

Check List for Self-Assessment of National Environmentally Sound Management Capacity

General instructions

The purpose of this checklist is to assist countries in self-assessing the status of environmentally sound management (ESM) at the national level. The checklist allows for a quick overview on which ESM components have already been implemented and identification of the main gaps. The checklist further includes references to background materials on different ESM components to assist countries in addressing the identified gaps and complementing their national frameworks for ESM. If the self-assessment is performed at regular intervals (e.g. every 3 to 5 years) it may serve as a basis for monitoring improvements in national ESM capacity.

The checklist consists of 3 tables: **Table 1** serves to assess the legal framework and the national capacity available to implement this framework. If the country does not have any regulations for some or all of the listed items, drafting such regulations would be the first step to ESM. If enacted regulations have not or only partially been implemented, a strategy to improve national implementation and enforcement capacity should be considered. The manuals, factsheets and other documents listed in the last column of the table may serve as reference materials. Table 1 can also be used to assess the legal framework regulating a specific waste stream. **Table 2** serves to assess national waste management capacity, including for specific waste streams. Other hazardous waste streams may be added to the table, as necessary, to account for national waste classifications and/or national needs. It is also possible to insert new rows, if multiple facilities are involved in the management of a specific waste stream. If detailed and complete data is available, the table will allow for a comparison of the amount of hazardous wastes to be disposed of at the national level and national waste management capacity, thereby flagging potential shortages in national waste management infrastructure. In case of significant shortages, the country should consider investing in general or waste-stream specific waste management facilities. **Table 3** covers measures to promote ESM, including waste prevention, minimization, reuse, recycling and energy recovery. The organization of the waste management sector, as well as policy approaches vary greatly among states. Measures to promote ESM should therefore be adapted to the specific needs of each country. Table 3 may serve as a reference to countries when designing their national policies, by providing a list of possible policy and regulatory approaches to promote and incentivize ESM practices in the waste management sector.

Table 1 National Legal Framework for ESM and Implementation Capacity

This table serves to assess the completeness and effectiveness of the national legal framework for the ESM of hazardous and other wastes.

ESM component		Check, if in place	Name of Legislation/Regulation [Articles]	Comments	Ref. materials
General	National legal framework for waste management				▶ M1 [III]
Definitions	Provide legal definition of waste				
	Legal definition of hazardous waste (incl. waste classification system)				▶ BC Annexes M1[VI.G]
	Other definitions related to waste management				
Regulation of managers	Legal responsibilities of persons involved in management of hazardous wastes (e.g. generators, holders, collectors, etc.)				▶ M1 [VI.B-D]
	Legal responsibilities of persons involved in management of other wastes (e.g. generators, holders, collectors, etc.)				▶ M1 [VI.B-D]
Regulation of management facilities	Permit/License/Authorization system for hazardous waste disposal facilities (incl. recovery and recycling facilities), and, as appropriate, hazardous waste collection points, ¹ including rules/standards on localization, construction and operation of facilities				▶ M1 [VI.E]; M2
	Permit/License/Authorization system for disposal facilities for other wastes (incl. recovery and recycling facilities), and, as appropriate, collection points for other wastes, ² including rules/standards on localization, construction and operation of facilities				▶ M1 [VI.E]; M2
Transport	Permit/License/Authorization for the transport of hazardous wastes				▶ M1
	Permit/License/Authorization for the transport of other wastes				▶ M1
	Regulations implementing the BC requirements for TBM of hazardous and other wastes (incl. obligation for shipments to be accompanied by a movement document and other documents, as required by the transit and importing states)				▶ M1 [V; VI.J-K]
Pollution control	Emission Standards				

¹ The Basel Convention requires authorization for persons involved in the transport and disposal of hazardous wastes only (Art 4 (7) (a)).

² Idem.

ESM component		Check, if in place	Name of Legislation/Regulation [Articles]	Comments	Ref. materials
	Effluent Standards				
	Standards for soil contamination				
	Other measures to ensure pollution control				
Labor safety	Labor Safety Standards				▶ M1 [VI.I]
	Enforcement system for labor safety standards				▶ M1 [IV.B]; M2 [B]
Enforcement / Implementation of regulations, policies and measures	Enforcement system, including existence of experts, training programs, etc.				▶ M1 [IV.A; VII]
	Provisions for inspection of waste management facilities and transboundary movements, including development of inspection plans (indicating numbers of inspection, problematic waste streams, capacities, entities subject to inspections, trainings, etc.)				▶ M2 [D]
	Capacity to take laboratory samples				
	Laboratories to examine hazardous waste samples				▶ M1 [IV.B]
	Temporary/permanent pollution monitoring near facilities, if appropriate				
	Penalty system related to violation of environmental law, including administrative measures, criminal measures, financial responsibilities and other legal measures				
	Provision for definition and evaluation of environmental damage				
	Remedy and restoration actions for environmental damage				

Table 2 National Hazardous Waste Management Capacity

This table serves to assess the status of individual hazardous waste streams. The same approach can also be used to assess the national management capacity for other wastes.

Waste streams	National waste management capacity			Estimated amount of generation		Transboundary movements (TBM)		Ref. materials	
	Facility Ref # / Name	Waste operation	Dumping volume or treatment capacity (tons/year)	Year of inventory	Amount (tons/year)	Export (tons/year)	Import (tons/year)		
General: Landfills								▶ F1	
General: Thermal								▶ F1	
E-waste								▶ F2, G3	
Waste vehicles								▶ F3	
Medical wastes								▶ F4, G2	
ULAB								▶ F5, G1	
Waste tyres								▶ F7, G15	
POPs waste								▶ G7-13	
Mercury waste								▶ G5	
Waste oils								▶ F6, G6, G17	
Plastic waste								▶ G14	
Metal waste								▶ G16	
Total national capacity for hazardous waste disposal/recovery:									
Total amount of hazardous waste to be disposed of at national level:						-		+	

Table 3 Measures to Promote ESM

This table covers measures to promote ESM, including waste prevention, minimization, reuse, recycling and energy recovery. General guidance on policy principles and approaches related to ESM is available in M1 [Section II].

ESM component		Check, if in place	Name of Legislation/Regulation [Articles]	Comments	Ref. materials
National waste management plan/strategy	Strategy to develop national infrastructure to ensure availability of adequate waste management facilities				▶ M1 [VI.A]
	Mechanism for periodic review and update of the strategy				
Information / Awareness raising	Make information on potential health and environmental impacts, and environmentally sound management techniques available				▶ M1 [VI.N]
	Create awareness of environmental benefits related to the use of environmentally sound management techniques				▶ M1 [VI.N]; M4 [III.A]
	Measures to raise awareness of laws and regulations and to disseminate relevant information (e.g. technical guidelines)				▶ M1 [VI.N]
	Consultation mechanisms and public availability of information				▶ M1 [VI.M]
Incentives	Favorable investment conditions to attract technical expertise				
	Transparency in the collection and recycling sector to improve cost effectiveness				
	Economic and other incentives for operators to achieve best overall environmental outcomes, taking into account the waste management hierarchy and life-cycle thinking				▶ M1 [IX]; M3; M4
Economic and other incentives to transform or formalize the activities in the informal waste management sector	Channels of communication with the informal waste sector				
	Economic and other incentives to formalize the activities or transform them with the objective to ensure protection of human health and the environment, including incentives to send the collected waste to licensed management facilities				

References

Basel Convention

BC Basel Convention

Practical Manuals

- M1 Practical manual on general policies and legislation
- M2 Practical manual on permits, licenses or authorization
- M3 Practical manual on certification schemes
- M4 Practical manual on waste prevention

Fact Sheets

- F1 Fact sheet of general implementation of ESM of wastes
- F2 Fact sheet on electrical and electronic waste (e-waste)
- F3 Fact sheet on waste vehicles
- F4 Fact sheet on medical and healthcare waste
- F5 Fact sheet on waste lead-acid batteries
- F6 Fact sheet on waste oils
- F7 Fact sheet on waste pneumatic tyres

Guidelines

- G1 Technical guidelines for the ESM of waste lead-acid batteries
- G2 Technical guidelines for the ESM of biomedical and health-care wastes (Y1, Y3)
- G3 Technical guidelines on TBM of electrical and electronic waste and used electrical and electronic equipment, in particular regarding the distinction between waste and non-wastes under the Basel Convention
- G4 Technical guidelines on waste collected from households (Y46)
- G5 Technical guidelines on the ESM of wastes consisting of, containing or contaminated with mercury
- G6 Technical guidelines on waste oils from petroleum origins and sources (Y8)
- G7 General technical guidelines on the ESM of wastes consisting of, containing or contaminated with POPs
- G8 Technical guidelines on the ESM of wastes consisting of, containing or contaminated with PFOS and PFOSF waste
- G9 Technical guidelines on the ESM of wastes containing or contaminated with unintentionally produced HCB, PCB, PCB, PCDF or PCDD
- G10 Technical guidelines on the ESM of wastes consisting of, containing or contaminated with HexaBDE, TetraBDE and PentaBDE waste
- G11 Technical guidelines on the ESM of wastes consisting of, containing or contaminated with HBCD waste
- G12 Technical guidelines on the ESM of wastes consisting of, containing or contaminated with pesticide POPs
- G13 Technical guideline on wastes consisting of, containing or contaminated with 1,1,1-trichloro-2,2-bis-(4-chlorophenyl)ethane (DDT)
- G14 Technical guidelines for the identification of environmentally sound management of plastic wastes and for their disposal
- G15 Technical guidelines for the ESM of used and waste pneumatic tyres
- G16 Technical guidelines on the environmentally sound recycling/reclamation of metals and metal compounds (R4)
- G17 Technical guidelines on used oil re-finishing or other re-use of previously used oil (R9)