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**United Nations  
Environment  
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**Stockholm Convention on Persistent Organic Pollutants  
Persistent Organic Pollutants Review Committee  
Second meeting**

Geneva, 6–10 November 2006

Item 4 (f) of the provisional agenda \*

**Operational issues: submission of information  
specified in Annex F of the Convention**

## **Submission of information specified in Annex F of the Convention**

### **Note by the Secretariat**

1. At its first meeting, the Persistent Organic Pollutants Review Committee established an ad hoc intersessional working group on confidentiality and Annex F on information on socioeconomic considerations<sup>1</sup> to discuss the issue of confidentiality and give further consideration to the format for submission of information specified in Annex F.
2. The members and observers of the ad hoc working group on confidentiality and Annex F are listed in annex VI of document UNEP/POPS/POPRC.1/10.
3. Regarding the format for submission of information specified in Annex F, the ad hoc working group has prepared the following:
  - (a) Draft elements of a letter to Parties and observers inviting them to submit pursuant to Article 8 of the Stockholm Convention the information specified in Annex F (set out in annex I to the present note);
  - (b) A draft format for submitting pursuant to Article 8 of the Stockholm Convention the information specified in Annex F (set out in annex II to the present note);
  - (c) Draft explanatory notes to the format for submission of information specified in Annex F (set out in annex III to the present note);
  - (d) A draft risk management evaluation outline (set out in annex IV to the present note);
  - (e) A draft work plan for the intersessional period between the second and third meetings of the Committee for the possible preparation of the risk management evaluation (set out in annex V to the present note).

\* UNEP/POPS/POPRC.2/1.

<sup>1</sup> UNEP/POPS/POPRC.1/10, paragraphs 35 and 81.

### **Possible action by the Committee**

4. The Committee may wish:

(a) To note, with any amendments, the draft elements of the letter to Parties and observers inviting them to submit pursuant to Article 8 of the Stockholm Convention the information specified in Annex F;

(b) To adopt, with any amendments, the draft format for submitting pursuant to Article 8 of the Stockholm Convention the information specified in Annex F;

(c) To adopt, with any amendments, the draft explanatory notes to the format for submission of information specified in Annex F;

(d) To adopt, with any amendments, the draft risk management evaluation outline;

(e) To adopt, with any amendments, the work plan for the intersessional period between the second and third meetings of the Committee for the possible preparation of the risk management evaluation.

## Annex I

### **Draft elements of a letter to Parties and observers inviting them to submit pursuant to Article 8 of the Stockholm Convention the information specified in Annex F**

**Subject: Invitation to submit information specified in Annex F of the Stockholm Convention to the POPs Review Committee**

Dear Madam or Sir,

The second meeting of the Stockholm Convention Persistent Organic Pollutants Review Committee took place on 6-10 November 2006 in Geneva. The report of the meeting will be available shortly at the Convention web site

([http://www.pops.int/documents/meetings/poprc/meeting\\_docs/reports/default.htm](http://www.pops.int/documents/meetings/poprc/meeting_docs/reports/default.htm)).

The Committee had before it [a] risk profile[s] conducted in accordance with Annex E of the Convention, for the following [number] chemical[s] that were previously proposed by [a] Part[y/ies] for addition to Annexes A, B, and/or C of the Convention, for which the Committee had already decided that the screening criteria in Annex D of the Convention had been fulfilled in a flexible and transparent way:

- [Chemical 1 name] (proposed by [Party Name])
- [Chemical 2 name] (proposed by [Party Name])
- [Chemical 3 name] (proposed by [Party Name])

In accordance with the procedure laid down in Article 8 of the Convention, the Committee examined the risk profiles and decided that these chemicals are likely, as a result of their long-range environmental transport to lead to significant adverse human health and/or environmental effects such that global action is warranted. The risk management options foreseen in the Convention for such chemicals are listing in annex A, Elimination, Annex B, Restriction, and/or Annex C, Unintentional Production, of the Convention .

The next step in the process is to prepare a risk management evaluation for [each of] the chemical[s] mentioned herein. A draft outline of the risk management evaluation has been developed by the Committee (available at [www.pops.int](http://www.pops.int)). As provided for by the Convention, the risk management evaluation will include an analysis of the possible control measures as well as the socio-economic considerations, and will take into account information to be submitted by Parties and observers relating to the considerations specified in Annex F.

#### **What information is required?**

You are invited to submit information specified in Annex F and in so doing to consider the guidance provided in this letter, the explanatory notes and the format for submitting information.

The POPs Review Committee needs information that is supplementary to the information provided during previous stages in the review process (i.e., information relevant to Annexes D and E). The proposals, evaluations and risk profiles are available at the Convention web site ([www.pops.int](http://www.pops.int)). In addition, the Committee identified the following specific areas where information and data regarding the chemicals under consideration would be particularly useful for the future process:

[Chemical 1 name]

- [Explain what is needed]
- [Explain what else is needed]
- [...]

[Chemical 2 name]

- [Explain what is needed]
- [Explain what else is needed]
- [...]

...

On the basis of the risk profile and the risk management evaluation for [the/each] chemical, referred to in Article 8 of the Convention, the Committee shall recommend whether the chemical should be considered by the Conference of the Parties for listing in Annexes A, B and/or C.

#### **How to submit information?**

A form is provided to facilitate the submission of information (attached in English and available in the five other official UN languages at [www.pops.int](http://www.pops.int)). Please provide a summary of the information in the form and clear and precise references for each source. Without the exact source of the information, the Committee might not be able to use it. If the information is not readily available in the public literature, you may consider attaching the original source of the information to the submission.

Please indicate clearly on the form which chemical the information concerns and use one form per chemical. Information is not required to be submitted for all [number] chemicals and you do not have to fill in all the boxes on the form. Please note that the size of the boxes will adjust to the amount of text inserted and, thus, a completed form may be longer than the current number of pages. Attached to this letter is a supplementary set of explanatory notes to the form that was developed by the Committee. Concerning the submission of confidential information, please note the provisional confidentiality arrangements agreed by the Committee and provisionally available at the web site [see document UNEP/POPS/POPRC.2/2].

The work plan of the Committee is very tight, and it would therefore be helpful if information can be submitted **as soon as possible but no later than [date]**.

It would be preferred if information would be submitted in English as this would facilitate its use by the Committee. However, information provided in other UN languages (Arabic, Chinese, French, Spanish and Russian) may be translated for use by the Committee but in such cases information should be submitted by **[date less one month]**.

The information should be submitted to the Secretariat of the Stockholm Convention, preferably by email.

Secretariat of the Stockholm Convention  
Att: POPs Review Committee  
United Nations Environment Programme  
11-13 chemin des Anémones  
CH-1219, Châtelaine, Geneva, Switzerland  
Fax: (+41 22) 797 34 60  
**E-mail: [ssc@pops.int](mailto:ssc@pops.int)**

If you have any questions regarding this request or you would like to receive hard copies of the documents from the POPs Review Committee, please do not hesitate to contact [name], Stockholm Convention Secretariat (e-mail: [\[email address\]](mailto:[email address])); telephone [telephone number].

I look forward to hearing from you.

Yours sincerely,

Executive Secretary

## Annex II

## Draft format for submitting pursuant to Article 8 of the Stockholm Convention the information specified in Annex F of the Convention

<b>Chemical name</b> (as used by the POPS Review Committee - POPRC)	
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<b>Introductory information</b>	
<b>Name of the submitting Party/observer</b>	
<b>Contact details (name, telephone, e-mail) of the submitting Party/observer</b>	
<b>Date of submission</b>	

  

<b>(a) Efficacy and efficiency of possible control measures in meeting risk reduction goals (provide summary information and relevant references):</b>	
<b>(i) Technical feasibility</b>	
<b>(ii) Costs, including environmental and health costs</b>	

  

<b>(b) Alternatives (products and processes) (provide summary information and relevant references):</b>	
<b>Describe alternatives</b>	
<b>(i) Technical feasibility</b>	
<b>(ii) Costs, including environmental and health costs</b>	[This item could be further clarified, see explanatory note 4]
<b>(iii) Efficacy</b>	[This item could be further clarified, see explanatory note 3]
<b>(iv) Risk</b>	[This item could be further clarified, see explanatory note 4]
<b>(v) Availability</b>	
<b>(vi) Accessibility</b>	

  

<b>(c) Positive and/or negative impacts on society of implementing possible control measures (provide summary information and relevant references):</b>	
<b>(i) Health, including public, environmental and occupational health</b>	
<b>(ii) Agriculture, including aquaculture and forestry</b>	
<b>(iii) Biota (biodiversity)</b>	
<b>(iv) Economic aspects</b>	
<b>(v) Movement towards sustainable development</b>	[very general, an example may be helpful]
<b>(vi) Social costs</b>	

  

<b>(d) Waste and disposal implications (in particular, obsolete stocks of pesticides and clean-up of contaminated sites) (provide summary information and relevant references):</b>	
<b>(i) Technical feasibility</b>	
<b>(ii) Costs</b>	

  

<b>(e) Access to information and public education (provide summary information and relevant references):</b>	
[very general, an example may be helpful]	

**(f) Status of control and monitoring capacity (provide summary information and relevant references):**

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**(g) Any national or regional control actions already taken, including information on alternatives, and other relevant risk management information:**

[This could be moved to the beginning of the format]

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**(h) Other relevant information for the risk management evaluation:**

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## Annex III

### Draft explanatory notes to the format for submission of information specified in Annex F for use by the POPs Review Committee

*Please insert summary information in the format and provide clear and precise references for that information, wherever possible. It is not required to provide information under all items. The explanatory notes under each item have been developed by the POPs Review Committee and are meant to guide and assist the providers of information and have no legal status.*

*The information should preferably be submitted in English. If information is submitted only in another official UN language (Arabic, Chinese, French, Spanish or Russian), the Secretariat will aim to provide for translation of the information.*

#### Chemical name

1. A chemical undergoing a risk management evaluation has already satisfied the screening criteria set in paragraph 4 (a) of Article 8 of the Convention. Also, a risk profile has been conducted for this chemical in accordance with paragraph 6 of Article 8 and with Annex E to the Convention. Therefore, at this stage there must be adequate information about the chemical, its chemical identity and properties, including names and structure (See Annex D).

#### (a) Efficacy and efficiency of possible control measures in meeting risk reduction

2. "Possible control measures" refers to Articles 3, 5 and 6 of the Convention and includes measures to prohibit the production and use of chemicals listed in Annex A subject to the provisions of that Annex; measures to restrict the production and use of chemicals listed in Annex B subject to the provisions of that Annex; and, measures to prevent or reduce formation and release of chemicals listed in Annex C subject to the provisions of that Annex. More than one control measure is possible for the same chemical substance. Consideration should be given to the full range of possible control measures including, labelling, process control methods, pollution prevention options, restriction of a substance's production or use for specified purposes, and elimination of the substance entirely.

3. "Risk reduction goals" refer to targets/goals to reduce levels in the environment/exposure of a substance such that the long-range environmental transport of a substance is unlikely to lead to significant adverse human health and/or environmental effects.

4. Costs of implementing the control measure, including environmental and health costs

5. If relevant, provide information related to the identification of critical or otherwise potentially acceptable uses for which there may be no suitable alternative or for which the analysis of socioeconomic factors justify the inclusion of an exemption when considering listing decisions under the Convention.

6. Where relevant and possible "costs" should be expressed in US dollars per year.

#### (b) Alternatives (products and processes)

7. A brief description of the alternative product or process and, if appropriate, for which sector(s) it would be relevant.

8. If several alternatives could be envisaged for the chemical under consideration, including non-chemical alternatives, provide a set of information under this section for each alternative.

9. Specify for each proposed alternative whether it has actually been implemented (and give details), whether it has only reached the trial stage (again, with details) or whether it is just a proposal that has not yet been reduced to practice.

10. The evaluation of the efficacy should include any information on the benefits and limitations of potential alternatives, as well as the identification of any critical uses for which there are no alternatives. The evaluation should be conducted on a life-cycle basis evaluating performance and impact over the entire life-cycle of any alternatives.

11. The evaluation of the risk of the alternative should include any information on whether the proposed alternative has been thoroughly tested/evaluated in order to avoid inadvertently increasing risks to human health and the environment. The evaluation should include any information on potential

risks associated with untested alternatives and any increased risk over the life-cycle of the alternative – including manufacture, distribution, use, maintenance and disposal.

12. Regarding “risk”, if the alternative has not been tried or tested, information on projected impacts may also be useful.

13. Specify if the information provided might be subject to considerations regarding specific needs and circumstances of developing countries.

14. Information or comments on improving the availability and accessibility of alternatives may also be useful.

**(c) Positive and/or negative impacts on society of implementing possible control measures**

15. Socio-economic considerations should include, among other things, any information on the impact (if any), costs and benefits on the local economy, including the manufacturing sector (e.g., capital costs and benefits associated with transitioning to the alternatives).

**(d) Waste and disposal implications**

16. Specify if the information provided might be subject to considerations regarding specific needs and circumstances of developing countries.

**(e) Access to information and public education**

17. Information requested herein regards information access and public education for both the control measures and the alternatives.

**(f) Status of control and monitoring capacity**

18. What is required here is information on monitoring capacity for the chemical under consideration – not monitoring capacity for the alternatives.

**(g) Any national or regional control actions already taken**

19. Actions or measures taken could include non-regulatory initiatives.

20. Information should include whether the control actions have been cost-effective in providing the desired benefits and have had a measurable impact on reducing levels in the environment and contributed to achieving risk reduction goals.

**Other relevant information for the risk management evaluation**

21. The above list of items is only indicative. Any other relevant information for the risk management evaluation should also be provided.

22. [Any information relevant to whether certain risk management options/control measures are likely to distort competition and/or whether such options/measures are consistent with other international obligations – in particular commitments under the WTO such as the Technical Barriers to Trade and the Sanitary and Phytosanitary agreements.] (to be discussed)

## Annex IV

### Draft risk management evaluation outline

#### Executive summary

#### 1. Introduction

- 1.1 Chemical identity of the proposed substance
  - Mention which Party has made the proposal and when it was made
  - Spell out the specific chemical identity and particular considerations related to that identity
- 1.2 Conclusions of the Review Committee Annex E information
  - “the Committee has conducted and evaluated a risk profile in accordance with Annex E (add reference to the meeting and the decision) and has concluded that [...]”
- 1.3 Data sources
  - Short overview of data submitted by Parties and observers, regarding the information specified in Annex F of the Stockholm Convention (NB: a more elaborated summary of the submissions may be provided as a separate POPRC/INF document)
  - Information on availability of national and international management reports
- 1.4 Status of the chemical under international conventions
- 1.5 Any national or regional control actions taken

#### 2. Summary information relevant to the risk management evaluation

- 2.1 Identification of possible control measures
  - Short list of possible control measures (such as production prohibition, production restrictions, all use prohibition, restriction of a specific use, phase-out of stocks and articles in use, release control measures, waste disposal and clean-up of contaminated sites).
- 2.2 Efficacy and efficiency of possible control measures in meeting risk reduction goals
  - Technical feasibility
  - Identification of critical uses
  - Costs and benefits of implementing possible control measures, including environmental and health costs and benefits.
- 2.3 Information on alternatives (products and processes), where relevant<sup>2</sup>
  - Description of alternatives
  - Technical feasibility
  - Costs, including environmental and health costs
  - Efficacy, including benefits and limitations of alternatives versus nominated substance and identification of any critical uses for which there is at present no alternative
  - Risk, including information on whether the proposed alternative has been tested/evaluated and any information on potential risks associated with untested alternatives over the life-cycle of the alternative
  - Availability
  - Accessibility

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<sup>2</sup> Not relevant for unintentionally produced POP candidates.

2.4 Summary of information on impacts on society of implementing possible control measures

- Health, including public, environmental and occupational health
- Agriculture, including aquaculture and forestry
- Biota (biodiversity)
- Economic aspects, including costs and benefits for producers and consumers and the distribution of costs and benefits
- Movement towards sustainable development
- Social costs (employment, etc.)
- Other impacts

2.5 Other considerations

- Access to information and public education
- Status of control and monitoring capacity

**3. Synthesis of information**

- Synthesis of information relevant to the risk management evaluation, in the form of a risk management strategy<sup>3</sup>, with emphasis on an analysis of possible control measures for the chemical that leads to the concluding statement
- The analysis of possible control measures should evaluate the full range of potential control measures and conclude, where possible, whether the recommended strategy/strategies are cost-effective, market neutral, and provide benefits to human health and the environment.

**4. Concluding statement**

- “Having evaluated the risk profile corresponding to [...], and having prepared its risk management evaluation, the Committee concludes that this chemical [is / is not] likely, as a result of long-range environmental transport, to lead to significant adverse effects on human health and/or the environment, such that global action [is / is not] warranted.
- Therefore, in accordance with paragraph 9 of Article 8 of the Convention, the Committee recommends the Conference of the Parties to the Stockholm Convention [to / not to] consider listing and specifying the related control measures of [...] in Annex (es) [...] or [...]”

**References to be provided**

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<sup>3</sup> This synthesis will include the integration of information on hazard identification, risk assessment, risk control measures evaluation, including a decision-making proposal on control measures, and recommendations for strategy implementation, supervision and review.

## Annex V

### Draft work plan for the intersessional period between the second and third meetings of the POPs Review Committee (POPRC) for the possible preparation of the risk management evaluation

Weeks	Date	Activity
0	10 Nov. 2006	<b>POPRC</b> sets an ad hoc working group considering the expertise of the Committee members and the possible need of getting invited experts to help the ad hoc working group
1	17 Nov. 2006	<b>Secretariat</b> distributes request for information specified in Annex F (with references to background information) to Parties and observers
11	26 Jan. 2007	Deadline for submissions of information to the Secretariat from <b>Parties and observers</b>
11-19	27 Jan–23 March 2007	<b>Drafter</b> prepares working risk management evaluation
19-24	24 March–27 April 2007	<b>Ad hoc working group</b> considers working risk management evaluation and prepares a first draft risk management evaluation for comments
25-26	4 to 11 May 2007	<b>Secretariat</b> distributes draft risk management evaluation requesting comments from POPRC, Parties and observers
31	15 June 2007	Deadline for submission of comments on the first draft risk management evaluation to the Secretariat from <b>POPRC, Parties and observers</b>
37	16 June–27 July 2007	<b>Ad hoc working group</b> considers comments and prepares a second draft risk management evaluation
38	3 Aug. 2007	<b>Secretariat</b> submits draft risk management evaluation to conference services for editing and translation
45	4 Aug. – 24 Sep. 2007	Editing and translation
45-46	25 – 28 Sep. 2006	<b>Secretariat</b> distributes final draft risk management evaluation in languages
52	<b>5–9 Nov. 2007</b>	<b>POPRC-3 (specific dates to be defined during POPRC-2)</b>

#### Definitions, roles and responsibilities

1. The term “drafter” would be applied to the person to be designated by the Committee to prepare a working draft risk management evaluation for consideration by the ad hoc working group. The drafter could be the proponent of the chemical, but not necessarily so.\*
2. An ad hoc working group would be established by the Committee to review a working draft risk management evaluation and to prepare the draft risk management evaluation. The Committee may wish to agree that the chair of any given ad hoc working group could declare that group closed and thereby convert it into a drafting group.

#### Comments:

**US:** The due dates provided for in the schedule presented are very short/quick and will make it very difficult to provide quality analyses/reviews and still meet the deadlines. We have learned through the Annex E and risk profile development efforts that one month turnarounds are not sufficient.

**ICCA-WCC-CLI:** While we recognize that it may be convenient to place the burden on the nominating Party/proponent of a candidate chemical for development the risk management outline, this approach does not provide for the most objective work product. Suggests: “The drafter should generally not be the proponent of the chemical.”