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**Assistance Programme: indicators and criteria for the  
Strategic Approach for the implementation phase of  
the Assistance Programme**

## Benchmarks for the implementation of the Convention on the Transboundary Effects of Industrial Accidents\*

Note by the Bureau

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\* Late submission because of long consultation with the parts.

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## Introduction

1. At its fifth meeting (Geneva, 25–27 November 2008), the Conference of the Parties to the Convention on the Transboundary Effects of Industrial Accidents adopted the Strategic Approach for the implementation phase of the Assistance Programme (ECE/CP.TEIA/2008/5). At the same meeting, it requested the Bureau and the Working Group on Implementation to provide a form for participating countries for collecting data within the stepwise/cyclic mechanism and criteria and indicators for self-evaluation of the progress achieved, and requested them to report on the progress achieved at the next meeting of the Conference of the Parties, including on the results of the assistance activities organized (ECE/CP.TEIA/19, para. 50 (c) (iv) and (d)).

### I. The benchmarks for implementation of the Convention and the Strategic Approach

2. The core of the Strategic Approach is a step-wise/cyclic mechanism to be applied to the working areas under the Convention. The following six working areas<sup>1</sup> have been identified as priorities:

- (1) Identification of hazardous activities;
- (2) Notification of hazardous activities;
- (3) Prevention;
- (4) Preparedness;
- (5) Response and mutual assistance;
- (6) Information to the public and public participation.

3. The cyclic mechanism requires that countries participating to the Assistance Programme (participating countries) continuously analyse, monitor and evaluate the level of implementation in each working area and, on that basis, identify shortcomings and challenges to implement the Convention. Furthermore, with the use of the cyclic mechanism participating countries define and take actions to address the challenges and to assess if the desired level of implementation has been reached.

4. To facilitate the use of the Strategic Approach by participating countries, a Form for monitoring, analysing, planning and evaluating the participation of a country in the Assistance Programme and indicators and criteria to be used as benchmarks for self-evaluation of the progress achieved were developed. The present document, containing the benchmarks for the implementation of the Convention, is therefore complementary to the Strategic Approach and provides the abovementioned Form, as well as indicators and criteria.

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<sup>1</sup> Additional areas of work have been identified in the Strategic Approach (siting of hazardous activities and civil liability). It was decided that these two areas would be addressed after most of the shortcomings in the first six were dealt with.

## **II. Indicators and criteria for self-evaluation of progress achieved in the implementation of the Convention**

5. The indicators and criteria are annexed to this document in the form of tables for each working area, preceded by definitions for their use.

6. In the tables, the columns correspond to indicators and the rows to criteria. By cross-referencing the indicators and criteria countries will be able to assess which stage of implementation they have reached per each indicator in every working area.

### **A. Indicators (by working area)**

#### **1. Identification of hazardous activities**

7. An optimal level of implementation in the area of identification of hazardous activities is reached when countries have in place and are implementing a comprehensive system for such identification based on the definition of clear responsibilities and of a methodology for the process of identifying hazardous activities, which allows the country to:

(a) Elaborate and validate a list with hazardous activities according the Convention's requirements; and

(b) Ensure that it functions over time independently from staff changes within the responsible authority/ies.

8. The following indicators are to be used:

First: A mechanism for the collection of data;

Second: A mechanism for the analysis and validation of data;

Third: A mechanism for the review/revision of data.

#### **2. Notification of hazardous activities**

9. An optimal level of implementation in the area of notification of hazardous activities is reached when countries have in place and are implementing a comprehensive system for notification of hazardous activities to neighbouring countries. The system has to ensure that the notification functions over time independently from staff changes within the responsible authority.

10. The following indicators are to be used:

First: A mechanism for the transboundary consultation on hazardous activities;

Second: A mechanism for the notification of hazardous activities.

#### **3. Prevention**

11. An optimal level of implementation in the area of prevention is reached when countries have in place and are implementing a comprehensive system that will ensure that appropriate preventive measures are in place and which:

(a) Impose on the operators of hazardous activities full responsibility for safe operation;

(b) Impose on the operators of hazardous activities an obligation to demonstrate to the competent authorities and to the public the safe operation of those activities;

(c) Give to the authorities an effective control regime over hazardous activity operators (whether national or international);

(d) Allow for updating the prevention system to take new trends into account.

12. The following indicators are to be used:

First: A mechanism giving the responsibility for industrial safety to hazardous activity operators;

Second: A mechanism introducing the control regime of the competent authorities.

#### **4. Preparedness**

13. An optimal level of implementation in the area of preparedness is reached when countries have in place and are implementing a comprehensive system to ensure adequate emergency preparedness for industrial accidents. The system imposes the responsibility:

(a) On hazardous activity (HA) operators to establish, maintain and test on-site emergency plans and to ensure their capacity to be able to respond to emergencies in accordance with the provisions of those plans;

(b) On the competent authorities to establish, maintain and test off-site emergency plans, to ensure their capacity to be able to respond to emergencies in accordance with the provisions of emergency plans, to ensure that HA operators comply with their responsibilities, and that off-site plans are compatible with on-site plans;

(c) On the competent authorities to ensure, where relevant, compatible emergency plans in a transboundary context (compatible emergency plans of Parties to the Convention concerned).

14. The following indicators are to be used:

First: A mechanism giving the responsibility for emergency preparedness to HA operators;

Second: A mechanism giving the responsibility for emergency preparedness to the competent authorities;

Third: A mechanism ensuring transboundary compatible emergency plans.

#### **5. Response and mutual assistance**

15. An optimal level of implementation in the area of response and mutual assistance is achieved when countries have in place and are implementing a comprehensive system ensuring that:

(a) Industrial accidents or an immediate threat thereof are recognized as such on time, enabling the activation of preparedness procedures as well as transboundary cooperation;

(b) Procedures to request assistance are in place;

(c) Procedures to provide assistance to another Party which might be affected by an industrial accident are in place.

16. The following indicators are to be used:

First: A mechanism giving responsibility to the competent authority to promptly recognize industrial accidents or an immediate threat thereof;

Second: A mechanism to ensure the use of the United Nations Economic Commission for Europe (UNECE) Industrial Accident Notification (IAN) System;

Third: A mechanism to ensure the use of notification systems at the local level;

Fourth: A mechanism giving responsibility to the competent authority to request and to provide assistance.

## 6. Information to the public and public participation

17. An optimal level of implementation in the area of information to the public and public participation is achieved when countries have in place and are implementing a comprehensive system that will ensure that the public receives adequate information and can easily participate in the decision-making process either in their country of origin or in a neighbouring country in the areas of prevention and preparedness relating to industrial accidents.

18. The following indicators are to be used:

First: A mechanism to inform the public;

Second: A mechanism to ensure opportunities for public participation in relevant procedures whenever possible and appropriate.

## B. Criteria

19. Six criteria (progress stages) have been identified.

20. *Progress stage 1:*

(a) When there is little awareness among competent authorities: (i) that a certain mechanism for the implementation of the Convention should be introduced; or (ii) of the necessary requirements for setting up such mechanism; or (iii) of the benefits of such a mechanism; and/or

(b) When ad hoc activities covering the mechanism might be in place, without a systematic procedure.

21. *Progress stage 2:* When there is awareness at the level of experts of the need to introduce the mechanism in question and discussions are started on how it could be introduced and presented to policymakers for a formal decision. The discussions could be among authorities, experts and HA operators and should lead to an understanding of the legal context and a proposal to introduce the mechanism in question.

22. *Progress stage 3:*

(a) When a decision has been taken at the level of policymakers to introduce the mechanism in question; and

(b) When all relevant governmental and other stakeholders to be consulted have been identified.

23. In this progress stage discussions have led to a proposal to policymakers, who have formally (not necessarily by law) decided to introduce the mechanism in question and mandated/nominated a competent authority to elaborate the relevant legislation and procedures.

24. *Progress stage 4:* When intensive and detailed discussions take place among stakeholders identified in progress stage 3 on the content of the relevant legislation and procedures specifying the functioning of the mechanism.

25. *Progress stage 5:*

- (a) When the mechanism in question has been adopted through a governmental act or other form of national practice, but it is not yet operational in practice (for instance, due to lack of human and/or financial resources); and
- (b) A governmental act or other form of national practice defines the minimum components of the mechanisms of each working area; and
- (c) A need for a training to implement the mechanism has been discussed; and
- (d) The training has been designed, if the need for such a training has been confirmed.

26. *Progress stage 6:*<sup>2</sup>

- (a) When the mechanism in question is operational and it is being implemented in practice by the competent authorities; and
- (b) Human and financial resources have been secured; and
- (c) Competent national experts are available and continuously trained to use the mechanism in question.

### **C. Self-evaluation of the progress achieved in the implementation of the Convention**

27. Self-evaluation/analysis by participating countries is the first step of the cyclic mechanism and needs to be carried out:

- (a) The first time that a country uses the Strategic Approach;
- (b) Every time that there is a change in the related legislation, practices etc., or when an action aimed at eliminating particular shortcomings has been undertaken;
- (c) At the end of an assistance activity (not only those organized under the Convention).

28. The results of the self-evaluation should be used as a basis to plan further activities, if needed. In order to carry out a self-evaluation representatives of a competent authority should take the following steps:

- (a) Analyse each working area separately;
- (b) Under each working area and for each of its indicators, discuss the situation in the country on the basis of the implementation of the Convention;
- (c) For each indicator identify the stage that best describes the progress reached in the country;
- (d) Document the result of the self-evaluation by filling in the Form for monitoring, analysing, planning and evaluating the participation of a country in the Assistance Programme (the Form) with the progress stage identified for a given indicator, with detailed and precise explanations as to why the selected progress stage has been achieved by the country for each indicator.

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<sup>2</sup> In the six working areas there might be differences in the criteria for the implementation of progress stage 6.

## D. The Form for monitoring, analysing, planning and evaluating the participation of a country in the Assistance Programme

29. In order to implement the Strategic Approach through the cyclic mechanism, countries should, among others, implement the three steps of the mechanism using the three tables provided in the Form in the following way:

### Implementation of the cyclic approach with the use of the Form

<i>Steps of the cyclic mechanism</i>	<i>Use of the tables in the Form</i>
<p>Step 1 Analyse and examine the level of implementation of the Convention identifying shortcomings and challenges.</p>	<p>Table 1 Collect data on the results of the self-evaluation, with a detailed and precise explanation of the progress stage assigned to a specific indicator and of the identification of shortcomings and challenges. List priority actions to be undertaken.</p>
<p>Step 2 Define ways forward and time frame to undertake and eliminate shortcomings; i.e., development of a national action plan and its implementation.</p>	<p>Table 2 List planned activities to be carried out (i.e., national action plan). The plan of activities needs to be based on the shortcomings or challenges identified in table 1 and needs to be validated by the relevant authorities/officers according to the rules and practices in each participating country.</p>
<p>Step 3 Assess the results achieved.</p>	<p>Table 3 Record activities implemented within a cycle and the results achieved. Data should be collected for each activity undertaken at the national or international level, independently or with external assistance, regardless of a programme under which activities took place.</p>

30. An updated national action plan is a prerequisite for the submission of project proposals for a given activity under the Assistance Programme. Proposed activities in the national action plan should be based on the results of the assessment of the level of progress attained and the needs identified in the self-evaluation exercise.

## III. Implementation of the Strategic Approach by using the indicators and criteria and the Form for monitoring

31. Participating countries shall implement the use of the benchmarks set out in this document starting from the date of their adoption by the Conference of the Parties, and shall provide a self-evaluation of the progress in implementing the Convention for each of the working areas by September 2011. Furthermore, participating countries shall prepare a national action plans based on the results of their initial self-evaluation not later than February 2012. Alternatively, should a country present a project proposal before February



2012, it shall prepare a national action plan for the working areas concerned by the project proposal.

32. In ensuring that the Strategic Approach is implemented, the Bureau and the Working Group on Implementation will:

(a) Approve activities to be executed under the Assistance Programme based on national action plans;

(b) Monitor the application of the Strategic Approach for each country participating in the Assistance Programme;

(c) Monitor the progress achieved by each country and the progress achieved with activities of Assistance Programme on the whole.

#### **IV. Indicators and criteria as benchmarks supporting reporting on the implementation on the Convention**

33. At the High-level Commitment Meeting (Geneva, 14–15 December 2005, (CP.TEIA/2005/12)) countries participating to the Assistance Programme committed to implement the Convention. By that, they committed to report on the implementation of the Convention, even when they are not Parties.<sup>3</sup>

34. The Strategic Approach and the new questionnaire for the reports on implementation have four working areas in common:

(a) Identification and notification of hazardous activities;

(b) Prevention of industrial accidents;

(c) Emergency preparedness;

(d) Participation of the public.

35. Countries in the Assistance Programme could use the information collected with the instruments in this document to reply to some of the questions for the report on implementation. Parties not participating in the Programme could use the indicators and criteria as benchmarks to check whether they have touched on all the necessary topics when replying to the implementation report.

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<sup>3</sup> At the sixth meeting of the Conference of the Parties the Working Group on Implementation will present the status of implementation of the Convention based on the new reporting format. The Bureau coordinated the work of the task forces responsible for elaborating the new reporting format and the indicators and criteria and ensured the exchange of information between them to avoid, whenever possible, duplication of work for countries.

## Annex I

### Definitions for indicators<sup>4</sup>

#### Working area 1

#### Identification of hazardous activities

1. *Mechanism for the collection of data:* set of procedures, implementation rules and actions to be undertaken by the authorities and operators allowing the relevant authorities to collect adequate data for the identification of hazardous activities (HA) from the operators. The mechanism should properly define the type of data to be collected (as a minimum, the name and classification of the substances used and their quantities), the data format to be used for data collection, the responsible bodies, the procedures and the timing for data collection.

2. *Mechanism for the analysis and validation of data:* set of procedures, implementation rules and actions:

(a) To ensure that:

(i) The system for the classification of substances used in the country has been applied correctly by HA operators;

(ii) The data collected is complete and adequate for the purposes of identifying HA;

(iii) The data collected corresponds to the real situation in the country with regard to existing HA;

(b) To transform received data if necessary for the purpose of identifying HA;

(c) To identify HA by applying relevant criteria from the Guidelines to Facilitate the Identification of Hazardous Activities for the Purposes of the Convention, adopted at the first meeting of the Conference of the Parties (Budapest, 22–24 November 2000) (ECE/CP.TEIA/2 Annex IV, as amended by CP.TEIA/2004/4);

(d) To ensure that the list of HA has been given an official status and is recognized and treated as the official list of HA in the country with regard to national legislation and with regard to the Convention. This will also include ensuring availability of a validated list of HA at the national level and to neighbouring countries.

3. *Mechanism for the review/revision of data:* set of procedures, implementation rules and actions to be used to review the official list of HA and to revise it if necessary. Review and revision shall be undertaken at regular intervals.

4. Reviewing the data means that data (collected, analysed and validated) is examined to check whether it still represents an appropriate starting point (completeness, adequacy and reflection/compliance with the real situation in the country) for the purpose of HA identification.

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<sup>4</sup> The entire text of the indicators and criteria presented in the document is to be considered as a living document, to be changed and/or updated when needed and according to the experience gained with its use.

5. Revising the data means that data (collected, analysed and validated) is updated and changed if the result of the review indicates that this is necessary for the purpose of HA identification (for example, in case of a change in chemicals produced, handled or stored in a given installation, a change in the use of the installation, the closure of an installation, etc.).

## **Working area 2**

### **Notification of hazardous activities**

6. *Mechanism for transboundary consultation on hazardous activities:* set of procedures, implementation rules and actions to ensure that the affected Party has an opportunity to make its views on the list of HA known to the Party of origin, including settlement of differences.

7. Transboundary consultation could be performed at the initiative of any Party concerned and regardless of the status (unofficial, official/validated) of the list of HA. It could be performed either in parallel with the analysis of data received from the operators for the purpose of identifying HA, or after a list of HA has been notified to the Party concerned, or at the initiative of a Party concerned.

8. *Mechanism for the notification of hazardous activities:* set of procedures, implementation rules and actions allowing the competent authorities to notify the neighbouring countries that might possibly be affected of existing and/or planned HA.

## **Working area 3**

### **Prevention**

9. *Mechanism giving the responsibility for industrial safety to HA operators:* set of procedures, implementation rules and actions allowing the competent authorities:

(a) To unambiguously identify HA operators as responsible for the safe operation of activities; and

(b) To unambiguously oblige HA operators to demonstrate the safe operation of activities to the competent authorities using defined methodologies, methods and models.

10. *Mechanism introducing the control regime of the competent authorities:* set of procedures, implementation rules and actions allowing the competent authorities to manage industrial accident hazards. In practice this means that the competent authority has — as a minimum — set safety goals, identified the scope/dimension of major accident hazards in the country and organized monitoring of hazardous activities from an industrial accident hazard point of view. Such monitoring could consist of the review of safety documentation, licensing, inspection control and prohibitions.

#### *Remarks*

11. The choice of these two indicators is due to the fact that activities under prevention are the responsibility of two kinds of stakeholders: primarily the operators have to ensure safety at the installations; on the other hand competent authorities have to establish and enforce the relevant legislative framework to ensure that operators take all the appropriate measures.

12. When choosing the indicators for this working area the following has been recognized:

- (a) The importance of public participation in prevention. However, this is also addressed separately under working area 6;
- (b) The importance of introducing new trends on prevention in the control regime applied by the competent authorities;
- (c) The need for land use planning and siting of hazardous activities as a preventive activity; However, this will also be addressed in a later stage under the relevant working area.

#### **Working area 4**

##### **Preparedness**

- 13. *Mechanism giving the responsibility for emergency preparedness to HA operators:* set of procedures, implementation rules and actions ensuring that HA operators prepare, coordinate, test, review and revise on-site emergency plans.
- 14. *Mechanism giving the responsibility for emergency preparedness to the competent authorities:* set of procedures, implementation rules and actions ensuring that the competent authorities prepare, coordinate, test, review and revise off-site emergency plans and sets of procedures giving the competent authorities the right to impose responsibility on HA operators.
- 15. *Mechanism ensuring transboundary compatible emergency plans:* set of procedures, implementation rules and actions ensuring that the competent authorities of the concerned parties cooperate and coordinate emergency plans to make them compatible.

##### *Abbreviations used*

on-site emergency plan: OnEP.

off-site emergency plan: OfEP.

#### **Working area 5**

##### **Response and mutual assistance**

- 16. *Mechanism giving responsibility to the competent authority to promptly recognize industrial accidents or an imminent threat thereof:* set of procedures, implementation rules and actions ensuring prompt activation of the relevant measures in the event of an accident or of an imminent threat of an accident.
- 17. *Mechanism to ensure the use of IAN system:* set of procedures, implementation rules and actions ensuring that the competent authorities use the UNECE Industrial Accident Notification (IAN) System for the purpose of obtaining and transmitting industrial accident notifications at the international level.
- 18. *Mechanism to ensure the use of notification systems at the local level:* set of procedures, implementation rules and actions ensuring that the local authorities use adequate systems for the purpose of receiving and transmitting industrial accident notifications at the bilateral level.
- 19. *Mechanism giving responsibility to the competent authority to request and to provide assistance:* set of procedures, implementation rules and actions ensuring that a country has a system in place:
  - (a) To send a request for assistance in case of need;

(b) To quickly and reliably respond to a request for assistance from another country.

## **Working area 6**

### **Information to the public and public participation**

20. *Mechanism to inform the public*: set of procedures, implementation rules and actions to be followed by the relevant authorities and/or by HA operators to give adequate information to the public in areas which are capable of being affected by an industrial accident. This information should follow Annex VIII of the Convention and include elements such as name and location of the HA, a public-friendly explanation on the activity, general information of an environmental impact assessment (if relevant), potential effects of an industrial accident and the off-site emergency plan, and should also take into account information mentioned in Annex V (para. 2, subparas. (1)–(4) and (9)).

21. *Mechanism to ensure opportunities for public participation in relevant procedures whenever possible and appropriate*: set of procedures, implementation rules and actions to enable the public — in the Party of origin as well as in the affected Party — to take part in relevant procedures to express its views and concerns on prevention and preparedness measures.

### Work area 1: Identification of hazardous activities

	<i>Mechanism for the collection of data</i>	<i>Mechanism for the analysis and validation of data</i>	<i>Mechanism for the review/revision of data</i>
Progress stage 1	<p><i>Little awareness</i> among the competent authorities of the necessary requirements for setting up a mechanism for data collection, or of the benefits of such a system.</p> <p>Possible ad hoc data collection without any systematic procedure in place.</p>	<p><i>Little awareness</i> among the competent authorities of a need to introduce a mechanism for the analysis and validation of data.</p> <p>Possible ad hoc data analysis without any systematic procedure in place.</p>	<p><i>Little awareness</i> among the competent authorities of a need to introduce a mechanism for the review/revision of data.</p>
Progress stage 2	<p><i>Initial discussions</i> (could be among authorities, experts, HA operators) leading to an understanding of the legal context and a proposal to introduce a mechanism for data collection.<sup>a</sup></p>	<p><i>Initial discussions</i> (could be among authorities, experts, HA operators) at national level leading to an understanding of the legal context and a proposal to introduce a mechanism for the analysis and validation of data.</p>	<p><i>Initial discussions</i> (could be among authorities, experts, HA operators) at national level leading to an understanding of the legal context and to a proposal to introduce a mechanism for the review/revision of data.</p>
Progress stage 3	<p><i>Decision</i> taken at the level of policymakers to introduce a mechanism for data collection.</p> <p>Identification of all relevant governmental and other stakeholders to be consulted.</p>	<p><i>Decision</i> taken at the level of policymakers to introduce a mechanism for the analysis and validation of data.</p> <p>Identification of all relevant governmental and other stakeholders to be consulted.</p>	<p><i>Decision</i> taken at the level of policymakers to introduce a mechanism for the review/revision of data.</p> <p>Identification of all relevant governmental and other stakeholders to be consulted.</p>
Progress stage 4	<p><i>Intensive and detailed discussions</i> on the mechanism for data collection.<sup>b</sup></p> <p>Discussions have to involve all relevant governmental and other stakeholders identified in progress stage 3.</p>	<p><i>Intensive and detailed discussions</i> on the mechanism for the analysis and validation of data.<sup>c</sup></p> <p>Discussions have to involve all relevant governmental and other stakeholders identified in progress stage 3.</p>	<p><i>Intensive and detailed discussions</i> on the mechanism for the review/revision of data.<sup>d</sup></p> <p>Discussions have to involve all relevant governmental and other stakeholders identified in progress stage 3.</p>

	<i>Mechanism for the collection of data</i>	<i>Mechanism for the analysis and validation of data</i>	<i>Mechanism for the review/revision of data</i>
Progress stage 5	<p><i>Mechanism for data collection adopted through governmental act or other form of national practice, but not yet operational in practice.</i></p> <p>The adopted mechanism must define the following as a minimum:</p> <ul style="list-style-type: none"> <li>(a) The type of data to be collected;<sup>e</sup></li> <li>(b) The data format to be used by HA operators to present data to the competent authority/ies;</li> <li>(c) Those responsible for data collection (e.g., the authorities, the departments, etc.);</li> <li>(d) The frequency of data collection.</li> </ul> <p>The need for training to implement the mechanism has been discussed.</p> <p>A training programme has been designed in case of a confirmed need.</p>	<p><i>Mechanism for the analysis and validation of data adopted through governmental act or other form of national practice, but not yet operational in practice.</i></p> <p>The adopted mechanism must define the following as a minimum:</p> <ul style="list-style-type: none"> <li>(a) Those responsible for data analysis (e.g., the authorities, the departments, etc.);</li> <li>(b) The various elements to be included in the data analysis;<sup>f</sup></li> <li>(c) The validation procedure;</li> <li>(d) Those responsible for data validation (e.g., the authorities, the departments, etc.);</li> <li>(e) The time intervals of data validation;</li> <li>(f) The availability of a validated list of HA.<sup>g</sup></li> </ul> <p>The need for training to implement the mechanism has been discussed.</p> <p>A training programme has been designed in case of a confirmed need.</p>	<p><i>Mechanism for the review/revision of data adopted through governmental act or other form of national practice, but not yet operational in practice.</i></p> <p>The adopted mechanism must define the following as a minimum:</p> <ul style="list-style-type: none"> <li>(a) The linkage with the mechanism for data collection;</li> <li>(b) The parameters to be used for the review of data;<sup>h</sup></li> <li>(c) Those responsible for the review/revision of data (e.g., the authorities, the departments, etc.);</li> <li>(d) The linkage with the validation procedure.</li> </ul> <p>The need for training to implement the mechanism has been estimated/discussed.</p> <p>A training programme has been designed in case of a confirmed need.</p>

	<i>Mechanism for the collection of data</i>	<i>Mechanism for the analysis and validation of data</i>	<i>Mechanism for the review/revision of data</i>
Progress stage 6	<p><i>Mechanism for data collection (as adopted in progress stage 5) is operational and implemented in practice by the competent authorities.</i></p> <p>Resources (staff, funding, etc.) have been secured.</p> <p>Competent national experts are available and continuously trained to use the mechanism.</p>	<p><i>Mechanism for the analysis and validation of data (as adopted in progress stage 5) is operational and implemented in practice by the competent authorities.</i></p> <p>Resources (staff, funding, etc.) have been secured.</p> <p>Competent national experts are available and continuously trained to use the mechanism.</p>	<p><i>Mechanism for the review/revision of data (as adopted in progress stage 5) is operational and implemented in practice by the competent authorities.</i></p> <p>Resources (staff, funding, etc.) have been secured.</p> <p>Competent national experts are available and continuously trained to use the mechanism.</p>

<sup>a</sup> Initial discussions can also include initial exploration of available good practices.

<sup>b</sup> Discussions should include all topics relevant for later adoption of the mechanism, for example: the kind of data and data format; the system to be used for the classification of chemicals — compliant with Annex 1 of the Convention; the definition of quantities that “are present or may be present”; the sharing of responsibilities; and the timing of data collection.

<sup>c</sup> Discussions should include all topics relevant for later adoption of the mechanism, for example: data available from other sources to be used for checks/comparison; the sharing of responsibilities; the validation procedure; the frequency of data validation; and the availability of a validated list within the country and to neighbouring countries.

<sup>d</sup> Discussions should include all topics relevant for later adoption of the mechanism, for example: the linkage with the mechanism for data collection; the review/revision procedure; the review/revision parameters; the sharing of responsibilities; reasons for data review; and the frequency of data review/revision.

<sup>e</sup> To be understood as characteristics of chemicals and their amount.

<sup>f</sup> The result of the data analysis should show whether data collected is complete, compliant with Annex I, adequate for the purpose of identifying hazardous activities and that it corresponds to the real situation.

<sup>g</sup> The list must be available within the country — i.e., to other authorities at ministerial or lower levels (e.g., inspectorates) and to other stakeholders (HA operators, the public, etc.) — as well as to the authorities of the neighbouring countries → see working area 2 “notification of hazardous activities to neighbouring countries.

<sup>h</sup> The reasons which lead to a review of data and the minimum frequency of review.



## Annex III

### Working area 2: Notification of hazardous activities

	<i>Mechanism for transboundary consultation on HA</i>	<i>Mechanism for the notification of HA</i>
Progress stage 1	<p><i>Little awareness</i> among the competent authorities of the necessary requirements for setting up a mechanism for transboundary consultation on hazardous activities, or of the benefits of such a mechanism.</p> <p>Possible ad hoc transboundary consultation on hazardous activities.</p>	<p><i>Little awareness</i> among the competent authorities of the necessary requirements for setting up a mechanism for the notification of hazardous activities, or the benefits of such a mechanism.</p> <p>Possible ad hoc notification of hazardous activities.</p>
Progress stage 2	<p><i>Initial discussions</i> (could be among authorities, experts, HA operators) leading to an understanding of the legal context and a proposal to introduce a mechanism for transboundary consultation on hazardous activities.<sup>a</sup></p>	<p><i>Initial discussions</i> (could be among authorities, experts, HA operators) leading to an understanding of the legal context and a proposal to introduce a mechanism for the notification of hazardous activities.</p>
Progress stage 3	<p><i>Decision</i> taken at the level of policymakers to introduce a mechanism for transboundary consultation on hazardous activities.</p> <p>Identification of all relevant governmental and other stakeholders to be consulted.</p>	<p><i>Decision</i> taken at the level of policymakers to introduce a mechanism for the notification of hazardous activities.</p> <p>Identification of all relevant governmental and other stakeholders to be consulted.</p>
Progress stage 4	<p><i>Intensive and detailed discussions</i> on the mechanism for transboundary consultation on hazardous activities.</p> <p>Discussions have to involve all relevant governmental and other stakeholders identified in progress stage 3.</p>	<p><i>Intensive and detailed discussions</i> on the mechanism for the notification of hazardous activities.<sup>b</sup></p> <p>Discussions have to involve all relevant governmental and other stakeholders identified in progress stage 3.</p>

	<i>Mechanism for transboundary consultation on HA</i>	<i>Mechanism for the notification of HA</i>
Progress stage 5	<p><i>Mechanism for transboundary consultation on hazardous activities adopted through governmental act or other form of national practice, but not yet operational in practice.</i></p> <p>The adopted mechanism defines the following as a minimum:</p> <ul style="list-style-type: none"> <li>(a) Those responsible for initiating a process of transboundary consultation on existing or planned hazardous activities (i.e., the authorities, the department);</li> <li>(b) Those responsible for responding to an initiative to consult on existing or planned hazardous activities (i.e. the authorities, the department).</li> </ul> <p>The need for training to implement the mechanism has been discussed.</p> <p>A training programme has been designed in case of a confirmed need.</p>	<p><i>Mechanism for the notification of hazardous activities adopted through governmental act or other form of national practice, but not yet operational in practice.</i></p> <p>The adopted mechanism defines the following as a minimum:</p> <ul style="list-style-type: none"> <li>(a) The notification format for existing hazardous activities;</li> <li>(b) The notification format for planned hazardous activities;</li> <li>(c) Notification channels for existing hazardous activities;</li> <li>(d) Notification channels for planned hazardous activities;</li> <li>(e) The responsible authorities;</li> <li>(f) The timing for the notification of existing/planned hazardous activities.</li> </ul> <p>The need for training to implement the mechanism has been discussed.</p> <p>A training programme has been designed in case of a confirmed need.</p>
Progress stage 6	<p><i>Mechanism (as described in progress stage 5) is operational and implemented in practice by the competent authorities.</i></p> <p>Resources (staff, funding, etc.) have been secured.</p> <p>Competent national experts are available and continuously trained to implement the mechanism.</p>	<p><i>Mechanism (as described in progress stage 5) is operational and implemented in practice by the competent authorities.</i></p> <p>Resources (staff, funding, etc.) have been secured</p> <p>Competent national experts are available and continuously trained to implement the mechanism.</p>

<sup>a</sup> Initial discussion can also include initial exploration of available good practices.

<sup>b</sup> Discussions might include: format to be used (including whether the format should be elaborated jointly with neighbouring countries); the notification channels (existing channels or establishment of new channels) to be used for the notification of existing/planned activities; sharing of responsibilities; timing for the notification of existing and/or planned activities.

## Annex IV

### Working area 3: Prevention

	<i>Mechanism giving the responsibility for industrial safety to HA operators</i>	<i>Mechanism introducing control regime of the competent authorities</i>
Progress stage 1	<p><i>Little awareness</i> among the competent authorities of a need to introduce a mechanism that imposes the responsibility for safe operation on HA operators.</p> <p>Partial responsibilities possibly imposed on the operator.</p>	<p><i>Little awareness</i> among competent authorities of a need for a control regime covering HA operators.</p> <p>Ad hoc or partial control measures possibly present.</p>
Progress stage 2	<p><i>Initial discussions</i> (could be among authorities, experts, HA operators) for the prevention of industrial accidents leading to an understanding of legal context and to a proposal for a mechanism imposing full responsibility for safety on HA operators.<sup>a</sup></p>	<p><i>Initial discussions</i> (could be among authorities, experts, HA operators) leading to an understanding of the legal context and to a proposal for a mechanism introducing a control regime.<sup>c</sup></p>
Progress stage 3	<p><i>Decision</i> taken at the level of policymakers to introduce a mechanism to ensure:</p> <ul style="list-style-type: none"><li>(a) That the responsibility for safe operation of hazardous activities is imposed on HA operators; and</li><li>(b) That HA operators have an obligation to demonstrate to the competent authorities that hazardous activities are run safely.</li></ul> <p>Identification of all relevant government and other stakeholders to be consulted.</p>	<p><i>Decision</i> taken at the level of policymakers to create a mechanism on the introduction of a control regime of the competent authorities.</p> <p>Identification of all relevant governmental and other stakeholders to be consulted.</p>
Progress stage 4	<p><i>Intensive and detailed discussions</i> on the mechanism.<sup>b</sup></p> <p>Discussions have to involve all relevant governmental and other stakeholders identified in progress stage 3.</p>	<p><i>Intensive and detailed discussions</i> on the mechanism introducing the control regime.</p> <p>Discussions have to involve all relevant governmental and other stakeholders identified in progress stage 3.</p>

	<i>Mechanism giving the responsibility for industrial safety to HA operators</i>	<i>Mechanism introducing control regime of the competent authorities</i>
Progress stage 5	<p><i>Mechanism adopted</i> and introduced in the national legal framework, <i>but not yet operational<sup>d</sup> in practice.</i></p> <p>The adopted mechanism defines the following as a minimum:</p> <ul style="list-style-type: none"> <li>(a) Parameters for linking the degree of hazard with the responsibility for safe operation;</li> <li>(b) Parameters for defining the scope of demonstrations<sup>e</sup> linked with the degree of hazard;</li> <li>(c) Content of the demonstration;<sup>f</sup></li> <li>(d) Methodologies, methods and models to be used for the demonstration;</li> <li>(e) Frequency of demonstration, review/revision of demonstration.<sup>g</sup></li> </ul>	<p><i>Mechanism adopted</i> through governmental act or other form of national practice, <i>but not yet operational in practice.</i></p> <p>The adopted mechanism defines the following as a minimum:</p> <ul style="list-style-type: none"> <li>(a) Hazardous activities identification parameters;</li> <li>(b) Licensing of planned hazardous activities (scope and content of safety documentation, administrative procedure, criteria for granting/denying a licence);</li> <li>(c) Examination of safety documentation provided by HA operators for demonstration purposes;<sup>h</sup></li> <li>(d) Communication of the results of safety documentation examination, especially: safety measures to be taken by the operator, procedure and deadlines;</li> <li>(e) Criteria for prohibiting a hazardous activity from operating;</li> <li>(f) Inspection controls (goals and modalities of inspections);<sup>i</sup></li> <li>(g) Methods of inspections, actions in case of non-compliance;</li> <li>(h) Procedure for the prohibition of the operation of a hazardous activity;</li> <li>(i) Responsible competent authorities.</li> </ul> <p>The need for training to implement a mechanism has been discussed.</p> <p>A training programme has been designed in case of a confirmed need.</p>

	<i>Mechanism giving the responsibility for industrial safety to HA operators</i>	<i>Mechanism introducing control regime of the competent authorities</i>
Progress stage 6	<p><i>Mechanism (as adopted in progress stage 5) is operational and implemented in practice by competent authorities.</i></p> <p>Resources (staff, funding, etc.) have been secured.</p> <p>Authorities provide awareness campaigns for HA operators.</p> <p>There is training/guidance available for HA operators, if needed.</p>	<p><i>Mechanism (as adopted in progress stage 5) is implemented in practice by competent authorities.</i></p> <p>Resources (staff, funding, etc.) have been secured.</p> <p>Competent national experts are available, aware and continuously trained to use the mechanism.</p> <p>Guidance documents and/or checklists are available and used, if needed. There is exchange of information/experience within the country and between countries.</p>

<sup>a</sup> Initial discussions can also include initial exploration of available good practices.

<sup>b</sup> Discussions might include: parameters for linking the degree of hazard (type of activity, quantity and characteristics of chemicals) with the responsibility for safe operation; scope and content of the demonstration (internal managerial system for the control of major accident hazards, hazard and risk analysis, major accident scenarios, prevention, control and mitigation measures and domino effects if applicable); methodologies, methods and models to be used for the demonstration (methodology for the development of internal managerial system, methods for the identification of hazards, models for the assessment of possible harmful effects etc.); and frequency of demonstration.

<sup>c</sup> Discussions might include: the general and/or specific safety objectives (safety objectives should reflect the nature and dimension of industrial accident hazards present in the country); parameters for the identification of hazardous activities; licensing of planned hazardous activities; procedure to identify existing hazardous activities; review of safety documentation; communication of the results of safety documentation examination; prohibition criteria; inspection controls; and responsible authorities.

<sup>d</sup> Legislation imposing responsibilities on HA operators not yet enforced.

<sup>e</sup> Scope of demonstration might be different for HA operators with different levels of industrial accidents' hazards.

<sup>f</sup> Content of the demonstration should take account of Annex IV and V of the Convention

<sup>g</sup> HA operators should at regular time intervals or when there is a change in the hazardous activity that might influence the demonstration review and if necessary revise a demonstration.

<sup>h</sup> Defining an examination of safety documentation consist in assigning this responsibility to relevant authority and in defining a procedure and methods to be used.

<sup>j</sup> Inspection controls could be regular (different time intervals of inspections might apply), could be following complaints or following an accident.

### Working area 4: Preparedness

	<i>Mechanism giving the responsibility for emergency preparedness to HA operators</i>	<i>Mechanism giving responsibility for emergency preparedness to the competent authority</i>	<i>Mechanism ensuring transboundary compatible emergency plans</i>
Progress stage 1	<i>Little awareness</i> among the competent authorities of a need to establish a mechanism that imposes on the HA operator the responsibility for emergency preparedness.	<i>Little awareness</i> among the competent authorities of of a need to establish a mechanism that imposes on the competent authorities at the appropriate level the responsibility for emergency preparedness.	<i>Little awareness</i> among the competent authorities of a need to establish a mechanism that imposes on the competent authorities at the appropriate level the responsibility to ensure transboundary compatible emergency plans.
Progress stage 2	<i>Initial discussions</i> at national level (could be among the competent authorities, experts, HA operators) leading to an understanding of the legal context and a proposal to establish a mechanism that would impose on the operator the responsibility for emergency preparedness. <sup>a</sup>	<i>Initial discussions</i> (could be among competent authorities, experts, HA operators) leading to an understanding of the legal context and a proposal to establish a mechanism that imposes responsibility on the competent authority at the appropriate level <sup>b</sup> for emergency preparedness.	<i>Initial discussions</i> (could be among competent authorities, experts, HA operator) leading to an understanding of the legal context and a proposal for the establishment of a mechanism to ensure transboundary compatible emergency plans.
Progress stage 3	<i>Decision</i> taken at the level of policymakers to introduce a mechanism imposing the responsibility for emergency preparedness on HA operators.  Identification of all relevant governmental and other stakeholders to be consulted.	<i>Decision</i> taken at the level of policymakers to introduce a mechanism for imposing the responsibility for ensuring emergency preparedness on the competent authorities at the appropriate level.  Identification of all relevant governmental and other stakeholders to be consulted.	<i>Decision</i> taken at the level of policymakers to introduce a mechanism to ensure compatible emergency plans in a transboundary context.  Identification of all relevant governmental and other stakeholders to be consulted.

	<i>Mechanism giving the responsibility for emergency preparedness to HA operators</i>	<i>Mechanism giving responsibility for emergency preparedness to the competent authority</i>	<i>Mechanism ensuring transboundary compatible emergency plans</i>
Progress stage 4	<p><i>Intensive and detailed discussions on the mechanism.</i><sup>c</sup></p> <p>Discussions have to involve all relevant governmental and other stakeholders identified in progress stage 3.</p>	<p><i>Intensive and detailed discussions on the mechanism.</i><sup>d</sup></p> <p>Discussions have to involve all relevant governmental and other stakeholders identified in progress stage 3.</p>	<p><i>Intensive and detailed discussions on the mechanism.</i><sup>e</sup></p> <p>Discussions have to involve all relevant governmental and other stakeholders identified in progress stage 3.</p>
Progress stage 5	<p><i>Mechanism adopted through governmental act or other form of national practice, but not yet operational<sup>f</sup> in practice.</i></p> <p>Within the adopted mechanism the following is defined as a minimum:</p> <ul style="list-style-type: none"> <li>(a) Principles to be followed and targets to be achieved through the application of OnEP;</li> <li>(b) Principles with regard to the sharing of capacities to respond to emergencies;</li> <li>(c) Parameters for linking the degree of hazard with the responsibility for the preparation of OnEP;</li> <li>(d) Matters to be covered by OnEP;</li> <li>(e) Source of input data to be used for the preparation of OnEP;</li> <li>(f) Institutions to be involved in the consultation or coordination of OnEP;</li> <li>(g) Procedure for the coordination of OnEP with external institutions and authorities, responsible for the preparation of OfEP;</li> </ul>	<p><i>Mechanism adopted through governmental act or other form of national practice, but not yet operational in practice.</i></p> <p>Within the adopted mechanism the following elements need to be present as a minimum in the legal framework:</p> <ul style="list-style-type: none"> <li>(a) Principles to be followed and targets to be achieved with the application of OfEP;</li> <li>(b) Principles with regard to the sharing of capacities to respond to emergencies;</li> <li>(c) Parameters to assign the responsibility for the preparation of OfEP to the relevant competent authority;</li> <li>(d) Input data needed for the preparation of OfEP;</li> <li>(e) Rules with regard to the compatibility with OnEP;</li> <li>(f) Institutions/experts to be involved in the preparation of OfEP;</li> <li>(g) Matters to be covered by OfEP;</li> </ul>	<p><i>Mechanism adopted through governmental act or other form of national practice, but not yet operational in practice.</i></p> <p>The adopted mechanism defines the following as a minimum:</p> <ul style="list-style-type: none"> <li>(a) The parameters for determining the need to ensure compatibility of emergency plans in the transboundary context;</li> <li>(b) The assignment of responsibilities;</li> <li>(c) The modalities for the exchange of data (type and scope of data, frequency of exchange);</li> <li>(d) The modalities for reviewing, revising and testing of compatible emergency plans.</li> </ul> <p>The need for training to implement the mechanism has been discussed.</p> <p>A training programme has been designed in case of a confirmed need.</p>

	<i>Mechanism giving the responsibility for emergency preparedness to HA operators</i>	<i>Mechanism giving responsibility for emergency preparedness to the competent authority</i>	<i>Mechanism ensuring transboundary compatible emergency plans</i>
	<p>(h) Procedures and rules with regard to the review and revision of OnEP;</p> <p>(i) Testing of OnEP;</p> <p>(j) Inspection controls.</p> <p>The need for training to implement the mechanism has been discussed.</p> <p>A training programme has been designed in case of a confirmed need.</p>	<p>(h) Procedures for review and revision of OfEP;</p> <p>(i) Testing of OfEP;</p> <p>(j) Inspection controls.</p> <p>The need for training to implement the mechanism has been discussed.</p> <p>A training programme has been designed in case of a confirmed need.</p>	
Progress stage 6	<p><i>Mechanism (as adopted in progress stage 5) is operational and implemented in practice by HA operators.</i></p> <p>Resources (staff, funding, etc.) have been secured.</p> <p>There is training/guidance available for HA operators, if needed.</p> <p>The authorities provide awareness-raising campaigns for HA operators, if needed.</p> <p>Members of rescue and relief teams of HA operators are trained regularly to be able to respond to an emergency.</p>	<p><i>Mechanism (as adopted in progress stage 5) is operational and implemented in practice by the competent authorities.</i></p> <p>Resources (staff, funding, etc.) have been secured.</p> <p>Competent national experts are available, aware and continuously trained to use the mechanism.</p> <p>Guidance documents and/or checklists are available and used, as needed. There is exchange of information/experience within the country and between countries, as needed.</p> <p>Members of rescue and relief teams are trained regularly to be able to respond to an emergency.</p>	<p><i>Mechanism (as adopted in progress stage 5) is operational and implemented in practice by the competent authorities.</i></p> <p>Resources (staff, funding, etc.) have been secured.</p> <p>Competent national experts are available, aware and continuously trained to use the mechanism.</p> <p>Exercises to train joint transboundary response are being performed at regular intervals, if appropriate.</p>

<sup>a</sup> Initial discussions can also include initial exploration of available good practices.

<sup>b</sup> Level meant as: national, regional or local.

<sup>c</sup> Discussions might include: principles to be followed and targets to be achieved through the application of OnEP (principles to be followed could be defined with criteria for industrial accident scenarios to be used as a basis for preparing OnEP; targets could be defined in terms of people, environment, property to be protected in case of



emergency); principles to be followed with regard to ensuring capacity to respond to emergencies (capacity to respond to emergencies could be divided among HA operators and external rescue and relief services); parameters for linking the degree of hazard (type of activity, quantity and characteristics of chemicals) with an obligation for the preparation of OnEP; data needed as an input for the preparation of OnEP (scope and content of data, source of data, analysis of data); institutions/authorities/rescue units/experts to be consulted and coordinated in the preparation of OnEP; matters/arrangements to be covered by OnEP (in line with Annex VII of the Convention); procedures and rules with regard to the review and revision of OnEP; testing of OnEP (frequency, modalities, etc).

<sup>d</sup> Discussions might include: principles to be followed and targets to be achieved with the application of OfEP; principles to be followed with regard to the sharing of capacities to respond to emergencies; parameters for assignment of the competent authorities responsible for the preparation of OfEP; input data needed for the preparation of OfEP (i.e., the information that the competent authority needs to collect to prepare an OfEP); compatibility with OnEP; institutions/authorities/rescue units/experts to be involved in the preparation of an OfEP; matters/arrangements to be covered by OfEP (in accordance to Annex VII); procedures and rules with regard to the review and revision of OfEP; testing of OfEP (frequency, modalities, etc.); procedures and rules for public participation; inspection controls (application criteria, modalities and goals of inspections, methods of inspections, actions in case of non-compliance).

<sup>e</sup> Discussions might include: parameters for determining the need to exchange data with relevant Parties to the Convention; the type of data to be exchanged; the frequency of the exchange; assignment of responsibilities (to check whether the transboundary compatibility is relevant, to exchange data, to ensure that received data is taken into account, to review/revise compatible emergency plans); testing of compatible emergency plans (frequency, modalities); parameters for determining a need to draw up joint OfEP.

<sup>f</sup> Legislation imposing responsibilities on HA operators not yet enforced.

## Working area 5: Response and mutual assistance

	<i>Mechanism giving the responsibility to the competent authority to promptly recognize industrial accidents or an imminent threat thereof</i>	<i>Mechanism to ensure the use of notification systems at the local level</i>	<i>Mechanism to ensure the use of the UNECE IAN System</i>	<i>Mechanism giving responsibility to the competent authority to request and to provide mutual assistance</i>
Progress stage 1	<i>Little awareness among the competent authorities of a need to establish a mechanism that allows prompt recognition of an industrial accident or an imminent threat thereof.</i>	<i>Little awareness among the competent authorities of the importance of a well functioning notification systems at the local level.</i>	<i>Little awareness among the competent authorities of the correct application of the IAN System.</i>	<i>Little awareness among the competent authorities of a need to establish a mechanism for requesting/providing assistance in the event of an industrial accident.</i>
Progress stage 2	<i>Initial discussions (could be among competent authorities, experts, HA operators) leading to an understanding of the legal context and a proposal to establish a mechanism that would impose a responsibility on the competent authorities to ensure prompt recognition of an industrial accident or an imminent threat thereof.<sup>a</sup></i>	<i>Initial discussions (could be among competent authorities, experts, HA operators) leading to an understanding of the legal context and a proposal to establish a mechanism that would ensure the correct functioning of a notification system at the local level, or the introduction of such a system where there is none.</i>	<i>Initial discussions (could be among competent authorities, experts, HA operators) leading to an understanding of the legal context and a proposal to establish a mechanism ensuring that the designated Point of Contact for the purpose of accident notification at the international level operates the IAN System.</i>	<i>Initial discussions (could be among competent authorities, experts, HA operators) leading to an understanding of the legal context and a proposal to introduce a mechanism for requesting/providing assistance in the event of an industrial accident, as well as ensuring that a Point of Contact for assistance is designated.<sup>b</sup></i>
Progress stage 3	<i>Decision taken at the level of policymakers to introduce a mechanism giving the responsibility to the competent authority to ensure prompt recognition of an industrial accident or an imminent threat thereof.</i>	<i>Decision taken at the level of policymakers to introduce a mechanism giving the responsibility to the competent authority to ensure the correct functioning of notification systems at the local level, or the introduction of such a system where none exists.</i>	<i>Decision taken at the level of policymakers to introduce a mechanism ensuring that the designated Point of Contact for the purpose of accident notification at the international level operates the IAN system.</i>	<i>Decision taken at the level of policymakers to introduce a mechanism for requesting/providing assistance in the event of an industrial accident and ensuring that a Point of Contact for assistance is designated.</i>

	<i>Mechanism giving the responsibility to the competent authority to promptly recognize industrial accidents or an imminent threat thereof</i>	<i>Mechanism to ensure the use of notification systems at the local level</i>	<i>Mechanism to ensure the use of the UNECE IAN System</i>	<i>Mechanism giving responsibility to the competent authority to request and to provide mutual assistance</i>
	Identification of all relevant governmental and other stakeholders to be consulted.	Identification of all relevant governmental and other stakeholders to be consulted.	Identification of all relevant governmental and other stakeholders to be consulted.	Identification of all relevant governmental and other stakeholders to be consulted.
Progress stage 4	<i>Intensive and detailed discussions on the mechanism.<sup>c</sup></i> Discussions have to involve all relevant governmental and other stakeholders identified in progress stage 3.	<i>Intensive and detailed discussions on the notification systems at local level.</i> Discussion have to involve all relevant governmental and other stakeholders identified in progress stage 3.	<i>Intensive and detailed discussion on the mechanism to ensure the use of the IAN System.<sup>d</sup></i> Discussions have to involve all relevant governmental and other stakeholders identified in progress stage 3.	<i>Intensive and detailed discussions on the mechanism.<sup>e</sup></i> Discussions have to involve all relevant Government and other stakeholders identified in progress stage 3.
Progress stage 5	<i>Mechanism adopted through governmental act or other form of national practice, but not yet operational in practice.</i> The adopted mechanism defines the following as a minimum: (a) The parameters, responsibility and procedure to recognize an industrial accident or an imminent threat of one; (b) The parameters for linking the recognition of an industrial accident or an imminent threat thereof with national procedures and measures to contain and minimize the effects;	<i>Mechanism adopted through governmental act or other form of national practice, but not yet operational in practice.</i> The adopted mechanism defines the following as a minimum: (a) Those responsible (e.g., the authorities, the departments, etc.) for operating the notification system at the local level; (b) The procedures to be used under the notification systems at the local level; (c) The link to the notification system at the national level.	<i>Mechanism adopted through governmental act or other form of national practice, but not yet operational in practice.</i> The adopted mechanism defines the following as a minimum: (a) Obligatory use of a relevant notification system for the notification of industrial accidents in a transboundary context; (b) Point of Contact to operate a relevant notification system for transboundary notification purposes.	<i>Mechanism adopted through governmental act or other form of national practice, but not yet operational in practice.</i> The adopted mechanism defines the following as a minimum: (a) Point of Contact for assistance; (b) Parameters upon which the assistance requested will be based; (c) Parameters upon which a request for assistance from another Party will be evaluated and responded to;

<i>Mechanism giving the responsibility to the competent authority to promptly recognize industrial accidents or an imminent threat thereof</i>	<i>Mechanism to ensure the use of notification systems at the local level</i>	<i>Mechanism to ensure the use of the UNECE IAN System</i>	<i>Mechanism giving responsibility to the competent authority to request and to provide mutual assistance</i>
<p>(c) The parameters, responsibility and procedure for recognizing existing or potential transboundary effects of an industrial accident or an imminent threat thereof;</p> <p>(d) The procedure for and responsibility to notify and communicate with possibly affected Party;</p> <p>(e) The procedure for and responsibility to jointly assess possible effects if appropriate;</p> <p>(f) The procedure for and responsibility to ensure joint response and to coordinate measures to contain and minimize effects of an industrial accident.<sup>f</sup></p>	<p>The need for training to implement the mechanism has been discussed.</p> <p>A training programme has been designed in case of a confirmed need.</p>	<p>The need for training to implement the mechanism has been discussed.</p> <p>A training programme has been designed in case of a confirmed need.</p>	<p>(d) Procedures to be followed and division of responsibilities with regard to the request/provision of assistance.</p> <p>The need for training to implement the mechanism has been discussed.</p> <p>A training programme has been designed in case of a confirmed need.</p>
<p>The need for training to implement the mechanism has been discussed.</p>			
<p>A training programme has been designed in case of a confirmed need.</p>			

	<i>Mechanism giving the responsibility to the competent authority to promptly recognize industrial accidents or an imminent threat thereof</i>	<i>Mechanism to ensure the use of notification systems at the local level</i>	<i>Mechanism to ensure the use of the UNECE IAN System</i>	<i>Mechanism giving responsibility to the competent authority to request and to provide mutual assistance</i>
Progress stage 6	<p><i>Mechanism (as adopted in progress stage 5) is operational and implemented in practice by the competent authorities.</i></p> <p>Competent national experts are available and continuously trained to implement the mechanism.</p> <p>Resources (staff, funding, etc.) have been secured.</p>	<p><i>Mechanism (as adopted in progress stage 5) is operational and is implemented in practice by the competent authorities.</i></p> <p>Resources (staff, funding, equipment) have been secured.</p> <p>Notification exercises are being performed at regular intervals.</p>	<p><i>Mechanism (as adopted in progress stage 5) is operational and is implemented in practice by the competent authorities.</i></p> <p>Resources (staff, funding, etc.) have been secured.</p> <p>Points of Contact use the IAN System and competent national experts are available, aware and continuously trained to use the IAN System.</p>	<p><i>Mechanism (as adopted in progress stage 5) is operational and is implemented in practice by the competent authorities.</i></p> <p>Resources (staff, funding, etc.) have been secured.</p> <p>Competent national experts are available, aware and continuously trained to implement the mechanism.</p>

<sup>a</sup> Initial discussions may also include initial exploration of available good practices.

<sup>b</sup> Point of Contact for notification (under the mechanism to ensure use of IAN System) and the Point of Contact for mutual assistance should preferably be the same

<sup>c</sup> Discussions might include: those responsible for the recognition of an industrial accident or an imminent threat thereof (e.g., the authorities, the departments, etc.); measures to contain and minimize effects following recognition of an industrial accident or an imminent threat thereof; parameters for the recognition of threats or accidents that could cause transboundary effects; and joint response to an accident or to an imminent threat thereof.

<sup>d</sup> Discussions might include: authority to serve as a Point of Contact for transboundary notification purposes; necessary equipment; possible amendments to national legislation to ensure the use of the IAN System, training to ensure the use of IAN system.

<sup>e</sup> Discussions might include: the legal basis to be used to request and to respond to a request for assistance (national legislation, bilateral agreement, Party to a convention or other type of multilateral agreement); designation of a Point of Contact for mutual assistance; parameters for a decision to be taken to request assistance; parameters for a decision to be taken to provide or reject assistance; procedures to be applied; and division of responsibilities.

<sup>f</sup> This refers to joint response at the border of two or more countries. Mutual assistance is covered under indicator number 3.

## Annex VII

## Working area 6: Information to the public and public participation

	<i>Mechanism to inform the public</i>	<i>Mechanism to ensure opportunities for public participation in relevant procedures</i>
Progress stage 1	<i>Little awareness</i> among the competent authorities of a need to establish a mechanism that ensures the transmission of information to the public in areas which are capable of being affected by an industrial accident.	<i>Little awareness</i> among the competent authorities of the necessity of public participation in relevant procedures. <sup>b</sup>
Progress stage 2	<i>Initial discussions</i> (could be among competent authorities, experts, HA operators) <sup>a</sup> leading to an understanding of the legal context and a need to establish a mechanism that ensures the transmission of information to the public in areas which are capable of being affected by an industrial accident.	<i>Initial discussions</i> <sup>c</sup> (could be among authorities, experts, HA operators) at national level leading to an understanding of the legal context and a proposal to introduce a mechanism to ensure opportunities for public participation in relevant procedures. <sup>d</sup>
Progress stage 3	<i>Decision</i> taken at the level of policymakers to introduce a mechanism to inform the public.  Identification of all relevant governmental and other stakeholders to be consulted.	<i>Decision</i> taken at the level of policymakers to introduce a mechanism to ensure opportunities for public participation in relevant procedures. <sup>e</sup>  Public participation opportunities for members of the public of the affected Party and for those of the Party of origin should be the same, when possible and appropriate.  Identification of all relevant governmental and other stakeholders to be consulted.
Progress stage 4	<i>Intensive and detailed discussions</i> on the mechanism. <sup>f</sup>  Discussion have to involve all relevant governmental and other stakeholders identified in Progress stage 3.	<i>Intensive and detailed discussions</i> on the mechanism.  Discussions have to involve all relevant governmental and other stakeholders identified in progress stage 3.  Discussions have to touch upon the topics listed in progress stage 5.
Progress stage 5	<i>Mechanism adopted</i> through governmental act or other form of national practice, <i>but not yet operational</i> in practice.	<i>Mechanism adopted</i> through governmental act or other form of national practice, <i>but not yet operational</i> in practice.

	<i>Mechanism to inform the public</i>	<i>Mechanism to ensure opportunities for public participation in relevant procedures</i>
	<p>The adopted mechanism defines the following as a minimum:</p> <ul style="list-style-type: none"> <li>(a) The parameters and procedures to determine the public in the areas where the public is to be affected and needs to be informed;</li> <li>(b) Responsibility given to an authority or to HA operators to ensure public information;</li> <li>(c) Scope and content of the public information;</li> <li>(d) Review and revision of the public information;</li> <li>(e) Dissemination channels;<sup>g</sup></li> <li>(f) Exceptions to provision of information to the public if relevant.</li> </ul> <p>The need for training to implement the mechanism has been discussed.</p> <p>A training programme has been designed in case of a confirmed need.</p>	<p>The adopted mechanism defines the following as a minimum:</p> <ul style="list-style-type: none"> <li>(a) The parameters for the definition of procedures relevant for public participation;<sup>h</sup></li> <li>(b) The authorities to be responsible for ensuring opportunities for public participation;<sup>i</sup></li> <li>(c) The time frames for public participation;</li> <li>(d) The modalities of public participation;<sup>j</sup></li> <li>(e) Responsibility of an authority to take due account of the outcome of the public participation;</li> <li>(f) Responsibility of an authority to inform the public of the final decision, with relevant explanation.</li> </ul> <p>The need for training to implement the mechanism has been discussed.</p> <p>A training programme has been designed in case of a confirmed need.</p>
Progress stage 6	<p><i>Mechanism</i> (as adopted in progress stage 5) <i>is operational and implemented in practice</i> by competent authorities and/or by HA operators.</p> <p>Resources (staff, funding, etc.) have been secured.</p> <p>Authorities provide awareness campaigns for the public, if needed.</p>	<p><i>Mechanism</i> (as adopted in progress stage 5) <i>is operational and implemented in practice</i> by the competent authorities.</p> <p>Authorities provide awareness-raising campaigns for the public, if needed.</p> <p>Resources (staff, funding, etc.) have been secured.</p>

<sup>a</sup> Initial discussion may also include initial exploration of available good practices.

<sup>b</sup> With the aim of making known its views and concerns on prevention and preparedness measures.

<sup>c</sup> Initial discussions might take place among authorities, experts, representatives of the public, non-governmental organizations or other stakeholders. A necessary prerequisite for public participation is awareness (and willingness) among authorities to give the public the opportunity to participate in relevant procedures.

<sup>d</sup> See note “b”.

<sup>e</sup> See note “b”.

<sup>f</sup> Discussions might include: parameters for determining the public in the areas which are capable of being affected; the designation of responsibilities (informing the public could be the responsibility of an authority or of HA operators or of both); the scope of information (should follow Annex VIII and Annex V of the Convention); dissemination channels to be used for public information; arrangements for making the information transparent and accessible; and exceptions (national security and/or defence) on the dissemination of information.

<sup>g</sup> Examples of channels that might be used for dissemination of public information: sending information by post; publishing information in local newspapers; posting information on the Internet; making information available on the premises of an authority or of an operator.

<sup>h</sup> Parameters define, among others, circumstances for public invitation to participate and possible national security or defence exceptions to public participation.

<sup>i</sup> Public should be able to access (free of charge) available information when participating in relevant procedures to make known its views and concerns on prevention and preparedness measures.

<sup>j</sup> I.e., the public could make known its comments and views by taking part in public hearings, by sending comments and views in writing, etc.



## Annex VIII

### Forms for monitoring, analysing, planning and evaluating the participation of (country name) in the Assistance Programme (revised/date/)

Table 1

**Result of self evaluation with regard to the status of implementation of the Convention**

<i>Areas of work with indicators</i>	<i>Progress stage with explanation</i>	<i>Identification of shortcomings and challenges with a list of priority actions to be undertaken</i>
<b>Identification of hazardous activities</b>		
Mechanism for the collection of data		
Mechanism for the analysis and validation of data		
Mechanism for the review/revision of data		
<b>Notification of hazardous activities</b>		
Mechanism for transboundary consultation on hazardous activities		
Mechanism for notification of hazardous activities		
<b>Prevention</b>		
Mechanism giving responsibility for safe operation to HA operators		
Mechanism introducing control regime of the competent authorities		

<i>Areas of work with indicators</i>	<i>Progress stage with explanation</i>	<i>Identification of shortcomings and challenges with a list of priority actions to be undertaken</i>
<b>Preparedness</b>		
Mechanism giving responsibility for emergency preparedness to HA operators		
Mechanism giving responsibility for emergency preparedness to the competent authorities		
Mechanism ensuring transboundary compatible emergency plans		
<b>Response and mutual assistance</b>		
Mechanism giving responsibility to the competent authorities to promptly recognize industrial accidents or threats thereof		
Mechanism to ensure the use of the IAN System		
Mechanism to ensure the use of notification systems at the local level		
Mechanism giving responsibility to the competent authority to request and to provide assistance		
<b>Information to the public and public participation</b>		
Mechanism to inform the public		
Mechanism to ensure opportunities for public participation in procedures concerning prevention and preparedness measures		

Table 2

**Plan of activities to be undertaken (i.e. national action plan) with regard to the list of priority actions identified in table 1**

<i>Activities</i>	<i>Description of the activity with an indication of targeted result</i>	<i>Responsibility</i>	<i>Timing</i>	<i>External assistance needed? If yes, what kind?</i>
1 <sup>st</sup> activity				
2 <sup>nd</sup> activity				
...				

Table 3

**Report of activity(ies) implemented, results achieved**

<i>Activities</i>	<i>Results achieved</i>	<i>Follow-up</i>
1 <sup>st</sup> activity		
2 <sup>nd</sup> activity		
...		