

关于持久性有机污染物的

斯德哥尔摩 公约

文本和附件
于2019年修订

联合国
环境规划署



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介绍

《关于持久性有机污染物的斯德哥尔摩公约》于2001年5月22日在瑞典斯德哥尔摩召开的一次全权代表会议上通过。《公约》于2004年5月17日开始生效。

《公约》第18条要求《公约》缔约方大会通过仲裁与调解程序，以指导《公约》缔约方之间争端的解决。缔约方大会在于2005年5月2日至6日在乌拉圭埃斯特角城召开的第一次会议上通过了第SC-1/2号决定，确立了上述程序。该程序在《公约》的一个新附件——附件G中作了系统规定。附件G第一部分阐述了仲裁程序，第二部分阐述了调解程序。附件G于2007年10月31日，即《公约》保存人发出附件G获得通过通知之日一年之后，开始生效。

《公约》保存人发出附件修正案获得通过通知之日一年后，《公约》附件A、B和C的修正案开始对所有缔约方生效，但那些已依照《公约》第22条第3(b)款提交不接受通知，或依照《公约》第22条第4款和第25条第4款作出声明的缔约方除外。

本次修正的《公约》文本反应了缔约方大会第四次、第五次、第六次、第七次、第八次和第九次会议上所通过的关于附件 A、B和C的修正案。

本手册中的《斯德哥尔摩公约》版本仅供参考，不能代替纽约秘书长交存的公约及其修正案的原始文本。如果您希望获取《公约》的原始文本，获取《公约》的认证副本、或者更普遍地，访问对《公约》认证副本的修正案和修改方案、对原始文本的整改或在保存通知（CNs）所涵盖范围下发行的任何其他相关手续，建议您在线访问联合国条约科（<https://treaties.un.org>）或与条约科联系以获得更多帮助。

《斯德哥尔摩公约》秘书处，2020年9月

关于持久性有机污染物的斯德哥尔摩公约

本公约缔约方，

认识到持久性有机污染物具有毒性、难以降解、可产生生物蓄积以及往往通过空气、水和迁徙物种作跨越国际边界的迁移并沉积在远离其排放地点的地区，随后在那里的陆地生态系统和水域生态系统中蓄积起来，

意识到特别是在发展中国家中，人们对因在当地接触持久性有机污染物而产生的健康问题感到关注，尤其是对因此而使妇女以及通过妇女使子孙后代受到的不利影响感到关注，

确认持久性有机污染物的生物放大作用致使北极生态系统、特别是该地区的土著社区受到尤为严重的威胁，并确认土著人的传统食物受到污染是土著社区面对的一个公共卫生问题，

意识到必须在全球范围内对持久性有机污染物采取行动，

铭记联合国环境规划署理事会1997年2月7日通过的第19/13 C号决定，为保护人类健康和环境采取包括旨在减少和/或消除持久性有机污染物排放和释放的措施在内的国际行动，

回顾有关的国际环境公约，特别是《关于在国际贸易中对某些危险化学品和农药采用事先知情同意程序的鹿特丹公约》、《控制危险废物越境转移及其处置巴塞尔公约》以及在该公约第11条框架内缔结的各项区域性协定的相关条款，

并回顾《关于环境与发展的里约宣言》和《21世纪议程》中的有关规定，

确认预防原则受到所有缔约方的关注，并体现于本公约之中，

认识到本公约与贸易和环境领域内的其他国际协定彼此相辅相成，

重申依照《联合国宪章》和国际法原则，各国拥有依照其本国环境与发展政策开发其自有资源的主权，并有责任确保其管辖范围内的或其控制下的活动不对其他国家的环境或其国家管辖范围以外地区的环境造成损害，

考虑到发展中国家、特别是其中的最不发达国家以及经济转型国家的具体国情和特殊需要，特别是有必要通过转让技术、提供财政和技术援助以及推动缔约方之间的合作等手段，加强这些国家对化学品实行管理的国家能力，

充分考虑到于1994年5月6日在巴巴多斯通过的《关于小岛屿发展中国家可持续发展的行动纲领》，

注意到发达国家和发展中国家各自的能力以及《关于环境与发展的里约宣言》之原则7中确立的各国所负有的共同但有区别的责任，

认识到私营部门和非政府组织可在减少和/或消除持久性有机污染物的排放和释放方面做出重要贡献，

强调持久性有机污染物的生产者在减少其产品所产生的有害影响并向用户、政府和公众提供这些化学品危险特性信息方面负有责任的重要性，

意识到需要采取措施，防止持久性有机污染物在其生命周期的所有阶段产生的不利影响，

重申《关于环境与发展的里约宣言》之原则16，各国主管当局应考虑到原则上应由污染者承担治理污染费用的方针，同时适当顾及公众利益和避免使国际贸易和投资发生扭曲，努力促进环境成本内部化，和各种经济手段的应用，

鼓励那些尚未制订农药和工业化学品管制与评估方案的缔约方着手制订此种方案，

认识到开发和利用环境无害化的替代工艺和化学品的重要性，

决心保护人类健康和环境免受持久性有机污染物的危害，

兹协议如下：

第1条 目标

本公约的目标是，铭记《关于环境与发展的里约宣言》之原则15确立的预防原则，保护人类健康和环境免受持久性有机污染物的危害。

第2条 定义

为本公约的目的：

- (a) “缔约方”是指已同意受本公约约束、且本公约已对其生效的国家或区域经济一体化组织；
- (b) “区域经济一体化组织”是指由一个特定区域的主权国家所组成的组织，它已由其成员国让渡处理本公约所规定事项的权限、且已按照其内部程序获得正式授权可以签署、批准、接受、核准或加入本公约；
- (c) “出席并参加表决的缔约方”是指出席会议并投赞成票或反对票的缔约方。

第3条 旨在减少或消除源自有意生产和使用的排放的措施

1. 每一缔约方应：

- (a) 禁止和/或采取必要的法律和行政措施，以消除：
 - (i) 附件A所列化学品的生产和使用，但受限于该附件的规定；和
 - (ii) 附件A所列化学品的进口和出口，但应与第2款的规定相一致；和
- (b) 依照附件B的规定限制该附件所列化学品的生产和使用。

2. 每一缔约方应采取措施确保：

- (a) 对于附件A或B所列化学品，只有在下列情况下才予进口：
 - (i) 按第6条第1款(d)项规定为环境无害化处置进行的进口；或
 - (ii) 附件A或B规定准许该缔约方为某一用途或目的而进口；
- (b) 对于目前在任何生产或使用方面享有特定豁免的附件A所列化学品，或目前在任何生产或使用方面享有特定豁免或符合可予接受用途的附件B所列化学品，在计及现行国际事先知情同意程序各条约所有相关规定的同时，只有在下列情况下才予出口：
 - (i) 按第6条第1款(d)项规定为环境无害化处置进行的出口；
 - (ii) 出口到按附件A或B规定获准使用该化学品的某一缔约方；或
 - (iii) 向并非本公约缔约方、但已向出口缔约方提供了一份年度证书的国家出口。此种证书应具体列明所涉化学品的拟议用途，并表明该进口国家针对所进口的此种化学品承诺：
 - a. 采取必要措施减少或防止排放，从而保护人类健康和环境；
 - b. 遵守第6条第1款的规定；和
 - c. 酌情遵守附件B第二部分第2款的规定。

此种证书中还应包括任何适当的辅助性文件，诸如立法、规章、行政或政策指南等。出口缔约方应自收到该证书之日起六十天内将之转交秘书处。

- (c) 如附件A所列某一化学品生产和使用之特定豁免对于某一缔约方已不再有效，则不得从该缔约方出口此种化学品，除非其目的是按第6条第1款(d)项规定进行环境无害化处置；

- (d) 为本款的目的，“非本公约缔约方国家”一语，就某一特定化学品而言，应包括那些尚未同意就该化学品受本公约约束的国家或区域经济一体化组织。
3. 业已针对新型农药或新型工业化学品制订了一种或一种以上管制和评估方案的每一缔约方应采取措施，以预防为目的，对那些参照附件D第1款所列标准显示出持久性有机污染物特性的新型农药或新型工业化学品的生产和使用实行管制。
 4. 业已制订了关于农药和工业化学品的一种或一种以上管制和评估方案的每一缔约方应在对目前正在使用之中的农药和工业化学品进行评估时，酌情在这些方案中考虑到附件D第1款中所列标准。
 5. 除非本公约另有规定，第1和第2款不应适用于拟用于实验室规模的研究或用作参照标准的化学品。
 6. 按照附件A享有某一特定豁免或按照附件B享有特定豁免或某一可接受用途的任何缔约方应采取适当措施，确保此种豁免或用途下的任何生产或使用都以防止或尽最大限度减少人类接触和向环境中排放的方式进行。对于涉及在正常使用条件下有意向环境中排放的任何豁免使用或可接受用途，应考虑到任何适用的标准和准则，把此种排放控制在最低程度。

第4条 特定豁免登记

1. 兹建立一个登记簿，用以列明享有附件A或B所列特定豁免的缔约方。登记簿不应用于列明那些对所有缔约方都适用的附件A或B规定的缔约方。登记簿应由秘书处负责保存并向公众开放。
2. 登记簿应包括：
 - (a) 从附件A和B中复制的特定豁免类型的清单；
 - (b) 享有附件A或B所列特定豁免的缔约方名单；和
 - (c) 每一登记在册的特定豁免的终止日期清单。
3. 任何国家均可在成为缔约方时，以向秘书处发出书面通知的形式，登记附件A或B所列一种或多种的特定豁免。

4. 除非一缔约方在登记簿中另立一更早终止日期，或依照下述第7款被准予续展，否则，就某一特定化学品而言，所有特定豁免登记的有效期均应自本公约生效之日起五年后终止。
5. 缔约方大会第一次会议应就登记簿中条目的审查程序作出决定。
6. 在对登记簿中的条目进行审查之前，有关缔约方应向秘书处提交一份报告，说明其有必要继续得到该项豁免的理由。该报告应由秘书处分发给所有缔约方。应根据所得到的所有信息对所登记的各项豁免进行审查。缔约方大会可就此向所涉缔约方提出适当建议。
7. 缔约方大会可应所涉缔约方的请求，决定续展某一项特定豁免的终止日期，但最长不超过五年。缔约方大会在作出决定时，应适当地考虑到发展中国家缔约方和经济转型国家缔约方的特殊情况。
8. 缔约方可随时在向秘书处提交书面通知，从登记簿中撤销某一特定豁免条目。此种撤销应自该书面通知中所具体指定的日期开始生效。
9. 若某一特定类别的特定豁免已无任何登记在册的缔约方，则不得就该项豁免进行新的登记。

第5条 减少或消除源自无意生产的排放的措施

每一缔约方应至少采取下列措施以减少附件C中所列的每一类化学物质的人为来源的排放总量，其目的是持续减少并在可行的情况下最终消除此类化学品：

- (a) 自本公约对该缔约方生效之日起两年内，作为第7条中所列明的实施计划的一个组成部分，制订并实施一项旨在查明附件C中所列化学物质的排放并说明其特点和予以处理、以及便利实施以下第(b)至(e)项所规定的行动计划，或酌情制订和实施一项区域或分区域行动计划。此种行动计划应包括下列内容：
 - (i) 考虑到附件C所确定的来源类别，对目前和预计的排放进行的评估，包括编制和保持排放来源清册和对排放量进行估算；

- (ii) 评估该缔约方对此种排放实行管理的有关法律和政策的成效；
 - (iii) 考虑到本项第(i)和(ii)目所规定的评估，制定旨在履行本款所规定的义务的战略；
 - (iv) 旨在促进这些战略的教育、培训和提高认识的措施；
 - (v) 每五年对这些战略及其在履行本款所规定义务方面的成效进行审查，并将审查情况列入依照第15条提交的报告之中；
 - (vi) 实施这一行动计划，包括其中列明的各种战略和措施的时间表。
- (b) 促进实行可尽快实现切实有效的方式切实减少排放量或消除排放源的可行和切合实际的措施；
- (c) 考虑到附件C中关于防止和减少排放措施的一般性指南和拟由缔约方大会决定通过的准则，促进开发和酌情规定使用替代或改良的材料、产品和工艺，以防止附件C中所列化学品的生成和排放；
- (d) 按照行动计划的实施时间表，促进并要求针对来源类别中缔约方认定有必要在其行动计划内对之采取此种行动的新来源采用最佳可行技术，同时在初期尤应注重附件C第二部分所确定的来源类别。对于该附件第二部分所列类别中的新来源的最佳可行技术的使用，应尽快、并在不迟于本公约对该缔约方生效之日起四年内分阶段实施。就所确定的类别而言，各缔约方应促进采用最佳环境实践。在采用最佳可行技术和最佳环境实践时，各缔约方应考虑到附件C关于防止和减少排放措施的一般性指南和拟由缔约方大会决定予以通过的关于最佳可行技术和最佳环境实践的指南；

(e) 依据其行动计划，针对以下来源，促进采用最佳可行技术和最佳环境实践：

(i) 附件C第二部分所列来源类别范围内以及诸如附件C第三部分所列来源类别范围内的各种现有来源；

(ii) 诸如附件C第三部分中所列来源类别中任一缔约方尚未依据本款(d)项予以处理的各种新来源。

在采用最佳可行技术和最佳环境实践时，缔约方应考虑到附件C中所列关于防止和减少排放措施的一般性指南和拟由缔约方大会决定予以通过的关于最佳可行技术和最佳环境实践的指南。

(f) 为了本款和附件C之目的：

(i) “最佳可行技术”是指所开展的活动及其运作方式已达到最有效和最先进的阶段，从而表明该特定技术原则上具有切实适宜性，可为旨在防止和在难以切实可行地防止时，从总体上减少附件C第一部分中所列化学品的排放及其对整个环境的影响的限制排放奠定基础。在此方面：

(ii) “技术”包括所采用的技术以及所涉装置的设计、建造、维护、运行和淘汰的方式；

(iii) “可行”技术是指应用者能够获得的、在一定规模上开发出来的、并基于其成本和效益的考虑、在可靠的经济和技术条件下可在相关工业部门中采用的技术；和

(iv) “最佳”是指对整个环境实行高水平全面保护的最有效性。

(v) “最佳环境实践”是指环境控制措施和战略的最适当组合方式的应用。

(vi) “新的来源”是指至少自下列日期起一年之后建造或发生实质性改变的任何来源：

a. 本公约对所涉缔约方生效之日；或

- b. 附件C的修正对所涉缔约方生效之日、且所涉来源仅因该项修正而受本公约规定的约束。
- (g) 缔约方可使用排放限值或运行标准来履行其依照本款在最佳可行技术方面所作出的承诺。

第6条

减少或消除源自库存和废物的排放的措施

1. 为确保以保护人类健康和环境的方式对由附件A或B所列化学品构成或含有此类化学品的库存、和由附件A、B或C所列某化学品构成、含有此化学品或受其污染的废物，包括即将变成废物的产品和物品实施管理，每一缔约方应：
 - (a) 制订适当战略以便查明：
 - (i) 由附件A或B所列化学品构成或含有此类化学品的库存；和
 - (ii) 由附件A、B或C所列某化学品构成、含有此化学品或受其污染的正在使用中的产品和物品以及废物；
 - (b) 根据(a)项所提及的战略，尽可能切实可行地查明由附件A或B所列化学品构成或含有此类化学品的库存；
 - (c) 酌情以安全、有效和环境无害化的方式管理库存。除根据第3条第2款允许出口的库存之外，附件A或B所列化学品的库存，在按照附件A所列任何特定豁免或附件B所列特定豁免或可接受的用途已不再允许其使用之后，应被视为废物并应按照以下(d)项加以管理；
 - (d) 采取适当措施，以确保此类废物、包括即将成为废物的产品和物品：
 - (i) 以环境无害化的方式予以处置、收集、运输和储存；
 - (ii) 以销毁其持久性有机污染物成分或使之发生永久质变的方式予以处置，从而使之不再显示出持久性有机污染物的特性；或在永久质变并非可取的环境备

选方法或在其持久性有机污染物含量低的情况下，考虑到国际规则、标准和指南、包括那些将依照第2款制订的标准和方法、以及涉及危险废物管理的有关全球和区域机制，以环境无害化的其他方式予以处置；

(iii) 不得从事可能导致持久性有机污染物回收、再循环、再生、直接再利用或替代使用的处置行为；和

(iv) 不得违反相关国际规则、标准和指南进行跨越国界的运输。

(e) 努力制订用以查明受到附件A、B或C所列化学品污染的场址的适宜战略；如对这些场所进行补救，则应以环境无害化的方式进行。

2. 缔约方大会应与《控制危险废物越境转移及其处置巴塞尔公约》的有关机构密切合作，尤其要：

(a) 制定进行销毁和永久质变的必要标准，以确保附件D第1款中所确定的持久性有机污染物特性不被显示；

(b) 确定它们认可的上述对环境无害化的处置方法；和

(c) 酌情制定附件A、B和C中所列化学物质的含量标准，以界定第1款(d) (ii) 项中所述及的持久性有机污染物的低含量。

第7条 实施计划

1. 每一缔约方应：

(a) 制定并努力执行旨在履行本公约所规定的各项义务的计划；

(b) 自本公约对其生效之日起，两年内将其实施计划送交缔约方大会；和

(c) 酌情按照缔约方大会决定所具体规定的方式定期审查和更新其实施计划。

2. 为便于制定、执行和更新其实施计划，各缔约方应酌情直接或通过全球、区域和分区域组织开展合作，并征求其国内的利益相关者、包括妇女团体和儿童保健团体的意见。
3. 各缔约方应尽力利用、并于必要时酌情将有关持久性有机污染物的国家实施计划纳入其可持续发展战略。

第8条 向附件A、B和C增列化学品

1. 任一缔约方均可向秘书处提交旨在将某一化学品列入本公约附件A、B和/或C的提案。提案中应包括附件D所规定的资料。缔约方在编制提案时可得到其他缔约方和/或秘书处的协助。
2. 秘书处应核实提案中是否包括附件D所规定的资料。如果秘书处认定提案中包括所规定的资料，则应将之转交持久性有机污染物审查委员会。
3. 审查委员会应以灵活而透明的方式审查提案和适用附件D所规定的筛选标准，同时综合兼顾和平衡地考虑到所提供的资料。
4. 如果审查委员会决定：
 - (a) 它认定提案符合筛选标准，则应通过秘书处向所有缔约方和观察员通报该提案和委员会的评价，并请它们提供附件E所规定的资料；或
 - (b) 它认定提案不符合筛选标准，则应通过秘书处就此通知所有缔约方和观察员，并向所有缔约方通报该提案和委员会的评价，并将该提案搁置。
5. 任一缔约方可再次向审查委员会提交曾被其根据上述第4款搁置的提案。再次提交的提案可包括该缔约方所关注的任何问题以及提请该委员会对之作进一步考虑的理由。如果经过这一程序后，审查委员会再次搁置该提案，该缔约方可对审查委员会的决定提出质疑，而缔约方大会应在下一届会议上考虑该事项。缔约方大会可根据附件D所列筛选标准并考虑到审查委员会的评价以及任一缔约方或观察员提交的补充资料，决定继续审议该提案。

6. 如果审查委员会认定提案符合筛选标准，或缔约方大会决定应继续审议该提案，则委员会应计及所收到的相关附加资料，对提案进行进一步的审查，并应根据附件E拟订风险简介草案。委员会应通过秘书处将风险简介草案提交所有缔约方和观察员，收集它们的技术性评议意见，并在计及这些意见后，完成风险简介的编写。
7. 如果审查委员会基于根据附件E所做的风险简介，决定：
 - (a) 该化学品由于其远距离的环境迁移而可能导致对人类健康和/或环境的不利影响因而有理由对之采取全球行动，则应继续审议该提案。即使缺乏充分的科学确定性，亦不应妨碍继续对该提案进行审议。委员会应通过秘书处请所有缔约方和观察员提出与附件F所列各种考虑因素有关的资料。委员会继而应拟订一项风险管理评价报告，其中包括按照附件F对该化学品可能实行的管制措施进行的分析；或
 - (b) 不应继续审议该项提案，则它应通过秘书处将风险简介提供给所有缔约方和观察员，并搁置该项提案。
8. 对根据上述第7款(b)项款搁置的任何提案，缔约方均可要求缔约方大会考虑审查委员会请提案缔约方和其他缔约方在不超过一年的期限内提供补充资料。在该期限之后，委员会应在所收到的任何资料的基础上，按缔约方大会决定的优先次序，根据上述第6款重新考虑该提案。如果经过这一程序之后，审查委员会再次搁置该提案，则所涉缔约方可对审查委员会的决定提出质疑，并应由缔约方大会在其下一届会议上考虑该事项。缔约方大会可根据按照附件E所编写的风险简介，并考虑到审查委员会的评价及任何缔约方和观察员提交的补充资料，决定继续审议该提案。如果缔约方大会决定应继续审议该提案，审查委员会则应编写风险管理评价报告。
9. 审查委员会应根据上述第6款所述风险简介和上述第7款(a)项或第8款所述风险管理评价，提出建议是否应由缔约方大会审议该化学品以便将其列入附件A、B和/或C。缔约方大会在适当考虑到该委员会的建议、包括任何科学上的不确定性之后，根据预防原则，决定是否将该化学品列入附件A、B和/或C，并为此规定相应的管制措施。

第9条 信息交流

1. 每一缔约方应促进或进行关于下列事项的信息交流：
 - (a) 减少或消除持久性有机污染物的生产、使用和排放；和
 - (b) 持久性有机污染物的替代品，包括有关其风险和经济与社会成本的信息。
2. 各缔约方应直接地或通过秘书处相互交流上述第1款所述信息。
3. 每一缔约方应指定一个负责交流此类信息的国家联络点。
4. 秘书处应成为一个有关持久性有机污染物的信息交换所，所交换的信息应包括由缔约方、政府间组织和非政府组织提供的信息。
5. 为本公约的目的，有关人类健康与安全与环境的信息不得视为机密性信息。依照本公约进行其他信息交流的缔约方应按相互约定，对有关信息保密。

第10条 公众宣传、认识和教育

1. 每一缔约方应根据其自身能力促进和协助：
 - (a) 提高其政策制定者和决策者对持久性有机污染物问题的认识；
 - (b) 向公众提供有关持久性有机污染物的一切现有信息，为此应考虑到第9条第5款的规定；
 - (c) 制定和实施特别是针对妇女、儿童和文化程度低的人的教育和公众宣传方案，宣传关于持久性有机污染物及其对健康和环境所产生的影响，和替代品方面的知识；
 - (d) 公众参与处理持久性有机污染物及其对健康和环境所产生的影响、并参与制定妥善的应对措施，包括使之有机会在国家一级对本公约的实施提供投入；

- (e) 对工人、科学家、教育人员以及技术和管理人员进行培训；
 - (f) 在国家和国际层面编制并交流教育材料和宣传材料；和
 - (g) 在国家和国际层面制定并实施教育和培训方案；
2. 每一缔约方应根据其自身能力，确保公众有机会得到上述第1款所述的公共信息，并确保随时对此种信息进行更新。
 3. 每一缔约方应根据其自身能力，鼓励工业部门和专门用户促进和协助在国家层面以及适当时在次区域、区域和全球各层面提供上述第1款所述的信息。
 4. 在提供关于持久性有机污染物及其替代品的信息时，缔约方可使用安全数据单、报告、大众媒体和其他通讯手段，并可在国家和区域层面建立信息中心。
 5. 每一缔约方应积极考虑建立一些机制，例如建立污染物排放和转移的登记册等，用以收集和分发关于附件A、B或C所列化学品排放或处置年估算量方面的信息。

第11条

研究、开发和监测

1. 各缔约方应根据其自身能力，在国家和国际层面，就持久性有机污染物和其相关替代品，以及潜在的持久性有机污染物，鼓励和/或进行适当的研究、开发、监测与合作，包括：
 - (a) 来源和向环境中排放的情况；
 - (b) 在人体和环境中的存在、含量和发展趋势；
 - (c) 环境迁移、转归和转化情况；
 - (d) 对人类健康和环境的影响；
 - (e) 社会经济和文化影响；
 - (f) 排放量的减少和/或消除；和
 - (g) 制订其生成来源清单的统一方法学和测算其排放量的分析技术。

2. 在按照上述第1款采取行动时，各缔约方应根据其自身能力：
 - (a) 支持并酌情进一步发展旨在界定、从事、评估和资助研究、数据收集和监测工作的国际方案、网络和组织，并注意尽可能避免重复工作；
 - (b) 支持旨在增强国家科学和技术研究能力、特别是增强发展中国家和经济转型国家的此种能力的国家和国际努力，并促进数据及分析结果的获取和交流；
 - (c) 考虑发展中国家和经济转型国家各方面的关注和需要，特别是在资金和技术资源方面的关注和需要，并为提高它们参与以上(a)和(b)项所述活动的 ability 开展合作；
 - (d) 开展研究工作，努力减轻持久性有机污染物对生育健康的影响；
 - (e) 使公众得以及时和经常地获知本款所述的研究、开发和监测活动的结果；和
 - (f) 针对在研究、开发和监测工作中所获的信息的储存和保持方面，鼓励和/或开展合作。

第12条 技术援助

1. 缔约方认识到，应发展中国家缔约方和经济转型国家缔约方的要求，向它们提供及时和适当的技术援助对于本公约的成功实施极为重要。
2. 缔约方应开展合作，向发展中国家缔约方和经济转型国家缔约方提供及时和适当的技术援助，考虑到它们的特殊需要，协助它们开发和增强履行本公约规定的各项义务的能力。
3. 在此方面，拟由发达国家缔约方以及由其他国家缔约方根据其能力提供的技术援助，应包括适当的和共同约定的与履行本公约所规定的各项义务有关的能力建设方面的技术援助。缔约方大会应在此方面提供进一步的指导。
4. 缔约方应酌情就向发展中国家缔约方和经济转型国家缔约方提供与履行本公约有关的技术援助和促进相关的技术转让做出安排。

这些安排应包括区域和次区域层面的能力建设和技术转让中心，以协助发展中国家缔约方和经济转型国家缔约方履行本公约规定的各项义务。缔约方大会应在此方面提供进一步的指导。

5. 缔约方应在本条的范畴内，在其为提供技术援助而采取的行动中充分顾及最不发达国家和小岛屿发展中国家的具体需要和特殊国情。

第13条

资金资源和机制

1. 每一缔约方承诺根据其自身的能力，并依照其国家计划、优先目标和方案，为那些旨在实现本公约目标的国家活动提供资金支持和激励。
2. 发达国家缔约方应提供新的和额外的资金资源，以便使发展中国家缔约方和经济转型国家缔约方得以偿付受援缔约方与参与第6款中所阐明的机制的实体之间共同商定的、为履行本公约为之规定的各项义务而采取的采取措施所涉全部增量成本。其他缔约方亦可在自愿基础上并根据其自身能力提供此种财政资源。同时亦应鼓励来自其他来源的捐助。在履行这些义务时，应考虑需要确保资金的充足性、可预测性和及时支付性，并考虑各捐助缔约方共同负担的重要性。
3. 发达国家缔约方、以及其他缔约方亦可根据其自身能力，并按照其国家计划、优先事项和方案，通过其他双边、区域和多边来源或渠道向发展中国家缔约方和经济转型国家缔约方提供资金援助；发展中国家缔约方和经济转型国家缔约方可利用此种资金资源，以协助它们实施本公约。
4. 发展中国家缔约方在何种程度上有效地履行其在本公约下的各项承诺，将取决于发达国家缔约方有效地履行其在资金资源、技术援助和技术转让诸方面于本公约下所作出的承诺。在适当地考虑保护人类健康和环境的需要的同时，应充分考虑到可持续的经济和社会发展以及根除贫困是发展中国家缔约方的首要的和压倒一切的优先目标。
5. 缔约方在其供资行动中应充分顾及最不发达国家和小岛屿发展中国家的具体需要和特殊国情。

6. 兹确立一套以赠款或减让方式为协助发展中国家缔约方和经济转型国家缔约方实施本公约而向它们提供充足和可持续的资金资源的机制。为了本公约的目的，这一资金机制应酌情在缔约方大会的权力和指导之下行使职能，并向缔约方大会负责。这一资金机制的运作应委托给可由缔约方大会予以决定的一个或多个实体包括既有的国际实体进行。这一机制还可包括提供多边、区域和双边资金和技术援助的其他实体。对这一机制的捐助应属于依照第2款规定向发展中国家缔约方和经济转型国家缔约方提供的其他资金转让之外的额外捐助。
7. 依照本公约各项目标以及本条第6款的规定，缔约方大会应在第一次会议上通过拟向这一机制提供的适当指导，并应与参与资金机制的实体共同商定使此种指导发生效力的安排。此种指导尤其要涉及以下事宜：
 - (a) 确定有关获得和使用资金资源的资格的政策、战略、方案优先次序以及明确和详细的标准和指南，包括对此种资源的使用进行的监督和定期评价；
 - (b) 由参与实体定期向缔约方大会提交报告，汇报为实施与本公约的有关活动提供充分和可持续的资金的情况；
 - (c) 促进从多种来源获得资金的办法、机制和安排；
 - (d) 以可预测的和可确认的方式，且铭记逐步消除持久性有机污染物的可能需要持久的供资，确定实施本公约所必要的和可获得的供资额度的方法，以及应定期对这一额度进行审查的条件；和
 - (e) 向有兴趣的缔约方提供需求评估帮助、现有资金来源以及供资形式方面信息的方法，以便于它们彼此相互协调。
8. 缔约方大会最迟应在第二次会议上，并嗣后定期审查依照本条确立的资金机制的成效、其满足发展中国家缔约方和经济转型国家缔约方不断变化的需要的能力、上述第7款述及的标准和指南、供资额度，以及受委托负责这一资金机制运作的实体的工作成效。缔约方大会应在此种审查的基础上，视需要为提高这一机制的成效采取适当的行动，包括就为确保满足缔约方的需要而提供充分和可持续的资金的措施提出建议和指导。

第14条 临时资金安排

依照《关于建立经结构改组的全球环境基金的导则》运作的全球环境基金的组织结构，应自本公约开始生效之日起直至缔约方大会第一次会议这一时期内，或直至缔约方大会决定将依照第13条决定指定哪一组织结构来负责资金机制的运作时为止的这一时期内，临时充当受委托负责第13条所述资金机制运作的主要实体。全球环境基金的组织结构应考虑到可能需要为这一领域的工作做出新的安排，通过采取专门涉及持久性有机污染物的业务措施来履行这一职能。

第15条 报告

1. 每一缔约方向缔约方大会报告其已为履行本公约规定所采取的措施和这些措施在实现本公约各项目标方面的成效。
2. 每一缔约方向秘书处提供：
 - (a) 关于其生产、进口和出口附件A和B所列每一种化学品的总量的统计数据，或对此种数据的合理估算；
 - (b) 在切实可行的范围内，提供向它出口每一种此类物质的国家名单和接受它出口每一种此类物质的国家名单。
3. 此种报告应按拟由缔约方大会第一次会议确定的时间间隔和格式进行。

第16条 成效评估

1. 缔约方大会应自本公约生效之日起四年内，并嗣后按照缔约方大会所决定的时间间隔定期对本公约的成效进行评估。
2. 为便于此种评估的进行，缔约方大会应在其第一次会议上着手做出旨在使它获得关于附件A、B和C所列化学品的存在、及在区域和全球环境中迁移情况的可比监测数据的安排。这些安排：

- (a) 应由缔约方酌情在区域基础上并视其技术和资金能力予以实施，同时尽可能利用既有的监测方案和机制，并促进各种方法的一致性；
 - (b) 考虑到各区域的具体情况及其开展监测活动的能力方面存在的差别，视需要予以补充；和
 - (c) 应包括按照拟由缔约方大会具体规定的时间间隔向缔约方大会汇报在区域和全球层面开展监测活动的成果。
3. 上述第1款所述评估应根据现有的科学、环境、技术和经济信息进行，其中包括：
- (a) 根据第2款提供的报告和其他监测结果信息；
 - (b) 依照第15条提交的国家报告；和
 - (c) 依据第17条所订立的程序提供的不遵守情事方面的信息。

第17条 不遵守情事

缔约方大会应视实际情况尽快制定并批准用以确定不遵守本公约规定的情事和处理被查明不遵守本公约规定的缔约方的程序和组织机制。

第18条 争端解决

1. 缔约方应通过谈判或其自行选择的其他和平方式解决它们之间因本公约的解释或适用而产生的任何争端。
2. 非区域经济一体化组织的缔约方在批准、接受、核准或加入本公约时，或于其后任何时候，可在交给保存人的一份书面文书中声明，对于本公约的解释或适用方面的任何争端，承认在涉及接受同样义务的任何其他缔约方时，下列一种或两种争端解决方式具有强制性：
 - (a) 按照拟由缔约方大会视实际情况尽早通过的、载于某一附件中的程序进行仲裁；
 - (b) 将争端提交国际法院审理。

3. 若缔约方系区域经济一体化组织，则它可对按照第2款(a)项所述程序作出的裁决，发表类似的声明。
4. 根据第2款或第3款所作的声明，在其中所规定的有效期内或自其撤销声明的书面通知交存于保存人之后三个月内，应一直有效。
5. 除非争端各方另有协议，声明的失效、撤销声明的通知或作出新的声明不得在任何方面影响仲裁庭或国际法院正在进行的审理。
6. 如果争端各方尚未根据第2款接受同样的程序或任何程序，且它们未能在一方通知另一方它们之间存在争端后的十二个月内解决其争端，则应根据该争端任何一方的要求将之提交调解委员会。调解委员会应提出附有建议的报告。调解委员会的增补程序应列入最迟将在缔约方大会第二次会议上予以通过的一项附件之中。

第19条 缔约方大会

1. 兹设立缔约方大会。
2. 缔约方大会第一次会议应在本公约生效后一年内由联合国环境规划署执行主任召集。此后，缔约方大会的例会应按缔约方大会所确定的时间间隔定期举行。
3. 缔约方大会的特别会议可在缔约方大会认为必要的其他时间举行，或应任何缔约方的书面请求并得到至少三分之一缔约方的支持而举行。
4. 缔约方大会应在其第一次会议上以协商一致方式议定、并通过缔约方大会及其任何附属机构的议事规则和财务细则以及有关秘书处运作的财务规定。
5. 缔约方大会应不断审查和评价本公约的实施情况。它应履行本公约为其指定的各项职责，并应为此目的：
 - (a) 除第6款中所作规定之外，设立它认为实施本公约所必需的附属机构；
 - (b) 酌情与具有资格的国际组织以及政府间组织和非政府组织开展合作；和

- (c) 定期审查根据第15条向缔约方提供的所有资料，包括审查第3条第2款(b) (iii) 项的成效；
 - (d) 考虑并采取为实现本公约各项目标可能需要的任何其他行动。
- 6. 缔约方大会应在其第一次会议上设立一个名为持久性有机污染物审查委员会的附属机构，以行使本公约为其指定的职能。在此方面：
 - (a) 持久性有机污染物审查委员会的成员应由缔约方大会予以任命。委员会应由政府指定的化学品评估或管理方面的专家组成。委员会成员应在公平地域分配的基础上予以任命。
 - (b) 缔约方大会应就该委员会的职责范围、组织和运作方式作出决定；且
 - (c) 该委员会应尽一切努力以协商一致方式通过其建议。如果为谋求协商一致已尽了一切努力而仍未达成一致，则作为最后手段，应以出席并参加表决的成员的三分之二多数票通过此类建议。
- 7. 缔约方大会应在其第三次会议上评价是否继续需要实施第3条第2款(b)项规定的程序及其成效。
- 8. 联合国及其专门机构、国际原子能机构以及任何非本公约缔约方的国家均可作为观察员出席缔约方大会的会议。任何其他组织或机构，无论是国家或国际性质、政府或非政府性质，只要在本公约所涉事项方面具有资格，并已通知秘书处愿意以观察员身份出席缔约方大会的会议，均可被接纳参加会议，除非有至少三分之一的出席缔约方对此表示反对。观察员的接纳和参加会议应遵守缔约方大会所通过的议事规则。

第20条 秘书处

1. 兹设立秘书处。

2. 秘书处的职能应为：
 - (a) 为缔约方大会及其附属机构的会议作出安排并为之提供所需的服务；
 - (b) 根据要求，为协助缔约方，特别是发展中国家缔约方和经济转型国家缔约方实施本公约提供便利；
 - (c) 确保与其他有关国际组织的秘书处进行必要的协调；
 - (d) 基于按照第15条收到的信息以及其他可用信息，定期编制和向缔约方提供报告；
 - (e) 在缔约方大会的全面指导下，作出为有效履行其职能所需的行政和合同安排；以及
 - (f) 履行本公约所规定的其他秘书处职能以及缔约方大会可能为之确定的其他职能。
3. 本公约的秘书处职能应由联合国环境规划署执行主任履行，除非缔约方大会以出席会议并参加表决的缔约方的四分之三多数决定委托另一个或几个国际组织来履行此种职能。

第21条 公约的修正

1. 任何缔约方均可对本公约提出修正案。
2. 本公约的修正案应在缔约方大会的会议上通过。对本公约提出的任何修正案案文均应由秘书处至少在拟议通过该项修正案的会议举行之前六个月送交各缔约方。秘书处还应将该项提议的修正案送交本公约所有签署方，并呈交保存人阅存。
3. 缔约方应尽一切努力以协商一致的方式就对本公约提出的任何修正案达成协议。如为谋求协商一致已尽了一切努力而仍未达成协议，则作为最后手段，应以出席会议并参加表决的缔约方的四分之三多数票通过该修正案。

4. 该修正案应由保存人送交所有缔约方，供其批准、接受或核准。
5. 对修正案的批准、接受或核准应以书面形式通知保存人。依照上述第3款通过的修正案，应自至少四分之三的缔约方交存批准、接受或核准文书之日后的第九十天起对接受该修正案的各缔约方生效。其后任何其他缔约方自交存批准、接受或核准修正案的文书后的第九十天起，该修正案即开始对其生效。

第22条 附件的通过和修正

1. 本公约的各项附件构成本公约不可分割的组成部分，除非另有明文规定，凡提及本公约时，亦包括其所有附件在内。
2. 任何增补附件应仅限于程序、科学、技术或行政事项。
3. 下列程序应适用于本公约任何增补附件的提出、通过和生效：
 - (a) 增补附件应根据第21条第1、2和3款规定的程序提出和通过；
 - (b) 任何缔约方如不能接受某一增补附件，则应在保存人就通过该增补附件发出通知之日起一年内将此种情况书面通知保存人。保存人应在接获任何此类通知后立即通知所有缔约方。缔约方可随时撤销先前对某一增补附件提出的不予接受的通知，据此该附件即应根据(c)项的规定对该缔约方生效；和
 - (c) 在保存人就通过一项增补附件发出通知之日起一年后，该附件便应对未曾依(b)项规定提交通知的本公约所有缔约方生效。
4. 对附件A、B或C的修正案的提出、通过和生效均应遵守本公约增补附件的提出、通过和生效所采用的相同程序，但如果任何缔约方已按照第25条第4款针对关于附件A、B或C的修正案作出了声明，则这些修正案便不得对该缔约方生效，在此种情况下，任何此种修正案应自此种缔约方向保存人交存了其批准、接受、核准或加入此种修正案的文书后第九十天起开始对其生效。

5. 下列程序应适用于对附件D、E或F的修正案的提出、通过和生效：
 - (a) 修正案应按照第21条第1和2款所列程序提出；
 - (b) 缔约方应以协商一致方式就附件D、E或F的修正案作出决定；和
 - (c) 保存人应迅速将修正附件D、E或F的决定通知各缔约方。该修正案应在该项决定所确定的日期对所有缔约方生效。
6. 如果一项增补附件或对某一附件的修正案与对本公约的一项修正案相关联，则该增补附件或修正案不得在本公约的该项修正案之前生效。

第23条 表决权

1. 除第2款规定外，本公约每一缔约方均应拥有一票表决权。
2. 区域经济一体化组织对属于其权限范围内的事项行使表决权时，其票数应与其作为本公约缔约方的成员国数目相同。如果此类组织的任何成员国行使表决权，则该组织便不得行使表决权，反之亦然。

第24条 签署

本公约应于2001年5月23日在斯德哥尔摩，并自2001年5月24日至2002年5月22日在纽约联合国总部开放供所有国家和区域经济一体化组织签署。

第25条 批准、接受、核准或加入

1. 本公约须经各国和各区域经济一体化组织批准、接受或核准。本公约应从签署截止之日后开放供各国和各区域经济一体化组织加入。批准、接受、核准或加入书应交存于保存人。
2. 任何已成为本公约缔约方，但其成员国却均未成为缔约方的区域性经济一体化组织应受本公约下一切义务的约束。如果此类组织

的一个或多个成员国为本公约的缔约方，则该组织及其成员国便应决定其各自在履行公约义务方面的责任。在这种情况下，该组织及其成员国无权同时行使本公约所规定的权利。

3. 区域经济一体化组织应在其批准、接受、核准或加入书中声明其在本公约所规定事项上的权限。任何此类组织还应将其权限范围的任何有关变更通知保存人，再由保存人通知各缔约方。
4. 任何缔约方均可在其批准、接受、核准或加入文书中作出如下声明：就该缔约方而言，对附件A、B或C的任何修正案，只有在其针对该项修正案交存了其批准、接受、核准或加入文书之后才能对其生效。

第26条

生效

1. 本公约应自第五十份批准、接受、核准或加入文书交存之日后第九十天起生效。
2. 对于在第五十份批准、接受、核准或加入的文书交存之后批准、接受、核准或加入本公约的每一国家或区域经济一体化组织，本公约应自该国或该区域经济一体化组织交存其批准、接受、核准或加入文书之日后第九十天起生效。
3. 为第1和2款的目的，区域经济一体化组织所交存的任何文书不应视为该组织成员国所交存文书之外的额外文书。

第27条

保留

不得对本公约作任何保留。

第28条

退出

1. 自本公约对一缔约方生效之日起三年后，该缔约方可随时向保存人发出书面通知，退出本公约。

2. 任何此种退出应在保存人收到退出通知之日起一年后生效，或在退出通知中可能指定的一个更晚日期生效。

第29条

保存人

联合国秘书长应为本公约保存人。

第30条

作准文本

本公约正本应交存于联合国秘书长，其阿拉伯文、中文、英文、法文、俄文和西班牙文文本同等作准。

下列签字人，经正式授权，在本公约上签字，以昭信守。

公元二〇〇一年五月二十二日谨订于斯德哥尔摩。

附件

附件 A¹

消除 第一部分

化学品	活动	特定豁免 ²
艾氏剂* 化学文摘号：309-00-2	生产	无
	使用	当地使用的杀体外寄生虫药杀虫剂
α-六氯环己烷* 化学文摘社编号：319-84-6	生产	无
	使用	无
β-六氯环己烷* 化学文摘社编号：319-85-7	生产	无
	使用	无
氯丹* 化学文摘社编号：57-74-9	生产	限于登记簿所列缔约方被允许的豁免
	使用	当地使用的杀体外寄生虫药 杀虫剂 杀白蚁剂 建筑物和堤坝中使用的杀白蚁剂 公路中使用的杀白蚁剂 胶合板粘合剂中的添加剂
十氯酮* 化学文摘社编号：143-50-0	生产	无
	使用	无

¹ 由缔约方大会2009年5月8日通过SC-4/10号至SC-4/18号决定、2011年4月29日通过SC-5/3号决定、2013年5月10日通过SC-6-13号决定、2015年5月15日通过SC-7/12至SC-7/14号决定、2017年5月5日通过SC-8/10至SC-8/12以及2019年5月10日通过SC-9/4、SC-9/11和SC-9/12号决定予以修订。

² 请注意，按照本公约第4条第9款的规定，若某一特定类别的特定豁免已无任何缔约方登记，则缔约方不得就该项豁免进行新的登记。该项字体在表格中显示为灰色。

化学品	活动	特定豁免 ²
商用十溴二苯醚中的十溴二苯醚 (BDE-209) (化学文摘社编号: 1163-19-5)	生产	限于登记簿所列缔约方被允许的豁免
	使用	根据本附件第九部分: <ul style="list-style-type: none"> • 本附件第九部分第2 段所规定的车辆部件; • 2018 年12 月前提出申请并于2022年12 月前获得批准的飞机型号及这些飞机的备件; • 需具备阻燃特点的纺织产品, 不包括服装和玩具; • 塑料外壳的添加剂及用于家用取暖电器、熨斗、风扇、浸入式加热器的部件, 包含或直接接触电器零件, 或需要遵守阻燃标准, 按该零件重量算密度低于10%; • 用于建筑绝缘的聚氨酯泡沫塑料。
三氯杀螨醇 化学文摘社编号: 115-32-2 化学文摘社编号: 10606-46-9	生产	无
	使用	无
狄氏剂* 化学文摘社编号: 60-57-1	生产	无
	使用	农业生产
异狄氏剂* 化学文摘社编号: 72-20-8	生产	无
	使用	无
七氯* 化学文摘社编号: 76-44-8	生产	无
	使用	杀白蚁剂 房屋结构中使用的杀白蚁剂 杀白蚁剂(地下的) 木材处理 用于地下电缆线防护盒
六溴联苯* 化学文摘社编号: 36355-01-8	生产	无
	使用	无

化学品	活动	特定豁免 ²
六溴环十二烷	生产	依照本附件第七部分的规定，限于登记簿中所列缔约方被允许的豁免
	使用	依照本附件第七部分的规定，建筑物中的发泡聚苯乙烯和挤塑聚苯乙烯
六溴二苯醚*和七溴二苯醚*	生产	无
	使用	根据本附件第四部分的规定物品
六氯代苯 化学文摘社编号：118-74-1	生产	限于登记簿所列缔约方被允许的豁免
	使用	中间体 农药溶剂 有限场地封闭系统内的中间物
六氯丁二烯 化学文摘社编号：87-68-3	生产	无
	使用	无
林丹* 化学文摘社编号：58-89-9	生产	无
	使用	控制头虱和治疗疥疮的人类健康辅助治疗药物
灭蚁灵* 化学文摘社编号：2385-85-5	生产	限于登记簿所列缔约方被允许的豁免
	使用	杀白蚁剂
五氯苯* 化学文摘社编号：608-93-5	生产	无
	使用	无
五氯苯酚及其盐类和酯类	生产	依照本附件第八部分的规定，限于登记簿中所列缔约方被允许的豁免
	使用	依照本附件第八部分的规定，五氯苯酚用于线杆和横担

化学品	活动	特定豁免 ²
<p>全氟辛酸 (PFOA)、其盐类及其相关化合物“全氟辛酸 (PFOA)、其盐类及其相关化合物”是指:</p> <p>(i) 全氟辛酸 (PFOA; 化学文摘社编号: 335-67-1), 包括其任何支链异构体;</p> <p>(ii) 其盐类 ;</p> <p>(iii) 全氟辛酸相关化合物, 在《公约》中是指会降解为全氟辛酸的任何物质, 包括含有直链或支链全氟基团且以其中 (C₇F₁₅)C 部分作为结构要素之一的任何物质 (包括盐类和聚合物);</p> <p>下列化合物不列为全氟辛酸相关化合物:</p> <p>(i) C₈F₁₇-X, 其中 X= F, Cl, Br;</p> <p>(ii) CF₃[CF₂]_n-R' 涵盖的含氟聚合物, 其中 n-R' =任何基团, n>16;</p> <p>(iii) 具有≥8 个全氟化碳原子的全氟烷基羧酸和膦酸 (包括其盐类、脂类、卤化物和酸酐);</p> <p>(iv) 具有≥9 个全氟化碳原子的全氟烷烃磺酸 (包括其盐类、脂类、卤化物和酸酐);</p> <p>(v) 《公约》附件B 所列的全氟辛基磺酸 (PFOS)、其盐类和全氟辛基磺酰氟 (PFOSF)。</p>	生产	<ul style="list-style-type: none"> • 灭火泡沫: 无 • 对于其他生产而言, 根据本附件第十部分规定, 限于登记簿中所 • 列缔约方被允许的豁免
	使用	<p>根据本附件第十部分的规定:</p> <ul style="list-style-type: none"> • 半导体制造中的光刻或蚀刻工艺 • 用于胶卷的摄影涂料 • 保护工人免受危险液体造成的健康和安全风险影响的拒油拒水纺织品 • 侵入性和可植入的医疗装置 • 根据本附件第十部分第2 段, 已安装系统 (包括移动和固定系统) 中用于抑制液体燃料蒸汽和用于扑灭液体燃料火灾 (B 类火灾) 的灭火泡沫 • 根据本附件第十部分第3 段规定, 使用全氟碘辛烷生产全氟溴辛烷, 用于药品生产目的 • 为生产下列产品而制造聚四氟乙烯 (PTFE) 和聚偏氟乙烯 (PVDF) : <ul style="list-style-type: none"> • 高性能耐腐蚀气体过滤膜、水过滤膜和医疗用布膜 • 工业废热交换器设备 • 能防止挥发性有机化合物和 PM_{2.5} 颗粒泄露的工业密封剂 • 制造用于生产输电用高压电线电缆的聚全氟乙丙烯 (FEP) • 制造用于生产圆形环、三角胶带和汽车内部塑料配件的氟橡胶

化学品	活动	特定豁免 ²
多氯联苯*	生产	无
	使用	根据本附件第二部分的规定正在使用的物品
多氯萘，包括二氯萘、三氯萘、四氯萘、五氯萘、六氯萘、七氯萘、八氯萘	生产	生产多氯萘包括八氯萘的中间体
	使用	生产多氯萘包括八氯萘
短链氯化石蜡（烷烃，C ₁₀₋₁₃ ，氯化）+： 链长 C ₁₀ 至 C ₁₃ 的直链氯化碳氢化合物， 且氯含量按重量计超过48% 例如，以下化学文摘社编号标注的物质 可能含有短链氯化石蜡： 化学文摘社编号 85535-84-8； 化学文摘社编号 68920-70-7； 化学文摘社编号 71011-12-6； 化学文摘社编号 85536-22-7； 化学文摘社编号 85681-73-8； 化学文摘社编号 108171-26-2。	生产	限于登记簿所列缔约方被允许的豁免
	使用	<ul style="list-style-type: none"> 在天然及合成橡胶工业中生产传送带时使用的添加剂； 采矿业和林业使用的橡胶输送带的备件； 皮革业，尤其是为皮革加脂； 润滑油添加剂，尤其用于汽车、发电机和风能设施的发动机以及油气勘探钻井和生产柴油的炼油厂； 户外装饰灯管； 防水和阻燃油漆； 粘合剂； 金属加工； 柔性聚氯乙烯的第二增塑剂，但玩具及儿童产品中的使用除外。
硫丹原药*（化学文摘社编号：115-29-7） 及其相关异构体*（化学文摘社编号： 959-98-8及化学文摘社编号：33213-65-9）	生产	限于登记簿所列缔约方被允许的豁免
	使用	用于防治根据本附件第六部分条款而列出的作物虫害
四溴二苯醚*和五溴二苯醚*	生产	无
	使用	根据本附件第五部分的规定的物品

化学品	活动	特定豁免 ²
毒杀芬*	生产	无
化学文摘社编号：8001-35-2	使用	无

注：

- (i) 除非本公约中另有规定，在产品和物品中作为无意的痕量污染物出现的化学品不应视为本附件所列；
- (ii) 本条目的附注不得视作就第3条第2款的目的而言某一生产和用途的特定豁免。在某一化学品的相关义务生效之日或该日期之前已生产或已在用的物品中作为组分存在的该化学品数量不应视为本附件所列之生产国或使用国的特定豁免，条件是某一缔约方已通知秘书处，说明某一特定物品在该缔约方内仍在使用。秘书处应将此种通知向公众开放；
- (iii) 本条目的附注不适用于列于本附件第一部分化学品栏目中附有星号的化学品，且不得视作就第3条第2款的目的而言某一生产和用途的特定豁免。鉴于在生产和使用一种有限场地封闭系统内的中间体的过程中，某种化学品预期不会与人或环境发生大量接触，一缔约方在通知秘书处后，可以允许生产和使用一定数量本附件所列某一化学品，作为一种有限场地封闭系统内的中间体，其在制造其他化学品过程中发生化学变化，而考虑到附件D第1款所列标准，那些化学品并未显示出持久性有机污染物的特性。此种通知应列有有关此种化学品生产和使用总量的信息或此种信息的合理估计数，以及关于有限场地封闭系统生产工艺的性质的信息，包括在最终产品中持久性有机污染物所有未发生反应的初始原料和无意的痕量污染物的数量。除本附件另有具体规定外，这一程序均适用。秘书处应将此种通知提交缔约方大会并向公众开放。此种生产或使用不应视为生产或使用的特定豁免。此种生产和使用应在一个十年期限之后停止，除非有关缔约方再次向秘书处提交一份新的通知，在此情况下该期限将再续延十年，但缔约方大会在审查了有关生产和使用后作出另外决定者除外。此通知程序可以重复；

- (iv) 已根据第4 条就有关豁免进行了登记的缔约方均可实行本附件中所列的所有特定豁免，但根据本附件第二部分的规定而由在用物品使用的多氯联苯所有缔约方均可实行与该化学品有关的特定豁免，和根据本附件第四部分的规定使用的六溴二苯醚和七溴二苯醚，以及根据本附件第五部分规定使用的四溴二苯醚和五溴二苯醚例外；
- (v) 硫丹原药（化学文摘社编号：115-29-7）、其相关异构体（化学文摘社编号：959-98-8及化学文摘社编号：33213-65-9）以及硫丹硫酸盐（化学文摘社编号：1031-07-8）已评估并确认为持久性有机污染物；
- (vi) 五氯苯酚（化学文摘社编号：87-86-5）、五氯酚钠（化学文摘社编号：131-52-2和27735-64-4）（作为一水化物）和月桂酸五氯苯基酯（化学文摘社编号：3772-94-9），与其转化产物五氯代苯甲醚（化学文摘社编号：1825-21-4）一起被审议时，已确认为持久性有机污染物；
- (vii) 注释(i)不适用于本附件第一部分“化学品”一栏中名称后带有加号（“+”）的化学品（若其在混合物中的浓度按重量计大于或等于 1%）的数量。

第二部分 多氯联苯

每一缔约方应：

- (a) 关于在2025年之前消除在设备（例如变压器、电容器或含有液体存积量的其他容贮器）中所使用的多氯联苯，经缔约方大会审查后，各缔约方应按下列优先事项采取行动：
 - (i) 作出坚决努力，以查明、标明和消除多氯联苯含量大于10%而容量大于5升的在用设备；
 - (ii) 作出坚决努力，以查明、标明和消除含有超过0.05%的多氯联苯而容量大于5升的在用设备；

- (iii) 尽力查明和消除含有超过0.005%的多氯联苯而容量大于0.05升的在用设备；
- (b) 按照上述(a)项的优先事项，促进旨在减少接触和减少风险的下列措施，以控制这些多氯联苯的使用：
 - (i) 仅在不触动的且不渗漏的设备中使用，而且仅在可将环境排放的风险降至最低并可迅速加以补救的地区使用；
 - (ii) 不准在涉及食品或饲料生产或加工领域的设备中使用；
 - (iii) 在包括学校和医院在内的居民区使用时，采取一切合理措施，防止出现可能引发火灾的电路故障，并经常检查此种设备有无渗漏；
- (c) 尽管有第3条第2款的规定，仍应确保不出口或进口上述(a)项所述含有多氯联苯的设备，除非其目的在于实行环境无害化的废物管理；
- (d) 除非为维修和服务操作之目的，不允许回收多氯联苯含量高于0.005%的液体再度用于其他设备；
- (e) 作出坚决努力，以便尽快、但不迟于2028年，按照第6条第1款对含有多氯联苯的液体和被多氯联苯污染且其多氯联苯含量高于0.005%的设备进行环境无害化的废物管理。这方面的努力将由缔约方大会予以审查；
- (f) 作为本附件第一部分附注(i)的替代，力求查明含有多于0.005%多氯联苯的其他物品(例如电缆漆皮、凝固的嵌缝膏和涂漆物件)并按照第6条第1款加以处理；
- (g) 每五年提出一份消除多氯联苯方面的进展情况报告，并依照第15条向缔约方大会提交此报告；
- (h) 上述(g)项所述的报告应在适当情况下由缔约方大会在其关于多氯联苯的审查中加以审议。缔约方大会应每五年或酌情按其他时间间隔考虑此种报告的具体内容，审查关于消除多氯联苯方面的进展情况。

第三部分 定义

就本附件而言：

- (a) “六溴二苯醚和七溴二苯醚”系指2,2',4,4',5,5'-六溴二苯醚(BDE-153, 化学文摘社编号: 68631-49-2)、2,2',4,4',5,6'-六溴二苯醚(BDE-154, 化学文摘社编号: 207122-15-4)、2,2',3,3',4,5',6'-七溴二苯醚(BDE-175, 化学文摘社编号: 446255-22-7)、2,2',3,4,4',5',6'-七溴二苯醚(BDE-183, 化学文摘社编号: 207122-16-5)以及商用八溴二苯醚中存在的其他六溴二苯醚和七溴二苯醚。
- (b) “四溴二苯醚和五溴二苯醚”系指2,2',4,4'-四溴二苯醚(BDE-47, 化学文摘社编号: 5436-43-1)和2,2',4,4',5-五溴二苯醚(BDE-99, 化学文摘社编号: 60348-60-9)及商用五溴二苯醚中所含的其他四/五溴二苯醚。
- (c) “六溴环十二烷”系指六溴环十二烷(化学文摘社编号: 25637-99-4)、1,2,5,6,9,10-六溴环十二烷(化学文摘社编号: 3194-55-6)、及其主要非对映异构物、 α -六溴环十二烷(化学文摘社编号: 134237-50-6)、 β -六溴环十二烷(化学文摘社编号: 134237-51-7)以及 γ -六溴环十二烷(化学文摘社编号: 134237-52-8)。

第四部分 六溴二苯醚和七溴二苯醚

1. 缔约方可允许回收含有或可能含有六溴二苯醚和七溴二苯醚的物品，并且可允许使用和最终处理那些利用含有或可能含有六溴二苯醚和七溴二苯醚的回收材料所生产的物品，但条件是：
 - (a) 回收和最终处理应采取无害环境的方式进行，不得导致为了再利用之目的而回收六溴二苯醚和七溴二苯醚；

- (b) 缔约方采取措施，防止出口六溴二苯醚和七溴二苯醚含量（浓度）超出在该缔约方境内出售、使用、进口或加工允许值的物品；及
 - (c) 缔约方已向秘书处通报其利用此种豁免的意图。
- 2. 缔约方大会应在其第六次常会及其后每隔一次常会上评价各缔约方在实现其消除物品中所含的六溴二苯醚和七溴二苯醚的最终目标方面所取得的进展情况，并审查是否仍然需要此种特定豁免。无论如何，此种特定豁免的有效期最长到2030年。

第五部分

四溴二苯醚和五溴二苯醚

- 1. 在下列条件下，缔约方可允许回收含有或可能含有四溴二苯醚和五溴二苯醚的物品，及允许使用和最终处置由含有或可能含有四溴二苯醚和五溴二苯醚的再生材料制造的物品：
 - (a) 此种回收和最终处置应采取无害环境的方式进行，不得导致为了再利用之目的而回收四溴二苯醚和五溴二苯醚；
 - (b) 缔约方不允许此种豁免导致出口四溴二苯醚和五溴二苯醚的含量（浓度）超出该缔约方境内销售允许值的物品；以及
 - (c) 该缔约方已将其利用这一豁免的意图通知秘书处。
- 2. 缔约方大会在其第六届常会以及此后每隔一届常会上，应评估缔约方在实现其消除物品中所含的四溴二苯醚和五溴二苯醚这一最终目标过程中所取得的进展，并审查是否有必要继续进行这一特定豁免。这一特定豁免的到期时间最晚不得迟于2030年。

第六部分

硫丹原药及其相关异构体（硫丹）

除已告知秘书处希望根据《公约》第4条生产和（或）使用硫丹的缔约方除外，缔约方应消除硫丹的生产和使用。可以针对以下作物-害虫对照表给予使用硫丹特定豁免：

作物	害虫
苹果	蚜虫
木豆、双花扁豆	蚜虫、毛虫、豆荚螟、豌豆莲纹夜蛾
豆角、豇豆	蚜虫、潜叶蝇、粉虱
辣椒、洋葱、土豆	蚜虫、小叶蝉
咖啡果	小蠹虫、白蛀虫
棉花	蚜虫、棉铃虫、小叶蝉、稻纵卷叶螟、粉红棉铃虫、蓟马、粉虱
茄子、黄秋葵	蚜虫、小菜蛾、小叶蝉、果芽虫
花生	蚜虫
黄麻	比哈尔毛虫、广明蛴
玉米	蚜虫、粉螟、白蛀虫
芒果	果蝇、跳仔
芥末	蚜虫、瘦蚊
水稻	瘦蚊、水稻铁甲虫、白蛀虫、白小叶蝉
茶叶	蚜虫、毛虫、捲心虫、粉蚧、介壳虫、小绿叶
烟草	蚜虫、烟青虫
番茄	蚜虫、小菜蛾、小叶蝉、潜叶蝇、果芽虫、粉虱
小麦	蚜虫、粉螟、白蚁

第七部分 六溴环十二烷

每个根据第4条对六溴环十二烷用于建筑物中的发泡聚苯乙烯和挤塑聚苯乙烯的生产和使用进行了特定豁免登记的缔约方，应当采取必要措施，确保含有六溴环十二烷的发泡聚苯乙烯和挤塑聚苯乙烯在其整个生命周期内，能够通过使用标签或其他方式而易于识别。

第八部分 五氯苯酚及其盐类和酯类

每个根据第4条对五氯苯酚用于线杆和横担的生产和使用进行了特定豁免登记的缔约方，应当采取必要措施，确保含有五氯苯酚的线杆和横担在其整个生命

周期内，能够通过使用标签或其他方式而易于识别。用五氯苯酚处理过的物品不应再用于除其豁免用途以外的其他目的。

第九部分 十溴二苯醚

1. 十溴二苯醚的生产和使用应予以淘汰，但已根据第4条通知秘书处打算进行生产和（或）使用的缔约方除外。
2. 商用十溴二苯醚的生产和使用可在以下有限方面适用对车辆部件的特定豁免：
 - (a) 用于遗留车辆（指已停止大规模生产的车辆）的部件，并且此类部件属于以下一个或多个类别：
 - (i) 动力总成和引擎盖下的应用，例如：电池大容量导线、电池互连线、移动空调管道、动力总成、排气管套筒、引擎盖下隔热层、引擎盖下接线和线束（发动机接线等）、速度传感器、软管、风扇模块和爆震传感器；
 - (ii) 燃油系统应用，例如燃油软管、油箱和车身下的油箱；
 - (iii) 烟火装置和受烟火装置影响的应用，例如气囊点火电缆、座套或
 - (iv) 织物（仅在与安全气囊相关时）和安全气囊正面和侧面）；
 - (v) 悬吊应用和内部应用，如装饰部件、吸声材料和座位安全带等。
 - (b) 上文第2(a)(一)至(四)段所规定的以及属于以下一个或多个类别的车辆部件：
 - (i) 强化塑料（仪表板和内部装饰）；
 - (ii) 位于引擎盖或仪表盘以下（接线盒或保险丝盒、支持较高电流的电线和电缆护套（火花塞电线））；

- (ii) 电气和电子设备（电池壳和电池托盘、引擎控制器电连接器、无线磁盘零件、导航卫星系统、全球定位系统和计算机系统）；
 - (iv) 织物，如行李舱盖、椅垫、车顶蓬内衬、汽车座位、头枕、防晒板、装饰板和地毯。
3. 上文第2(a)段所规定的部件的特定豁免将于遗留车辆使用寿命结束时或于2036年届满，二者中以先达到的时间点为准。
 4. 上文第2(b)段所规定的部件的特定豁免将于车辆使用寿命结束时或于2036年届满，二者中以先达到的时间点为准。
 5. 于2018年12月前提出申请并于2022年12月前获得批准的飞机型号的备件的特定期豁免将于飞机使用寿命结束时届满。

第十部分

全氟辛酸（PFOA）、其盐类及其相关化合物

1. 缔约方应消除全氟辛酸（PFOA）、其盐类及其相关化合物的生产和使用，但已根据《公约》第4条通知秘书处打算生产和/或使用这些物质的缔约方除外。
2. 每个已按第4条登记特定豁免，以便将全氟辛酸、其盐类及其相关化合物用于灭火泡沫的缔约方应：
 - (a) 虽有第3条第2款的规定，但要确保不应出口或进口含有或可能含有全氟辛酸、其盐类及其相关化合物的灭火泡沫，除非是为了按第6条第1(d)款的规定进行环境无害化处置；
 - (b) 不将含有或可能含有全氟辛酸、其盐类及其相关化合物的灭火泡沫用于培训；
 - (c) 不将含有或可能含有全氟辛酸、其盐类及其相关化合物的灭火泡沫用于测试，除非所有释放得到控制；
 - (d) 到2022年底时，如有能力，但最晚不迟于2025年，只允许含有或可能含有全氟辛酸、其盐类及其相关化合物的灭火泡沫在所有排放都能得到控制的场地使用；
 - (e) 坚决作出努力，根据第6条第1款，尽快采用环境无害化的方式管理含有或可能含有全氟辛酸、其盐类及其相关化合物的灭火泡沫库存和废物；
3. 关于使用全氟碘辛烷生产全氟溴辛烷以用于药品生产的特定豁免，缔约方大会应在第十三次常会及此后每隔一次的常会上审查是否继续需要这一特定豁免。这一特定豁免的最迟届满时间应为2036年。

附件 B³

限制 第一部分

化学品	活动	可接受用途或特定豁免 ⁴
滴滴涕 (1, 1, 1-三氯-2, 2-二(对-氯苯基)乙烷) 化学文摘社编号:50-29-3	生产	<u>可接受用途:</u> 根据本附件第二部分用于病媒控制 <u>特定豁免:</u> 三氯杀螨醇生产中的中间体 中间体
	使用	<u>可接受用途:</u> 根据本附件第二部分用于病媒控制 <u>特定豁免:</u> 三氯杀螨醇生产中间体

3 由缔约方大会2009年5月8日通过SC-4/17和2019年5月10日通过的SC-9/4号决定予以修订。

4 请注意，按照本公约第4条第9款的规定，若某一特定类别的特定豁免已无任何缔约方登记，则缔约方不得就该项豁免进行新的登记。该项字体在表格中显示为灰色。

化学品	活动	可接受用途或特定豁免 ³
全氟辛基磺酸（化学文摘社编号：1763-23-1）及其盐类 ^a 和全氟辛基磺酰氟（化学文摘社编号：307-35-7） ^a 例如：全氟辛基磺酸钾（化学文摘社编号：2795-39-3）；全氟辛基磺酸锂（化学文摘社编号：29457-72-5）；全氟辛基磺酸铵（化学文摘社编号：29081-56-9）；全氟辛基磺酸二乙醇铵（化学文摘社编号：70225-14-8）；全氟辛基磺酸四乙基铵（化学文摘社编号：56773-42-3）；全氟辛基磺酸二癸二甲基铵（化学文摘社编号：251099-16-8）	生产	可接受用途： 根据本附件第三部分，生产专用于以下用途的其它化学品。为下列用途而生产。 特定豁免： 无
	使用	可接受用途： 根据本附件第三部分用于下列可接受用途，或在生产下列可接受用途的化学品的过程中用作中间体： <ul style="list-style-type: none"> • 仅在农业用途中，以氟虫胺（化学文摘社编号：4151-50-2）作为活性成分用于控制切叶蚁（美叶切蚁属和刺切蚁属）的昆虫毒饵 特定豁免： <ul style="list-style-type: none"> • 只用于闭环系统的金属电镀（硬金属电镀） • 根据本附件第三部分第10段，已安装系统（包括移动和固定系统）中的用于抑制液体燃料蒸汽和用于扑灭液体燃料火灾（B类火灾）的灭火泡沫

注：

- (i) 除本公约另有规定外，在产品和物品中作为无意痕量污染物出现的某一化学品的数量不应视为本附件所列；
- (ii) 本条目的附注不应视为就第3条第2款而言的生产和使用的可接受用途或特定豁免。在某一化学品的相关义务生效之日或该日期之前生产或已在用的物品中作为其组分出现的该化学品不应视为本附件所列，条件是某一缔约方已通知秘书处，告知某一特定类别的物品在该缔约方内仍在使用。秘书处应将此种通知向公众开放；
- (iii) 本条目的附注不应视为就第3条第2款而言的生产和使用的可接受用途或特定豁免。鉴于在生产和使用某一有限场地封闭系统内的中间物过程中，预计不会发生该化学品大量接触人体和环境，因此，某一个缔约方在通知秘书处之后，可允许生产和使用一定数量本附件所列的某一化学品，作为一种有限场地封闭系统内的中间物，该化学品在制造其他化学品过程中发生化学变化，而考虑到附件D第1款所列标准，并未显示出持久性有机污染物的特性。此种通知应列有关于此种化学品的总生产量和使用量的信息或此种数量信息的合理估计，以及有关有限场地封闭系统生产工艺的性质的信息，包括在最终产品中持久性有机污染物所有未发生反应的初始原料和无意的痕量污染物的数量。除本附件另有具体规定外，这一程序均适用。秘书处应将此种通知提供缔约方大会并向公众开放。此种生产或使用不应视为一项生产和使用的可接受用途。此种生产或使用应在一个十年期限之后停止，除非有关缔约方再次向秘书处提交一份新通知，在此情况下该期限将再续延十年，但缔约方大会在审查了有关生产和使用情况后作出另外决定者除外。此通知程序可以重复；
- (iv) 凡根据第4条规定作出了特定豁免登记的缔约方，均可实行本附件中所列所有特定豁免。

第二部分

滴滴涕(1, 1, 1-三氯-2, 2-二(对-氯苯基)乙烷)

1. 滴滴涕的生产和使用应予以取缔，但已通知秘书处、告知其生产和/或使用此种化学品意图的缔约方除外。兹建立一个滴滴涕登记簿，并应向公众开放。滴滴涕登记簿由秘书处负责保管。
2. 生产和/或使用滴滴涕的每一缔约方应按照世界卫生组织有关使用滴滴涕的建议和指南，将其生产和/或使用限于病媒控制，而且在所涉缔约方无法在当地得到安全、有效且可负担的替代品时方可使用。
3. 未列入滴滴涕登记簿的某一个缔约方若决定需要得到滴滴涕进行病媒控制，应尽快将此事通知秘书处，以便将其名字列入滴滴涕登记簿。与此同时，还应将此事告知世界卫生组织。
4. 使用滴滴涕的每一缔约方应每三年，以拟由缔约方大会与世界卫生组织协商后决定的格式，向秘书处和世界卫生组织提供关于其使用数量、使用条件的资料，并阐明其与该缔约方疾病控制战略的相关性。
5. 为了减少和最终消除滴滴涕的使用，缔约方大会应鼓励：
 - (a) 使用滴滴涕的每一缔约方制定和实施行动计划，作为其执行第7条所述计划的一部分。这一行动计划应包括：
 - (i) 建立管制机制和其他机制，确保滴滴涕的使用只限于病媒控制方面；
 - (ii) 执行适宜的替代品、方法和战略，包括以抵抗性控制战略来确保这些替代品的持续有效性；
 - (iii) 采取措施加强卫生保健并减少疾病发生率；
 - (b) 各缔约方在其能力范围内，促进为使用滴滴涕的缔约方研究和开发安全的替代化学品和非化学品、方法和战略，此种研究和开发应符合那些国家的国情并以减少疾病给人和经济带来的负担为目标。在考虑替代品或替代品的组合时应重视此种替代品的人类健康风险和可能带来的环境问题等因素。滴滴涕的可行替代品对人类健康和环境所构成的

风险应相对较小，但同时应根据有关缔约方的情况使之适用于疾病控制而且有监测数据作为依据。

6. 自缔约方大会第一次会议开始，嗣后至少每三年，缔约方大会应与世界卫生组织协商，根据可得科学、技术、环境和经济信息，评价是否继续有必要使用滴滴涕来控制疟疾，上述信息应包括：
 - (a) 滴滴涕的生产和使用情况及上述第2款段规定的条件；
 - (b) 滴滴涕替代品的可行性、适宜性和应用情况；和
 - (c) 在加强各国能力、使其顺利过渡到基本上使用替代品方面的进展情况。
7. 缔约方均可随时向秘书处提交书面通知，要求将其从滴滴涕登记簿中撤消。此项撤消应于该通知所确定的日期生效。

第三部分

全氟辛基磺酸及其盐类和全氟辛基磺酰氟

1. 所有缔约方均应停止生产和使用全氟辛基磺酸 (PFOS) 及其盐类和全氟辛基磺酰氟 (PFOSF)，但本附件第一部分规定的那些通知秘书处打算生产和（或）使用它们并用于可接受用途的缔约方除外。因此，设立了可接受用途登记簿，向公众开放。秘书处应保留可接受用途登记簿。如果尚未列入可接受用途登记簿的缔约方决定请求在列于本附件第一部分的接受用途范围内使用全氟辛基磺酸 (PFOS) 及其盐类和全氟辛基磺酰氟 (PFOSF)，该缔约方应当尽快通知秘书处，以将其增列至该登记簿。
2. 生产和（或）使用这些化学品的缔约方应酌情考虑诸如公约附件C第五部分所载的有关最佳可行技术和最佳环境实践的一般性指导的相关部分等提供的指导。
3. 使用和（或）生产这些化学品的各缔约方应每四年一次就消除全氟辛基磺酸 (PFOS) 及其盐类和全氟辛基磺酰氟 (PFOSF) 方面的进展情况进行汇报，并依照公约第15条并在依照该条进行的汇报过程中将其有关上述进展情况提交缔约方大会。

4. 为减少和最终消除对这些化学品的生产和（或）使用，缔约方大会应鼓励：
 - (a) 使用这些化学品的各缔约方在出现合适的替代物质或方法时，采取行动逐步淘汰它们的使用；
 - (b) 生产和（或）使用这些化学品的各缔约方制定和实施一项行动计划，将此作为公约第7条规定的实施计划的一部分；
 - (c) 各缔约方在其能力范围内，促进为使用这些化学品的缔约方研究和开发安全的化学和非化学替代品、工艺、方法和战略，此种研究和开发应符合那些缔约方的国情。在考虑替代品或不同替代品的结合时，应予以重视的因素应当包括这些替代品对人类健康的危害及环境影响。
5. 缔约方大会应当在现有科学、技术、环境和经济信息的基础上，评估用于各种可接受用途和特定豁免的化学品继续使用的必要性，此类信息包括：
 - (a) 第3段所述报告中提供的信息；
 - (b) 这些化学品的生产和使用情况；
 - (c) 这些化学品的替代品的可获得性、适宜性和应用情况；
 - (d) 在加强各国能力以安全过渡到依赖此类替代品方面的进展情况。
6. 前一段所述评估应不迟于2015年进行，并在之后每四年在缔约方大会举行常会的同时进行一次评估。
7. 鉴于使用的复杂性和使用这些化学品所涉社会部门之多，可能存在于这些化学品的其他使用情况，而各国尚不知晓。鼓励已认识到这些化学品其他使用情况的缔约方尽快向秘书处通报。
8. 缔约方可以随时以书面通知通报秘书处，将该缔约方从可接受用途登记簿中撤销。撤销在通知确定的日期生效。
9. 附件B第一部分注（iii）的规定内容不适用于这些化学品。

10. 每个已按第4 条登记豁免，以便将全氟辛基磺酸及其盐类和全氟辛基磺酰氟用于灭火泡沫的缔约方应：
- (a) 虽有第3 条第2 款的规定，但要确保不应出口或进口含有或可能含有全氟辛基磺酸及其盐类和全氟辛基磺酰氟的灭火泡沫，除非是为了按第6条第1（d）款的规定进行环境无害化处置；
 - (b) 不将含有或可能含有全氟辛基磺酸及其盐类和全氟辛基磺酰氟的灭火泡沫用于培训；
 - (c) 不将含有或可能含有全氟辛基磺酸及其盐类和全氟辛基磺酰氟的灭火泡沫用于测试，除非所有释放得到控制；
 - (d) 到2022 年底时，如有能力，只允许在所有释放都能得到控制的场地使用含有或可能含有全氟辛基磺酸及其盐类和全氟辛基磺酰氟的灭火泡沫；
 - (e) 坚决作出努力，根据第6 条第1 款，尽快采用环境无害化的方式管理含有或可能含有全氟辛基磺酸及其盐类和全氟辛基磺酰氟的灭火泡沫库存和废物。

附件 C⁵

无意的生产

第一部分：依据第5条规定予以处理的持久性有机污染物

本附件涉及下列自人为来源无意形成和排放的持久性有机污染物：

化学品

六氯代苯 (HCB) (化学文摘号:118-74-1)
六氯丁二烯 (化学文摘社编号: 87-68-3)
五氯苯 (PeCB) (化学文摘社编号: 608-93-5)
多氯联苯 (PCB)
多氯二苯并对二恶英和多氯二苯并呋喃 (PCDD/PCDF)
多氯萘, 包括二氯萘、三氯萘、四氯萘、五氯萘、六氯萘、七氯萘、八氯萘

第二部分:来源类别

六氯代苯(HCB)、六氯丁二烯、五氯苯 (PeCB)、多氯联苯(PCB)、多氯二苯并对二恶英和多氯二苯并呋喃(PCDD/PCDF)、多氯萘, 包括二氯萘、三氯萘、四氯萘、五氯萘、六氯萘、七氯萘、八氯萘同为在涉及有机物质和氯的热处理过程中无意形成和排放的化学品, 均系燃烧或化学反应不完全所致。下列工业来源类别具有相对较高地形成和向环境中排放这些化学品的潜在性:

- (a) 废物焚烧炉, 包括都市生活废物、危险性或医疗废物或下水道中污物的多用途焚烧炉;
- (b) 燃烧危险废物的水泥窑;
- (c) 以元素氯或可生成元素氯的化学品为漂白剂的纸浆生产;
- (d) 冶金工业中的下列热处理过程:
 - (i) 铜的再生生产;
 - (ii) 钢铁工业的烧结工厂;

⁵ 由缔约方大会2009年5月8日通过SC-4/16号和SC-4/18号决定, 2015年5月 15日通过SC-7/14号决定, 以及2017年5月5日通过SC-8/12号决定予以修订。

- (iii) 铝的再生生产；
- (iv) 锌的再生生产。

第三部分：来源类别

六氯代苯(HCB)、六氯丁二烯、五氯苯(PeCB)、多氯联苯(PCB)、多氯二苯并对二恶英和多氯二苯并呋喃(PCDD/PCDF)、多氯萘，包括二氯萘、三氯萘、四氯萘、五氯萘、六氯萘、七氯萘、八氯萘亦可从下列来源类别无意生成和排放出来，其中包括：

- (a) 废物的露天焚烧，包括在填埋场的焚烧；
- (b) 第二部分中未提及的冶金工业中的其他热处理过程；
- (c) 住户燃烧源；
- (d) 使用矿物燃料的设施和工业锅炉；
- (e) 使用木材和其他生物质能的燃烧装置；
- (f) 排放无意形成的持久性有机污染物的特定化学品生产过程，特别是氯代酚和氯代醌的生产；
- (g) 焚尸炉；
- (h) 机动车辆，特别是使用含铅汽油的车辆；
- (i) 动物遗骸的销毁；
- (j) 纺织品和皮革染色(使用氯代醌)和修整(碱萃取)；
- (k) 处理报废车辆的破碎作业工厂；
- (l) 铜制电缆线的低温燃烧；
- (m) 废油提炼。

第四部分：定义

1. 为本附件的目的：

- (a) “多氯联苯” (PCB) 是指按下列方式形成的芳族化合物，即二联苯分子上的氢原子(两个苯环由一个单一的碳-碳键连接在一起)可由多至10个氯原子替代。
- (b) 多氯二苯并对二恶英和多氯二苯并呋喃(PCDD/PCDF)是由两个苯环组成的三环芳香化合物，在PCDD中由两个氧原子连接，在PCDF中由一个氧原子和一个碳-碳键连接，而其中的氢原子可以由多至八个氯原子所替代。

2. 在本附件中，PCDD/PCDF的毒性用毒性当量的概念来表示，用以测定PCDD、PCDF和共面的PCB的各种同系物与2, 3, 7, 8-四氯二苯并对二恶英相比较的类似二恶英的相对毒性活度。为了本公约的目的，拟采用的毒性当量系数应与公认的国际标准相一致，首先是采用世界卫生组织于1998年针对PCDD、PCDF和共面的PCB订立的哺乳动物毒性当量系数。毒性含量以毒性当量表示。

第五部分：关于最佳可行技术和最佳环境实践的一般性指南

本部分为缔约方提供关于防止或减少第一部分中所列化学品的排放的一般性指导。

A. 有关最佳可行技术和最佳环境实践的一般性预防措施

应优先考虑防止第一部分所列化学物质的形成和排放的方法。有用的措施似可包括：

- (a) 采用低废技术；
- (b) 使用危险性较小的物质；
- (c) 促进对生产过程中生成和使用的物质以及废物实行回收和再循环加工；
- (d) 如果进料属于持久性有机污染物或者进料与持久性有机污染物的排放直接相关时，替换进料；
- (e) 良好的场地管理和预防性维修方案；

- (f) 改进废物管理，以期停止以露天方式和以其他不加控制的方式焚烧废物，包括填埋地点的废物焚烧。在考虑关于建设新的废物处置设施的提议时，应考虑其他替代办法，例如为最大限度减少市政和医疗废物的产生而开展活动，包括资源回收、再使用、再循环、废物分类以及推广较少产生废物的产品。在这样做时应认真考虑公共卫生方面的各种关注；
- (g) 尽量减少产品中作为污染物的这些化学品含量；
- (h) 避免为漂白作业而使用元素氯或产生元素氯的化学品。

B. 最佳可行技术

最佳可行技术的概念不是着眼于规定任何具体的工艺或技术，而是着眼于考虑到有关设施的技术特点、地理位置以及当地环境条件。减少第一部分所列化学物质排放量的适当控制技术大致相同。在确定最佳可行技术时，无论是在一般情况下还是在特定情况中，均应考虑到以下因素，同时铭记某项措施的可能费用和惠益以及防范和预防方面的考虑：

- (a) 一般性考虑因素：
 - (i) 所涉排放的性质、影响和排放量：采用的技术可根据排放来源大小而有所不同；
 - (ii) 新的或既有设施投入使用的日期；
 - (iii) 采用最佳可行技术所需要的时间；
 - (iv) 生产过程中所使用的原材料的消耗情况和性质及能源利用效率；
 - (v) 需要防止或尽可能减少所涉排放对环境的总体影响及其对环境所构成的风险；
 - (vi) 需要防止意外事故和尽可能减少其对环境的不利后果；
 - (vii) 需要确保作业场所的职业卫生和安全；

(viii) 业已在工业规模试用成功的可比的生产工艺、设施或操作方法；

(ix) 在科学知识和认知方面的技术进步和变化。

(b) 一般性排减措施: 当考虑关于建造新的设施或对使用可排放本附件所列化学物质的工艺的现有设施进行重大改进的建议时, 应优先考虑具有类似使用价值、但可避免形成和排放此类化学品的替代工艺、技术或实践。如拟建造此种设施或对之作出重大改进, 除第五部分A节概要列出的预防措施外, 在确定最佳可行技术时也可考虑下列排减措施:

(i) 使用经改进的废气净化方法, 诸如热氧化或催化氧化、粉尘沉积和吸附作用等;

(ii) 对残余物、废水、废物和污水污泥进行处理, 例如可采用热处理方式或使其失去活性或能去毒的化学过程;

(iii) 改变生产流程以实现排放的减少或消除, 诸如逐步改用封闭系统等;

(iv) 更改生产流程设计, 以便通过对诸如燃烧温度或驻留时间等参数的控制, 改进燃烧并防止这些化学品的形成。

C. 最佳环境实践

缔约方大会可拟定有关最佳环境实践的指南。

附件 D

信息要求和筛选标准

1. 提议将某一化学品列入附件A、B和/或C的缔约方，应按(a)项所述的方式鉴定该化学品，并参照(b)至(e)项所列筛选标准提供关于此种化学品的信息，并酌情提供有关其变异产品的信息：
 - (a) 化学品的鉴别：
 - (i) 名称，包括商品名、商业名和别名、化学文摘号及国际纯化学和应用化学联合会命名的名称；和
 - (ii) 结构，如有异构体，还应提供异构体的详细说明，以及化学品种类的结构；
 - (b) 持久性：
 - (i) 表明该化学品在水中的半衰期大于两个月，或在土壤中的半衰期大于六个月，或在沉积物中的半衰期大于六个月的证据；或
 - (ii) 该化学品具有其他足够持久性、因而足以有理由考虑将之列入本公约适用范围的证据；
 - (c) 生物蓄积性：
 - (i) 表明该化学品在水生物种中的生物浓缩系数或生物蓄积系数大于5,000, 或如无生物浓缩系数和生物蓄积系数数据，logKow值大于5的证据；
 - (ii) 表明该化学品有令人关注的其他原因的证据，例如在其他物种中的生物蓄积系数值较高，或具有高度的毒性或生态毒性；或
 - (iii) 生物区系的监测数据显示，该化学品所具有的生物蓄积潜力足以有理由考虑将其列入本公约的适用范围；

(d) 远距离环境迁移的潜力:

- (i) 在远离其排放源的地点测得的该化学品的浓度可能会引起关注;
- (ii) 监测数据显示, 该化学品具有向一环境受体转移的潜力, 且可能已通过空气、水或迁徙物种进行了远距离环境迁移; 或
- (iii) 环境转归特性和/或模型结果显示, 该化学品具有通过空气、水或迁徙物种进行远距离环境迁移的潜力, 以及转移到远离物质排放源地点的某一环境受体的潜力。对于通过空气大量迁移的化学品, 其在空气中的半衰期应大于两天; 以及

(e) 不利影响:

- (i) 表明该化学品对人类健康或对环境产生不利影响, 因而有理由将之列入本公约适用范围的证据; 或
- (ii) 表明该化学品可能会对人类健康或对环境造成损害的毒性或生态毒性数据。

2. 作出提议的缔约方应提供一份说明, 阐述其关注的理由, 其中酌情包括将某一化学品的毒性或生态毒性数据与业已测得的或预测的由于远距离环境迁移而导致或预期导致的化学品含量进行比较、以及一份需要在全球范围内对之实行控制的简要说明。
3. 作出提议的缔约方应尽一切可能, 并视其自身能力提供更多的信息, 以支持对第8条第6款所述提议的审查。在拟订此种提议时, 缔约方可利用任何来源的专门技术知识。

附件 E

需在风险简介中提供的资料

进行审查的目的是评价该化学品是否会因其远距离环境迁移而对人体健康和/或环境产生重大不利影响，因而应当采取全球性行动。为此目的，应编写一份风险简介，对附件D中所述资料作进一步阐述和评价，其中尽可能包括下列各类资料：

- (a) 来源，酌情包括：
 - (i) 生产数据，其中包括数量和地点；
 - (ii) 使用情况；和
 - (iii) 排放，例如排流、损耗和释放情况；
- (b) 对引起关注的终点进行的危害评估，包括对多种化学品之间的毒性相互作用的考虑；
- (c) 环境转归，包括关于该化学品及其物理特性和持久性、以及这些特性与该化学品环境迁移、环境区划内及区划间转移、降解和质变成其他化学品相互间关系的数据和资料。应当根据测得的数值测定生物浓缩系数或生物蓄积系数，但监测数据被认定符合这一要求时除外；
- (d) 监测数据；
- (e) 在当地的接触情况，特别是因远距离环境迁移而导致的接触，包括关于生物的可生成性方面的资料；
- (f) 在可行情况下的国家和国际风险评价、评估或简介，以及标识信息和危害性分类；以及
- (g) 该化学品在各项国际公约中的状况。

附件 F

涉及社会经济考虑因素的信息

在考虑将化学品列入本公约时，应评价可能对之实行的各种控制措施，包括管理和消除在内的所有选择办法。为此目的，应提供各种可能的控制措施所涉及的社会经济方面的信息，以便使缔约方大会得以作出决定。此种信息应适当顾及各缔约方的不同能力和条件，并应包括下列各项提示内容：

- (a) 拟采取的控制措施在实现减少风险目标方面的成效和效率：
 - (i) 技术可行性；和
 - (ii) 成本，包括环境和健康成本；
- (b) 替代手段（产品和工艺）：
 - (i) 技术可行性；
 - (ii) 成本，包括环境和健康成本；
 - (iii) 成效；
 - (iv) 风险；
 - (v) 可行性；以及
 - (vi) 可获取性；
- (c) 实施拟采取的控制措施对社会产生的积极和/或消极影响：
 - (i) 卫生，包括公共、环境和职业卫生；
 - (ii) 农业，包括水产养殖业和林业；
 - (iii) 生物区系（生物多样性）；
 - (iv) 经济方面；
 - (v) 可持续发展的推进；以及
 - (vi) 社会成本；

- (d) 废物及其处置所涉及的问题 (特别是对过期农药库存和受污染场所的清理):
 - (i) 技术可行性; 和
 - (ii) 成本;
- (e) 信息获得和公众教育;
- (f) 控制和监测能力的状况; 以及
- (g) 所采取的任何国家或区域控制行动, 包括有关替代手段的信息和其他相关的风险管理信息。

附件G

仲裁程序和调解程序为争端解决⁶

第一部分：仲裁程序

为了《公约》第18条第2款(a)项目的，兹订立仲裁程序如下：

第1条

1. 任何缔约方均可根据本公约第18条以书面形式通知争端的另一当事方，将争端交付仲裁。此种书面通知应附有关于追索要求的说明以及任何佐证文件，同时阐明仲裁的主题事项并特别列明在解释或适用方面引发争端的本公约条款。
2. 原告一方应向秘书处发出通知，说明当事双方正在依照第18条的规定将争端提交仲裁。通知中应附有原告一方的书面通知、追索声明以及以上第1款所述及的佐证文件。秘书处应将所收到的资料转送本公约所有缔约方。

第2条

1. 如果依照以上第1条把所涉争端诉诸仲裁，应即为此设立仲裁庭。仲裁庭应由三名仲裁员组成。
2. 争端所涉的每一方均应指派仲裁员一名，且以此种方式指派的这两名仲裁员应共同协议指定第三名仲裁员，并应由该名仲裁员担任仲裁庭庭长。仲裁庭庭长不应是争端的任何一方的国民，其惯常居所亦不应在争端的任何一方境内或受雇于其中任何一方，且从未以任何其他身份涉及该案件。
3. 对于涉及两个以上当事方的争端，所涉利害关系相同的当事方应通过协议共同指派一名仲裁员。
4. 仲裁员的任何空缺均应以最初的指派方式予以填补。

⁶ 附件G（SC-1/2号决定）于缔约方大会第一次会议上通过。

5. 若当事各方在仲裁庭庭长指定之前对争端的主题事项持不同意见，仲裁庭应有权决定所涉的主题事项。

第3条

1. 如果争端当事方之一于被告一方接获仲裁通知后两个月之内仍未指派其仲裁员，则另一当事方可就此通知联合国秘书长；联合国秘书长应于其后两个月内指定一名仲裁员。
2. 如自指派了第二名仲裁员的日期起两个月内仍未指定仲裁庭庭长，则应由联合国秘书长，经任何一方的请求，在其后的两个月内指定仲裁庭庭长。

第4条

仲裁庭应依照本公约的条款以及国际法的规定作出裁决。

第5条

除非争端各方另有协议，仲裁庭应自行确定其审理程序。

第6条

仲裁庭可应一当事方提出的请求，阐明采取必要的临时保护措施。

第7条

争端所涉各方应便利仲裁庭的工作，尤应以一切可用手段：

- (a) 向仲裁庭提供所有相关文件、资料和便利；和
- (b) 于必要时使仲裁庭得以传唤证人或专家并接受其提供的证词。

第8条

当事各方和仲裁员均有义务保护其在仲裁庭审理案件期间秘密所收到的任何资料的机密性。

第9条

除非仲裁庭因案情特殊而另有决定, 否则仲裁庭的费用应由争端所涉各方平均分担。仲裁庭应保存所涉全部费用的记录, 并应向各当事方送交一份费用决算表。

第10条

任何因其与争端主题事项有法律性质的利害关系而可能由于该案件裁决结果而受到影响的缔约方, 经仲裁庭同意可介入仲裁过程。

第11条

仲裁庭可就争端的主题事项所直接引起的反诉听取陈诉并作出裁决。

第12条

仲裁庭关于程序和实质问题的裁决均应以其中仲裁员的多数票作出。

第13条

1. 如果争端的当事方之一不出庭或未能作出答辩, 则另一当事方可要求仲裁庭继续进行仲裁程序并作出裁决。一方缺席或未能作出答辩, 不得成为停止仲裁程序的理由。
2. 仲裁庭在作出最后裁决之前, 必须确切查明所提出的追索要求在事实和法律上均有确切的依据。

第14条

除非仲裁庭认定有必要延长作出最后裁决的期限, 否则它应在正式组庭后五个月之内作出最后裁决; 决定予以延长的期限不得超过其后五个月。

第15条

仲裁庭的最后裁决应以争端所涉主题事项的范围为限，并应阐明其裁决所依据的理由。裁决书应载明参与作出裁决的仲裁员姓名和作出最后裁决的日期。仲裁庭的任何仲裁员均可在最后裁决书中附上单独的意见或异议。

第16条

裁决应对争端各方具有约束力。对于上文第10条所述介入仲裁过程的当事方，在其介入所涉事项上，裁决书中对《公约》的解释也应对该当事方具有约束力。裁决不得上诉，除非争端各方已事前议定了上诉程序。

第17条

按照上文第16条受最后裁决约束的当事方之间如对最后裁决的解释或其执行方式发生任何争执，其中任何一方均可就此提请作出裁决的仲裁庭对之作出裁定。

第二部分：调解程序

为了《公约》第18条第6款目的，兹订立调解程序如下：

第1条

1. 争端任何一方如按《公约》第18条第6款提出设立调解委员会要求，应以书面形式向秘书处提出此种要求。秘书处应旋即将此事通知所有缔约方。
2. 除非各当事方另有协议，调解委员会应由三名成员组成，由每一所涉缔约方分别指定其中一名成员、并由这两名成员共同选出一名委员会主席。

第2条

对于涉及两个以上当事方的争端，所涉利害关系相同的当事方应通过协议共同指派其调解委员会成员。

第3条

如自秘书处收到第1条提到的书面要求之日起两个月内,尚有任何当事方未指定其委员会成员,则应由联合国秘书长根据任一当事方的请求,于其后两个月内指定这些成员。

第4条

如果自任命了调解委员会第二名成员之日起两个月内尚未选定委员会主席,则应由联合国秘书长根据一当事方的请求,于其后两个月内指定委员会主席。

第5条

1. 除非各当事方另有协议,调解委员会应确定其议事规则。
2. 当事各方及调解委员会成员有义务对委员会议事期间所收到的机密材料保守机密。

第6条

调解委员会应按其成员的多数票作出决定。

第7条

调解委员会应在其设立后的十二个月内提出一份报告,就解决争端的办法提出建议,各当事方应认真考虑那些建议。

第8条

对于调解委员会是否对所涉事项拥有有限的意见分歧,应由委员会予以裁定。

第9条

调解委员会所涉费用应由争端各方按商定的份额分摊支付。委员会应保存其所有费用的记录,并向各方提供一份最后的费用决算表。

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STOCKHOLM CONVENTION

ON PERSISTENT ORGANIC POLLUTANTS (POPS)

TEXT AND ANNEXES

REVISED IN 2019



STOCKHOLM CONVENTION

ON PERSISTENT ORGANIC POLLUTANTS (POPS)

TEXT AND ANNEXES

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INTRODUCTION

The Stockholm Convention on Persistent Organic Pollutants was adopted at a Conference of Plenipotentiaries on 22 May 2001 in Stockholm, Sweden. The Convention entered into force on 17 May 2004.

Article 18 of the Convention requires the Conference of the Parties to adopt arbitration and conciliation procedures to govern the settlement of disputes between Parties to the Convention. At its first meeting, held from 2 to 6 May 2005 in Punta del Este, Uruguay, the Conference of the Parties adopted decision SC-1/2, by which it established such procedures. The procedures are set out in a new annex to the Convention, Annex G, Part I of which sets forth the arbitration procedure and Part II of which sets forth the conciliation procedure. Annex G entered into force on 31 October 2007, i.e. one year after the date of the communication of its adoption by the depositary for the Convention.

Amendments to Annexes A, B or C to the Convention enter into force one year from the date of communication of their adoption by the depositary, except for those Parties that submit either: a notification of non-acceptance in accordance with the provisions of paragraph 3 (b) of Article 22; or a declaration in accordance with paragraph 4 of Article 22 and paragraph 4 of Article 25 of the Convention.

This revised booklet reflects the amendments to the Annexes A, B and C to the Convention adopted at the fourth, fifth, sixth, seventh, eighth and ninth meetings of the Conference of the Parties.

The version of the Stockholm Convention contained in this booklet is for information purposes and does not substitute the original authentic texts of the Convention and amendments thereto as deposited with the Secretary-General in New York. Should you wish to access the authentic texts of the Convention, obtain a certified true copy of the Convention or, more generally, have access to amendments and modifications to the certified true copies, rectifications of authentic texts or any other relevant formalities circulated under the cover of depositary notifications (CNS), you are advised to visit the United Nations Treaty Section online (<https://treaties.un.org>) or kindly contact the Treaty Section for further assistance.

The Secretariat of the Stockholm Convention, September 2020.

STOCKHOLM CONVENTION ON PERSISTENT ORGANIC POLLUTANTS

The Parties to this Convention,

Recognizing that persistent organic pollutants possess toxic properties, resist degradation, bioaccumulate and are transported, through air, water and migratory species, across international boundaries and deposited far from their place of release, where they accumulate in terrestrial and aquatic ecosystems,

Aware of the health concerns, especially in developing countries, resulting from local exposure to persistent organic pollutants, in particular impacts upon women and, through them, upon future generations,

Acknowledging that the Arctic ecosystems and indigenous communities are particularly at risk because of the biomagnification of persistent organic pollutants and that contamination of their traditional foods is a public health issue,

Conscious of the need for global action on persistent organic pollutants,

Mindful of decision 19/13 C of 7 February 1997 of the Governing Council of the United Nations Environment Programme to initiate international action to protect human health and the environment through measures which will reduce and/or eliminate emissions and discharges of persistent organic pollutants,

Recalling the pertinent provisions of the relevant international environmental conventions, especially the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade, and the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal including the regional agreements developed within the framework of its Article 11,

Recalling also the pertinent provisions of the Rio Declaration on Environment and Development and Agenda 21,

Acknowledging that precaution underlies the concerns of all the Parties and is embedded within this Convention,

Recognizing that this Convention and other international agreements in the field of trade and the environment are mutually supportive,

Reaffirming that States have, in accordance with the Charter of the United Nations and the principles of international law, the sovereign right to exploit their own resources pursuant to their own environmental and developmental policies, and the responsibility to ensure that activities within their jurisdiction or control do not cause damage to the environment of other States or of areas beyond the limits of national jurisdiction,

Taking into account the circumstances and particular requirements of developing countries, in particular the least developed among them, and countries with economies in transition, especially the need to strengthen their national capabilities for the management of chemicals, including through the transfer of technology, the provision of financial and technical assistance and the promotion of cooperation among the Parties,

Taking full account of the Programme of Action for the Sustainable Development of Small Island Developing States, adopted in Barbados on 6 May 1994,

Noting the respective capabilities of developed and developing countries, as well as the common but differentiated responsibilities of States as set forth in Principle 7 of the Rio Declaration on Environment and Development,

Recognizing the important contribution that the private sector and non-governmental organizations can make to achieving the reduction and/or elimination of emissions and discharges of persistent organic pollutants,

Underlining the importance of manufacturers of persistent organic pollutants taking responsibility for reducing adverse effects caused by their products and for providing information to users, Governments and the public on the hazardous properties of those chemicals,

Conscious of the need to take measures to prevent adverse effects caused by persistent organic pollutants at all stages of their life cycle,

Reaffirming Principle 16 of the Rio Declaration on Environment and Development which states that national authorities should endeavour to promote the internalization of environmental costs and the use of economic instruments, taking into account the approach that the polluter should, in principle, bear the cost of pollution, with due regard to the public interest and without distorting international trade and investment,

Encouraging Parties not having regulatory and assessment schemes for pesticides and industrial chemicals to develop such schemes,

Recognizing the importance of developing and using environmentally sound alternative processes and chemicals,

Determined to protect human health and the environment from the harmful impacts of persistent organic pollutants,

Have agreed as follows:

ARTICLE 1

Objective

Mindful of the precautionary approach as set forth in Principle 15 of the Rio Declaration on Environment and Development, the objective of this Convention is to protect human health and the environment from persistent organic pollutants.

ARTICLE 2

Definitions

For the purposes of this Convention:

- (a) “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;
- (b) “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;
- (c) “Parties present and voting” means Parties present and casting an affirmative or negative vote.

ARTICLE 3

Measures to reduce or eliminate releases from intentional production and use

1. Each Party shall:
 - (a) Prohibit and/or take the legal and administrative measures necessary to eliminate:
 - (i) Its production and use of the chemicals listed in Annex A subject to the provisions of that Annex; and
 - (ii) Its import and export of the chemicals listed in Annex A in accordance with the provisions of paragraph 2; and
 - (b) Restrict its production and use of the chemicals listed in Annex B in accordance with the provisions of that Annex.
2. Each Party shall take measures to ensure:
 - (a) That a chemical listed in Annex A or Annex B is imported only:
 - (i) For the purpose of environmentally sound disposal as set forth in paragraph 1 (d) of Article 6; or
 - (ii) For a use or purpose which is permitted for that Party under Annex A or Annex B;
 - (b) That a chemical listed in Annex A for which any production or use specific exemption is in effect or a chemical listed in Annex B for which any production or use specific exemption or acceptable purpose is in effect, taking into account any relevant provisions in existing international prior informed consent instruments, is exported only:
 - (i) For the purpose of environmentally sound disposal as set forth in paragraph 1 (d) of Article 6;
 - (ii) To a Party which is permitted to use that chemical under Annex A or Annex B; or

(iii) To a State not Party to this Convention which has provided an annual certification to the exporting Party. Such certification shall specify the intended use of the chemical and include a statement that, with respect to that chemical, the importing State is committed to:

- a. Protect human health and the environment by taking the necessary measures to minimize or prevent releases;
- b. Comply with the provisions of paragraph 1 of Article 6; and
- c. Comply, where appropriate, with the provisions of paragraph 2 of Part II of Annex B.

The certification shall also include any appropriate supporting documentation, such as legislation, regulatory instruments, or administrative or policy guidelines. The exporting Party shall transmit the certification to the Secretariat within sixty days of receipt.

(c) That a chemical listed in Annex A, for which production and use specific exemptions are no longer in effect for any Party, is not exported from it except for the purpose of environmentally sound disposal as set forth in paragraph 1 (d) of Article 6;

(d) For the purposes of this paragraph, the term “State not Party to this Convention” shall include, with respect to a particular chemical, a State or regional economic integration organization that has not agreed to be bound by the Convention with respect to that chemical.

3. Each Party that has one or more regulatory and assessment schemes for new pesticides or new industrial chemicals shall take measures to regulate with the aim of preventing the production and use of new pesticides or new industrial chemicals which, taking into consideration the criteria in paragraph 1 of Annex D, exhibit the characteristics of persistent organic pollutants.

4. Each Party that has one or more regulatory and assessment schemes for pesticides or industrial chemicals shall, where appropriate, take into consideration within these schemes the criteria in paragraph 1 of Annex D when conducting assessments of pesticides or industrial chemicals currently in use.

5. Except as otherwise provided in this Convention, paragraphs 1 and 2 shall not apply to quantities of a chemical to be used for laboratory-scale research or as a reference standard.

6. Any Party that has a specific exemption in accordance with Annex A or a specific exemption or an acceptable purpose in accordance with Annex B shall take appropriate measures to ensure that any production or use under such exemption or purpose is carried out in a manner that prevents or minimizes human exposure and release into the environment. For exempted uses or acceptable purposes that involve intentional release into the environment under conditions of normal use, such release shall be to the minimum extent necessary, taking into account any applicable standards and guidelines.

ARTICLE 4

Register of specific exemptions

1. A Register is hereby established for the purpose of identifying the Parties that have specific exemptions listed in Annex A or Annex B. It shall not identify Parties that make use of the provisions in Annex A or Annex B that may be exercised by all Parties. The Register shall be maintained by the Secretariat and shall be available to the public.

2. The Register shall include:

(a) A list of the types of specific exemptions reproduced from Annex A and Annex B;

(b) A list of the Parties that have a specific exemption listed under Annex A or Annex B; and

(c) A list of the expiry dates for each registered specific exemption.

3. Any State may, on becoming a Party, by means of a notification in writing to the Secretariat, register for one or more types of specific exemptions listed in Annex A or Annex B.

4. Unless an earlier date is indicated in the Register by a Party, or an extension is granted pursuant to paragraph 7, all registrations of specific exemptions shall

expire five years after the date of entry into force of this Convention with respect to a particular chemical.

5. At its first meeting, the Conference of the Parties shall decide upon its review process for the entries in the Register.

6. Prior to a review of an entry in the Register, the Party concerned shall submit a report to the Secretariat justifying its continuing need for registration of that exemption. The report shall be circulated by the Secretariat to all Parties. The review of a registration shall be carried out on the basis of all available information. Thereupon, the Conference of the Parties may make such recommendations to the Party concerned as it deems appropriate.

7. The Conference of the Parties may, upon request from the Party concerned, decide to extend the expiry date of a specific exemption for a period of up to five years. In making its decision, the Conference of the Parties shall take due account of the special circumstances of the developing country Parties and Parties with economies in transition.

8. A Party may, at any time, withdraw an entry from the Register for a specific exemption upon written notification to the Secretariat. The withdrawal shall take effect on the date specified in the notification.

9. When there are no longer any Parties registered for a particular type of specific exemption, no new registrations may be made with respect to it.

ARTICLE 5

Measures to reduce or eliminate releases from unintentional production

Each Party shall at a minimum take the following measures to reduce the total releases derived from anthropogenic sources of each of the chemicals listed in Annex C, with the goal of their continuing minimization and, where feasible, ultimate elimination:

- (a) Develop an action plan or, where appropriate, a regional or subregional action plan within two years of the date of entry into force of this Convention for it, and subsequently implement it as part of its implementation plan

specified in Article 7, designed to identify, characterize and address the release of the chemicals listed in Annex C and to facilitate implementation of subparagraphs (b) to (e). The action plan shall include the following elements:

- (i) An evaluation of current and projected releases, including the development and maintenance of source inventories and release estimates, taking into consideration the source categories identified in Annex C;
 - (ii) An evaluation of the efficacy of the laws and policies of the Party relating to the management of such releases;
 - (iii) Strategies to meet the obligations of this paragraph, taking into account the evaluations in (i) and (ii);
 - (iv) Steps to promote education and training with regard to, and awareness of, those strategies;
 - (v) A review every five years of those strategies and of their success in meeting the obligations of this paragraph; such reviews shall be included in reports submitted pursuant to Article 15;
 - (vi) A schedule for implementation of the action plan, including for the strategies and measures identified therein;
- (b) Promote the application of available, feasible and practical measures that can expeditiously achieve a realistic and meaningful level of release reduction or source elimination;
 - (c) Promote the development and, where it deems appropriate, require the use of substitute or modified materials, products and processes to prevent the formation and release of the chemicals listed in Annex C, taking into consideration the general guidance on prevention and release reduction measures in Annex C and guidelines to be adopted by decision of the Conference of the Parties;
 - (d) Promote and, in accordance with the implementation schedule of its action plan, require the use of best available techniques for new sources within source categories which a Party has identified as warranting such action in

its action plan, with a particular initial focus on source categories identified in Part II of Annex C. In any case, the requirement to use best available techniques for new sources in the categories listed in Part II of that Annex shall be phased in as soon as practicable but no later than four years after the entry into force of the Convention for that Party. For the identified categories, Parties shall promote the use of best environmental practices. When applying best available techniques and best environmental practices, Parties should take into consideration the general guidance on prevention and release reduction measures in that Annex and guidelines on best available techniques and best environmental practices to be adopted by decision of the Conference of the Parties;

- (e) Promote, in accordance with its action plan, the use of best available techniques and best environmental practices:
 - (i) For existing sources, within the source categories listed in Part II of Annex C and within source categories such as those in Part III of that Annex; and
 - (ii) For new sources, within source categories such as those listed in Part III of Annex C which a Party has not addressed under subparagraph (d).

When applying best available techniques and best environmental practices, Parties should take into consideration the general guidance on prevention and release reduction measures in Annex C and guidelines on best available techniques and best environmental practices to be adopted by decision of the Conference of the Parties;

- (f) For the purposes of this paragraph and Annex C:
 - (i) “Best available techniques” means the most effective and advanced stage in the development of activities and their methods of operation which indicate the practical suitability of particular techniques for providing in principle the basis for release limitations designed to prevent and, where that is not practicable, generally to reduce releases of chemicals listed in Part I of Annex C and their impact on the environment as a whole. In this regard:
 - (ii) “Techniques” includes both the technology used and the way in which the installation is designed, built, maintained, operated and decommissioned;

- (iii) “Available” techniques means those techniques that are accessible to the operator and that are developed on a scale that allows implementation in the relevant industrial sector, under economically and technically viable conditions, taking into consideration the costs and advantages; and
- (iv) “Best” means most effective in achieving a high general level of protection of the environment as a whole;
- (v) “Best environmental practices” means the application of the most appropriate combination of environmental control measures and strategies;
- (vi) “New source” means any source of which the construction or substantial modification is commenced at least one year after the date of:
 - a. Entry into force of this Convention for the Party concerned; or
 - b. Entry into force for the Party concerned of an amendment to Annex C where the source becomes subject to the provisions of this Convention only by virtue of that amendment.
- (g) Release limit values or performance standards may be used by a Party to fulfill its commitments for best available techniques under this paragraph.

ARTICLE 6

Measures to reduce or eliminate releases from stockpiles and wastes

1. In order to ensure that stockpiles consisting of or containing chemicals listed either in Annex A or Annex B and wastes, including products and articles upon becoming wastes, consisting of, containing or contaminated with a chemical listed in Annex A, B or C, are managed in a manner protective of human health and the environment, each Party shall:

- (a) Develop appropriate strategies for identifying:
 - (i) Stockpiles consisting of or containing chemicals listed either in Annex A or Annex B; and

- (ii) Products and articles in use and wastes consisting of, containing or contaminated with a chemical listed in Annex A, B or C;
- (b) Identify, to the extent practicable, stockpiles consisting of or containing chemicals listed either in Annex A or Annex B on the basis of the strategies referred to in subparagraph (a);
- (c) Manage stockpiles, as appropriate, in a safe, efficient and environmentally sound manner. Stockpiles of chemicals listed either in Annex A or Annex B, after they are no longer allowed to be used according to any specific exemption specified in Annex A or any specific exemption or acceptable purpose specified in Annex B, except stockpiles which are allowed to be exported according to paragraph 2 of Article 3, shall be deemed to be waste and shall be managed in accordance with subparagraph (d);
- (d) Take appropriate measures so that such wastes, including products and articles upon becoming wastes, are:
 - (i) Handled, collected, transported and stored in an environmentally sound manner;
 - (ii) Disposed of in such a way that the persistent organic pollutant content is destroyed or irreversibly transformed so that they do not exhibit the characteristics of persistent organic pollutants or otherwise disposed of in an environmentally sound manner when destruction or irreversible transformation does not represent the environmentally preferable option or the persistent organic pollutant content is low, taking into account international rules, standards, and guidelines, including those that may be developed pursuant to paragraph 2, and relevant global and regional regimes governing the management of hazardous wastes;
 - (iii) Not permitted to be subjected to disposal operations that may lead to recovery, recycling, reclamation, direct reuse or alternative uses of persistent organic pollutants; and
 - (iv) Not transported across international boundaries without taking into account relevant international rules, standards and guidelines;

- (e) Endeavour to develop appropriate strategies for identifying sites contaminated by chemicals listed in Annex A, B or C; if remediation of those sites is undertaken it shall be performed in an environmentally sound manner.
2. The Conference of the Parties shall cooperate closely with the appropriate bodies of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal to, inter alia:
- (a) Establish levels of destruction and irreversible transformation necessary to ensure that the characteristics of persistent organic pollutants as specified in paragraph 1 of Annex D are not exhibited;
 - (b) Determine what they consider to be the methods that constitute environmentally sound disposal referred to above; and
 - (c) Work to establish, as appropriate, the concentration levels of the chemicals listed in Annexes A, B and C in order to define the low persistent organic pollutant content referred to in paragraph 1 (d) (ii).

ARTICLE 7

Implementation plans

1. Each Party shall:
- (a) Develop and endeavour to implement a plan for the implementation of its obligations under this Convention;
 - (b) Transmit its implementation plan to the Conference of the Parties within two years of the date on which this Convention enters into force for it; and
 - (c) Review and update, as appropriate, its implementation plan on a periodic basis and in a manner to be specified by a decision of the Conference of the Parties.
2. The Parties shall, where appropriate, cooperate directly or through global, regional and subregional organizations, and consult their national stakeholders, including women's groups and groups involved in the health of children, in order to facilitate the development, implementation and updating of their implementation plans.

3. The Parties shall endeavour to utilize and, where necessary, establish the means to integrate national implementation plans for persistent organic pollutants in their sustainable development strategies where appropriate.

ARTICLE 8

Listing of chemicals in Annexes A, B and C

1. A Party may submit a proposal to the Secretariat for listing a chemical in Annexes A, B and/or C. The proposal shall contain the information specified in Annex D. In developing a proposal, a Party may be assisted by other Parties and/or by the Secretariat.

2. The Secretariat shall verify whether the proposal contains the information specified in Annex D. If the Secretariat is satisfied that the proposal contains the information so specified, it shall forward the proposal to the Persistent Organic Pollutants Review Committee.

3. The Committee shall examine the proposal and apply the screening criteria specified in Annex D in a flexible and transparent way, taking all information provided into account in an integrative and balanced manner.

4. If the Committee decides that:

(a) It is satisfied that the screening criteria have been fulfilled, it shall, through the Secretariat, make the proposal and the evaluation of the Committee available to all Parties and observers and invite them to submit the information specified in Annex E; or

(b) It is not satisfied that the screening criteria have been fulfilled, it shall, through the Secretariat, inform all Parties and observers and make the proposal and the evaluation of the Committee available to all Parties and the proposal shall be set aside.

5. Any Party may resubmit a proposal to the Committee that has been set aside by the Committee pursuant to paragraph 4. The resubmission may include any concerns of the Party as well as a justification for additional consideration by the Committee. If, following this procedure, the Committee again sets the proposal aside, the Party may challenge the decision of the Committee and the Conference of the

Parties shall consider the matter at its next session. The Conference of the Parties may decide, based on the screening criteria in Annex D and taking into account the evaluation of the Committee and any additional information provided by any Party or observer, that the proposal should proceed.

6. Where the Committee has decided that the screening criteria have been fulfilled, or the Conference of the Parties has decided that the proposal should proceed, the Committee shall further review the proposal, taking into account any relevant additional information received, and shall prepare a draft risk profile in accordance with Annex E. It shall, through the Secretariat, make that draft available to all Parties and observers, collect technical comments from them and, taking those comments into account, complete the risk profile.

7. If, on the basis of the risk profile conducted in accordance with Annex E, the Committee decides:

(a) That the chemical is likely as a result of its long-range environmental transport to lead to significant adverse human health and/or environmental effects such that global action is warranted, the proposal shall proceed. Lack of full scientific certainty shall not prevent the proposal from proceeding. The Committee shall, through the Secretariat, invite information from all Parties and observers relating to the considerations specified in Annex F. It shall then prepare a risk management evaluation that includes an analysis of possible control measures for the chemical in accordance with that Annex; or

(b) That the proposal should not proceed, it shall, through the Secretariat, make the risk profile available to all Parties and observers and set the proposal aside.

8. For any proposal set aside pursuant to paragraph 7 (b), a Party may request the Conference of the Parties to consider instructing the Committee to invite additional information from the proposing Party and other Parties during a period not to exceed one year. After that period and on the basis of any information received, the Committee shall reconsider the proposal pursuant to paragraph 6 with a priority to be decided by the Conference of the Parties. If, following this procedure, the Committee again sets the proposal aside, the Party may challenge the decision of the Committee and the Conference of the Parties shall consider the matter at its next session. The Conference of the Parties may decide, based on the risk profile prepared

in accordance with Annex E and taking into account the evaluation of the Committee and any additional information provided by any Party or observer, that the proposal should proceed. If the Conference of the Parties decides that the proposal shall proceed, the Committee shall then prepare the risk management evaluation.

9. The Committee shall, based on the risk profile referred to in paragraph 6 and the risk management evaluation referred to in paragraph 7 (a) or paragraph 8, recommend whether the chemical should be considered by the Conference of the Parties for listing in Annexes A, B and/or C. The Conference of the Parties, taking due account of the recommendations of the Committee, including any scientific uncertainty, shall decide, in a precautionary manner, whether to list the chemical, and specify its related control measures, in Annexes A, B and/or C.

ARTICLE 9

Information exchange

1. Each Party shall facilitate or undertake the exchange of information relevant to:
 - (a) The reduction or elimination of the production, use and release of persistent organic pollutants; and
 - (b) Alternatives to persistent organic pollutants, including information relating to their risks as well as to their economic and social costs.
2. The Parties shall exchange the information referred to in paragraph 1 directly or through the Secretariat.
3. Each Party shall designate a national focal point for the exchange of such information.
4. The Secretariat shall serve as a clearing-house mechanism for information on persistent organic pollutants, including information provided by Parties, intergovernmental organizations and non-governmental organizations.
5. For the purposes of this Convention, information on health and safety of humans and the environment shall not be regarded as confidential. Parties that exchange other information pursuant to this Convention shall protect any confidential information as mutually agreed.

ARTICLE 10

Public information, awareness and education

1. Each Party shall, within its capabilities, promote and facilitate:
 - (a) Awareness among its policy and decision makers with regard to persistent organic pollutants;
 - (b) Provision to the public of all available information on persistent organic pollutants, taking into account paragraph 5 of Article 9;
 - (c) Development and implementation, especially for women, children and the least educated, of educational and public awareness programmes on persistent organic pollutants, as well as on their health and environmental effects and on their alternatives;
 - (d) Public participation in addressing persistent organic pollutants and their health and environmental effects and in developing adequate responses, including opportunities for providing input at the national level regarding implementation of this Convention;
 - (e) Training of workers, scientists, educators and technical and managerial personnel;
 - (f) Development and exchange of educational and public awareness materials at the national and international levels; and
 - (g) Development and implementation of education and training programmes at the national and international levels.
2. Each Party shall, within its capabilities, ensure that the public has access to the public information referred to in paragraph 1 and that the information is kept up-to-date.
3. Each Party shall, within its capabilities, encourage industry and professional users to promote and facilitate the provision of the information referred to in paragraph 1 at the national level and, as appropriate, subregional, regional and global levels.
4. In providing information on persistent organic pollutants and their alternatives, Parties may use safety data sheets, reports, mass media and other means of communication, and may establish information centres at national and regional levels.

5. Each Party shall give sympathetic consideration to developing mechanisms, such as pollutant release and transfer registers, for the collection and dissemination of information on estimates of the annual quantities of the chemicals listed in Annex A, B or C that are released or disposed of.

ARTICLE 11

Research, development and monitoring

1. The Parties shall, within their capabilities, at the national and international levels, encourage and/or undertake appropriate research, development, monitoring and cooperation pertaining to persistent organic pollutants and, where relevant, to their alternatives and to candidate persistent organic pollutants, including on their:

- (a) Sources and releases into the environment;
- (b) Presence, levels and trends in humans and the environment;
- (c) Environmental transport, fate and transformation;
- (d) Effects on human health and the environment;
- (e) Socio-economic and cultural impacts;
- (f) Release reduction and/or elimination; and
- (g) Harmonized methodologies for making inventories of generating sources and analytical techniques for the measurement of releases.

2. In undertaking action under paragraph 1, the Parties shall, within their capabilities:

- (a) Support and further develop, as appropriate, international programmes, networks and organizations aimed at defining, conducting, assessing and financing research, data collection and monitoring, taking into account the need to minimize duplication of effort;
- (b) Support national and international efforts to strengthen national scientific and technical research capabilities, particularly in developing countries

and countries with economies in transition, and to promote access to, and the exchange of, data and analyses;

- (c) Take into account the concerns and needs, particularly in the field of financial and technical resources, of developing countries and countries with economies in transition and cooperate in improving their capability to participate in the efforts referred to in subparagraphs (a) and (b);
- (d) Undertake research work geared towards alleviating the effects of persistent organic pollutants on reproductive health;
- (e) Make the results of their research, development and monitoring activities referred to in this paragraph accessible to the public on a timely and regular basis; and
- (f) Encourage and/or undertake cooperation with regard to storage and maintenance of information generated from research, development and monitoring.

ARTICLE 12

Technical assistance

1. The Parties recognize that rendering of timely and appropriate technical assistance in response to requests from developing country Parties and Parties with economies in transition is essential to the successful implementation of this Convention.
2. The Parties shall cooperate to provide timely and appropriate technical assistance to developing country Parties and Parties with economies in transition, to assist them, taking into account their particular needs, to develop and strengthen their capacity to implement their obligations under this Convention.
3. In this regard, technical assistance to be provided by developed country Parties, and other Parties in accordance with their capabilities, shall include, as appropriate and as mutually agreed, technical assistance for capacity-building relating to implementation of the obligations under this Convention. Further guidance in this regard shall be provided by the Conference of the Parties.

4. The Parties shall establish, as appropriate, arrangements for the purpose of providing technical assistance and promoting the transfer of technology to developing country Parties and Parties with economies in transition relating to the implementation of this Convention. These arrangements shall include regional and subregional centres for capacity-building and transfer of technology to assist developing country Parties and Parties with economies in transition to fulfil their obligations under this Convention. Further guidance in this regard shall be provided by the Conference of the Parties.

5. The Parties shall, in the context of this Article, take full account of the specific needs and special situation of least developed countries and small island developing states in their actions with regard to technical assistance.

ARTICLE 13

Financial resources and mechanisms

1. Each Party undertakes to provide, within its capabilities, financial support and incentives in respect of those national activities that are intended to achieve the objective of this Convention in accordance with its national plans, priorities and programmes.

2. The developed country Parties shall provide new and additional financial resources to enable developing country Parties and Parties with economies in transition to meet the agreed full incremental costs of implementing measures which fulfill their obligations under this Convention as agreed between a recipient Party and an entity participating in the mechanism described in paragraph 6. Other Parties may also on a voluntary basis and in accordance with their capabilities provide such financial resources. Contributions from other sources should also be encouraged. The implementation of these commitments shall take into account the need for adequacy, predictability, the timely flow of funds and the importance of burden sharing among the contributing Parties.

3. Developed country Parties, and other Parties in accordance with their capabilities and in accordance with their national plans, priorities and programmes, may also provide and developing country Parties and Parties with economies in transition avail themselves of financial resources to assist in their implementation of this Convention through other bilateral, regional and multilateral sources or channels.

4. The extent to which the developing country Parties will effectively implement their commitments under this Convention will depend on the effective implementation by developed country Parties of their commitments under this Convention relating to financial resources, technical assistance and technology transfer. The fact that sustainable economic and social development and eradication of poverty are the first and overriding priorities of the developing country Parties will be taken fully into account, giving due consideration to the need for the protection of human health and the environment.

5. The Parties shall take full account of the specific needs and special situation of the least developed countries and the small island developing states in their actions with regard to funding.

6. A mechanism for the provision of adequate and sustainable financial resources to developing country Parties and Parties with economies in transition on a grant or concessional basis to assist in their implementation of the Convention is hereby defined. The mechanism shall function under the authority, as appropriate, and guidance of, and be accountable to the Conference of the Parties for the purposes of this Convention. Its operation shall be entrusted to one or more entities, including existing international entities, as may be decided upon by the Conference of the Parties. The mechanism may also include other entities providing multilateral, regional and bilateral financial and technical assistance. Contributions to the mechanism shall be additional to other financial transfers to developing country Parties and Parties with economies in transition as reflected in, and in accordance with, paragraph 2.

7. Pursuant to the objectives of this Convention and paragraph 6, the Conference of the Parties shall at its first meeting adopt appropriate guidance to be provided to the mechanism and shall agree with the entity or entities participating in the financial mechanism upon arrangements to give effect thereto. The guidance shall address, inter alia:

- (a) The determination of the policy, strategy and programme priorities, as well as clear and detailed criteria and guidelines regarding eligibility for access to and utilization of financial resources including monitoring and evaluation on a regular basis of such utilization;
- (b) The provision by the entity or entities of regular reports to the Conference of the Parties on adequacy and sustainability of funding for activities relevant to the implementation of this Convention;

- (c) The promotion of multiple-source funding approaches, mechanisms and arrangements;
- (d) The modalities for the determination in a predictable and identifiable manner of the amount of funding necessary and available for the implementation of this Convention, keeping in mind that the phasing out of persistent organic pollutants might require sustained funding, and the conditions under which that amount shall be periodically reviewed; and
- (e) The modalities for the provision to interested Parties of assistance with needs assessment, information on available sources of funds and on funding patterns in order to facilitate coordination among them.

8. The Conference of the Parties shall review, not later than its second meeting and thereafter on a regular basis, the effectiveness of the mechanism established under this Article, its ability to address the changing needs of the developing country Parties and Parties with economies in transition, the criteria and guidance referred to in paragraph 7, the level of funding as well as the effectiveness of the performance of the institutional entities entrusted to operate the financial mechanism. It shall, based on such review, take appropriate action, if necessary, to improve the effectiveness of the mechanism, including by means of recommendations and guidance on measures to ensure adequate and sustainable funding to meet the needs of the Parties.

ARTICLE 14

Interim financial arrangements

The institutional structure of the Global Environment Facility, operated in accordance with the Instrument for the Establishment of the Restructured Global Environment Facility, shall, on an interim basis, be the principal entity entrusted with the operations of the financial mechanism referred to in Article 13, for the period between the date of entry into force of this Convention and the first meeting of the Conference of the Parties, or until such time as the Conference of the Parties decides which institutional structure will be designated in accordance with Article 13. The institutional structure of the Global Environment Facility should fulfill this function through operational measures related specifically to persistent organic pollutants taking into account that new arrangements for this area may be needed.

ARTICLE 15

Reporting

1. Each Party shall report to the Conference of the Parties on the measures it has taken to implement the provisions of this Convention and on the effectiveness of such measures in meeting the objectives of the Convention.
2. Each Party shall provide to the Secretariat:
 - (a) Statistical data on its total quantities of production, import and export of each of the chemicals listed in Annex A and Annex B or a reasonable estimate of such data; and
 - (b) To the extent practicable, a list of the States from which it has imported each such substance and the States to which it has exported each such substance.
3. Such reporting shall be at periodic intervals and in a format to be decided by the Conference of the Parties at its first meeting.

ARTICLE 16

Effectiveness evaluation

1. Commencing four years after the date of entry into force of this Convention, and periodically thereafter at intervals to be decided by the Conference of the Parties, the Conference shall evaluate the effectiveness of this Convention.
2. In order to facilitate such evaluation, the Conference of the Parties shall, at its first meeting, initiate the establishment of arrangements to provide itself with comparable monitoring data on the presence of the chemicals listed in Annexes A, B and C as well as their regional and global environmental transport. These arrangements:
 - (a) Should be implemented by the Parties on a regional basis when appropriate, in accordance with their technical and financial capabilities, using existing monitoring programmes and mechanisms to the extent possible and promoting harmonization of approaches;

- (b) May be supplemented where necessary, taking into account the differences between regions and their capabilities to implement monitoring activities; and
 - (c) Shall include reports to the Conference of the Parties on the results of the monitoring activities on a regional and global basis at intervals to be specified by the Conference of the Parties.
3. The evaluation described in paragraph 1 shall be conducted on the basis of available scientific, environmental, technical and economic information, including:
- (a) Reports and other monitoring information provided pursuant to paragraph 2;
 - (b) National reports submitted pursuant to Article 15; and
 - (c) Non-compliance information provided pursuant to the procedures established under Article 17.

ARTICLE 17

Non-compliance

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 the treatment of Parties found to be in non-compliance.

ARTICLE 18

Settlement of disputes

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.
2. When ratifying, accepting, approving or acceding to the 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:

(a) Arbitration in accordance with procedures to be adopted by the Conference of the Parties in an annex as soon as practicable;

(b) Submission of the dispute to the International Court of Justice.

3. A Party that is a regional economic integration organization may make a declaration 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 or paragraph 3 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.

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.

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 at its second meeting.

ARTICLE 19

Conference of the Parties

1. A Conference of the Parties is hereby established.

2. The first meeting of the Conference of the Parties shall be convened by the Executive Director of the United Nations Environment Programme 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 decided by the Conference.

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.

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.

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:

- (a) Establish, further to the requirements of paragraph 6, such subsidiary bodies as it considers necessary for the implementation of the Convention;
- (b) Cooperate, where appropriate, with competent international organizations and intergovernmental and non-governmental bodies; and
- (c) Regularly review all information made available to the Parties pursuant to Article 15, including consideration of the effectiveness of paragraph 2 (b) (iii) of Article 3;
- (d) Consider and undertake any additional action that may be required for the achievement of the objectives of the Convention.

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

- (a) The members of the Persistent Organic Pollutants Review Committee shall be appointed by the Conference of the Parties. Membership of the Committee shall consist of government-designated experts in chemical assessment or management. The members of the Committee shall be appointed on the basis of equitable geographical distribution;
- (b) The Conference of the Parties shall decide on the terms of reference, organization and operation of the Committee; and

- (c) The Committee shall make every effort to adopt 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.
7. The Conference of the Parties shall, at its third meeting, evaluate the continued need for the procedure contained in paragraph 2 (b) of Article 3, including consideration of its effectiveness.
8. 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.

ARTICLE 20

Secretariat

1. A Secretariat is hereby established.
2. The functions of the Secretariat shall be:
 - (a) To make arrangements for meetings of the Conference of the Parties and its subsidiary bodies and to provide them with services as required;
 - (b) To facilitate assistance to the Parties, particularly developing country Parties and Parties with economies in transition, on request, in the implementation of this Convention;
 - (c) To ensure the necessary coordination with the secretariats of other relevant international bodies;
 - (d) To prepare and make available to the Parties periodic reports based on information received pursuant to Article 15 and other available information;

- (e) 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
 - (f) To perform the other secretariat functions specified in this Convention and such other functions as may be determined by the Conference of the Parties.
3. The secretariat functions for this Convention shall be performed by the Executive Director of the United Nations Environment Programme, unless the Conference of the Parties decides, by a three-fourths majority of the Parties present and voting, to entrust the secretariat functions to one or more other international organizations.

ARTICLE 21

Amendments to the Convention

1. Amendments to this Convention may be proposed by any Party.
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 proposed amendments to the signatories to this Convention and, for information, to the depositary.
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.
4. The amendment shall be communicated by the depositary to all Parties for ratification, acceptance or approval.
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.

ARTICLE 22

Adoption and amendment of annexes

1. Annexes to this Convention shall form an integral part thereof and, unless expressly provided otherwise, a reference to this Convention constitutes at the same time a reference to any annexes thereto.

2. Any additional annexes shall be restricted to procedural, scientific, technical or administrative matters.

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

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

(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 by the depositary of the adoption of the additional annex. 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 any additional annex, and the annex shall thereupon enter into force for that Party subject to subparagraph (c); and

(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).

4. The proposal, adoption and entry into force of amendments to Annex A, B or C shall be subject to the same procedures as for the proposal, adoption and entry into force of additional annexes to this Convention, except that an amendment to Annex A, B or C shall not enter into force with respect to any Party that has made a declaration with respect to amendment to those Annexes in accordance with paragraph 4 of Article 25, in which case any such amendment shall enter into force for such a Party on the ninetieth day after the date of deposit with the depositary of its instrument of ratification, acceptance, approval or accession with respect to such amendment.

5. The following procedure shall apply to the proposal, adoption and entry into force of an amendment to Annex D, E or F:

(a) Amendments shall be proposed according to the procedure in paragraphs 1 and 2 of Article 21;

- (b) The Parties shall take decisions on an amendment to Annex D, E or F by consensus; and
- (c) A decision to amend Annex D, E or F 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.

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.

ARTICLE 23

Right to vote

1. Each Party to this Convention shall have one vote, except as provided for in paragraph 2.
2. A regional economic integration organization, on matters within its competence, 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.

ARTICLE 24

Signature

This Convention shall be open for signature at Stockholm by all States and regional economic integration organizations on 23 May 2001, and at the United Nations Headquarters in New York from 24 May 2001 to 22 May 2002.

ARTICLE 25

Ratification, acceptance, approval or accession

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.

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.

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.

4. In its instrument of ratification, acceptance, approval or accession, any Party may declare that, with respect to it, any amendment to Annex A, B or C shall enter into force only upon the deposit of its instrument of ratification, acceptance, approval or accession with respect thereto.

ARTICLE 26

Entry into force

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.

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.

3. For the purpose of paragraphs 1 and 2, any instrument deposited by a regional economic integration organization shall not be counted as additional to those deposited by member States of that organization.

ARTICLE 27

Reservations

No reservations may be made to this Convention.

ARTICLE 28

Withdrawal

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.
2. Any such withdrawal shall take effect upon the 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.

ARTICLE 29

Depositary

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

ARTICLE 30

Authentic texts

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.

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

Done at Stockholm on this twenty-second day of May, two thousand and one.

ANNEXES



ANNEX A¹

ELIMINATION

Part I

Chemical	Activity	Specific exemption ²
Aldrin* CAS No: 309-00-2	Production	None
	Use	Local ectoparasiticide Insecticide
Alpha hexachlorocyclohexane* CAS No: 319-84-6	Production	None
	Use	None
Beta hexachlorocyclohexane* CAS No: 319-85-7	Production	None
	Use	None
Chlordane* CAS No: 57-74-9	Production	As allowed for the Parties listed in the Register
	Use	Local ectoparasiticide Insecticide Termiticide Termiticide in buildings and dams Termiticide in roads Additive in plywood adhesives
Chlordecone* CAS No: 143-50-0	Production	None
	Use	None

¹ As amended by decisions SC-4/10 to SC-4/18 of 8 May 2009; SC-5/3 of 29 April 2011; SC-6/13 of 10 May 2013; SC-7/12 to SC-7/14 of 15 May 2015; and SC-8/10 to SC-8/12 of 5 May 2017; and SC-9/4, SC-9/11 and SC-9/12 of 10 May 2019.

² Please note that, in accordance with paragraph 9 of Article 4 of the Convention, when there are no longer any Parties registered for a particular type of specific exemption no new registrations may be made with respect to such exemptions, which appear in gray text in the table.

Chemical	Activity	Specific exemption ²
Decabromodiphenyl ether (BDE-209) present in commercial decabromodiphenyl ether (CAS No: 1163-19-5)	Production	As allowed for the Parties listed in the Register
	Use	In accordance with Part IX of this Annex: <ul style="list-style-type: none"> • Parts for use in vehicles specified in paragraph 2 of Part IX of this Annex • Aircraft for which type approval has been applied for before December 2018 and has been received before December 2022 and spare parts for those aircraft • Textile products that require anti-flammable characteristics, excluding clothing and toys • Additives in plastic housings and parts used for heating home appliances, irons, fans, immersion heaters that contain or are in direct contact with electrical parts or are required to comply with fire retardancy standards, at concentrations lower than 10 per cent by weight of the part • Polyurethane foam for building insulation
Dicofol CAS No: 115-32-2 CAS No: 10606-46-9	Production	None
	Use	None
Dieldrin* CAS No: 60-57-1	Production	None
	Use	In agricultural operations

Chemical	Activity	Specific exemption ²
Endrin* CAS No: 72-20-8	Production	None
	Use	None
Heptachlor* CAS No: 76-44-8	Production	None
	Use	Termiticide Termiticide in structures of houses Termiticide (subterranean) Wood treatment In use in underground cable boxes
Hexabromobiphenyl * CAS No: 36355-01-8	Production	None
	Use	None
Hexabromocyclododecane	Production	As allowed for the Parties listed in the Register in accordance with the provisions of Part VII of this Annex
	Use	Expanded polystyrene and extruded polystyrene in buildings in accordance with the provisions of Part VII of this Annex
Hexabromodiphenyl ether* and heptabromodiphenyl ether*	Production	None
	Use	Articles in accordance with the provisions of Part IV of this Annex
Hexachlorobenzene CAS No: 118-74-1	Production	As allowed for the Parties listed in the Register
	Use	Intermediate Solvent in pesticide Closed system site limited intermediate
Hexachlorobutadiene CAS No: 87-68-3	Production	None
	Use	None

Chemical	Activity	Specific exemption ²
Lindane* CAS No: 58-89-9	Production	None
	Use	Human health pharmaceutical for control of head lice and scabies as second line treatment
Mirex* CAS No: 2385-85-5	Production	As allowed for the Parties listed in the Register
	Use	Termiticide
Pentachlorobenzene* CAS No: 608-93-5	Production	None
	Use	None
Pentachlorophenol and its salts and esters	Production	As allowed for the Parties listed in the Register in accordance with the provisions of Part VIII of this Annex
	Use	Pentachlorophenol for utility poles and cross-arms in accordance with the provisions of Part VIII of this Annex

Chemical	Activity	Specific exemption ²
<p>The following compounds are not included as PFOA-related compounds:</p> <p>(i) C₈F₁₇-X, where X= F, Cl, Br;</p> <p>(ii) Fluoropolymers that are covered by CF₃[CF₂]_n-R', where R'=any group, n>16;</p> <p>(iii) Perfluoroalkyl carboxylic and phosphonic acids (including their salts, esters, halides and anhydrides) with ≥8 perfluorinated carbons;</p> <p>(iv) Perfluoroalkane sulfonic acids (including their salts, esters, halides and anhydrides) with ≥9 perfluorinated carbons;</p> <p>(v) Perfluorooctane sulfonic acid (PFOS), its salts and perfluorooctane sulfonyl fluoride (PFOSF), as listed in Annex B to the Convention.</p>	<p>Use</p>	<ul style="list-style-type: none"> • Use of perfluorooctyl iodide for the production of perfluorooctyl bromide for the purpose of producing pharmaceutical products, in accordance with the provisions of paragraph 3 of part X of this Annex • Manufacture of polytetrafluoroethylene (PTFE) and polyvinylidene fluoride (PVDF) for the production of: <ul style="list-style-type: none"> ▪ High-performance, corrosion-resistant gas filter membranes, water filter membranes and membranes for medical textiles ▪ Industrial waste heat exchanger equipment ▪ Industrial sealants capable of preventing leakage of volatile organic compounds and PM2.5 particulates • Manufacture of polyfluoroethylene propylene (FEP) for the production of high-voltage electrical wire and cables for power transmission • Manufacture of fluoroelastomers for the production of O-rings, v-belts and plastic accessories for car interiors

Chemical	Activity	Specific exemption ²
Polychlorinated Biphenyls (PCB)*	Production	None
	Use	Articles in use in accordance with the provisions of Part II of this Annex
Polychlorinated naphthalenes, including dichlorinated naphthalenes, trichlorinated naphthalenes, tetrachlorinated naphthalenes, pentachlorinated naphthalenes, hexachlorinated naphthalenes, heptachlorinated naphthalenes, octachlorinated naphthalene	Production	Intermediates in production of polyfluorinated naphthalenes, including octafluoronaphthalene
	Use	Production of polyfluorinated naphthalenes, including octafluoronaphthalene

Chemical	Activity	Specific exemption ²
<p>Short-chain chlorinated paraffins (Alkanes, C₁₀₋₁₃, chloro) ⁺: straight-chain chlorinated hydrocarbons with chain lengths ranging from C₁₀ to C₁₃ and a content of chlorine greater than 48 per cent by weight</p> <p>For example, the substances with the following CAS numbers may contain short-chain chlorinated paraffins: CAS No. 85535-84-8; CAS No. 68920-70-7; CAS No. 71011-12-6; CAS No. 85536-22-7; CAS No. 85681-73-8; CAS No. 108171-26-2.</p>	Production	As allowed for the Parties listed in the Register
	Use	<ul style="list-style-type: none"> • Additives in the production of transmission belts in the natural and synthetic rubber industry • Spare parts of rubber conveyor belts in the mining and forestry industries • Leather industry, in particular fatliquoring in leather • Lubricant additives, in particular for engines of automobiles, electric generators and wind power facilities, and for drilling in oil and gas exploration, petroleum refinery to produce diesel oil • Tubes for outdoor decoration bulbs • Waterproofing and fire-retardant paints • Adhesives • Metal processing • Secondary plasticizers in flexible polyvinyl chloride, except in toys and children's products
<p>Technical endosulfan* (CAS No: 115-29-7) and its related isomers* (CAS No: 959-98-8 and CAS No: 33213-65-9)</p>	Production	As allowed for the Parties listed in the Register
	Use	Crop-pest complexes as listed in accordance with the provisions of part VI of this Annex
<p>Tetrabromodiphenyl ether* and pentabromodiphenyl ether*</p>	Production	None
	Use	Articles in accordance with the provisions of Part V of this Annex

Chemical	Activity	Specific exemption ²
Toxaphene* CAS No: 8001-35-2	Production	None
	Use	None

Notes:

- (i) Except as otherwise specified in this Convention, quantities of a chemical occurring as unintentional trace contaminants in products and articles shall not be considered to be listed in this Annex;
- (ii) This note shall not be considered as a production and use specific exemption for purposes of paragraph 2 of Article 3. Quantities of a chemical occurring as constituents of articles manufactured or already in use before or on the date of entry into force of the relevant obligation with respect to that chemical, shall not be considered as listed in this Annex, provided that a Party has notified the Secretariat that a particular type of article remains in use within that Party. The Secretariat shall make such notifications publicly available;
- (iii) This note, which does not apply to a chemical that has an asterisk following its name in the Chemical column in Part I of this Annex, shall not be considered as a production and use specific exemption for purposes of paragraph 2 of Article 3. Given that no significant quantities of the chemical are expected to reach humans and the environment during the production and use of a closed-system site-limited intermediate, a Party, upon notification to the Secretariat, may allow the production and use of quantities of a chemical listed in this Annex as a closed-system site-limited intermediate that is chemically transformed in the manufacture of other chemicals that, taking into consideration the criteria in paragraph 1 of Annex D, do not exhibit the characteristics of persistent organic pollutants. This notification shall include information on total production and use of such chemical or a reasonable estimate of such information and information regarding the nature of the closed-system site-limited process including the amount of any non-transformed and unintentional trace contamination of the persistent organic pollutant-starting material in

the final product. This procedure applies except as otherwise specified in this Annex. The Secretariat shall make such notifications available to the Conference of the Parties and to the public. Such production or use shall not be considered a production or use specific exemption. Such production and use shall cease after a ten-year period, unless the Party concerned submits a new notification to the Secretariat, in which case the period will be extended for an additional ten years unless the Conference of the Parties, after a review of the production and use decides otherwise. The notification procedure can be repeated;

- (iv) All the specific exemptions in this Annex may be exercised by Parties that have registered exemptions in respect of them in accordance with Article 4 with the exception of the use of polychlorinated biphenyls in articles in use in accordance with the provisions of Part II, and the use of hexabromodiphenyl ether and heptabromodiphenyl ether in accordance with the provisions of Part IV of this Annex, and the use of tetrabromodiphenyl ether and pentabromodiphenyl ether in accordance with the provisions of Part V of this Annex, which may be exercised by all Parties.
- (v) Technical endosulfan (CAS No: 115-29-7), its related isomers (CAS No: 959-98-8 and CAS No: 33213-65-9) and endosulfan sulfate (CAS No: 1031-07-8) were assessed and identified as persistent organic pollutants.
- (vi) Pentachlorophenol (CAS No: 87-86-5), sodium pentachlorophenate (CAS No: 131-52-2 and 27735-64-4 (as monohydrate)) and pentachlorophenyl laurate (CAS No: 3772-94-9), when considered together with their transformation product pentachloroanisole (CAS No: 1825-21-4), were identified as persistent organic pollutants.
- (vii) Note (i) does not apply to quantities of a chemical that has a plus sign (“+”) following its name in the “Chemical” column in Part I of this Annex that occurs in mixtures at concentrations greater than or equal to 1 per cent by weight.

Part II

Polychlorinated biphenyls

Each Party shall:

- (a) With regard to the elimination of the use of polychlorinated biphenyls in equipment (e.g. transformers, capacitors or other receptacles containing liquid stocks) by 2025, subject to review by the Conference of the Parties, take action in accordance with the following priorities:
 - (i) Make determined efforts to identify, label and remove from use equipment containing greater than 10 per cent polychlorinated biphenyls and volumes greater than 5 litres;
 - (ii) Make determined efforts to identify, label and remove from use equipment containing greater than 0.05 per cent polychlorinated biphenyls and volumes greater than 5 litres;
 - (iii) Endeavour to identify and remove from use equipment containing greater than 0.005 per cent polychlorinated biphenyls and volumes greater than 0.05 litres;
- (b) Consistent with the priorities in subparagraph (a), promote the following measures to reduce exposures and risk to control the use of polychlorinated biphenyls:
 - (i) Use only in intact and non-leaking equipment and only in areas where the risk from environmental release can be minimised and quickly remedied;
 - (ii) Not use in equipment in areas associated with the production or processing of food or feed;
 - (iii) When used in populated areas, including schools and hospitals, all reasonable measures to protect from electrical failure which could result in a fire, and regular inspection of equipment for leaks;
- (c) Notwithstanding paragraph 2 of Article 3, ensure that equipment containing polychlorinated biphenyls, as described in subparagraph (a), shall not be exported or imported except for the purpose of environmentally sound waste management;

- (d) Except for maintenance and servicing operations, not allow recovery for the purpose of reuse in other equipment of liquids with polychlorinated biphenyls content above 0.005 per cent;
- (e) Make determined efforts designed to lead to environmentally sound waste management of liquids containing polychlorinated biphenyls and equipment contaminated with polychlorinated biphenyls having a polychlorinated biphenyls content above 0.005 per cent, in accordance with paragraph 1 of Article 6, as soon as possible but no later than 2028, subject to review by the Conference of the Parties;
- (f) In lieu of note (ii) in Part I of this Annex, endeavour to identify other articles containing more than 0.005 per cent polychlorinated biphenyls (e.g. cable-sheaths, cured caulk and painted objects) and manage them in accordance with paragraph 1 of Article 6;
- (g) Provide a report every five years on progress in eliminating polychlorinated biphenyls and submit it to the Conference of the Parties pursuant to Article 15;
- (h) The reports described in subparagraph (g) shall, as appropriate, be considered by the Conference of the Parties in its reviews relating to polychlorinated biphenyls. The Conference of the Parties shall review progress towards elimination of polychlorinated biphenyls at five year intervals or other period, as appropriate, taking into account such reports.

Part III

Definitions

For the purpose of this Annex:

- (a) “Hexabromodiphenyl ether and heptabromodiphenyl ether” mean 2,2',4,4',5,5'-hexabromodiphenyl ether (BDE-153, CAS No: 68631-49-2), 2,2',4,4',5,6'-hexabromodiphenyl ether (BDE-154, CAS No: 207122-15-4), 2,2',3,3',4,5',6-heptabromodiphenyl ether (BDE-175, CAS No: 446255-22-7), 2,2',3,4,4',5',6-heptabromodiphenyl ether (BDE-183, CAS No: 207122-16-5) and other hexa- and heptabromodiphenyl ethers present in commercial octabromodiphenyl ether.

- (b) "Tetrabromodiphenyl ether and pentabromodiphenyl ether" means 2,2',4,4'-tetrabromodiphenyl ether [BDE-47, CAS No: 5436-43-1] and 2,2',4,4',5-pentabromodiphenyl ether [BDE-99, CAS No: 60348-60-9] and other tetra- and pentabromodiphenyl ethers present in commercial pentabromodiphenyl ether.
- (c) "Hexabromocyclododecane" means hexabromocyclododecane [CAS No: 25637-99-4], 1, 2, 5, 6, 9, 10-hexabromocyclododecane [CAS No: 3194-55-6] and its main diastereoisomers: alpha-hexabromocyclododecane [CAS No: 134237-50-6]; beta-hexabromocyclododecane [CAS No: 134237-51-7]; and gamma-hexabromocyclododecane [CAS No: 134237-52-8].

Part IV

Hexabromodiphenyl ether and heptabromodiphenyl ether

1. A Party may allow recycling of articles that contain or may contain hexabromodiphenyl ether and heptabromodiphenyl ether, and the use and final disposal of articles manufactured from recycled materials that contain or may contain hexabromodiphenyl ether and heptabromodiphenyl ether, provided that:

- (a) The recycling and final disposal is carried out in an environmentally sound manner and does not lead to recovery of hexabromodiphenyl ether and heptabromodiphenyl ether for the purpose of their reuse;
- (b) The Party takes steps to prevent exports of such articles that contain levels/ concentrations of hexabromodiphenyl ether and heptabromodiphenyl ether exceeding those permitted for the sale, use, import or manufacture of those articles within the territory of the Party; and
- (c) The Party has notified the Secretariat of its intention to make use of this exemption.

2. At its sixth ordinary meeting and at every second ordinary meeting thereafter the Conference of the Parties shall evaluate the progress that Parties have made towards achieving their ultimate objective of elimination of hexabromodiphenyl ether and heptabromodiphenyl ether contained in articles and review the continued need for this specific exemption. This specific exemption shall in any case expire at the latest in 2030.

Part V

Tetrabromodiphenyl ether and pentabromodiphenyl ether

1. A Party may allow recycling of articles that contain or may contain tetrabromodiphenyl ether and pentabromodiphenyl ether, and the use and final disposal of articles manufactured from recycled materials that contain or may contain tetrabromodiphenyl ether and pentabromodiphenyl ether, provided that:

- (a) The recycling and final disposal is carried out in an environmentally sound manner and does not lead to recovery of tetrabromodiphenyl ether and pentabromodiphenyl ether for the purpose of their reuse;
- (b) The Party does not allow this exemption to lead to the export of articles containing levels/concentrations of tetrabromodiphenyl ether and pentabromodiphenyl ether that exceed those permitted to be sold within the territory of the Party; and
- (c) The Party has notified the Secretariat of its intention to make use of this exemption.

2. At its sixth ordinary meeting and at every second ordinary meeting thereafter the Conference of the Parties shall evaluate the progress that Parties have made towards achieving their ultimate objective of elimination of tetrabromodiphenyl ether and pentabromodiphenyl ether contained in articles and review the continued need for this specific exemption. This specific exemption shall in any case expire at the latest in 2030.

Part VI

Technical endosulfan and its related isomers (endosulfan)

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

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

Part VII

Hexabromocyclododecane

Each Party that has registered for the exemption pursuant to Article 4 for the production and use of hexabromocyclododecane for expanded polystyrene and extruded polystyrene in buildings shall take necessary measures to ensure that expanded polystyrene and extruded polystyrene containing hexabromocyclododecane can be easily identified by labelling or other means throughout its life cycle.

Part VIII

Pentachlorophenol and its salts and esters

Each Party that has registered for the exemption, pursuant to Article 4 for the production and use of pentachlorophenol for utility poles and cross-arms shall take the necessary measures to ensure that utility poles and cross-arms containing pentachlorophenol can be easily identified by labelling or other means throughout their life cycles. Articles treated with pentachlorophenol should not be reused for purposes other than those exempted.

Part IX

Decabromodiphenyl ether

1. The production and use of decabromodiphenyl ether shall be eliminated except for Parties that have notified the Secretariat of their intention to produce and/or use it in accordance with Article 4.
2. Specific exemptions for parts for use in vehicles may be available for the production and use of commercial decabromodiphenyl ether limited to the following:
 - (a) Parts for use in legacy vehicles, defined as vehicles that have ceased mass production, and with such parts falling into one or more of the following categories:
 - (i) Powertrain and under-hood applications such as battery mass wires, battery interconnection wires, mobile air-conditioning (MAC) pipes, powertrains, exhaust manifold bushings, under-hood insulation, wiring and harness under hood (engine wiring, etc.), speed sensors, hoses, fan modules and knock sensors;

- (ii) Fuel system applications such as fuel hoses, fuel tanks and fuel tanks under body;
 - (iii) Pyrotechnical devices and applications affected by pyrotechnical devices such as air bag ignition cables, seat covers/fabrics (only if airbag relevant) and airbags (front and side);
 - (iv) Suspension and interior applications such as trim components, acoustic material and seat belts.
- (b) Parts in vehicles specified in paragraphs 2 (a) (i)–(iv) above and those falling into one or more of the following categories:
- (i) Reinforced plastics (instrument panels and interior trim);
 - (ii) Under the hood or dash (terminal/fuse blocks, higher-amperage wires and cable jacketing (spark plug wires));
 - (iii) Electric and electronic equipment (battery cases and battery trays, engine control electrical connectors, components of radio disks, navigation satellite systems, global positioning systems and computer systems);
 - (iv) Fabric such as rear decks, upholstery, headliners, automobile seats, head rests, sun visors, trim panels, carpets.
3. The specific exemptions for parts specified in paragraph 2 (a) above shall expire at the end of the service life of legacy vehicles or in 2036, whichever comes earlier.
4. The specific exemptions for parts specified in paragraph 2 (b) above shall expire at the end of the service life of vehicles or in 2036, whichever comes earlier.
5. The specific exemptions for spare parts for aircraft for which type approval has been applied for before December 2018 and has been received before December 2022 shall expire at the end of the service life of those aircraft.

Part X

Perfluorooctanoic acid (PFOA), its salts and PFOA-related compounds

1. The production and use of perfluorooctanoic acid (PFOA), its salts and PFOA related compounds shall be eliminated except for Parties that have notified the Secretariat of their intention to produce and/or use them in accordance with Article 4 of the Convention.
2. Each Party that has registered for a specific exemption pursuant to Article 4 for the use of PFOA, its salts and PFOA-related compounds for fire-fighting foam shall:
 - (a) Notwithstanding paragraph 2 of Article 3, ensure that fire-fighting foam that contains or may contain PFOA, its salts and PFOA-related compounds shall not be exported or imported except for the purpose of environmentally sound disposal as set forth in paragraph 1 (d) of Article 6;
 - (b) Not use fire-fighting foam that contains or may contain PFOA, its salts and PFOA-related compounds for training;
 - (c) Not use fire-fighting foam that contains or may contain PFOA, its salts and PFOA-related compounds for testing unless all releases are contained;
 - (d) By the end of 2022, if it has the capacity to do so, but no later than 2025, restrict uses of fire-fighting foam that contains or may contain PFOA, its salts and PFOA-related compounds to sites where all releases can be contained;
 - (e) Make determined efforts designed to lead to the environmentally sound management of fire-fighting foam stockpiles and wastes that contain or may contain PFOA, its salts and PFOA-related compounds, in accordance with paragraph 1 of Article 6, as soon as possible;
3. With regard to the specific exemption for the use of perfluorooctyl iodide for the production of perfluorooctyl bromide for the purpose of producing pharmaceutical products, at its thirteenth ordinary meeting and at every second ordinary meeting thereafter, the Conference of the Parties shall review the continued need for this specific exemption. This specific exemption shall in any case expire at the latest in 2036.

ANNEX B³

RESTRICTION

Part I

Chemical	Activity	Acceptable purpose or specific exemption ⁴
DDT (1,1,1-trichloro-2,2-bis (4-chlorophenyl)ethane) CAS No: 50-29-3	Production	<u>Acceptable purpose:</u> Disease vector control use in accordance with Part II of this Annex <u>Specific exemption:</u> Intermediate in production of dicofol Intermediate
	Use	<u>Acceptable purpose:</u> Disease vector control in accordance with Part II of this Annex <u>Specific exemption:</u> Production of dicofol Intermediate

³ As amended by decision SC-4/17 of 8 May 2009 and SC-9/4 of 10 May 2019

⁴ Please note that, in accordance with paragraph 9 of Article 4 of the Convention, when there are no longer any Parties registered for a particular type of specific exemption no new registrations may be made with respect to such exemptions, which appear in gray text in the table.

Chemical	Activity	Acceptable purpose or specific exemption ⁴
Perfluorooctane sulfonic acid (CAS No. 1763-23-1), its salts ^a and perfluorooctane sulfonyl fluoride (CAS No. 307-35-7) ^a For example: potassium perfluorooctane sulfonate (CAS No. 2795-39-3); lithium perfluorooctane sulfonate (CAS No. 29457-72-5); ammonium perfluorooctane sulfonate (CAS No. 29081-56-9); diethanolammonium perfluorooctane sulfonate (CAS No. 70225-14-8); tetraethylammonium perfluorooctane sulfonate (CAS No. 56773-42-3); didecyldimethylammonium perfluorooctane sulfonate (CAS No. 251099-16-8)	Production	<u>Acceptable purpose:</u> In accordance with Part III of this Annex, production of other chemicals to be used solely for the use below. Production for uses listed below. <u>Specific exemption:</u> None
	Use	<u>Acceptable purpose:</u> In accordance with Part III of this Annex for the following acceptable purpose, or as an intermediate in the production of chemicals with the following acceptable purpose: <ul style="list-style-type: none"> • Insect baits with sulfluramid (CAS No. 4151-50-2) as an active ingredient for control of leaf-cutting ants from <i>Atta</i> spp. and <i>Acromyrmex</i> spp. for agricultural use only <u>Specific exemption:</u> <ul style="list-style-type: none"> • Metal plating (hard-metal plating) only in closed-loop systems • Fire-fighting foam for liquid fuel vapour suppression and liquid fuel fires (Class B fires) in installed systems, including both mobile and fixed systems, in accordance with paragraph 10 of part III of this Annex

Notes:

- (i) Except as otherwise specified in this Convention, quantities of a chemical occurring as unintentional trace contaminants in products and articles shall not be considered to be listed in this Annex;
- (ii) This note shall not be considered as a production and use acceptable purpose or specific exemption for purposes of paragraph 2 of Article 3. Quantities of a chemical occurring as constituents of articles manufactured or already in use before or on the date of entry into force of the relevant obligation with respect to that chemical, shall not be considered as listed in this Annex, provided that a Party has notified the Secretariat that a particular type of article remains in use within that Party. The Secretariat shall make such notifications publicly available;
- (iii) This note shall not be considered as a production and use specific exemption for purposes of paragraph 2 of Article 3. Given that no significant quantities of the chemical are expected to reach humans and the environment during the production and use of a closed-system site-limited intermediate, a Party, upon notification to the Secretariat, may allow the production and use of quantities of a chemical listed in this Annex as a closed-system site-limited intermediate that is chemically transformed in the manufacture of other chemicals that, taking into consideration the criteria in paragraph 1 of Annex D, do not exhibit the characteristics of persistent organic pollutants. This notification shall include information on total production and use of such chemical or a reasonable estimate of such information and information regarding the nature of the closed-system site-limited process including the amount of any non-transformed and unintentional trace contamination of the persistent organic pollutant-starting material in the final product. This procedure applies except as otherwise specified in this Annex. The Secretariat shall make such notifications available to the Conference of the Parties and to the public. Such production or use shall not be considered a production or use specific exemption. Such production and use shall cease after a ten-year period, unless the Party concerned submits a new notification to the Secretariat, in which case the period will be extended for an additional ten years unless the Conference of the Parties, after a review of the production and use decides otherwise. The notification procedure can be repeated;

- (iv) All the specific exemptions in this Annex may be exercised by Parties that have registered in respect of them in accordance with Article 4.

Part II

DDT (1,1,1-trichloro-2,2-bis(4-chlorophenyl)ethane)

1. The production and use of DDT shall be eliminated except for Parties that have notified the Secretariat of their intention to produce and/or use it. A DDT Register is hereby established and shall be available to the public. The Secretariat shall maintain the DDT Register.
2. Each Party that produces and/or uses DDT shall restrict such production and/or use for disease vector control in accordance with the World Health Organization recommendations and guidelines on the use of DDT and when locally safe, effective and affordable alternatives are not available to the Party in question.
3. In the event that a Party not listed in the DDT Register determines that it requires DDT for disease vector control, it shall notify the Secretariat as soon as possible in order to have its name added forthwith to the DDT Register. It shall at the same time notify the World Health Organization.
4. Every three years, each Party that uses DDT shall provide to the Secretariat and the World Health Organization information on the amount used, the conditions of such use and its relevance to that Party's disease management strategy, in a format to be decided by the Conference of the Parties in consultation with the World Health Organization.
5. With the goal of reducing and ultimately eliminating the use of DDT, the Conference of the Parties shall encourage:
 - (a) Each Party using DDT to develop and implement an action plan as part of the implementation plan specified in Article 7. That action plan shall include:
 - (i) Development of regulatory and other mechanisms to ensure that DDT use is restricted to disease vector control;
 - (ii) Implementation of suitable alternative products, methods and strategies, including resistance management strategies to ensure the continuing effectiveness of these alternatives;

- (iii) Measures to strengthen health care and to reduce the incidence of the disease.
 - (b) The Parties, within their capabilities, to promote research and development of safe alternative chemical and non-chemical products, methods and strategies for Parties using DDT, relevant to the conditions of those countries and with the goal of decreasing the human and economic burden of disease. Factors to be promoted when considering alternatives or combinations of alternatives shall include the human health risks and environmental implications of such alternatives. Viable alternatives to DDT shall pose less risk to human health and the environment, be suitable for disease control based on conditions in the Parties in question and be supported with monitoring data.
6. Commencing at its first meeting, and at least every three years thereafter, the Conference of the Parties shall, in consultation with the World Health Organization, evaluate the continued need for DDT for disease vector control on the basis of available scientific, technical, environmental and economic information, including:
- (a) The production and use of DDT and the conditions set out in paragraph 2;
 - (b) The availability, suitability and implementation of the alternatives to DDT; and
 - (c) Progress in strengthening the capacity of countries to transfer safely to reliance on such alternatives.
7. A Party may, at any time, withdraw its name from the DDT Registry upon written notification to the Secretariat. The withdrawal shall take effect on the date specified in the notification.

Part III

Perfluorooctane sulfonic acid, its salts, and perfluorooctane sulfonyl fluoride

1. The production and use of perfluorooctane sulfonic acid (PFOS), its salts and perfluorooctane sulfonyl fluoride (PFOSF) shall be eliminated by all Parties except as provided in Part I of this Annex for Parties that have notified the Secretariat of their intention to produce and/or use them for acceptable purposes. A Register of

Acceptable Purposes is hereby established and shall be available to the public. The Secretariat shall maintain the Register of Acceptable Purposes. In the event that a Party not listed in the Register determines that it requires the use of PFOS, its salts or PFOSF for the acceptable purposes listed in Part I of this Annex it shall notify the Secretariat as soon as possible in order to have its name added forthwith to the Register.

2. Parties that produce and/or use these chemicals shall take into account, as appropriate, guidance such as that given in the relevant parts of the general guidance on best available techniques and best environmental practices given in Part V of Annex C of the Convention.

3. Every four years, each Party that uses and/or produces these chemicals shall report on progress made to eliminate PFOS, its salts and PFOSF and submit information on such progress to the Conference of the Parties pursuant to and in the process of reporting under Article 15 of the Convention.

4. With the goal of reducing and ultimately eliminating the production and/or use of these chemicals, the Conference of the Parties shall encourage:

- (a) Each Party using these chemicals to take action to phase out uses when suitable alternative substances or methods are available;
- (b) Each Party using and/or producing these chemicals to develop and implement an action plan as part of the implementation plan specified in Article 7 of the Convention;
- (c) The Parties, within their capabilities, to promote research on and development of safe alternative chemical and non-chemical products and processes, methods and strategies for Parties using these chemicals, relevant to the conditions of those Parties. Factors to be promoted when considering alternatives or combinations of alternatives shall include the human health risks and environmental implications of such alternatives.

5. The Conference of the Parties shall evaluate the continued need for these chemicals for the various acceptable purposes and specific exemptions on the basis of available scientific, technical, environmental and economic information, including:

- (a) Information provided in the reports described in paragraph 3;
- (b) Information on the production and use of these chemicals;

- (c) Information on the availability, suitability and implementation of alternatives to these chemicals;
 - (d) Information on progress in building the capacity of countries to transfer safely to reliance on such alternatives.
6. The evaluation referred to in the preceding paragraph shall take place no later than in 2015 and every four years thereafter, in conjunction with a regular meeting of the Conference of the Parties.
7. Due to the complexity of the use and the many sectors of society involved in the use of these chemicals, there might be other uses of these chemicals of which countries are not presently aware. Parties which become aware of other uses are encouraged to inform the Secretariat as soon as possible.
8. A Party may, at any time, withdraw its name from the Register of acceptable purposes upon written notification to the Secretariat. The withdrawal shall take effect on the date specified in the notification.
9. The provisions of note (iii) of Part I of Annex B shall not apply to these chemicals.
10. Each Party that has registered for an exemption pursuant to Article 4 for the use of PFOS, its salts and PFOSF for fire-fighting foam shall:
- (a) Notwithstanding paragraph 2 of Article 3, ensure that fire-fighting foam that contains or may contain PFOS, its salts and PFOSF shall not be exported or imported except for the purpose of environmentally sound disposal as set forth in paragraph 1 (d) of Article 6;
 - (b) Not use fire-fighting foam that contains or may contain PFOS, its salts and PFOSF for training;
 - (c) Not use fire-fighting foam that contains or may contain PFOS, its salts and PFOSF for testing unless all releases are contained;
 - (d) By the end of 2022, if it has the capacity to do so, restrict uses of fire-fighting foam that contains or may contain PFOS, its salts and PFOSF to sites where all releases can be contained;
 - (e) Make determined efforts designed to lead to the environmentally sound management of fire-fighting foam stockpiles and wastes that contain or may contain PFOS, its salts and PFOSF, in accordance with paragraph 1 of Article 6, as soon as possible.

ANNEX C⁵

UNINTENTIONAL PRODUCTION

Part I

Persistent organic pollutants subject to the requirements of Article 5

This Annex applies to the following persistent organic pollutants when formed and released unintentionally from anthropogenic sources:

Chemical

Hexachlorobenzene (HCB) [CAS No: 118-74-1]

Hexachlorobutadiene [CAS No: 87-68-3]

Pentachlorobenzene (PeCB) [CAS No: 608-93-5]

Polychlorinated biphenyls (PCB)

Polychlorinated dibenzo-*p*-dioxins and dibenzofurans (PCDD/PCDF)

Polychlorinated naphthalenes, including dichlorinated naphthalenes, trichlorinated naphthalenes, tetrachlorinated naphthalenes, pentachlorinated naphthalenes, hexachlorinated naphthalenes, heptachlorinated naphthalenes, octachlorinated naphthalene

Part II

Source categories

Hexachlorobenzene, hexachlorobutadiene, pentachlorobenzene, polychlorinated biphenyls, polychlorinated dibenzo-*p*-dioxins and dibenzofurans, polychlorinated naphthalenes, including dichlorinated naphthalenes, trichlorinated naphthalenes, tetrachlorinated naphthalenes, pentachlorinated naphthalenes, hexachlorinated naphthalenes, heptachlorinated naphthalenes, octachlorinated naphthalene are unintentionally formed and released from thermal processes involving organic matter and chlorine as a result of incomplete combustion or chemical reactions.

⁵ As amended by decisions SC-4/16 and SC-4/18 of 8 May 2009; SC-7/14 of 15 May 2015; and SC-8/12 of 5 May 2017.

The following industrial source categories have the potential for comparatively high formation and release of these chemicals to the environment:

- (a) Waste incinerators, including co-incinerators of municipal, hazardous or medical waste or of sewage sludge;
- (b) Cement kilns firing hazardous waste;
- (c) Production of pulp using elemental chlorine or chemicals generating elemental chlorine for bleaching;
- (d) The following thermal processes in the metallurgical industry:
 - (i) Secondary copper production;
 - (ii) Sinter plants in the iron and steel industry;
 - (iii) Secondary aluminium production;
 - (iv) Secondary zinc production.

Part III

Source categories

Hexachlorobenzene, hexachlorobutadiene, pentachlorobenzene, polychlorinated biphenyls, polychlorinated dibenzo-*p*-dioxins and dibenzofurans, polychlorinated naphthalenes, including dichlorinated naphthalenes, trichlorinated naphthalenes, tetrachlorinated naphthalenes, pentachlorinated naphthalenes, hexachlorinated naphthalenes, heptachlorinated naphthalenes, octachlorinated naphthalene may also be unintentionally formed and released from the following source categories, including:

- (a) Open burning of waste, including burning of landfill sites;
- (b) Thermal processes in the metallurgical industry not mentioned in Part II;
- (c) Residential combustion sources;
- (d) Fossil fuel-fired utility and industrial boilers;
- (e) Firing installations for wood and other biomass fuels;

- (f) Specific chemical production processes releasing unintentionally formed persistent organic pollutants, especially production of chlorophenols and chloranil;
- (g) Crematoria;
- (h) Motor vehicles, particularly those burning leaded gasoline;
- (i) Destruction of animal carcasses;
- (j) Textile and leather dyeing (with chloranil) and finishing (with alkaline extraction);
- (k) Shredder plants for the treatment of end of life vehicles;
- (l) Smouldering of copper cables;
- (m) Waste oil refineries.

Part IV

Definitions

1. For the purposes of this Annex:
 - (a) “Polychlorinated biphenyls” means aromatic compounds formed in such a manner that the hydrogen atoms on the biphenyl molecule (two benzene rings bonded together by a single carbon-carbon bond) may be replaced by up to ten chlorine atoms; and
 - (b) “Polychlorinated dibenzo-p-dioxins” and “polychlorinated dibenzofurans” are tricyclic, aromatic compounds formed by two benzene rings connected by two oxygen atoms in polychlorinated dibenzo-p-dioxins and by one oxygen atom and one carbon-carbon bond in polychlorinated dibenzofurans and the hydrogen atoms of which may be replaced by up to eight chlorine atoms.
2. In this Annex, the toxicity of polychlorinated dibenzo-p-dioxins and dibenzofurans is expressed using the concept of toxic equivalency which measures the relative dioxin-like toxic activity of different congeners of polychlorinated dibenzo-p-dioxins and dibenzofurans and coplanar polychlorinated biphenyls in comparison to

2,3,7,8-tetrachlorodibenzo-p-dioxin. The toxic equivalent factor values to be used for the purposes of this Convention shall be consistent with accepted international standards, commencing with the World Health Organization 1998 mammalian toxic equivalent factor values for polychlorinated dibenzo-p-dioxins and dibenzofurans and coplanar polychlorinated biphenyls. Concentrations are expressed in toxic equivalents.

Part V

General guidance on best available techniques and best environmental practices

This Part provides general guidance to Parties on preventing or reducing releases of the chemicals listed in Part I.

A. General prevention measures relating to both best available techniques and best environmental practices

Priority should be given to the consideration of approaches to prevent the formation and release of the chemicals listed in Part I. Useful measures could include:

- (a) The use of low-waste technology;
- (b) The use of less hazardous substances;
- (c) The promotion of the recovery and recycling of waste and of substances generated and used in a process;
- (d) Replacement of feed materials which are persistent organic pollutants or where there is a direct link between the materials and releases of persistent organic pollutants from the source;
- (e) Good housekeeping and preventive maintenance programmes;
- (f) Improvements in waste management with the aim of the cessation of open and other uncontrolled burning of wastes, including the burning of landfill sites. When considering proposals to construct new waste disposal facilities, consideration should be given to alternatives such as activities to minimize the generation of municipal and medical waste, including resource recovery, reuse, recycling, waste separation and promoting products that generate less waste. Under this approach, public health concerns should be carefully considered;

- (g) Minimization of these chemicals as contaminants in products;
- (h) Avoiding elemental chlorine or chemicals generating elemental chlorine for bleaching.

B. Best available techniques

The concept of best available techniques is not aimed at the prescription of any specific technique or technology, but at taking into account the technical characteristics of the installation concerned, its geographical location and the local environmental conditions. Appropriate control techniques to reduce releases of the chemicals listed in Part I are in general the same. In determining best available techniques, special consideration should be given, generally or in specific cases, to the following factors, bearing in mind the likely costs and benefits of a measure and consideration of precaution and prevention:

- (a) General considerations:
 - (i) The nature, effects and mass of the releases concerned: techniques may vary depending on source size;
 - (ii) The commissioning dates for new or existing installations;
 - (iii) The time needed to introduce the best available technique;
 - (iv) The consumption and nature of raw materials used in the process and its energy efficiency;
 - (v) The need to prevent or reduce to a minimum the overall impact of the releases to the environment and the risks to it;
 - (vi) The need to prevent accidents and to minimize their consequences for the environment;
 - (vii) The need to ensure occupational health and safety at workplaces;
 - (viii) Comparable processes, facilities or methods of operation which have been tried with success on an industrial scale;
 - (ix) Technological advances and changes in scientific knowledge and understanding.

(b) General release reduction measures: When considering proposals to construct new facilities or significantly modify existing facilities using processes that release chemicals listed in this Annex, priority consideration should be given to alternative processes, techniques or practices that have similar usefulness but which avoid the formation and release of such chemicals. In cases where such facilities will be constructed or significantly modified, in addition to the prevention measures outlined in section A of Part V the following reduction measures could also be considered in determining best available techniques:

- (i) Use of improved methods for flue-gas cleaning such as thermal or catalytic oxidation, dust precipitation, or adsorption;
- (ii) Treatment of residuals, wastewater, wastes and sewage sludge by, for example, thermal treatment or rendering them inert or chemical processes that detoxify them;
- (iii) Process changes that lead to the reduction or elimination of releases, such as moving to closed systems;
- (iv) Modification of process designs to improve combustion and prevent formation of the chemicals listed in this Annex, through the control of parameters such as incineration temperature or residence time.

C. Best environmental practices

The Conference of the Parties may develop guidance with regard to best environmental practices.

ANNEX D

INFORMATION REQUIREMENTS AND SCREENING CRITERIA

1. A Party submitting a proposal to list a chemical in Annexes A, B and/or C shall identify the chemical in the manner described in subparagraph (a) and provide the information on the chemical, and its transformation products where relevant, relating to the screening criteria set out in subparagraphs (b) to (e):

(a) Chemical identity:

- (i) Names, including trade name or names, commercial name or names and synonyms, Chemical Abstracts Service (CAS) Registry number, International Union of Pure and Applied Chemistry (IUPAC) name; and
- (ii) Structure, including specification of isomers, where applicable, and the structure of the chemical class;

(b) Persistence:

- (i) Evidence that the half-life of the chemical in water is greater than two months, or that its half-life in soil is greater than six months, or that its half-life in sediment is greater than six months; or
- (ii) Evidence that the chemical is otherwise sufficiently persistent to justify its consideration within the scope of this Convention;

(c) Bio-accumulation:

- (i) Evidence that the bio-concentration factor or bio-accumulation factor in aquatic species for the chemical is greater than 5,000 or, in the absence of such data, that the log K_{ow} is greater than 5;
- (ii) Evidence that a chemical presents other reasons for concern, such as high bio-accumulation in other species, high toxicity or ecotoxicity; or
- (iii) Monitoring data in biota indicating that the bio-accumulation potential of the chemical is sufficient to justify its consideration within the scope of this Convention;

- (d) Potential for long-range environmental transport:
 - (i) Measured levels of the chemical in locations distant from the sources of its release that are of potential concern;
 - (ii) Monitoring data showing that long-range environmental transport of the chemical, with the potential for transfer to a receiving environment, may have occurred via air, water or migratory species; or
 - (iii) Environmental fate properties and/or model results that demonstrate that the chemical has a potential for long-range environmental transport through air, water or migratory species, with the potential for transfer to a receiving environment in locations distant from the sources of its release. For a chemical that migrates significantly through the air, its half-life in air should be greater than two days; and
- (e) Adverse effects:
 - (i) Evidence of adverse effects to human health or to the environment that justifies consideration of the chemical within the scope of this Convention; or
 - (ii) Toxicity or ecotoxicity data that indicate the potential for damage to human health or to the environment.

2. The proposing Party shall provide a statement of the reasons for concern including, where possible, a comparison of toxicity or ecotoxicity data with detected or predicted levels of a chemical resulting or anticipated from its long-range environmental transport, and a short statement indicating the need for global control.

3. The proposing Party shall, to the extent possible and taking into account its capabilities, provide additional information to support the review of the proposal referred to in paragraph 6 of Article 8. In developing such a proposal, a Party may draw on technical expertise from any source.

ANNEX E

INFORMATION REQUIREMENTS FOR THE RISK PROFILE

The purpose of the review is to evaluate whether the chemical is likely, as a result of its long-range environmental transport, to lead to significant adverse human health and/or environmental effects, such that global action is warranted. For this purpose, a risk profile shall be developed that further elaborates on, and evaluates, the information referred to in Annex D and includes, as far as possible, the following types of information:

- (a) Sources, including as appropriate:
 - (i) Production data, including quantity and location;
 - (ii) Uses; and
 - (iii) Releases, such as discharges, losses and emissions;
- (b) Hazard assessment for the endpoint or endpoints of concern, including a consideration of toxicological interactions involving multiple chemicals;
- (c) Environmental fate, including data and information on the chemical and physical properties of a chemical as well as its persistence and how they are linked to its environmental transport, transfer within and between environmental compartments, degradation and transformation to other chemicals. A determination of the bio-concentration factor or bio-accumulation factor, based on measured values, shall be available, except when monitoring data are judged to meet this need;
- (d) Monitoring data;
- (e) Exposure in local areas and, in particular, as a result of long-range environmental transport, and including information regarding bio-availability;
- (f) National and international risk evaluations, assessments or profiles and labelling information and hazard classifications, as available; and
- (g) Status of the chemical under international conventions.

ANNEX F

INFORMATION ON SOCIO-ECONOMIC CONSIDERATIONS

An evaluation should be undertaken regarding possible control measures for chemicals under consideration for inclusion in this Convention, encompassing the full range of options, including management and elimination. For this purpose, relevant information should be provided relating to socio-economic considerations associated with possible control measures to enable a decision to be taken by the Conference of the Parties. Such information should reflect due regard for the differing capabilities and conditions among the Parties and should include consideration of the following indicative list of items:

- (a) Efficacy and efficiency of possible control measures in meeting risk reduction goals:
 - (i) Technical feasibility; and
 - (ii) Costs, including environmental and health costs;
- (b) Alternatives (products and processes):
 - (i) Technical feasibility;
 - (ii) Costs, including environmental and health costs;
 - (iii) Efficacy;
 - (iv) Risk;
 - (v) Availability; and
 - (vi) Accessibility;
- (c) Positive and/or negative impacts on society of implementing possible control measures:
 - (i) Health, including public, environmental and occupational health;
 - (ii) Agriculture, including aquaculture and forestry;
 - (iii) Biota (biodiversity);

- (iv) Economic aspects;
 - (v) Movement towards sustainable development; and
 - (vi) Social costs;
- (d) Waste and disposal implications (in particular, obsolete stocks of pesticides and clean-up of contaminated sites):
- (i) Technical feasibility; and
 - (ii) Cost;
- (e) Access to information and public education;
- (f) Status of control and monitoring capacity; and
- (g) Any national or regional control actions taken, including information on alternatives, and other relevant risk management information.

ANNEX G

ARBITRATION AND CONCILIATION PROCEDURES FOR SETTLEMENT OF DISPUTES⁶

Part I

Arbitration procedure

The arbitration procedure for purposes of paragraph 2 (a) of Article 18 of the Convention shall be as follows:

Article 1

1. A Party may initiate recourse to arbitration in accordance with Article 18 of the Convention by written notification addressed to the other party to the dispute. The notification shall be accompanied by a statement of the claim, together with any supporting documents, and state the subject-matter of arbitration and include, in particular, the articles of the Convention the interpretation or application of which are at issue.

2. The claimant party shall notify the Secretariat that the parties are referring a dispute to arbitration pursuant to Article 18. The notification shall be accompanied by the written notification of the claimant party, the statement of claim and the supporting documents referred to in paragraph 1 above. The Secretariat shall forward the information thus received to all Parties.

Article 2

1. If a dispute is referred to arbitration in accordance with Article 1 above, an arbitral tribunal shall be established. It shall consist of three members.

2. Each of the parties to the dispute shall appoint an arbitrator and the two arbitrators so appointed shall designate by common agreement the third arbitrator, who shall be the President of the tribunal. The President of the tribunal shall not be a national of one of the parties to the dispute, nor have his or her usual place of

⁶ Annex G was adopted by the first meeting of the Conference of the Parties in its decision SC-1/2

residence in the territory of one of those parties, nor be employed by any of them, nor have dealt with the case in any other capacity.

3. In disputes between more than two parties, parties in the same interest shall appoint one arbitrator jointly by agreement.

4. Any vacancy shall be filled in the manner prescribed for the initial appointment.

5. If the parties do not agree on the subject-matter of the dispute before the President of the arbitral tribunal is designated, the arbitral tribunal shall determine the subject-matter.

Article 3

1. If one of the parties to the dispute does not appoint an arbitrator within two months of the date on which the respondent party receives the notification of the arbitration, the other party may inform the Secretary-General of the United Nations, who shall make the designation within a further two-month period.

2. If the President of the arbitral tribunal has not been designated within two months of the date of the appointment of the second arbitrator, the Secretary-General of the United Nations shall, at the request of a party, designate the President within a further two-month period.

Article 4

The arbitral tribunal shall render its decisions in accordance with the provisions of the Convention and international law.

Article 5

Unless the parties to the dispute otherwise agree, the arbitral tribunal shall determine its own rules of procedure.

Article 6

The arbitral tribunal may, at the request of one of the parties, indicate essential interim measures of protection.

Article 7

The parties to the dispute shall facilitate the work of the arbitral tribunal and, in particular, using all means at their disposal, shall:

- (a) Provide it with all relevant documents, information and facilities; and
- (b) Enable it, when necessary, to call witnesses or experts and receive their evidence.

Article 8

The parties and the arbitrators are under an obligation to protect the confidentiality of any information they receive in confidence during the proceedings of the arbitral tribunal.

Article 9

Unless the arbitral tribunal determines otherwise because of the particular circumstances of the case, the costs of the tribunal shall be borne by the parties to the dispute in equal shares. The tribunal shall keep a record of all its costs, and shall furnish a final statement thereof to the parties.

Article 10

A party that has an interest of a legal nature in the subject matter of the dispute which may be affected by the decision in the case may intervene in the proceedings with the consent of the tribunal.

Article 11

The tribunal may hear and determine counterclaims arising directly out of the subject matter of the dispute.

Article 12

Decisions both on procedure and substance of the arbitral tribunal shall be taken by a majority vote of its members.

Article 13

1. If one of the parties to the dispute does not appear before the arbitral tribunal or fails to defend its case, the other party may request the tribunal to continue the proceedings and to make its award. Absence of a party or a failure of a party to defend its case shall not constitute a bar to the proceedings.

2. Before rendering its final decision, the arbitral tribunal must satisfy itself that the claim is well founded in fact and law.

Article 14

The tribunal shall render its final decision within five months of the date on which it is fully constituted unless it finds it necessary to extend the time limit for a period which should not exceed five more months.

Article 15

The final decision of the arbitral tribunal shall be confined to the subject matter of the dispute and shall state the reasons on which it is based. It shall contain the names of the members who have participated and the date of the final decision. Any member of the tribunal may attach a separate or dissenting opinion to the final decision.

Article 16

The award shall be binding on the parties to the dispute. The interpretation of the Convention given by the award shall also be binding upon a Party intervening under Article 10 above insofar as it relates to matters in respect of which that Party intervened. The award shall be without appeal unless the parties to the dispute have agreed in advance to an appellate procedure.

Article 17

Any controversy which may arise between those bound by the final decision in accordance with Article 16 above, as regards the interpretation or manner of implementation of that decision, may be submitted by any of them for decision to the arbitral tribunal which rendered it.

Part II

Conciliation procedure

The conciliation procedure for purposes of paragraph 6 of Article 18 of the Convention shall be as follows:

Article 1

1. A request by a party to a dispute to establish a conciliation commission in consequence of paragraph 6 of Article 18 shall be addressed in writing to the Secretariat. The Secretariat shall forthwith inform all Parties to the Convention accordingly.

2. The conciliation commission shall, unless the parties otherwise agree, be composed of three members, one appointed by each party concerned and a President chosen jointly by those members.

Article 2

In disputes between more than two parties, parties in the same interest shall appoint their members of the commission jointly by agreement.

Article 3

If any appointments by the parties are not made within two months of the date of receipt by the Secretariat of the written request referred to in Article 1, the Secretary-General of the United Nations shall, upon request by a party, make those appointments within a further two-month period.

Article 4

If the President of the conciliation commission has not been chosen within two months of the second member of the commission being appointed, the Secretary-General of the United Nations shall, upon request by a party, designate the President within a further two-month period.

Article 5

1. The conciliation commission shall, unless the parties to the dispute otherwise agree, determine its own rules of procedure.
2. The parties and members of the commission are under an obligation to protect the confidentiality of any information they receive in confidence during the proceedings of the commission.

Article 6

The conciliation commission shall take its decisions by a majority vote of its members.

Article 7

The conciliation commission shall render a report with recommendations for resolution of the dispute within twelve months of being established, which the parties shall consider in good faith.

Article 8

Any disagreement as to whether the conciliation commission has competence to consider a matter referred to it shall be decided by the commission.

Article 9

The costs of the commission shall be borne by the parties to the dispute in shares agreed by them. The commission shall keep the record of all its costs and shall furnish a final statement thereof to the parties.

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