

Document on indicators and criteria: towards a user-friendly version

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Background:

At its seventh meeting in 2012 the CoP:

Recognizing that countries still encountered difficulties using the indicators and criteria, entrusted the Bureau and the WGI with an evaluation of the criteria and indicators and with finding ways to assist countries with their application

also requested publication of the indicators and criteria in a user-friendly and flexible form, following possible adjustment





WGI and Bureau decisions 1

The WGI discussed the CoP mandate and decided to proceed following a **step-by-step approach** →

- → proceeding with editorial amendments to increase clarity and simplicity of the text,
- while seeking feedback from beneficiary countries

The Bureau endorsed the procedure chosen by the WGI





WGI and Bureau decisions 2

WGI identified consultants to carry out the editorial amendments and opted for an offer that included:

- Involvement of countries with good results in using the Strategic Approach and adding them as 'lighthouses' to the text.
- A focus on graphics and visual information and facilitation of assistance in the countries requesting support.
- The organisation of 1-2 days-training session to improve the substance of the document (with the involvement of members of the WGI and of the Bureau)





WGI and Bureau decisions 3

This option allowed, among others, to:

- Provide **assistance** (also direct assistance with activities on site) to countries that need support in implementing the Strategic Approach while testing the revised version of the document (the WGI identified Albania and Azerbaijan);
- Have a **structured framework** for the revision of the document, also including good practices.





Members of WGI and Bureau involved

Mr. Chris Dijkens, Mr. Gunnar Hem, Mr. Evgeny Baranovski, Ms. Emilija Kupeva-Nedelkova, Ms. Jasmina Karba, Ms. Suzana Milutinovic, Ms. Sandra Ashcroft, Mr. Leo Iberl, Mr. Martin Merkofer → first review and advice

Ms. Jasmina Karba, Ms. Suzana Milutinovic, Ms. Sandra Ashcroft → Participated in all the steps of the review and the design of the training session

Ms. Suzana Milutinovic (Albania and Azerbaijan),
Ms. Sandra Ashcroft (Azerbaijan) → participated as facilitators in the training





Other actors

Zoi Environment Network

selected as consultant to carry out the task.

Switzerland

made available the financial resources to hire Zoi

Azerbaijan

provided in-kind contribution for the event

Albania and Azerbaijan

Representatives actively participated to the event



The outcome 1

UNECE Convention on the Transboundary Effects of Industrial Accidents

Benchmarks in the implementation of the UNECE Convention
on the Transboundary Effects of Industrial Accidents

Self-assessments and action plans



The outcome 2

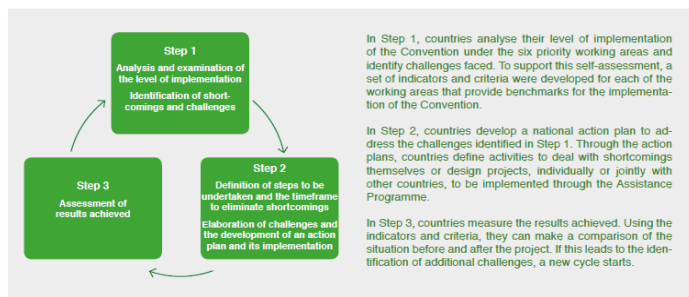


Table 1. Linkage between steps of the cyclic mechanism and information to be submitted

Steps of the cyclic mechanism	Use of the tables
Step 1 Analyse and examine the level of implementation of the Convention identifying shortcomings and challenges.	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.
Step 2 Define ways forward and timing to undertake and eliminate shortcomings; i.e., development of an action plan and its implementation.	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.
Step 3 Assess the results achieved.	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.

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 WG1 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.

Graphic approach.
More use of tables and graphs



The outcome 3

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

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.

Text summarised: added clear correspondence between areas of work and articles of the Convention



The outcome 4

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.

Procedures
Implementation rules
Actions

That need to be undertaken
by the operator, the competent
authority or both

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.

Added additional explanations and integrated in the text of the document what previously was contained in footnotes → **increased visibility of information**



The outcome 5



Optimal level of implementation

Countries have in place and are implementing a comprehensive system for the identification of hazardous activities based on the definition of clear responsibilities and of a methodology for the process of identifying hazardous activities, which allows them to elaborate and validate a list with hazardous activities according the convention's requirements and to ensure that it functions over time independently of staff changes within the responsible authorities.

Validation in this document indicates that the relevant competent authority considers a list of hazardous activities as officially falling under the scope of the Convention.

Review implies that the validated list of HA still represents completeness, adequacy and compliance with the real situation in the country.

Revision implies that the list of HA is updated and changed if the result of the review indicates that this is necessary as, for example, in the case of a change in chemicals produced, handled or stored in a given installation, or the closure of an installation.

Increased visibility of information already present in the original document



The outcome 6

Annex I lists threshold quantities of hazardous substances that are present or may be present in the activity for the purpose of identifying HA as such. It includes both named substances (for example, ammonium nitrate with a threshold quantity of 50 metric tonnes, or chlorine with 25 metric tonnes) and categories such as flammable, toxic or oxidizing. When identifying HA, countries should take into consideration the possibility of aggravation of the hazards involved and the quantities of the hazardous substances and their proximity.

The relevant elements for the identification of HA, as given in **Annex IV** of the *Guidelines to Facilitate the Identification of Hazardous Activities for the Purposes of the Convention*, cover substance, quantity and location. The substance and quantity element specifies that one or more hazardous substance is present or may be present in quantities at or in excess of the threshold quantities listed in **Annex I**. The location element specifies the inclusion of HA activities that are within 15 kilometres of the border, for activities involving substances that may cause a fire or explosion or involving toxic substances that may be released into the air in the event of an accident, and along or within the catchment areas of transboundary and border rivers, transboundary or international lakes, or within the catchment areas of transboundary groundwater.

Created boxes
to facilitate the
use of
references
contained in the
original
document



The outcome 7

Self-assessment of working area 5: Response and mutual assistance

New design
and
«clickable»
cases

Progress Stage	Criteria for self-assessment of progress	1	2	3	4	5	6
6	The indicator is fully operational and implemented by the competent authorities, the operators or both.						
5	The indicator has been adopted and covers all the minimum elements, but is only partly operational in practice (due to lack of resources).						
4	Intensive and detailed discussions take place among stakeholders on the content of legislation and specific procedures.						
3	A decision has been taken at the level of policymakers to introduce or update the indicators. Relevant stakeholders are identified.						
2	Initial discussions at the national level or among authorities, experts and operators are leading to the introduction of the indicators.						
1	Little awareness among competent authorities of the need to introduce the indicator or of the requirements for setting it up.						
Indicator	Definition	1	2	3	4	5	6
1. Mechanism for prompt recognition of industrial accidents	<p>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.</p> <p>The minimum elements to be defined in a governmental act or national practice (Stage 5) include:</p> <ul style="list-style-type: none"> <input type="checkbox"/> The parameters, responsibility and procedures to recognize an industrial accident or an imminent threat of one and linking it with national procedures and measures to contain and minimize the effects <input type="checkbox"/> The parameters, responsibility and procedures for recognizing existing or potential transboundary effects of an industrial accident or an imminent threat thereof <input type="checkbox"/> The procedure for and responsibility to notify and communicate with possibly affected Parties, to jointly assess possible effects if appropriate, to ensure joint response (at the border of two or more countries) and to coordinate measures to contain and minimize effects of an industrial accident <p>In addition:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Any necessary training programme is designed <p>Stage 6 is achieved when:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Human and financial resources are secured <input type="checkbox"/> Training to implement the mechanism is regularly conducted 						
	Who is responsible for activation of relevant measures?						
	What are the national procedures to contain and minimize accident effects, including potential transboundary effects?						
	What are the procedures to communicate with possibly affected Parties and to jointly assess possible effects?						
	What are the procedures to ensure joint response and to coordinate measures?						
2. Mechanism for application of UNECE IAN system	<p>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.</p> <p>The minimum elements to be defined in a governmental act or national practice (Stage 5) include:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Obligatory use of a relevant notification system for the notification of industrial accidents in a transboundary context <input type="checkbox"/> A Point of Contact to operate a relevant notification system for transboundary notification purposes <p>In addition:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Any necessary training programme is designed <p>Stage 6 is achieved when:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Human and financial resources are secured <input type="checkbox"/> Points of Contact use the IAN System <input type="checkbox"/> Training to implement the mechanism is regularly conducted 						
	Is the notification of industrial accidents in a transboundary context obligatory?						
	Is there a Point of Contact to operate the transboundary notification system?						



The outcome 8

Self-assessment of working area 5: Response and mutual assistance

Criteria for self-assessment of progress							
Progress Stage		1	2	3	4	5	6
6	The indicator is fully operational and implemented by the competent authorities, the operators or both.						
5	The indicator has been adopted and covers all the minimum elements, but is only partly operational in practice (due to lack of resources).						
4	Intensive and detailed discussions take place among stakeholders on the content of legislation and specific procedures.						
3	A decision has been taken at the level of policymakers to introduce or update the indicators. Relevant stakeholders are identified.						
2	Initial discussions at the national level or among authorities, experts and operators are leading to the introduction of the indicators.						
1	Little awareness among competent authorities of the need to introduce the indicator or of the requirements for setting it up.						
Indicator	Definition	1	2	3	4	5	6
1. 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. The minimum elements to be defined in a governmental act or national practice (Stage 5) include: <input type="checkbox"/> The parameters, responsibility and procedures to recognize an industrial accident or an imminent threat of one and linking it with national procedures and measures to contain and minimize the effects <input type="checkbox"/> The parameters, responsibility and procedures for recognizing existing or potential transboundary effects of an industrial accident or an imminent threat thereof <input type="checkbox"/> The procedure for and responsibility to notify and communicate with possibly affected Parties, to jointly assess possible effects if appropriate, to ensure joint response (at the border of two or more countries) and to coordinate measures to contain and minimize effects of an industrial accident In addition: <input type="checkbox"/> Any necessary training programme is designed						
	Stage 6 is achieved when: <input type="checkbox"/> Human and financial resources are secured <input type="checkbox"/> Training to implement the mechanism is regularly conducted						
2. 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. The minimum elements to be defined in a governmental act or national practice (Stage 5) include: <input type="checkbox"/> Obligatory use of a relevant notification system for the notification of industrial accidents in a transboundary context <input type="checkbox"/> A Point of Contact to operate a relevant notification system for transboundary notification purposes In addition: <input type="checkbox"/> Any necessary training programme is designed						
	Stage 6 is achieved when: <input type="checkbox"/> Human and financial resources are secured <input type="checkbox"/> Points of Contact use the IAN System <input type="checkbox"/> Training to implement the mechanism is regularly conducted						

Guiding the user in the understanding of the tables



The outcome 9

6. Results of self-assessment with regard to the status of implementation of the Convention

Please complete and electronically submit the form to UNECE TEIA secretariat at: Teia.Conv@unece.org

The following forms are available on the Convention's website:
<http://www.unece.org/env/teia/welcome.html>

Country name:

Date:

Contact details of responsible officer:

Table 10. Results of self-assessment

Working area	Indicator	Progress stage with explanation	Shortcomings, challenges and a list of priority actions
1. Identification of hazardous activities	I. Mechanism for data collection		
	II. Mechanism for data analysis and validation		
	III. Mechanism for data review and revision		
2. Notification of hazardous activities	I. Mechanism for transboundary consultation on hazardous activities		
	II. Mechanism for notification of hazardous activities		
3. Prevention	I. Mechanism for responsibility for safe operation to HA operators		
	II. Mechanism for control regime		
4. Preparedness	I. Mechanism for responsibility for emergency preparedness of HA operators		
	II. Mechanism for responsibility for emergency preparedness of competent authorities		
	III. Mechanism for transboundary emergency plans		
5. Response and mutual assistance	I. Mechanism for prompt recognition of industrial accidents		
	II. Mechanism for application of UNECE IAN system		
	III. Mechanism for local notification systems		
	IV. Mechanism for requesting/providing assistance for IA		
6. Information to the public and public participation	I. Mechanism for information to the public potentially affected by IA		
	II. Mechanism for public participation		

Tables to be filled in for the self-assessment and action plans to be made available in word format on the Convention's website





The process

The new version of the document was tested in two rounds during training sessions:

1. In Albania (8-9 October 2014)
2. In Azerbaijan (30-31 October 2014)

This allowed to modify the document based on the experience acquired





Assessment

- Difficult task
- Long discussions
- Looked for feedback from different sources
- Commitment from all persons involved
- To be promoted and used in the next biennium and reporting on experience to the CoP in 2 years





Thank you for your attention

<http://www.unece.org/env/teia/welcome.html>

teia.conv@unece.org

