

## **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, <sup>1</sup> 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, <sup>2</sup> 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  |                    |   |          |                       |

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

<sup>2</sup> 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];<br>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-refining or other re-use of previously used oil (R9)