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1. Introduction

This document is designed for use in the development of the mandatory self-assessments that countries from South-Eastern Europe, Eastern Europe, the Caucasus and Central Asia submit to the secretariat under the Assistance Programme of the UNECE Convention on the Transboundary Effects of Industrial Accidents (TEIA). Self-assessments allow countries to assess their actual situation in implementing the Convention and in enhancing industrial safety. They are tools for tracking progress and identifying possible shortcomings. Any shortcomings identified in the self-assessment provide the basis for the development of plans of activities and needs-driven external assistance projects designed to overcome the shortcomings.

The responsible authorities and the relevant stakeholders can together apply their professional judgement across the set of indicators. National experts can complete the quantitative benchmarking (discussing progress stages across indicators) of a self-assessment in a one- or two-day meeting, though more time is needed to complete the qualitative benchmarking, which is more important and entails collecting the necessary information and producing a report. The participation of all the relevant authorities in industrial safety is crucial to completion of the qualitative benchmarking.

Countries are encouraged to use self-assessments for their own purposes and to look for synergies such as links to disaster risk reduction.

The self-assessments and plans of activities are submitted to the secretariat of the Industrial Accidents Convention. The secretariat presents those documents to the Convention's Working Group on Implementation (WGI), composed of national experts representing Parties to the Convention. The WGI goes through the self-assessments and plans of activities and provides comments to the submitting countries, if needed. The self-assessments and plans of activities are kept confidential.

2. The Convention and the Assistance Programme

The UNECE Convention on the Transboundary Effects of Industrial Accidents (TEIA) is designed to protect people and the environment against industrial accidents by preventing accidents from occurring, or by reducing their frequency and severity and by mitigating their effects. The Convention promotes active international cooperation between countries, before, during and after an industrial accident, and encourages its Parties to help each other in the event of an accident, to cooperate on research and development and to share information and technology.

The Assistance Programme was launched in 2004 and helps countries reach an optimal level of industrial safety through the implementation of the Convention. The Assistance Programme organizes activities on a needs-driven basis and functions on the basis of a strategic approach. The strategic approach was designed to ensure the continuous improvement and sustainability of the Convention's implementation by the beneficiary countries of the Assistance Programme. Countries within the Assistance Programme benefit from the pool of expertise among the UNECE TEIA Convention Parties and the industrial safety community in addressing shortcomings and priorities in legislation, institutional capacities or technical fields identified through the self-assessments.

At its seventh meeting, in 2012, the Conference of the Parties to the Convention requested the publication of the benchmark document in a more user-friendly manner to facilitate its use by the beneficiary countries of the Assistance Programme. This document reflects a number of improvements and simplifications based on country experiences in using the document, expert feedback and in-depth discussions in selected countries.

3. The Strategic Approach and the priority working areas

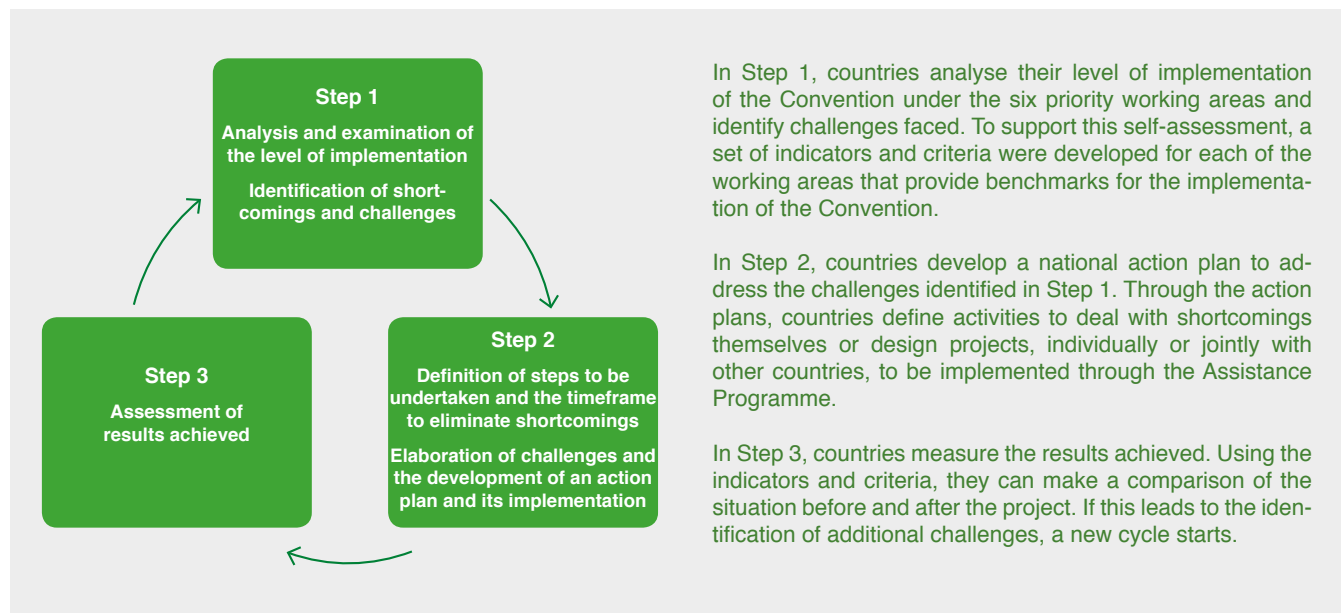
The strategic approach is a tool providing a robust basis for the comprehensive, carefully planned and coordinated implementation of the Convention. It is designed not to replace the plans already available or being developed, but to function as an umbrella for all the plans, integrating and linking them with each other.

The strategic approach requires countries to analyse, monitor and evaluate the level of implementation in each priority working area and to identify shortcomings and challenges regarding implementation of the Convention. The strategic approach also requires that countries compare the situation before and after the measures taken and determine if further improvements are needed. The figure below shows the stepwise mechanism.

This document is designed to help countries start applying the strategic approach by conducting self-assessments, which should be undertaken:

- The first time a country uses the strategic approach
- Whenever it changes its related legislation and practices
- Whenever it undertakes an action aimed at eliminating particular shortcomings
- At the end of any assistance activity

In every instance the countries should follow the stepwise mechanism. Table 1 shows the linkage between steps of the cyclic mechanism and information that needs to be provided by the countries.



A plan of activities is a prerequisite for the submission of project proposals under the Assistance Programme and should demonstrate the level of progress, the identified needs and the proposed actions. In preparing a project proposal, countries might find the information collected in Tables 10, 11 and 12 useful. (See chapters 6, 7 and 9.)

In ensuring that the strategic approach is implemented, the Bureau and the WGI of the Convention:

- Approve activities under the Convention's Assistance Programme based on a plan of activities
- Monitor the application of the strategic approach
- Monitor the progress achieved by countries as a whole and the impact of activities under the Assistance Programme.

Table 1. Linkage between steps of the cyclic mechanism and information to be submitted

Steps of the cyclic mechanism	Use of the tables
<p>Step 1 Analyse and examine the level of implementation of the Convention identifying shortcomings and challenges.</p>	<p>Table 10 Collect data on the results of the self-assessment, 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 timing to undertake and eliminate shortcomings; i.e., development of an action plan and its implementation.</p>	<p>Table 11 List planned activities to be carried out (plan of activities). The plan needs to be based on the shortcomings or challenges identified and needs to be validated by the relevant authorities according to the rules and practices in each country.</p>
<p>Step 3 Assess the results achieved.</p>	<p>Table 12 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>

A. The priority working areas

Table 2 links the six working areas identified as priorities to the Convention's articles and annexes.

Table 2. The six priority working areas and links with the Convention's articles and annexes

Working area	Convention's articles and relevant annexes
1. Identification of hazardous activities	<u>Art. 4</u> Identification, consultation and advice Annex <u>I</u> and <u>V</u>
2. Notification of hazardous activities	<u>Art. 4</u> Identification, consultation and advice Annex <u>II</u> and <u>III</u>
3. Prevention	<u>Art. 6</u> Prevention Annex <u>IV</u> and <u>V</u>
4. Preparedness	<u>Art. 8</u> Emergency preparedness Annex <u>VII</u>
5. Response and mutual assistance	<u>Art. 10</u> IAN System + <u>11</u> Response + <u>12</u> Mutual Assistance Annex <u>IX</u> + <u>X</u> + <u>XII</u>
6. Information to the public and public participation	<u>Art. 9</u> Information to and participation of the public Annex <u>VIII</u>

Two additional working areas have been identified – the siting of hazardous activities and civil liability. The UNECE TEIA Conference of the Parties decided that these two areas would be addressed after most of the shortcomings in the first six working areas are dealt with adequately.

Countries have to identify and analyse two cross-cutting themes – legislation (both primary and secondary) and institutional capacity (at the national and local levels) – when assessing the six working areas.

B. Indicators

For each priority working area a set of indicators defines a Party's obligations under the Convention.

Table 3. Overview of indicators across working areas

Working area	Indicator	Explanation of the indicator
1. Identification of hazardous activities	I. Mechanism for data collection	Set of procedures, implementation rules and actions allowing the relevant authorities to collect adequate data for the identification of hazardous activities (HA) from the operators, the type of data to be collected, schedules and procedures for data collection.
	II. Mechanism for data analysis and validation	Set of procedures, implementation rules and actions ensuring that the authorities and HA operators correctly apply the system for the classification of substances compliant with Annex I of the Convention and use the relevant criteria, recommended by the Convention, in a cross-border context. Collected data should be complete and adequate to identify HA and correspond to the real situation in the country. The country establishes an official HA list and ensures its availability at the national level and to neighbouring countries.
	III. Mechanism for data review and revision	Set of procedures, implementation rules and actions for review and revision of the official HA list.
2. Notification of hazardous activities	I. Mechanism for trans-boundary consultation on hazardous activities	Set of procedures, implementation rules and actions to ensure that 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.
	II. Mechanism for notification of hazardous activities	Set of procedures, implementation rules and actions allowing the competent authorities to notify potentially affected neighbouring countries of existing and/or planned HA.
3. Prevention	I. Mechanism for responsibility for safe operation to HA operators	Set of procedures, implementation rules and actions allowing the competent authorities to unambiguously identify HA operators as responsible for the safe operation of activities and to oblige HA operators to demonstrate the safe operation to competent authorities and the public using defined methodologies, methods and models.
	II. Mechanism for control regime	Set of procedures, implementation rules and actions allowing the competent authorities to manage industrial accident hazards, by setting safety goals, identifying the scope of major accident hazards in the country and organizing the monitoring of hazardous activities (review of safety documentation, licencing, inspection control and prohibitions, for instance).
4. Preparedness	I. Mechanism for responsibility for emergency preparedness of HA operators	Set of procedures, implementation rules and actions ensuring that HA operators prepare, coordinate, test, review and revise on-site emergency plans.
	II. Mechanism for responsibility for emergency preparedness of 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.
	III. Mechanism for trans-boundary emergency plans	Set of procedures, implementation rules and actions ensuring that the competent authorities of the concerned parties cooperate with each other and coordinate emergency plans to make them compatible.

Working area	Indicator	Explanation of the indicator
5. Response and mutual assistance	I. Mechanism for prompt recognition of industrial accidents	Set of procedures, implementation rules and actions ensuring that the competent authorities activate the relevant measures promptly in the event of an accident or of an imminent threat of an accident.
	II. Mechanism for application of UNECE 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.
	III. Mechanism for local notification systems	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.
	IV. Mechanism for requesting/providing assistance for IA	Set of procedures, implementation rules and actions ensuring that the country has a system in place to send a request for assistance in case of need, and to respond to a request for assistance from another country quickly and reliably.
6. Information to the public and public participation	I. Mechanism for information to the public potentially affected by IA	Set of procedures, implementation rules and actions to be followed by the relevant authorities and/or HA operators to give adequate information to the public in areas that might be affected by an industrial accident.
	II. Mechanism for public participation	Set of procedures, implementation rules and actions to enable the public – in the Party of origin as well as in the affected Party – to express its views and concerns on prevention and preparedness measures in relevant procedures.

Note on the indicators

Please note that the sustainable implementation of working areas identified under the Industrial Accidents Convention requires ongoing attention. This means that whenever an element of the Convention is implemented, it needs to be monitored, reviewed and revised as needed.

The Convention uses the concept of mechanisms, which aim to provide continuity within the working areas. Under the working area “identification of hazardous activities”, for instance, the authorities should recognize that even after they have collected the data for the first indicator (“mechanism for the collection of data”), they need to remain engaged. The data sources may change, installations may close (or others open), and the quantity and/or type of chemicals may change. This is why the mechanism for collection of data needs to specify the frequency of data collection, and why countries need to establish procedures, implementation rules and actions ensuring that data collection is carried out regularly.

All of the indicators have these elements in common, and the procedures, implementation rules and actions are essential parts of the indicators.



The indicators have been constructed as systems/mechanisms to encourage continuity in the actions of the competent authorities, and therefore in the implementation of the Convention.

C. Criteria

Six progress stages specify the criteria for meeting the Convention's obligations for each indicator. Countries measure their progress on their level of implementation of the Convention for each indicator by determining which progress stage corresponds to the country's situation. The self-assessments and plans of activities provide ample opportunity for the Parties to explain their assessment.

The country can rank its current position among six progress stages, where stage 6 is the highest level of achievement of the Convention and national legislation. No country can permanently remain at progress stage 6 without continuous assessment and investment. A simple reduction in personnel can change the balance of a situation and undermine the full functioning of a mechanism.

Progress stage 1: There is little awareness among competent authorities of the need to introduce the indicator, of the requirements for setting it up or of the indicator's benefits. Ad hoc activities covering the indicator might be in place, but not a systematic procedure.

Progress stage 2: There is awareness among experts of the need to introduce the indicator and discussions are started on how to introduce and present the indicator to policymakers for a formal decision. The initial 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 indicator in question. Initial discussions can also include initial exploration of available good practices.

Progress stage 3: A decision has been taken at the level of policymakers to introduce or update the indicator. All relevant governmental and other stakeholders to be consulted have been identified. In this progress stage discussions have led to a proposal to policymakers, who have formally (not necessarily by law or decree) decided to introduce the mechanism in question and mandated/commissioned a competent authority to elaborate

Progress stage 5: The indicator has been adopted and all the minimum elements listed in the benchmark document defined in a governmental act, a sub-law or national practice, but the indicator is not yet operational in practice (due to a lack of human or financial resources, for instance). The need for training to implement the mechanism has been discussed, and any necessary training programme has been designed.

IMPORTANT NOTICE: If one or more of the listed minimum elements are not formally required by national legislation or practice, countries may consider this indicator at a lower progress stage, and take steps to introduce the necessary updates to the laws and regulations. In cases where some individual items from the list of minimal elements of the same indicator are fully present in legislation or national practice and others are not, countries can use the visual marks in the self-assessment tables to take note of the less advanced items. The countries need to decide the collective ranking on a case-by-case basis. The overall benchmarking for such indicators is unlikely to match the complete minimal requirements of Stage 5.

Progress stage 6: The indicator is fully operational and implemented in practice by the competent authorities. Human and financial resources are secured. National experts (both among competent authorities and HA operators) are available and continuously trained to use/implement the indicator.

An optimal level of implementation of the Convention is reached when a country has in place and is implementing a comprehensive system specific for each working area. When the country ranks all indicators within a working area at progress stage 6, the optimal level for that working area is achieved. A description of the optimal level of implementation follows the self-assessment table for each working area.

4. Self-assessment

预览已结束，完整报告链接和二维码如下：

https://www.yunbaogao.cn/report/index/report?reportId=5_1806

