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to prepare a global legally binding instrument
on mercury
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Item 3 (b) of the provisional agenda*

**Work to prepare for the entry into force of the Minamata
Convention on Mercury and for the first meeting of the
Conference of the Parties: matters required by the
Convention to be decided upon by the Conference of the
Parties at its first meeting**

Draft proposal for reporting format and frequency

Note by the secretariat

1. By paragraph 1 of article 21, the Minamata Convention on Mercury requires each party to report to the Conference of the Parties on the measures that it has taken to implement the provisions of the Convention and on the effectiveness of such measures and the possible challenges in meeting the objectives of the Convention. Paragraph 2 of the same article specifies that the reporting shall include the information called for in articles 3, 5, 7, 8 and 9 of the Convention. Paragraph 3 provides that the Conference of the Parties shall, at its first meeting, decide upon the timing and format of the reporting to be followed by the parties, taking into account the desirability of coordinating reporting with other relevant chemicals and wastes conventions.
2. Article 3 of the Convention, on mercury supply sources and trade, requires that each party include in its reports information showing that the requirements of the article have been met. These include the requirements relating to primary mercury mining, to stocks of mercury and sources of mercury supply, and to the export and import of mercury.
3. Article 5 of the Convention, on manufacturing processes in which mercury or mercury compounds are used, includes a requirement that each party shall include information on the measures taken to address emissions and releases of mercury or mercury compounds from facilities that use mercury or mercury compounds in the manufacturing processes listed in Annex B to the Convention.
4. Article 7 of the Convention, on artisanal and small-scale gold mining, requires that any party that has notified the secretariat that artisanal and small-scale gold mining within its territory is more than insignificant review, every three years, the progress made in meeting its obligations under the article and include such reviews in its reports submitted pursuant to article 21 of the Convention.
5. Article 8 of the Convention, on emissions, requires that each party include information on the implementation of the article in its reports, in particular information on the measures that it has taken to address emissions from new and existing sources and on the development of an inventory.
6. Article 9 of the Convention, on releases, requires that each party include information on the implementation of the article in its reports, in particular information on the measures that it has taken

* UNEP(DTIE)/Hg/INC.6/1.

to identify relevant point source categories, to address releases from relevant sources and to develop an inventory of releases from relevant sources.

7. The secretariat has taken into account experiences from other conventions in the chemicals and waste cluster in preparing the draft proposal set out in the annex to the present note.

8. The Stockholm Convention on Persistent Organic Pollutants sets out the requirements for national reporting on its website.¹ National reporting is to take place every four years, and reports are to be submitted via an electronic reporting system,² which accommodates the revised reporting format agreed upon at the sixth meeting of the Conference of the Parties (see UNEP/POPS/COP.6/26/Add.1/Rev.1).

9. The Basel Convention on the Control of the Transboundary Movements of Hazardous Wastes and Their Disposal requires annual reporting on the transmission of information. Reports may be submitted via an electronic reporting system.

10. The secretariat of the Strategic Approach to International Chemicals Management is compiling the results of the reporting process under the Strategic Approach that ran from 2011 to 2013. The Overarching Policy Strategy of the Strategic Approach, in paragraph 24, provides that the International Conference on Chemicals Management will undertake periodic reviews of the Strategic Approach; it does not, however, stipulate the frequency of those reviews.

11. In considering the format for reporting under the Minamata Convention, key factors are the information specified in the Convention, additional information that might be useful to the Conference of the Parties in its oversight and management of the implementation of the Convention, and the challenges faced in providing the necessary information. The proposed draft reporting format set out in the annex to the present note takes account of the formats previously used under other conventions. It should be noted that, as electronic reporting currently represents the best practice, the proposed format would be made available electronically, taking into consideration the most effective technologies to allow further analysis of the data.

12. Where the timing of reporting is concerned, several factors that might be considered, including the date of the first report and the frequency of reporting.

13. The date of the first report will be determined by the Conference of the Parties when it decides on the timing and format of reporting at its first meeting. Parties will need sufficient time to put in place the necessary arrangements, to gather the information to be reported and to make progress in implementation. Scheduling a first report four years after the Convention's entry into force would ensure sufficient time and would make it possible for an analysis of the reports to be made available in time for use in the effectiveness evaluation process. Although the timing of meetings of the Conference of the Parties (other than the first meeting) is not specified in the Convention, if the schedule were to follow the practice of previous multilateral environmental agreements the first reports would be considered at the third meeting of the Conference of the Parties.

14. Regarding the frequency of reporting, the secretariat suggests that reporting every four years (i.e., in conjunction with every second meeting of the Conference of the Parties if a biennial schedule is to be adopted for the meetings after the first two) would be sufficiently frequent for the purposes of the Conference of the Parties' general oversight of implementation, would enable the information reported to be analysed and acted on as necessary and would minimize the resource burden placed on parties in gathering information and developing their reports. The parties to the Stockholm Convention also report on a four-year cycle. Aligning the reporting schedules of the two conventions would allow for coordinated data gathering at the national level.

15. The secretariat notes that the timing for specific actions under articles 3, 5, 7, 8 and 9 of the Minamata Convention are specified in the Convention (for example, the review of progress on artisanal and small-scale gold mining is required every three years, while inventories of emissions and releases are to be developed within five years of entry into force of the Convention for a party). Those same articles also specify, however, that the information to be reported on those actions is to be included in the reports submitted pursuant to article 21.

16. The Conference of Plenipotentiaries requested the Committee to focus its efforts on those matters required by the Convention to be decided upon by the Conference of the Parties at its first meeting, including the timing and format of reporting. The Committee may wish to consider the draft reporting format and may further wish to request the secretariat to explore options for the

¹ <http://chm.pops.int/Countries/Reporting/NationalReports/tabid/3668/Default.aspx>.

² Available from <http://chm.pops.int/Countries/Reporting/ElectronicReportingSystem/tabid/3669/Default.aspx>.

development of electronic reporting in cooperation with the secretariat of the Basel and Stockholm conventions and the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade. In considering the frequency of reporting, the Committee may wish to consider proposing to the Conference of the Parties a four-year reporting cycle, starting with a report to the Conference of the Parties at its third meeting, with the dates to be aligned with the reporting dates of the Stockholm Convention, to allow for a coordinated data-gathering exercise at the national level.

Annex

Draft reporting format for the Minamata Convention on Mercury **Reporting on measures to be taken to implement the provisions of the** **Convention, the effectiveness of such measures and the challenges** **encountered**

INSTRUCTIONS

Pursuant to article 21 of the Minamata Convention on Mercury, each Party to the Convention shall report to the Conference of the Parties on the measures it has taken to implement the provisions of the Convention and on the effectiveness of such measures in meeting the objectives of the Convention.

Parties are requested to use the attached reporting format to report in accordance with article 21. An electronic version of the format is available for download from the Convention's home page: <http://www.mercuryconvention.org>. Hard copies and electronic versions in CD format are also available upon request from the secretariat (see below for contact details).

Part A of the reporting format calls for general information on the party for which the format is being submitted, such as the name and contact details of the individual submitting the report on behalf of the party. It is expected that this individual has been nominated by the party in accordance with article 17, paragraph 4, of the Convention. It is important that all relevant information be provided in order to assist the secretariat in identifying the completed reporting format.

Part B of the format calls for information on the measures taken by the party to implement the relevant provisions of the Minamata Convention and on the effectiveness of such measures in meeting the objectives of the Convention. If any requested information is not available, this should be indicated.

Part C provides an opportunity to comment on the reporting format and possible improvements.

Additional information to supplement that requested may be attached.

Completed reporting formats must be submitted to the Conference of the Parties through the Minamata Convention secretariat. Further information and assistance may be sought from the secretariat at the following address:

Secretariat for the Minamata Convention

United Nations Environment Programme

To be completed

Internet home page: www.mercuryconvention.org

Part A

<i>MINAMATA CONVENTION ON MERCURY NATIONAL REPORT PURSUANT TO ARTICLE 21</i>	
1. INFORMATION ON THE PARTY	
Name of Party	
Date on which its instrument of ratification, accession, approval or acceptance was deposited	<i>(day/month/year)</i>
2. INFORMATION ON THE NATIONAL FOCAL POINT	
Full name of the institution	
Name and title of contact officer	
Mailing address	
Telephone number	
Fax number	
Email	
Web page	
3. INFORMATION ON THE CONTACT OFFICER SUBMITTING THE REPORTING FORMAT IF DIFFERENT FROM THE ABOVE	
Full name of the institution	
Name and title of contact officer	
Mailing address	
Telephone number	
Fax number	
Email	
Web page	
4. PERIOD REPORTED	<i>First report for the period (day/month/year) to (day/month/year)</i>
5. DATE THE REPORT WAS SUBMITTED	<i>(day/month/year)</i>

Part B**Article 3: Mercury supply sources and trade**

1. Does the party have any primary mercury mines that were operating within its territory at the date of entry into force of the Convention for the party?

- Yes
 No

If **yes**, please indicate the anticipated date of closure of the mine: [*year*]

In addition, please indicate the approximate quantity of mercury produced from the primary mercury mining activity in the territory of the party and the amount put to the following uses:

- | | |
|---|------|
| (a) Exported pursuant to Article 3 | tons |
| (b) In stockpiles pursuant to Article 3 | tons |
| (c) For manufacture of products pursuant to Article 4 | tons |
| (d) For processes using mercury pursuant to Article 5 | tons |
| (e) For interim storage pursuant to Article 10 | tons |
| (f) Other (please elaborate) | |

2. Are there individual stocks of mercury or mercury compounds exceeding 50 metric tons within the party's territory?

- Yes
 No
 Do not know (please explain)

If **yes**, what is the total amount of those stocks? tons

3. Are there sources of mercury supply generating stocks exceeding 10 metric tons per year located within the party's territory?

- Yes
- No
- Do not know (please explain)

If **yes**, what is the total amount of those stocks? _____ tons

4. Have there been exports of mercury from or imports of mercury to the party's territory, including any trade with non-parties, in the reporting period?

- Yes
- No

If **yes**, please provide information on the quantities and any certifications received in relation to such trade.

Article 4: Mercury-added products

1. Are there measures in place to prevent the manufacture, import or export of mercury-added products listed in Part I of Annex A of the Convention after the phase-out date specified for those products?

- Yes
- No

If **yes**, please provide information on the measures.

If **no**, has the party registered for an exemption pursuant to Article 6?

- Yes
- No

If **yes**, for which products? (please list)

If **no**, has the party applied the alternative measures set out in paragraph 2 of Article 4?

- Yes
- No

If no, go to X below.

2. Has the party reported to the Conference of the Parties a description of the measures or strategies implemented, including a quantification of the reductions achieved?

- Yes
- No

3. Has the party implemented measures or strategies to reduce the use of mercury in any products listed in Part I of Annex A for which a de minimis value has not yet been obtained?

- Yes
- No

If **yes**, please provide information on the measures.

X: Has the party identified additional measures to achieve further reductions?

- Yes
- No

If **yes**, please provide information on the measures.

4. Has the party taken measures for the mercury-added products listed in Part II of Annex A in accordance with the provisions set out therein?

Yes

No

If **yes**, please provide information on the measures.

5. Has the party taken measures to prevent the incorporation into assembled products of mercury-added products the manufacture, import and export of which are not allowed under Article 6?

Yes

No

If **yes**, please provide information on the measures.

Article 5: Manufacturing processes in which mercury or mercury compounds are used

1. Are there facilities within the territory of the party that use mercury or mercury compounds for the processes listed in Annex B of the Minamata Convention in accordance with paragraph 5 (b) of Article 5 of the Convention?

Yes

No

Do not know (*please explain*)

If **yes**, has the party submitted to the secretariat information on the number and type of facilities and the estimated annual amount of mercury or mercury compounds used in those facilities?

Yes

No

If **yes**, please provide information on measures taken to address emissions and releases of mercury or mercury compounds from such facilities.

Article 7: Artisanal and small-scale gold mining

1. Is artisanal and small-scale gold mining and processing in the party's territory more than insignificant?

Yes

No

Do not know (*please explain*)

If **yes**, has the party notified the secretariat that artisanal and small-scale gold mining within its territory is more than insignificant?

Yes

No

If **yes**, please provide information on the progress made in meeting the obligations of the Article.

Article 8: Emissions

1. Are there, within the party's territory, relevant sources of emissions of mercury or mercury compounds as set out in Annex D to the Minamata Convention?

- Yes
- No
- Do not know (*please explain*)

If **yes**, please indicate the measures taken to address emissions from these relevant sources and the effectiveness of those measures.

2. Are there, within the party's territory, new relevant sources of emissions of mercury or mercury compounds as set out in Annex D to the Minamata Convention that have been constructed since the Convention entered into force for the party?

- Yes
- No
- Do not know (*please explain*)

If **yes**, please indicate the measures set out in the BAT/BEP guidance that have been used to control and where feasible reduce emissions.

3. Has the party prepared an inventory of emissions from relevant sources?

- Yes
- No

Article 9: Releases

1. Are there, within the party's territory, relevant point sources of releases?

- Yes
- No
- Do not know (*please explain*)

If **yes**, please indicate the measures taken to address releases from relevant sources and the effectiveness of those measures.

2. Has the party prepared an inventory of releases from relevant sources?

- Yes
- No

Article 10: Environmentally sound interim storage of mercury, other than waste mercury

Is there interim storage of mercury or mercury compounds within the party's territory?

- Yes
- No
- Do not know (*please explain*)

If **yes**, please indicate the measures taken to ensure that that such interim storage is undertaken in an environmentally sound manner and the effectiveness of those measures.

Article 11: Mercury wastes

Are there facilities for managing mercury waste in the party's territory?

- Yes
- No
- Do not know (*please explain*)

If **yes**, please indicate the measures taken to ensure that mercury waste is managed in accordance with paragraph 3 of Article 11 and the effectiveness of those measures.

Article 12: Contaminated sites

1. Does the party have strategies for identifying and assessing sites contaminated by mercury or mercury compounds in its territory?

- Yes
- No

2. Are there sites contaminated by mercury or mercury compounds in the party's territory?

- Yes
- No
- Do not know (*please explain*)

If **yes**, please indicate the measures taken to reduce risks posed by such sites and the effectiveness of those measures.

Article 13: Financial resources and mechanism

1. Pursuant to paragraph 1 of Article 13 of the Convention, has the party provided, within its capabilities, resources in respect of those national activities that are intended to implement the Convention in accordance with its national policies, priorities, plans and programmes?

- Yes
- No (*please specify why*)
- Other (*please specify*)

2. Pursuant to paragraph 12 of Article 13 of the Convention, has the party, within its capability, contributed to the mechanism for the provision of financial resources?

(*Please tick one box only*)

- Yes (*please specify*)
- No (*please specify why*)
- Other (*please provide information*)

3. Pursuant to paragraph 3 of Article 13 of the Convention, has the party provided financial resources to assist developing country parties and/or parties with economies in transition in the implementation of the Convention through other bilateral, regional and multilateral sources or channels?

(*Please tick one box only*)

- Yes (*please specify*)
- No (*please specify why*)
- Other (*please provide information*)

Article 14: Capacity-building, technical assistance and technology transfer

1. Has the party taken measures to provide capacity-building or technical assistance, pursuant to Article 14, to another party to the Convention? *(Please specify in all cases)*

- Yes
 No

If **yes**, was the capacity-building or technical assistance provided directly?

- Yes
 No *(please specify the arrangement through which the assistance was provided)*

2. Has the party received capacity-building or technical assistance pursuant to Article 14?

- Yes *(please specify who provided the technical assistance and what it was for.)*
 No *(Please specify why, for example, the party has not requested capacity-building or technical assistance, why its request was declined, and any other similar information.)*
 No. The party is a developed country.

Has the party promoted and facilitated the development, transfer and diffusion of, and access to, up-to-date environmentally sound alternative technologies?

(Please tick one box only)

- Yes *(please specify)*
 No *(please specify why)*
 Other *(please provide information)*

Article 16: Health aspects

Have measures have been taken to provide information to the public in accordance with paragraph 1 of Article 16?

- Yes
 No

If **yes**, describe the measures that have been taken.

If **yes**, what has been the effectiveness of the measures?

Article 17: Information exchange

Has the party facilitated the exchange of information in accordance with paragraph 1 of Article 17?

- Yes
 No

If **yes**, what was the subject of the information that was exchanged?

If **yes**, was the information exchanged:

- (a) Directly through the secretariat?
 Yes
 No
- (b) In cooperation with other relevant organizations, including the secretariats of chemicals and wastes conventions?
 Yes
 No

Article 18: Public information, awareness and education

Have measures have been taken to provide information to the public in accordance with paragraph 1 of Article 18?

- Yes
 No

If **yes**, please indicate the measures that have been taken and the effectiveness of those measures?

Article 19: Research, development and monitoring

Has the party taken any action in accordance with paragraph 1 of Article 19 in relation to:

- (a) Inventories of use, consumption, and anthropogenic emissions to air and releases to water and land of mercury and mercury compounds?
- Yes
 No
- (b) Modelling and geographically representative monitoring of levels of mercury and mercury compounds in vulnerable populations and in environmental media, including biotic media such as fish, marine mammals, sea turtles and birds, as well as collaboration in the collection and exchange of relevant and appropriate samples?
- Yes
 No
- (c) Assessments of the impact of mercury and mercury compounds on human health and the environment, in addition to social, economic and cultural impacts, particularly in respect of vulnerable populations?
- Yes
 No
- (d) Harmonized methodologies for the activities undertaken under subparagraphs (a), (b) and (c)?
- Yes
 No
- (e) Information on the environmental cycle, transport (including long-range transport and deposition), transformation and fate of mercury and mercury compounds in a range of ecosystems, taking appropriate account of the distinction between anthropogenic and natural emissions and releases of mercury and of remobilization of mercury from historic deposition?
- Yes
 No
- (f) Information on commerce and trade in mercury and mercury compounds and mercury-added products?
- Yes
 No
- (g) Information and research on the technical and economic availability of mercury-free products and processes and on best available techniques and best environmental practices to reduce and monitor emissions and releases of mercury and mercury compounds?
- Yes
 No

If yes to any of questions (a)–(g), what actions were taken?

Article 20: Implementation plans

Has the party developed an implementation plan for meeting its obligations under the Convention?

Yes

No

If **yes**, has the plan been submitted to the secretariat?

If **yes**, did the party receive financial assistance from the Global Environment Facility to develop the implementation plan?

Yes (*please state name of implementing agency*)

No (*please state why*)
