires using that information;
3. *Requests* the Secretariat to compile the information received from parties and prepare a report on this information for consideration by the Conference of the Parties at its seventh meeting.

## RC-6/3: Operation of the Chemical Review Committee

### *The Conference of the Parties*

1. *Takes note* of the information provided in the report of the Chemical Review Committee on the work of its eighth meeting<sup>3</sup> and in the note by the Secretariat;<sup>4</sup>
2. *Also takes note* of decision CRC-8/3 on trichlorfon and the workplan for the preparation of the draft decision guidance document;
3. *Further takes note* of the decision of the bureaux of the Chemical Review Committee and the Persistent Organic Pollutants Review Committee to hold the meetings of the two committees back to back during the two-week period between 14 and 25 October 2013, as well as the suggestion that a joint session of no more than one day for scientific information exchange be held during that period;
4. *Decides* to undertake an evaluation of the experiences of the benefits gained of the back-to-back meetings between the two committees;
5. *Requests* the Secretariat to collect such information and report to the Conference of the Parties to the Rotterdam Convention at its seventh meeting;
6. *Appoints* the 14 designated experts to serve as members of the Committee;<sup>5</sup>
7. *Extends* the terms of office of the current 17 members of the Committee from 30 September 2013 until 30 April 2014 and those of the other 14 members of the Committee from 30 September 2015 until 30 April 2016;

<sup>2</sup> UNEP/FAO/RC/COP.6/5.

<sup>3</sup> UNEP/FAO/RC/CRC.8/12.

<sup>4</sup> UNEP/FAO/RC/COP.6/6.

<sup>5</sup> UNEP/FAO/RC/COP.6/INF/3/Rev.1.

8. *Decides* that future terms of office will commence on 1 May of a given even-numbered year and end on 30 April four years later;
9. *Adopts* the list of 17 parties to nominate Committee members for terms of office commencing on 1 May 2014 as set out in the annex to the present decision;
10. *Decides* to request the Chemical Review Committee at its ninth meeting to identify an interim Chair of the Committee for its tenth meeting, and decides to confirm the election of the Chair at the seventh meeting of the Conference of the Parties to the Rotterdam Convention;
11. *Notes* the holding of an orientation workshop for the effective participation of new members in the work of the Chemical Review Committee, and requests the Secretariat to continue to organize such workshops for Committee members and to report on the results of that activity to the Conference of the Parties at its seventh meeting;
12. *Invites* parties and others in a position to do so to contribute to the work of the Committee and to provide financial support for the organization of the orientation workshop;
13. *Takes note* of the pocket guide for effective participation in the Chemical Review Committee,<sup>6</sup> and recommends that parties make use of it;
14. *Adopts* the amendment to the process for drafting decision guidance documents and accompanying explanatory notes<sup>7</sup> as proposed in paragraph 24 of the note by the Secretariat<sup>8</sup>.

### **Annex to decision RC-6/3**

#### **List of parties identified by the Conference of the Parties at its sixth meeting to nominate Chemical Review Committee members whose terms of office commence on 1 May 2014**

##### **African States**

Cameroon  
Ethiopia  
Morocco  
Togo

##### **Asia-Pacific States**

China  
Malaysia  
Pakistan  
Thailand

##### **Central and Eastern European States**

Poland  
Republic of Moldova

##### **Latin American and Caribbean States**

Antigua and Barbuda  
Dominican Republic  
Honduras

##### **Western European and other States**

Australia  
Canada  
Netherlands  
Spain

<sup>6</sup> [www.pic.int/tabid/1060/Default.aspx](http://www.pic.int/tabid/1060/Default.aspx).

<sup>7</sup> Decision RC-2/2.

<sup>8</sup> UNEP/FAO/RC/COP.6/6.

## RC-6/4: Listing of azinphos-methyl 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 azinphos-methyl 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
Azinphos-methyl	86-50-0	Pesticide

2. *Also decides* that this amendment shall enter into force for all parties on 10 August 2013;

3. *Approves* the draft decision guidance document on azinphos-methyl.<sup>9</sup>

## RC-6/5: Listing of commercial pentabromodiphenyl ether 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 pentabromodiphenyl ether (CAS No. 32534-81-9) and pentabromodiphenyl ether commercial mixtures subject to the prior informed consent procedure and accordingly to list those chemicals 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 chemicals:

Chemical	Relevant CAS number(s)	Category
Commercial pentabromodiphenyl ether including: – Tetrabromodiphenyl ether – Pentabromodiphenyl ether	40088-47-9 32534-81-9	Industrial

2. *Also decides* that this amendment shall enter into force for all parties on 10 August 2013;

3. *Approves* the draft decision guidance document on pentabromodiphenyl ether (CAS No. 32534-81-9) and pentabromodiphenyl ether commercial mixtures.<sup>10</sup>

<sup>9</sup> UNEP/FAO/RC/COP.6/7/Add.1, annex.

<sup>10</sup> UNEP/FAO/RC/COP.6/8/Add.1, annex.

## RC-6/6: Listing of commercial octabromodiphenyl ether 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 octabromodiphenyl ether commercial mixtures subject to the prior informed consent procedure and accordingly to list those chemicals 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 chemicals:

Chemical	Relevant CAS number(s)	Category
Commercial octabromodiphenyl ether including: – Hexabromodiphenyl ether – Heptabromodiphenyl ether	36483-60-0 68928-80-3	Industrial

2. *Also decides* that this amendment shall enter into force for all parties on 10 August 2013;

3. *Approves* the draft decision guidance document on octabromodiphenyl ether commercial mixtures.<sup>11</sup>

## RC-6/7: Listing of perfluorooctane sulfonic acid, perfluorooctane sulfonates, perfluorooctane sulfonamides and perfluorooctane sulfonyls 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 perfluorooctane sulfonic acid, perfluorooctane sulfonates, perfluorooctane sulfonamides and perfluorooctane sulfonyls subject to the prior informed consent procedure and accordingly to list those chemicals 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 chemicals:

Chemical	Relevant CAS number(s)	Category
Perfluorooctane sulfonic acid, perfluorooctane sulfonates, perfluorooctane sulfonamides and perfluorooctane sulfonyls including: – Perfluorooctane sulfonic acid – Potassium perfluorooctane sulfonate – Lithium perfluorooctane sulfonate – Ammonium perfluorooctane sulfonate – Diethanolammonium perfluorooctane sulfonate	1763-23-1 2795-39-3 29457-72-5 29081-56-9 70225-14-8	Industrial

<sup>11</sup> UNEP/FAO/RC/COP.6/9/Add.1, annex.

Chemical	Relevant CAS number(s)	Category
– Tetraethylammonium perfluorooctane sulfonate	56773-42-3	
– Didecyldimethylammonium perfluorooctane sulfonate	251099-16-8	
– N-Ethylperfluorooctane sulfonamide	4151-50-2	
– N-Methylperfluorooctane sulfonamide	31506-32-8	
– N-Ethyl-N-(2-hydroxyethyl) perfluorooctane sulfonamide	1691-99-2	
– N-(2-hydroxyethyl)-N-methylperfluorooctane sulfonamide	24448-09-7	
– Perfluorooctane sulfonyl fluoride	307-35-7	

2. *Also decides* that this amendment shall enter into force for all parties on 10 August 2013;

3. *Approves* the draft decision guidance document on perfluorooctane sulfonic acid, perfluorooctane sulfonates, perfluorooctane sulfonamides and perfluorooctane sulfonyls.<sup>12</sup>

### **RC-6/8: Consideration of liquid formulations (emulsifiable concentrate and soluble concentrate) containing paraquat dichloride at or above 276 g/L, corresponding to paraquat ion at or above 200 g/L for listing in Annex III to the Rotterdam Convention**

*The Conference of the Parties,*

*Acknowledging* the importance of not undermining human health and the environment in different regions of the world,

*Noting with appreciation* the work of the Chemical Review Committee in its consideration of liquid formulations (emulsifiable concentrate and soluble concentrate) containing paraquat dichloride at or above 276 g/L, corresponding to paraquat ion at or above 200 g/L, in particular the technical quality and comprehensiveness of the draft decision guidance document,

*Considering* that the draft decision guidance document should be used for information exchange purposes,

*Having considered* the recommendation of the Chemical Review Committee to make liquid formulations (emulsifiable concentrate and soluble concentrate) containing paraquat dichloride at or above 276 g/L, corresponding to paraquat ion at or above 200 g/L, subject to the prior informed consent procedure and accordingly to list it in Annex III to the Rotterdam Convention,

*Taking into account* that the Conference of the Parties is not yet able to reach consensus on whether to list liquid formulations (emulsifiable concentrate and soluble concentrate) containing paraquat dichloride at or above 276 g/L, corresponding to paraquat ion at or above 200 g/L, in Annex III to the Convention,

*Aware* that the failure to reach consensus so far has created concerns in most parties,

1. *Decides* that the agenda for its next ordinary meeting shall include further consideration of a draft decision to amend Annex III to the Rotterdam Convention to include the following chemical:

Chemical	Relevant CAS number(s)	Category
Liquid formulations (emulsifiable concentrate and soluble concentrate) containing paraquat dichloride at or above 276 g/L, corresponding to paraquat ion at or above 200 g/L	1910-42-5 4685-14-7	Severely hazardous pesticide formulation

<sup>12</sup> UNEP/FAO/RC/COP.6/10/Add.1, annex.

2. *Also decides* that the requirements set out in Article 6 of the Convention, including the criteria set out in part 3 of Annex IV to the Convention as referenced in paragraph 5 of Article 6, the requirements set out in paragraph 1 of Article 7 and the requirements set out in the first sentence of paragraph 2 of Article 7 on the process for listing in Annex III to the Convention, have been met;

3. *Encourages* Parties to make use of all available information on liquid formulations (emulsifiable concentrate and soluble concentrate) containing paraquat dichloride at or above 276 g/L, corresponding to paraquat ion at or above 200 g/L, including the draft decision guidance document, to assist others, in particular developing countries and countries with economies in transition, to make informed decisions regarding the import and management of liquid formulations (emulsifiable concentrate and soluble concentrate) containing paraquat dichloride at or above 276 g/L, corresponding to paraquat ion at or above 200 g/L, and to inform other Parties of those decisions using the information exchange provisions laid down in Article 14 of the Convention.

## **RC-6/9: 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 facilitative assistance and providing advice to Parties facing compliance issues,

1. *Decides* to consider further at its seventh meeting for adoption the procedures and mechanisms on compliance required under Article 17 of the Convention;

2. *Also decides* that the draft text reflecting the outcome of the work of the contact group on compliance that met during the sixth meeting of the Conference of the Parties, set out in the annex to the present decision, shall form the basis for its further work on the procedures and mechanisms at its seventh 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 seventh meeting.

### **Annex to decision RC-6/9**

#### **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. 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] [three-fourths] [four-fifths] majority of the members present and voting or by eight members, whichever is greater. Ten members of the Committee shall constitute a quorum.

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

12. Submissions may be made in writing, through the Secretariat 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, paragraph 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 receive relevant information, through the Secretariat, from:

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

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

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

### ***Information sharing with 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.

## **RC-6/10: Follow-up to decision RC-5/11 on progress made in the implementation of decision RC-3/5 on possible options for lasting and sustainable financial mechanisms**

### *The Conference of the Parties*

1. *Takes note* of the actions taken by the Secretariat pursuant to decision RC-3/5;
2. *Requests* the Secretariat to continue its collaboration with relevant partners, such as the Global Environment Facility and its implementing agencies and the participating organizations of the Inter-Organization Programme for the Sound Management of Chemicals, to ensure that provisions relevant to the Rotterdam Convention are taken into account in the development of technical assistance projects and activities in follow-up to decision RC-3/5.

## **RC-6/11: Technical assistance**

### *The Conference of the Parties*

1. *Takes note* of the information provided by the Secretariat on technical assistance for the implementation of the Convention;<sup>13</sup>
2. *Invites* developing-country parties and parties with economies in transition to continue to inform the Secretariat of their needs in terms of technical assistance and capacity-building, difficulties in implementing the Rotterdam Convention and any other observations in that regard;
3. *Invites* developed-country parties and others with the capacity to do so to continue to provide information to the Secretariat on available technical assistance and capacity-building that they could provide to developing country parties and parties with economies in transition;
4. *Requests* the Secretariat to develop, within available resources, online questionnaires for the collection of the information referred to in paragraphs 2 and 3 above;
5. *Takes note* of the technical assistance programme set out in the note by the Secretariat on the issue<sup>14</sup> and requests the Secretariat to take into account the elements contained therein when carrying out its work to facilitate the delivery of technical assistance and capacity-building for the implementation of the Convention;
6. *Requests* the Secretariat:
  - (a) To submit a report to the Conference of the Parties at its seventh meeting on progress in the implementation of the technical assistance and capacity-building programme mentioned above, taking into account the information to be provided pursuant to paragraphs 2 and 3 above;
  - (b) To prepare a technical assistance programme for the biennium 2016–2017 based on the information collected pursuant to paragraphs 2 and 3 above and taking into account the synergies process.

## **RC-6/12: Venue and date of the next meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions**

### *The Conference of the Parties*

1. *Decides* to convene in 2015 back-to-back ordinary meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions (without a high-level segment or simultaneous extraordinary meetings) in Geneva that include joint sessions, where appropriate, on joint issues and that prioritize an agenda and schedule that focus on substantive matters related to implementation of the conventions and provide sufficient time for their consideration;
2. *Requests* the Executive Secretary, in order to assist parties with the challenges and opportunities that such back-to-back meetings present, to support, within available resources, regional meetings to assist regional preparatory processes, coordinated with other regional meetings.

<sup>13</sup> UNEP/FAO/RC/COP.6/15.

<sup>14</sup> UNEP/FAO/RC/COP.6/INF/19.

## **RC-6/13: Official communications**

### *The Conference of the Parties*

1. *Adopts* the revised harmonized form for notification of contacts, as set out in the annex to the present decision;
2. *Urges* parties to designate official contact points and designated national authorities, if they have not already done so, using the revised form, as well as to confirm and provide the Secretariat with updated contact details for existing official contact points and designated national authorities;
3. *Requests* the Secretariat to maintain and update, as necessary, the list of official contact points and designated national authorities, and to continue to make the list publicly available on the Rotterdam Convention website.

## Annex to decision RC-6/13

## Revised form for notification of designation of contact(s)


**Basel, Rotterdam and Stockholm Conventions**

BASEL CONVENTION ROTTERDAM CONVENTION STOCKHOLM CONVENTION
**FORM FOR NOTIFICATION OF DESIGNATION OF CONTACT(S)\***
**STATE/ORGANIZATION:**
**Nomination of\*:**

- ☐ Basel Convention Focal Point  
☐ Basel Convention Competent Authority/Authorities  
☐ Rotterdam Convention Official Contact Point  
☐ Rotterdam Convention Designated National Authority /Authorities\*\*

(if relevant to your country, please provide further information on the scope of the DNA's mandate/responsibilities.  
.....)

- ☐ Stockholm Convention Official Contact Point      ☐ Stockholm Convention National Focal Point

\* In the case of notification of multiple contacts, please use one sheet per contact point or include a list as an attachment to this form. See back page for the roles and responsibilities of each type of contact.

\*\*Parties may designate one or more DNAs in accordance with Article 4 of the Convention and with different responsibilities (e.g. pesticides, industrial chemicals)

**Kindly note that self-nominations will not be considered.**

**This form should be completed by an entity duly authorized to communicate such information to the Secretariat (such as a permanent mission to the United Nations or a ministry of foreign affairs). The information transmitted shall be included in the official records of the Secretariat as the officially designated country contact(s) for the Basel, Rotterdam and/or Stockholm Conventions.**

**Institution/department**
**Address**

*Street, number*  
*Postal code*  
*City*  
*Province*  
*Country*

**Telephone number**

*Country code – city code – local number*

**Fax number**

*Country code - city code - local number*

**E-mail address**
**Name of contact person**

*Title – first name – surname*

☐ Mr.      ☐ Ms.

**Position of contact person**

**Please tick as appropriate**

- ☐ The above notification is a first-time nomination by the State/organization concerned
- ☐ The above notification is in addition to the previous nomination by the State/organization concerned
- ☐ The above notification is in replacement of the previous nomination by the State/organization concerned

THIS NOTIFICATION HAS BEEN SUBMITTED BY	
<b>Name</b>	
<b>Institution/department</b>	
<b>Address</b> <i>Street, number</i> <i>Postal code</i> <i>City</i> <i>Province</i> <i>Country</i>	
<b>Telephone number</b> <i>Country code – city code – local number</i>	
<b>Fax number</b> <i>Country code – city code – local number</i>	
<b>E-mail address</b>	
<b>Date and signature</b>	

**PLEASE RETURN COMPLETED FORM TO:**

Secretariat of the Basel, Rotterdam and Stockholm Conventions  
 11–13, Chemin des Anémones  
 CH–1219 Châtelaine  
 Geneva  
 Switzerland

**Fax: (+41) 22 917 80 98**

**E-mail: [contacts@brsmeas.org](mailto:contacts@brsmeas.org)**

The Secretariat will acknowledge receipt of the information transmitted and make it publicly available on the website of the appropriate convention(s).

## **Contacts under the Basel, Rotterdam and Stockholm conventions: roles and responsibilities**

### **(i) Basel Convention focal point (Articles 2 and 5)**

“Focal point” means the entity of a party referred to in Article 5 of the Basel Convention responsible for receiving and submitting information as provided for in Articles 13 and 16.

To facilitate the implementation of the Convention, the parties shall:

1. Designate or establish one or more competent authorities and one focal point. One competent authority shall be designated to receive the notification in case of a State of transit.
2. Inform the Secretariat, within three months of the date of the entry into force of this Convention for them, which agencies they have designated as their focal point and their competent authorities.
3. Inform the Secretariat, within one month of the date of the decision, of any changes regarding the designation made by them under paragraph 2 above.

### **(ii) Basel Convention competent authority/authorities (Articles 2 and 5)**

“Competent authority” means one governmental authority designated by a party to be responsible, within such geographical areas as the party may think fit, for receiving the notification of a transboundary movement of hazardous wastes or other wastes, and any information related to it, and for responding to such notification as provided in Article 6.

To facilitate the implementation of the Convention, the parties shall:

1. Designate or establish one or more competent authorities and one focal point. One competent authority shall be designated to receive the notification in case of a State of transit.
2. Inform the Secretariat, within three months of the date of the entry into force of this Convention for them, which agencies they have designated as their focal point and their competent authorities.
3. Inform the Secretariat, within one month of the date of the decision, of any changes regarding the designation made by them under paragraph 2 above.

### **(iii) Rotterdam Convention designated national authority/authorities (Article 4)**

Each party shall designate one or more national authorities that shall be authorized to act on its behalf in the performance of the administrative functions required by the Rotterdam Convention.

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

### **(iv) Rotterdam Convention official contact point**

The Secretariat communicates with an official contact point of a party on such official issues as notices regarding participation in meetings of the Conference of the Parties, circulation of the reports of such meetings, proposals for the addition of chemicals to Annex III of the Convention and for inclusion in the PIC procedure, and the nominations of experts to such subsidiary bodies as the Chemical Review Committee.

### **(v) Stockholm Convention official contact point (decision SC-2/16 of the Conference of the Parties)**

Parties and non-party States are invited to nominate to the Secretariat an official contact point for the performance of administrative functions and all formal communications under the Convention.

### **(vi) Stockholm Convention national focal point (Article 9)**

Each party shall designate a national focal point for the exchange of information as specified under Article 9 of the Convention. Non-party States may also designate such national focal points.

## RC-6/14: Admission of observers

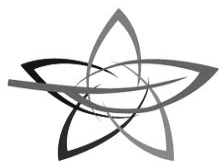
### *The Conference of the Parties*

1. *Approves* the application form for admission as an observer at meetings 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, set out in the annex to the present decision;
2. *Invites* any body or agency wishing to be represented as an observer at the meetings of the Conference of the Parties to the Rotterdam Convention, or, as appropriate, its subsidiary bodies, to submit to the Secretariat the information required in accordance with the form set out in the annex to the present decision for consideration by the Conference of the Parties at its next ordinary meeting;
3. *Requests* the Secretariat to maintain a list of national and international, governmental and non-governmental bodies and agencies represented as observers at meetings of the Conference of the Parties, for the purpose of inviting observers to those meetings and for official communications with observers during the periods between meetings of the Conference of the Parties and its subsidiary bodies;
4. *Also requests* the Secretariat, within the context of its work to maintain the list referred to in paragraph 3 above, to continue to confirm that the bodies or agencies making requests for admission as observers meet the relevant criteria in accordance with the Convention and the rules of procedure;
5. *Further requests* the Secretariat to report to the Conference of the Parties at its seventh meeting on experiences with using the form referred to in paragraph 1 above and the practices followed regarding the admission of observers to meetings of the bodies of the Basel, Rotterdam and Stockholm conventions;
6. *Agrees* that the list referred to in paragraph 3 above shall include those bodies or agencies represented as observers at previous meetings of the Conference of the Parties;
7. *Requests* the Secretariat to continue to maintain the list referred to in paragraph 3 above and to update it after each ordinary meeting of the Conference of the Parties.



## Annex to decision RC-6/14

## Application for admission as an observer to meetings of the Conference of the Parties to the Rotterdam Convention



## ROTTERDAM CONVENTION

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



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## Application for admission as an observer to meetings of the Conference of the Parties to the Rotterdam Convention<sup>15</sup>

Paragraph 7 of Article 18 of the Rotterdam Convention provides: “The United Nations, its specialized agencies and the International Atomic Energy Agency, as well as any State not Party to the Convention may be represented at meetings of the Conference of the Parties as observers. Any body or agency, whether national or international, governmental or non-governmental, qualified in matters covered by the Convention, and which has informed the Secretariat of its wish to be represented at a meeting of the Conference of the Parties as an observer may be admitted unless at least one third of the parties present object. The admission and participation of observers shall be subject to the rules of procedure adopted by the Conference of the Parties.”

Paragraph 1 of rule 7 of the rules of procedure for the Conference of the Parties to the Rotterdam Convention provides: “Any body or agency, whether national or international, governmental or non-governmental, which is qualified in matters covered by the Convention and which has informed the Secretariat of its wish to be represented at a meeting as an observer may be so admitted unless one third of the parties present at the meeting object.”

To apply for admission as an observer at meetings of the Rotterdam Convention bodies (i.e., the Conference of the Parties and, as appropriate, the Chemical Review Committee), any interested body or agency should complete the present application form and send it, along with supporting documents, to [brs@brsmeas.org](mailto:brs@brsmeas.org) at least **one month** prior to the commencement date or opening of the meeting in question. The Secretariat will screen the applications to check whether they are complete and in conformity with the above-mentioned requirements. Successful applications will be submitted to the Conference of the Parties at its next meeting following receipt of the relevant documents.

In the event that any body or agency wishes to attend a meeting of a subsidiary body established under the Rotterdam Convention prior to their application being reviewed by the Conference of the Parties, such body or agency may be represented as an observer at the meeting of the subsidiary body on a provisional basis and will be considered for admission to meetings of the bodies established under the Rotterdam Convention at the next ordinary meeting of the Conference of the Parties, without prejudice to any decision of the Conference of the Parties or any relevant rules on admission of observers at meetings of that subsidiary body.

<sup>15</sup> This process does not apply to those entities represented by observers in accordance with rule 6 of the rules of procedure for the Conference of the Parties to the Rotterdam Convention, i.e., the United Nations and its specialized agencies, the International Atomic Energy Agency and any State not party to the Convention.

*Please complete those sections in the form below that are relevant to the body or agency making the request for admission:*

<b>I. Name of body or agency</b>	
<b>Contact person (if any):</b> (Mr. / Ms.)	
<b>Address:</b>	
<b>Tel:</b>	
<b>Fax:</b>	
<b>Email:</b>	
<b>National or international:</b>	
<b>Qualification in matters covered by the Rotterdam Convention</b>	
<b>II. Affiliation with networks, non-governmental organizations or institutions involved in activities relating to the Food and Agriculture Organization of the United Nations (FAO) or the United Nations Environment Programme (UNEP) and/or the Rotterdam Convention</b>	
<b>Economic and Social Council consultative status:</b>	Yes _____ No _____
<b>Other relevant affiliation (e.g., United Nations Permanent Forum on Indigenous Issues)</b>	Yes _____ No _____

<b>Information to be provided, where relevant:</b>	
<b>III. Membership of networks:</b>	
<b>Name of network:</b>	
<b>Type of network:</b>	
<b>Geographical distribution:</b>	
<b>Date of membership:</b>	

<b>Information to be provided, if available:</b>	
1. Information describing the body or agency 2. Information on the affiliation of the body or agency with non-governmental organizations or institutions 3. Information on the programmes and activities undertaken by the body or agency/qualification in matters covered by the Convention 4. Description of any network and/or membership system	
<b>Signature and/or seal</b> (the application must be signed by a duly authorized representative)	
<b>Date:</b>	

## **Decision RC-6/15: Development of a draft memorandum of understanding between the Food and Agriculture Organization of the United Nations and the United Nations Environment Programme and 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 Conference of the Parties*

1. *Takes note* of the proposal for the development of memorandums of understanding between the conferences of the parties to the Basel and Stockholm conventions and the Executive Director of the United Nations Environment Programme concerning the provision of secretariat functions;
2. *Recalls* its decision RC-2/5, by which the Conference of the Parties approved the arrangements for the performance of the secretariat functions of the Rotterdam Convention specified in a memorandum of understanding between the Director-General of the Food and Agriculture Organization of the United Nations and the Executive Director of the United Nations Environment Programme;
3. *Recognizes* that openness, transparency and the application of an equal and harmonized approach to the relationship between the United Nations Environment Programme and the multilateral environmental agreement secretariats that it administers should apply to the development and implementation of institutional arrangements for the provision of the secretariat functions for the respective agreements;
4. *Takes note* of the request of the Governing Council of the United Nations Environment Programme, set out in its decision 27/13 of 22 February 2013, which followed two similar requests at earlier sessions of the Governing Council, to the Executive Director to deepen consultations with the multilateral environmental agreements for which the United Nations Environment Programme provides the secretariat, in the preparation, by 30 June 2013, of a full report on the relationship between the United Nations Environment Programme and those multilateral environmental agreements, and for the submission of a final report on that subject to the United Nations Environment Assembly of the United Nations Environment Programme at its 2014 session and to the governing bodies of those multilateral environmental agreements;
5. *Notes* that, in accordance with United Nations General Assembly resolution 60/283 of 7 July 2006, the United Nations Secretariat, including the United Nations Environment Programme, will implement the International Public Service Accounting Standards, with effect from 1 January 2014, replacing the current United Nations System Accounting Standards;<sup>16</sup>
6. *Acknowledges* the potential impact of resolution 60/283 on the provision of secretariat functions to the Convention, including issues such as the appropriate size of the working capital reserve, and, in this context, expresses its regret that the full report referred to in paragraph 3 above was not available at the sixth meeting of the Conference of the Parties;
7. *Invites* the executive secretaries to actively engage in the consultations undertaken by the United Nations Environment Programme, bearing in mind the legal autonomy of the Rotterdam Convention and the decision-making powers of the Conference of the Parties in relation to the provision of secretariat functions;
8. *Requests* the executive secretaries to report on those consultations and their possible impact on the proposed memorandum of understanding between the Executive Director and the Conference of the Parties to the Rotterdam Convention to the Bureau, during the intersessional period, and to the Conference of the Parties at its seventh meeting;
9. *Also requests* the executive secretaries to submit a draft memorandum of understanding to the Conference of the Parties to the Rotterdam Convention at its seventh meeting.

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<sup>16</sup> See UNEP/GC.27/14/Rev.1.

## RC-6/16: Financing and budget for the biennium 2014–2015

*The Conference of the Parties,*

*Taking note* of the financial reports on the Rotterdam Convention trust funds for 2012 and estimated expenditures for 2013 from the Trust Fund for the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade (Rotterdam Convention Trust Fund),

1. *Approves* the programme budget for the Rotterdam Convention for the biennium 2014–2015 of 3,727,472 United States dollars for 2014 and 3,910,302 United States dollars for 2015 for the purposes set out in table 1 of the present decision, which are presented by budget code line in table 2 of the present decision;
2. *Authorizes* the executive secretaries of the Secretariat of the Convention to make commitments in an amount 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 2014–2015;
4. *Welcomes* the continued annual contribution by Italy and Switzerland, the host countries, of 600,000 euros each to the Secretariat to offset planned expenditures;
5. *Takes note* of the intention of the Government of Switzerland to reallocate a portion of its contribution from the General Trust Fund to the Voluntary Special Trust Fund;
6. *Notes* that, for the period 2014–2015, 75 per cent of Switzerland's annual host country contribution of 600,000 euros will be allocated to the General Trust Fund, while 25 per cent will be allocated to the Voluntary Special Trust Fund;
7. *Also notes* that for the period 2016–2017 and beyond less than 75 per cent of Switzerland's annual host country contributions will be allocated to the General Trust Fund and more than 25 per cent will be allocated to the Voluntary Special Trust Fund;
8. *Takes note* of the indicative staffing table for the Secretariat for the biennium 2014–2015 used for costing purposes to set the overall budget, which is set out in table 5 of the present decision;
9. *Authorizes* the executive secretaries to continue to determine the staffing levels, numbers and structure of the Secretariat in a flexible manner, provided that the executive secretaries remain within the overall cost of the staff numbers set out in table 5 of the present decision for the biennium 2014–2015;
10. *Adopts* the indicative scale of assessments for the apportionment of expenses for the biennium 2014–2015 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 2014 for 2014 and before 1 January 2015 for 2015;
11. *Decides* to maintain the working capital reserve at the level of 15 per cent of the annual average of the biennial operational budgets for 2014–2015;
12. *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 3 (a) of rule 5 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;
13. *Decides*, with regard to assessed and host country contributions due from 1 January 2010 onwards, that no representative of any party whose contributions are in arrears for two or more years shall be eligible to become a member of the Bureau of the Conference of the Parties or any subsidiary body of the Conference of the Parties; 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 in accordance with the financial rules;
14. *Also decides* to further consider additional incentives and measures to address arrears in core budget contributions to the Convention in an effective and efficient manner at its next meeting;

15. *Requests* the Secretariat to present options for incentives and measures, including information on those applied under other multilateral environmental agreements to deal with such challenges;
16. *Takes note* of the funding estimates included in table 3 of the present decision for activities under the Convention to be financed from the Special Trust Fund of the Convention in the amount of 3,195,442 dollars for 2014 and 4,041,011 dollars for 2015;
17. *Stresses* the need to ensure that the Voluntary Special Trust Fund requirement presented in the budget is realistic and represents agreed priorities of all parties so as to encourage contributions from donors;
18. *Notes* that the Voluntary Special Trust Fund requirement presented in the budget represents its best efforts to be realistic and reflects priorities agreed upon by all parties and urges parties and invites non-parties and others to make voluntary contributions to the Voluntary Special Trust Fund so as to encourage contributions from donors;
19. *Decides* that the two trust funds for the Convention shall be continued until 31 December 2015 and requests the Executive Director of the United Nations Environment Programme to extend them for the biennium 2014–2015, subject to the approval of the United Nations Environment Assembly of the United Nations Environment Programme;
20. *Invites* Switzerland to include in its contribution to the Voluntary Special Trust Fund support for, among other things, the participation of developing-country parties, in particular least developed countries and small island developing States, and parties with economies in transition in meetings of the Convention and for joint activities between the Basel, Rotterdam and Stockholm conventions;
21. *Urges* parties, and invites others in a position to do so, to contribute urgently to the Voluntary Special Trust Fund with a view to ensuring the full and effective participation of developing-country parties, in particular the least developed countries and small island developing States, and parties with economies in transition in the meetings of the Conference of the Parties;
22. *Requests* the executive secretaries, bearing in mind decision RC.Ex-2/1, 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 in that regard;
23. *Also requests* the executive secretaries to prepare a budget for the biennium 2016–2017, for consideration by the Conference of the Parties at its seventh meeting, explaining the key principles, assumptions and programmatic strategy on which the budget is based and presenting expenditures for the 2016–2017 period in both a programmatic format and by budget code line;
24. *Invites* the Executive Director of the United Nations Environment Programme to ensure that staff training to comply with United Nations mandatory training for staff members is financed from programme support costs since it represents an overhead cost in the operations of the Secretariat;
25. *Notes* the need to facilitate priority-setting by providing 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 2016–2017 two alternative funding scenarios that take account of any efficiencies identified as a result of paragraph 22 above and are based on:
  - (a) Their assessment of the required changes in the operational budget to finance all proposals before the Conference of the Parties that have budgetary implications;
  - (b) Maintaining the operational budget at the 2014–2015 level in nominal terms;
26. *Requests* the executive secretaries at the seventh 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;
27. *Recalls* its earlier request to the Executive Director of the United Nations Environment Programme to request an audit by the Office of Internal Oversight Services on coordination and cooperation among the Basel, Rotterdam and Stockholm conventions and requests the Executive Director to present the report on that audit to the Conference of the Parties for consideration at its next ordinary meeting.

**Table 1****A. Programme budget for 2014–2015 (in United States dollars)****Activities related to the Basel, Rotterdam and Stockholm conventions****1. Conferences and meetings**

Activity No.	Activities	2014						2015							
		Source of funding						Source of funding							
		Basel Convention		Rotterdam Convention		Stockholm Convention		Basel Convention		Rotterdam Convention		Stockholm Convention		Biennium	
		BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	Total funding General TF	Total funding Special TF
1 (BC)	Twelfth meeting of the Conference of the Parties to the Basel Convention	0	0	0	0	0	0	522 527	820 400	0	0	0	0	522 527	820 400
2 (RC)	Seventh meeting of the Conference of the Parties to the Rotterdam Convention	0	0	90 000	0	0	0	0	0	432 527	820 400	0	0	522 527	820 400
3 (SC)	Seventh meeting of the Conference of the Parties to the Stockholm Convention	0	0	0	0	80 000	0	0	0	0	0	442 527	820 400	522 527	820 400
4 (BC)	Ninth meeting of the Open-ended Working Group of the Basel Convention	354 865	545 904	0	0	0	0	0	0	0	0	0	0	354 865	545 904
5 (RC)	Tenth and eleventh meetings of the Chemical Review Committee	0	0	214 313	0	0	0	0	0	214 313	0	0	0	428 626	0
6 (SC)	Tenth and eleventh meetings of the Persistent Organic Pollutants Review Committee	0	0	0	0	458 297	24 260	0	0	0	0	458 297	77 632	916 594	101 892
7 (BC)	Meeting of the Bureau of the conference of the Parties to the Basel Convention and joint meetings of the bureaux of the Basel, Rotterdam and Stockholm conventions	47 640	0	0	0	0	0	0	0	0	0	0	0	47 640	0
8 (RC)	Meeting of the Bureau of the conference of the Parties to the Rotterdam Convention and joint meetings of the bureaux of the Basel, Rotterdam and Stockholm conventions	0	0	25 408	0	0	0	0	0	0	0	0	0	25 408	0

Activity No.	Activities	2014						2015							
		Source of funding						Source of funding							
		Basel Convention		Rotterdam Convention		Stockholm Convention		Basel Convention		Rotterdam Convention		Stockholm Convention		Biennium	
		BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	Total funding General TF	Total funding Special TF
9 (SC)	Meeting of the Bureau of the Conference of the Parties to the Stockholm Convention and joint meetings of the bureaux of the Basel, Rotterdam and Stockholm conventions	0	0	0	0	38 112	0	0	0	0	0	0	0	38 112	0
10 (BC)	Meeting of the Basel Convention Implementation and Compliance Committee	39 545	13 785	0	0	0	0	0	0	0	0	0	0	39 545	13 785
	Meeting of the Rotterdam Convention Implementation and Compliance Committee			39 545	13 785									39 545	13 785
	Meeting of the Stockholm Convention Implementation and Compliance Committee					39 545	13 785							39 545	13 785
11 (RC)	Orientation workshop for members of the Chemical Review Committee	0	0	0	58 140	0	0	0	0	0	0	0	0	0	58 140
12 (S6)	Support for the work of and coordination between the scientific bodies of the conventions	0	8 000	0	8 000	0	4 000	0		0		0		0	20 000

2014–2015 total (non-staff cost)	442 050	567 689	369 266	79 925	615 954	42 045	522 527	820 400	646 840	820 400	900 824	898 032	3 497 461	3 228 491
2014–2015 total (staff cost)	852 180	126 210	927 413	150 967	1 232 741	467 010	875 884	131 258	849 915	157 005	1 291 913	485 690	6 030 047	1 518 141

## 2. Technical assistance and capacity-building

### (a) Development of tools and methodologies

Activity No.	Activities	2014						2015							
		Source of funding						Source of funding							
		Basel Convention		Rotterdam Convention		Stockholm Convention		Basel Convention		Rotterdam Convention		Stockholm Convention		Biennium	
		BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	Total funding General TF	Total funding Special TF
13 (S1)	Tools and methodologies for training and capacity-building	15 000	322 500	40 000	322 500	15 000	321 000	15 000	155 000	40 000	155 000	15 000	161 000	140 000	1 437 000

2014–2015 total technical assistance and capacity-building (a)	15 000	322 500	40 000	322 500	15 000	321 000	15 000	155 000	40 000	155 000	15 000	161 000	140 000	1 437 000
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### (b) Capacity-building and training

14 (BC)	Training and capacity-building activities to enhance the implementation of the Basel Convention at the regional level	0	420 000	0	0	0	0	0	635 000	0	0	0	0	0	1 055 000
15 (RC)	Training and capacity-building activities to enhance the implementation of the Rotterdam Convention at national and regional levels	0	0	0	1 305 500	0	0	0	0	0	1 525 500	0	0	0	2 831 000
16 (SC)	Training and capacity-building activities to enhance the implementation of the Stockholm Convention at the regional level	0	0	0	0	0	735 500	0	0	0	0	0	622 500	0	1 358 000
17 (S2/S3)	Training and capacity-building activities to enhance the implementation of the Basel, Rotterdam and Stockholm conventions at the regional and national levels	0	236 000	0	473 500	0	294 000	0	316 000	0	419 500	0	337 000	0	2 076 000

2014–2015 total technical assistance and capacity-building (b)	0	656 000	0	1 779 000	0	1 029 500	0	951 000	0	1 945 000	0	959 500	0	7 320 000
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### (c) Partnerships

18 (S4)	Partnerships for technical assistance	22 000	382 500	0	100 000	0	107 500	25 000	282 500	0	80 000	0	87 500	47 000	1 040 000
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2014–2015 total technical assistance and capacity-building (c)	22 000	382 500	0	100 000	0	107 500	25 000	282 500	0	80 000	0	87 500	47 000	1 040 000
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**(d) Regional centres**

<b>19 (S8/9)</b>	Coordination of and support to the Basel and Stockholm Conventions regional centres and cooperation and coordination between regional centres	70 500	90 000	–	48 000	90 050	93 500	5 000	99 650	–	58 000	25 000	99 650	190 550	488 800
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<b>2014–2015 total technical assistance and capacity-building (d)</b>	<b>70 500</b>	<b>90 000</b>	<b>0</b>	<b>48 000</b>	<b>90 050</b>	<b>93 500</b>	<b>5 000</b>	<b>99 650</b>	<b>0</b>	<b>58 000</b>	<b>25 000</b>	<b>99 650</b>	<b>190 550</b>	<b>488 800</b>
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<b>2014–2015 total (non-staff cost)</b>	<b>107 500</b>	<b>1 451 000</b>	<b>40 000</b>	<b>2 249 500</b>	<b>105 050</b>	<b>1 551 500</b>	<b>45 000</b>	<b>1 488 150</b>	<b>40 000</b>	<b>2 238 000</b>	<b>40 000</b>	<b>1 307 650</b>	<b>377 550</b>	<b>10 285 800</b>
<b>2014–2015 total (staff cost)</b>	<b>395 397</b>	<b>126 210</b>	<b>459 631</b>	<b>286 837</b>	<b>445 683</b>	<b>121 077</b>	<b>411 213</b>	<b>131 258</b>	<b>437 349</b>	<b>298 310</b>	<b>463 511</b>	<b>125 920</b>	<b>2 612 785</b>	<b>1 089 612</b>

**3. Scientific and technical activities**

Activity No.	Activities	2014						2015							
		Source of funding						Source of funding							
		Basel Convention		Rotterdam Convention		Stockholm Convention		Basel Convention		Rotterdam Convention		Stockholm Convention		Biennium	
		BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	Total funding General TF	Total funding Special TF
<b>20 (S7)</b>	Scientific support to parties to the Basel Convention	70 000	140 000	0	0	0	90 000	0	85 000	0	0	0	65 000	70 000	380 000
<b>21 (RC)</b>	Scientific support to parties to the Rotterdam Convention	0		30 000	15 500	0		0		30 000	15 500	0		60 000	31 000
<b>22 (SC)</b>	Scientific support to parties to the Stockholm Convention	0				83 000	190 000	0				8 000	137 000	91 000	327 000
<b>23 (SC)</b>	Effectiveness evaluation and the Global Monitoring Plan	0	0	0	0	60 000	360 000	0	0	0	0	60 000	160 000	120 000	520 000
<b>24 (S15)</b>	National reporting	40 000	45 000	0			30 000		42 000	0	0		27 000	40 000	144 000

<b>2014–2015 total (non-staff cost)</b>	<b>110 000</b>	<b>185 000</b>	<b>30 000</b>	<b>15 500</b>	<b>143 000</b>	<b>670 000</b>	<b>0</b>	<b>127 000</b>	<b>30 000</b>	<b>15 500</b>	<b>68 000</b>	<b>389 000</b>	<b>381 000</b>	<b>1 402 000</b>
<b>2014–2015 total (staff cost)</b>	<b>306 433</b>	<b>–</b>	<b>199 462</b>	<b>–</b>	<b>379 305</b>	<b>216 208</b>	<b>318 690</b>	<b>–</b>	<b>186 278</b>	<b>–</b>	<b>394 477</b>	<b>224 857</b>	<b>1 784 646</b>	<b>441 065</b>

**4. Knowledge and information management and outreach**

Activity No.	Activities	2014						2015							
		Source of funding						Source of funding							
		Basel Convention		Rotterdam Convention		Stockholm Convention		Basel Convention		Rotterdam Convention		Stockholm Convention		Biennium	
		BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	Total funding General TF	Total funding Special TF
<b>25 (S10)</b>	Clearing-house mechanism for information exchange, including PIC database and Rotterdam Convention website in English, French and Spanish	169 600	0	42 000	0	28 000	0	169 600	0	42 000	0	28 000	0	479 200	0
<b>26 (S14)</b>	Publications	48 000	0	39 150	0	54 200	0	38 000	0	29 150	0	44 200	0	252 700	0
<b>27 (S12/S13)</b>	Joint communication, outreach and public awareness	0	29 000	0	29 000	0	30 000	0	30 200	0	30 200	0	30 300	0	178 700

<b>2014–2015 total (non-staff cost)</b>	<b>217 600</b>	<b>29 000</b>	<b>81 150</b>	<b>29 000</b>	<b>82 200</b>	<b>30 000</b>	<b>207 600</b>	<b>30 200</b>	<b>71 150</b>	<b>30 200</b>	<b>72 200</b>	<b>30 300</b>	<b>731 900</b>	<b>178 700</b>
<b>2014–2015 total (staff cost)</b>	<b>389 466</b>	<b>–</b>	<b>555 546</b>	<b>15 097</b>	<b>540 510</b>	<b>51 890</b>	<b>405 045</b>	<b>–</b>	<b>526 925</b>	<b>15 701</b>	<b>562 130</b>	<b>53 966</b>	<b>2 979 622</b>	<b>136 653</b>

## 5. Overall management

Activity No.	Activities	2014						2015							
		Source of funding						Source of funding						Biennium	
		Basel Convention		Rotterdam Convention		Stockholm Convention		Basel Convention		Rotterdam Convention		Stockholm Convention		Total funding General TF	Total funding Special TF
		BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	BCTF	BDTF	ROTF	RVTF	SCTF	SVTF		
28 (S18)	Executive direction and management	136 400	0	100 457	0	125 400	0	99 900	0	152 621	0	110 900	0	725 678	0
29 (S19)	International cooperation and coordination	0	80 000	0	0	0	0	10 000	0	0	0	0	0	0	90 000
30 (S16)	Resource mobilization (resource mobilization database development funded from fund balance \$2,000 per Convention per year from general trust fund)	4 000	1 000	4 000	1 000	4 000	1 000	4 000	1 000	4 000	1 000	4 000	1 000	24 000	6 000
31 (S17)	Support for the review of the synergies decisions. (staff time only)	0	0	0	0	0	0	0	0	0	0	0	0	0	0
2014–2015 total (non-staff cost)		140 400	81 000	104 457	1 000	129 400	1 000	103 900	11 000	156 621	1 000	114 900	1 000	749 678	96 000
2014–2015 total (staff cost)		425 843	–	322 609	–	739 645	172 967	452 335	–	301 285	–	769 231	179 885	3 010 947	352 852

## 6. Legal and policy

Activity No. 2014-2015	Activities	2014						2015							
		Source of funding						Source of funding						Biennium	
		Basel Convention		Rotterdam Convention		Stockholm Convention		Basel Convention		Rotterdam Convention		Stockholm Convention		Total funding General TF	Total funding Special TF
		BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	BCTF	BDTF	ROTF	RVTF	SCTF	SVTF		
32 (BC)	Legal and policy activities specific to the Basel Convention	0	145 000	0	0	0	0	0	145 000	0	0	0	0	0	290 000
33 (S20)	Legal and policy activities under the Basel, Rotterdam and Stockholm conventions. National legislation, illegal traffic and trade, and enforcement under the Basel, Rotterdam and Stockholm conventions	0	155 000	0	0	0	0	0	75 000	0	0	0	0	0	230 000
34 (BC)	Coordinate and provide support to parties in follow-up to the country-led initiative on environmentally sound management and further legal clarity	0	230 000	0	0	0	0	0	150 000	0	0	0	0	0	380 000
2014–2015 total (non-staff cost)		0	530 000	0	0	0	0	0	370 000	0	0	0	0	0	900 000
2014–2015 total (staff cost)		398 462	108 180	32 955	–	256 031	8 648	415 325	112 507	30 776	–	256 410	8 994	1 389 959	238 330

## 7. Office maintenance and services

Activity No.	Activities	2014						2015							
		Source of funding						Source of funding						Biennium	
		Basel Convention		Rotterdam Convention		Stockholm Convention		Basel Convention		Rotterdam Convention		Stockholm Convention		Total funding General TF	Total funding Special TF
		BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	BCTF	BDTF	ROTF	RVTF	SCTF	SVTF		
35 (S21)	Office maintenance and services	148 738	0	142 909	0	165 265	0	156 175	0	150 054	0	173 528		936 670	0
36 (S11)	Joint information technology services	38 800	0	33 250	0	38 800	0	38 800	0	33 250	0	38 800	0	221 700	0
2014–2015 total (non-staff cost)		187 538	0	176 159	0	204 065	0	194 975	0	183 304	0	212 328	0	1 158 370	0
2014–2015 total (staff cost)		316 318	–			199 135	–	328 971				207 101	–	1 051 524	–

2014–2015 total (non-staff cost)	1 205 088	2 843 689	801 032	2 374 925	1 279 669	2 294 545	1 074 002	2 846 750	1 127 915	3 105 100	1 408 252	2 625 982	6 895 959	16 090 991
2014–2015 total (staff cost)	3 084 100	360 600	2 497 616	452 900	3 793 050	1 037 800	3 207 464	375 024	2 332 529	471 016	3 944 772	1 079 312	18 859 531	3 776 652
2014–2015 grand total	4 289 188	3 204 289	3 298 648	2 827 825	5 072 719	3 332 345	4 281 466	3 221 774	3 460 444	3 576 116	5 353 024	3 705 294	25 755 489	19 867 643

**B. Summary table of costs and requirements by heading for 2014-2015 (in United States dollars)**

	2014								2015							
	BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	Total Gen TF	Total Vol TF	BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	Total Gen TF	Total Vol TF
<b>Conferences and meetings</b>	442 050	567 689	369 266	79 925	615 954	42 045	1 427 270	689 659	522 527	820 400	646 840	820 400	900 824	898 032	2 070 191	2 538 832
<b>Technical assistance and capacity-building</b>	107 500	1 451 000	40 000	2 249 500	105 050	1 551 500	252 550	5 252 000	45 000	1 488 150	40 000	2 238 000	40 000	1 307 650	125 000	5 033 800
<b>Scientific and technical activities</b>	110 000	185 000	30 000	15 500	143 000	670 000	283 000	870 500	-	127 000	30 000	15 500	68 000	389 000	98 000	531 500
<b>Knowledge and information management and outreach</b>	217 600	29 000	81 150	29 000	82 200	30 000	380 950	88 000	207 600	30 200	71 150	30 200	72 200	30 300	350 950	90 700
<b>Overall management</b>	140 400	81 000	104 457	1 000	129 400	1 000	374 257	83 000	103 900	11 000	156 621	1 000	114 900	1 000	375 421	13 000
<b>Legal and policy</b>	-	530 000	-	-	-	-	-	530 000	-	370 000	-	-	-	-	-	370 000
<b>Office maintenance and services</b>	187 538	-	176 159	-	204 065	-	567 762	-	194 975	-	183 304	-	212 328	-	590 608	-
<b>Total non-staff costs</b>	<b>1 205 088</b>	<b>2 843 689</b>	<b>801 032</b>	<b>2 374 925</b>	<b>1 279 669</b>	<b>2 294 545</b>	<b>3 285 789</b>	<b>7 513 159</b>	<b>1 074 002</b>	<b>2 846 750</b>	<b>1 127 915</b>	<b>3 105 100</b>	<b>1 408 252</b>	<b>2 625 982</b>	<b>3 610 170</b>	<b>8 577 832</b>
<b>Total staff costs</b>	<b>3 084 100</b>	<b>360 600</b>	<b>2 497 616</b>	<b>452 900</b>	<b>3 793 050</b>	<b>1 037 800</b>	<b>9 374 766</b>	<b>1 851 300</b>	<b>3 207 464</b>	<b>375 024</b>	<b>2 332 529</b>	<b>471 016</b>	<b>3 944 772</b>	<b>1 079 312</b>	<b>9 484 765</b>	<b>1 925 352</b>
<b>Total programme requirements</b>	<b>4 289 188</b>	<b>3 204 289</b>	<b>3 298 648</b>	<b>2 827 825</b>	<b>5 072 719</b>	<b>3 332 345</b>	<b>12 660 555</b>	<b>9 364 459</b>	<b>4 281 466</b>	<b>3 221 774</b>	<b>3 460 444</b>	<b>3 576 116</b>	<b>5 353 024</b>	<b>3 705 294</b>	<b>13 094 934</b>	<b>10 503 184</b>

	General TF	Special TF		BCTF	BDTF	ROTF	RVTF	SCTF	SVTF
<b>2014-2015 BRS total budget</b>	<b>25 755 489</b>	<b>19 867 643</b>		<b>8 570 655</b>	<b>6 426 063</b>	<b>6 759 092</b>	<b>6 403 941</b>	<b>10 425 743</b>	<b>7 037 639</b>
<b>Increase from biennium to biennium</b>	<b>1.39%</b>	<b>-4.74%</b>		<b>3.64%</b>	<b>-30.77%</b>	<b>1.63%</b>	<b>79.06%</b>	<b>-0.55%</b>	<b>-12.01%</b>

Table 2

**C. Programme of work for 2014–2015 funded through the general trust funds of the Basel (BC), Rotterdam (RO) and Stockholm (SC) conventions**

**Operational budget for 2014–2015 (in United States dollars)**

**Summary table of total costs by budget code level and by convention trust fund**

		2014				2015				2014-2015
		BC	RC	SC	Total	BC	RC	SC	Total	Total
<b>10 Project personnel component</b>										
1100	Professional staff									
1101	Executive Secretary (D-2)	123 760	30 940	154 700	309 400	128 710	32 178	160 888	321 776	631 176
1102	Deputy Executive Secretary (D-1)	115 400	28 850	144 250	288 500	120 016	30 004	150 020	300 040	588 540
1103	Chief of Branch (P-5)	101 920	25 480	127 400	254 800	105 997	26 499	132 496	264 992	519 792
1104	Chief of Branch (P-5)	–	–	–	–	–	–	–	–	–
1105	Chief of Branch (P-5)									
1106	Chief of Branch (P-5)									
1107	Senior Programme Officer (P-5)	254 800			254 800	264 992			264 992	519 792
1108	Senior Programme Officer (P-5)	254 800			254 800	264 992			264 992	519 792
1109	Senior Programme Officer (P-5)	254 800			254 800	264 992			264 992	519 792
1110	Policy and Legal Adviser (P-4)	216 400			216 400	225 056			225 056	441 456
1111	Programme Officer (P-4)	216 400			216 400	225 056			225 056	441 456
1112	Administrative Officer (P-4) (by UNEP OTL)				–	–			–	–
1113	Programme Officer – National Reporting (P-3)	180 300			180 300	187 512			187 512	367 812
1114	Programme Officer – Information Officer (P-3)	180 300			180 300	187 512			187 512	367 812
1115	Programme Officer (P-3)	180 300			180 300	187 512			187 512	367 812
1116	Associate Programme Officer – Computer Systems (P-2)	144 800			144 800	150 592			150 592	295 392
1117	Associate Legal Officer (P-2)	144 800			144 800	150 592			150 592	295 392
	Transitional adjustment	101 920			101 920	105 997			105 997	207 917
	<i>Subtotal Basel Convention staff</i>	<b>2 470 700</b>			–	<b>2 569 528</b>				
1102	Senior Programme Officer (P-5)			254 800	254 800			264 992	264 992	519 792
1104	Policy Officer (P-4)			216 400	216 400			225 056	225 056	441 456
1105	Programme Officer (P-4)			216 400	216 400			225 056	225 056	441 456
1106	Programme Officer (P-4)			216 400	216 400			225 056	225 056	441 456
1107	Senior Programme Officer (P-5)			254 800	254 800			264 992	264 992	519 792
1108	Programme Officer (P-3)			180 300	180 300			187 512	187 512	367 812
1110	Administrative Officer (P-4) (0.5 by UNEP OTL)				–			–	–	–
1111	Legal Officer (P-3)			180 300	180 300			187 512	187 512	367 812
1112	Associate Programme Officer (P-2)			144 800	144 800			150 592	150 592	295 392
1114	Project Information System Officer (P-3)			180 300	180 300			187 512	187 512	367 812
1116	Programme Officer (P-3)			180 300	180 300			187 512	187 512	367 812
1117	Programme Officer (P-3)			180 300	180 300			187 512	187 512	367 812
1118	Programme Officer (P-4)			–	–			–	–	–
	Transitional adjustment			343 800	343 800			357 552	357 552	701 352
	<i>Subtotal Stockholm Convention staff</i>			<b>2 975 250</b>	–			<b>3 094 260</b>		
1102	Senior Programme Officer (P-5)		254 800		254 800				–	254 800
1103	Programme Officer (P-4)		216 400		216 400		225 056		225 056	441 456
1104	Administrative Officer (P-4) (0.5 by UNEP OTL)				–				–	–
1105	Programme Officer (P-3)		180 300		180 300		187 512		187 512	367 812
1106	Programme Officer (P-3)		180 300		180 300		187 512		187 512	367 812
1107	Public Awareness Officer (P-3)		180 300		180 300		187 512		187 512	367 812

		2014				2015				2014-2015
		BC	RC	SC	Total	BC	RC	SC	Total	Total
1108	Programme Officer (P-3)		180 300		180 300		187 512		187 512	367 812
1111	Executive Secretary (D-2) (0.25 in kind by FAO)									
1112	Senior Programme Officer (P-5) (in kind by FAO)									
1113	Programme Officer – FAO (P-4)		208 229		208 229		216 558		216 558	424 787
1114	Programme Officer (P-3) (in kind by FAO)									
1116	Programme Officer – FAO (P-3)		166 221		166 221		172 870		172 870	339 091
1117	Programme Officer – FAO (P-3)		166 221		166 221		172 870		172 870	339 091
1118	Programme Officer – FAO (P-2)		125 387		125 387		130 402		130 402	255 789
	Transitional adjustment		25 480		25 480		26 499		26 499	51 979
	<i>Subtotal Rotterdam Convention staff</i>		<b>1 969 208</b>				<b>1 782 984</b>			–
<b>1199</b>	<b>Total</b>	<b>2 470 700</b>	<b>1 969 208</b>	<b>2 975 250</b>	<b>7 415 158</b>	<b>2 569 528</b>	<b>1 782 984</b>	<b>3 094 260</b>	<b>7 446 772</b>	<b>14 861 930</b>
<b>1200</b>	<b>Consultants</b>									
1201	Consultant (PACE)	20 000			20 000	20 000			20 000	40 000
	Consultant (HSC codes)	50 000			50 000					50 000
	Consultant (E-waste technical guidelines)	20 000			20 000					20 000
1202	Consultant to develop generic inventory tool for collection of data on hazardous wastes	40 000			40 000					40 000
	Consultant for resource mobilization database (funded from fund balance)	2 000	2 000	2 000	6 000	2 000	2 000	2 000	6 000	12 000
1204	Consultants for resource kit	–	10 000	–	10 000	–	10 000	–	10 000	20 000
1205	Consultants (scientific support for Stockholm Convention)	–	–	33 000	33 000	–	–	8 000	8 000	41 000
1206	Consultants (clearing-house mechanism)	80 000	17 500	15 500	113 000	80 000	17 500	15 500	113 000	226 000
1207	Staff training				–				–	–
<b>1299</b>	<b>Total</b>	<b>212 000</b>	<b>29 500</b>	<b>50 500</b>	<b>292 000</b>	<b>102 000</b>	<b>29 500</b>	<b>25 500</b>	<b>157 000</b>	<b>449 000</b>
<b>13</b>	<b>Administrative support</b>									
<b>1300</b>	<b>General Service staff</b>									
1301	Administrative Assistant (G-6) (by UNEP OTL)									
1302	Assistant (G-6)	170 400			170 400	177 216			177 216	347 616
1303	Meetings/Documents Assistant (G-6)	170 400			170 400	177 216			177 216	347 616
1304	Information Assistant (G-5)	136 300			136 300	141 752			141 752	278 052
1305	Finance and Budget Assistant (G-6) (by UNEP OTL)									
1306	Programme Assistant (G-5)	136 300			136 300	141 752			141 752	278 052
	<i>Subtotal Basel Convention staff</i>	<b>613 400</b>				<b>637 936</b>				–
1301	Meeting Conference Assistant (G-5)			136 300	136 300			141 752	141 752	278 052
1302	Administrative Assistant (G-6)			136 300	136 300			141 752	141 752	278 052
1303	Programme Assistant (G-5)			136 300	136 300			141 752	141 752	278 052
OTL	Administrative Assistant HR (G-5) (by UNEP OTL)				–			–	–	–
1307	Data entry clerk (G-4)			136 300	136 300			141 752	141 752	278 052
1308	Research Assistant (G-5)			136 300	136 300			141 752	141 752	278 052
1320	Programme Clerk (G-4)			136 300	136 300			141 752	141 752	278 052
OTL	Finance and Budget Assistant (G-6) (by UNEP OTL)				–	–				
OTL	IT/Database Assistant (G-5) (by UNEP OTL)				–	–				
OTL	Publication Clerk (G-4) (by UNEP OTL)				–	–				
	<i>Subtotal Stockholm Convention staff *</i>			<b>817 800</b>		–		<b>850 512</b>		–
1302	Information Assistant (G-5)		136 300		136 300		141 752		141 752	278 052
1304	Programme Assistant (G-5)		136 300		136 300		141 752		141 752	278 052
1307	GTA Conference Clerk (G-4)		136 300		136 300		141 752		141 752	278 052
1311	Secretary (0.25 in kind by FAO)				–				–	–
1312	Secretary – FAO (G-5) (vacant)				–				–	–
1313	Secretary – FAO (G-3) (in kind by FAO)				–				–	–
1314	Secretary – FAO (G-4)		119 508		119 508		124 289		124 289	243 797
	<i>Subtotal Rotterdam Convention staff</i>	–	<b>528 408</b>				<b>549 545</b>			–
	<i>General Service staff subtotal</i>	<b>613 400</b>	<b>528 408</b>	<b>817 800</b>	<b>1 959 608</b>	<b>637 936</b>	<b>549 545</b>	<b>850 512</b>	<b>2 037 993</b>	<b>3 997 601</b>

		2014				2015				2014-2015
		BC	RC	SC	Total	BC	RC	SC	Total	Total
<b>1330</b>	<b>Conference servicing</b>									
1321	Conference of the Parties to the Basel Convention	–			–	522 527			522 527	522 527
1322	Open-ended Working Group to the Basel Convention	354 865			354 865				–	354 865
1323	Conference of the Parties to the Stockholm Convention			80 000	80 000			442 527	442 527	522 527
1324	Persistent Organic Pollutants Review Committee			346 701	346 701			346 701	346 701	693 402
1325	Conference of the Parties to the Rotterdam Convention		90 000		90 000		432 527		432 527	522 527
1326	Chemical Review Committee		121 997		121 997		121 997		121 997	243 994
1327	Donor round table meetings	2 000	2 000	2 000	6 000	2 000	2 000	2 000	6 000	12 000
1328	Conference servicing (regional centres)	15 000		15 000	30 000	–	–	–	–	30 000
1329	Conference Servicing (partnerships)	2 000			2 000	5 000			5 000	7 000
	<i>Conference servicing subtotal</i>	<b>373 865</b>	<b>213 997</b>	<b>443 701</b>	<b>1 031 563</b>	<b>529 527</b>	<b>556 524</b>	<b>791 228</b>	<b>1 877 279</b>	<b>2 908 842</b>
<b>1399</b>	<b>Total</b>	<b>987 265</b>	<b>742 405</b>	<b>1 261 501</b>	<b>2 991 171</b>	<b>1 167 463</b>	<b>1 106 069</b>	<b>1 641 740</b>	<b>3 915 272</b>	<b>6 906 443</b>
<b>1600</b>	<b>Travel on official business</b>								–	–
1601	Official travel	126 400	95 457	120 400	342 257	99 900	147 621	105 900	353 421	695 678
<b>1699</b>	<b>Total</b>	<b>126 400</b>	<b>95 457</b>	<b>120 400</b>	<b>342 257</b>	<b>99 900</b>	<b>147 621</b>	<b>105 900</b>	<b>353 421</b>	<b>695 678</b>
<b>1999</b>	<b>Component total</b>	<b>3 796 365</b>	<b>2 836 570</b>	<b>4 407 651</b>	<b>11 040 586</b>	<b>3 938 891</b>	<b>3 066 174</b>	<b>4 867 400</b>	<b>11 872 465</b>	<b>22 913 051</b>
<b>20 Subcontract component</b>										
<b>2200</b>	<b>Subcontracts</b>									
2201	Resource kit	–	15 000	–	15 000	–	15 000	–	15 000	30 000
2202	Pilot activities (regional centres)	–	–	20 000	20 000	–	–	20 000	20 000	40 000
2203	Clearing-house mechanism	47 100	10 000	10 000	67 100	37 100	10 000	10 000	57 100	124 200
<b>2299</b>	<b>Total</b>	<b>47 100</b>	<b>25 000</b>	<b>30 000</b>	<b>102 100</b>	<b>37 100</b>	<b>25 000</b>	<b>30 000</b>	<b>92 100</b>	<b>194 200</b>
<b>2999</b>	<b>Component total</b>	<b>47 100</b>	<b>25 000</b>	<b>30 000</b>	<b>102 100</b>	<b>37 100</b>	<b>25 000</b>	<b>30 000</b>	<b>92 100</b>	<b>194 200</b>
<b>30 Training component</b>										
<b>3300</b>	<b>Meetings: participants travel and DSA</b>									
3301	Bureau of Basel Convention	34 936			34 936				–	34 936
3302	Participation in joint bureau meetings: Basel Convention	12 704			12 704				–	12 704
3303	Implementation and Compliance Committee	39 545			39 545	–			–	39 545
3304	Technical expert group	–			–				–	–
3305	Annual meeting of Basel Convention centres	50 500			50 500				–	50 500
3306	Bureau of Stockholm Convention			25 408	25 408				–	25 408
3307	Participation in joint bureau meetings: Stockholm Convention			12 704	12 704				–	12 704
3308	Persistent Organic Pollutants Review Committee			111 596	111 596			111 596	111 596	223 192
3309	Annual meeting of Stockholm Convention centres			50 050	50 050				–	50 050
3310	DDT Expert Group			50 000	50 000			–	–	50 000
3311	Global Monitoring Plan Global Coordination Group			60 000	60 000			60 000	60 000	120 000
	Implementation and Compliance Committee			39 545	39 545				–	39 545
3312	Bureau of Rotterdam Convention		12 704		12 704				–	12 704
3313	Participation in joint bureau meetings: Rotterdam Convention		12 704		12 704				–	12 704
3314	Chemical Review Committee		92 316		92 316		92 316		92 316	184 632
<b>3316</b>	<b>Implementation and Compliance Committee</b>		39 545		39 545				–	39 545
<b>3317</b>	<b>Clearing-house mechanism</b>	20 000	–	–	20 000	20 000	–	–	20 000	40 000
<b>3399</b>	<b>Total</b>	<b>157 685</b>	<b>157 269</b>	<b>349 303</b>	<b>664 257</b>	<b>20 000</b>	<b>92 316</b>	<b>171 596</b>	<b>283 912</b>	<b>948 169</b>
<b>3999</b>	<b>Component total</b>	<b>157 685</b>	<b>157 269</b>	<b>349 303</b>	<b>664 257</b>	<b>20 000</b>	<b>92 316</b>	<b>171 596</b>	<b>283 912</b>	<b>948 169</b>

		2014				2015				2014-2015
		BC	RC	SC	Total	BC	RC	SC	Total	Total
<b>40 Equipment and premises component</b>										
<b>4100</b>	<b>Expendable equipment</b>									
4101	Office supplies (Geneva-based Secretariat)	7 020	4 680	7 800	19 500	7 371	4 914	8 190	20 475	39 975
4102	Office supplies (Rome-based Secretariat)		15 000		15 000		15 750		15 750	30 750
4103	Software (training and capacity-building)	15 000	15 000	15 000	45 000	15 000	15 000	15 000	45 000	90 000
4104	Software/hardware (clearing-house mechanism))	2 500	2 500	2 500	7 500	2 500	2 500	2 500	7 500	15 000
<b>4199</b>	<b>Total</b>	<b>24 520</b>	<b>37 180</b>	<b>25 300</b>	<b>87 000</b>	<b>24 871</b>	<b>38 164</b>	<b>25 690</b>	<b>88 725</b>	<b>175 725</b>
<b>4200</b>	<b>Non-expendable equipment</b>									
4201	Non-expendable equipment (Geneva-based Secretariat)	7 200	4 800	8 000	20 000	7 560	5 040	8 400	21 000	41 000
4202	Non-expendable equipment (Rome-based Secretariat)		5 000		5 000		5 250		5 250	10 250
4203	Information technology equipment (Geneva-based Secretariat)	38 800	16 900	38 800	94 500	38 800	16 900	38 800	94 500	189 000
4204	Information technology equipment (Rome-based Secretariat)		16 350		16 350		16 350		16 350	32 700
<b>4299</b>	<b>Total</b>	<b>46 000</b>	<b>43 050</b>	<b>46 800</b>	<b>135 850</b>	<b>46 360</b>	<b>43 540</b>	<b>47 200</b>	<b>137 100</b>	<b>272 950</b>
<b>4300</b>	<b>Premises</b>									
4301	Office space, maintenance, utilities (Geneva-based Secretariat)	76 758	51 172	85 286	213 216	80 596	53 730	89 551	223 877	437 093
<b>4399</b>	<b>Total</b>	<b>76 758</b>	<b>51 172</b>	<b>85 286</b>	<b>213 216</b>	<b>80 596</b>	<b>53 730</b>	<b>89 551</b>	<b>223 877</b>	<b>437 093</b>
<b>4999</b>	<b>Component total</b>	<b>147 278</b>	<b>131 402</b>	<b>157 386</b>	<b>436 066</b>	<b>151 827</b>	<b>135 434</b>	<b>162 441</b>	<b>449 702</b>	<b>885 768</b>
<b>50 Miscellaneous component</b>										
<b>5100</b>	<b>Operation and maintenance of equipment</b>									
5101	Maintenance of office equipment (Geneva-based Secretariat)	5 525	3 683	6 138	15 346	5 801	3 867	6 445	16 113	31 459
5102	Maintenance of office equipment (Rome-based Secretariat)	–	–	–	–	–	–	–	–	–
<b>5199</b>	<b>Total</b>	<b>5 525</b>	<b>3 683</b>	<b>6 138</b>	<b>15 346</b>	<b>5 801</b>	<b>3 867</b>	<b>6 445</b>	<b>16 113</b>	<b>31 459</b>
<b>5200</b>	<b>Reporting costs</b>									
5201	Publications	48 000	39 150	54 200	141 350	38 000	29 150	44 200	111 350	252 700
5202	Printing and translation (clearing-house mechanism)	25 000	12 000	–	37 000	25 000	12 000	–	37 000	74 000
5203	Information/public awareness materials (regional centres)	5 000	–	5 000	10 000	5 000	–	5 000	10 000	20 000
5204	PIC circular	–	30 000	–	30 000	–	30 000	–	30 000	60 000
<b>5299</b>	<b>Total</b>	<b>78 000</b>	<b>81 150</b>	<b>59 200</b>	<b>218 350</b>	<b>68 000</b>	<b>71 150</b>	<b>49 200</b>	<b>188 350</b>	<b>406 700</b>
<b>5300</b>	<b>Sundry</b>									
5301	Communications (Geneva-based Secretariat)	52 236	34 824	58 040	145 100	54 848	36 565	60 942	152 355	297 455
5302	Communications (Rome-based Secretariat)	–	23 750	–	23 750	–	24 938	–	24 938	48 688
<b>5399</b>	<b>Total</b>	<b>52 236</b>	<b>58 574</b>	<b>58 040</b>	<b>168 850</b>	<b>54 848</b>	<b>61 503</b>	<b>60 942</b>	<b>177 293</b>	<b>346 143</b>
<b>5400</b>	<b>Hospitality</b>									
5401	Hospitality	5 000	5 000	5 000	15 000	5 000	5 000	5 000	15 000	30 000
<b>5499</b>	<b>Total</b>	<b>5 000</b>	<b>5 000</b>	<b>5 000</b>	<b>15 000</b>	<b>5 000</b>	<b>5 000</b>	<b>5 000</b>	<b>15 000</b>	<b>30 000</b>
<b>5999</b>	<b>Component total</b>	<b>140 761</b>	<b>148 407</b>	<b>128 378</b>	<b>417 546</b>	<b>133 649</b>	<b>141 520</b>	<b>121 587</b>	<b>396 756</b>	<b>814 302</b>
<b>Direct project cost operational budget</b>		<b>4 289 188</b>	<b>3 298 648</b>	<b>5 072 719</b>	<b>12 660 555</b>	<b>4 281 466</b>	<b>3 460 444</b>	<b>5 353 024</b>	<b>13 094 934</b>	<b>25 755 489</b>
<b>UNEP programme support costs 13%</b>		<b>557 594</b>	<b>428 824</b>	<b>659 453</b>	<b>1 645 872</b>	<b>556 591</b>	<b>449 858</b>	<b>695 893</b>	<b>1 702 341</b>	<b>3 348 214</b>
<b>Total operational budget</b>		<b>4 846 783</b>	<b>3 727 472</b>	<b>5 732 172</b>	<b>14 306 427</b>	<b>4 838 057</b>	<b>3 910 302</b>	<b>6 048 917</b>	<b>14 797 276</b>	<b>29 103 703</b>



<b>Basel Convention Trust Fund</b>	<b>2012</b>	<b>2013</b>	<b>2012–2013 Total</b>	<b>2014</b>	<b>2015</b>	<b>2014–2015 Total</b>
Approved budget for the biennium 2012–2013	4 704 226	4 640 274	9 344 500			
Proposed budget for the biennium 2014–2015				4 846 783	4 838 057	9 684 840
Approved average annual budget for the biennium 2012–2013			4 672 250			
Proposed average annual budget for the biennium 2014–2015						4 842 420
<b>Increase in the average annual budget</b>						<b>3.64%</b>
Deduction from reserve and fund balance (resource mobilization database \$2,000 per year)	200 000	200 000	400 000	2 000	2 000	4 000
Increase in working capital reserve	38 399		38 399	25 525		
<b>Covered by parties</b>	<b>4 542 625</b>	<b>4 440 274</b>	<b>8 982 899</b>	<b>4 872 308</b>	<b>4 838 057</b>	<b>9 706 365</b>
Percentage increase in contributions from year to year	<b>-2.90%</b>	<b>-2.30%</b>		<b>9.73%</b>	<b>-0.70%</b>	
Average annual contributions for the biennium 2012–2013			4 491 450			
Average annual contributions for the biennium 2014–2015						4 853 183
<b>Increase in the average annual contributions</b>						<b>8.05%</b>
<b>Working capital reserve based on the average operational budget for 2012–2013 (15%)</b>			<b>700 838</b>			
<b>Working capital reserve based on the average operational budget for 2014–2015 (15%)</b>						<b>726 363</b>

<b>Rotterdam Convention Trust Fund</b>	<b>2012</b>	<b>2013</b>	<b>2012–2013 Total</b>	<b>2014</b>	<b>2015</b>	<b>2014–2015 Total</b>
Approved budget for the biennium 2012–2013	3 732 849	3 782 679	7 515 528			
Proposed budget for the biennium 2014–2015				3 727 472	3 910 302	7 637 774
Approved average annual budget for the biennium 2012–2013			3 757 764			
Proposed average annual budget for the biennium 2014–2015						3 818 887
<b>Increase in the average annual budget</b>						<b>1.63%</b>
Deduction from reserve and fund balance (resource mobilization database \$2,000 per year)			–	2 000	2 000	4 000
Increase in working capital reserve	(15 421)		(15 421)	9 168		9 168
Increment to the special contingency reserve: index to fluctuations in salary scales	23 449	20 408	43 857	–	25 078	25 078
<b>Grand total</b>	<b>3 740 877</b>	<b>3 803 087</b>	<b>7 543 964</b>	<b>3 736 641</b>	<b>3 935 380</b>	<b>7 668 020</b>
Host country contributions*	1 615 200	1 615 200	3 230 400	1 358 344	1 358 344	2 716 689
<b>Covered by parties</b>	<b>2 125 677</b>	<b>2 187 887</b>	<b>4 313 564</b>	<b>2 378 296</b>	<b>2 577 035</b>	<b>4 951 332</b>
Percentage increase in contributions from year to year	<b>-2.60%</b>	<b>2.90%</b>		<b>8.70%</b>	<b>8.36%</b>	
Average annual contributions for the biennium 2012–2013			2 156 782			
Average annual contributions for the biennium 2014–2015						2 475 666
<b>Increase in the average annual contributions</b>						<b>14.79%</b>
<b>Working capital reserve based on the average operational budget for 2012–2013 (15%)</b>			<b>563 665</b>			
<b>Working capital reserve based on the average operational budget for 2014–2015 (15%)</b>						<b>572 833</b>

\* 1,200,000 euros per annum for the biennium 2014–2015, equal to 1,554,404 United States dollars based on the United Nations exchange rate of November 2012: 1.00 United States dollar = 0.772 euros. Calculated by using the average United Nations exchange rate between January 2012 and April 2013 (16 months), 1.00 United States dollar = 0.773 euros, equal to 1,552,393 United States dollars (calculated at the same level for both years).  
-25% of Swiss portion of the host country contribution re-allocated to RV, equal to 194,049 United States dollars (776,196 United States dollars x 0.25) per annum.

Stockholm Convention Trust Fund	2012	2013	2012–2013 Total	2014	2015	2014–2015 Total
Approved budget for the biennium 2012–2013	5 779 576	6 066 761	11 846 337			
Proposed budget for the biennium 2014–2015				5 732 172	6 048 917	11 781 089
Approved average annual budget for the biennium 2012–2013			5 923 169			
Proposed average annual budget for the biennium 2014–2015						5 890 545
<b>Increase in the average annual budget</b>						<b>-0.55%</b>
Deduction from reserve and fund balance (resource mobilization database \$2,000 per year)	300 000	300 000	600 000	2 000	2 000	4 000
Increase in working capital reserve	6 992		6 992	(2 708)		(2 708)
<b>Grand total</b>	<b>5 486 568</b>	<b>5 766 761</b>	<b>11 253 329</b>	<b>5 727 464</b>	<b>6 046 917</b>	<b>11 774 382</b>
Host country contributions*	1 366 150	1 361 670	2 727 820	1 004 489	995 615	2 000 103
<b>Covered by parties</b>	<b>4 120 418</b>	<b>4 405 091</b>	<b>8 525 509</b>	<b>4 722 976</b>	<b>5 051 302</b>	<b>9 774 278</b>
Percentage increase in contributions from year to year	<b>2.20%</b>	<b>6.90%</b>		<b>7.22%</b>	<b>6.95%</b>	
Average annual contributions for the biennium 2012–2013			4 262 755			
Average annual contributions for the biennium 2014–2015						4 887 139
<b>Increase in the average annual contributions</b>						<b>14.65%</b>
<b>Working capital reserve based on the average operational budget for 2012–2013 (8.3%)</b>			<b>491 623</b>			
<b>Working capital reserve based on the average operational budget for 2014–2015 (8.3%)</b>						<b>488 915</b>

\* Swiss contributions of 1,000,000 Swiss francs per annum for the biennium 2014–2015, equal to 1,075,269 United States dollars based on the United Nations exchange rate of November 2012: 1.00 United States dollar = 0.93 Swiss francs. Calculated by using the average United Nations exchange rate between January 2012 and April 2013 (16 months), 1.00 United States dollar = 0.935 Swiss francs, equal to 1,069,519 United States dollars (calculated at the same level for both years).

	2012	2013	2014	2015
<b>Host country contributions</b>	1 366 150	1 361 670	1 004 489	995 615
<b>Assessed contributions</b>	64 850	69 330	65 030	73 904
<b>Total</b>	<b>1 431 000</b>	<b>1 431 000</b>	<b>1 069 519</b>	<b>1 069 519</b>

Table 3

**C. Programme of work for 2014–2015 funded through the Technical Cooperation Trust Fund of the Basel Convention (BD), the voluntary Special Trust Fund of the Rotterdam Convention (RV) and the voluntary Special Trust Fund of the Stockholm Convention (SV)**

**Voluntary budget for 2014–2015 (in United States dollars)**

**Summary table of total costs by budget code level and by convention trust fund**

	2014				2015				2014–2015
	BD	RV	SV	Total	BD	RV	SV	Total	Total
<b>10 Project personnel component</b>									
<b>1100 Professional staff</b>									
1101 Programme Officer P-3	180 300			<b>180 300</b>	187 512			<b>187 512</b>	<b>367 812</b>
1102 Programme Officer P-3	180 300			<b>180 300</b>	187 512			<b>187 512</b>	<b>367 812</b>
<i>Subtotal Basel Convention staff</i>	360 600				375 024			<b>375 024</b>	<b>375 024</b>
1101 Programme Officer P-3		180 300		<b>180 300</b>		187 512		<b>187 512</b>	<b>367 812</b>
<i>Subtotal Rotterdam Convention staff</i>		180 300				187 512		<b>187 512</b>	<b>187 512</b>
1101 Programme Officer P-3			180 300	<b>180 300</b>			187 512	<b>187 512</b>	<b>367 812</b>
1102 Programme Officer P-3			180 300	<b>180 300</b>			187 512	<b>187 512</b>	<b>367 812</b>
1103 Programme Officer P-3			180 300	<b>180 300</b>			187 512	<b>187 512</b>	<b>367 812</b>
1104 Programme Officer P-3			180 300	<b>180 300</b>			187 512	<b>187 512</b>	<b>367 812</b>
1105 Programme Officer P-3			180 300	<b>180 300</b>			187 512	<b>187 512</b>	<b>367 812</b>
<i>Subtotal Stockholm Convention staff</i>			901 500				937 560	<b>937 560</b>	<b>937 560</b>
<b>1199 Total</b>	<b>360 600</b>	<b>180 300</b>	<b>901 500</b>	<b>1 442 400</b>	<b>375 024</b>	<b>187 512</b>	<b>937 560</b>	<b>1 500 096</b>	<b>2 942 496</b>
<b>1200 Consultants</b>									
1201 Consultants – development of tools and methodologies	30 000	30 000	30 000	90 000	32 500	32 500	35 000	<b>100 000</b>	<b>190 000</b>
1202 Consultants – capacity-building and training (BC)	70 000	–	–	70 000	85 000	–	–	<b>85 000</b>	<b>155 000</b>
1203 Consultants – capacity-building and training (RC)	–	139 000	–	139 000	–	141 000	–	<b>141 000</b>	<b>280 000</b>
1204 Consultants – capacity-building and training (SC)	–	–	66 000	66 000	–	–	66 000	<b>66 000</b>	<b>132 000</b>
1205 Consultants – capacity-building and training (BC, RC, SC)	60 000	71 000	55 000	186 000	55 000	69 000	60 000	<b>184 000</b>	<b>370 000</b>
1206 Consultants – partnerships	100 000	20 000	20 000	140 000	80 000	–	–	<b>80 000</b>	<b>220 000</b>
1207 Consultants – technical guidelines	80 000	–	80 000	160 000	40 000	–	40 000	<b>80 000</b>	<b>240 000</b>
Consultants – technical guidelines (E-waste)	30 000	–	–	30 000	–	–	–	<b>30 000</b>	<b>30 000</b>
Consultants – IMO	70 000	–	–	70 000	–	–	–	<b>70 000</b>	<b>70 000</b>
1208 Consultants – scientific support to RC	–	8 000	–	8 000	–	8 000	–	<b>8 000</b>	<b>16 000</b>
1209 Consultants – scientific support to SC	–	–	125 000	125 000	–	–	72 000	<b>72 000</b>	<b>197 000</b>
1210 Consultants – support development and maintenance of the reporting tools	20 000	–	20 000	40 000	17 000	–	17 000	<b>34 000</b>	<b>74 000</b>
1211 Consultants – outreach and public awareness	21 000	21 000	22 000	64 000	15 000	15 000	15 000	<b>45 000</b>	<b>109 000</b>
1212 Consultants – clearing-house mechanism	–	–	–	–	–	–	–	<b>–</b>	<b>–</b>
1213 Consultants – CLI related activities	150 000	–	–	150 000	150 000	–	–	<b>150 000</b>	<b>300 000</b>
<b>1299 Total</b>	<b>631 000</b>	<b>289 000</b>	<b>418 000</b>	<b>1 338 000</b>	<b>474 500</b>	<b>265 500</b>	<b>305 000</b>	<b>1 045 000</b>	<b>2 383 000</b>

		2014				2015				2014-2015
		BD	RV	SV	Total	BD	RV	SV	Total	Total
		1								
<b>13</b>	<b>Administrative support</b>									
<b>1300</b>	<b>General Service staff</b>									
1301	GTA Conference Clerk G-4	—	136 300	—	—	—	141 752	—	—	—
1302	GTA Public Information Clerk G-4	—	136 300	—	—	—	141 752	—	—	—
	<i>Subtotal Rotterdam Convention staff</i>	—	<b>272 600</b>	—	<b>272 600</b>	—	<b>283 504</b>	—	<b>283 504</b>	<b>556 104</b>
1301	GTA Programme Clerk G-4	—	—	136 300	—	—	—	141 752	—	—
	<i>Subtotal Stockholm Convention staff</i>	—	—	<b>136 300</b>	<b>136 300</b>	—	—	<b>141 752</b>	<b>141 752</b>	<b>278 052</b>
	<i>General Service staff subtotal</i>	—	<b>272 600</b>	<b>136 300</b>	<b>408 900</b>	—	<b>283 504</b>	<b>141 752</b>	<b>425 256</b>	<b>834 156</b>
<b>1330</b>	<b>Conference servicing</b>									
1321	Conference servicing (regional centres)	—	—	—	—	10 000	10 000	10 000	<b>30 000</b>	<b>30 000</b>
	<i>Conference servicing subtotal</i>	—	—	—	—	<b>10 000</b>	<b>10 000</b>	<b>10 000</b>	<b>30 000</b>	<b>30 000</b>
<b>1399</b>	<b>Total</b>	—	<b>272 600</b>	<b>136 300</b>	<b>408 900</b>	<b>10 000</b>	<b>293 504</b>	<b>151 752</b>	<b>455 256</b>	<b>864 156</b>
<b>1600</b>	<b>Travel on official business</b>									
1601	Staff travel – orientation workshop for members of the Chemical Review Committee	—	3 000	—	3 000	—	—	—	—	<b>3 000</b>
1602	Staff travel – capacity-building and training (BC)	30 000	—	—	30 000	50 000	—	—	50 000	<b>80 000</b>
1603	Staff travel – capacity-building and training (RC)	—	113 500	—	113 500	—	123 500	—	123 500	<b>237 000</b>
1604	Staff travel – capacity-building and training (SC)	—	—	37 500	37 500	—	—	37 500	37 500	<b>75 000</b>
1605	Staff travel – capacity-building and training (BC, RC, SC)	30 000	40 500	25 000	95 500	30 000	32 000	30 000	92 000	<b>187 500</b>
1606	Staff travel – regional centres	5 000	5 000	5 000	15 000	5 000	5 000	5 000	15 000	<b>30 000</b>
1607	Staff travel – scientific support to the Basel Convention	20 000	—	—	20 000	20 000	—	—	20 000	<b>40 000</b>
1608	Staff travel – joint communication, outreach and public awareness	2 400	2 400	2 400	7 200	500	500	600	1 600	<b>8 800</b>
1609	Staff travel – clearing-house mechanism	—	—	—	—	—	—	—	—	—
1610	Staff travel to meetings of enforcement partners	15 000	—	—	15 000	15 000	—	—	15 000	<b>30 000</b>
<b>1699</b>	<b>Total</b>	<b>102 400</b>	<b>164 400</b>	<b>69 900</b>	<b>336 700</b>	<b>120 500</b>	<b>161 000</b>	<b>73 100</b>	<b>354 600</b>	<b>691 300</b>
<b>1999</b>	<b>Component total</b>	<b>1 094 000</b>	<b>906 300</b>	<b>1 525 700</b>	<b>3 526 000</b>	<b>980 024</b>	<b>907 516</b>	<b>1 467 412</b>	<b>3 354 952</b>	<b>6 880 952</b>
<b>20</b>	<b>Subcontract component</b>									
<b>2200</b>	<b>Subcontracts</b>									
2201	Development of tools and methodologies	130 000	130 000	125 000	385 000	45 000	45 000	45 000	135 000	<b>520 000</b>
2202	Capacity-building and training (BC)	20 000	—	—	20 000	20 000	—	—	20 000	<b>40 000</b>
2203	Capacity-building and training (RC)	—	10 000	—	10 000	—	10 000	—	10 000	<b>20 000</b>
2204	Capacity-building and training (BC, RC, SC)	40 000	40 000	40 000	120 000	60 000	60 000	60 000	180 000	<b>300 000</b>
2205	Partnerships	110 000	10 000	10 000	130 000	10 000	10 000	10 000	30 000	<b>160 000</b>
2206	Pilot joint activities (regional centres)	35 000	30 000	35 000	100 000	35 000	30 000	35 000	100 000	<b>200 000</b>
2207	Global Monitoring Plan	—	—	300 000	300 000	—	—	100 000	100 000	<b>400 000</b>
2208	Work programme of the Implementation and Compliance Committee	60 000	—	—	60 000	60 000	—	—	60 000	<b>120 000</b>
2209	Implementation Fund	50 000	—	—	50 000	50 000	—	—	50 000	<b>100 000</b>
2210	Transmission of information pursuant to Articles 3, 4 (1), 11 and 13 (2) of the Basel Convention	35 000	—	—	35 000	35 000	—	—	35 000	<b>70 000</b>
2211	CAPCIT related activities	60 000	—	—	60 000	60 000	—	—	60 000	<b>120 000</b>
2212	Clearing-house mechanism	—	—	—	—	—	—	—	—	—
	Emergency mechanism	—	—	—	—	—	—	—	—	—
<b>2199</b>	<b>Total</b>	<b>540 000</b>	<b>220 000</b>	<b>510 000</b>	<b>1 270 000</b>	<b>375 000</b>	<b>155 000</b>	<b>250 000</b>	<b>780 000</b>	<b>2 050 000</b>
<b>2999</b>	<b>Component total</b>	<b>540 000</b>	<b>220 000</b>	<b>510 000</b>	<b>1 270 000</b>	<b>375 000</b>	<b>155 000</b>	<b>250 000</b>	<b>780 000</b>	<b>2 050 000</b>

		2014				2015				2014-2015 Total
		BD	RV	SV	Total	BD	RV	SV	Total	1
<b>30 Training component</b>										
<b>3200</b>	<b>Training</b>									
3201	Training and capacity-building (BC)	270 000	—	—	270 000	450 000	—	—	450 000	720 000
3202	Training and workshops (RC)	—	546 500	—	546 500	—	731 500	—	731 500	1 278 000
3203	Training and workshops (SC)	—	—	602 000	602 000	—	—	489 000	489 000	1 091 000
3204	Training and workshops (BC, RC, SC)	85 000	225 000	150 000	460 000	150 000	190 000	166 000	506 000	966 000
3205	Workshops (partnerships)	20 000	—	—	20 000	20 000	—	—	20 000	<b>40 000</b>
3206	Workshops (Global Monitoring Plan)	—	—	60 000	60 000	—	—	60 000	60 000	<b>120 000</b>
3207	Clearing-house mechanism	—	—	—	—	—	—	—	—	—
3208	Outreach and public awareness	200	200	200	600	200	200	200	600	<b>1 200</b>
3209	Webinars	10 500	10 500	10 500	31 500	10 500	10 500	10 500	31 500	<b>63 000</b>
3210	Video training	130 000	130 000	130 000	390 000	15 000	15 000	15 000	45 000	<b>435 000</b>
<b>3299</b>	<b>Total</b>	<b>515 700</b>	<b>912 200</b>	<b>952 700</b>	<b>2 380 600</b>	<b>645 700</b>	<b>947 200</b>	<b>740 700</b>	<b>2 333 600</b>	<b>4 714 200</b>
<b>3300</b>	<b>Meetings: participants travel and DSA</b>									
3301	Conference of the Parties to the Basel Convention	—	—	—	—	820 400	—	—	820 400	820 400
3302	Open-ended Working Group of the Basel Convention	545 904	—	—	545 904	—	—	—	—	545 904
3303	Implementation and Compliance Committee	13 785	—	—	13 785	—	—	—	—	13 785
3304	Meeting of CAPCIT members	80 000	—	—	80 000	—	—	—	—	80 000
	Technical expert group	80 000	—	—	80 000	—	—	—	—	80 000
3305	Conference of the Parties to the Stockholm Convention	—	—	—	—	—	—	820 400	820 400	820 400
3306	Persistent Organic Pollutants Review Committee	—	—	24 260	24 260	—	—	77 632	77 632	101 892
3307	Expert group meetings (SC)	—	—	40 000	40 000	—	—	60 000	60 000	100 000
3316	Implementation and Compliance Committee	—	—	13 785	13 785	—	—	—	—	13 785
3308	Conference of the Parties to the Rotterdam Convention	—	—	—	—	—	820 400	—	820 400	820 400
3309	Orientation workshop for members of Chemical Review Committee	—	55 140	—	55 140	—	—	—	—	55 140
3310	Meetings: training and capacity-building (RC)	—	414 000	—	414 000	—	433 000	—	433 000	847 000
3317	Implementation and Compliance Committee	—	13 785	—	13 785	—	—	—	—	13 785
3311	Meeting of subsidiary bodies of the three conventions (Open-ended Working Group, Persistent Organic Pollutants Review Committee and Chemical Review Committee)	8 000	8 000	4 000	20 000	—	—	—	—	20 000
3312	Meetings: training and capacity-building (BC, RC, SC)	—	71 500	—	71 500	—	44 500	—	44 500	116 000
3313	Partnerships	147 500	70 000	77 500	295 000	145 500	69 000	75 500	290 000	585 000
3314	Joint meetings of Basel and Stockholm regional centres	35 000	—	38 500	73 500	34 650	—	34 650	69 300	142 800
3315	Outreach and public awareness	5 400	5 400	5 400	16 200	14 500	14 500	14 500	43 500	59 700
<b>3399</b>	<b>Total</b>	<b>915 589</b>	<b>637 825</b>	<b>203 445</b>	<b>1 756 859</b>	<b>1 015 050</b>	<b>1 381 400</b>	<b>1 082 682</b>	<b>3 479 132</b>	<b>5 235 991</b>
<b>3999</b>	<b>Component total</b>	<b>1 431 289</b>	<b>1 550 025</b>	<b>1 156 145</b>	<b>4 137 459</b>	<b>1 660 750</b>	<b>2 328 600</b>	<b>1 823 382</b>	<b>5 812 732</b>	<b>9 950 191</b>
<b>50 Miscellaneous component</b>										
<b>5200</b>	<b>Reporting costs</b>									
5201	Printing/translation (methodologies and tools for training)	18 000	18 000	21 500	57 500	48 000	48 000	51 500	147 500	205 000
5202	Information/public awareness materials (technical assistance)	4 000	4 000	4 000	12 000	4 000	4 000	4 000	12 000	24 000
5203	Information/public awareness materials (capacity-building (BC))	30 000	—	—	30 000	30 000	—	—	30 000	60 000

		2014				2015				2014–2015 Total
		BD	RV	SV	Total	BD	RV	SV	Total	1
5204	Information/public awareness materials (capacity-building (RC))	–	59 000	–	59 000	–	62 000	–	62 000	121 000
5205	Information/public awareness materials (capacity-building (SC))	–	–	30 000	30 000	–	–	30 000	30 000	60 000
5206	Information/public awareness materials (capacity-building BC, RC, SC)	21 000	24 000	24 000	69 000	21 000	23 000	21 000	65 000	134 000
5207	Information/public awareness materials (partnerships)	5 000	–	–	5 000	27 000	1 000	2 000	30 000	35 000
5208	Information/public awareness materials (regional centres)	15 000	13 000	15 000	43 000	15 000	13 000	15 000	43 000	86 000
5209	Translation and e-publishing of technical guidelines	10 000	–	10 000	20 000	25 000	–	25 000	50 000	70 000
5210	Translation of notifications	–	7 500	–	7 500	–	7 500	–	7 500	15 000
5211	Translation/layout/editing (scientific support (SC))	–	–	25 000	25 000	–	–	5 000	5 000	30 000
5212	Translation of national reports on Basel Convention and Stockholm Convention reporting formats	25 000	–	10 000	35 000	25 000	–	10 000	35 000	70 000
5213	Printing/translation (clearing-house mechanism)	–	–	–	–	–	–	–	–	–
5214	Translation/design/printing (publication related to cooperation between the Basel Convention and the International Maritime Organization)	10 000	–	–	10 000	10 000	–	–	10 000	20 000
5215	Information/public awareness materials (resource mobilization)	1 000	1 000	1 000	3 000	1 000	1 000	1 000	3 000	6 000
5299	<b>Total</b>	<b>139 000</b>	<b>126 500</b>	<b>140 500</b>	<b>406 000</b>	<b>206 000</b>	<b>159 500</b>	<b>164 500</b>	<b>530 000</b>	<b>936 000</b>
5300	<b>Sundry</b>									
5301	Other expenses (capacity-building (RC))	–	23 500	–	23 500	–	24 500	–	24 500	48 000
5302	Other expenses (capacity-building (BC, RC, SC))	–	1 500	–	1 500	–	1 000	–	1 000	2 500
5399	<b>Total</b>	<b>–</b>	<b>25 000</b>	<b>–</b>	<b>25 000</b>	<b>–</b>	<b>25 500</b>	<b>–</b>	<b>25 500</b>	<b>50 500</b>
5999	<b>Component total</b>	<b>139 000</b>	<b>151 500</b>	<b>140 500</b>	<b>431 000</b>	<b>206 000</b>	<b>185 000</b>	<b>164 500</b>	<b>555 500</b>	<b>986 500</b>
<b>Direct project cost operational budget</b>										
		<b>3 204 289</b>	<b>2 827 825</b>	<b>3 332 345</b>	<b>9 364 459</b>	<b>3 221 774</b>	<b>3 576 116</b>	<b>3 705 294</b>	<b>10 503 184</b>	<b>19 867 643</b>
<b>UNEP programme support costs 13%</b>		<b>416 558</b>	<b>367 617</b>	<b>433 205</b>	<b>1 217 380</b>	<b>418 831</b>	<b>464 895</b>	<b>481 688</b>	<b>1 365 414</b>	<b>2 582 794</b>
<b>Total operational budget</b>		<b>3 620 847</b>	<b>3 195 442</b>	<b>3 765 550</b>	<b>10 581 839</b>	<b>3 640 605</b>	<b>4 041 011</b>	<b>4 186 982</b>	<b>11 868 598</b>	<b>22 450 437</b>

Basel Convention Technical Cooperation Trust Fund (BD)	2012	2013	2012–2013 Total	2014	2015	2014–2015 Total
Programme requirements approved for the biennium 2012–2013	5 147 828	5 341 058	10 488 886			
Programme requirements for the biennium 2014–2015				3 620 847	3 640 605	7 261 451
Approved average annual budget for the biennium 2012–2013			5 244 443			
Proposed average annual budget for the biennium 2014–2015						3 630 726
<b>Decrease in the average annual budget</b>						<b>30.77%</b>

Special Trust Fund for the Rotterdam Convention (RV)	2012	2013	2012–2013 Total	2014	2015	2014–2015 Total
Programme requirements approved for the biennium 2012–2013	1 983 150	2 058 295	4 041 445			
Programme requirements for the biennium 2014–2015				3 195 442	4 041 011	7 236 453
Approved average annual budget for the biennium 2012–2013			2 020 723			
Proposed average annual budget for the biennium 2014–2015						3 618 227
<b>Increase in the average annual budget</b>						<b>79.06%</b>

Special Trust Fund for the Stockholm Convention (SV)	2012	2013	2012–2013 Total	2014	2015	2014–2015 Total
Programme requirements approved for the biennium 2012–2013	4 750 520	4 287 220	9 037 740			
Programme requirements for the biennium 2014–2015				3 765 550	4 186 982	7 952 532
Approved average annual budget for the biennium 2012–2013			4 518 870			
Proposed average annual budget for the biennium 2014–2015						3 976 266
<b>Increase in the average annual budget</b>						<b>-12.01%</b>

Portion of operational budget to be covered by assessed contributions:	2014	2 378 296
	2015	2 577 035

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	Party	United Nations scale of assessments 2013**	Adjusted scale of contributions with 22 per cent ceiling and no least developed country paying more than 0.01 per cent	Assessed contributions to be covered by the parties 2014	Assessed contributions to be covered by the parties 2015
No.		Percentage	Percentage	United States dollars	United States dollars
57	Guinea	0.001	0.010	238	258
58	Guinea-Bissau	0.001	0.010	238	258
59	Guyana	0.001	0.010	238	258
60	Honduras	0.008	0.010	238	258
61	Hungary	0.266	0.342	8 126	8 805
62	India	0.666	0.855	20 345	22 045
63	Iran (Islamic Republic of)	0.356	0.457	10 875	11 784
64	Ireland	0.418	0.537	12 769	13 836
65	Israel*	0.396	0.509	12 097	13 108
66	Italy	4.448	5.713	135 877	147 232
67	Jamaica	0.011	0.014	336	364
68	Japan	10.833	13.914	330 926	358 579
69	Jordan	0.022	0.028	672	728
70	Kazakhstan	0.121	0.155	3 696	4 005
71	Kenya	0.013	0.017	397	430
72	Kuwait	0.273	0.351	8 340	9 036
73	Kyrgyzstan	0.002	0.010	238	258
74	Lao People's Democratic Republic	0.002	0.010	238	258
75	Latvia	0.047	0.060	1 436	1 556
76	Lebanon	0.042	0.054	1 283	1 390
77	Lesotho	0.001	0.010	238	258
78	Liberia	0.001	0.010	238	258
79	Libya	0.142	0.182	4 338	4 700
80	Liechtenstein	0.009	0.010	238	258
81	Lithuania	0.073	0.094	2 230	2 416
82	Luxembourg	0.081	0.104	2 474	2 681
83	Madagascar	0.003	0.010	238	258
84	Malawi	0.002	0.010	238	258
85	Malaysia	0.281	0.361	8 584	9 301
86	Maldives	0.001	0.010	238	258
87	Mali	0.004	0.010	238	258
88	Marshall Islands	0.001	0.010	238	258
89	Mauritania	0.002	0.010	238	258
90	Mauritius	0.013	0.017	397	430
91	Mexico	1.842	2.366	56 269	60 971
92	Mongolia	0.003	0.010	238	258
93	Montenegro*	0.005	0.010	238	258
94	Morocco	0.062	0.080	1 894	2 052
95	Mozambique	0.003	0.010	238	258
96	Namibia	0.010	0.013	305	331
97	Nepal	0.006	0.010	238	258
99	Netherlands	1.654	2.124	50 526	54 748
99	New Zealand	0.253	0.325	7 729	8 374
100	Nicaragua	0.003	0.010	238	258
101	Niger	0.002	0.010	238	258
102	Nigeria	0.090	0.116	2 749	2 979
103	Norway	0.851	1.093	25 996	28 169
104	Oman	0.102	0.131	3 116	3 376
105	Pakistan	0.085	0.109	2 597	2 814
106	Panama	0.026	0.033	794	861
107	Paraguay	0.010	0.013	305	331
108	Peru	0.117	0.150	3 574	3 873
109	Philippines	0.154	0.198	4 704	5 098
110	Poland	0.921	1.183	28 135	30 486
111	Portugal	0.474	0.609	14 480	15 690
112	Qatar	0.209	0.268	6 385	6 918
113	Republic of Korea	1.994	2.561	60 913	66 003
114	Republic of Moldova	0.003	0.010	238	258
115	Romania	0.226	0.290	6 904	7 481
116	Russian Federation	2.438	3.131	74 476	80 699
117	Rwanda	0.002	0.010	238	258
118	Samoa	0.001	0.010	238	258
119	Sao Tome and Principe ***	0.001	0.010	238	258
120	Saudi Arabia	0.864	1.110	26 393	28 599
121	Senegal	0.006	0.010	238	258
122	Serbia	0.040	0.051	1 222	1 324
123	Singapore	0.384	0.493	11 730	12 711
124	Slovakia	0.171	0.220	5 224	5 660
125	Slovenia	0.100	0.128	3 055	3 310

	Party	United Nations scale of assessments 2013**	Adjusted scale of contributions with 22 per cent ceiling and no least developed country paying more than 0.01 per cent	Assessed contributions to be covered by the parties 2014	Assessed contributions to be covered by the parties 2015
No.		Percentage	Percentage	United States dollars	United States dollars
126	Somalia	0.001	0.010	238	258
127	South Africa	0.372	0.478	11 364	12 313
128	Spain	2.973	3.819	90 819	98 408
129	Sri Lanka	0.025	0.032	764	828
130	St Kitts and Nevis	0.001	0.010	238	258
131	St. Vincent and the Grenadines	0.001	0.010	238	258
132	Sudan	0.010	0.010	238	258
133	Suriname	0.004	0.010	238	258
134	Swaziland*	0.003	0.010	238	258
135	Sweden	0.960	1.233	29 326	31 777
136	Switzerland	1.047	1.345	31 984	34 656
137	Syrian Arab Republic	0.036	0.046	1 100	1 192
138	Thailand	0.239	0.307	7 301	7 911
139	The former Yugoslav Republic of Macedonia	0.008	0.010	238	258
140	Togo	0.001	0.010	238	258
141	Tonga	0.001	0.010	238	258
142	Trinidad and Tobago	0.044	0.057	1 344	1 456
143	Uganda	0.006	0.010	238	258
144	Ukraine	0.099	0.127	3 024	3 277
145	United Arab Emirates	0.595	0.764	18 176	19 695
146	United Kingdom of Great Britain and Northern Ireland	5.179	6.652	158 208	171 428
147	United Republic of Tanzania	0.009	0.010	238	258
148	Uruguay	0.052	0.067	1 588	1 721
149	Venezuela (Bolivarian Republic of)	0.627	0.805	19 154	20 754
150	Viet Nam	0.042	0.054	1 283	1 390
151	Yemen	0.010	0.013	305	331
152	Zambia	0.006	0.010	238	258
153	Zimbabwe*	0.002	0.010	238	258
	<b>Total</b>	<b>78</b>	<b>100.00</b>	<b>2 378 296</b>	<b>2 577 035</b>

\* New parties that have ratified the Convention.

\*\* United Nations scale of assessments for the 2014-2015 period as per resolution 67/238 adopted at the sixty-seventh session of the General Assembly on 24 December 2012.

\*\*\* New parties that have ratified the Convention after posting of programme of work document in 2013.

**Table 5****E. Indicative staffing table for the Secretariat for the biennium 2014–2015****Funded from the general trust funds (used for costing purposes)**

Staff category and level	Approved 2012–2013 Basel	Approved 2012–2013 Rotterdam			Approved 2012–2013 Stockholm	Total approved 2012–2013 BRS	Total proposed 2014–2015 BRS	Remarks
		FAO	UNEP	Total				
<b>A. Professional category</b>								
D-2	–	–	–	–	–	–	1.25	1)
D-1	1.00	0.25	0.25	0.50	0.75	2.25	1.00	
P-5	3.00	1.00	1.00	2.00	3.00	8.00	8.00	2)
P-4	3.00	1.00	1.50	2.50	3.00	8.50	9.00	3)
P-3	3.00	3.00	4.00	7.00	6.25	16.25	15.00	
P-2	2.00	1.00	1.00	2.00	–	4.00	4.00	
<i>Subtotal A:</i>	<i>12.00</i>	<i>6.25</i>	<i>7.75</i>	<i>14.00</i>	<i>13.00</i>	<i>39.00</i>	<i>38.25</i>	
<b>B. General Service category</b>								
GS	7.00	1.25	4.50	5.75	8.00	20.75	21.25	4)
<i>Subtotal B:</i>	<i>7.00</i>	<i>1.25</i>	<i>4.50</i>	<i>5.75</i>	<i>8.00</i>	<i>20.75</i>	<i>21.25</i>	
<b>Total (A+B):</b>	<b>19.00</b>	<b>7.50</b>	<b>12.25</b>	<b>19.75</b>	<b>21.00</b>	<b>59.75</b>	<b>59.50</b>	

Note.

1. The in-kind contribution from FAO reflects the upgrade of 0.25 D-1 to 0.25 D-2.
2. One P-5 retiring July 2014 (RC), one P-5 retiring October 2015 (BC), one P-5 retiring July 2017 (BC) and one P-5 retiring December 2017 (BC).
3. Two administrative officers funded via programme support costs (1 BC, 0.5 RC and 0.5 SC).
4. One GS retiring July 2014 (BC) and one GS retiring September 2015 (SC). Five GS positions funded from the programme support costs.

**Funded from the voluntary special/technical cooperation trust funds (used for costing purposes)**

Staff category and level	Approved 2012–2013 BRS	Total proposed 2014–2015 BRS
<b>A. Professional category</b>		
D-2	–	–
D-1	–	–
P-5	–	–
P-4	–	–
P-3	–	8.00
P-2	–	–
<i>Subtotal A:</i>	<i>–</i>	<i>8.00</i>
<b>B. General Service category</b>		
GS	–	3.00
<i>Subtotal B:</i>	<i>–</i>	<i>3.00</i>
<b>Total (A+B):</b>	<b>–</b>	<b>11.00</b>

## Standard amounts used for calculating salary costs for Geneva and Rome for the biennium 2014–2015 (in United States dollars)

### Duty station: Geneva

Staff category and level		2012	2013	2014*	2015**
<b>A.</b>	<b>Professional category</b>				
	D-2	297 336	309 400	309 400	321 776
	D-1	273 416	288 500	288 500	300 040
	P-5	244 088	254 800	254 800	264 992
	P-4	206 336	216 400	216 400	225 056
	P-3	172 432	180 300	180 300	187 512
	P-2	135 928	144 800	144 800	150 592
<b>B.</b>	<b>General Service category</b>				
	GS-6	162 240	170 400	170 400	177 216
	GS-5	125 216	136 300	136 300	141 752

\* United Nations standard salary costs for Geneva for the year 2013 were used to calculate the staff costs in 2014 (United Nations standard salary costs version 21 dated 17 January 2013).

\*\* Staff costs for 2015 were estimated by using the figure for 2014 plus 4 per cent.

### Duty station: Rome

Staff category and level		2012	2013	2014*	2015**
<b>A.</b>	<b>Professional category</b>				
	D-2	278 796	289 948	289 948	301 546
	D-1	264 036	274 597	274 597	285 581
	P-5	229 664	238 851	238 851	248 405
	P-4	200 220	208 229	208 229	216 558
	P-3	159 828	166 221	166 221	172 870
	P-2	120 564	125 387	125 387	130 402
<b>B.</b>	<b>General Service category</b>				
	GS-5	114 912	119 508	119 508	124 289

\* FAO standard salary costs for Rome for the year 2012 (version June 2012) were used to calculate the staff costs in 2014.

\*\* Staff costs for 2015 were estimated by using the figure for 2014 plus 4 per cent.

**Item 2: Adoption of the agenda**

Provisional agenda

**(a) Election of officers**

### Election of officers

## Annotations to the provisional agenda

Scenario note for the ordinary and simultaneous extraordinary meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions

Tentative schedule of work for the ordinary and simultaneous extraordinary meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions

Information on the high-level segment of the ordinary and extraordinary meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions

Provisional list of meeting documents  
organized by provisional agenda item and by  
document symbol

### Status of ratification of the Basel, Rotterdam and Stockholm conventions

## Rules of procedure for the Conference of the Parties

**(a) Status of implementation**

## Information on the implementation of the Rotterdam Convention

## Proposal on ways of exchanging information on exports and export notifications

Proposals to increase the number of notifications of final regulatory action and guidance to assist parties in their preparation

**(b) Chemical Review Committee**

UNEP/FAO/RC/COP.6/6	Chemical Review Committee: developments for action by the Conference of the Parties to the Rotterdam Convention
UNEP/FAO/RC/COP.6/INF/3/Rev.1	Designated members of the Chemical Review Committee
UNEP/FAO/CHW/RC/POPS/EXCOPS.2/INF/17	Potential for enhanced cooperation and coordination between the Chemical Review Committee of the Rotterdam Convention and the Persistent Organic Pollutants Review Committee of the Stockholm Convention

**(c) Consideration of chemicals for inclusion in Annex III to the Convention**

UNEP/FAO/RC/COP.6/7	Inclusion of azinphos-methyl in Annex III to the Rotterdam Convention
UNEP/FAO/RC/COP.6/7/Add.1	Draft decision guidance document on azinphos-methyl
UNEP/FAO/RC/COP.6/7/Add.2	Comments and further information related to the draft decision guidance document for azinphos-methyl
UNEP/FAO/RC/COP.6/8	Inclusion of pentabromodiphenyl ether (CAS No. 32534-81-9) and pentabromodiphenyl ether commercial mixtures in Annex III to the Rotterdam Convention
UNEP/FAO/RC/COP.6/8/Add.1	Draft decision guidance document on pentabromodiphenyl ether (CAS No. 32534-81-9) and pentabromodiphenyl ether commercial mixtures
UNEP/FAO/RC/COP.6/8/Add.2	Comments and further information related to the draft decision guidance document for pentabromodiphenyl ether (CAS No. 32534-81-9) and pentabromodiphenyl ether commercial mixtures
UNEP/FAO/RC/COP.6/9	Inclusion of octabromodiphenyl ether commercial mixtures in Annex III to the Rotterdam Convention
UNEP/FAO/RC/COP.6/9/Add.1	Draft decision guidance document on octabromodiphenyl ether commercial mixtures
UNEP/FAO/RC/COP.6/9/Add.2	Comments and further information related to the draft decision guidance document for octabromodiphenyl ether commercial mixtures
UNEP/FAO/RC/COP.6/10	Inclusion of perfluorooctane sulfonic acid, perfluorooctanesulfonates, perfluorooctanesulfonamides and perfluorooctanesulfonyls in Annex III to the Rotterdam Convention

UNEP/FAO/RC/COP.6/10/Add.1	Draft decision guidance document on perfluorooctane sulfonic acid, perfluorooctanesulfonates, perfluorooctanesulfonamides and perfluorooctanesulfonyls
UNEP/FAO/RC/COP.6/10/Add.2	Comments and further information related to the draft decision guidance document for perfluorooctane sulfonic acid, perfluorooctanesulfonates, perfluorooctanesulfonamides and perfluorooctanesulfonyls
UNEP/FAO/RC/COP.6/11	Inclusion of liquid formulations (emulsifiable concentrate and soluble concentrate) containing paraquat dichloride at or above 276 g/L, corresponding to paraquat ion at or above 200 g/L, in Annex III to the Rotterdam Convention
UNEP/FAO/RC/COP.6/11/Add.1	Draft decision guidance document on liquid formulations (emulsifiable concentrate and soluble concentrate) containing paraquat dichloride at or above 276 g/L, corresponding to paraquat ion at or above 200 g/L
UNEP/FAO/RC/COP.6/11/Add.2	Comments and further information related to the draft decision guidance document for liquid formulations (emulsifiable concentrate and soluble concentrate) containing paraquat dichloride at or above 276 g/L, corresponding to paraquat ion at or above 200 g/L
UNEP/FAO/RC/COP.6/12	Inclusion of chrysotile asbestos in Annex III to the Rotterdam Convention
UNEP/FAO/RC/COP.6/12/Add.1	Draft decision guidance document on chrysotile asbestos
UNEP/FAO/RC/COP.6/INF/4	Rationales and recommendation of the Chemical Review Committee on the inclusion of azinphos-methyl in Annex III to the Rotterdam Convention
UNEP/FAO/RC/COP.6/INF/5	Rationale and recommendation of the Chemical Review Committee for the inclusion of pentabromodiphenyl ether (CAS No. 32534-81-9) and pentabromodiphenyl ether commercial mixtures in Annex III to the Rotterdam Convention
UNEP/FAO/RC/COP.6/INF/6	Rationale and recommendation of the Chemical Review Committee on the inclusion of octabromodiphenyl ether commercial mixtures in Annex III to the Rotterdam Convention
UNEP/FAO/RC/COP.6/INF/7	Rationale and recommendation of the Chemical Review Committee on the inclusion of perfluorooctane sulfonic acid, perfluorooctanesulfonates, perfluorooctanesulfonamides and perfluorooctanesulfonyls in Annex III of the Rotterdam Convention

UNEP/FAO/RC/COP.6/INF/8	Rationale and recommendation of the Chemical Review Committee on the inclusion of liquid formulations (emulsifiable concentrate and soluble concentrate) containing paraquat dichloride at or above 276 g/L, corresponding to paraquat ion at or above 200 g/L, in Annex III to the Rotterdam Convention
UNEP/FAO/RC/COP.6/INF/14	Compilation of comments received from parties relating to the listing of chemicals and a severely hazardous pesticide formulation in Annex III to the Rotterdam Convention recommended by the Chemical Review Committee
<b>(d) Non-compliance</b>	
UNEP/FAO/RC/COP.6/13	Procedures and institutional mechanisms for determining non-compliance with the provisions of the Rotterdam Convention and for the treatment of parties found to be in non-compliance
<b>(e) Financial resources</b>	
UNEP/FAO/RC/COP.6/14	Follow-up to decision RC-5/11 on progress made in the implementation of decision RC-3/5 on possible options for lasting and sustainable financial mechanisms
<b>(f) Technical assistance</b>	
UNEP/FAO/RC/COP.6/15	Technical assistance and capacity-building for the implementation of the Rotterdam Convention
UNEP/FAO/RC/COP.6/INF/9	Capacity-building and training activities organized by the Secretariat from May 2011 to December 2012
UNEP/FAO/RC/COP.6/INF/11	Rotterdam Convention capacity-building and training activities planned by the Secretariat for 2013
UNEP/FAO/RC/COP.6/INF/12	Analysis of the technical assistance needs and the technical assistance available to developing country parties and parties with economies in transition
UNEP/FAO/RC/COP.6/INF/19	Programme for the delivery of technical assistance for the implementation of the Rotterdam Convention
<b>(g) Trade</b>	
UNEP/FAO/RC/COP.6/17	Cooperation with the World Trade Organization



**Item 6: Programme of work of the Secretariat and adoption of the budget**

UNEP/FAO/CHW/RC/POPS/EXCOPS.2/3	Programmes of work and proposed budgets for the biennium 2014–2015: combined proposal, including joint activities
UNEP/FAO/CHW/RC/POPS/EXCOPS.2/INF/11	Programmes of work and proposed budgets for the biennium 2014–2015
UNEP/FAO/CHW/RC/POPS/EXCOPS.2/INF/12	Programmes of work and proposed budgets for the biennium 2014–2015: budget activity fact sheets
UNEP/FAO/RC/COP.6/INF/2	Activities undertaken by the Secretariat pertaining to the Rotterdam Convention from 1 January 2011 to 31 December 2012
UNEP/FAO/RC/COP.6/INF/15	Programme of work and proposed budget for the biennium 2014–2015: Rotterdam Convention proposal, including joint activities
UNEP/FAO/RC/COP.6/INF/16	Implementation of the Rotterdam Convention programme budget for 2012
UNEP/FAO/RC/COP.6/INF/17	Information on financial matters
UNEP/FAO/RC/COP.6/INF/18	Updated information on financial matters

**Item 8: Other matters**

UNEP/FAO/RC/COP.6/18	Official communications
UNEP/FAO/RC/COP.6/19	Admission of observers
UNEP/FAO/RC/COP.6/INF/10	Consideration of a possible memorandum of understanding between the United Nations Environment Programme, the Food and Agriculture Organization of the United Nations and the Conference of the Parties to the Rotterdam Convention
UNEP/FAO/RC/COP.6/INF/13/Rev.1	Admission of observers to meetings of the Conference of the Parties to the Rotterdam Convention

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