

**Stockholm Convention  
on Persistent Organic  
Pollutants**

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**Conference of the Parties to the Stockholm  
Convention on Persistent Organic Pollutants  
Fifth meeting**  
Geneva, 25–29 April 2011

## **Report of the Conference of the Parties to the Stockholm Convention on Persistent Organic Pollutants on the work of its fifth meeting**

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

1. The fifth meeting of the Conference of the Parties to the Stockholm Convention on Persistent Organic Pollutants was held at the Geneva International Conference Centre from 25 to 29 April 2011.
2. The meeting was opened at 10.15 a.m. on Monday, 25 April 2011, by Mr. Gholamhossein Dehghani (Islamic Republic of Iran), President of the fourth meeting of the Conference of the Parties,<sup>1</sup> who welcomed the representatives. Noting that the tenth anniversary of the adoption of the Stockholm Convention in 2011 coincided with the International Year of Chemistry, he said that the slogan for the current meeting was “Stockholm at 10: Chemical Challenges, Sustainable Solutions”. Major efforts had been made over the past decade towards eliminating the risk of persistent organic pollutants, but an even greater effort was required to ensure the full implementation of the Convention at the national, regional and global levels. A further important goal was the achievement of universal accession to the Convention in the foreseeable future.
3. Opening statements were delivered by Mr. Jim Willis, Executive Secretary of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and the Stockholm Convention; Mr. Bakary Kante, Director, Division of Environmental Law and Conventions, United Nations Environment Programme (UNEP), on behalf of Mr. Achim Steiner, Executive Director of UNEP; Ms. Monique Barbut, Chair and Chief Executive Officer of the Global Environment Facility (GEF); and Ms. Paulina Lopez Fletes, a student at the University of Technology in Mexico City and winner of the Safe Planet POPS essay and art contest.
4. In his statement the Executive Secretary recalled the sense of accomplishment and hope for the future that had marked the adoption of the Stockholm Convention 10 years previously. The Convention had fulfilled that hope by becoming a dynamic instrument. Emphasizing the importance of synergy between the parties and the Secretariat, he said that he would hold informal discussions with regional groups and individual delegations to identify priority issues and to hear their views on the Secretariat’s performance and possible improvements. He was also aware that, given the current global economic situation, the Secretariat should seek the most cost-effective means of providing support. He highlighted recent synergies in the implementation of the Basel, Rotterdam and Stockholm

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<sup>1</sup> Mr. Aliresa Moayeri (Islamic Republic of Iran) was elected President at the fourth meeting of the Conference of the Parties, and was subsequently replaced by Mr. Dehghani in accordance with rule 25 of the rules of procedure.

conventions, which had led to enhanced coherence and efficiency. The secretariats had made considerable progress in developing and implementing joint activities. As soon as he had time to assess staffing, functions and structures, he would work with the parties to restructure the secretariats in a manner that strengthened organizational synergies and respected the legal autonomy of each convention. Greater support should be extended to the members of the Inter-Organization Programme for the Sound Management of Chemicals (IOMC) to assist them in supporting technical and development assistance and mainstreaming activities under the three conventions. He hoped to work with GEF and other entities to support the goal of establishing a financial mechanism that provided adequate and sustainable financial resources for the implementation of the Stockholm Convention. The UNEP consultative process on financing options for chemicals and wastes would help to catalyse further progress in that area.

5. On behalf of the Executive Director, Mr. Kante welcomed the Executive Secretary to his post, wishing him well in the challenging task before him. Looking ahead to landmark events in the environment arena over the coming year, he expressed the hope that it would be possible to capitalize even more on the opportunities provided by agreements such as the Stockholm Convention in creating a greener path to economic and social prosperity. In that regard he suggested that it was high time for the parties to consider concluding their deliberations on a compliance mechanism to facilitate the effective implementation of the Convention. He pointed out that the current meeting was the first since the simultaneous extraordinary meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions, held in Bali, Indonesia, in 2010, at which a groundbreaking framework for the achievement of enhanced coordination and cooperation, unique in the world of multilateral environmental agreements, had been adopted. He called upon the parties to ensure that the steps taken in Bali were followed by a firm and continued commitment to the synergies process and its implementation, as only thus could the identified objectives be achieved and a successful precedent set for other instruments to follow. He recalled that, at the fourth meeting of the Conference of the Parties, a consultative process for financing options for chemicals and wastes had been launched. Three meetings in that process had been held to date, with fruitful discussions leading to four potential tracks for new ways of financing sound chemicals and wastes management. It was hoped that discussions at the current meeting, combined with the outcomes of the synergies and consultative processes, would open a new horizon in the history of environmental governance, something that was particularly important in the face of scarce financial resources and the fragmented and fractured nature of the multilateral environmental agreement landscape. He concluded by reiterating the commitment of UNEP to the Stockholm Convention.

6. Ms. Barbut said that donors had shown their confidence in recent GEF reforms through a record replenishment of the General Trust Fund, pledging \$4.3 billion, a 54 per cent increase. An increase of over \$100 million to \$425 million had been recorded in the amount earmarked for chemicals. GEF had directed resources to 138 developing countries and countries with economies in transition for the preparation of national implementation plans and had approved 86 projects to eliminate over 36,000 tonnes of polychlorinated biphenyls and material contaminated with polychlorinated biphenyls and over 100,000 tonnes of obsolete pesticides. Under a new programme, parties could gain direct access to funding of up to \$250,000 for updating their national implementation plans to deal with the nine chemicals added to the Convention at the fourth meeting of the Conference of the Parties. GEF was also funding projects to include new chemicals in the global monitoring programme and to demonstrate the effectiveness of best environmental practices, and was funding institution building and technical assistance, including through a programme to provide implementation support for least developed countries and small island developing States, along with efforts to develop and implement safer alternatives to DDT. The GEF Council had approved a sound management of chemicals strategy and a mercury strategy and had reaffirmed its commitment to the Montreal Protocol on Substances that Deplete the Ozone Layer. In that context, the Council encouraged parties to submit projects that reached beyond the Stockholm Convention to include action on other chemicals of global concern. With a view to becoming a more country-driven financial mechanism, GEF had introduced national portfolio formulation exercises. In November 2010 the Council had radically changed the GEF investment model by stating its preference for national entities over multilateral entities. In conclusion she said that GEF looked forward to continuing its very successful partnership with the Convention.

7. In her statement Ms. Lopez Fletes said that young people had a deep interest in protecting the environment, including from the dangers posed by persistent organic pollutants. She expressed thanks for what she said were two great opportunities: assisting the secretariats of the Rotterdam and Stockholm conventions to organize an art exhibition and reception on climate change and persistent organic pollutants during the 2010 climate change conference in Cancún, Mexico; and participating in the Safe Planet essay and art contest. She said that young people around the world stood ready to assist

with implementation of the Convention and related efforts to protect human health and the environment and that she and her colleagues attending the current meeting were eager to learn more about these important issues and to speak to representatives about what they could do now and in the future.

## **II. Organizational matters**

### **A. Attendance**

8. The meeting was attended by representatives of the following parties: Algeria, Argentina, Armenia, Australia, Austria, Azerbaijan, Bahrain, Bangladesh, Barbados, Belarus, Belgium, Belize, Benin, Bolivia (Plurinational State of), Bosnia and Herzegovina, Botswana, Brazil, Bulgaria, Burkina Faso, Burundi, Cameroon, Canada, Cape Verde, Chile, China, Colombia, Cook Islands, Costa Rica, Croatia, Cuba, Cyprus, Czech Republic, Democratic People's Republic of Korea, Democratic Republic of the Congo, Denmark, Dominican Republic, Ecuador, Egypt, Eritrea, Estonia, Ethiopia, European Union, Fiji, Finland, France, Georgia, Germany, Ghana, Greece, Guatemala, Guinea-Bissau, Hungary, Iceland, India, Indonesia, Iran (Islamic Republic of), Ireland, Jamaica, Japan, Kazakhstan, Kenya, Kiribati, Kuwait, Lao People's Democratic Republic, Latvia, Liechtenstein, Luxembourg, Madagascar, Mali, Marshall Islands, Mexico, Monaco, Mongolia, Morocco, Mozambique, Myanmar, Namibia, Nepal, Netherlands, New Zealand, Nigeria, Norway, Oman, Pakistan, Panama, Paraguay, Philippines, Poland, Qatar, Republic of Korea, Republic of Moldova, Romania, Saint Kitts and Nevis, Saint Lucia, Samoa, Sao Tome and Principe, Senegal, Serbia, Seychelles, Slovakia, Slovenia, South Africa, Spain, Sri Lanka, Sudan, Sweden, Switzerland, Syrian Arab Republic, Thailand, the former Yugoslav Republic of Macedonia, Trinidad and Tobago, Tunisia, Tuvalu, Uganda, United Kingdom of Great Britain and Northern Ireland, Uruguay, Venezuela (Bolivarian Republic of), Viet Nam, Zambia.

9. In addition, the meeting was attended by representatives of the following countries as observers: Angola, Comoros, El Salvador, Gabon, Iraq, Israel, Italy, Jordan, Lebanon, Lithuania, Peru, Russian Federation, Saudi Arabia, United States of America, Zimbabwe.

10. The following United Nations bodies and specialized agencies were represented as observers: Food and Agriculture Organization of the United Nations, Global Environment Facility, 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 Trade Organization.

11. The following intergovernmental organizations were represented as observers: Arctic Monitoring and Assessment Programme, Comité inter-Etats des Pesticides d'Afrique Centrale (Central Africa Interstate Pesticides Committee), Economic Community of West African States, International Centre of Insect Physiology and Ecology, League of Arab States, Organization for Economic Cooperation and Development.

12. The following Basel Convention regional and coordinating centres and Stockholm Convention regional and subregional and nominated centres were represented as observers: Basel Convention Regional Centre for Central America and Mexico, El Salvador; Nominated Stockholm Convention Centre/Basel Convention Regional Centre for Countries of the Commonwealth of Independent States, Russian Federation; Nominated Stockholm Convention Centre/Basel Convention Regional Centre for English-speaking African Countries in Africa, South Africa; Nominated Stockholm Convention Centre/Basel Convention Regional Centre for French-speaking Countries in Africa, Senegal; Nominated Stockholm Convention Centre, Algeria; Nominated Stockholm Convention Centre, India; Stockholm Convention Regional Centre, Brazil; Stockholm Convention Regional Centre/Basel Convention Coordinating Center For Asia And The Pacific, China; Stockholm Convention Regional Centre, Czech Republic; Stockholm Convention Regional Centre, Kuwait; Stockholm Convention Regional Centre, Panama; Stockholm Convention Regional Centre, Spain.

13. A number of non-governmental organizations were represented as observers. The names of those organizations are included in the list of participants (UNEP/POPS/COP.5/INF/51).

### **B. Election of officers**

14. The Conference of the Parties elected Mr. Karel Blaha (Czech Republic) as President of the Conference of the Parties in accordance with rule 22 of the rules of procedure.

15. Pursuant to paragraph 1 of rule 22, the following vice-presidents elected at the fourth meeting of the Conference of the Parties served during the current meeting:

- Ms. Liudmila Mardhuaeva (Republic of Moldova)
- Ms. Caroline Njoki Wamai (Kenya)
- Mr. Hubert Binga (Gabon)
- Mr. Rajiv Gauba (India)
- Mr. Jeffrey Headley (Barbados)
- Mr. Carlos Villón (Ecuador)
- Mr. Franz Perrez (Switzerland)
- Mr. François Lengrand (France)

16. As Mr. Blaha had been elected Vice-President at the fourth meeting of the Conference of the Parties his election as President made it necessary for the parties to elect another Vice-President to serve during the current meeting. Accordingly, and taking into account the need to maintain regional balance among the members of the Bureau, the Conference of the Parties elected Mr. Dehghani to serve as Vice-President until the closure of the current meeting.

17. Pursuant to rule 22, Mr. Gauba also served as rapporteur.

18. Following the adoption of decision SC-5/1, by which the Conference of the Parties amended rule 22 of the rules of procedure relating to the term of office of the President as described in chapter III below, the Conference of the Parties elected Mr Osvaldo Álvarez-Pérez (Chile) as President. In accordance with rule 22 as so amended, his term commenced at the closure of the current meeting and would run until the closure of the sixth meeting of the parties.

19. The Conference of the Parties elected the following vice-presidents, whose terms of office commenced upon the closure of the current meeting and would run until the closure of the sixth meeting of the parties in accordance with the rules of procedure:

- Ms. Anne Daniel (Canada)
- Mr. Karel Blaha (Czech Republic)
- Mr. François Lengrand (France)
- Mr. Nassereddin Heidari (Islamic Republic of Iran)
- Ms. Gillian Guthrie (Jamaica)
- Ms. Farah Bouqartacha (Morocco)
- Ms. Stella Uchenna Mojekwu (Nigeria)
- Ms. Hala Al-Easa (Qatar)
- Mr. Aleksandar Vesić (Serbia)

### **C. Adoption of the agenda**

20. The Conference of the Parties adopted the following agenda, on the basis of the provisional agenda contained in document UNEP/POPS/COP.5/1:

1. Opening of the meeting.
2. Organizational matters:
  - (a) Election of officers;
  - (b) Adoption of the agenda;
  - (c) Organization of work;
  - (d) Report on the credentials of representatives to the fifth meeting of the Conference of the Parties.
3. Rules of procedure for the Conference of the Parties and its subsidiary bodies.

4. Matters related to the implementation of the Convention:
  - (a) Measures to reduce or eliminate releases from intentional production and use:
    - (i) DDT;
    - (ii) Exemptions;
    - (iii) Evaluation of the continued need for the procedure under paragraph 2 (b) of Article 3;
    - (iv) Polychlorinated biphenyls;
  - (b) Measures to reduce or eliminate releases from unintentional production:
    - (i) Best available techniques and best environmental practices;
    - (ii) Identification and quantification of releases;
  - (c) Measures to reduce or eliminate releases from wastes;
  - (d) Implementation plans;
  - (e) Listing of chemicals in Annex A, B or C to the Convention;
  - (f) Information exchange;
  - (g) Technical assistance;
  - (h) Financial resources;
  - (i) Reporting;
  - (j) Effectiveness evaluation;
  - (k) Non-compliance.
5. Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions.
6. Programme of work and adoption of the budget.
7. Venue and date of the sixth meeting of the Conference of the Parties.
8. Other matters.
9. Adoption of the report.
10. Closure of the meeting.

#### **D. Organization of work**

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

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

23. At the proposal of the President, the Conference of the Parties agreed to appoint Mr. Barry Reville (Australia) as a facilitator for the process of identifying a way forward on the adoption of procedures and institutional mechanisms on non-compliance, as required under Article 17 of the Convention. In that role he would facilitate dialogue among parties on their views, including in respect of the draft texts on such procedures and mechanisms that had been considered by the Conference of the Parties at its fourth meeting, but no negotiation on draft text would be undertaken. He would then report to the Conference of the Parties on the results of those consultations prior to the parties taking up the issue under agenda item 4 (k). The parties also agreed to establish a friends of the facilitator group to assist the facilitator in his work. The group would comprise the representatives of Australia, Canada, China, Costa Rica on behalf of the group of Latin American and Caribbean countries, the Czech Republic, India, Iran (Islamic Republic of), Japan, Kenya, Switzerland, and the United Kingdom of Great Britain and Northern Ireland on behalf of the European Union and its member States.

## **E. Report on the credentials of representatives to the fifth meeting of the Conference of the Parties**

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

25. Under the item, the representative of the Secretariat also provided a brief summary of the status of ratification of the Convention, noting that 172 parties had lodged instruments of ratification or accession with the Depository for the Convention prior to the deadline for participation as parties at the current meeting.

26. On the morning of Friday, 29 April, the Bureau reported that it had examined the credentials of the representatives of the 127 parties that had registered for the meeting. Of those, the credentials of 119 had been found to be in order. Eight parties without acceptable credentials were identified. The Conference of the Parties accordingly agreed that those eight parties would be recorded in the present report as having participated in the current meeting as observers. The report of the Bureau on credentials is set out in annex III to the present report.

## **III. Rules of procedure for the Conference of the Parties and its subsidiary bodies**

27. Introducing the item, the representative of the Secretariat noted that there were two issues for consideration: first, decision-making by vote on matters of substance and, second, a proposal to amend the rules of procedure regarding the term of office of the President of the Conference of the Parties.

28. Regarding the first issue, the representative of the Secretariat recalled that at its first meeting the Conference of the Parties had adopted its rules of procedure, as set out in the annex to decision SC-1/1, in their entirety with the exception of the second sentence of paragraph 1 of rule 45. That sentence, which provided for the adoption of decisions on substantive matters by a two-thirds majority vote in the absence of consensus, had been enclosed in square brackets to indicate that it had not been adopted. At its second, third and fourth meetings the Conference of the Parties had considered the same issue and had agreed to defer taking formal decisions.

29. Given the divergence of views on the matter, the Conference of the Parties agreed that it would not take a formal decision on the item at the current meeting, that the square brackets around the second sentence of paragraph 45 would remain in place and that, until it decided otherwise, it would continue to decide substantive matters by consensus.

30. Regarding the second issue, the representative of the Secretariat noted that a group of parties had submitted a conference room paper setting forth a proposal to amend the term of office of the President of the Bureau to align it with the terms of office of the Vice-Presidents. If the proposal were adopted, the President's term would begin at the closure of the meeting of the Conference of the Parties at which the President was elected and would continue until the closure of the next ordinary meeting, including any intervening extraordinary meeting. Accordingly, it would be necessary at the current meeting to elect a new President, whose term of office would begin at the end of the current meeting and end with the closure of the sixth meeting of the Conference of the Parties, and to curtail the term of office of the current President, terminating it at the end of the current meeting to allow the term of office of the newly elected President to begin.

31. Several representatives, including one speaking on behalf of a group of countries, spoke in favour of the proposal. One representative said that it would be necessary to be very clear about how the proposed change to the rules of procedure would affect the term of office of the current President and that the draft decision included with the proposal might require some minor adjustment. The Conference of the Parties accordingly agreed to establish an informal drafting group to prepare draft text for the proposed amendment to the rules of procedure and a draft decision, taking into account the proposal set out in the conference room paper.

32. Decision SC-5/1 on amendment of rule 22 of the rules of procedure, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## General statements

33. Following the discussion of the rules of procedure, a number of representatives, including several speaking on behalf of groups of countries, made general statements on the issues to be discussed during the meeting.

## IV. Matters related to the implementation of the Convention

### A. Measures to reduce or eliminate releases from intentional production and use

#### 1. DDT

34. Introducing the sub-item, the representative of the Secretariat drew attention to the relevant documentation and summarized work undertaken by the Secretariat in response to decisions taken by the Conference of the Parties at its fourth meeting. He expressed appreciation for donor support provided in relation to that work.

35. Ms. Noluzuko Gwayi (South Africa), Co-Chair of the first assembly of the Global Alliance for the Development and Deployment of Products, Methods and Strategies as Alternatives to DDT for Disease Vector Control, reported on the Alliance's work, explaining that its goal was to eliminate reliance on DDT for disease vector control by strengthening country capacities to deploy safer and effective alternatives. She explained that it would not undertake substantive operations related to vector control or research, nor would it be directly involved in funding or implementing projects on the ground; rather, it sought to trigger significant action in support of the development and deployment of alternatives to DDT. Launched at the simultaneous extraordinary meetings of the conferences of the parties in 2010, the Alliance's members included many countries and stakeholders.

36. The first assembly, held on 26 April 2011, had endorsed the Alliance's proposed implementing strategy and work programme. Five thematic groups had been established by the interim steering committee to work on the cost-effectiveness of alternatives to DDT; strengthening in-country decision-making; malaria vector resistance; reducing barriers to the use of non-chemical DDT alternatives; and reducing barriers to bringing new chemicals and products to market. She noted with appreciation the support and technical guidance provided by WHO and the generous financial and in kind contributions from several donors. Although it was operating effectively and was widely accepted, the Alliance wished to ensure coordination with the Secretariat to guarantee continuity. She appealed to donors to examine possible opportunities to contribute to the Alliance.

37. The representative of WHO introduced the organization's report on human health aspects of indoor residual spraying of DDT. She gave details of its findings and thanked the experts involved in its preparation and the Governments of Germany and the United Kingdom of Great Britain and Northern Ireland for essential financial support for the expert meetings.

38. In the ensuing discussion, general support was expressed for the reports by the expert group on the assessment of the production and use of DDT and its alternatives for disease vector control and by WHO and the Global Alliance. There was broad agreement regarding the need to combat malaria and to reduce and eventually eliminate the production and use of DDT. Many representatives reported on past or current efforts to reduce, phase out or eliminate DDT and deploy alternatives, with a number conveying gratitude to donor countries, the Secretariat, GEF, WHO and other entities for technical and financial assistance. A number of representatives outlined specific circumstances that had compelled their Governments to continue using DDT to combat malaria.

39. There was broad support for the recommendation by the DDT expert group that DDT was needed in some countries for disease vector control. Many representatives, including two speaking on behalf of groups of countries, underscored the importance of the Convention's provision that parties should work to reduce and eventually eliminate the production and use of DDT. In that regard, several representatives, including one speaking on behalf of a group of countries, expressed support for the idea that the Conference of the Parties should consider agreeing on a final phase-out date for DDT at its sixth meeting. Representatives of many countries that were relying on DDT for disease vector control expressed the need, however, to continue such use until locally applicable and cost-effective alternatives were available.

40. There were differences of opinion regarding how to proceed with regard to the status of the Alliance vis-à-vis the Conference of the Parties and the Secretariat, and related organizational and budgetary issues. Many representatives said that the Secretariat and parties to the Convention should work closely with the Alliance, and perhaps provide financial and technical support to it. Others voiced opposition to the Alliance's being seen as a subsidiary body of the Conference of the Parties,

arguing that its work, while clearly important and beneficial, should not have a budgetary impact on the Convention and should instead be supported through other mechanisms.

41. Several representatives, including one speaking on behalf of a group of countries, stressed the importance of parties fulfilling their DDT-related reporting obligations, noting that the low response rate to the DDT questionnaire by parties hampered an accurate assessment of the continued need for DDT for disease vector control. Some of those representatives also said that the expert group report should be updated to include additional information, including the WHO assessment of risks posed by DDT use in indoor residual spraying. One representative requested that his country should be included among the list of those that had fulfilled their reporting requirements.

42. Many representatives called for increased financial and technical assistance to developing countries to reduce the use of DDT while maintaining or increasing efforts to combat malaria.

43. The representative of WHO drew attention to the work of the WHO Global Malaria Programme and offered WHO assistance with regard to the Global Alliance. The work themes of the Global Alliance included a number of issues that fell within areas of WHO expertise. WHO would be pleased to collaborate more closely with the Secretariat in planning how WHO could contribute to such matters and how the work could be funded.

44. The Conference of the Parties agreed to entrust the Secretariat with the preparation of a draft decision on the matter for its consideration, taking into account the comments of the Executive Secretary in paragraph 63 below.

45. Decision SC-5/6 on DDT, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## 2. Exemptions

46. Introducing the sub-item, the representative of the Secretariat drew attention to the relevant documentation, which included the Register of Specific Exemptions and the Register of Acceptable Purposes, and a report on the development of reporting and reviewing requirements for the use of lindane that had been developed in cooperation with the World Health Organization (WHO).

47. There was general support for the formats developed by the Secretariat for the Register of Specific Exemptions and Register of Acceptable Purposes and for the actions proposed by the Secretariat.

48. One representative, speaking on behalf of a group of countries, called for significant efforts to identify technically feasible alternatives and to gain more information on experiences in using existing alternatives to perfluorooctane sulfonic acid (PFOS). When evaluating the continued need for PFOS, its salts and perfluorooctane sulfonyl fluoride (PFOSF), the current activities on perfluorinated chemicals under the auspices of the Organization for Economic Cooperation and Development and the Strategic Approach to International Chemicals Management could provide useful input. Regarding lindane, the limited information available rendered it impossible to develop a reviewing requirement for the use of lindane as proposed. She called upon parties that used lindane in accordance with decision SC-4/15 to submit notifications for specific exemptions. One representative voiced support for the phase-out of exemptions for PFOS and listed polybrominated diphenyl ethers as soon as possible and for a review of that phase-out by the Conference of the Parties at its sixth meeting. Such a review could be supported by the scientific and technical evaluations performed by the Persistent Organic Pollutants Review Committee. It was important to evaluate the need for exemptions continually. The work programmes on the persistent organic pollutants added to the Convention at the fourth meeting should be used as a basis for beginning to evaluate the continuing need for exemptions. Finally, she pointed out that the reference to brominated diphenyl ethers in paragraph 20 (f) of document UNEP/POPS/COP.5/7 was incomplete as references to tetrabromodiphenyl ether and pentabromodiphenyl ether had been omitted.

49. In response to a question from one representative regarding the start date of the five-year period for a specific exemption for a chemical listed by an amendment to Annex A or B, the representative of the Secretariat said that the specific exemption would expire five years after the date of entry into force of the amendment for that party. With regard to a party that had declared pursuant to paragraph 4 of Article 25, it was noted that such a party, after having deposited an instrument of ratification with the depositary in accordance with paragraph 4 of Article 25 and the amendment having entered into force for it, would be able to register one or more types of specific exemptions listed in Annex A or B by means of a notification in writing to the Secretariat, subject to the provisions of Article 4.



50. Another representative said that her country faced considerable challenges in identifying listed chemicals, including PFOS, in imported products. Issues included the lack of sufficient labelling and training in identification. Technical assistance and capacity-building were needed and exemption requests would be submitted while the country continued its efforts to identify and restrict imports containing specific listed chemicals. One representative reported on efforts in her country to phase out the use of lindane following WHO guidelines.

51. The representative of WHO reported that lindane had been deleted from the WHO Model List of Essential Medicines in 1992 for the treatment of head lice and scabies as a result of concerns about its neurotoxicity and the availability of safe and effective alternatives, such as permethrin and benzyl benzoate. A review of the evidence had suggested that the use of lindane for the treatment of head lice was more effective overall than was the use of some alternatives, including permethrin, malathion and carbaryl. While information on the susceptibility of head lice to common insecticides was limited, resistance to all the above-mentioned insecticide classes had been reported, and some countries therefore retained the option to use lindane as a second-line treatment. WHO could provide interested parties with guidance on the use of alternatives and had templates for undertaking country assessments of the availability and use of medicines. WHO could also provide technical support for in-depth case studies on current practices outlined in the documentation before the representatives and for the development of effective interventions, but resources would be required to fund those activities.

52. The Conference of the Parties agreed to entrust the Secretariat with the preparation of a draft decision on the matter for its consideration.

53. Decision SC-5/8 on exemptions, as adopted by the Conference of the Parties, is set out in annex I to the present report.

### **3. Evaluation of the continued need for the procedure under paragraph 2 (b) of Article 3**

54. Introducing the sub-item, the representative of the Secretariat said that there had been no significant increase since the previous meeting of the Conference of the Parties in the number of parties reporting information on exports and imports of chemicals listed in Annexes A and B. An adequate basis for a sound evaluation of the continued need for the procedure under paragraph 2 (b) of Article 3 of the Convention was therefore still lacking.

55. Two representatives, one speaking on behalf of a group of countries, said that the procedure should be continued and urged parties to provide additional relevant information in their reports.

56. The Conference of the Parties agreed to entrust the Secretariat with the preparation of a draft decision on the matter for its consideration.

57. Decision SC-5/10 on the evaluation of the continued need for the procedure under paragraph 2 (b) of Article 3 of the Convention, as adopted by the Conference of the Parties, is set out in annex I to the present report.

### **4. Polychlorinated biphenyls**

58. Introducing the sub-item, the representative of the Secretariat drew attention to the relevant documentation.

59. Several representatives expressed support for the proposed actions outlined in the Secretariat's notes. One representative, speaking on behalf of a group of countries, said that an assessment of progress in eliminating polychlorinated biphenyls should take place at the seventh meeting of the Conference of the Parties. She stressed the need for parties to complete and submit their reports pursuant to Article 15. There was broad support for enhanced cooperation with the Basel Convention as an example of useful synergies. In that regard, it was emphasized that activities carried out with other organizations and conventions should be complementary and that duplication should be avoided, for instance in the area of waste management.

60. Many representatives, including two speaking on behalf of groups of countries, welcomed the establishment of the PCB elimination network and several initiatives that it had undertaken. A number called for continued or expanded support for the network. Several other representatives, including one speaking on behalf of a group of countries, expressed concern, however, saying that the network, while engaged in important activities, should not be seen as a quasi-subsidiary body of the Convention that could take decisions with implications for all parties. They also expressed concern about the organizational and budget implications of the network and uncertainty about the nature of its relationship to the Convention, the Secretariat and the Conference of the Parties.

61. Many representatives described measures taken in their countries to identify and eliminate polychlorinated biphenyls, including from articles in use and wastes, and the challenges that that had entailed. Representatives from countries that had successfully completed relevant initiatives offered to share information regarding their experience in developing policies, identifying and phasing out polychlorinated biphenyls in articles in use, handling polychlorinated biphenyls in wastes, identifying and remediating sites contaminated with polychlorinated biphenyls and other activities.

62. Many representatives called for increased financial and technical assistance and technology transfer to developing-country parties and parties with economies in transition for polychlorinated biphenyl control efforts, including for capacity-building and training, policy development, testing equipment, laboratory equipment and accreditation, identifying and conducting inventories of polychlorinated biphenyls in articles in use and wastes and environmentally sound management and destruction of polychlorinated biphenyls.

63. Responding to some of the comments, the Executive Secretary reported on discussions with the Executive Director of UNEP held before the current meeting concerning the role of the Secretariat in the PCB elimination network. It had been observed that in some cases convention secretariats were taking lead roles in implementing activities that were somewhat removed from their areas of comparative advantage or institutional strength or that created questions regarding the legal, logistical or financial responsibility of the conventions or secretariats for the initiatives. It was felt that in some cases it might be appropriate for secretariats to move away from such participation, perhaps allowing for their participation on another level, such as through technical or policy advice or similar activities to ensure that the initiatives continued to confer benefits on their stakeholders. The Executive Secretary noted that the Executive Director had expressed a willingness to consider undertaking work in such areas that were within the mandate of UNEP, if it would facilitate the work of the Convention.

64. The Conference of the Parties agreed to entrust the Secretariat with the preparation of a draft decision on the matter for its consideration.

65. Decision SC-5/7 on polychlorinated biphenyls, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **B. Measures to reduce or eliminate releases from unintentional production**

### **1. Best available techniques and best environmental practices**

66. Introducing the sub-item, the representative of the Secretariat recalled that under Article 5 of the Convention, parties were expected to take into consideration the general guidance on prevention and release reduction measures in Annex C to the Convention and the guidelines on best available techniques and best environmental practices adopted by decision SC-3/5 of the Conference of the Parties when applying best available techniques and best environmental practices. At its fourth meeting the Conference of the Parties had among other things asked parties to give feedback on the guidelines and guidance to the Secretariat and had requested the Secretariat to propose a procedure for updating them.

67. Several representatives, including one speaking on behalf of a group of countries, commended the work done on the guidelines and guidance, including subregional workshops and other activities to promote them. One representative, speaking on behalf of a group of countries, said that there was a need to update the guidelines and guidance in respect of wastes, PBDD/PBDF releases from smelters and other sources, thermal recovery technologies and waste recycling technologies, among other things. Several representatives said that there was also a need to update the guidelines and guidance in the light of the decision to list pentachlorobenzene in Annex C to the Convention and new data and technological developments. The Secretariat was requested to provide a progress report for consideration by the Conference of the Parties at its sixth meeting.

68. One representative, recalling that the guidelines and guidance had been adopted at the third meeting of the Conference of the Parties, in 2007, suggested that it was premature to update them. She also suggested that they could be updated more economically, through for example a literature search undertaken by the Secretariat and a determination of which sources needed updating, or the provision of information from parties. Such an approach could be undertaken in consultation with parties or by a lead party, and could be carried out by electronic means, with face-to-face meetings held in conjunction with meetings of the Toolkit experts group.

69. Several representatives, including one speaking on behalf of a group of countries, highlighted the need for capacity-building and technology transfer to enable developing countries to employ best available techniques and best environmental practices, a matter of concern for the unintentional release of dioxins, among other things. Open burning was a particular area of concern in Africa. One

representative, speaking on behalf of a group of countries, called for the guidelines and guidance to be updated, translated into Arabic and disseminated as widely as possible. The need for financial resources, including from GEF, was stressed.

70. One representative said that the regional centres had an important contribution to make to the updating of the guidelines. She also said that duplication should be avoided; the work of the Persistent Organic Pollutants Review Committee on PFOS and brominated diphenyl ethers should therefore be taken into account and members of the Committee invited to participate as appropriate in the work on best available techniques and best environmental practices.

71. One representative, stressing the need for parties to use the guidelines and guidance, said that resources other than those of the financial mechanism could be used to increase the implementation of best available techniques and best environmental practices. He urged that following their updating the guidelines and guidance should be translated into the six official languages of the United Nations. Another representative said that the guidelines and guidance should be examined to determine which ones to update and which substances to take into consideration. Further, the deadline to undertake the work and make progress on new persistent organic pollutants should be carefully determined.

72. The Conference of the Parties agreed to entrust the Secretariat with the preparation of a draft decision on the matter for its consideration.

73. Decision SC-5/12 on guidelines on best available techniques and provisional guidance on best environmental practices, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **2. Identification and quantification of releases**

74. Introducing the sub-item, the representative of the Secretariat drew attention to the relevant documentation, noting that the issue related to the updating of the Standardized Toolkit for the Identification and Quantification of Dioxin and Furan Releases to be used by parties when developing source inventories and release estimates under Article 5 of the Convention and reporting estimated releases under Article 15.

75. Several representatives expressed support for the process for the review and updating of the Toolkit. One, speaking on behalf of a group of countries, supported the inclusion of the proposed revisions and updates in the revised Toolkit but noted that some of the emission factors were preliminary estimates or were being reassessed. She suggested the Toolkit Expert Group should develop a conversion table that would facilitate ready conversion from United Nations Economic Commission for Europe emission inventories and invited the Secretariat to incorporate that table into the reporting format under Article 15 of the Convention. She also suggested the Toolkit Experts should compile information on releases of unintentional persistent organic pollutants available in the national reports and prepare a preliminary analysis of that data to facilitate its use in the effectiveness evaluation. She invited all stakeholders to generate relevant data and information on Annex C chemicals, with emphasis on key sources for which limited monitoring data were available, and to provide it to the Secretariat.

76. Several representatives stressed the need for training and technical assistance on the use of the Toolkit. A number suggested that in addition to efforts made to gather data there should be additional reports on sources of releases and trends, including for non-industrial sectors such as forests and stoves. One representative said that his country was evaluating pollutants resulting from open burning and medical wastes, the results of which would be published to benefit all parties.

77. The Conference of the Parties agreed to entrust the Secretariat with the preparation of a draft decision on the matter for its consideration.

78. Decision SC-5/13 on the review and updating of the Standardized Toolkit for Identification and Quantification of Dioxin and Furan Releases, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **C. Measures to reduce or eliminate releases from wastes**

79. Introducing the sub-item, the representative of the Secretariat drew attention to the relevant documentation and noted that seven regional workshops, during which the interactive electronic training tool was presented, had been held. She said that the Persistent Organic Pollutants Review Committee had developed recommendations on the elimination of brominated diphenyl ethers from the waste stream and on risk reduction for PFOS, its salts and PFOSF. It had also recommended that the Conference of the Parties should invite the appropriate bodies of the Basel Convention to establish levels of destruction and irreversible transformation for the nine new persistent organic pollutants and

concentration levels to define low persistent organic pollutant content. Lastly, the Committee had recommended inviting the Conference of the Parties to the Basel Convention to consider the involvement of members of the Committee in the work referred to in paragraphs 1 (a)–(c) of decision POPRC-6/3.

80. Several representatives, including one speaking on behalf of a group of countries, expressed support for inviting Basel Convention bodies to establish levels of destruction and irreversible transformation and to define low persistent organic pollutant content. One representative suggested that the Basel Convention Secretariat should be invited to report on progress achieved. Another said that work on wastes containing persistent organic pollutants was an important and successful example of programmatic coordination between two conventions and suggested that representatives of parties to the Basel Convention should be invited to the meetings of the Persistent Organic Pollutants Review Committee; she emphasized, however, that the Basel Convention should maintain the lead on the technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants.

81. One representative, citing the environmental health consequences of transporting wastes containing persistent organic pollutants, called for the destruction of such wastes and the remediation of waste disposal sites in Africa. Another voiced concern regarding the possibility of transboundary movements of wastes containing persistent organic pollutants under the guise of recycling. Efforts to tackle the issue, he said, should be made taking into consideration the provisions of the Rotterdam Convention.

82. The Conference of the Parties agreed to entrust the Secretariat with the preparation of a draft decision on the matter for its consideration.

83. Decision SC-5/9 on measures to reduce or eliminate releases from wastes, as adopted by the Conference of the Parties, is set out in annex I to the present report.

#### **D. Implementation plans**

84. Introducing the sub-item, the representative of the Secretariat drew attention to the relevant documentation and presented a list of parties that had transmitted their implementation plans to the Secretariat in accordance with Article 7 of the Convention.

85. He also reviewed the Secretariat's efforts to date in respect of revising the guidance on implementation plan preparation in accordance with decision SC-4/9, noting that the Secretariat had not received sufficient information from parties to enable it to revise the guidance on social and economic assessment in the development and implementation of their national implementation plans and the additional guidance on the calculation of action plan costs. He further highlighted the status of steps to update the guidance to reflect the addition of nine new chemicals to the Convention, new guidelines on GEF financing for the updating of implementation plans to incorporate those chemicals, and workshops on implementation plan updating that had been held.

86. Several representatives described activities in their countries to develop national implementation plans and other national activities relevant to the implementation of the Convention; they said that developing countries needed financial assistance, technical support, experience sharing and assistance from developed countries in the review and updating of their national implementation plans to take into account the nine new chemicals listed in the Convention and to undertake priority actions identified in their plans.

87. Several representatives, one speaking on behalf of a group of countries, said that the existing guidance documents were adequate to the task of revising and updating national implementation plans and that further work on the documents should therefore not be undertaken currently. One representative, however, expressed support for the further development of the guidance on social and economic assessment. One representative said that if the guidelines were further developed they should address the core activities of the Convention, aim to help further the development of project proposals within the framework of GEF principles, and facilitate synergies activities.

88. Several representatives, one speaking on behalf of a group of countries, encouraged countries that had not yet done so to submit their national implementation plans as soon as possible. One representative highlighted the need to engage stakeholders at the national level in the process of reviewing national implementation plans, noting that the addition of nine new chemicals to the Convention had broadly increased the range of stakeholders. Several representatives expressed their appreciation to Governments and intergovernmental organizations for technical assistance in the preparation of their national implementation plans. It was emphasized, however, that developing

countries and countries with economies in transition faced difficulties in preparing national implementation plans with limited resources.

89. One representative suggested that regional centres could play an important role in the development of national implementation plans, and another that activities under other conventions could be of benefit when developing new guidance and plans.

90. The Conference of the Parties agreed to entrust the Secretariat with preparation of a draft decision on measures to be taken by the Conference of the Parties with regard to parties' national implementation plans for consideration by the Conference of the Parties.

91. Decision SC-5/14 on implementation plans, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **E. Listing chemicals in Annex A, B or C to the Convention**

92. Introducing the sub-item, the representative of the Secretariat outlined the activities undertaken by the Persistent Organic Pollutants Review Committee, which had held its fifth and sixth meetings in October 2009 and October 2010, respectively, following which Mr. Reiner Arndt, Chair of the Committee, reported on the Committee's work at those meetings.

93. Mr. Arndt reported that the Committee had completed its review of endosulfan at its sixth meeting, in 2010, and recommended to the Conference of the Parties that it should consider listing technical endosulfan, its related isomers and endosulfan sulfate in Annex A to the Convention, with specific exemptions. The Committee had begun its review of endosulfan in October 2008 and its recommendation followed lengthy and intensive discussions. The risk profile prepared in accordance with Annex E to the Convention was based on an in-depth scientific analysis. He drew attention, however, to some analytical limitations that might have resulted in an underestimation of the risk posed by the substances. While Annex E required a risk assessment to include consideration of toxicological interactions among multiple chemicals there was as yet no accepted methodology for the conduct of such an assessment. As a result, the assessment of endosulfan was based on its properties alone, as though it interacted with no other persistent organic pollutants in the environment.

### **1. Recommendation by the Persistent Organic Pollutants Review Committee of the Stockholm Convention to list endosulfan in Annex A to the Convention**

94. In the ensuing discussion there was very broad support for the recommendation to list endosulfan in Annex A to the Convention. Many representatives, including two speaking on behalf of groups of countries, also expressed support for the recommendation to provide for specific exemptions. Many other representatives, including one speaking on behalf of a group of countries, opposed providing for exemptions. A few representatives expressed concern about listing endosulfan given what they viewed as uncertainties regarding the availability of effective and cost-efficient alternatives in their countries.

95. Many representatives said that the Convention required the explicit consideration of the need for financial support, technical assistance and capacity-building to assist developing countries and countries with economies in transition to meet the additional obligations that would arise from the listing of additional substances in the annexes to the Convention. A number of representatives recommended that no decision to list endosulfan should be taken until the financial implications of doing so had been clarified. A few proposed that an in-depth study of viable and affordable alternatives should be undertaken. Many representatives highlighted completed or continuing efforts in their countries to phase out endosulfan based on the availability of substitutes. One representative, speaking on behalf of a group of countries, pointed out that the Committee had conducted a screening assessment of a broad range of alternatives to endosulfan and had identified safe, effective and affordable alternatives.

96. One representative drew attention to a conference room paper submitted by her country in which it was argued that the Committee's decision to list endosulfan in Annex A had been based on inadequate information and that the Committee's recommendation therefore lacked credibility. One representative, speaking on behalf of a group of countries, voiced disagreement with that opinion and commended the high standard of the Committee's work and conclusions. Several representatives expressed reservations about the departure from consensus decision-making and suggested that the Committee should not take decisions by vote in the future. One emphasized that the Committee should take substantive decisions only by consensus to enhance its credibility and to encourage voluntary compliance.

97. The Conference of the Parties agreed to establish a contact group, chaired by Ms. Al-Easa, to discuss the Persistent Organic Pollutants Review Committee's recommendation to list endosulfan in Annex A.

98. During the discussion of the draft decision on endosulfan prepared by the contact group, one representative, echoed by several others and asking that his statement be reflected in the present report, said that while his country supported the recommendation of the Persistent Organic Pollutants Review Committee to list endosulfan in Annex A to the Convention, it was concerned at what it saw as a tendency to amend the annexes to the Convention without establishing clearly how developing countries would be provided with technical and financial support to implement those amendments. That, he said, created an impediment to the ratification of such amendments by many developing countries. His country was not in a position to commit itself to eliminating endosulfan as part of its national implementation plan and therefore reserved its rights in respect of the relevant amendment to the Convention. Furthermore, it could not support further amendments to the Convention unless a long-term solution was found to guarantee the financial and technical support that developing countries needed to eliminate the persistent organic pollutants covered by the Convention.

99. Decision SC-5/3 on the listing of technical endosulfan, and its related isomers, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **2. Work programmes for new persistent organic pollutants**

100. There was general support for the recommendations of the Persistent Organic Pollutants Review Committee on the work programmes for newly listed persistent organic pollutants, including on the elimination of brominated diphenyl ethers from the waste stream and on risk reduction for PFOS, its salts and PFOSE, as reproduced in the annex to document UNEP/POPS/COP.5/15.

101. Several representatives, however, including one speaking on behalf of a group of countries, said that further discussion was needed to take account of various technical factors such as the feasibility of applying the recommendations in individual countries, brominated diphenyl ethers in the waste stream and landfill sites, phasing out the use of the pollutants in question and the search for possible alternatives. One representative said that it was possible and practicable to eliminate brominated diphenyl ethers from the waste stream, that alternatives to PFOS existed and that work should focus on strengthening the phasing out of exemptions, based on the conclusions and recommendations of the Committee, and on ceasing use of PFOS in open applications.

102. One representative emphasized that many developing countries lacked the tools necessary to assess the extent of the use, import, export and presence of the persistent organic pollutants in question. One representative drew attention to the variations in infrastructure between countries, and suggested that the wording of any draft decision should include an element of flexibility, rather than imposing any one approach. One representative expressed support for close cooperation with the Basel Convention. One representative outlined her country's progress in incorporating the amendments to the Convention into its national legislation.

103. Responding to the comments, Mr. Arndt explained that the Committee had sought to make recommendations that could be readily implemented by those countries, particularly developed countries, that were in a position to act to eliminate persistent organic pollutants from the waste stream, in the expectation that bilateral information and technology sharing within regions would enable other countries to follow suit. The Committee had refrained from suggesting compulsory measures to avoid creating financial obstacles. He also suggested that countries that were able to take steps to eliminate persistent organic pollutants from the waste stream should report on their activities and progress at the sixth meeting of the Conference of the Parties.

104. The Conference of the Parties agreed that the contact group established to discuss the proposed listing of endosulfan in Annex A to the Convention would also discuss the recommendations of the Persistent Organic Pollutants Review Committee on the work programmes for new persistent organic pollutants.

105. Decisions SC-5/4 on a work programme for endosulfan and SC-5/5 on a work programme for brominated diphenyl ethers and perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride, as adopted by the Conference of the Parties, are set out in annex I to the present report.

## **3. Membership of the Persistent Organic Pollutants Review Committee**

106. Recalling that the terms of 14 of the 31 members of the Persistent Organic Pollutants Review Committee would expire on 4 May 2012, the President said that at the current meeting the parties would need to agree on a list of parties that would designate experts to fill the vacancies on the Committee, subject to confirmation by the Conference of the Parties at its sixth meeting. He therefore

called for regional consultations to identify those parties and the submission of their names to the Secretariat.

107. The Conference of the Parties endorsed the remaining members of the Committee, whose terms of office commenced on 5 May 2010.

108. In accordance with decision SC-5/11 (see subsection (4) below) the following experts were nominated as members of the Persistent Organic Pollutants Review Committee, with terms to run from 5 May 2012 to 4 May 2016, by the parties listed in annex II to that decision:

From the African group:	Mr. Joswa Aoudou (Cameroon); Ms. Caroline Njoki Wamai (Kenya); Ms. Haritiana Rakotoarisetra (Madagascar); Mr. Azhari Omer Abdelbagi (Sudan);
From the Asian and Pacific group:	Ms. Chhanda Chowdhury (India); Mr. Agus Haryono (Indonesia); Ms. Lulwa Ali (Kuwait); Ms. Kyunghye Choi (Republic of Korea)
From the Central and Eastern European group:	Mr. Trajče Stafilov (The former Yugoslav Republic of Macedonia)
From the Latin American and Caribbean group:	Ms. Estefânia Gastaldello Moreira (Brazil), Mr. Mario Abó Balanza (Cuba);
From the Western European and others group:	Mr. Sylvain Bintein (France); Ms. Liselott Säll (Norway)

The Western European and others group had not by the close of the current meeting nominated the third party from that group that would be entitled to nominate a member of the Committee. The parties accordingly agreed that the name of that party and the name of the expert that it designated to serve as a member of the Committee would be communicated to the Secretariat and thence to the parties following the close of the current meeting.

#### **4. Other relevant developments and activities of the Persistent Organic Pollutants Review Committee**

109. With regard to other relevant developments and activities by the Committee, as described in document UNEP/POPS/COP.5/16, one representative expressed support for the proposed amendment to the Committee's terms of reference and said that Committee members should be fully competent in technical and policy matters to evaluate proposals from parties. He also expressed support for the expert group study on climate change and persistent organic pollutants. Another stressed the importance of technical assistance for developing and improving regulations, for example on pesticides and industrial chemicals.

110. The Conference of the Parties agreed to entrust the Secretariat with the preparation of a draft decision on the matter for its consideration.

111. Decision SC-5/11 on operation of the Persistent Organic Pollutants Review Committee, as adopted by the Conference of the Parties, is set out in annex I to the present report.

#### **F. Information exchange**

112. The representative of the Secretariat introduced the sub-item, drawing attention to the relevant documentation.

113. Those who spoke expressed support for the "POPs-free initiative" described in document UNEP/POPS/COP.5/INF/34 and asked that further information should be presented at the sixth meeting of the Conference of the Parties.

114. On the subject of the clearing-house mechanism, there was widespread support for establishing synergies with the Basel and Rotterdam conventions, in view of the added value to be gained. General support was expressed for the possible actions set out in document UNEP/POPS/COP.5/19. Several representatives also suggested that coordination with other processes, such as the Strategic Approach to International Chemicals Management, should be enhanced. A number of representatives stressed the need to avoid duplication of effort, including by adapting existing instruments for the purposes of information exchange under the Convention. Several drew attention to the Chemical Information Exchange Network (CIEN), which had served Africa admirably and could form the backbone of a

clearing-house mechanism for the Convention in their countries. One representative, speaking on behalf of a group of countries, encouraged the exchange of information between parties and the dissemination of best practice through regional centres. Several representatives welcomed the Convention's newly developed social network and online collaboration website and the range of technologies being used, although one sounded a note of caution regarding the capacities of some parties to benefit from it. Several representatives expressed strong support for registers, such as pollutant release and transfer registers or similar instruments, as means of exchanging information, saying that they should be regularly updated.

115. Several representatives expressed support for the draft guidance document on the clearing-house mechanism set out in document UNEP/POPS/COP.5/INF/50, although one said that it should be made shorter and more user-friendly. General support was expressed for the possible actions listed in the document.

116. One representative endorsed the suggestion made by a representative of a non-governmental organization to the effect that a section of the Convention website should be devoted to civil society groups working to help implement the Convention, enabling them to exchange information with other stakeholders.

117. The Conference of the Parties agreed to request the Secretariat to prepare a draft decision on the matter for its consideration.

118. Decision SC-5/15 on information exchange, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **G. Technical assistance**

119. The representative of the Secretariat drew attention to the documentation pertaining to the sub-item. The Secretariat had been asked in decision SC-4/22 to report on progress in the implementation of the guidance on technical assistance based on comments from parties, but no such comments had been received. The Secretariat had nevertheless compiled pertinent information from the questionnaires circulated pursuant to decision SC-4/24 and had continued to implement the technical assistance programme as requested in decision SC-4/22. The regional and subregional centres that had been endorsed by the Conference of the Parties at that session had undertaken activities to promote implementation of the Convention, and seven nominated centres were before the Conference of the Parties for possible endorsement.

120. In the ensuing discussion general support was expressed for the Secretariat's technical assistance programme. Several representatives, however, including one speaking on behalf of a group of countries, said that the pace of the programme needed to be stepped up and that regional and subregional centres needed additional financial support if developing countries and countries with economies in transition were to implement the Convention effectively. Referring to Article 13 of the Convention, one representative said that funding was needed to ensure that training provided through the technical assistance programme could be applied in practice, the constraints of the global financial crisis notwithstanding. Another called for greater regional balance in the technical assistance programme, and another said that the role of the Secretariat in the delivery of technical assistance needed to be clarified. Many representatives emphasized the importance of technology transfer for the success of technical assistance activities, with one suggesting that patent protection should be relaxed for developing countries.

121. One representative encouraged the promotion of synergies between the Basel, Rotterdam and Stockholm conventions through additional postgraduate study programmes. Another underlined the importance of the guidance documents and called upon parties and other users to provide information to the Secretariat on their experience with them. One representative enquired about regional compliance mechanisms, for instance to tackle transboundary contamination; another referred to the importance of technical assistance in that regard.

122. There was general support for the establishment of and the activities to be implemented by the regional and subregional centres. A number of concerns were expressed, however, including with regard to the complex and time-consuming process for verifying proposed centres, the number and geographical distribution of the centres, the potential duplication of work by the centres and the Secretariat, and the use of information from the centres to evaluate the effectiveness and timeliness of projects and to resolve technical problems hampering project implementation. Several representatives called upon the Secretariat to strengthen the centres and for the designation of existing Basel Convention centres to serve as Stockholm Convention centres. A number of representatives welcomed the joint proposal put forward by the centres located in the Latin American and Caribbean region, saying that it provided a model for other centres to follow.



123. One representative suggested that, in the interests of facilitating supervision and interaction, new nominations of regional centres should not be sought currently. Another proposed that criteria for nominating new centres should be established. One participant emphasized the need for strong support for individual centres from the States to which they would provide assistance.

124. Replying to the comments regarding technology transfer, the representative of the Secretariat said that no analysis had yet been conducted of activities undertaken or obstacles encountered, but that provision to that effect had been made in decisions of previous meetings of the Conference of the Parties. The regional and subregional centres had been operating for two years, so detailed consideration of their achievements before the sixth meeting of the Conference of the Parties would be premature.

125. The Conference of the Parties agreed to establish a contact group, co-chaired by Mr. Mohammed Khashashneh (Jordan) and Ms. Johanna Lissinger (Sweden), to discuss issues raised during the discussion of technical assistance.

126. Decisions SC-5/20 on guidance on technical assistance and SC-5/21 on regional and subregional centres for capacity-building and transfer of technology, as adopted by the Conference of the Parties, are set out in annex I to the present report.

## H. Financial resources

127. A representative of the Secretariat drew attention to the relevant documents, which covered governance-related issues pertaining to the financial mechanism for the Convention.

128. The representative of GEF outlined the content of the report set out in document UNEP/POPS/COP.5/24, the annexes to which were found in document UNEP/POPS/COP.5/INF/20. He said that, as of June 2010, GEF had funded the preparation of initial Stockholm Convention national implementation plans in 138 countries. GEF had included in the chemicals strategy for the fifth replenishment period a provision for updating and reviewing national implementation plans and would provide up to \$250,000 per country for such activities under expedited approval procedures. GEF had also, up to June 2010, committed \$425 million in support of Stockholm Convention implementation. During the fifth replenishment period there would be a greater focus on investment projects to eliminate persistent organic pollutants. He also highlighted a series of initiatives to enhance the effectiveness and efficiency of GEF, including a faster approval process, direct access to funds for enabling activities and an expansion of GEF agencies to include national entities.

129. Mr. Kante reported on the current status of the UNEP-led consultative process on financing options for chemicals and wastes. Several meetings had already been held as part of the process and four possible options were being proposed: mainstreaming of sound management of chemicals and hazardous wastes; industry involvement, including public-private partnerships and the use of economic instruments at the national and international levels; establishing safe chemicals and wastes management as a new GEF focal area, expanding the existing persistent organic pollutants focal area under GEF or establishing a new trust fund under GEF; or establishing a new trust fund similar to that of the Multilateral Fund for the Implementation of the Montreal Protocol. Another meeting would be held in Glen Cove, New York, United States of America, on 4 and 5 May 2011 to develop the four options further. He expressed appreciation to the Governments of the Nordic region, in particular that of Sweden, and to the Government of Germany, without whose support the process could not have moved forward.

130. Following the presentations, the parties first discussed the governance issues relating to the financial mechanism outlined in the Secretariat documentation and then considered the needs assessment and the consultative process on chemicals financing.

### 1. Governance issues relating to the financial mechanism

#### (a) Report on the effectiveness of the implementation of the memorandum of understanding between the Conference of the Parties and the Council of the Global Environment Facility, and the report of the Global Environment Facility to the Conference of the Parties

131. Many representatives expressed appreciation for the work of GEF, saying that it had made progress in responding to concerns noted during the fourth meeting of the Conference of the Parties. Areas highlighted in that regard included reduced transaction times; simplified processes; increased transparency; improved communication and cooperation on project proposals; improved reporting; improved working relationships between the GEF and Convention secretariats; an increased number of projects funded and amount of funds distributed; increased allocation of funds for least developed country parties; GEF support for a life-cycle approach; and the multifocal approach of GEF, which

provided opportunities for promoting synergies with other chemicals and wastes issues and other environmental issues.

132. Many representatives expressed the view that the report submitted by GEF (UNEP/POPS/COP.5/24) showed that it should continue to serve as the principal entity entrusted with the operation of the financial mechanism, either on a permanent basis or until a more effective option could be developed. Several representatives, including one speaking on behalf of a group of countries, expressed satisfaction at the \$425 million allocated to chemicals in the fifth replenishment period. A number of representatives said that the replenishment demonstrated the value of having a mechanism with a standing replenishment process.

133. Several representatives, including one speaking on behalf of a group of countries, expressed gratitude to GEF for funds that their countries or regions had received for the preparation of national implementation plans or implementation projects; many, however, said that funding for the implementation of projects in their plans was inadequate. GEF also needed, among other things, to continue improving and simplifying its application processes; to give due consideration to local conditions and the social and economic costs of potential alternatives; to speed up its review process further; to continue to strengthen its coordination with the Convention Secretariat; and to ensure that all countries and regions received equal treatment in the provision of GEF funding for the creation, revision, expansion and implementation of national implementation plans, in particular in the light of the addition of new chemicals to the Convention.

134. Many representatives expressed the view that elements of the GEF report and developments since the fourth meeting of the Conference of the Parties demonstrated once again that grossly insufficient resources were available to assist developing-country parties and parties with economies in transition to implement the Convention. They therefore called upon donor countries to provide more resources, with a number noting that the provision of sufficient resources was an obligation for developed-country parties under the Convention and a condition for effective implementation by developing-country parties and parties with economies in transition. A number of countries noted the links between the UNEP consultative process on financing for chemicals and wastes and GEF, and looked forward to the outcome of the consultative process.

**(b) Draft terms of reference for the third review of the financial mechanism**

135. Several representatives, including one speaking on behalf of a group of countries, said that the updated draft terms of reference for the third review of the financial mechanism set out in document UNEP/POPS/COP.5/25 would serve as a good starting point for more detailed discussion. Many noted particular criteria that they said should be emphasized in the review, including the provision of adequate, reliable, predictable, realistic and sustainable funding. One representative said that the review should include clarifications from GEF regarding specific reasons that particular project requests had not been approved.

**(c) Consolidation of guidance to the financial mechanism**

136. One representative, speaking on behalf of a group of countries, expressed support for streamlining the guidance to the financial mechanism and commended the work of the Secretariat as a useful starting point. She said that there should be a more direct link between the guidance and the GEF replenishment process, and therefore suggested that the Conference of the Parties should defer taking a decision on new guidance until its sixth meeting. One representative expressed concern about the potential negative impact of too much consolidation. Several representatives, including one speaking on behalf of a group of countries, supported including the results of the consultative process on financing for chemicals and wastes into the guidance. One emphasized the importance of including in the guidance the need to make full use of the enhanced coordination between the three conventions in the chemicals and waste clusters.

**(d) Facilitating the work of the Conference of the Parties with regard to financial resources and mechanisms**

137. One representative, speaking on behalf of a group of countries, commended the Secretariat for the note that it had prepared (UNEP/POPS/COP.5/27), which set out four options for facilitating the work of the Conference of the Parties with regard to financial resources and mechanisms. Several representatives, including one speaking on behalf of a group of countries, expressed support for the fourth option outlined in the report: maintaining the meetings of the Conference of the Parties, and the contact group established at such meetings, as the appropriate forum for the discussion of financial matters. Several, however, expressed support for the continued consideration of all four options. Many said that the parties should not decide on any new strategy before the conclusion of the consultative process on financing options for chemicals and wastes, and several said that GEF should remain

involved in that process. One expressed the view that the options did not sufficiently take into consideration the consultative process or the need to make full use of the enhanced coordination and cooperation between the three conventions.

## **2. Needs assessment and the consultative process on financing for chemicals and wastes**

138. There was broad agreement that financial assistance played an important role in helping developing-country parties and parties with economies in transition to implement the Convention. Many representatives said that past and current levels of financial support were inadequate to meet the needs of such parties, particularly given the addition of nine new chemicals to the Convention, and that the addition of any further chemicals would hinge on the availability of adequate funding. Several representatives, including one speaking on behalf of a group of countries, noted cases in which insufficient financial support had already slowed the implementation of the Convention. Many said that it was necessary to expand the GEF persistent organic pollutants window.

139. One representative, speaking on behalf of a group of countries, said that the periodic review of the amount of funding necessary and available for the implementation of the Convention was important and should be performed every four years, timed to coincide with the GEF replenishment process; finishing the current review at the sixth meeting of the Conference of the Parties, in 2013, would fit well with the sixth GEF replenishment. Several said that the current methodology for the review was adequate; others said that it was flawed and needed to be revised, providing other suggestions. One said that needs assessments should focus only on needs directly related to implementation of the Convention.

140. Several representatives, including one speaking on behalf of a group of countries, said that a further study on financial resources and ways and means of mobilizing and channelling them was unnecessary at the current time, given that studies of that kind had been completed under the consultative process on financing options for chemicals and wastes and that the outcome of the consultative process would be available as supporting material for the third review of the financial mechanism. One said that a new study would be merited only if it was conducted jointly with the Basel and Rotterdam conventions and the Strategic Approach to International Chemicals Management. Several other representatives, however, said that additional studies were needed to glean additional information on financing needs, available resources and sources of additional resources to meet future needs, particularly given the recent and potential future addition of new chemicals, and one said that the consultative process had failed to yield significant results. One emphasized his country's continued support for a stand-alone, Stockholm-Convention-specific financial mechanism and said that that option should remain on the table. Another representative expressed support for the Secretariat's request to hire an independent consultant to develop further the study on the availability of financial resources additional to those provided by GEF.

## **3. Draft decisions on financial matters**

141. The Conference of the Parties agreed that the contact group established to discuss technical assistance (item 4 (g)) should also discuss issues raised during the discussion of financial resources.

142. Decisions SC-5/24 on effectiveness of the implementation of the memorandum of understanding between the Conference of the Parties and the Council of the Global Environment Facility, SC-5/25 on review of the financial mechanism, SC-5/23 on additional guidance to the financial mechanism, SC-5/26 on facilitating work with regard to financial resources and mechanisms, and SC-5/22 on needs assessment, as adopted by the Conference of the Parties, are set out in annex I to the present report.

## **I. Reporting**

143. Introducing the sub-item, the representative of the Secretariat drew attention to the relevant documentation. Under Article 15 of the Convention, parties were required to report at periodic intervals on measures taken to implement the provisions of the Convention and on the effectiveness of such measures in meeting the objectives of the Convention. Parties' second reports had been due by 31 October 2010. In accordance with the decisions of the Conference of the Parties at its fourth meeting, the Secretariat had prepared an enhanced version of the electronic reporting system, developed a users' manual and provided training to parties to assist them in using the system for the second round of reporting. With a view to increasing reporting rates, three national reporting days had also been organized, along with webinars on reporting. By the beginning of the current meeting, reports had been received from 74 parties.

144. During the ensuing discussion, general concern was expressed at the number of parties that had yet to submit their second reports, although one representative welcomed the increase by comparison with the first reporting cycle and particularly praised the efforts of developing countries and the Secretariat. One representative pointed out that reporting rates for the Basel Convention were even lower and suggested that enhanced synergies between the two conventions could help to improve that situation. To that end, he suggested, with support from another representative, that the request made in decision SC-4/34 for the secretariats of the Basel and Stockholm conventions to prepare proposals to streamline their respective reporting formats and processes with a view to alleviating the burden of reporting should be included in the Conference's decision on the issue at hand. One representative added that maximum benefit should be sought from reporting under other instruments, including the Strategic Approach to International Chemicals Management. Another, speaking on behalf of a group of countries, urged all parties to submit reports by 31 July 2011, even if they were incomplete.

145. Those who spoke expressed support for the possible actions set out in document UNEP/POPS/COP.5/29. One representative, speaking on behalf of a group of countries, suggested that the Secretariat should request parties to identify specific obstacles to reporting, provide feedback as an incentive, develop a draft format for reporting on the nine new persistent organic pollutants and further improve the reporting system. Another suggested that the proposed strategy to increase the rate of submission of national reports by parties pursuant to Article 15 should be developed in consultation with the Bureau.

146. The Conference of the Parties agreed to entrust the Secretariat with the preparation of a draft decision on the matter for its consideration.

147. Decision SC-5/16 on reporting, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **J. Effectiveness evaluation**

148. The Conference of the Parties agreed to begin its deliberations on the sub-item by focusing on issues related to the global monitoring plan.

### **1. Global monitoring plan**

149. Introducing the sub-item, the representative of the Secretariat drew attention to the relevant documentation.

150. Many representatives, including one speaking on behalf of a group of countries, expressed support for the global monitoring plan for effectiveness evaluation and said that cooperation with the technical working group on the matter was essential. Many also welcomed the draft revised guidance document on the global monitoring plan. A number of representatives noted the importance of using the results of the monitoring programme in awareness-raising activities. One, however, outlined data gaps in the report stemming from insufficient monitoring activities in developing countries, saying that, if not filled, such gaps could have a negative impact on the effectiveness evaluation. He also expressed concern at technical aspects of the plan for monitoring newly added persistent organic pollutants.

151. Several representatives, including one speaking on behalf of a number of countries, welcomed the report on climate change and persistent organic pollutants prepared by UNEP and the Arctic Monitoring Assessment Programme on climate change impacts on releases of and exposure to persistent organic pollutants, with one saying that countries should use the information it provided when developing or updating their climate action plans.

152. Many representatives expressed appreciation to donor countries, the Chemicals Branch of the UNEP Division of Trade, Industry and Economics, the World Health Organization, GEF and the Secretariat for providing financial and technical assistance and capacity-building activities in respect of the monitoring of persistent organic pollutants in Africa, which had facilitated the gathering of important baseline data on the presence of persistent organic pollutants in the environment and people. Additional assistance was needed to permit the expansion of monitoring activities to more countries; the gathering and analysis of more samples nationally and regionally; the expansion of the limited number of laboratory facilities able to analyse samples; information exchange; data management; the monitoring of new persistent organic pollutants; the establishment of networks for monitoring persistent organic pollutants released from wastes; and the use of the results from the global monitoring programme in awareness-raising and educational activities.

153. One representative, noting that her Government had already hosted several workshops that had proven to be useful forums for information exchange at the regional level, said that it was interested in hosting another regional workshop to examine changing technologies and methods and other issues relevant to the global monitoring programme.

154. The Conference of the Parties agreed to entrust the Secretariat with the preparation of a draft decision on the global monitoring plan for its consideration.

155. Decision SC-5/18 on the global monitoring plan for effectiveness evaluation, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **2. Effectiveness evaluation**

156. Introducing the sub-item, the representative of the Secretariat drew attention to the relevant documentation, which included reports from meetings of the ad hoc working group on effectiveness evaluation and a proposed framework for the effectiveness evaluation developed by the working group in accordance with the mandate agreed to by the Conference of the Parties at its fourth meeting. There was broad agreement regarding the importance of the obligation to review the effectiveness of the Convention on a regular basis. Many representatives said that the proposed framework for conducting the effectiveness evaluation generally fit the task but suggested a number of revisions, such as including supplementary indicators and adjusting the size and composition of the proposed committee, among others. One representative underscored what he saw as a continuing imbalance between parties' obligations and the provision of resources to meet those obligations. Providing such resources was an obligation under the Convention and an essential component of the principle of common but differentiated responsibilities.

157. Some representatives expressed strong support for establishing an effectiveness evaluation committee so that the process could move forward expeditiously. Others voiced opposition to doing so at the current time, instead preferring to garner additional information and reconsider the issue at the sixth meeting of the Conference of the Parties. A number of representatives expressed general concern regarding the potential negative impact that such a committee, or a proliferation of subsidiary bodies in general, could have on the budget, the effective participation of developing countries, or the primacy of the Conference of Parties as the decision-making body for the Convention. Several representatives said that if no decision was taken at the current meeting regarding the creation of an effectiveness evaluation committee work on the effectiveness evaluation should continue through the ad hoc working group.

158. The Conference of the Parties agreed to set up a group of friends of the President, chaired by Ms. Bettina Hitzfeldt (Switzerland), to discuss matters related to effectiveness evaluation.

159. Decision SC-5/17 on effectiveness evaluation, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **K. Non-compliance**

160. The facilitator appointed by the parties under agenda item 2 (c) (organization of work) on the issue of non-compliance procedures and mechanisms reported on the consultations that had taken place during the current meeting.

161. All parties consulted had agreed that effective and appropriate compliance procedures were an important requirement of the Convention. Chief among the remaining obstacles to reaching agreement was the concern of some parties that insufficient financial resources were being provided to enable parties to comply with the Convention and their view that there should be no further discussion on compliance procedures until progress had been made in providing financial resources. With regard to the draft text on compliance procedures discussed during previous meetings of the Conference of the Parties, as set out in the annex to decision SC-4/33, including the appendix to that annex, some of those consulted described it as a good compromise, while others expressed reservations. Given the divergence in views, he said, there appeared little chance of progress during the current session.

162. During the ensuing discussion, several representatives emphasized the importance of adopting a compliance mechanism in the interests of the effective implementation of the Convention and the general credibility of multilateral environmental agreements. Such a mechanism should be non-adversarial, non-judicial and cooperative, and should allow compliance difficulties to be resolved in a timely manner. They said that the text as set out in the annex to decision SC-4/33, as revised on the basis of the proposal set out in the appendix to that annex, should be adopted unchanged, as it represented a fair compromise.

163. One representative, speaking on behalf of a group of countries, said that any compliance mechanism must take into consideration the difficulties faced by developing countries in meeting their obligations owing to a lack of resources. Donor parties, he said, had not lived up to their obligations to provide financial support under Article 13 of the Convention. Nevertheless, the countries for which he spoke were prepared to take part in further discussions.

164. Several representatives emphasized the importance of technical support, training and other capacity-building measures, saying, for example, that the establishment of a regional centre in Africa would greatly facilitate compliance. One representative, speaking on behalf of a group of countries, proposed the establishment of an independent financial mechanism to meet the needs of developing countries and countries with economies in transition in non-compliance. Two representatives pointed to the Multilateral Fund for the Implementation of the Montreal Protocol as a model of the sort of compliance-related financial mechanism that was needed.

165. Two representatives said that they could not accept the proposal without further negotiations at the political level. One, speaking on behalf of a group of countries, said that while the discussions on financial negotiations and the compliance mechanism should take place in parallel, the parties should nevertheless be able to capitalize on the progress made at previous meetings independently of the continuing discussions on financial issues. The proposal of the chair of the contact group set out in the appendix to the annex to decision SC-4/33 represented a fair compromise: the majority of parties had been willing to accept that text at the fourth meeting of the Conference of the Parties, with only a few expressing reservations. It should therefore be adopted as it stood. One representative, speaking on behalf of a group of countries, said that many developing countries in his region would be unable to meet the August 2012 deadline for updating their national implementation plans to include inventories of the nine new persistent organic pollutants. The Conference of the Parties should therefore clarify the consequences of failure to meet the deadline and its possible extension.

166. Having heard the views of parties, the President proposed that the Conference of the Parties should adopt a compliance mechanism on the basis of the proposal of the chair of the contact group set out in the appendix to the annex to decision SC-4/33. As one party objected to that proposal, it was not pursued further.

167. Another representative recommended that the Bureau should be mandated to conduct informal consultations on the matter during the intersessional period.

168. The Conference of the Parties agreed that the President would work with the Secretariat to develop a proposal on a way forward based on the discussions in plenary session, which would then be discussed with the Bureau before its introduction in plenary session for consideration by the parties.

169. Decision SC-5/19 on procedures and mechanisms on compliance with the Stockholm Convention, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **V. Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions**

170. Introducing the item, the representative of the Secretariat drew attention to the relevant documentation. He noted that the addenda to the document on enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions covered each issue identified by the conferences of the parties at their extraordinary meetings, held in Bali in February 2010. The same documents would also be made available to the Conference of the Parties to the Rotterdam Convention at its fifth meeting, to be held from 20 to 24 June 2011 in Geneva, and to the Conference of the Parties to the Basel Convention at its tenth meeting, to be held from 17 to 21 October 2011 in Cartagena, Colombia. Those conferences of parties would be expected to adopt substantially identical decisions on enhancing cooperation and coordination between the three conventions.

171. All the representatives who took the floor welcomed the appointment of Mr. Willis as the Executive Secretary of the three conventions. There was broad acceptance of the synchronization of the budget cycles of the three conventions and of joint audits.

172. There was also general agreement that no extraordinary meeting of the conferences of the parties should be convened in the near future but that a joint meeting in 2013 or thereafter could be envisaged. One representative, speaking on behalf of a group of countries, requested the Executive Secretary to develop a more detailed proposal, as soon as possible, regarding the feasibility of such meetings, taking into account the need to ensure fully coordinated decisions while respecting the three conventions' legal autonomy. Another representative, speaking on behalf of a group of countries, said that the foundation for informed decision-making on enhanced cooperation and

coordination should be laid at the meetings of the conferences of the parties in 2013, adding that, while the secretariats played a key role in the implementation of synergies, all stakeholders should promote enhanced coordination and cooperation.

173. Several representatives, noting that synergies had significant potential to strengthen the impact of activities on the ground, said that they should lead to, among other things, the mobilization of additional, new and predictable resources with no added burdens, increased ratification and implementation at the national level and improved coherence between the secretariats. One representative said that joint activities should be complementary, while noting that some elements of action provided in the document on joint managerial functions exceeded what was expected and had no funding.

174. One representative, speaking on behalf of a group of countries, said that proposed actions must influence the development of national implementation plans, promote compliance and anticipate new developments. In addition, there should be increased resources for the implementation of the three conventions at the national level. Another said that synergies should not hamper the flow of financial and technical assistance to developing countries and countries with economies in transition and should ease the financial burden of parties. A third suggested that the terms of reference for the report to be prepared by the Executive Director of UNEP in consultation with the Director-General of FAO should be more streamlined. One representative voiced support for the joint clearing-house mechanism, appealing to donors to fund that activity.

175. Several representatives stressed that it fell to the parties to identify processes for synergies, to decide on the convening of extraordinary meetings of the conferences of the parties and to agree on review arrangements, with one adding that review arrangements should be restricted to examining cooperation and coordination between the secretariats. A number of representatives said that parties should undertake the review process at the national level, within their capacities and taking into account their priorities. One suggested that the review process should be performed in close cooperation with the bureaux of the three conventions, such that there could be synchronized decision-making in 2013. Several representatives said that the parties were best able to evaluate the effectiveness and the efficiency of the process and should be the main source of information for that purpose.

176. Several representatives noted that, while the elements for enhancing cooperation and coordination in the documents before them formed a good basis for discussions and the suggestions regarding the preparation of evaluation reports were useful, they should better reflect the decisions taken in Bali. In addition, the indicators set out in annex II to the document on review arrangements should consider all the parameters set forth in the decision. Other representatives suggested that the indicators should look to lessons learned in the past to promote cooperation and coordination in the future. One requested the Secretariat to prepare an estimate of the total cost to the three conventions of implementing the decisions taken in Bali.

177. One representative suggested that the actions set out in terms of joint managerial functions could operate ad interim, pending a review and submission of proposals in 2013.

178. Several representatives said that, given his recent appointment, the Executive Secretary had had insufficient time to prepare a fully developed proposal for the reorganization of the secretariats. They called for flexibility to allow him to develop a structure that would serve all three conventions efficiently and effectively, while respecting their legal autonomy. One representative, speaking on behalf of a group of countries, expressed regret that the tardy appointment of the Executive Secretary had prevented the development of a detailed proposal on the modification of the organization and structure of the secretariats, while another said that delay in receiving the document on review arrangements had precluded the necessary examination of it at the national level.

179. The Conference of the Parties agreed to entrust the Secretariat with the preparation of a draft decision on the synchronization of budgets and joint audits for its consideration.

180. The Conference of the Parties also agreed to establish a contact group, chaired by Mr. Álvarez-Pérez, to consider joint services, joint managerial functions, joint activities and review arrangements.

181. Decision SC-5/27 on enhancing cooperation among the Basel, Rotterdam and Stockholm conventions, as adopted by the Conference of the Parties, is set out in annex I to the present report.

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

182. During the opening session of the meeting representatives of the Secretariat introduced the item, drawing attention to the relevant documentation and outlining the work undertaken by the Secretariat since the fourth meeting of the Conference of the Parties.

183. Several representatives, including one speaking on behalf of a group of countries, expressed support for the work of the Secretariat and for the formats in which the budget had been presented, which was aligned with the format used by the Basel and Rotterdam convention secretariats.

184. Several representatives, including one speaking on behalf of a group of countries, said that national and international financial difficulties would affect the budget discussions. Some representatives, including one speaking on behalf of a group of countries, expressed strong support for using the second scenario outlined in the Secretariat's note on the budget and programme of work, in which the operational budget for 2012–2013 would remain at the 2010–2011 level in nominal terms, as the starting point for the discussions. Other representatives suggested that any increase in the budget must be for preparation of national implementation plans, synergies activities and other substantive issues related to implementation of the Convention.

185. One representative said that priority should be given to addressing the chemicals most recently added to the Convention when finalizing the programme of work and budget for the biennium 2012–2013, and that there was a need for close coordination between contact groups discussing various issues during the current meeting to ensure that policy priorities were properly reflected. Noting the substantial contributions made by his own Government, he called upon other donor countries to increase their support for developing-country participation in the meetings of the Conference of the Parties.

186. One representative, speaking on behalf of a group of countries, noted with appreciation that discussions on the budget would be conducted early in the schedule of the current meeting. She expressed concern, however, with the increase in the budget being proposed and the proposal to change the sharing of the budgetary burden. Given the very recent appointment of the new Executive Secretary there had been little time to restructure the three secretariats and it would be difficult to reach conclusions on how best to staff the secretariats while maintaining the legal autonomy of each convention. She expressed disappointment that the implementation of synergies and the expected savings in posts that would provide an opportunity to move resources to support implementation of the Convention in developing countries had not progressed further. She also voiced some concern that the Global Alliance on alternatives to DDT and the PCB Elimination Network were still relying on the Secretariat to act in place of independently funded coordinators proposed in the business plans.

187. Several representatives said the inclusion of nine new chemicals in the Convention required new and additional resources for developing countries and countries with economies in transition to fulfil their increasing obligations. Several representatives said that issues related to the budget and to synergies should be handled in tandem.

188. The Conference of the Parties agreed to set up a contact group, chaired by Ms. Kerstin Stendahl (Finland), to discuss matters related to the budget and programme of work.

189. Decisions SC-5/28 on financing and budget for the biennium 2012-2013 and SC-5/2 on amendments to the financial rules for the Conference of the Parties, its subsidiary bodies and the Convention Secretariat, as adopted by the Conference of the Parties, are set out in annex I to the present report.

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

190. The Conference of the Parties agreed that its sixth meeting would take place from 6 to 10 May 2013 in Geneva.



## **VIII. Other matters**

### **A. Official communications**

191. Under the item the representative of the Secretariat recalled that in accordance with decision SC-2/16 each party was invited to name an official contact point, responsible for formal communications with the Secretariat and the performance of official functions pertaining to the Convention, and that under Article 9 of the Convention each party was to name a national focal point, responsible for the exchange of information on persistent organic pollutants called for under that article. States that were not parties to the Convention could likewise appoint contact and focal points. If a party had not designated an official contact point, invitations and other formal communications from the Secretariat would be sent to its ministry of foreign affairs. To date, 138 parties and seven States not party to the Convention had designated official contact points, while 104 parties and five non-parties had designated national focal points.

192. He also reported that a number of non-governmental organizations that were qualified in matters covered by the Convention but had never before participated in meetings of the Conference of the Parties had registered to participate in the current meeting. A list was provided in document UNEP/POPS/COP.5/INF/31/Rev.1. Under the rules of procedure, such organizations were allowed to participate in meetings of the Conference of the Parties unless at least one-third of the parties present objected. In accordance with Secretariat practice, once they had attended one meeting such organizations were added to the list of observers maintained by the Secretariat and were invited to meetings of the Conference of the Parties.

193. One representative suggested that, in the case of a party or observer that had not designated an official contact point, invitations and other formal communications should be systematically sent to the country's ministry of the environment or other ministry responsible for the Convention and to its permanent mission in Geneva, to help ensure that information was received by the relevant people in a timely manner. He further suggested that wording to that effect should be included in the decision of the parties on the matter so as to institutionalize the practice. In response, the President suggested that sending communications to ministries of environment might not be effective in cases where responsibility for the Stockholm Convention lay with another ministry. The representative of the Secretariat explained that the Secretariat already followed the practice of sending communications to the permanent missions in Geneva but would take the suggestion into account if mandated by the parties to prepare a draft decision on the matter.

194. The Conference of the Parties agreed to entrust the Secretariat with the preparation of a draft decision on official communications and participation by non-governmental organizations for its consideration.

195. Decision SC-5/29 on official communications, as adopted by the Conference of the Parties, is set out in annex I to the present report.

### **B. Tribute to Mr. Oludayo O. Dada**

196. The President read out a statement submitted by the group of African countries paying tribute to Mr. Oludayo O. Dada (Nigeria) for his long years of service and valuable contributions to international chemicals management efforts.

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

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

198. Following adoption of the report one representative, asking that his remarks be reflected in the present report, lamented the fact that part of the final session of the meeting had been conducted in English only, without the benefit of interpretation.

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

199. Prior to the closure of the meeting the representative of the European Union announced that the Union would soon be submitting a proposal to add to the Convention three new chemicals: hexachlorobutadiene, pentachlorophenol and chlorinated naphthalenes.

200. There then ensued the customary exchange of courtesies, following which the meeting was declared closed at 12.10 a.m on Saturday, 30 April 2011.

## Annex I

### Decisions of the Conference of the Parties adopted at its fifth meeting<sup>2</sup>

- SC-5/1: Amendment to rule 22 of the rules of procedure
- SC-5/2: Amendments to the financial rules for the Conference of the Parties, its subsidiary bodies and the Convention Secretariat
- SC-5/3: Listing of technical endosulfan and its related isomers
- SC-5/4: Work programme on endosulfan
- SC-5/5: Work programme on brominated diphenyl ethers and perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride
- SC-5/6: DDT
- SC-5/7: Polychlorinated biphenyls
- SC-5/8: Exemptions
- SC-5/9: Measures to reduce or eliminate releases from wastes
- SC-5/10: Evaluation of the continued need for the procedure under paragraph 2 (b) of Article 3
- SC-5/11: Operation of the Persistent Organic Pollutants Review Committee
- SC-5/12: Guidelines on best available techniques and provisional guidance on best environmental practices
- SC-5/13: Review and updating of the Standardized Toolkit for Identification and Quantification of Dioxin and Furan Releases
- SC-5/14: Implementation plans
- SC-5/15: Information exchange
- SC-5/16: Reporting
- SC-5/17: Effectiveness evaluation
- SC-5/18: Global monitoring plan for effectiveness evaluation
- SC-5/19: Procedures and mechanisms on compliance with the Stockholm Convention
- SC-5/20: Guidance on technical assistance
- SC-5/21: Regional and subregional centres for capacity-building and transfer of technology
- SC-5/22: Needs assessment
- SC-5/23: Additional guidance to the financial mechanism
- SC-5/24: Effectiveness of the implementation of the memorandum of understanding between the Conference of the Parties and the Council of the Global Environment Facility
- SC-5/25: Review of the financial mechanism
- SC-5/26: Facilitating work with regard to financial resources and mechanisms
- SC-5/27: Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions
- SC-5/28: Financing and budget for the biennium 2012–2013
- SC-5/29: Official communications

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<sup>2</sup> All paragraphs relating to guidance to the financial mechanism in the decisions set out in the present annex have been incorporated into decision SC-5/23, on additional guidance to the financial mechanism.

## SC-5/1: Amendment to rule 22 of the rules of procedure

*The Conference of the Parties,*

*Recalling* decision SC-1/1,

*Recognizing* the benefits of electing the President of the Conference of the Parties so that it will be possible for the Secretariat to work during the intersessional period with the President chairing the next meeting of the Conference of the Parties,

1. *Decides* to amend rule 22 of the rules of procedure to read as follows:

### “Rule 22

1. At each ordinary meeting of the Conference of the Parties, a President and nine Vice-Presidents, one of whom shall act as Rapporteur, shall be elected from among the representatives of the Parties present at the meeting. These officers shall serve as the Bureau of the Conference of the Parties. They shall commence their terms of office at the closure of the meeting at which they are elected and remain in office until the closure of the next ordinary meeting of the Conference of the Parties, including for any intervening extraordinary meeting. Each of the five United Nations regional groups shall be represented by two members.

2. The offices of the President and Rapporteur shall normally be subject to rotation among the United Nations regional groups. No elected officer may serve on the Bureau for more than two consecutive terms.

3. The President shall participate in meetings of the Conference of the Parties in that capacity and shall not at the same time exercise the rights of a representative of a Party. The Party concerned shall designate another representative who shall be entitled to represent the Party in the meetings and to exercise the right to vote.

4. The chairs of the Persistent Organic Pollutants Review Committee and any other subsidiary bodies shall be members ex-officio of the Bureau.”;

2. *Requests* the Secretariat to issue a consolidated version of the rules of procedure indicating the above amendment.

## SC-5/2: Amendments to the financial rules for the Conference of the Parties, its subsidiary bodies and the Convention Secretariat

*The Conference of the Parties*

*Decides* to amend the financial rules for its operation, its subsidiary bodies and the Convention Secretariat set out in the annex to decision SC-1/3 to read as follows:

### “Financial rules

#### Scope

##### Rule 1

The present rules shall govern the financial administration of the Conference of the Parties to the Stockholm Convention on Persistent Organic Pollutants, its subsidiary bodies and the Convention Secretariat. In respect of matters not specifically provided for by the present rules, the Financial Regulations and Rules of the United Nations shall apply.

#### Financial period

##### Rule 2

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

**Budget****Rule 3**

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

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

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

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

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

**Funds****Rule 4**

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

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

3. A Special Trust Fund shall be established by the Executive Director of the United Nations Environment Programme and managed by the Executive Secretary. This fund shall receive contributions pursuant to rule 5, paragraphs 1 (b) and (c), to support, in particular:

(a) Facilitation and promotion of technical assistance, training and capacity-building in accordance with Article 12;

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

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

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

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

## **Contributions**

### **Rule 5**

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

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

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

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

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

(e) Miscellaneous income.

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

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

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

(b) Each Party shall, as far in advance as possible of the date due for the contribution, inform the Executive Secretary of the contribution it intends to make and of the projected timing of that contribution;

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

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

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

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

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

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

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

7. The Executive Secretary shall acknowledge promptly the receipt of all pledges and contributions and shall inform the parties by publishing on the Convention website up-to-date information on the status of pledges and payments of contributions.

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

#### **Accounts and audit**

##### **Rule 6**

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

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

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

#### **Administrative support costs**

##### **Rule 7**

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

## Amendments

### Rule 8

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

## Annex to decision SC-5/2

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

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

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

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

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

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

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

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

### SC-5/3: Listing of technical endosulfan and its related isomers

*The Conference of the Parties,*

*Having considered* the risk profile and risk management evaluation for endosulfan (technical endosulfan, its related isomers and endosulfan sulfate) as transmitted by the Persistent Organic Pollutants Review Committee,<sup>3</sup>

*Taking note* of the recommendation by the Persistent Organic Pollutants Review Committee to list technical endosulfan, its related isomers and endosulfan sulfate in Annex A to the Convention, with specific exemptions,<sup>4</sup>

1. *Decides* to amend part I of Annex A to the Stockholm Convention on Persistent Organic Pollutants to list therein technical endosulfan and its related isomers, with specific exemptions for production as allowed for the parties listed in the Register of Specific Exemptions and/or for use on

3 UNEP/POPS/POPRC.5/10/Add.2 and UNEP/POPS/POPRC.6/13/Add.1.

4 UNEP/POPS/COP.5/17.

crop-pest complexes as listed in accordance with the provisions of a new part VI of the annex by inserting the following row:

Chemical	Activity	Specific exemption
Technical endosulfan* (CAS No: 115-29-7) and its related isomers* (CAS No: 959-98-8 and CAS No: 33213-65-9)	Production	As allowed for the parties listed in the Register
	Use	Crop-pest complexes as listed in accordance with the provisions of part VI of this Annex

2. *Decides* to insert a new note (v) in part I of Annex A as follows:  
 Technical endosulfan (CAS No: 115-29-7), its related isomers (CAS No: 959-98-8 and CAS No: 33213-65-9) and endosulfan sulfate (CAS No: 1031-07-8) were assessed and identified as persistent organic pollutants.

3. *Decides* to insert a new Part VI in Annex A as follows:

### Part VI

#### Technical endosulfan and its related isomers (endosulfan)

The production and use of endosulfan shall be eliminated except for parties that have notified the Secretariat of their intention to produce and/or use it in accordance with Article 4 of the Convention. Specific exemptions may be available for the use of endosulfan for the following crop-pest complexes:

Crop	Pest
Apple	Aphids
Arhar, gram	Aphids, caterpillars, pea semilooper, pod borer
Bean, cowpea	Aphids, leaf miner, whiteflies
Chilli, onion, potato	Aphids, jassids
Coffee	Berry borer, stem borers
Cotton	Aphids, cotton bollworm, jassids, leaf rollers, pink bollworm, thrips, whiteflies
Eggplant, okra	Aphids, diamondback moth, jassids, shoot and fruit borer
Groundnut	Aphids
Jute	Bihar hairy caterpillar, yellow mite
Maize	Aphids, pink borer, stem borers
Mango	Fruit flies, hoppers
Mustard	Aphids, gall midges
Rice	Gall midges, rice hispa, stem borers, white jassid
Tea	Aphids, caterpillars, flushworm, mealybugs, scale insects, smaller green leafhopper, tea geometrid, tea mosquito bug, thrips
Tobacco	Aphids, oriental tobacco budworm
Tomato	Aphids, diamondback moth, jassids, leaf miner, shoot and fruit borer, whiteflies
Wheat	Aphids, pink borer, termites



## SC-5/4: Work programme on endosulfan

*The Conference of the Parties,*

*Having amended* the Stockholm Convention on Persistent Organic Pollutants to list endosulfan in Annex A to the Convention with specific exemptions,<sup>5</sup>

*Taking into account* that many countries have banned or are phasing out the use and production of endosulfan,

*Recognizing* that suitable, cost-effective and safe alternatives need to be identified to facilitate the replacement of the use of endosulfan,

*Noting* the respective capabilities of developed and developing countries,

*Mindful* of paragraph 1 of Article 12 of the Convention relating to the rendering of timely and appropriate technical assistance,

1. *Decides* to undertake a work programme to support the development and deployment of alternatives to endosulfan, as set out in the annex to the present decision;
2. *Invites* parties and observers in a position to do so to provide technical and financial support for those activities.

### Annex to decision SC-5/4

#### Indicative elements of a work programme to support the development and deployment of alternatives to endosulfan

1. Parties are requested and observers are invited to submit to the Secretariat information on the following aspects of chemical and non-chemical alternatives to endosulfan for the uses identified as specific exemptions in Annex A to the Convention by 31 July 2011:

- (a) Technical feasibility;
  - (b) Health and environmental effects;
  - (c) Cost-effectiveness;
  - (d) Efficacy;
  - (e) Risk, taking into account the characteristics of potential persistent organic pollutants as specified in Annex D to the Convention;
  - (f) Availability;
  - (g) Accessibility;
  - (h) Any other available information.
2. The Secretariat is requested:
- (a) To gather and compile the information referred to in paragraph 1 above and to make it available to parties and observers;
  - (b) To summarize such information to facilitate the work of the Persistent Organic Pollutants Review Committee and submit it in advance of its seventh meeting.
3. The Persistent Organic Pollutants Review Committee, beginning at its seventh meeting, is requested:
- (a) To review the information provided pursuant to paragraph 1 above;
  - (b) To identify potential gaps in such information and to seek ways to fill those gaps;
  - (c) To assess the alternatives to endosulfan in accordance with the general guidance on considerations related to alternatives and substitutes to listed persistent organic pollutants and candidate chemicals (UNEP/POPS/POPRC.5/10/Add.1) on the basis of the information provided by

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5 Decision SC-5/3.

parties and observers referred to in paragraph 1 above, giving priority to information on alternatives for crops using high volumes of endosulfan and other information as appropriate;

(d) To prepare reports for the Conference of the Parties at its sixth meeting on the assessment of alternatives to endosulfan.

## **SC-5/5: Work programme on brominated diphenyl ethers and perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride**

*The Conference of the Parties,*

*Taking note* of decision SC-4/19, the recommendations of the Persistent Organic Pollutants Review Committee on the elimination of brominated diphenyl ethers from the waste stream and on risk reduction for perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride<sup>6</sup> and the key findings and gaps identified by the Committee in the submissions by parties and observers,<sup>7</sup>

*Considering* that the elimination of the production and use of perfluorooctane sulfonic acid and brominated diphenyl ethers together with the environmentally sound management of wastes containing perfluorooctane sulfonic acid and brominated diphenyl ethers should be achieved as swiftly as possible to avoid negative effects on human health and the environment,

*Recognizing* that the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal sets forth requirements for the control of transboundary movements of hazardous wastes and that parts IV and V of Annex A to the Stockholm Convention on Persistent Organic Pollutants set forth provisions applicable to the recycling of articles containing brominated diphenyl ethers listed under the Convention,

1. *Encourages* parties and other relevant stakeholders to implement where appropriate, taking into account national circumstances, the recommendations set out in the annex to decision POPRC-6/2 on the elimination from the waste stream of brominated diphenyl ethers that are listed in Annex A to the Convention and on risk reduction for perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride;
2. *Encourages* parties to ensure that waste materials containing brominated diphenyl ethers listed in Annex A are not exported to developing countries or countries with economies in transition, consistent with the provisions of the Stockholm Convention, including its paragraph 1 (d) of Article 6, and relevant provisions of the Basel Convention;
3. *Invites* parties to submit information on their experiences in implementing the recommendations, where applicable, or other actions that have the same objectives, to the Secretariat no later than six months before the sixth meeting of the Conference of the Parties;
4. *Requests* the Secretariat to prepare a compilation of the information received for consideration by the Conference of the Parties at its sixth meeting and to transmit it to the appropriate bodies of the Basel Convention;
5. *Requests* the Persistent Organic Pollutants Review Committee at its seventh meeting to develop terms of reference for a technical paper on the identification and assessment of alternatives to the use of perfluorooctane sulfonic acid in open applications, including the consideration of the following aspects of the substitution of perfluorooctane sulfonic acid, taking into account the general guidance on considerations related to alternatives and substitutes for listed persistent organic pollutants and candidate chemicals:<sup>8</sup>

- (a) Technical feasibility;
- (b) Health and environmental effects;
- (c) Cost-effectiveness;
- (d) Efficacy;

6 Decision POPRC-6/2, annex.

7 UNEP/POPS/POPRC.6/13, annex II.

8 UNEP/POPS/POPRC.5/10/Add.1.

(e) Availability;

(f) Accessibility;

6. *Requests* the Secretariat, subject to the availability of resources, to commission a technical paper, based upon the terms of reference to be prepared by the Persistent Organic Pollutants Review Committee pursuant to the preceding paragraph, to be completed in time for its consideration by the Committee at its eighth meeting;

7. *Requests* the Persistent Organic Pollutants Review Committee to develop recommendations on the basis of the technical paper for consideration by the Conference of the Parties at its sixth meeting.

## **SC-5/6: DDT**

### *The Conference of the Parties*

1. *Emphasizes* the importance of finding safe and effective alternatives to DDT for disease vector control;

2. *Takes note* of the report by the DDT expert group on the assessment of the continued need for DDT for disease vector control;

3. *Concludes* that countries that are relying on DDT for disease vector control may need to continue such use until locally appropriate and cost-effective alternatives are available for a sustainable transition away from DDT;

4. *Adopts* the list of parties to be invited to nominate experts to serve as members of the DDT expert group, for terms of office of four years commencing in September 2011, set out in the annex to the present decision;

5. *Takes note* of the report by the World Health Organization on the assessment of risks arising from DDT use in indoor residual spraying;<sup>9</sup>

6. *Notes* the necessity to provide technical, financial and other assistance to developing countries, least developed countries, small island developing States and countries with economies in transition to allow for the transfer of knowledge and skills in research into alternative methods, chemicals and non-chemical alternatives to combat malaria and other vector-borne diseases;

7. *Decides* to evaluate the continued need for DDT for disease vector control on the basis of scientific, technical, environmental and economic information, including that provided by the DDT expert group and the Persistent Organic Pollutants Review Committee as referred to in paragraphs 8 and 9 below, at the sixth meeting of the Conference of the Parties with the objective of accelerating the identification and development of locally appropriate cost-effective and safe alternatives;

8. *Requests* the DDT expert group to undertake an assessment of the continued need for DDT for disease vector control on the basis of factual information provided by parties and observers and compiled by the Secretariat as referred to in paragraph 10 below;

9. *Requests* the Persistent Organic Pollutants Review Committee, beginning at its eighth meeting, to assess the alternatives to DDT in accordance with the general guidance on considerations related to alternatives and substitutes for listed persistent organic pollutants and candidate chemicals on the basis of factual information provided by parties and observers and collected and compiled by the Secretariat as referred to in paragraph 10 below;

10. *Requests* the Secretariat to take active steps to collect and compile the information necessary to facilitate the work of the DDT expert group and the Persistent Organic Pollutants Review Committee and to enable them to provide guidance to the Conference of the Parties in making the evaluation at its sixth meeting referred to in paragraph 7 above;

11. *Welcomes* the progress made in implementing the Global Alliance for the Development and Deployment of Products, Methods and Strategies as Alternatives to DDT for Disease Vector Control<sup>10</sup> and the outcome of the first assembly of the Global Alliance;

9 UNEP/POPS/COP.5/INF/36.

10 UNEP/POPS/COP.5/INF/2.

12. *Recognizes* that the Secretariat has performed excellent work to date in facilitating the work of the Global Alliance but notes that the Secretariat is limited, both by its mandate and by its resources, which may restrict its ability to implement substantive technical activities effectively;

13. *Requests* the Secretariat to facilitate a transition of the leadership of the Global Alliance, in a sustainable manner, from the Secretariat to one or more United Nations agencies whose mandate is better suited to the implementation of a major project such as the Global Alliance, and to report to the Conference of the Parties at its sixth meeting on the progress of the transition;

14. *Invites* the United Nation Environment Programme to take over the administration and implementation of the Global Alliance and to collaborate with the World Health Organization;

15. *Urges* parties, relevant Stockholm Convention regional centres, the United Nations Environment Programme, the World Health Organization and others to continue to collaborate with the Global Alliance to strengthen activities related to chemical and non-chemical alternatives to DDT;

16. *Invites* Governments, intergovernmental and non-governmental organizations, research institutions, industry bodies and other stakeholders to provide technical and financial resources to support the work of the Global Alliance;

17. *Requests* the Secretariat to report to the Conference of the Parties at its sixth meeting on progress made in implementing the present decision.

## **Annex to decision SC-5/6**

### **List of parties identified by the Conference of the Parties at its fifth meeting to nominate DDT expert group members whose terms of office will commence in September 2011**

#### **From the African group**

South Africa

Democratic Republic of the Congo

#### **From the Asian and Pacific group**

India

China

#### **From the Central and Eastern European group**

Romania

Armenia

#### **From the Latin American and Caribbean group**

Panama

Paraguay

#### **From the Western European and others group**

Parties to be identified by the group

## **SC-5/7: Polychlorinated biphenyls**

*The Conference of the Parties*

1. *Takes note* of the Secretariat's report on progress in establishing the polychlorinated biphenyls elimination network;<sup>11</sup>

2. *Welcomes* the publication of the first issue of the network magazine and the establishment of awards by the network;

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11 UNEP/POPS/COP.5/9.

3. *Takes note* of the information relevant to polychlorinated biphenyls in the reports provided by parties pursuant to paragraph (g) of part II of Annex A to the Stockholm Convention on Persistent Organic Pollutants;<sup>12</sup>
4. *Recognizes* that the Secretariat has performed excellent work to date in facilitating the work of the network but notes that the secretariat is limited, both by its mandate and by its resources, which may restrict its ability to implement substantive technical activities effectively;
5. *Requests* the Secretariat to facilitate a transition of the leadership of the network, in a sustainable manner, from the Secretariat to one or more United Nations agencies whose mandate is better suited to the implementation of a major project such as the network, and to report to the Conference of the Parties at its sixth meeting on the progress of the transition;
6. *Invites* the United Nations Environment Programme, together with the relevant member organizations of the Inter-Organization Programme for the Sound Management of Chemicals, and the regional centres of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal and the Stockholm Convention, to consider taking over the administration and implementation of the network;
7. *Invites* Governments, intergovernmental and non-governmental organizations, research institutions, industry bodies and other stakeholders to join the network and to contribute technical and financial resources to its activities;
8. *Decides* to undertake at its seventh meeting a review of progress towards the elimination of polychlorinated biphenyls in accordance with paragraph (h) of part II of Annex A to the Stockholm Convention, taking into account the third reports to be submitted by parties pursuant to Article 15.

## SC-5/8: Exemptions

### *The Conference of the Parties*

1. *Approves* the forms for notification of specific exemptions, acceptable purposes and chemicals occurring as constituents of articles manufactured or already in use set out in annexes I–IV to the present decision and requests the Secretariat to continue to make them publicly available on the website of the Stockholm Convention on Persistent Organic Pollutants;
2. *Reminds* any parties wishing to register for specific exemptions or acceptable purposes to do so by means of a notification in writing to the Secretariat;
3. *Requests* the Secretariat, taking into account decisions SC-4/19 and SC-5/5, and with advice from relevant experts:
  - (a) To develop a process to enable the Conference of the Parties at its sixth and every second ordinary meeting thereafter to evaluate parties' progress in achieving the ultimate objective of eliminating hexabromodiphenyl ether, heptabromodiphenyl ether, tetrabromodiphenyl ether and pentabromodiphenyl ether and to review the continued need for the specific exemption for those chemicals in accordance with paragraph 2 of parts IV and V of Annex A to the Convention;
  - (b) To prepare for consideration by the Conference of the Parties at its sixth meeting a draft format for reporting by parties that use or produce perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride on the progress made in eliminating those chemicals in accordance with paragraph 3 of part III of Annex B to the Convention;
  - (c) To develop a process to enable the Conference of the Parties to evaluate the continued need for perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride for the various acceptable purposes and specific exemptions on the basis of available scientific, technical, environmental and economic information and to report on progress in that regard at the sixth meeting of the Conference of the Parties in accordance with paragraphs 5 and 6 of part III of Annex B to the Convention;
4. *Welcomes* the cooperation of the World Health Organization in developing reporting and reviewing requirements for the use of lindane as a human health pharmaceutical for the control of head lice and scabies;

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12 UNEP/POPS/COP.5/INF/23 and UNEP/POPS/COP.5/29.

5. *Takes note* of the Secretariat's report on the development of reporting and reviewing requirements for the use of lindane<sup>13</sup> and requests the Secretariat, subject to the availability of resources, to take the lead in implementing the proposed activities, in cooperation with the World Health Organization, and to report to the Conference of the Parties at its sixth meeting on progress in doing so;

6. *Invites* parties to facilitate the provision of information relating to the use of lindane, including through notifications of registration for specific exemptions;

7. *Encourages* those parties that may seek specific exemptions for future persistent organic pollutant chemicals to make efforts to introduce alternative measures as soon as possible and requests the Secretariat to establish a revised register as appropriate.

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13 UNEP/POPS/COP.5/18.

**Annex I to decision SC-5/8****Form for notification of specific exemptions**

<b>NOTIFICATION OF SPECIFIC EXEMPTION(S) FOR USE OF A CHEMICAL LISTED IN ANNEX A</b>			
<b>PARTY (COUNTRY NAME):</b>			
The Secretariat of the Stockholm Convention is hereby notified of the registration for the following specific exemption(s) pursuant to paragraph 3 of Article 4 of the Convention.			
<b>Chemical name</b>			
<b>Duration of the specific exemption(s) requested, if less than five years as provided by the Convention</b>			
<b>Specific exemption(s) requested for use as provided by the Convention</b>			
<b>Estimated quantity of annual use</b>			
<b>Reason(s) for specific exemption</b>			
<b>Remarks</b>			
<b>THIS NOTIFICATION IS SUBMITTED BY:</b>			
<b>Name</b>			
<b>Institution/Department</b>			
<b>Address</b>			
<b>Telephone</b>		<b>Fax</b>	
<b>E-mail address</b>			
<b>Signature</b>		<b>Date</b>	dd/mm/yyyy
<b>PLEASE RETURN THE COMPLETED FORM TO:</b>			
Secretariat of the Stockholm Convention International Environment House, United Nations Environment Programme (UNEP) 11-13, chemin des Anémones, CH-1219 Châtelaine, Geneva, Switzerland <b>Fax: 41 22 917 8098 / E-mail: ssc@pops.int</b>			

**Annex II to decision SC-5/8**

**Form for notification of specific exemptions for perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride**

<b>NOTIFICATION OF SPECIFIC EXEMPTION(S)</b>		
<b>FOR PRODUCTION AND USE OF PERFLUOROOCCTANE SULFONIC ACID, ITS SALTS AND PERFLUOROOCCTANE SULFONYL FLUORIDE</b>		
<b>PARTY (COUNTRY NAME)</b>		
The Secretariat of the Stockholm Convention is hereby notified of the registration for the following specific exemption(s) pursuant to paragraph 3 of Article 4 of the Convention.		
<b>Activity</b> (Please check as required)	<input type="checkbox"/> <b>Production</b>	<input type="checkbox"/> <b>Use</b>
<b>Specific exemption(s) requested for use as provided by the Convention</b> (Please check. Multiple choices are possible.)	<b>For the following specific uses, or as an intermediate in the production of chemicals with the following specific uses:</b> <input type="checkbox"/> <b>Photo masks in the semiconductor and liquid crystal display (LCD) industries</b> <input type="checkbox"/> <b>Metal plating (hard metal plating)</b> <input type="checkbox"/> <b>Metal plating (decorative plating)</b> <input type="checkbox"/> <b>Electric and electronic parts for some colour printers and colour copy machines</b>	<input type="checkbox"/> <b>Insecticides for control of red imported fire ants and termites</b> <input type="checkbox"/> <b>Chemically driven oil production</b> <input type="checkbox"/> <b>Carpets</b> <input type="checkbox"/> <b>Leather and apparel</b> <input type="checkbox"/> <b>Textiles and upholstery</b> <input type="checkbox"/> <b>Paper and packaging</b> <input type="checkbox"/> <b>Coatings and coating additives</b> <input type="checkbox"/> <b>Rubber and plastics</b>
<b>Please specify the chemical name and/or its precursor,<sup>14</sup> if relevant</b> (CAS No., trade name)		
<b>Duration of the specific exemption(s) requested, if less than five years as provided by the Convention</b>		
<b>Reason(s) for specific exemption</b>		
<b>Remarks</b>		

<sup>14</sup> The chemical name and/or its precursor could be either perfluorooctane sulfonic acid (CAS No: 1763-23-1), potassium perfluorooctane sulfonate (CAS No: 2795-39-3), lithium perfluorooctane sulfonate (CAS No: 29457-72-5), ammonium perfluorooctane sulfonate (CAS No: 29081-56-9), diethanolammonium perfluorooctane sulfonate (CAS No: 70225-14-8), tetraethylammonium perfluorooctane sulfonate (CAS No: 56773-42-3), didecyldimethylammonium perfluorooctane sulfonate (CAS No: 251099-16-8), perfluorooctane sulfonyl fluoride (CAS No: 307-35-7) or other PFOS-related chemicals produced using one of the above-mentioned chemicals.



<b>THIS NOTIFICATION IS SUBMITTED BY:</b>			
<b>Name</b>			
<b>Institution/Department</b>			
<b>Address</b>			
<b>Telephone</b>		<b>Fax</b>	
<b>E-mail address</b>			
<b>Signature</b>		<b>Date</b>	dd/mm/yy
<b>PLEASE RETURN THE COMPLETED FORM TO:</b>			
<p>Secretariat of the Stockholm Convention  International Environment House, United Nations Environment Programme (UNEP)  11–13, chemin des Anémones, CH–1219 Châtelaine, Geneva, Switzerland  Fax: 41 22 917 8098 / E-mail: <a href="mailto:ssc@pops.int">ssc@pops.int</a></p>			

**Annex III to decision SC-5/8**

**Form for notification of acceptable purposes for perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride**

<b>NOTIFICATION OF ACCEPTABLE PURPOSE(S) FOR PRODUCTION AND USE OF PERFLUOROOCTANE SULFONIC ACID, ITS SALTS AND PERFLUOROOCTANE SULFONYL FLUORIDE</b>	
<b>PARTY (COUNTRY NAME):</b>	
Pursuant to paragraph 1 of part III to Annex B to the Stockholm Convention, the Secretariat of the Convention is hereby notified of the intention to produce and/or use perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride for acceptable purpose(s)	
<b>Notification of production</b>	Continuing?: yes <input type="checkbox"/> no <input type="checkbox"/> ; planned as from _____ (date)
<b>Notification of use</b>	Continuing?: yes <input type="checkbox"/> no <input type="checkbox"/> ; planned as from _____ (date)
<b>Acceptable purpose(s) requested as provided by the Convention</b>  (Please check. Multiple choices are possible.)	<p><b>In accordance with part III of Annex B for the following acceptable purposes, or as an intermediate in the production of chemicals with the following acceptable purposes:</b></p> <p><input type="checkbox"/> Photo-imaging</p> <p><input type="checkbox"/> Photo-resist and anti-reflective coatings for semi-conductors</p> <p><input type="checkbox"/> Etching agent for compound semi-conductors and ceramic filters</p> <p><input type="checkbox"/> Aviation hydraulic fluids</p> <p><input type="checkbox"/> Metal plating (hard metal plating) only in closed-loop systems</p> <p><input type="checkbox"/> Certain medical devices (such as ethylene tetrafluoroethylene copolymer (ETFE) layers and radio-opaque ETFE production, in-vitro diagnostic medical devices, and CCD colour filters)</p> <p><input type="checkbox"/> Firefighting foam</p> <p><input type="checkbox"/> Insect baits for control of leaf-cutting ants from <i>Atta spp.</i> and <i>Acromyrmex spp.</i></p>
<b>Please specify the chemical name and/or its precursor, if relevant<sup>15</sup></b> (CAS No., trade name)	
<b>Remarks</b>	

<sup>15</sup> The chemical name and/or its precursor could be either perfluorooctane sulfonic acid (CAS No: 1763-23-1), potassium perfluorooctane sulfonate (CAS No: 2795-39-3), lithium perfluorooctane sulfonate (CAS No: 29457-72-5), ammonium perfluorooctane sulfonate (CAS No: 29081-56-9), diethanolammonium perfluorooctane sulfonate (CAS No: 70225-14-8), tetraethylammonium perfluorooctane sulfonate (CAS No: 56773-42-3), didecyldimethylammonium perfluorooctane sulfonate (CAS No: 251099-16-8), perfluorooctane sulfonyl fluoride (CAS No: 307-35-7) or other PFOS-related chemicals produced using one of the above-mentioned chemicals.

<b>THIS NOTIFICATION IS SUBMITTED BY:</b>			
<b>Name</b>			
<b>Institution/Department</b>			
<b>Address</b>			
<b>Telephone</b>		<b>Fax</b>	
<b>E-mail address</b>			
<b>Signature</b>		<b>Date</b>	dd/mm/yyyy
<b>PLEASE RETURN THE COMPLETED FORM TO:</b>			
<p>Secretariat of the Stockholm Convention  International Environment House, United Nations Environment Programme (UNEP)  11-13, chemin des Anémones, CH-1219 Châtelaine, Geneva, Switzerland  <b>Fax: 41 22 917 8098 / E-mail: ssc@pops.int</b></p>			

**Annex IV to decision SC-5/8**

**Form for notification of a chemical as a constituent of articles  
manufactured or already in use**

<b>NOTIFICATION OF A CHEMICAL AS A CONSTITUENT OF ARTICLES IN USE</b>			
<b>PARTY (COUNTRY NAME):</b>			
The Secretariat of the Stockholm Convention is hereby notified that the following article(s), manufactured or already in use on or before the date of entry into force of the relevant obligation for the chemical named below and containing the same chemical as a constituent, will remain in use. In accordance with note (ii) of Annex A or Annex B, however, this notification shall not be considered to establish a production and use acceptable purpose or specific exemption for the purposes of paragraph 2 of Article 3 of the Convention.			
<b>Chemical name</b>			
<b>Description of the articles remaining in use</b>			
<b>Remarks</b>			
<b>THIS NOTIFICATION IS SUBMITTED BY:</b>			
<b>Name</b>			
<b>Institution/Department</b>			
<b>Address</b>			
<b>Telephone</b>		<b>Fax</b>	
<b>E-mail address</b>			
<b>Signature</b>		<b>Date</b>	dd/mm/yyyy
<b>PLEASE RETURN THE COMPLETED FORM TO:</b>			
Secretariat of the Stockholm Convention International Environment House, United Nations Environment Programme (UNEP) 11-13, chemin des Anémones, CH-1219 Châtelaine, Geneva, Switzerland <b>Fax: 41 22 917 8098 / E-mail: ssc@pops.int</b>			

## SC-5/9: Measures to reduce or eliminate releases from wastes

### *The Conference of the Parties*

1. *Takes note* of the work by the Secretariat to support parties in implementing the technical guidelines for the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants, in collaboration with the Secretariat of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal;
2. *Invites* the appropriate bodies of the Basel Convention, with regard to the chemicals newly listed in Annexes A, B and C to the Stockholm Convention on Persistent Organic Pollutants by decisions SC-4/10–SC-4/18 and SC-5/3:
  - (a) To establish the levels of destruction and irreversible transformation for those chemicals necessary to ensure that the characteristics of persistent organic pollutants as specified in paragraph 1 of Annex D to the Stockholm Convention are not exhibited;
  - (b) To determine what they consider to be the methods that constitute environmentally sound disposal referred to in paragraph 1 (d) (ii) of Article 6 of the Stockholm Convention;
  - (c) To work to establish, as appropriate, the concentration levels of those chemicals in order to define the low persistent organic pollutant content referred to in paragraph 1 (d) (ii) of Article 6 of the Convention;
  - (d) To update, if needed, the general technical guidelines for the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants and to prepare or update specific technical guidelines developed under the Basel Convention, taking into account the information referred to in paragraph 5 below where appropriate;
3. *Invites* the Conference of the Parties to the Basel Convention to consider the involvement of experts working under the Stockholm Convention, including members and observers of the Persistent Organic Pollutants Review Committee, in the work referred to in paragraph 2 above;
4. *Also invites* the Conference of the Parties to the Basel Convention to inform the Conference of the Parties to the Stockholm Convention, through the Executive Secretary, on the outcomes of the work referred to in paragraph 2 above;
5. *Requests* the Secretariat to make the documents referred to in paragraphs 2 (a)–(c) of decision POPRC-6/3,<sup>16</sup> the recommendations on the elimination of brominated diphenyl ethers from the waste stream and on risk reduction for perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride, as set out in the annex to decision POPRC-6/2, and annex II to document UNEP/POPS/POPRC.6/13 available to the appropriate bodies of the Basel Convention to support their work;
6. *Also requests* the Secretariat to continue to support parties in implementing measures to reduce or eliminate releases from stockpiles and wastes, including in relation to the chemicals newly listed in Annexes A, B and C to the Convention, subject to the availability of resources;
7. *Invites* parties and observers in a position to do so to provide financial support for the activities to support parties in implementing the wastes-related provisions of the Convention.

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16 UNEP/POPS/POPRC.6/2/Rev.1, UNEP/POPS/POPRC.6/INF/5, UNEP/POPS/POPRC.6/13, annex I and decision POPRC-6/2.

## SC-5/10: Evaluation of the continued need for the procedure under paragraph 2 (b) of Article 3

### *The Conference of the Parties*

1. *Takes note* of the report by the Secretariat on information to be taken into account in the evaluation of the continued need for the procedure under paragraph 2 (b) of Article 3 of the Stockholm Convention on Persistent Organic Pollutants;<sup>17</sup>
2. *Concludes* that the information currently available on experience with using the procedure under paragraph 2 (b) of Article 3 is insufficient as a basis for evaluating the continued need for the procedure;
3. *Urges* parties to include in their reports required under Article 15 of the Convention information on their imports and exports of the chemicals listed in Annexes A and B to the Convention, if any, and in so doing to provide as much information as is practicable regarding the destinations of exported chemicals and the purposes for which chemicals are imported;
4. *Reminds* parties that, when exporting chemicals listed in Annex A or Annex B to the Convention to any State not party to the Convention, paragraph 2 (b) (iii) of Article 3 of the Convention requires them to submit to the Secretariat an annual certification from the importing State;
5. *Requests* the Secretariat to prepare a further report, based on party reports submitted pursuant to Article 15, on certifications from exporting parties pursuant to paragraph 2 (b) (iii) of Article 3 and on other relevant information, for consideration by the Conference of the Parties at its sixth meeting;
6. *Also requests* the Secretariat to prepare a draft template for the certification pursuant to paragraph 2 (b) (iii) of Article 3 for use on an interim basis and for consideration by the Conference of the Parties at its sixth meeting;
7. *Decides* to evaluate further the continued need for the procedure set out in paragraph 2 (b) of Article 3 at its sixth meeting.

## SC-5/11: Operation of the Persistent Organic Pollutants Review Committee

### *The Conference of the Parties*

1. *Welcomes* the entry into force of the amendments to Annexes A, B and C to the Stockholm Convention on Persistent Organic Pollutants stemming from decisions SC-4/10–SC-4/18, by which the Conference of the Parties listed nine new chemicals in those annexes, subject to paragraph 3 (b) of Article 22 and paragraph 4 of Article 25;
2. *Takes note* of the Secretariat's activities to support initial actions by parties and to facilitate the implementation of the Convention following the entry into force of the above amendments;
3. *Invites* parties and observers in a position to do so to contribute to the activities related to the newly listed chemicals and to provide financial support for the implementation of those activities;
4. *Welcomes* the reports of the Persistent Organic Pollutants Review Committee on its fifth and sixth meetings;<sup>18</sup>
5. *Takes note* of the information provided in those reports on developments in the Committee, including in respect of its procedures;
6. *Adopts* the amendment to the Committee's terms of reference set out in annex I to the present decision;
7. *Confirms* the appointment of the newly designated experts to serve as members of the Committee;<sup>19</sup>

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17 UNEP/POPS/COP.5/8, annex.

18 UNEP/POPS/POPRC.5/10 and UNEP/POPS/POPRC.6/13.

8. *Adopts* the list of parties to be invited to nominate Committee members for terms of office commencing on 5 May 2012 set out in annex II to the present decision;
9. *Takes note* of the workplans adopted by the Committee;<sup>20</sup>
10. *Also takes note* of the guidance document on alternatives to perfluorooctane sulfonate and its derivatives and recommends to parties that they make use of it and provide feedback to the Committee in that regard;<sup>21</sup>
11. *Endorses* the publication of the handbook and the pocket guide on the Committee's work and recommends to parties that they make use of them;<sup>22</sup>
12. *Takes note* of the information on the implementation of paragraphs 3 and 4 of Article 3 of the Convention and on national regulations on unintentional trace contaminants in products and articles;<sup>23</sup>
13. *Requests* the Committee, through the Secretariat, to forward the new information on unintentional releases of newly listed chemicals that it has received and any further relevant information that it might receive to the expert group on best available techniques and best environmental practices established pursuant to decision SC-5/12 for its consideration;
14. *Forwards* the outcome of the study prepared by an expert group on the interlinkages between climate change and persistent organic pollutants<sup>24</sup> to the Committee to consider the possible implications of those interlinkages for the Committee's work;
15. *Requests* the Secretariat to continue the activities listed in decision POPRC-6/7 to assist parties that are developing countries or countries with economies in transition and to report on the results of those activities to the Conference of the Parties at its sixth meeting;
16. *Urges* parties and observers in a position to do so to contribute to the Committee's work and to provide financial support for the implementation of activities to support the effective participation of parties in that work.

## **Annex I to decision SC-5/11**

### **Amendment to the terms of reference of the Persistent Organic Pollutants Review Committee**

Insert a new paragraph after paragraph 15 to read:

“The Committee shall meet in closed session before the start of each meeting of the Committee to discuss any issues related to conflicts of interest of Committee members. Should any conflict of interest of a Committee member arise, the Chair of the Committee shall consult the President of the Conference of the Parties and the Executive Secretary with a view to making a decision on the member's participation in the Committee's work in respect of a particular chemical.”

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19 UNEP/POPS/POPRC.5/INF/4 and UNEP/POPS/POPRC.6/INF/3/Rev.1.  
 20 UNEP/POPS/POPRC.5/10, annex II, and UNEP/POPS/POPRC.6/13, annex V.  
 21 UNEP/POPS/POPRC.6/13/Add.3.  
 22 UNEP/POPS/COP.4/INF/9 and UNEP/POPS/POPRC.5/INF/7.  
 23 UNEP/POPS/COP.5/INF/9 and UNEP/POPS/COP.5/INF/10.  
 24 UNEP/POPS/COP.5/INF/26.

## **Annex II to decision SC-5/11**

### **List of parties identified by the Conference of the Parties at its fifth meeting to nominate Persistent Organic Pollutants Review Committee members whose terms of office will commence on 5 May 2012**

#### **From the African group**

Cameroon  
Kenya  
Madagascar  
Sudan

#### **From the Asian and Pacific group**

India  
Indonesia  
Kuwait  
Republic of Korea

#### **From the Central and Eastern European group**

The former Yugoslav Republic of Macedonia

#### **From the Latin American and Caribbean group**

Brazil  
Cuba

#### **From the Western European and others group**

France  
Norway  
Party to be identified by the region

### **SC-5/12: Guidelines on best available techniques and provisional guidance on best environmental practices**

#### *The Conference of the Parties*

1. *Takes note* of the comments provided by parties and others on the guidelines on best available techniques and the provisional guidance on best environmental practices;<sup>25</sup>

2. *Reminds* parties, in accordance with Article 5 of the Stockholm Convention on Persistent Organic Pollutants, to take into consideration the guidelines and guidance when applying best available techniques and best environmental practices and to assist decision-making in the implementation of action plans and other actions related to their obligations under Article 5, and invites them to share their experiences, such as in the form of case studies, via the Convention clearing-house mechanism;

3. *Adopts* the procedure for updating the guidelines and guidance set forth in the annex to the present decision and *acknowledges* that, besides those relevant to Article 5 and Annex C, other aspects of best available techniques and best environmental practices relevant to all persistent organic pollutants listed in the annexes to the Convention should be considered;

4. *Invites* parties and others to nominate experts with specific expertise in best available techniques and best *environmental* practices to the joint Toolkit and best available techniques and best environmental practices expert roster called for in the procedure;

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25 UNEP/POPS/COP.5/INF/5.



5. *Requests* the Secretariat to support the continuing review and updating of the guidelines and guidance and further to promote the guidelines and guidance and the sharing of experience in their use in implementing obligations under Article 5 of the Convention, subject to the availability of resources;
6. *Invites* parties and others in a position to do so to provide funding for activities aimed at enhancing the understanding and implementation of the guidelines and guidance.

## **Annex to decision SC-5/12**

### **Procedure for the review and updating of the guidelines on best available techniques and provisional guidance on best environmental practices**

#### **Introduction**

1. By its decision SC-4/6 on best available techniques and best environmental practices, the Conference of the Parties requested the Secretariat to propose to the Conference of the Parties for consideration at its fifth meeting a procedure for updating the guidelines on best available techniques and provisional guidance on best environmental practices taking into consideration paragraph 7 of decision IX/16 of the Conference of the Parties to the Basel Convention on the Control of the Transboundary Movement of Hazardous Wastes and Their Disposal.
2. Given that paragraph 18 (d) of the annex to decision SC-3/6, on the review and updating of the Standardized Toolkit for Identification and Quantification of Dioxin and Furan Releases, calls for the further promotion of synergies between activities related to releases from unintentional production and best available techniques/best environmental practices, it was considered that it would be useful for experts from the roster of experts on the further development of the Standardized Toolkit<sup>26</sup> to discuss the proposed procedure called for by decision SC-4/6. Accordingly, elements of such a procedure were discussed at the fourth and fifth Toolkit expert meetings and the proposed procedure outlined in the present document was endorsed by the experts present at the fifth meeting.

### **Procedure for the review and updating of the guidelines on best available techniques and provisional guidance on best environmental practices**

3. A procedure for the review and updating of the guidelines on best available techniques and provisional guidance on best environmental practices is outlined below. It describes the general tasks to be performed in the review and updating process; the stakeholders to be involved in the process; the activities, procedures and specific tasks to be performed in the process, along with the roles that particular stakeholders are to play; and the frequency with which the activities and tasks are to be performed.
4. In addition to the best available techniques and best environmental practices regarding persistent organic pollutants relevant to Article 5 of and Annex C to the Convention, best available techniques and best environmental practices relevant to all chemicals listed in the annexes to the Convention are considered as they relate to:
  - (a) Destruction of persistent organic pollutants;
  - (b) Production of restricted persistent organic pollutants for acceptable purposes as defined in the Convention;
  - (c) Use of persistent organic pollutants for acceptable purposes and pursuant to specific exemptions as defined in the Convention;
  - (d) Recycling of articles containing persistent organic pollutants pursuant to specific exemptions as defined in the Convention;
  - (e) Storage of waste containing persistent organic pollutants;

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26 <http://chm.pops.int/Portals/0/download.aspx?d=UNEP-POPS-TOOLKIT-LIST-ExpertsRoster200902.English.pdf>.

- (f) Remediation of sites contaminated with persistent organic pollutants.

## A. General tasks

5. The general tasks to be undertaken in the review and updating process are:
- (a) Enhancing the guidelines to identify and take into account more fully the needs and circumstances of developing countries and regions, particularly with regard to sources of persistent organic pollutant releases of relevance to developing countries;
  - (b) Providing additional information on available alternatives, including home-grown alternatives, and on the use of substitute or modified materials, products and processes;
  - (c) Evaluating emerging technologies and improvements to existing technologies;
  - (d) Harmonizing activities with the Toolkit review and updating process and with the work of the appropriate bodies of the Basel Convention;
  - (e) Evaluating possible implications of the listing of new persistent organic pollutants in the annexes to the Convention;
  - (f) Optimizing synergies with other efforts, such as those to combat mercury and to reduce greenhouse-gas emissions through best available techniques and best environmental practices (avoiding negative effects on releases of other pollutants while taking mitigation measures);
  - (g) Reporting to the Conference of the Parties.
6. The procedures for identifying detailed tasks and activities, to be undertaken as priorities over a set period of time, are outlined below.

## B. Stakeholders

7. To respond to the Conference of the Parties' request to promote synergies between activities related to releases from unintentional production and best available techniques/best environmental practices, a joint expert roster will be created and used. The existing Toolkit expert roster will be supplemented by experts with specific expertise in best available techniques and best environmental practices. The Secretariat will invite parties and others to nominate such experts, who will be consulted as needed during the review and updating process. In addition, experts from the Persistent Organic Pollutants Review Committee expert roster can be drawn upon as appropriate.
8. Basel Convention experts will be involved in work related to wastes, and national coordination on the subject will be encouraged as appropriate.
9. All experts nominated by parties and others and included in the joint Toolkit and best available techniques and best environmental practices expert roster will be involved in the review and updating process, at least by electronic means.
10. The joint roster will remain open for further nominations.
11. Between 25 and 30 party-nominated experts selected from this roster may be invited by the Secretariat to participate in expert meetings. Participants will be selected taking into account the expertise of each expert and its relevance to the topics to be discussed at the expert meetings, in addition to geographic distribution and balance between developed and developing countries.
12. Up to five additional experts may be invited to provide specific expertise related to the particular topic to be discussed, if such expertise is not available among the experts included in the roster.
13. While expert meetings should be open to observers, the total number of participants should not exceed 35.

## C. Procedures, activities and specific tasks

14. The review and updating process is driven by parties and organized and facilitated by the Secretariat. Expert panels focusing on a specific source category or task could be established, led by parties who volunteer to do so.
15. Parties and others will be invited to generate relevant data and information to assist in the review and updating process, and to provide that information to the Secretariat.

16. Such information will be gathered and summarized regularly and provided for the experts' consideration.
17. The experts should perform the following tasks and activities, among others:
- (a) Analyse and evaluate available information, including the current edition of the guidelines and guidance;
  - (b) Identify new information and existing gaps, agree on priorities and propose activities for improvement;
  - (c) Identify best available techniques and best environmental practices options for small-scale and artisanal processes;
  - (d) Develop a detailed workplan and timetable for the revision and updating process;
  - (e) Set up the necessary organizational structure (such as expert panels);
  - (f) Agree on data-quality criteria by which to validate data and information, so as to ensure that only scientifically sound information is included in the guidelines and guidance;
  - (g) Validate information and data to be included in the guidelines and guidance according to the agreed data-quality criteria and prepare revised or new texts;
  - (h) Assess training and capacity-building needs for parties to apply best available techniques and best environmental practices and implement requirements under the Convention;
  - (i) Take into account, in relation to wastes-related matters, the technical guidelines on persistent organic pollutants adopted by the Conference of the Parties to the Basel Convention.
18. Best available techniques and best environmental practices expert meetings will be organized to facilitate the implementation of the activities and tasks outlined above.
19. Texts of the guidelines, as revised or developed by the expert panels, will be circulated to all experts for review and comments before being made available through the clearing-house mechanism of the Convention. Parties and others will be invited to peruse them and provide comments and suggestions.
20. The following activities will be further promoted:
- (a) Sharing and exchanging of information via the clearing-house mechanism;
  - (b) Local initiatives for data generation and collection, including case studies;
  - (c) Joint activities and projects between developed and developing countries, in addition to South-South cooperation;
  - (d) Synergies between activities related to releases from unintentional production and best available techniques/best environmental practices;
  - (e) Awareness-raising with regard to the guidelines.

#### **D. Periodicity**

21. The guidelines and guidance on best available techniques and best environmental practices should be a living document and the process for reviewing and updating it should be continuous.
22. Expert meetings should be organized every two years, back-to-back with the annual Toolkit expert meetings. Work should, however, continue intersessionally by electronic means, organized by the expert panel leaders and facilitated by the Secretariat.
23. New or revised chapters will be shared via the clearing-house mechanism as they are completed.

## SC-5/13: Review and updating of the Standardized Toolkit for Identification and Quantification of Dioxin and Furan Releases

### *The Conference of the Parties*

1. *Takes note* of the reports of the Toolkit expert meetings;<sup>27</sup>
2. *Welcomes* the conclusions and recommendations of the Toolkit experts presented in the annex to the note by the Secretariat on the ongoing review and updating of the Standardized Toolkit for Identification and Quantification of Dioxin and Furan Releases<sup>28</sup> and endorses their inclusion in the revision of the Toolkit;
3. *Encourages* parties to use the Toolkit, taking into account the new information and the conclusions and recommendations of the Toolkit experts presented in the annex to the note by the Secretariat on review and updating of the Standardized Toolkit for Identification and Quantification of Dioxin and Furan Releases,<sup>29</sup> when developing source inventories and release estimates under Article 5 and reporting estimated releases under Article 15, taking into consideration the source categories identified in Annex C, and to provide comments on their experience to the Secretariat;
4. *Requests* the Toolkit experts to compile the information on unintentional releases of persistent organic pollutants provided through national reports pursuant to Article 15 and to prepare a preliminary analysis of that information to facilitate its evaluation under the proposed framework for evaluating the effectiveness of the Convention;
5. *Requests* the Secretariat to continue implementing the process for the ongoing review and updating of the Toolkit adopted by the Conference of the Parties in decision SC-3/6 and to report on progress made, including in respect of the completion of the revised version of the Toolkit, to the Conference of the Parties at its sixth meeting;
6. *Also requests* the Secretariat, within available resources, to organize awareness-raising and training with regard to the revised Toolkit to harmonize the approaches for the updating and revision of reported source inventories and release estimates as a means of achieving data comparability and consistency in respect of time trends;
7. *Invites* parties, non-parties, intergovernmental and non-governmental organizations and industry bodies:
  - (a) To generate relevant data and information on chemicals listed in Annex C to the Convention, as identified in the Toolkit review and updating process, and to provide that information to the Secretariat;
  - (b) To participate actively in the Toolkit review and updating process;
  - (c) To facilitate transfer of knowledge and capacity-building through strategic partnerships and joint activities, including informal support for small-scale screening projects by well-equipped laboratories;
8. *Invites* parties and others in a position to do so to provide funding to support the work outlined in paragraphs 5 and 6 above.

## SC-5/14: Implementation plans

### *The Conference of the Parties*

1. *Welcomes* the additional implementations plans transmitted by parties pursuant to Article 7 of the Stockholm Convention on Persistent Organic Pollutants;<sup>30</sup>
2. *Takes note* of the deadline for the transmission of each party's implementation plan, in addition to the deadlines for revised and updated implementation plans;

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27 UNEP/POPS/COP.5/INF/6.

28 UNEP/POPS/COP.5/11.

29 Ibid.

30 UNEP/POPS/COP.5/INF/7/Rev.1.

3. *Also takes note* of the concern expressed by parties, particularly developing-country parties, parties with economies in transition and small island developing States, regarding the need for adequate technical and financial assistance for the review and updating of national implementation plans with information relating to the newly listed persistent organic pollutants;

4. *Encourages* those parties for whom the deadlines for transmitting their implementation plans have passed to transmit their plans as soon as possible if they have not already done so;

5. *Encourages* parties to use the existing guidance under the Stockholm Convention when developing, reviewing or updating their implementation plans and to provide the Secretariat with comments on how to improve the usefulness of the guidance based on their experiences in using it;

6. *Takes note* of the progress made in developing guidance for the review and updating of national implementation plans with information relating to the newly listed persistent organic pollutants;<sup>31</sup>

7. *Requests* the Secretariat:

(a) To continue to prepare the guidance mentioned in paragraph 6 above;

(b) To prepare a revised version of the social and economic guidance<sup>32</sup> taking into account the comments provided by parties, resources permitting, and if sufficient information is provided to enable it to do so;

(c) To prepare a revised version of the additional guidance on the calculation of action plan costs taking into account the comments provided by parties, in addition to the amendments to Annexes A, B and C to the Convention, subject to the availability of resources;

(d) To identify any additional guidance that might be required to assist parties in their implementation of the Convention and to continue to work on the development of the guidance called for in paragraph 5 of decision SC-1/12 and to report to the Conference of the Parties at its sixth meeting on the progress made;

(e) To prepare, within available resources, a report to the Conference of the Parties at its sixth meeting for its consideration and subsequent action on the feasibility of parties, particularly developing-country parties, parties with economies in transition and small island developing States, to revise and update their implementation plans with information relating to the newly listed persistent organic pollutants, including recommendations on how to assist them with any difficulties encountered;

(f) To prepare, within available resources, a report to the Conference of the Parties at its sixth meeting for its consideration and subsequent action on a legal opinion on Article 7 of the Convention regarding deadlines for the transmission of revised implementation plans, taking into account decisions SC-1/12 and SC-2/7, in particular when new chemicals are listed in Annexes A, B, or C;

8. *Invites* parties and others in a position to do so to provide the additional funding required for developing the additional guidance.

## **SC-5/15: Information exchange**

### *The Conference of the Parties*

1. *Takes note* of the progress made in the implementation of the clearing-house mechanism of the Stockholm Convention on Persistent Organic Pollutants and requests the Secretariat to complete an evaluation of its first phase, covering the period 2008–2011, by the end of 2011, and to make it available on the Convention website;

2. *Requests* the Secretariat to use the newly developed social network and online collaboration website to collect the input required from parties, partners and interested stakeholders, to complete the guidance document for the development of the clearing-house mechanism regional and national nodes and to make the guidance document available on the Convention website;

31 UNEP/POPS/COP.5/13.

32 UNEP/POPS/COP.3/INF/8.

3. *Encourages* parties and other stakeholders to use the clearing-house mechanism and its tools when implementing projects;
4. *Requests* the Secretariat to continue to work with the secretariats of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal and the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade to complete the development of the clearing-house mechanism so that it serves all three conventions;
5. *Decides* that all new phases in the development of the clearing-house mechanism functions relating to the Stockholm Convention should be implemented as part of the development of the clearing-house mechanism serving the Basel, Rotterdam and Stockholm conventions and that further workplans and progress reports should be presented for consideration by the Conference of the Parties as joint activities of the three conventions;
6. *Invites* parties and other stakeholders to continue to support the Secretariat in its development of the clearing-house mechanism serving the three conventions;
7. *Invites* the Secretariat, parties, Governments and any other interested stakeholders, in implementing clearing-house mechanism projects, to build upon and link to such existing information exchange initiatives and tools as the Chemical Information Exchange Network of the United Nations Environment Programme and national pollutant release and transfer registers.

## SC-5/16: Reporting

### *The Conference of the Parties*

1. *Welcomes* the reports submitted by parties pursuant to Article 15 of the Stockholm Convention on Persistent Organic Pollutants using the enhanced version of the electronic system for reporting;
2. *Takes note* of the Secretariat's report pursuant to paragraph 2 (d) of Article 20 based on the national reports submitted by parties under Article 15;<sup>33</sup>
3. *Also takes note* of the information provided pursuant to paragraph (g) of part II of Annex A to the Convention on progress in eliminating polychlorinated biphenyls;
4. *Urges* parties that have not yet done so to submit their national reports pursuant to Article 15 of the Convention no later than 31 July 2011;
5. *Decides* that, in accordance with Article 15, each party shall submit its third national report pursuant to Article 15 to the Secretariat by 31 August 2014 for consideration by the Conference of the Parties at its seventh meeting;
6. *Requests* the Secretariat:
  - (a) To prepare a periodic report pursuant to paragraph 2 (d) of Article 20 of the Convention for consideration by the Conference of the Parties at its seventh meeting;
  - (b) To update the reporting format to include the nine chemicals listed in Annexes A, B and C to the Convention by decisions SC-4/10–SC-4/18 of the Conference of the Parties, for consideration by the Conference of the Parties at its sixth meeting;
  - (c) Further to improve the electronic system for reporting, taking into account possible synergies with the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal and other relevant processes, in time for it to be used for the submission of the third report pursuant to Article 15, bearing in mind the comments received from parties on their experiences in using the system and in view of the use of the national reports as one element in undertaking an evaluation of the effectiveness of the Convention pursuant to Article 16;
  - (d) To continue to provide guidance to parties on the use of the electronic system for reporting;
  - (e) To contact, directly or through involvement of the regional centres, parties that have not reported, in order to identify obstacles to reporting;

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33 UNEP/POPS/COP.5/29, annex I, and UNEP/POPS/COP.5/INF/23.

(f) To develop a strategy to increase the rate of submission of national reports by parties pursuant to Article 15, taking into account the feedback received from parties on obstacles to reporting;

(g) To give feedback, where appropriate and in a cost-efficient manner, to parties on their reporting so that they are aware of both positive and problematic aspects of their reporting, if requested.

## SC-5/17: Effectiveness evaluation

### *The Conference of the Parties*

1. *Takes note* of the reports of the meetings of the ad hoc working group on effectiveness evaluation;<sup>34</sup>
2. *Also takes note* of the proposed framework for effectiveness evaluation;<sup>35</sup>
3. *Requests* the Secretariat to collect and compile the information outlined in the proposed framework and to use the elements and indicators set forth therein to prepare a report for consideration by the Conference of the Parties at its sixth meeting;
4. *Invites* parties and others to submit comments on the proposed framework before 30 October 2011 and requests the Secretariat to compile those comments in the form of an information document for consideration by the Conference of the Parties at its sixth meeting;
5. *Requests* the Secretariat to integrate the comments received from parties into the proposed framework for consideration by the Conference of the Parties at its sixth meeting;
6. *Emphasizes* the need for parties to step up their efforts to ensure the timely and accurate completion of national reports under Article 15 of the Stockholm Convention on Persistent Organic Pollutants.

## SC-5/18: Global monitoring plan for effectiveness evaluation

### *The Conference of the Parties*

1. *Takes note* of the report of the meeting of the global coordination group and encourages parties, when implementing activities under the global monitoring plan, to consider the recommendations put forward in the report of the co-chairs of the coordination group;<sup>36</sup>
2. *Welcomes* the revisions made to the guidance on the global monitoring plan;<sup>37</sup>
3. *Requests* the Secretariat to continue to support the continuing process of revising and updating that guidance, subject to the availability of resources;
4. *Encourages* parties to use the draft revised guidance and provide comments on their experience in doing so to the Secretariat through the regional organization groups;
5. *Takes note* of the study on the impacts of climate change on persistent organic pollutants<sup>38</sup> and of the report on impacts of and policy options for climate change and persistent organic pollutants set out in the annex to the note by the Secretariat on the global monitoring plan for effectiveness evaluation<sup>39</sup> and encourages parties in a position to do so to support further studies to fill regional and thematic data gaps, as identified in those reports;
6. *Requests* the Secretariat, subject to the availability of resources, to continue to support the work of the regional organization groups and the global coordination group for the global monitoring plan;

34 UNEP/POPS/COP.5/INF/30.

35 UNEP/POPS/COP.5/31, annex.

36 UNEP/POPS/COP.5/INF/25.

37 UNEP/POPS/COP.5/INF/27.

38 UNEP/POPS/COP.5/INF/26.

39 UNEP/POPS/COP.5/30.

7. *Also requests* the Secretariat, within available resources, to continue to support training and capacity-building activities to assist countries in implementing the global monitoring plan for subsequent effectiveness evaluations and to work with partners and other relevant organizations to undertake implementation activities;

8. *Encourages* parties to engage actively in the implementation of the global monitoring plan and the effectiveness evaluation, in particular:

(a) To continue to monitor the core media of air and human breast milk or human blood and, if in a position to do so, to initiate monitoring of perfluorooctane sulfonic acid in surface water in support of future evaluations;

(b) To support the further development and long-term implementation of the global monitoring plan if in a position to do so.

## **SC-5/19: Procedures and mechanisms on compliance with the Stockholm Convention**

*The Conference of the Parties,*

*Recalling* Article 17 of the Stockholm Convention,

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

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

2. *Decides also* that the draft text set out in the annex to decision SC-4/33, bearing in mind the proposal of the chair of the contact group set out in the appendix to that annex, shall be the basis for its further work on the procedures and institutional mechanisms at its sixth meeting;

3. *Invites* the Bureau of the Conference of the Parties to facilitate intersessional consultations among parties to promote a policy dialogue on major issues raised in the context of discussing adoption of a compliance mechanism, with a view to resolving the outstanding issues in a way to facilitate possible adoption of a compliance mechanism by the Conference of the Parties at its sixth meeting.

## **SC-5/20: Guidance on technical assistance**

*The Conference of the Parties*

1. *Takes note* of the information provided in the note by the Secretariat on guidance on technical assistance;<sup>40</sup>

2. *Invites* developing-country parties and parties with economies in transition to provide information to the Secretariat on their technical assistance and technology transfer needs and the barriers and obstacles in that regard;

3. *Also invites* developed-country parties to provide information to the Secretariat on the technical assistance and technologies that they have available to be transferred to developing-country parties and parties with economies in transition, together with the barriers and obstacles to responding to those needs referred to in paragraph 2 above;

4. *Further invites* parties and others to share agroecological knowledge, experience, strategies and practices that could be relevant as alternatives to persistent organic pollutants;

5. *Invites* parties and relevant international and non-governmental organizations, including regional centres, to provide information to the Secretariat by 31 March 2012 on their experiences in implementing the guidance on technical assistance and transfer of environmentally sound technologies set out in the annex to decision SC-1/15;

6. *Requests* the Secretariat to submit a report on progress in the application of the guidance on technical assistance and transfer of environmentally sound technology at the sixth

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40 UNEP/POPS/COP.5/20.



meeting of the Conference of the Parties, which should include analysis of obstacles and barriers to gaining access to technical assistance and technology transfer and recommendations on how to overcome them, based on the information to be provided pursuant to paragraphs 2, 3 and 5 of the present decision and any other pertinent information;

7. *Invites* the Stockholm Convention regional centres to develop and regularly update a list of technologies available to be transferred to developing-country parties and parties with economies in transition in accordance with paragraph 4 of Article 12 of the Convention;

8. *Requests* the Secretariat to continue to implement its technical assistance programme as an integral part of its work to facilitate the delivery of technical assistance and the transfer of technology, taking into account the guidance on technical assistance and transfer of environmentally sound technologies set out in the annex to decision SC-1/15.

## **SC-5/21: Regional and subregional centres for capacity-building and transfer of technology**

### *The Conference of the Parties*

1. *Welcomes* the institutions newly nominated in accordance with decision SC-3/12 to become Stockholm Convention centres;

2. *Takes note* of the Secretariat's report on the activities of the Stockholm Convention on Persistent Organic Pollutants regional and subregional centres for capacity-building and the transfer of technology and the nominated Stockholm Convention centres;<sup>41</sup>

3. *Welcomes* the joint proposal on the specific areas of expertise of and the network established by the Stockholm Convention regional centres in Latin America and the Caribbean, set out in annexes II and III to the present decision, and encourages those centres to continue to strengthen cooperation and coordination between them;

4. *Takes note* of the workplans and activity reports submitted by the Stockholm Convention regional and subregional centres for capacity-building and the transfer of technology and the nominated Stockholm Convention centres<sup>42</sup> and expresses concern that some nominated centres have reported low levels of activity;

5. *Requests* the Stockholm Convention regional and subregional centres for capacity-building and the transfer of technology to submit the following to the Secretariat for consideration by the Conference of the Parties at its sixth meeting:

- (a) Workplans for the biennium 2012–2013 by 30 September 2011;
- (b) Activity reports for the period January 2011–December 2012 by 31 December 2012;

6. *Reminds* the Stockholm Convention regional and subregional centres for capacity-building and the transfer of technology listed in annex I to decision SC-4/23 that the Conference of the Parties at its sixth meeting will evaluate the performance and sustainability of those centres as part of the reconsideration of their status as regional and subregional centres for capacity-building and the transfer of technology, in accordance with the criteria set out in annex II to decision SC-2/9;

7. *Requests* the Secretariat to develop a methodology for evaluating the regional centres based on the criteria set out in annex II to decision SC-2/9, which should include a quantitative analysis to be used in the evaluation of the performance and sustainability of each centre to be undertaken every four years;

8. *Endorses* the nominated Stockholm Convention centres listed in annex I to the present decision as Stockholm Convention regional or subregional centres for capacity-building and the transfer of technology, in accordance with the annex to decision SC-3/12, for a period of four years;

9. *Decides* to evaluate, in accordance with the criteria set out in annex II to decision SC-2/9, the performance and sustainability of the centres listed in annex I to the present decision and

41 UNEP/POPS/COP.5/21.

42 UNEP/POPS/COP.5/INF/37 and on the Stockholm Convention website.

to reconsider their status as regional or subregional centres under the Convention at its seventh meeting;

10. *Requests* the Secretariat to prepare a report on the activities of the Stockholm Convention regional and subregional centres for capacity-building and the transfer of technology and the nominated Stockholm Convention centres for consideration by the Conference of the Parties at its sixth meeting.

## Annex I to decision SC-5/21

### List of Stockholm Convention regional and subregional centres endorsed at the fifth meeting of the Conference of the Parties

<i>Region</i>	<i>Institution</i>	<i>Location</i>
<b>Africa</b>	National Centre for Cleaner Technologies Production (NCCTP)	Algiers, Algeria
	Basel Convention Regional Centre for French-speaking countries in Africa (BCRC Senegal)	Dakar, Senegal
	International Centre for Insect Physiology and Ecology (ICIPE)	Nairobi, Kenya
	Africa Institute for the Environmentally Sound Management of Hazardous and Other Wastes (AIMHW)	Pretoria, South Africa
<b>Asia and the Pacific</b>	Basel Convention Regional Centre	Tehran, Islamic Republic of Iran
	National Environmental Engineering Research Institute (NEERI)	Nagpur, India
<b>Central and Eastern Europe</b>	Autonomous Non-Profit Organization – Centre for International Projects (ANO-CIP) <sup>43</sup>	Moscow, Russian Federation

<sup>43</sup> The endorsement of this centre will enter into effect upon the deposit of the instrument of ratification, acceptance, approval or accession by the Russian Federation.

## Annex II to decision SC-5/21

### Joint proposal on the specific areas of expertise submitted by the Stockholm Convention regional centres in Latin America and the Caribbean

Areas of expertise	Stockholm Convention regional centres			
	CETESB Brazil	CIIMET Panama	CENICA Mexico	SCRC Uruguay
Training for decision makers, managers and responsible personnel in:				
Persistent organic pollutant identification	Yes	No	Yes	Yes
Technical assistance needs identification	No	Yes	Yes	No
Project proposal writing	No	Yes	Yes	Yes
Legislation development and enforcement	Yes	Yes	Yes	No
Development of inventories of persistent organic pollutants	No	Yes	Yes	No
Risk assessment and management in respect of polychlorinated biphenyls and PCDD/PCDF	Yes	Yes	Yes	Yes
Globally Harmonized System of Classification and Labelling of Chemicals and material safety data sheets	No	No	No	Yes
Evaluation of social and economic impacts	Yes	No	Yes	No
Development of pollutant release and transfer registers	No	No	Yes	No
Development and establishment of laboratory capacity, including the promotion of standard sampling and analysis procedures for validation of inventories	Yes (solid waste )	No	Yes	Yes
Identification and remediation of sites contaminated by persistent organic pollutants	Yes	No	Yes	Yes
Effectiveness evaluation, including monitoring of levels of persistent organic pollutants	Yes (environmental and milk samples)	No	Yes	Yes
Identification and disposal of persistent organic pollutant wastes, including transfer of environmentally sound technologies for the destruction of such wastes	Yes	No	No	Yes
Development and updating of a list of technologies that are available to be transferred to eligible parties through regional and subregional centres	Yes	No	No	No
Development, implementation and enforcement of regulatory controls and incentives for the sound management of persistent organic pollutants	No	Yes	No	No
Identification and promotion of best available techniques and best environmental practices	No	No	No	Yes
Identification of obstacles and barriers to the transfer of technology and their solutions	No	No	No	No
Development and strengthening of research capacity at the national, subregional and regional levels, including:				
· Development and introduction of alternatives to persistent organic pollutants, with special emphasis on reducing the need for specific exemptions;	No	No	Yes	No
· Training of technical personnel	No	Yes	Yes	No
Review of available infrastructure, capacity and institutions at the national and local levels and the potential to strengthen them	No	Yes	No	No
Promotion of awareness-raising and information dissemination	No	Yes	No	No

Areas of expertise	Stockholm Convention regional centres			
	CETESB Brazil	CIIMET Panama	CENICA Mexico	SCRC Uruguay
programmes, including awareness-raising among the general public, of issues related to the Convention				
Development, updating and implementation of national implementation plans	No	Yes	No	No

This table reflects the knowledge that could be transferred to parties at the present time and will be updated continuously.

### Annex III to decision SC-5/21<sup>44</sup>

#### Network established by the Stockholm Convention regional centres in Latin America and the Caribbean

Representatives of the regional centers of the Stockholm Convention of Brazil, Mexico, Panama and Uruguay and their host Countries, agree on the following:

1. Regional Centers, in line with the objectives of their creation, will make every effort to work in a coordinated, transparent, clear and objective manner in assisting the countries of the region, taking into account their needs and providing them with the necessary services for the implementation of the Convention.
2. To establish a network of Stockholm Convention Regional Centers with the aim of developing a coordinated joint action to strengthen and enhance the implementation of the Convention in the countries of the Latin American and Caribbean region. In addition, this network considers the overall process of cooperation and coordination established by the Basel, Stockholm and Rotterdam Conventions.
3. The Network of the Stockholm Convention Regional Centers for Latin America and the Caribbean is the coordinated and cooperative method in which the centers:
  - (a) Undertake work in a systematic and organized manner, in a spirit of communication and mutual support among members;
  - (b) Establish the role of a Coordinator of the Network and designate the regional center in Brazil to assume the coordination at this moment. This function will be exercised on a rotating basis, with a year duration;
  - (c) Work together in a coordinated manner on issues of common interest in order to assist all countries of the region within the network's framework;
  - (d) Endeavour to hold regular meetings face-to-face or through forums among the centers and the countries that they serve. It is the role of the Coordinator to convene these meetings;
  - (e) Identify "friends and partners" of the Centers and strive to seek closer ties with them, including regional centers of other Conventions located in Latin America and the Caribbean.

#### SC-5/22: Needs assessment

##### *The Conference of the Parties*

1. Takes note of the report by the Secretariat on information regarding the availability of financial resources additional to those provided through the Global Environment Facility and ways and means of mobilizing and channelling those resources in support of the objectives of the Stockholm Convention on Persistent Organic Pollutants over the period 2015–2019;<sup>45</sup>

44 The annex has been reproduced without formal editing.

45 UNEP/POPS/COP.5/22, annex I.

2. *Takes note* of the information provided by developed-country parties, other parties and other sources, including relevant funding institutions and the private sector, on ways in which they can support the Convention;<sup>46</sup>

3. *Invites*, in accordance with paragraphs 2 and 3 of Article 13 of the Convention, developed-country parties, other parties and other sources, including relevant funding institutions and the private sector, to provide, by 31 December 2011, further information to the Secretariat on ways in which they can support the Convention;

4. *Requests* the Secretariat to prepare a report, on the basis of the information to be provided pursuant to paragraph 3 above, reviewing the availability of financial resources additional to those provided through the Global Environment Facility and ways and means of mobilizing and channelling those resources in support of the objectives of the Convention, as requested by the Conference of Plenipotentiaries on the Stockholm Convention on Persistent Organic Pollutants in its resolution 2, for consideration by the Conference of the Parties at its sixth meeting;

5. *Adopts* the terms of reference for the assessment of the funding needed by developing-country parties and parties with economies in transition to implement the Convention over the period 2015–2019 set forth in annex I to the present decision;

6. *Invites* parties and others to provide the relevant information required to undertake the assessment of funding needs mentioned in the preceding paragraph for consideration by the Conference of the Parties at its sixth meeting;

7. *Decides* to undertake the assessment of funding needs every four years starting at the sixth meeting of the Conference of the Parties as an input of the Conference of the Parties to the negotiations on the replenishment of the Trust Fund of the Global Environment Facility;

8. *Adopts* the format for facilitating parties' assessment of and reporting on the funding used during the period 2010–2014 and their funding needs for 2015–2019, and the guidance relevant for using the format by parties, set forth in annex II to the present decision;

9. *Requests* parties to use the format set forth in table 2 of annex II to the present decision in developing new or amending existing implementation plans and in assessing and reporting on the resources used during the period 2010–2014 and the funding needed for 2015–2019 for the implementation of the Convention as set forth in paragraph 6 of the present decision;

10. *Also requests* parties to include executive summaries, identifying critical substantive and financial issues pertinent to their national implementation plans, in their submissions on funding needs;

11. *Requests* the Secretariat:

(a) To make available to all parties the general guidance set forth in Annex III to the present decision, including on such matters as determining baselines and incremental resource estimates, and guidance on matching funds and other sources of voluntary funding;

(b) To prepare a summary of key elements contained in the guidance referred to in subparagraph (a) above, with a view to facilitating the assessment of funding needed by developing-country parties and parties with economies in transition to implement the Convention;

(c) To develop an information collection form and guidance on how to complete the form to be used by parties when compiling information as an input to the format set forth in table 2 of annex II to the present decision;

(d) To provide assistance to parties, upon request, to facilitate their assessment of the resources they used during the period 2010–2014 and the funding they need to implement the Convention during the period 2015–2019;

12. *Invites* parties, the Global Environment Facility and relevant international and non-governmental organizations to provide information to the Secretariat on their views of and experiences in applying the methodology used to undertake the needs assessment, including information on priority setting in national implementation plans as appropriate, for the continuous improvement of the methodology;

13. *Takes note* of the increasing number of national implementation plans submitted by parties and the obligation of those parties for whom the amendments for the nine newly listed persistent organic pollutants have entered into force to update their national implementation plans;

14. *Requests* that the needs assessment should include updated information for the period 2010-2014, where available, and that any updated information should be used as input to the third review of the financial mechanism;

15. *Underlines* that continuing needs identified in previous assessments of baselines and the agreed full incremental costs of developing-country parties and parties with economies in transition to implement the Convention should be included in the 2015–2019 needs assessment.

## **Annex I to decision SC-5/22**

### **Terms of reference for the assessment of funding needed by developing-country parties and parties with economies in transition to implement the Convention over the period 2015–2019**

#### **A. Objectives**

1. The objectives of the work to be carried out under the present terms of reference are:

(a) To enable the Conference of the Parties to provide to the principal entity entrusted with the operation of the financial mechanism referred to in Article 13 of the Convention and to other entities, should they be so entrusted, at periodic intervals, assessments of the total funding, which consists of funding for baseline and agreed full incremental costs, needed by parties eligible for assistance from the financial mechanism to facilitate their effective implementation of the Convention;

(b) To provide the principal entity and any other entities with a framework and modalities for the determination in a predictable and identifiable manner of the funding necessary and available for the implementation of the Convention by parties eligible for assistance from the financial mechanism.

#### **B. Methodology**

2. Pursuant to the objectives in paragraph 1 above, the work to be carried out under the present terms of reference will be facilitated and coordinated by the Secretariat with a view to enabling a team of up to three independent experts to undertake, over a period of up to three months, a full assessment of the funding necessary and available for the implementation of the Convention for the period 2015–2019, based, among other things, on the experience with and lessons learned from the methodology and on available data gained from the preliminary assessments of funding needs for the periods 2006–2010<sup>47</sup> and 2010–2014,<sup>48</sup> for consideration by the Conference of the Parties at its sixth meeting.

3. The assessment will include an estimation of baseline and agreed full incremental costs of activities described primarily in national implementation plans and required to implement parties' obligations under the Convention.

4. The methodology for assessing the funding necessary and available for the implementation of the Convention shall be transparent, reliable and replicable.

#### **C. Execution and sources of information**

5. In developing the assessment of funding needs, the work will draw primarily upon information provided by parties in the national implementation plans submitted pursuant to Article 7 and reports submitted by parties pursuant to Article 15 of the Convention.

6. Relevant supplementary information, where available, will be drawn from the Secretariat and from:

47 See the terms of reference set forth in the annex to decision SC-2/12.

48 See the terms of reference set forth in the annex to decision SC-3/15.

(a) Parties, which are requested to provide information on funding needs associated with implementation of the Convention using the format and guidance set forth in Annex II of decision SC-5/22 and any other information on their experiences in implementing the Convention;

(b) The Global Environment Facility, which, as the principal entity entrusted with the operation of the financial mechanism on an interim basis, is invited to provide information gathered through its operations relevant to the assistance needs of eligible parties;

(c) Other international financial institutions that provide bilateral or multilateral financial or technical assistance pursuant to paragraph 6 of Article 13 of the Convention, which are invited to provide information on such assistance, including the levels of such assistance;

(d) Intergovernmental organizations, non-governmental organizations and other stakeholders, which are invited to provide information relating to the needs assessment;

(e) Secretariats of other multilateral environmental agreements, which are invited to provide information relevant to modalities for conducting similar needs assessments in connection with their agreements.

#### **D. Scope**

7. The assessment of the funding necessary and available for the implementation of the Convention should be comprehensive and primarily directed towards assessing total funding needs, with a view to identifying funding needed for baseline and agreed full incremental costs to enable all parties to fulfil their obligations under the Convention.

#### **E. Process**

8. The information identified above should be provided to the Secretariat by 30 September 2012. Any future updating of this information will be decided by the Conference of the Parties.

9. Based on the information that it receives from the Secretariat, the team of experts referred to in paragraph 2 above will prepare a report on the assessment of the funding necessary and available for the implementation of the Convention for the period 2015–2019 and for all needs as identified in paragraph 15 of decision SC-5/22 by developing-country parties and parties with economies in transition and transmit it to the Secretariat.

10. The Secretariat should present the report to the Conference of the Parties at its sixth meeting for its consideration and subsequent action, including for the purpose of informing the replenishment process of the Global Environment Facility.

## Annex II to decision SC-5/22

### Format to facilitate parties' assessment of and reporting on the funding used during the period 2010–2014 and their funding needs for 2015–2019, and guidance relevant to its use by parties

#### Introduction

1. At its fourth meeting, the Conference of the Parties to the Stockholm Convention considered a report<sup>49</sup> prepared by three experts who sought to assess the funding needed by developing-country parties and parties with economies in transition to implement the provisions of the Convention over the period 2010–2014 (hereinafter, the “needs assessment report”). After discussing the matter, the parties adopted decision SC-4/24, in which, among other things, the Secretariat was requested to develop a simple and consistent format that would facilitate parties' assessment of and reporting on the funding used during the period 2010–2014 and the funding needed to implement the Convention during the period 2015–2019, based on the recommendations included in the needs assessment report.

#### A. Background

2. The needs assessment report was based on a review of the 67 national implementation plans that had been submitted up to December 2008 by parties pursuant to Article 7 and an analysis of the planned activities as well as the associated resources identified in each plan. The implementation plan of each party was assessed to determine the party's proposed actions, the time periods involved and the estimated resources required to implement all the components of the plan for 2004–2009, 2010–2014, 2015 and subsequent years.

3. Several difficulties were encountered in conducting the needs assessment:

(a) Parties did not follow a common approach in developing their plans or in identifying resources associated with planned activities. They tended to use one of the following two general approaches in preparing their implementation plans:

(i) They identified programmes, projects and resource estimates according to the provisions of the Convention (listed in table 1);

Table 1  
Stockholm Convention provisions

<i>Article</i>	<i>Provision</i>
3 and 4	Intentionally produced persistent organic pollutants
5	Unintentionally produced persistent organic pollutants
6	Management of stockpiles and wastes
6.1(e)	Contaminated sites
7	Implementation plans
8	Listing of new chemicals in Annexes A, B and C
9	Information exchange
10	Public information, awareness and education
11	Research, development and monitoring
12	Technical assistance
13	Financial assistance
15	Reporting
16	Effectiveness evaluation

(ii) They developed discrete action plans for specific persistent organic pollutant issues<sup>50</sup> (e.g., pesticide persistent organic pollutants, polychlorinated biphenyls,

49 UNEP/POPS/COP.4/27, annex.

50 The latter approach was consistent with proposals set out in the Secretariat's guidance for developing a national implementation plan for the Convention.



DDT, unintentionally produced persistent organic pollutants and contaminated sites), which took into account the provisions of the Convention that were relevant to each issue;

- (b) Plans varied considerably in content, detail and duration:
  - (i) Parties proposed to implement activities over periods ranging from 3 to 25 years, with 2004 being the earliest start date and 2031 being the latest completion date;
  - (ii) Plans submitted shortly after the Convention entered into force in May 2004 appeared to be a first step in implementing the Convention, frequently including activities over a period of between three and five years;
  - (iii) Plans submitted more recently tended to be more comprehensive in nature and included a wide range of near-term and long-term activities spanning periods of 20 years or more;
- (c) In many cases, the plans did not distinguish between the costs and funding needs that parties identified for activities that were required under the Convention or were necessary for the implementation of the Convention and activities that were not directly related to the implementation of the Convention;
- (d) Many plans included several activities under a single broad heading, with only one cost figure assigned for all activities within that heading; in such cases individual costing could not be assessed for the included specific activities or for the five-year periods of interest;
- (e) The scope of the plans varied significantly, with some being 300 pages or more in length, and in many cases it was difficult to locate the critical parameters needed to determine the resource estimates associated with planned activities;
- (f) Only a few parties separated their total needed resources into baseline and incremental categories.<sup>51</sup>

4. During the conduct of the needs assessment it was observed that, while the level and quality of technical detail in the submitted implementation plans were, in general, quite high, the lack of a simple and consistent format for reporting financial resource requirements resulted in a wide variety of methodologies being used by parties to determine estimated costs for the activities described in their plans. The result was a wide range of cost estimates among different countries for what appeared to be somewhat similar activities, even in cases in which the countries had comparable levels of population and industrial development. Furthermore, most of the plans did not show the resources that would be required for the periods of interest (2010–2014 and 2015–2019), which correspond to the Global Environment Facility replenishment periods.

5. The needs assessment report recommended that:

- (a) A simple and consistent financial data reporting format should be developed as soon as possible to guide parties in developing resource estimates in their implementation plans;
- (b) Guidance should be adopted to assist parties in developing resource demands for each specified activity in implementation plans;
- (c) Guidance should be developed for use by parties in determining baseline and incremental resource estimates;
- (d) Given the length and complexity of implementation plans, each plan should include an executive summary containing critical substantive and financial information in an agreed format that would enable future needs assessments to be based on comparable data from all parties.

While the present proposal responds directly to the recommendation in paragraph 5 (a) above, it may also be useful in responding to the recommendations in paragraphs 5 (b)–(d).

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<sup>51</sup> The term “baseline” refers to the resources that were identified as available at the national level for implementation of the plan; the term “incremental” refers to the resources that would be requested from other sources (e.g., the Global Environment Facility) for the implementation of the plan.

Table 2  
**Proposed format for reporting funding needs associated with implementation of the Convention**

Article	Nature of provision		Resources used in 2010–2014 (United States dollars)			Resources needed for 2015–2019 (United States dollars)			Grand total
			Baseline	Incremental	Total	Baseline	Incremental	Total	
3 and 4	Intentionally produced persistent organic pollutants	Pesticides	Annex A						
			Annex B						
		Industrial chemicals	Annex A						
			Annex B						
5	Unintentionally produced persistent organic pollutants	Annex C							
6	Stockpiles and wastes								
6.1 (e)	Contaminated sites								
7	Implementation plans								
8	Listing of new chemicals in Annexes A, B and C								
9	Information exchange								
10	Public information, awareness and education								
11	Research, development and monitoring								
12	Technical assistance								
13	Financial assistance								
15	Reporting								
16	Effectiveness evaluation								
<b>Total</b>									

6. Table 2 includes a detailed list of the operative provisions of the Convention, which closely corresponds to the approach used by parties in submitting their reports under Article 15. If each party were to provide resource information in this format for each provision for the periods 2010–2014 and 2015–2019, it would link the resources needed to the results reported by each Party for each provision of the Convention.
7. Furthermore, the information from individual parties could then be compiled to provide totals for all parties and the availability of both individual and overall resource requirements in this format would inform planning and decision-making by the Conference of the Parties and the Convention's financial mechanism.
8. As described in paragraph 3 (a) above, most parties followed one of two basic approaches in preparing their implementation plans, i.e., they included:
- (a) Programmes, projects and resource estimates aligned with the provisions of the Convention; or
  - (b) Discrete action plans for specific persistent organic pollutant issues, each of which included resource estimates and took into account relevant provisions of the Convention.
9. Slightly different methods could be used by parties to identify their resource requirements in the format of table 2, depending on which of the two basic approaches described in paragraph 3 (a) were used in developing their implementation plans.
10. Table 3 lists all the persistent organic pollutants controlled under the Convention, highlighting in boldface the nine persistent organic pollutants that were added at the fourth meeting of the Conference of the Parties. It is organized as follows:
- (a) The intentionally produced persistent organic pollutants controlled under the Convention are categorized as "pesticides" and "industrial chemicals" and the persistent organic pollutants within each group are further separated based on whether they are intended for elimination (Annex A) or restriction (Annex B). Many parties have developed plans that reflect that they have different legislation and programmes for pesticides and industrial chemicals and that they have proposed separate activities to meet Convention obligations for each group;
  - (b) For the unintentionally produced persistent organic pollutants, most parties identified measures and resource requirements for dioxins and furans.

Table 3  
**Persistent organic pollutants listed in Annexes A, B and C**

Article	Nature of provision			
3 and 4	Intentionally produced persistent organic pollutants	Pesticides	Annex A	Aldrin
				<b>Alpha hexachlorocyclohexane*</b>
				<b>Beta hexachlorocyclohexane*</b>
				Chlordane
				<b>Chlordecone*</b>
				Dieldrin
				Endrin
				Heptachlor
				Hexachlorobenzene
				<b>Lindane*</b>
				Mirex
		<b>Pentachlorobenzene*</b>		
		Toxaphene		
			Annex B	DDT
		Industrial chemicals	Annex A	<b>Hexabromobiphenyl *</b>
				<b>Hexabromodiphenyl ether and heptabromodiphenyl ether*</b>
				Hexachlorobenzene
<b>Pentachlorobenzene*</b>				
Polychlorinated biphenyls				
<b>Tetrabromodiphenyl ether and pentabromodiphenyl ether*</b>				
Annex B	<b>PFOS, its salts and PFOSE*</b>			
5	Unintentionally produced persistent organic pollutants	Annex C	Dioxins	
			Furans	
			Hexachlorobenzene	
			<b>Pentachlorobenzene*</b>	
			Polychlorinated biphenyls	
* As amended at the fourth meeting by decisions of the Conference of the Parties, which entered into force for some parties on 26 August 2010.				

11. All current implementation plans were developed to implement the measures included in the Convention upon its entry into force on 17 May 2004. Thus, the resources associated with current implementation plans are insufficient for the activities that will be needed to implement the new measures that entered into force, for some parties, on 26 August 2010 for the nine newly listed persistent organic pollutants. Such new measures have generated new obligations on parties for which these amendments have entered into force and will probably result in the preparation of modified or updated implementation plans and in the identification of new resources needed to implement such new measures. As these parties need to develop plans for implementing provisions for these nine persistent organic pollutants, there is an opportunity to identify the resource requirements in a common and systematic format during the development of these plans.

## B. Approach A: implementation plans that align with Convention provisions

12. Each party that has developed an implementation plan that is aligned with the provisions of the Convention would need to determine the baseline and incremental costs for each respective provision for the two five-year periods of interest.

13. For Articles 3–6, this analysis should be straightforward, regardless of whether a party's plan has identified the resources needed to implement measures for a specific intentionally produced persistent organic pollutant (e.g., aldrin or DDT) or for a group of persistent organic pollutants (e.g., all the pesticides listed in Annex A or all the persistent organic pollutants listed in Annex C).

### **C. Approach B: implementation plans that deal with specific persistent organic pollutants issues**

14. For those parties that have developed implementation plans that include discrete action plans for discrete specific persistent organic pollutant issues, the use of the proposed format would require parties:

- (a) To identify the baseline and incremental costs for each issue for each of the two five-year periods of interest;
- (b) To determine the baseline and incremental costs for each respective provision for the two five-year periods of interest.

15. For example, a party could allocate resources for action plans:

- (a) To eliminate the use and releases of polychlorinated biphenyls under:
  - (i) Article 3, if the emphasis of the plan is on regulatory and administrative measures to eliminate polychlorinated biphenyls;
  - (ii) Article 6, if the emphasis of the plan is on the phase-out and destruction of polychlorinated biphenyls or the identification of contaminated sites; or
  - (iii) Articles 3 and 6, if both types of measures will be involved;
- (b) To deal with all aspects of persistent organic pollutant pesticides under:
  - (i) Article 3, if the emphasis of the plan is on regulatory and administrative measures to restrict or eliminate the pesticides;
  - (ii) Article 6, if the emphasis of the plan is on the disposal of obsolete stocks of pesticides or the identification of contaminated sites; or
  - (iii) Articles 3 and 6, if both types of measures will be involved;
- (c) To deal with all aspects of measures for unintentionally produced persistent organic pollutants under:
  - (i) Article 5, if the emphasis of the plan is on regulatory and administrative measures to restrict or eliminate releases to the environment;
  - (ii) Article 6, if the emphasis of the plan is on the identification of contaminated sites; or
  - (iii) Articles 5 and 6, if both types of measures will be involved.

## **Annex III to decision SC-5/22**

### **List of guidance documents pertaining to the assessment of funding needs**

- Step-by-step companion guide to the review and updating of the national implementation plans – 2011, April 2011
- Draft guidance on calculation of action plan costs, including incremental costs and action plans for specific persistent organic pollutants, as adopted by decision SC-4/9
- Guidance for developing a national implementation plan for the Stockholm Convention, as adopted by decision SC-1/12
- Draft guidance on socio-economic assessment for national implementation plan development and implementation under the Stockholm Convention, as noted in decision SC-4/9

## SC-5/23: Additional guidance to the financial mechanism

### *The Conference of the Parties*

1. *Requests* the Secretariat to prepare consolidated guidance to the financial mechanism of the Stockholm Convention on Persistent Organic Pollutants for consideration by the Conference of the Parties at its sixth meeting;
2. *Decides* to update the consolidated guidance every four years starting from the sixth meeting of the Conference of the Parties as an input of the Conference of the Parties to the negotiations on the replenishment of the Trust Fund of the Global Environment Facility;
3. *Requests* the financial mechanism of the Convention and invites parties and observers and other financial institutions in a position to do so to provide financial support for country-driven training and capacity-building activities related to activities of the polychlorinated biphenyls elimination network;
4. *Also requests* the financial mechanism of the Convention to support activities in respect of the newly listed chemicals and invites other international financial institutions to do so;
5. *Recognizes* that financial and technical support is required to facilitate the replacement of the use of endosulfan in developing countries;
6. *Requests* the financial mechanism of the Convention to provide funding to parties to enable them to implement best available techniques and best environmental practices to support the reduction or elimination of unintentional releases of persistent organic pollutants;
7. *Also requests* the financial mechanism of the Convention and invites parties and observers and other financial institutions in a position to do so to provide financial support to enable regional centres to implement their work plans;
8. *Further requests* the financial mechanism of the Convention and invites other donors to provide financial support to permit further step-by-step capacity enhancement, including through strategic partnerships, to enable the collection of data on all indicators stipulated in the effectiveness evaluation framework set out in the annex to the note by the Secretariat on effectiveness evaluation;<sup>52</sup>
9. *Requests* the financial mechanism of the Convention and invites other donors to provide financial support to permit further step-by-step capacity enhancement, including through strategic partnerships, to sustain the new monitoring initiatives, which provided data for the first monitoring report;
10. *Also requests* the financial mechanism of the Convention, when providing financial support, to give priority to countries that have not yet received funding for the implementation of activities contained in their national implementation plans;
11. *Encourages* the Global Environment Facility and parties in a position to do so to provide funds necessary to facilitate the technical assistance and technology transfer to be provided to developing-country parties and parties with economies in transition;
12. *Requests* the financial mechanism of the Convention and invites parties and observers and other financial institutions in a position to do so to provide financial support to the development and deployment of products, methods and strategies as alternatives to DDT.

## SC-5/24: Effectiveness of the implementation of the memorandum of understanding between the Conference of the Parties and the Council of the Global Environment Facility

### *The Conference of the Parties*

1. *Takes note* of the report of the Secretariat on the effectiveness of the implementation of the memorandum of understanding between the Conference of the Parties and the Council of the Global Environment Facility;<sup>53</sup>

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52 UNEP/POPS/COP.5/31.

53 UNEP/POPS/COP.5/23.

2. *Welcomes* the report of the Global Environment Facility to the Conference of the Parties at its fifth meeting;<sup>54</sup>
3. *Recalls* that the Council of the Global Environment Facility is to provide regular reports to the Conference of the Parties, including information pursuant to paragraph 9 (d) of the memorandum of understanding between the Conference of the Parties and the Council of the Global Environment Facility;
4. *Welcomes* the continuing cooperation between the Secretariat of the Stockholm Convention and the Secretariat of the Global Environment Facility;
5. *Requests* the Secretariat, in consultation with the Secretariat of the Global Environment Facility, to prepare a report on the effectiveness of the implementation of the memorandum of understanding between the Conference of the Parties and the Council of the Global Environment Facility for consideration by the Conference of the Parties at its sixth meeting.

## **SC-5/25: Review of the financial mechanism**

### *The Conference of the Parties*

1. *Adopts* the terms of reference for the third review of the financial mechanism set out in the annex to the present decision;
2. *Requests* the Secretariat to compile information relevant to the third review of the financial mechanism and submit it to the Conference of the Parties for consideration at its sixth meeting.

## **Annex to decision SC-5/25**

### **Terms of reference for the third review of the financial mechanism**

#### **Objective**

1. Pursuant to paragraph 8 of Article 13 of the Stockholm Convention, the Conference of the Parties will review the effectiveness of the financial mechanism established under Article 13 in supporting the implementation of the Convention, with a view to taking appropriate action, if necessary, to improve the effectiveness of the financial mechanism, including by means of recommendations and guidance to ensure adequate and sustainable funding. For this purpose, the review will include an analysis of:
  - (a) The financial mechanism's ability to address the changing needs of developing-country parties and parties with economies in transition;
  - (b) The criteria and guidance referred to in paragraph 7 of Article 13 of the Convention, including the financial mechanism's ability to incorporate policy guidance from the Conference of the Parties;
  - (c) The level of funding;
  - (d) The effectiveness of the performance of the institutional entities entrusted with the operation of the financial mechanism, including, pursuant to Article 14 of the Convention, the effectiveness of the performance of the Global Environment Facility (GEF) in its capacity as principal entity entrusted, on an interim basis, with the operation of the financial mechanism.

#### **Methodology**

2. The review will cover the activities of the financial mechanism for the period from November 2008 to July 2012, with special emphasis on those activities concluded during the same period.
3. The review will draw on, among other things, the following sources of information:
  - (a) Information provided by parties on their experiences gained through activities funded by the financial mechanism;

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54 UNEP/POPS/COP.5/24, annex.

- (b) Periodic reviews by the Conference of the Parties of the conformity of the activities of the financial mechanism with the guidance<sup>55</sup> provided to it;
  - (c) Reports submitted to the Conference of the Parties by the entity or entities entrusted with the operation of the financial mechanism;<sup>56</sup>
  - (d) Other reports provided by the entity or entities entrusted with the operation of the financial mechanism, including, among other things, the reports of the GEF Evaluation Office;
  - (e) Reports and information provided by other relevant entities providing multilateral, regional and bilateral financial and technical assistance pursuant to paragraph 6 of Article 13 of the Convention;
  - (f) Reports submitted by parties pursuant to Article 15 of the Convention;
  - (g) Relevant information provided by intergovernmental and non-governmental organizations.
4. The entities entrusted with the operation of the financial mechanism are requested to provide to the Secretariat information relevant to this review in a timely manner.
5. Parties are encouraged to submit to the Secretariat information pursuant to paragraph 3 (a) above as soon as possible and not later than 30 November 2012.
6. Intergovernmental and non-governmental organizations are requested to provide to the Secretariat relevant information pursuant to the objectives of the present review, as soon as possible and no later than 30 November 2012.
7. In keeping with these terms of reference, the Secretariat will:
- (a) Make adequate arrangements to ensure that the third review of the financial mechanism is undertaken in an independent and transparent manner;
  - (b) Hire a consultant to prepare a draft report on the review;
  - (c) Submit the draft report on the review to the Conference of the Parties for consideration at its sixth meeting.

## Report

8. The report on the third review will include the following elements:
- (a) Overview of elements (a)–(d) of paragraph 1 above;
  - (b) Analysis of lessons learned from the activities funded by the financial mechanism during the period covered by the review;
  - (c) Assessment of the GEF principles of incremental cost and global environmental benefits as they pertain to activities relating to persistent organic pollutants in order to facilitate fulfilment of obligations under the Convention, along with lessons learned from the evaluation reports on GEF activities;
  - (d) Assessment of the adequacy, sustainability and predictability of the funding provided by the financial mechanism to implement the objectives of the Convention;
  - (e) Recommendations and guidance to improve the effectiveness of the financial mechanism in meeting the objectives of the Convention;
  - (f) Performance criteria set out in paragraph 10 below.
9. The Secretariat will submit the above-mentioned report to the Conference of the Parties for consideration at its sixth meeting. The report will be deemed an official document of the Conference of the Parties.

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<sup>55</sup> Pursuant to paragraph 7 of Article 13, the Conference of the Parties adopted guidance to the financial mechanism by its decision SC-1/9.

<sup>56</sup> See paragraphs 14 and 15 of the draft memorandum of understanding between the GEF Council and the Conference of the Parties to the Stockholm Convention (UNEP/POPS/COP.1/19).



## Performance criteria

10. The effectiveness of the financial mechanism will be assessed taking into account, among other things:
- (a) Responsiveness of the financial mechanism and the entities entrusted with its operation to guidance from the Conference of the Parties;
  - (b) Responsiveness of GEF, in its capacity as principal entity entrusted with the operation of the financial mechanism on an interim basis, to the resolutions adopted on 22 May 2001 by the Conference of Plenipotentiaries relating to interim financial arrangements;<sup>57</sup>
  - (c) Transparency of the project approval process;
  - (d) Procedures for accessing funds that are simple, flexible and expeditious;
  - (e) Adequacy and sustainability of the resources;
  - (f) Country ownership of activities funded by the financial mechanism;
  - (g) Level of stakeholder involvement;
  - (h) Any other significant issues raised by the parties.

## SC-5/26: Facilitating work with regard to financial resources and mechanisms

### *The Conference of the Parties*

1. *Recognizes* the importance of the need to improve the efficiency of the work of the Conference of the Parties with regard to financial resources and mechanisms;
2. *Recalls* decision SC-4/29 on facilitating work with regard to financial resources and mechanisms;
3. *Decides* to continue the discussion on exploring options for facilitating work with regard to financial resources and mechanisms, including the option of a financial mechanism committee;
4. *Requests* the Executive Secretary to undertake consultations with the Bureau of the Conference of the Parties with the objective of supporting discussions on finance-related issues during regular meetings of the Conference of the Parties;
5. *Recalls* that the consultative process on financing options on chemicals and wastes was first announced by the Executive Director at the fourth meeting of the Conference of the Parties to the Stockholm Convention on Persistent Organic Pollutants, held in Geneva in May 2009;
6. *Requests* the Executive Secretary to take into account the outcomes of the process referred to in paragraph 5 above in his consultations on ways and means to improve the efficiency of the work of the Conference of the Parties with regard to financial resources and mechanisms.

## SC-5/27: Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions

### *The Conference of the Parties,*

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

*Recognizing* the broad scope of the three conventions,

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

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57 UNEP/POPS/CONF/4, appendix I.

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

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

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

*Mindful* of the various principles recognized within the three conventions, including pertinent provisions of the Rio Declaration on Environment and Development such as principle 7,<sup>58</sup>

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

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

1. *Adopts* the present decision, subject to the adoption of decisions that are in substance identical to the present decision by the conferences of the parties to the Basel and Rotterdam conventions and invites them to adopt those decisions;

## I

### Joint activities

2. *Takes note* of the information provided in the note by the Secretariat on joint activities<sup>59</sup> and its related information documents;<sup>60</sup>

3. *Also takes note* of the progress made in enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions;

4. *Approves* the proposed cross-cutting and joint activities for inclusion in the programmes of work of the secretariats of the Basel, Rotterdam and Stockholm conventions for 2012–2013 set out in annex I to the present decision;

5. *Requests* the secretariat to pursue further cooperation and coordination in respect of activities that are not listed in annex I but are included in the approved programme of work and budget for 2012–2013 and can be undertaken in a cost-neutral manner;

6. *Acknowledges* that joint activities should be aimed at strengthening the implementation of the Basel, Rotterdam and Stockholm conventions in a manner that results in no additional overall burden for parties, particularly developing-country parties and parties with economies in transition;

7. *Takes note* of the progress made by the secretariats of the Basel, Rotterdam and Stockholm conventions in the integration of their clearing-house mechanism functions and tools into a joint clearing-house mechanism to serve the three conventions;

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

59 UNEP/POPS/COP.5/32/Add.1.

60 UNEP/POPS/COP.5/INF/14–17, UNEP/POPS/COP.5/INF/46 and UNEP/POPS/COP.5/INF/49/Rev.1.

8. *Invites* the Meeting of the Parties to the Montreal Protocol on Substances that Deplete the Ozone Layer, considering its decision XX/7, to participate in and support partnership activities with the Basel, Rotterdam and Stockholm conventions and other multilateral environment agreements as outlined in the joint activities set out in annex I to the present decision;

9. *Invites* parties and others from the donor community in a position to do so to continue to support joint activities of the three conventions through voluntary contributions;

10. *Approves* the revised workplan of the clearing-house mechanism for the three conventions set out in annex III to the present decision;

11. *Acknowledges* that joint activities under the Basel, Rotterdam and Stockholm conventions should not result in the diversion of resources from activities otherwise necessary to implement the three conventions;

## II

### Joint managerial functions

12. *Welcomes* the establishment of the position of Executive Secretary of the Basel Convention, the Stockholm Convention and the United Nations Environment Programme part of the Rotterdam Convention and the successful completion of the recruitment process for that position;

13. *Expresses regret* that the Executive Secretary was not appointed with the urgency requested in paragraph 4 of section II of the omnibus decisions, which makes it difficult to complete the reorganization of the secretariats of the three conventions by 2011, as foreseen in paragraph 5 of section III of the omnibus decisions;

14. *Authorizes* the Executive Secretary to determine the staffing levels, numbers and structure of the secretariat in a flexible manner, provided that he remain within the ceiling established by decision SC-5/28 on financing and budget for the biennium 2012–2013;

15. *Requests* the Executive Secretary, by 31 December 2011 and in consultation with the parties to the Basel, Rotterdam and Stockholm conventions through the bureaux, to prepare a proposal for the organization of the secretariats of the three conventions, including staffing levels, numbers and structure, to be implemented by 31 December 2012;

16. *Reiterates* its request that the Executive Director of the United Nations Environment Programme, in consultation with the Director-General of the Food and Agriculture Organization and the Executive Secretary and taking into account the reports on the review<sup>61</sup> referred to in section VI of the present decision, develop, for consideration by the conferences of the parties to the three conventions in 2013, a full proposal for the organization of the secretariats of the Basel Convention, the Stockholm Convention and the United Nations Environment Programme part of the Rotterdam Convention, including the possible continuation of the Executive Secretary, that is cost-neutral in respect of the adopted operating budgets of the three conventions;

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

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

(a) Draft decisions on the review of arrangements adopted pursuant to the synergies decisions;

(b) The proposal for the organization of the secretariats referred to in paragraph 15 of the present decision;

(c) Draft proposals for joint activities for 2014–2015;

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<sup>61</sup> The review reports to be prepared by the secretariats of the three conventions and by the evaluation units of the United Nations Environment Programme and the Food and Agriculture Organization of the United Nations.

(d) Budget for joint activities and possible necessary amendments to the budget of the three conventions for the biennium 2014–2015;

(e) Outcome of the United Nations Environment Programme Executive Director's consultative process on financing options for chemicals and wastes;

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

### III

#### Joint services

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

21. *Approves* the proposal of the Executive Secretary for the interim organization of the secretariat consisting of the Joint Convention Services unit and three technical units to support the operations of the Basel Convention, the Stockholm Convention and the United Nations Environment Programme part of the Rotterdam Convention,<sup>62</sup>

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

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

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

### IV

#### Synchronization of budget cycles

25. *Welcomes* the information on the synchronization of the budget cycles of the three conventions in the note by the Secretariat on that subject;<sup>63</sup>

### V

#### Joint audits

26. *Takes note* of the information in the note by the Secretariat on the audit by the Office of Internal Oversight Services in 2011 of the strategic management of those multilateral environmental agreements for which the United Nations Environment Programme provides secretariat services, including the Basel, Rotterdam and Stockholm conventions;<sup>64</sup>

62 UNEP/POPS/COP.5/32/Add.2.

63 UNEP/POPS/COP.5/32/Add.4.

64 UNEP/POPS/COP.5/32/Add.5.

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

## **VI**

### **Review arrangements**

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

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

## **VII**

### **Final provisions**

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

## Annex I to decision SC-5/27

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

#### I. Technical assistance

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

<b>Title of activity</b>	<b>S2. Capacity-building programmes at the regional level</b>
<b>Mandate</b>	Synergies decisions (BC-IX/10, RC-4/11, SC-4/34).
<b>Objective</b>	Enhanced capacity of parties to implement the conventions at the national level
<b>Indicators of achievement</b>	<ol style="list-style-type: none"> <li>1. Number of parties that have participated in training activities;</li> <li>2. Number of project proposals developed that are consistent with the workplans of the three conventions;</li> <li>3. Number of parties that are able to identify potential donors or partners and negotiate funding for projects related to the three conventions;</li> <li>4. Number of regional experts that play a key role in the delivery of technical assistance and capacity development;</li> <li>5. Number of technical assistance requests answered in a timely manner.</li> </ol>

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

<b>Title of activity</b>	<b>S3. Support for sound chemicals and wastes management at the national level</b>
<b>Mandate</b>	Synergies decisions (BC-IX/10, RC-4/11, SC-4/34); Omnibus decisions (BC.Ex-1/1, RC.Ex-1/1, SC.Ex-1/1).
<b>Objective</b>	National institutional frameworks for the coordinated implementation of the three conventions, such as national action plans and strategies, are developed.
<b>Indicators of achievement</b>	<ol style="list-style-type: none"> <li>1. Number of countries that have developed updated comprehensive chemicals and wastes management strategies;</li> <li>2. Number of countries that have developed policy-enabling environments supporting sound chemicals and wastes management;</li> <li>3. Number of countries in which priority follow-up activities identified in the chemicals and wastes management strategies have been implemented;</li> <li>4. Number of parties benefiting from programmes facilitated or implemented through regional centres.</li> </ol>
<b>Short description of the activity</b>	Projects on the coordinated implementation of the Basel, Rotterdam and Stockholm conventions will be implemented at the national level. Activities will include close cooperation between the focal points of the three conventions and other major stakeholders to identify challenges to and gaps in the implementation of the conventions; to develop proposals for necessary technical and functional elements including priority activities; and to develop legal and administrative bases and supportive policy environments that allow the implementation of coordinated chemicals management programmes that take into consideration obligations under multilateral environmental agreements and make full use of the benefits of such agreements. National institutions will create, adopt, implement and sustain life-cycle-based chemicals management initiatives such as chemicals and wastes management strategies. The activity will also provide for assistance to national chemicals and wastes management committees in developing countries. Workshops will be organized to develop national action plans, strategies and institutional frameworks on chemicals and wastes management. Training will be provided to focal points and enforcement authorities of the three conventions.

<b>Expected outputs</b>	<ol style="list-style-type: none"> <li>1. Development of national chemicals and wastes management programmes, such as systems for the control of exports and imports of hazardous chemicals and wastes;</li> <li>2. Draft legislation and administrative regulations or plans for putting them in place are developed;</li> <li>3. Priority activities aimed at implementing the conventions are identified;</li> <li>4. Partnerships and coordination at the national level among key stakeholders in chemicals and wastes management, including designated national authorities, national focal points and official contact points, are developed;</li> <li>5. Capacity to manage chemicals and wastes by participating parties is improved;</li> <li>6. Capacity to implement the conventions is strengthened.</li> </ol>
<b>Method of implementation (internal or external)</b>	The three secretariats will collaborate closely and jointly coordinate and facilitate the development of national programmes to be implemented as appropriate through the Basel and Stockholm regional centres, countries and relevant partners.
<b>Partner(s)</b>	FAO, UNEP, the Strategic Approach, UNITAR, the World Health Organization, the World Customs Organization, Basel and Stockholm Convention regional centres, FAO and UNEP regional offices.

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

<b>Title of activity</b>	<b>S5. Working with regional liaison offices in Latin America and the Caribbean, Africa, Asia and Europe in collaboration with key partners</b>
<b>Mandate</b>	Omnibus decisions (BC.Ex-1/1, RC.Ex-1/1, SC.Ex-1/1).
<b>Objective</b>	Coordinated delivery of technical assistance and capacity-building programmes and activities at the regional level to support the implementation of the Basel, Rotterdam and Stockholm conventions.



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

## II. Scientific and technical activities

<b>Title of activity</b>	<b>S6. Support the work of and coordination between the scientific bodies of the conventions and identify common issues and linkages between the conventions</b>
<b>Mandate</b>	Synergies decisions (BC-IX/10, RC-4/11, SC-4/34); Omnibus decisions (BC.Ex-1/1, RC.Ex-1/1, SC.Ex-1/1).
<b>Objective</b>	<ol style="list-style-type: none"> <li>1. Technical and policy support are provided to the scientific bodies of the three conventions in a coordinated manner;</li> <li>2. Information exchange and cooperation on cross-cutting scientific, technical and policy issues are established;</li> <li>3. Opportunities for the technical and scientific bodies to network, communicate and exchange skills are provided;</li> <li>4. Reflection on the role and performance of the scientific bodies is facilitated.</li> </ol>
<b>Indicators of achievement</b>	<ol style="list-style-type: none"> <li>1. Number of studies carried out on the linkages between the conventions and other relevant issues;</li> <li>2. Cooperation on common issues by the scientific bodies of the conventions;</li> <li>3. Roster of experts and website listing meeting and workshop alumni is established.</li> </ol>

<b>Short description of the activity</b>	<ol style="list-style-type: none"> <li>1. Work with relevant scientific experts to tackle common issues that hamper the effective work of the scientific bodies;</li> <li>2. Study and review linkages between conventions and identify cross-cutting technical issues on which cooperation needs to be developed or enhanced, e.g., climate change and persistent organic pollutants; handling of electronic wastes containing brominated flame retardants and mercury; life-cycle management of hazardous chemicals; sound trade of hazardous chemicals and pesticides; identification of hazardous chemical, waste and environmental occurrence hot spots; connection with biodiversity, land degradation, etc.;</li> <li>3. Work with the clearing-house mechanism to establish a roster of experts relevant to the technical and scientific bodies of the three conventions; to develop an alumni website for meeting, training and awareness-raising workshop participants; and to develop joint scientific and technical documents or guidance as required.</li> </ol>
<b>Expected outputs</b>	<ol style="list-style-type: none"> <li>1. The technical and scientific bodies of the three conventions receive technical and policy support, facilitating the exchange and sharing of relevant information between themselves and with other relevant intergovernmental processes, including the Strategic Approach;</li> <li>2. Report on linkages and potential cooperation between the scientific bodies of the conventions;</li> <li>3. Roster of experts and alumni websites is established.</li> </ol>
<b>Method of implementation (internal or external)</b>	Internal: staff travel, consultant, subcontracts, travel of participants and translation and printing.
<b>Partner(s)</b>	Interested intergovernmental organizations, non-governmental organizations and industry bodies.

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

### III. Regional centres

<b>Title of activity</b>	<b>S8. Cooperation and coordination between regional centres and FAO and UNEP regional offices: annual joint meetings</b>
<b>Mandate</b>	Synergies decision (BC-IX/10, RC-4/11, SC-4/34), sections I A, I B and I C; Omnibus decisions (BC.Ex-1/1, RC.Ex-1/1, SC.Ex-1/1), section I, paragraph 5.
<b>Objective</b>	<ol style="list-style-type: none"> <li>1. Enhanced coordination on regional strategies and identification of opportunities for the development of joint activities;</li> <li>2. Enhanced coordination and collaboration between the regional centres, regional offices and other entities engaged in technical assistance at the regional level.</li> </ol>
<b>Indicators of achievement</b>	<ol style="list-style-type: none"> <li>1. Annual coordination meeting held;</li> <li>2. Coordinated regional implementation plans for Basel and Stockholm Convention regional centres and FAO and UNEP regional offices.</li> </ol>
<b>Short description of the activity</b>	Annual meetings of the Basel and Stockholm convention regional centres and FAO and UNEP regional offices will be convened and coordinated by the secretariats of the conventions. Regional officers of FAO, UNEP and the Basel and Stockholm convention regional centres will meet to present and review their activities and exchange information on workplans and business plans with a view to enhancing coordination of regional activities and strategies and identifying opportunities for the development of joint activities. The meetings will operate through a series of plenary sessions, sessions for regional groups and convention-specific sessions. It is expected that convention-specific regional activities will be coordinated and scheduled in such a way that efficiency is increased. Coordination of activities will increase the effectiveness of work undertaken.
<b>Expected outputs</b>	<ol style="list-style-type: none"> <li>1. Experience is exchanged and coordination improved between the Basel and Stockholm convention regional centres and UNEP and FAO regional offices in implementing the elements of technical assistance activities of the three conventions;</li> <li>2. Improved overview of financial requirements and regional resources in support of the delivery of the technical assistance programme through the preparation of a joint, coordinated plan and discussions between the secretariats and regional officers and representatives of regional centres will result in the identification and development of a number of proposals for pilot projects, joint activities and resource mobilization strategies;</li> <li>3. Finalized pilot projects on the coordinated use of regional centres;</li> <li>4. Joint activities are part of the workplans and business plans of the regional centres.</li> </ol>
<b>Method of implementation (internal or external)</b>	<p>Internal:</p> <ul style="list-style-type: none"> <li>- The activity will be implemented by representatives of the secretariats of the three conventions with regional officers of FAO and UNEP and the Basel and Stockholm convention regional centres;</li> </ul> <p>External:</p> <ul style="list-style-type: none"> <li>- A network of centres and regional partners is established.</li> </ul>
<b>Partner(s)</b>	Basel Convention regional centres for training and technology transfer, Stockholm Convention regional and subregional centres for capacity-building and the transfer of technology, UNEP multilateral environmental agreement focal points for chemicals and wastes, FAO regional offices and FAO subregional offices.

<b>Title of activity</b>	<b>S9. South-South cooperation</b>
<b>Mandate</b>	Synergies decisions (BC-IX/10, RC-4/11, SC-4/34), section I C, paragraph 18; Omnibus decisions (BC.Ex-1/1, RC.Ex-1/1, SC.Ex-1/1), section I, paragraph 5.
<b>Objective</b>	Enhanced South-South cooperation on pilot activities, exchange of experience, successes and strategic alliances between regional centres and parties for the joint implementation of the conventions.
<b>Indicators of achievement</b>	<ol style="list-style-type: none"> <li>1. Number of bilateral and multilateral cooperation agreements signed to facilitate the exchange of experiences on the environmentally sound management of hazardous chemicals and wastes;</li> <li>2. Number of joint activities implemented by the regional centres.</li> </ol>
<b>Short description of the activity</b>	Regional centres tackle specific priority issues in their region related to the Basel, Rotterdam and Stockholm conventions, e.g., transport, import and export, or collection and disposal issues, and liaise with regional centres in other regions to identify and cooperate on issues of common interest such as technical, institutional and management approaches. The project will facilitate exchange of technical staff between the centres in a twinning project approach and other approaches using the experience of the Bali Strategic Plan for Technology Support and Capacity-building.

<b>Expected outputs</b>	<ol style="list-style-type: none"> <li>1. Joint activities developed and implemented by the regional centres on a bilateral or multilateral basis;</li> <li>2. Practical tools for the implementation of joint activities, best practices and lessons learned are provided and disseminated via the centres' and secretariats' websites;</li> <li>3. Exchange of regional centres' staff in twinning arrangements between regional centres and convention secretariats as appropriate.</li> </ol>
<b>Method of implementation (internal or external)</b>	Cooperation between the regional centres will begin online with regular information exchanges, video conferences and sharing of technical experience and expertise.
<b>Partner(s)</b>	Basel and Stockholm Convention regional centres, FAO and UNEP regional offices, secretariats of the Basel, Rotterdam and Stockholm conventions.

#### IV. Clearing-house mechanism

<b>Title of activity</b>	<b>S10. Clearing-house mechanism for information exchange</b>
<b>Mandate</b>	Synergies decisions (BC-IX/10, RC-4/11, SC-4/34), section I A, paragraphs 2 and 3, section III B, paragraph 4; Omnibus decisions (BC.Ex-1/1, RC.Ex-1/1, SC.Ex-1/1), section III.
<b>Objective</b>	<ol style="list-style-type: none"> <li>1. To provide one entry point to a wide range of sources of available information relevant to chemicals and wastes management;</li> <li>2. To facilitate the sharing of information on the implementation of the Basel, Rotterdam and Stockholm conventions, including on models of coordination mechanisms and examples of good coordination practices from countries;</li> <li>3. To facilitate the transfer of expertise and know-how between stakeholders;</li> <li>4. To develop a unique development strategy for the clearing-house mechanism across the three conventions, making better use of available resources;</li> <li>5. To keep parties and other stakeholders well informed regarding convention issues, meetings, programmes, etc., in a more integrated and user-friendly environment;</li> <li>6. To consolidate the use of available resources.</li> </ol>
<b>Indicators of achievement</b>	<ol style="list-style-type: none"> <li>1. Relevance and pertinence of information packages for users;</li> <li>2. Number of parties that will contribute and gain access to the information;</li> <li>3. Availability of new tools such as social networking mechanisms to facilitate information exchange;</li> <li>4. Satisfaction of parties and other stakeholders with the service provided and increased number of website hits;</li> <li>5. Number of articles, best practices, project information exchanged between stakeholders;</li> <li>6. Greater access to information and expertise available to all stakeholders;</li> <li>7. Joint strategy for the development of the clearing-house mechanism;</li> <li>8. Integration of the websites of the three conventions.</li> </ol>
<b>Short description of the activity</b>	<ol style="list-style-type: none"> <li>1. Development of cross-cutting information packages;</li> <li>2. Development of a joint clearing-house mechanism;</li> <li>3. Maintenance and continuation of the development of the conventions' websites.</li> </ol>
<b>Expected outputs</b>	<ol style="list-style-type: none"> <li>1. Improved access to all information relevant to parties' obligations under the three conventions and identification of new opportunities for information sharing and aggregation. Examples of cross-cutting information packages: <ul style="list-style-type: none"> <li>- Public awareness materials (United Nations Body Burden Forum, Safe Planet campaign, etc.);</li> <li>- Joint legal information;</li> <li>- Search tool for decisions by the conferences of the parties by thematic area;</li> <li>- Joint calendar of meetings;</li> <li>- Map of regional centres and offices for all three conventions;</li> <li>- Map of ratification status for all three conventions;</li> <li>- Chemicals and wastes profiles;</li> <li>- Focal points for all three conventions;</li> <li>- Country profiles, showing the status of implementation for all three conventions and information on best practices, successful projects, etc.;</li> <li>- Any other information package as required;</li> </ul> </li> <li>2. Integrated and user-friendly collaboration environment available for parties and other users;</li> <li>3. More integrated systems across the three conventions that facilitate the implementation of the conventions by parties;</li> <li>4. Constantly improving websites that meet the parties' requirements and provide useful information to other audiences.</li> </ol>

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

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

<b>Expected outputs</b>	<ol style="list-style-type: none"> <li>1. New information technology tools and services are available to facilitate the work of the Secretariat, parties and other relevant convention stakeholders;</li> <li>2. More integrated information technology platform and service across the three conventions to facilitate parties' implementation of the conventions;</li> <li>3. Greater efficiency in servicing meetings of the conferences of the parties and other meetings under the three conventions;</li> <li>4. Stable platform and services to facilitate building the clearing-house mechanism and other information systems;</li> <li>5. Effective and efficient delivery by the secretariats of the outputs envisaged under their programmes of work.</li> </ol>
<b>Method of implementation (internal or external)</b>	<p>Internal:</p> <ul style="list-style-type: none"> <li>- Staff time, hardware, software licences</li> </ul> <p>External:</p> <ul style="list-style-type: none"> <li>- Consultants, subcontracts.</li> </ul>
<b>Partner(s)</b>	

## V. Public awareness, outreach and publications

<b>Title of activity</b>	<b>S12. Joint communication outreach</b>
<b>Mandate</b>	Synergies decisions (BC-IX/10, RC-4/11, SC-4/34), section III A; Omnibus decisions (BC.Ex-1/1, RC.Ex-1/1, SC.Ex-1/1), section III.
<b>Objective</b>	Increased awareness of and participation in activities of the Basel, Rotterdam and Stockholm conventions in 2012–2013, including the United Nations Conference on Sustainable Development in May 2012 and national implementation activities thereafter.
<b>Indicators of achievement</b>	<ol style="list-style-type: none"> <li>1. Number of press releases and media coverage of the Basel, Rotterdam and Stockholm conventions;</li> <li>2. Number of outreach materials produced.</li> </ol>
<b>Short description of the activity</b>	Joint communication outreach includes the development of outreach materials, e.g., audio-visual materials, posters, newsletters, leaflets, brochures, exhibitions, etc., press briefings, press releases and others.
<b>Expected outputs</b>	<p>Support for the implementation of the Basel, Rotterdam and Stockholm conventions provided through the preparation of outreach materials, including printing and publication, such as:</p> <ul style="list-style-type: none"> <li>- Press and crisis management strategy;</li> <li>- Ensuring the integrity and management of brands created under the public awareness and outreach thematic group;</li> <li>- Printing and publication;</li> <li>- Speech writing;</li> <li>- Press releases;</li> <li>- Press liaison (United Nations, media, non-governmental organizations);</li> <li>- New media communication strategies (websites, blogs, social networking, clearing house, e-newsletters, editing, web maintenance and development and content research, etc.).</li> </ul>
<b>Method of implementation (internal or external)</b>	Internal: through collaboration between the three secretariats; staff cost only (non-staff costs are included in relevant programmes of each convention). <sup>65</sup>
<b>Partner(s)</b>	Stockholm and Basel convention regional centres, UNEP and FAO regional offices, Basel Action Network, Basel Waste Solutions Circle, International POPs Elimination Network, OzonAction, PCBs Elimination Network, Strategic Approach, regional activity centres for cleaner production, other international stakeholder and United Nations organizations and non-profit and private-sector stakeholders, as appropriate.

<sup>65</sup> Funds for outreach materials are covered by programmes of the Rotterdam and Stockholm conventions.

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

<b>Title of activity</b>	<b>S14. Publications: Produce and disseminate various legal and technical publications, both reprinting and development of new publications</b>
<b>Mandate</b>	Synergies decisions (BC-IX/10, RC-4/11, SC-4/34); Omnibus decisions (BC.Ex-1/1, RC.Ex-1/1, SC.Ex-1/1).
<b>Objective</b>	Legal and technical information is provided to parties and others for the effective implementation of the conventions.
<b>Indicators of achievement</b>	<ol style="list-style-type: none"> <li>1. High-quality publications in printed and electronic form produced;</li> <li>2. Timely production and delivery of publications;</li> <li>3. Cost-effective production of publications;</li> <li>4. Number of legal and technical publications published, reprinted and distributed.</li> </ol>

<b>Short description of the activity</b>	The activity will include the following: <ol style="list-style-type: none"> <li>1. Meet legal, technical and other publication production needs, upon request;</li> <li>2. Coordinate planning, forecasting, editing, production and distribution of convention publications;</li> <li>3. Oversee graphic design, review print proofs and provide quality assurance;</li> <li>4. Liaise with programme officers of the secretariats, graphic designers and printers and follow up on submission dates for final drafts and production schedules.</li> </ol>
<b>Expected outputs</b>	<ol style="list-style-type: none"> <li>1. Improved sources of information on legal and technical aspects of hazardous chemicals and wastes;</li> <li>2. Better understanding of issues related to hazardous chemicals and wastes;</li> <li>3. Support provided for the implementation of the conventions;</li> <li>4. Timely and relevant information provided to parties and others.</li> </ol>
<b>Method of implementation (internal or external)</b>	Internal: <ul style="list-style-type: none"> <li>- Staff time.</li> </ul> External: <ul style="list-style-type: none"> <li>- Translators, graphic designers, printers, etc</li> </ul>
<b>Potential partner(s)</b>	United Nations, UNEP, etc.

## VI. Reporting

<b>Title of activity</b>	<b>S15. National reporting: revise the reporting systems of the Basel and Stockholm conventions and identify possible areas for streamlining</b>
<b>Mandate</b>	Synergies decisions (BC-IX/10, SC-4/34), section II A; Omnibus decisions (BC.Ex-1/1, SC.Ex-1/1), section I, paragraph 2.
<b>Objective</b>	<ol style="list-style-type: none"> <li>1. To streamline the reporting formats of the Basel and Stockholm conventions in a harmonized manner;</li> <li>2. A coordinated and simultaneous information collection mechanism from relevant government agencies for both conventions;</li> <li>3. National mechanisms for reporting relating to chemicals and wastes multilateral environmental agreements are in place;</li> <li>4. Increased capacity of focal points and designated authorities to collect and report information.</li> </ol>
<b>Indicators of achievement</b>	<ol style="list-style-type: none"> <li>1. Number of reporting parties using the streamlined reporting system for both conventions;</li> <li>2. Number of participants, number of parties and level of participant satisfaction at each workshop.</li> </ol>
<b>Short description of the activity</b>	Currently parties to the Basel Convention have annual reporting requirements while parties to the Stockholm Convention report every four years. To facilitate national reporting for both conventions, the secretariats will: <ol style="list-style-type: none"> <li>1. Review the reporting systems of both conventions and identify possible areas for streamlining;</li> <li>2. Analyse the electronic reporting systems in place, identify ways to improve them and implement changes required to allow for more similar national reporting under both conventions;</li> <li>3. Develop a guidance document or documents for information collection and reporting;</li> <li>4. Organize regional capacity-building workshops on national reporting to take place in 2012 and 2013.</li> </ol>
<b>Expected outputs</b>	<ol style="list-style-type: none"> <li>1. Increased number of reports submitted under the Basel and Stockholm conventions;</li> <li>2. Reporting system that supports integrated national reporting under both conventions;</li> <li>3. Capacity-building workshops;</li> <li>4. A coordinated and simultaneous information collection mechanism from relevant government agencies for both conventions;</li> <li>5. High-quality information is received through national reports.</li> </ol>
<b>Method of implementation (internal or external)</b>	Internal: <ul style="list-style-type: none"> <li>- Thorough revision of the questionnaires and recommendations for streamlined systems;</li> <li>- Preparation of streamlined reporting systems and online reporting interface;</li> <li>- Preparation of guidance materials on the collection and reporting of information.</li> </ul> External: <ul style="list-style-type: none"> <li>- Regional capacity-building workshops and training to assist parties to achieve better reporting.</li> </ul>



<b>Partner(s)</b>	Regional centres and the parties to the conventions.
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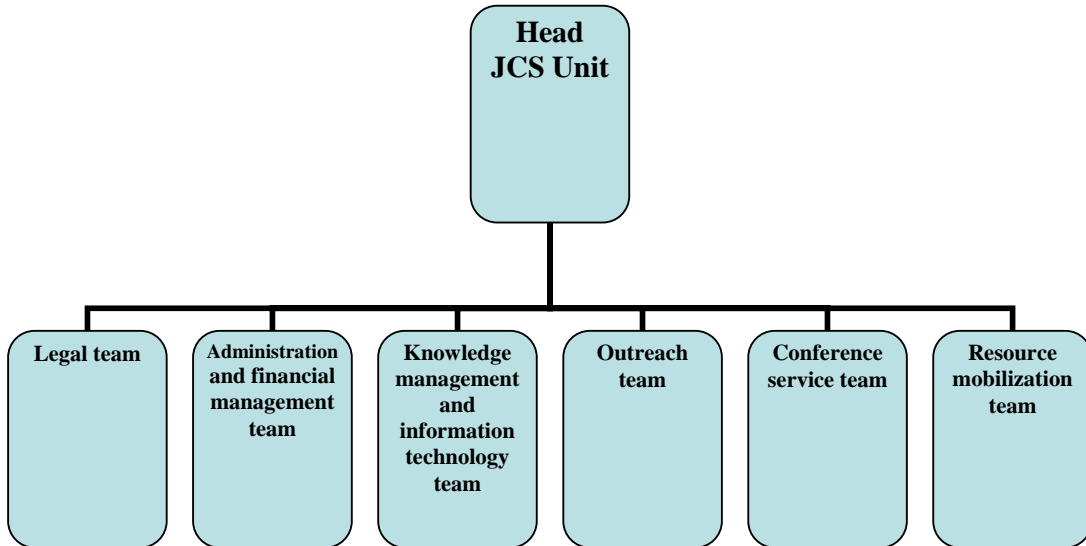
## VII. Overall management

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

<b>Title of activity</b>	<b>S17. Review arrangements</b>
<b>Mandate</b>	Omnibus decisions (BC.Ex-1/1, RC.Ex-1/1, SC.Ex-1/1), section VI.
<b>Objective</b>	<p>Review of how far the arrangements adopted pursuant to the synergies decisions, in particular on joint activities, joint managerial functions and joint services, have contributed to achieving the following six objectives:</p> <ol style="list-style-type: none"> <li>1. Strengthening the implementation of the Basel, Rotterdam and Stockholm conventions at the national, regional and global levels;</li> <li>2. Promoting policy coherence;</li> <li>3. Reducing administrative burden;</li> <li>4. Maximizing the effective and efficient use of resources at all levels;</li> <li>5. Taking into account global concerns and the specific needs of developing countries and countries with economies in transition in this assessment;</li> <li>6. Protecting human health and the environment for the promotion of sustainable development.</li> </ol>
<b>Indicators of achievement</b>	<ol style="list-style-type: none"> <li>1. A questionnaire on the contribution of the arrangements is sent to parties and posted on the conventions' websites in February 2012;</li> <li>2. A report on how far the arrangements have contributed to achieving the six objectives is published 90 days before the first meeting of a conference of the parties in 2013.</li> </ol>
<b>Short description of the activity</b>	<p>As detailed in annex IV to decision SC-5/27, the secretariats will:</p> <ol style="list-style-type: none"> <li>1. Prepare in the six official United Nations languages a questionnaire to collect information from parties to the conventions;</li> <li>2. Send the questionnaire to all parties and post it on the conventions' websites;</li> <li>3. Collect responses from parties;</li> <li>4. Prepare a report;</li> <li>5. Publish the report 90 days before the first meeting of the conference of the parties of any of the three conventions in 2013.</li> </ol>
<b>Expected outputs</b>	A report on how far the arrangements pursuant to the synergies decisions have contributed to achieving the objectives mentioned above.
<b>Method of implementation (internal or external)</b>	Internal and external: consultant and translation.
<b>Potential partner(s)</b>	Parties to the conventions.

**Annex II to decision SC-5/27**

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



## Annex III to decision SC-5/27

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

	Activity	Deadline
1.	Take stock of existing systems: Develop an inventory of information, tools and infrastructure and human and institutional networks that relate to the three conventions' current information-exchange activities.	March 2012
2.	Undertake a needs assessment for the Basel and Rotterdam conventions: In consultation with parties, Basel Convention regional centres and other stakeholders, as appropriate to each convention, assess needs in the context of a clearing-house mechanism.	August 2012
3.	Design a joint clearing-house mechanism for the Basel, Rotterdam and Stockholm conventions, taking into account the inventory of existing systems (activity 1), the needs assessment (activity 2) and the report of the Secretariat on other clearing-house mechanisms and similar mechanisms in the area of chemicals and wastes, including the identification and prioritization of common components and tools, for development during the biennium 2012–2013.	October 2012
4.	Develop and deploy the joint clearing-house-mechanism components and tools: This covers diverse activities such as purchasing hardware and software, hiring experts in the area of systems development and architecture, subcontracting graphic designers and software companies for possible systems customization, computer programming, preparation of user manuals and documentation and testing systems and fixing bugs.	December 2012 Phase 1  December 2013 Phase2
5.	Develop cross-cutting information package as a "one-stop-shop" of information on chemicals and wastes, covering all three conventions, including country information profiles, joint calendar and joint contact information.	August 2012
6.	Data entry and formatting: Migrate, where appropriate, data to the joint clearing-house mechanism. Enter any new data gathered through the joint activities of the three conventions.	February 2013
7.	Jointly maintain websites: Maintain and develop the three conventions' websites and the joint portal.	Continuous
8.	Develop a guidance document for the joint clearing-house mechanism: This guidance document will cover standards and best practices for regional and national institutions that would like to develop their own clearing-house mechanism nodes. It will facilitate the compatibility and interoperability of systems under the joint clearing-house mechanism.	December 2012
9.	Implement joint capacity-building and stakeholder consultation: Implement joint capacity-building, including through training workshops and technical capacity enhancement activities for parties to all three conventions; gather feedback to inform the future development of the clearing-house mechanism.	December 2013

## **Annex IV to decision SC-5/27**

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

#### **I. Purpose of the report**

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

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

#### **II. Scope of the report**

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

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

#### **III. Methodology**

##### **A. Questionnaire**

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

- (a) Request for information on whether and how much the arrangements – joint activities, joint managerial functions, and joint services – have contributed to the six objectives. In addition, parties will have an opportunity to make specific comments and recommendations on whether and how the arrangements have contributed to each objective and on their experience at the country level;
- (b) Request for information or comments on the challenges or obstacles experienced in the achievement of the six objectives;
- (c) Request for specific or general recommendations to parties, the secretariats, UNEP, FAO and other institutions and stakeholders as appropriate, on steps that could be taken to make the synergies arrangements, in particular on joint activities, joint managerial functions and joint services, better contribute to the six objectives.

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

**B. Report**

6. A report of no more than 20 pages in length will be jointly prepared by the three secretariats and will be based on the following outline:
- (a) Introduction;
  - (b) Review of the responses from parties submitted via the questionnaire;
  - (c) Views of the secretariats on the arrangements;
  - (d) Conclusions and recommendations.
7. The completed questionnaires will also be made available to the conferences of the parties.

**IV. Working relationship with the joint evaluation offices**

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

**V. Timeline for the preparation of the report**

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

**Annex V to decision SC-5/27****Terms of reference for the preparation of the report by the evaluation offices of the United Nations Environment Programme and the Food and Agriculture Organization of the United Nations****I. Background**

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

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

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

## **II. Objectives and scope of the review**

### **A. Objectives**

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

(a) The extent to which the processes for enhancing cooperation and coordination have taken into account global concerns and responded to the specific needs of developing countries and countries with economies in transition;

(b) The extent to which actions taken to enhance coordination and cooperation have helped to strengthen the implementation of the three conventions at the national, regional and global levels, have helped to promote coherent policy guidance and have enhanced efficiency in the provision of support to parties with a view to reducing their administrative burden and maximizing the effective and efficient use of resources at all levels;

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

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

### **B. Scope**

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

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

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

## **III. Review criteria and key questions**

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

**A. Relevance**

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

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

**B. Effectiveness and impact**

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

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

**C. Efficiency**

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

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

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

**D. Sustainability**

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

**IV. Methods**

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

18. The review will seek inputs from parties, the secretariats of the Basel, Rotterdam and Stockholm conventions, as well as other stakeholders, and comprise broad research, data collection and analysis, in addition to selected investigations through interviews, a questionnaire or

questionnaires, global consultations, regional consultations and reviews of key documents and financial information. All these approaches will focus on the questions set out in section III above.

19. The omnibus decisions and other related supporting documentation were used to derive preliminary outcome- and output-level performance indicators<sup>66</sup> for use in the review, which are listed in table 1.

Table 1  
**Preliminary performance indicators for use in the review**

<i>Outcomes</i>	<i>Indicators</i>
Joint implementation of substantive activities at the national, regional and global levels	<ul style="list-style-type: none"> <li>▪ Number and outputs of joint activities under implementation such as technical guidance and standards and capacity-building</li> <li>▪ Coordinated national reporting compliant with individual convention requirements</li> <li>▪ Satisfaction of parties with joint activities</li> <li>▪ Proportion of joint activities of projects undertaken by regional centres</li> <li>▪ Satisfaction of regional centres with regard to cooperation between them</li> </ul>
Institutionalized joint financial management and audit services for the three conventions	<ul style="list-style-type: none"> <li>▪ Satisfaction of stakeholders with arrangements for sharing audit reports</li> <li>▪ Cross-cutting Office of Internal Oversight Services audit report shared with the conferences of the parties at their meetings in 2011</li> <li>▪ Convention budget cycles remain synchronized with those of UNEP and FAO</li> <li>▪ Satisfaction of stakeholders and secretariats with financial and administrative support arrangements</li> </ul>
Resource mobilization: increased funding for the implementation of convention-related activities	<ul style="list-style-type: none"> <li>▪ Increase in secured funding for national, regional and global implementation per convention as reflected in the secretariats' budgets</li> <li>▪ Increase in expenditure on advocacy for resource mobilization per convention</li> </ul>
Public information products and outreach services jointly provided in relation to the three conventions	<ul style="list-style-type: none"> <li>▪ Satisfaction of all stakeholders with public information products (such as websites) and outreach services provided</li> </ul>
Joint management processes and structures operational for the three conventions	<ul style="list-style-type: none"> <li>▪ Formal joint management group established with defined terms of reference</li> <li>▪ Executive Secretary of the three convention secretariats appointed</li> <li>▪ Satisfaction of regional centres with regard to information exchange with the joint management structure</li> <li>▪ Ratio/percentage of documents that have been prepared reflecting the policy framework of all three conventions.</li> </ul>
Joint resource mobilization efforts	<ul style="list-style-type: none"> <li>▪ Preparation of a joint resource mobilization strategy</li> </ul>
Common information technology service provision for the three conventions	<ul style="list-style-type: none"> <li>▪ Satisfaction of secretariat staff with information technology services provided</li> <li>▪ Reduced costs of the provision of information technology services</li> </ul>
Legal service for the three conventions operational	<ul style="list-style-type: none"> <li>▪ Satisfaction of secretariat staff and stakeholders with legal services provided</li> <li>▪ Ratio/percentage of draft decisions that have been prepared taking into account the legal framework of all three conventions</li> <li>▪ Reduced costs of the provision of legal services</li> </ul>

<sup>66</sup> Section VI of the omnibus decisions, on review arrangements, specifies in paragraph 4 that the terms of reference for the review should include performance indicators.



<i>Outcomes</i>	<i>Indicators</i>
Common information-sharing tools and mechanisms	▪ Existence of tools, procedures and agreements for sharing legal, technical and scientific information
Increased cooperation and coordination on technical issues	▪ List of joint coordinated work on technical issues (e.g., guidelines)

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

Table 2

**Main phases of the review process**

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

**A. Inception**

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

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

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

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

**B. Implementation phase**

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

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

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

## C. Synthesis and reporting phase

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

## V. Expected outputs

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

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

- (a) An executive summary (no more than three pages) providing a brief overview of the review's main conclusions and recommendations;
- (b) Introduction and background giving a brief overview of the synergies decisions under review in their broader context and of the origins of the review;
- (c) Scope, objective and methods presenting the review's purpose, the review criteria used and questions to be considered;
- (d) Overall performance and impact providing factual evidence relevant to the questions asked and interpretations of such evidence (the main substantive section of the report);
- (e) Conclusions presenting the review's concluding assessments against the given review criteria and standards of performance. The conclusions should provide answers to the key questions and assess the results achieved to date;
- (f) Lessons learned, presenting general conclusions based on established good practices that have the potential for wider application and use. Lessons may also be derived from problems, gaps and mistakes. The context in which lessons may be applied should be clearly specified, and lessons should always state or imply some prescriptive action. A lesson should be written such that experiences derived could be applied in other similar situations;
- (g) Recommendations suggesting actionable proposals for improvement. Prior to each recommendation, the issue or problem that the recommendation is meant to solve should be clearly stated. The recommendations should be relevant within the context of the conventions and organized by target groups. They should be prioritized according to their importance and urgency to the purpose of the review. Options for implementing the recommendations with an indication of their respective limits and possible risks should be presented. Recommendations will in all cases need to be cross-referenced to the corresponding findings or conclusions;<sup>67</sup>
- (h) Annexes, including terms of reference, a list of interviewees, documents reviewed and a brief summary of the expertise of the review team. Dissenting views or management responses to the review findings may later be annexed.

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<sup>67</sup> A high-quality recommendation is an actionable proposal that is feasible to implement within the time frame and resources available; commensurate with the available capacities of implementation partners; specific in terms of who would do what and when; contains results-based language (i.e., a measurable performance target); and includes a trade-off analysis, when its implementation may require using significant resources that would otherwise be used for other purposes.

## VI. Tasks and schedule

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

Table 3

### Schedule for the review

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

## VII. Management arrangements

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

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

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

## VIII. Review team

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

36. The core review team will comprise two international consultants. One will be designated as the team leader and will provide intellectual leadership and direction for the review and be responsible for delivering the final product. The other will be a subject-matter specialist and have a good

understanding of and expertise in multilateral and intergovernmental processes and in evaluation methods and processes. The team will be supported by designated staff from the UNEP and FAO evaluation offices. These task managers will provide overall guidance for the review and participate in the review as they deem appropriate.

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

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

## **IX. Advisory panel**

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

## **X. Quality assurance team**

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

## **XI. Review audience**

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

## **XII. Follow-up, dissemination and learning**

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

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

## **SC-5/28: Financing and budget for the biennium 2012–2013**

*The Conference of the Parties,*

*Taking note* of the amended financial rules of the Conference of the Parties, its subsidiary bodies and the Convention Secretariat adopted in decision SC-5/2,

1. *Approves* the programme of activities and operational budget for the biennium 2012–2013 of 5,779,576 United States dollars for 2012 and 6,066,761 dollars for 2013 for the purposes set out in table 1 of the present decision, which are presented by budget code line in table 2;

2. *Authorizes* the Executive Secretary of the secretariats of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal and the Stockholm Convention and the Joint Executive Secretary of the Secretariat of the Rotterdam Convention on the

Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade (hereinafter referred to as the Executive Secretary) to make commitments up to the approved operational budget, drawing upon available cash resources;

3. *Welcomes* the continued annual contribution of 2 million Swiss francs by Switzerland to the Secretariat, including its assessed contribution, to offset planned expenditures;

4. *Takes note* of the intention of the Government of Switzerland to reallocate its contribution between the Special Trust Fund and the General Trust Fund;

5. *Invites* Switzerland to include in its contribution to the 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;

6. *Notes* that, for the period 2012–2013, 75 per cent of the annual contribution of 2 million Swiss francs will be allocated to the General Trust Fund and will include Switzerland's assessed contribution, while 25 per cent will be allocated to the Special Trust Fund;

7. *Also notes* that for the period 2014–2015 and beyond, 1 million Swiss francs will be allocated annually as a contribution to the General Trust Fund, including the Swiss assessed contribution, and 1 million Swiss francs to the Special Trust Fund;

8. *Decides* on an exceptional basis not to approve a staffing table but instead to take note of the indicative staffing table for the Secretariat for the biennium 2012–2013 that has been used for costing purposes to set the overall budget;<sup>68</sup>

9. *Authorizes* the Executive Secretary to determine the staffing levels, numbers and structure of the Secretariat in a flexible manner, provided that the Executive Secretary remains within the overall budget for the biennium 2012–2013;

10. *Adopts* the indicative scale of assessments for the apportionment of expenses for the biennium 2012–2013 set out in table 4 of the present decision and authorizes the Executive Secretary, consistent with the Financial Regulations and Rules of the United Nations, to adjust the scale to include all parties for which the Convention enters into force before 1 January 2012 for 2012 and before 1 January 2013 for 2013;

11. *Decides* to maintain the working capital reserve at the level of 8.3 per cent of the annual average of the biennial operational budget;

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 contributions due from 1 January 2010 onwards, that any party whose contributions are in arrears for two or more years shall not be eligible to become a member of the Bureau of the Conference of the Parties or a member of its subsidiary bodies. This shall not apply to parties that are least developed countries or small island developing States or to parties that have agreed on and are respecting a schedule of payments;

14. *Takes note* of the funding estimates included in table 3 for activities under the Convention to be financed from the Special Trust Fund of the Convention and urges parties and observers to contribute to that Fund;

15. *Decides* that the trust funds of the Convention shall be continued until 31 December 2013 and requests the Executive Director of the United Nations Environment Programme to extend them for the biennium 2012–2013, subject to the approval of the Governing Council of the United Nations Environment Programme;

16. *Urges* parties and invites others in a position to do so to contribute to the Special Trust Fund in order to ensure the full and effective participation in meetings of the Convention of developing-country parties, in particular least developed countries and small island developing States, and parties with economies in transition;

68 UNEP/POPS/COP.5/35/Add.1, annex I, section E.

17. *Requests* the Executive Secretary, bearing in mind decision SC-4/34, further to enhance efficiency in the use of financial and human resources in accordance with the priorities set by the Conference of the Parties and to report on the outcome of the efforts in that regard;

18. *Also requests* the Executive Secretary to prepare a budget for the biennium 2014–2015 for consideration by the Conference of the Parties at its sixth ordinary meeting, explaining the key principles and assumptions on which the budget is based and presenting expenditures for the 2014–2015 period in the programmatic format while also presenting them by budget code lines;

19. *Notes* that there is a need to facilitate priority-setting by providing the parties with timely information on the financial consequences of different options and, to that end, requests the Executive Secretary to include in the proposed operational budget for the biennium 2014–2015 three alternative funding scenarios based on:

(a) The Executive Secretary's assessment of the required growth of the operational budget to finance all proposals before the Conference of the Parties that have budgetary implications;

(b) Maintaining the operational budget at the 2012–2013 level in nominal terms;

(c) Increasing the operational budget from the 2012–2013 level by 5 per cent in nominal terms;

20. *Requests* the Executive Secretary at the sixth ordinary meeting of the Conference of the Parties to provide, where relevant, cost estimates for actions that have budgetary implications that are not foreseen in the draft programme of work but are included in proposed draft decisions before the adoption of those decisions by the Conference of the Parties;

21. *Requests* the Executive Director to request an audit by the Office of Internal Oversight Services on coordination and cooperation among the Basel, Rotterdam and Stockholm conventions and to present the report of that audit to the Conference of the Parties for consideration at its sixth ordinary meeting, in 2013.

Table 1

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

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

Activity number*	Activities	Year 2012					Year 2013				
		Amount			Source of funding		Amount			Source of funding	
		Staff costs	Non-staff costs	Total costs	SC Trust Fund	SV Trust Fund	Staff costs	Non-staff costs	Total costs	SC Trust Fund	SV Trust Fund
1	Sixth meeting of the Conference of the Parties (COP-6).	206 473	200 000	406 473	406 473	—	482 824	1 000 000	1 482 824	882 824	600 000
2	Meetings of the Bureau: One meeting in 2012 by the SC Bureau and one joint bureau meeting in 2013.	20 647	17 500	38 147	38 147	—	—	17 500	17 500	17 500	—
3	Eighth and ninth meetings of the POPs Review Committee (POPRC): Duration: each five days for POPRC-8 and POPRC-9 in Geneva.	337 240	490 000	827 240	787 240	40 000	350 494	490 000	840 494	800 494	40 000
4	Compliance: assist the Bureau to implement decision SC-5/19	20 000	—	20 000	20 000	—	20 000	—	20 000	20 000	—
5N (new) S (Synergy 6)	Support the work of and coordination among the scientific bodies under the conventions and identify common issues and linkages between conventions. <i>Proposed to be co-funded between all three conventions: Basel: BC: \$6,650 and BD: \$15,000 per annum; Rotterdam: RO: \$6,650 and RV: \$25,000 per annum; Stockholm: SC: \$6,700 and SV: \$25,000 per annum - Total: \$20,000 and \$65,000 per annum</i>	34 412	31 700	66 112	41 112	25 000	35 765	31 700	67 465	42 465	25 000
		<b>618 773</b>	<b>739 200</b>	<b>1 357 972</b>	<b>1 292 972</b>	<b>65 000</b>	<b>889 082</b>	<b>1 539 200</b>	<b>2 428 283</b>	<b>1 763 283</b>	<b>665 000</b>

**Financial assistance**

Activity number*	Activities	Year 2012					Year 2013				
		Amount			Source of funding		Amount			Source of funding	
		Staff costs	Non-staff costs	Total costs	SC Trust Fund	SV Trust Fund	Staff costs	Non-staff costs	Total costs	SC Trust Fund	SV Trust Fund
6	Continuing identification of financial needs: the Secretariat will continue to facilitate the assessment and reporting of the funding used in the past as well as funding needs in the future. The Secretariat will identify and assess the financial needs of developing-country parties and parties with economies in transition to undertake activities and build the capacity required to meet their obligations under the Convention.	20 647	50 000	70 647	70 647	—	19 671	30 000	49 671	49 671	—
7N	Review of the financial mechanism: the Secretariat will undertake the third review of the financial mechanism, which is scheduled to take place in 2013, in time to submit recommendations to be taken into account during the sixth replenishment of the Global Environment Facility (GEF), in 2013, and subsequently during the Fifth GEF Assembly, in 2014.	20 647	—	20 647	20 647	—	19 671	100 000	119 671	119 671	—
8	Cooperation with GEF and other potential funding institutions and donors: the Secretariat will continue to facilitate the delivery of financial assistance to meet priority needs for financial assistance identified by the Conference of the Parties based on inputs from developing-country parties and parties with economies in transition, through regular communication with GEF, developed-country parties, other parties and other sources, including relevant funding institutions and the private sector.	30 971	—	30 971	30 971	—	32 188	—	32 188	32 188	—



Activity number*	Activities	Year 2012					Year 2013				
		Amount			Source of funding		Amount			Source of funding	
		Staff costs	Non-staff costs	Total costs	SC Trust Fund	SV Trust Fund	Staff costs	Non-staff costs	Total costs	SC Trust Fund	SV Trust Fund
9	Financial assistance facilitation: develop and implement a programme to facilitate and improve access to financial support and technical assistance to assist developing-country parties and parties with economies in transition to undertake activities and build the capacity required to meet their obligations under the Convention.	41 294	50 000	91 294	41 294	50 000	41 129	60 000	101 129	41 129	60 000
10 S (S16)	Resource mobilization: develop and implement joint resource mobilization and fund-raising strategies, donor and partner profiling, monitoring and reporting in compliance with donor requirements; meet with donors. <i>Proposed to be co-funded between all three Conventions: Basel: BC: \$15,000 per annum; Rotterdam: RO: \$15,000 per annum; Stockholm: SC: \$15,000 per annum - Total: \$45,000 per annum.</i>	10 324	15 000	25 324	25 324	—	10 729	15 000	25 729	25 729	—
		<b>123 884</b>	<b>115 000</b>	<b>238 883</b>	<b>188 883</b>	<b>50 000</b>	<b>123 388</b>	<b>205 000</b>	<b>328 388</b>	<b>268 388</b>	<b>60 000</b>

**Technical assistance and capacity-building**

Activity number*	Activities	Year 2012					Year 2013				
		Amount			Source of funding		Amount			Source of funding	
		Staff costs	Non-staff costs	Total costs	SC Trust Fund	SV Trust Fund	Staff costs	Non-staff costs	Total costs	SC Trust Fund	SV Trust Fund
11	Undertake overall coordination of the delivery of technical assistance programmes and continuing assessment of needs based on the technical assistance strategic plan. Coordinate Secretariat activities aimed at the provision of technical assistance to parties and seek the involvement of appropriate partners and stakeholders. Publish a joint technical assistance newsletter.	137 648	50 000	187 648	187 648	—	128 752	40 000	168 752	168 752	—
12 S (S2)	Capacity-building programmes: develop and deliver assistance based on regional and national needs and in accordance with the technical assistance strategic plan. <i>Proposed to be co-funded between all three conventions: Basel: BC: \$6,650 and BD: \$115,000 per annum; Rotterdam: RO: \$6,700 and RV: \$100,000 per annum; Stockholm: SC: \$6,650 and SV: \$120,000 per annum - Total: \$20,000 and \$335,000 per annum</i>	337 240	1 046 650	1 383 890	453 890	930 000	332 612	1 016 650	1 349 262	419 262	930 000
13	Continue to facilitate development and updating of national implementation plans (NIPs), including Article 5 action plans (process)	68 824	—	68 824	68 824	—	64 376	—	64 376	64 376	—
14	Facilitate effective and coordinated operation of the Stockholm convention regional centres in capacity-building and technology-transfer-related activities, including participation in the clearing-house mechanism (CHM) and other support.	120 443	50 000	170 443	170 443	—	123 388	30 000	153 388	153 388	—
15	Reprint key technical publications	79 148	15 000	94 148	94 148	—	64 376	15 000	79 376	79 376	—

Activity number*	Activities	Year 2012					Year 2013				
		Amount			Source of funding		Amount			Source of funding	
		Staff costs	Non-staff costs	Total costs	SC Trust Fund	SV Trust Fund	Staff costs	Non-staff costs	Total costs	SC Trust Fund	SV Trust Fund
16 S (S1)	Develop and upgrade toolkit and electronic training tools <i>Proposed to be co-funded between all three conventions: Basel: BC: \$8,400 and BD: \$82,500 per annum; Rotterdam: RO: \$8,300 and RV: \$100,000 per annum; Stockholm: SC: \$8,300 and SV: \$132,500 per annum - Total: \$25,000 and \$315,000 per annum</i>	103 237	140 800	244 037	111 537	132 500	107 294	140 800	248 094	115 594	132 500
17 S (S3)	Undertake synergies capacity-building projects for the development of national institutional frameworks for the implementation of the conventions and to provide technical assistance through the regional centres and in cooperation and coordination with the subregional offices of FAO and UNEP. <i>Proposed to be co-funded between all three conventions: Basel: BC: \$9,150 in 2012 and \$10,800 in 2013, BD: \$259,000 per annum; Rotterdam: RO: \$9,200 and \$10,800, RV: \$144,000 per annum; Stockholm: SC: \$9,150 and \$10,900, SV: \$269,000 per annum - Total: \$60,000 for 2012–2013 and \$672,000 per annum</i>	137 649	278 150	415 799	146 799	269 000	143 059	279 900	422 959	153 959	269 000
18N S (S4)	Develop strategic partnerships with other multilateral environmental agreements (MEAs). <i>Proposed to be co-funded between two conventions: Basel: BD - \$100,000 per annum; Stockholm: SV - \$100,000 per annum - Total: \$200,000 per annum</i>	51 618	100 000	151 618	51 618	100 000	53 647	100 000	153 647	53 647	100 000
19 S (S7)	Update the general technical guidelines on the environmentally sound management of persistent organic pollutant wastes to include new persistent organic pollutants (POPs). <i>Proposed to be co-funded between two conventions: Basel: BD: \$17,500 per annum; Stockholm: SV: \$20,000 per annum</i>	17 206	20 000	37 206	17 206	20 000	17 882	20 000	37 882	17 882	20 000

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Activity number*	Activities	Year 2012					Year 2013				
		Amount			Source of funding		Amount			Source of funding	
		Staff costs	Non-staff costs	Total costs	SC Trust Fund	SV Trust Fund	Staff costs	Non-staff costs	Total costs	SC Trust Fund	SV Trust Fund
	<i>- Total: \$37,500 per annum</i>										
20 S (S8)	Annual joint meetings of FAO and UNEP regional officers and directors/coordinators of the Basel and Stockholm convention regional centres. One-meeting per year at a cost of \$100,000 per year. <i>Proposed to be co-funded between all three conventions: Basel: BD: \$37,500 per annum; Rotterdam: RV: \$22,500 per annum; Stockholm: SV: \$40,000 per annum - Total: \$100,000 per annum</i>	34 412	40 000	74 412	34 412	40 000	35 765	40 000	75 765	35 765	40 000
21 N S (S9)	Assist South-South cooperation through the regional centres and FAO and UNEP regional offices in addressing specific priority regional issues related to the Basel, Rotterdam and/or Stockholm conventions. <i>Proposed to be co-funded among all three conventions: Basel: BD: \$10,000 per annum; Rotterdam: RV: \$20,000 per annum; Stockholm: SV: \$20,000 per annum - Total: \$50,000 per annum</i>	17 206	20 000	37 206	17 206	20 000	17 882	20 000	37 882	17 882	20 000
22 S (S14)	Publications: produce and disseminate legal and technical publications. <i>Proposed to be co-funded among all three conventions: Basel: BC: \$19,150 per annum; Rotterdam: RO: \$19,150 per annum; Stockholm: SC: \$19,200 per annum - Total: \$57,500 per annum</i>	17 206	19 200	36 406	36 406	-	17 882	19 200	37 082	37 082	-
23 S (S15)	National reporting: implement decisions on joint reporting between the Basel and Stockholm conventions. <i>Proposed to be co-funded among two conventions: Basel: BD: \$45,000 in 2012 and \$50,000 in 2013; Stockholm: SV: \$45,000 in 2012 and \$50,000 in 2013 - Total: \$90,000 in 2012 and \$100,000 in 2013</i>	41 295	45 000	86 295	41 295	45 000	42 918	50 000	92 918	42 918	50 000
		<b>1 163 132</b>	<b>1 824 800</b>	<b>2 987 932</b>	<b>1 431 432</b>	<b>1 556 500</b>	<b>1 149 833</b>	<b>1 771 550</b>	<b>2 921 383</b>	<b>1 359 883</b>	<b>1 561 500</b>

## Existing and new persistent organic pollutants

Activity number*	Activities	Year 2012					Year 2013				
		Amount			Source of funding		Amount			Source of funding	
		Staff costs	Non-staff costs	Total costs	SC Trust Fund	SV Trust Fund	Staff costs	Non-staff costs	Total costs	SC Trust Fund	SV Trust Fund
24	Updated POPs Global Monitoring Plan (GMP) guidance document.	17 206	125 000	142 206	57 206	85 000	16 094	60 000	76 094	16 094	60 000
25	POPs Global Monitoring Plan (GMP): including support for air monitoring activities in Africa and in Latin America and the Caribbean, the second milk survey, regional cooperation (regional organization groups) and global coordination.	41 295	600 000	641 295	41 295	600 000	35 765	320 000	355 765	35 765	320 000
26	Effectiveness evaluation	51 618	—	51 618	51 618	—	35 765	—	35 765	35 765	—
27	Further develop electronic reporting system for Article 15.	17 206	20 000	37 206	22 206	15 000	16 094	20 000	36 094	21 094	15 000
28	Pesticides, including DDT alternatives.	51 618	565 000	616 618	51 618	565 000	-	-	-	-	-
29	Activities towards 2025–2028 goals for PCB elimination.	90 960	370 000	460 960	90 960	370 000	90 960	345 000	435 960	90 960	345 000
30	Unintentionally produced POPs: provide guidance on minimizing releases, including guidance on best available techniques (BAT) and best environmental practices (BEP), and the Standardized Toolkit for Identification and Quantification of Dioxin and Furan Releases.	34 412	80 000	114 412	34 412	80 000	35 765	75 000	110 765	35 765	75 000
31	Exemptions: update and maintain the information required for the addition of new POPs.	30 971	-	30 971	30 971	-	30 400	-	30 400	30 400	-
32N	POPs-free products programme: develop and implement a programme to generate information and knowledge on POPs-free products, alternatives and substitutes.	34 412	30 000	64 412	34 412	30 000	35 765	30 000	65 765	35 765	30 000
33	Support parties in reviewing and updating NIPs for POPs listed at COP-4 and COP-5.	68 824	435 000	503 824	98 824	405 000	46 494	430 000	476 494	76 494	400 000
34	Reporting: reporting and registering of endosulfan and updating of the national reporting format under Article 15 to include all new POPs.	34 412	115 000	149 412	34 412	115 000	35 765	55 000	90 765	35 765	55 000
35	Implementation of work programme on new POPs (annex to decision SC-4/19 and decisions SC-5/4 and 5/5).	113 560	230 000	343 560	263 560	80 000	107 294	200 000	307 294	207 294	100 000

**UNEP/POPS/COP.5/36**

Activity number*	Activities	Year 2012					Year 2013				
		Amount			Source of funding		Amount			Source of funding	
		Staff costs	Non-staff costs	Total costs	SC Trust Fund	SV Trust Fund	Staff costs	Non-staff costs	Total costs	SC Trust Fund	SV Trust Fund
		<b>586 496</b>	<b>2 570 000</b>	<b>3 156 494</b>	<b>811 494</b>	<b>2 345 000</b>	<b>486 160</b>	<b>1 535 000</b>	<b>2 021 161</b>	<b>621 161</b>	<b>1 400 000</b>

**Knowledge and information management and outreach**

Activity number*	Activities	Year 2012					Year 2013				
		Amount			Source of funding		Amount			Source of funding	
		Staff costs	Non-staff costs	Total costs	SC Trust Fund	SV Trust Fund	Staff costs	Non-staff costs	Total costs	SC Trust Fund	SV Trust Fund
36N S (S10)	Joint clearing-house mechanism for information exchange. <i>Proposed to be co-funded between all three conventions: Basel: BC: \$28,000 and BD: \$37,600 per annum; Rotterdam: RO: \$28,000 and RV: \$50,400 per annum; and Stockholm: SC: \$28,000 and SV: \$39,500 per annum - Total: \$84,000 and \$127,500 per annum.</i>	209 914	67 500	277 414	237 914	39 500	218 164	67 500	285 664	246 164	39 500
37 S (S11)	Joint information technology services. <i>Proposed to be co-funded between all three conventions: Basel: BD: \$25,000 per annum; Rotterdam: RO: \$31,500 per annum RV: \$25,000 per annum; Stockholm: SC: \$31,500 per annum and SV: \$30,000 - Total: \$63,000 per annum and \$80,000</i>	25 809	111 500	137 309	57 309	80 000	26 824	31 500	58 324	58 324	-
38 S (S13)	Joint outreach and public awareness. <i>Proposed to be co-funded between all three conventions: Basel: BD: \$22,000; Rotterdam: RV: \$31,000 per annum; Stockholm: SV: \$38,000 per annum - Total: \$91,000 per annum</i>	86 030	38 000	124 030	86 030	38 000	89 412	38 000	127 412	89 412	38 000
		<b>321 754</b>	<b>217 000</b>	<b>538 753</b>	<b>381 253</b>	<b>157 500</b>	<b>334 400</b>	<b>137 000</b>	<b>471 400</b>	<b>393 900</b>	<b>77 500</b>

**Executive direction, management, strategic planning and cooperation**
**Management**

Activity number*	Activities	Year 2012					Year 2013				
		Amount			Source of funding		Amount			Source of funding	
		Staff costs	Non-staff costs	Total costs	SC Trust Fund	SV Trust Fund	Staff costs	Non-staff costs	Total costs	SC Trust Fund	SV Trust Fund
39	Provide general and legal policy advice to parties.	124 531	—	124 531	124 531	—	115 906	—	115 906	115 906	—
40	Provide overall management of the Secretariat.	79 148	210 000	289 148	259 148	30 000	78 682	210 000	288 682	258 682	30 000
41	Financial management and administration of the Secretariat.	48 177	—	48 177	48 177	—	46 494	—	46 494	46 494	—
42	Contribute to related activities on chemicals in UNEP and cooperation and coordination with partners and intergovernmental organizations.	34 412	25 000	59 412	59 412	—	35 765	25 000	60 765	60 765	—
43	Raise funds for activities under the voluntary Special Trust Fund (SV).	68 824	30 000	98 824	98 824	—	71 529	30 000	101 529	101 529	—
44 S (S5)	Work with regional liaison offices in Latin America and the Caribbean, Africa and Asia, in collaboration with key partners.	20 647	—	20 647	20 647	—	21 459	—	21 459	21 459	—
45N S (S17)	Support for the review of the synergies decisions. <i>Proposed to be co-funded between all three conventions: Basel: BC: \$10,350 in 2012; Rotterdam: RO: \$10,300 in 2012; Stockholm: SC: \$10,350 in 2012 - Total: \$31,000 in 2012.</i>	8 603	10 350	18 953	18 953	—	3 576	—	3 576	3 576	—
		<b>384 344</b>	<b>275 350</b>	<b>659 692</b>	<b>629 692</b>	<b>30 000</b>	<b>373 412</b>	<b>265 000</b>	<b>638 411</b>	<b>608 411</b>	<b>30 000</b>



**Equipment, supplies and services**

Activity number*	Activities	Year 2012					Year 2013				
		Amount			Source of funding		Amount			Source of funding	
		Staff costs	Non-staff costs	Total costs	SC Trust Fund	SV Trust Fund	Staff costs	Non-staff costs	Total costs	SC Trust Fund	SV Trust Fund
46	Procurement of expendable equipment, office supplies, toner and stationery.	75 707	15 000	90 707	90 707	—	67 953	15 000	82 953	82 953	—
47	Procurement of non-expendable office equipment, including furniture. Portion for computer software, hardware and related licences is reported under joint activity S11.	34 412	10 000	44 412	44 412	—	28 612	10 000	38 612	38 612	—
48	Rental and maintenance of equipment, communications, internet connection, mail/dispatching and postage.	34 412	75 000	109 412	109 412	—	28 612	75 000	103 612	103 612	—
49	Rental of office space, electricity and cleaning.	34 412	100 000	134 412	134 412	—	28 612	100 000	128 612	128 612	—
		<b>178 944</b>	<b>200 000</b>	<b>378 943</b>	<b>378 943</b>	<b>—</b>	<b>153 788</b>	<b>200 000</b>	<b>353 789</b>	<b>353 789</b>	<b>—</b>
		<b>3 377 327</b>	<b>5 941 350</b>	<b>9 318 669</b>	<b>5 114 669</b>	<b>4 204 000</b>	<b>3 510 066</b>	<b>5 652 750</b>	<b>9 162 815</b>	<b>5 368 815</b>	<b>3 794 000</b>

\*

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

S = Synergy activity: these activities are expected to be reflected in the budgets of the Basel and Rotterdam conventions. A synergistic approach, however, will be promoted in implementing all relevant activities set out in the budget.

**Table 2**
**B. Programme of work for 2012–2013 funded via the General Trust Fund (SC)**  
**Operational budget under the General Trust Fund (SC) for 2012–2013 (in United States dollars)**

		SC budget 2010	SC budget 2011	Total biennium 2010–2011	SC budget 2012	SC budget 2013	Total biennium 2012–2013
<b>10 Project personnel component</b>							
<b>1100</b>	<b>Professional staff</b>						
<b>1199</b>	<b>Total</b>	<b>13.00</b>	<b>2 187 666</b>	<b>2 357 266</b>	<b>2 440 815</b>	<b>2 538 494</b>	<b>4 979 309</b>
<b>1200</b>	<b>Consultants</b>						
1201	Consultants unspecified	75 000	75 000	150 000	52 500	52 500	105 000
	Consultants on guidance/training material						
1202		50 000	20 000	70 000	110 000	80 000	190 000
	Consultants on effectiveness evaluation						
1203		15 000	-	15 000	-	-	-
1204	Consultants on POPRC research	50 000	30 000	80 000	-	-	-
1205	Consultants for technical assistance	-	-	-	30 000	-	30 000
	Consultants on updating of GMP guidance						
1206		-	-	-	40 000	-	40 000
	Consultants on DDT information systems						
1207		-	-	-	-	-	-
	Consultants on clearing-house mechanism						
1208		60 000	-	60 000	-	-	-
	Consultants on financial mechanism evaluation						
1209		-	-	-	-	-	-
1210	Consultants on needs assessment	10 000	10 000	20 000	50 000	30 000	80 000
	Consultants on review of financial mechanism						
1211		-	-	-	-	100 000	100 000
	Monitoring information warehouse (under GMP)						
1212		20 000	15 000	35 000	-	-	-
	Consultants on PCBs elimination network						
1213		10 000	10 000	20 000	-	-	-
	Consultants on new POPs in products						
1214		150 000	-	150 000	150 000	100 000	250 000
	Consultants (technical assistance/training tools)						
1280		-	-	-	8 300	8 300	16 600
	Consultants (scientific and technical)						
1281		-	-	-	6 700	6 700	13 400
	Consultants (clearing-house development)						
1282		-	-	-	20 000	20 000	40 000
1283	Consultants (website maintenance)	-	-	-	8 000	8 000	16 000
1284	Consultants (brokering service)	-	-	-	6 650	8 400	15 050
1285	Consultants (review arrangements)	-	-	-	5 350	-	5 350
<b>1299</b>	<b>Total</b>	<b>440 000</b>	<b>160 000</b>	<b>600 000</b>	<b>487 500</b>	<b>413 900</b>	<b>901 400</b>
<b>13 Administrative support</b>							
<b>1300</b>	<b>General Service staff</b>						
	<i>General Service Staff subtotal</i>	8.00	<b>811 200</b>	<b>836 048</b>	<b>936 512</b>	<b>971 572</b>	<b>1 908 084</b>
<b>1330</b>	<b>Conference servicing</b>						
1330	Conference of the Parties	90 000	560 000	650 000	200 000	400 000	600 000
1331	POPs Review Committee	360 000	360 000	720 000	360 000	360 000	720 000
1332	Effectiveness evaluation	-	-	-	-	-	-
1333	Ad hoc JWG on synergies	-	-	-	-	-	-
1334	DDT experts group	45 000	-	45 000	-	-	-
1336	Compliance	6 600	6 600	13 200	-	-	-
	<i>Conference servicing subtotal</i>		<b>501 600</b>	<b>926 600</b>	<b>560 000</b>	<b>760 000</b>	<b>1 320 000</b>
<b>1399</b>	<b>Total</b>	<b>1 312 800</b>	<b>1 762 648</b>	<b>3 075 448</b>	<b>1 496 512</b>	<b>1 731 572</b>	<b>3 228 084</b>
<b>1600</b>	<b>Travel on official business</b>						
1601	Travel on official business	195 000	180 000	375 000	100 000	100 000	200 000
	Travel on official business (partners)						
1602		-	-	-	25 000	25 000	50 000
	Travel on official business (capacity-building regional level)						
1680		-	-	-	6 650	6 650	13 300
	Travel on official business (overall management)						
1681		-	-	-	15 000	15 000	30 000
<b>1699</b>	<b>Total</b>	<b>195 000</b>	<b>180 000</b>	<b>375 000</b>	<b>146 650</b>	<b>146 650</b>	<b>293 300</b>

		SC budget 2010	SC budget 2011	Total biennium 2010-2011	SC budget 2012	SC budget 2013	Total biennium 2012-2013
<b>1999</b>	<b>Component total</b>	<b>4 135 466</b>	<b>4 459 914</b>	<b>8 595 380</b>	<b>4 571 477</b>	<b>4 830 617</b>	<b>9 402 094</b>
<b>20</b>	<b>Subcontract component</b>						
	<b>2100 Subcontracts</b>						
	2101 Subcontracts CHM tools development	25 000	25 000	50 000	-	-	-
	2102 Subcontracts regional centres projects	80 000	80 000	160 000	50 000	30 000	80 000
	2103 Subcontracts effectiveness evaluation existing data	-	-	-	-	-	-
	2104 Subcontracts for effectiveness evaluation for regional organization groups new data	120 000	-	120 000	-	-	-
	2105 Subcontracts POPRC analysis in countries	-	-	-	-	-	-
	2106 Subcontracts technical assistance projects	70 000	50 000	120 000	-	20 000	20 000
	2107 Subcontracts DDT	80 000	80 000	160 000	-	-	-
	2108 Subcontracts new POPs	50 000	25 000	75 000	-	-	-
	2109 Subcontracts PCBs projects	-	-	-	-	-	-
	<b>2199 Total</b>	<b>425 000</b>	<b>260 000</b>	<b>685 000</b>	<b>50 000</b>	<b>50 000</b>	<b>100 000</b>
<b>2999</b>	<b>Component total</b>	<b>425 000</b>	<b>260 000</b>	<b>685 000</b>	<b>50 000</b>	<b>50 000</b>	<b>100 000</b>
<b>30</b>	<b>Training component</b>						
	<b>3300 Meetings: participant travel and DSA</b>						
	3301 Conference of the Parties	-	-	-	-	-	-
	3302 POPs Review Committee	90 500	90 500	181 000	90 000	90 000	180 000
	3303 Participant travel JWG synergies	-	-	-	-	-	-
	3304 Bureau travel	28 000	-	28 000	15 000	15 000	30 000
	3305 DDT and PCBs	50 000	-	50 000	-	-	-
	<b>3399 Total</b>	<b>168 500</b>	<b>90 500</b>	<b>259 000</b>	<b>105 000</b>	<b>105 000</b>	<b>210 000</b>
<b>3999</b>	<b>Component total</b>	<b>168 500</b>	<b>90 500</b>	<b>259 000</b>	<b>105 000</b>	<b>105 000</b>	<b>210 000</b>
<b>40</b>	<b>Equipment and premises component</b>						
	<b>4100 Expendable equipment</b>						
	4101 Office equipment: paper, toner, diskettes, CD-ROMs	15 000	15 000	30 000	7 500	7 500	15 000
	<b>4199 Total</b>	<b>15 000</b>	<b>15 000</b>	<b>30 000</b>	<b>7 500</b>	<b>7 500</b>	<b>15 000</b>
	<b>4200 Non-expendable equipment</b>						
	4201 Office equipment: hardware and software	30 000	30 000	60 000	10 000	10 000	20 000
	4202 Hardware and software for clearing-house mechanism	15 000	15 000	30 000	-	-	-
	4203 DDT information system	-	-	-	-	-	-
	4204 Clearing-house mechanism	-	-	-	-	-	-
	4280 Office equipment: hardware and software (IT services)	-	-	-	31 500	31 500	63 000
	<b>4299 Total</b>	<b>45 000</b>	<b>45 000</b>	<b>90 000</b>	<b>41 500</b>	<b>41 500</b>	<b>83 000</b>
	<b>4300 Premises</b>						
	4301 Office space, maintenance, utilities	60 000	60 000	120 000	100 000	100 000	200 000
	<b>4399 Total</b>	<b>60 000</b>	<b>60 000</b>	<b>120 000</b>	<b>100 000</b>	<b>100 000</b>	<b>200 000</b>
<b>4999</b>	<b>Component total</b>	<b>120 000</b>	<b>120 000</b>	<b>240 000</b>	<b>149 000</b>	<b>149 000</b>	<b>298 000</b>
<b>50</b>	<b>Miscellaneous component</b>						
	<b>5100 Operation and maintenance of equipment</b>						
	5101 Maintenance of office equipment	60 000	60 000	120 000	15 000	15 000	30 000
	<b>5199 Total</b>	<b>60 000</b>	<b>60 000</b>	<b>120 000</b>	<b>15 000</b>	<b>15 000</b>	<b>30 000</b>
	<b>5200 Reporting costs</b>						
	5201 Web publishing	-	-	-	-	-	-
	5202 Other electronic media publishing	3 000	3 000	6 000	3 000	3 000	6 000
	5203 Printing costs	5 000	5 000	10 000	5 000	5 000	10 000
	5204 Document translation	62 500	62 500	125 000	50 000	50 000	100 000
	5205 Document translation - new POPs	-	-	-	30 000	30 000	60 000
	5206 Translation and publishing (clearing-house)	10 000	10 000	20 000	5 000	5 000	10 000
	5207 Reprinting of specific technical materials	-	-	-	7 000	7 000	14 000
	5208 Translation and publishing (POPRC reports)	25 000	15 000	40 000	-	-	-

		SC budget 2010	SC budget 2011	Total biennium 2010-2011	SC budget 2012	SC budget 2013	Total biennium 2012-2013
5209	Translation and publishing of guidance materials	40 000	40 000	80 000	20 000	20 000	40 000
5210	Translation and publishing of DDT report	25 000	15 000	40 000	-	-	-
5280	Translation and publishing (publications)	-	-	-	19 200	19 200	38 400
5281	Translation and publishing (brokering service)	-	-	-	2 500	2 500	5 000
5282	Translation and publishing (review arrangements)	-	-	-	5 000	-	5 000
<b>5299</b>	<b>Total</b>	<b>170 500</b>	<b>150 500</b>	<b>321 000</b>	<b>146 700</b>	<b>141 700</b>	<b>288 400</b>
<b>5300</b>	<b>Sundry</b>						
5301	Communications: mailing/dispatching	15 000	15 000	30 000	30 000	30 000	60 000
5302	Communications: internet connection	22 000	22 000	44 000	30 000	30 000	60 000
5303	Office supplies	10 000	10 000	20 000	7 500	7 500	15 000
<b>5399</b>	<b>Total</b>	<b>47 000</b>	<b>47 000</b>	<b>94 000</b>	<b>67 500</b>	<b>67 500</b>	<b>135 000</b>
<b>5400</b>	<b>Hospitality</b>						
5401	Hospitality	10 000	10 000	20 000	10 000	10 000	20 000
<b>5499</b>	<b>Total</b>	<b>10 000</b>	<b>10 000</b>	<b>20 000</b>	<b>10 000</b>	<b>10 000</b>	<b>20 000</b>
<b>5999</b>	<b>Component total</b>	<b>287 500</b>	<b>267 500</b>	<b>555 000</b>	<b>239 200</b>	<b>234 200</b>	<b>473 400</b>
	<b>Direct project cost operational budget</b>	<b>5 136 466</b>	<b>5 197 914</b>	<b>10 334 380</b>	<b>5 114 669</b>	<b>5 368 815</b>	<b>10 483 493</b>
	<b>UNEP programme support costs 13%</b>	<b>667 741</b>	<b>675 729</b>	<b>1 343 469</b>	<b>664 907</b>	<b>697 946</b>	<b>1 362 854</b>
	<b>Total operational budget</b>	<b>5 804 207</b>	<b>5 873 642</b>	<b>11 677 849</b>	<b>5 779 576</b>	<b>6 066 761</b>	<b>11 846 347</b>
	Increment to the working capital reserve (8.3 per cent average annual)	35 061	-	35 061	6 992	-	6 992
	<b>Grand total</b>	<b>5 839 267</b>	<b>5 873 642</b>	<b>11 712 910</b>	<b>5 786 568</b>	<b>6 066 761</b>	<b>11 853 339</b>
	Percentage increase from year to year	3.9%	3.9%	7.7%	-1.5%	4.8%	1.2%
	Deduction from the reserve and fund balance	150 000	150 000	300 000	300 000	300 000	600 000
	Host country contribution**	1 691 096	1 690 488	3 381 584	1 366 150	1 361 670	2 727 820
	<b>Covered by parties</b>	<b>3 998 171</b>	<b>4 033 154</b>	<b>8 031 326</b>	<b>4 120 418</b>	<b>4 405 091</b>	<b>8 525 519</b>
	<b>Percentage increase from year to year</b>	<b>1.6%</b>	<b>0.9%</b>	<b>2.3%</b>	<b>2.2%</b>	<b>6.9%</b>	<b>6.2%</b>

\*\* Swiss contribution of CHF 2,000,000 calculated by using the average United Nations exchange rate between January 2010 and March 2011 (15 months) is 0.954 - equal to USD 1,908,000 - calculated at the same level for both years - 75% of host country equal to USD 1,431,000

	2010	2011	2012	2013
Host country contribution - 75%	1 691 096	1 690 488	1 366 150	1 361 670
Assessed contribution	69 467	70 075	64 850	69 330
Grand total	1 760 563	1 760 563	1 431 000	1 431 000

**Table 3****C. Estimate for activities for 2012–2013 funded via the voluntary trust fund (SV)****Voluntary budget for 2012–2013 (in United States dollars)****Summary table of total costs per budget code level**

	SV budget 2010	SV budget 2011	Total biennium 2010– 2011	SV budget 2012	SV budget 2013	Total biennium 2012–2013
<b>10 Project personnel component</b>						
<b>1200 Consultants</b>						
1204 Consultants Toolkit	25 000	25 000	50 000	15 000	10 000	25 000
1206 Consultant POPs-free products	-	-	-	30 000	30 000	60 000
1208 POPs wastes consultants	40 000	20 000	60 000	-	-	-
1209 NIP consultants	-	-	-	-	-	-
1210 Consultant POPRC/Effective participation	-	-	-	-	-	-
1211 Consultants financial assistance	60 000	20 000	80 000	40 000	40 000	80 000
1212 Consultants technical assistance	45 000	45 000	90 000	-	-	-
1213 Consultants effectiveness evaluation (Monitoring)	30 000	30 000	60 000	45 000	-	45 000
1214 Consultants DDT and PCBs	80 000	60 000	140 000	45 000	50 000	95 000
1215 Consultants knowledge and information systems	15 000	15 000	30 000	15 000	15 000	30 000
1216 Consultants new POPs	85 000	95 000	180 000	75 000	75 000	150 000
1217 Consultants Global Monitoring Plan (GMP)	100 000	100 000	200 000	-	-	-
1218 Consultants new POPs (Reporting)	-	-	-	90 000	30 000	120 000
1280 Consultants (technical assistance/training tools)	-	-	-	12 800	12 800	25 600
1281 Consultants (capacity-building, national level)	-	-	-	30 000	30 000	60 000
1282 Consultants (scientific and technical)	-	-	-	1 900	1 900	3 800
1283 Consultants (guidelines on POPs wastes)	-	-	-	3 800	3 800	7 600
1284 Consultants (cross-cutting information)	-	-	-	6 000	6 000	12 000
1285 Consultants (clearing-house development)	-	-	-	24 400	24 400	48 800
1286 Consultants (reporting)	-	-	-	45 000	10 000	55 000
1287 Consultants (IT platform)	-	-	-	40 000	-	40 000
<b>1299 Total</b>	<b>480 000</b>	<b>410 000</b>	<b>890 000</b>	<b>518 900</b>	<b>338 900</b>	<b>857 800</b>
<b>1330 Conference services</b>						
1331 NIP conference services	-	-	-	-	-	-
1334 DDT experts group	-	-	-	90 000	-	90 000
1380 Conference services - (annual meeting regional centres)	-	-	-	3 200	3 200	6 400
<b>1399 Total</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>93 200</b>	<b>3 200</b>	<b>96 400</b>
<b>1600 Travel on official business</b>						
1601 POPs wastes travel	-	-	-	-	-	-
1602 NIPs staff travel	-	-	-	-	-	-
1603 Travel on official business	80 000	25 000	105 000	30 000	30 000	60 000
1680 Travel on official business (joint staff travel)	-	-	-	53 200	63 200	116 400
<b>1699 Total</b>	<b>80 000</b>	<b>25 000</b>	<b>105 000</b>	<b>83 200</b>	<b>93 200</b>	<b>176 400</b>
<b>1999 Component total</b>	<b>560 000</b>	<b>435 000</b>	<b>995 000</b>	<b>695 300</b>	<b>435 300</b>	<b>1 130 600</b>
<b>20 Subcontract component</b>						
<b>2200 Subcontracts</b>						
2201 POPRC country activities	150 000	90 000	240 000	-	-	-
2202 NIPS subcontracts	60 000	10 000	70 000	-	-	-
2203 Toolkit emission factors	-	-	-	-	-	-
2204 Toolkit revision	80 000	50 000	130 000	32 500	32 500	65 000
2205 POPs monitoring data	500 000	220 000	720 000	600 000	320 000	920 000
2206 POPs capacity enhancement and technical assistance in regions	500 000	385 000	885 000	810 000	810 000	1 620 000
2207 DDT	220 000	130 000	350 000	300 000	-	300 000
2208 PCBs	-	-	-	255 000	222 000	477 000
2209 New POPs	-	-	-	300 000	300 000	600 000

		SV budget 2010	SV budget 2011	Total biennium 2010- 2011	SV budget 2012	SV budget 2013	Total biennium 2012-2013
2280	Subcontracts (technical assistance/training tools)	-	-	-	92 500	92 500	185 000
2281	Subcontracts (capacity-building, regional level)	-	-	-	115 000	115 000	230 000
2282	Subcontracts (capacity-building, national level)	-	-	-	130 000	130 000	260 000
2283	Subcontracts (partnerships with other MEAs)	-	-	-	90 000	90 000	180 000
2284	Subcontracts (scientific and technical)	-	-	-	6 000	6 000	12 000
2285	Subcontracts (guidelines on POPs wastes)	-	-	-	9 600	9 600	19 200
2286	Subcontracts (regional centres)	-	-	-	69 500	69 500	139 000
2287	Subcontracts (South-South cooperation)	-	-	-	16 000	16 000	32 000
2288	Subcontracts (clearing-house development)	-	-	-	3 100	3 100	6 200
2289	Subcontracts (public awareness/Safe Planet campaign)	-	-	-	38 000	38 000	76 000
2290	Subcontracts (reporting)	-	-	-	-	30 000	30 000
2291	Subcontracts (IT platform)	-	-	-	20 000	-	20 000
<b>2299</b>	<b>Total</b>	<b>1 510 000</b>	<b>885 000</b>	<b>2 395 000</b>	<b>2 887 200</b>	<b>2 284 200</b>	<b>5 171 400</b>
<b>2999</b>	<b>Component total</b>	<b>1 510 000</b>	<b>885 000</b>	<b>2 395 000</b>	<b>2 887 200</b>	<b>2 284 200</b>	<b>5 171 400</b>
<b>30 Training component</b>							
<b>Meetings: participants travel and DSA</b>							
<b>3300</b>	<b>Conference of the Parties</b>	-	750 000	750 000	-	600 000	600 000
3302	POPs Review Committee	60 000	60 000	120 000	40 000	40 000	80 000
3303	Toolkit participant travel	45 000	45 000	90 000	22 500	22 500	45 000
3304	Reporting training (Article 15)	-	-	-	-	-	-
3305	BAT/BEP training participant travel	-	-	-	-	-	-
3306	POPs wastes participant travel	130 000	120 000	250 000	-	-	-
3307	NIPS training	200 000	155 000	355 000	-	-	-
3308	POPs training participant travel	-	-	-	-	-	-
3309	Effectiveness evaluation participant travel	110 000	80 000	190 000	-	-	-
3310	POPRC effective participation	150 000	120 000	270 000	-	-	-
3311	DDT and PCBs	170 000	180 000	350 000	150 000	-	150 000
3312	New POPs	200 000	85 000	285 000	-	-	-
3313	Financial mechanism/assistance travel	-	-	-	10 000	20 000	30 000
3380	Participants travel (scientific and technical)	-	-	-	11 500	11 500	23 000
3381	Participants travel (guidelines on POPs wastes)	-	-	-	5 000	5 000	10 000
3382	Participants travel (annual meeting regional centres)	-	-	-	36 800	36 800	73 600
3383	Participants travel (brokering service)	-	-	-	4 000	4 000	8 000
<b>3399</b>	<b>Total</b>	<b>1 065 000</b>	<b>1 595 000</b>	<b>2 660 000</b>	<b>279 800</b>	<b>739 800</b>	<b>1 019 600</b>
<b>3999</b>	<b>Component total</b>	<b>1 065 000</b>	<b>1 595 000</b>	<b>2 660 000</b>	<b>279 800</b>	<b>739 800</b>	<b>1 019 600</b>
<b>40 Equipment and premises component</b>							
<b>4100 Expendable equipment</b>							
4180	Office equipment: paper, diskettes, CD-ROMs (cross-cutting information)	-	-	-	500	500	1 000
<b>4199</b>	<b>Total</b>	-	-	-	<b>500</b>	<b>500</b>	<b>1 000</b>
<b>4200 Non-expendable equipment</b>							
4280	Office equipment: hardware and software (CHM - cross-cutting information)	-	-	-	1 000	1 000	2 000
4281	Office equipment: hardware and software (clearing-house development)	-	-	-	3 500	3 500	7 000
4283	Office equipment: hardware and software (IT platform)	-	-	-	20 000	-	20 000
<b>4299</b>	<b>Total</b>	-	-	-	<b>24 500</b>	<b>4 500</b>	<b>29 000</b>
<b>4999</b>	<b>Component total</b>	-	-	-	<b>24 500</b>	<b>4 500</b>	<b>29 000</b>
<b>50 Miscellaneous component</b>							
<b>5200 Reporting costs</b>							
5201	Reports on new POPs	-	-	-	30 000	25 000	55 000
5202	Reports on new POPs (Reporting)	-	-	-	25 000	25 000	50 000
5203	Reports on existing chemicals	110 000	110 000	220 000	40 000	60 000	100 000
5204	Reporting on new chemicals	30 000	40 000	70 000	80 000	100 000	180 000

	SV budget 2010	SV budget 2011	Total biennium 2010- 2011	SV budget 2012	SV budget 2013	Total biennium 2012-2013
5205 Reporting on PCBs	-	-	-	70 000	73 000	143 000
5206 Reporting BAT/BEP and Toolkits	-	-	-	10 000	10 000	20 000
5210 Translation and publishing of DDT report				25 000	-	25 000
5280 Reporting	-	-	-	36 700	36 700	73 400
<b>5299 Total</b>	<b>140 000</b>	<b>150 000</b>	<b>290 000</b>	<b>316 700</b>	<b>329 700</b>	<b>646 400</b>
<b>5999 Component total</b>	<b>140 000</b>	<b>150 000</b>	<b>290 000</b>	<b>316 700</b>	<b>329 700</b>	<b>646 400</b>
<b>Direct project cost operational budget</b>	<b>3 275 000</b>	<b>3 065 000</b>	<b>6 340 000</b>	<b>4 204 000</b>	<b>3 794 000</b>	<b>7 998 000</b>
<b>UNEP programme support costs 13%</b>	<b>425 750</b>	<b>398 450</b>	<b>824 200</b>	<b>546 520</b>	<b>493 220</b>	<b>1 039 740</b>
<b>Total operational budget</b>	<b>3 700 750</b>	<b>3 463 450</b>	<b>7 164 200</b>	<b>4 750 520</b>	<b>4 287 220</b>	<b>9 037 740</b>
<b>Grand total</b>	<b>3 700 750</b>	<b>3 463 450</b>	<b>7 164 200</b>	<b>4 750 520</b>	<b>4 287 220</b>	<b>9 037 740</b>
Percentage increase from year to year	-0,4%	32,1%	66,5%	37,2%	-9,8%	26,2%
Deduction from the reserve and fund balance	-	-	-	-	-	-
Host country contribution	-	-	-	-	-	-
<b>Covered by parties</b>	<b>3 700 750</b>	<b>3 463 450</b>	<b>7 164 200</b>	<b>4 750 520</b>	<b>4 287 220</b>	<b>9 037 740</b>

**Table 4**
**D. Indicative scale of assessments for the General Trust Fund (SC) for the operational budget for the biennium 2012–2013 (in United States dollars)**

<b>Portion of operational budget covered by assessed contributions</b>	<b>2012</b>	<b>4 120 418</b>
	<b>2013</b>	<b>4 405 091</b>

		2012	2013		
	<i>Member State</i>	<i>United Nations scale of assessments 2010**</i>	<i>Scale with 22% ceiling and 0.010% base</i>	<i>Assessed contributions to be covered by the parties</i>	<i>Assessed contributions to be covered by the parties</i>
	<i>Pledged contribution</i>	<i>Percentage</i>	<i>Percentage</i>		
1	Albania	0.010	0.014	574	614
2	Algeria	0.128	0.178	7 346	7 853
3	Angola	0.010	0.014	574	614
4	Antigua and Barbuda	0.002	0.010	412	441
5	Argentina	0.287	0.400	16 471	17 609
6	Armenia	0.005	0.010	412	441
7	Australia	1.933	2.692	110 933	118 598
8	Austria	0.851	1.185	48 838	52 212
9	Azerbaijan	0.015	0.021	861	920
10	Bahamas	0.018	0.025	1 033	1 104
11	Bahrain	0.039	0.054	2 238	2 393
12	Bangladesh	0.010	0.014	574	614
13	Barbados	0.008	0.010	412	441
14	Belarus	0.042	0.058	2 410	2 577
15	Belgium	1.075	1.497	61 693	65 956
16	Belize*	0.001	0.010	412	441
17	Benin	0.003	0.010	412	441
18	Bolivia (Plurinational State of)	0.007	0.010	412	441
19	Bosnia and Herzegovina*	0.014	0.019	803	859
20	Botswana	0.018	0.025	1 033	1 104
21	Brazil	1.611	2.244	92 454	98 842
22	Bulgaria	0.038	0.053	2 181	2 331
23	Burkina Faso	0.003	0.010	412	441
24	Burundi	0.001	0.010	412	441
25	Cambodia	0.003	0.010	412	441
26	Cameroon*	0.011	0.015	631	675
27	Canada	3.207	4.467	184 047	196 763
28	Cape Verde	0.001	0.010	412	441
29	Central African Republic	0.001	0.010	412	441
30	Chad	0.002	0.010	412	441
31	Chile	0.236	0.329	13 544	14 480
32	China	3.189	4.442	183 014	195 658
33	Colombia	0.014	0.019	803	859
34	Comoros	0.001	0.010	412	441
35	Congo	0.003	0.010	412	441
36	Cook Islands	0.001	0.010	412	441
37	Costa Rica	0.034	0.047	1 951	2 086
38	Côte d'Ivoire	0.010	0.014	574	614
39	Croatia	0.097	0.135	5 567	5 951
40	Cuba	0.071	0.099	4 075	4 356
41	Cyprus	0.046	0.064	2 640	2 822
42	Czech Republic	0.349	0.486	20 029	21 413
43	Democratic People's Republic of Korea	0.007	0.010	412	441
44	Democratic Republic of the Congo	0.003	0.010	412	441
45	Denmark	0.736	1.025	42 238	45 157
46	Djibouti	0.001	0.010	412	441
47	Dominica	0.001	0.010	412	441



		2012	2013		
	<i>Member State</i>	<i>United Nations scale of assessments 2010**</i>	<i>Scale with 22% ceiling and 0.010% base</i>	<i>Assessed contributions to be covered by the parties</i>	<i>Assessed contributions to be covered by the parties</i>
		<i>Percentage</i>	<i>Percentage</i>		
	<b>Pledged contribution</b>				
48	Dominican Republic	0.042	0.058	2 410	2 577
49	Ecuador	0.040	0.056	2 296	2 454
50	Egypt	0.094	0.131	5 395	5 767
51	El Salvador	0.019	0.026	1 090	1 166
52	Eritrea	0.001	0.010	412	441
53	Estonia	0.040	0.056	2 296	2 454
54	Ethiopia	0.008	0.010	412	441
55	European Union	2.500	2.500	103 010	110 127
56	Fiji	0.004	0.010	412	441
57	Finland	0.566	0.788	32 482	34 726
58	France	6.123	8.528	351 394	375 671
59	Gabon	0.014	0.019	803	859
60	Gambia	0.001	0.010	412	441
61	Georgia	0.006	0.010	412	441
62	Germany	8.018	11.167	460 147	491 937
63	Ghana	0.006	0.010	412	441
64	Greece	0.691	0.962	39 656	42 396
65	Guatemala	0.028	0.039	1 607	1 718
66	Guinea	0.002	0.010	412	441
67	Guinea-Bissau	0.001	0.010	412	441
68	Guyana	0.001	0.010	412	441
69	Honduras	0.008	0.010	412	441
70	Hungary	0.291	0.405	16 700	17 854
71	Iceland	0.042	0.058	2 410	2 577
72	India	0.534	0.744	30 646	32 763
73	Indonesia*	0.238	0.331	13 659	14 602
74	Iran (Islamic Republic of)	0.233	0.325	13 372	14 296
75	Ireland*	0.498	0.694	28 580	30 554
76	Jamaica	0.014	0.019	803	859
77	Japan	12.530	17.452	719 087	768 767
78	Jordan	0.014	0.019	803	859
79	Kazakhstan	0.076	0.106	4 362	4 663
80	Kenya	0.012	0.017	689	736
81	Kiribati	0.001	0.010	412	441
82	Kuwait	0.263	0.366	15 093	16 136
83	Kyrgyzstan	0.001	0.010	412	441
84	Lao People's Democratic Republic	0.001	0.010	412	441
85	Latvia	0.038	0.053	2 181	2 331
86	Lebanon	0.033	0.046	1 894	2 025
87	Lesotho	0.001	0.010	412	441
88	Liberia	0.001	0.010	412	441
89	Libyan Arab Jamahiriya	0.129	0.180	7 403	7 915
90	Liechtenstein	0.009	0.010	412	441
91	Lithuania	0.065	0.091	3 730	3 988
92	Luxembourg	0.090	0.125	5 165	5 522
93	Madagascar	0.003	0.010	412	441
94	Malawi	0.001	0.010	412	441
95	Maldives	0.001	0.010	412	441
96	Mali	0.001	0.010	412	441
97	Marshall Islands	0.001	0.010	412	441
98	Mauritania	0.001	0.010	412	441
99	Mauritius	0.011	0.015	631	675
100	Mexico	2.356	3.281	135 209	144 550
101	Micronesia (Federated States of)	0.001	0.010	412	441
102	Monaco	0.003	0.010	412	441

		2012	2013		
	<i>Member State</i>	<i>United Nations scale of assessments 2010**</i>	<i>Scale with 22% ceiling and 0.010% base</i>	<i>Assessed contributions to be covered by the parties</i>	<i>Assessed contributions to be covered by the parties</i>
		<i>Percentage</i>	<i>Percentage</i>		
	<b>Pledged contribution</b>				
103	Mongolia	0.002	0.010	412	441
104	Morocco	0.058	0.081	3 329	3 559
105	Mozambique	0.003	0.010	412	441
106	Myanmar	0.006	0.010	412	441
107	Namibia	0.008	0.010	412	441
108	Nauru	0.001	0.010	412	441
109	Nepal	0.006	0.010	412	441
110	Netherlands	1.855	2.584	106 457	113 812
111	New Zealand	0.273	0.380	15 667	16 750
112	Nicaragua	0.003	0.010	412	441
113	Niger	0.002	0.010	412	441
114	Nigeria	0.078	0.109	4 476	4 786
115	Niue	0.001	0.010	412	441
116	Norway	0.871	1.213	49 986	53 439
117	Oman	0.086	0.120	4 935	5 276
118	Pakistan	0.082	0.114	4 706	5 031
119	Panama	0.022	0.031	1 263	1 350
120	Papua New Guinea	0.002	0.010	412	441
121	Paraguay	0.007	0.010	412	441
122	Peru	0.090	0.125	5 165	5 522
123	Philippines	0.090	0.125	5 165	5 522
124	Poland	0.828	1.153	47 518	50 801
125	Portugal	0.511	0.712	29 326	31 352
126	Qatar	0.135	0.188	7 748	8 283
127	Republic of Korea	2.260	3.148	129 700	138 660
128	Republic of Moldova	0.002	0.010	412	441
129	Romania	0.177	0.247	10 158	10 860
130	Rwanda	0.001	0.010	412	441
131	Saint Kitts and Nevis	0.001	0.010	412	441
132	Saint Lucia	0.001	0.010	412	441
133	Saint Vincent and the Grenadines	0.001	0.010	412	441
134	Samoa	0.001	0.010	412	441
135	Sao Tome and Principe	0.001	0.010	412	441
136	Senegal	0.006	0.010	412	441
137	Serbia*	0.037	0.052	2 123	2 270
138	Seychelles	0.002	0.010	412	441
139	Sierra Leone	0.001	0.010	412	441
140	Singapore	0.335	0.467	19 225	20 554
141	Slovakia	0.142	0.198	8 149	8 712
142	Slovenia	0.103	0.143	5 911	6 319
143	Solomon Islands	0.001	0.010	412	441
144	Somalia*	0.001	0.010	412	441
145	South Africa	0.385	0.536	22 095	23 621
146	Spain	3.177	4.425	182 326	194 922
147	Sri Lanka	0.019	0.026	1 090	1 166
148	Sudan	0.010	0.014	574	614
149	Swaziland	0.003	0.010	412	441
150	Sweden	1.064	1.482	61 062	65 281
151	Switzerland	1.130	1.574	64 850	69 330
152	Syrian Arab Republic	0.025	0.035	1 435	1 534
153	Tajikistan	0.002	0.010	412	441
154	Thailand	0.209	0.291	11 994	12 823
155	The former Yugoslav Republic of Macedonia	0.007	0.010	412	441
156	Togo	0.001	0.010	412	441
157	Tonga*	0.001	0.010	412	441

		2012	2013		
	<i>Member State</i>	<i>Percentage</i>	<i>Percentage</i>		
	<b>Pledged contribution</b>				
158	Trinidad and Tobago	0.044	0.061	2 525	2 700
159	Tunisia	0.030	0.042	1 722	1 841
160	Turkey*	0.617	0.859	35 409	37 855
161	Tuvalu	0.001	0.010	412	441
162	Uganda	0.006	0.010	412	441
163	Ukraine	0.087	0.121	4 993	5 338
164	United Arab Emirates	0.391	0.545	22 439	23 989
165	United Kingdom of Great Britain and Northern Ireland	6.604	9.198	378 998	405 183
166	United Republic of Tanzania	0.008	0.010	412	441
167	Uruguay	0.027	0.038	1 550	1 657
168	Vanuatu	0.001	0.010	412	441
169	Venezuela (Bolivarian Republic of)	0.314	0.437	18 020	19 265
170	Viet Nam	0.033	0.046	1 894	2 025
171	Yemen	0.010	0.014	574	614
172	Zambia	0.004	0.010	412	441
173	Montenegro <sup>1</sup>	0.001	0.010	412	441
	<b>GRAND TOTAL</b>	<b>72</b>	<b>100</b>	<b>4 120 418</b>	<b>4 405 091</b>

<sup>1</sup> Montenegro ratified the Convention on 31 March 2011 and is not included in the initial document.

\* New parties that have ratified the Convention.

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

**Table 5**
**E. Indicative staffing table for the Convention Secretariat 2012–2013 (used for costing purposes)**

Staff category and level	Approved 2010–2011 staffing	Proposed <sup>1</sup> 2012–2013 staffing	Remarks
A. Professional category			
D-1 level	0.75	0.75	
P-5 level	3.00	3.00	
P-4 level	3.00	3.00	
P-3 level	6.25	6.25	1
P-2 level	-	-	
<i>Subtotal:</i>	<i>13.00</i>	<i>13.00</i>	
B. General Service category			
GS	8	8	2
<b>TOTAL (A+B):</b>	<b>21.00</b>	<b>21.00</b>	

Note 1. Includes one Administrative Officer (funded via programme support costs).

Note 2. Includes administrative support staff provided by UNEP for administration, budget, finance, human resources and information technology functions (funded via programme support costs).

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

Staff category and level	2010	2011	2012 <sup>1</sup>	2013 <sup>2</sup>
A. Professional categories				
D-2	268 840	279 594	297 336	309 229
D-1	245 336	255 149	273 416	284 353
P-5	217 152	225 838	244 088	253 852
P-4	187 616	195 121	206 336	214 589
P-3	157 872	164 187	172 432	179 329
P-2	132 080	137 363	143 624	149 369
B. General Service category				
GS	106 600	110 864	125 216	130 225

1. Staff costs for 2012 were estimated by increasing by 4% the United Nations Standard Salary Costs for Geneva for the year 2011 (version 10 dated 11 January 2011).

2. Staff costs for 2013 were estimated by increasing 2012 staff costs by 4 per cent.

## SC-5/29: Official communications

### *The Conference of the Parties*

1. *Urges* parties that have not already done so to nominate official contact points to perform administrative functions and to handle all formal communication under the Stockholm Convention on Persistent Organic Pollutants;
2. *Invites* parties and States not party to the Convention that have not already done so to confirm their existing national focal points for information exchange or to nominate new such national focal points;
3. *Requests* the Secretariat to send to the permanent missions to the United Nations in Geneva a copy of all official communications so as to ensure efficient communication;
4. *Takes note* of the list of non-governmental organizations that have not attended a previous meeting of the Conference of the Parties but have registered to attend the current meeting.<sup>69</sup>

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69 UNEP/POPS/COP.5/INF/31/Rev.1.

## Annex II

### List of pre-session documents organized by agenda item

<b>Item 2:</b>	<b>Organizational matters</b>	
	<b>(a) Election of officers</b>	
	UNEP/POPS/COP.5/2	Election of officers of the Conference of the Parties at its fifth meeting
	<b>(b) Adoption of the agenda</b>	
	UNEP/POPS/COP.5/1	Provisional agenda
	UNEP/POPS/COP.5/1/Add.1	Annotations to the provisional agenda
	<b>(c) Organization of work</b>	
	UNEP/POPS/COP.5/1/Add.1	Annotations to the provisional agenda
	UNEP/POPS/COP.5/INF/1	Scenario note for the fifth meeting of the Conference of the Parties to the Stockholm Convention
	<b>(d) Report on the credentials of representatives to the fifth meeting of the Conference of the Parties</b>	
	UNEP/POPS/COP.5/1/Add.1	Annotations to the provisional agenda
	UNEP/POPS/COP.5/1/INF/32	Status of ratification of the Stockholm Convention on Persistent Organic Pollutants
<b>Item 3:</b>	<b>Rules of procedure for the Conference of the Parties and its subsidiary bodies</b>	
	UNEP/POPS/COP.5/3	Rules of procedure for the Conference of the Parties
<b>Item 4:</b>	<b>Matters related to the implementation of the Convention</b>	
	<b>(a) Measures to reduce or eliminate releases from intentional production and use</b>	
	<b>(i) DDT</b>	
	UNEP/POPS/COP.5/4	Evaluation of the continued need for DDT for disease vector control and promotion of alternatives to DDT
	UNEP/POPS/COP.5/5	Report of the expert group on the assessment of the production and use of DDT and its alternatives for disease vector control
	UNEP/POPS/COP.5/INF/2	Global alliance for the development and deployment of products, methods and strategies as alternatives to DDT for disease vector control
	UNEP/POPS/COP.5/INF/3	Report of the meeting of the expert group on the assessment of the production and use of DDT and its alternatives for disease vector control
	UNEP/POPS/COP.5/INF/36	DDT in indoor residual spraying: human health aspects: consensus statement of the expert consultation conducted by the World Health Organization to assess risks arising from DDT

- (ii) Exemptions**
- UNEP/POPS/COP.5/7 Register of Specific Exemptions and Register of Acceptable Purposes
- UNEP/POPS/COP.5/18 Development of reporting and reviewing requirements for the use of lindane in cooperation with the World Health Organization
- UNEP/POPS/COP.5/INF/13 Additional information to supplement the report on the development of reporting and reviewing requirements for the use of lindane
- (iii) Evaluation of the continued need for the procedure under paragraph 2 (b) of Article 3**
- UNEP/POPS/COP.5/8 Evaluation of the continued need for the procedure under paragraph 2 (b) of Article 3
- (iv) Polychlorinated biphenyls**
- UNEP/POPS/COP.5/9 Report on progress in establishing the polychlorinated biphenyls elimination network and other activities to eliminate polychlorinated biphenyls through environmentally sound management and disposal
- UNEP/POPS/COP.5/29 Reporting pursuant to Article 15 of the Stockholm Convention
- UNEP/POPS/COP.5/INF/4 Reports of the meetings of the advisory committee of the polychlorinated biphenyls elimination network
- UNEP/POPS/COP.5/INF/23 Reporting pursuant to Article 15 of the Stockholm Convention on Persistent Organic Pollutants
- (b) Measures to reduce or eliminate releases from unintentional production**
- (i) Best available techniques and best environmental practices**
- UNEP/POPS/COP.5/10 Guidelines on best available techniques and provisional guidance on best environmental practices
- UNEP/POPS/COP.5/INF/5 Compilation of comments on the guidelines on best available techniques and provisional guidance on best environmental practices
- (ii) Identification and quantification of releases**
- UNEP/POPS/COP.5/11 Review and updating of the Standardized Toolkit for Identification and Quantification of Dioxin and Furan Releases
- UNEP/POPS/COP.5/INF/6 Expert meetings to further develop the Standardized Toolkit for Identification and Quantification of Dioxin and Furan Releases
- UNEP/POPS/COP.5/INF/44 Revised spreadsheet file for the quantification of dioxin and furan releases
- (c) Measures to reduce or eliminate releases from wastes**
- UNEP/POPS/COP.5/9 Report on progress in establishing the polychlorinated biphenyls elimination network and other activities to eliminate polychlorinated biphenyls through environmentally sound management and disposal
- UNEP/POPS/COP.5/12 Measures to reduce or eliminate releases from waste
- UNEP/POPS/COP.5/15 Work programmes on new persistent organic pollutants

	UNEP/POPS/COP.5/16	Persistent Organic Pollutants Review Committee: developments for action by the Conference of the Parties
	UNEP/POPS/COP.5/INF/10	Updated compilation of information related to quantities of a chemical occurring as unintentional trace contaminants in products and articles
<b>(d)</b>	<b>Implementation plans</b>	
	UNEP/POPS/COP.5/13	Implementation plans under Article 7 of the Stockholm Convention on Persistent Organic Pollutants
	UNEP/POPS/COP.5/INF/7/Rev.1	Implementation plans transmitted to the Conference of the Parties
	UNEP/POPS/COP.5/INF/8	Compilation of comments on the draft guidance on social and economic assessment for national implementation plan development and implementation under the Stockholm Convention and on the draft guidance on calculation of action plan costs, including incremental costs, and action plans for specific persistent organic pollutants
<b>(e)</b>	<b>Listing chemicals in Annex A, B or C to the Convention</b>	
	UNEP/POPS/COP.5/14	Entry into force of the amendments to Annexes A, B and C to the Stockholm Convention on Persistent Organic Pollutants to list nine new chemicals
	UNEP/POPS/COP.5/15	Work programmes on new persistent organic pollutants
	UNEP/POPS/COP.5/16	Persistent Organic Pollutants Review Committee: developments for action by the Conference of the Parties
	UNEP/POPS/COP.5/17	Recommendation by the Persistent Organic Pollutants Review Committee of the Stockholm Convention to amend Annex A to the Convention and draft amendment text
	UNEP/POPS/COP.5/INF/9	Updated compilation of information relevant to the implementation of paragraphs 3 and 4 of Article 3 of the Convention
	UNEP/POPS/COP.5/INF/10	Updated compilation of information related to quantities of a chemical occurring as unintentional trace contaminants in products and articles
	UNEP/POPS/COP.5/INF/11	Report on activities to support parties' effective participation in the Persistent Organic Pollutants Review Committee's work
	UNEP/POPS/COP.5/INF/12	Compilation of comments for consideration by the Conference of the Parties on the Persistent Organic Pollutants Review Committee's recommendation to list endosulfan in Annex A to the Convention
<b>(f)</b>	<b>Information exchange</b>	
	UNEP/POPS/COP.5/19	Clearing-house mechanism for information exchange on persistent organic pollutants
	UNEP/POPS/COP.5/INF/34	Outcomes of the initial phase of a pilot project to gather information on products free of persistent organic pollutants and to promote the use of available substitutes and alternatives
	UNEP/POPS/COP.5/INF/50	Guidance document for parties and other stakeholders to facilitate the implementation of the clearing-house mechanism at the national and regional levels



**(g) Technical assistance**

UNEP/POPS/COP.5/20	Guidance on technical assistance
UNEP/POPS/COP.5/21	Report on activities of the regional and subregional centres for capacity-building and transfer of environmentally sound technologies and considerations regarding the selection of new centres
UNEP/POPS/COP.5/INF/37	Activity reports provided by the regional and subregional centres for capacity-building and the transfer of technology and the nominated Stockholm Convention centres
UNEP/POPS/COP.5/INF/38	Compilation of information provided by the nominated Stockholm Convention centres on their efforts to seek support to comply with the criteria set out in decision SC-2/9
UNEP/POPS/COP.5/INF/39	Small grants programme for the Stockholm Convention regional and subregional centres for capacity-building and the transfer of technology
UNEP/POPS/COP.5/INF/40	Capacity-building activities planned for the period May 2011 to December 2012
UNEP/POPS/COP.5/INF/41	Summary of responses received regarding needs of developing-country parties and parties with economies in transition for technical assistance
UNEP/POPS/COP.5/INF/42	Programme for the delivery of technical assistance for the implementation of the Convention
UNEP/POPS/COP.5/INF/43	Analysis of the lessons learned from the technical assistance activities implemented by the Secretariat
UNEP/POPS/COP.5/INF/45	Nomination letters and information submitted by the nominated Stockholm Convention centres pursuant to paragraph 6 of decision SC-3/12
UNEP/POPS/COP.5/INF/47	Regional capacity-building and training workshops organized by the Secretariat between June 2009 and April 2011

**(h) Financial resources**

UNEP/POPS/COP.5/22	Needs assessment
UNEP/POPS/COP.5/23	Report on the effectiveness of the implementation of the memorandum of understanding between the Conference of the Parties and the Council of the Global Environment Facility
UNEP/POPS/COP.5/24	Report of the Global Environment Facility to the Conference of the Parties to the Stockholm Convention on Persistent Organic Pollutants at its fifth meeting
UNEP/POPS/COP.5/25	Draft terms of reference for the third review of the financial mechanism
UNEP/POPS/COP.5/26	Consolidated guidance to the financial mechanism
UNEP/POPS/COP.5/27	Facilitating work with regard to financial resources and mechanisms
UNEP/POPS/COP.5/INF/18	Compilation of submissions received by the Secretariat regarding ways in which to support the Stockholm Convention
UNEP/POPS/COP.5/INF/19	Background information on and summary of results of the implementation of the brokering tool

	UNEP/POPS/COP.5/INF/20	Annexes to the report submitted by the Global Environment Facility
	UNEP/POPS/COP.5/INF/21	Summary table of additional guidance to the financial mechanism
	UNEP/POPS/COP.5/INF/22	Information submitted by parties and others relevant to facilitating work with regard to financial resources and mechanisms
	UNEP/POPS/COP.5/INF/49	Information submitted by the Inter-Organization Programme for the Sound Management of Chemicals on efforts to promote programmatic cooperation and coordination and on activities to implement the synergies decisions
<b>(i)</b>	<b>Reporting</b>	
	UNEP/POPS/COP.5/29	Reporting pursuant to Article 15 of the Stockholm Convention
	UNEP/POPS/COP.5/INF/23	Reporting pursuant to Article 15 of the Stockholm Convention on Persistent Organic Pollutants
	UNEP/POPS/COP.5/INF/24	Users' manual for the electronic system for reporting pursuant to Article 15 of the Stockholm Convention
<b>(j)</b>	<b>Effectiveness evaluation</b>	
	UNEP/POPS/COP.5/30	Global monitoring plan for effectiveness evaluation
	UNEP/POPS/COP.5/31	Effectiveness evaluation
	UNEP/POPS/COP.5/INF/25	Report of the meeting of the global coordinating group for the global monitoring plan for persistent organic pollutants
	UNEP/POPS/COP.5/INF/26	Technical report on climate change and persistent organic pollutants
	UNEP/POPS/COP.5/INF/27	Draft revised guidance on the global monitoring plan for persistent organic pollutants
	UNEP/POPS/COP.5/INF/28	Regional monitoring reports under the global monitoring plan for effectiveness evaluation: additional human tissue data from the human milk survey
	UNEP/POPS/COP.5/INF/29	Regional monitoring reports under the global monitoring plan for effectiveness evaluation: additional human tissue data from the Western Europe and others region
	UNEP/POPS/COP.5/INF/30	Reports of the 2009 and 2010 meetings of the ad hoc working group on effectiveness evaluation
<b>(k)</b>	<b>Non-compliance</b>	
	UNEP/POPS/COP.5/6	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
<b>Item 5:</b>	<b>Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions</b>	
	UNEP/POPS/COP.5/32	Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions
	UNEP/POPS/COP.5/32/Add.1	Joint activities
	UNEP/POPS/COP.5/32/Add.2	Joint managerial functions

UNEP/POPS/COP.5/32/Add.3	Joint services
UNEP/POPS/COP.5/32/Add.4	Synchronization of budget cycles
UNEP/POPS/COP.5/32/Add.5	Joint audits
UNEP/POPS/COP.5/32/Add.6	Review arrangements
UNEP/POPS/COP.5/INF/14	Report on joint activities carried out by the secretariats of the Basel, Rotterdam and Stockholm conventions in 2009 and 2010
UNEP/POPS/COP.5/INF/15	Submissions from parties, regional centres and other stakeholders on activities carried out to implement the synergies decisions
UNEP/POPS/COP.5/INF/16	Information submitted by the United Nations Environment Programme and the Food and Agriculture Organization of the United Nations on progress on programmatic cooperation in the field to support implementation of the three conventions in areas of common concern and the inclusion of such cooperation in their biennial work programmes
UNEP/POPS/COP.5/INF/17	Report on clearing-house mechanisms and similar mechanisms in the area of chemicals and wastes
UNEP/POPS/COP.5/INF/46	Additional information on Safe Planet: the United Nations Campaign for Responsibility on Hazardous Chemicals and Wastes
UNEP/POPS/COP.5/INF/49	Information submitted by the Inter-Organization Programme for the Sound Management of Chemicals on efforts to promote programmatic cooperation and coordination and on activities to implement the synergies decisions

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

UNEP/POPS/COP.5/33	Secretariat activities from 1 January 2009 to 31 December 2010
UNEP/POPS/COP.5/34	Financial report and review of the staffing situation in the Secretariat
UNEP/POPS/COP.5/35	Programme of work and proposed budget for the biennium 2012-2013
UNEP/POPS/COP.5/35/Add.1	Budget scenarios
UNEP/POPS/COP.5/INF/33	Update on funding and staffing situation
UNEP/POPS/COP.5/INF/6	Expert meetings to further develop the Standardized Toolkit for Identification and Quantification of Dioxin and Furan Releases

**Item 8: Other matters**

UNEP/POPS/COP.5/28	Official communications with parties and observers
UNEP/POPS/COP.5/INF/31	Non-governmental organizations seeking accreditation to meetings of the Conference of the Parties

## **Annex III**

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

The representatives of 127 parties have been registered to participate in the fifth meeting of the Conference of the Parties to the Stockholm Convention and are present at the current meeting.

In total, 119 parties submitted credentials of their respective representatives which were issued by the Head of State or Government or the Minister for Foreign Affairs and were therefore found to be in order.

The following four parties communicated the nominations of their representatives by letters that were not in the form of credentials as required by rule 19 of the rules of procedure: Angola, Gabon, Lebanon, Peru. In addition, the following four parties did not submit credentials for their representatives: Comoros, El Salvador, Jordan, Lithuania. These eight parties are therefore participating as observers in the fifth meeting of the Conference of the Parties and will be recorded as such in the report of the meeting and the list of participants.

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