



Distr.: General  
23 May 2017

Original: English



**United Nations  
Environment  
Programme**

**Conference of the Parties to the  
Minamata Convention on Mercury  
First meeting**

Geneva, 24–29 September 2017

Item 5 (a) (vi) of the provisional agenda\*

**Matters for action by the Conference of the Parties at its  
first meeting: matters stipulated under the Convention:  
the timing and format of the reporting to be followed by  
the parties, as referred to in paragraph 3 of article 21**

**Timing and format of the reporting to be followed by the  
parties, as set out in paragraph 3 of article 21**

**Note by the secretariat**

1. Paragraph 1 of article 21 of 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. In paragraph 6 of its resolution on arrangements in the interim period (see UNEP(DTIE)/Hg/CONF/4, annex I), the Conference of Plenipotentiaries on the Minamata Convention requested the intergovernmental negotiating committee to prepare a global legally binding instrument on mercury 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. Following that request, the committee considered the issues of the timing and format of reporting at its sixth and seventh sessions.
3. With respect to the timing of reporting, further to its consideration of the issue at its sixth session, the committee requested the secretariat to compile information on the frequency of reporting under other multilateral environmental agreements, including the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and the Stockholm Convention on Persistent Organic Pollutants, along with data, where available, on the submission of reports under such other agreements. At its seventh session, the committee considered the information thus compiled and again discussed the frequency of reporting, including in a contact group. The committee, however, did not come to a final decision on the issue and agreed that it would be considered further by the Conference of the Parties.

---

\* UNEP/MC/COP.1/1.

4. With respect to the format of reporting, the committee, at its sixth session, considered and revised a draft proposal that had been prepared by the secretariat, taking into account experiences from other conventions in the chemicals and waste cluster. At its seventh session, the committee further considered and amended the revised draft reporting format in a contact group. Although good progress was made on a number of points, the committee was not in a position to resolve all outstanding issues, and hence decided that the revised draft reporting format as annexed to the meeting report (UNEP(DTIE)/Hg/INC.7/22/Rev.1, annex VII) would serve as the basis for continued work on the matter. Text that was not agreed was enclosed in square brackets.

5. A number of issues are outstanding. In particular, the Conference of the Parties will have to decide whether the reporting of certain qualitative information in relation to articles 3, 4, 7, 8, 9, 13, 14 and 16 of the Convention, as well as comments regarding the reporting format and possible improvements, ought to be required or, rather, discretionary (in the current text those questions are accompanied by the mention “supplemental” in square brackets or are highlighted in grey).

### **Suggested action by the Conference of the Parties**

6. A draft decision on the timing and format of the reporting to be followed by the parties is set out in annex I to the present note, while the draft reporting format, as agreed to by the contact group at the committee’s seventh session, is reproduced without formal editing in annex II to the present note.

7. The Conference of the Parties may wish to consider and agree on the timing of reporting, including the date of submission of parties’ first reports and the frequency of reporting, and consider and adopt the reporting format.

## Annex I

### **Draft decision MC-1/[XX]: Timing and format of reporting by the parties**

#### *The Conference of the Parties*

1. *Decides* that, in accordance with article 21 of the Convention, each party shall submit its first report by *[to be completed]* for consideration by the Conference of the Parties at its *[to be completed]* meeting, to be held in *[to be completed]*;
2. *Also decides* that each party shall submit its subsequent reports every *[to be completed]* years thereafter, for consideration during the meeting of the Conference of the Parties to be held *[to be completed]*;
3. *Adopts* the revised format for reporting pursuant to article 21 set forth in the annex to the present decision;
4. *Encourages* each party, when submitting its report pursuant to article 21, to provide the secretariat with an electronic version of its report;
5. *Requests* the secretariat to make available to parties the above-mentioned format for reporting;
6. *Also requests* the secretariat, following the submission of each party's first report, to make available an electronic version of the party's previous report so that it can be updated as appropriate.

## Annex II

### 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, on the effectiveness of such measures and on possible challenges 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 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). Subsequent to the submission of each party's first report, the secretariat will send out an electronic version of the Party's previous report so that it can be updated as appropriate.

Part A of the reporting format calls for general information on the Party for which the report is being submitted, such as the name and contact details of the national focal point submitting the report on behalf of the Party. It is expected that the national focal point will have been designated 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 report.

Part B of the format calls for information on the measures taken by the reporting Party to implement the relevant provisions of the Minamata Convention and on the effectiveness of such measures in meeting the objectives of the Convention. [Note that questions that are labelled "supplemental information" are discretionary, but Parties are strongly encouraged to complete these aspects where they have relevant information.][ ]

Note that the effectiveness of implementing measures that are described by a Party is separate from the evaluation of the effectiveness of the treaty under Article 22. Description of the effectiveness of the implementing measures should be provided based on a Party's particular situation and capabilities, but should nevertheless be handled as consistently as possible in the Party's report. If any requested information is not available, or if the Party would like to provide further information, this should be indicated, along with an explanation.

Part C provides an opportunity to comment on possible challenges in meeting the objectives of the Convention.

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

Additional information to supplement that requested may be attached.

The reporting forms 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](http://www.mercuryconvention.org)

**Part A**

MINAMATA CONVENTION ON MERCURY NATIONAL REPORT PURSUANT TO ARTICLE 21	
1. 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>
Date of entry into force of the convention for the Party	<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	
E-mail	
Web page	
3. INFORMATION ABOUT 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	
E-mail	
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? (Para. 3.)

Yes

No

If **yes**, please indicate:

a) the anticipated date of closure of the mine(s): (*month, year*) OR

b) the date upon which the mine(s) closed: (*month, year*)

c) \*Total amount mined \_\_\_\_\_ tons per year

2. Does the Party have any primary mercury mines that are now in operation that were not in operation at the time of entry into force of the Convention for the Party? (Para. 3, para. 11.)

Yes

No

If **yes**, please explain.

3. Has the Party endeavoured to identify individual stocks of mercury or mercury compounds exceeding 50 metric tons and sources of mercury supply generating stocks exceeding 10 metric tons per year that are located within its territory? (Para. 5.)

Yes

No

a) If the Party answered Yes to Question 3 above:

i. Please attach the results of your endeavour or indicate where it is available on the internet.

ii. If available, please provide any related information, for example on the use or disposal of mercury from such stocks and sources.

b) If the Party answered No above, please explain.

4. Does the Party have excess mercury available from the decommissioning of chlor-alkali facilities? (Para. 5. (b).)

Yes

No

If **yes**, please explain the measures taken to ensure that the excess mercury was disposed of in accordance with the guidelines for environmentally sound management referred to in paragraph 3 (a) of Article 11 using operations that did not lead to recovery, recycling, reclamation, direct re-use or alternative uses. (Para. 5 (b), para. 11.)

5. Has the Party received consent, or relied on a general notification of consent, in accordance with Article 3, including any required certification from importing non-Parties, for all exports of mercury from the Party's territory in the reporting period. (Para. 6, para. 7.)

Yes, exports to Parties

Yes, exports to non-Parties:

No

If **yes**,

a. and the Party has submitted copies to the Secretariat, then no further information is needed.

If the Party has not previously provided such copies, it is recommended that it do so.

---

[\*Reporting frequency equal to or less than four years.]

Otherwise, please provide other suitable information showing that the relevant requirements of paragraph 6 of Article 3 have been met.

If available, please provide information on the use of the exported mercury.

b. If exports were based on a general notification in accordance with Article 3, paragraph 7, please indicate, if available, the total amount exported and any relevant terms or conditions in the general notification related to use.

[Alt 5. For any imports for trade with non-Parties, did the exporting non-Party provide certification that the mercury is not from sources identified under paragraph 3 or paragraph 5(b) of Article 3? (Para. 8, para. 9.)

Yes

No

There were no imports from non-Parties

The Party has applied paragraph 9 of Article 3

If **yes** and the Party has submitted copies to the Secretariat then no further information is requested. If the Party has not provided such copies, it is recommended it do so.

If the Party has applied paragraph 9 of Article 3, has the Party provided information on the quantities and countries of origin of mercury from non-Parties?]

[If available, please provide information on the quantities[, exporters and importers.]

[6. Has the Party allowed the import of mercury from a non-Party?

Yes

No

If **yes**, did the non-Party provide certification that the mercury is not from sources identified under paragraph 3 or paragraph 5 (b) of article 3? (Para. 8.)

Yes

No

If **no**, please explain.]

[7. Has the Party invoked paragraph 9 of article 3 and decided not to apply paragraph 8? (Para. 9.)

Yes

No

If **yes**, has the Party submitted a notification of a decision to not apply paragraph 8 to the secretariat?

Yes

No

If **no**, please explain. ]

[8. Do you have any other general comments on Article 3?]

#### **Article 4: Mercury-added products**

1. Has the Party taken any appropriate measures to not allow 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? (Para.1.)

(If the Party is implementing paragraph 2, please skip to question 2.)

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)? (Para. 1, para. 2 (d).)

2. If **yes** (implementing paragraph 2 of article 4):  
(Para. 2.)

Has the Party reported to the Conference of the Parties at the first opportunity a description of the measures or strategies implemented, including a quantification of the reductions achieved?  
(Para. 2 (a).)

Yes

No

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?  
(Para. 2 (b).)

Yes

No

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

Has the Party considered additional measures to achieve further reductions?  
(Para. 2 (c).)

Yes

No

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

3. Has the Party taken two or more measures for the mercury-added products listed in Part II of Annex A in accordance with the provisions set out therein? (Para. 3.)

Yes

No

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

4. Has the Party taken measures to prevent the incorporation into assembled products of mercury-added products whose manufacture, import and export are not allowed under Article 4? (Para. 5.)

Yes

No

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

5. Has the Party discouraged the manufacture and the distribution in commerce of mercury-added products not covered by any known use in accordance with Article 4, paragraph 6? (Para. 6.)

Yes

No

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

If **no**, has there been an assessment of the risks and benefits of the product that demonstrates environmental or health benefits? Has the Party provided to the Secretariat, as appropriate, information on any such product?

Yes

No

If **yes**, please name the product: \_\_\_\_\_

6. Do you have any other general comments on Article 4?

**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? (Para. 5.)

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

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

If available, please provide information on the number and type of facilities and the estimated annual amount of mercury or mercury compounds used in those facilities.

Please provide information on how much mercury (in metric tons) is used in the processes listed in the two first entries of Part II of Annex B in the last year of the reporting period.

2. Are measures in place to not allow the use of mercury or mercury compounds in manufacturing processes listed in Part I of Annex B after the phase-out date specified in that Annex for the individual process? (Para. 2, para. 5 (b).)

Chlor-alkali production:

- Yes
- No
- Not applicable (*do not have these facilities*)

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

Acetaldehyde production in which mercury or mercury compounds are used as a catalyst:

- Yes
- No
- Not applicable (*do not have these facilities*)

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

If **no** to either of the questions above, has the Party registered for an exemption pursuant to Article 6?

- Yes
- No

If **yes**, for which process(es)? (*please list*)

3. Are measures in place to restrict the use of mercury or mercury compounds in the processes listed in Part II of Annex B in accordance with the provisions set out therein? (Para. 3, Para. 5 (b).)

Vinyl chloride monomer production:

- Yes
- No
- Not applicable (*do not have these facilities*)

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

Sodium or potassium methylate or ethylate:

- Yes
- No
- Not applicable (*do not have these facilities*)

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

Production of polyurethane using mercury-containing catalysts:

- Yes
- No
- Not applicable (*do not have these facilities*)

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

4. Is there any use of mercury or mercury compounds in a facility using the manufacturing processes listed in Annex B that did not exist prior to the date of entry into force of the Convention for the Party? (Para. 6.)

- Yes
- No

If **yes**, please explain the circumstances.

5. Is there any facility that has been developed using any other manufacturing process in which mercury or mercury compounds are intentionally used that did not exist prior to the date of entry into force of the Convention? (Para. 7.)

- Yes
- No

If **yes**, please provide information on how the Party tried to discourage this development or that the Party has demonstrated the environmental and health benefits to the Conference of the Parties and that there are no technically and economically feasible mercury-free alternatives available providing such benefits.

#### **Article 7: Artisanal and small-scale gold mining**

1. Have steps been taken to reduce, and where feasible eliminate, the use of mercury and mercury compounds in, and the emissions and releases to the environment of mercury from, artisanal and small-scale gold mining and processing subject to Article 7 within your territory? (Para. 2.)

- Yes
- No
- There is no artisanal and small-scale gold mining and processing subject to Article 7 in which mercury amalgamation is used in the territory.

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

2. Has the Party determined and notified the secretariat that artisanal and small-scale gold mining and processing within its territory is more than insignificant?

- Yes
- No

If **no**, please proceed to Article 8 on emissions

3. Has the Party developed and implemented a national action plan and submitted it to the secretariat? (Para. 3 (a), para. 3 (b).)

- Yes
- No
- In progress

4. Attach your most recent review that must be completed under paragraph 3 (c) of Article 7, unless it is not yet due.

5. Has the Party cooperated with other countries or relevant intergovernmental organizations or other entities to achieve the objective of this article? (Para. 4.)

- Yes
- No

If **yes**, please provide information.

**Article 8: Emissions**

1. Identify any Annex D source categories for which there are new sources of emissions of mercury or mercury compounds as defined in paragraph 2 (c) of Article 8.

For each of those source categories describe the measures in place, including the effectiveness of such measures, to implement the requirements of paragraph 4 of Article 8.

Has the Party required the use of best available techniques or best environmental practices (BAT/BEP) to control and where feasible reduce emissions for new sources no later than 5 years after the date of entry into force of the Convention for the Party? (Para. 4.)

- Yes
- No (*please explain*)

2. Identify any Annex D source categories for which there are existing sources of emissions of mercury or mercury compounds as defined in paragraph 2 (e) of Article 8.

For each of those source categories, select and provide details on the measures implemented under paragraph 5 of Article 8 and explain the progress that these applied measures have achieved in reducing emissions over time in your territory:

- A quantified goal for controlling and, where feasible, reducing emissions from relevant sources;
- Emission limit values for controlling and, where feasible, reducing emissions from relevant sources;
- Use of BAT/BEP to control emissions from relevant sources;
- Multi-pollutant control strategy that would deliver co-benefits for control of mercury emissions;
- Alternative measures to reduce emissions from relevant sources.

Have the measures for existing sources under paragraph 5 of Article 8 been implemented no later than 10 years after the date of entry into force of the Convention for the Party?

- Yes
- No (*please explain*)

3. Has the Party prepared an inventory of emissions from relevant sources within 5 years of entry into force of the Convention for it? (Para. 7.)

- Yes
- No
- Have not been a Party for 5 years

If **yes**, when was the inventory last updated?

[If this information is publicly available, please indicate where this inventory is available.  
[SUPPLEMENTAL]

[If no such inventory exists, please explain.]

[ 4. Has the Party chosen to establish criteria to identify relevant sources covered within a source category? (Para. 2 (b).)

- Yes
- No

If **yes**, please explain how the criteria for any category include at least 75 percent of the emissions from that category and explain how the Party took into account guidance adopted by the Conference of the Parties.]

5. Has the Party chosen to prepare a national plan setting out the measures to be taken to control emissions from relevant sources and its expected targets, goals and outcomes? (Para. 3.)

Yes

No

If **yes**, has the Party submitted its national plan to the Conference of the Parties under this article no later than 4 years after the date of entry into force of the Convention for your Party?

Yes

No (*please explain*)

#### Article 9: Releases

1. Are there, within the Party's territory, relevant sources of releases as defined in paragraph 2 (b) of Article 9? (Para. 4.)

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. (Para. 5.)

2. Has the Party established an inventory of releases from relevant sources within 5 years of entry into force of the convention for it? (Para. 6.)

Yes

Relevant sources do not exist in the territory

Have not been a Party for 5 years

No (*please explain*)

If **yes**, when was the inventory last updated?

Please indicate where the information is available. [SUPPLEMENTAL]

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

1. Has the Party taken measures to ensure that the interim storage of non-waste mercury and mercury compounds intended for a use allowed to a Party under the Convention is undertaken in an environmentally sound manner? (Para 2)

Yes

No

Do not know (*please explain*)

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

#### Article 11: Mercury wastes[\*]

1. Have measures outlined in Article 11, paragraph 3, been implemented for the Party's mercury waste? (Para. 3.)

Yes

No

If **yes**, please describe the measures implemented pursuant to paragraph 3, and please also describe the effectiveness of those measures:

[Are there facilities for managing [mercury waste][waste mercury] in the Party's territory?

Yes

No

Do not know (*please explain*)

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

[How much waste mercury has been subjected to disposal using operations that do not lead to recovery, recycling, reclamation, direct reuse or alternative uses under the reporting period? Please specify the type of final disposal operation?] [SUPPLEMENTAL]

#### **Article 12: Contaminated sites**

1. Has the Party endeavoured to develop strategies for identifying and assessing sites contaminated by mercury or mercury compounds in its territory? (Para. 1.)

Yes

No

Please elaborate

#### **Article 13: Financial resources and mechanism**

1. Has the Party undertaken to provide, 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? (Para. 1.)

Yes [(*please specify*)]

No [(*please specify why not*)]

[Please provide comments, if any.]

2. Has the Party, within its capability, contributed to the mechanism referred to in paragraph 5 of Article 13? (Para. 12.) [SUPPLEMENTAL]

(*Please tick one box only*)

Yes [(*please specify*)]

No [(*please specify why not*)]

[Please provide comments, if any.]

3. 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? (Para. 3.) [SUPPLEMENTAL]

(*Please tick one box only*)

Yes [(*please specify*)]

No [(*please specify why not*)]

[Please provide comments, if any.]

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

1. Has the Party cooperated to provide capacity-building or technical assistance, pursuant to Article 14, to another Party to the Convention? (Para. 1.)

Yes (*Please specify*)

No (*Please specify*)

2. Has the Party received capacity-building or technical assistance pursuant to Article 14? (Para. 1.) [SUPPLEMENTAL]

Yes (*please specify*)

No (*Please specify*)

Please provide comments, if any.

3. Has the Party promoted and facilitated the development, transfer and diffusion of and access to, up-to-date environmentally sound alternative technologies? (Para. 3.)

*(Please tick one box only)*

- Yes *(please specify)*  
 No *(please specify why not)*  
 Other *(please provide information)*

**Article 16: Health aspects**

1. Have measures been taken to provide information to the public on exposure to mercury in accordance with paragraph 1 of Article 16? [SUPPLEMENTAL]

- Yes  
 No

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

If available, please provide information on the effectiveness of the measures.

2. Have any other measures been taken to protect human health in accordance with Article 16? (Para. 1.) [SUPPLEMENTAL]

- Yes  
 No

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

If available, please provide information on the effectiveness of the measures.

**Article 17: Information exchange**

1. Has the Party facilitated the exchange of information referred to in Article 17, paragraph 1? (Para. 1.)

- Yes  
 No

Please provide more information, if any.

**Article 18: Public information, awareness and education**

1. Have measures been taken to promote and facilitate the provision to the public of the kinds of information listed in Article 18, paragraph 1? (Para. 1.)

- Yes  
 No

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

**Article 19: Research, development and monitoring**

1. Has the Party undertaken any research, development and monitoring in accordance with paragraph 1 of article 19? (Para. 1.)

- Yes  
 No

If **yes**, please describe these actions.

**Part C: Comments regarding possible challenges in meeting the objectives of the Convention**  
(Art. 21, para. 1)

---

---

---

**Part D: Comments regarding the reporting format and possible improvements**

[SUPPLEMENTAL]

---

---

---

---