

## ECONOMIC COMMISSION FOR EUROPE

### CONFERENCE OF THE PARTIES

### TO THE CONVENTION ON THE TRANSBOUNDARY EFFECTS OF INDUSTRIAL ACCIDENTS

## GUIDELINES

### TO REPORTING FORMAT FOR THE NINTH REPORT ON THE IMPLEMENTATION OF THE CONVENTION ON THE TRANSBOUNDARY EFFECTS OF INDUSTRIAL ACCIDENTS (1 January 2016 – 31 December 2018)

These guidelines have been prepared to direct countries to respond as fully and precisely as possible to the questions in the reporting format.

Each Party, committed country<sup>1</sup>, and other reporting countries under the Industrial Accidents Convention's Assistance and Cooperation Programme<sup>2</sup>, are encouraged to give an unbiased and accurate account of the present state of implementation of the Convention. For this purpose, countries are invited to study the indicators and criteria for self-evaluation of the progress achieved, to be found in the Benchmarks for the implementation of the Convention on the Transboundary Effects of Industrial Accidents document ([ECE/CP.TEIA/2010/6<sup>3</sup>](#)) and the [User-friendly version of the benchmarks<sup>4</sup>](#) could also be used. The mechanisms described in the original document and in the user-friendly version will facilitate answering to a number of questions in this questionnaire, including verification if all the necessary topics had been addressed. The indicators and criteria are also particularly useful in the identification of shortcomings and weaknesses in the implementation of the Convention and the definition of necessary corrective actions.

Answers to all questions should be clear and concise and they should not require more than 250-300 words except for Q.1 to which a comprehensive answer is estimated at 1,000-1,200 words. Members of the Working Group on Implementation might revert back to Focal Points to request clarification and

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<sup>1</sup> "Committed countries" are those UNECE member states that are not Parties to the Convention but have adopted the commitment declaration at the High-level Commitment Meeting (Geneva, 14–15 December 2005): Georgia, Kyrgyzstan, Tajikistan, Ukraine and Uzbekistan.

<sup>2</sup> As per the Convention's long-term strategy, adopted at the tenth meeting of the Conference of the Parties (4–6 December 2018), the "Assistance Programme" has been renamed the "Assistance and Cooperation Programme" (see ECE/CP.TEIA/38/Add.1)

<sup>3</sup> The Conference of the Parties to the Industrial Accidents Convention adopted the Benchmarks for the implementation of the Convention at its sixth meeting (The Hague, 8–10 November 2010). Available at <http://www.unece.org/env/teia/ap/tools.html>

<sup>4</sup> The Conference of the Parties to the Industrial Accidents Convention took note of the User-friendly version of the benchmarks document at its eighth meeting (Geneva, 3–5 December 2014). Available at: <http://www.unece.org/env/teia/ap/tools.html>

additional information, in accordance with its terms of reference, including to request that excessively long responses be shortened.

**Kindly note that for this reporting round all countries are requested to provide full replies to the questions, and are not required to copy the answers that were provided in previous reporting rounds as has been done in the past.**

### **Front Page of the reporting format**

On the front page, fill in the name of the reporting country and the name, authority<sup>5</sup> and coordinates (e-mail address and phone number) of the person who coordinates the reporting nationally and who could be contacted by members of the Working Group on Implementation during the process of evaluation of the national reports.

Question [I-A] - State whether the person coordinating the reporting is a Focal Point for the Convention. The focal point is an officer working within any established competent authority nominated for being the contact person for the secretariat and focal points of other Parties for the purposes of the Convention. The focal points can be also nominated by other UNECE member countries not Parties to the Convention. In this case the focal point represents one of the authorities usually coordinating the work falling under the scope of the Convention<sup>6</sup>.

Question [I-B] - State if the authority, for which the person is working, is a formally designated/established Competent Authority. The competent authority (Art. 17 of the Convention) is an authority formally designated or established at the ratification/accession/acceding as competent for the purposes of the Convention<sup>7</sup>.

Question [I-C] - Specify in the table which are the other authorities, if any, at national, regional and local levels that are engaged in the implementation of the Convention. Indicate their areas of responsibility and inform if they were also designated/established competent authorities. Please indicate organizations that have responsibilities in the implementation of the Convention (i.e. in implementing industrial safety).

Question [I-D] – (a) Describe then how the authorities mentioned in [I-C] have been involved in the preparation of the report, and (b) Please describe any progress made during the current reporting period (2016-2018). If no progress has been made, please explain why not.

### **POLICY FOR IMPLEMENTATION OF THE CONVENTION**

*According to article 3 of the Convention the Parties shall take appropriate measures and cooperate to protect human beings and the environment against industrial accidents by applying preventive, preparedness and response measures. For this purpose, the Parties shall develop and implement*

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<sup>5</sup> Please note that in the present guidelines and in the reporting format, the word “authority” is used as a synonym of “institution” and “organisation” with the aim of simplifying the language. Please bear in mind this aspect, when providing the information required.

<sup>6</sup> For more information about focal points and their roles, please refer to the note available on the Convention’s website in English and Russian: <http://www.unece.org/environmental-policy/conventions/industrial-accidents/envteiacontact.html>

<sup>7</sup> The information provided in the table will be used by the secretariat to update the list of designated competent authorities on the webpage (<https://www.unece.org/env/teia/contact.html>) accordingly.

*policies for reducing the risk of industrial accidents and obligating operators to take all measures necessary for the prevention of such accidents.*

### Questions 1-3

Question [1] – (a) Please provide a general description of your country’s policy and strategies for prevention of, preparedness for and response to industrial accidents, describing briefly:

(i) the most important legislation in this respect, to whom it is addressed and how this legislation is administered and enforced. Refer only to legislation (formal acts, regulations, other decisions) that pertains directly to the implementation of the Convention.

For example on:

- Identification of Hazardous activities and notification to neighbouring countries (art. 4)
- Voluntary extension (art. 5)
- Prevention of industrial accidents (art. 6)
- Emergency Preparedness and Response (art. 8 and 11)
- Mutual Assistance (art. 12)
- Industrial Accident Notification Systems (art. 10)
- Participation of the public (art. 9)
- Responsibility and Liability (art. 13)
- Research and Development (art. 14)
- Exchange of information and of technology (art. 15 and 16)
- Decision Making on Siting (art. 7)

This means legislation which is fundamental in the context of the implementation of the Convention, and which is directly applicable to the substances specified in annex I to the Convention. Please avoid describing legislation which is not covered by the Convention. For general legislation having a broader area of application than only implementation of the Convention, e.g. legislation on occupational safety and health, environmental protection, fire safety etc., please specify this legislation and explain how it contributes to the implementation of the Convention. The differences in legislative systems and terminology can make it difficult for members of the Working Group on Implementation to understand the difference between terms used. It is therefore suggested that Parties and reporting countries strive to use wide-ranging terms as the ones listed below.

- **International agreements** are agreements signed under international law (a combination of treaties and customs which regulates the conduct of states amongst themselves, and persons who trade or have legal relationships which involve the jurisdiction of more than one state).
- **Primary legislation** is a law or an act by the **legislative** branch of government (i.e. Parliament); examples are Acts of Parliament or Statutes.
- **Secondary legislation** is usually an act by the executive branch (i.e. the government). Secondary (or delegated) legislation must be authorised by primary legislation and conform to boundaries it has laid down. Examples are Statutory Instruments (Codes, Orders, Regulations, Rules)
- **Guidelines** are not executive acts

(ii) Which authorities are engaged in the implementation and monitoring of the Convention’s requirements, and how responsibility is divided between different authorities at national, regional and local level (if relevant). Possible co-ordination mechanisms should also be explained.

Question [1] – (b) When inserting legislation in the reporting format, please use the table in the reporting format that indicates the type of legislation and the areas of the Convention covered. Please also consider whether the legislation covers transboundary aspects. If yes, please tick the box in the final column of the table and provide a brief description of how the legislation covers transboundary aspects. Below is an example of the table.

Legislation title/name	Type of legislation				Covers				Trans-boundary
	International agreements	....	Secondary	Guidance	Identification (Art...)	Prevention	...	Response	Transboundary aspects covered
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Question [2] – (a) Assess the effectiveness of your country policy and by doing so consider whether the legislative, control and enforcement mechanisms, described in your answer to Question [1], are adequate to fulfill the requirements of the Convention effectively, and indicate your answer by selecting one of the multiple choice options (i.e. tick one box).

In the comments section, please justify your answer. You may also refer to any effectiveness indicators if such have been developed by your country, or the following criteria to assess whether a policy is effective:

- The policy is fully implemented; it is operational and managed by the relevant competent authorities.
- Human and financial resources are secured.
- National experts (among competent authorities at different levels and HA operators, as relevant) are available and continuously trained to use/implement the policy.
- There are a number of shortcomings in the system [and provide reasons why].

Question [2] – (b) Summarize in the answer to this question difficulties in general, if any, with regard to legislative, control and enforcement mechanisms you have identified recently, e.g. any shortcomings identified in legislative framework, lack of personnel or lack of resources and how these difficulties affected the implementation of the policy. Where the difficulties identified refer to identification and notification of hazardous activities, prevention, preparedness and response, public participation or decision-making on siting, describe them in more detail under questions 8 (d), 10 (c), 16 (c), 30 (b) or 33 (b), respectively.

Question [2] – (c) List in the answer to this question any changes to the policy that have been undertaken during the current reporting period or are planned or considered in the near future, e.g. to compensate or remedy possible shortcomings identified. If any steps are being planned indicate what the timeframe would be for it. When the steps undertaken or planned refer to initiating improvements to policies on identification and notification of hazardous activities, prevention, preparedness and response, public participation or decision-making on siting you should describe them respectively under questions 8 (e), 10 (d), 16 (d), 30 (c) or 33 (c), respectively.

For questions 2(b) and 2(c) Parties and reporting countries are expected to summarise difficulties they have identified and changes planned or undertaken to remedy them here, and provide specific details in the relevant question.

**Question [3]** – In regard to the United Nations Sendai Framework for Disaster Risk Reduction 2015-2030<sup>8</sup>, which falls under the umbrella of Agenda 2030<sup>9</sup>, state in 3 (a) whether your country's policy on the implementation of the Convention helps to implement the Sendai Framework, particularly the four 'priorities for action', and if so, provide in 3 (b) information on the 'linkages' between your country's policies and the Sendai Framework. These linkages may include, for example:

- Cooperation between respective government departments (e.g. government departments responsible for industrial safety, and government departments responsible for disaster risk reduction).
- Linkages between the Convention's reporting (e.g. implementation reports, national self-assessments and action plans for Assistance and Cooperation Programme beneficiary countries) and national disaster risk reduction policies and action plans established under the Sendai Framework.
- Integration of aspects of the Sendai Framework (e.g. its priorities for action) into your country's policies in regard to technological/chemical hazards.

## **IDENTIFICATION AND NOTIFICATION OF HAZARDOUS ACTIVITIES WITH THE POTENTIAL TO CAUSE TRANSBOUNDARY EFFECTS**

*According to article 4 of the Convention the Parties shall identify hazardous activities according to annex I that are capable of causing transboundary effects in the case of an industrial accident within their jurisdiction. The Parties shall ensure that the neighbouring Parties are duly notified of any existing such hazardous activity or proposed new hazardous activities.*

### **Questions 4-8**

**Question [4]** – Describe:

- (i) the mechanism/arrangements used for the identification of hazardous activities (as defined in Article 4 of the Convention) by explaining:
  - your country's mechanism for collecting data from operators (e.g. who collects data and how, the type of data collected, the data format used, the frequency and schedule of data collection, etc.),
  - the mechanism for data analysis and validation (use of system of classification of chemicals, use of annex I and location criteria<sup>10</sup> - and voluntary extension as per Art. 5 of the Convention, worst case scenario analysis, risk assessment, etc), and
  - the mechanism for review and revision.

You should also inform how these mechanisms are reflected in the legislation;

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<sup>8</sup> The Sendai Framework is available in Arabic, Chinese, English, French, Russian and Spanish from:

<https://www.unisdr.org/we/coordinate/sendai-framework>.

<sup>9</sup> The Sendai Framework for Disaster Risk Reduction has been adopted as part of Agenda 2030. In addition to the Sendai Framework, under the umbrella of Agenda 2030 are the Sustainable Development Goals (SDGs) and their targets, the most relevant to industrial safety being: SDG 3, 6, 9, 11, 12, 13 and 16. See the postcard on the UNECE Industrial Accidents Convention and the SDGs for more information:

[https://www.unece.org/fileadmin/DAM/env/documents/2015/TEIA/publications/\\_reduced\\_size\\_Portrait-Post-card-Industrial\\_Accidents-SDG-eng.pdf](https://www.unece.org/fileadmin/DAM/env/documents/2015/TEIA/publications/_reduced_size_Portrait-Post-card-Industrial_Accidents-SDG-eng.pdf)

<sup>10</sup> For the location criteria please see Decision 2018/1 contained in ECE/CP.TEIA/38/Add.1 available at:

[https://www.unece.org/fileadmin/DAM/env/documents/2018/TEIA/CoP\\_10/AC\\_ECE.CP.TEIA.A.38.Add.1.pdf](https://www.unece.org/fileadmin/DAM/env/documents/2018/TEIA/CoP_10/AC_ECE.CP.TEIA.A.38.Add.1.pdf)

- (ii) the mechanism/arrangements for notification of hazardous activities to neighbouring countries (art. 4.1). Please note that in this context notification means the formal procedure of sharing with neighbouring countries information about hazardous activities that can cause transboundary effects in the event of an accident so that these countries could undertake the adequate preventive measures to avoid fatalities (e.g. not building houses in the perimeter that is likely going to be hit by the consequences of the possible accident), as well as preparedness and response measures to be able to provide the most timely and effective response;
- (iii) the mechanism for consulting<sup>11</sup> the neighbouring country on whether to insert or not a given hazardous activity in the list to be notified. Transboundary consultation could be performed at the initiative of any Party concerned and regardless of the status (unofficial, official/validated) of the list of hazardous activities (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.

For further information on the above-mentioned mechanisms you may refer to Benchmarks for the implementation of the Convention ([ECE/CP.TEIA/2010/6](#) Annex I pages 10-11) and to the [User-friendly version](#) whose link has been indicated in a previous footnote.

The Criteria and Guidelines to Facilitate the Identification and Notification of Hazardous Activities adopted at the first Conference of the Parties and subsequently amended are available on the Convention's website (see Decision 2018/1 contained in ECE/CP.TEIA/38/Add.1 available at: [https://www.unece.org/fileadmin/DAM/env/documents/2018/TEIA/CoP\\_10/AC\\_ECE.CP.TEIA.38.Add.1.pdf](https://www.unece.org/fileadmin/DAM/env/documents/2018/TEIA/CoP_10/AC_ECE.CP.TEIA.38.Add.1.pdf)).

**Question [5]** – Please indicate the number of hazardous activities with the potential to cause transboundary effects, taking into account only those hazardous activities that have been identified in your country in accordance with the mechanism described under Question [4]. For this question only indicate installations that fall under the Convention. For other questions it may be necessary to also refer to hazardous activities within your country that are not capable of causing transboundary effects.

**Question [6]** – Indicate whether the number of hazardous activities has changed compared to previous reporting round and if so provide further information such as:

- (i) how many new hazardous activities have been identified since last reporting round (new activity, increased production capacity, etc.) and/or
- (ii) how many are no longer hazardous activities and why (decreased production capacity, closure, etc).

**Question [7]** – (a) Provide in the table information on whether you have notified neighbouring Parties/countries about the hazardous activities identified in the previous question. Indicate clearly in column I the neighbouring Party/country, in column II the number of hazardous activities notified and in column III whether any consultations were held. In column IV (comments) you may explain if there

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<sup>11</sup> As defined in the Benchmarks for the implementation of the Convention, in its user-friendly version, the mechanism for consulting neighbouring countries is defined as follows: “Set of procedures, implementation rules and actions to ensure that (potentially) affected Parties have an opportunity to inform Parties of origin of their views on the list of HA, regardless of its status (unofficial, official/validated), and to pursue a settlement of differences”. This can take place before a Party establishes an official list of hazardous activities under the Convention, or at a later stage, once the list is ready and is consulted with possible affected Parties.

is any hazardous activity not yet notified and what the reasons are for it or when the last consultation took place.

**Question [7]** – (b) Please consider using the *template for the notification of hazardous activities in accordance with article 4 of and annex III to the UNECE Convention on the Transboundary Effects of Industrial Accidents*, provided in the Annex to the report, to notify potentially affected countries of your hazardous activities and share this information on a voluntary basis along with this report.

**Question [8]** – (a) Indicate the effectiveness of your country’s mechanism for identification of hazardous activities by assessing the mechanism against the answer criteria contained in the [User-friendly version of the Benchmarks in the implementation of the Convention](#) (Working Area 1) and selecting one of the progress stages (progress stages 1-6).

**Question [8]** – (b) Indicate the effectiveness of your country’s mechanism for notification with neighbouring countries by assessing the mechanism against the answer criteria contained in the [User-friendly version of the Benchmarks in the implementation of the Convention](#) (Working Area 2) and selecting one of the progress stages (progress stages 1-6).

**Question [8]** – (c) Indicate the effectiveness of your country’s mechanism for consultation with neighbouring countries by assessing the mechanism against the answer criteria contained in the [User-friendly version of the Benchmarks in the implementation of the Convention](#) (Working Area 2) and selecting one of the progress stages (progress stages 1-6).

The general criteria for the progress stages (refer to the relevant Working Areas<sup>12</sup> in the [User-friendly version of the Benchmarks in the implementation of the Convention](#) and in the Benchmarks for the implementation of the Convention ([ECE/CP.TEIA/2010/6](#))) are as follows:

**Progress stage 1** – little awareness among competent authorities of the need to introduce the indicator or of the requirements for setting it up

**Progress stage 2** – initial discussions at the national level or among authorities, experts and operators are leading to the introduction of the indicator

**Progress stage 3** – a decision has been taken at the level of policymakers to introduce or update the indicator. Relevant stakeholders are identified

**Progress stage 4** – intensive and detailed discussions take place among stakeholders on the content of legislation and specific procedures

**Progress stage 5** – the indicator has been adopted and covers all the minimum elements, but it is only partly operational in practice (due to the lack of resources)

**Progress stage 6** – the indicator is fully operational and implemented by the competent authorities, the operators or both

**Question [8]** – (d) List weaknesses, if any, recently identified in your mechanism for identification and/or notification of hazardous activities as well as in the mechanism for consultation with

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<sup>12</sup> The “Benchmarks” (both the official document and the user-friendly version) outline six “priority working areas” that relate to the Convention’s articles and annexes. For each working area, a set of indicators/mechanisms is provided. In order for countries to measure their progress in the implementation of the Convention against each indicator/mechanism, they assess their level of implementation against the six “progress stages” and select one of the criteria for each indicator/mechanism.

neighbouring countries. Reference: [Benchmarks for the implementation of the Convention \(ECE/CP.TEIA/2010/6](#), Annex II – identifications, Annex III – notification, and in the [User-friendly version of the Benchmarks document](#), please refer to pages 10-13).

**Question [8]** – (e) List any actions that have been undertaken or are planned or considered. Such actions might be connected to any weaknesses that had been identified and you listed them under Question [8](d) or with regard to your country striving for further improvements. For planned actions, indicate what the timeframe would be for them.

## **PREVENTION OF INDUSTRIAL ACCIDENTS**

*According to article 6 of the Convention the Parties shall take appropriate measures for the prevention of industrial accidents. They are also obliged to see that operators of hazardous activities take action to reduce the risk and demonstrate the safe performance of such activities.*

### **Questions 9-10**

Please note: Preventive measures implemented at hazardous activities not falling within the scope of the Convention and that could be considered examples of good practise may be described with the purpose of collecting and exchanging good practices.

**Question [9]** - In light of the general answer already given under Question [1] above, briefly describe how preventive measures are taken and followed up by operators, competent authorities, and joint efforts (by operators, authorities and/or other stakeholders) during all phases of a relevant industrial activity (cradle to grave) outside the scope of the convention. Please include your reply in the respective row of the table. In answering give attention to:

- (i) main categories of preventive measures to be taken **by operators** at different stages, such as
  - safety management
  - creation of a safety culture
  - hazard identification, risk assessment
  - siting, design and construction
  - operation
  - modifications, maintenance and repairs
  - review of safety performance
  - decommissioning/closure
- (ii) main preventive measures taken **by authorities**, such as
  - safety strategies
  - control, inspection and enforcement framework
  - land use planning
  - safety performance review and evaluation
- (iii) interaction and/or cooperation between **operators and authorities**, as well as other stakeholders (public at large, labour organizations, NGOs etc.) with the aim of preventing industrial accidents, unless you plan to describe it under the chapter on public participation Questions [25-30].



Alternatively, you may refer to mechanisms described in Benchmarks for the implementation of the Convention ([ECE/CP.TEIA.2010/6](#) Annex I pages 11-12 and in the [User-friendly version of the Benchmarks](#) document, please refer to pages 14-15).

Question [10] – (a) Please indicate the extent to which your countries prevention measures deliver the intended results by selecting from the multiple choice provided. Please elaborate on your answer by providing comments underneath.

Question [10] – (b) Indicate the effectiveness of your country's prevention mechanism by assessing the mechanism against the answer criteria contained in the [User-friendly version of the Benchmarks in the implementation of the Convention](#), Working Area 3, and selecting one of the progress stages (progress stages 1-6).

Question [10] – (c) List weaknesses, if any, recently identified in your system of prevention of industrial accidents. Reference: Benchmarks for the implementation of the Convention ([ECE/CP.TEIA/2010/6](#), Annex IV – prevention) and in the [User-friendly version of the Benchmarks in the implementation of the Convention](#), please refer to pages 16-18).

Question [10] – (d) Answer yes or no and then provide comments on any actions that have been undertaken or are planned or considered. Such steps might be connected to any weaknesses that had been identified and you listed them under Question [10] (c) or with regard to your country striving for further improvements, e.g. for making the system more effective in terms of resource requirements. For planned actions indicate what the timeframe would be for them.

Question [10] – (e) Please provide information on good practices by your country in prevention – supported by references or/and weblinks, if possible, and, preferably, in English. Good practice examples extracted from the previous reporting round are available from: <http://www.unece.org/environmental-policy/conventions/industrial-accidents/envteia-guidelines/good-practices.html>.

## **EMERGENCY PREPAREDNESS AND RESPONSE**

*According to article 8 of the Convention the Parties shall take appropriate measures to establish and maintain adequate emergency preparedness to respond to industrial accidents. To that effect the Parties shall ensure the preparation and implementation of on-site and off-site contingency plans. According to article 9 of the Convention these plans should be compatible with those of their neighbouring countries. The Parties shall also ensure that adequate information is given to the public in the areas capable of being affected by an industrial accident.*

*According to article 11 of the Convention, the Parties shall ensure that, in the event of an industrial accident, or imminent threat thereof, adequate response measures are taken to contain and minimize effects. Measures to assess the effects of the accident should be taken (when appropriate jointly with neighbouring countries). Whenever possible, countries should endeavour to coordinate their response measures.*

### **Questions 11-20**

Question [11] – Indicate whether on-site (internal) and off-site (external) contingency plans exist for all hazardous activities identified in your country. If such plans do not exist, or only exist to a certain extent, provide information on why this is the situation – using as an answer the criteria contained in the Benchmarks for the implementation of the Convention ([ECE/CP.TEIA/2010/6](#), Page 5 and Annex V, progress stages 1-6).

Question [12] – Provide information on how the plans are being established, e.g. whether they take account of hazard/risk assessments. You may refer to mechanisms addressing the on-site and off-site plans described in the Benchmarks for the implementation of the Convention ([ECE/CP.TEIA/2010/6 Annex I page 12 and Annex V](#)) and in the [User-friendly version of the Benchmarks in the implementation of the Convention](#), please refer to pages 19-21 response and mutual assistance;

Question [13] – Describe the coordination mechanism between operators and competent authorities for preparations of the plans, unless it does not exist. You may refer to mechanisms addressing the on-site and off-site plans described in the Benchmarks for the implementation of the Convention ([ECE/CP.TEIA/2010/6](#), pages 5 and 12 and Annex V) and in the [User-friendly version of the Benchmarks in the implementation of the Convention](#), please refer to pages 16-18.

Questions [14] and [15] – Describe the mechanisms for testing, review and updating of such plans within your country [14] or in cooperation with neighbouring countries [15]. You may refer to mechanisms addressing the on-site and off-site plans and for ensuring transboundary compatible planning described in the Benchmarks for the implementation of the Convention ([ECE/CP.TEIA/2010/6](#), pages 5 and 12 and Annex V) and in the [User-friendly version of the Benchmarks in the implementation of the Convention](#), please refer to pages 16-18.

Question [16] – (a) In response to each indicator, please indicate ‘Yes’ or ‘No’ in relation to the question and also indicate which progress stage (refer to the [User-friendly version of the Benchmarks in the implementation of the Convention](#), Working Area 4) reflects your country’s progress in terms of emergency preparedness.

In the comments section underneath, please describe how the system you have adopted allows for effective establishment and maintenance of emergency preparedness in relation to each indicator. Please also consider and describe any challenges that you may experience in relation to each indicator/mechanism. For guidance, use the questions to the left of Working Area 4 in the “Benchmarks” document. You may also refer to any effectiveness indicators if such have been developed by your country. Please also indicate which authority(ies) is/are responsible for them.

Question [16] – (b) This question is in relation to contingency plans to respond to accidents within your own country, as well as contingency plans to respond to accidents in neighbouring countries. In response to each indicator, please indicate ‘Yes’ or ‘No’ in relation to the question and also indicate the progress stage for indicator 1 in the [User-friendly version of the Benchmarks in the implementation of the Convention](#), Working Area 5).

In the comments section underneath, please describe how the system you have adopted allows for effective establishment and maintenance of emergency response plans and procedures in relation to the indicator. Please also consider and describe any challenges that you may experience in relation to each indicator/mechanism. For guidance, please use the questions to the left on Working Area 5 in the [User-friendly version of the Benchmarks in the implementation of the Convention](#). You may also refer to any effectiveness indicators if such have been developed by your country. Please also indicate which authority(ies) is/are responsible for them.

Question [16] – (c) Please list weaknesses, if any, recently identified in your system of preparedness and response. Reference: (Benchmarks for the implementation of the Convention ([ECE/CP.TEIA/2010/6](#), Annex V – preparedness, and Annex VI – response and mutual assistance, as far as they refer to preparedness and response)) and in the [User-friendly version of the Benchmarks in the implementation of the Convention](#), please refer to pages 16-21.

Question [16] – (d) Please list actions that have been undertaken or are planned or considered. Such actions might be connected to any weaknesses that had been identified and you listed under Question [16](c) or with regard to your country striving for further improvements. Indicate the timeframe for any planned actions.

Question [17] – Indicate whether in your country guidelines are used to support and provide input to national/regional/local authorities and/or operators for the preparation of contingency plans. In replying to this question please explain briefly other guidance that your country has prepared for hazardous installations, including those that do not fall within the Convention. This information would be very useful for collecting good practices to enhance the implementation of the Convention in general. Please use as an answer the criteria contained in the Benchmarks for the implementation of the Convention [ECE/CP.TEIA/2010/6](#) (the Page 5 and Annex V, progress stages 1-6)

Question [18] – Indicate whether your country uses the Industrial Accident Notification (IAN) System and briefly describe which authority is responsible for it and how does it function.

Question [19] – Please indicate the name of the point of contact as of art. 17 of the Convention.

Question [20] – Indicate whether your country uses another international notification system (in addition or instead of the IAN System); describe which authority is responsible for it and how does it function.

## **MUTUAL ASSISTANCE**

*According to article 12 of the Convention, if a Party needs assistance in the event of an industrial accident, it may ask for assistance from other Parties. A Party to whom a request for assistance is directed shall promptly decide and inform the requesting Party whether it is in a position to render the assistance required and indicate the scope and terms of the assistance. The Parties concerned shall cooperate to facilitate the prompt provision of assistance agreed to. Where Parties do not have bilateral or multilateral agreements which cover their arrangements for providing mutual assistance, the assistance shall be rendered in accordance with Annex X unless the Parties agree otherwise.*

### **Questions 21-22**

Question [21] – Indicate whether your country has identified an authority operational 24 hours/7 days to be the point of contact to provide mutual assistance in the event of an accident.

Question [21] – (a) Please provide information on the point of contact responsible for requesting and/or providing assistance in the event of an accident. Please indicate the name and briefly describe the functioning.

Question [21] – (b) Please describe, in general terms, the procedures followed to request and/or provide assistance (elements that you might wish to describe include: parameters upon which the assistance requested will be based and parameters upon which a request for assistance from another Party will be evaluated and responded to).

Question [22] – Please indicate whether your country is part to any bilateral or multilateral agreements on mutual assistance, and then provide a full answer in the comments section. To better identify this kind of agreement you could refer to the provisions of article 12 or to its annex X.

## **SCIENTIFIC AND TECHNOLOGICAL CO-OPERATION AND EXCHANGE OF INFORMATION**

*According to articles 14, 15 and 16 of the Convention the Parties shall promote scientific and technological cooperation for the prevention of, preparedness for and response to industrial accidents, as well as for the exchange of information and technology.*

### **Questions 23-24**

Question [23] - Please indicate 'Yes' or 'No' and then describe any bilateral or multilateral activities/programmes which your country has set up to exchange information, experiences or technology with the aim of strengthening the fulfilment of the Convention's requirements. This should include: with whom, on what subjects/activities and a list of the possible results. You may wish to add additional information on items listed in Annex XI to the Convention. In view of collecting and sharing good practice, the Working Group on Implementation invites Parties and reporting countries to reply to this question even if there are no installations within the scope of the Convention in the country. This would allow the identification of additional good practices in exchanging information or in scientific or technological cooperation.

Question [24] – Indicate whether your country has improved the linkages between its national safety authority and other departments/organizations that are responsible for managing aspects related to disaster risk reduction. Then provide information on the efforts taken to improve these connections.

## **INFORMATION TO AND PARTICIPATION OF THE PUBLIC**

*According to article 9 of the Convention the public in areas capable of being affected in the Affected Party and in the Party of Origin should have equal opportunity to participate in relevant procedures and have equal access to and treatment in relevant administrative and judicial proceedings.*

### **Questions 25-30**

Question [25] – (a) Please describe the opportunities given to the public in your country regarding participation relating to preventive measures and how these have been elaborated in national legislation. You may refer to the mechanisms for ensuring public participation described in the Benchmarks for implementation of the Convention ([ECE/CP.TEIA.2010/6](#) Annex I page 13 and Annex VII) and in the [User-friendly version of the Benchmarks in the implementation of the Convention](#), please refer to pages 22-23. Please note that in replying to this question you should consider whether such possibilities for the public to participate exist in your country regardless of whether or not your country currently has hazardous activities capable of causing transboundary effects in the event of an accident.

Question [25] – (b) Please describe the opportunities given to the public in your country regarding participation relating to emergency preparedness measures and how these have been elaborated in national legislation. You may refer to mechanism for ensuring public participation described in the Benchmarks for implementation of the Convention ([ECE/CP.TEIA.2010/6](#) Annex I page 13 and Annex VII) and in the [User-friendly version of the Benchmarks in the implementation of the Convention](#), please refer to pages 22-23. Please note that in replying to this question you should consider whether such possibilities for the public to participate exist in your country regardless of whether or not your country currently has hazardous activities capable of causing transboundary effects in the event of an accident.

Question [26] – Indicate how the opportunities for participation have been communicated to the public.

Question [27] – Given that opportunities exist for public participation, please indicate and then explain whether the public does participate and explain to what extent they take advantage of these opportunities. If the public does not participate, indicate according to your knowledge why this is the situation.

Question [28] – Please indicate and then explain whether your system allows for participation by the public of neighbouring countries/ Parties in the same way as your own public.

Question [29] – Please indicate ‘Yes’ or ‘No’ for administrative and judicial, and then explain whether natural or legal persons of neighbouring countries/ Parties have access to equal relevant administrative and judicial procedures in your country.

Question [30] – (a) Please indicate whether your country has been successful in developing public participation. You may refer to any effectiveness indicators if such have been developed by your country.

Question [30] – (b) List weaknesses, if any, recently identified in your policy for public participation. Reference: Benchmarks for implementation of the Convention ([ECE/CP.TEIA.2010/6](#), Annex VII – information to the public and public participation) and in the [User-friendly version of the Benchmarks in the implementation of the Convention](#), please refer to pages 22-23. (c) – List any actions that have been undertaken or are planned or considered. Such steps might be connected to any weaknesses that had been identified and you listed them under Question [30](b) or with regard to your country striving for further improvements. For actions planned indicate what the timeframe would be for them.

## **DECISION-MAKING ON SITING AND LAND-USE PLANNING**

*According to article 7 of the Convention the Parties shall, within the framework of their legal systems, seek the establishment of policies on the siting of new hazardous activities and on significant modifications to existing activities.*

### **Questions 31-36**

Question [31] – Please describe any special siting or land use policies that your country has for the location of hazardous activities or significant modifications of such activities. Explain the policy and how it is followed up in practice and reflected in legislation.

Question [32] – Please provide information on whether the policy takes into account transboundary issues, and if so, describe any existing bilateral activities on siting in light of the Convention’s requirements.

Question [33] – (a) If a siting policy has been established, give a general evaluation of the policy effectiveness. You may refer to any effectiveness indicators if such have been developed by your country.

Question [33] – (b) List weaknesses, if any, recently identified in your policy for siting. You may refer to the [UNECE Guidance on land-use planning, the siting of hazardous activities and related safety aspects](#) and consider the conclusions and recommendations from recent workshops, e.g. UNECE joint workshop on land use planning around hazardous industrial sites (The Hague, Netherlands, 11-12

November 2010) or the [UNECE seminar on land-use planning and industrial safety](#) (Mechelen, Belgium, 16-17th May 2018).

Question [33] – (c) List any actions that have been undertaken or are planned or considered. Such actions might be connected to any weaknesses that had been identified and you listed under Question [33] (b) or with regard to your country striving for further improvements. For actions planned indicate what the timeframe would be for them.

Question [34] – Please explain or describe if/how your country's industrial safety procedures and land-use planning procedures are coordinated.

Question [35] – Please indicate whether there is formal legislation that requires your country's safety experts (i.e. national industrial safety authorities) and land-use planners (i.e. planning authorities at the national and/or local levels) to cooperate. Then describe how your country's safety and planning experts cooperate.

Question [36] – (a) Please indicate (by selecting one or two of the boxes provided) whether your country considers implementing the legal obligations of the UNECE Convention on Environmental Impact Assessment in a Transboundary Context (Espoo Convention) and its Protocol on Strategic Environmental Assessment (Protocol on SEA), with respect to siting and land-use planning activities, when you are implementing the obligations of the Convention on the Transboundary Effects of Industrial Accidents.

Question [36] – (b) Please state if you are a Party to the UNECE Espoo Convention and/or the UNECE Protocol on SEA. You may provide information about how your country considers the implementation of environmental impact assessment and strategic environmental assessment when implementing the obligations under the Convention on the Transboundary Effects of Industrial Accidents. If your country does not consider the implementation of these other legal obligations, please explain why not.

## **REPORTING ON PAST INDUSTRIAL ACCIDENTS**

*According to annex XII of the Convention, the Parties shall establish a databank for the reception, processing and distribution of information on past industrial accidents.*

*According to Art. 10 of the Convention, the Parties shall notify neighbouring countries on industrial accidents.*

### **Question 37**

Question [37] – (a) Indicate whether any industrial accidents with transboundary consequences (or capable of causing transboundary consequences) have taken place in your country or have affected your country during the current reporting period. If so, please list each accident giving the date, location and type of accident. Please refer to accidents covered by the definitions in Art. 1 only.

Question [37] – (b) If an accident was reported on, please indicate which reporting system was used (for instance river-alert systems, other international alarm system). Please also specify whether the system used is operated at national, regional or local level.

**ANNEX (NOTIFICATION TEMPLATE)** – Please consider using the *template for the notification of hazardous activities in accordance with article 4 of and annex III to the UNECE Convention on the*

*Transboundary Effects of Industrial Accidents*, provided in Annex I to the report, to notify potentially affected countries of your hazardous activities and share this information on a voluntary basis along with this report.

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