

DECLARATIONS HANDBOOK 2013

FOR THE

**CONVENTION ON THE PROHIBITION OF THE
DEVELOPMENT, PRODUCTION, STOCKPILING
AND USE OF CHEMICAL WEAPONS
AND ON THEIR DESTRUCTION**

OPCW

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FOREWORD

The Declarations Handbook serves as guidance for the preparation of declarations to be submitted by States Parties in accordance with the requirements of the Convention. The Declarations Handbook is a nonbinding document which provides practical support to States Parties on how to report the information on declarable facilities and activities, thereby ensuring that these are effectively brought under the purview of the Convention's verification regime.

It is noteworthy that the Third Review Conference noted with satisfaction that in November 2008, the Secretariat released a major revision of the Declarations Handbook and stressed that any further revision of the Declarations Handbook should take into account the views of States Parties (paragraph 9.86 of the RC-3/3, dated 19 April 2013).

Having considered the views and comments received from the States Parties since 2008 the Secretariat has updated the previous version of the Declarations Handbook and published the December 2013 version incorporating relevant decisions and reports agreed upon by the Secretariat and OPCW policy-making organs.

The 2013 version of the Declarations Handbook updates the sections of the Handbook related to declarations under Article VI of the Convention, i.e. Section A, Section B and Section C and relevant appendices. This version also provides a more detailed guidance on each form and two additional annexes: Annex C on resolving transfer discrepancies and Annex D on the relevant decisions and reports agreed upon by the Secretariat and OPCW policy-making organs. In addition, this 2013 version incorporates examples related to common problems identified in Article VI declarations and the recommendations to States Parties on how to avoid these problems.

Although the Declarations Handbook is a reference document the States Parties are strongly encouraged to make extensive use of it. The universal submission of uniform declarations will further improve the efficiency of the processing of declaration-related information, and will provide additional benefits for the planning and implementation of the verification regime of the Convention.

The electronic declaration tool for National Authorities (EDNA) has become the primary tool used for the preparation of electronic declarations. In recent declaration rounds, the highest numbers of electronic declarations have been received with a number of State Parties using this tool for the very first time. The States Parties are provided with regular updates to the EDNA software and they are encouraged to upgrade to the latest versions when available.

The Secure Information Exchange (SIX) system has been adopted by an increasing number of States Parties since it was announced in July 2014. Several States Parties are using the system as the main means to exchange confidential information with the Secretariat. The work is in progress to expand the use of the system and to promote its use by even greater number of State Parties.

The Secretariat will continue to further improve tools and systems for electronic declarations based on the feedback received from States Parties. Information on these projects will be provided through the OPCW external server and through dedicated events. In addition, the Secretariat will continue to offer training and support to States Parties.

The Declarations Handbook is to be updated and revised on a regular basis to reflect all new decisions and understandings periodically agreed upon by the Secretariat and OPCW policy-making organs. I encourage States Parties to provide feedback on this version of the Declarations Handbook which will then be taken into account in preparing future updates. Such feedback from the users of the Handbook is critical to ensure that the Handbook remains a useful reference document to all stakeholders involved in preparing declarations.

PHILIPPE DENIER

Director of Verification

CHANGES INTRODUCED IN DECLARATIONS HANDBOOK VERSION 2013

Changes have been made to the Sections A, B and C and Appendices 1 and 4.

Section A

A separate subsection regarding a project to establish a secure system for the transmission of declarations has been added (subsection 3.4).

Sections B and C

The following decisions and reports agreed upon by the Secretariat and the OPCW policy-making organs have been incorporated into the text of Section B and Section C.

1. The Conference decision on Guidelines Regarding Low-Concentration Limits for Declarations of Schedule 2A and 2A* Chemicals (C-14/DEC.4, dated 2 December 2009);
2. The Scientific Advisory Board's recommendation on the definition of what constitutes the Schedule 1 toxin ricin for verification purposes (Report of the Fourteenth Session of the Scientific Advisory Board, SAB-14/1, dated 11 November 2009);
3. Understanding of the declarability of salts of Schedule 1 chemicals not explicitly listed in the Annex on Chemicals (Report of the Sixty-seventh Session of the Executive Council (EC-67/3, dated 27 March 2012); Report of the Facilitator on the Results of the Facilitation regarding Salts of Scheduled Chemicals, dated 8 February 2012 (EC-67/WP.1 dated 8 February 2012)).

New sections on common problems in Schedule 1 declarations (subsection 5 of Section C), in aggregate national data (AND) declarations, and in declarations of Schedule 2 and 3 plant sites have been added (subsection 2.1.4 and 2.5 of Section B respectively) to highlight these issues and provide guidance on how to avoid such problems. The section on common problems in declaring other chemical production facilities (OCPFs) already included in the previous version has been updated in the 2013 version (subsection 3.4 of Section B).

The following changes have been made to the Annexes to Section B:

Annex B replaces the former Annex A on Data Formats in the 2008 version of the Declarations Handbook. The declaration forms and field by field guidance have been merged into an Annex B so that each form is immediately followed by the guidance for that form.

Annex C has been added as a new annex to Section B providing guidance on resolving transfer discrepancies. This annex provides examples of indicators of the sources of discrepancies and a suggested approach to their resolution. It also provides checklists for National Authorities, for industry, traders and other stakeholders to use to identify potential discrepancies.

Annex D - The decisions and reports agreed upon by the Secretariat and OPCW policy-making organs have been merged into a new Annex D to Section B.

Appendices 1 and 4:

Appendix 1: Country Codes

Appendix 1 has been updated to conform to the latest version of the ISO standard on country codes (ISO 3166-1:2006). The code SSD has been added for South Sudan and the names of Bolivia, Hungary and Libya have been changed.

Appendix 4: Product Group Codes

The list of product group codes has been replaced by the newly agreed list, as reported during the Seventy-Fourth Session of the Executive Council (EC-74/WP.1, dated 8 October 2013).

TABLE OF CONTENTS OF SECTIONS AND APPENDICES

ACRONYMS AND ABBREVIATIONS	vii
SECTION A General Introduction	1
1. Purpose of this Declarations Handbook	4
2. Initial Declarations Requirements	4
3. Transmission of declarations	4
3.1 General Requirements	4
3.2 Submission of Hard Copies.....	5
3.3 Submission of Electronic Storage Media	5
3.4 Secure Electronic Submission	6
4. Code descriptions for declarations.....	6
Annex A: Forms for General Reference Data and Primary Declaration Identification	7
SECTION B Industrial Declarations	15
(Declarations due under Parts VII, VIII and IX of the Verification Annex)	
1. Declarations under this section	19
1.1 Overview of declarations under this section and deadlines for submission	19
1.2 Primary declaration identification	21
1.3 Clarification of declarations	21
1.4 Amendments to declarations	22
1.5 Common definitions and explanations	22
2. Declaration requirements for Schedule 2 and Schedule 3 chemicals and facilities related to such chemicals	25
2.1 Declarations of aggregate national data for Schedule 2 and 3 chemicals	26
2.2 Transfers of Schedule 2 and Schedule 3 chemicals to States not Party to the CWC	31
2.3 Schedule 2 facilities	34
2.4 Schedule 3 facilities	37
2.5 Common problems in declaring Schedule 2 and Schedule 3 facilities	39
3. Declarations of “other chemical production facilities” (OCPFs)	40
3.1 Declaration requirements for OCPFs	40
3.2 Definitions and explanations pertaining to OCPFs	41
3.3 Declaration timelines and forms to be used	42
3.4 Common Problems in declaring OCPFs	43
4. Description of scheduled chemicals	45
5. Code descriptions.....	46
6. Confidentiality classification	47
Annex A: Industrial Declarations Flowcharts.....	49
Annex B: Industrial Declaration Forms.....	61
Annex C: Resolving Transfer Discrepancies.....	127

Annex D: Decisions and Reports related to Parts VI - IX of the Verification Annex	149
SECTION C Declarations for Schedule 1 Chemicals and Facilities	205
(Declarations due under Part VI of the Verification Annex)	
1. Declarations under this section	208
2. Schedule 1 declaration and notification requirements and their deadlines.....	208
2.1 Overview	208
2.2 Outline of declaration requirements	209
3. Definitions and explanations in relation to the declaration requirements	213
3.1 Definitions	213
3.2 Specific explanations.....	214
4. Confidentiality Classifications.....	215
5. Common Problems in Schedule 1 Declarations	216
5.1 Common problems in declaring Schedule 1 facilities.....	216
5.2 Common problems in declaring and notifying Schedule 1 transfers	217
Annex A: Schedule 1 Declarations Flowcharts	219
Annex B: Schedule 1 Declaration Forms	229
SECTION K Riot Control Agents	271
(Declarations due under subparagraph 1(e) of Article III of the Convention)	
1. Declarations under this section	274
2. Declaration requirements and their deadlines.....	274
SECTION L National Protective Programme	283
SECTION M Confidentiality Supplement to the OPCW Declarations Handbook	293
APPENDICES	
Appendix 1 Country Codes	305
Appendix 2 ^(*) Handbook on Chemicals.....	----
Appendix 3 Main Activity Codes.....	310
Appendix 4 Product Group Codes	311
Appendix 5 Production Purpose Codes for a Schedule 3 Chemical Production Facility	314
Appendix 6 Codes for Schedule 3 Chemical Production Ranges	315
Appendix 7 Codes of Production Ranges for Plant Sites that Produce Unscheduled Discrete Organic Chemicals	316
Appendix 8 Codes for Declaring the Purpose of Production, Consumption or Transfers of Schedule 1 Chemicals.....	317
Appendix 9 ^(*) Common Transmission File Structure	----

(*) Available in a separate booklet

ACRONYMS AND ABBREVIATIONS

AND	Aggregate national data
CAS registry number	Unique number allocated to a chemical by the Chemical Abstracts Service of the American Chemical Society
CW	Chemical weapons
CWC	Chemical Weapons Convention
C.Y.	Calendar Year (from 01 January to 31 December)
DOC	Discrete organic chemical
EDNA	Electronic declaration tool for National Authorities
EIF (SP)	Entry into force of the Convention for the State Party
IUPAC chemical name	Systematic chemical name based on the nomenclature system developed by the International Union of Pure and Applied Chemistry
OCPF	Other chemical production facility
PSF-chemical	An unscheduled discrete organic chemical containing the elements phosphorus sulfur or fluorine
PSF-plant	A plant which produced by synthesis during the previous calendar year more than 30 tonnes of a PSF-chemical.
SSSF	Single Small-Scale Facility
VA	Verification Annex (of the Chemical Weapons Convention)

SECTION A
GENERAL INTRODUCTION

OPCW

Revised version 2: 1 January 2017

TABLE OF CONTENTS OF SECTION A

1.	Purpose of this Declarations Handbook.....	4
2.	Initial Declarations Requirements.....	4
3.	Transmission of declarations	4
3.1	General Requirements.....	4
3.2	Submission of Hard Copies.....	5
3.3	Submission of Electronic Storage Media.....	5
3.4	Secure Electronic Submission.....	6
4.	Code descriptions for declarations	6
Annex A:	Forms for General Reference Data and Primary Declaration	
	Identification	7

1. Purpose of this Declarations Handbook

The purpose of the Declarations Handbook is to provide guidance to the National Authorities of States Parties to the Chemical Weapons Convention (CWC) in order to comply with the obligations for submission of declarations stipulated by the CWC. The Handbook provides detailed explanations of how to complete the initial, annual, and other declarations according to the CWC requirements, and the decisions and understandings agreed upon by the OPCW policy-making organs.

The Declarations Handbook is a non-binding document containing summaries of the declaration requirements of the CWC to be implemented by States Parties. The Secretariat also acknowledges States Parties' existing national legislation and regulations related to the CWC declaration requirements.

2. Initial Declarations Requirements

The Chemical Weapons Convention (CWC) stipulates a number of requirements for the submission of initial and annual declarations.

In accordance with paragraph 1 of Article III of the Convention, each State Party is required to submit initial declarations not later than 30 days after the Convention enters into force for it, with respect to chemical weapons, old and abandoned chemical weapons, chemical weapons-related facilities, and riot control agents.

In accordance with paragraph 7 of Article VI, each State Party is required to submit an initial declaration not later than 30 days after the Convention enters into force for it, with respect to relevant chemicals and facilities, in accordance with the relevant parts of the Verification Annex to the Convention.

In order to submit these initial declarations, each State Party is requested to complete questionnaire-based declaration Form A-2 for primary declaration identification, and the supplement to Form A-2 (OPCW Declaration Checklist), to be accompanied by the relevant declarations if necessary (Annex A of Section A).

Each National Authority is requested to provide general reference information on the National Authority and, on a voluntary basis, information on individual contacts within the National Authority by using Form A-1 (Annex A of Section A).

3. Transmission of declarations

3.1 General Requirements

- a) Unclassified documents should be mailed to the following address: Organisation for the Prohibition of Chemical Weapons, Declarations Branch, Johan de Wittlaan 32, 2517 JR The Hague, The Netherlands or e-mailed to the deb@opcw.org. Classified documents should be delivered to the Secretariat through the diplomatic channels.
- b) Each page of the document has to be numbered page n of n pages (e.g. Page 1 of 20).
- c) Modifications to a document should be sent by sending the whole new page which has to replace the old one. If more than one page replaces the original one page, the

new pages should be subnumbered (for example, if page 45 is to be replaced by two other pages, the two new pages should be numbered as 45/a and 45/b).

- d) Each attachment should be uniquely identified in the declaration. The identification should contain at least the country code and name, the date of the submission, the section of the declaration (A-K) and the code of the plant site to which the attachment relates.
- e) The date should read (ccyy-mm-dd) e.g. (2013-12-01)

3.2 Submission of Hard Copies

- a) The documents should be printed on single-sided, A4 or US letter size paper. For special purposes (maps, pictures etc.) where it is not possible or practical to submit documents in this size, other sizes will be accepted, but the sender should try to keep the number of such pages to a minimum.
- b) The documents should be printed on paper weighing between 60g/ m² and 200 g/ m² (normal photocopying paper is about 80 g/ m²).
- c) The documents should be printed on a paper and with an ink which makes it possible to scan the document in acceptable quality with a normal, black and white flat-bed scanner, (If possible, use white paper with black ink and avoid any colours, and please do not use red paper under any circumstances).
- d) Leave a two centimetre margin on each side of each page.
- e) Do not book bind the pages (ring binding is acceptable).
- f) Individual sections of the declarations should be clearly identified (for example, if you use coloured separator pages, these pages are not part of the declaration, and the information written on them will accordingly not be processed).
- g) Pages relating to the same site should be placed next to each other.
- h) Pages containing national aggregates should be placed next to each other.

3.3 Submission of Electronic Storage Media

- a) The OPCW is capable of processing the following electronic storage media:
- CD-ROMs (ISO/IEC 10149).
- b) The electronic file should follow one of the specifications in Appendix 9:
1) Common Transmission File Structure version 2.01, or later
2) XML File Structure version 1.3 or later¹.
- c) An MD5 checksum should be provided for each data file.
- d) If the declaration is submitted in both hard copy and electronic file, the information on the hard copy will prevail.

¹ On the CD-ROM version of Declarations Handbook 2008 only.

3.4 Secure Electronic Submission

- a) The Secretariat is also working on a project to establish a secure electronic transmission system as an optional way of submitting electronic declarations. Once this system is in place, the States Parties will be informed accordingly and they will then be able to utilise it as an alternative mechanism for submission of electronic declarations.

4. Code descriptions for declarations

States Parties are requested to use code descriptions for specific data items in different declaration forms. All these code descriptions are attached to this Declarations Handbook as appendices. Whenever codes should be used, instructions for their use are provided in the declaration forms.

ANNEX A OF SECTION A

**FORMS FOR GENERAL REFERENCE DATA
AND
PRIMARY DECLARATION IDENTIFICATION**

OPCW

Revised version 2: 1 January 2017

TABLE OF CONTENTS OF ANNEX A OF SECTION A**Forms for General Reference Data and Primary Declaration Identification**

Form A-1	General Reference Data of the National Authority Regarding this Declaration.....	10
Form A-2	Primary Declaration Identification for the Submission of Initial Declarations	11
Supplement to Form A-2	OPCW Declaration Checklist.....	12



Form A-1

General Reference Data of the National Authority Regarding this Declaration

Country Code:
Section: A
Page n of n pages:
Date (ccyy-mm-dd):

Confid.
mark

☐

Name of Country:

☐

Name of National Authority / organisation:

☐

Mailing address:

☐

Phone number:

☐

Fax number:

☐

e-mail address (if applicable):

☐

Telex (if applicable):

(The following may be provided on a voluntary basis: list all contact persons in the National Authority / organisation)

☐

Contact person: Family name:

☐

First name:

☐

Position:

☐

Phone number:

☐

Contact person: Family name:

☐

First name:

☐

Position:

☐

Phone number:

☐

Contact person: Family name:

☐

First name:

☐

Position:

☐

Phone number:



Form A-2

Primary Declaration Identification for the Submission of Initial Declarations

Country Code:
Section: A
Page n of n pages:
Date (ccyy-mm-dd):

Confid. mark	Does your State submit any of the following initial declarations in relation to:	Yes ☐	No ☐
☐	Name of Country		
☐	Chemical Weapons? (Article III, 1(a); Verification Annex, Part IV (A))	Yes ☐	No ☐
☐	Old Chemical Weapons Produced Before 1925? (Article III, 1(b) (i); Verification Annex, Part IV (B))	Yes ☐	No ☐
☐	Old Chemical Weapons Produced Between 1925-1946? (Article III, 1(b) (i); Verification Annex, Part IV (B))	Yes ☐	No ☐
☐	Abandoned Chemical Weapons? (Article III, 1(b) (ii), (iii); Verification Annex, Part IV (B))	Yes ☐	No ☐
☐	Chemical Weapons Production Facilities? (Article III, 1(c); Verification Annex, Part V)	Yes ☐	No ☐
☐	Other Chemical Weapons Related Facilities? (Article III, 1(d))	Yes ☐	No ☐
☐	Riot Control Agents? (Article III, 1(e))	Yes ☐	No ☐
☐	Schedule 1 Chemicals and Facilities related to such Chemicals? (Verification Annex, Part VI, Section D)	Yes ☐	No ☐
☐	Schedule 2 Chemicals and Facilities related to such Chemicals? (Verification Annex, Part VII, Section A)	Yes ☐	No ☐
☐	Schedule 3 Chemicals and Facilities related to such Chemicals? (Verification Annex, Part VIII, Section A)	Yes ☐	No ☐
☐	Other Chemical Production Facilities (DOC/PSF)? (Verification Annex, Part IX, Section A)	Yes ☐	No ☐



Supplement to Form A-2 OPCW Declaration Checklist

Country Code:
Section: A
Page n of n pages:
Date (ccyy-mm-dd):

Confid.
mark

Please answer ***all*** questions.

Does your State own, possess or have any of the following in any place under its jurisdiction or control?

☐	Chemical Weapons? (Article III, 1(a); Verification Annex, Part IV (A))	Yes ☐	No ☐
☐	Old Chemical Weapons Produced Before 1925? (Article III, 1(b) (i); Verification Annex, Part IV (B))	Yes ☐	No ☐
☐	Old Chemical Weapons Produced Between 1925-1946? (Article III, 1(b) (i); Verification Annex, Part IV (B))	Yes ☐	No ☐
☐	Abandoned Chemical Weapons? (Article III, 1(b) (ii), (iii); Verification Annex, Part IV (B))	Yes ☐	No ☐
☐	Riot Control Agents? (Article III, 1(e)) If YES , do these agents include any of the following?	Yes ☐	No ☐
☐	CS - Propanedinitrile, [(2-chlorophenyl) methylene]	Yes ☐	No ☐
☐	CN - Ethanone, 2-chloro-1-phenyl-	Yes ☐	No ☐
☐	CR - Dibenz[b,f] [1,4] oxazepine	Yes ☐	No ☐
☐	Schedule 1 Chemicals and Facilities related to such Chemicals? (Verification Annex, Part VI, Section A)	Yes ☐	No ☐

Continued on the next page



Supplement to Form A-2 OPCW Declaration Checklist (continued)

Country Code:
Section: A
Page n of n pages:
Date (ccyy-mm-dd):

☐ Schedule 2 Chemicals and Facilities related to such Chemicals? Yes ☐ No ☐
(Verification Annex, Part VII, Section A)

☐ Schedule 3 Chemicals and Facilities related to such Chemicals? Yes ☐ No ☐
(Verification Annex, Part VIII, Section A)

☐ Other Chemical Production Facilities (DOC/PSF)? Yes ☐ No ☐
(Verification Annex, Part IX, Section A)

Has your State:

☐ Abandoned chemical weapons on the territory of another State? Yes ☐ No ☐
(Article III, 1(b) (iii), Verification Annex, Part IV (B))

Did your State own, possess, have or had at any time after 1 January 1946:

☐ a chemical weapons production facility? Yes ☐ No ☐
(Article III, 1(c), Verification Annex, Part V)

☐ a facility or establishment designed, constructed or used primarily for development, testing or evaluation of chemical weapons? Yes ☐ No ☐
(Article III, 1(d), Verification Annex, Part V)

☐ Participate in a transfer of chemical weapons? Yes ☐ No ☐
(Article III, 1(a) (iv), Verification Annex, Part V)

☐ Participate in a transfer of chemical weapons production equipment? Yes ☐ No ☐
(Article III, 1(c) (iv), Verification Annex, Part V)

States Parties that have replied **NO** to all of the above questions may use this checklist as their official initial declaration.

States Parties that have replied **NO** to all of the above questions except those relating to riot control agents may also use this checklist as their initial declaration, provided that the chemicals possessed as riot control agents are limited to those listed. In case chemicals possessed as riot control agents are not limited to those listed, additional information on the chemical name, structural formula and CAS registry number, if assigned, should be provided.

States Parties that have replied **YES** to any of the above questions in addition to those relating to riot control agents can use this checklist as an **ATTACHMENT** to their initial declaration.

SECTION B

INDUSTRIAL DECLARATIONS

**(DECLARATIONS DUE UNDER PARTS VII, VIII AND IX OF
THE VERIFICATION ANNEX)**

OPCW

Revised version 2: 1 January 2017

TABLE OF CONTENTS OF SECTION B

1.	Declarations under this section.....	19
1.1	Overview of declarations under this section and deadlines for submission.....	19
1.2	Primary declaration identification	21
1.3	Clarification of declarations	21
1.4	Amendments to declarations	22
1.5	Common definitions and explanations	22
1.5.1	Common definitions	22
1.5.2	Specific explanations and Conference of the States Parties decisions related to the preparation of most or all industrial declarations	23
2.	Declaration requirements for Schedule 2 and Schedule 3 chemicals and facilities related to such chemicals	25
2.1	Declarations of aggregate national data for Schedule 2 and 3 chemicals	26
2.1.1	Declaration requirements.....	26
2.1.2	Guidelines relating to declarations of AND	28
2.1.3	Forms to be used.....	30
2.1.4	Common problems in declaring AND.....	30
2.2	Transfers of Schedule 2 and Schedule 3 chemicals to States not Party to the CWC.....	31
2.2.1	Transfers of Schedule 2 chemicals	31
2.2.2	Transfers of Schedule 3 chemicals	32
2.3	Schedule 2 facilities.....	34
2.3.1	Declarations of plant sites producing, processing or consuming Schedule 2 chemicals.....	34
2.3.2	Declarations of plant sites which produced Schedule 2 chemicals for chemical weapons purposes.....	37
2.4	Schedule 3 facilities.....	37
2.4.1	Declarations of plant sites producing Schedule 3 chemicals.....	37
2.4.2	Declarations of past production of Schedule 3 chemicals for chemical weapons purposes.....	39
2.5	Common problems in declaring Schedule 2 and Schedule 3 facilities	39
2.5.1	Missing previous declarations for newly declared plant sites	39
2.5.2	Missing annual declarations for plant sites which drop below the declaration threshold (nil declarations)	39
2.5.3	Missing or late declarations of additionally planned activities	40
3.	Declarations of “other chemical production facilities” (OCPFs)	40
3.1	Declaration requirements for OCPFs	40
3.2	Definitions and explanations pertaining to OCPFs	41
3.2.1	Definitions which pertain to declarations of OCPFs.....	41
3.2.2	Specific explanations which pertain to OCPF declarations.....	41
3.3	Declaration timelines and forms to be used	42
3.4	Common Problems in declaring OCPFs	43

3.4.1	Declaration of non-declarable plant sites	43
3.4.2	Lack of timely updates of OCPF declarations.....	44
3.4.3	Issues related to the definition of plant.....	44
3.4.4	Use of product group codes to declare the main activities of the plant site.....	45
3.4.5	Other common problems specific to OCPF declarations	45
4.	Description of scheduled chemicals.....	45
5.	Code descriptions	46
6.	Confidentiality classification.....	47
Annex A:	Industrial Declarations Flowcharts	52
Annex B:	Industrial Declaration Forms.....	61
Annex C:	Resolving Transfer Discrepancies.....	127
Annex D:	Decisions and Reports related to Parts VI - IX of the Verification Annex	149

INDEX OF TABLES OF SECTION B

Table 1:	Declaration requirements and deadlines for submission	19
Table 2:	Declarable Activities	20
Table 3:	Schedule 2 chemicals and facilities	25
Table 4:	Schedule 3 chemicals and facilities	26
Table 5:	Restrictions on trade in Schedule 2 and 3 chemicals with States not Party	31
Table 6:	Other chemical production facilities.....	43
Table 7:	Code descriptions.....	46

1. Declarations under this section

1.1 Overview of declarations under this section and deadlines for submission

This section of the handbook applies to declarations of activities and facilities related to Schedule 2 and Schedule 3 chemicals, as well as to other chemical production facilities (OCPF) producing unscheduled discrete organic chemicals (DOCs) including DOCs containing the elements phosphorus, sulfur or fluorine (PSF-chemicals).

Table 1 below contains a brief summary of the obligations of States Parties with regard to industrial declarations.

Table 1: Declaration requirements and deadlines for submission

TYPE	DECLARATION REQUIREMENT AND DEADLINES FOR SUBMISSION		
	Schedule 2	Schedule 3	OCPF
Initial Declarations	Aggregate National Data EIF (SP) + 30 days Declarations for Plant Sites EIF (SP) + 30 days	Aggregate National Data EIF (SP) + 30 days Declarations for Plant Sites EIF (SP) + 30 days	Declarations for Plant Sites EIF (SP) + 30 days
Annual Declarations of Past Activities*	Aggregate National Data Year End + 90 days Declarations for Plant Sites Year End + 90 days	Aggregate National Data Year End + 90 days Declarations for Plant Sites Year End + 90 days	Update Year End + 90 days
Annual Declarations of Anticipated Activities**	Declarations for Plant Sites Begin of Year - 60 days	Declarations for Plant Sites Begin of Year - 60 days	
Initial Declaration of Past Production of Scheduled Chemicals for CW Purposes	Declarations for Plant Sites EIF (SP) + 30 days	Declarations for Plant Sites EIF (SP) + 30 days	
Additionally Planned Activities	Change After Annual Anticipatory Declarations Change - 5 days	Change After Annual Anticipatory Declarations Change - 5 days	

* Implementation of the obligation to make annual declarations of past activities will start in the calendar year following the year when the Convention enters into force for the State Party.

** Submission of annual declarations of anticipated activities will be due 60 days before the beginning of the calendar year following the year in which the Convention enters into force for the State Party.

Abbreviations:

EIF (SP) + 30 days:	Not later than 30 days after the CWC enters into force for the State Party.
Year End + 90 days:	Not later than 90 days after the end of the previous calendar year (i.e. 90 days after the end of the year which the declaration covers).
Begin of Year - 60 days:	Not later than 60 days before the beginning of the following calendar year (i.e. 60 days before the beginning of the year which the declaration covers).
Change - 5 days:	Not later than 5 days before an activity begins which is additionally planned after the annual declaration on anticipated activities has been submitted.
DOC:	Unscheduled discrete organic chemicals (see the definition in subparagraph 3.2 in this section).
PSF:	DOCs containing phosphorus, sulfur or fluorine (see the definition in subparagraph 3.2 in this section).

A brief summary of the activities that are declarable is shown in Table 2. Please note that the relevant subsection should be consulted for full details including exemptions.

Table 2: Declarable Activities

	Declaration Trigger²	Weight Thresholds³	Concentration Thresholds^{3,4}	Time period⁵
Schedule 2 Chemicals				
Aggregate National Data on Chemicals	Production, Processing, Consumption, Import or Export above threshold at national level	• 1kg of Sched. 2A* • 100kg of a Sched. 2A • 1 tonne of a Sched. 2B	• 1% of Sched. 2A* • 1% of a Sched. 2A • 30% of a Sched. 2B	Previous calendar year
Plant Sites	A plant or plant(s) with Production, Processing or Consumption above threshold	• 1kg of Sched. 2A* • 100kg of a Sched. 2A • 1 tonne of a Sched. 2B	• 1% of Sched. 2A* • 1% of a Sched. 2A • 30% of a Sched. 2B	Previous 3 calendar years or next calendar year
Plant Sites with Past Production for CW purposes	Production for CW purposes	No threshold	No low concentration threshold	Anytime since 1 January 1946
Schedule 3 Chemicals				
Aggregate National Data on Chemicals	Production, Import or Export above thresholds at national level	30 tonnes of a Schedule 3 chemical	30%	Previous calendar year
Plant Sites	A plant or plant(s) with Production above threshold	30 tonnes of a Schedule 3 chemical	30%	Previous or next calendar year
Plant Sites with Past Production for CW purposes	Production for CW purposes	No threshold	No low concentration threshold	Anytime since 1 January 1946
Discrete Organic Chemicals				
Other Chemical Production Facilities	Production by synthesis above threshold	• Aggregate for the plant site of 200 tonnes of DOCs • 30 tonnes of an individual PSF chemical in one or more plant(s)	No low concentration threshold	Previous calendar year

In accordance with Council decision [EC-51/DEC.1, dated 27 November 2007](#), States Parties should adopt the necessary measures to ensure that their declarations are submitted in accordance with the deadlines provided for in the Convention (see Table 1). States Parties that anticipate difficulties in regard to the timely submission of their declarations in accordance with these

² Declaration triggers are the activities which trigger the requirement to make a declaration of a site or chemical.

³ Only activities above these weight and concentration thresholds (for the plant, plant site or country as appropriate) are declarable

⁴ See section 2 for full details of low concentration thresholds and exemptions for Schedule 2A/2A* chemicals

⁵ Time periods shown indicate the period considered when deciding on the declarability of a plant site or activity.

deadlines are to inform the Secretariat at the earliest possible date of the circumstances of such difficulties and indicate whether they would welcome assistance from the Secretariat in order to meet their obligations on time.

1.2 Primary declaration identification

Each State Party is requested to use **Forms B, B-1, B-2 and B-3** to identify specific types of industrial declaration (initial declarations, annual declarations on past activities, annual declarations on anticipated activities and declarations on additionally planned activities). Declarations of Schedule 2 and Schedule 3 chemicals and their related facilities contain three sub-categories: aggregate national data, plant sites, and past production of these scheduled chemicals for chemical weapons purposes.

A State Party having any activities subject to the declaration requirements of the CWC is requested to make appropriate use of one of the following B forms.

Form B: for initial declarations (within 30 days after the CWC enters into force for the State Party)

Form B-1: for annual declarations on past activities (not later than 90 days after the end of the previous calendar year)

Form B-2: for annual declarations on anticipated activities (not later than 60 days before the beginning of the following calendar year)

Form B-3: for declarations on additionally planned activities (not later than 5 days before the start of the declarable activity that is additionally planned after the annual declaration on anticipated activities has been submitted). If additional declarable activities are planned at several plant sites it is recommended to use a separate B-3 Form for each plant site, indicating the earliest date of the first activity to start at the plant site. If no Form B-3 is used, the earliest date of the first activity at each plant site should be indicated as a comment in EDNA for the amendment of the electronic declaration, or in the cover letter accompanying the declarations.

Please note that only a single Form (B, B-1, and B-2) should be used for initial declarations, annual declarations on past activities and annual declarations on anticipated activities.

1.3 Clarification of declarations

In accordance with Council decision [EC-36/DEC.7, dated 26 March 2004](#), all States Parties are urged to expedite responses to requests from the Secretariat for clarification of their declarations. When these declarations do not involve other States Parties (i.e. transfer discrepancies) States Parties are urged to send an initial response within 90 days after the official transmittal of the Secretariat's request which either responds fully to the request or indicates what steps they are taking to develop and communicate a full response.

When the Secretariat issues a clarification request regarding possible errors or missing information in a submitted declaration that preclude the Secretariat from determining a facility's inspectability and receives no response from the State Party concerned within 90 days after the official transmittal of the Secretariat's request, the Secretariat will inform the Council about the specific request in advance of its next regular session as recommended by [EC-36/DEC.7](#). The Secretariat will provide, 60 days following the issuance of the clarification request, a reminder to the State Party concerned if no response has been received by that date. Please note that in these cases the Secretariat will consider the start point for these time periods ("the official transmittal") to be the sending of a communication informing the State Party that there is a request for

clarification to be collected. This communication will specifically state that the request for clarification deals with an inspectability issue and will refer to decision [EC-36/DEC.7](#).

1.4 Amendments to declarations

When amending previously declared data, States Parties should provide a replacement copy of the page on which the data to be amended was originally declared and preferably indicate which data was to be amended by underlining the amended data.

The cover letter accompanying the amendment should state which declaration the amendment relates to, and in cases where the amendment arises as a result of the findings of an inspection, the code of the inspection should be indicated to allow for a prompt closure of the inspection file.

Please note that when amending annual declarations of past activities for Schedule 2 and 3 plant sites, the impact (if any) on the relevant aggregate national data declaration should be considered and the relevant amendments to these types of declaration should also be made.

1.5 Common definitions and explanations

1.5.1 Common definitions

The following CWC definitions apply to most or all types of industrial declarations:

"Production" of a chemical is defined as its formation through chemical reaction (*Paragraph 12 (a) of Article II of the CWC*). For scheduled chemicals "production" should be understood to include the production of a scheduled chemical (i.e. a Schedule 1, Schedule 2 or Schedule 3 chemical) by a biochemical or biologically mediated reaction (*reference [C-II/DEC.6, dated 5 December 1997](#)*).

"Processing"⁶ of a chemical is defined as a physical process, such as formulation, extraction and purification, in which a chemical is not converted into another chemical. (*Paragraph 12 (b) of Article II of the CWC*)

"Consumption" of a chemical is defined as its conversion into another chemical via a chemical reaction. (*Paragraph 12 (c) of Article II of the CWC*)

"Plant site" (works, factory) is defined as the local integration of one or more plants, with any intermediate administrative levels, which are under one operational control, and includes common infrastructure, such as:

- (a) Administration and other offices;
- (b) Repair and maintenance shops;
- (c) Medical centre;
- (d) Utilities;
- (e) Central analytical laboratory;
- (f) Research and development laboratories;
- (g) Central effluent and waste treatment area; and
- (h) Warehouse storage.

(Paragraph 6 (a) of Part I of the Verification Annex [hereinafter "VA"])

⁶ Please note processing includes dilution.

"Plant" (production facility, workshop) is defined as a relatively self-contained area, structure or building containing one or more units with auxiliary and associated infrastructure, such as:

- (a) Small administrative section;
- (b) Storage/handling areas for feedstock and products;
- (c) Effluent/waste handling/treatment area;
- (d) Control/analytical laboratory;
- (e) First aid service/related medical section; and
- (f) Records associated with the movement into, around and from the site, of declared chemicals and their feedstock or product chemicals formed from them, as appropriate.

(Paragraph 6 (b) of Part I of the VA)

"Tonne" means metric ton, i.e. 1,000 kg. *(Paragraph 26 of Part I of the VA)*

1.5.2 Specific explanations and Conference of the States Parties decisions related to the preparation of most or all industrial declarations

(a) Quantity

"Quantity" means the actual quantity of a chemical, i.e. the net weight excluding the weight of any containers or packaging. All quantities should be declared by weight not by volume. In declaring any quantity the rounding rules below should be applied. Where products contain less than 100 per cent of the chemical, the quantity of the chemical contained in the product should be declared, see the following examples.

Example 1: In reporting an import of 100 tonnes of a mixture of chemicals containing 40% of the Schedule 3 chemical triethanolamine, the quantity of triethanolamine to be included in the aggregate national data should be **40.0 tonnes** (40% of 100 tonnes).

Example 2: In the previous calendar year a Schedule 2 plant site consumed 12 tonnes of a 65% solution of the Schedule 2B chemical 2-(N,N-Dimethylamino)ethyl chloride hydrochloride. In making the annual declaration of past activities the amount of this chemical consumed should be reported as **7.80 tonnes** (65% of 12 tonnes)

(b) Rounding Rules (reference [EC-XIX/DEC.5, dated 7 April 2000](#))

In relation to the declaration of scheduled chemicals, quantities will be declared to three figures:

- (i) quantities with more than three figures are to be rounded to three figures;
- (ii) quantities having fewer than three figures are to be extended to three figures by the addition of zeros; and
- (iii) zeros in front of the first non-zero digit are not counted.

Quantities may be declared in the following units only:

picogramme	pg	10^{-12} g
nanogramme	ng	10^{-9} g
microgrammes	µg	10^{-6} g
milligrammes	mg	10^{-3} g
grammes	g	g
kilogrammes	kg	10^3 g
tonnes	t	10^6 g
kilotonnes	kt	10^9 g

Plant site/facility data for Schedule 1, 2 and 3 chemicals should be declared in the units that relate to the declaration threshold in the appropriate Part of the VA for the scheduled chemical being declared.

(c) Mixed plant sites (reference [C-I/DEC.34, dated 16 May 1997](#))

"Mixed plant sites" are plant sites which contain:

- (i) a plant or plants which are individually covered under more than one Part of the VA related to Article VI ("mixed plants"); or
- (ii) different plants covered by different Parts of the VA related to Article VI.

Mixed plant sites should be declared in accordance with all the appropriate Parts of the VA related to Article VI.

(d) Mixed plants (reference [C-I/DEC.40, dated 16 May 1997](#))

"Mixed plants" are plants which are individually covered under more than one Part of the VA related to Article VI. The term covers, for example, a multipurpose plant that manufactures, in the same process line but at different points in time or in parallel in several process lines, Schedule 2 and Schedule 3 chemicals, and/or DOCs. However, here the term does not relate to a case where a plant produces a Schedule 3 chemical in a multiple-step reaction involving the production of a DOC in the initial steps, or to a case when, during the production of a Schedule 3 chemical, a low concentration of a Schedule 2 chemical is simultaneously produced (this would be classified as either a Schedule 3 or a Schedule 2 plant depending on the applicable rules for low concentrations).

"Mixed plants" should be declared in accordance with all the appropriate Parts of the VA related to Article VI.

2. Declaration requirements for Schedule 2 and Schedule 3 chemicals and facilities related to such chemicals

For quick reference, Table 3 below provides an overview of the relevant forms to be used for each type of Schedule 2 declaration. The equivalent information for Schedule 3 declarations is shown in Table 4.

Table 3: Schedule 2 chemicals and facilities

Declarations	Applicable Forms	Declaration Deadline
Aggregate National Data		
Initial Declarations	B; 2.1 and 2.1.1	EIF (SP) + 30 days
Annual Declarations of Past Activities	B-1; 2.1 and 2.1.1	Year End + 90 days
Declarations of Plant Sites		
Initial Declarations	B; 2.2; 2.3; 2.3.1; 2.3.2; and 2.4	EIF (SP) + 30 days
Annual Declarations of Past Activities	B-1; 2.2; 2.3; 2.3.1; 2.3.2; and 2.4	Year End + 90 days
Annual Declarations of Anticipated Activities	B-2; 2.2; 2.3; 2.3.1; 2.3.2; and 2.5	Begin. of Year - 60 days
Additionally Planned Activities	B-3 (for each plant site); 2.2; 2.3; 2.3.1; 2.3.2; and 2.5 as required	Change - 5 days
Notification of Cessation of Declarable Activities	2.9	Submitted on voluntary basis as soon as possible after cessation.
Declaration of Past Production of Schedule 2 Chemicals for CW Purposes	B; 2.6; 2.7; 2.7.1; 2.7.2, 2.8 and 2.8.1	EIF (SP) + 30 days

Abbreviations:

EIF (SP) + 30 days:	Not later than 30 days after the Convention enters into force for the State Party
Year End + 90 days:	Not later than 90 days after the end of the previous calendar year.
Begin of Year - 60 days:	Not later than 60 days before the beginning of the following calendar year.
Change - 5 days:	Not later than 5 days before the additionally planned activity begins.

Table 4: Schedule 3 chemicals and facilities

Declarations	Applicable Forms	Declaration Deadline
Aggregate National Data		
Initial Declarations	B; 3.1 and 3.1.1	EIF (SP) + 30 days
Annual Declarations of Past Activities	B-1; 3.1 and 3.1.1	Year End + 90 days
Declarations of Plant Sites		
Initial Declarations	B; 3.2; 3.3 and 3.4	EIF (SP)+ 30 days
Annual Declarations of Past Activities	B-1; 3.2; 3.3 and 3.4	Year End + 90 days
Annual Declarations of Anticipated Activities	B-2; 3.2; 3.3 and 3.4	Begin. of Year - 60 days
Additionally Planned Activities	B-3 (for each Plant Site); 3.2; 3.3 and 3.4 as required	Change - 5 days
Notification of Cessation of Declarable Activities	3.8	Submitted on voluntary basis as soon as possible after cessation.
Declaration of Past Production of Schedule 3 Chemicals for CW Purposes	B; 3.5; 3.6; 3.7 and 3.7.1	EIF (SP) + 30 days

Abbreviations:

EIF (SP) + 30 days:	Not later than 30 days after the Convention enters into force for the State Party
Year End + 90 days:	Not later than 90 days after the end of the previous calendar year.
Begin of Year - 60 days:	Not later than 60 days before the beginning of the following calendar year.
Change - 5 days:	Not later than 5 days before an activity which is additionally planned after the annual declaration has been submitted begins.

2.1 Declarations of aggregate national data for Schedule 2 and 3 chemicals**2.1.1 Declaration requirements**

Initial and annual declarations to be provided by each State Party pursuant to Article VI, paragraphs 7 and 8, shall include aggregate national data for the previous calendar year on the quantities produced, processed, consumed, imported and exported of each Schedule 2 chemical, as well as a quantitative specification of import and export for each country involved. *(Paragraph 1 of Part VII of the VA)*

The initial and annual declarations to be provided by a State Party pursuant to Article VI, paragraphs 7 and 8, shall include aggregate national data for the previous calendar year on the quantities produced, imported and exported of each Schedule 3 chemical, as well as a quantitative specification of import and export for each country involved. *(Paragraph 1 of Part VIII of the VA)*

Each State Party shall submit declarations of aggregate national data (AND) in accordance with the deadlines for submission shown in Tables 3 and Table 4.

Hence, each State Party is required to provide for each Schedule 2 chemical aggregate totals of the amounts produced, processed, consumed, imported and exported for the country as a whole and similarly for each Schedule 3 chemical aggregate totals of the amounts produced, imported and exported for the country as a whole need to be provided. For imports and exports information on the countries traded with and the amounts involved are also required (i.e. how much did the declaring State Party import from Country A or how much did the declaring State Party export to Country B in the previous year). No information on individual shipments or activities of individual companies is required as part of AND.

Guidelines for Schedule 2 and Schedule 3 chemicals do not dictate how and on what basis States Parties should collect data, but rather how data collected should be reported (*reference C-7/DEC.14, dated 10 October 2002 and C-13/DEC.4, dated 3 December 2008*).

(a) Decisions affecting the declarability of AND activities

To avoid the need for AND declarations purely due to low level activities, for example production or import of a few grammes of a Schedule 2 chemical for research, guidelines were introduced in 2002 which introduced thresholds below which activities would not need to be declared (see section 2.1.2 (a) below). These thresholds apply to activities at the national level not at the level of a company, plant site or shipment.

Low Concentration Mixtures:

Declarations are not required for mixtures of chemicals containing 30 percent or less of a Schedule 2B or 3 chemical (*reference C-V/DEC.19, dated 19 May 2000*).

For mixtures containing Schedule 2A and 2A* chemicals no declarations are required for mixtures containing 1% or less of a Schedule 2A or 2A* chemical. In addition, production, processing and consumption AND does not need to be declared for mixtures containing between 1 and 10% of a Schedule 2A and 2A* chemical provided that the annual amount produced, processed, or consumed is less than the relevant verification threshold for Schedule 2 plant sites set out in paragraph 12 of Part VII of the VA (i.e. 10 kg for Schedule 2A* chemicals or 1 tonne for Schedule 2 A chemicals) (*reference C-14/DEC.4, dated 2 December 2009*).

Sub-distribution and packaging: The activities of sub-distribution and packaging are not to be considered as processing of Schedule 2 chemicals and are therefore not subject to declaration (*reference C-I/DEC.36, dated 16 May 1997*).

Understanding on Production: Production of a Schedule 2 or Schedule 3 chemical is understood, for declaration purposes, including AND declarations, to include all steps in the production of a chemical in any units within the same plant through chemical reaction, including any associated processes (e.g. purification, separation, extraction, distillation, or refining) in which the chemical is not converted into another chemical. The processing steps which are part of declared production shall not be declared separately as processing (*reference C-8/DEC.7, dated 23 October 2003*). Any such processing steps which however take place in a separate plant should be considered as processing for the purposes of making declarations (including AND declarations).

Groups (families) of alkylated chemicals as contained in the Annex on Chemicals of the Convention (reference [C-I/DEC.35, dated 16 May 1997](#))

The terms 'alkyl', 'cycloalkyl', 'alkylated' or 'Me' (methyl), 'Et' (ethyl), 'n-Pr' (n-propyl) or 'i-Pr' (iso-propyl) are to be understood literally, i.e. as not including any substituted alkyl, methyl, ethyl, etc. For example, this means that for the Schedule 2 chemicals which contain one carbon-phosphorus bond (Schedule 2B04), the criterion for inclusion is that, irrespective of the structure of the rest of the molecule, the alkyl (Me, Et, n-Pr, i-Pr) bonded to the phosphorus is unsubstituted.

Captive Use: Production of a Schedule 2 or Schedule 3 chemical is also understood, for declaration purposes, to include intermediates, by-products, or waste products that are produced and consumed within a defined chemical manufacturing sequence, where such intermediates, by-products, or waste products are chemically stable and therefore exist for a sufficient time to make isolation from the manufacturing stream possible, but where, under normal or design operating conditions, isolation does not occur (reference [C-9/DEC.6, dated 30 November 2004](#)).

2.1.2 Guidelines relating to declarations of AND

(a) Guidelines regarding declarations of aggregate national data for Schedule 2 chemical production, processing, consumption, import and export and Schedule 3 import and export ([C-7/DEC.14](#))

The Seventh Conference of States Parties agreed guidelines for the declaration of AND, the key elements of which are outlined below with additional explanations provided in italics:

- (i) that import and export data aggregated by each State Party in fulfilment of the declaration obligations of paragraph 1 of Part VII and paragraph 1 of Part VIII of the VA shall include activity by natural and legal persons transferring a declarable chemical between the territory of the declaring State Party and the territory of other States, as specified below; *(this means that the activities of individuals, companies and organisations, including traders, transferring Schedule 2 or 3 chemicals should be included)*
- (ii) that declarations by States Parties under paragraph 1 of Part VII of the VA shall include, using the relevant low concentration limit, production, processing, consumption, import, and export quantities of a given Schedule 2 chemical if the total for the year for that activity is more than the threshold specified for that chemical in subparagraphs 3(a), 3(b), or 3(c) of Part VII of the VA; *(this means that an activity must be included if the total quantity for the State Party is more than:*
 - 1 kg of a chemical designated "*" in Schedule 2, part A;*
 - 100 kg of any other chemical listed in Schedule 2, part A; or*
 - 1 tonne of a chemical listed in Schedule 2, part B.)*
- (iii) that declarations by States Parties under paragraph 1 of Part VIII of the VA shall include, using the relevant low concentration limit, import and export quantities of a Schedule 3 chemical if the total for the year for that activity is more than the

threshold specified in paragraph 3 of Part VIII of the VA; *(this means that an activity must be included if the total quantity of Schedule 3 chemical involved for the State Party is more than 30 tonnes)*

- (iv) that, in addition, where declarations by States Parties under paragraph 1 of Part VII and paragraph 1 of Part VIII of the VA have reported the import or export of a Schedule 2 or Schedule 3 chemical in accordance with the above paragraphs, separate declarations shall also include, using the relevant low concentration limit, the aggregate quantities of each chemical imported from, or exported to, each given sending or receiving State, which shall be specified. When a quantity reported in this particular declaration is less than the threshold specified for that chemical in paragraph 3 of Part VII or paragraph 3 of Part VIII of the VA, the quantity should be expressed as “<(relevant threshold quantity)”; *(this means that when the aggregate quantities imported or exported of a chemical have been reported the quantities imported from or exported to each sending or receiving State shall be specified and when that amount is below the relevant declaration threshold there is no need to specify the exact quantity but only to indicate that it is below the relevant declaration threshold set out above. For example, the export of 25 tonnes of a Schedule 3 chemical to a specific State should be indicated as <30 tonnes.)*
- (v) this decision does not dictate how and on what basis States Parties should collect data, but rather how data collected should be reported by States Parties to the Technical Secretariat.

Please note that no guidelines have yet been agreed for declarations of aggregate national data for Schedule 3 chemical production.

(b) Voluntary guidelines regarding declarations of import and export data for Schedule 2 and Schedule 3 chemicals ([C-13/DEC.4](#))

To help further harmonise the way State Parties report imports and exports and thereby reduce the number of discrepancies where the quantities declared by the importing and exporting States Parties do not match, the thirteenth Conference of States Parties agreed voluntary guidelines in 2008. These voluntary guidelines were solely for the purposes of submitting declarations of import and export as part of AND declarations (under paragraph 1 of Part VII and paragraph 1 of Part VIII of the VA) and of declaration of imports and exports at Schedule 2 plant sites (under paragraphs 8(b) and 8(c) of Part VII). The key elements of these guidelines are set out below:

- (i) The term ‘import’ shall be understood to mean the physical movement of scheduled chemicals into the territory or any other place under the jurisdiction or control of a State Party from the territory or any other place under the jurisdiction or control of another State, excluding transit operations.
- (ii) The term ‘export’ shall be understood to mean the physical movement of scheduled chemicals out of the territory or any other place under the jurisdiction or control of a State Party into the territory or any other place under the jurisdiction or control of another State, excluding transit operations.
- (iii) Transit operations referred to above shall mean the physical movements in which scheduled chemicals pass through the territory of a State on the way to their intended State of destination. Transit operations include changes in the means of transport, including temporary storage only for that purpose.

- (iv) For the purposes of declaring imports under paragraphs 1, 8(b) and 8(c) of Part VII and paragraph 1 of Part VIII of the VA, the declaring State Party shall specify the State from which the scheduled chemicals were dispatched, excluding the States through which the scheduled chemicals transited and regardless of the State in which the scheduled chemicals were produced.
- (v) For the purposes of declaring exports under paragraphs 1, 8(b) and 8(c) of Part VII and paragraph 1 of Part VIII of the VA, the declaring State Party shall specify the intended State of destination, excluding the States through which the scheduled chemicals transited.
- (vi) Guidelines for Schedule 2 and Schedule 3 chemicals do not dictate how and on what basis States Parties should collect data, but rather how data collected should be reported.

2.1.3 Forms to be used

All forms are to be found in Annex B. Guidance notes on the most commonly used forms are to be found together with the relevant form.

For each Schedule 2 chemical produced, processed, consumed, imported or exported above the declaration threshold, the State Party shall provide its aggregate national data for the previous calendar year. **Form 2.1** is to be used to declare aggregate national data for both initial and annual declarations. **Form 2.1.1** should be used to declare the quantitative specification of imports and exports of each country involved.

For each Schedule 3 chemical produced, imported or exported above the declaration threshold, the State Party shall provide its aggregate national data for the previous calendar year. **Form 3.1** is to be used to declare aggregate national data for both initial and annual declarations. **Form 3.1.1** should be used to declare the quantitative specification of imports and exports of each country involved.

2.1.4 Common problems in declaring AND

Problems with declaring production, processing or consumption AND, other than simple calculation or typographical errors, are relatively infrequent. Problems with declarations of import and export AND on the other hand are a major issue and the level of discrepancies between declared imports and exports (transfer discrepancies) is a long standing issue which various attempts have been made to address. Despite some improvements in recent years around a third of all transfers result in discrepancies involving over half the worldwide trade in these chemicals (i.e. more than 160 000 tonnes for 2010 for example). Please see EC-67/S/1, dated 16 January 2012 for more details.

A number of factors have been identified as potential causes for transfer discrepancies⁷, these include:

- (a) Lack of effective national legislation to allow National Authorities to collect all necessary data
- (b) Lack of awareness among traders/industry and amongst customs officers

⁷ See for example EC-XXIII/S.1, dated 12 January 2001 and EC-67/S/1, dated 16 January 2012

- (c) Differing approaches to declarations of trade in mixtures – in particular the use of different low concentration thresholds from those agreed by the Conference (see section 2.1.1)
- (d) Lack of harmonization in reporting due to differing understandings of the terms import and export (addressed by voluntary guidelines set out in 2.1.2 above)
- (e) Trade over the year end (where export takes place at the end of one year but the import occurs early in the following year)
- (f) Simple clerical errors or confusion over units of weight

As part of its analysis of AND data the Secretariat matches up imports and exports to identify transfer discrepancies and then writes to both States Parties involved in a discrepancy to encourage them to review their data and consult together with a view to resolving the discrepancy. Detailed guidance on ways to resolve transfer discrepancies, including examples of indicators to the causes of discrepancies and checklists for National Authorities and industry, is included at Annex C.

2.2 Transfers of Schedule 2 and Schedule 3 chemicals to States not Party to the CWC

A brief summary of restrictions on trade in Schedule 2 and 3 chemicals with States not Party to the CWC is set out in Table 5 and described in detail in sections 2.2.1 and 2.2.2.

Table 5: Restrictions on trade in Schedule 2 and 3 chemicals with States not Party

Schedule	Restrictions	Exceptions
Schedule 2	Transfer of any amount of a Schedule 2 chemical to or from a State not Party is prohibited	Transfers to States not Party are allowed for: - Products containing: ≤ 1% of a Schedule 2A/2A* chemical ≤ 10% of a Schedule 2B chemical - Products identified as consumer goods packaged for retail sale for personal use or packaged for individual use
Schedule 3	Transfer of any amount of a Schedule 3 chemical to a State not Party may only take place upon receipt by the State Party of a suitable end-use certificate (see section 2.2.2) from the competent government authority in the State not Party.	No end-use certificate is required for: - Products containing ≤ 30% of a Schedule 3 chemical - Products identified as consumer goods packaged for retail sale for personal use or packaged for individual use

2.2.1 Transfers of Schedule 2 chemicals

As of 29 April 2000, Schedule 2 chemicals shall only be transferred to or received from States Parties, in accordance with paragraph 31 of Part VII of the VA, i.e. both the transfer of Schedule 2 chemicals to States not Party and the receipt of Schedule 2 chemicals from States not Party are prohibited, with the exception of the exemptions set out below.

The Conference of States Parties at its Fifth Session decided (*reference [C-V/DEC.16, dated 17 May 2000](#)*) that, with regard to the application of the provisions on transfers of Schedule 2 chemicals to and from States not Party to the Convention, paragraph 31 of Part VII of the VA shall not apply to:

- (a) products containing one percent or less of a Schedule 2A or 2A* chemical;
- (b) products containing 10 percent or less of a Schedule 2B chemical; and
- (c) products identified as consumer goods packaged for retail sale for personal use or packaged for individual use

2.2.2 Transfers of Schedule 3 chemicals

In accordance with paragraph 26 of Part VIII of the VA when transferring Schedule 3 chemicals to States not Party to this Convention, each State Party shall adopt the necessary measures to ensure that the transferred chemicals shall only be used for purposes not prohibited under this Convention. *Inter alia*, the State Party shall require from the recipient State a certificate stating, in relation to the transferred chemicals:

- (a) That they will only be used for purposes not prohibited under this Convention;
- (b) That they will not be re-transferred;
- (c) Their types and quantities;
- (d) Their end-use(s); and
- (e) The name(s) and address(es) of the end-user(s).

The Conference of States Parties in its Third Session decided (*reference [C-III/DEC.6, dated 17 November 1998](#)*) that the terms “(d) Their end-use(s); and (e) The name(s) and address(es) of the end-user(s)”, in cases of transfers to importers in States not Party to the Convention who are not the actual end-users (e.g. trading firms), shall be understood to mean that, in these cases, before authorising transfers, a statement of the importer, in a manner consistent with paragraph 26 of Part VIII of the VA of the Convention, and of national legislation and practices, shall be obtained, whereby the importer will be obliged to specify name(s) and address(es) of the end-user(s).

The Conference of States Parties in its Third Session decided (*reference [C-III/DEC.7, dated 17 November 1998](#)*) that the term “shall require from the recipient State a certificate”, as used in paragraph 26 of Part VIII of the VA, shall be understood to mean “end-use certificates issued by the competent government authority of States not Party to this Convention”, and shall contain all the requisites established in subparagraphs (a) to (e) of the paragraphs referred to above.

The Conference of States Parties in its Sixth Session decided (*reference [C-VI/DEC.10, dated 17 May 2001](#)*) that with regard to the application of the obligation to require an end-use certificate for transfers of Schedule 3 chemicals to States not Party to the Convention, and without prejudice to the right of any State Party to adopt a more restrictive approach, that end-use certificates are not required for:

- (a) products containing 30 percent or less of a Schedule 3 chemical;
- (b) products identified as consumer goods packaged for retail sale for personal use, or packaged for individual use

Each end-use certificate should be initiated by the exporter, importer or end-user. It should be certified by the end-user(s) and by a responsible official from the recipient State in a government

agency which is appropriate to the end-use for each Schedule 3 chemical to be exported to a State not party to the Convention.

It is important for end-users in States not Party to the Convention to note that end-use certificates, appropriately certified by a responsible official of the recipient State in a government agency which is appropriate to the end-use, should be in the safekeeping of either the exporting State Party's National Authority for CWC implementation or its government agency responsible for export control before the Schedule 3 chemical in question is exported.

There is no requirement for end-use certificates to be submitted to the Secretariat.

Sample End- Use Certificate

A sample End-use Certificate form (Form T30) is attached in Annex B. This form should be completed prior to transfers of Schedule 3 chemicals to States not Party to the Convention.

The exporter's transfer identification at the beginning of Form T30 should be obtained from the exporting State Party's National Authority for CWC implementation or from the government agency which is responsible for export control:

- (a) the country code to be provided is that of the exporting State Party, and is not to be that of the recipient State (see Appendix 1 of the Declarations Handbook);
- (b) "Year" refers to the calendar year in which it is anticipated that the transfer of the Schedule 3 chemical in question will actually take place; and
- (c) the "transfer number" refers to a sequential number that will be uniquely assigned to each transfer of a Schedule 3 chemical.

Each Schedule 3 chemical to be transferred should be identified by its IUPAC chemical name and by its CAS registry number. The total quantity (in kilograms) of each Schedule 3 chemical to be transferred should be specified.

The end-use(s) of each Schedule 3 chemical to be transferred should be specified using the product group codes listed in Appendix 4 of the Declarations Handbook.

For each end-user who is to process or consume the Schedule 3 chemical in question, the following information should be provided:

- (a) Name of authorised representative of end-user
- (b) Position of authorised representative of end-user
- (c) Up-to-date and complete organisational title of end-user
- (d) Up-to-date and complete address of end-user including, and if applicable, postal code, PO box number, fax number, and e-mail address
- (e) Quantity (in kilograms) of the Schedule 3 chemical to be transferred to the end-user

If more than three end-uses or more than three end-users are to be involved in a single export transaction, additional forms should be completed using the same transfer identification number.

2.3 Schedule 2 facilities

2.3.1 Declarations of plant sites producing, processing or consuming Schedule 2 chemicals

(a) Declaration requirements

In accordance with paragraph 3 of Part VII of the VA initial and annual declarations are required for plant sites that comprise one or more plant(s) which produced, processed or consumed during any of the previous three calendar years, or are anticipated to produce, process or consume in the next calendar year more than:

- (i) 1 kg for a chemical designated "*" in Schedule 2, Part A;
- (ii) 100 kg for any other chemical listed in Schedule 2, Part A; or
- (iii) 1 tonne for a chemical listed in Schedule 2, Part B.

Please note that if a plant site during any of the previous three calendar years ONLY imported and/or exported, or is anticipated to ONLY import and/or export in the next calendar year a Schedule 2 chemical, this plant site is not declarable.

(b) Decisions affecting the declarability of Schedule 2 plant sites

Low Concentration Mixtures:

Declarations are not required for mixtures of chemicals containing 30 percent or less of a Schedule 2B chemical (*reference [C-V/DEC.19](#)*).

For mixtures containing Schedule 2A and 2A* chemicals no declarations are required for mixtures containing 1% or less of a Schedule 2A or 2A* chemical. In addition, plant sites which produce, process or consume a mixture containing between 1 and 10% of a Schedule 2A and 2A* chemical do not need to be declared provided that the annual amount produced, processed, or consumed is less than the relevant verification threshold set out in paragraph 12 of Part VII of the VA (i.e. 10 kg for Schedule 2A* chemicals or 1 tonne for Schedule 2 A chemicals). (*reference [C-14/DEC.4](#), dated 2 December 2009*).

Sub-distribution and packaging: The activities of sub-distribution and packaging are not to be considered as processing of Schedule 2 chemicals and are therefore not subject to declaration (*reference [C-I/DEC.36](#), dated 16 May 1997*).

Waste disposal: A plant site containing a plant in which a Schedule 2 chemical is consumed in a waste management or disposal system in quantities above the threshold for that chemical shall declare this consumption in accordance with Part VII, paragraph 8 (*reference [C-I/DEC.37](#), dated 16 May 1997*).

Captive Use: Production of a Schedule 2 chemical is understood, for declaration purposes, to include intermediates, by-products, or waste products that are produced and consumed within a defined chemical manufacturing sequence, where such intermediates, by-products, or waste products are chemically stable and therefore exist for a sufficient time to make isolation from the manufacturing stream possible, but where, under normal or design operating conditions, isolation does not occur (*reference [C-9/DEC.6](#)*). Since some of these intermediates are produced and consumed, but are not directly measured or inventoried, declarations may be based on a calculated theoretical basis.

Understanding on Production: Production of a Schedule 2 chemical is understood, for declaration purposes, to include all steps in the production of a chemical in any units within the same plant through chemical reaction, including any associated processes (e.g. purification, separation, extraction, distillation, or refining) in which the chemical is not converted into another chemical. The exact nature of any associated process (e.g. purification, etc.) is not required to be declared. The processing steps which are part of declared production shall not be

declared separately as processing (*reference [C-8/DEC.7](#)*). Any such processing steps which however take place in a separate plant should be considered as processing for the purposes of making declarations (including AND declarations).

Groups (families) of alkylated chemicals as contained in the Annex on Chemicals of the Convention (*reference [C-I/DEC.35](#)*)

The terms 'alkyl', 'cycloalkyl', 'alkylated' or 'Me' (methyl), 'Et' (ethyl), 'n-Pr' (n-propyl) or 'i-Pr' (iso-propyl) are to be understood literally, i.e. as not including any substituted alkyl, methyl, ethyl, etc. For example, this means that for the Schedule 2 chemicals which contain one carbon-phosphorus bond (Schedule 2B04), the criterion for inclusion is that, irrespective of the structure of the rest of the molecule, the alkyl (Me, Et, n-Pr, i-Pr) bonded to the phosphorus is unsubstituted.

Recycled Schedule 2 chemicals (*reference [C-I/DEC.42, dated 16 May 1997](#)*)

Recycled Schedule 2 chemicals are Schedule 2 chemicals that are partly converted or consumed in a process and then recovered and re-introduced into the process upstream for another cycle of conversion or consumption followed by recovery. Such a process should be declared as consumption if in effect the initial amount of Schedule 2 chemical present plus any amount added to compensate for losses due to incomplete recovery during the year is more than the declaration threshold. Such processes operating at levels above the declaration threshold are very rare and if such a process is identified [C-I/DEC.42, dated 16 May 1997](#), should be consulted for more details or the State Party should contact the Secretariat to discuss how to declare the plant site.

For definitions and explanations common to most industrial declarations see section 1.5.

(c) Forms to be used

All forms are to be found in Annex B. Guidance notes on the most commonly used forms are to be found together with the relevant form.

For each declarable plant site, the following information has to be declared on the following forms:

- (i) plant site information: **Form 2.2**;
- (ii) Schedule 2 plant information: **Forms 2.3, 2.3.1 and 2.3.2**; and
- (iii) information on Schedule 2 chemical(s) at the plant site. In the case of the initial declaration and annual declarations of past activities, use **Form 2.4**. In the case of annual declarations on anticipated activities, use **Form 2.5**.

In case of initial declarations States Parties shall declare the total amount produced, processed, consumed, imported and exported by the plant site in each of the three previous calendar years, while for the annual declaration on past activities it is for the previous year only. In the case of annual declarations of anticipated activities the States Parties shall declare the total amount anticipated to be produced, processed or consumed by the plant site in the following calendar year.

For each declarable plant, **Form 2.3.1** shall be used for the declaration of activities in relation to Schedule 2 chemical(s). The production capacity, if applicable, for each declared Schedule 2 chemical should be declared using **Form 2.3.2**.

Note if the Schedule 2 plant also produces Schedule 3 chemical(s) above the declaration threshold, this **mixed plant** should also have been declared under the Schedule 3 plant site

declaration. If the plant also produces DOCs this plant and its DOC production should also be taken into account in any declaration under Part IX of the VA. (For the definition of a "mixed plant", see section 1.5).

For each declarable Schedule 2 chemical produced, processed or consumed at the plant site, each State Party shall complete **Form 2.4**.

In the case of annual declarations of anticipated activities, the time periods shall be declared using **Form 2.5**. The time periods of the activities that are anticipated to occur should be as precise as possible, but preferably should be accurate to within a 3-month period. The declaration requirement in relation to these time periods does not necessarily mean that individually planned production (processing, consumption) campaigns need to be declared.

Declarations of additionally planned activities

After the annual declaration of anticipated activities has been submitted, the CWC requires any State Party to declare additionally planned activities for that calendar year not later than 5 days before this activity begins. The earliest date of the first activity to start at each plant site should be provided either using the **Form B-3** for each plant site or as a comment in EDNA for the amendment of the electronic declaration, or in the cover letter accompanying the declarations. In addition, the appropriate additional or amended Schedule 2 forms listed below should be provided.

Declarations of additionally planned activities shall be made for (*reference [C-I/DEC.38, dated 16 May 1997](#)*):

- (i) any additionally planned activity during the year which is covered by the annual anticipatory declaration that involves:
 - an undeclared plant that initiates the production, processing or consumption of a Schedule 2 chemical during that year above the declaration thresholds: **Forms 2.2 and 2.3, 2.3.1, 2.3.2 and 2.5;**
 - an additional Schedule 2 chemical that is produced, processed or consumed in a declared plant during that year: **Forms 2.2, 2.3, 2.3.1, 2.3.2 and 2.5;**
 - an additional type of activity related to a Schedule 2 chemical (processing, consumption, direct export, or sale or transfer) at the declared plant site: **Forms 2.2, 2.3, 2.3.1, 2.3.2 and 2.5;**
 - any other non-quantitative change in relation to the anticipatory declarations (except the name of the plant site or plant, the name of the owner, company, or enterprise operating it, and the address of the plant site or plant– such changes should be communicated when the next declaration is due): **Forms 2.2, 2.3, 2.3.1, 2.3.2 and 2.5 as appropriate;**
- (ii) any quantitative upward change that changes the status of a declared Schedule 2 plant (thus crossing the verification threshold), **Form 2.5;**
- (iii) any additional period in which a declarable activity in relation to a Schedule 2 chemical takes place. Any change related to the declared period has to be declared when the starting or ending date of the declared anticipated production, processing or consumption falls outside of the declared three-month time window in the annual anticipated declaration; **Form 2.5;** and
- (iv) any increase in the declared anticipated annual production, processing or consumption figure for a Schedule 2 chemical: **Form 2.5.**

Cessation of declarable activities

When a declared Schedule 2 plant site ceases declarable activities States Parties are encouraged to voluntarily inform the Secretariat of this cessation using **Form 2.9** (*reference [paragraph 9.62 of RC-2/4, dated 18 April 2008](#)*).

2.3.2 Declarations of plant sites which produced Schedule 2 chemicals for chemical weapons purposes

Each State Party shall declare all plant sites which comprise plants that at any time since 1 January 1946 produced a Schedule 2 chemical for chemical weapons purposes.

Note that for the declaration of plant sites, on **Form 2.6**, there is no declaration threshold. The same applies for information on Schedule 2 chemical(s) produced at the plant site since 1 January 1946 for chemical weapons purposes.

- (a) **For each plant site in this category**, the following information has to be declared for each plant at the plant site: in case plant sites produced, processed or consumed a Schedule 2 chemical during the previous calendar year, submit information on plants at the plant site: **Forms 2.7, 2.7.1 and 2.7.2**.
- (b) **For each Schedule 2 chemical** that was produced at the plant site for chemical weapons purposes at any time since 1 January 1946, **Form 2.8** shall be used. For the declaration of the location, if known, to which the chemical was delivered and where the final product, if known, was produced, **Form 2.8.1** shall be used.
- (c) Please note that for **Forms 2.6, 2.7, 2.8 and 2.8.1** declarations are triggered because of past activities (since 1 January 1946). In **Form 2.7** however, the item "Main Activities" relates to present activities of the plant. Similarly, the information required for **Forms 2.7, 2.7.1 and 2.7.2** also relates to present activities at declarable plants that, in the past, produced Schedule 2 chemicals for chemical weapons purposes. For that reason these plants should have also been declared using **Forms 2.3, 2.3.1 and 2.3.2**.

2.4 Schedule 3 facilities

2.4.1 Declarations of plant sites producing Schedule 3 chemicals

(a) Declaration requirements and key decisions affecting declarability of Schedule 3 plant sites

In accordance with paragraph 3 of Part VIII of the VA initial and annual declarations are required for plant sites that comprise one or more plant(s) which produced during the previous calendar year or are anticipated to produce in the next calendar year more than 30 tonnes of a Schedule 3 chemical.

Low Concentration Mixtures: Declarations are not required for mixtures of chemicals containing 30 percent or less of a Schedule 3 chemical (*reference [C-V/DEC.19](#)*).

Captive Use: Production of a Schedule 3 chemical is understood, for declaration purposes, to include intermediates, by-products, or waste products that are produced and consumed within a defined chemical manufacturing sequence, where such intermediates, by-products, or waste products are chemically stable and therefore exist for a sufficient time to make isolation from the manufacturing stream possible, but where, under normal or design operating conditions, isolation does not occur (*reference [C-9/DEC.6](#)*).

Understanding on Production: Production of a Schedule 3 chemical is understood, for declaration purposes, to include all steps in the production of a chemical in any units within the same plant through chemical reaction, including any associated processes (e.g. purification,

separation, extraction, distillation, or refining) in which the chemical is not converted into another chemical. The exact nature of any associated process (e.g. purification, etc.) is not required to be declared (*reference* [C-8/DEC.7](#)).

For definitions and explanations common to most industrial declarations see section 1.5.

(b) Forms to be used

All forms are to be found in Annex B. Guidance notes on the most commonly used forms are to be found together with the relevant form.

For each declarable plant site, the following information has to be declared:

- (i) plant site information: **Form 3.2**
- (ii) plant information: **Form 3.3**; and
- (iii) information on Schedule 3 chemicals at the plant site: **Form 3.4**.

If the declared Schedule 3 plant also produces, processes or consumes Schedule 2 chemical(s) above the declaration threshold, this **mixed plant** should also have been declared under the Schedule 2 plant site declaration. If the plant also produces DOCs this plant and its DOC production should also be taken into account in any declaration under Part IX of the VA. (For the definition of a "mixed plant", see section 1.5).

Declarations of additionally planned activities

After the annual declaration of anticipated activities has been submitted, the CWC requires any State Party to declare additionally planned activities at that plant site not later than 5 days before these activities begin. The earliest date of the first activity to start at each plant site should be provided either using the **Form B-3** for each plant site or as a comment in EDNA for the amendment of the electronic declaration, or in the cover letter accompanying the declarations. In addition, the appropriate additional or amended Schedule 3 forms listed below should be provided.

"Additionally planned activity" means (*reference* [C-I/DEC.38](#)):

- (i) any additionally planned activity during the year which is covered by the annual anticipatory declaration that involves:
 - an undeclared plant that initiates production of a Schedule 3 chemical during that year above the declaration thresholds: **Forms 3.2 and 3.3**;
 - an additional Schedule 3 chemical that is produced in a declared plant during that year **Forms 3.3 and 3.4**;
 - a change of the purpose for which Schedule 3 chemical(s) will be produced at the declared plant site: **Form 3.4**;
 - any other non-quantitative change in relation to the anticipatory declarations (except the name of the plant site or plant, the name of the owner, company, or enterprise operating it, and the address of the plant site or plant – such changes should be communicated when the next declaration is due): **Form 3.4**;
- (ii) any quantitative upward change that changes the status of a declared Schedule 3 plant (thus crossing the verification threshold), **Form 3.4**; and
- (iii) any upward change in the production range given in the declared anticipated annual production of the Schedule 3 chemical: **Form 3.4**.

Please note in making a declaration of additionally planned activities the date upon which these activities are expected to begin should be provided, either on **Form B-3** or in a cover letter or in a comment in an electronic amendment in EDNA.

Cessation of declarable activities

When a declared Schedule 3 plant site ceases declarable activities States Parties are encouraged to voluntarily inform the Secretariat of this cessation using **Form 3.8** (reference [paragraph 9.62 of RC-2/4](#)).

2.4.2 Declarations of past production of Schedule 3 chemicals for chemical weapons purposes

Each State Party shall declare all plant sites which comprise plants that at any time since 1 January 1946 produced a Schedule 3 chemical for chemical weapons purposes.

Note that, for these declarations, there is no declaration threshold.

- (a) **For each plant site**, the following information has to be declared:
 - (i) information on the plant site: **Form 3.5**;
 - (ii) information on the plants: **Forms 3.6**.
- (b) **For each Schedule 3 chemical** that was produced for chemical weapons purposes at any time since 1 January 1946 at the plant site, **Form 3.7** shall be used. For the declaration of the location, if known, to which the chemical was delivered and where the final product, if known, was produced, **Form 3.7.1** shall be used.
- (c) Please note that for **Forms 3.5, 3.6, 3.7 and 3.7.1** declarations are triggered because of past activities for chemical weapons purposes. In **Form 3.6** however, the item "Main Activities" relates to present activities of the plant.

2.5 Common problems in declaring Schedule 2 and Schedule 3 facilities

Many of the common problems affecting both Schedule 2 and Schedule 3 facility declarations are the same; hence they will be treated together.

2.5.1 Missing previous declarations for newly declared plant sites

Schedule 2 and 3 plant sites are sometimes only identified and declared after they have been operating for a number of years, however, in many cases only the most recent annual declaration is submitted. This fact is sometimes only found during the initial inspection of the plant site.

If such a plant site is identified amendments should be made to all annual past declarations, (declarations of facilities and declarations of aggregate national data) for which the plant site had declarable activities, to the extent available records allow, plus the most recent annual declaration of anticipated activities.

2.5.2 Missing annual declarations for plant sites which drop below the declaration threshold (nil declarations)

A number of States Parties do not provide declarations for sites which were above the declaration threshold in the previous declaration but which either ceased activities or whose activities have dropped below the declaration threshold for the current declaration year. In cases where the declaration is missing the Secretariat does not know whether the plant site has dropped below the threshold or the declaration has been omitted in error. Hence, it is strongly recommended that States Parties at least provide a list of plant sites for which a declaration

would be expected⁸, but which were below the declaration threshold. To inform the Secretariat of the status of a previously declared Schedule 3 plant site where the production of Schedule 3 chemical(s) has dropped below the declaration threshold for the current declaration year the Forms 3.2, 3.3 and 3.4 can be submitted indicating <B21 (i.e. below the declaration threshold) in the Form 3.4.

2.5.3 Missing or late declarations of additionally planned activities

In accordance with paragraph 4(c) of Part VII of the VA and paragraph 4(c) of Part VIII of the VA any additionally planned activities that are identified after the submission of the annual declaration of anticipated activities should be declared not later than five days before the activity begins. In practise many such additional activities declarations are not made in a timely manner and in many cases are only identified when the relevant annual declaration of past activities is received or during an inspection. The lack of such timely declarations can impact inspection planning; hence, any such additionally planned activities should be declared in a timely manner. If additionally planned activities which have already commenced are identified by the State Party these should be declared without delay.

3. Declarations of “other chemical production facilities” (OCPFs)

3.1 Declaration requirements for OCPFs

In accordance with paragraph 1 of Part IX of the VA each State Party has to provide information on all plant sites that:

- (a) produced by synthesis during the previous calendar year more than 200 tonnes of unscheduled discrete organic chemicals (DOCs); or
- (b) comprise one or more plants which produced by synthesis during the previous calendar year more than 30 tonnes of a DOC containing the elements phosphorus, sulfur or fluorine (a PSF-chemical).

Plant sites that exclusively produced explosives or hydrocarbons shall be exempted from the above-mentioned declaration requirements (*paragraph 2 of Part IX of the VA*). Note, however, that explosives and hydrocarbons are still considered DOCs if they otherwise meet the definition of “discrete organic chemical” set out below (See section 3.2.1). Hence, if there is any production by synthesis of other DOCs in addition to the production of hydrocarbons or explosives at the plant site, that plant site is **not** exempted from declaration and the amounts of hydrocarbons or explosives produced must be counted when considering if the plant site is above the declaration thresholds set out above (see section 3.4.5 for more details).

Unlike for Schedule 2 and 3 chemicals, the Convention does not contain any exemption for mixtures containing a low concentration of DOCs.

⁸ For Schedule 2 plant sites a declaration would be expected if they were above the declaration threshold in any of the previous three calendar years or are anticipated to be so in the next calendar year. For Schedule 3 plant sites a declaration would be expected if they were above the declaration threshold in the previous calendar year or are anticipated to be so in the next calendar year

3.2 Definitions and explanations pertaining to OCPFs

3.2.1 Definitions which pertain to declarations of OCPFs

The following CWC definitions specifically pertain to declarations **of OCPFs**:

"Discrete organic chemical" ⁹ means any chemical belonging to the class of chemical compounds consisting of all compounds of carbon except for its oxides, sulfides and metal carbonates, identifiable by chemical name, by structural formula, if known, and by Chemical Abstracts Service (CAS) registry number, if assigned. (*Paragraph 4 of Part I of the VA*).

"PSF-chemical" is defined as an unscheduled discrete organic chemical containing the elements phosphorus, sulfur or fluorine. (*Paragraph 1(b) of Part IX of the VA*)

"PSF-plant" is defined as a plant which produced by synthesis during the previous calendar year more than 30 tonnes of a PSF-chemical. (*Paragraph 1(b) of Part IX of the VA*)

For definitions and explanations common to most industrial declarations see section 1.5.

3.2.2 Specific explanations which pertain to OCPF declarations

(a) Chemicals not covered by the definition of "unscheduled discrete organic chemical"
(Reference [C-I/DEC.39, dated 16 May 1997](#))

The term "unscheduled discrete organic chemical" referred to in subparagraph 1(a) of Part IX of the VA and the term "PSF-chemical" referred to in subparagraph 1(b) of the same Part do not cover:

- (i) oligomers and polymers, whether or not containing phosphorus, sulfur or fluorine; and
- (ii) chemicals containing only carbon and a metal.

Note although oligomers and polymers are excluded, production of the monomers, however, is covered by the term provided that the monomer otherwise meets the definition of a DOC. Hence plants and plant sites may be declarable due to the production of the monomers at the plant site, even if their final product is a polymer. No definition of an oligomer in this context has been agreed by States Parties but it is recommended that in general molecules made up of three or more repeating units should be considered as oligomers and not considered as declarable DOCs. Molecules with three repeating units which have no possibility to undergo further chain extension by addition of a further monomer unit should, however, be considered as declarable DOCs.

Oxides and sulfides of carbon (plus metal carbonates) are excluded from the definition of DOCs. The term "oxides of carbon" in the definition of DOCs refers to carbon monoxide and carbon dioxide. The term "sulfides of carbon" in the same definition refers to carbon disulfide. Both terms refer to carbonyl sulfide. (Reference [C-I/DEC.39](#)).

⁹ Note that compounds of carbon which are generally considered inorganic but which are not specifically excluded from the definition, for example cyanide salts such as sodium cyanide, are still considered to be DOCs

(b) "hydrocarbon" (Reference [C-I/DEC.39](#))

The term "hydrocarbon", referring to production which is excluded from the coverage of Part IX, includes all hydrocarbons (i.e. chemicals containing only carbon and hydrogen), irrespective of the number of carbon atoms in the compound.

(c) "approximate aggregate amount of production of unscheduled discrete organic chemicals" (Reference [C-I/DEC.39](#))

In calculating the "approximate aggregate amount of production of unscheduled discrete organic chemicals" at the plant site pursuant to subparagraph 1(a) of Part IX of the VA, the production data shall be aggregated in a way that includes:

- (i) in the case of the production of two or more DOCs at the same plant, the aggregate of all of these DOCs;
- (ii) in the case of multistep processes, only the quantity of the final product if it is a DOC, or the quantity of the last intermediate in the multistep synthesis that meets the definition of a DOC; and
- (iii) in the case of intermediates meeting the definition of a DOC and being used by another plant at the plant site to produce a DOC, the amount of the intermediate and of the product manufactured from it at that other plant.

3.3 Declaration timelines and forms to be used

Each State Party is required to provide an **initial declaration** on their "other chemical production facilities" not later than 30 days after the convention enters into force for it (*paragraph 3 of Part IX of the VA*).

Each State Party is required **to update** yearly the information provided in the initial declaration, not later than 90 days after the beginning of the following calendar year (*paragraph 3 of Part IX of the VA*).

For each declarable plant site, the information with regard to the plant site and its declarable activities should be provided using **Form 4.1**. This form together with detailed question-by-question guidance on completing Form 4.1 is provided in Annex B.

The Secretariat encourages States Parties to replace their entire list of declarable OCPF each year and clearly state in a covering letter that this list replaces all previous lists. This approach will help to ensure that the Secretariat holds the most up to date information about each plant site and will minimize the risk of inspections at plant sites which have ceased activities but for which no update has been received (see section 3.4.2 for further details on this problem). For States Parties which wish to continue updating individual plant site declarations rather than replacing their full list the Secretariat will follow the procedure below in interpreting the submitted 4.1 forms, unless requested otherwise by the submitting State Party:

- (a) If a Form 4.1 is provided for a plant site, which is not already on the list of declared plant sites, the plant site will be added to the list of declared plant sites.
- (b) If a Form 4.1 is provided for a plant site, which is already on the list of declared plant sites, the information for that plant site will be treated as an update which replaces any previously submitted data.
- (c) If no Form 4.1 is submitted for a plant site, which is on the list of declared plant sites, the previously submitted information will be considered to have remained unchanged

and the plant site will remain on the list unless its removal is specifically requested by the State Party concerned.

In addition to the annual update States Parties are encouraged to inform the Secretariat in writing as soon as practicable of any OCPF where the declarable activities have been ceased during the year or the aggregate amount of production of the unscheduled discrete organic chemicals (including any amount of PSF-chemicals) has dropped below the declaration threshold. For a previously declared OCPF where the aggregate amount of production of the unscheduled discrete organic chemicals (including any amount of PSF-chemicals) has dropped below the declaration threshold for the current declaration year the Form 4.1 can be submitted indicating <B31 (i.e. below the declaration threshold).

For quick reference, Table 6 below provides an overview of the relevant forms to be used for each type of declaration of other chemical production facilities.

Table 6: Other chemical production facilities

Declarations	Applicable Forms	Declaration Deadline
Declarations of Plant Sites		
Initial Declarations	B; 4.1;	EIF (SP) + 30 days
Annual Update of the List of Declarable Plant Sites	B-1; 4.1;	Year End + 90 days

Abbreviations:

EIF (SP) + 30 days:	Not later than 30 days after the Convention enters into force for the State Party
Year End + 90 days:	Not later than 90 days after the end of the previous calendar year.

3.4 Common Problems in declaring OCPFs

3.4.1 Declaration of non-declarable plant sites

Errors in the interpretation of OCPF declaration requirements by the plant site or National Authority can result in the declaration of non-declarable OCPFs. Such errors include:

- Declaration of plant sites or plants only processing DOCs (only production by synthesis is declarable under paragraph 1 of Part IX of the VA). For example, a plant site may consider that they “produce” a chemical based product such as a pesticide or pharmaceutical but they are actually only buying in the active ingredients and formulating these for sale. If there is no chemical reaction involved this is not considered production under the CWC and the activities are not declarable under Part IX of the VA.
- Inclusion of polymers in the aggregate amount of production - the First Conference decided that oligomers and polymers are not to be considered as DOCs ([reference C-I/DEC.39](#)). However, even a plant site which only produces polymers as its final products may still be declarable if the monomer starting material is produced on site.
- Inclusion of chemicals in the aggregate amount of production which do not meet the definition of DOCs as set out in paragraph 4, Part I of the VA, such as inorganic chemicals; in particular, inorganic chemicals containing the elements phosphorus, sulfur or fluorine but no carbon (e.g. sulfuric acid) are often incorrectly considered as PSF-chemicals – such chemicals may contain phosphorus, sulfur or fluorine but they are not DOCs and hence cannot be PSF-chemicals (which are defined as unscheduled discrete

organic chemicals containing the elements phosphorus, sulfur or fluorine. (Paragraph 1(b) of Part IX of the VA)).

- (d) Declaration of plant sites that exclusively produce hydrocarbons or explosives – such plant sites are specifically excluded under paragraph 2 of Part IX of the VA (but see section 3.4.5 below).

In some cases the Secretariat can identify potentially non-declarable plant sites from information provided in declarations, particularly if the State Party has voluntarily provided additional information such as which chemicals were produced. Due to the very limited information required for OCPF declarations, however, in most cases these issues are only identified when the plant site receives an on-site inspection. Such interpretation errors have accounted for a large proportion of all unnecessary OCPF inspections. Using product group codes which describe the production activities that **make the plant site declarable**, rather describing the ultimate end products manufactured at the plant site, as was the previous practice, will help both the Secretariat and States Parties in identifying those plant sites that do not have any declarable activities.

3.4.2 Lack of timely updates of OCPF declarations

Timely updates as required by paragraph 3 of Part IX of the VA are critical to keeping the list of inspectable OCPFs current. In the past a significant number of unnecessary OCPF inspections were attributable to the lack of a timely update of the declaration for the plant site to indicate it was no longer declarable. In some cases, the National Authority was aware that the plant site was no longer declarable but believed that they were informing the Secretariat properly by not including any information on this plant site in their update, thinking that, in doing so, they were removing the plant site from the declared list. The Secretariat's interpretation of paragraph 3 of Part IX of the VA has, however, always been that where no update had been provided for a specific OCPF, the facility must be considered to still be operating at the same production level as last declared. In other cases, the National Authority was not informed by the plant site personnel of the change in status of the plant site in question.

One obvious solution to the problem of updates would be for all States Parties to adopt the practice of replacing their entire list of declarable OCPF each year. The Secretariat made a recommendation to that effect in 2008 (EC-53/DG.11, dated 17 June 2008) which the vast majority of States Parties adopted. On average 99% of all OCPFs are now replaced each year and the number of unnecessary inspections due to the lack of timely updates has decreased since 2008. The Secretariat encourages all States Parties replace their entire list of declarable OCPF each year and to indicate in a covering letter that this list replaces all previous lists.

3.4.3 Issues related to the definition of plant

One of the most common problems in declaring OCPFs is confusion over the number of plants to be declared. In particular there is often confusion between plants and units. Although the Convention includes definitions of plant and unit in paragraph 6 of Part I of the VA (see also section 1.5.1), in practice it can be difficult to distinguish between a plant and a unit and the CWC definitions may not be consistent with how plants and units are considered at a particular plant site. In general any building with several equipment setups for production, processing or consumption of chemicals would be considered a plant with several units rather than as several separate plants. However, a plant can consist of several integrated buildings or structures. For more details see the field by field guidance for form 4.1.

3.4.4 Use of product group codes to declare the main activities of the plant site

The main activities of an OCPF plant site are declared through the selection of one or more product group codes (see Appendix 4 and Guidance on form 4.1).

3.4.5 Other common problems specific to OCPF declarations

Hydrocarbons and explosives not considered as DOCs: In a few cases some National Authorities or plant site staff were under the impression that hydrocarbons and explosives are not to be considered as DOCs resulting in incorrect numbers of plants or incorrect production ranges being declared. Although plant sites that **exclusively** produce hydrocarbons and explosives do not need to be declared in accordance with paragraph 2 of Part IX of the VA, hydrocarbons and explosives are still DOCs if they meet the DOC definition (see 3.2.1). In addition this exemption only applies at the plant site level not to individual plants. Hence, if there is any plant in the plant site which produced by synthesis other unscheduled DOCs in addition to the production of hydrocarbons or explosives at the plant site, that plant site is not exempt from declaration and the amounts of hydrocarbons or explosives produced must be counted when considering if the plant site is above the declaration thresholds set out above and the plants producing these hydrocarbons or explosives must also be counted as plants when making the declaration.

PSF vs DOC: A common problem in declaring OCPFs is confusion over the status of PSF-chemicals in relation to DOCs. In several cases it has been considered that PSF-chemicals are a completely separate class of chemicals from DOCs and hence PSF-chemicals have not been included when calculating the aggregate amount of production of the unscheduled discrete organic chemicals. However, a PSF-chemical is defined in paragraph 1 (b) of Part IX of the VA as “an unscheduled discrete organic chemical containing the elements phosphorus, sulfur or fluorine”. Hence PSF-chemicals are only a subcategory of DOCs and must be included when calculating the aggregate amount of production.

4. Description of scheduled chemicals

When a scheduled chemical is declared, all required information with regard to the chemical, IUPAC chemical name, structural formula and CAS Registry Number (if assigned), shall be declared unless this is specified otherwise in the declaration forms. In relation to declarations of Schedule 2 and Schedule 3 plant sites, each State Party is also required by the CWC to provide common or trade names of the declared chemicals used by the facility (in addition to the information listed above) unless this is specified otherwise in the declaration forms.

The list of scheduled chemicals is contained in the Annex on Chemicals of the CWC. To assist States Parties in preparing industrial declarations related to scheduled chemicals, the chemical names and CAS Registry Numbers of scheduled chemicals which have previously been declared are contained in the Handbook on Chemicals (**Appendix 2**). In addition a more comprehensive database of scheduled chemicals (the Scheduled Chemicals database), which contains all scheduled chemicals that have been assigned a CAS registry number plus the chemicals in the Handbook on Chemicals is available online. Both the Handbook on Chemicals and the Scheduled Chemicals database are available from the Declarations Advisor page of the OPCW website (<http://www.opcw.org/our-work/national-implementation/declarations-adviser/>).

For each **chemical not contained in the Handbook on Chemicals**, a declaration must include the structural formula as an attachment.

5. Code descriptions

Unless specified otherwise, each State Party is requested to use the following code descriptions described below in Table 7:

Table 7: Code descriptions

Code descriptions	Appendix	Contents	Occurrences of usage
Country Codes	1	Codes (Alpha 3 country codes contained in ISO 3166-1: 2006) for countries which are listed in the UN bulletin 347/Rev.1 "Terminology: Country Name."	All forms in this section.
Handbook on chemicals	2	Chemicals listed by occurrence with their position in the Schedules of Chemicals; Scheduled chemicals listed by Chemical Abstracts Service Registry Number and Scheduled Chemicals: Common names and synonyms.	All forms containing declarations of chemicals
Main Activity Codes	3	Codes for the declaration of the main activities of Schedule 2 and 3 plants.	- Forms 2.3.1, 2.7, 2.7.1 and 3.6
Product Group Codes	4	OPCW product group codes were developed based on the 3-digit SITC code. Codes not to be used for OCPF have been shaded.	- Forms 2.3, 2.4, 2.5, 2.7, 3.3, 3.6 and 4.1
Production Purpose for a Schedule 3 Chemical Production Facility	5	Codes for the declaration of production purposes for each Schedule 3 chemical	- Form 3.4
Codes for Schedule 3 Chemical Production Ranges	6	Codes for the production ranges of plant sites that produce Schedule 3 chemicals	- Form 3.4
Codes of Production Ranges for Plant Sites that Produce Unscheduled Discrete Organic Chemicals	7	Codes for the production range of plant sites that produce unscheduled discrete organic chemicals	- Form 4.1

"**Name of Country**," in the first data entry of **Form A-1**, has to be provided with the full description of the name of a declaring State Party.

"Plant site code" and "plant code"

Names of plant sites or plants are to be declared by a declaring State Party. The Secretariat strongly recommends that the declaring State Party also assign a unique **plant site code**, and where appropriate **plant code**, for each declared facility and use these codes for relevant data entries on declaration forms. In the initial declaration and whenever a plant site or plant is declared for the first time, plant or plant site name, owner or operator, address, location and code have to be provided. In any subsequent declaration, the codes assigned to the plant site or plant, preferably in combination with the plant site name, can be used to identify the facility without the other information, unless this is specified otherwise in the declaration forms or unless any of the other information has to be updated.

For plant sites which are declarable under more than one part of the VA (mixed plant sites – see Section 1.5.2), it is strongly recommended that the same plant site code be used for the plant site in all declarations to facilitate the identification of the plant site as a mixed plant site for inspection planning purposes. If, however, different coding systems are used for plant sites declared under the different parts of the VA it is recommended that either a table is provided as part of the cover letter to the declaration listing all mixed plant sites and clearly indicating which codes are used in declarations under different parts of the VA or alternatively if declaring

electronically in EDNA a comment providing this information should be entered for each declaration of a mixed plant site.

It is essential that these codes be used in a consistent manner in subsequent declarations to ensure that the Secretariat can identify previously declared plant sites in the event of changes to the name, owner/operator and/or address of the plant site, thus avoiding unnecessary inspections. It is recommended that the same plant site code be retained if ownership of the plant site changes. If a plant site code changes it is recommended that the declaring State Party indicate what the previous code was and provide a written explanation as to why the code has changed. In particular any changes in codes due to mergers or demergers should be explained.

6. Confidentiality classification

The classification of a field on a declaration form should be provided in the column entitled “Confidentiality mark”. The OPCW’s recognised classification system is as follows:

R – OPCW Restricted, P – OPCW Protected, H – OPCW Highly protected.

In addition U is normally used to include information which is not considered confidential (Unclassified). If no classification is provided for a particular field of a declaration form it will be assumed that the data is unclassified unless indicated otherwise in a covering letter or in the header or footer of the individual form.

For further guidance, see the Confidentiality Supplement (Section M) to the Declarations Handbook.

ANNEX A OF SECTION B
INDUSTRIAL DECLARATIONS
FLOWCHARTS

OPCW

Revised version 2: 1 January 2017

TABLE OF CONTENTS OF ANNEX A OF SECTION B**Flowcharts**

• Initial Declaration of Schedule 2 Chemicals and Plant Sites related to such Chemicals.....	53
• Initial Declaration of Schedule 3 Chemicals and Plant Sites related to such Chemicals.....	54
• Initial Declaration of Other Chemical Production Facility (DOC/PSF)	55
• Annual Past Declaration of Schedule 2 Chemicals and Plant Sites related to such Chemicals	56
• Annual Past Declaration of Schedule 3 Chemicals and Plant Sites related to such Chemicals	57
• Annual Update Declaration of Other Chemical Production Facilities (DOC/PSF).....	58
• Annual Anticipated Declaration of Schedule 2 Chemicals and Plant Sites Related to such Chemicals.....	59
• Annual Anticipated Declaration of Schedule 3 Chemicals and Plant Sites Related to such Chemicals.....	60

FLOWCHARTS

The relationship between the different declaration forms is illustrated for the various types of declaration on the following charts.

The A forms

Form A-1: should be provided with each submitted declaration in order to list general reference data on the National Authority/organisation and information on individual contacts within the National Authority.

Form A-2: should be submitted in order to specify the nature of the content of the initial declaration.

The B forms:

(Primary declaration identification for industrial declarations under Section B of the Declarations Handbook)

Form B: is to be submitted with the initial industrial declaration. In this form B States Parties can indicate which types of industrial declarations (e.g. Schedule 2 chemicals and facilities related to such chemicals; Schedule 3 chemicals and facilities related to such chemicals; other chemical production facilities (DOC/PSF)) are submitted in the initial declaration.

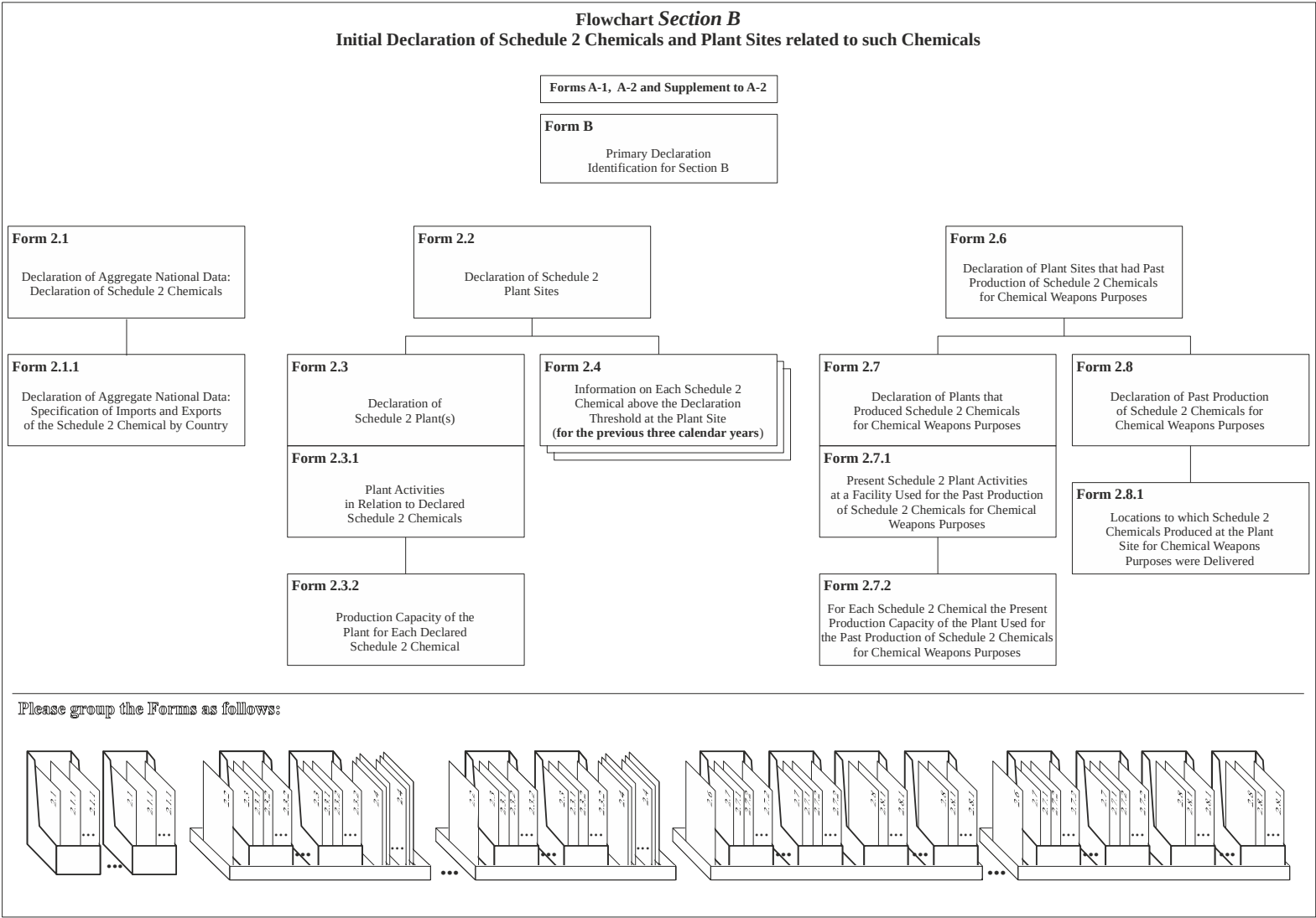
Form B-1: is to be submitted with each annual declaration on past activities. In this Form B-1 States Parties can indicate which types of industrial declarations (e.g. Schedule 2 and Schedule 3 chemicals and facilities related to such chemicals or other chemical production facilities (DOC/PSF)) are submitted.

Form B-2: is to be submitted with each annual declaration of anticipated activities. Once completed, the form will indicate whether plant site information for Schedule 2 chemicals and facilities related to such chemicals or Schedule 3 chemicals and facilities related to such chemicals is submitted.

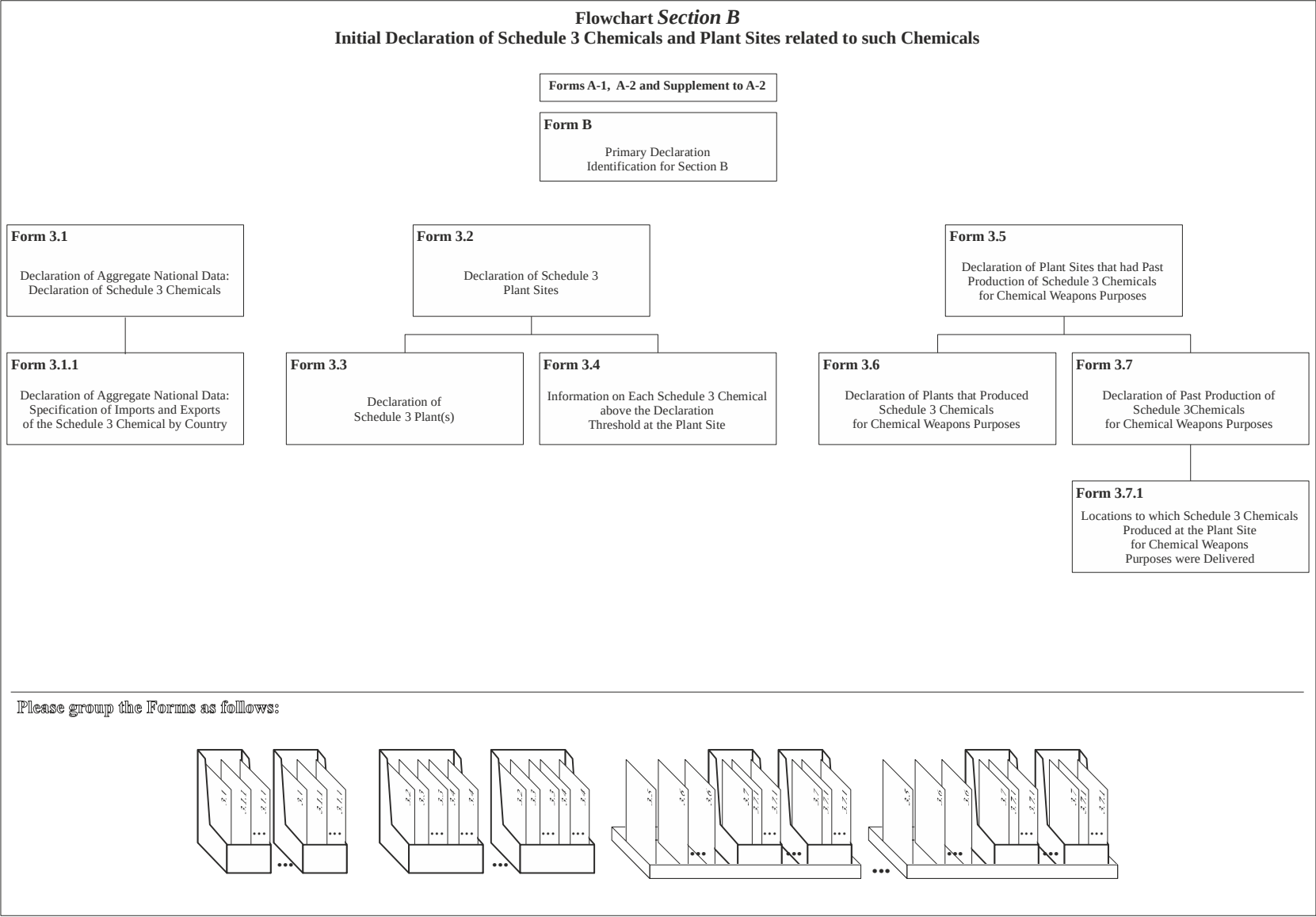
Form B-3: is to be submitted for declaration on additionally planned activities (not later than 5 days before the start of the declarable activity which is additionally planned after the annual declaration on anticipated activities has been submitted). If additional declarable activities are planned at several plant sites, a separate B-3 Form should be submitted for each plant site indicating the earliest date of the first activity to start at the plant site. If a Form B-3 is not used the earliest date of the first activity at each plant site should be indicated as a comment in EDNA for the amendment of the electronic declaration, or in the cover letter accompanying the declarations.

The other declaration forms

All other declaration forms will be filled out in accordance with the activities, types of scheduled chemicals, facilities related to such chemicals, and other chemical production facilities and types of declarations. These forms are all reflected in the flowcharts below.



Initial Declaration of Schedule 2 Chemicals and Plant Sites related to such Chemicals



Initial Declaration of Schedule 3 Chemicals and Plant Sites related to such Chemicals

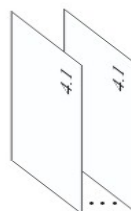
Flowchart Section B
Initial Declaration of Other Production Facilities

Forms A-1, A-2 and Supplement to

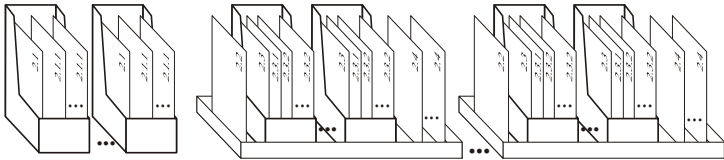
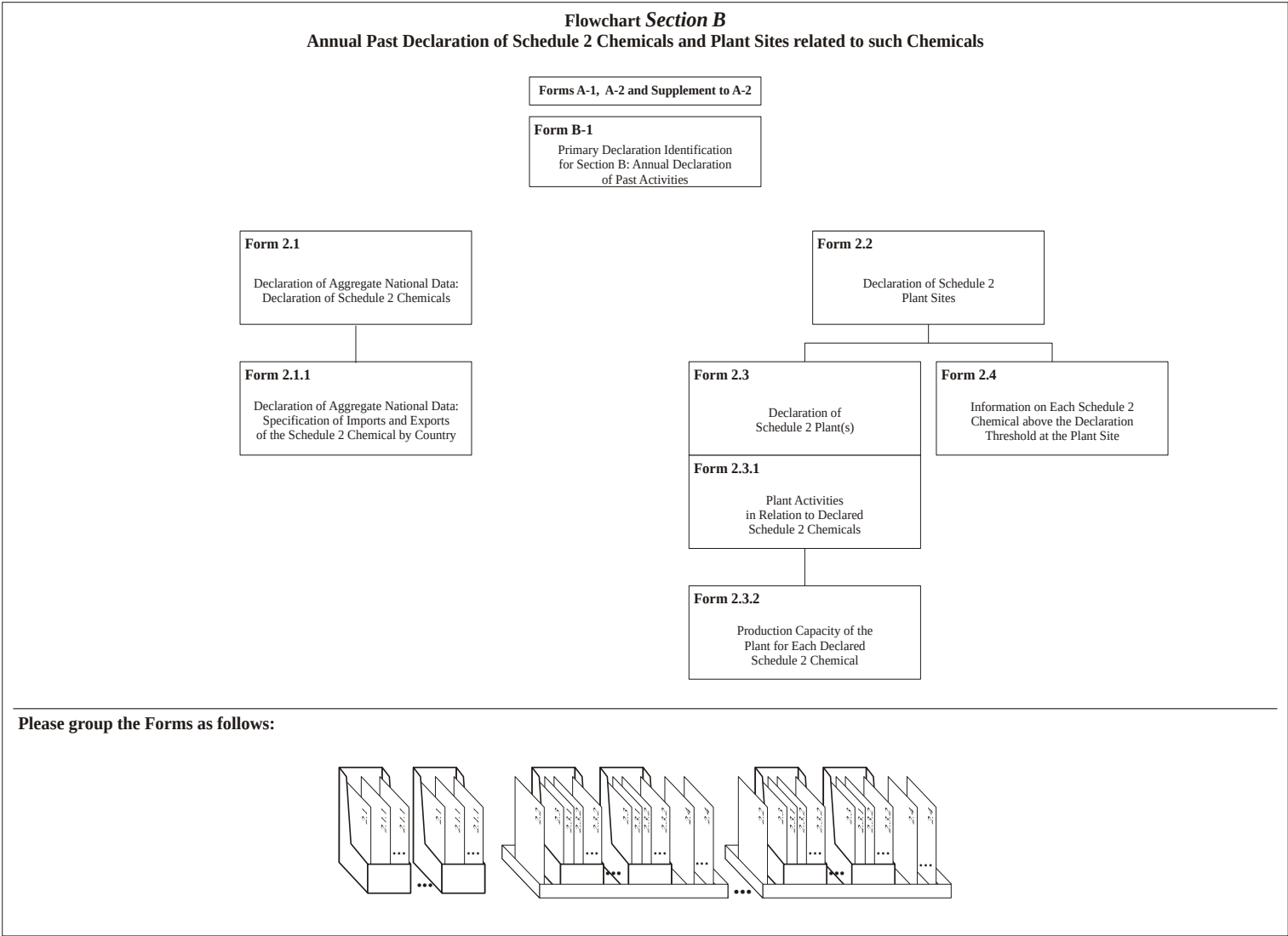
Form B
Primary Declaration
Identification for Section B

Form 4.1
Declaration of Other
Production Facilities

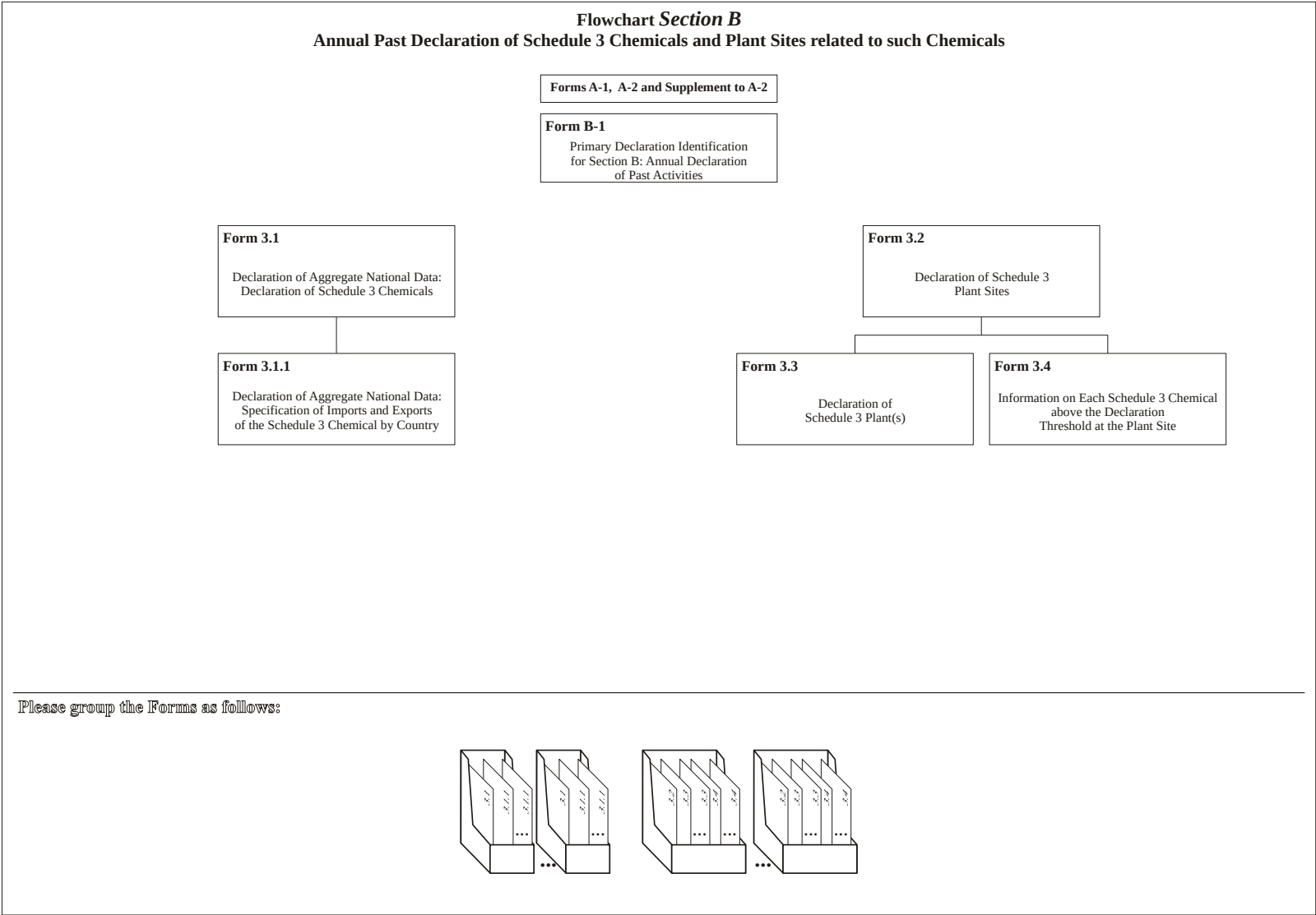
Please group the Forms as follows:



Initial Declaration of Other Chemical Production Facility (DOC/PSF)



Annual Past Declaration of Schedule 2 Chemicals and Plant Sites related to such Chemicals



Annual Past Declaration of Schedule 3 Chemicals and Plant Sites related to such Chemicals

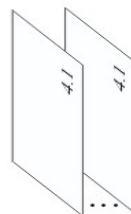
Flowchart *Section B*
Annual Update Declaration of Other Production Facilities

Forms A-1, A-2 and Supplement

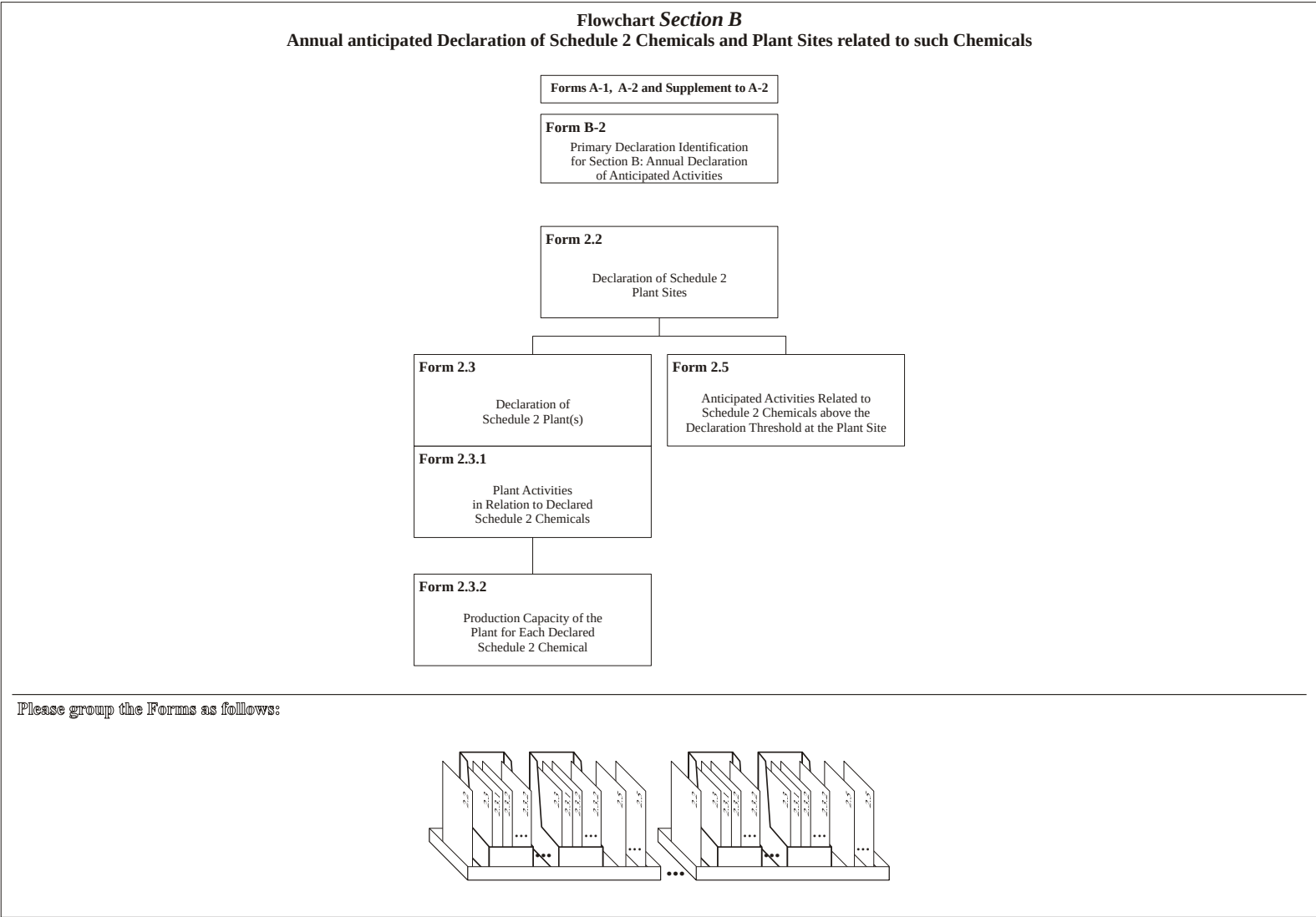
Form B-1
Primary Declaration
Identification for Section B

Form 4.1
Declaration of Other Production
Facilities

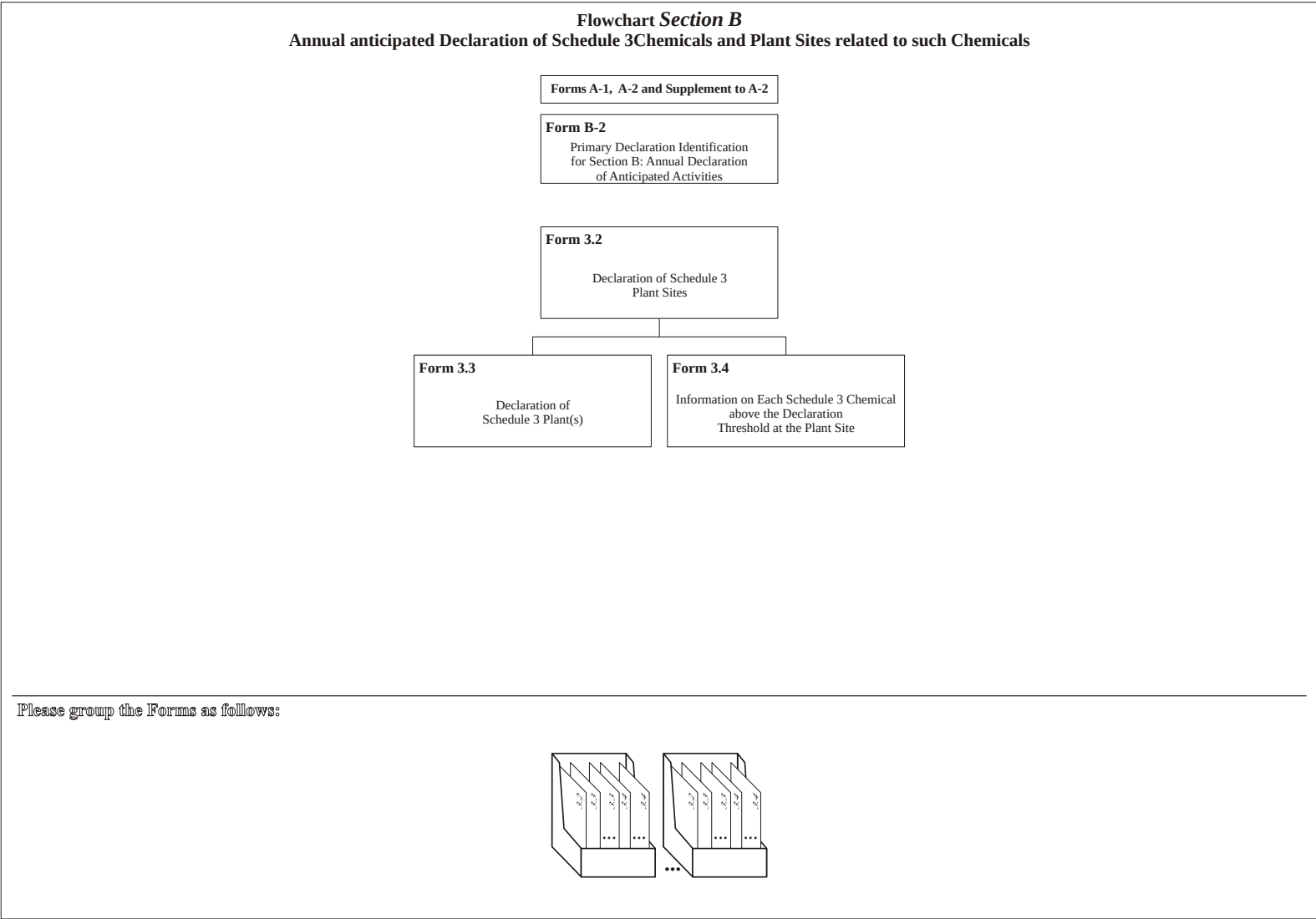
Please group the Forms as follows:



Annual Update Declaration of Other Chemical Production Facilities (DOC/PSF)



Annual Anticipated Declaration of Schedule 2 Chemicals and Plant Sites Related to such Chemicals



Annual Anticipated Declaration of Schedule 3 Chemicals and Plant Sites Related to such Chemicals

ANNEX B OF SECTION B
INDUSTRIAL DECLARATION FORMS

OPCW

Revised version 2: 1 January 2017

TABLE OF CONTENTS OF ANNEX B OF SECTION B

INDUSTRIAL DECLARATION FORMS

Primary Declaration Identification Forms

Form B	Initial Declarations	66
Form B-1	Annual Declaration of Past Activities	67
Form B-2	Annual Declaration of Anticipated Activities	68
Form B-3	Declarations of Additionally Planned Activities.....	69

Schedule 2 Declaration Forms

Aggregate National Data (AND) on Schedule 2 Chemicals

Form 2.1	Aggregate National Data: Declaration of Schedule 2 Chemicals	71
Form 2.1.1	Aggregate National Data: Specification of Imports or Exports of the Schedule 2 Chemical by Country	73

Information on Declared Schedule 2 Plant Sites

Form 2.2	Declaration of Schedule 2 Plant Sites	75
Form 2.3	Declaration of Schedule 2 Plants	78
Form 2.3.1	Plant Activities in Relation to Declared Schedule 2 Chemicals	80
Form 2.3.2	Production Capacity of the Plant for Each Declared Schedule 2 Chemical.....	82
Form 2.4	Information on Each Schedule 2 Chemical above the Declaration Threshold at the Plant Site	85
Form 2.5	Anticipated Activities Related to Schedule 2 Chemicals above the Declaration Threshold at the Plant Site.....	90
Form 2.6	Declaration of Plant Sites that had Past Production of Schedule 2 Chemicals for Chemical Weapons Purposes.....	93
Form 2.7	Declaration of Plants that Produced Schedule 2 Chemicals for Chemical Weapons Purposes	94
Form 2.7.1	Present Schedule 2 Plant Activities at a Facility Used for the Past Production of Schedule 2 Chemicals for Chemical Weapons Purposes	95
Form 2.7.2	For Each Schedule 2 Chemical the Present Production Capacity of the Plant Used for Past Production of Schedule 2 Chemicals for Chemical Weapons Purposes	96
Form 2.8	Declaration of Past Production of Schedule 2 Chemicals for Chemical Weapons Purposes	97
Form 2.8.1	Locations to which Schedule 2 Chemicals Produced at the Plant Site for Chemical Weapons Purposes were Delivered	98
Form 2.9	Notification of Cessation of Declarable Activities at Schedule 2 Plant Sites.....	99

Schedule 3 Declaration Forms**Aggregate National Data (AND) on Schedule 3 Chemicals****Form 3.1** Aggregate National Data: Declaration of Schedule 3 Chemicals 101**Form 3.1.1** Aggregate National Data: Specification of Imports or Exports of the
Schedule 3 Chemical by Country 103**Information on Declared Schedule 3 Plant Sites****Form 3.2** Declaration of Schedule 3 Plant Sites 105**Form 3.3** Declaration of Schedule 3 Plants 108**Form 3.4** Information on Each Schedule 3 Chemical above the Declaration
Threshold at the Plant Site 110**Form 3.5** Declaration of Plant Sites that had Past Production of Schedule 3
Chemicals for Chemical Weapons Purposes 113**Form 3.6** Declaration of Plants that Produced Schedule 3 Chemicals for
Chemical Weapons Purposes 114**Form 3.7** Declaration of Past Production of Schedule 3 Chemicals for
Chemical Weapons Purposes 115**Form 3.7.1** Locations to which Schedule 3 Chemicals Produced at the Plant Site
for Chemical Weapons Purposes were Delivered 116**Form 3.8** Notification of Cessation of Declarable Activities at Schedule 3
Plant Sites 117**Other Chemical Production Facilities Declaration Forms****Form 4.1** Declaration of “Other Chemical Production Facilities” 119**Transfers of Schedule 3 chemicals to States not party to the Convention****Form T30** End-Use Certificate 125

Guidance on completing form headers and confidentiality marks in all forms

The following guidance applies to all forms contained in this annex and is not repeated in the guidance on individual forms.

Headers

Country Code

Identify the State Party making the declaration by entering the appropriate three letter country code from Appendix 1.

Section

For all industry related declarations, i.e. those relating to Schedule 2 or 3 chemicals and facilities, and forms for declaration of other chemicals production facilities the letter “B” should be filled in. In the 2008 and later versions of the forms this has already been entered into the template.

Page n of n pages

Each page should be numbered and the number of pages in the declaration entered, e.g. page 8 of 50. In the case of large declarations a State Party may wish to number individual sections of the declaration (e.g. all Schedule 2 plant site declarations) separately rather than numbering all pages sequentially from the beginning to the end of the entire declaration. However, State Parties should avoid numbering each form or plant site separately as it becomes difficult to refer to an individual page if there are multiple pages with the same number.

Date (ccyy-mm-dd)

Enter the date on which the form was completed using the format CCYY-MM-DD, e.g. 2009-02-21 for 21 February 2009.

Confidentiality Marks

The classification of a field on a declaration form should be provided in the column entitled “Confid. mark”. The OPCW’s recognised classification system is as follows:

- R – OPCW Restricted,
- P – OPCW Protected,
- H – OPCW Highly Protected.

In addition the letter U is used to denote data which is considered unclassified. One of the single letter codes U, R, P or H should be entered in each field. If the field is left blank the data will be considered to be unclassified unless indicated otherwise in a covering letter or in the header or footer of the individual form.

For further guidance see the Confidentiality Supplement to the Declarations Handbook (see Section M).



Form B Primary Declaration Identification for Section B: Initial Declaration

Country Code:
Section: B
Page n of n pages:
Date (ccyy-mm-dd):

Confid.
mark

☐

Please indicate the **year** to which the data relates

Please indicate which of the following items are being declared.

Schedule 2 chemicals and facilities related to such chemicals:

☐

Aggregate national data

Yes ☐ No ☐

☐

Declarations of plant sites

Yes ☐ No ☐

☐

Declarations of past production of Schedule 2 chemicals for CW purposes

Yes ☐ No ☐

Schedule 3 chemicals and facilities related to such chemicals:

☐

Aggregate national data

Yes ☐ No ☐

☐

Declarations of plant sites

Yes ☐ No ☐

☐

Declarations of past production of Schedule 3 chemicals for CW purposes

Yes ☐ No ☐

Other chemical production facilities (DOC/PSF):

☐

Declarations of plant sites

Yes ☐ No ☐

Concentration limits:

Are concentration limits applied to **plant site** declarations?

Yes ☐ No ☐

If the answer to the above is **YES**, please complete the Table below

	Production %	Processing %	Consumption %	Export %	Import %
Schedule 2A*					
Schedule 2A					
Schedule 2B					
Schedule 3					

Are concentration limits applied to declarations of **aggregate national data**?

Yes ☐ No ☐ <

If the answer to the above is **YES**, please complete the Table below

	Production %	Processing %	Consumption %	Export %	Import %
Schedule 2A*					
Schedule 2A					
Schedule 2B					
Schedule 3					



Form B-1
Primary Declaration Identification for
Section B: Annual Declaration of Past
Activities

Country Code:
 Section: B
 Page n of n pages:
 Date (ccyy-mm-dd):

Confid.
 mark

☐

Please indicate the **year** to which the data relates _____

Please indicate which of the following items are being declared.

Schedule 2 chemicals and facilities related to such chemicals:

☐

Aggregate national data

Yes ☐ No ☐

☐

Plant sites

Yes ☐ No ☐

Schedule 3 chemicals and facilities related to such chemicals:

☐

Aggregate national data

Yes ☐ No ☐

☐

Plant sites

Yes ☐ No ☐

Other chemical production facilities (DOC/PSF):

☐

Updated list of plant sites

Yes ☐ No ☐

Concentration limits:

Are concentration limits applied to **plant site** declarations? If **YES**, please complete *the Table below*.

Yes ☐ No ☐

	Production %	Processing %	Consumption %	Export %	Import %
Schedule 2A*					
Schedule 2A					
Schedule 2B					
Schedule 3					

Are concentration limits applied to declarations of **aggregate national data**? If **YES**, please complete *the Table below*.

Yes ☐ No ☐ <

	Production %	Processing %	Consumption %	Export %	Import %
Schedule 2A*					
Schedule 2A					
Schedule 2B					
Schedule 3					



Form B-2
Primary Declaration Identification for
Section B: Annual Declaration of
Anticipated Activities

Country Code:
 Section: B
 Page n of n pages:
 Date (ccyy-mm-dd):

Confid.

mark

☐

Please indicate the **year** to which the data relates _____

Please indicate which of the following items are being declared.

Schedule 2 chemicals and facilities related to such chemicals:

☐

Plant sites

Yes ☐ No ☐

Schedule 3 chemicals and facilities related to such chemicals:

☐

Plant sites

Yes ☐ No ☐

Concentration limits:

Are concentration limits applied to **plant site** declarations? If **YES**, please complete *the Table below*.

Yes ☐ No ☐

	Production %	Processing %	Consumption %	Export %	Import %
Schedule 2A*					
Schedule 2A					
Schedule 2B					
Schedule 3					



Form B-3
Primary Declaration Identification for
Section B: Declaration of Additionally
Planned Activities

Country Code:
 Section: B
 Page n of n pages:
 Date (ccyy-mm-dd):

Confid.
mark

☐

Please indicate the **year** to which the data relates _____

Please indicate which of the following items are being declared.

Schedule 2 chemicals and facilities related to such chemicals:

☐

Plant sites

Yes ☐ No ☐

Schedule 3 chemicals and facilities related to such chemicals:

☐

Plant sites

Yes ☐ No ☐

☐

Date at which the additionally planned activities are due to start (ccyy-mm-dd). _____

(If several additionally planned activities are to be declared enter the earliest date of the first activity to start at the plant site.)

Concentration limits:

Are concentration limits applied to **plant site** declarations? If **YES**, please complete *the Table below*.

Yes ☐ No ☐

	Production %	Processing %	Consumption %	Export %	Import %
Schedule 2A*					
Schedule 2A					
Schedule 2B					
Schedule 3					

SCHEDULE 2 CHEMICALS AND FACILITIES RELATED TO SUCH CHEMICALS



Form 2.1
Aggregate National Data: Declaration of
Schedule 2 Chemicals

Country Code:
 Section: B
 Page n of n pages:
 Date (ccyy-mm-dd):

Confid.
mark

Please complete one form for each Schedule 2 chemical.

☐

IUPAC chemical name:

If chemical is not contained in handbook for chemicals,
 please identify attachment for structural formula:

☐

CAS registry number:

Unit of weight:

Tonne ☐ Kg ☐

Aggregate quantity for the previous calendar year:

☐

Produced:

☐

Processed:

☐

Consumed:

☐

Imported:

☐

Exported:

Guidance on Form 2.1

IUPAC chemical name

Scheduled chemicals should be identified by their chemical names. As a scheduled chemical can have many systematic and non-systematic chemical names, the systematic naming system developed by International Union of Pure and Applied Chemistry - the IUPAC chemical name - is preferred. As an alternative the chemical name as listed in the Annex on Chemicals of the CWC can also be provided. The use of common or trade names should be avoided when declaring AND.

CAS registry number

The Chemical Abstracts Service (CAS) registry number for the chemical should also be provided if assigned.

To assist State Parties in preparing industrial declarations related to scheduled chemicals, chemical names and CAS registry numbers (if assigned) of scheduled chemicals which have previously been declared are contained in the Handbook on Chemicals (Appendix 2). For each chemical not contained in the Handbook on Chemicals, the declaration must include the structural formula as an attachment, to help the Secretariat in the identification of the chemical.

Unit of weight

The aggregate quantity of the activity for the previous year should include the units of weight. States Parties should indicate the unit of weight by checking the box for “Tonne” or “Kg” as appropriate. The same unit of weight should be used for all quantities declared on each form.

Aggregate quantity for the previous calendar year

The aggregate quantities produced, processed, consumed, imported and exported by the State Party during the previous calendar year should be entered in the appropriate fields. For more information on declaration of quantities and rounding rules to be applied please see subsection 1.5.2 of Section B.

In particular, when including mixtures which contain less than 100 per cent of the scheduled chemical in aggregate data, firstly only those mixtures that contain the scheduled chemical above the applicable low concentration threshold (30% for Schedule 2B chemicals and in most cases 1 % for Schedule 2A/2A* chemicals¹⁰) should be included and the quantity of the scheduled chemical contained in the mixture should be aggregated not the quantity of the mixture.

If for a specific Schedule 2 chemical, the aggregate quantity for any of the activities (production, processing, consumption, import and export) was below the relevant declaration threshold (1 kg for Schedule 2A*, 100 kg for Schedule 2A or 1 tonne for Schedule 2B) then leave the field blank for that activity (in accordance with [C-7/DEC.14, dated 10 October 2002](#)).

¹⁰ See section 2.1.1 for full details of low concentration exemptions for Schedule 2A/2A* chemicals



Form 2.1.1
Aggregate National Data: Specification of
Imports or Exports of the Schedule 2
Chemical by Country

Country Code:
 Section: B
 Page n of n pages:
 Date (ccyy-mm-dd):

Confid.
mark

Please complete this form for each Schedule 2 chemical.

☐
☐

IUPAC chemical name:

CAS registry number:

Unit of weight:

Tonne ☐ Kg ☐

*Please repeat the following block(s) of information as many times as necessary to declare all **import** and **export** quantities of this chemical for all countries involved in the previous calendar year.*

☐
☐
☐

Country code (see Appendix 1):

Quantity imported (**by Declaring State Party**):

Quantity exported (**by Declaring States Party**):

☐
☐
☐

Country code (see Appendix 1):

Quantity imported (**by Declaring State Party**):

Quantity exported (**by Declaring State Party**):

☐
☐
☐

Country code (see Appendix 1):

Quantity imported (**by Declaring State Party**):

Quantity exported (**by Declaring State Party**):

☐
☐
☐

Country code (see Appendix 1):

Quantity imported (**by Declaring State Party**):

Quantity exported (**by Declaring State Party**):

☐
☐
☐

Country code (see Appendix 1):

Quantity imported (**by Declaring State Party**):

Quantity exported (**by Declaring State Party**):

☐
☐
☐

Country code (see Appendix 1):

Quantity imported (**by Declaring State Party**):

Quantity exported (**by Declaring State Party**):

Guidance on Form 2.1.1

For more information on declaration of quantities and rounding rules to be applied please see subsection 1.5.2 of Section B.

For guidance on completion of the fields **IUPAC chemical name**, **CAS registry number** and **Unit of weight** see the guidance for Form 2.1 above.

For each country which was involved in trade in the named Schedule 2 chemical with the declaring State Party the following three fields should be completed.

Country Code

Identify the other country involved in the transfer by entering the appropriate three letter country code contained in Appendix 1.

Quantity imported

Enter the quantity imported to the declaring State Party from the country which is declared in the field 'Country Code'.

Quantity exported

Enter the quantity exported from the declaring State Party to the country which is declared in the field 'Country Code'.

If the quantity imported or exported by the declaring State Party was below the appropriate declaration threshold for the chemical concerned (reference [C-7/DEC.14, dated 10 October 2002](#)) then the following data should be entered:

Schedule of chemical to be declared	Declaration threshold	Data to be entered ¹¹
Schedule 2A*	1 kg	<1
Schedule 2A	100 kg	<100
Schedule 2B	1 tonne	<1

Alternatively States Parties may wish to declare the exact figures even if below the declaration threshold.

¹¹ Please ensure the units of weight indicated in the form are consistent with the units used for the declaration threshold.



Form 2.2 Declaration of Schedule 2 Plant Sites

Country Code:
Section: B
Page n of n pages:
Date (ccyy-mm-dd):

Confid.
mark

Please complete one form for each plant site.

☐

Plant Site Code:

_____ ↖

☐

Name of plant site:

_____ ↖

☐

The name of the owner, company, or enterprise
operating the plant site:

_____ ↖

☐

Street address:

_____ ↖

☐

City/district:

_____ ↖

☐

Province/state/other:

_____ ↖

☐

Latitude, longitude/Precise location:

_____ ↖

Identify the attachment for additional information on this
plant site (if available):

☐

Number of declared Schedule 3 Plants
at the plant site:

_____ ↖

↖ □ - indicates information that will be provided to other States Parties in accordance with paragraph 11 of Part VII of the VA

Guidance on Form 2.2

Plant Site Code

The declaring State Party is requested to assign a unique plant site code for each facility and use those codes for identification purposes for subsequent declarations. These codes must be used in a consistent manner in subsequent declarations to ensure that the Secretariat can identify previously declared plant sites and hence avoid unnecessary inspections.

For plant sites which are declarable under more than one part of the VA (mixed plant sites – see Section 1.5.2), it is strongly recommended that the same plant site code be used for the plant site in all declarations to facilitate the identification of the plant site as a mixed plant site for plant site selection and inspection planning purposes. If, however, different coding systems are used for plant sites declared under the different parts of the VA it is recommended that either a table be provided as part of the cover letter to the declaration listing all mixed plant sites and clearly indicating which codes are used in declarations under different parts of the VA or, if declaring electronically in EDNA, a comment providing this information be entered for each declaration of a mixed plant site.

Name of plant site

Enter the name of the plant site. In general this should be the name by which the plant site is commonly referred to in official documentation (trading or business licenses, environmental permits, quality documentation, etc.) which can be made available during an inspection. In cases where such documentation gives the name of the company and that company operates several plant sites within the same State Party it is recommended that the company name followed by the location of the plant site is given as the name of the plant site (for example, xxxx Ltd – yyyy plant site) to avoid several plant sites being declared with the same name.

The name of the owner, company, or enterprise operating the plant site

Enter the name of the owner of the plant site or in cases where the plant site is operated by a company or enterprise other than the owner give the name of that company or enterprise. In cases where the plant site is run by the State, the name of the government department, ministry or agency in charge of operating the plant site should be given.

Street address, City/district, Province/state/other

Enter the address of the plant site using these three fields, as appropriate. Note the term “state” refers to a territorial division of a country (e.g. the State of California in the United States of America) rather than to the country itself. The address entered should be that of the physical location of the plant site **not** that of the head office of the owner or operator. If the plant site does not have a defined street address the precise location cannot be determined from the address alone and further details should be given in the field “Latitude, longitude/Precise location”.

Latitude, longitude/Precise location

Use this field to provide more details on the precise location of the plant site; this is particularly important in cases where the precise location of the plant site cannot be determined from the address alone, such as where there is no defined address for the plant site. This information can take the form of geographical coordinates (obtained for example from a global positioning system (GPS) or map) or a description of the location of the plant site, such as “xx km along the main road from town A to town B”.

Identify the attachment for additional information on this plant site (if available)

States Parties may use this field to identify any attachment providing additional information that they may wish to provide on a voluntary basis. Please note that if a plant site with two or more

plants has produced, processed or consumed more than the relevant verification threshold (10kg for Schedule 2A*, 1 tonne for Schedule 2A and 10 tonnes for Schedule 2B chemicals) but does not have any individual plant with activities above the relevant verification threshold this should be highlighted to the Secretariat in the cover letter accompanying the declaration or in a comment.

Some States Parties also use this field to inform the Secretariat of other issues affecting the plant site such as the fact it has closed.

Number of declared Schedule 3 Plants at the plant site

For mixed plant sites which have declared Schedule 3 plants in addition to the Schedule 2 plant being currently declared, the number of those Schedule 3 plants should be entered. If the plant site has no such plants enter “0”. Note that only declared Schedule 3 plants should be counted; plants that produce Schedule 3 chemicals but are not declarable should not be counted.



Form 2.3 Declaration of Schedule 2 Plant(s)

Country Code:
Section: B
Page n of n pages:
Date (ccyy-mm-dd):

Confid.
mark

Please complete one form for each plant.

☐

Plant Code:

_____ ↖

☐

Plant Site Code:

_____ ↖

☐

Name of plant:

_____ ↖

☐

The name of the owner, company, or enterprise
operating the plant:

_____ ↖

☐

The precise location of the plant within the plant site:

Specific structure number, if any:

Specific building number, if any:

☐

Identify the attachments for additional information on a
voluntary basis on this plant (if available):

Main activities of Schedule 2 plants:

☐

Use product group codes (see Appendix 4) to describe
main activities of the plant in terms of product group(s):

_____ ↖

↖ □ - indicates information that will be provided to other States Parties in accordance with paragraph 11 of Part VII of the VA

Guidance on Form 2.3

For each declarable plant a separate form 2.3 should be submitted, along with a 2.3.1 form and, if the plant produces Schedule 2 chemicals, a 2.3.2 form.

Plant Code

The declaring State Party is requested to assign a unique plant code for each declared plant at the plant site and use those codes for identification purposes for subsequent declarations.

Plant Site Code

The same plant site code as declared on form 2.2 should be entered.

Name of plant

Enter the name of the plant. In general this should be the name by which the plant is commonly referred to in official or company documentation or plant site diagrams which can be made available during an inspection.

The name of the owner, company, or enterprise operating the plant

Enter the name of the owner of the plant or in cases where the plant is operated by a company or enterprise other than the owner give the name of that company or enterprise. In general this should be the same as the owner, company or enterprise operating the plant site (declared on form 2.2) – if the operator of the plant and the plant site are different then an explanation should be provided as to why this plant has not been declared separately as part of a separate plant site.

The precise location of the plant within the plant site

Enter a specific structure or building number that will allow the location of the plant to be identified on a plant site diagram or provide a description of the location of the plant within the plant site if no such numbers are assigned.

Identify the attachment for additional information on a voluntary basis on this plant (if available)

States Parties may use this field to identify any attachment providing additional information that they may wish to provide on a voluntary basis. Some States Parties also use this field to inform the Secretariat of other issues affecting the plant such as the fact it has closed.

Use product group codes (see Appendix 4) to describe main activities of the plant in terms of product group(s)

Enter one or more product group codes from Appendix 4 to describe the main activities of the plant. In selecting a product group code the focus should be on the main activities of the plant itself, not necessarily solely on its activities in relation to Schedule 2 chemicals, which make it declarable. For example, if the Schedule 2 plant is a mixed plant which is also declared for Schedule 3 chemicals and/or DOCs, the product group codes should reflect activities related to all three chemical regimes.



Form 2.3.1 **Plant Activities in Relation to Declared** **Schedule 2 Chemicals**

Country Code:
 Section: B
 Page n of n pages:
 Date (ccyy-mm-dd):

Confid.
mark

Please complete as many forms as necessary in order to declare the activities of each Schedule 2 plant at the plant site

☐

Plant Code:

_____ <

☐

Plant Site Code:

_____ <

Please indicate below whether the plant produces, processes, or consumes the declared Schedule 2 chemical(s):

☐

Production :

Yes ☐ No ☐ <

☐

Processing :

Yes ☐ No ☐ <

☐

Consumption :

Yes ☐ No ☐ <

☐

Is this plant dedicated to such activities or is it multipurpose?

Dedicated ☐
 Multipurpose ☐

☐

Specify other activities at the plant in relation to the declared Schedule 2 chemical(s), if any: (use appropriate Appendix 3 codes B04-B06 or specify)

_____ <

*Please declare in the following **Form 2.3.2.** the production capacity of this plant for each declared Schedule 2 chemical produced or anticipated to be produced at the plant*

< ☐ - indicates information that will be provided to other States Parties in accordance with paragraph 11 of Part VII of the VA

Guidance on Form 2.3.1**Plant Code**

The same plant site code as declared on form 2.3 should be entered.

Plant Site Code

The same plant site code as declared on form 2.2 should be entered.

Please indicate below whether the plant produces, processes, or consumes the declared Schedule 2 chemical(s):

For each of the three types of activities (production, processing and consumption) check yes or no to indicate whether or not the declared plant carries out such activities.

Is this plant dedicated to such activities or is it multipurpose?

Please check the relevant box to indicate whether the plant is dedicated or multipurpose. A Schedule 2 plant is **dedicated** when its process configuration is dedicated to the declarable activities in relation to the declared Schedule 2 chemical(s) (production/processing/consumption). A Schedule 2 plant is **multipurpose** when activities other than those involving the declared Schedule 2 chemical(s) are carried out at the plant.

Specify other activities in relation to the declared Schedule 2 chemical(s), if any: (use appropriate Appendix 3 codes B04-B06 or specify)

Please indicate any other activities (i.e. activities other than production, processing and consumption) at the declared plant involving the declared Schedule 2 chemical by selecting one or more of the following codes from Appendix 3: B04 (Storage), B05 (Re-packaging, distribution) or B06 (Research and Development). Please note codes B01 (Production), B02 (Processing) and B03 (Consumption) should not be used in response to this question. Alternatively States Parties may choose to specify other activities rather than using these codes, if the codes do not adequately describe the activities.

Please note that storage (B04) should only be declared in cases where there is permanent storage (such as a warehouse or stock tank) for the Schedule 2 chemical at the plant itself. Temporary storage at the plant, such as in a lay down area, or storage elsewhere on the plant site, should not be considered as storage for the purposes of responding to this question.



Form 2.3.2 Production Capacity of the Plant for Each Declared Schedule 2 Chemical

Country Code:
Section: B
Page n of n pages:
Date (ccyy-mm-dd):

Confid.
mark

Please repeat the following block of information as many times as necessary in order to declare the production capacity of the plant for each declared Schedule 2 chemical produced or anticipated to be produced at the plant.

Plant Code:

Plant Site Code:

Unit of weight:

Tonne ☐ Kg ☐

IUPAC chemical name:

CAS registry number:

Production capacity:

Calculation method:

Name plate ☐ Design ☐

IUPAC chemical name:

CAS registry number:

Production capacity:

Calculation method:

Name plate ☐ Design ☐

IUPAC chemical name:

CAS registry number:

Production capacity:

Calculation method:

Name plate ☐ Design ☐

IUPAC chemical name:

CAS registry number:

Production capacity:

Calculation method:

Name plate ☐ Design ☐

IUPAC chemical name:

CAS registry number:

Production capacity:

Calculation method:

Name plate ☐ Design ☐

Guidance on Form 2.3.2

Please note that if the plant only processes or consumes the chemical this form is not required. If, however, it is decided to submit this form for a plant that only has processing or consumption activities then the production capacity should be given as nil or not applicable – the processing or consumption capacity for the plant should NOT be entered instead.

Plant Code

The same plant site code as declared on form 2.3 should be entered.

Plant Site Code

The same plant site code as declared on form 2.2 should be entered.

Unit of weight

Indicate the unit of weight by checking the box for “Tonne” or “Kg” as appropriate. The same unit of weight should be used for all quantities declared on this form.

For each Schedule 2 chemical produced at the plant provide the following information:

IUPAC chemical name

Scheduled chemicals should be identified by their chemical names. As a scheduled chemical can have many systematic and non-systematic chemical names, the systematic naming system developed by International Union of Pure and Applied Chemistry - the IUPAC chemical name - is preferred. As an alternative the chemical name as listed in the Annex on Chemicals of the CWC can also be provided. The use of common or trade names should be avoided when completing this form.

CAS registry number

The Chemical Abstracts Service (CAS) registry number for the chemical should also be provided if assigned. CAS registry numbers for commonly declared chemicals can be found in the Handbook on Chemicals or in the Scheduled Chemicals database.

Production Capacity and Calculation Method

"Production capacity" is defined as the annual quantitative potential for manufacturing a specific chemical on the basis of the technological process actually used or, if the process is not yet operational, planned to be used at the relevant facility. The production capacity shall be deemed to be equal to the nameplate capacity or, if the nameplate capacity is not available, to the design capacity. The nameplate capacity is the product output under conditions optimised for maximum quantity for the production facility, as demonstrated by one or more test runs. The design capacity is the corresponding theoretically calculated product output. (*Paragraph 10 of Article II of the CWC*)

Capacity of a multipurpose plant producing Schedule 2 chemicals

- (i) The capacity of a multipurpose plant producing a Schedule 2 chemical is calculated by assuming that the plant would be used solely for the production of that chemical over a period of one year.
- (ii) For a multipurpose plant producing more than one Schedule 2 chemical using separate process lines, the calculated capacity for each individual chemical assumes that the plant would be used solely for the production of that chemical over a period of one year.

Enter the production capacity and indicate by checking the relevant box whether the capacity has been calculated on the basis of nameplate capacity or design capacity. Please ensure that the unit of weight has been indicated by checking the relevant box (tonne or kg) at the top of the form or by entering the unit of weight alongside the figure.



Form 2.4 Information on Each Schedule 2 Chemical above the Declaration Threshold at the Plant Site

Country Code:
Section: B
Page n of n pages:
Date (ccyy-mm-dd):

Confid.
mark

*For initial declarations please provide this information for
each of the previous three calendar years*

*Please complete as many forms as necessary in order to
declare all Schedule 2 chemicals at the plant site.*

☐

Plant Site Code:

_____ ↖

☐

The year to which the data relates:

_____ ↖

☐

IUPAC chemical name:

_____ ↖

☐

Common or trade name of the chemical used by the facility:

_____ ↖

If chemical is not contained in handbook for chemicals,
please identify attachment for structural formula:

_____ ↖

☐

CAS registry number:

_____ ↖

**Total amounts of Schedule 2 chemical produced, processed,
consumed, imported or exported by the plant site.**

Unit of weight:

Tonne ☐ Kg ☐

☐

Quantity produced:

☐

Quantity processed:

☐

Quantity consumed:

☐

Quantity imported:

☐

Quantity exported:

**Purposes for which the chemical was produced, processed
or consumed**

☐

(i) Processing and consumption of Schedule 2 chemical
on site; specify product type (use product group
codes in Appendix 4):

☐

(ii) Direct export of the Schedule 2 chemical off the plant site?

Yes ☐ No ☐

If **YES**, specify States involved (use country codes
in Appendix 1):

(iii) Sale or transfer of the Schedule 2 chemical within the
territory or to any other place under the jurisdiction or control
of the State Party (please indicate destination below):

☐

Other industry:

Yes ☐ No ☐

☐

Trader:

Yes ☐ No ☐

☐

Other destination:

Yes ☐ No ☐

☐

Final product types derived from sold/transferred
Schedule 2 chemical, if possible, (Use product group
codes in Appendix 4)

☐

(iv) Other purpose (specify) for which the Schedule 2
chemical was produced, processed or consumed:

↖ ☐ - indicates information that will be provided to other States Parties in accordance with paragraph 11 of Part VII of the VA

Guidance on Form 2.4 (For initial and annual declarations of past activities)

Initial Declarations: For State Parties making their initial declarations of Schedule 2 plant sites (due 30 days after entry into force of the Convention for that State Party) this form should be used to declare activities with each declarable Schedule 2 chemical¹² for each of the three previous calendar years – i.e. for each declarable chemical a separate form 2.4 should be submitted for each of the three calendar years prior to submission of the initial declaration.

Annual Declarations of Past Activities: This form should be used to declare activities with each declarable Schedule 2 chemical¹² that occurred in the previous calendar year for annual declarations of past activities. A separate form 2.4 should be submitted for each declarable chemical

Please note that for newly identified Schedule 2 plant sites being declared in subsequent years (i.e. after the initial declaration for the State Party) there is no requirement to submit three years data, however, if a plant site was above the declaration threshold in previous years amendments should be made to each annual declaration of past activities for which the plant site was above the declaration threshold, to the extent available records allow but at least covering the last three calendar years, and to the most recent annual declarations of anticipated activities.

Please note that if a plant site with two or more plants has produced, processed or consumed more than the relevant verification threshold (10kg for Schedule 2A*, 1 tonne for Schedule 2A and 10 tonnes for Schedule 2B chemicals) but does not have any individual plant with activities above the relevant verification threshold this should be highlighted to the Secretariat in the cover letter accompanying the declaration or in a comment.

Plant Site Code

The same plant site code as declared on form 2.2 should be entered.

The year to which the data relates

Enter the year to which the data relates – this is particularly important when declaring data for more than one year as part of the initial declaration for the State Party or when making amendments affecting more than one year.

IUPAC chemical name

Scheduled chemicals should be identified by their chemical names. As a scheduled chemical can have many systematic and non-systematic chemical names, the systematic naming system developed by International Union of Pure and Applied Chemistry - the IUPAC chemical name - is preferred. As an alternative the chemical name as listed in the Annex on Chemicals of the CWC can also be provided. A trade name should not be used as the primary identifier here but should be provided as additional information in the next field.

Common or trade name of the chemical used by the facility

If the chemical is normally known by a trade name or other common name at the facility please enter this here.

¹² A chemical is considered declarable if it was produced, processed or consumed in one or more plants at the plant site above the following declaration thresholds in the year in question:

- 1 kg for Schedule 2A* chemicals
- 100kg for Schedule 2A chemicals
- 1 tonne for Schedule 2B chemicals

CAS registry number

The Chemical Abstracts Service (CAS) registry number for the chemical should also be provided if assigned. CAS registry numbers for commonly declared chemicals can be found in the Handbook on Chemicals or in the Scheduled Chemicals database.

Total amounts of Schedule 2 chemical produced, processed, consumed, imported or exported by the plant site

Indicate the unit of weight by checking the box for “Tonne” or “Kg” as appropriate. The same unit of weight should be used for all quantities declared on this form. For the series of quantity fields under this heading (quantity produced, processed, consumed, imported and exported) enter the weight of the Schedule 2 chemical involved in that activity during the calendar year. In declaring any mixtures containing the Schedule 2 chemical the weight of the Schedule 2 chemical in the mixture should be declared not the weight of the mixture. All quantities should be declared to three figures in accordance with the rounding rules agreed by the Executive Council ([EC-XIX/DEC.5, dated 07 April 2000](#), see Section 1.5.2).

Please note that if a chemical was produced, processed or consumed above the relevant declaration threshold during the calendar year then actual quantities (including zero) should be provided for all five activities (production, processing, consumption, import and export) for the plant site as a whole, not just for the declared plant; quantities below the threshold should be still declared as figures, “<threshold” or “<1 tonne”, or similar should not be used in such cases.

Please note that if a plant site during any of the previous three calendar years ONLY imported and/or exported, or is anticipated to ONLY import and/or export in the next calendar year a Schedule 2 chemical, this plant site is not declarable.

In declaring quantities imported or exported only quantities directly imported or exported from the plant site should be included – quantities which were, for example, purchased locally from a trader who obtained the chemical from abroad and then sold it on to the declared plant site should not be counted.

Example

A plant site has one declared plant which normally processes a Schedule 2B chemical; this Schedule 2B chemical is purchased effectively pure and is processed to give a mixture which contains 50% of the Schedule 2B chemical which is then sold commercially. In the calendar year to be declared the plant site had processed 5.24 tonnes of the Schedule 2B chemical in the declared plant, plus as part of a development programme it processed a further 139 kg in a separate pilot plant. During the calendar year the plant site purchased 10 tonnes of the Schedule 2B chemical from a local trader who imported the chemical and then sold it on to the plant site. In addition the plant site sold the bulk of the mixture locally but exported 1.902 tonnes of the mixture directly to customers abroad.

In this case the plant site should declare the entire amount of the chemical processed by both the declared plant and the pilot plant ($5.24 + 0.139 = 5.379$ tonnes or 5.38 tonnes after application of the rounding rules). The chemical purchased by the plant site should not be declared as imported as it was purchased from a trader inside the State Party but the exports of 1.902 tonnes of the 50% mixture (equivalent to 951 kg of the Schedule 2 chemical) should be declared as exported:

Unit of weight:	Tonne ☒	Kg ☐
Quantity produced:		0
Quantity processed:		5.38
Quantity consumed:		0
Quantity imported:		0
Quantity exported:		0.951

Purposes for which the chemical was produced, processed or consumed

(i) Processing and consumption of Schedule 2 chemical on site

If the chemical was processed or consumed on site please indicate the products obtained from these activities using the product group codes from Appendix 4.

(ii) Direct export of the Schedule 2 chemical off the plant site

If the Schedule 2 chemical, including mixtures containing the Schedule 2 chemical above the declaration concentration threshold (effectively 1% for Schedule 2A/2A* or 30% for Schedule 2B chemicals), was directly exported abroad (i.e. exported directly from the plant site, not via a trader) after production or processing then check yes and provide the three letter country codes (from Appendix 1) for the countries to which the chemical was exported. Exports of products arising from the processing or consumption of the Schedule 2 chemical where the Schedule 2 chemical is present in a concentration below the declaration low concentration threshold should not be declared.

(iii) Sale or transfer of the Schedule 2 chemical within the territory or to any other place under the jurisdiction or control of the State Party

If the Schedule 2 chemical, including mixtures containing the Schedule chemical above the declaration concentration threshold (effectively 1% for Schedule 2A/2A* or 30% for Schedule 2B chemicals), was sold or transferred to any place within the State Party or any place under its jurisdiction or control please indicate whether it was transferred to another industrial facility/company (Other industry), to a trader, or to any other destination, for example, to a waste facility for disposal. Sale or transfer of products arising from the production, processing or

consumption of the Schedule 2 chemical where the Schedule 2 chemical is present in a concentration below the declaration low concentration threshold should not be declared.

Final product types derived from sold/transferred chemicals, if possible

If the chemical was sold or transferred please indicate the final types of product that would be derived from these chemicals, if possible, using the product group codes in Appendix 4.

(iv) Other purpose (specify) for which the Schedule 2 chemical was produced, processed or consumed

If the Schedule 2 chemical was produced, processed or consumed for any other purpose not covered earlier in this section please specify that purpose. For example, the Schedule 2A chemical PFIB is generally produced as an unwanted by-product of fluoropolymer manufacture and after separation from the desired product is normally destroyed on site – this could be indicated in this field.



Form 2.5

Anticipated Activities Related to Schedule 2 Chemicals above the Declaration threshold at the Plant Site

Country Code:
Section: B
Page n of n pages:
Date (ccyy-mm-dd):

Confid.
mark

Please repeat the following block of information as many times as necessary in order to declare **all activities** at the plant site.

☐

Plant Site Code:

_____ <

For **each Schedule 2 chemical**, please complete this form to declare all activities related to that chemical at the plant site.

☐

IUPAC chemical name:

_____ <

☐

CAS registry number:

_____ <

Unit of weight:

Tonne ☐ Kg ☐

Yes ☐ No ☐

Production:

☐

Total amount anticipated to be produced during the next calendar year:

☐

Time Period(s)

Processing:

Yes ☐ No ☐

☐

Total amount anticipated to be processed during the next calendar year:

☐

Time Period(s)

Consumption:

Yes ☐ No ☐

☐

Total amount anticipated to be consumed during the next calendar year:

☐

Time Period(s)

Purposes for which the chemical will be produced, processed or consumed

☐

(i) Processing and consumption of Schedule 2 chemical on site; specify product type (use product group codes in Appendix 4):

☐

(ii) Direct export of the Schedule 2 chemical off the plant site?

Yes ☐ No ☐

If **YES**, specify States involved (use country codes in Appendix 1):

(iii) Sale or transfer of the Schedule 2 chemical within the territory or to any other place under the jurisdiction or control of the State Party (please indicate destination below):

☐

Other industry:

Yes ☐ No ☐

☐

Trader:

Yes ☐ No ☐

☐

Other destination:

Yes ☐ No ☐

☐

Final product types derived from sold/transferred Schedule 2 chemical, if possible, (Use product group codes in Appendix 4)

☐

(iv) Other purpose (specify) for which the Schedule 2 chemical will be produced, processed or consumed:

< ☐ - indicates information that will be provided to other States Parties in accordance with paragraph 11 of Part VII of the VA

Guidance on Form 2.5 (For annual declarations of anticipated activities)

This form should be used to declare activities with each declarable Schedule 2 chemical¹³ that are anticipated to take place in the next calendar year. A separate form 2.5 should be submitted for each declarable chemical.

Please note that if a plant site with two or more plants is anticipated to produce, process or consume more than the relevant verification threshold (10kg for Schedule 2A*, 1 tonne for Schedule 2A and 10 tonnes for Schedule 2B chemicals) but does not have any individual plant with activities above the relevant verification threshold this should be highlighted to the Secretariat in the cover letter accompanying the declaration or in a comment.

Plant Site Code

The same plant site code as declared on form 2.2 should be entered.

IUPAC chemical name

Scheduled chemicals should be identified by their chemical names. As a scheduled chemical can have many systematic and non-systematic chemical names, the systematic naming system developed by International Union of Pure and Applied Chemistry - the IUPAC chemical name - is preferred. As an alternative the chemical name as listed in the Annex on Chemicals of the CWC can also be provided. A trade name should not be used as the primary identifier here but should be provided as additional information in the next field.

Common or trade name of the chemical used by the facility

If the chemical is normally known by a trade name or other common name at the facility please enter this here.

CAS registry number

The Chemical Abstracts Service (CAS) registry number for the chemical should also be provided if assigned. CAS registry numbers for commonly declared chemicals can be found in the Handbook on Chemicals or in the Scheduled Chemicals database.

Unit of Weight

Indicate the unit of weight by checking the box for “Tonne” or “Kg” as appropriate. The same unit of weight should be used for all quantities declared on this form.

Production, Processing and Consumption

For each activity enter the weight of the Schedule 2 chemical anticipated to be involved during the coming calendar year. In declaring any mixtures containing the Schedule 2 chemical the weight of the Schedule 2 chemical in the mixture should be declared not the weight of the mixture. All quantities should be declared to three figures in accordance with the rounding rules agreed by the Executive Council ([EC-XIX/DEC.5 dated 07 April 2000](#), see Section 1.5.2).

Please note that if a chemical will be produced, processed or consumed above the relevant declaration threshold¹³ during the calendar year then actual quantities (including zero) should be provided for each activities for the plant site as a whole, not just for the declared plant; quantities

¹³ A chemical is considered declarable if it will be produced, processed or consumed in one or more plants at the plant site above the following declaration thresholds in the year in question:

- 1 kg for Schedule 2A* chemicals
- 100kg for Schedule 2A chemicals
- 1 tonne for Schedule 2B chemicals

below the threshold should be still declared as figures, “<threshold” or “<1 tonne”, or similar should not be used in such cases.

For each activity please indicate the relevant time period (s) during which the activities are anticipated to take place. This information should be as precise as possible but should at least indicate during which quarters of the year the activities are to take place.

Purposes for which the chemical will be produced, processed or consumed

Processing and consumption of Schedule 2 chemical on site;

If the chemical will be processed or consumed on site please indicate the products obtained from these activities using the product group codes from Appendix 4.

Direct export of the Schedule 2 chemical off the plant site

If the Schedule 2 chemical, including mixtures containing the Schedule 2 chemical above the declaration concentration threshold (effectively 1% for Schedule 2A/2A* or 30% for Schedule 2B chemicals), will be directly exported abroad (i.e. exported directly from the plant site, not via a trader) after production or processing then check “Yes” and provide the three letter country codes (from Appendix 1) for the countries to which the chemical is expected to be exported. Exports of products arising from the processing or consumption of the Schedule 2 chemical where the Schedule 2 chemical is present in a concentration below the declaration low concentration threshold should not be declared.

Sale or transfer of the Schedule 2 chemical within the territory or to any other place under the jurisdiction or control of the State Party

If the Schedule 2 chemical, including mixtures containing the Schedule chemical above the declaration concentration threshold (effectively 1% for Schedule 2A/2A* or 30% for Schedule 2B chemicals), will be sold or transferred to any place within the State Party or any place under its jurisdiction or control please indicate whether it will be transferred to another industrial facility/company (Other industry), to a trader, or to any other destination, for example, to a waste facility for disposal. Sale or transfer of products arising from the production, processing or consumption of the Schedule 2 chemical where the Schedule 2 chemical is present in a concentration below the declaration low concentration threshold should not be declared.

Final product types derived from sold/transferred chemicals, if possible

If the chemical will be sold or transferred please indicate the final types of product that will be derived from these chemicals, if possible, using the product group codes in Appendix 4.

Other purpose (specify) for which the Schedule 2 chemical will be produced, processed or consumed

If the Schedule 2 chemical will be produced, processed or consumed for any other purpose not covered earlier in this section please specify that purpose. For example, the Schedule 2A chemical PFIB is generally produced as an unwanted by-product of fluoropolymer manufacture and after separation from the desired product is normally destroyed on site – this could be indicated in this field.



Form 2.6
Declaration of Plant Sites that had Past
Production of Schedule 2 Chemicals for
Chemical Weapons Purposes

Country Code:
 Section: B
 Page n of n pages:
 Date (ccyy-mm-dd):

Confid.
 mark

*Please complete one form for each plant site comprising plants that, at any time since 1 January 1946 produced a Schedule 2 chemical for CW purposes. (For each plant, please complete **Form 2.7**).*

☐

Plant Site Code:

_____ ↖

☐

Name of plant site:

_____ ↖

☐

The name of the owner, company, or enterprise operating the plant site:

_____ ↖

☐

Street address:

_____ ↖

☐

City/district:

_____ ↖

☐

Province/state/other:

_____ ↖

☐

Latitude, longitude/Precise location:

_____ ↖

☐

Identify the attachment for additional information on this plant site (if available):

_____ ↖

↖ □ - indicates information that will be provided to other States Parties in accordance with paragraph 11 of Part VII of the VA



Form 2.7
Declaration of Plants that Produced
Schedule 2 Chemicals for Chemical
Weapons Purposes

Country Code:
 Section: B
 Page n of n pages:
 Date (ccyy-mm-dd):

Confid.
 mark

*For each plant that produced at any time since 1 January 1946 a Schedule 2 chemical for CW purposes, please complete this form, as well as **Forms 2.7.1** and **2.7.2**.*

☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ 	Plant Code: Plant Site Code: Name of plant: The name of the owner, company, or enterprise operating the plant site: The precise location of the plant within the plant site: Specific structure number, if any: Specific building number, if any: Identify the attachments for additional information on this plant (if available): Main activities of Schedule 2 plants (present activities) Use main activity codes (see Appendix 3) to describe main activities of the plant: Use product group codes (see Appendix 4) to describe main activities of the plant in terms of product group(s):	_____ ↖ _____ ↖ _____ ↖ _____ ↖ _____ ↖ _____ ↖ _____ ↖ _____ ↖ _____ ↖ _____ ↖ _____ ↖ _____ ↖ _____ ↖ _____ ↖ _____ ↖
--	--	--

↖ □ - indicates information that will be provided to other States Parties in accordance with paragraph 11 of Part VII of the VA



Form 2.7.1
Present Schedule 2 Plant Activities at a
Facility Used for the Past Production of
Schedule 2 Chemicals for Chemical
Weapons Purposes

Country Code:
 Section: B
 Page n of n pages:
 Date (ccyy-mm-dd):

Confid.
 mark

Please complete as many forms as necessary in order to declare the present activities of each Schedule 2 plant at the plant site.

Plant Code:

_____ <

Plant Site Code:

_____ <

Please indicate whether the plant produces, processes, or consumes the declared Schedule 2 chemical(s):

Production :

Yes ☐ No ☐ <

Processing :

Yes ☐ No ☐ <

Consumption :

Yes ☐ No ☐ <

Is this plant dedicated to such activities or is it multipurpose?

Dedicated ☐ <

Multipurpose ☐ <

Specify other activities in relation to the declared Schedule 2 chemical(s), if any: (use appropriate Appendix 3 codes B04-B06 or specify)

_____ <

*Please declare the production capacity of this plant for each declared Schedule 2 chemical in the following **Form 2.7.2**.*

< ☐ - indicates information that will be provided to other States Parties in accordance with paragraph 11 of Part VII of the VA

**Form 2.7.2**
**Present Production Capacity of the Plant
Used for Past Production of Schedule 2
Chemicals for Chemical Weapons
Purposes**

Country Code: _____

Section: B

Page n of n pages:

Date (ccyy-mm-dd): _____

Confid.
mark

Please repeat the following block of information as many times as necessary in order to declare the production capacity of the plant for each declared Schedule 2 chemical presently produced, processed, or consumed at the plant.

Plant Code:

_____ <

Plant Site Code:

_____ <

Unit of weight:

Tonne ☐ Kg ☐ <

IUPAC chemical name:

_____ <

CAS registry number:

_____ <

Production capacity:

_____ <

Calculation method:

Name plate ☐ Design ☐ <

IUPAC chemical name:

_____ <

CAS registry number:

_____ <

Production capacity:

_____ <

Calculation method:

Name plate ☐ Design ☐ <

IUPAC chemical name:

_____ <

CAS registry number:

_____ <

Production capacity:

_____ <

Calculation method:

Name plate ☐ Design ☐ <

IUPAC chemical name:

_____ <

CAS registry number:

_____ <

Production capacity:

_____ <

Calculation method:

Name plate ☐ Design ☐ <

IUPAC chemical name:

_____ <

CAS registry number:

_____ <

Production capacity:

_____ <

Calculation method:

Name plate ☐ Design ☐ << ☐ - indicates information that will be provided to other States Parties in accordance with paragraph 11 of Part VII of the VA



Form 2.8
Declaration on Past Production of
Schedule 2 Chemicals for Chemical
Weapons Purposes

Country Code:
 Section: B
 Page n of n pages:
 Date (ccyy-mm-dd):

Confid.
 mark

Please complete one form for each Schedule 2 chemical produced at the plant site.

The year to which the data relates:

_____ ↙

Plant Site Code:

_____ ↙

IUPAC chemical name:

_____ ↙

Common or trade name of the chemical used by the facility:

_____ ↙

If chemical is not contained in handbook for chemicals, please identify attachment for structural formula:

_____ ↙

CAS registry number:

_____ ↙

Unit of weight:

Tonne ☐ Kg ☐ ↙

Please repeat the following block of information as many times as necessary in order to declare all dates when the Schedule 2 chemical was produced at the plant site.

Approximate periods:

_____ ↙

Quantity produced:

_____ ↙

Approximate periods:

_____ ↙

Quantity produced:

_____ ↙

Approximate periods:

_____ ↙

Quantity produced:

_____ ↙

Approximate periods:

_____ ↙

Quantity produced:

_____ ↙

Approximate periods:

_____ ↙

Quantity produced:

_____ ↙

Approximate periods:

_____ ↙

Quantity produced:

_____ ↙

↙ ☐ - indicates information that will be provided to other States Parties in accordance with paragraph 11 of Part VII of the VA



Form 2.8.1
Locations to which Schedule 2 Chemicals
Produced at the Plant Site for Chemical
Weapons Purposes were Delivered

Country Code:
 Section: B
 Page n of n pages:
 Date (ccyy-mm-dd):

Confid.
 mark

For each Schedule 2 chemical produced for CW purposes, please repeat the following block of information per plant site as many times as necessary in order to declare all locations, if known, to which the chemical was delivered.

☐	Plant Site Code:	_____ ↖
☐	IUPAC chemical name:	_____ ↖
☐	CAS registry number:	_____ ↖
☐	Location:	_____ ↖
☐	City/district:	_____ ↖
☐	Province/state/other:	_____ ↖
☐	Country codes (see Appendix 1):	_____ ↖
☐	Final product (if known):	_____ ↖
☐	Location:	_____ ↖
☐	City/district:	_____ ↖
☐	Province/state/other:	_____ ↖
☐	Country codes (see Appendix 1):	_____ ↖
☐	Final product (if known):	_____ ↖
☐	Location:	_____ ↖
☐	City/district:	_____ ↖
☐	Province/state/other:	_____ ↖
☐	Country codes (see Appendix 1):	_____ ↖
☐	Final product (if known):	_____ ↖
☐	Location:	_____ ↖
☐	City/district:	_____ ↖
☐	Province/state/other:	_____ ↖
☐	Country codes (see Appendix 1):	_____ ↖
☐	Final product (if known):	_____ ↖

↖ ☐ - indicates information that will be provided to other States Parties in accordance with paragraph 11 of Part VII of the VA



Form 2.9 Notification of Cessation of Declarable Activities at Schedule 2 Plant Site

Country Code:
Section: B
Page n of n pages:
Date (ccyy-mm-dd):

Confid.
mark

Please complete one form for each plant site that ceased to undertake activities in regard to Schedule 2 chemicals

Plant Site Code:

Name of plant site:

The name of the owner, company, or enterprise operating the plant site:

Street address:

City/district:

Province/state/other:

Latitude, longitude/Precise location:

Has the plant site permanently ceased all declarable activities with regard to Schedule 2 chemicals?

Yes ☐ No ☐

Year in which the declarable activities ceased

Reason for cessation of activities (*Check all that apply*)

Plant site has been closed

☐

Plant site has been dismantled

☐

Declared Schedule 2 plant(s) have been closed

☐

Declared Schedule 2 plant(s) have been dismantled

☐

Declared plant(s) still operating but no longer producing, processing or consuming Schedule 2 chemicals

☐

Activities prior to cessation

Was a Schedule 2 chemical produced, processed or consumed above the applicable declaration threshold in the calendar year in which the plant site ceased declarable activities with regard to Schedule 2 chemicals?

Yes ☐ No ☐

If “No” is checked, this form will be considered to be a nil declaration and no further declarations will be required for this Schedule 2 plant site.

If “Yes” is checked, then an annual declaration of past activities is required for the calendar year in which the plant site ceased declarable activities. This declaration can either be provided with this notification or 90 days after the end of that calendar year.

SCHEDULE 3 CHEMICALS AND FACILITIES RELATED TO SUCH CHEMICALS



Form 3.1
Aggregate National Data: Declaration of
Schedule 3 Chemicals

Country Code: _____
 Section: B
 Page n of n pages: _____
 Date (ccyy-mm-dd): _____

Confid.
mark

Please complete one form for each Schedule 3 chemical.

☐

IUPAC chemical name:

☐

CAS registry number:

Unit of weight:

Tonne ☐ Kg ☐

Aggregate quantity for the previous calendar year:

☐

Produced:

☐

Imported:

☐

Exported:

Guidance on Form 3.1

IUPAC chemical name

Scheduled chemicals should be identified by their chemical names. As a scheduled chemical can have many systematic and non-systematic chemical names, the systematic naming system developed by International Union of Pure and Applied Chemistry - the IUPAC chemical name - is preferred. As an alternative the chemical name as listed in the Annex on Chemicals of the CWC can also be provided. The use of common or trade names should be avoided when declaring AND.

CAS registry number

The Chemical Abstracts Service (CAS) registry number for the chemical should also be provided if assigned.

To assist State Parties in preparing industrial declarations related to scheduled chemicals, chemical names and CAS registry numbers (if assigned) of scheduled chemicals which have previously been declared are contained in the Handbook on Chemicals (Appendix 2).

Unit of weight

The aggregate quantity of the activity for the previous year should include the units of weight. States Parties should indicate the unit of weight by checking the box for “Tonne” or “Kg” as appropriate. The same unit of weight should be used for all quantities declared on each form. If a State Party wishes to use kilotonnes (kilotonne = 1000 tonnes) to declare large amounts then “kilotonnes” should be entered after each quantity to be declared in kilotonnes.

Aggregate quantity for the previous calendar year

The aggregate quantities produced, imported and exported by the State Party during the previous calendar year should be entered in the appropriate fields. For more information on declaration of quantities and rounding rules to be applied please see subsection 1.5.2 of Section B.

In particular, when including mixtures which contain less than 100 per cent of the scheduled chemical in aggregate data, firstly only those mixtures that contain the scheduled chemical above the applicable low concentration threshold (30% for Schedule 3 chemicals) should be included and the quantity of the scheduled chemical contained in the mixture should be aggregated not the quantity of the mixture.

If for a specific Schedule 3 chemical, the aggregate quantity for any of the activities (production, import and export) was below the declaration threshold of 30 tonnes then leave the field blank for that activity (in accordance with [C-7/DEC.14, dated 10 October 2002](#)).



Form 3.1.1
Aggregate National Data: Specification of
Imports or Exports of the Schedule 3
Chemical by Country

Country Code:
 Section: B
 Page n of n pages:
 Date (ccyy-mm-dd):

Confid.
mark

Please complete this form for each Schedule 3 chemical.

☐

IUPAC chemical name:

☐

CAS registry number:

Unit of weight:

Tonne ☐ Kg ☐

*Please repeat the following block(s) of information as many times as necessary to declare all **import** and **export** quantities of this chemical for all countries involved in the previous calendar year.*

☐

Country code (see Appendix 1):

☐

Quantity imported (**by Declaring State Party**):

☐

Quantity exported (**by Declaring State Party**):

☐

Country code (see Appendix 1):

☐

Quantity imported (**by Declaring State Party**):

☐

Quantity exported (**by Declaring State Party**):

☐

Country code (see Appendix 1):

☐

Quantity imported (**by Declaring State Party**):

☐

Quantity exported (**by Declaring State Party**):

☐

Country code (see Appendix 1):

☐

Quantity imported (**by Declaring State Party**):

☐

Quantity exported (**by Declaring State Party**):

☐

Country code (see Appendix 1):

☐

Quantity imported (**by Declaring State Party**):

☐

Quantity exported (**by Declaring State Party**):

☐

Country code (see Appendix 1):

☐

Quantity imported (**by Declaring State Party**):

☐

Quantity exported (**by Declaring State Party**):

Guidance on Form 3.1.1

For more information on declaration of quantities and rounding rules to be applied please see subsection 1.5.2 of Section B.

For guidance on completion of the fields **IUPAC chemical name**, **CAS registry number** and **Unit of weight** see the guidance for Forms 3.1 above.

For each country which was involved in trade in the named Schedule 3 chemical with the declaring State Party the following three fields should be completed.

Country Code

Identify the other country involved in the transfer by entering the appropriate three letter country code contained in Appendix 1.

Quantity imported

Enter the aggregate quantity imported to the declaring State Party from the country which is declared in the field 'Country Code'.

Quantity exported

Enter the aggregate quantity exported from the declaring State Party to the country which is declared in the field 'Country Code'.

If the quantity imported or exported by the declaring State Party was below the appropriate declaration threshold for the chemical concerned (reference [C-7/DEC.14, dated 10 October 2002](#)) then "<30" can be entered to represent less than the declaration threshold of 30 tonnes¹⁴. Alternatively States Parties may wish to declare the exact figures even if below the declaration threshold.

¹⁴ Please ensure the units of weight indicated in the form are consistent with the units used for the declaration threshold.



Form 3.2 Declaration of Schedule 3 Plant Sites

Country Code:
Section: B
Page n of n pages:
Date (ccyy-mm-dd):

Confid.
mark

Please complete one form for each plant site.

☐

Plant Site Code:

_____ ↖

☐

Name of plant site:

_____ ↖

☐

The name of the owner, company, or enterprise
operating the plant site:

_____ ↖

☐

Street address:

_____ ↖

☐

City/district:

_____ ↖

☐

Province/state/other:

_____ ↖

☐

Latitude, longitude/Precise location:

_____ ↖

Identify the attachment for additional information on this
plant site (if available):

☐

Number of declared Schedule 2 Plants
at the plant site:

_____ ↖

↖ ☐ - indicates information that will be provided to other States Parties in accordance with paragraph 11 of Part VIII of the VA

Guidance on Form 3.2

Plant Site Code

The declaring State Party is requested to assign a unique plant site code for each facility and use those codes for identification purposes for subsequent declarations. These codes must be used in a consistent manner in subsequent declarations to ensure that the Secretariat can identify previously declared plant sites and hence avoid unnecessary inspections.

For plant sites which are declarable under more than one part of the VA (mixed plant sites – see Section 1.5.2), it is strongly recommended that the same plant site code be used for the plant site in all declarations to facilitate the identification of the plant site as a mixed plant site for plant site selection and inspection planning purposes. If, however, different coding systems are used for plant sites declared under the different parts of the VA it is recommended that either a table be provided as part of the cover letter to the declaration listing all mixed plant sites and clearly indicating which codes are used in declarations under different parts of the VA or, if declaring electronically in EDNA, a comment providing this information be entered for each declaration of a mixed plant site.

Name of plant site

Enter the name of the plant site. In general this should be the name by which the plant site is commonly referred to in official documentation (trading or business licenses, environmental permits, quality documentation, etc.) which can be made available during an inspection. In cases where such documentation gives the name of the company and that company operates several plant sites within the same State Party it is recommended that the company name followed by the location of the plant site is given as the name of the plant site (for example, xxxx Ltd – yyyy plant site) to avoid several plant sites being declared with the same name.

The name of the owner, company, or enterprise operating the plant site

Enter the name of the owner of the plant site or in cases where the plant site is operated by a company or enterprise other than the owner give the name of that company or enterprise. In cases where the plant site is run by the State, the name of the government department, ministry or agency in charge of operating the plant site should be given.

Street address, City/district, Province/state/other

Enter the address of the plant site using these three fields, as appropriate. Note the term “state” refers to a territorial division of a country (e.g. the State of California in the United States of America) rather than to the country itself. The address entered should be that of the physical location of the plant site **not** that of the head office of the owner or operator. If the plant site does not have a defined street address the precise location cannot be determined from the address alone and further details should be given in the field “Latitude, longitude/Precise location”.

Latitude, longitude/Precise location

Use this field to provide more details on the precise location of the plant site; this is particularly important in cases where the precise location of the plant site cannot be determined from the address alone, such as where there is no defined address for the plant site. This information can take the form of geographical coordinates (obtained for example from a global positioning system (GPS) or map) or a description of the location of the plant site, such as “xx km along the main road from town A to town B”.

Identify the attachment for additional information on this plant site (if available)

States Parties may use this field to identify any attachment providing additional information that they may wish to provide on a voluntary basis. Some States Parties also use this field to inform the Secretariat of other issues affecting the plant site such as the fact it has closed.

Number of declared Schedule 2 Plants at the plant site

For mixed plant sites which have declared Schedule 2 plants in addition to the Schedule 3 plant being currently declared, the number of those Schedule 2 plants should be entered. If the plant site has no such plants enter "0". Note that only declared Schedule 2 plants should be counted; plants that produce, process or consume Schedule 2 chemicals but are not declarable should not be counted.



Form 3.3

Declaration of Schedule 3 Plant(s)

Country Code:
 Section: B
 Page of n pages:
 Date (ccyy-mm-dd):

Confid.
mark

Please complete one form for each plant.

☐

Plant Code:

_____ <

☐

Plant Site Code:

_____ <

☐

Name of plant:

_____ <

☐

The name of the owner, company, or enterprise
operating the plant:

_____ <

☐

The precise location of the plant within the plant site:

☐

Specific structure number, if any:

☐

Specific building number, if any:

☐

Identify the attachments for additional information on a
voluntary basis on this plant (if available):

Main activities of Schedule 3 plants.

☐

Use product group codes (see Appendix 4) to describe
main activities of the plant in terms of product group(s):

_____ <

< ☐ - indicates information that will be provided to other States Parties in accordance with paragraph 11 of Part VIII of the VA

Guidance on Form 3.3

For each declarable plant a separate form 3.3 should be submitted.

Plant Code

The declaring State Party is requested to assign a unique plant code for each declared plant at the plant site and use those codes for identification purposes for subsequent declarations.

Plant Site Code

The same plant site code as declared on form 3.2 should be entered.

Name of plant

Enter the name of the plant. In general this should be the name by which the plant is commonly referred to in official or company documentation or plant site diagrams which can be made available during an inspection.

The name of the owner, company, or enterprise operating the plant

Enter the name of the owner of the plant or in cases where the plant is operated by a company or enterprise other than the owner give the name of that company or enterprise. In general this should be the same as the owner, company or enterprise operating the plant site (declared on form 3.2) – if the operator of the plant and the plant site are different then an explanation should be provided as to why this plant has not been declared separately as part of a separate plant site.

The precise location of the plant within the plant site

Enter a specific structure or building number that will allow the location of the plant to be identified on a plant site diagram or provide a description of the location of the plant within the plant site if no such numbers are assigned.

Identify the attachment for additional information on a voluntary basis on this plant (if available)

States Parties may use this field to identify any attachment providing additional information that they may wish to provide on a voluntary basis. Some States Parties also use this field to inform the Secretariat of other issues affecting the plant such as the fact it has closed.

Use product group codes (see Appendix 4) to describe main activities of the plant in terms of product group(s)

Enter one or more product group codes from Appendix 4 to describe the main activities of the plant. In selecting a product group code the focus should be on the main activities of the plant itself, not necessarily solely on its activities in relation to Schedule 3 chemicals, which make it declarable. For example, if the Schedule 3 plant is a mixed plant which is also declared for Schedule 2 chemicals and/or DOCs, the product group codes should reflect activities related to all three chemical regimes.



Form 3.4
Information on Each Schedule 3 Chemical
above the Declaration Threshold at the
Plant Site

Country Code:
 Section: B
 Page n of n pages:
 Date (ccyy-mm-dd):

Confid. mark *Please complete one or more forms for each plant site, depending on the number of declarable chemicals.*

☐ **Plant Site Code:** _____ ↖

Please repeat the following block(s) of information as often as necessary to declare all Schedule 3 chemicals at the plant site.

☐ IUPAC chemical name: _____ ↖

☐ Common or trade name used by the plant site: _____ ↖

☐ CAS registry number: _____ ↖

☐ Production range for the Schedule 3 chemical (use code of production range, see Appendix 6): _____

☐ Purpose of production (use production purpose codes B11 to B13 in Appendix 5, or specify): _____

☐ IUPAC chemical name: _____ ↖

☐ Common or trade name used by the plant site: _____ ↖

☐ CAS registry number: _____ ↖

☐ Production range for the Schedule 3 chemical (use code of production range, see Appendix 6): _____

☐ Purpose of production (use production purpose codes B11 to B13 in Appendix 5, or specify): _____

↖ ☐ - indicates information that will be provided to other States Parties in accordance with paragraph 11 of Part VIII of the VA

Guidance on Form 3.4

States Parties should complete one or more forms 3.4 depending on the number of Schedule 3 chemicals produced at the plant site.

Plant Site Code

The same plant site code as declared on form 3.2 should be entered.

For each declarable chemical the following fields should be completed.

IUPAC chemical name

Scheduled chemicals should be identified by their chemical names. As a scheduled chemical can have many systematic and non-systematic chemical names, the systematic naming system developed by International Union of Pure and Applied Chemistry - the IUPAC chemical name - is preferred. As an alternative the chemical name as listed in the Annex on Chemicals of the CWC can also be provided. A trade name should not be used as the primary identifier here but should be provided as additional information in the next field.

Common or trade name of the chemical used by the facility

If the chemical is normally known by a trade name or other common name at the facility please enter this here.

CAS registry number

The Chemical Abstracts Service (CAS) registry number for the chemical should also be provided if assigned. CAS registry numbers for commonly declared chemicals can be found in the Handbook on Chemicals or in the Scheduled Chemicals database.

Production range for the Schedule 3 chemical

Please indicate the amount of the Schedule 3 chemical produced at the plant site by selecting one of the codes listed below (also listed in Appendix 6).

Code	Production Range
B21	$30 < P \leq 200$ tonnes
B22	$200 < P \leq 1,000$ tonnes
B23	$1,000 < P \leq 10,000$ tonnes
B24	$10,000 < P \leq 100,000$ tonnes
B25	$P > 100,000$ tonnes

P represents the annual production amount of a Schedule 3 chemical

Purpose of production

Please indicate the purpose of production of the Schedule 3 chemical using one or more of the three codes listed below (also listed in Appendix 5). Please enter all codes that apply.

Code	Purposes of Production
B11	In-line consumption as produced (captive use)
B12	Synthetic intermediate stored and used on site
B13	Transfer to other industry

Please note that code B11 should be used for Schedule 3 chemicals produced and then used immediately without isolation and storage, either within the same plant or in an adjacent plant to which the Schedule 3 chemical was directly piped. Please note that use of “header tanks” to maintain a steady supply of a Schedule 3 chemical should not be considered as isolation and storage. Code B12 should be used for Schedule 3 chemicals that are produced and isolated as an intermediate, which is then stored on site prior to use on site. Code B13 should be used for Schedule 3 chemicals which are isolated and then transferred to another industrial facility (including one operated by the same company) or a trader.



Form 3.5
Declaration of Plant Sites that had Past
Production of Schedule 3 Chemicals for
Chemical Weapons Purposes

Country Code:
 Section: B
 Page n of n pages:
 Date (ccyy-mm-dd):

Confid.
 mark

*Please complete one form for each plant site comprising plants that, at any time since 1 January 1946 produced a Schedule 3 chemical for CW purposes. (For each plant site, please complete **Form 3.6**).*

☐

Plant Site Code:

_____ ↖

☐

Name of plant site:

_____ ↖

☐

The name of the owner, company, or enterprise operating the plant site:

_____ ↖

☐

Street address:

_____ ↖

☐

City/district:

_____ ↖

☐

Province/state/other:

_____ ↖

☐

Latitude, longitude/Precise location:

_____ ↖

☐

Identify the attachment for additional information on this plant site (if available):

_____ ↖

↖ □ - indicates information that will be provided to other States Parties in accordance with paragraph 11 of Part VIII of the VA



Form 3.6
Declaration of Plants that Produced
Schedule 3 Chemicals for Chemical
Weapons Purposes

Country Code:
 Section: B
 Page n of n pages:
 Date (ccyy-mm-dd):

Confid.
 mark

Please complete one form for each plant that produced at any time since 1 January 1946 a Schedule 3 chemical for CW purposes.

☐

Plant Code:

_____ ↖

☐

Plant Site Code:

_____ ↖

☐

Name of plant:

_____ ↖

☐

The name of the owner, company, or enterprise operating the plant:

_____ ↖

☐

The precise location of the plant within the plant site:

_____ ↖

☐

Specific structure number, if any:

_____ ↖

☐

Specific building number, if any:

_____ ↖

☐

Identify the attachments for additional information on a voluntary basis on this plant (if available):

_____ ↖

Main activities of Schedule 3 plants (present activities)

☐

Use main activity codes (see Appendix 3) to describe main activities of the plant:

_____ ↖

☐

Use product group codes (see Appendix 4) to describe main activities of the plant in terms of product group(s):

_____ ↖

↖ □ - indicates information that will be provided to other States Parties in accordance with paragraph 11 of Part VIII of the VA



Form 3.7
Declaration of Past Production of Schedule
3 Chemicals for Chemical Weapons
Purposes

Country Code:
 Section: B
 Page n of n pages:
 Date (ccyy-mm-dd):

Confid. mark *Please complete one form for each Schedule 3 chemical produced at the plant site.*

☐	Plant Site Code:	_____ ↖
☐	IUPAC chemical name:	_____ ↖
☐	Common or trade name of the chemical used by the facility:	_____ ↖ _____ ↖
☐	CAS registry number:	_____ ↖
	Unit of weight:	Tonne ☐ Kg ☐ ↖

Please repeat the following block of information as many times as necessary in order to declare all dates when the Schedule 3 chemical was produced at the plant site.

☐	Approximate periods:	_____ ↖
☐	Quantity produced:	_____ ↖
☐	Approximate periods:	_____ ↖
☐	Quantity produced:	_____ ↖
☐	Approximate periods:	_____ ↖
☐	Quantity produced:	_____ ↖
☐	Approximate periods:	_____ ↖
☐	Quantity produced:	_____ ↖
☐	Approximate periods:	_____ ↖
☐	Quantity produced:	_____ ↖
☐	Approximate periods:	_____ ↖
☐	Quantity produced:	_____ ↖

↖ ☐ - indicates information that will be provided to other States Parties in accordance with paragraph 11 of Part VIII of the VA



Form 3.7.1
Locations to which Schedule 3 Chemicals
Produced at the Plant Site for Chemical
Weapons Purposes were Delivered

Country Code:
 Section: B
 Page n of n pages:
 Date (ccyy-mm-dd):

Confid.
 mark

For each Schedule 3 chemical produced for CW purposes, please repeat the following block of information per plant site as many times as necessary in order to declare all locations, if known, to which the chemical was delivered.

☐	Plant Site Code:	_____	↖
☐	IUPAC chemical name:	_____	↖
☐	CAS registry number:	_____	↖
☐	Location:	_____	↖
☐	City/district:	_____	↖
☐	Province/state/other:	_____	↖
☐	Country code (see Appendix 1):	_____	↖
☐	Final product (if known):	_____	↖
☐	Location:	_____	↖
☐	City/district:	_____	↖
☐	Province/state/other:	_____	↖
☐	Country code (see Appendix 1):	_____	↖
☐	Final product (if known):	_____	↖
☐	Location:	_____	↖
☐	City/district:	_____	↖
☐	Province/state/other:	_____	↖
☐	Country code (see Appendix 1):	_____	↖
☐	Final product (if known):	_____	↖
☐	Location:	_____	↖
☐	City/district:	_____	↖
☐	Province/state/other:	_____	↖
☐	Country code (see Appendix 1):	_____	↖
☐	Final product (if known):	_____	↖

↖ ☐ - indicates information that will be provided to other States Parties in accordance with paragraph 11 of Part VIII of the VA



Form 3.8 Notification of Cessation of Declarable Activities at Schedule 3 Plant Sites

Country Code:
Section: B
Page n of n pages:
Date (ccyy-mm-dd):

Confid.
mark

Please complete one form for each plant site that ceased to undertake activities in regard to Schedule 3 chemicals

☐	Plant Site Code:	_____
☐	Name of plant site:	_____
☐	The name of the owner, company, or enterprise operating the plant site:	_____
☐	Street address:	_____
☐	City/district:	_____
☐	Province/state/other:	_____
☐	Latitude, longitude/Precise location:	_____
☐	Has the plant site permanently ceased all declarable activities with regard to Schedule 3 chemicals?	Yes ☐ No ☐
☐	Year in which the declarable activities ceased	_____
Reason for cessation of activities (<i>check all that apply</i>)		
☐	Plant site has been closed	☐
☐	Plant site has been dismantled	☐
☐	Declared Schedule 3 plant(s) have been closed	☐
☐	Declared Schedule 3 plant(s) have been dismantled	☐
☐	Declared plant(s) still operating but no longer producing Schedule 3 chemicals	☐

Activities prior to cessation

☐	Was a Schedule 3 chemical produced above the applicable declaration threshold in the calendar year in which the plant site ceased declarable activities with regard to Schedule 3 chemicals?	Yes ☐ No ☐
--------------------------	--	--

If “No” is checked, this form will be considered to be a nil declaration and no further declarations will be required for this Schedule 3 plant site.

If “Yes” is checked, then an annual declaration of past activities is required for the calendar year in which the plant site ceased declarable activities. This declaration can either be provided with this notification or 90 days after the end of that calendar year.

OTHER CHEMICAL PRODUCTION FACILITIES (OCPF)



Form 4.1 Declaration of “Other Chemical Production Facilities”

Country Code:
Section: B
Page n of n pages:
Date (ccyy-mm-dd):

Confid.
mark

Please complete one form for each “other chemical production facility”.

Plant Site Code:

Name of plant site:

The name of the owner, company, or enterprise operating the plant site:

Street address:

City/district:

Province/state/other:

Latitude, longitude/Precise location:

Identify the attachment for additional information on this plant site (if available):

Use product group codes (see Appendix 4) to describe main activities of the plant site that make the plant site declarable, in terms of product group(s):

For plant sites producing more than 200 tonnes of DOC chemicals (including PSF-chemicals)

Aggregate amount of production of the unscheduled discrete organic chemicals, including any amount of PSF-chemicals (use Codes of Production Range, see Appendix 7):

Approximate number of plants producing unscheduled discrete organic chemicals, including PSF-chemicals at the plant site:

For plant sites comprising one or more plants producing more than 30 tonnes of an individual PSF-chemical

Number of PSF-plants at plant site:

Has this plant site during the previous calendar year produced more than 200 tonnes of an individual PSF-chemical?

Yes ☐ No ☐

Aggregate amount of production of PSF-chemicals produced by each PSF-plant

Number of plants producing 30 to 200 tonnes of PSF:

Number of plants producing 200 to 1,000 tonnes of PSF:

Number of plants producing 1,000 to 10,000 tonnes of PSF:

Number of plants producing more than 10,000 tonnes of PSF:

◀ ◻ - indicates information that will be provided to other States Parties in accordance with paragraph 8 of Part IX of the VA

Guidance on Form 4.1

Plant Site Code

The declaring State Party is requested to assign a unique plant site code for each facility and may use those codes for relevant data entries on declaration forms. These codes must be used in a consistent manner in subsequent declarations to ensure that the Secretariat can identify previously declared sites and hence avoid unnecessary inspections.

For plant sites which are declarable under more than one part of the VA (mixed plant sites – see Section 1.5.2), it is strongly recommended that the same plant site code be used for the plant site in all declarations to facilitate the identification of the plant site as a mixed plant site for plant site selection and inspection planning purposes. If, however, different coding systems are used for plant sites declared under the different parts of the VA it is recommended that either a table be provided as part of the cover letter to the declaration listing all mixed plant sites and clearly indicating which codes are used in declarations under different parts of the VA or, if declaring electronically in EDNA a comment providing this information be entered for each declaration of a mixed plant site.

Name of plant site

Enter the name of the plant site. In general this should be the name by which the plant site is commonly referred to in official documentation (trading or business licenses, environmental permits, quality documentation, etc.) which can be made available during an inspection. In cases where such documentation gives the name of the company and that company operates several plant sites within the same State Party it is recommended that the company name followed by the location of the plant site is given as the name of the plant site (for example, xxxx Ltd – yyyy plant site) to avoid several plant sites being declared with the same name.

The name of the owner, company, or enterprise operating the plant site

Enter the name of the owner of the plant site or in cases where the plant site is operated by a company or enterprise other than the owner give the name of that company or enterprise. In cases where the plant site is run by the State, the name of the government department, ministry or agency in charge of operating the plant site should be given.

Street address, City/district, Province/state/other

Enter the address of the plant site using these three fields, as appropriate. Note the term “state” refers to a territorial division of a country (e.g. the State of California in the United States of America) rather than to the country itself. The address entered should be that of the physical location of the plant site **not** that of the head office of the owner or operator. If the plant site does not have a defined street address the precise location cannot be determined from the address alone and further details should be given in the field “Latitude, longitude/Precise location”.

Latitude, longitude/Precise location

Use this field to provide more details on the precise location of the plant site; this is particularly important in cases where the precise location of the plant site cannot be determined from the address alone, such as where there is no defined address for the plant site. This information can take the form of geographical coordinates (obtained for example from a global positioning system (GPS) or map) or a description of the location of the plant site, such as “xx km along the main road from town A to town B”.

Identify the attachment for additional information on this plant site (if available)

States Parties may use this field to identify any attachment providing additional information that they may wish to provide on a voluntary basis. Some States Parties also use this field to inform the Secretariat of other issues affecting the plant site such as the fact it has closed.

Use product group codes (see Appendix 4) to describe main activities of the plant site that make the plant site declarable, in terms of product group(s)

In this 2013 version of the Handbook a newly agreed list of OPCW product group codes (as reported during the Seventy-Fourth Session of the Executive Council (EC-74/WP.1, dated 8 October 2013) has been introduced.

Enter one or more product group codes from Appendix 4 to describe the main activities of the plant site. In selecting product group codes it is recommended that codes are selected which describe the production activities that **make the plant site declarable** rather than to describe the ultimate end products manufactured at the plant site, as was the previous practice. This change will help both the Secretariat and States Parties in identifying those plant sites that do not have any declarable activities and hence avoid inspections at these non-declarable plant sites. In particular product group codes 522, 525, 571, 572, 573, 574, 575, 579, 581, 582, 583 describe production activities that are not normally declarable under Part IX of the VA and hence their use may indicate a non-declarable plant site. Product group codes not applicable to be used for OCPF are shaded in the list included in Appendix 4. Only one product group code should be selected per chemical and a code should be provided to each main chemical or chemical related series. If several discrete organic chemicals (DOCs) are produced, one product group code should be defined for each main chemical or chemical series. The correct product group code to declare is the first one in this list that accurately describes the particular DOC: 519, 591, 541, 542, 515, 513, 512, 511, 514, 523, 531, 532, 551, 553, 554, 593, 597, 516.

Please note that the typical chemicals included in some code descriptions in Appendix 4 are for illustrative purposes only and do not represent a complete list of all chemicals within the group, nor imply that these specific chemicals are being declared.

Please note that while the former codes will still be accepted their use is not recommended.

For plant sites producing more than 200 tonnes of DOC chemicals (including PSF-chemicals)

The two questions in this section only need to be completed if the plant site produced an aggregate of more than 200 tonnes of unscheduled discrete organic chemicals (including any amount of PSF-chemicals).

Aggregate amount of production of the unscheduled discrete organic chemicals, including PSF-chemicals (use Codes of Production Range, see Appendix 7):

Please indicate the aggregate amount of all DOCs produced at the plant site by selecting one of the codes listed below (also listed in Appendix 7)

Code	Production Range
B31	200 < R < 1,000 tonnes
B32	1,000 ≤ R ≤ 10,000 tonnes
B33	R > 10,000 tonnes

R represents the annual production amount of unscheduled discrete organic chemicals.

In calculating the approximate aggregate amount of production of DOCs at the plant site, the production of any amount of PSF-chemicals, which are a type of DOC not a separate class of chemicals, should be included.

In accordance with Conference decision [C-I/DEC.39, dated 16 May 1997](#) in calculating the "approximate aggregate amount of production of unscheduled discrete organic chemicals" at the plant site pursuant to subparagraph 1(a) of Part IX of the VA, the production data shall be aggregated in a way that includes:

- (i) in the case of the production of two or more unscheduled DOCs at the same plant, the aggregate of all of these unscheduled DOCs;
- (ii) in the case of multistep processes, only the quantity of the final product if it is an unscheduled DOC, or the quantity of the last intermediate in the multistep synthesis that meets the definition of an unscheduled DOC; and
- (iii) in the case of intermediates meeting the definition of an unscheduled DOC and being used by another plant at the plant site to produce an unscheduled DOC, the amount of the intermediate and of the product manufactured from it at that other plant.

Approximate number of plants producing unscheduled discrete organic chemicals, including PSF-chemicals at the plant site:

Enter the number of plants at the plant site producing DOCs (including PSF-chemicals).

In calculating the number of plants to be declared all plants which produced DOCs at any point during the previous calendar should be counted. Plants which closed down, or have even been dismantled, by the end of the year should still be counted, as long as they produced DOCs during the calendar year.

In many cases it is difficult to distinguish clearly between what is a plant and what is a unit. The CWC includes definitions of plant and unit in paragraph 6 of Part I of the VA.

- (b) "Plant" (Production facility, Workshop) means a relatively self-contained area, structure or building containing one or more units with auxiliary and associated infrastructure, such as:
 - (i) Small administrative section;
 - (ii) Storage/handling areas for feedstock and products;
 - (iii) Effluent/waste handling/treatment area;
 - (iv) Control/analytical laboratory;
 - (v) First aid service/related medical section; and

(vi) Records associated with the movement into, around and from the plant site, of declared chemicals and their feedstock or product chemicals formed from them, as appropriate.

- (c) "Unit" (Production unit, Process unit) means the combination of those items of equipment, including vessels and vessel set up, necessary for the production, processing or consumption of a chemical.

In general a building or structure with several equipment setups for production, processing or consumption of chemicals would be considered a plant with several units rather than several separate plants. However, a plant can consist of several integrated buildings or structures.

For plant sites comprising one or more plants producing more than 30 tonnes of an individual PSF-chemical

The three questions in this section only need to be completed if there is at least one plant producing more than 30 tonnes of an individual PSF-chemical (i.e. not an aggregate of all PSF-chemicals).

Number of PSF-plants at plant site

Enter the number of plants producing PSF-chemicals at the plant site. Note that to be considered as a PSF-plant the plant must have produced more than 30 tonnes of an individual PSF-chemical (i.e. not an aggregate of all PSF-chemicals produced at the plant) during the previous calendar year. Plants that only produced smaller amounts of a number of PSF-chemicals (i.e. no individual PSF-chemical is produced in a quantity greater than 30 tonnes) are not considered PSF-plants even if the sum of all the PSF-chemicals produced at the plant is greater than 30 tonnes.

Has this plant site during the previous calendar year produced more than 200 tonnes of an individual PSF-chemical?

Check "Yes" if the plant site has produced more than 200 tonnes of an individual PSF-chemical (i.e. not an aggregate of all PSF-chemicals).

Aggregate amount of production of PSF-chemicals produced by each PSF-plant

Enter the number of plants producing PSF-chemicals in each of the ranges:

- 30 to 200 tonnes
- 200 to 1000 tonnes
- 1000 to 10000 tonnes
- More than 10000 tonnes

END-USE CERTIFICATE

End-Use Certificate

Form T30

(For transfers of Schedule 3 chemicals to States not party to the Convention)

Exporter's Transfer**Country Code****Year****Transfer Number****Identification:**

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A. CHEMICAL TO BE TRANSFERRED:					
Type:	<table border="1" style="width: 100%;"> <tr> <td style="width: 40%;">IUPAC chemical name</td> <td></td> </tr> <tr> <td>CAS registry number</td> <td></td> </tr> </table>	IUPAC chemical name		CAS registry number	
IUPAC chemical name					
CAS registry number					
Total Quantity (Kilograms):					
B. END-USE(S) OF THE CHEMICAL:					
1.					
2.					
3.					
C. END-USER(S)					
I (we) certify that I (we) am (are) the end-user(s) of the chemical referred to under A above. I (we) will not export, resell or otherwise dispose of any amount thereof (1) outside the recipient State on whose territory the end-user(s) listed below is (are) located, or (2) to any other person, natural or legal. I (we) further certify that, to the best of my (our) knowledge and belief, all of the facts contained in this certificate are true, and that I (we) do not know of any additional facts that are inconsistent with this certificate.					
Name:					
Position:					
Organisation:					
Address:					
Signature:					
Date:					
Name:					
Position:					
Organisation:					
Address:					
Signature:					
Date:					
Name:					
Position:					
Organisation:					
Address:					
Signature:					
Date:					
Name:					
Position:					
Organisation:					
Address:					
Signature:					
Date:					
D. CERTIFICATION ON BEHALF OF THE RECIPIENT STATE					
It is hereby certified that the transferred chemical referred to above will be used only for purposes not prohibited under the Convention on the Prohibition of the Development, Stockpiling and Use of Chemical Weapons and on Their Destruction, and that it will not be re-transferred.					
Name:					
Position:					
Organisation:					
Address:					
Signature:					
Date:					

ANNEX C OF SECTION B
RESOLVING TRANSFER DISCREPANCIES

OPCW

Revised version 2: 1 January 2017

Resolving Transfer Discrepancies

General Approach

Transfer discrepancies can be caused by a large number of issues. How best to approach resolving any discrepancy will depend on a number of factors:

- What is the source of your State Party's trade data, e.g. customs, import/export licensing authorities, direct reports from industry?
- Which State Party declared the data the discrepancy is based on?
 - only your State Party (i.e. the other State Party did not declare any trade in this chemical with your State Party)
 - only the other State Party (i.e. your State Party did not declare any trade in this chemical with the other State Party)
 - Both States Parties declared trade but the figures don't match.
- Does your State Party normally trade in the chemical involved in the discrepancy?

However as a basic approach the following steps should be considered:

- Step 1. Check data displayed for your State Party in the transfer discrepancy letter against your own declaration
- Step 2. Analyse the discrepancy letter and compare against previous discrepancy letters to look for potential indicators of the source of the discrepancy
- Step 3. Carry out initial checks of the data that was aggregated for the declaration to look for errors, omissions or double counting.
- Step 4. Cross-check data with other sources such as customs/licensing authorities, if possible, particularly if the discrepancy seems to be something your State Party may not have declared.
- Step 5. Go back to relevant industry or traders to request them to double-check their data to look for errors or omissions.
- Step 6. Consult with representatives of the other State Party involved to see if you can share any data on the discrepancy that may lead to its resolution.
- Step 7. If no solution can be found inform the Secretariat of this and if the discrepancy seems to be something your State Party may not have declared consider carrying out additional outreach to industry.
- Step 8. Report the results of the process to the Secretariat (and the other State Party as appropriate), making any necessary amendments.

Clearly not all of these steps may be applicable to all States Parties, depending on their procedures and regulations, or in some cases they may be carried out in a different order. In addition in many cases it may be possible to skip one or more steps; for example if a discrepancy arises due to another State Party declaring an export to your State Party of a chemical you have not declared and have never traded in previously it may be worth considering contacting the other State Party involved directly (Step 6).

More details on each step are provided below.

Step 1: Check the discrepancy letter against your own declarations

Firstly identify the chemicals and countries involved from the discrepancy letter provided by the Secretariat. The data is presented in the form of a table (see example below using fictitious country codes) which identifies the chemical involved by its CAS number and shows the quantities declared by the importing and exporting States Parties, who are identified by their three digit country code (see Appendix 1 for a list of country codes). Only transfers involving your State Party which have resulted in a discrepancy will be displayed. If a quantity field is left blank then no declaration was made by that State Party in relation to the transfer declared by the other State Party.

Quantity Exported (tonnes)	Exporting State Party	Chemical (CAS number)	Importing State Party	Quantity Imported (tonnes)
20.0	XXX	102-71-6	YYY	100.0
40.0	ZZZ	102-71-6	YYY	

This example shows an extract from the transfer discrepancy report of State Party YYY (all codes are fictitious) involving two discrepancies. In the first discrepancy State Party XXX declared the export of 20 tonnes of a chemical with CAS number 102-71-6 (triethanolamine, Schedule 3B17) to State Party YYY, while YYY declared the import of 100 tonnes. In the second discrepancy State Party ZZZ declared the export of 40 tonnes of the same chemical to YYY but YYY did not declare the import of this chemical from State Party ZZZ.

Each State Party receives a report listing only the discrepancies in which they were involved, hence State Party YYY's report will include both discrepancies shown in the example above, but the reports received by XXX and ZZZ will only list the one discrepancy with YYY in which they were involved, plus any discrepancies with other States Parties in which they were involved.

Compare the information in the reports with the National Authority's records of your declarations to ensure that your own State Party's declarations have been correctly reflected in the discrepancy letter:

- an amendment you believe you have submitted may not have been received by the Secretariat
- there may have been a data entry error at the Secretariat

If there are inconsistencies please contact the Secretariat to confirm.

Step 2: Analyse the discrepancies and compare against previous discrepancies

After confirming that your data has been reflected correctly the discrepancies should be analysed to look for potential indicators which may help identify the source of a discrepancy, thereby allowing you to focus your efforts on one particular area to speed up the resolution process.

In trying to resolve transfer discrepancies it is important not to focus only on a single discrepancy in isolation but to consider all discrepancies - one discrepancy may help explain another. For example:

- If your State Party has two discrepancies for imports of a single chemical; one where you declared an import from a country which did not declare, and a second discrepancy for a similar quantity where a third country declared an export to your State Party but you did

not declare an import from this country, then this should raise questions as to whether both these discrepancies relate to the same trade, with an inconsistency concerning the trading countries involved.

- Two discrepancies involving imports from the same country – one where only your country reported and one where only the other country did – for the same amount, but for a different chemical, could point to a case where the chemical has been identified incorrectly.

In addition to looking at the most recent year's discrepancies it may be worth looking back at the discrepancies from previous years:

- Was a similar discrepancy seen in the past? If so, perhaps the source of the discrepancy is the same. If your State Party managed to resolve the previous discrepancy records, this could assist in addressing this year's discrepancy. This highlights the importance of keeping good records of the steps taken to address a discrepancy for future reference.
- Is there a pattern of the same type of discrepancy occurring year after year? This could indicate regular trade which has not been identified rather than a one off shipment that has been missed.
- Could there be trade over the year end – where a shipment left the exporting country in one year but arrived in the importing country in the next year? This would mean that the importing and exporting States Parties would report the trade in different years resulting in discrepancies in each of the two years concerned.

Examples of these types of indicators are shown in Attachment 1. It must be stressed that only some discrepancies will have clear indicators that will be useful in identifying the source of the discrepancy.

Step 3: Initial Check of the Data Aggregated for the Declaration

Check the National Authority's records (or customs/licensing authority's records, as appropriate) to make sure that a mistake was not made in entering the data from declarations made by industry and traders into the National Authority's databases/records or in aggregating the data for the declaration.

The check of the National Authority's records will also help identify additional indicators which may point towards particular shipments or declarations from particular companies which may need further examination.

A checklist to assist in this process is attached at Attachment 2.

Step 4: Cross-check Data

Even if data for AND declarations is primarily provided directly from industry, it can be useful to cross-check this data with other sources, such as export/import licence applications or customs data, if available. For example, cross-checking the names of companies that applied for an import/export licence against those who submitted an AND declaration can help identify additional traders or even cases of double declaration (for example, where a trader and the end-user both declare the same import). Ideally, such checks should be done prior to the submission of the declaration to allow any inconsistencies to be clarified before the declaration is submitted,

but such sources can also help to resolve transfer discrepancies, particularly by helping to identify trade which has not been declared to the National Authority. -Knowing the chemical, the quantity and the trading country involved in a discrepancy may allow customs or licensing authorities to identify possible imports/exports that may be relevant.

Step 5: Go Back to Industry/Traders

In some cases the indicators identified from reviewing the discrepancy letters and checks of data held by the National Authority will allow the National Authority to pinpoint the likely source of the discrepancy, which should then be confirmed with the relevant company, prior to making any necessary amendments.

In cases where the source of the discrepancy is less clear, it may be worth getting all companies involved in trade with the chemical(s) in question to recheck their data. This includes companies that did not declare for the year in question but have been involved in trade in the relevant chemical in the recent past and that may have not submitted a declaration due to an oversight or error¹⁵.

A checklist for use by industry is provided as Attachment 3. This checklist should be adapted by individual States Parties to suit their own requirements/regulations prior to use. This type of checklist could also be used by industry prior to submitting their declarations.

Step 6: Consult Other States Parties

After double-checking your own State Party's data (National Authority records, customs/licensing records, checks with industry as appropriate) it is worth approaching the representatives of the other State Party involved to discuss the issue and, if possible, to compare data. Sharing data on transfer discrepancies may allow the identification of additional trade that one State Party is not aware of, or highlight individual shipments that need further examination, thereby which leading to amendments from one or even both States Parties. Alternatively, such data sharing may allow the identification of cases where both States Parties' declarations are correct but a discrepancy has occurred due to, for example, trade over the year end.

Some States Parties have legal restrictions on providing transfer information to other National Authorities in order to protect commercial confidentiality; in such cases data sharing may not be possible. However, even in such cases there is still some value in raising the issue as it may be possible for the State Party concerned to give useful indications (for example, the approximate dates the shipment would have arrived in your country, the port of entry, the means of transport) even if they cannot provide full details of each shipment. Some States Parties with legal restrictions have also indicated that, even if they cannot provide any information, they will request their own declarers to contact their trading partner in the other State Party and request them to contact the National Authority of that State Party.

To facilitate discussions between National Authorities, including on transfer discrepancy issues, a list of National Authority contact details is available on the OPCW website (<http://www.opcw.org/>). National Authorities are reminded that many States Parties consider

¹⁵ In addition, National Authorities that collect data directly from industry should consider routinely sending a reminder to all industry/traders who previously declared import/export reminding them of the need to submit their declarations at the start of the data collection process.

transfer issues as confidential and thus care should be taken when discussing such issues by email, phone or fax not to reveal the other State Party's classified information. National Authorities can also take advantage of the various meetings of National Authorities, such the annual meeting of National Authorities in The Hague and the relevant regional meetings, to discuss these matters face to face with their counterparts from other States Parties.

Step 7: Outreach

If the previous steps offer no solution to the discrepancy and the discrepancy seems to indicate that your State Party may have additional trade that has not been declared, it may be worth considering additional outreach to industry. As such outreach activities (for example, holding information seminars for traders or contacting industry associations and chambers of commerce to identify additional companies active in certain industry sectors who might use the chemical in question) can take a significant amount of time, it is recommended that an interim report on the activities to address the discrepancies be made to the Secretariat prior to undertaking any additional outreach.

Step 8: Report the Results of the Process

If a solution, or partial solution, to the discrepancy is found any necessary amendments to your declaration should be made to the Secretariat as soon as possible. The Secretariat encourages the submission of any information on the cause of such discrepancies to enable it to continually improve the guidance to States Parties in this area. Such information can be included in the cover letter accompanying any amendment.

In addition if your State Party makes an amendment which resolves the discrepancy you may wish to consider informing the other State Party involved.

Even in cases where no solution can be found to the discrepancy it is recommended that you inform the Secretariat of the steps taken to attempt to resolve the discrepancy.

Attachment 1 – Examples of Potential Indicators

The cases presented below have been simplified to highlight the indicators more clearly – only the relevant rows of the sample discrepancy letter are shown and each case is shown separately. In reality the indicators may be much more difficult to identify for several reasons:

- There may be many other discrepancies in the letter which make it more difficult to identify related discrepancies, hence two related discrepancies could be separated by several other unrelated discrepancies.
- There may be multiple reasons for an individual discrepancy which make it difficult to see any clear indicator
- If there are multiple shipments or companies involved in the trade in a single chemical between two States Parties the problem may only affect one of these shipments or companies. This will make the indicator less easy to identify.

Indicators Related to the Identity of Scheduled Chemical¹⁶

The misidentification of a chemical is a common source of discrepancies. If one scheduled chemical is mistakenly declared as another, this can lead to two separate discrepancies being recorded, which may then possibly be identified as being related (see examples 1 to 3 below).

Example 1: Possible mismatch due to error in chemical name

Quantity Exported (tonnes)	Exporting State Party	Chemical (CAS number)	Importing State Party	Quantity Imported (tonnes)
	XXX	868-85-9 (<i>Dimethyl phosphite</i> ¹⁷)	YYY	40.0
40.0	XXX	762-04-9 (<i>Diethyl phosphite</i>)	YYY	

Although two discrepancies are listed here, the names of these chemicals are very similar and, as all other details match, this could relate to trade in a single chemical where one State Party has misidentified the chemical on the basis of the name.

¹⁶ The Secretariat maintains a number of databases and brochures to aid States Parties in identifying scheduled chemicals including the Handbook on Chemicals, the Scheduled Chemicals Database and the Most Traded Scheduled Chemicals. These are available from the OPCW website:

<http://www.opcw.org/our-work/national-implementation/declarations-adviser/>

¹⁷ For ease of presentation, chemical names are not normally included in the transfer discrepancy letters. In this attachment chemical names are shown in italics in relevant examples only for clarity.

Example 2: Possible mismatch due to error in CAS number

Quantity Exported (tonnes)	Exporting State Party	Chemical (CAS number)	Importing State Party	Quantity Imported (tonnes)
	XXX	10025- <u>87-3</u> (Phosphorus oxychloride)	YYY	40.0
40.0	XXX	10025- <u>67-9</u> (Sulfur monochloride)	YYY	

Although, again, two discrepancies are listed here, the first 5 digits of the CAS numbers are the same and, as all other details match, this could relate to trade in a single chemical where one State Party has misidentified the chemical on the basis of a typographical error in a CAS number.

Example 3: Potential mismatch due to identification of mixture of Scheduled Chemicals

Quantity Exported (tonnes)	Exporting State Party	Chemical (CAS number)	Importing State Party	Quantity Imported (tonnes)
	XXX	170836-68-7	YYY	~a+b
a	XXX	41203-81-0	YYY	
b	XXX	42595-45-9	YYY	

One commonly traded flame retardant that is a mixture of two Schedule 2B chemicals (CAS numbers 41203-81-0 and 42595-45-9) has also been assigned its own CAS number (170836-68-7). This regularly leads to some States Parties declaring either the two components or, in many cases, only the major Schedule 2 component (41203-81-0 – the other Schedule 2 chemical [42595-45-9] is often below the declaration concentration threshold while other States Parties (often the importers) declare the CAS number of the mixture and the weight of that mixture. Please note that in the example shown above no figures have been given in order to avoid revealing confidential business information on the composition of this mixture.

Example 4: Potential mismatch due to confusion with non scheduled chemical

Quantity Exported (tonnes)	Exporting State Party	Chemical (CAS number)	Importing State Party	Quantity Imported (tonnes)
	ZZZ	102-71-6	YYY	40.0

Cases where there is confusion between a scheduled and a non-scheduled chemical are harder to identify. In such cases, only a single discrepancy will arise which could be due to a State Party mistakenly declaring trade in a non-scheduled chemical as trade in a scheduled chemical; for example salts of triethanolamine can sometimes be declared as triethanolamine itself, particularly if customs is used as the primary source of data, as the same international level Harmonised System code is used for both. However, there are many other possible reasons for such a discrepancy; for example, one State Party not identifying the trade or incorrectly declaring a mixture containing the scheduled chemical below the relevant low concentration thresholds decided by Conference of States Parties (1% for Schedule 2A/2A* and 30% for Schedule 2B and 3).

Indicators of potential mismatch of trading country

Example 5

Quantity Exported (tonnes)	Exporting State Party	Chemical (CAS number)	Importing State Party	Quantity Imported (tonnes)
	XXX	102-71-6	YYY	60.0
60.0	ZZZ	102-71-6	YYY	

Cases where there seem to be two discrepancies for approximately the same quantity of the same scheduled chemical but involving different countries, as shown in example 5 above, may in reality relate to the same trade. However, there may be an inconsistency concerning which trading country is declared – possibly due to a simple error in recording the country or selecting the country code, or due to the importing State Party declaring the country of origin or the invoicing country, rather than the country of dispatch as recommended in [C-13/DEC.4, dated 03 December 2008](#).

Example 6

Quantity Exported (tonnes)	Exporting State Party	Chemical (CAS number)	Importing State Party	Quantity Imported (tonnes)
60.0	XXX	102-71-6	YYY	
	YYY	102-71-6	ZZZ	60.0

Cases where there are two discrepancies for approximately the same amount of the same chemical involving your State Party (once as the importing and once as the exporting State Party), neither of which you have declared may indicate that a trader in your country has been transshipping a scheduled chemical via a port or free zone in your country. The chemical may never have passed through your customs. The guidelines set out in [C-13/DEC.4, dated 03 December 2008](#), recommend that such physical movements of scheduled chemicals should be declared regardless of customs procedures.

Error in Unit of Weight or Confusion in the Use of Thousand/Decimal Separators

Example 7

Quantity Exported (tonnes)	Exporting State Party	Chemical (CAS number)	Importing State Party	Quantity Imported (tonnes)
	XXX	102-71-6	YYY	60,000.0
60.0	ZZZ	102-71-6	YYY	

Discrepancies which arise from an error in the declaration of unit of weight or confusion over the use of commas and dots as thousand or decimal separators¹⁸ can result in discrepancies where the

¹⁸ In some countries a comma is used as a thousand separator and a dot as a decimal separator but others countries use them the other way round, which can lead to confusion. For example 5,001 tonnes would be considered as just over five thousand tonnes in one country but just over five tonnes in another.

quantities declared are several orders of magnitude apart, as shown in example 7. These are particularly obvious when the error applies to the whole declared quantity (see example 7). If, however, the error only affects one out of a number of shipments this may be much less obvious.

Shipments Over the Year-End (Chemical offshore)

Example 8

(For year 2011)

Quantity Exported (tonnes)	Exporting State Party	Chemical (CAS number)	Importing State Party	Quantity Imported (tonnes)
	XXX	102-71-6	YYY	60.0

(For year 2010)

Quantity Exported (tonnes)	Exporting State Party	Chemical (CAS number)	Importing State Party	Quantity Imported (tonnes)
60.0	XXX	102-71-6	YYY	

Discrepancies over the year-end (where the chemical was exported towards the end of one year, was still in transit at the end of the year and then was imported in the next year) can be best identified by looking back at discrepancies from the year before to see if a related discrepancy can be found. Clearly, such indicators only become visible after two years of discrepancies.

Attachment 2 – Transfer Discrepancy Checklist for National Authorities

Questions to Consider	Examples/Comments	Potential Indicators ¹⁹ and Steps to Take
<i>Has the identity of the Scheduled Chemical (Chemical name/CAS number) been correctly declared</i>		
☐ Has the correct name of the chemical been declared?	Many chemical names are very similar and easily confused, e.g. Diethyl phosphite entered instead of Dimethyl phosphite (both are Schedule 3B chemicals)	- See Examples 1 and 2 in Attachment 1. - Check name and CAS in source data and cross-check using the Handbook on Chemicals to make sure they match. Check data with declarers if necessary.
☐ Has the correct CAS number been declared?	Many chemicals have very similar CAS numbers which can easily be confused, e.g. Phosphorus oxychloride (CAS 10025-87-3) declared instead of Sulfur monochloride (CAS 10025-67-9)	
☐ If the chemical was identified primarily on the basis of a trade name, was it confirmed that the product really contained the scheduled chemical declared?	Many products containing scheduled chemicals have very similar trade names to closely related products produced by the same company for related applications but which do not have any scheduled chemicals, e.g. Amgard CT contains Schedule 2 chemicals but some other Amgard products such as Amgard TOF do not.	- Declaration of large amounts of chemicals never or very rarely traded by the country. - No declaration by the other State Party involved. - Confirm with declarer that this product does contain the scheduled chemical declared.
☐ If the chemical is a mixture of scheduled chemicals could it have been declared as the mixture by one country and as the individual components by the other country?	One commonly traded flame retardant (CAS 170836-68-7) is a mixture of two Schedule 2B chemicals (with CAS numbers 41203-81-0 and 42595-45-9) – some countries (particularly importers) declare the CAS and weight of the mixture and some declare the individual Schedule 2B chemicals separately.	- See Example 3 in Attachment 1. - Confirm with declarer that quantities make sense - Contact other State Party and if possible agree a consistent approach as to how such mixtures will be declared in future.

¹⁹ The potential indicators listed are only to be considered as markers that National Authorities may find useful in helping to highlight some possible causes of discrepancies that may be worth examining in more detail. In many cases such indicators may be masked as the discrepancy may be due to only one out of a number of similar shipments. In addition the presence of such an indicator does not confirm that this is the reason for the discrepancy. Indicators explained in Attachment 1 are not repeated, but the relevant example is referenced and any additional indicators are noted.

Questions to Consider	Examples/Comments	Potential Indicators ¹⁹ and Steps to Take
☐ If the chemical was declared based on customs data, could the chemical have been misidentified by being wrongly coded in the Harmonised System or could the chemical be another unscheduled chemical covered by the same Harmonised System code	• Triethanolamine hydrochloride (unscheduled) declared as triethanolamine (Schedule 3B17) - both fall under the same international level Harmonised System code 2922.13.	• See Example 4 in Attachment 1. • Declaration of chemicals that are not commonly traded (e.g. Schedule 2A/2A* or the chemicals on Schedule 3A with the exception of chloropicrin)²⁰ • Declaration of large amounts of chemicals never or very rarely traded by the country. • Get customs to check identity of chemical directly with importer/exporter
<i>Has Trade with the correct country (Country Code) been declared?</i>		
☐ Has the correct country name selected? Could the wrong country have been selected due to confusion over the country name?	• Republic of Korea confused with Democratic People's Republic of Korea. • Republic of Congo confused with Democratic Republic of Congo,	• See Example 5 in Attachment 1. • Trade with country not usually traded with declared. • Check country codes against source data then go back to declarers to get them to check correct country name or code declared.
☐ Has the correct country code been chosen?	• Trade with Switzerland mistakenly declared as SWZ (Swaziland) rather than CHE,	
☐ For imports, was the import declared from the country of dispatch as recommended in decision C-13/DEC.4?	• It is possible that the country of origin, a transit country or the country where the invoice originated was declared instead of the country of dispatch.	
☐ For exports, was the export declared to the country of final destination as recommended in decision C-13/DEC.4?	• It is possible that a transit country or the country from where the order was placed was declared instead of the country of destination.	

²⁰ Schedule 2A or 2A* chemicals are not traded in declarable quantities and the Schedule 3A chemicals phosgene (3A01), cyanogen chloride (3A02) and hydrogen cyanide (3A03) are very rarely traded in quantities above the declaration threshold. The last toxic chemical on Schedule 3A, chloropicrin (3A04) is regularly traded as a fumigant. In addition, many Schedule 2B chemicals are traded in only relatively small amounts and are rarely declarable. See <http://www.opcw.org/our-work/national-implementation/declarations-adviser/most-traded-scheduled-chemicals/> for a list of commonly traded scheduled chemicals.

Questions to Consider	Examples/Comments	Potential Indicators ¹⁹ and Steps to Take
<i>Has the correct Unit of Weight been declared?</i>		
☐ Has the correct unit of weight been declared to the OPCW?	• 15000 kg declared as 15000 tonnes • 1.5 kt (kilotonnes) declared as 1.5 tonnes	• See Example 7 in Attachment 1. • Unfeasibly large quantity declared²¹ • Quantities declared by your country seem very large or very small compared to previous declarations (orders of magnitude difference) • Check units in declaration against source data.
☐ Has the correct unit of weight been recorded for each single shipment and for the declaration of each company to the NA?	• 15000 kg declared as 15000 tonnes	• Quantities declared by one company seem very large or very small compared to previous declarations (orders of magnitude difference). • Unfeasibly large quantity declared • Check with declarers that correct units have been declared.
<i>Quantity Issues - Double Counting</i>		
☐ Could an import or export have been double counted?	• An import is declared to the NA by both the end-user and the trader who actually imported the chemical and then sold it on to the end-user. • In cases where a trader or broker was used to arrange imports (or exports) on behalf of a company, both the trader/broker and the company have made declarations.	• Two reports received for import or export of the same chemical to/from the same country (possibly for the same amount). • Check source data to look for such cases then clarify with the declarers to make sure they only declared trade for which they were legally responsible for the import/export.

²¹ The total annual worldwide trade is in order of 5000 tonnes for all Schedule 2 chemicals and 300 000 tonnes of all Schedule 3 chemicals. Many Schedule 2 chemicals are either never traded or only in relatively small amounts – see footnote 20. .

Questions to Consider	Examples/Comments	Potential Indicators ¹⁹ and Steps to Take
Quantity Issues - Mixtures		
☐ If the scheduled chemical was traded as a mixture, was the weight of the scheduled chemical within the mixture declared (as recommended)?	• It is possible that the weight of the mixture may have been declared, rather than the weight of the scheduled chemical within the mixture. • Alternatively the calculation of the weight of the chemical within the mixture could have been carried out incorrectly	• Discrepancy where the quantity declared by one country is approximately the quantity declared by the other country times the concentration of the scheduled chemical within the mixture. • Check with declarers that the weight declared is the weight of the scheduled chemical not the weight of the mixture
☐ If the scheduled chemical was traded as a mixture was the concentration above the declaration threshold (30% for Schedule 2B/3 and 1% for Schedule 2A/2A*)?	• Some States Parties collect data on mixtures below the concentration thresholds but these should not be declared. The inclusion of such mixtures in the AND will lead to discrepancies.	• Trade in a mixture not declared by the other country could indicate it was below the concentration threshold. • Check with declarers the percentage of the scheduled chemical included within the relevant mixture
Quantity Issues - Other		
☐ Could confusion over the use of commas/dots as thousand/decimal separators have led to errors in the declaration?	• In some countries commas are used as thousand separators and dots as decimal separators but in other countries this is reversed.	• See Example 7 in Attachment 1. • Quantities declared by your country seem very large or very small compared to previous declarations (orders of magnitude difference) • Unfeasibly large quantity declared • Check against source data and go back to declarers to clarify if necessary.
☐ If quantities were based on import/export licences issued, were checks made to confirm whether the full amounts of the licences were actually imported/exported?	• In applying for a licence, companies may request a licence for more than they expect to need in order to have some margin for error in their planning. They then do not import (or export) the full amount.	• No specific indicators. • Check with licensing authority that data was based on actual imports/exports rather than on licence applications.

Questions to Consider	Examples/Comments	Potential Indicators ¹⁹ and Steps to Take
☐ Could trade figures (by a company or by Customs) have been provided on a fiscal year basis instead of the required calendar year (i.e. 1 Jan to 31 Dec) basis?	• In many countries the fiscal year is not the same as the calendar year and companies may be used to providing data about their activities to government agencies based on the fiscal year.	• No specific indicators. • Check with declarers that data was provided on the basis of the calendar year.
☐ Could an import have been incorrectly declared as an export?	• This could have occurred due to a simple typographical error in entering data by the company, the NA or other agency.	• Discrepancy where the countries involved have either both declared importing or both declared exporting the chemical • Check source data for transcription error and if necessary check with declarers.
☐ For liquids, has the volume of the chemical been declared rather than the weight?	• The weight of the chemical should be declared.	• No specific indicators. • Check with declarers that data was provided on the basis of weight.
☐ Have the calculation of totals and entry of this data into the forms been carried out correctly?	• Simple typographical or calculation errors or omission of the data from a single company or related to a single shipment can lead to incorrect data being declared.	• No specific indicators. • Check source data against declarations and go back to declarers to get them to double-check their data.
<i>Shipments over the year end</i>		
☐ Could an import received in the year in question have been exported by the other country in the previous year?	• An import received in January from a distant location is likely to have been exported in the previous year and thus declared for that year.	• See Example 8 in Attachment 1. • Import received early in the year in question from a distant location • Check with declarers for shipments received early in the year and, if the data is available, for approximate dates the shipment left the exporting country.

Questions to Consider	Examples/Comments	Potential Indicators ¹⁹ and Steps to Take
☐ Could an export sent out in the year in question have been imported in the next year?	• An export made in December to a distant location is likely to have been imported in the next year and thus declared for that year.	• Quantity declared by your country as exported higher than the imports they declared. • Export made late in the year in question to a distant location • Check with declarers for shipments exported late in the year and if the data is available approximate dates the shipment was expected to arrive at the importing country.
Missing Declarations		
☐ Could an importer/exporter have failed to make a declaration or customs have failed to identify a shipment?	• Companies may be unaware of the CWC and hence may fail to make a declaration if they start trading in scheduled chemicals. Even companies that have previously declared trade may fail to make a declaration due to staff changes. • If data is provided primarily from customs it is always possible that a shipment has been missed – for example, it may have been wrongly classified in the harmonised system or the scheduled chemical may have been part of a mixture.	• Trade declared only by the other country involved (e.g. Example 4 in Attachment 1), or larger quantities declared by the other country that cannot be resolved by looking into the issues outlined above. • Check with customs/licensing authorities to see whether they are able to identify an additional shipment from that country. • Check with any companies that have previously being involved in trading in this chemical but did not declare this year. • Alternatively consider approaching the other State Party first to see if they can provide other information.

Attachment 3 – Import/Export Declaration Checklist for Industry and Traders

☐ *Has the identity of the scheduled chemical (Chemical name/CAS number) been correctly declared*

Points to Check	Comments	Steps to Take
☐ Has the correct name of the chemical been declared?	Many chemical names are very similar and easily confused leading in incorrect declarations, e.g. Diethyl phosphite declared instead of Dimethyl phosphite (both are Schedule 3B chemicals)	• Double-check the chemical name and CAS number to check for errors. • Cross-check chemical name against CAS number to make sure they match.²² • If trade names were used to identify potentially declarable chemicals, confirm with your supplier that this product does contain the scheduled chemical declared. If in doubt speak to your National Authority. • Inform the National Authority immediately if any errors are found after the declaration is made.
☐ Has the correct CAS number been declared?	Many chemicals have very similar CAS numbers which can easily be confused, leading to incorrect declarations, e.g. Phosphorus oxychloride (CAS 10025 -87-3) declared instead of sulfur monochloride (CAS 10025 -67-9)	
☐ If the chemical was identified primarily on the basis of a trade name, was it confirmed that the product really contained the scheduled chemical declared?	Many products containing scheduled chemicals have very similar trade names to closely related products produced by the same company for related applications but which do not have any scheduled chemicals, e.g. Amgard CT contains Schedule 2 chemicals but some other Amgard products such as Amgard TOF do not.	

²² The Handbook on Chemicals and the online Scheduled Chemicals Database are useful tools when carrying out such checks. These can be found on the OPCW website: <http://www.opcw.org/our-work/national-implementation/declarations-adviser/>

☐ ***Has trade with the correct country been declared?***

Points to Check	Comments	Steps to Take
☐ Has the correct country name been selected?	Make sure the wrong country has not been declared due to confusion over country names. Common mistakes include: • Republic of Korea confused with Democratic People's Republic of Korea • Republic of Congo confused with Democratic Republic of Congo	• Double-check the name of the country, particularly if it is not a country with which you normally trade.
☐ If country codes are declared, has the correct country code been chosen?	Many country codes do not appear to be closely related to the common name for the country, hence it is easy to select the wrong code, e.g. trade with Switzerland (code CHE) mistakenly declared using the code for Swaziland (SWZ).	• Double-check each code against the country name (see Appendix 1 of the Declarations Handbook)
☐ For imports, was the chemical declared as being imported from the country from which it was dispatched?	The chemical should be declared as being imported from the country from which it was physically dispatched to you when you placed the order. You should NOT declare the country where the chemical was produced, the countries through which the chemical transited or the country where the company you placed the order with is based, if different from the country of dispatch.	• Check the paperwork received from your supplier to make sure the country from which the chemical was physically dispatched to you is declared. • If in doubt contact your supplier to check.
☐ For exports, was the chemical declared as being exported to the country of final destination?	The chemical should be declared as being exported to the country that was its known final destination when shipped. You should NOT declare the countries through which the chemical transited or the country where the company that placed the order is based, if different from the country of final destination.	• Check your records to make sure the final destination to which the chemical was shipped is declared.

☐ ***Have the correct quantity and unit of weight been declared?***

Points to Check	Comments	Steps to Take
☐ Have all imports/exports declared been directly carried out by your company rather than via a trader or broker who arranged the import/export on your behalf?	Chemicals purchased via a trader or broker who arranged the import or export on your behalf should not normally be declared—the trader or broker who is legally responsible for the import/export should make the declaration instead. If both the trader/broker and end-user declare the same import, for example, this will result in accounting which will lead to transfer discrepancies.	• Check that only imports or exports you were legally responsible for are declared. • If there is any doubt about who should declare, discuss this first with the trader/broker and then with the National Authority.
☐ Has the correct unit of weight been declared?	15000 kg declared as 15000 tonnes	• Double-check the unit of weight for both the overall amount declared and for each shipment.
☐ Have commas/dots as thousand/decimal separators been used in accordance with guidance from National Authority?	In some countries commas are used as thousand separators and dots as decimal separators while in other countries this is reversed.	• Check the instructions issued by the National Authority. If in doubt contact the National Authority.
☐ If the scheduled chemical was traded as a mixture was the concentration above the declaration threshold (30% for chemicals on Schedule 2B/3 and 1% for those on Schedule 2A/2A*) ²³ ?	Some States Parties collect data on mixtures below the concentration thresholds but these should not be declared. The inclusion of such mixtures in the AND will lead to discrepancies.	• Check the percentage of the scheduled chemical included within each mixture. • If you do not have this information contact your supplier or discuss this with the National Authority

²³ Note for National Authorities: if your State Party collects data on trade below the low concentration threshold you will need to modify these thresholds accordingly. You may also need to enter additional questions to check how to identify which transfers need to be declared to the OPCW.

☐ ***Have the correct quantity and unit of weight been declared?***

Points to Check	Comments	Steps to Take
☐ If the scheduled chemical was traded as a mixture was the weight of the scheduled chemical within the mixture declared (as recommended?)	The weight of the scheduled chemical within a mixture should be declared not the weight of the mixture.	• Check that the weight declared is the weight of the scheduled chemical not the weight of the mixture • Check that any calculation has been carried out correctly
☐ For liquids has the weight of the chemical been declared rather than the volume?	The weight of the chemical should be declared.	• Check that weights rather than volumes have been declared.
☐ Have trade figures been declared on the basis of trade occurring during the previous calendar year?	Declarations are based on calendar years (i.e. 1 Jan to 31 Dec) not financial years.	• Check that figures are declared on the basis of trade occurring in the previous calendar year.
☐ Have the calculation of totals and the entry of this data into the forms been carried out correctly?	In addition to the issues listed above, simple typographical or calculation errors, or even the omission of a single shipment can lead to incorrect data being declared.	• Check that all shipments of the scheduled chemical have been included • Check that any calculation of totals has been carried out correctly • Check that quantities imported have not been mistakenly entered as exported and vice versa (either for the whole declaration or for an individual shipment) • Check that there are no typographical errors

☐ **Other Issues – Shipment over the year end**

Points to Check	Comments	Steps to Take
☐ Are you aware of any exports that you have declared which will have arrived at their final destination in the next year?	Shipments over the year end – where the schedule chemical left the exporting country late in one year and arrived at the importing country early the next – regularly lead to discrepancies as the shipments will be declared in different years by the exporting and importing State Parties. Being aware of such cases will help the National Authority solve such discrepancies.	• Inform the National Authority if you are aware of such shipments.
☐ Are you aware of any imports which you have declared which left the exporting country in the previous year?		
☐ Are you aware of any imports which you received after the end of the year to which the declaration pertains but which left the exporting country in the year of the declaration?	Shipments over the year-end – where the scheduled chemical left the exporting country late in one year and arrived at the importing country early the next – regularly lead to discrepancies as the shipments will be declared in different years by the exporting and importing State Parties. Being aware of such cases will help the National Authority solve such discrepancies.	• Inform the National Authority if you are aware of such shipments. • Such shipments should, however, NOT be declared in the current declaration but in the next declaration.

ANNEX D OF SECTION B

DECISIONS AND REPORTS RELATED TO PARTS VI - IX OF THE VERIFICATION ANNEX

OPCW

Revised version 2: 1 January 2017

TABLE OF CONTENTS OF ANNEX D OF SECTION B

C-I/DEC.34 (16 May 1997)	Verification at Mixed Plant Sites	153
C-I/DEC.35 (16 May 1997)	Scope of the term "alkyl" in the Schedules of Chemicals	156
C-I/DEC.36 (16 May 1997)	Sub-distribution and packaging.....	157
C-I/DEC.37 (16 May 1997)	Waste Disposal.....	158
C-I/DEC.38 (16 May 1997)	Changes to Annual Declarations	159
C-I/DEC.39 (16 May 1997)	Understandings in relation to Part IX of the Verification Annex	162
C-I/DEC.40 (16 May 1997)	Mixed Plants.....	164
C-I/DEC.42 (16 May 1997)	Recycled Schedule 2 chemicals	166
C-I/DEC.43 (16 May 1997)	The meaning of "production" in the context of Schedule 1 production facilities covered under Article VI.....	168
C-II/DEC.6 (5 Dec 1997)	Meaning of "production" as defined in Article II, subparagraph 12(a).....	170
C-III/DEC.6 (17 Nov 1998)	Paragraph 32 of Part VII AND paragraph 26 of Part VIII of the VA of the CWC.....	171
C-III/DEC.7 (17 Nov 1998)	End-use certificates for transfers of Schedule 2 and 3 chemicals to states not party to the CWC in accordance with paragraph 32 of Part VII and paragraph 26 of Part VIII of the VA	172
EC-XIX/DEC.5 (7 Apr 2000)	Rounding Rule in Relation to Declarations of Scheduled Chemicals	173
C-V/DEC.16 (17 May 2000)	Implementation of restrictions on transfers of Schedule 2 and Schedule 3 chemicals to and from states not party to the CWC.....	176
C-V/DEC.17 (18 May 2000)	Reporting of ricin production.....	178
C-V/DEC.19 (19 May 2000)	Guidelines regarding low concentration limits for declarations of Schedule 2 and 3 chemicals.....	180
C-VI/DEC.10 (17 May 2000)	Provisions on transfers of Schedule 3 chemicals to states not party to the CWC.....	181
C-7/DEC.14 (10 Oct 2002)	Guidelines regarding declarations of aggregate national data for Schedule 2 chemical production, processing, consumption, import and export and Schedule 3 import and export.....	183
C-8/DEC.7 (23 Oct 2003)	Understandings regarding declarations under Article VI and Part VII and Part VIII of the VA to the CWC.....	185
EC-36/DEC.7 (26 Mar 2004)	Clarifications of declarations	188
C-9/DEC.6 (30 Nov 2004)	Understanding of the concept of "captive use" in connection with declarations of production and consumption under Parts VII and VIII of the VA to the CWC.....	190

C-10/DEC.12 (10 Nov 2005)	Understanding relating to the concept of “captive use” in connection with declarations of production and consumption under Part VI of the VA to the CWC 192
EC-51/DEC.1 (27 Nov 2007)	Timely submission by State Parties of declarations under Article VI of the CWC 194
RC-2/4 (18 Apr 2008)	Report of the second special session of the Conference of the States Parties to review the operation of the CWC (Second Review Conference) 7-18 April 2008..... 197
C-13/DEC.4 (3 Dec 2008)	Guidelines regarding declaration of import and export data for Schedule 2 and 3 chemicals 198
SAB-14/1 (11 Nov 2009)	Report of the Fourteenth Session of the Scientific Advisory Board 201
C-14/DEC.4 (2 Dec 2009)	Guidelines regarding low-concentration limits for declarations of Schedule 2A and 2A* chemicals 202

OPCW

Conference of the States Parties

First Session
Agenda item 47.1

C-I/DEC.34
16 May 1997
Original: ENGLISH

DECISION

VERIFICATION AT MIXED PLANT SITES

The Conference

Recalling that the Commission, in its PC-VI/22, sub-paragraph 6.2(a), adopted the understandings on verification at mixed plant sites,

Bearing in mind that the Commission recommended in paragraph 50.4 of its Final Report that the Conference adopt the above mentioned understanding,

Hereby:

1. **Adopts** the understandings on verification at mixed plant sites annexed hereto.

Annex

Annex

VERIFICATION AT MIXED PLANT SITES²⁴

1. "Mixed plant sites" are those plant sites which contain:
 - (a) one or more plant(s) individually covered under more than one Part of the Verification Annex related to Article VI ("mixed plants"); or
 - (b) different plants covered by different Parts of the Verification Annex related to Article VI.
2. As a general principle governing the rules for inspections at mixed plant sites, it is understood that an inspection will count under the relevant Part of the Verification Annex it was initiated under and will be limited to the provisions of that Part. If an inspection mission was to be conducted under two (or more) Parts of the Verification Annex, that mission would count as two (or more) sequential or simultaneous inspections and the provisions of the respective Parts, including those on notification times, would apply.
3. During inspections at mixed plant sites, the following rules will apply:
 - (a) access to plants liable for inspection under another Part of the Verification Annex related to Article VI will be governed by:
 - (i) in case of an inspection pursuant to Part VI of the Verification Annex, paragraph 51 of Part II and any additional provisions contained in the facility agreement;
 - (ii) in case of an inspection pursuant to Part VII of the Verification Annex, paragraph 25 of Part VII;
 - (iii) in case of an inspection pursuant to Part VIII of the Verification Annex, paragraph 20 of Part VIII;
 - (iv) in case of an inspection pursuant to Part IX of the Verification Annex, paragraph 17 of Part IX;
 - (b) access to parts of the common infrastructure of the plant site that are shared between plants covered under different Parts of the Verification Annex would not be considered access to that other plant;
 - (c) access to shared records would have to be provided according to the same rule as that for physical access for inspectors as contained in sub-paragraph (b) above;

²⁴ As contained in paragraphs 21 to 24 of the Chairman's paper annexed to PC-VI/B/WP.2

C-I/DEC.34

- (d) the maximum number of inspections at a mixed plant site is the accumulation of the maximum number of inspections possible under the different Parts related to Article VI;
- (e) an inspection pursuant to one Part of the Verification Annex during which the inspection team is, on a voluntary basis, granted access to a plant covered by another Part related to Article VI is counted as one inspection under the Part it was initiated under. Passage through the plant site to a plant that is the focus of inspection does not count as access to another plant, covered under another Part related to Article VI;
- (f) separate facility agreements will have to be negotiated for inspections to be conducted under the different Parts of the Verification Annex related to Article VI.

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DECISION**SCOPE OF THE TERM "ALKYL" IN THE SCHEDULES OF CHEMICALS****The Conference**

Recalling that the Commission, in its PC-VII/8, paragraph 6.6, adopted an understanding on the scope of the term "alkyl" in the Schedules of Chemicals (paragraph 3.1 of PC-VII/B/WP.7),

Bearing in mind that the Commission recommended in paragraph 50.4 of its Final Report that the Conference adopt the above mentioned understanding,

Hereby:

Adopts the following understanding:

In relation to the groups of chemicals ("families") listed in the Schedules of Chemicals, the terms 'alkyl', 'cycloalkyl', 'alkylated' or 'Me' (methyl), 'Et' (ethyl), 'n-Pr' (n-propyl) or 'i-Pr' (isopropyl) are to be understood literally, i.e. as not including any substituted alkyl, methyl, ethyl, etc.

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OPCW

Conference of the States Parties

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Agenda item 47

C-I/DEC.36
16 May 1997
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DECISION

SUB-DISTRIBUTION AND PACKAGING

The Conference

Recalling that the Commission, in its PC-VII/8, paragraph 6.6, adopted an understanding on sub-distribution and packaging in relation to processing of scheduled chemicals (paragraph 3.2 of PC-VII/B/WP.7),

Bearing in mind that the Commission recommended in paragraph 50.4 of its Final Report that the Conference adopt the above mentioned understanding,

Hereby:

Adopts the following understanding:

It is understood that the activities of sub-distribution and packaging are not to be considered as processing of scheduled chemicals and are therefore not subject to declaration.

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OPCW**Conference of the States Parties**

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C-I/DEC.37
16 May 1997
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DECISION**WASTE DISPOSAL****The Conference**

Recalling that the Commission, in its PC-VII/8, paragraph 6.6, adopted an understanding on waste disposal in relation to scheduled chemicals (paragraph 3.3 of PC-VII/B/WP.7),

Bearing in mind that the Commission recommended in paragraph 50.4 of its Final Report that the Conference adopt the above mentioned understanding,

Hereby:

Adopts the following understanding:

It is understood that a plant site containing a plant in which a Schedule 2 chemical is consumed in a waste management or disposal system in quantities above the threshold for that chemical will declare this consumption in accordance with Part VII, paragraph 8.

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OPCW

Conference of the States Parties

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16 May 1997
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DECISION

CHANGES TO ANNUAL DECLARATIONS

The Conference

Recalling that the Commission, in its PC-VII/8, paragraph 6.6, adopted an understanding on changes to annual in relation to industrial declarations,

Bearing in mind that the Commission recommended in paragraph 50.4 of its Final Report that the Conference adopt the above mentioned understanding,

Hereby:

1. **Adopts** the understanding on changes to annual declarations.

Annex

Annex**CHANGES TO ANNUAL DECLARATIONS²⁵**

1. It is understood that any change to those parts of the annual declaration that would not normally be expected to change from year to year, such as the name, address and location, should be communicated to the Technical Secretariat on the next occasion upon which a declaration is due.
2. It is also understood that, even where there is no change to the substance of a declaration compared to a previous one, the information required under that later declaration shall be provided in full.
3. In regard to the declaration of additional activities required in accordance with paragraphs 4 (c) of Parts VII and VIII, the following was understood in regard to which changes need to be declared:
 - (a) any change during the year that involves:
 - (i) an additional Schedule 2 plant or Schedule 3 plant;
 - (ii) an additional Schedule 2 chemical or Schedule 3 chemical;
 - (iii) an additional type of activity related to a Schedule 2 chemical (production, processing, consumption, direct export, or sale or transfer);
 - (iv) any other non-quantitative change in relation to the anticipatory declarations, except for those to which paragraph 9 of PC-V/B/WP.15 applies;
 - (b) any quantitative upward change that changes the status of a plant (crossing of the declaration or verification threshold);
 - (c) any Schedule 3 plant which increases production above the range given in the anticipatory declaration;
 - (d) any additional time period when a declarable activity in relation to a Schedule 2 chemical takes place;
 - (e) any increase in the declared anticipated annual production/processing/consumption figure for a Schedule 2 chemical.²⁶

²⁵ as contained in paragraph 3.4 of PC-VII/B/WP.7.

²⁶ It is likely that plant sites, and hence States Parties, may show a tendency to include a certain margin in their anticipatory declaration.

4. In regard to subparagraph 3 (d) above, it was understood that the declaration of time periods when declared activities are anticipated to occur should be as precise as possible, but should in any case be accurate to within a 3 month period. The declaration requirement in relation to these time periods does not necessarily mean that individual planned production (processing, consumption) campaigns need to be declared. Such an understanding, it was considered, might provide a flexible framework for industrial declarations and might reduce the frequency of declarations of additional activities in regard to time periods of production, and the processing or consumption of Schedule 2 chemicals.
5. It was further agreed that it may also be useful if States Parties, on a voluntary basis, would inform the Technical Secretariat of cases when plants or plant sites which have been declared to undertake activities in relation to Schedule 2 or Schedule 3 chemicals cease to do so.

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OPCW

Conference of the States Parties

First Session
Agenda item 47

C-I/DEC.39
16 May 1997
Original: ENGLISH

DECISION

UNDERSTANDINGS IN RELATION TO PART IX OF THE VERIFICATION ANNEX

The Conference

Recalling that the Commission, in its PC-VII/8, paragraph 6.6, adopted understandings in relation to Part IX of the Verification Annex,

Bearing in mind that the Commission recommended in paragraph 50.4 of its Final Report that the Conference adopt the above mentioned understanding,

Hereby:

1. **Adopts** the understandings in relation to Part IX of the Verification Annex.

Annex

Annex**UNDERSTANDINGS IN RELATION TO
PART IX OF THE VERIFICATION ANNEX²⁷**

1. The term "unscheduled discrete organic chemical" referred to in paragraph 1(a) of Part IX of the Verification Annex and the term "PSF chemical" referred to in paragraph 1 (b) of the same Part do not cover:
 - (a) oligomers and polymers, whether or not containing phosphorus, sulfur or fluorine²⁸;
 - (b) chemicals only containing carbon and metal.
2. The term "oxides of carbon" in the definition of unscheduled discrete organic chemicals (DOCs) refers to carbon monoxide and carbon dioxide. The term "sulfides of carbon" in the same definition refers to carbon disulfide. Both terms refer to carbonyl sulfide.
3. In calculating the "approximate aggregate amount of production of unscheduled discrete organic chemicals" at the plant site pursuant to paragraph 1 (a) of Part IX of the Verification Annex, the production data should be aggregated in a way that includes:
 - (a) in the case of the production of two or more unscheduled DOCs at the same plant, the aggregate of all of these unscheduled DOCs;
 - (b) in the case of multistep processes, only the quantity of the final product if it is an unscheduled DOC, or the quantity of the last intermediate in the multistep synthesis that meets the definition of an unscheduled DOC;
 - (c) in the case of intermediates meeting the definition of an unscheduled DOC and being used by another plant at the site to produce an unscheduled DOC, the amount of the intermediate and of the product manufactured from it at that other plant.
4. The term "hydrocarbon", referring to production which is excluded from the coverage of Part IX, includes all hydrocarbons (i.e. chemicals containing only carbon and hydrogen), irrespective of the number of carbon atoms in the compound.

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²⁷ as contained in paragraph 3.5 of PC-VII/B/WP.7.

²⁸ The production of the monomers, however, is covered by the term provided that the monomer otherwise meets the definition of a DOC .

OPCW

Conference of the States Parties

First Session
Agenda item 47

C-I/DEC.40
16 May 1997
Original: ENGLISH

DECISION

MIXED PLANTS

The Conference

Recalling that the Commission, in its PC-VII/8, paragraph 6.6, adopted an understanding on mixed plants,

Bearing in mind that the Commission recommended in paragraph 50.4 of its Final Report that the Conference adopt the above mentioned understanding,

Hereby:

1. **Adopts** the understanding on mixed plants.

Annex

Annex

MIXED PLANTS²⁹

1. "Mixed plants" are plants which are individually covered under more than one Part of the Verification Annex related to Article VI. The term covers, for example, a multipurpose plant that manufactures, in the same process line but at different points in time or parallel in several process lines, Schedule 2 and Schedule 3 chemicals (and/or DOCs). However, the term does not relate either to a case where a plant produces a Schedule 3 chemical in a multiple-step reaction involving the production of a DOC in the initial steps, or to a case when, during the production of a Schedule 3 chemical, a low concentration of a Schedule 2 chemical is simultaneously produced (this would be classified as either a Schedule 3 or a Schedule 2 plant depending on the applicable rules for low concentrations).
2. "Mixed plants" will be declared in accordance with all the appropriate Parts of the Verification Annex related to Article VI.
3. "Mixed plants" will be inspected according to the particular Part of the Verification Annex under which the inspection was mandated and will be limited to the provisions of that Part of the Verification Annex. In particular:
 - (a) notification of an inspection of the plant site where a mixed plant is located will have to be timed in accordance with the applicable provision of the Part under which the inspection is initiated;
 - (b) access within a "mixed plant" that is being inspected will be governed by the inspection provisions of the Part under which the inspection is initiated (Section E of Part VI, paragraphs 23 to 29 of Part VII, paragraphs 18 to 24 of Part VIII or paragraphs 15 to 20 of Part IX);
 - (c) inspections at a "mixed plant" are counted separately for the different Parts of the Verification Annex. Each inspection at a "mixed plant" is consequently counted under the Part under which it is initiated.
4. It was understood that if it were possible for different parts of a plant to be configured in such a way that they could be inspected separately under the different procedures without overlap, these parts would be considered as separate plants and would be declared as such. In such cases, the concept of "mixed plants" would therefore not apply.

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²⁹ as contained in paragraph 3.6 of PC-VII/B/WP.7.

OPCW

Conference of the States Parties

First Session
Agenda item 47

C-I/DEC.42
16 May 1997
Original: ENGLISH

DECISION

RECYCLED SCHEDULE 2 CHEMICALS

The Conference

Recalling that the Commission, in its PC-IX/11, paragraph 7.2, adopted an understanding on recycled Schedule 2 chemicals,

Bearing in mind that the Commission recommended in paragraph 50.4 of its Final Report that the Conference adopt the above mentioned understanding,

Hereby:

1. **Adopts** the understanding on recycled Schedule 2 chemicals.

Annex

Annex**RECYCLED SCHEDULE 2 CHEMICALS³⁰**

1. A "recycled Schedule 2 chemical" is a chemical that is partly converted or consumed in a process and then recovered and re-introduced into the process upstream for another cycle of conversion or consumption followed by recovery. Any loss of Schedule 2 chemical from the process cycle through incomplete recovery will be compensated for by make-up quantities (net loss).
2. It is understood that a plant site containing a plant in which a Schedule 2 chemical undergoes a cycle of consumption and regeneration will, in accordance with Part VII, paragraph 8, make a declaration if, in total, **(X+Y)** exceeds the declaration threshold where:

X, expressed in the same unit as the declaration threshold, equals:

- (a) for batch processes, the total amount of the Schedule 2 chemical charged (then consumed, regenerated and subsequently recovered in a separate process step);
or
- (b) for continuous processes, the total amount present in the reaction vessels and process streams; **and**

Y, expressed in the same units as the declaration threshold, equals the aggregate annual compensation for the net loss of that chemical.

It is further understood that the regeneration process is not required to be declared as a production of a Schedule 2 chemical in the cycle.

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³⁰ as contained in paragraphs 2.1 and 2.2 of PC-VIII/B/WP.10.

OPCW

Conference of the States Parties

First Session
Agenda item 47

C-I/DEC.43
16 May 1997
Original: ENGLISH

DECISION

THE MEANING OF "PRODUCTION" IN THE CONTEXT OF SCHEDULE 1 PRODUCTION FACILITIES COVERED UNDER ARTICLE VI

The Conference

Recalling that the Commission, in its PC-IX/11, paragraph 7.2, adopted an understanding on the meaning of "production" in the context of Schedule 1 production facilities covered under Article VI,

Bearing in mind that the Commission recommended in paragraph 50.4 of its Final Report that the Conference adopt the above mentioned understanding,

Hereby:

1. **Adopts** the understanding on the meaning of "production" in the context of Schedule 1 production facilities covered under Article VI.

Annex

Annex**THE MEANING OF "PRODUCTION" IN THE CONTEXT OF SCHEDULE 1
PRODUCTION FACILITIES COVERED UNDER ARTICLE VI³¹**

It is understood that:

- (a) the "acquisition" of Schedule 1 chemicals, as referred to in paragraphs 1 and 2 of Part VI of the Verification Annex, includes their extraction from natural sources;
- (b) for Schedule 1 chemicals that are normally not produced in the terms of the Convention but are isolated by processing (e.g. toxins), extraction and isolation **of Schedule 1 chemicals** above the declaration threshold shall be undertaken only in declared Schedule 1 facilities; and
- (c) any facility that produces Schedule 1 chemicals above the declaration threshold through chemical synthesis or extraction/isolation will have to be declared and verified under Part VI of the Verification Annex.

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³¹ as contained in paragraph 2.3 of PC-VIII/B/WP.10.



OPCW

Conference of the States Parties

Second Session
1 - 5 December 1997

C-II/DEC.6
5 December 1997
Original: ENGLISH

DECISION

**MEANING OF “PRODUCTION”
AS DEFINED IN ARTICLE II, SUBPARAGRAPH 12(A)**

The Conference

Having considered the issue of the meaning of the term “production” as used in Article II, subparagraph 12(a) of the Convention;

Taking note of the work of the Preparatory Commission on this issue;

Hereby:

Decides that the term “production” as used in subparagraph 12(a) of Article II should be understood to include a scheduled chemical (i.e. a Schedule 1, Schedule 2 or Schedule 3 chemical) produced by a biochemical or biologically mediated reaction.

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**OPCW****Conference of the States Parties**

Third Session
16 - 20 November 1998

C-III/DEC.6
17 November 1998
Original: ENGLISH

DECISION

PARAGRAPH 32 OF PART VII AND PARAGRAPH 26 OF PART VIII OF THE VERIFICATION ANNEX OF THE CONVENTION

The Conference

Having considered the issue of the information to be included in the end-use certificates in the case of transfers of Schedule 2 and 3 chemicals to traders/trading houses in States not party to the Chemical Weapons Convention;

Bearing in mind the decision of the Executive Council on end-use certificates for transfers of Schedule 2 and 3 chemicals to States not party to the Convention in accordance with paragraph 32 of Part VII and paragraph 26 of Part VIII of the Verification Annex (EC-VIII/DEC.3, dated 30 January 1998);

Bearing in mind that the Executive Council recommended, in its decision EC-IX/DEC.11, dated 24 April 1998, that the Conference adopt the agreement on the above-mentioned issue;

Hereby:

Decides that the terms “(d) Their end-use(s); and (e) The name(s) and address(es) of the end-user(s)”, in cases of transfers to importers in States not party to this Convention who are not the actual end-users (e.g. trading firms), shall be understood to mean that, in these cases, before authorising transfers, a statement of the importer, in a manner consistent with paragraph 32 of Part VII and paragraph 26 of Part VIII of the Verification Annex of the Convention, and of national legislation and practices, shall be obtained, whereby the importer will be obliged to specify name(s) and address(es) of the end-user(s).

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**OPCW****Conference of the States Parties**

Third Session
16 - 20 November 1998

C-III/DEC.7
17 November 1998
Original: ENGLISH

DECISION

END-USE CERTIFICATES FOR TRANSFERS OF SCHEDULE 2 AND 3 CHEMICALS TO STATES NOT PARTY TO THE CONVENTION IN ACCORDANCE WITH PARAGRAPH 32 OF PART VII AND PARAGRAPH 26 OF PART VIII OF THE VERIFICATION ANNEX

The Conference

Having considered the issue of the meaning of the term “shall require from the recipient State a certificate”, as used in paragraph 32 of Part VII and in paragraph 26 of Part VIII of the Verification Annex;

Taking note of the opinion of the Legal Adviser on end-use certificates (EC-VII/TS.1, dated 14 November 1997) on this issue;

Bearing in mind that the Executive Council recommended, in its decision EC-VIII/DEC.3, dated 30 January 1998, that the Conference adopt the above-mentioned understanding;

Hereby:

Decides that the term “shall require from the recipient State a certificate”, as used in paragraph 32 of Part VII and in paragraph 26 of Part VIII of the Verification Annex, shall be understood to mean “end-use certificates issued by the competent government authority of States not party to this Convention”, and shall contain all the requisites established in subparagraphs (a) to (e) of the paragraphs referred to above.

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**OPCW****Executive Council**

Nineteenth Session
3 - 7 April 2000
Agenda item 12

EC-XIX/DEC.5
7 April 2000
Original: ENGLISH

**DECISION
ROUNDING RULE IN RELATION TO DECLARATIONS OF
SCHEDULED CHEMICALS**

The Executive Council

Noting that some States Parties have expressed concern at the perceived lack of consistency in the application of rounding rules to declarations of scheduled chemicals;

Noting also that any decision on the rounding rule shall not prejudice any future decision on the methodology for collecting and declaring aggregate national data (AND);

Further noting that plant site declarations for Schedule 3 chemicals are made in ranges as prescribed by the Convention;

Bearing in mind that this rounding rule does not apply to notification and detailed annual declaration of transfers of Schedule 1 chemicals.

Hereby:

Decides to adopt the following rounding rule in relation to the declaration of scheduled chemicals, where applicable:

Quantities will be declared to three figures:

- quantities with more than three figures are to be rounded to three;
- quantities having fewer than three figures are to be extended to three by the addition of zeros; and
- zeros in front of the first non-zero digit are not counted.

Qualifiers:

- (a) Quantities may be declared in the following units only:

picogramme	pg	10^{-12} g
nanogramme	ng	10^{-9} g
microgrammes	μ g	10^{-6} g
milligrammes	mg	10^{-3} g
grammes	g	g
kilogrammes	kg	10^3 g
tonnes	t	10^6 g
kilotonnes	kt	10^9 g

- (b) Plant site/facility data for Schedule 1, 2 and 3 chemicals should be declared in the units that relate to the declaration threshold in the appropriate Part of the Verification Annex for the scheduled chemical being declared, e.g.:

<u>Schedule</u>	<u>Unit</u>
1	g/kg
2A*	kg/t
2A	kg/t
2B	t/kt
3	t (declared in ranges)

- (c) For States Parties which include only quantities above declaration thresholds in their AND declarations, these same units may be used for AND.
- (d) For States Parties which also include quantities below declaration thresholds in AND, smaller units may be appropriate.
- (e) For States Parties which declare actual transfers of Schedule 3 chemicals in AND, t/kt units should be used.
- (f) Examples of the application of this rounding rule are provided in the next table.

EXAMPLES OF THE ROUNDING RULE

FIGURE PROVIDED TO NATIONAL AUTHORITY	MAIN ROUNDING RULE OPTIONS
0.004 mg	0.00 <u>400</u> mg/ <u>4.00</u> µg
0.3 mg	0. <u>300</u> mg/ <u>300</u> µg
0.8388 mg	0. <u>839</u> mg/ <u>839</u> µg
1.674 mg	<u>1.67</u> mg
1.677 mg	<u>1.68</u> mg
5 mg	<u>5.00</u> mg
0.002 g	0.00 <u>200</u> g/ <u>2.00</u> mg
100.5 g	<u>101</u> g/0. <u>101</u> kg
0.068 kg	0.0 <u>680</u> kg/ <u>68.0</u> g
266.6 kg	<u>267</u> kg/0. <u>267</u> t
1.66 t	<u>1.66</u> t
104.4 t	<u>104</u> t/0. <u>104</u> kt
1004.5 t	<u>1.00</u> kt
10539 t	<u>10.5</u> kt

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**OPCW****Conference of the States Parties**

Fifth Session
15 - 19 May 2000

C-V/DEC.16
17 May 2000
Original: ENGLISH

DECISION

IMPLEMENTATION OF RESTRICTIONS ON TRANSFERS OF SCHEDULE 2 AND SCHEDULE 3 CHEMICALS TO AND FROM STATES NOT PARTY TO THE CONVENTION

The Conference

Recalling the decision of the Conference of the States Parties at its Fourth Session on guidelines for provisions regarding scheduled chemicals in low concentrations, including in mixtures, in accordance with paragraphs 5 of Parts VII and VIII of the Verification Annex (C-IV/DEC.16, dated 1 July 1999);

Bearing in mind the special responsibility of States Parties with regard to transfers of Schedule 2 or Schedule 3 chemicals to States not party to the Convention, and **recalling** in this respect the obligation under paragraph 31 of Part VII of the Verification Annex, which came into effect on 29 April 2000, that Schedule 2 chemicals shall only be transferred to or received from States Parties;

Recalling further that, with regard to transfers of Schedule 3 chemicals, five years after the entry into force of the Convention (29 April 2002) the Conference shall consider the need to establish other measures;

Recognising the need to ensure that the transfer provisions regarding Schedule 2 or Schedule 3 chemicals do not encompass impurities and consumer goods;

Noting that transfers of the products under consideration in this decision shall only be for purposes not prohibited under the Convention, and **recognising** the desire of States Parties in relation to this decision, to keep under review technical and possible security aspects of transfers of products as defined in the operative subparagraphs 1(a) and (b) below;

Noting further the recommendation to the Conference adopted by the Executive Council at its Nineteenth Session (EC-XIX/DEC.11, dated 2 May 2000);

Hereby:

1. **Decides** that, with regard to the application of the provisions on transfers of Schedule 2 chemicals to and from States not party to the Convention, paragraph 31 of Part VII of the Verification Annex shall not apply to:
 - (a) products containing one percent or less of a Schedule 2A or 2A* chemical;
 - (b) products containing 10 percent or less of a Schedule 2B chemical; and
 - (c) products identified as consumer goods packaged for retail sale for personal use or packaged for individual use; and
2. **Further requests**, with regard to the application of the provisions on transfers of Schedule 3 chemicals, the Executive Council to prepare a recommendation to be considered by the Conference at its Sixth Session.

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**OPCW****Conference of the States Parties**

Fifth Session
15 - 19 May 2000

C-V/DEC.17
18 May 2000
Original: ENGLISH

DECISION

REPORTING OF RICIN PRODUCTION

The Conference of the States Parties

Having considered the issue of the reporting of ricin production;

Taking into account the work of the Preparatory Commission on this issue;

Recalling that the issue of the reporting of ricin production was referred to the Scientific Advisory Board (Conference decision C-II/DEC.5, dated 5 December 1997), and that advice was received from the Scientific Advisory Board in this respect (SAB-II/1, dated 23 April 1999);

Recalling further that the Director-General was invited by the Conference to further study the issue, to convene a meeting of experts to analyse all its aspects, and to convey the findings of that meeting to the Executive Council (Conference decision C-IV/DEC.20, dated 2 July 1999);

Recalling also that the Executive Council was requested to consider this issue with a view to preparing a recommendation to the Conference for consideration and adoption at its Fifth Session (Conference decision C-IV/DEC.20, dated 2 July 1999);

Noting that the issue was considered in a meeting of experts, and that the results of this meeting were submitted by the Director-General to the Executive Council for consideration during its Nineteenth Session (EC-XIX/DG.4, dated 14 March 2000);

Cognisant that the Executive Council noted that the annex to the above-mentioned Note by the Director-General to the Executive Council at its Nineteenth Session containing the report of the chairman of the expert meeting was considered to contain the substance of the report required for the Conference at its Fifth Session (subparagraph 13.1 of EC-XIX/6, dated 3 May 2000);

Hereby:

1. **Decides** that castor oil processing plants should not be subject to the Convention's reporting procedures under Schedule 1; and
2. **Agrees** to remove from the list of unresolved issues the reporting of ricin production as it relates to castor oil processing plants.

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OPCW
Conference of the States Parties

Fifth Session
15 - 19 May 2000

C-V/DEC.19
19 May 2000
Original: ENGLISH

DECISION

GUIDELINES REGARDING LOW CONCENTRATION LIMITS FOR DECLARATIONS OF SCHEDULE 2 AND 3 CHEMICALS

The Conference of the States Parties

Recalling the decision at its Fourth Session on guidelines for provisions regarding scheduled chemicals in low concentrations, including in mixtures, in accordance with paragraphs 5 of Parts VII and VIII of the Verification Annex (C-IV/DEC.16, dated 1 July 1999);

Determined to seek the harmonisation of provisions regarding Schedule 2 and Schedule 3 chemicals in low concentrations, consistent with the non-discriminatory and effective implementation of the Convention;

Cognisant of the economic and administrative implications of the implementation of such guidelines for States Parties;

Noting the decision by the Executive Council at its Tenth Meeting recommending that the Conference of the States Parties consider and adopt this decision at its Fifth Session;

Hereby:

1. **Decides**, with regard to the applicable concentration limits for declarations under Parts VII and VIII of the Verification Annex, that:
 - (i) declarations are not required for mixtures of chemicals containing 30 percent or less of a Schedule 2B or a Schedule 3 chemical; and
 - (ii) States Parties are requested to take measures in accordance with Article VII, paragraph 1, to implement these guidelines by 1 January 2002; and
2. **Requests** the Director-General to task the Scientific Advisory Board to study all relevant aspects of the applicable concentration limits for mixtures of chemicals containing Schedule 2A and 2A* chemicals and to report the results to the Council for consideration with a view to a decision being submitted for the consideration of States Parties at the Sixth Session of the Conference of the States Parties.

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**OPCW****Conference of the States Parties**

Sixth Session
14 – 19 May 2001
Agenda Item 11

C-VI/DEC.10
17 May 2001
Original: ENGLISH

DECISION

PROVISIONS ON TRANSFERS OF SCHEDULE 3 CHEMICALS TO STATES NOT PARTY TO THE CONVENTION

The Conference of the States Parties,

Recalling the decision of the Conference of the States Parties (hereinafter the “Conference”) at its Fifth Session on the implementation of restrictions on transfers of Schedule 2 and Schedule 3 chemicals to and from States not party to the Convention (C-V/DEC.16, dated 17 May 2000);

Recalling further the decision of the Conference at its Fifth Session on national implementation measures (C-V/DEC.20, dated 19 May 2000);

Recalling in particular the decision by the Executive Council (hereinafter the “Council”) at its Twelfth Meeting to refer to the Conference, at its Sixth Session, its recommendation for approval of the provisions on transfers of Schedule 3 chemicals to States not party to the Convention (EC-M-XII/DEC.1, dated 4 May 2001);

Bearing in mind the special responsibility of States Parties with regard to transfers of Schedule 3 chemicals to States not party to the Convention, and **recalling** in this respect the obligation under paragraph 26 of Part VIII of the Verification Annex, to adopt the necessary measures to ensure that the transferred chemicals shall only be used for purposes not prohibited under this Convention;

Recalling further that, in accordance with paragraph 27 of Part VIII of the Verification Annex, five years after the entry into force of the Convention, i.e. by 29 April 2002, the Conference shall consider the need to establish other measures regarding transfers of Schedule 3 chemicals to States not party to the Convention;

Considering the effective contribution of such measures to preventing the proliferation of chemical weapons and promoting universal adherence to the Convention;

C-VI/DEC.10
Page 2

Hereby:

1. **Calls to the attention of** States Parties their obligation, when transferring Schedule 3 chemicals to States not party to the Convention, to require from the recipient State an end-use certificate in accordance with paragraph 26 of Part VIII of the Verification Annex and with Conference decisions C-III/DEC.6 and C-III/DEC.7, both dated 17 November 1998;
2. **Decides**, with regard to the application of the obligation to require an end-use certificate for transfers of Schedule 3 chemicals to States not party to the Convention, and without prejudice to the right of any State Party to adopt a more restrictive approach, that end-use certificates are not required for:
 - (i) products containing 30 percent or less of a Schedule 3 chemical;
 - (ii) products identified as consumer goods packaged for retail sale for personal use, or packaged for individual use;
3. **Urges** States Parties to adopt national legislative and administrative measures, as appropriate, to implement the provisions on transfers of Schedule 3 chemicals to States not party to the Convention, and, in accordance with paragraph 5 of Article VII of the Convention, to inform the Organisation concerning the measures taken;
4. **Requests** the Technical Secretariat to include in its regular reports on the implementation of the Convention the information provided by States Parties on the implementation of paragraph 26 of Part VIII of the Verification Annex on transfers of Schedule 3 chemicals to States not party to the Convention;
5. **Requests** the Council to consider the need to establish other measures regarding transfers of Schedule 3 chemicals under paragraph 27 of Part VIII of the Verification Annex and to report the results of its consideration to the Conference at its Seventh Session; and
6. **Recommends** that five years after the implementation of this decision the concentration limits contained in operative paragraph 2 above may be reviewed upon a recommendation of the Council.

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**OPCW****Conference of the States Parties**

Seventh Session
7 – 11 October 2002

C-7/DEC.14
10 October 2002
Original: ENGLISH
(Unofficial electronic version)

DECISION

GUIDELINES REGARDING DECLARATIONS OF AGGREGATE NATIONAL DATA FOR SCHEDULE 2 CHEMICAL PRODUCTION, PROCESSING, CONSUMPTION, IMPORT AND EXPORT AND SCHEDULE 3 IMPORT AND EXPORT

import and export

The Conference of the States Parties,

Recalling that the Chemical Weapons Convention (hereinafter the “Convention”) requires States Parties to make declarations of Schedule 2 and Schedule 3 aggregate national data (AND) under the provisions of paragraph 1 of Part VII and paragraph 1 of Part VIII of the Verification Annex of the Chemical Weapons Convention (hereinafter the “Verification Annex”);

Recalling also that the Conference of the States Parties (hereinafter the “Conference”) at its Second Session in C-II/DEC.8, dated 5 December 1997, and the Executive Council (hereinafter the “Council”), in EC-VIII/DEC.2, dated 30 January 1998, and EC-IX/DEC.10*, dated 24 April 1998, also requested States Parties to provide the basis on which Schedule 2 and Schedule 3 chemicals are to be declared; and **recalling also** the reports by the Technical Secretariat (hereinafter the “Secretariat”) on information provided by States Parties in this regard;

Recalling further the guidelines on low concentration limits for the declaration of Schedule 2 and Schedule 3 chemicals adopted by the Conference at its Fifth Session (C-V/DEC.19, dated 19 May 2000);

Having considered that a standardised approach to declaration obligations is necessary for National Authorities to report AND and relevant plant site import and export data in a uniform and harmonised manner, and to provide more meaningful and comparable information for use by the Organisation in illustrating normal patterns of trade, and in identifying any trends important to the object and purpose of the Convention;

Cognisant of the financial and administrative implications of the implementation of such guidelines by States Parties, and the desirability of a simple, practical approach;

Noting the decision by the Council at its Thirtieth Session (EC-30/DEC.14, dated 13 September 2002) recommending that the Conference consider and adopt this decision at its Seventh Session;

Decides on the following:

1. that import and export data aggregated by each State Party in fulfilment of the declaration obligations of paragraph 1 of Part VII and paragraph 1 of Part VIII of the Verification Annex shall include activity by natural and legal persons transferring a declarable chemical between the territory of the declaring State Party and the territory of other States, as specified below;
2. that declarations by States Parties under paragraph 1 of Part VII of the Verification Annex shall include, using the relevant low concentration limit, production, processing, consumption, import, and export quantities of a given Schedule 2 chemical if the total for the year for that activity is more than the threshold specified for that chemical in subparagraphs 3(a), 3(b), or 3(c) of Part VII of the Verification Annex;
3. that declarations by States Parties under paragraph 1 of Part VIII of the Verification Annex shall include, using the relevant low concentration limit, import and export quantities of a Schedule 3 chemical if the total for the year for that activity is more than the threshold specified in paragraph 3 of Part VIII of the Verification Annex;
4. that, in addition, where declarations by States Parties under paragraph 1 of Part VII and paragraph 1 of Part VIII of the Verification Annex have reported the import or export of a Schedule 2 or Schedule 3 chemical in accordance with operative paragraphs 2 or 3 above, separate declarations shall also include, using the relevant low concentration limit, the aggregate quantities of each chemical imported from, or exported to, each given sending or receiving State, which shall be specified. When a quantity reported in this particular declaration is less than the threshold specified for that chemical in paragraph 3 of Part VII or paragraph 3 of Part VIII of the Verification Annex, the quantity should be expressed as “< (relevant threshold quantity)”³²;
5. that States Parties are requested to take measures in accordance with paragraph 1 of Article VII of the Convention to implement these guidelines as soon as practicable, and in advance of 1 January 2004;
6. that although this decision does not dictate how and on what basis States Parties should collect data, but rather how data collected should be reported by States Parties to the Secretariat, States Parties shall review this, and the implementation of these guidelines in general, on the basis of the Secretariat’s analysis of the first three years of harmonised AND submissions; and further
7. that the Council shall be tasked to continue work towards harmonising the reporting of Schedule 3 production AND.

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³² The exact quantity would have been added into the totals reported separately under paragraphs 2 and 3.

**OPCW****Conference of the States Parties**

Eighth Session
20 – 24 October 2003

C-8/DEC.7
23 October 2003
Original: ENGLISH

DECISION

UNDERSTANDINGS REGARDING DECLARATIONS UNDER ARTICLE VI AND PART VII AND PART VIII OF THE VERIFICATION ANNEX TO THE CHEMICAL WEAPONS CONVENTION

The Conference of the States Parties,

Recalling that subparagraphs 12(a), 12(b), and 12(c) of Article II of the Chemical Weapons Convention (hereinafter the “Convention”) state respectively that, for the purposes of Article VI, “production” of a chemical means its formation through chemical reaction; “processing” of a chemical means a physical process, such as formulation, extraction and purification, in which a chemical is not converted into another chemical; and “consumption” of a chemical means its conversion into another chemical via a chemical reaction;

Recalling further that subparagraph 6(a) of Part I of the Verification Annex to the Convention (hereinafter the “Verification Annex”) states that “plant site” (works, factory) means the local integration of one or more plants, with any intermediate administrative levels, which are under one operational control, and includes common infrastructure, such as those components listed in subparagraphs 6(a)(i-viii);

Recalling further that subparagraph 6(b) of Part I of the Verification Annex states that “plant” (production facility, workshop) means a relatively self-contained area, structure or building containing one or more units with auxiliary and associated infrastructure, such as those components listed in subparagraphs 6(b)(i-vi);

Recalling further that subparagraph 6(c) of Part I of the Verification Annex states that “unit” (production unit, process unit) means the combination of those items of equipment, including vessels and vessel set up, necessary for the production, processing or consumption of a chemical;

Recalling further that paragraph 3 of Part VII of the Verification Annex states that declarations are required for all plant sites that comprise one or more plant(s) which produced, processed or consumed during any of the previous three calendar years or is anticipated to produce, process, or consume in the next calendar year more than 1 kg of a chemical designated “*” in Schedule 2, Part A; 100 kg of any other chemical listed in Schedule 2, Part A; or 1 tonne of a chemical listed in Schedule 2, Part B;

Recalling further that paragraph 3 of Part VIII of the Verification Annex states that declarations are required for all plant sites that comprise one or more plants which produced during the previous calendar year or are anticipated to produce in the next calendar year more than 30 tonnes of a Schedule 3 chemical;

Recalling further the decision that a plant site containing a plant in which a Schedule 2 chemical is consumed in a waste management or disposal system in quantities above the threshold for that chemical will declare this consumption in accordance with paragraph 8 of Part VII of the Verification Annex, contained in the relevant decision of the Conference of States Parties (hereinafter the “Conference”) at its First Session (C-I/DEC.37, dated 16 May 1997);

Recalling further the guidelines regarding low concentration limits for the declaration of Schedule 2B and Schedule 3 chemicals contained in the relevant decision of the Conference at its Fifth Session (C-V/DEC.19, dated 19 May 2000);

Recalling further the rounding rules in relation to the declaration of scheduled chemicals, contained in the relevant decision of the Executive Council (EC-XIX/DEC.5, dated 7 April 2000);

Recognising that certain chemical processes may result in the production of Schedule 2 and Schedule 3 chemicals in concentrations below the threshold established by the Conference at its Fifth Session (C-V/DEC.19), which are then processed to a concentration above the threshold within the same plant, and that this situation may result in an uneven application of the Convention, and may be inconsistent with the object and purpose of the Convention;

Noting that any clarification of the definition of production in Article II of the Convention applies to Schedule 2 and Schedule 3 declarations;

Having considered that a standardised approach to declarations of production, processing, or consumption, as appropriate, is necessary in order to assist the States Parties in fulfilling their declaration obligations in a uniform manner, and in order to provide better information for use by the Organisation for the Prohibition of Chemical Weapons;

Cognisant of the economic and administrative implications of such guidelines for the States Parties;

Recognising the need to continue to work to resolve this issue, particularly in relation to captive use and the mechanism for determining low concentrations; and

Bearing in mind the recommendations that the Executive Council at its Thirty-First Session adopted on this matter (EC-31/DEC.7, dated 11 November 2002);

Hereby decides:

1. that the production of a Schedule 2 or Schedule 3 chemical is understood, for declaration purposes, to include all steps in the production of a chemical in any units within the same plant through chemical reaction, including any associated processes (e.g. purification, separation, extraction, distillation, or refining) in which the chemical is not converted into another chemical. The exact nature of any associated process (e.g. purification, etc.) is not required to be declared;
2. that declarations are required for all plant sites that comprise one or more plant(s) which produce, process, or consume a Schedule 2 chemical above the relevant declaration threshold quantity and in a concentration above the relevant low concentration limit. The processing steps which are part of declared production shall not be declared separately as processing;
3. that declarations are required for all plant sites that comprise one or more plants which produce a Schedule 3 chemical above the declaration threshold quantity and in a concentration above the low concentration limit;
4. that, for declaration purposes, concentration of a declarable Schedule 2 or Schedule 3 chemical may be measured directly or indirectly (including a measurement derived from the chemical process, a material balance, or other available plant data);
5. that “transient intermediates” are understood to mean chemicals which are produced in a chemical process but, because they are in a transition state in terms of thermodynamics and kinetics, exist only for a very short period of time, and cannot be isolated, even by modifying or dismantling the plant, or by altering process operating conditions, or by stopping the process altogether, and that the declaration requirements do not, therefore, apply to “transient intermediates”; and
6. to request States Parties to take any necessary measures in accordance with Article VII, paragraph 1, for implementation as soon as possible, and in any event no later than 1 January 2005.

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**OPCW****Executive Council**

Thirty-Sixth Session
23 - 26 March 2004

EC-36/DEC.7
26 March 2004
Original: ENGLISH

DECISION

CLARIFICATIONS OF DECLARATIONS

The Executive Council,

Considering that clarification requests help the Technical Secretariat (hereinafter “the Secretariat”) to effectively carry out its functions under the Chemical Weapons Convention (hereinafter “the Convention”);

Further considering that timely responses by States Parties to such requests for clarification promote the effective and efficient implementation of the verification regime of the Convention;

Affirming the need for States Parties to improve implementation by pledging to respond to such requests as fully and as expeditiously as possible;

Specifying that nothing in this decision prejudices existing obligations under the Convention or creates additional ones;

Recalling the requirements under Article VIII, paragraph 40 of the Convention; and

Recognising the need to continue work on this issue, in particular on the issue of clarification of transfer discrepancies, and on the need for the Secretariat to continue to explore how it can best exchange confidential information with States Parties in accordance with the confidentiality procedures of the Convention;

Hereby:

Urges all States Parties to expedite responses to requests for clarification of their declarations, when these declarations do not involve other States Parties (i.e. transfer discrepancies), as follows: to send an initial response within 90 days after the official transmittal of the Secretariat’s request which either responds fully to the request or indicates what steps they are taking to develop and communicate a full response; and

Recommends that, when the Secretariat issues a clarification request regarding possible errors or missing information in a submitted declaration that preclude the Secretariat from determining the facility's inspectability and receives no response from the State Party concerned within 90 days after the official transmittal of the Secretariat's request, the Secretariat inform the Council about the specific request in advance of its next regular session. The Secretariat will provide, 60 days following the issuance of the clarification request, a reminder to the State Party concerned.

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**OPCW****Conference of the States Parties**

Ninth Session
29 November – 2 December 2004

C-9/DEC.6
30 November 2004
Original: ENGLISH

DECISION

UNDERSTANDING OF THE CONCEPT OF “CAPTIVE USE” IN CONNECTION WITH DECLARATIONS OF PRODUCTION AND CONSUMPTION UNDER PARTS VII AND VIII OF THE VERIFICATION ANNEX TO THE CHEMICAL WEAPONS CONVENTION

The Conference of the States Parties,

Recalling the decision it took at its Eighth Session on understandings regarding declarations under Article VI of the Chemical Weapons Convention (hereinafter “the Convention”) and Parts VII and VIII of the Verification Annex to the Convention (hereinafter “the Verification Annex”) (C-8/DEC.7, dated 23 October 2003);

Recalling also that paragraph 3 of Part VII of the Verification Annex states that “declarations are required for all plant sites that comprise one or more plant(s) which produced, processed or consumed during any of the previous three calendar years or is anticipated to produce, process or consume in the next calendar year more than:

- (a) 1 kg of a chemical designated “*” in Schedule 2, Part A;
- (b) 100 kg of any other chemical listed in Schedule 2, Part A; or
- (c) 1 tonne of a chemical listed in Schedule 2, Part B”;

Recalling further that paragraph 3 of Part VIII of the Verification Annex states that “declarations are required for all plant sites that comprise one or more plants which produced during the previous calendar year or are anticipated to produce in the next calendar year more than 30 tonnes of a Schedule 3 chemical”;

Keeping in mind the decision it took at its First Session (C-I/DEC.37, dated 16 May 1997), whereby it adopted the understanding that a plant site containing a plant in which a Schedule 2 chemical is consumed in a waste management or disposal system in quantities above the threshold for that chemical will declare this consumption in accordance with paragraph 8 of Part VII of the Verification Annex;

Also keeping in mind the guidelines in the decision it took at its Fifth Session (C-V/DEC.19, dated 19 May 2000) regarding low concentration limits for the declaration of Schedule 2B and Schedule 3 chemicals;

Recognising that certain chemical processes may result in the production of Schedule 2 and Schedule 3 chemicals that are consumed within those processes, and that this situation may result in an uneven application of the Convention and be inconsistent with its object and purpose;

Noting that any clarification of the definition of production in Article II of the Convention applies to Schedule 2 and Schedule 3 declarations;

Having considered that a standardised approach to declarations of production, processing, or consumption, as appropriate, is necessary both in order to assist the States Parties in fulfilling their declaration obligations in a uniform manner, and for the provision of better information to the OPCW;

Cognisant of the economic and administrative implications of such guidelines for the States Parties; and

Recognising also the need to continue to work to resolve this issue, particularly in relation to the mechanism for determining low concentrations;

Hereby:

Decides as follows:

- (a) that the production of a Schedule 2 or Schedule 3 chemical is understood, for declaration purposes, to include intermediates, by-products, or waste products that are produced and consumed within a defined chemical manufacturing sequence, where such intermediates, by-products, or waste products are chemically stable and therefore exist for a sufficient time to make isolation from the manufacturing stream possible, but where, under normal or design operating conditions, isolation does not occur; and
- (b) to request States Parties to take the necessary measures to implement their obligations under Article VII, paragraph 1, of the Convention as soon as possible and in any event no later than 1 January 2005 in respect of Schedule 2 chemicals and 1 January 2006 in respect of Schedule 3 chemicals.

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**OPCW****Conference of the States Parties**

Tenth Session
7 – 11 November 2005

C-10/DEC.12
10 November 2005
Original: ENGLISH

DECISION

UNDERSTANDING RELATING TO THE CONCEPT OF “CAPTIVE USE” IN CONNECTION WITH DECLARATIONS OF PRODUCTION AND CONSUMPTION³³ UNDER PART VI OF THE VERIFICATION ANNEX TO THE CONVENTION

The Conference of the States Parties,

Recalling that, according to paragraph 3 of Article VI of the Chemical Weapons Convention (hereinafter “the Convention”), “Each State Party shall subject chemicals listed in Schedule 1...to the prohibitions on production, acquisition, retention, transfer and use as specified in Part VI of the Verification Annex. It shall subject Schedule 1 chemicals and facilities specified in Part VI of the Verification Annex to systematic verification through on-site inspection and monitoring with on-site instruments in accordance with that Part of the Verification Annex”;

Recalling also that, according to Article VI, paragraph 11, the provisions of that Article shall be implemented in a manner that avoids hampering the economic or technological development of States Parties;

Recalling further that Part VI of the Verification Annex to the Chemical Weapons Convention (hereinafter “the Verification Annex”) requires declarations of the production of Schedule 1 chemicals for research, medical, pharmaceutical, or protective purposes at a single small-scale facility; of the production of Schedule 1 chemicals in aggregate quantities not exceeding 10kg per year for protective purposes at one facility outside a single small-scale facility; and of the production of Schedule 1 chemicals in quantities of more than 100g per year for research, medical, or pharmaceutical purposes outside a single small-scale facility in aggregate quantities not exceeding 10kg per year per facility;

Recalling further the decision it took at its Ninth Session on the understanding of the concept of “captive use” in connection with declarations of production and consumption under Parts VII and VIII of the Verification Annex (C-9/DEC.6, dated 30 November 2004);

Noting the advice from the Scientific Advisory Board that it is not aware of any current examples of the captive use of Schedule 1 chemicals (S/528/2005, dated 1 November 2005);

C-10/DEC.12

³³ Consumption, of itself, is not a declarable activity.

Recognising nevertheless that certain chemical processes may result in the future in the production of Schedule 1 chemicals that are consumed within those processes without being isolated, and that this situation may result in an uneven application of the Convention and be inconsistent with its object and purpose;

Recognising further that the production limits specified in Part VI of the Verification Annex, when applied to Schedule 1 chemicals that are produced and consumed without being isolated, might in the future have a negative impact on production of such chemicals for research, medical, pharmaceutical, or protective purposes by limiting the quantities that can be produced and held for purposes not prohibited under the Convention;

Recalling further that a document on the issue of the captive use of Schedule 1 chemicals was among the materials transmitted to the Preparatory Commission for the OPCW by the Conference on Disarmament (A/47/27, dated 23 September 1992);

Bearing in mind that the destruction of chemical weapons can give rise to the production of Schedule 1 chemicals, and that such production and the destruction of such chemicals are already subject to verification under Part IV(A) of the Verification Annex;

Having considered that a standardised approach to declarations of production is necessary both in order to assist the States Parties in fulfilling their declaration obligations in a uniform manner, and in order to provide better information to the OPCW;

Cognisant of the economic and administrative implications of such guidelines for the States Parties; and

Noting the recommendation made on this matter by the Executive Council (hereinafter “the Council”) at its Twenty-Fifth Meeting (EC-M-25/DEC.4, dated 9 November 2005);

Hereby:

Decides as follows:

- (a) that the production of a Schedule 1 chemical is understood, for declaration purposes, to include intermediates, by-products, or waste products that are produced and consumed within a defined chemical manufacturing sequence, where such intermediates, by-products, or waste products are chemically stable and therefore exist for a sufficient time to make isolation from the manufacturing stream possible, but where, under normal or design operating conditions, isolation does not occur;
- (b) to request States Parties to take the necessary measures to implement their obligations under Article VII, paragraph 1, of the Convention in respect of this decision as soon as possible; and
- (c) to request the Council to examine and take action no later than at its second regular session following receipt of a request for an amendment to the production limits in Part VI of the Verification Annex that may be made in the future with respect to production, in a captive-use situation as defined in subparagraph (a) above, of a specific Schedule 1 chemical for purposes not prohibited by the Convention.

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**OPCW****Executive Council**

Fifty-First Session
27 – 28 November 2007

EC-51/DEC.1
27 November 2007
Original: ENGLISH

DECISION

TIMELY SUBMISSION BY STATES PARTIES OF DECLARATIONS UNDER ARTICLE VI OF THE CONVENTION

The Executive Council,

Bearing in mind that paragraphs 7 and 8 of Article VI of the Chemical Weapons Convention (hereinafter “the Convention”); and paragraphs 6, 13, 15, 16, 17, 19, and 20 of Part VI; paragraphs 1, 2, and 4 of Part VII; paragraphs 1, 2, and 4 of Part VIII; and paragraph 3 of Part IX of the Verification Annex to the Convention (hereinafter “the Verification Annex”) require each State Party to submit the following:

- (a) an initial declaration on relevant chemicals and facilities;
- (b) annual declarations for relevant scheduled chemicals and related facilities; and
- (c) any necessary updates to their lists of other chemical production facilities in accordance with the corresponding deadlines specified in the Convention;

Noting that the Conference of the States Parties (hereinafter “the Conference”), in its report of its Third Session (C-III/4, dated 20 November 1998), “expressed its serious concern at the significant number of States Parties to the Convention which have submitted no initial declarations or initial declarations in part only”, urged States Parties that had failed to submit their initial declarations on time to do so without further delay, and also urged States Parties that had “submitted declarations in part only, particularly in the context of . . . paragraph 7 of Article VI, to submit without further delay the necessary additional parts of declarations or data required for their initial declarations to be complete”;

Noting also that efforts by the Technical Secretariat (hereinafter “the Secretariat”) and by the Conference after its Third Session resulted in significant progress being made in the submission of initial declarations, and with the expectation that similar success would ensue consequent to this decision;

Recalling that, at the First Special Session of the Conference of the States Parties to Review the Operation of the Chemical Weapons Convention, States Parties reaffirmed “their commitment to comply with all their obligations under all the provisions of the Convention, and their commitment to implement them fully, effectively, and in a manner which is non-discriminatory and which further enhances confidence among the States Parties and between the States Parties and the Technical Secretariat of the Organisation for the Prohibition of Chemical Weapons (OPCW)” (RC-1/3, dated 9 May 2003);

Noting that the Executive Council (hereinafter “the Council”), at its Thirty-Eighth (EC-38/2, dated 15 October 2004) and Thirty-Ninth Sessions (EC-39/2, dated 14 December 2004), urged all States Parties to meet their obligations regarding annual declarations in a timely manner;

Noting also that the Council, at its Forty-Fourth Session, stressed anew that the submission of these declarations by States Parties is important both to the object and purpose of the Convention and to the non-discriminatory treatment of all States Parties, and also underscored the need to continue consultations on the matter within the corresponding cluster during the intersessional period (paragraph 5.21 of EC-44/2, dated 17 March 2006);

Acknowledging the important role that timely and accurate declarations play in allowing the Secretariat to efficiently and effectively carry out its verification activities;

Hereby requests:

1. All States Parties that have yet to do so to adopt the necessary measures to ensure that their declarations are submitted in accordance with the deadlines provided for in the Convention;
2. States Parties to adopt the necessary measures to implement the following obligations, specifically that:
 - (a) each State Party that has not yet submitted its initial declaration in accordance with the requirements of paragraph 7 of Article VI of the Convention, or that has submitted this initial declaration in part only, submit its initial declaration or complete it without further delay;
 - (b) each State Party that has indicated in its initial declaration that it does not have any declarable activities under Article VI of the Convention, but which now finds that it has declarable activities taking place within its territory, to submit the relevant annual declarations no later than 30 March 2008 and, in subsequent years, by the appropriate deadlines; and
 - (c) each State Party that has indicated in its initial declaration that it does have declarable activities under any of Parts VI, VII, VIII, and IX of the Verification Annex, but has not provided the relevant annual declarations, to submit these declarations no later than 30 March 2008, and by the appropriate deadlines in subsequent years;

3. The States Parties referred to in paragraph 2 of this decision to inform the Secretariat by 30 March 2008 of the circumstances for not meeting these obligations and whether they would welcome assistance from the Secretariat in order to meet these obligations without further delay;
4. States Parties that anticipate difficulties in regard to the timely submission of their declarations in accordance with the deadlines in the Convention to inform the Secretariat at the earliest possible date of the circumstances of such difficulties and whether they would welcome assistance from the Secretariat in order to meet their obligations on time;
5. The Secretariat to:
 - (a) advise all States Parties of this decision and to make its requirements known at regional meetings and at any other venues that the Secretariat deems effective; and
 - (b) bring this decision to the particular attention of those States Parties affected by subparagraphs 2(a), 2(b), and 2(c) above;
6. The Secretariat to prepare status reports for the Council on the implementation of this decision, particularly the submission of initial and annual declarations under Article VI and the ongoing efforts to assist States Parties in meeting their obligations under this decision, as well as the difficulties being encountered by States Parties pursuant to paragraphs 3 and 4 above, in order to better facilitate assistance between States Parties on establishing declaration and submittal processes; and
7. The Council to keep under consideration the implementation of this decision and to take, if necessary, any appropriate measures to ensure the timely submission of declarations.

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**OPCW****Conference of the States Parties**

Second Review Conference

7 – 18 April 2008

RC-2/4

18 April 2008

Original: ENGLISH

**REPORT OF THE SECOND SPECIAL SESSION OF THE CONFERENCE OF THE STATES PARTIES TO REVIEW THE OPERATION OF THE CHEMICAL WEAPONS CONVENTION (SECOND REVIEW CONFERENCE)
7 – 18 April 2008**

- 9.62 The Second Review Conference recalled the decision of the First Conference of States Parties requesting States Parties to implement, on a voluntary basis, the recommendation of the Conference at its First Session (C-I/DEC. 38, dated 16 May 1997) that they inform the Secretariat when plants or plant sites that have been declared as undertaking activities in relation to Schedule 2 or Schedule 3 chemicals cease to do so. It further recalled that the First Review Conference had requested the Council to consider whether to require such submissions from States Parties, and noted that the Council had not yet taken up this issue. In this regard, the Second Review Conference requested the Secretariat to include, in the Declarations Handbook, a standard form for the submission of such notifications.

**OPCW****Conference of the States Parties**

Thirteenth Session
2 – 5 December 2008

C-13/DEC.4
3 December 2008
Original: ENGLISH

DECISION

GUIDELINES REGARDING DECLARATION OF IMPORT AND EXPORT DATA FOR SCHEDULE 2 AND 3 CHEMICALS

The Conference of the States Parties,

Recalling that the Chemical Weapons Convention (hereinafter “the Convention”) requires, in accordance with paragraph 2 of Article VI, that each State Party shall adopt the necessary measures to ensure that toxic chemicals and their precursors are only developed, produced, otherwise acquired, retained, transferred, or used within its territory or in any other place under its jurisdiction or control for purposes not prohibited under the Convention;

Recalling further that the Convention also requires States Parties to include in their annual declarations aggregate national data (AND) on the quantities imported and exported of each Schedule 2 and Schedule 3 chemical under the provisions of paragraph 1 of Part VII and paragraph 1 of Part VIII of the Verification Annex to the Convention (hereinafter “the Verification Annex”);

Recalling further that, in addition, for declared Schedule 2 plant sites, the Convention requires States Parties to provide data on the quantities imported and exported of each Schedule 2 chemical produced, processed, or consumed above the declaration threshold at the declared plant site under the provisions of paragraphs 8(b) and 8(c) of Part VII of the Verification Annex;

Recalling further the guidelines regarding declarations of AND for Schedule 2 chemical production, processing, consumption, import and export and Schedule 3 import and export adopted by the Conference of the States Parties at its Seventh Session (C-7/DEC.14, dated 10 October 2002) require that import and export data aggregated by each State Party in fulfilment of the declaration obligations of paragraph 1 of Part VII and paragraph 1 of Part VIII of the Verification Annex shall include activity by natural and legal persons transferring a declarable chemical between the territory of the declaring State Party and the territory of other States;

Recalling further that reporting AND and relevant plant site import and export data in a uniform manner will help to reduce discrepancies;

Recalling further that the criterion being used by the Technical Secretariat (hereinafter “the Secretariat”) to identify discrepancies, is whether the difference between the quantities declared by the importing and exporting States Parties is more than the relevant threshold specified for that chemical in paragraph 3 of Part VII or paragraph 3 of Part VIII of the Verification Annex;

Having considered that while “production”, “processing”, and “consumption” are defined in paragraph 12 of Article II of the Convention, for the purposes of Article VI, there are no agreed understandings on the meaning of “import” and “export”;

Cognisant of the financial and administrative implications of the implementation of such guidelines by States Parties, and the desirability of a simple, practical approach;

Noting that these guidelines are voluntary and hence do not dictate how and on what basis State Parties should collect data, but rather help to clarify what data should be reported for the purposes of declarations; and

Noting further that these guidelines are without prejudice to the relevant provisions of the Convention;

Hereby decides:

1. that, solely for the purposes of submitting declarations under paragraphs 1, 8(b) and 8(c) of Part VII and paragraph 1 of Part VIII of the Verification Annex, the term “import” shall be understood to mean the physical movement of scheduled chemicals into the territory or any other place under the jurisdiction or control of a State Party from the territory or any other place under the jurisdiction or control of another State, excluding transit operations; and the term “export” shall be understood to mean the physical movement of scheduled chemicals out of the territory or any other place under the jurisdiction or control of a State Party into the territory or any other place under the jurisdiction or control of another State, excluding transit operations;
2. that transit operations referred to in paragraph 1 above shall mean the physical movements in which scheduled chemicals pass through the territory of a State on the way to their intended State of destination. Transit operations include changes in the means of transport, including temporary storage only for that purpose;
3. that, for the purposes of declaring imports under paragraphs 1, 8(b) and 8(c) of Part VII and paragraph 1 of Part VIII of the Verification Annex, the declaring State Party shall specify the State from which the scheduled chemicals were dispatched, excluding the States through which the scheduled chemicals transited and regardless of the State in which the scheduled chemicals were produced;
4. that, for the purposes of declaring exports under paragraphs 1, 8(b) and 8(c) of Part VII and paragraph 1 of Part VIII of the Verification Annex, the declaring State Party shall specify the intended State of destination, excluding the States through which the scheduled chemicals transited;

5. to recommend that States Parties adopt the necessary measures, in accordance with the relevant provisions of the Convention, to utilise these guidelines as soon as practicable; and further
6. to request the Secretariat to report in three years on the progress achieved through the implementation of this decision for consideration by the Executive Council.

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**OPCW****Scientific Advisory Board**

Fourteenth Session
9 – 11 November 2009

SAB-14/1
11 November 2009
Original: ENGLISH

**REPORT OF THE FOURTEENTH SESSION OF THE
SCIENTIFIC ADVISORY BOARD**

- 9.5 The SAB proposed the following modified definition of what constitutes ricin, which excludes materials with a second linkage between the A and B chains in addition to a disulfide bond:

“All forms of ricin originating from *Ricinus communis*, including any variations in the structure of the molecule arising from natural processes, or man-made modification designed to maintain or enhance toxicity, are to be considered ricin as long as they conform to the basic ‘native’ bipartite molecular structure of ricin that is required for mammalian toxicity, i.e. A and B chains linked only by a disulfide bond (A-S-S-B). Once the inter-chain S-S bond is broken or the protein denatured, it is no longer ricin.”

**OPCW****Conference of the States Parties**

Fourteenth Session
30 November – 4 December 2009

C-14/DEC.4
2 December 2009
Original: ENGLISH

DECISION

GUIDELINES REGARDING LOW-CONCENTRATION LIMITS FOR DECLARATIONS OF SCHEDULE 2A AND 2A* CHEMICALS

The Conference of the States Parties,

Recalling that paragraph 5 of Part VII of the Verification Annex to the Chemical Weapons Convention (hereinafter “the Verification Annex”) states that declarations are required for mixtures containing low concentrations of Schedule 2 chemicals, in accordance with guidelines, in cases where the ease of recovery from the mixture of a Schedule 2 chemical and its total weight are deemed to pose a risk to the object and purpose of the Chemical Weapons Convention (hereinafter “the Convention”);

Taking into account the enhancement of the transparency that will result from the provision of such information in relation to the implementation of the Convention;

Recognising that these guidelines would enable the uniform implementation of the Convention with regard to declarations and inspections of facilities;

Stressing the desirability of adopting a common approach with respect to low concentration guidelines, consistent with the non-discriminatory and effective implementation of the Convention;

Recalling that declarations of plant sites in accordance with paragraph 5 of Part VII and paragraph 5 of Part VIII of the Verification Annex are triggered by the amount of a Schedule 2 or Schedule 3 chemical contained in a mixture, as well as its concentration (C-IV/DEC.16, dated 1 July 1999);

Recalling the decision of the Conference of the States Parties on guidelines regarding low-concentration limits for declarations of Schedule 2B and 3 chemicals (C-V/DEC.19, dated 19 May 2000) and bearing in mind the risks to the object and purpose of the Convention represented by Schedule 2A and 2A* chemicals;

Having considered the Note by the Director General on the report of the Fourth Session of the Scientific Advisory Board (SAB) (EC-XXIV/DG.2, dated 9 March 2001), as well as the technical considerations of the SAB on the relevant aspects of the applicable concentration limits for mixtures of chemicals containing Schedule 2A and 2A* chemicals (SAB-IV/1, dated 6 February 2001);

Taking into account the understanding of the concept of “captive use” in connection with the declarations of production and consumption under Parts VII and VIII of the Verification Annex (C-9/DEC.6, dated 30 November 2004);

Recalling that the Second Special Session of the Conference of the States Parties to Review the Operation of the Chemical Weapons Convention “noted with concern that the issue of low concentrations in relation to Schedule 2A and 2A* chemicals has not yet been resolved”, and urged the Executive Council (hereinafter “the Council”) “to resume work promptly, with the support of the Secretariat, towards the earliest resolution of the issue” (paragraph 9.63 of RC-2/4, dated 18 April 2008); and

Cognisant of the economic and administrative implications of the implementation of such guidelines for States Parties;

Hereby decides that:

1. Declarations are not required under Part VII of the Verification Annex for:
 - (a) mixtures of chemicals containing one percent (1%) or less of a Schedule 2A or 2A* chemical;
 - (b) mixtures of chemicals containing more than 1% but less than or equal to 10% of a Schedule 2A or 2A* chemical, provided that the annual amount produced, processed, or consumed is less than the relevant verification thresholds specified in paragraph 12 of Part VII of the Verification Annex;
2. States Parties, in accordance with their constitutional processes, implement these guidelines as soon as practicable;
3. The Technical Secretariat report in detail annually to the Council in the Verification Implementation Report on the progress that States Parties have made in implementing this decision, beginning not later than 1 January 2012; and
4. The Third Special Session of the Conference of the States Parties to Review the Operation of the Chemical Weapons Convention review progress in carrying out this decision, with a view to ensuring its effective implementation.

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SECTION C

DECLARATIONS FOR SCHEDULE 1 CHEMICALS AND FACILITIES

(DECLARATIONS DUE UNDER PART VI OF THE VERIFICATION ANNEX)

OPCW

Revised version 2: 1 January 2017

TABLE OF CONTENTS OF SECTION C

1. Declarations under this section.....	208
2. Schedule 1 declaration and notification requirements and their deadlines	208
2.1 Overview	208
2.2 Outline of declaration requirements	209
2.2.1 Primary declaration identification	209
2.2.2 Declaration requirements for the Single Small-Scale Facility (SSSF).....	209
2.2.3 Declaration requirements for Other Schedule 1 facilities	211
2.2.4 Notification and declaration requirements for supply and receipt of Schedule 1 chemicals to and from the State Party.....	212
3. Definitions and explanations in relation to the declaration requirements	213
3.1 Definitions	213
3.2 Specific explanations.....	214
4. Confidentiality Classifications	215
5. Common Problems in Schedule 1 Declarations	216
5.1 Common problems in declaring Schedule 1 facilities.....	216
5.1.1 Amendments to Annual Declarations.....	216
5.1.2 Notification of Changes Affecting the Initial Declarations.....	216
5.2 Common problems in declaring and notifying Schedule 1 transfers	217
5.2.1 Cancellation or delay to the next year of a notified transfer:	217
Annex A: Flowcharts	219
Annex B: Schedule 1 Declaration Forms	229

INDEX OF TABLES OF SECTION C

Table 1: Declarations and notification requirements and their deadlines for submission	208
Table 2: Single small-scale facility.....	210
Table 3: Other Schedule 1 Facilities.....	212
Table 4: Transfers of Schedule 1 Chemicals	213

1. Declarations under this section

This section of the handbook applies to Schedule 1 declarations which refer to activities and facilities related to such chemicals as well as to transfers of Schedule 1 chemicals to or from the State Party.

2. Schedule 1 declaration and notification requirements and their deadlines

2.1 Overview

Table 1 below contains a summary of the obligations of States Parties with regard to Schedule 1 declarations and notifications.

Table 1: Declarations and notification requirements and their deadlines for submission

TYPE	DEADLINES FOR DECLARATION/NOTIFICATION REQUIREMENTS		
	Single Small-Scale Facility	Other Schedule 1 Facility for Protective Purposes	Other Schedule 1 Facilities for Research, Medical or Pharmaceutical Purposes
Declaration and Notification Requirements			
Initial Declaration for Existing Facilities	EIF (SP) + 30 days	EIF (SP) + 30 days	EIF (SP) + 30 days
Initial Declaration for New Facilities	Start of operation - 180 days	Start of operation - 180 days	Start of operation - 180 days
Advance Notification of Planned Change to the Initial Declaration	Change - 180 days	Change - 180 days	Change - 180 days
Annual Declaration of Schedule 1 activities and facilities during the Previous Year	Year End + 90 days	Year End + 90 days	Year End + 90 days
Annual Declaration of Projected Activities and the Anticipated Production of declared Schedule 1 Facilities	Start of Year - 90 days	Start of Year - 90 days	Start of Year - 90 days
Notification of Transfers of Schedule 1 Chemicals to/from the State Party	Receipt/Supply - 30 days*		
Annual Declaration of Schedule 1 transfers to/from the State Party during the Previous Calendar Year	Year End + 90 days		

* With the exception of transfers of 5 mg or less of saxitoxin for medical/diagnostic purposes. In such cases the notification shall be made by the time of transfer.

Abbreviations:

EIF (SP) + 30 days: Within 30 days after the CWC enters into force for the State Party.
 Year End + 90 days: Not later than 90 days after the end of the previous calendar year.
 Start of Year - 90 days: Not later than 90 days before the beginning of the following calendar year.
 Start of operation - 180 days: Not later than 180 days before operations begin.
 Change - 180 days: Not later than 180 days before the changes take place.
 Receipt/Supply - 30 days: Not less than 30 days before any transfer to or from the State Party will take place.

2.2 Outline of declaration requirements

2.2.1 Primary declaration identification

Each State Party is requested to use Forms C-1, C-2, C-3, C-4, CN-1 and CN-2 to identify specific types of Schedule 1 related declarations and notifications. Three types of Schedule 1 facilities can be identified on the C-Forms: the Single Small-Scale Facility, the other facility for protective purposes, and other facilities for research, medical and pharmaceutical purposes.

The C forms are to be used as follows:

- Form C-1: for initial declarations of existing Schedule 1 facilities (within 30 days after the CWC enters into force for the State Party)
- Form C-2: for initial declarations of new Schedule 1 facilities (not less than 180 days before operations begin at the new facility)
- Form C-3: for annual declarations of Schedule 1 chemicals and activities at Schedule 1 facilities during the previous year and regarding transfers to/from the State Party (not later than 90 days after the end of the previous calendar year)
- Form C-4: for annual declarations of projected activities and anticipated production (not later than 90 days before the beginning of the following calendar year)
- Form CN-1: for primary notification of Schedule 1 chemicals and facilities: advance notifications of planned changes related to the initial declaration (not less than 180 days before the changes are to take place)
- Form CN-2: for detailed notification of a planned transfer of a Schedule 1 chemical to or from the notifying State Party (not less than 30 days before a transfer to or from the State Party)

In any of the above-mentioned instances, the appropriate C form (Form C-1, C-2 or C-3, C-4, CN-1 or CN-2) should precede all declaration forms submitted under this section and should be numbered page one.

2.2.2 Declaration requirements for the Single Small-Scale Facility (SSSF)

(a) Initial declaration

- (i) Each State Party that operates a SSSF or plans to operate one in the future is required to make an initial declaration to the Technical Secretariat for an existing SSSF or a new SSSF. The deadlines for submission of the initial declaration are:
 - For an existing SSSF not later than 30 days after the CWC enters into force for the State Party; and
 - For a new SSSF not less than 180 days before operations are to begin.
- (ii) For an existing SSSF, **Form C-1** and **Attachment I** to the C forms, and for a new SSSF, **Form C-2** and **Attachment I** to the C forms, are to be used for the initial declaration.

(b) Annual declaration regarding the activities of the SSSF for the previous year

- (i) This declaration shall be submitted to the Technical Secretariat not later than 90 days after the end of the year covered by the declaration.
- (ii) For this declaration **Form C-3**, and if any change is to be declared, **Attachment I** to the C forms, as well as **Forms 1.1, 1.1.1 and 1.1.2** should be used.

- (c) Annual declarations regarding projected activities and anticipated production for the coming year
- (i) The declaration shall be submitted to the Technical Secretariat not less than 90 days before the beginning of the year covered by the declaration.
 - (ii) For this declaration **Form C-4** and, if any change is to be declared, **Attachment I** to the C forms, as well as **Form 1.3** should be used.
- (d) Advance notification of planned changes related to the initial declaration
- (i) Any planned changes related to the initial declaration shall be submitted to the Technical Secretariat not less than 180 days before the changes are to take place.
 - (ii) Form **CN-1** and **Attachment I** to the C forms are to be used for this advance notification.
- (e) List of Schedule 1 Declaration Forms for SSSF

For quick reference, Table 2 below provides an overview of the relevant forms to be used for the Single Small-Scale facility.

Table 2: Single small-scale facility

Declaration Requirements	Applicable Forms	Deadlines for submission
Initial Declaration for Existing Facilities	C-1 and Attachment I to the C forms	EIF (SP) + 30 days
Initial Declaration for New Facilities	C-2 and Attachment I to the C forms	Start of Operation - 180 days
Annual Declaration for the Previous Year	C-3, if necessary, Attachment I to C forms, 1.1, 1.1.1 and 1.1.2	Year End + 90 days
Annual Declaration for Projected Activities and Anticipated Production	C-4, if necessary, Attachment I to the C forms, and 1.3;	Start of Year - 90 days
Advance Notification of Planned Changes to the Initial Declaration	CN-1 and Attachment I to the C forms.	Change - 180 days

Abbreviations:

- EIF (SP) + 30 days: Within 30 days after the CWC enters into force for the State Party.
- Year End + 90 days: Not later than 90 days after the end of the previous calendar year.
- Start of Year - 90 days: Not later than 90 days before the beginning of the following calendar year.
- Start of operation - 180 days: Not later than 180 days before operations begin.
- Change - 180 days: Not later than 180 days before the changes take place.

2.2.3 Declaration requirements for Other Schedule 1 facilities³⁴

(a) Initial declaration

- (i) Each State Party that operates or plans to operate another Schedule 1 facility for protective purposes or other facilities for research, medical, or pharmaceutical purposes is required to make an initial declaration to the Technical Secretariat for existing or new Schedule 1 facility(ies). The deadlines for submission of this initial declaration are:
 - For existing facilities, not later than 30 days after the CWC enters into force for the State Party; and
 - For new facilities, not less than 180 days before operations are to begin.
 - A new facility which anticipates to carry out production of any quantity of Schedule 1 chemicals for protective purposes (more than 0 grams) outside a single small-scale facility shall be approved by the State Party.
 - A laboratory which anticipates to produce by synthesis Schedule 1 chemicals for research, medical or pharmaceutical purposes in aggregate quantity 100 grams or more shall be approved by the State Party.
- (ii) For the initial declaration of existing facilities, **Form C-1** and **Attachment II** to the C forms and for the initial declaration for new facilities, **Form C-2** and **Attachment II** to the C forms, are to be used.

(b) Annual declarations regarding the activities of other Schedule 1 facilities for the previous year

- (i) This declaration shall be submitted to the Technical Secretariat not later than 90 days after the end of the year covered by the declaration.
- (ii) For this declaration **Form C-3**, and if necessary **Attachment II** to the C forms, as well as **Forms 1.1, 1.1.1** and **1.1.3** should be used.

(c) Annual declarations regarding projected activities and anticipated production for the coming year

- (i) The declaration shall be submitted to the Technical Secretariat not less than 90 days before the beginning of the year covered by the declaration.
- (ii) For this declaration **Form C-4**, and if necessary **Attachment II** to the C forms, as well as **Form 1.4** should be used.

(d) Advance notifications of planned changes related to the initial declaration

- (i) Any planned changes related to the initial declaration shall be submitted to the Technical Secretariat not less than 180 days before the changes are to take place.
- (ii) **Form CN-1** and **Attachment II** to the C forms are to be used for this advance notification.

³⁴ Synthesis of Schedule 1 chemicals for research, medical or pharmaceutical purposes but not for protective purposes, may be carried out at laboratories in aggregate quantities less than 100 g per year per facility. These facilities are not subject to any declaration requirement.

(e) List of Schedule 1 Declaration Forms for Other Schedule 1 facilities

For quick reference, Table 3 below provides an overview of the relevant forms to be used for every other Schedule 1 facility.

Table 3: Other Schedule 1 Facilities

Declaration Requirements	Applicable Forms	Deadlines for submission
Initial Declaration for Existing Facilities	C-1 and Attachment II to the C forms.	EIF (SP) + 30 days
Initial Declaration for New Facilities	C-2 and Attachment II to the C forms.	Start of Operation - 180 days
Annual Declaration for the Previous Year	C-3, if necessary, Attachment II to C forms, 1.1, 1.1.1 and 1.1.3	Year End + 90 days
Annual Declaration for Projected Activities and Anticipated Production	C-4, if necessary, Attachment II to the C forms, and 1.4.	Start of Year - 90 days
Advance Notification of Planned Changes to the Initial Declaration	CN-1 and Attachment II to the C forms.	Change - 180 days

Abbreviations:

EIF (SP) + 30 days:	Within 30 days after the CWC enters into force for the State Party.
Year End + 90 days:	Not later than 90 days after the end of the previous calendar year.
Start of Year - 90 days:	Not later than 90 days before the beginning of the following calendar year.
Start of operation - 180 days:	Not later than 180 days before operations begin.
Change - 180 days:	Not later than 180 days before the changes take place.

2.2.4 Notification and declaration requirements for supply and receipt of Schedule 1 chemicals to and from the State Party(a) General Requirements

All transfers of any quantity (and at any concentration) of Schedule 1 chemicals to or from other States Parties should be notified and declared as set out below. No transfers of Schedule 1 chemicals to a States not Party to the Convention are permitted (paragraph 3 of Part VI of the Verification Annex [VA]) and as States Parties shall not acquire Schedule 1 chemicals outside the territories of States Parties (paragraph 1 of Part VI of the VA) receipt of Schedule 1 chemicals from a State not Party is not permitted.

(b) Advance notification of an individual transfer

(i) An advance notification of an individual transfer is required

- ♦ When a State Party intends to supply a Schedule 1 chemical to another State Party, it is required to notify the Technical Secretariat of the transfer not less than 30 days before any transfer takes place; or
- ♦ When a State Party intends to receive a Schedule 1 chemical, it is required to notify the Technical Secretariat of the anticipated receipt not less than 30 days before the transfer takes place.
- ♦ Transfers of 5 mg or less of saxitoxin for medical/diagnostic purposes shall not be subject to the 30 day notification period before any transfer takes place outlined above. In such cases the notification shall be made by the time of transfer (*paragraph 5bis of Part VI of the VA*).

- (ii) **Form CN-2** should be used for the notification of these transfers.
- (c) Annual declarations of transfers during the previous year
- (i) This declaration shall be submitted to the Technical Secretariat not later than 90 days after the end of the year covered by the declaration.
- (ii) For this declaration **Form C-3** as well as **forms 1.2** and **1.2.1** should be used.
- (d) List of Schedule 1 Declaration Forms for Transfers of Schedule 1 Chemicals
- For quick reference, Table 4 below provides an overview of the relevant forms to be used for declarations or notification of individual transfers of Schedule 1 Chemicals.

Table 4: Transfers of Schedule 1 Chemicals

Declarations and Notifications	Applicable Forms	Deadline for submission
Annual Declaration of Individual Transfers of Schedule 1 Chemical during the previous year	C-3, 1.2 and 1.2.1	Year End + 90 days
Advance Notification of Transfers of Schedule 1 Chemicals	CN-2	Receipt/Supply - 30 days*

* With the exception of transfers of 5 mg or less of saxitoxin for medical/diagnostic purposes. In such cases the notification shall be made by the time of transfer.

Abbreviations:

Year End + 90 days: Not later than 90 days after the end of the previous calendar year.

Receipt/Supply - 30 days: Not less than 30 days before any transfer takes place.

3. Definitions and explanations in relation to the declaration requirements**3.1 Definitions**

The following CWC definitions are important when making Schedule 1 declarations:

"Production" of a chemical is defined as its formation through chemical reaction (*paragraph 12 (a) of Article II of the CWC*). For scheduled chemicals "production" should be understood to include the production of a scheduled chemical (i.e. a Schedule 1, Schedule 2 or Schedule 3 chemical) by a biochemical or biologically mediated reaction (*reference C-II/DEC.6, dated 5 December 1997*).

"Consumption" of a chemical is defined as its conversion into another chemical via a chemical reaction. (*Paragraph 12 (c) of Article II of the CWC*).

"Precursor" is defined as any chemical reactant which takes part at any stage in the production by whatever method of a toxic chemical. This includes any key component of a binary or multicomponent chemical system. (*Paragraph 3 of Article II of the CWC*).

"Protective purposes" is defined as purposes directly related to protection against toxic chemicals and to protection against chemical weapons.

A **"Single Small-Scale Facility"** (SSSF) is defined according to paragraphs 8 and 9 of Part VI of the VA.

An **"Other Facility for Protective Purposes"** is defined as a facility, outside of a SSSF, approved by a State Party at which Schedule 1 chemicals may be produced for protective purposes in aggregate quantities not exceeding 10 kg per year (*paragraph 10 of Part VI of the VA*).

"Other Schedule 1 Facilities for Research, Medical or Pharmaceutical Purposes" are defined as facilities, outside of a SSSF, approved by a State Party at which Schedule 1 chemicals may be produced for research, medical or pharmaceutical purposes in aggregate quantities of

more than 100 g but not exceeding 10 kg per year per facility (*paragraph 11 of Part VI of the VA*).

3.2 Specific explanations

(a) Quantity

Quantity means actual quantity of a chemical, i.e. the net weight excluding the weight of any containers or packaging. All quantities should be declared by weight not by volume. Where products contain less than 100 per cent of the chemical, the contained quantity of the chemical in the product shall be declared.

The quantity is to be declared to three figures (*reference [EC-XIX/DEC.5](#), dated 7 April 2000*):

- (i) quantities with more than three figures are to be rounded to three
- (ii) quantities having fewer than three figures are to be extended to three by the addition of zeros; and
- (iii) zeros in front of the first non-zero digit are not counted.

Please note that the rounding rules set out in [EC-XIX/DEC.5](#) do not apply to the notification and declaration of transfers of Schedule 1 chemicals.

(b) "Facility codes"

Names of Schedule 1 facilities are to be declared as used by a declaring State Party. The declaring State Party is recommended to assign a unique **facility code** for each of those facilities for identification purposes for subsequent declarations. In the initial declaration and whenever a facility is declared for the first time, facility name, operator, address, location and code have to be provided. In any subsequent declaration, the assigned codes alone can be used to identify the facility, without the other information, unless any of the information has to be updated. These codes have to be used in a consistent manner in subsequent declarations.

(c) Scope of the term "**Production**" in the context of Schedule 1 facilities covered under Article VI

It is understood that:

- (i) the expression "acquisition" of Schedule 1 chemicals, as referred to in paragraphs 1 and 2 of Part VI of the Verification Annex, includes their extraction from natural sources (*reference [C-I/DEC.43](#), dated 16 May 1997*);
- (ii) for Schedule 1 chemicals that are normally not produced in the terms of the Convention but are isolated by processing (e.g. toxins), extraction and isolation of Schedule 1 chemicals above the declaration threshold shall be undertaken only in declared Schedule 1 facilities (*reference [C-I/DEC. 43](#), dated 16 May 1997*); and
- (iii) any facility that produces Schedule 1 chemicals above the declaration threshold (an aggregate of 100 g per year for research, medical or pharmaceutical purposes or any amount for protective purposes) through chemical synthesis or extraction/isolation will have to be declared and verified under Part VI of the Verification Annex (*reference [C-I/DEC.43](#), dated 16 May 1997*).
- (iv) Production of a Schedule 1 chemical is also understood, for declaration purposes, to include intermediates, by-products, or waste products that are produced and consumed within a defined chemical manufacturing sequence, where such intermediates, by-products, or waste products are chemically stable and therefore exist for a sufficient time to make isolation from the manufacturing stream possible, but where, under normal or design operating conditions, isolation does not occur. (*reference [C-10/DEC.12](#), dated 10 November 2005*)

(d) **Groups (families) of alkylated chemicals and their coverage under the Schedules of chemicals** (reference [C-I/DEC.35, dated 16 May 1997](#))

The terms 'alkyl', 'cycloalkyl', 'alkylated' or 'Me' (methyl), 'Et' (ethyl), 'n-Pr' (n-propyl) or 'i-Pr' (iso-propyl) are to be understood literally, i.e. as not including any substituted alkyl, methyl, ethyl, etc.

(e) **Reporting of Ricin Production** (reference [C-V/DEC.17, dated 18 May 2000](#))

Castor oil processing plants are not subject to the Convention's reporting procedures for Schedule 1 chemicals, as the ricin is destroyed and not isolated.

(f) **Recommendation on definition of what constitutes Ricin for verification purposes.**

Ricin as a naturally occurring protein is not a homogeneous chemical entity, hence the Scientific Advisory Board has proposed the following definition of what constitutes Ricin for declaration and verification purposes:

"All forms of ricin originating from Ricinus communis, including any variations in the structure of the molecule arising from natural processes, or man-made modification designed to maintain or enhance toxicity, are to be considered ricin as long as they conform to the basic 'native' bipartite molecular structure of ricin that is required for mammalian toxicity, i.e. A and B chains linked only by a disulfide bond (A-S-S-B). Once the inter-chain S-S bond is broken or the protein denatured, it is no longer ricin."

(reference paragraph 9.5 of SAB-14/1, dated 11 November 2009)

States Parties are recommended to apply this definition when considering the declaration of any form of ricin. In particular the separate A and B chains where the disulfide bond has been broken should not be declared as Schedule 1 chemicals.

(g) **Declaration of salts of Schedule 1 Chemicals not explicitly mentioned in the Annex on Chemicals** (reference paragraph 4.4 of EC-67/3, dated 27 March 2012, and EC-67/WP.1, dated 8 February 2012)

Salts of Schedule 1 chemicals not explicitly referred to in the Annex on Chemicals³⁵ are not currently³⁶ considered to be Schedule 1 chemicals and hence are not subject to the Schedule 1 notification and declaration requirements.

4. Confidentiality Classifications

The classification of a field on a declaration form should be provided in the column entitled "Confidentiality mark". The OPCW's recognised classification system is as follows: R – OPCW Restricted, P – OPCW Protected, H – OPCW Highly protected. In addition U is normally used to include information which is not considered confidential (Unclassified)

If no classification is provided for a particular field of a declaration form it will be considered that the data is unclassified unless indicated otherwise in a covering letter or in the header or footer of the individual form.

For further guidance see the Confidentiality Supplement (Section M) to the Declarations Handbook.

³⁵ Entries 1A03 and 1B10 in Schedule 1 in the Annex on Chemicals specifically refer to salts of the parent compounds – such salts are therefore considered to be part of the entry and are treated as Schedule 1 chemicals.

³⁶ The Executive Council may consider the issue of salts on a case-by-case basis in the event that new information becomes available that merits further review (reference paragraph 4.4 of EC-67/3, dated 27 March 2012).

5. Common Problems in Schedule 1 Declarations

5.1 Common problems in declaring Schedule 1 facilities

5.1.1 Amendments to Annual Declarations

Annual declarations regarding projected activities and anticipated production are by their nature estimates of what activities a Schedule 1 facility anticipates will occur in the following year. It is, however, difficult to accurately predict which Schedule 1 chemicals will be needed to be produced during the year and in what quantities.

In contrast to the requirements for Schedule 2 and 3 plant sites, the Convention does not contain any specific provision requiring the declaration of any additional Schedule 1 activities that are planned after the submission of the annual anticipated declaration. Some States Parties do make amendments to their anticipated declarations to reflect any additionally planned activities during the year but many do not. If no such amendments are made, during inspections this can lead to the identification of the production of additional Schedule 1 chemicals which were not included in the annual anticipated declaration and for which the relevant annual past declaration is not yet available. Such cases are recorded in the inspection report as “undeclared Schedule 1 chemicals” and the State Party is requested to declare the chemical(s), either via an amendment or the relevant annual past declaration. To avoid such cases States Parties are strongly recommended to amend their anticipated declarations as soon as possible after any additional activities are planned.

5.1.2 Notification of Changes Affecting the Initial Declarations

In accordance with paragraphs 14 (for SSSFs) and 18 (for other Schedule 1 facilities) of Part VI of the VA any changes that affect the initial declaration should be notified to the Secretariat 180 days before the changes are due to take place. In some cases such changes are made to the facility or, for SSSFs, its inventory of equipment without any such notification or the notification is made much less than 180 days before the change is due to take place. There may be cases where it is not practical to predict 180 days ahead the need to replace a piece of laboratory equipment, due to breakage or breakdown for example, or to wait a full 180 days to replace such equipment, but it is recommended that the following types of changes are notified at least a full 180 days in advance:

- The intent to close a facility or cease declarable activities at a facility which the State Party wishes to be no longer considered a Schedule 1 facility (all declaration and verification provisions of Part VI of the VA will still apply until 180 days after this notification has been received)
- Change of the operator of the facility
- Removal or addition of an area, building or room from the perimeter of the declared facility (access to any removed elements will still need to be granted for 180 days after such a notification has been received)
- Structural work (e.g. erection or removal of walls, addition or removal of fixed fume hoods) which will alter any diagrams/floor plans provided in the initial declaration.
- Addition of major items of equipment to the inventory, in particular any reaction vessels over 5 litres in volume. Replacement on a like-for-like basis due to breakage or breakdown or removal of such items do not need to be notified 180 days in advance but should be noted in the relevant annual declaration.
- Upgrade of the air handling or waste treatment facilities at the facility

Please note some such changes may also affect the facility agreement in place for the declared facility.

5.2 Common problems in declaring and notifying Schedule 1 transfers**5.2.1 Cancellation or delay to the next year of a notified transfer:**

In a number of cases after notification of the transfer to the Secretariat the transfer is either cancelled entirely or delayed until the next year, however, the Secretariat is not informed of this change. Therefore when the transfer is not declared in the annual declaration of past activities the Secretariat needs to seek clarification as to whether or not the transfer took place. In such cases it is recommended that both States Parties involved in the transfer inform the Secretariat, either within the relevant annual past declaration or in a separate letter, that the transfer did not take place during the year and if the transfer is delayed rather than cancelled provide a new date on which the transfer will take place.

ANNEX A OF SECTION C

SCHEDULE 1 CHEMICALS AND FACILITIES

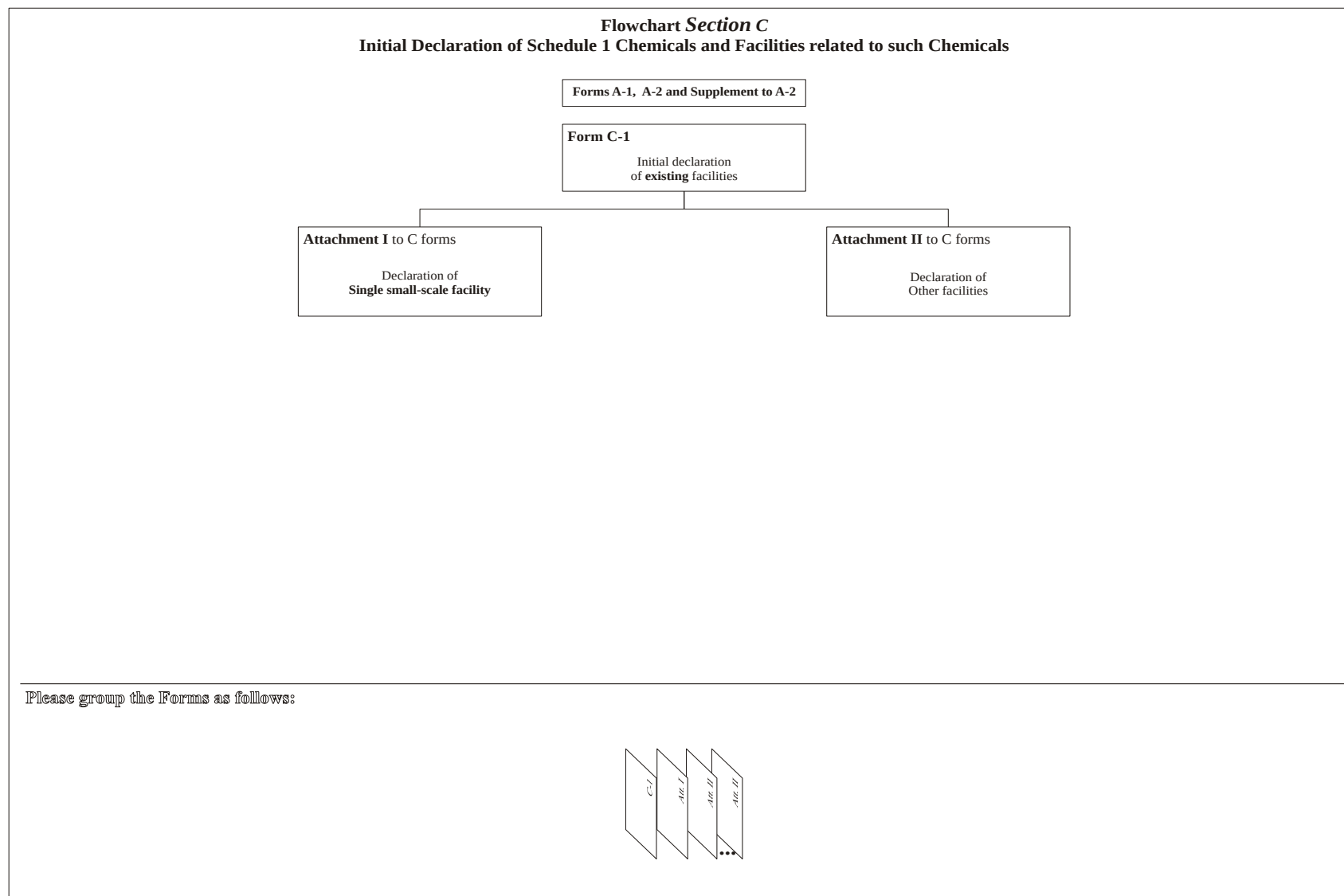
FLOWCHARTS

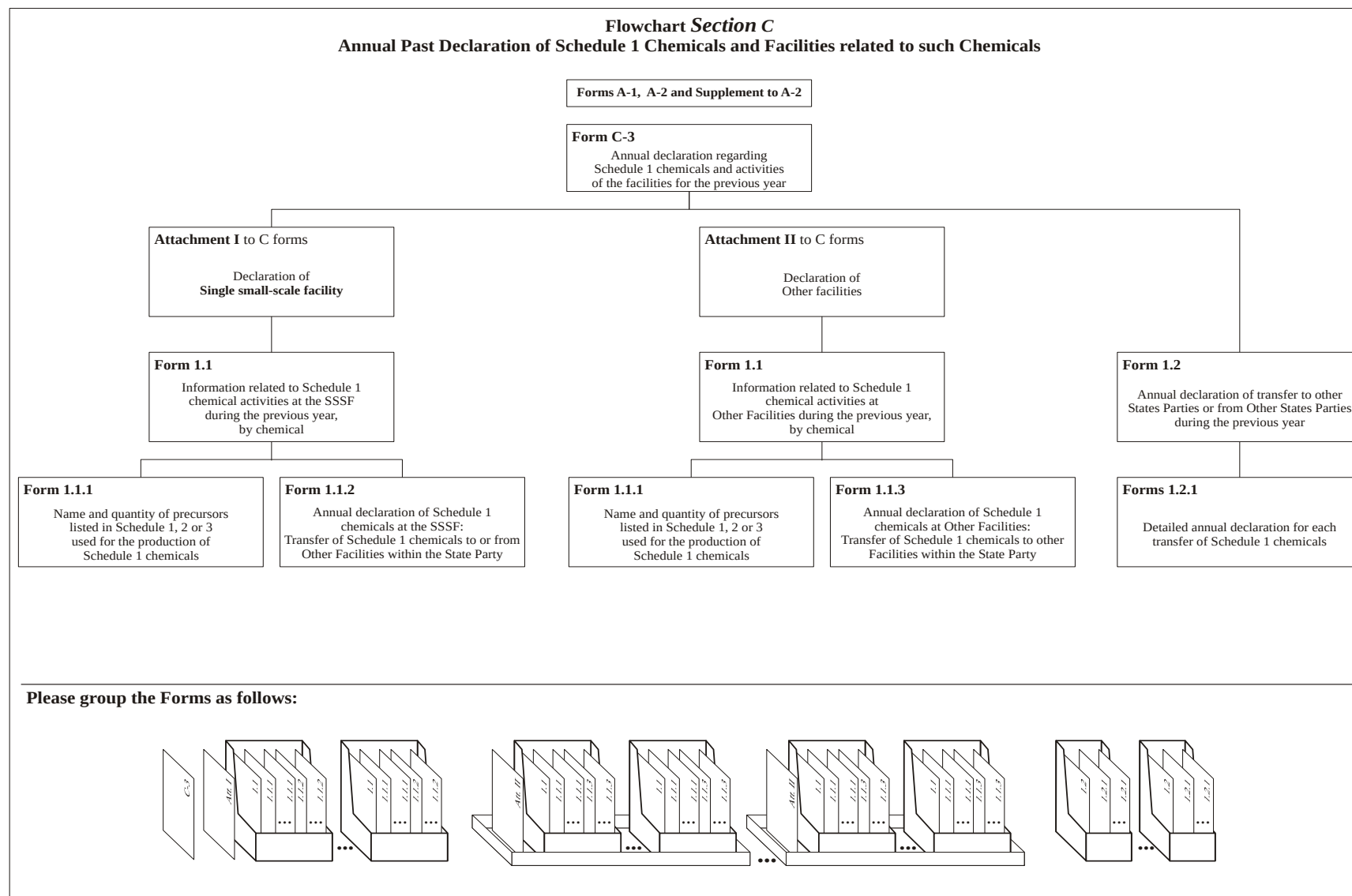
OPCW

Revised version 2: 1 January 2017

TABLE OF CONTENTS OF ANNEX A OF SECTION C**Flowcharts**

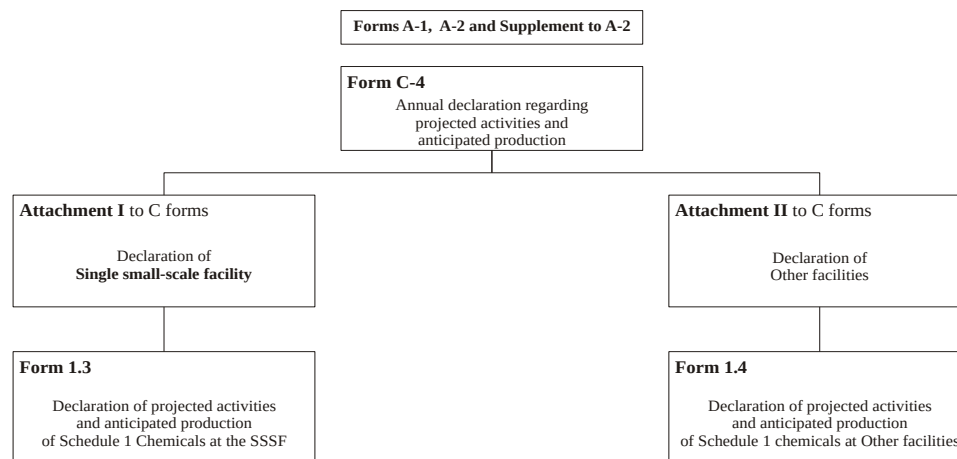
- Initial Declaration of Schedule 1 Chemicals and Facilities related to such chemicals 222
- Annual Past Declaration of Schedule 1 Chemicals and Facilities related to such
Chemicals 223
- Annual Anticipated Declaration of Schedule 1 Chemicals and Facilities related to such
Chemicals 224
- Initial Declaration for New Schedule 1 Chemical Facilities 225
- Notification of Planned Changes of Schedule 1 Facilities 226
- Notification of a Planned Transfer of a Schedule 1 Chemical 227

**Initial Declaration of Schedule 1 Chemicals and Facilities related to such chemicals**

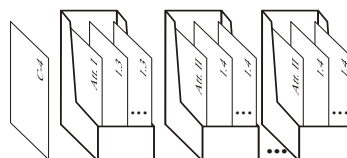


Annual Past Declaration of Schedule 1 Chemicals and Facilities related to such Chemicals

Flowchart *Section C*
Annual Anticipated Declaration of Schedule 1 Chemicals and Facilities related to such Chemicals

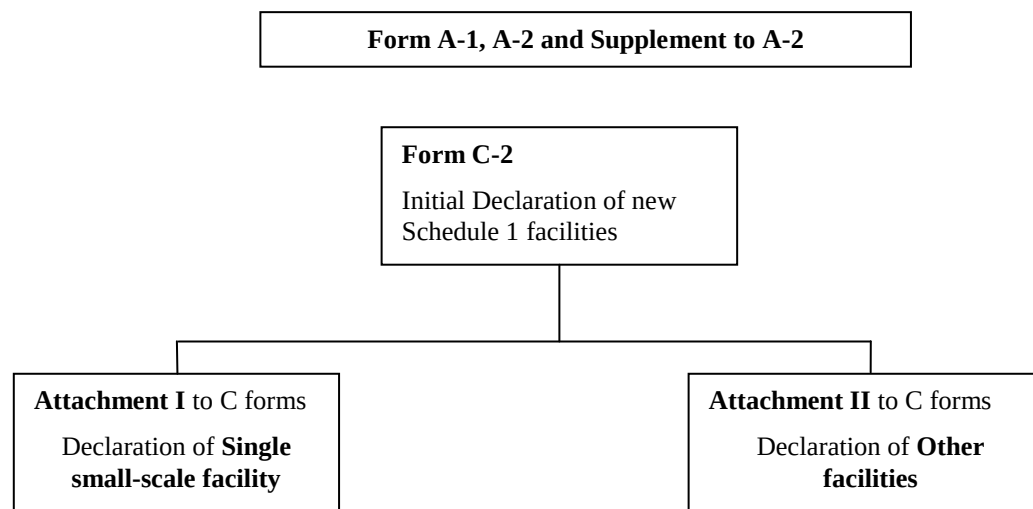


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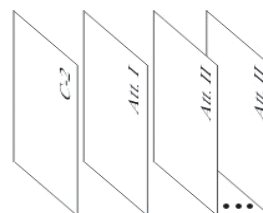


Annual Anticipated Declaration of Schedule 1 Chemicals and Facilities related to such Chemicals

Flowchart Section C
Initial Declaration for New Schedule 1 Chemical Facilities



Please group the Forms as follows:



Initial Declaration for New Schedule 1 Chemical Facilities

Flowchart *Section C*
Notification of Planned Changes of Schedule 1 Facilities

Forms A-1, A-2 and Supplement to A-2

Form CN-1

Advance notification of planned
changes to the initial declaration
of declared facilities

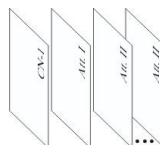
Attachment I to C forms

Declaration of
Single small-scale facility

Attachment II to C forms

Declaration of
Other facilities

Please group the Forms as follows:



Notification of Planned Changes of Schedule 1 Facilities

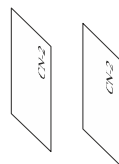
Flowchart *Section C*
Notification of a Planned Transfer of a Schedule 1 Chemical

Forms A-1, A-2 and Supplement to A-2

Form CN-2

Detailed notification of a planned transfer of a Schedule 1 chemical to or from the notifying state party

Please group the Forms as follows:



Notification of a Planned Transfer of a Schedule 1 Chemical

ANNEX B OF SECTION C
SCHEDULE 1 DECLARATION FORMS

OPCW

Revised version 2: 1 January 2017

TABLE OF CONTENTS OF ANNEX B OF SECTION C

SCHEDULE 1 DECLARATIONS

Primary Declaration Identification for Schedule 1 Chemicals and Facilities (Part VI)

Form C-1	Initial Declaration of existing Schedule 1 facilities	233
Form C-2	Initial Declaration of new Schedule 1 facilities.....	234
Form C-3	Annual declaration of Schedule 1 chemicals and activities at Schedule 1 facilities during the previous year	235
Form C-4	Annual Declaration of projected activities and anticipated production	236
Attachments to C Forms		
Attachment I to C	Forms Declaration of the Single Small-Scale Facility	237
Attachment II to C	Forms Declaration of other Schedule 1 facilities	240

Notification of Planned Changes to Schedule 1 Facilities

Form CN-1	Primary Notification of Schedule 1 Chemicals and Facilities: Advance Notification of Planned Changes to the Initial Declaration of Declared Facilities	243
------------------	--	-----

Schedule 1 Facilities Annual Declaration Forms

Form 1.1	Annual Declaration of Schedule 1 Chemicals at the SSSF as well as at Other Schedule 1 Facilities during the Previous Year.....	244
Form 1.1.1	Annual Declaration of Schedule 1 Chemicals at the SSSF and Other Schedule 1 Facilities: Name and Quantity of Precursors Listed in Schedule 1, 2 or 3 Used for the Production of Schedule 1 Chemicals	248
Form 1.1.2	Annual Declaration of Schedule 1 Chemicals at the SSSF: Transfer of Schedule 1 Chemical to or from Other Facilities within the State Party.....	250
Form 1.1.3	Annual Declaration of Other Schedule 1 Facilities: Supply of Schedule 1 Chemical to Other Facilities within the State Party	253
Form 1.3	Declaration of Projected Activities and Anticipated Production of Schedule 1 Chemicals at the SSSF	256
Form 1.4	Declaration of Projected Activities and Anticipated Production of Schedule 1 Chemicals at Other Schedule 1 Facilities	259

Notification and Declaration of Transfers of Schedule 1 chemicals to or from the State Party

Form CN-2	Detailed Notification of a Planned Transfer of a Schedule 1 Chemical to or from the Notifying State Party	263
Form 1.2	Detailed Annual Declaration of Transfers to or from the Declaring State Party During the Previous Year.....	266
Form 1.2.1	Detailed Annual Declaration of Each Transfer of Schedule 1 Chemicals	268

Guidance on completing form headers and confidentiality marks in all forms

The following guidance applies to all forms contained in this annex and is not repeated in the guidance on individual forms.

Headers**Country Code**

Identify the State Party making the declaration by entering the appropriate three letter country code from Appendix 1.

Section

For all declarations of Schedule 1 chemicals and facilities the letter “C” should be filled in. In the 2008 and later versions of the forms this has already been entered into the template.

Page n of n pages

Each page should be numbered and the number of pages in the declaration entered, e.g. page 8 of 50. Please note that for ease of reference, the entire declaration being submitted should be numbered consecutively, rather than restarting the page numbering for each facility or section of the declaration.

Date (ccyy-mm-dd)

Enter the date on which the form was completed using the format CCYY-MM-DD, e.g. 2009-02-21 for the 21st of February 2009.

Confidentiality Marks

The classification of a field on a declaration form should be provided in the column entitled “Confid. mark”. The OPCW’s recognised classification system is as follows:

- R – OPCW Restricted,
- P – OPCW Protected,
- H – OPCW Highly Protected.

In addition the letter U is used to denote data which is considered unclassified. One of the single letter codes U, R, P or H should be entered in each field. If the field is left blank it will be considered that the data is unclassified unless indicated otherwise in a covering letter or in the header or footer of the individual form.

For further guidance see the Confidentiality Supplement to the Declarations Handbook (see Section M).



Form C-1
Initial Declaration of existing Schedule 1 facilities

Country Code:
 Section: C
 Page of n pages:
 Date (ccyy-mm-dd):

Confid.
mark

Please indicate to which Schedule 1 facility this declaration relates:

☐

Single small-scale facility (SSSF):

Yes ☐ No ☐

☐

Other facility for protective purposes:

Yes ☐ No ☐

☐

Other facilities for research, medical or pharmaceutical purposes:

Yes ☐ No ☐

*Please complete **Attachment I to the C forms** to declare the SSSF and **Attachment II to the C forms** to declare other Schedule 1 Facilities.*



Form C-2
Initial Declaration of new Schedule 1 facilities

Country Code:
 Section: C
 Page of n pages:
 Date (ccyy-mm-dd):

Confid.
mark

Please indicate to which Schedule 1 facility this declaration relates:

☐

Single small-scale facility (SSSF):

Yes ☐ No ☐

☐

Other facility for protective purposes:

Yes ☐ No ☐

☐

Other facilities for research, medical or pharmaceutical purposes:

Yes ☐ No ☐

*Please complete **Attachment I to the C forms** to declare the SSSF and **Attachment II to the C forms** to declare other Schedule 1 Facilities.*



Form C-3
Annual declaration of Schedule 1
chemicals and activities at Schedule 1
facilities during the previous year

Country Code:
 Section: C
 Page of n pages:
 Date (ccyy-mm-dd):

Confid.
 mark

*Please indicate to which Schedule 1 activity or facilities
 this declaration relates:*

☐

Schedule 1 chemical that has been transferred

Yes ☐ No ☐

☐

Single small-scale facility (SSSF):

Yes ☐ No ☐

☐

Other facility for protective purposes:

Yes ☐ No ☐

☐

Other facilities for research, medical or pharmaceutical
 purposes:

Yes ☐ No ☐

*Please complete **Attachment I to the C forms** to declare
 any changes at the SSSF and **Attachment II to the C**
 forms to declare any changes at other Schedule 1
 Facilities.*



Form C-4
Annual Declaration of projected activities
and anticipated production

Country Code:
 Section: C
 Page of n pages:
 Date (ccyy-mm-dd):

Confid.
mark

Please indicate to which Schedule 1 facilities this declaration relates:

☐

Single small-scale facility (SSSF):

Yes ☐ No ☐

☐

Other facility for protective purposes:

Yes ☐ No ☐

☐

Other facilities for research, medical or pharmaceutical purposes:

Yes ☐ No ☐

*Please complete **Attachment I to the C forms** to declare any anticipated changes at the SSSF and **Attachment II to the C forms** to declare any anticipated changes at other Schedule 1 Facilities.*



Attachment I to C Forms

Declaration of the Single Small-Scale Facility

Country Code:
Section: C
Page of n pages:
Date (ccyy-mm-dd):

Confid.
mark

Single small-scale facility (SSSF) code: _____

☐

Name of the facility: _____

☐

Name of the operator of the facility: _____

☐

Building or structure number, if any: _____

☐

Street address of facility: _____

☐

Latitude, longitude/Precise location: _____

☐

Identify the attachments for additional information on this facility:

Please provide the following, as attachments, for the detailed technical description of the facility and identify the information attached

☐

(i) Narrative _____

☐

(ii) Detailed diagrams _____

☐

(iii) Inventory of the equipment _____

☐

(iv) Volume in litres of largest reactor vessel _____

☐

(v) Total volume in litres of all reactor vessels exceeding a volume of 5 litres _____

Guidance on Attachment I to C Forms (Single Small-Scale Facilities)

Single small-scale facility (SSSF) code

The declaring State Party is requested to assign a unique facility code to the SSSF and use that code for identification purposes for subsequent declarations. In the initial declaration and whenever a facility is declared for the first time, facility name, operator, address, location and code have to be provided. In any subsequent declaration, the assigned code alone can be used to identify the facility, without the other information, unless any of the information has to be updated. These codes have to be used in a consistent manner in subsequent declarations.

Name of the facility

Enter the name of the facility. In general this should be the name by which the facility is commonly referred to in official documentation which can be made available during an initial inspection and should be the same as in any draft facility agreement.

Name of the operator of the facility

Enter the name of the entity operating the facility. Where the facility is run by the State, the name of the government department, ministry or agency in charge of operating the facility should be given. If the facility is run by a commercial company the name of the company should be given. The name of an individual who manages or works in the facility should not be given.

Building or structure number, if any

Enter a specific structure or building number that will allow the location of the facility to be identified on a facility diagram.

Street address of facility

Enter the street address of the facility. The address entered should be that of the physical location of the facility.

Latitude, longitude/Precise location

Use this field to provide more details on the precise location of the facility; this is particularly important in cases where the precise location of the facility cannot be determined from the address alone, such as where there is no defined address for the facility. This information can take the form of geographical coordinates (obtained for example from a global positioning system (GPS) or map) or a description of the location of the facility, such as “xx km along the main road from town A to town B”.

Identify the attachments for additional information on this facility

(i) Narrative

A narrative description of the facility should be provided as a separate attachment – please enter a reference to that attachment here. It is recommended that this narrative description include at least the following information:

- A brief description of the entity operating the facility.
- A brief general description of the main activities of the facility and the purpose of those activities.
- If, as is generally the case, the facility is part of a larger site, a brief description of the larger site and its activities in general terms.
- A clear description of the elements (area, buildings, rooms) making up the declared facility and the purpose of each element

(ii) Detailed diagrams

Detailed diagrams of the facility should be provided as a separate attachment – please enter a reference to that attachment here. It is recommended that these should include diagrams/floor plans clearly indicating the elements (areas, buildings, rooms) which are considered within the declared facility and showing the layout of each of these elements. The purpose of each area or room and the location of major fixed equipment such as fixed reactors, fume hoods, air and waste handling equipment should also be marked. If the facility is part of a larger site a scale map showing the location of the facility relative to the rest of the site should also be provided.

(iii) Inventory of equipment

An inventory of equipment which is used or stored at the facility should be provided as a separate attachment – please enter a reference to that attachment here. It is recommended that such an inventory should focus on major items of equipment, in particular any reaction vessel over 5 litres in volume, rather than attempting to list every piece of standard laboratory equipment that may be present in the facility. The information provided should be detailed enough to allow the clear identification of the item during a physical inspection.

(iv) Volume in litres of largest reactor vessel

Please indicate the volume (in litres) of the largest reactor vessel at the facility. Please note that in accordance with paragraph 9 of Part VI of the VA, no reactor with a volume greater than at the 100 litres is allowed at the facility.

(v) Total volume in litres of all reactor vessels exceeding a volume of 5 litres

Please indicate the total aggregate volume of all reactor vessels at the facility which have a volume greater than 5 litres. Please note that in accordance with paragraph 9 of Part VI of the VA, this aggregate volume cannot be greater than 500 litres.



Attachment II to C Forms

Declaration of other Schedule 1 facilities

Country Code:
 Section: C
 Page of n pages:
 Date (ccyy-mm-dd):

Confid.
mark

Please complete one form for each facility to be declared.

Other facility for protective purposes: Yes ☐ No ☐

Other facilities for research, medical or pharmaceutical purposes: Yes ☐ No ☐

Facility code:

Name of the facility: _____

Name of the operator of the facility: _____

Building or structure number, if any: _____

Street address of facility: _____

Latitude, longitude/Precise location: _____

Identify the attachments for additional information on this facility:

Please provide the following, as attachments, for the detailed technical description of the facility or its relevant parts and identify the information attached

(i) Narrative _____

(ii) Detailed diagrams _____

(iii) Inventory of the equipment _____

Guidance on Attachment II to C Forms (Other Schedule 1 Facilities)

Please complete an Attachment II to C Forms for each other Schedule 1 facility to be declared.

Facility code

The declaring State Party is requested to assign a unique facility code to each Schedule 1 facility and use that code for identification purposes for subsequent declarations. In the initial declaration and whenever a facility is declared for the first time, facility name, operator, address, location and code have to be provided. In any subsequent declaration, the assigned codes alone can be used to identify the facility, without the other information, unless any of the information has to be updated. These codes have to be used in a consistent manner in subsequent declarations.

Name of the facility

Enter the name of the facility. In general this should be the name by which the facility is commonly referred to in official documentation which can be made available during an initial inspection and should be the same as in any draft facility agreement.

Name of the operator of the facility

Enter the name of the entity operating the facility. Where the facility is run by the State, the name of the government department, ministry or agency in charge of operating the facility should be given. If the facility is run by a commercial company the name of the company should be given. The name of an individual who manages or works in the facility should not be given.

Building or structure number, if any

Enter a specific structure or building number that will allow the location of the facility to be identified on a facility diagram.

Street address of facility

Enter the street address of the facility. The address entered should be that of the physical location of the facility.

Latitude, longitude/Precise location

Use this field to provide more details on the precise location of the facility; this is particularly important in cases where the precise location of the facility cannot be determined from the address alone, such as where there is no defined address for the facility. This information can take the form of geographical coordinates (obtained for example from a global positioning system (GPS) or map) or a description of the location of the facility, such as “xx km along the main road from town A to town B”.

Identify the attachments for additional information on this facility

(i) Narrative

A narrative description of the facility should be provided as a separate attachment – please enter a reference to that attachment here. It is recommended that this narrative description include the following information:

- A brief description of the entity operating the facility.
- A brief general description of the main activities of the facility and the purpose of those activities.
- If, as is generally the case, the facility is part of a larger site, a brief description of the larger site and its activities in general terms.

- A clear description of the elements (area, buildings, rooms) making up the declared facility and the purpose of each element

(ii) Detailed diagrams

Although not required by the Convention for other Schedule 1 facilities a State Party may wish to provide detailed diagrams of the facility on a voluntary basis in a separate attachment— please enter a reference to any such attachment here. It is recommended that these should include diagrams/floor plans clearly indicating the elements (areas, buildings, rooms) which are considered within the declared facility and showing the layout of each of these elements. It is recommended that the purpose of each area or room and the location of major fixed equipment such as fixed reactors, fume hoods, air and waste handling equipment should also be marked. If the facility is part of a larger site a scale map showing the location of the facility relative to the rest of the site could also be provided on a voluntary basis.

(iii) Inventory of equipment

Although not required by the Convention for other Schedule 1 facilities a State Party may wish to provide a separate attachment with an inventory of equipment used or stored at the facility on a voluntary basis – please enter a reference to any such attachment here. It is recommended that such an inventory should focus on major items of equipment, in particular any reaction vessel over 5 litres in volume, rather than attempting to list every piece of standard laboratory equipment that may be present in the facility. The information provided should be detailed enough to allow the clear identification of the item during a physical inspection.



Form CN-1
Primary Notification of Schedule 1
Chemicals and Facilities: Advance
Notification of Planned Changes to the
Initial Declaration of Declared Facilities

Country Code:
 Section: C
 Page of n pages:
 Date (ccyy-mm-dd):

Confid.
mark

Please indicate to which Schedule 1 facilities this declaration relates:

☐

Single small-scale facility (SSSF):

Yes ☐ No ☐

☐

Other facility for protective purposes:

Yes ☐ No ☐

☐

Other facilities for research, medical or pharmaceutical purposes:

Yes ☐ No ☐

☐

Date at which the planned changes are due to take place (ccyy-mm-dd).

(If several changes are to be declared enter the date the first change is to take place.)

*Please complete **Attachment I or II to C** forms to indicate the planned changes to the initial declaration.*

☐

Are the planned changes expected to affect the facility agreement in place for the declared facility?

Yes ☐ No ☐

If yes, please provide details of the expected impact on the facility agreement below.

☐



Form 1.1
Annual Declaration of Schedule 1
Chemicals at the SSSF as well as at Other
Schedule 1 Facilities during the Previous
Year

Country Code:
 Section: C
 Page of n pages:
 Date (ccyy-mm-dd):

Confid.
 mark

Please complete one form for each Schedule 1 chemical that was produced, consumed or stored at the SSSF as well as other Schedule 1 facilities.

Facility code:

IUPAC chemical name:

Identify the attachment for structural formula, if not contained in the handbook for chemicals:

CAS registry number:

Total amounts of the Schedule 1 chemical produced, consumed or stored at the facility

Unit of weight:

Kg ☐ g ☐

Quantity Produced:

Production methods employed:

(required only for the SSSF and the "other facility for protective purposes")

Quantity consumed:

Purposes of consumption (use C01 to C06 of Appendix 8 codes or specify):

Total quantity received from other facilities in the State Party (required only for the SSSF):

Total quantity of the Schedule 1 chemical supplied to other facilities in the State Party:

Maximum quantity of the Schedule 1 chemical stored at any time during the previous year:

Quantity of the Schedule 1 chemical stored at the end of the previous year:

Guidance on Form 1.1

A separate Form 1.1 should be submitted for each Schedule 1 chemical that was produced, consumed or stored at the Schedule 1 facility at any time in the previous year. This includes Schedule 1 chemicals which were only produced and consumed as precursors in the production of other Schedule 1 chemicals, including cases where the Schedule 1 chemical was used captively in accordance with decision [C-10/DEC.12](#) on captive use (see section 3.2).

Facility code

Please enter the facility code assigned by the State Party to the facility.

IUPAC chemical name

Scheduled chemicals should be identified by their chemical names. As a scheduled chemical can have many systematic and non-systematic chemical names, the systematic naming system developed by International Union of Pure and Applied Chemistry - the IUPAC chemical name - is preferred. As an alternative the chemical name as listed in the Annex on Chemicals of the CWC can also be provided.

Identify the attachment for structural formula, if not contained in the handbook for chemicals:

If the Schedule 1 chemical has not previously been declared by any State Party and hence is not in the Handbook on Chemicals a structural formula should be provided. If, however, the chemical has been assigned a CAS number and is included in the Scheduled Chemicals database then simply entering the CAS number is sufficient. Any structural formula provided should be included in a separate attachment and a reference to that attachment made in this field. The individual structural formula within this attachment should be clearly labelled to avoid any possible confusion. This can be done for example by allocating a simple reference number to each individual structural formula provided and entering this here and in the attachment.

CAS registry number

The Chemical Abstracts Service (CAS) registry number for the chemical should also be provided if assigned. CAS registry numbers for previously declared chemicals can be found in the Handbook on Chemicals or in the Scheduled Chemicals database.

Total amounts of the Schedule 1 chemical produced, consumed or stored at the facility

Please note all quantities should be declared to three figures in accordance with the rounding rules agreed by the Executive Council ([EC-XIX/DEC.5](#), see Section 3.2).

Unit of weight

Indicate the unit of weight by checking the box for “kg” (kilogram) or “g” (grams) as appropriate. The same unit of weight should be used for all quantities declared on this form.

Quantity Produced

Enter the quantity of the Schedule 1 chemical produced at the facility during the previous year. Production of the vast majority of Schedule 1 chemicals involves the use of other Schedule 1, 2 or 3 chemicals as precursors, details of these precursors should be provided on Form 1.1.1. Note the Schedule 1 chemicals ricin and saxitoxin are normally extracted from natural sources and hence in such cases no scheduled precursors are involved and hence no Form 1.1.1 is required.

Production methods employed

This field only needs to be completed for the SSSF or other facility for protective purposes. An indication of how the chemical was produced should be provided. This can either be a short description of the method used (for example a reaction scheme clearly indicating the precursors used) or a reference to a separate attachment with more details. In addition a reference can be made to a detailed production protocol which can be made available during an inspection.

Quantity consumed

Enter the quantity of the Schedule 1 chemical consumed at the facility during the previous year. Note only Schedule 1 chemical consumed within the declared Schedule 1 facility should be included. Any Schedule 1 chemical removed from the facility and consumed elsewhere should be declared as supplied.

Purposes of consumption

Select one or more of the codes listed below (also listed in Appendix 8) to describe the purpose for which the Schedule 1 chemical was consumed. Alternatively States Parties may choose to provide a short description if these codes do not adequately describe the purposes.

Code	Purposes
C01	Research
C02	Medical
C03	Pharmaceutical
C04	Protective
C05	Waste disposal
C06	Production of other Schedule 1 chemicals

Total quantity received from other facilities in the State Party

This field only needs to be completed for the SSSF. Enter the total quantity received from other facilities (whether declared facilities or not) in the State Party. Details of all such transfers should be declared on Form 1.1.2. Quantities received from outside the State Party should **not** be included here – these should be declared separately on Forms 1.2/1.2.1; but it is helpful to separately include a comment on the form highlighting such international transfers which will affect the material balance.

Total quantity of the Schedule 1 chemical supplied to other facilities in the State Party

Enter the total quantity supplied to other facilities (whether declared facilities or not) in the State Party. Details of all such transfers should be declared on Form 1.1.2. Quantities transferred outside the State Party should **not** be included here – these should be declared separately on Forms 1.2/1.2.1; but it is helpful to separately include a comment on the form highlighting such international transfers which will affect the material balance.

Maximum quantity of the Schedule 1 chemical stored at any time during the previous year

Enter the highest quantity of the Schedule 1 chemical stored at any time during the year.

Quantity of the Schedule 1 chemical stored at the end of the previous year

Enter the quantity of Schedule 1 chemical stored at the end of the year.

Please note that using the figures above plus the quantity stored at the end of the year in the previous annual declaration of past activities it is possible to carry out a simple material balance using the following equation:

$$Q_{ST} = (Q_{OB} + Q_P + Q_R) - (Q_C + Q_{SU})$$

Q_{ST} = Quantity of the Schedule 1 chemical stored at the end of the previous year

Q_{OB} = Quantity of the Schedule 1 chemical stored at the beginning of the previous year (this is the same as the quantity stored at the end of year in the previous annual past declaration)

Q_P = Quantity produced

Q_R = Quantity received

Q_C = Quantity consumed

Q_{SU} = Quantity supplied

This simple calculation should result in a figure which matches the “Quantity of the Schedule 1 chemical stored at the end of the previous year”, though very small differences may be seen due to the application of the rounding rules. This is a useful check that Schedule 1 facility declarers or National Authorities can carry out to highlight any imbalances. If there are any differences which cannot be explained by rounding it is recommended that the State Party provides a comment explaining this imbalance – this may for example be due to international transfers.



Form 1.1.1
Annual Declaration of Schedule 1
Chemicals at the SSSF and Other Schedule
1 Facilities: Name and Quantity of
Precursors Listed in Schedule 1, 2 or 3
Used for the Production of Schedule 1
Chemicals

Country Code:
 Section: C
 Page of n pages:
 Date (ccyy-mm-dd):

Confid.
 mark

Please use this form to declare all precursor scheduled chemicals used for each Schedule 1 chemical produced at the facility.

Facility code:

IUPAC chemical name of the Schedule 1 chemical produced:

CAS registry number of the Schedule 1 chemical produced:

Unit of weight:

Kg ☐ g ☐

Please repeat the following block of information as many times as necessary to declare all scheduled precursor chemicals used for the production of each Schedule 1 chemical at the facility.

IUPAC chemical name for a precursor scheduled material:

CAS registry number for a precursor scheduled material:

Quantity of precursor scheduled chemical used:

IUPAC chemical name for a precursor scheduled material:

CAS registry number for a precursor scheduled material:

Quantity of precursor scheduled chemical used:

IUPAC chemical name for a precursor scheduled material:

CAS registry number for a precursor scheduled material:

Quantity of precursor scheduled chemical used:

IUPAC chemical name for a precursor scheduled material:

CAS registry number for a precursor scheduled material:

Quantity of precursor scheduled chemical used:

Guidance on Form 1.1.1

A separate Form 1.1.1 should be provided for each Schedule 1 chemical produced at the facility during the year, unless no scheduled chemicals were used as precursors (for example, isolation of ricin by extraction).

Facility code

Please enter the facility code assigned by the State Party to the facility.

IUPAC chemical name of the Schedule 1 chemical produced

Enter the name of the Schedule 1 chemical produced. This should be identical to the name declared on the parent Form 1.1 to avoid any possible confusion.

CAS registry number of the Schedule 1 chemical produced

Enter the CAS register number of the Schedule 1 chemical produced, as entered on the parent Form 1.1.

Unit of weight

Indicate the unit of weight by checking the box for “kg” (kilograms) or “g” (grams) as appropriate. The same unit of weight should be used for all quantities declared on this form.

For each Schedule 1, 2 or 3 chemical used for the production of the Schedule 1 chemical please complete the following fields

Please note that only scheduled chemicals used in the previous calendar year should be declared – chemicals used in earlier years to make intermediates (scheduled or otherwise) which were stored and converted to the Schedule 1 chemical in subsequent years should not be included.

IUPAC chemical name for a precursor scheduled material

Enter the IUPAC chemical name for the Schedule 1, 2 or 3 chemical used as a precursor. As an alternative the chemical name as listed in the Annex on Chemicals of the CWC can also be provided. A trade name should not be used here.

CAS registry number for a precursor scheduled material

The Chemical Abstracts Service (CAS) registry number for the precursor should also be provided if assigned. CAS registry numbers for commonly declared chemicals can be found in the Handbook on Chemicals or in the Scheduled Chemicals database.

Quantity of precursor scheduled chemical used

Enter the quantity of the precursor scheduled chemical used in the production of the declared Schedule 1 chemical. Please ensure that the unit of weight has been indicated by checking the relevant box (kg or g) at the top of the form or by entering the unit of weight alongside the figure.



Form 1.1.2
Annual Declaration of Schedule 1
Chemicals at the SSSF: Transfer of
Schedule 1 Chemical to or from Other
Facilities within the State Party

Country Code: _____
 Section: C
 Page of n pages: _____
 Date (ccyy-mm-dd): _____

Confid.
mark

☐
☐
☐

Facility code:

IUPAC chemical name:

CAS registry number:

Unit of weight:

Kg ☐ g ☐

Please repeat the following block of information as many times as necessary to declare all transfers for this Schedule 1 chemical from or to the SSSF within a State Party.

☐
☐
☐
☐
☐

Please specify whether the Schedule 1 chemical was received or supplied by the SSSF:

Received ☐ Supplied ☐

Quantity involved:

Name of other facility involved:

Street address:

Specify purposes of transfer (use C01 to C06 of Appendix 8 codes or specify):

☐
☐
☐
☐
☐

Please specify whether the Schedule 1 chemical was received or supplied by the SSSF:

Received ☐ Supplied ☐

Quantity involved:

Name of other facility involved:

Street address:

Specify purposes of transfer (use C01 to C06 of Appendix 8 codes or specify):

Guidance on Form 1.1.2

A separate Form 1.1.2 should be provided for each Schedule 1 chemical transferred between the SSSF and other facilities (whether declared facilities or not) within the State Party. International transfers to or from other States Parties should **NOT** be declared here – these should be declared separately on Forms 1.2/1.2.1.

Facility code

Please enter the facility code assigned by the State Party to the facility.

IUPAC chemical name

Enter the name of the Schedule 1 chemical transferred. This should be identical to the name declared on the parent Form 1.1 to avoid any possible confusion.

CAS registry number

Enter the CAS register number of the Schedule 1 chemical transferred, as entered on the parent Form 1.1.

Unit of weight

Indicate the unit of weight by checking the box for “kg” (kilograms) or “g” (grams) as appropriate. The same unit of weight should be used for all quantities declared on this form.

For each transfer please complete the following fields

Please note if there are multiple transfers of the same Schedule 1 chemical to/from the same facility during the year, these should be declared individually and should not be aggregated

Please specify whether the Schedule 1 chemical was received or supplied

Check the relevant box to indicate whether the Schedule 1 chemical was received or supplied by the SSSF.

Quantity involved

Indicate the quantity transferred. Please ensure that the unit of weight has been indicated by checking the relevant box (kg or g) at the top of the form or by entering the unit of weight alongside the figure.

Name of other facility involved and street address

Please enter the name and street address of the other facility involved in the relevant field.

Specify purposes of transfer

Select one or more of the codes listed below (also listed in Appendix 8) to describe the purpose for which the Schedule 1 chemical was transferred. Alternatively States Parties may choose to provide a short description if these codes do not adequately describe the purposes.

Code	Purposes
C01	Research
C02	Medical
C03	Pharmaceutical
C04	Protective
C05	Waste disposal
C06	Production of other Schedule 1 chemicals

Please note that if code C06 (Production of other Schedule 1 chemicals) is declared then a comment indicating what these other Schedule 1 chemicals will be used for (e.g. research, protective, etc.) should be provided.



Form 1.1.3
Annual Declaration of Other Schedule 1
Facilities: Supply of Schedule 1 Chemical
to Other Facilities within the State Party

Country Code: _____
 Section: C
 Page of n pages: _____
 Date (ccyy-mm-dd): _____

Confid.
mark

Facility code: _____

☐

IUPAC chemical name: _____

☐

CAS registry number: _____

☐

Unit of weight: _____

Kg ☐ g ☐

Please repeat the following block of information as many times as necessary to declare all transfers of this Schedule 1 chemical to other facilities.

☐

Quantity involved: _____

☐

Name of other facility involved: _____

☐

Street address: _____

☐

Specify purposes of supply (use C01 to C06 of Appendix 8 codes or specify): _____

☐

Quantity involved: _____

☐

Name of other facility involved: _____

☐

Street address: _____

☐

Specify purposes of supply (use C01 to C06 of Appendix 8 codes or specify): _____

☐

Quantity involved: _____

☐

Name of other facility involved: _____

☐

Street address: _____

☐

Specify purposes of supply (use C01 to C06 of Appendix 8 codes or specify): _____

Guidance on Form 1.1.3

A separate Form 1.1.3 should be provided for each Schedule 1 chemical supplied to other facilities (whether declared facilities or not) within the State Party. International transfers to other States Parties should **NOT** be declared here – these should be declared separately on Forms 1.2/1.2.1.

Facility code

Please enter the facility code assigned by the State Party to the facility

IUPAC chemical name

Enter the name of the Schedule 1 chemical supplied. This should be identical to the name declared on the parent Form 1.1 to avoid any possible confusion.

CAS registry number

Enter the CAS register number of the Schedule 1 chemical supplied, as entered on the parent Form 1.1.

Unit of weight

Indicate the unit of weight by checking the box for “kg” (kilograms) or “g” (grams) as appropriate. The same unit of weight should be used for all quantities declared on this form.

For each transfer please complete the following fields

Please note if there are multiple transfers of the same Schedule 1 chemical to the same facility during the year, these should be declared individually and should not be aggregated

Quantity involved

Indicate the quantity transferred. Please ensure that the unit of weight has been indicated by checking the relevant box (kg or g) at the top of the form or by entering the unit of weight alongside the figure.

Name of other facility involved and street address

Please enter the name and street address of the other facility involved in the relevant field.

Specify purposes of transfer

Select one or more of the codes listed below (also listed in Appendix 8) to describe the purpose for which the Schedule 1 chemical was transferred. Alternatively States Parties may choose to provide a short description if these codes do not adequately describe the purposes.

Code	Purposes
C01	Research
C02	Medical
C03	Pharmaceutical
C04	Protective
C05	Waste disposal
C06	Production of other Schedule 1 chemicals

Please note that if code C06 (Production of other Schedule 1 chemicals) is declared then a comment indicating what these other Schedule 1 chemicals will be used for (e.g. research, protective, etc.) should voluntarily be provided.



Form 1.3
Declaration of Projected Activities and
Anticipated Production of Schedule 1
Chemicals at the SSSF

Country Code:
 Section: C
 Page of n pages:
 Date (ccyy-mm-dd):

Confid.
 mark

Please repeat the following information as many times as necessary to declare all Schedule 1 chemicals anticipated to be produced, consumed or stored at the SSSF.

Facility code:

☐

Unit of weight:

Kg ☐ g ☐

☐

IUPAC chemical name:

☐

Identify the attachment for structural formula, if not contained in the Handbook for Chemicals:

☐

CAS registry number:

It is anticipated that this Schedule 1 chemical will be:

Produced:

Yes ☐ No ☐

Consumed:

Yes ☐ No ☐

Stored:

Yes ☐ No ☐

☐

Anticipated production quantity:

☐

Purposes of the anticipated production (use C01 to C06 of Appendix 8 codes or specify):

☐

IUPAC chemical name:

☐

Identify the attachment for structural formula, if not contained in the Handbook for Chemicals:

☐

CAS registry number:

It is anticipated that this Schedule 1 chemical will be:

Produced:

Yes ☐ No ☐

Consumed:

Yes ☐ No ☐

Stored:

Yes ☐ No ☐

☐

Anticipated production quantity:

☐

Purposes of the anticipated production (use C01 to C06 of Appendix 8 codes or specify):

Guidance on Form 1.3

Each Schedule 1 chemical that is anticipated to be produced, consumed or stored at any time at the SSSF during the coming year should be declared on Form 1.3.

Please see section 5.1.1 in relation to amendments covering additionally planned activities.

Facility code

Please enter the facility code assigned by the State Party to the facility

Unit of weight

Indicate the unit of weight by checking the box for “kg” (kilograms) or “g” (grams) as appropriate. The same unit of weight should be used for all quantities declared on this form.

For each Schedule 1 chemical to be declared please complete the following fields:

IUPAC chemical name

Scheduled chemicals should be identified by their chemical names. As a scheduled chemical can have many systematic and non-systematic chemical names, the systematic naming system developed by International Union of Pure and Applied Chemistry - the IUPAC chemical name - is preferred. As an alternative the chemical name as listed in the Annex on Chemicals of the CWC can also be provided.

Identify the attachment for structural formula, if not contained in the handbook for chemicals

If the Schedule 1 chemical has not previously been declared by any State Party and hence is not in the Handbook on Chemicals a structural formula should be provided. If, however, the chemical has been assigned a CAS number and is included in the Scheduled Chemicals database then simply entering the CAS number is sufficient. Any structural formula provided should be included in a separate attachment and a reference to that attachment made in this field. The individual structural formula within this attachment should be clearly labelled to avoid any possible confusion. This can be done for example by allocating a simple reference number to each individual structural formula provided and entering this here and in the attachment.

CAS registry number

The Chemical Abstracts Service (CAS) registry number for the chemical should also be provided if assigned. CAS registry numbers for previously declared chemicals can be found in the Handbook on Chemicals or in the Scheduled Chemicals database.

It is anticipated that this Schedule 1 chemical will be: Produced, Consumed or Stored

Check “Yes” or “No” to indicate whether the chemical will be produced, consumed or stored in the coming year. If it is anticipated that one of these activities will not take place then “No” should be checked rather than leaving it blank. Please note that storage includes temporary storage for even a short period of time so any Schedule 1 chemical which is anticipated to be produced or consumed should also be declared as “Stored” unless the chemical is anticipated to be produced and then consumed in the same process without isolation (captive use) in which case only “Produced” and “Consumed” should be indicated.

Anticipated production quantity

Indicate the quantity of the Schedule 1 chemical which is anticipated to be produced. Please ensure that the unit of weight has been indicated by checking the relevant box (kg or g) at the top of the form or by entering the unit of weight alongside the figure. Please note all quantities should be declared to three figures in accordance with the rounding rules agreed by the Executive Council ([EC-XIX/DEC.5](#), see Section 3.2).

Purposes of anticipated production

Select one or more of the codes listed below (also listed in Appendix 8) to describe the purpose for which the Schedule 1 chemical is anticipated to be produced. Alternatively States Parties may choose to provide a short description if these codes do not adequately describe the purposes.

Code	Purposes
C01	Research
C02	Medical
C03	Pharmaceutical
C04	Protective
C05	Waste disposal
C06	Production of other Schedule 1 chemicals



Form 1.4
Declaration of Projected Activities and
Anticipated Production of Schedule 1
Chemicals at Other Schedule 1 Facilities

Country Code:
 Section: C
 Page of n pages:
 Date (ccyy-mm-dd):

Confid.
 mark

Please repeat the following information as many times as necessary to declare all Schedule 1 chemicals anticipated to be produced at other Schedule 1 facilities.

Facility code:

☐

Unit of Weight

Kg ☐ g ☐

☐

IUPAC chemical name:

☐

Identify the attachment for structural formula, if not contained in the Handbook for Chemicals:

☐

CAS registry number:

☐

Anticipated quantity to be produced:

☐

Anticipated periods of production:

☐

Purposes of the anticipated production (use C01 to C06 of Appendix 8 codes or specify):

☐

IUPAC chemical name:

☐

Identify the attachment for structural formula, if not contained in the Handbook for Chemicals:

☐

CAS registry number:

☐

Anticipated quantity to be produced:

☐

Anticipated periods of production:

☐

Purposes of the anticipated production (use C01 to C06 of Appendix 8 codes or specify):

☐

IUPAC chemical name:

☐

Identify the attachment for structural formula, if not contained in the Handbook for Chemicals:

☐

CAS registry number:

☐

Anticipated quantity to be produced:

☐

Anticipated periods of production:

☐

Purposes of the anticipated production (use C01 to C06 of Appendix 8 codes or specify):

Guidance on Form 1.4

Each Schedule 1 chemical that is anticipated to be produced in the coming year at other Schedule 1 facilities should be declared on Form 1.4. Please note Schedule 1 chemicals which are only anticipated to be stored or consumed at the facility in the coming year should not be declared.

Facility code

Please enter the facility code assigned by the State Party to the facility

Unit of weight

Indicate the unit of weight by checking the box for “kg” (kilograms) or “g” (grams) as appropriate. The same unit of weight should be used for all quantities declared on this form.

For each Schedule 1 chemical to be produced please complete the following fields:

IUPAC chemical name

Scheduled chemicals should be identified by their chemical names. As a scheduled chemical can have many systematic and non-systematic chemical names, the systematic naming system developed by International Union of Pure and Applied Chemistry - the IUPAC chemical name - is preferred. As an alternative the chemical name as listed in the Annex on Chemicals of the CWC can also be provided.

Identify the attachment for structural formula, if not contained in the handbook for chemicals

If the Schedule 1 chemical has not previously been declared by any State Party and hence is not in the Handbook on Chemicals a structural formula should be provided. If, however, the chemical has been assigned a CAS number and is included in the Scheduled Chemicals database then simply entering the CAS number is sufficient. Any structural formula provided should be included in a separate attachment and a reference to that attachment made in this field. The individual structural formula within this attachment should be clearly labelled to avoid any possible confusion. This can be done for example by allocating a simple reference number to each individual structural formula provided and entering this here and in the attachment.

CAS registry number

The Chemical Abstracts Service (CAS) registry number for the chemical should also be provided if assigned. CAS registry numbers for previously declared chemicals can be found in the Handbook on Chemicals or in the Scheduled Chemicals database.

Anticipated quantity to be produced

Indicate the quantity of the Schedule 1 chemical which is anticipated to be produced. Please ensure that the unit of weight has been indicated by checking the relevant box (kg or g) at the top of the form or by entering the unit of weight alongside the figure. Please note all quantities should be declared to three figures in accordance with the rounding rules agreed by the Executive Council ([EC-XIX/DEC.5](#), see Section 3.2).

Anticipated periods of production

Please indicate the relevant time period (s) during which the production is anticipated to take place. This information should be as precise as possible but should at least indicate which quarters of the year the production is due to take place in.

Purposes of anticipated production

Select one or more of the codes listed below (also listed in Appendix 8) to describe the purpose for which the Schedule 1 chemical is anticipated to be produced. Alternatively States Parties may choose to provide a short description if these codes do not adequately describe the purposes.

Code	Purposes
C01	Research
C02	Medical
C03	Pharmaceutical
C04	Protective
C05	Waste disposal
C06	Production of other Schedule 1 chemicals

**Notification and Declaration of Transfers of Schedule 1 chemicals
To or from the State Party**



Form CN-2
Detailed Notification of a Planned
Transfer of a Schedule 1 Chemical to or
from the Notifying State Party

Country Code:
 Section: C
 Page of n pages:
 Date (ccyy-mm-dd):

Confid.
 mark

Provide the following information for each individual planned transfer.

☐

Please indicate whether this is a notification of the supply or receipt of a Schedule 1 chemical (indicate one only):

Supply ☐ Receipt ☐

☐

IUPAC chemical name:

☐

Identify the attachment for structural formula, if not contained in the handbook for chemicals:

☐

CAS registry number:

☐

Quantity involved:

☐

Planned date of transfer:

☐

Purpose of transfer (use C01 to C04 of Appendix 8 codes or specify)

Please identify the source of the Schedule 1 chemical

☐

Source country:

☐

Name:

☐

Street address:

Please identify the recipient of the Schedule 1 chemical

☐

Recipient country:

☐

Name:

☐

Street address:

Guidance on Form CN-2

Please provide a separate Form CN-2 for each individual Schedule 1 chemical transfer to be notified

Please indicate whether this is a notification of the supply or receipt of a Schedule 1 chemical

Please check the relevant box to indicate whether the declaring State Party is notifying that it will supply or receive the Schedule 1 chemical to be transferred.

IUPAC chemical name

Scheduled chemicals should be identified by their chemical names. As a scheduled chemical can have many systematic and non-systematic chemical names, the systematic naming system developed by International Union of Pure and Applied Chemistry - the IUPAC chemical name - is preferred. As an alternative the chemical name as listed in the Annex on Chemicals of the CWC can also be provided.

Identify the attachment for structural formula, if not contained in the handbook for chemicals:

If the Schedule 1 chemical has not previously been declared by any State Party and hence is not in the Handbook on Chemicals a structural formula should be provided. If, however, the chemical has been assigned a CAS number and is included in the Scheduled Chemicals database then simply entering the CAS number is sufficient. Any structural formula provided should be included in a separate attachment and a reference to that attachment made in this field. The individual structural formula within this attachment should be clearly labelled to avoid any possible confusion. This can be done for example by allocating a simple reference number to each individual structural formula provided and entering this here and in the attachment.

CAS registry number

The Chemical Abstracts Service (CAS) registry number for the chemical should also be provided if assigned. CAS registry numbers for previously declared chemicals can be found in the Handbook on Chemicals or in the Scheduled Chemicals database.

Quantity Transferred and unit of weight

Enter the quantity transferred and the unit of weight next to the figure. Although in most cases the commonly used units of weight kilograms (kg) or grams(g) are appropriate, as transfers of Schedule 1 chemicals sometimes involve very small quantities it may be appropriate to use units such as milligrams (mg) or micrograms (µg) in such cases.

Planned Date of transfer

Enter the date upon which the transfer is planned to take place in the format (yyyy-mm-dd). This should be the date upon which physical control of the Schedule 1 chemical is planned to pass from the supplying State Party to the receiving State Party. Please note that if a less specific date is given such as (May 2013, or 2nd quarter 2013) the Secretariat will consider the transfer to be planned for the earliest possible date in the period notified for the purposes of reporting on the requirement to notify the Secretariat 30 days before the transfer is due to take place.

Purpose of transfer

Select one or more of the codes listed below (also listed in Appendix 8) to describe the purpose for which the Schedule 1 chemical will be transferred. Alternatively States Parties may choose to provide a short description if these codes do not adequately describe the purposes.

Code	Purposes
C01	Research
C02	Medical
C03	Pharmaceutical
C04	Protective
C05	Waste disposal
C06	Production of other Schedule 1 chemicals

Please note that in general only codes C01 to C04 should be selected as Schedule 1 chemicals should only be transferred for those purposes (*paragraph 3 of Part VI of the VA*). If the Schedule 1 chemical will be used to produce other Schedule 1 chemicals then the code (s) describing what these other Schedule 1 chemicals will be used for (codes C01-C04) should be entered rather than code C06. If the code C05 (Waste disposal) or C06 (Production of other Schedule 1 chemicals) is entered then please provide a comment explaining why this code was selected.

Source country

Indicate the country which is the supplier of the Schedule 1 chemical by entering the appropriate three letter country code contained in Appendix 1 – clearly this should be the same as the declaring State Party if it will supply the Schedule 1 chemical.

Name of source and street address

Please enter the name and street address of which is the source of the Schedule 1 chemical involved in the relevant field.

Recipient country

Indicate the country which is the recipient of the Schedule 1 chemical by entering the appropriate three letter country code contained in Appendix 1 – clearly this should be the same as the declaring State Party if it will receive the Schedule 1 chemical.

Name of recipient and street address

Please enter the name and street address of the recipient of the Schedule 1 chemical involved in the relevant field.



Form 1.2
Detailed Annual Declaration of Transfers
to or from the Declaring State Party
During the Previous Year

Country Code:
 Section: C
 Page of n pages:
 Date (ccyy-mm-dd):

Confid.
 mark

☐

IUPAC chemical name:

☐

Identify the attachment for structural formula, if not
 contained in the Handbook for Chemicals:

☐

CAS registry number:

Unit of weight:

Kg ☐ g ☐

*Please repeat the following block of information to
 declare all transfers of Schedule 1 chemicals.*

☐

Country Codes (see Appendix 1):

☐

Total Quantity received:

☐

Total Quantity supplied:

☐

Country Codes (see Appendix 1):

☐

Total Quantity received:

☐

Total Quantity supplied:

☐

Country Codes (see Appendix 1):

☐

Total Quantity received:

☐

Total Quantity supplied:

☐

Country Codes (see Appendix 1):

☐

Total Quantity received:

☐

Total Quantity supplied:

Guidance on Form 1.2

Please provide a separate Form 1.2 for each Schedule 1 chemical transferred (either received or supplied) summarising the total quantity (aggregate) of all transfers made to each State Party for that chemical during the previous calendar year. Each individual transfer made of this chemical should then be declared on Form 1.2.1.

IUPAC chemical name

Scheduled chemicals should be identified by their chemical names. As a scheduled chemical can have many systematic and non-systematic chemical names, the systematic naming system developed by International Union of Pure and Applied Chemistry - the IUPAC chemical name - is preferred. As an alternative the chemical name as listed in the Annex on Chemicals of the CWC can also be provided.

Identify the attachment for structural formula, if not contained in the handbook for chemicals

If the Schedule 1 chemical has not previously been declared by any State Party and hence is not in the Handbook on Chemicals a structural formula should be provided. If, however, the chemical has been assigned a CAS number and is included in the Scheduled Chemicals database then simply entering the CAS number is sufficient. Any structural formula provided should be included in a separate attachment and a reference to that attachment made in this field. The individual structural formula within this attachment should be clearly labelled to avoid any possible confusion. This can be done for example by allocating a simple reference number to each individual structural formula provided and entering this here and in the attachment.

CAS registry number

The Chemical Abstracts Service (CAS) registry number for the chemical should also be provided if assigned. CAS registry numbers for previously declared chemicals can be found in the Handbook on Chemicals or in the Scheduled Chemicals database.

Unit of weight

Indicate the unit of weight by checking the box for “kg” (kilograms) or “g” (grams) as appropriate. The same unit of weight should be used for all quantities declared on this form. As transfers of Schedule 1 chemicals sometimes involve very small quantities it may be appropriate to use an alternative unit such as milligrams (mg) – in such cases enter the unit of weight next to the quantity figure.

For each country which was involved in the transfer of the named Schedule 1 chemical with the declaring State Party the following three fields should be completed.

Country Code

Identify the other country involved in the transfer by entering the appropriate three letter country code contained in Appendix 1.

Total quantity received

Enter the total quantity received by the declaring State Party from the country which is declared in the field ‘Country Code’.

Total quantity supplied

Enter the total quantity supplied by the declaring State Party to the country which is declared in the field ‘Country Code’.



Form 1.2.1
Detailed Annual Declaration of Each
Transfer of Schedule 1 Chemicals

Country Code:
 Section: C
 Page of n pages:
 Date (ccyy-mm-dd):

Confid.
 mark

Please complete one form for each individual transfer of Schedule 1 chemicals supplied or received.

Was the Schedule 1 chemical received or supplied by the declaring State Party? (Please indicate one)

Received ☐ Supplied ☐

☐

IUPAC chemical name:

☐

CAS registry number:

☐

Source country¹ (use country codes, see Appendix 1):

☐

Name of source:

☐

Street address:

☐

Recipient country (use country codes, see Appendix 1):

☐

Name of recipient:

☐

Street address:

☐

Please specify purposes of transfer (use C01 to C04 of Appendix 8 codes or specify):

☐

Quantity transferred and unit of weight:

☐

Date of transfer:

¹ Paragraph 6 of Part VI of the Verification Annex requires the recipient to be declared but does not require the source. However, many States Parties provide information on the source on a voluntary basis.

Guidance on Form 1.2.1

Please provide a separate Form 1.2.1 for each individual Schedule 1 chemical transfer made during the previous calendar year. Please note that the details provided here should be consistent with the information provided in the notification provided 30 days prior to transfer, otherwise if any details have changed significantly please provide an explanation of these changes.

Was the Schedule 1 chemical received or supplied by the declaring State Party?

Please indicate whether the Schedule 1 chemical was received or supplied by the declaring State by checking the relevant box.

IUPAC chemical name

Enter the same IUPAC name as on Form 1.2.

CAS registry number

Enter the same CAS registry number as on Form 1.2.

Source country¹

Indicate the country which is the supplier of the Schedule 1 chemical by entering the appropriate three letter country code contained in Appendix 1 – clearly this should be the same as the declaring State Party if it supplied the Schedule 1 chemical.

Name of source and street address

Please enter the name and street address of the source of the Schedule 1 chemical involved in the relevant field.

Recipient country

Indicate the country which is the recipient of the Schedule 1 chemical by entering the appropriate three letter country code contained in Appendix 1 – clearly this should be the same as the declaring State Party if it received the Schedule 1 chemical.

Name of recipient and street address

Please enter the name and street address of the recipient of the Schedule 1 chemical involved in the relevant field.

Specify purposes of transfer

Select one or more of the codes listed below (also listed in Appendix 8) to describe the purpose for which the Schedule 1 chemical was transferred. Alternatively States Parties may choose to provide a short description if these codes do not adequately describe the purposes.

¹ Paragraph 6 of Part VI of the Verification Annex requires the recipient to be declared but does not require the source. However, many States Parties provide information on the source on a voluntary basis.

Code	Purposes
C01	Research
C02	Medical
C03	Pharmaceutical
C04	Protective
C05	Waste disposal
C06	Production of other Schedule 1 chemicals

Please note that in general only codes C01 to C04 should be selected as Schedule 1 chemicals should only be transferred for those purposes (*paragraph 3 of Part VI of the VA*). If the Schedule 1 chemical will be used to produce other Schedule 1 chemicals then the code (s) describing what these other Schedule 1 chemicals will be used for (codes C01-C04) should be entered rather than code C06. If the code C05 (Waste disposal) or C06 (Production of other Schedule 1 chemicals) is entered then please provide a comment explaining why this code was selected.

Quantity Transferred and unit of weight

Enter the quantity transferred and the unit of weight next to the figure. Although in most cases the commonly used units of weight kilograms (kg) or grams(g) are appropriate, as transfers of Schedule 1 chemicals sometimes involve very small quantities it may be appropriate to use units such as milligrams (mg) or micrograms (µg) in such cases.

Date of transfer

Enter the date upon which the transfer took place in the format (yyyy-mm-dd). This should be the date upon which physical control of the Schedule 1 chemical passed from the supplying State Party to the receiving State Party. If this date is significantly different from the planned date of transfer given in the notification it is recommended to indicate the original planned date of transfer in a comment on the form or in the cover letter to assist the Secretariat in matching the declaration with the relevant notification.

SECTION K

RIOT CONTROL AGENTS

**(DECLARATIONS DUE UNDER SUBPARAGRAPH 1(E) OF
ARTICLE III OF THE CONVENTION)**

OPCW

Revised version 2: 1 January 2017

TABLE OF CONTENTS OF SECTION K

1.	Declarations under this section	274
2.	Declaration requirements and their deadlines	274
Annex A:	Data Formats and Technical Guidelines for Completing the Declaration Forms.....	275
Annex B:	Index of Declaration Forms.....	277
Annex C:	Declaration Forms for Riot Control Agents	279

1. Declarations under this section

Section K of the Declarations Handbook applies to the declaration requirements for riot control agents held by declaring State Party for riot control purposes, in accordance with paragraphs 1(e) of Article III of the Convention;

2. Declaration requirements and their deadlines

In its declaration, the State Party shall specify the chemical name, structural formula and Chemical Abstracts Service (CAS) registry number, if assigned, of each chemical it holds for riot control purposes. The declaration shall be submitted to the Organisation not later than 30 days after the Convention enters into force for the State Party.

The following CWC definition is important when making declarations under Article III(1)(e) of the Convention:

Riot Control Agent means the following:

Any chemical not listed in a Schedule, which can produce rapidly, in humans, sensory irritation or disabling physical effects which disappear within a short time following termination of exposure.

ANNEX A OF SECTION K

DATA FORMATS AND TECHNICAL GUIDELINES FOR COMPLETION THE DECLARATION FORMS

OPCW

Revised version 2: 1 January 2017

Instructions in regard to data formats

1. **Names of Countries** are to be declared using the appropriate code ISO 3166 as contained in **Appendix 1**.
2. **Dates** are to be given as *CCYY-MM-DD* (e.g., 1998-03-11)
3. **Yes-No Questions** must always be answered.
4. **Chemicals** shall be identified by chemical name in accordance with current International Union of Pure and Applied Chemistry (IUPAC) nomenclature, structural formula and Chemical Abstracts Service (CAS) registry number, if assigned.
5. **Attachments**, if any, are to be identified by unique labels, reference numbers or file names.
6. **FORM CW 1.0: Primary Declaration of RCA** is to be used by a State Party to specify which declaration forms it is submitting to the Technical Secretariat.
7. The **RCA FORMS** refer to the declaration of riot control agents which are held by a State Party, in accordance with paragraph 1(e) of Article III of the Convention.

ANNEX B OF SECTION K

INDEX OF DECLARATION FORMS

OPCW

Revised version 2: 1 January 2017

Declaration Forms for Riot Control Agents

RCA FORM NUMBER	FORM PURPOSE
1.0	Identification of RCA Declaration Declaration forms for RCA which are held by the declaring State Party
2.0	Specification of RCA

ANNEX C OF SECTION K

DECLARATION FORMS FOR RIOT CONTROL AGENTS

OPCW

Revised version 2: 1 January 2017

Form RCA 1.0: Identification of RCA declaration

Is the information as a whole to be treated as Confidential? (Yes / No): _____

If yes, indicate its classification level (**R**, **P** or **H**): _____

Are only parts of this declaration to be considered Confidential? (Yes / No): _____

If yes, indicate for those lines and/or columns, prefixed with a "/", on subsequent forms the classification level and indicate here the highest classification level used in this declaration (**R**, **P** or **H**).

State Party Submitting: _____

Date Sent: _____

Is your State a holder of RCA (Yes/No)? _____
If Yes, complete **Form RCA 2.0**

Is there any information to update the initial declaration? (Yes/No)? _____
If Yes, complete **Form RCA 2.0** and indicate the appropriate dates.

Form RCA 2.0: Specification of RCA

Initial Declaration? YES/NO _____

Date change in declaration becomes effective: _____

/. COMMON NAME / COMMON DESIGNATOR (if applicable)	/. IUPAC NOMENCLATURE	/. CAS REGISTRY NUMBER (IF ASSIGNED)	/. STRUCTURAL FORMULA

SECTION L

NATIONAL PROTECTIVE PROGRAMME

OPCW

Revised version 2: 1 January 2017

INFORMATION ON NATIONAL PROTECTIVE PROGRAM AGAINST CHEMICAL WEAPONS AND TOXIC CHEMICALS

INTRODUCTION

For the purposes of increasing the transparency of national programmes related to protective purposes, pursuant to Article X, paragraph 4 of the Chemical Weapons Convention, each State Party is required to provide annually to the Secretariat information on its programme.

Annex to this is the CSP Decision (C-9/DEC/CRP.10) that contains the template to be used for the annual provision of information on national programmes related to protective purposes. The template enables States Parties to provide as much information as possible on their national protective programs. The information on national protective programmes should refer to the previous calendar year and should be submitted not later than 90 days after the end of the previous calendar year. Moreover, States Parties may choose to incorporate any additional information they deem appropriate.

OVERVIEW

A general overview of each national programme related to protective purposes against chemical weapons would be desirable in order to assist in the identification of its principle elements. Certain elements of national protective programs could be of special significance, and therefore, a requirement for more detailed information could be justified. National protective programs may constitute several elements, such as, research and development programmes, training, procurement and specialist protection units employed by the States Parties.

1. TO WHICH INFORMATION WILL THIS SECTION APPLY

This section will apply for the information which the States Parties should provide on an annual basis to the Technical Secretariat on its national programmes related to protective purposes under article X, paragraph 4 of the Chemical Weapons Convention.

2. EXPLANATION OF TERMS USED IN RELATION TO THE INFORMATION REQUIREMENTS

The following explanations are important when submitting information:

- (a) Protective purposes means those purposes related to protection against toxic chemicals and to protection against chemical weapons.**
- (b) Protective equipment means equipment designed to prevent human beings from getting in contact with toxic chemicals or chemicals defined as chemical weapons.**
- (c) Chemical protection means protection against chemical weapons.**
- (d) Special chemical protection units means planned or existing military or civil units, one of whose principal functions is related to protection against toxic chemicals or chemicals defined as chemical weapons.**

**OPCW****Conference of the States Parties**

Ninth Session
29 November – 3 December 2004

C-9/DEC/CRP.10
26 November 2004
Original: ENGLISH

DRAFT DECISION**SUBMISSION OF INFORMATION REGARDING
NATIONAL PROGRAMMES RELATED TO PROTECTIVE PURPOSES,
PURSUANT TO ARTICLE X, PARAGRAPH 4 OF THE CONVENTION****The Conference of the States Parties,**

Noting that paragraph 4 of Article X of the Chemical Weapons Convention (hereinafter “the Convention”) requires each State Party, for the purposes of increasing the transparency of national programmes related to protective purposes, to provide annually to the Technical Secretariat (hereinafter “the Secretariat”) information on its programme, in accordance with procedures to be considered and approved by the Conference of the States Parties (hereinafter “the Conference”) pursuant to paragraph 21 (i) of Article VIII of the Convention;

Recalling that the First Special Session of the Conference of the States Parties to Review the Operation of the Chemical Weapons Convention (hereinafter “the First Review Conference”) reaffirmed the continuing relevance and importance of the provisions of Article X of the Convention, and of the activities of the Organisation for the Prohibition of Chemical Weapons (hereinafter “the Organisation”) in relation to assistance and protection against chemical weapons; and that these provisions and activities have gained additional relevance in today’s security context (paragraph 7.92 of RC-1/5, dated 9 May 2003);

Recalling also that the First Review Conference declared that implementation of the requirement to submit information annually pursuant to paragraph 4 of Article X of the Convention would benefit from an early agreement on the procedures for such submissions, and further requested the Executive Council (hereinafter “the Council”) to expeditiously develop and submit for adoption the procedures called for by the Convention (paragraph 7.94 of RC-1/5);

Noting that, pursuant to paragraph 2 of Article X of the Convention, nothing in the Convention shall be interpreted as impeding the right of any State Party to conduct research into, develop, produce, acquire, transfer or use means of protection against chemical weapons, for purposes not prohibited under the Convention;

Recognising that the Organisation should continue to strengthen its efforts to ensure the full implementation of Article X's provisions for assistance and protection against chemical weapons;

Stressing that all measures undertaken by States Parties to implement Article X of the Convention should assist in strengthening the ability of the Organisation better to co-ordinate and deliver to States Parties assistance and protection against chemical weapons; and

Having considered the recommendation of the Council regarding the submission of information regarding national programmes related to protective purposes, pursuant to Article X, paragraph 4 of the Convention (EC-M-24/DEC.6, dated 24 November 2004);

Hereby:

1. **Adopts** the attached format for States Parties to provide annually to the Secretariat information on national programmes for protective purposes, on the understanding that:
 - (a) each State Party uses the attached format to provide the information relating to such activities for the previous calendar year, no later than 120 days after the end of that year;
 - (b) the Secretariat makes available to States Parties, upon request, information provided by other States Parties; and any confidential information submitted is treated in accordance with the Confidentiality Annex of the Convention (Section A, paragraph 2); and
2. **Agrees** that this decision is without prejudice to the right of States Parties to protect sensitive information related to national programmes for protective purposes, and the right of States Parties to designate as confidential any sensitive information which they choose to provide to the Organisation in order to satisfy this reporting requirement.

Annex: Proposed Format for the Annual Reporting of Information on National Programmes for Protection against Chemical Weapons, under Article X of the Chemical Weapons Convention.

Annex

**PROPOSED FORMAT FOR THE ANNUAL REPORTING OF INFORMATION ON
NATIONAL PROGRAMMES FOR PROTECTION AGAINST CHEMICAL WEAPONS,
UNDER ARTICLE X OF THE CHEMICAL WEAPONS CONVENTION**

Name of State Party providing the information:

1.

Reporting period:

2. This report covers the calendar year:

**INFORMATION ON THE EXISTENCE OF A NATIONAL PROGRAMME(S)
RELATED TO PROTECTION AGAINST CHEMICAL WEAPONS**

3. Does the State Party have a national programme(s) for the implementation of protective measures against CW? YES ☐ NO ☐

If yes, do these cover:

(a) protection of military personnel against attack from CW? YES ☐ NO ☐

(b) protection of the civilian population against attack from CW? YES ☐ NO ☐

**GENERAL INFORMATION ON THE MAIN ELEMENTS OF A NATIONAL
PROGRAMME(S) RELATED TO PROTECTIVE PURPOSES**

4. Summarise (in general terms) the national programme(s), and/or regional and local differences (as appropriate to and within the territory of the State Party), for the implementation of protective measures against CW attack against the State Party's armed forces or civilian population (continue on a separate sheet if necessary):

5. List the main national government and/or regional and local bodies (as appropriate to the circumstances of the State Party) that have primary responsibility within the State Party for:

(a) protection of armed forces:

(b) protection of specialist personnel such as police, fire fighters, ambulance and medical personnel, or government officials:

(c) protection of the general public:

6. If protective equipment is provided for armed forces or civilians, is it:
- (a) developed from government-sponsored research and development? YES ☐ NO ☐
- (b) acquired commercially? YES ☐ NO ☐
- (c) acquired from the governments of other States Parties? YES ☐ NO ☐
7. Has the State Party's government made an offer of assistance through the OPCW under Article X, paragraph 7 of the CWC? YES ☐ NO ☐

INFORMATION ON THE MAIN ELEMENTS OF RESEARCH AND DEVELOPMENT ACTIVITIES RELATED TO PROTECTIVE PURPOSES

8. Does the government of the State Party undertake research and development related to protection against CW, in the following fields?
- Respiratory protection YES ☐ NO ☐
- Protective clothing YES ☐ NO ☐
- Collective protection YES ☐ NO ☐
- Decontamination technologies for area, personnel and materials YES ☐ NO ☐
- Detection/identification of CW agents YES ☐ NO ☐
- Laboratory analysis for CW agents YES ☐ NO ☐
- Medical countermeasures YES ☐ NO ☐
- Hazard modelling YES ☐ NO ☐

INFORMATION ON THE EXISTENCE OF UNITS, ONE OF WHOSE PRINCIPAL FUNCTIONS MAY BE PROTECTION AGAINST CHEMICAL WEAPONS

9. Are there any military units one of whose principal functions is protection against CW? YES ☐ NO ☐
10. If yes, briefly state their main tasks (such as collective protection, decontamination, detection, and/or medical countermeasures). Continue on a separate sheet if necessary:

INFORMATION ON THE TRAINING PROGRAMME RELATED TO PROTECTIVE PURPOSES

11. Does the State Party conduct operational training for its armed forces using real CW agent or simulants? YES ☐ NO ☐
12. Does the State Party train its military personnel in the following fields:
- (a) use of personal protection equipment? YES ☐ NO ☐
 - (b) decontamination? YES ☐ NO ☐
 - (c) detection? YES ☐ NO ☐
 - (d) medical aspects of protection? YES ☐ NO ☐
13. Has the State Party's government provided, in the last year, training of foreign military or civilian personnel on protection from a possible CW attack? YES ☐ NO ☐

INFORMATION ON PROTECTION OF THE CIVILIAN POPULATION

14. Does the programme for protection against CW provide for support to the civilian population in case of use or threat of use of CW? YES ☐ NO ☐
15. If yes, indicate which of the following will provide the support:
- (a) Fire service? YES ☐ NO ☐
 - (b) Emergency medical personnel? YES ☐ NO ☐
 - (c) Police? YES ☐ NO ☐
 - (d) Military units? YES ☐ NO ☐
 - (e) Other contracted entities (e.g. private companies)? YES ☐ NO ☐

16. If the answer to Question 14 is No, is there an objective for specialist personnel to provide such support in the future? YES ☐ NO ☐
17. Are training exercises carried out which involve practising the response to CW attacks against the civilian population? YES ☐ NO ☐
18. Is the general public provided with training to protect themselves against the effects of CW attack (excluding those involved in regular military training as part of compulsory national service)? YES ☐ NO ☐
19. Is educational information available to the general public regarding protection against CW attack (e.g. leaflets, internet sites etc.)? YES ☐ NO ☐

ADDITIONAL INFORMATION

20. Provide references (if available) to select, publicly available, scientific papers published in the reporting year related to national CW protective programmes:

SECTION M

CONFIDENTIALITY SUPPLEMENT TO THE OPCW DECLARATIONS HANDBOOK

OPCW

Revised version 2: 1 January 2017

Confidentiality Supplement to the OPCW Declarations Handbook

Introduction

While recognising that a State Party has ultimate authority in designating the classification level and the method of delivery of its own information it provides to the Organisation, this Confidentiality Supplement is intended to illustrate for National Authority personnel the concepts presented in the OPCW Policy on Confidentiality (OPOC).

1. Determining the level of sensitivity of confidential information

1.1 To ensure the appropriate handling and protection of confidential information provided to or generated by the OPCW, paragraph 1.2 of Part V of the OPOC, states that “*the essential factors to be considered in determining the level of sensitivity of an item of information are as follows:*

- (a) *the degree of potential damage which its disclosure could cause to a State Party, any other body of a State Party, including a commercial firm, or to any national of a State Party, or to the Convention or the Organisation; and*
- (b) *the degree of potential particular or selective advantage its disclosure could offer to an individual, a State, or any other body, including a commercial firm.*

These factors correspond to the factors used in determining the confidentiality of information.”

1.2 Guidelines on the OPCW classification system for confidential information, as specified in paragraphs 1.3 through 1.6 of Part V of the OPOC, state:

“Based on these guiding factors, and the specific classification criteria set out below, confidential information shall be classified according to the following categories, in increasing order of sensitivity:

- . **OPCW RESTRICTED**
- . **OPCW PROTECTED**
- . **OPCW HIGHLY PROTECTED**

Information not falling into any of the above-mentioned categories shall be considered not classified and may be marked appropriately. Information which is not classified will be subject to appropriate protection from release by the Organisation and by States Parties, unless specifically cleared for release in accordance with the separately defined release procedures.

The level of protection afforded to confidential information shall be linked to the level of sensitivity as indicated by its classification category. Each State Party and the Organisation shall protect OPCW classified information originating both from within the Organisation and from States Parties in accordance with its level of sensitivity as expressed by its classification category.”

- 1.3 Guidance on the criterion for determining the relevant classification to be applied to information to be submitted to the Technical Secretariat, if so necessitated, is contained in paragraphs 1.7 to 1.18 of Part V of the OPOC and has been included in Annex 1 to this Confidentiality Supplement.
- 1.4 While States Parties have the right to classify any of its own information it provides to the Technical Secretariat, it should be stressed that it is standard Technical Secretariat practice to strictly control and protect even that “unclassified” information received from Member States. Furthermore, in accordance with Part VII of the OPOC, no information received from a Member State, regardless of classification, is available for public release unless the consent from that Member State has been obtained.
- 1.5 States Parties do not have the right to change the classification of other States Parties information. When other States Parties information is communicated to the Technical Secretariat, this classification needs to be taken into account for the overall classification of the document.
- 2. Authorised Representatives of Member States to the OPCW**
 - 2.1 Paragraph 3.5 of Part VI of the OPOC requires that *“information, including that designated as confidential, which is passed to the Organisation by a State Party must be provided by an official representative of that State Party”*. In accordance with this requirement, staff of the Technical Secretariat are not authorised to transfer or receive confidential materials to/from representatives of Member States other than those designated as official representatives.
 - 2.2 Permanent Representatives, Alternates and Advisers who, are accredited in accordance with the provisions of the respective Rules of Procedure of the Conference of the States Parties and the Executive Council, as well the relevant provisions of the OPCW Headquarters Agreement, as described in the Technical Secretariat’s document “(Permanent) Representatives, Alternates and Advisers accreditation”, S/112/99, dated 6 May 1999, are official representatives of Member States. In general, only Permanent Representatives and Alternates of Member States are entitled to receive confidential documents and materials from the Technical Secretariat.
 - 2.3 Officials other than Permanent Representatives and Alternates may collect confidential documents from the Technical Secretariat on the authorisation of the relevant Permanent Representative to OPCW. This authorisation must be provided in advance, through an official letter or note verbale to the administrative unit of the Technical Secretariat that provided the notification that a document is ready for collection.

3. Marking of Confidential Documents

- 3.1 When submitting or receiving confidential OPCW documents it is necessary that both the document and any external packaging in which it is enclosed be marked with proper OPCW classification markings in accordance with Part VI of the OPOC.
- 3.2 Confidential documents intended for circulation during a confidential session of one of the Policy-Making Organs of the OPCW, or one of their subsidiary bodies, must also be marked with proper OPCW classification markings and should be submitted to Declarations Branch (DEB) well in advance of the meeting at which they are to be circulated.

4. Verification-Related Documents

- 4.1 The administrative unit of the Technical Secretariat tasked to receive and distribute verification-related documents is DEB.
- 4.2 **Delivery to the Technical Secretariat.** To deliver a confidential document to the Technical Secretariat, an authorised representative of the Member State should first make an appointment with DEB (telephone: 070-4163031). At the pre-arranged meeting time, delivery of the document by an accredited representative of the State Party shall be carried out in the OPCW Headquarters building in the presence of at least one DEB staff member. The DEB staff member will verify the authorisation of the representative by means of his/her OPCW identity card
- 4.3 The transfer of confidential material to the Technical Secretariat via e-mail, mail, courier or non-secure fax is not consistent with the provisions of the OPOC. Such means of transfer generally do not ensure the necessary level of protection required for OPCW confidential information. In cases where confidential material is received via one of these means, the Technical Secretariat shall handle that material, from the time it is received or opened, according to its internal procedures for handling and protecting confidential information. However, the Technical Secretariat cannot guarantee that information provided in such a manner has remained free of unauthorised disclosure before its arrival. Member States are therefore asked, as a general rule, not to transfer classified information to the Technical Secretariat via e-mail, mail, courier or fax.
- 4.4 **Acknowledgement of documents.** The receipt of confidential documents and/or materials delivered directly to the Technical Secretariat by a Member State representative shall be acknowledged by a signed Confidential Material Consignment Note (form C16).
- 4.5 **Collection of confidential documents.** DEB shall notify the Permanent Representative of the Member State to the OPCW in writing that “a document” (without further specification if the title of the document is also confidential) is available for collection. In response to the fax Member States should contact DEB for an appointment to collect the confidential document (telephone: 070-4163031). At the pre-arranged meeting time, the document will be transferred to an accredited representative of the State Party in room B.12 in the presence of two DEB staff members. The transfer of the document(s) for

which the notification is sent will be accomplished in accordance with all applicable confidentiality procedures. Should a member of a delegation, other than the Representative or an Alternate be required to collect the document, a corresponding authorisation letter or note verbale issued by the Representative (as outlined in paragraph 2.3) must first be received by the Technical Secretariat. The two DEB staff members will verify the authorisation by means of the representative's OPCW identity card.

5. Distribution of Confidential Official-Series Documents

- 5.1 Confidential official-series documents used for consideration in the meetings of the Policy-Making Organs of the OPCW are distributed by the Secretariat for the Policy-Making Organs.
- 5.2 The Secretariat for the Policy-Making Organs (PMO) will notify delegations via email as to the availability of such documents using an unclassified title, and will designate at least two different time periods for collection of the document(s) by delegations. These times will be arranged on two different days to facilitate collection of the document(s) by all intended recipients. Only one copy of a confidential document will be distributed per Member State, to be collected by any one of its authorised recipients. Staff of the Technical Secretariat are not authorised to make copies of confidential documents collected by authorised representatives of Member States.
- 5.3 Member States are obliged to protect the confidential documents they receive from the Technical Secretariat according to their own equivalent national classification. This classification schema and how it relates to the OPCW classification regime needs to be provided by all Member States at the request of the Technical Secretariat (CWC, Confidentiality Annex, paragraph 4).
- 5.4 Staff of the Technical Secretariat are authorised to transfer confidential official-series documents only to duly authorised persons as described in paragraphs 2.2 and 2.3.
- 5.5 As required, PMO will contact those delegations that did not collect their copy of the confidential document(s) during the prearranged time periods, and advice of a final date for collection

6. Confidential documents other than Verification Related and Official Series Documents

- 6.1 In the event of the need to transfer a confidential document (s) to/from any unit of the Technical Secretariat other than DEB/PMO, the same procedures for the handling and receipt of such documents shall be followed.
- 6.2 Questions related to any of the procedures outlined in this document may be directed to the Office of Confidentiality and Security (telephone: 070-4163366) or any of these specific administrative units of the Technical Secretariat mentioned in paragraphs above.

Annex 1 - Classification categories (Excerpted from Part V of the OPCW Policy on Confidentiality)

OPCW RESTRICTED	OPCW PROTECTED	OPCW HIGHLY PROTECTED
CRITERION: This category comprises information of which the unauthorised disclosure would be prejudicial to the effectiveness or credibility of the Convention, or prejudicial to the interests of a State Party or of a commercial or governmental body or of a national of a State Party (para 1.7).	CRITERION: This category comprises information of which the unauthorised disclosure may cause substantial damage to the effectiveness or credibility of the Convention, or to the interests of a State Party or of a commercial or governmental body or of a national of a State Party (para 1.11).	CRITERION: This category comprises sensitive confidential information of which the unauthorised disclosure would cause serious damage to the effectiveness or credibility of the Convention, or its aims and purpose, or cause serious damage from the point of view of national security or commercial secrecy to the interests of a State Party or of a commercial or governmental body or national of a State Party (para 1.14).
EXAMPLES: Unless specified otherwise, due to the greater or lesser sensitivity of the data in question, the following forms of information might be classified OPCW RESTRICTED when they are acquired or generated by any means by the Organisation (para 1.8): (a) the initial and annual reports and declarations provided by States Parties under Articles III, IV, V and VI and in accordance with the Verification Annex, where these documents are considered by originating States Parties as being of this level of sensitivity; (b) general reports on the results and effectiveness of verification activities; and	EXAMPLES: Unless specified otherwise in accordance with greater or lesser sensitivity, the following forms of information might be classified as OPCW PROTECTED when they are acquired or generated by any means by the Organisation (para 1.12): (a) the initial and annual reports and declarations provided by States Parties under Articles III, IV, V and VI and in accordance with the Verification Annex, where these documents are considered by the originating States Parties as being of this level of sensitivity; (b) unpublished technological information about production processes and facilities, and	EXAMPLES: Unless specified otherwise in accordance with lesser sensitivity, the following forms of information might be classified as OPCW HIGHLY PROTECTED when they are acquired or generated by any means by the Organisation (para 1.15): (a) the initial and annual reports and declarations provided by States Parties under Articles III, IV, V and VI and in accordance with the Verification Annex, where these documents are considered by originating States Parties as being of this level of sensitivity; (b) samples taken from inspected sites and returned samples from designated laboratories, and results from analysis

OPCW RESTRICTED	OPCW PROTECTED	OPCW HIGHLY PROTECTED
(c) information to be supplied to all States Parties in accordance with other provisions of the Convention. Other information to be classified and handled as OPCW RESTRICTED may include: routine confidential correspondence between States Parties and the Secretariat, and internal working documents of the Organisation which are not of particular sensitivity. This may also include information relating to the internal processes and decision-making of the Secretariat, and other managerial or administrative information, where open disclosure of the information might hamper the Organisation's effectiveness in implementing the Convention (para 1.9).	technical information about industrial products; (c) less sensitive or more general information related to commercial transactions and the cost factors of industrial processes and production; (d) detailed initial reporting on an inspection, including information on anomalies or incidents at facilities, and inspection reports; (e) data and information regarding inspection planning of the Secretariat and the inspection goals for a specific facility; (f) facility agreements and any attachments thereto; and (g) information regarding the validation and evaluation of information contained in declarations, facility agreements and inspection reports. Where such information is not considered relevant to verification of compliance, it will normally be treated initially as OPCW HIGHLY PROTECTED, even before any formal classification is determined, as specified in subparagraph 1.17 of this Part.	of samples; (c) especially sensitive confidential information especially provided by a State Party; and (d) confidential information for which access is normally only required, or voluntarily or incidentally provided, during the actual conduct of an on-site inspection, such as : - process flow diagrams; - photographs, plans and diagrams of the site; - specific data related to technological processes and their parameters; - analytical data of samples taken on site and analysed on site; - commercially sensitive market information, such as a detailed list of customers, and individual quantities sold to them; and - other detailed, highly specific technical, commercial or national security information. Where such information is not considered relevant to the verification of compliance, it will normally be treated

OPCW RESTRICTED	OPCW PROTECTED	OPCW HIGHLY PROTECTED
		initially as OPCW HIGHLY PROTECTED , even before any formal classification is determined, as specified in subparagraph 1.17 below.
		In most inspection scenarios, the highly sensitive information specified in subparagraph 1.15(d) above, that may or may not have a national confidential classification, may be kept at the inspected facility and shall only be made available for on-site use during the inspection. When such information is not taken off site and access to it is limited, there will accordingly be no application of the OPCW classification process within the Secretariat. Even so, during inspection activities the inspection team will give this information at least the level of protection afforded to information as OPCW HIGHLY PROTECTED. The classification category of such information should be specified to the extent possible in facility agreements (para 1.16). Sensitive confidential information not related to the verification of compliance which is incidentally revealed or collected by any member of an inspection team shall not be recorded in any form, and shall not be further disseminated. When access is afforded to such sensitive information during inspection activities, any member of the inspection team must give it

OPCW RESTRICTED	OPCW PROTECTED	OPCW HIGHLY PROTECTED
		at least the level of protection afforded to information classified as OPCW HIGHLY PROTECTED, until or unless the inspected State Party specifies particular handling or level of sensitivity. In such a case the inspected State Party may designate (as provided in subparagraph 2.5 of this Part) an initial classification of such information during the inspection process or in a facility agreement. In the event that such sensitive information is taken to the Secretariat inadvertently or by agreement with the inspected State Party, it shall be classified as OPCW HIGHLY PROTECTED, and protected accordingly, unless the inspected State Party specifies otherwise (para 1.17).
DISSEMINATION: OPCW RESTRICTED information that must be routinely provided to States Parties in accordance with subparagraph 2(b) of the Confidentiality Annex shall be disseminated accordingly (para 1.10).	DISSEMINATION: OPCW PROTECTED information that must be routinely provided to States Parties in accordance with subparagraph 2(b) of the Confidentiality Annex shall be disseminated accordingly (para 1.13).	DISSEMINATION: OPCW HIGHLY PROTECTED information that must be routinely provided to States Parties in accordance with subparagraph 2(b) of the Confidentiality Annex shall be disseminated accordingly (para 1.18).

APPENDICES 1 AND 3 TO 8

OPCW

Revised version 2: 1 January 2017

APPENDIX 1

Country Codes

Afghanistan	the Islamic Republic of Afghanistan	AFG
Albania	the Republic of Albania	ALB
Algeria	the People's Democratic Republic of Algeria	DZA
Andorra	the Principality of Andorra	AND
Angola	the Republic of Angola	AGO
Antigua and Barbuda	Antigua and Barbuda	ATG
Argentina	the Argentine Republic	ARG
Armenia	the Republic of Armenia	ARM
Australia	Australia	AUS
Austria	the Republic of Austria	AUT
Azerbaijan	the Republic of Azerbaijan	AZE
Bahamas (the)	the Commonwealth of the Bahamas	BHS
Bahrain	the Kingdom of Bahrain	BHR
Bangladesh	the People's Republic of Bangladesh	BGD
Barbados	Barbados	BRB
Belarus	the Republic of Belarus	BLR
Belgium	the Kingdom of Belgium	BEL
Belize	Belize	BLZ
Benin	the Republic of Benin	BEN
Bhutan	the Kingdom of Bhutan	BTN
Bolivia (Plurinational State of)	the Plurinational State of Bolivia	BOL
Bosnia and Herzegovina	Bosnia and Herzegovina	BIH
Botswana	the Republic of Botswana	BWA
Brazil	the Federative Republic of Brazil	BRA
Brunei Darussalam	Brunei Darussalam	BRN
Bulgaria	the Republic of Bulgaria	BGR
Burkina Faso	Burkina Faso	BFA
Burundi	the Republic of Burundi	BDI
Cambodia	the Kingdom of Cambodia	KHM
Cameroon	the Republic of Cameroon	CMR
Canada	Canada	CAN
Cabo Verde	the Republic of Cabo Verde	CPV
Central African Republic (the)	the Central African Republic	CAF
Chad	the Republic of Chad	TCD
Chile	the Republic of Chile	CHL
China	the People's Republic of China	CHN
Colombia	the Republic of Colombia	COL
Comoros (the)	the Union of the Comoros	COM
Congo (the)	the Republic of the Congo	COG
Cook Islands	the Cook Islands	COK
Costa Rica	the Republic of Costa Rica	CRI
Côte d'Ivoire	the Republic of Côte d'Ivoire	CIV

Croatia	the Republic of Croatia	HRV
Cuba	the Republic of Cuba	CUB
Cyprus	the Republic of Cyprus	CYP
Czech Republic (the)	the Czech Republic	CZE
Democratic People's Republic of Korea (the)	the Democratic People's Republic of Korea	PRK
Democratic Republic of the Congo (the)	the Democratic Republic of the Congo	COD
Denmark	the Kingdom of Denmark	DNK
Djibouti	the Republic of Djibouti	DJI
Dominica	the Commonwealth of Dominica	DMA
Dominican Republic (the)	the Dominican Republic	DOM
Ecuador	the Republic of Ecuador	ECU
Egypt	the Arab Republic of Egypt	EGY
El Salvador	the Republic of El Salvador	SLV
Equatorial Guinea	the Republic of Equatorial Guinea	GNQ
Eritrea	the State of Eritrea	ERI
Estonia	the Republic of Estonia	EST
Ethiopia	the Federal Democratic Republic of Ethiopia	ETH
Fiji	the Republic of Fiji	FJI
Finland	the Republic of Finland	FIN
France	the French Republic	FRA
Gabon	the Gabonese Republic	GAB
Gambia (the)	the Republic of the Gambia	GMB
Georgia	Georgia	GEO
Germany	the Federal Republic of Germany	DEU
Ghana	the Republic of Ghana	GHA
Greece	the Hellenic Republic	GRC
Grenada	Grenada	GRD
Guatemala	the Republic of Guatemala	GTM
Guinea	the Republic of Guinea	GIN
Guinea-Bissau	the Republic of Guinea-Bissau	GNB
Guyana	the Republic of Guyana	GUY
Haiti	the Republic of Haiti	HTI
Holy See (the)	the Holy See	VAT
Honduras	the Republic of Honduras	HND
Hungary	Hungary	HUN
Iceland	the Republic of Iceland	ISL
India	the Republic of India	IND
Indonesia	the Republic of Indonesia	IDN
Iran (Islamic Republic of)	the Islamic Republic of Iran	IRN
Iraq	the Republic of Iraq	IRQ
Ireland	Ireland	IRL
Israel	the State of Israel	ISR
Italy	the Italian Republic	ITA
Jamaica	Jamaica	JAM
Japan	Japan	JPN
Jordan	the Hashemite Kingdom of Jordan	JOR

Kazakhstan	the Republic of Kazakhstan	KAZ
Kenya	the Republic of Kenya	KEN
Kiribati	Kiribati	KIR
Kuwait	the State of Kuwait	KWT
Kyrgyzstan	the Kyrgyz Republic	KGZ
Lao People's Democratic Republic (the)	the Lao People's Democratic Republic	LAO
Latvia	the Republic of Latvia	LVA
Lebanon	the Lebanese Republic	LBN
Lesotho	the Kingdom of Lesotho	LSO
Liberia	the Republic of Liberia	LBR
Libya	Libya	LBY
Liechtenstein	the Principality of Liechtenstein	LIE
Lithuania	the Republic of Lithuania	LTU
Luxembourg	the Grand Duchy of Luxembourg	LUX
Madagascar	the Republic of Madagascar	MDG
Malawi	the Republic of Malawi	MWI
Malaysia	Malaysia	MYS
Maldives	the Republic of Maldives	MDV
Mali	the Republic of Mali	MLI
Malta	the Republic of Malta	MLT
Marshall Islands (the)	the Republic of the Marshall Islands	MHL
Mauritania	the Islamic Republic of Mauritania	MRT
Mauritius	the Republic of Mauritius	MUS
Mexico	the United Mexican States	MEX
Micronesia (Federated States of)	the Federated States of Micronesia	FSM
Monaco	the Principality of Monaco	MCO
Mongolia	Mongolia	MNG
Montenegro	Montenegro	MNE
Morocco	the Kingdom of Morocco	MAR
Mozambique	the Republic of Mozambique	MOZ
Myanmar	the Republic of the Union of Myanmar	MMR
Namibia	the Republic of Namibia	NAM
Nauru	the Republic of Nauru	NRU
Nepal	the Federal Democratic Republic of Nepal	NPL
Netherlands (the)	the Kingdom of the Netherlands	NLD
New Zealand	New Zealand	NZL
Nicaragua	the Republic of Nicaragua	NIC
Niger (the)	the Republic of the Niger	NER
Nigeria	the Federal Republic of Nigeria	NGA
Niue	Niue	NIU
Norway	the Kingdom of Norway	NOR
Oman	the Sultanate of Oman	OMN
Pakistan	the Islamic Republic of Pakistan	PAK
Palau	the Republic of Palau	PLW
Panama	the Republic of Panama	PAN
Papua New Guinea	Independent State of Papua New Guinea	PNG
Paraguay	the Republic of Paraguay	PRY

Peru	the Republic of Peru	PER
Philippines (the)	the Republic of the Philippines	PHL
Poland	the Republic of Poland	POL
Portugal	the Portuguese Republic	PRT
Qatar	the State of Qatar	QAT
Republic of Korea (the)	the Republic of Korea	KOR
Republic of Moldova (the)	the Republic of Moldova	MDA
Romania	Romania	ROU
Russian Federation (the)	the Russian Federation	RUS
Rwanda	the Republic of Rwanda	RWA
Saint Kitts and Nevis	Saint Kitts and Nevis	KNA
Saint Lucia	Saint Lucia	LCA
Saint Vincent and the Grenadines	Saint Vincent and the Grenadines	VCT
Samoa	the Independent State of Samoa	WSM
San Marino	the Republic of San Marino	SMR
Sao Tome and Principe	the Democratic Republic of Sao Tome and Principe	STP
Saudi Arabia	the Kingdom of Saudi Arabia	SAU
Senegal	the Republic of Senegal	SEN
Serbia	the Republic of Serbia	SRB
Seychelles	the Republic of Seychelles	SYC
Sierra Leone	the Republic of Sierra Leone	SLE
Singapore	the Republic of Singapore	SGP
Slovakia	the Slovak Republic	SVK
Slovenia	the Republic of Slovenia	SVN
Solomon Islands	Solomon Islands	SLB
Somalia	the Federal Republic of Somalia	SOM
South Africa	the Republic of South Africa	ZAF
South Sudan	the Republic of South Sudan	SSD
Spain	the Kingdom of Spain	ESP
Sri Lanka	the Democratic Socialist Republic of Sri Lanka	LKA
Sudan (the)	the Republic of the Sudan	SDN
Suriname	the Republic of Suriname	SUR
Swaziland	the Kingdom of Swaziland	SWZ
Sweden	the Kingdom of Sweden	SWE
Switzerland	the Swiss Confederation	CHE
Syrian Arab Republic (the)	the Syrian Arab Republic	SYR
Tajikistan	the Republic of Tajikistan	TJK
Thailand	the Kingdom of Thailand	THA
The former Yugoslav Republic of Macedonia	The former Yugoslav Republic of Macedonia	MKD
Timor-Leste	the Democratic Republic of Timor-Leste	TLS
Togo	the Togolese Republic	TGO
Tonga	the Kingdom of Tonga	TON
Trinidad and Tobago	the Republic of Trinidad and Tobago	TTO
Tunisia	the Republic of Tunisia	TUN
Turkey	the Republic of Turkey	TUR

Turkmenistan	Turkmenistan	TKM
Tuvalu	Tuvalu	TUV
Uganda	the Republic of Uganda	UGA
Ukraine	Ukraine	UKR
United Arab Emirates (the)	the United Arab Emirates	ARE
United Kingdom of Great Britain and Northern Ireland (the)	the United Kingdom of Great Britain and Northern Ireland	GBR
United Republic of Tanzania (the)	the United Republic of Tanzania	TZA
United States of America (the)	the United States of America	USA
Uruguay	the Eastern Republic of Uruguay	URY
Uzbekistan	the Republic of Uzbekistan	UZB
Vanuatu	the Republic of Vanuatu	VUT
Venezuela	the Bolivarian Republic of Venezuela	VEN
Viet Nam	the Socialist Republic of Viet Nam	VNM
Yemen	the Republic of Yemen	YEM
Zambia	the Republic of Zambia	ZMB
Zimbabwe	the Republic of Zimbabwe	ZWE

APPENDIX 3

Main Activity Codes

Code	Main Activities
B01	Production
B02	Processing
B03	Consumption
B04	Storage
B05	Re-packaging, distribution
B06	R&D

APPENDIX 4

Product Group Codes

- Notes:** 1. Shaded Product Group Codes are not recommended for OCPF declarations.
2. Typical chemicals included in each PGC description are for illustrative purposes only and do not represent a complete list of all chemicals within the group, nor should imply that specific chemicals are being declared

Code	Description
	Chemicals and related products
511	Hydrocarbons and their halogenated, sulfonated, nitrated or nitrosated derivatives Typical chemicals include: aliphatic hydrocarbons as ethylene, propylene, butylene etc., cyclic hydrocarbons as benzene, toluene, xylene, ethylbenzene, cumene, ethylene dichloride, vinyl chloride, trichloroethylene, chlorododecane, tetrafluorethylene, nitrobenzene, di-nitrotoluene, hexafluoropropene
512	Alcohols, phenols, phenol-alcohols, and their halogenated, sulfonated, nitrated or nitrosated derivatives, except Methanol (see Code 519) Typical chemicals include: glycerol, ethanol, propanol, butanol etc., phenol, ethambutol hydrochloride
513	Carboxylic acids and their anhydrides, halides, peroxides and peroxyacids; their halogenated, sulfonated, nitrated or nitrosated derivatives Typical chemicals include: Isophthaloyl chloride, terephthaloyl chloride, methyl acetate, ethyl acetate, N-butyl acetate, malic acid, fumaric acid, maleic anhydride, phthalic anhydride, acetic anhydride, heptafluorobutyrol peroxide, dodecafluoroheptanoyl peroxide
514	Nitrogen-function compounds, except Urea (see Code 519) Typical chemicals include: octylated diphenylamine, nonylated diphenylamine, ethylenediamine, cyclohexylamine, aniline, 1,3-diaminocyclohexane, diphenylamine, azodicarbonamide, toluene di-isocyanate, organic cyanides, methylene difenyl isocyanate
515	Organo-inorganic compounds, heterocyclic compounds, nucleic acids and their salts, and sulfonamides Typical chemicals include: aromatic sulfonium salts, butyllithium, trimethyl borate, metal complexes of triphenyl phosphate
516	Other organic chemicals, except Formaldehyde & Methyl <i>tert</i> -butyl ether (MTBE) (see Code 519) Typical chemicals include: ethers, dialkyl peroxides, methylethylketone, furfural, dimethyl phosphate, sodium dimethyl dithiocarbamate, tetra alkyl thiuramdisulfide, trimethyl phosphate, ethyl <i>tert</i> -butyl ether (ETBE)

519	Methanol, urea, formaldehyde, methyl tert-butyl ether (MTBE), detergents produced by neutralisation of sulfonic acids and soap produced by saponification of a fatty acid (these chemicals were listed as codes 512A, 514A, 516A, 516B, 554A and 554B in the Declarations Handbook 2008).
522	Inorganic chemical elements, oxides and halogen salts
523	Metal salts and peroxysalts, of inorganic acids Typical chemicals include: sodium cyanide, ammonium cyanide, ammonium carbonate, ammonium bicarbonate, hexacarbonyliron
524	Other inorganic chemicals; organic and inorganic compounds of precious metals
525	Radioactive and associated materials
531	Synthetic organic colouring matter and colour lakes, and preparations based thereon Typical chemicals include: azo based dyes, naphthazarine based dyes (dibromonaphtharazin), triphenyl methane dyes (TPM), quinoline, anthraquinone, pyrene, sulfanilic acid, fluorescent brightening agents, luminophores
532	Dyeing and tanning extracts, and synthetic tanning materials
533	Pigments, paints, varnishes and related materials
541	Medicinal and pharmaceutical products, other than medicaments of Group 542 Typical chemicals include: cephalosporins, amino acid derivatives, synthetic glycosides, atracurium besilate, diketone, alkylidene nitrile, lactone, tinidazole, nimesulide, butoconazole, flutamide, famotidine, penicillin or derivatives, streptomycins or derivatives, other antibiotics, synthetic insulin, phenothiazine compounds
542	Medicaments (including veterinary medicaments)
551	Essential oils, perfume and flavour materials
553	Perfumery, cosmetic or toilet preparations (excluding soaps)
554	Soap, cleansing and polishing preparations, except Detergents produced by neutralisation of sulfonic acids & Soap produced by saponification of a fatty acid (see Code 519)
562	Synthetic Fertilizers
571	Polymers of ethylene, in primary forms
572	Polymers of styrene, in primary forms
573	Polymers of vinyl chloride or of other halogenated olefins in primary forms
574	Polyacetals, other polyethers and epoxide resins, in primary forms; Polycarbonates, alkyd resins, polyallyl esters and other polyesters
575	Other plastics, in primary forms
579	Waste, parings and scrap, of plastics
581	Tubes, pipes and hoses, and fittings therefor, of plastics
582	Plates, sheets, film, foil and strip, of plastics

583	Monofilament of which any cross-sectional dimension exceeds 1 mm, rods, sticks and profile shapes, whether or not surface-worked but not otherwise worked, of plastics
591	Insecticides, rodenticides, fungicides, herbicides, anti-sprouting products and plant-growth regulators, disinfectants and similar products, put up in forms or packings for retail sale or as preparations or articles (e.g. sulfur-treated bands, wicks and candles, and fly papers) Typical chemicals include: cypermethrin, glyphosate and derivatives, acephate, methamidophos, pyrethroid, dimethoate, malathion, triazoles, parathion, trifluralin, atrazine, diuron (DCMU), endosulfan, phenoxy family herbicides, propanil, sulfosulfuron, fipronil, chloramine-T, phoxim, zineb, tebuconazole, monocrotophos, diquat, paraquat, acifluorfen, lactofen, clomazone
592	Starches, inulin and wheat gluten; albuminoidal substances; glues
593	Explosives and pyrotechnic products
597	Prepared additives for mineral oils and the like; Prepared liquids for hydraulic transmission; Anti-freezing preparations and prepared de-icing fluids; Lubricating preparations Typical chemicals include: di-2-ethylhexyl carbonate, di-3,5,5-trimethylhexyl carbonate
598	Miscellaneous chemical products
599	Others

APPENDIX 5**Production Purpose Codes for a Schedule 3 Chemical Production Facility**

Code	Purposes of Production
B11	In-line consumption as produced (captive use)
B12	Synthetic intermediate stored and used on site
B13	Transfer to other industry

APPENDIX 6

Codes for Schedule 3 Chemical Production Ranges

Code	Production Range
B21	$30 < P \leq 200$ tonnes
B22	$200 < P \leq 1,000$ tonnes
B23	$1,000 < P \leq 10,000$ tonnes
B24	$10,000 < P \leq 100,000$ tonnes
B25	$P > 100,000$ tonnes

Remark: P represents the annual production amount of a Schedule 3 chemical.

APPENDIX 7**Codes of Production Ranges for Plant Sites that Produce
Unscheduled Discrete Organic Chemicals**

Code	Production Range
B31	$200 < R < 1,000$ tonnes
B32	$1,000 \leq R \leq 10,000$ tonnes
B33	$R > 10,000$ tonnes

Remark: R represents the annual production amount of unscheduled discrete organic chemicals.

APPENDIX 8**Codes for Declaring the Purpose of Production, Consumption or
Transfers of
Schedule 1 Chemicals**

Code	Purposes
C01	Research
C02	Medical
C03	Pharmaceutical
C04	Protective
C05	Waste disposal
C06	Production of other Schedule 1 chemicals