

# National Self-Assessment Survey: Implementation of the Roadmap for the Sound Management of Chemicals (SMC)

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Draft version. Updated: September 2025

**Target audience:** Government agencies and regulators involved in chemicals and waste management.

**Purpose:** Assess the country status—by legislation, implementation, and enforcement or effectiveness—for each roadmap element, as well as capacity-building and practical needs. This version ensures sector- and instrument-specific clarity and allows for identification of barriers and best practices.

**Expected completion time:** The full survey is designed to be completed in approximately **2–5 hours**, depending on the availability of information and the number of chemical sectors addressed. It may be completed in multiple sittings, and responses can be coordinated among different agencies as needed.

## Instructions

- For each element complete all sections: indicate the status for Legislation/Programme, Implementation, and Enforcement/Effectiveness, as applicable.
- Provide details: include references to legal instruments, programmes, or institutional mechanisms where relevant.
- Highlight gaps and needs: identify barriers and specify the type of support required.
- Where prompted, add sector- or category-specific information.
- If reporting for additional chemical groups beyond industrial chemicals, copy and complete the Module 2 questions for each group.
- You may complete this in phases and coordinate responses across agencies; partial submissions are welcome

## MODULE 0 – Governance, Financing & Cooperation

### Element 0.1: Framework Law & Interministerial Committee

#### A. Framework Law

Does a national chemicals framework law (or package) covering the entire life-cycle of chemicals exist?

☐ Not started   ☐ In progress (drafted, under consideration)   ☐ In force

Does the law designate a lead ministry for SMC? ☐ Yes ☐ No

Is there an interministerial coordination body established?  
☐ Yes, meets regularly ☐ Yes, but meets irregularly ☐ No

## B. Implementation

Year framework law enacted (if any): [Open text]

Is the law fully operational?  
☐ Fully ☐ Partially (explain) ☐ Not implemented

## C. Effectiveness

Are subordinate regulations enforced and effective?  
☐ Yes ☐ Partially ☐ No

How effective is interministerial coordination in SMC?  
☐ Very effective ☐ Moderately effective ☐ Not effective

Reference(s): [Open text field- please paste legal article numbers/URLs or upload files]  
Barriers/Support needed: [Open text field]

## Element 0.2: Cost-Recovery & Polluter-Pays Mechanisms

Which economic instruments are in place for SMC? (select all)

- ☐ Pollution taxes/fees
- ☐ Registration or import/tonnage fees
- ☐ Extended Producer Responsibility (EPR) levies
- ☐ Other: [Open text field]

Is revenue earmarked and legally reserved for SMC activities?  
☐ Yes ☐ No ☐ Partially

Do these instruments generate revenue and support SMC activities?  
☐ Yes, regularly ☐ Partially/irregularly ☐ No

Are subsidies for hazardous chemicals being phased out?  
☐ Yes ☐ No

Are fees effectively collected and penalties imposed for non-compliance?  
☐ Yes ☐ Partially ☐ No

Reference(s): [Open text field- please paste legal article numbers/URLs or upload files]  
Barriers/Support needed: [Open text field]

### Element 0.3: Stakeholder Dialogue Mechanisms

Is there a formal multi-stakeholder platform (council/committee) for SMC?

☐ Yes, operational ☐ Yes, but not operational ☐ No

Who participates? (select all)

- ☐ Industry  
☐ Civil society/NGOs  
☐ Other ministries/agencies  
☐ Academia  
☐ Other: [Open text]

How frequently does the platform meet?

☐ At least quarterly ☐ Less than quarterly ☐ Not at all

Does the platform have terms of reference and review draft regulations or national progress?

☐ Yes, both ☐ Only terms of reference ☐ Only regulatory review ☐ No

Are recommendations from the platform adopted?

☐ Often ☐ Sometimes ☐ Rarely

Reference(s): [Open text field- please paste legal article numbers/URLs or upload files]

Barriers/Support needed: [Open text field]

### Element 0.4: Integration of Multilateral Environmental Agreements (MEAs)

For each MEA below, indicate the status and whether obligations are incorporated into national laws:

Basel Convention: ☐ Not party ☐ Ratified, not implemented ☐ Implemented

- Is implementing legislation in place (e.g., operational rules for **import/export controls**, permits for hazardous waste shipments, and customs procedures)? ☐ Yes ☒ Partially ☐ No

Rotterdam Convention: ☐ Not party ☐ Ratified, not implemented ☐ Implemented

- Is implementing legislation in place (e.g., designating the **national authority** and requiring **import notifications and export responses** for listed chemicals)? ☐ Yes ☐ No

Stockholm Convention: ☐ Not party ☐ Ratified, not implemented ☐ Implemented

- Is implementing legislation in place (e.g., regulations that **ban/restrict production, import or use of POPs** (e.g., pesticides, industrial chemicals) and require **waste disposal standards**) ? ☐ Yes ☐ Partially ☐ No

Minamata Convention: ☐ Not party ☐ Ratified, not implemented ☐ Implemented

- Is implementing legislation in place (e.g., regulations covering **trade restrictions, phase-**

**out of mercury-added products, and controls on emissions/releases) ?** ☐ Yes ☐

Partially ☐ No

Are MEA obligations reflected in the framework law?

☐ Fully ☐ Partially ☐ Not at all ☐ Not applicable

Key overlaps or gaps among MEA obligations: [Open text field]

Reference(s): [Open text field- please paste legal article numbers/URLs or upload files]

Barriers/Support needed: [Open text field]

### **Element 0.5: Regional & Global Cooperation Platforms**

Indicate in which regional or global SMC platforms the country is actively participating (e.g., GSC in GFC, GFC IP, LARCF, Intergovernmental Network on Chemicals and Waste for Latin America and the Caribbean)

[Open text field]

Is the country engaged in international cooperation on SMC?

☐ Yes ☐ No

Has it received technical assistance in the last 5 years?

☐ Yes ☐ No

Has the country engaged in SMC-related projects jointly with other countries in the last 10 years?

☐ Yes ☐ No

If yes, briefly describe these projects, including objectives, participating countries/partners, and outcomes:

[Open text field]

Have these collaborations addressed emerging issues of concern nationally?

☐ Yes ☐ No

Reference(s): [Open text field- please paste legal article numbers/URLs or upload files]

Barriers/Support needed: [Open text field]

## **MODULE 1 – Harmonized Hazard & Data Quality Frameworks**

### **Element 1.1: GHS in All Sectors**

For each sector below, indicate the status:

Sectors: Workplace, Pesticides, Consumer Products, Transport of Dangerous Goods

A. GHS Revision Adopted: [Open text field, e.g., "Rev. 10"]

B. Legal incorporation in each sector:

☐ Not started ☐ In progress ☐ In force ☐ Partially adopted (specify which hazard classes/categories/sectors)

C. Implementation:

Are GHS labels and Safety Data Sheets required?

☐ Yes ☐ No

Is GHS training provided?

☐ Regularly ☐ Occasionally ☐ Not at all

Has GHS been translated into local language(s)?

☐ Yes ☐ No

D. Enforcement:

Are inspections/audits conducted?

☐ Yes, systematically ☐ Partially ☐ No

Are penalties imposed for non-compliance?

☐ Yes ☐ No

Reference(s): [Open text field- please paste legal article numbers/URLs or upload files]

Barriers/Support needed: [Open text field]

**Element 1.2: Mutual Acceptance of Data (MAD)/Good Laboratory Practices (GLP) accreditation**

Is there a national GLP inspectorate?

☐ Yes ☐ In progress ☐ No

Are regular audits of test facilities conducted?

☐ Yes, annually ☐ Less frequent ☐ No

Has your country adhered to the OECD MAD system

☐ Yes, full adherent ☐ Yes, provisional adherent ☐ In progress ☐ No

Reference(s): [Open text field- please paste legal article numbers/URLs or upload files]

Barriers/Support needed: [Open text field]

## MODULE 2 – Chemicals Information and Risk Approach

*This survey focuses on industrial chemicals. However, optionally, you may also provide information for other relevant chemical groups (e.g., pesticides, biocides, pharmaceuticals, food additives, cosmetics). To do so, simply copy and paste Module 2 questions -below- and complete them separately for each chemical group*

### Scope: Industrial Chemicals (change here in case you opt to provide information for another chemical group)

#### Element 2.1: National Chemicals Inventory

What is the status of the legislation?

☐ Not started   ☐ In progress   ☐ In force, but still requires secondary legislation for its implementation   ☐ Fully legislated

Scope of data collected (select all):

☐ All chemicals   ☐ Only hazardous chemicals   ☐ CAS number   ☐ Tonnage   ☐ Use categories   ☐ Classification   ☐ Other: [Open text field]

Which is the implementation status?

☐ Not started   ☐ In progress   ☐ Fully implemented

What % of chemicals are registered?

[Open text field]

Is the inventory publicly accessible?

☐ Yes   ☐ No

Are there penalties for non-submission of data?

☐ Yes   ☐ No

Is compliance monitored?

☐ Yes   ☐ No

Reference(s): [Open text field- please paste legal article numbers/URLs or upload files]

Barriers/Support needed: [Open text field]

#### Element 2.2: Substances Prioritization

Is there a formal prioritization framework?

☐ Yes   ☐ No

Criteria used (select all):

☐ Hazard classes   ☐ Exposure   ☐ Socio-economic factors   ☐ Other: [Open text field]

Has the country produced/updated priority lists?

☐ Yes, regularly ☐ Yes, once ☐ No

Are prioritization results used to trigger risk assessment/management?

☐ Yes ☐ No

Reference(s): [Open text field- please paste legal article numbers/URLs or upload files]

Barriers/Support needed: [Open text field]

### **Element 2.3: Risk Assessment**

Are national guidelines or standards for risk assessment in place?

☐ Yes ☐ No

Who is responsible for developing risk assessments?

☐ Government ☐ Companies ☐ Other (please specify) : [Open text field]

Have risk assessments been completed?

☐ Yes, completed ☐ In-progress ☐ No

Do risk assessments rely on international data?

☐ Mostly international ☐ Mix of national/international ☐ Mostly national

Capacity gaps (select all):

☐ Expertise ☐ Laboratories ☐ Funding ☐ Data access ☐ Other (please specify)

Reference(s): [Open text field- please paste legal article numbers/URLs or upload files]

Barriers/Support needed: [Open text field]

### **Element 2.4: Risk Management**

Does your legislation allow you to implement risk management measures (e.g., use restrictions, emission restrictions, authorisation, permits)?

☐ Yes, broad coverage ☐ Partial coverage (specify: [Open text field]) ☐ No

Provide examples of risk management measures put in place for individual chemicals (or groups of chemicals): [Open text field]

Are compliance and penalties enforced?

☐ Yes ☐ Partially ☐ No

Reference(s): [Open text field- please paste legal article numbers/URLs or upload files]

Barriers/Support needed: [Open text field]

### **Element 2.5: Confidential Business Information (CBI)**

Is there a legal framework for protecting CBI in chemicals reporting?

☐ Yes, comprehensive ☐ Yes, partial ☐ No

Are companies allowed to claim CBI when submitting inventory data?

☐ Yes, with clear procedures ☐ Yes, but procedures unclear ☐ No

Is there a process for authorities to review and challenge CBI claims, with appeal options?

☐ Yes ☐ No

Are non-confidential summaries of CBI-protected information made publicly available?

☐ Yes, systematically ☐ Sometimes ☐ No

Reference(s): [Open text field- please paste legal article numbers/URLs or upload files]

Barriers/Support needed: [Open text field]

## **MODULE 3 – Facility Safeguards & Emergency Preparedness**

### **Element 3.1: Occupational Safety & Health (OSH) Requirements**

Does OSH legislation address chemical hazards (risk assessment, exposure limits, substitution, SDS)?

☐ Yes, fully ☐ Partially ☐ No

Are employers required to conduct chemical risk assessments and provide PPE/training?

☐ Yes, by law ☐ Recommended ☐ No

Are labour inspections/audits conducted?

☐ Yes, regularly ☐ Occasionally ☐ Not at all

Reference(s): [Open text field- please paste legal article numbers/URLs or upload files]

Barriers/Support needed: [Open text field]

### **Element 3.2: Chemical Accident Prevention, Preparedness & Response (APPR)**

Is there major hazard legislation defining thresholds and requiring safety reports?

☐ Yes ☐ No

Have high-risk sites been identified and submitted safety reports?

☐ Yes, all ☐ Some ☐ None

Do off-site emergency plans exist and are they tested?

☐ Yes, regularly ☐ Sometimes ☐ No

Are incident reporting and root-cause analysis systems in place?

☐ Yes ☐ No

Reference(s): [Open text field- please paste legal article numbers/URLs or upload files]

Barriers/Support needed: [Open text field]

### **Element 3.3: Pollutant Release & Transfer Register (PRTR)**

What is the status of the legislation?

☐ Not started ☐ In progress ☐ In force, but still requires secondary legislation for its implementation ☐ Fully legislated

Frequency of reporting?

☐ Annually ☐ Less than annually ☐ No

Is PRTR data publicly accessible (e.g., dashboard)?

☐ Yes ☐ No

How complete is facility reporting compared to the number of facilities and pollutants legally required under the PRTR?

☐ Most or all obligated facilities consistently report all required pollutants. ☐ Some obligated facilities report, or reporting is limited to certain pollutants/sectors. ☐ Very few facilities report, or reporting is highly inconsistent/incomplete

Are there enforcement mechanisms for non-reporting?

☐ Yes ☐ No

Reference(s): [Open text field- please paste legal article numbers/URLs or upload files]

Barriers/Support needed: [Open text field]

### **Element 3.4: Integrated Pollution Prevention & Control (IPPC) Permitting**

Is there IPPC legislation?

☐ Yes, covers major sectors ☐ Some sectors only ☐ No

How many facilities have IPPC permits? [Open text field]

Do permits include BAT requirements and regular review cycles?

☐ Yes ☐ Partially ☐ No

Are compliance inspections and penalties enforced?

☐ Yes ☐ No

Reference(s): [Open text field- please paste legal article numbers/URLs or upload files]

Barriers/Support needed: [Open text field]

### Element 3.5: Public Health Surveillance, Poison Centres & Incident Response

Is there a poison centre or toxics information service operating 24/7?

☐ Yes ☐ No

Are poison centre data integrated with hospitals and labs?

☐ Yes ☐ No

Are incident response protocols and public alert systems established?

☐ Yes ☐ No

Resource gaps (select all):

☐ Staffing ☐ Training ☐ Digital systems

Reference(s): [Open text field- please paste legal article numbers/URLs or upload files]

Barriers/Support needed: [Open text field]

## MODULE 4 – Product & Supply Chain Measures

### Element 4.1: Chemicals in Products (CiP) & Supply Chain Due Diligence

Is there a legal requirement for manufacturers/importers to disclose the presence of substances of concern in articles above a set threshold?

☐ Yes, all sectors ☐ Yes, specific sectors (specify: [Open text field] ) ☐ No

Does legislation empower authorities to ban or restrict hazardous substances in products (e.g., toys, food contact, electronics)?

☐ Yes, comprehensive ☐ Yes, partial ☐ No

Are disclosure systems operational (e.g., CiP database, reporting platform)?

☐ Yes, fully operational ☐ Partial/pilot ☐ No

Are product restrictions enforced at customs and through market surveillance?

☐ Yes ☐ Partially ☐ No

Is data from disclosures used to inform risk management decisions?

☐ Yes ☐ No

Are companies required to trace chemicals throughout their supply chain?

☐ Yes, full traceability ☐ Partial ☐ No

Is there a requirement to publish structured, machine-readable data on substance content, hazards, and sustainability attributes?

☐ Yes ☐ No

Are Digital Product Passport systems operational or in pilot stage?

☐ Yes, operational ☐ Pilot ☐ No

Are regulators and customers actively using the data to verify compliance?

☐ Yes ☐ No

Reference(s): [Open text field- please paste legal article numbers/URLs or upload files]

Barriers/Support needed: [Open text field]

#### **Element 4.2: Circular-economy Roadmaps & BAT/BEP**

Is there a national or sector-specific circular economy roadmap?

☐ Yes, cross-sectoral ☐ Yes, sector-specific (please, specify: [Open text field]) ☐ No

Does it embed “safer by design” principles, non-toxic material cycles, and Extended Producer Responsibility?

☐ Fully ☐ Partially ☐ Not included

Is there guidance on BAT/BEP to ensure recycling does not re-circulate legacy toxics?

☐ Yes ☐ No

Are EPR schemes and sectoral circular economy plans being implemented?

☐ Yes, multiple sectors ☐ Yes, limited ☐ No

Are monitoring systems in place to track material flows and toxic substance reduction?

☐ Yes ☐ No

Reference(s): [Open text field- please paste legal article numbers/URLs or upload files]

Barriers/Support needed: [Open text field]

#### **Element 4.3: Customs e-permitting & Illegal Trade Controls**

Are chemical import/export licences digitally linked to customs codes?

☐ Yes ☐ No

Is there a legal basis for risk profiling and seizure of banned/restricted chemicals?

☐ Yes ☐ No

Is the e-permitting system operational?

☐ Yes, nationwide ☐ Partial/pilot ☐ No

Are joint inspections conducted by customs officers with police or INTERPOL?

☐ Yes ☐ No

Have seizures/interceptions of illegal chemical shipments increased since system deployment?

☐ Yes ☐ No data ☐ No

Reference(s): [Open text field- please paste legal article numbers/URLs or upload files]

Barriers/Support needed: [Open text field]

## MODULE 5 – Environmental & Legacy Measures

### Element 5.1: Environmental & Biomonitoring Network

Is there a national monitoring strategy covering environmental media and human biomonitoring?

☐ Yes ☐ No

Are samples collected regularly for air, water, soil, biota, and sentinel human populations?

☐ Yes, all media ☐ Partial ☐ No

Is data shared via open dashboards?

☐ Yes ☐ No

Is monitoring data used to evaluate policy effectiveness?

☐ Yes ☐ No

Are there baseline indicators and national targets for monitoring results, and are findings used to update regulations or policies?

☐ Yes, baselines and targets exist and results inform regulatory updates ☐ Yes, indicators exist but results are not systematically used ☐ No indicators or targets in place

Reference(s): [Open text field - please paste legal article numbers/URLs or upload files]

Barriers/Support needed: [Open text field]

### Element 5.2: Contaminated Site Inventory & Remediation

Is there a legal mandate to maintain a national register of contaminated sites?

☐ Yes ☐ No

Are remediation standards/risk-based criteria defined?

☐ Yes ☐ No

Has a contaminated site inventory been compiled?

☐ Yes, complete ☐ Partial ☐ No

Are sites prioritised for remediation based on risk to health/environment?

☐ Yes ☐ No

Is polluter funding or public “orphan site” funding used?

☐ Yes, polluter-pays ☐ Yes, public fund ☐ Both ☐ No

Are remediation projects completed on schedule?

☐ Yes, most ☐ Few ☐ None

Reference(s): [Open text field- please paste legal article numbers/URLs or upload files]

Barriers/Support needed: [Open text field]

## Final Section – Overall Assessment & Priorities

Please summarise the three most urgent gaps or priorities for improving SMC in your country:

1. [Open text field]
2. [Open text field]
3. [Open text field]

Would you be willing to participate in a follow-up interview or workshop?

☐ Yes ☐ No

Name: [Open text field]

Country: [Open text field]

Organization: [Open text field]

Mail: [Open text field]