

Guidelines to the Reporting Format

Implementation of the
UNECE Convention on the Transboundary
Effects of Industrial Accidents

Tenth Reporting Round
1 January 2019 – 31 December 2022



Preface

The present guidelines have been prepared to guide countries in responding to the questions in the reporting format for the implementation of the UNECE Convention on the Transboundary Effects of Industrial Accidents for the tenth reporting round (1 January 2019 – 31 December 2022) as fully and precisely as possible.

Each Party, committed country¹ and other reporting countries, including those under the Industrial Accidents Convention's Assistance and Cooperation Programme, are encouraged to give an unbiased and accurate account of their 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 contained in the Benchmarks for the implementation of the Convention on the Transboundary Effects of Industrial Accidents document ([ECE/CP.TEIA/2010/6](#)) and the [User-friendly version of the benchmarks](#)²; the mechanisms described in these will help to facilitate respondents' answers to many questions in the reporting format, including to verify whether all the necessary topics have been addressed. The indicators and criteria are also particularly useful for identifying shortcomings and weaknesses in implementing the Convention and for defining necessary corrective actions.

Answers to all questions should be clear and concise and should not require more than 250-300 words, except for Question 6, to which a comprehensive answer is estimated at 500-800 words. Please note that information on the recommended length and maximum number of characters is provided below the fillable text boxes of each question. Members of the Working Group on Implementation might revert back to Focal Points to request clarification and additional information, in accordance with its terms of reference.

Kindly note that 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. All responses should correspond with the respective reporting round.

The below sections, which reflect the structure of the reporting format, provide guidance for each question within the reporting format:

¹ "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 and Uzbekistan.

² 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>

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I. Competent Authorities and Focal Points (Questions 1–4)

Question 1

Fill in the name of the reporting country or Party.

Question 2

Complete the table to provide information on the person responsible for completing the Reporting Format and who the Convention's Working Group on Implementation can contact when evaluating the national implementation report. Inputs into the table should include the following information:

- a) Name of the responsible person
- b) Indication as to whether the responsible person is a Focal Point for the Convention. Please note that a Focal Point is an officer working within any established competent authority and nominated as the contact person for the secretariat and for focal points of other Parties for the purposes of the Convention; please also note that UNECE member States that are not Parties to the Convention can nominate Focal Points to the Convention, in which case the Focal Point represents one of the authorities usually coordinating the work falling under the scope of the Convention³. If the person is not your country's Focal Point, indicate who the Focal Point is and their contact information.
- c) Name of the responsible person's authority⁴
- d) Indication as to whether the responsible person's authority is a Competent Authority as per Article 17 of the Convention; Competent Authorities are authorities formally designated or established during ratification/accession as competent for the purposes of the Convention⁵.
- e) The responsible person's e-mail address
- f) The responsible person's phone number (with the country code)

Question 3

Complete the table to specify 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 if they are also designated/established as competent authorities under Article 17 of the Convention. Please also indicate organizations (if any) that have responsibilities in the implementation of the Convention (i.e. in implementing industrial safety). Please note that a maximum of 13 rows are available in the template; in case more than 13 authorities are being reported, please list the additional authorities in the 13th row.

Question 4

- a) Describe how the authorities mentioned under Question 3 have been involved in the preparation of the report.
- b) Describe any progress that has been made in the implementation of the Convention during the reporting period (2019-2022). If progress has been made, please explain how your country's progress and how challenges that were mentioned before have been addressed. If no progress has been made, please explain why.

³For 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>

⁴Please 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.

⁵ 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.

II. Policy for Implementation of the Convention (Questions 5–9)

According to Article 3 of the Convention, 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, Parties shall develop and implement policies for reducing risks of industrial accidents and obligating operators to take all measures necessary for the prevention of such accidents. Article 1 provides key definitions used within the Convention and Article 2 outlines the scope of the Convention.

Question 5

Complete the table to report on your country's legislation for the prevention of, preparedness for and response to industrial accidents, especially relating to the implementation of the Convention. As examples, the legislation could cover the following components of the Convention: identification of hazardous activities and notification to neighbouring countries (Article 4); voluntary extension (Article 5); prevention of industrial accidents (Article 6); emergency preparedness and response (Articles 8 and 11); mutual assistance (Article 12); Industrial Accident Notification Systems (Article 10); participation of the public (Article 9); responsibility and liability (Article 13); research and development (Article 14); exchange of information and of technology (Articles 15 and 16); and decision-making on siting (Article 7).

Please find below a description of each column of the table and then an example entry into the table.

- a) **Column A:** Provide the title/name of all legal instruments that are currently in force. Please only refer to legislation (e.g. formally adopted acts, regulations, other decisions) (or treaties at the international level) that pertains directly to the implementation of the Convention; this means legislation that is fundamental to implementation and applicable to the hazardous substances in Annex I of the Convention, including also tailings management facilities. Please avoid reporting legislation that is not related to the Convention.
- b) **Column B:** Indicate the type of the legislation as per the below definitions (please use the below definitions as guide only, as they may be defined differently across different legal systems):
 - **Treaty:** an international agreement concluded between States in written form and governed by international law, whether embodied in a single instrument or in two or more related instruments and whatever its particular designation.
 - **Primary legislation:** a law or an act passed by the legislative branch of government (i.e. Parliament); examples are Acts of Parliament or Statutes.
 - **Secondary legislation:** an act by the executive branch of government; secondary (or delegated) legislation generally must be authorised by primary legislation and conform to boundaries it has laid down; examples are statutory instruments (e.g. codes, orders, regulations, rules).
- c) **Column C:** Tick each area of the Convention that the legislation covers.
- d) **Column D:** Indicate if the legislation covers transboundary aspects; if it does, please also provide a brief description under the table to explain how.
- e) **Column E:** Indicate whether relevant guidance has been developed for the legislation; the guidance could be voluntary or legally binding.

Please note that a maximum of 10 rows are available in the template; in case more than 10 pieces of legislation are being reported, please list the additional authorities in the 10th row.

Example:

a) Legislation title/name	b) Type of legislation			c) Check the below areas that the legislation covers							d) Transboundary	e) Guidance
	<i>Treaty</i>	<i>Primary</i>	<i>Secondary</i>	<i>Identification and notification of hazardous activities to neighbouring countries</i>	<i>Prevention</i>	<i>Preparedness and response</i>	<i>Mutual Assistance</i>	<i>Scientific and technological cooperation and exchange of information</i>	<i>Participation of the public</i>	<i>Decision-making on siting</i>	<i>Are transboundary aspects covered by this legislation?</i>	<i>Has guidance (legally binding or voluntary) been developed under this legislation?</i>
<i>Industrial Safety Act 2021</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Question 6

Provide a general description of your country’s legal and policy framework for the prevention of, preparedness for and response to industrial accidents, especially relating to the implementation of the Convention, and explain how authorities govern under this framework. The description should briefly summarize:

- The scope and application of the legislation listed in the Question 5 table
- How the legislation contributes to the implementation of the Convention
- Whether there have been any changes in the implementation legislation since the last reporting round, and if so what these changes imply generally
- How legislation with a broader area of application than only implementation of the Convention (e.g. legislation on occupational safety and health, environmental protection, fire safety etc.) relates to the substance of the Convention
- How the most important piece of legislation is administered and enforced.
- 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.

* It is suggested that Parties and reporting countries use terminology used under the Convention.

Question 7

Assess the effectiveness of your country’s laws and policies and, in doing so, consider whether the legislative, control and enforcement mechanisms described in your answer to Question 6 are adequate to fulfil the Convention’s requirements. To answer this question, first select one of the multiple-choice options (i.e. tick one box). Then, in the comments box, please justify your answer.

You may refer to 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 8

- a) Summarize difficulties (if any) that your country has with the implementation of the Convention, including with regard to legislative, control and enforcement mechanisms reported in earlier answers (e.g. shortcomings in the legal and policy framework, lack of personnel, lack of resources). Where the difficulties refer to the identification and notification of hazardous activities, prevention, preparedness and response, public participation or decision-making on siting, describe them in more detail under the respective sections of the reporting format.
- b) List any legal or policy changes that have been undertaken during the reporting period or are planned or considered to be taken in the near future to address the difficulties summarized in Question 8(a) (e.g. to compensate or remedy possible shortcomings identified). If any steps are being planned, indicate what the timeframe is for these. 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, describe them under the respective sections of the reporting format.

Question 9

- a) With regard to the United Nations Sendai Framework for Disaster Risk Reduction 2015-2030⁶, which falls under the umbrella of Agenda 2030⁷, indicate whether your country's policies on the implementation of the Convention help to implement the Sendai Framework, particularly the four 'priorities for action'.
- b) If the response to Question 9(a) was positive, provide information on the linkages between your country's policies and the Sendai Framework. As examples, such linkages may include:
 - Cooperation between respective government departments (e.g. those responsible for industrial safety and disaster risk reduction)
 - Linkages between the Convention's reporting (e.g. national implementation reports and 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.

III. Identification and Notification of Hazardous Activities with Potential to Cause Transboundary Effects (Questions 10–17)

According to Article 4 of the Convention, Parties shall take measures to identify hazardous activities, i.e. activities with specific types and amounts of hazardous substances and that are capable of causing transboundary effects, within their jurisdiction. Parties shall also ensure that other Parties that could be affected by their existing or proposed hazardous activities are duly notified of the hazardous activity. The Criteria and

⁶ The Sendai Framework is available in Arabic, Chinese, English, French, Russian and Spanish from:
<https://www.unisdr.org/we/coordinate/sendai-framework>.

⁷ 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

Guidelines to Facilitate the Identification and Notification of Hazardous Activities (see Decision 2018/1 in [ECE/CP.TEIA/38/Add.1](#)) can be used to guide countries in identification and notification processes.

Question 10

- a) Indicate the number of activities your country has identified within its jurisdiction in which one or more hazardous substances are present or may be present in quantities at or in excess of the threshold quantities listed in [Annex I of the Convention](#). Please refer to Annex I for information on the hazardous substances and their threshold quantities.
- b) Indicate the number of activities under Question 10(a) that are also capable of causing transboundary effects and therefore constitute a “hazardous activity” as defined under Article 1(b) of the Convention. “Hazardous activity” means any activity in which one or more hazardous substances are present or may be present in quantities at or in excess of the threshold quantities listed in Annex I to the Convention, and which is capable of causing transboundary effects. Please note that Question 10(a) is asked as some questions in this Reporting refer to hazardous activities that are not capable of causing transboundary effects.
- c) Indicate the number of hazardous activities, i.e. from those numbered in Question 10(b), that are tailings management facilities (TMFs). TMFs are the whole set of structures required for the handling of tailings. As examples, this could include tailings storage facilities, tailings dams, tailings impoundments, clarification ponds, delivery pipelines, etc.
- d) Provide additional information about the nature and location of the hazardous activities (reported under Question 10(b)) in your country. This should include the name, address, distance from the border (through the air or water path) and hazardous substance(s) or mixture(s) present. You may also complete the notification template (see Annex) to provide this information.

Question 11

Indicate whether the number of hazardous activities reported under Question 10(b) has changed compared to the response provided from your country in the previous reporting round. If yes, provide further information in the text box, such as:

- The number of new hazardous activities that have been identified since the last reporting round (e.g. new hazardous activity, increased production capacity that now meets the threshold quantities, etc.)
- The number of hazardous activities that no longer exist and why (e.g. decreased production capacity that no longer meets the threshold quantities, closure, etc.)

Question 12

Complete the table to explain the process your country uses for the identification of hazardous activities within its jurisdiction. Inputs into the table should include the following:

- a) Description of the mechanisms/arrangements that your country has used for identifying hazardous activities (e.g. the mechanism for collecting data from operators, who collects data and how, the type of data collected, the data format used, the frequency and schedule of data collection, how the mechanisms/arrangements are reflected in legislation, etc.)
- b) Indication of the system/method that your country uses for data analysis and validation processes of hazardous activities with potential to cause transboundary effects (e.g. system of classification of chemicals, use of Annex I and the Location Criteria, voluntary extension as per Article 5 of the Convention, worst case scenario analysis, risk assessment, etc.)
- c) Identification of the progress stage of the indicator/mechanism for the identification of hazardous activities. To do so, review the progress stage descriptions within the Reporting Format (with additional information in the Benchmarks for the implementation of the Convention on the Transboundary Effects of Industrial Accidents document ([ECE/CP.TEIA/2010/6](#), Annex II) and in

particular the [User-friendly version of the Benchmarks in the implementation of the Convention, Working Area 1](#))⁸ and check the stage that applies.

- d) Indication as to whether your country has undertaken any activities to improve its process in identifying hazardous activities and/or whether any such actions are planned. For planned actions, indicate what the timeframe would be for them.

Question 13

- a) Provide information on how your country has conducted risk assessments to assess the risks from hazardous activities in order to determine the effects in case of an accident, including for people and the environment, and transboundary effects.
- b) Indicate which risk assessment methodology your countries uses; please list any and all that apply and provide any relevant information on them.

Question 14

- a) Indicate whether your country has assessed its hazardous activities for risks of natural hazards triggering technological disasters (or “Natech” events), including from the adverse impacts of climate change and otherwise. For positive responses, please explain how your country conducts such assessments (e.g. risk assessment methodologies) and how the risks identified are managed.
- b) Indicate which preventive measures have been implemented following the results of the assessments described in Question 14(a).

Question 15

Complete the table with information on your country’s notifications to inform other countries of hazardous activities within your country’s jurisdiction that are capable of causing transboundary effects. Please note that in this context notification means the formal procedure of sharing information with neighbouring or riparian countries about hazardous activities that can cause transboundary effects in the event of an accident, so that the notified countries can undertake adequate preventive measures to avoid damage to humans and the environment (e.g. not building houses in the perimeter that could be affected by the consequences of an accident), as well as preparedness and response measures to be able to provide the most timely and effective response. Inputs into the table should include the following:

- a) The name of the neighbouring or riparian Party or country that your country has notified
- b) The number of hazardous activities that your country notified the country listed in column A of
- c) Whether your country held consultations with the country listed in column A
- d) Whether your country used the [notification template](#)
- e) Additional information regarding the notification process, including the mechanism/arrangement used for notifying the country listed in column A
- f) Please indicate whether all Parties/countries were notified that could be affected by the hazardous activities within your country’s jurisdiction. If your response is negative, report which countries were not notified and of which hazardous activities and provide an explanation as to why your country did not inform them of these.

⁸ 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.

Question 16

Complete the table with information on your country's notification process to inform other countries of hazardous activities within your country's jurisdiction that are capable of causing transboundary effects. Inputs into the table should include the following:

- a) Description of the mechanisms/arrangements that your country has used for notifying neighbouring/riparian countries of hazardous activities capable of causing transboundary effects
- b) Identification of the progress stage of your country's notification mechanism/arrangements. To do so, review the progress stage descriptions within the Reporting Format (with additional information in the Benchmarks for the implementation of the Convention on the Transboundary Effects of Industrial Accidents document ([ECE/CP.TEIA/2010/6](#), Annex III) and in particular the [User-friendly version of the Benchmarks in the implementation of the Convention](#), Working Area 2) and check the stage that applies.
- c) Indication as to whether your country has undertaken any activities to improve its notification process and/or whether any such actions are planned. For planned actions, indicate what the timeframe would be for them.

Question 17

Complete the table with information on your country's consultation process with countries that could be affected by hazardous activities within your country's jurisdiction. Inputs into the table should include the following:

- a) Description of the mechanisms/arrangements⁹ that your country has used for consulting neighbouring/riparian countries 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. It could be performed either in parallel with the analysis of data received from the operators for the purpose of identifying hazardous activities, or after a list of hazardous activities has been notified to the Party concerned, or at the initiative of a Party concerned.
- b) Identification of the progress stage of your country's consultation mechanism/arrangements. To do so, review the progress stage descriptions within the Reporting Format (with additional information in the Benchmarks for the implementation of the Convention on the Transboundary Effects of Industrial Accidents document ([ECE/CP.TEIA/2010/6](#), Annex III) and in particular the [User-friendly version of the Benchmarks in the implementation of the Convention](#), Working Area 2) and check the stage that applies.
- c) Indication as to whether your country has undertaken any activities to improve its consultation process and/or whether any such actions are planned. For planned actions, indicate what the timeframe would be for them.

⁹As 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 hazardous activities, 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.

IV. Prevention of Industrial Accidents (Questions 18–21)

Article 6 of the Convention obliges Parties to take appropriate measures for the prevention of industrial accidents. They are also required to see that operators of hazardous activities take action to reduce the risk of hazardous activities and demonstrate safe performance.

Question 18

Indicate whether your country has made use of Article 5 of the Convention to apply its measures to activities that are not under the scope of Annex I. If yes, please explain which activities are covered and with which Parties (if any) this extension has been communicated with.

Question 19

Further to the general answer given under Question 6, complete the table to briefly describe how preventive measures are taken and followed up on by operators and competent authorities in your country and any joint efforts taken (i.e. by operators, authorities and/or other stakeholders) during all phases (cradle to grave) of a hazardous facility, be it within the scope of the Convention (see Questions 10(c) and (d)) or outside the scope of the convention. Also, describe how any measures contain transboundary components. Inputs into the table should give attention to the following measures and elaborate on any reported measures:

- a) Common preventive measures that operators take at different phases of hazardous activities include: safety management; creation of a safety culture; hazard identification, risk and assessment; siting, design and construction; operation; modifications, maintenance and repairs; review of safety performance; decommissioning/closure; etc. Consider whether the measures listed here or others that are applicable in your country have transboundary components and if so how.
- b) Common preventive measures that authorities take at different phases of hazardous activities include: safety strategies; control, inspection and enforcement framework; land use planning; safety performance review and evaluation; etc. Consider whether the measures listed here or others that are applicable in your country have transboundary components and if so how.
- c) Joint efforts between operators, authorities and other stakeholders (e.g. the public at large, labour organizations, NGOs, etc.) can include, among others, interactions, initiatives and/or cooperation that aim to prevent industrial accidents (please note that additional questions on public participation are asked in Section VII). Consider whether the joint measures have transboundary components and if so how.

Furthermore, you may wish to refer to mechanisms described in the Benchmarks for the implementation of the Convention on the Transboundary Effects of Industrial Accidents document ([ECE/CP.TEIA/2010/6](#), Annex IV) and in particular the [User-friendly version of the Benchmarks in the implementation of the Convention](#), Working Area 3).

Question 20

- a) Indicate whether your country's preventive policies cover the security of installations with hazardous activities. This could include special measures related to site access, the release of information and protection during conflicts, etc.
- b) Indicate whether your country considers cyber security threats as part of its preventive policies. If yes, please explain how and provide links to relevant guidance documents, if any.

Question 21

- a) Indicate the extent to which your country's prevention measures deliver the intended results by selecting from the multiple choice provided. Please elaborate on your answer by providing comments underneath.
- b) Indicate the effectiveness of your country's prevention mechanism by assessing the mechanism against the answer criteria, which is from in the Benchmarks for the implementation of the

Convention on the Transboundary Effects of Industrial Accidents document ([ECE/CP.TEIA/2010/6](#), Annex IV) and in particular 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).

- c) List weaknesses (if any) recently identified in your country's approach to the prevention of industrial accidents. For reference, please review the mechanisms and criteria from the Benchmarks for the implementation of the Convention on the Transboundary Effects of Industrial Accidents document ([ECE/CP.TEIA/2010/6](#), Annex IV) and in particular the [User-friendly version of the Benchmarks in the implementation of the Convention](#), Working Area 3).
- d) Indicate whether your country has taken any steps during the reporting period to improve prevention, and then describe the steps taken. Such steps might be connected to the weaknesses listed under Question 10(c) or with regard to your country striving for further improvements (e.g. for making prevention more effective in terms of resource requirements). In case no steps have been taken, please explain why.
- e) Indicate whether your country plans to take any steps to improve prevention in the near future. If yes, describe the planned actions and indicate what the timeframe would be to execute them. If no, please explain why.

V. Emergency Preparedness and Response (Questions 22–32)

Article 8 of the Convention requires Parties to take appropriate measures to establish and maintain adequate emergency preparedness to respond to industrial accidents. To that effect, Parties shall ensure the preparation and implementation of on-site and off-site contingency plans, and all Parties of concern to an industrial accident should endeavour to make their respective contingency plans compatible. Moreover, contingency plans should be reviewed regularly.

Article 11 obliges Parties to ensure that, in the event of an industrial accident or imminent threat of one, adequate response measures are taken to contain and minimize its effects. Measures to assess the effects of the accident should be taken, including jointly with neighbouring countries when appropriate. Whenever possible, countries should also endeavour to coordinate their response measures.

Question 22

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 (partly), provide information on why this is the situation and explain which hazardous activities reported under Question 10 are concerned; please use the criteria contained in the Benchmarks for the implementation of the Convention on the Transboundary Effects of Industrial Accidents document ([ECE/CP.TEIA/2010/6](#), Annex V) and in particular the [User-friendly version of the Benchmarks in the implementation of the Convention](#), Working Area 4, progress stages 1-6 for your answer.

Question 23

Provide information on how your country's contingency plans are being established, particularly whether they take account of hazard/risk assessments, including with regard to Natech risks and climate change impacts.

Question 24

- a) Describe the coordination mechanism between operators and competent authorities for preparing contingency plans within your country, unless such a mechanism does not exist. Please refer to the mechanisms addressing on-site and off-site contingency plans described in the Benchmarks for the implementation of the Convention on the Transboundary Effects of Industrial Accidents document ([ECE/CP.TEIA/2010/6](#), Annex V) and in particular the [User-friendly version of the Benchmarks in the implementation of the Convention](#), Working Area 4.

- b) Indicate whether all hazardous activities within your country have external (off-site) contingency plans that are compatible with contingency plans of the affected Party(ies). If not or only partly, please describe why and which hazardous activities are concerned.
- c) Indicate whether your country drew up joint external (off-site) contingency plans for hazardous activities within your country with the affected Party(ies) to facilitate the adoption of adequate response measures in a transboundary context. If not or only partly, please describe why and which hazardous activities are concerned.

Question 25

Indicate whether your country's internal (on-site) and external (off-site) contingency plans are tested, reviewed and updated as necessary. If yes or partly, describe the process for testing, reviewing and updating contingency plans within your country. If no or partly, describe why. Please refer to the mechanisms addressing the on-site and off-site plans described in the Benchmarks for the implementation of the Convention on the Transboundary Effects of Industrial Accidents document ([ECE/CP.TEIA/2010/6](#), Annex V) and in particular the [User-friendly version of the Benchmarks in the implementation of the Convention](#), Working Area 4.

Question 26

Indicate whether the testing, reviewing and updating of contingency plans in your country is done in cooperation with neighbouring/riparian countries. Then, describe how such cooperation is undertaken or why it is not or only partly undertaken. Please refer to the mechanisms ensuring transboundary compatible planning described in the Benchmarks for the implementation of the Convention on the Transboundary Effects of Industrial Accidents document ([ECE/CP.TEIA/2010/6](#), Annex V) and in particular the [User-friendly version of the Benchmarks in the implementation of the Convention](#), Working Area 4.

Question 27

Indicate whether your country has used the [UNECE Checklist for contingency planning for accidents affecting transboundary waters](#). If yes, please briefly explain how, by which authority and for which hazardous activity.

Question 28

- a) Complete the table to explain how successful your country's emergency preparedness measures are in meeting the aims of the Convention. In response to each indicator, please indicate 'Yes' or 'No' in relation to the question and also indicate which progress stage (refer to the Benchmarks for the implementation of the Convention on the Transboundary Effects of Industrial Accidents document ([ECE/CP.TEIA/2010/6](#), Annex V) and in particular 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 the 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 your country has developed any. Please also indicate which authority(ies) is/are responsible for them.
- b) This question pertains to contingency plans to respond to accidents within your own country, and contingency plans to respond to accidents in neighbouring/riparian countries. In response to each indicator, please indicate 'Yes' or 'No' in relation to the question and also indicate the progress stage in the Benchmarks for the implementation of the Convention on the Transboundary Effects of Industrial Accidents document ([ECE/CP.TEIA/2010/6](#), Annex VI) and in particular 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 “Benchmarks” document. You may also refer to any effectiveness indicators if your country has developed any. Please also indicate which authority(ies) is/are responsible for them.

- c) Please list weaknesses (if any) recently identified in your system of preparedness and response. You may refer to the Benchmarks for the implementation of the Convention on the Transboundary Effects of Industrial Accidents document ([ECE/CP.TEIA/2010/6](#), Annexes V and VI) and in particular the [User-friendly version of the Benchmarks in the implementation of the Convention](#), Working Areas 4 and 5.
- d) Please list actions that have been undertaken or are planned or considered to be undertaken. Such actions might be connected to any weaknesses that had been identified and you listed under Question 28(c) or with regard to your country striving for further improvements. Indicate the timeframe for any planned actions.

Question 29

Indicate whether your country uses guidelines to support and to provide input into national/regional/local authorities and/or operators for the preparation of contingency plans. In replying to this question, please briefly explain other guidance that your country has prepared for hazardous installations, including those that do not fall under the Convention’s scope. This information could be useful for collecting good practices to enhance the implementation of the Convention in general. Please use the criteria contained in the Benchmarks for the implementation of the Convention on the Transboundary Effects of Industrial Accidents document ([ECE/CP.TEIA/2010/6](#), Annex V) and in particular the [User-friendly version of the Benchmarks in the implementation of the Convention](#), Working Area 4, progress stages 1-6 to prepare your answer.

Question 30

Indicate whether your country uses the Industrial Accident Notification (IAN) System and briefly describe which authority is responsible for it and how it functions.

Question 31

Please indicate the name of your country’s Point of Contact as per Article 17 of the Convention and whether this person has been made known to all relevant stakeholders.

Question 32

Indicate whether your country uses another international notification system (in addition or instead of the IAN System); provide information on any such systems and describe which authority is responsible for them and how they function.

VI. Mutual Assistance (Questions 33–34)

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 at 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. 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. Article 17 requires Parties to designate or establish one point of contact for the purpose of mutual assistance pursuant Article 12. Also, Article 24 states that Parties may continue existing or enter into new bilateral or multilateral agreements or other arrangements in order to implement their obligations under the Convention.

Question 33

Indicate whether your country has identified an authority to be operational 24 hours a day and 7 days a week to be the point of contact to provide mutual assistance in the event of an accident. If no, please explain why.

- a) Provide information on the point of contact responsible for requesting and/or providing assistance in the event of an accident. This information should include their name and a brief description of their functions.
- b) Describe, in general terms, your country's procedures 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 34

Indicate whether your country is a Party to any bilateral or multilateral agreements on mutual assistance, and then provide a full answer in the comments section. To better identify this type of agreement, you could refer to the provisions of Article 12 and Annex X.

VII. Scientific and Technological Cooperation and Exchange of Information (Questions 35–36)

According to Articles 14, 15 and 16 of the Convention, 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.

Question 35

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 practices, the Working Group on Implementation invites Parties and reporting countries to reply to this question for hazardous installations within and beyond the scope of the Convention in their country. This would allow the identification of additional good practices in exchanging information or in scientific or technological cooperation.

Question 36

Indicate whether your country has improved the linkages between its national industrial 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.

VIII. Information to and Participation of the Public (Questions 37–40)

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 adequate information given to them, equal opportunity to participate in relevant procedures and have equal access to and treatment in relevant administrative and judicial proceedings.

Question 37

- a) Describe how your country ensures that adequate information is given to the public in areas capable of being affected by an industrial accident arising out of a hazardous activity identified under the Convention. Please describe any relevant policies, mechanisms or procedures.
- b) Indicate whether your country ensures that all elements of information listed in Annex V, paragraph 2, subparagraphs (1) to (4) and (9) are given to the public in areas capable of being affected by an industrial accident arising out of a hazardous activity identified under the Convention. If yes and additional information is provided to the public, please indicate the additional elements of information. If no, please explain why and which elements are provided to the public.
- c) Explain which channels are used to transmit information to the public (i.e. the information specified in the preceding responses) within your country.
- d) Describe how your country ensures the public in transboundary contexts, i.e. in areas capable of being affected by an industrial accident from your country's jurisdiction, has access to the information specified in the preceding responses.
- e) Explain how your country ensures that adequate information is given to the public affected by an industrial accident. This question refers to the people that will be, are currently or have been affected by an industrial accident, such as informing local residents of an imminent or current industrial accident and how they should immediately respond (e.g. evacuate to a given location, call emergency services, stop drinking water, etc.). This question should be responded to with regards to emergencies, as opposed to prevention.
- f) Indicate whether your country has any current developments or plans to advance public information for the implementation of Article 9(1), such as through new technologies or otherwise. Please explain these developments or plans. For actions planned, please indicate what the timeframe would be for them.

Question 38

- a) Describe the opportunities your country provides for the public to participate in the establishment or implementation of preventative measures (e.g. siting and land-use planning) and preparedness measures (e.g. contingency planning) related to hazardous activities under the Convention.
- b) Describe how your country ensures the public in transboundary contexts, i.e. in areas capable of being affected by an industrial accident from your country's jurisdiction, has equivalent opportunities to participate in the activities from Question 38(a) as the public in your country.
- c) Explain how successful your country has been in developing public participation procedures.
- d) Describe whether your country has identified any weaknesses in its procedures for public participation. Please refer to the indicators and criteria contained in the Benchmarks for the implementation of the Convention on the Transboundary Effects of Industrial Accidents document ([ECE/CP.TEIA/2010/6](#), Annex VII) and in particular the [User-friendly version of the Benchmarks in the implementation of the Convention](#), Working Area 6. 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.
- e) Indicate whether your country has any current developments or plans to advance public participation for the implementation of Article 9(2), such as through new technologies or otherwise. Please explain these developments or plans, which might be connected to any weaknesses that had been identified and you listed them under Question 38(b) or with regard to your country striving for further improvements. For actions planned, please indicate what the timeframe would be for them.

Question 39

- a) Describe how your country ensures that natural or legal persons who are (or are capable of being) affected by an industrial accident have access to relevant administrative and judicial proceedings in your country.

- b) Indicate whether such access is guaranteed on a reciprocal basis to the public in affected countries within the context of (possible) transboundary effects. Please explain.

Question 40

- a) Describe how your country ensures its laws and policies on the implementation of the Convention are inclusive of the entire affected population, including groups of people of different ages and genders and people with disabilities, who may be at different risks, may need specific and distinct information on measures to take in case of an accident to mitigate potential effects or specific emergency and response procedures to contain damage to human health in the event of an industrial accident. Please refer to the Convention's long-term strategy until 2030 ([ECE/CP.TEIA/38/Add.1](#)), page 11.
- b) Specify how such inclusion, in terms of public information, public participation and access to administrative and judicial proceedings, is also ensured to the public in transboundary contexts.

IX. Decision-making on Siting and Land-use Planning (Questions 41–46)

Article 7 of the Convention requires Parties to, 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.

Question 41

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, in accordance with Article 7. Explain the policy and how it is followed up in practice and reflected in legislation.

Question 42

Describe how the policies mentioned under Question 41 take transboundary issues into account. Please include within the description any bilateral activities with potentially affected neighbouring or riparian countries on siting, in light of the Convention's requirements.

Question 43

- 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.
- 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).
- c) List any actions that have been undertaken or are planned or are being considered within your country. Such actions might be connected to any weaknesses that had been identified and listed under Question 43(b) or with regard to your country striving for further improvements. For any actions planned, indicate what the timeframe would be for them.

Question 44

Describe if and how your country's industrial safety procedures are coordinated with your country's land-use planning procedures. For example, this could entail requirements within your country's national and/or local planning procedures to conduct a risk assessment.

Question 45

- a) Indicate whether your country has legislation that requires 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.
- b) Then describe how your country's safety and planning experts cooperate and which governance arrangements have been implemented to foster such cooperation. For example, this could include the integration or formalized cooperation among different departments.

Question 46

Indicate (by selecting one or two of the boxes provided) whether your country considers implementing 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 implementing the obligations of the Convention on the Transboundary Effects of Industrial Accidents. Also, indicate if you are a Party to the Espoo Convention and/or the 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 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.

X. Good Practices in Implementation (Question 47)

Question 47

Complete the table to provide information on your country's good practices in the implementation of the Convention. Good practices could include, among others, guidelines, international cooperations or initiatives, transboundary exercises, training events, joint contingency planning, development of innovations or new technologies, etc. Please note that for the purpose of collecting and exchanging good practices amongst the Convention's community, the good practices need not necessarily or restrictively apply to activities that fall under the scope of the Convention, i.e. good practices pertaining to activities with a hazardous substance meeting a threshold quantity in Annex I but that are not capable of causing transboundary effects could be included.

In addition to the title and brief explanation of each good practice, please provide the following information: relevant references and/or weblinks (if available) and indicate the language of these (please also provide links to English versions of the references or websites, if available); the working area(s) of the Convention that the good practice pertains to; and whether the good practice has a transboundary component. If no links are available, please provide a more elaborate explanation of the good practice.

The good practices reported for your country will be presented on the UNECE website; please see examples extracted from the previous reporting round at <https://unece.org/environment-policy/industrial-accidents/overview-tables>.

Example

Title and short description of good practice	Reference / link (and language), if available	Working area(s) under the Convention	Is there a transboundary component?
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<p>Integrated technological accident prevention into national disaster risk reduction policies through the National Platform for Disaster Risk Reduction (PNRRC)</p>	<p>https://www.pnrcc.pt/</p>	<p><input type="checkbox"/> Identification/notification <input checked="" type="checkbox"/> Prevention <input type="checkbox"/> Preparedness/response <input type="checkbox"/> Mutual assistance <input type="checkbox"/> Scientific/technological cooperation and exchange of information <input type="checkbox"/> Participation of the public <input type="checkbox"/> Decision-making on siting</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>
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XI. Reporting on Past Industrial Accidents (Question 48)

According to Annex IX of the Convention, Parties shall establish a databank for the reception, processing and distribution of information on past industrial accidents. Article 10 requires Parties to notify neighbouring countries on industrial accidents.

Question 48

- 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.
- b) If yes, complete the table to list each accident with its date, location, type of accident and whether your country was the country of origin or affected country. Please refer to accidents covered by the definitions in Article 1 only.
- c) Indicate whether your country has contributed lessons learned from the above accidents (if any) to the joint EU-OECD-UNECE [eMARS database](#), maintained under the auspices of the EU JRC Major accident hazard Bureau. Please explain your answer.
- d) Indicate whether your country has contributed lessons learned from Natech accidents listed above (if any) to the EU [eNatech database](#) (maintained under the auspices of the EU JRC Major accident hazard Bureau). Please explain your answer.
- e) From the past accidents reported (if any), describe what lessons were learned and whether the accidents prompted any extraordinary actions by the authorities or procedures to change legislation or policy.
- f) If an accident with transboundary effects was reported, indicate which reporting system was used (e.g. river-alert systems, other international alarm system). Please also specify whether the system used is operated at the regional, national, or local level.

Annex – Notification Template

Should you not have provided the information on the nature and location of your country's/Party's hazardous activities already above, please complete the notification template to reply to Question 10(d).

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 reporting format, to notify potentially affected countries of your hazardous activities and share this information on a voluntary basis along with this report.