

# **The Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade (1998)**

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## **Conference of Plenipotentiaries on the Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade, Rotterdam, 10-11 September 1998**

### ***[Preamble]***

Final Act of the Conference of Plenipotentiaries on the Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade

In accordance with relevant provisions of chapter 19 of Agenda 21, decisions 18/12 and 19/13 A of the Governing Council of the United Nations Environment Programme (UNEP), adopted at its eighteenth and nineteenth sessions in May 1995 and February 1997, respectively, and relevant decisions of the hundred and seventh and the hundred and eleventh sessions of the Council of the Food and Agriculture Organization of the United Nations (FAO) and the twenty-ninth session of the FAO Conference, held in November 1994, October 1996 and November 1997, respectively, the Executive Director of UNEP and the Director-General of FAO jointly convened five sessions of the Inter-governmental Negotiating Committee for an International Legally Binding Instrument for the Application of the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade: the first session was held in Brussels from 11 to 15 March 1996; the second session in Nairobi from 16 to 20 September 1996; the third session in Geneva from 26 to 30 May 1997; the fourth session in Rome from 20 to 24 October 1997; and the fifth session in Brussels from 9 to 14 March 1998. At its fifth session, the Inter-governmental Negotiating Committee agreed upon the text of the Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade. The Governing Council of UNEP and the FAO Council and Conference envisaged and requested, in their respective decisions on the matter, that the Executive Director of UNEP and the Director-General of FAO should jointly convene a diplomatic conference for the adoption and signature of the Convention.

2. Upon the invitation by the Government of the Kingdom of the Netherlands, the Executive Director of UNEP and the Director-General of FAO convened the Conference of Plenipotentiaries on the Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade in Rotterdam on 10 and 11 September 1998.

3. Representatives from the following States and regional economic integration organizations participated in the Conference: Albania, Angola, Argentina, Armenia, Australia, Austria, Bangladesh, Barbados, Belgium, Benin, Brazil, Burkina Faso, Cameroon, Canada, Chad, Chile, China, Colombia, Congo, Côte d'Ivoire, Cuba, Cyprus, Democratic Republic of the Congo, Denmark, Ecuador, Egypt, European Community, Finland, France, Gambia, Germany, Ghana, Greece, Haiti, Honduras, Hungary, India,

Indonesia, Iran (Islamic Republic of), Israel, Italy, Jamaica, Japan, Kenya, Kuwait, Luxembourg, Madagascar, Malawi, Malaysia, Mali, Mexico, Mongolia, Morocco, Namibia, Netherlands, New Zealand, Nigeria, Norway, Panama, Paraguay, Peru, Philippines, Poland, Portugal, Republic of Korea, Rwanda, Saint Lucia, Samoa, Senegal, Seychelles, Singapore, Slovenia, South Africa, Spain, Sudan, Suriname, Sweden, Switzerland, Syrian Arab Republic, Tunisia, Turkey, Uganda, United Kingdom of Great Britain and Northern Ireland, United Republic of Tanzania, United States of America, Uruguay and Yemen.

4. Observers from the following States attended the proceedings of the Conference: 6

Belarus, Bolivia, Botswana, Bulgaria, Democratic People's Republic of Korea, Guatemala,<sup>7</sup> Ireland, Oman, Papua New Guinea, Russian Federation, Slovakia, the former Yugoslav Republic of Macedonia and Ukraine.

5. The following United Nations body and convention secretariat were represented by observers: United Nations Institute for Training and Research (UNITAR) and Organization for the Prohibition of Chemical Weapons (OPCW). 8

6. The following non-governmental organizations were represented by observers: 9

Global Crop Protection Federation (GCPF), International Council of Chemical Associations (ICCA), International Union of Food, Agricultural, Hotel, Restaurant, Catering, Tobacco and Allied Workers' Associations (IUF), Netherlands Society for Nature and Environment and Pesticides Trust. 10

7. The Conference was formally opened with statements from Mr. Klaus Töpfer, Executive Director of UNEP, and Mr. Jacques Diouf, Director-General of FAO. In the course of the inaugural ceremony, the Conference heard a welcoming address by Mr. Jan Pronk, Minister of Housing, Spatial Planning and the Environment of the Netherlands, on behalf of the Government of the Kingdom of the Netherlands. 11

8. Mr. Klaus Töpfer and Mr. Jacques Diouf served as Secretaries-General of the Conference, and Mr. James Willis (UNEP) and Mr. Niek van der Graaff (FAO) served as Executive Secretaries. 12

9. The Conference unanimously elected the following officers to form its Bureau: 13

President: Mr. Jan Pronk (Netherlands) 14

Vice-Presidents: Mr. Antonio H. Cerilles (Philippines) 15

Mr. Jenő Molnár (Hungary) 16

Mr. Souty Touré (Senegal) 17

Rapporteur: Ms. Maria Celina de Azevedo Rodrigues (Brazil) 18

10. The Conference, on the basis of the provisional agenda contained in document UNEP/FAO/PIC/CONF/1, adopted the following agenda: 19

1. Opening of the Conference.

2. Organizational matters: 20

- (a) Adoption of the rules of procedure;
  - (b) Election of officers;
  - (c) Adoption of the agenda;
  - (d) Appointment of the Credentials Committee;
  - (e) Organization of the work of the Conference.
3. Report of the Credentials Committee.
  4. Adoption of the Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade.
  5. Adoption of resolutions.
  6. Adoption of the Final Act of the Conference.
  7. Signature of the Final Act and the Convention.
  8. Closure of the Conference.

11. The Conference had before it the rules of procedure for meetings of the Intergovernmental Negotiating Committee, made available to it in the annex to document UNEP/FAO/PIC/CONF/3. The Conference decided to apply the rules of procedure of the Intergovernmental Negotiating Committee, mutatis mutandis, to its proceedings. 21

12. The Conference agreed to work in its entirety without establishing any subsidiary body, except for the Credentials Committee. 22

13. The Conference appointed the Credentials Committee, consisting of the members of the Bureau, that examined, with the assistance of the Secretariat, the credentials of the representatives at the Conference and reported thereon to the Conference. The Conference approved the recommendations of the Credentials Committee that the credentials of the representatives of the participating States and regional economic integration organizations, as listed in paragraph 3, should be recognized as being in order. 23

14. The Conference had before it, as a basis for its work, the following documents: 24

(a) The text of the Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade, as agreed by the Intergovernmental Negotiating Committee at its fifth session (UNEP/FAO/PIC/CONF/2); 25

(b) The draft resolution on interim arrangements, prepared by the Intergovernmental Negotiating Committee at its fifth session (UNEP/FAO/PIC/CONF/4). 26

15. Ms. de Azevedo Rodrigues (Brazil), Chair of the Intergovernmental Negotiating Committee, upon the invitation of the President, formally presented to the Conference the text of the Convention as agreed by the Intergovernmental Negotiating Committee 27

at its fifth session, as well as the draft resolution on interim arrangements submitted to the Conference by the Intergovernmental Negotiating Committee.

16. The Conference adopted, on 10 September 1998, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade. The Convention, which is appended to this Final Act, will be opened for signature at the Conference on 11 September 1998, and at United Nations Headquarters from 12 September 1998 to 10 September 1999.

17. The Conference also adopted the following resolutions which are appended to this Final Act:

(a) Resolution on interim arrangements;

(b) Resolution concerning the secretariat;

(c) Tribute to the Government of the Kingdom of the Netherlands.

18. Some of the serious concerns raised by several delegations during the Conference, regarding matters related to the Convention, are recorded in the statement of the President of the Conference which is appended hereto.

IN WITNESS WHEREOF the representatives have signed this Final Act.

DONE at Rotterdam, on this eleventh day of September, one thousand nine hundred and ninety-eight, in one original in the Arabic, Chinese, English, French, Russian and Spanish languages, all texts being equally authentic. The original of the Final Act shall be deposited with the Secretary-General of the United Nations.

|  |              |
|--|--------------|
| President of the Conference:             | Jan PRONK    |
| Secretaries-General of the Conference:   | Klaus TÖPFER |
|  | nbsp;        |
| Jacques DIOUF                            | James WILLIS |
| Executive Secretaries of the Conference: |              |
|  | nbsp;        |
| Niek VAN DER GRAAFF                      |              |

Representatives of the following States and regional economic integration organizations signed the Final Act: Albania, Angola, Argentina, Armenia, Australia, Austria, Barbados, Belgium, Benin, Brazil, Burkina Faso, Cameroon, Canada, Chad, Chile, China, Colombia, Congo, Côte d'Ivoire, Cuba, Cyprus, Denmark, Democratic Republic of the Congo, Ecuador, European Community, Finland, France, Gambia, Germany, Ghana, Greece, Haiti, Hungary, India, Indonesia, Iran (Islamic Republic of), Israel, Italy, Jamaica, Japan, Kenya, Kuwait, Luxembourg, Madagascar, Malawi, Mali, Mongolia, Namibia, Netherlands, New Zealand, Nigeria, Norway, Panama, Paraguay, Peru, Philippines, Poland, Portugal, Republic of Korea, Rwanda, Saint Lucia, Senegal, Seychelles, Singapore, Slovenia, South Africa, Spain, Sudan, Suriname, Sweden, Switzerland, Syrian Arab Republic, Tunisia, Turkey, Uganda, United Kingdom of Great Britain and Northern Ireland, United Republic of Tanzania, United States of America, Uruguay and Yemen.

## **Annex I - Resolutions Adopted By The Conference Of Plenipotentiaries On The Convention On The Prior Informed Consent Procedure For Certain Hazardous Chemicals And Pesticides In International Trade**

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### **1. Resolution on interim arrangements**

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The Conference,

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Having adopted the text of the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade (hereinafter referred to as the "Convention"),

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Considering that interim arrangements are required to continue to operate a voluntary procedure for the application of the prior informed consent (PIC) procedure in order to protect human health and the environment from certain hazardous chemicals and pesticides pending the entry into force of the Convention and to prepare for its effective operation once it enters into force,

42

Taking note of the existing voluntary PIC procedure established by resolution 6/89 of 29 November 1989 of the twenty-fifth session of the Conference of the Food and Agriculture Organization of the United Nations and decision 15/30 of 25 May 1989 of the fifteenth session of the Governing Council of the United Nations Environment Programme,

43

Recalling the decisions of the twenty-ninth session of the Conference of the Food and Agriculture Organization of the United Nations and the fifth special session of the Governing Council of the United Nations Environment Programme, agreeing to accept changes in the voluntary PIC procedure if so decided by the Conference of Plenipotentiaries on the Convention, provided that costs additional to the implementation of the present voluntary procedure be met through extra-budgetary resources,

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#### **I**

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1. Calls upon States and regional economic integration organizations entitled to do so to consider signing, ratifying, accepting, approving or acceding to the Convention with a view to bringing it into force as soon as possible;

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#### **II**

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2. Decides that the voluntary PIC procedure contained in the Amended London Guidelines for the Exchange of Information on Chemicals in International Trade and in the FAO International Code of Conduct on the Distribution and Use of Pesticides (hereinafter referred to as the "original PIC procedure") is hereby changed to bring it into line with the procedure established by the Convention with effect from the date on

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which the Convention is opened for signature. The original PIC procedure with these changes is hereinafter referred to as the “interim PIC procedure”;

3. Invites the Executive Director of the United Nations Environment Programme and the Director-General of the Food and Agriculture Organization of the United Nations to convene such further sessions of the Intergovernmental Negotiating Committee (hereinafter referred to as the “Committee”) during the period between the date on which the Convention is opened for signature and the date of the opening of the first meeting of the Conference of the Parties as are necessary to oversee the operation of the interim PIC procedure and to prepare for and service the Conference of the Parties until the end of the fiscal year in which the first meeting of the Conference of the Parties takes place;

4. Invites the Committee to establish an interim subsidiary body to discharge the functions entrusted to the subsidiary body to be established under Article 18, paragraph 6, of the Convention;

5. Invites the Intergovernmental Negotiating Committee to develop, based on the FAO regions, the decision referred to in paragraph 5 of Article 5, and to adopt this decision on an interim basis, pending its formal adoption at the first meeting of the Conference of the Parties;

6. Decides that all chemicals in respect of which decision guidance documents have been circulated under the original PIC procedure before the date on which the Convention is opened for signature will be subject to the interim PIC procedure;.7. Decides that all chemicals that have been identified for inclusion in the PIC procedure under the original PIC procedure but for which decision guidance documents have not yet been circulated before the date on which the Convention is opened for signature will become subject to the interim PIC procedure as soon as the relevant decision guidance documents have been adopted by the Committee;

8. Decides that the Committee shall decide, between the date on which the Convention is opened for signature and the date of its entry into force, on the inclusion of any additional chemicals under the interim PIC procedure in accordance with the provisions of Articles 5, 6, 7 and 22 of the Convention;

9. Decides that nominations of designated national authorities, notifications of control actions and import responses made under the original PIC procedure shall remain in effect under the interim PIC procedure unless and until the State or regional economic integration organization concerned notifies the interim secretariat in writing that it has decided otherwise;

10. Appeals to States and regional economic integration organizations to participate in and apply in full the interim PIC procedure;

11. Calls on States and regional economic integration organizations to submit notifications of final regulatory action in accordance with the provisions of Article 5 of the Convention, and calls on developing countries and countries with economies in transition that are in a position to do so to submit proposals concerning severely hazardous

pesticide formulations in accordance with the provisions of Article 6 of the Convention;

12. Requests the Executive Director of the United Nations Environment Programme and the Director-General of the Food and Agriculture Organization of the United Nations to provide secretariat services for the operation of the interim PIC procedure;

13. Decides that the interim PIC procedure shall cease to operate on a date to be specified by the Conference of the Parties at its first meeting;

### III

14. Appeals to States and regional economic integration organizations to make voluntary contributions to the trust fund established by the United Nations Environment Programme in order to support the interim arrangements and the operation of the Conference of the Parties until the end of the fiscal year in which the first meeting of the Conference of the Parties takes place, and to ensure the full and effective participation of developing countries and countries with economies in transition in the further work of the Committee;

15. Calls on States and regional economic integration organizations with more advanced programmes for regulating chemicals to provide technical assistance, including training, to other States and regional economic integration organizations in developing their infrastructure and capacity to manage chemicals throughout their life-cycle, particularly in view of the urgent need of their participation in effective operation of the Convention once it enters into force.

## 2. Resolution Concerning the Secretariat

The Conference,

Having met in Rotterdam on 10 and 11 September 1998,

1. Welcomes with appreciation the generous offers to host the secretariat of the Rotterdam Convention received from Germany and from Italy and Switzerland jointly and invites the said countries to provide full and detailed information on their proposals;

2. Notes that paragraph 3 of Article 19 of the Convention provides for the Conference of the Parties to approve arrangements agreed between the Director-General of the Food and Agriculture Organization of the United Nations and the Executive Director of the United Nations Environment Programme for the joint performance of the functions of the secretariat of the Convention;

3. Calls upon the Director-General of the Food and Agriculture Organization of the United Nations and the Executive Director of the United Nations Environment Programme to consider the offers received from Germany and from Italy and Switzerland jointly, as well as any other offers, and to provide a comparative analysis of those offers regarding the physical location of the secretariat for consideration by the Conference

of the Parties at its first meeting. The preparation of such analyses should be carried out in consultation with the Intergovernmental Negotiating Committee.

### 3. Tribute to the Government of the Kingdom of the Netherlands

The Conference,

Having met in Rotterdam on 10 and 11 September 1998 at the gracious invitation of the Government of the Kingdom of the Netherlands,

Convinced that the efforts made by the Government of the Kingdom of the Netherlands and by the authorities of the city of Rotterdam in providing facilities, premises and other resources contributed significantly to the smooth conduct of the proceedings,

Deeply appreciative of the courtesy and hospitality extended by the Government of the Kingdom of the Netherlands and the city of Rotterdam to the members of the delegations, observers and the secretariats of the United Nations Environment Programme and the Food and Agriculture Organization of the United Nations attending the Conference,

Expresses its sincere gratitude to the Government of the Kingdom of the Netherlands, to the authorities of the city of Rotterdam and, through them, to the people of the Netherlands, for the cordial welcome which they accorded to the Conference and to those associated with its work and for their contribution to the success of the Conference.

### Annex II - Statement By The President Of The Conference Of Plenipotentiaries On The Convention On The Prior Informed Consent Procedure For Certain Hazardous Chemicals And Pesticides In International Trade

[statement]

During the Rotterdam Conference, the African group and several other delegations expressed their concern about the technical and financial assistance necessary for the implementation of the Convention. They also voiced their concern about technical and financial assistance, as well as information exchange, during the interim period. Such information should cover scientific, technical, economic and legal information concerning chemicals within the scope of the Convention, including toxicological, ecotoxicological and safety information. It was suggested that the next meetings of the Intergovernmental Negotiating Committee could address those questions.

Some delegations indicated that they would be willing to make financial contributions for the operation of the secretariat and towards providing technical assistance to promote sustainable chemicals management in the interim period between the Diplomatic Conference and the first meeting of the Conference of the Parties. These announcements were welcomed by participating States.

In a statement the African group expressed the view that there was a need to consider issues such as dispute settlement, illicit trafficking and responsibility and liability at an early stage. 79

The President of the Conference expressed his view that those issues might be more appropriately dealt with by the Intergovernmental Negotiating Committee prior to the entry into force of the Convention, and by the Conference of the Parties after the entry into force of the Rotterdam Convention. 80

### **Annex III - Rotterdam Convention On The Prior Informed Consent Procedure For Certain Hazardous Chemicals And Pesticides In International Trade** 81

#### **[preamble]** 82

The Parties to this Convention, 83

Aware of the harmful impact on human health and the environment from certain hazardous chemicals and pesticides in international trade, 84

Recalling the pertinent provisions of the Rio Declaration on Environment and Development and chapter 19 of Agenda 21 on “Environmentally sound management of toxic chemicals, including prevention of illegal international traffic in toxic and dangerous products”, 85

Mindful of the work undertaken by the United Nations Environment Programme (UNEP) and the Food and Agriculture Organization of the United Nations (FAO) in the operation of the voluntary Prior Informed Consent procedure, as set out in the UNEP Amended London Guidelines for the Exchange of Information on Chemicals in International Trade (hereinafter referred to as the “Amended London Guidelines”) and the FAO International Code of Conduct on the Distribution and Use of Pesticides (hereinafter referred to as the “International Code of Conduct”), 86

Taking into account the circumstances and particular requirements of developing countries and countries with economies in transition, in particular the need to strengthen national capabilities and capacities for the management of chemicals, including transfer of technology, providing financial and technical assistance and promoting cooperation among the Parties, 87

Noting the specific needs of some countries for information on transit movements, Recognizing that good management practices for chemicals should be promoted in all countries, taking into account, inter alia, the voluntary standards laid down in the International Code of Conduct and the UNEP Code of Ethics on the International Trade in Chemicals, 88

Desiring to ensure that hazardous chemicals that are exported from their territory are packaged and labelled in a manner that is adequately protective of human health and the environment, consistent with the principles of the Amended London Guidelines and the International Code of Conduct, 89

Recognizing that trade and environmental policies should be mutually supportive with a view to achieving sustainable development, 90

Emphasizing that nothing in this Convention shall be interpreted as implying in any way a change in the rights and obligations of a Party under any existing international agreement applying to chemicals in international trade or to environmental protection, 91

Understanding that the above recital is not intended to create a hierarchy between this Convention and other international agreements, 92

Determined to protect human health, including the health of consumers and workers, and the environment against potentially harmful impacts from certain hazardous chemicals and pesticides in international trade, 93

Have agreed as follows: 94

## **Article 1 - Objective** 95

The objective of this Convention is to promote shared responsibility and cooperative efforts among Parties in the international trade of certain hazardous chemicals in order to protect human health and the environment from potential harm and to contribute to their environmentally sound use, by facilitating information exchange about their characteristics, by providing for a national decision-making process on their import and export and by disseminating these decisions to Parties. 96

## **Article 2 - Definitions** 97

For the purposes of this Convention: 98

(a) "Chemical" means a substance whether by itself or in a mixture or preparation and whether manufactured or obtained from nature, but does not include any living organism. It consists of the following categories: pesticide (including severely hazardous pesticide formulations) and industrial; 99

(b) "Banned chemical" means a chemical all uses of which within one or more categories have been prohibited by final regulatory action, in order to protect human health or the environment. It includes a chemical that has been refused approval for first-time use or has been withdrawn by industry either from the domestic market or from further consideration in the domestic approval process and where there is clear evidence that such action has been taken in order to protect human health or the environment; 100

(c) "Severely restricted chemical" means a chemical virtually all use of which within one or more categories has been prohibited by final regulatory action in order to protect human health or the environment, but for which certain specific uses remain allowed. It includes a chemical that has, for virtually all use, been refused for approval or been withdrawn by industry either from the domestic market or from further consideration in 101

the domestic approval process, and where there is clear evidence that such action has been taken in order to protect human health or the environment;

(d) “Severely hazardous pesticide formulation” means a chemical formulated for pesticidal use that produces severe health or environmental effects observable within a short period of time after single or multiple exposure, under conditions of use; 102

(e) “Final regulatory action” means an action taken by a Party, that does not require subsequent regulatory action by that Party, the purpose of which is to ban or severely restrict a chemical; 103

(f) “Export” and “import” mean, in their respective connotations, the movement of a chemical from one Party to another Party, but exclude mere transit operations; 104

(g) “Party” means a State or regional economic integration organization that has consented to be bound by this Convention and for which the Convention is in force; 105

(h) “Regional economic integration organization” means an organization constituted by sovereign States of a given region to which its member States have transferred competence in respect of matters governed by this Convention and which has been duly authorized, in accordance with its internal procedures, to sign, ratify, accept, approve or accede to this Convention; 106

(i) “Chemical Review Committee” means the subsidiary body referred to in paragraph 6 of Article 18. 107

### **Article 3 - Scope of the Convention** 108

1. This Convention applies to: 109

(a) Banned or severely restricted chemicals; and 110

(b) Severely hazardous pesticide formulations. 111

2. This Convention does not apply to: 112

(a) Narcotic drugs and psychotropic substances; 113

(b) Radioactive materials; 114

(c) Wastes; 115

(d) Chemical weapons; 116

(e) Pharmaceuticals, including human and veterinary drugs; 117

(f) Chemicals used as food additives; 118

(g) Food; 119

(h) Chemicals in quantities not likely to affect human health or the environment provided they are imported: 120

(i) For the purpose of research or analysis; or 121

(ii) By an individual for his or her own personal use in quantities reasonable for such use. 122

#### **Article 4 - Designated national authorities**

123

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

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2. Each Party shall seek to ensure that such authority or authorities have sufficient resources to perform their tasks effectively.

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

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4. The Secretariat shall forthwith inform the Parties of the notifications it receives under paragraph 3.

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#### **Article 5 - Procedures for banned or severely restricted chemicals**

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1. Each Party that has adopted a final regulatory action shall notify the Secretariat in writing of such action. Such notification shall be made as soon as possible, and in any event no later than ninety days after the date on which the final regulatory action has taken effect, and shall contain the information required by Annex I, where available.

129

2. Each Party shall, at the date of entry into force of this Convention for it, notify the Secretariat in writing of its final regulatory actions in effect at that time, except that each Party that has submitted notifications of final regulatory actions under the Amended London Guidelines or the International Code of Conduct need not resubmit those notifications.

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3. The Secretariat shall, as soon as possible, and in any event no later than six months after receipt of a notification under paragraphs 1 and 2, verify whether the notification contains the information required by Annex I. If the notification contains the information required, the Secretariat shall forthwith forward to all Parties a summary of the information received. If the notification does not contain the information required, it shall inform the notifying Party accordingly.

131

4. The Secretariat shall every six months communicate to the Parties a synopsis of the information received pursuant to paragraphs 1 and 2, including information regarding those notifications which do not contain all the information required by Annex I.

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5. When the Secretariat has received at least one notification from each of two Prior Informed Consent regions regarding a particular chemical that it has verified meet the requirements of Annex I, it shall forward them to the Chemical Review Committee. The composition of the Prior Informed Consent regions shall be defined in a decision to be adopted by consensus at the first meeting of the Conference of the Parties.

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6. The Chemical Review Committee shall review the information provided in such no-

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tifications and, in accordance with the criteria set out in Annex II, recommend to the Conference of the Parties whether the chemical in question should be made subject to the Prior Informed Consent procedure and, accordingly, be listed in Annex III.

## **Article 6 - Procedures for severely hazardous pesticide formulations**

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1. Any Party that is a developing country or a country with an economy in transition and that is experiencing problems caused by a severely hazardous pesticide formulation under conditions of use in its territory, may propose to the Secretariat the listing of the severely hazardous pesticide formulation in Annex III. In developing a proposal, the Party may draw upon technical expertise from any relevant source. The proposal shall contain the information required by part 1 of Annex IV.

136

2. The Secretariat shall, as soon as possible, and in any event no later than six months after receipt of a proposal under paragraph 1, verify whether the proposal contains the information required by part 1 of Annex IV. If the proposal contains the information required, the Secretariat shall forthwith forward to all Parties a summary of the information received. If the proposal does not contain the information required, it shall inform the proposing Party accordingly.

137

3. The Secretariat shall collect the additional information set out in part 2 of Annex IV regarding the proposal forwarded under paragraph 2.

138

4. When the requirements of paragraphs 2 and 3 above have been fulfilled with regard to a particular severely hazardous pesticide formulation, the Secretariat shall forward the proposal and the related information to the Chemical Review Committee.

139

5. The Chemical Review Committee shall review the information provided in the proposal and the additional information collected and, in accordance with the criteria set out in part 3 of Annex IV, recommend to the Conference of the Parties whether the severely hazardous pesticide formulation in question should be made subject to the Prior Informed Consent procedure and, accordingly, be listed in Annex III.

140

## **Article 7 - Listing of chemicals in Annex III**

141

1. For each chemical that the Chemical Review Committee has decided to recommend for listing in Annex III, it shall prepare a draft decision guidance document. The decision guidance document should, at a minimum, be based on the information specified in Annex I, or, as the case may be, Annex IV, and include information on uses of the chemical in a category other than the category for which the final regulatory action applies.

142

2. The recommendation referred to in paragraph 1 together with the draft decision guidance document shall be forwarded to the Conference of the Parties. The Conference of the Parties shall decide whether the chemical should be made subject to the Prior Informed Consent procedure and, accordingly, list the chemical in Annex III and approve the draft decision guidance document.

143

3. When a decision to list a chemical in Annex III has been taken and the related decision guidance document has been approved by the Conference of the Parties, the Secretariat shall forthwith communicate this information to all Parties. 144

### **Article 8 - Chemicals in the voluntary Prior Informed Consent procedure** 145

For any chemical, other than a chemical listed in Annex III, that has been included in the voluntary Prior Informed Consent procedure before the date of the first meeting of the Conference of the Parties, the Conference of the Parties shall decide at that meeting to list the chemical in Annex III, provided that it is satisfied that all the requirements for listing in that Annex have been fulfilled. 146

### **Article 9 - Removal of chemicals from Annex III** 147

1. If a Party submits to the Secretariat information that was not available at the time of the decision to list a chemical in Annex III and that information indicates that its listing may no longer be justified in accordance with the relevant criteria in Annex II or, as the case may be, Annex IV, the Secretariat shall forward the information to the Chemical Review Committee. 148

2. The Chemical Review Committee shall review the information it receives under paragraph 1. For each chemical that the Chemical Review Committee decides, in accordance with the relevant criteria in Annex II or, as the case may be, Annex IV, to recommend for removal from Annex III, it shall prepare a revised draft decision guidance document. 149

3. A recommendation referred to in paragraph 2 shall be forwarded to the Conference of the Parties and be accompanied by a revised draft decision guidance document. The Conference of the Parties shall decide whether the chemical should be removed from Annex III and whether to approve the revised draft decision guidance document. 150

4. When a decision to remove a chemical from Annex III has been taken and the revised decision guidance document has been approved by the Conference of the Parties, the Secretariat shall forthwith communicate this information to all Parties. 151

### **Article 10 - Obligations in relation to imports of chemicals listed in Annex III** 152

1. Each Party shall implement appropriate legislative or administrative measures to ensure timely decisions with respect to the import of chemicals listed in Annex III. 153

2. Each Party shall transmit to the Secretariat, as soon as possible, and in any event no later than nine months after the date of dispatch of the decision guidance document referred to in paragraph 3 of Article 7, a response concerning the future import of the chemical concerned. If a Party modifies this response, it shall forthwith submit the revised response to the Secretariat. 154

3. The Secretariat shall, at the expiration of the time period in paragraph 2, forthwith 155

address to a Party that has not provided such a response, a written request to do so. Should the Party be unable to provide a response, the Secretariat shall, where appropriate, help it to provide a response within the time period specified in the last sentence of paragraph 2 of Article 11.

4. A response under paragraph 2 shall consist of either: 156

(a) A final decision, pursuant to legislative or administrative measures: 157

(i) To consent to import; 158

(ii) Not to consent to import; or 159

(iii) To consent to import only subject to specified conditions; or 160

(b) An interim response, which may include: 161

(i) An interim decision consenting to import with or without specified conditions, or not consenting to import during the interim period; 162

(ii) A statement that a final decision is under active consideration; 163

(iii) A request to the Secretariat, or to the Party that notified the final regulatory action, for further information; 164

(iv) A request to the Secretariat for assistance in evaluating the chemical. 165

5. A response under subparagraphs (a) or (b) of paragraph 4 shall relate to the category or categories specified for the chemical in Annex III. 166

6. A final decision should be accompanied by a description of any legislative or administrative measures upon which it is based. 167

7. Each Party shall, no later than the date of entry into force of this Convention for it, transmit to the Secretariat responses with respect to each chemical listed in Annex III. A Party that has provided such responses under the Amended London Guidelines or the International Code of Conduct need not resubmit those responses. 168

8. Each Party shall make its responses under this Article available to those concerned within its jurisdiction, in accordance with its legislative or administrative measures. 169

9. A Party that, pursuant to paragraphs 2 and 4 above and paragraph 2 of Article 11, takes a decision not to consent to import of a chemical or to consent to its import only under specified conditions shall, if it has not already done so, simultaneously prohibit or make subject to the same conditions: 170

(a) Import of the chemical from any source; and 171

(b) Domestic production of the chemical for domestic use. 172

10. Every six months the Secretariat shall inform all Parties of the responses it has received. Such information shall include a description of the legislative or administrative measures on which the decisions have been based, where available. The Secretariat shall, in addition, inform the Parties of any cases of failure to transmit a response. 173

**Article 11 - Obligations in relation to exports of chemicals listed in Annex III** 174

1. Each exporting Party shall: 175

(a) Implement appropriate legislative or administrative measures to communicate the responses forwarded by the Secretariat in accordance with paragraph 10 of Article 10 to those concerned within its jurisdiction; 176

(b) Take appropriate legislative or administrative measures to ensure that exporters within its jurisdiction comply with decisions in each response no later than six months after the date on which the Secretariat first informs the Parties of such response in accordance with paragraph 10 of Article 10; 177

(c) Advise and assist importing Parties, upon request and as appropriate: 178

(i) To obtain further information to help them to take action in accordance with paragraph 4 of Article 10 and paragraph 2 (c) below; and 179

(ii) To strengthen their capacities and capabilities to manage chemicals safely during their life-cycle. 180

2. Each Party shall ensure that a chemical listed in Annex III is not exported from its territory to any importing Party that, in exceptional circumstances, has failed to transmit a response or has transmitted an interim response that does not contain an interim decision, unless: 181

(a) It is a chemical that, at the time of import, is registered as a chemical in the importing Party; or 182

(b) It is a chemical for which evidence exists that it has previously been used in, or imported into, the importing Party and in relation to which no regulatory action to prohibit its use has been taken; or 183

(c) Explicit consent to the import has been sought and received by the exporter through a designated national authority of the importing Party. The importing Party shall respond to such a request within sixty days and shall promptly notify the Secretariat of its decision. 184

The obligations of exporting Parties under this paragraph shall apply with effect from the expiration of a period of six months from the date on which the Secretariat first informs the Parties, in accordance with paragraph 10 of Article 10, that a Party has failed to transmit a response or has transmitted an interim response that does not contain an interim decision, and shall apply for one year. 185

**Article 12 - Export notification** 186

1. Where a chemical that is banned or severely restricted by a Party is exported from its territory, that Party shall provide an export notification to the importing Party. The export notification shall include the information set out in Annex V. 187

2. The export notification shall be provided for that chemical prior to the first export 188

following adoption of the corresponding final regulatory action. Thereafter, the export notification shall be provided before the first export in any calendar year. The requirement to notify before export may be waived by the designated national authority of the importing Party.

3. An exporting Party shall provide an updated export notification after it has adopted a final regulatory action that results in a major change concerning the ban or severe restriction of that chemical. 189

4. The importing Party shall acknowledge receipt of the first export notification received after the adoption of the final regulatory action. If the exporting Party does not receive the acknowledgement within thirty days of the dispatch of the export notification, it shall submit a second notification. The exporting Party shall make reasonable efforts to ensure that the importing Party receives the second notification. 190

5. The obligations of a Party set out in paragraph 1 shall cease when: 191

(a) The chemical has been listed in Annex III; 192

(b) The importing Party has provided a response for the chemical to the Secretariat in accordance with paragraph 2 of Article 10; and 193

(c) The Secretariat has distributed the response to the Parties in accordance with paragraph 10 of Article 10. 194

### **Article 13 - Information to accompany exported chemicals** 195

1. The Conference of the Parties shall encourage the World Customs Organization to assign specific Harmonized System customs codes to the individual chemicals or groups of chemicals listed in Annex III, as appropriate. Each Party shall require that, whenever a code has been assigned to such a chemical, the shipping document for that chemical bears the code when exported. 196

2. Without prejudice to any requirements of the importing Party, each Party shall require that both chemicals listed in Annex III and chemicals banned or severely restricted in its territory are, when exported, subject to labelling requirements that ensure adequate availability of information with regard to risks and/or hazards to human health or the environment, taking into account relevant international standards. 197

3. Without prejudice to any requirements of the importing Party, each Party may require that chemicals subject to environmental or health labelling requirements in its territory are, when exported, subject to labelling requirements that ensure adequate availability of information with regard to risks and/or hazards to human health or the environment, taking into account relevant international standards. 198

4. With respect to the chemicals referred to in paragraph 2 that are to be used for occupational purposes, each exporting Party shall require that a safety data sheet that follows an internationally recognized format, setting out the most up-to-date information available, is sent to each importer. 199

5. The information on the label and on the safety data sheet should, as far as practicable, be given in one or more of the official languages of the importing Party. 200

#### **Article 14 - Information exchange** 201

1. Each Party shall, as appropriate and in accordance with the objective of this Convention, facilitate: 202

(a) The exchange of scientific, technical, economic and legal information concerning the chemicals within the scope of this Convention, including toxicological, ecotoxicological and safety information; 203

(b) The provision of publicly available information on domestic regulatory actions relevant to the objectives of this Convention; and 204

(c) The provision of information to other Parties, directly or through the Secretariat, on domestic regulatory actions that substantially restrict one or more uses of the chemical, as appropriate. 205

2. Parties that exchange information pursuant to this Convention shall protect any confidential information as mutually agreed. 206

3. The following information shall not be regarded as confidential for the purposes of this Convention: 207

(a) The information referred to in Annexes I and IV, submitted pursuant to Articles 5 and 6 respectively; 208

(b) The information contained in the safety data sheet referred to in paragraph 4 of Article 13; 209

(c) The expiry date of the chemical; 210

(d) Information on precautionary measures, including hazard classification, the nature of the risk and the relevant safety advice; and 211

(e) The summary results of the toxicological and ecotoxicological tests. 212

4. The production date of the chemical shall generally not be considered confidential for the purposes of this Convention. 213

5. Any Party requiring information on transit movements through its territory of chemicals listed in Annex III may report its need to the Secretariat, which shall inform all 214

Parties accordingly. 215

#### **Article 15 - Implementation of the Convention** 216

1. Each Party shall take such measures as may be necessary to establish and strengthen its national infrastructures and institutions for the effective implementation of this Convention. These measures may include, as required, the adoption or amendment of national legislative or administrative measures and may also include: 217

(a) The establishment of national registers and databases including safety information for chemicals; 218

(b) The encouragement of initiatives by industry to promote chemical safety; and 219

(c) The promotion of voluntary agreements, taking into consideration the provisions of Article 16. 220

2. Each Party shall ensure, to the extent practicable, that the public has appropriate access to information on chemical handling and accident management and on alternatives that are safer for human health or the environment than the chemicals listed in Annex III. 221

3. The Parties agree to cooperate, directly or, where appropriate, through competent international organizations, in the implementation of this Convention at the subregional, regional and global levels. 222

4. Nothing in this Convention shall be interpreted as restricting the right of the Parties to take action that is more stringently protective of human health and the environment than that called for in this Convention, provided that such action is consistent with the provisions of this Convention and is in accordance with international law. 223

#### **Article 16 - Technical assistance** 224

The Parties shall, taking into account in particular the needs of developing countries and countries with economies in transition, cooperate in promoting technical assistance for the development of the infrastructure and the capacity necessary to manage chemicals to enable implementation of this Convention. Parties with more advanced programmes for regulating chemicals should provide technical assistance, including training, to other Parties in developing their infrastructure and capacity to manage chemicals throughout their life-cycle. 225

#### **Article 17 - Non-Compliance** 226

The Conference of the Parties shall, as soon as practicable, develop and approve procedures and institutional mechanisms for determining non-compliance with the provisions of this Convention and for treatment of Parties found to be in non-compliance. 227

#### **Article 18 - Conference of the Parties** 228

1. A Conference of the Parties is hereby established. 229

2. The first meeting of the Conference of the Parties shall be convened by the Executive Director of UNEP and the Director-General of FAO, acting jointly, no later than one year after the entry into force of this Convention. Thereafter, ordinary meetings of the Conference of the Parties shall be held at regular intervals to be determined by the Conference. 230

3. Extraordinary meetings of the Conference of the Parties shall be held at such other times as may be deemed necessary by the Conference, or at the written request of any Party provided that it is supported by at least one third of the Parties. 231

4. The Conference of the Parties shall by consensus agree upon and adopt at its first meeting rules of procedure and financial rules for itself and any subsidiary bodies, as well as financial provisions governing the functioning of the Secretariat. 232

5. The Conference of the Parties shall keep under continuous review and evaluation the implementation of this Convention. It shall perform the functions assigned to it by the Convention and, to this end, shall: 233

(a) Establish, further to the requirements of paragraph 6 below, such subsidiary bodies as it considers necessary for the implementation of the Convention; 234

(b) Cooperate, where appropriate, with competent international organizations and intergovernmental and non-governmental bodies; and 235

(c) Consider and undertake any additional action that may be required for the achievement of the objectives of the Convention. 236

6. The Conference of the Parties shall, at its first meeting, establish a subsidiary body, to be called the Chemical Review Committee, for the purposes of performing the functions assigned to that Committee by this Convention. In this regard: 237

(a) The members of the Chemical Review Committee shall be appointed by the Conference of the Parties. Membership of the Committee shall consist of a limited number of government-designated experts in chemicals management. The members of the Committee shall be appointed on the basis of equitable geographical distribution, including ensuring a balance between developed and developing Parties; 238

(b) The Conference of the Parties shall decide on the terms of reference, organization and operation of the Committee; 239

(c) The Committee shall make every effort to make its recommendations by consensus. If all efforts at consensus have been exhausted, and no consensus reached, such recommendation shall as a last resort be adopted by a two-thirds majority vote of the members present and voting. 240

7. The United Nations, its specialized agencies and the International Atomic Energy Agency, as well as any State not Party to this Convention, may be represented at meetings of the Conference of the Parties as observers. Any body or agency, whether national or international, governmental or non-governmental, qualified in matters covered by the Convention, and which has informed the Secretariat of its wish to be represented at a meeting of the Conference of the Parties as an observer may be admitted unless at least one third of the Parties present object. The admission and participation of observers shall be subject to the rules of procedure adopted by the Conference of the Parties. 241

**Article 19 - Secretariat** 242

1. A Secretariat is hereby established. 243
2. The functions of the Secretariat shall be: 244
  - (a) To make arrangements for meetings of the Conference of the Parties and its subsidiary bodies and to provide them with services as required; 245
  - (b) To facilitate assistance to the Parties, particularly developing Parties and Parties with economies in transition, on request, in the implementation of this Convention; 246
  - (c) To ensure the necessary coordination with the secretariats of other relevant international bodies; 247
  - (d) To enter, under the overall guidance of the Conference of the Parties, into such administrative and contractual arrangements as may be required for the effective discharge of its functions; and 248
  - (e) To perform the other secretariat functions specified in this Convention and such other functions as may be determined by the Conference of the Parties. 249
3. The secretariat functions for this Convention shall be performed jointly by the Executive Director of UNEP and the Director-General of FAO, subject to such arrangements as shall be agreed between them and approved by the Conference of the Parties. 250
4. The Conference of the Parties may decide, by a three-fourths majority of the Parties present and voting, to entrust the secretariat functions to one or more other competent international organizations, should it find that the Secretariat is not functioning as intended. 251

**Article 20 - Settlement of disputes** 252

1. Parties shall settle any dispute between them concerning the interpretation or application of this Convention through negotiation or other peaceful means of their own choice. 253
2. When ratifying, accepting, approving or acceding to this Convention, or at any time thereafter, a Party that is not a regional economic integration organization may declare in a written instrument submitted to the Depositary that, with respect to any dispute concerning the interpretation or application of the Convention, it recognizes one or both of the following means of dispute settlement as compulsory in relation to any Party accepting the same obligation: 254
  - (a) Arbitration in accordance with procedures to be adopted by the Conference of the Parties in an annex as soon as practicable; and 255
  - (b) Submission of the dispute to the International Court of Justice. 256
3. A Party that is a regional economic integration organization may make a declaration 257

with like effect in relation to arbitration in accordance with the procedure referred to in paragraph 2 (a).

4. A declaration made pursuant to paragraph 2 shall remain in force until it expires in accordance with its terms or until three months after written notice of its revocation has been deposited with the Depositary. 258

5. The expiry of a declaration, a notice of revocation or a new declaration shall not in any way affect proceedings pending before an arbitral tribunal or the International Court of Justice unless the parties to the dispute otherwise agree. 259

6. If the parties to a dispute have not accepted the same or any procedure pursuant to paragraph 2, and if they have not been able to settle their dispute within twelve months following notification by one party to another that a dispute exists between them, the dispute shall be submitted to a conciliation commission at the request of any party to the dispute. The conciliation commission shall render a report with recommendations. Additional procedures relating to the conciliation commission shall be included in an annex to be adopted by the Conference of the Parties no later than the second meeting of the Conference. 260

## **Article 21 - Amendments to the Convention** 261

1. Amendments to this Convention may be proposed by any Party. 262

2. Amendments to this Convention shall be adopted at a meeting of the Conference of the Parties. The text of any proposed amendment shall be communicated to the Parties by the Secretariat at least six months before the meeting at which it is proposed for adoption. The Secretariat shall also communicate the proposed amendment to the signatories to this Convention and, for information, to the Depositary. 263

3. The Parties shall make every effort to reach agreement on any proposed amendment to this Convention by consensus. If all efforts at consensus have been exhausted, and no agreement reached, the amendment shall as a last resort be adopted by a three-fourths majority vote of the Parties present and voting at the meeting. 264

4. The amendment shall be communicated by the Depositary to all Parties for ratification, acceptance or approval. 265

5. Ratification, acceptance or approval of an amendment shall be notified to the Depositary in writing. An amendment adopted in accordance with paragraph 3 shall enter into force for the Parties having accepted it on the ninetieth day after the date of deposit of instruments of ratification, acceptance or approval by at least three fourths of the Parties. Thereafter, the amendment shall enter into force for any other Party on the ninetieth day after the date on which that Party deposits its instrument of ratification, acceptance or approval of the amendment. 266

## **Article 22 - Adoption and amendment of annexes** 267

1. Annexes to this Convention shall form an integral part thereof and, unless expressly 268

provided otherwise, a reference to this Convention constitutes at the same time a reference to any annexes thereto.

2. Annexes shall be restricted to procedural, scientific, technical or administrative matters. 269

3. The following procedure shall apply to the proposal, adoption and entry into force of additional annexes to this Convention: 270

(a) Additional annexes shall be proposed and adopted according to the procedure laid down in paragraphs 1, 2 and 3 of Article 21; 271

(b) Any Party that is unable to accept an additional annex shall so notify the Depositary, in writing, within one year from the date of communication of the adoption of the additional annex by the Depositary. The Depositary shall without delay notify all Parties of any such notification received. A Party may at any time withdraw a previous notification of non-acceptance in respect of an additional annex and the annex shall thereupon enter into force for that Party subject to subparagraph (c) below; and 272

(c) On the expiry of one year from the date of the communication by the Depositary of the adoption of an additional annex, the annex shall enter into force for all Parties that have not submitted a notification in accordance with the provisions of subparagraph (b) above. 273

4. Except in the case of Annex III, the proposal, adoption and entry into force of amendments to annexes to this Convention shall be subject to the same procedures as for the proposal, adoption and entry into force of additional annexes to the Convention. 274

5. The following procedure shall apply to the proposal, adoption and entry into force of amendments to Annex III: 275

(a) Amendments to Annex III shall be proposed and adopted according to the procedure laid down in Articles 5 to 9 and paragraph 2 of Article 21; 276

(b) The Conference of the Parties shall take its decisions on adoption by consensus; 277

(c) A decision to amend Annex III shall forthwith be communicated to the Parties by the Depositary. The amendment shall enter into force for all Parties on a date to be specified in the decision. 278

6. If an additional annex or an amendment to an annex is related to an amendment to this Convention, the additional annex or amendment shall not enter into force until such time as the amendment to the Convention enters into force. 279

## Article 23 - Voting 280

1. Each Party to this Convention shall have one vote, except as provided for in paragraph 2 below. 281

2. A regional economic integration organization, on matters within its competence, 282

shall exercise its right to vote with a number of votes equal to the number of its member States that are Parties to this Convention. Such an organization shall not exercise its right to vote if any of its member States exercises its right to vote, and vice versa.

3. For the purposes of this Convention, “Parties present and voting” means Parties present and casting an affirmative or negative vote. 283

#### **Article 24 - Signature** 284

This Convention shall be open for signature at Rotterdam by all States and regional economic integration organizations on 11 September 1998, and at United Nations Headquarters in New York from 12 September 1998 to 10 September 1999. 285

#### **Article 25 - Ratification, acceptance, approval or accession** 286

1. This Convention shall be subject to ratification, acceptance or approval by States and by regional economic integration organizations. It shall be open for accession by States and by regional economic integration organizations from the day after the date on which the Convention is closed for signature. Instruments of ratification, acceptance, approval or accession shall be deposited with the Depositary. 287

2. Any regional economic integration organization that becomes a Party to this Convention without any of its member States being a Party shall be bound by all the obligations under the Convention. In the case of such organizations, one or more of whose member States is a Party to this Convention, the organization and its member States shall decide on their respective responsibilities for the performance of their obligations under the Convention. In such cases, the organization and the member States shall not be entitled to exercise rights under the Convention concurrently. 288

3. In its instrument of ratification, acceptance, approval or accession, a regional economic integration organization shall declare the extent of its competence in respect of the matters governed by this Convention. Any such organization shall also inform the Depositary, who shall in turn inform the Parties, of any relevant modification in the extent of its competence. 289

#### **Article 26 - Entry into force** 290

1. This Convention shall enter into force on the ninetieth day after the date of deposit of the fiftieth instrument of ratification, acceptance, approval or accession. 291

2. For each State or regional economic integration organization that ratifies, accepts or approves this Convention or accedes thereto after the deposit of the fiftieth instrument of ratification, acceptance, approval or accession, the Convention shall enter into force on the ninetieth day after the date of deposit by such State or regional economic integration organization of its instrument of ratification, acceptance, approval or accession. 292

3. For the purpose of paragraphs 1 and 2, any instrument deposited by a regional 293

economic integration organization shall not be counted as additional to those deposited by member States of that organization.

#### **Article 27 - Reservations**

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No reservations may be made to this Convention.

295

#### **Article 28 - Withdrawal**

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1. At any time after three years from the date on which this Convention has entered into force for a Party, that Party may withdraw from the Convention by giving written notification to the Depositary.

297

2. Any such withdrawal shall take effect upon expiry of one year from the date of receipt by the Depositary of the notification of withdrawal, or on such later date as may be specified in the notification of withdrawal.

298

#### **Article 29 - Depositary**

299

The Secretary-General of the United Nations shall be the Depositary of this Convention.

300

#### **Article 30 - Authentic texts**

301

The original of this Convention, of which the Arabic, Chinese, English, French, Russian and Spanish texts are equally authentic, shall be deposited with the Secretary-General of the United Nations.

302

IN WITNESS WHEREOF the undersigned, being duly authorized to that effect, have signed this Convention.

303

Done at Rotterdam on this tenth day of September, one thousand nine hundred and ninety-eight.

304

#### **Annex I - Information Requirements For Notifications Made Pursuant To Article 5**

305

Notifications shall include:

306

##### **1. Properties, identification and uses**

307

(a) Common name;

308

(b) Chemical name according to an internationally recognized nomenclature (for example,

309

- International Union of Pure and Applied Chemistry (IUPAC)), where such nomenclature exists; 310
- (c) Trade names and names of preparations; 311
- (d) Code numbers: Chemicals Abstract Service (CAS) number, Harmonized System customs code and other numbers; 312
- (e) Information on hazard classification, where the chemical is subject to classification requirements; 313
- (f) Use or uses of the chemical; 314
- (g) Physico-chemical, toxicological and ecotoxicological properties. 315

## 2. Final regulatory action 316

- (a) Information specific to the final regulatory action: 317
- (i) Summary of the final regulatory action; 318
- (ii) Reference to the regulatory document; 319
- (iii) Date of entry into force of the final regulatory action; 320
- (iv) Indication of whether the final regulatory action was taken on the basis of a risk or hazard evaluation and, if so, information on such evaluation, covering a reference to the relevant documentation; 321
- (v) Reasons for the final regulatory action relevant to human health, including the health of consumers and workers, or the environment; 322
- (vi) Summary of the hazards and risks presented by the chemical to human health, including the health of consumers and workers, or the environment and the expected effect of the final regulatory action; 323
- (b) Category or categories where the final regulatory action has been taken, and for each category: 324
- (i) Use or uses prohibited by the final regulatory action; 325
- (ii) Use or uses that remain allowed; 326
- (iii) Estimation, where available, of quantities of the chemical produced, imported, exported and used; 327
- (c) An indication, to the extent possible, of the likely relevance of the final regulatory action to other States and regions; 328
- (d) Other relevant information that may cover: 329
- (i) Assessment of socio-economic effects of the final regulatory action; 330
- (ii) Information on alternatives and their relative risks, where available, such as: 331
- Integrated pest management strategies; 332
- Industrial practices and processes, including cleaner technology. 333

## **Annex II - Criteria For Listing Banned Or Severely Restricted Chemicals In Annex III** 334

In reviewing the notifications forwarded by the Secretariat pursuant to paragraph 5 of Article 5, the Chemical Review Committee shall: 335

(a) Confirm that the final regulatory action has been taken in order to protect human health or the environment; 336

(b) Establish that the final regulatory action has been taken as a consequence of a risk evaluation. This evaluation shall be based on a review of scientific data in the context of the conditions prevailing in the Party in question. For this purpose, the documentation provided shall demonstrate that: 337

(i) Data have been generated according to scientifically recognized methods; 338

(ii) Data reviews have been performed and documented according to generally recognized scientific principles and procedures; 339

(iii) The final regulatory action was based on a risk evaluation involving prevailing conditions within the Party taking the action; 340

(c) Consider whether the final regulatory action provides a sufficiently broad basis to merit listing of the chemical in Annex III, by taking into account: 341

(i) Whether the final regulatory action led, or would be expected to lead, to a significant decrease in the quantity of the chemical used or the number of its uses; 342

(ii) Whether the final regulatory action led to an actual reduction of risk or would be expected to result in a significant reduction of risk for human health or the environment of the Party that submitted the notification; 343

(iii) Whether the considerations that led to the final regulatory action being taken are applicable only in a limited geographical area or in other limited circumstances; 344

(iv) Whether there is evidence of ongoing international trade in the chemical; 345

(d) Take into account that intentional misuse is not in itself an adequate reason to list a chemical in Annex III. 346

## **Annex III - Chemicals Subject To The Prior Informed Consent Procedure** 347

348

| Chemical        | Relevant CAS number(s) | Category  |
|-----------------|------------------------|-----------|
| 2,4,5-T         | 93-76-5                | Pesticide |
| Aldrin          | 309-00-2               | Pesticide |
| Captafol        | 2425-06-1              | Pesticide |
| Chlordane       | 57-74-9                | Pesticide |
| Chlordimeform   | 6164-98-3              | Pesticide |
| Chlorobenzilate | 510-15-6               | Pesticide |
| DDT             | 50-29-3                | Pesticide |

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|   |   |  |
|---|---|--|
| Dieldrin  | 60-57-1   | Pesticide  |
| Dinoseb and dinoseb salts   | 88-85-7   | Pesticide  |
| 1,2-dibromoethane (EDB)   | 106-93-4  | Pesticide  |
| Fluoroacetamide   | 640-19-7  | Pesticide  |
| HCH (mixed isomers)   | 608-73-1  | Pesticide  |
| Heptachlor  | 76-44-8   | Pesticide  |
| Hexachlorobenzene   | 118-74-1  | Pesticide  |
| Lindane   | 58-89-9   | Pesticide  |
| Mercury compounds, Pesticide including inorganic mercury compounds, alkyl mercury compounds and alkyloxyalkyl and aryl mercury compounds  |   | nbsp;  |
| Pesticide   |   |  |
| Pentachlorophenol   | 87-86-5   | Pesticide  |
| Monocrotophos (Soluble liquid pesticide formulations of the lation substance that exceed 600 g active ingredient/l)   | 6923-22-4   | Severely hazardous pesticide forulation                          |
| Methamidophos (Soluble liquid pesticide formulations of the lation substance that exceed 600 g active ingredient/l)   | 10265-92-6  | Severely hazardous   |
| Phosphamidon (Soluble liquid lation formulations of the substance that exceed 1000 g active ingredient/l)   | 13171-21-6 (mixture,<br>(E)   | (Z) isomers)<br>23783-98-4 ((Z)-isomer)<br>297-99-4 ((E)-isomer) |
| Severely hazardous pesticide formulation  |   |  |
| Methyl-parathion (emulsifiable pesticide formulations (EC) lation with 19.5%, 40%, 50%, 60% active ingredient and dusts containing 1.5%, 2% and 3% active ingredient)   | 298-00-0  | Severely hazardous pesticide formulation                         |
| Parathion (all formulations - pesticide formulations - aerosols, dustable lation powder (DP), emulsifiable concentrate (EC), granules (GR) and wettable powders (WP) - of this substance are included, except capsule suspensions (CS)) | 56-38-2   | Severely hazardous pesticide formulation                         |
| Crocidolite   | 12001-28-4  | Industrial   |
| Polybrominated biphenyls  | 36355-01-8(hexa-)<br>(PBB) 27858-07-7 (octa-)<br>13654-09-6 (deca-) | Industrial   |
| Polychlorinated biphenyls (PCB)   | 1336-36-3   | Industrial   |
| Polychlorinated terphenyls (PCT)  | 61788-33-8  | Industrial   |
| Tris (2,3-dibromopropyl) phosphate  | 126-72-7  | Industrial   |

**Annex IV - Information and Criteria for Listing Severely Hazardous Pesticide Formulations in Annex III**

349

**Part 1. Documentation required from a proposing Party Proposals submitted pursuant to paragraph 1 of Article 6 shall include adequate documentation containing the following information:**

350

(a) Name of the hazardous pesticide formulation;

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(b) Name of the active ingredient or ingredients in the formulation;

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(c) Relative amount of each active ingredient in the formulation;

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(d) Type of formulation;

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(e) Trade names and names of the producers, if available;

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(f) Common and recognized patterns of use of the formulation within the proposing

356

Party;

(g) A clear description of incidents related to the problem, including the adverse effects and the way in which the formulation was used; 357

(h) Any regulatory, administrative or other measure taken, or intended to be taken, by the proposing Party in response to such incidents. 358

**Part 2. Information to be collected by the Secretariat Pursuant to paragraph 3 of Article 6, the Secretariat shall collect relevant information relating to the formulation, including:** 359

(a) The physico-chemical, toxicological and ecotoxicological properties of the formulation; 360

(b) The existence of handling or applicator restrictions in other States; 361

(c) Information on incidents related to the formulation in other States; 362

(d) Information submitted by other Parties, international organizations, non-governmental organizations or other relevant sources, whether national or international; 363

(e) Risk and/or hazard evaluations, where available; 364

(f) Indications, if available, of the extent of use of the formulation, such as the number of registrations or production or sales quantity; 365

(g) Other formulations of the pesticide in question, and incidents, if any, relating to these formulations; 366

(h) Alternative pest-control practices; 367

(i) Other information which the Chemical Review Committee may identify as relevant. 368

**Part 3. Criteria for listing severely hazardous pesticide formulations in Annex III** 369

In reviewing the proposals forwarded by the Secretariat pursuant to paragraph 5 of Article 6, the Chemical Review Committee shall take into account: 370

(a) The reliability of the evidence indicating that use of the formulation, in accordance with common or recognized practices within the proposing Party, resulted in the reported incidents; 371

(b) The relevance of such incidents to other States with similar climate, conditions and patterns of use of the formulation; 372

(c) The existence of handling or applicator restrictions involving technology or techniques that may not be reasonably or widely applied in States lacking the necessary infrastructure; 373

(d) The significance of reported effects in relation to the quantity of the formulation used; 374

(e) That intentional misuse is not in itself an adequate reason to list a formulation in Annex III. 375

## **Annex V - Information Requirements For Export Notification** 376

1. Export notifications shall contain the following information: 377

(a) Name and address of the relevant designated national authorities of the exporting Party and the importing Party; 378

(b) Expected date of export to the importing Party; 379

(c) Name of the banned or severely restricted chemical and a summary of the information specified in Annex I that is to be provided to the Secretariat in accordance with Article 5. Where more than one such chemical is included in a mixture or preparation, such information shall be provided for each chemical; 380

(d) A statement indicating, if known, the foreseen category of the chemical and its foreseen use within that category in the importing Party; 381

(e) Information on precautionary measures to reduce exposure to, and emission of, the chemical; 382

(f) In the case of a mixture or a preparation, the concentration of the banned or severely restricted chemical or chemicals in question; 383

(g) Name and address of the importer; 384

(h) Any additional information that is readily available to the relevant designated national authority of the exporting Party that would be of assistance to the designated national authority of the importing Party. 385

2. In addition to the information referred to in paragraph 1, the exporting Party shall provide such further information specified in Annex I as may be requested by the importing Party. 386

## Metadata

### SiSU Metadata, document information

**Document Manifest @:**

`<http://www.jus.uio.no/lm/hazardous.chemicals.and.pesticides.prior.informed.consent.trade.rotterdam.convention.1998/sisu_manifest.html>`

**Title:** The Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade (1998)

**Creator:** United Nations (UN)

**Rights:** Copyright (C) 1998 United Nations (UN)

**Publisher:** SiSU `<http://www.jus.uio.no/sisu>` (this copy)

**Date:** 1998-09-11

**Topics Registered:** environmental law:convention:hazardous waste;transport:hazardous waste;shipping:hazardous waste

**Version Information**

**Sourcefile:** hazardous.chemicals.and.pesticides.prior.informed.consent.trade.rotterdam.convention.1998.-sst

**Filetype:** SiSU text 2.0

**Source Digest:** SHA256(hazardous.chemicals.and.pesticides.prior.informed.consent.trade.rotterdam.convention.-1998.sst)=6259be1c7eb70a3b40e999eada8499d43bf65764b00dded1041d141fc0c2dc99

**Skin Digest:** SHA256(skin\_lm.rb)=5acda64a9532f9ef6b71693da2b471d4efac2f23a8499e68de066eec8ea9b8e9

**Generated**

**Document (dal) last generated:** Tue Sep 21 16:58:15 -0400 2010

**Generated by:** SiSU 2.6.3 of 2010w30/3 (2010-07-28)

**Ruby version:** ruby 1.8.7 (2010-08-16 patchlevel 302) [i486-linux]