

The advantage of using indicators and criteria for the preparation of project proposals

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With partial use of a presentation prepared by
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UN-ECE Convention on the Transboundary Effects of Industrial Accidents
Tashkent, October 2011

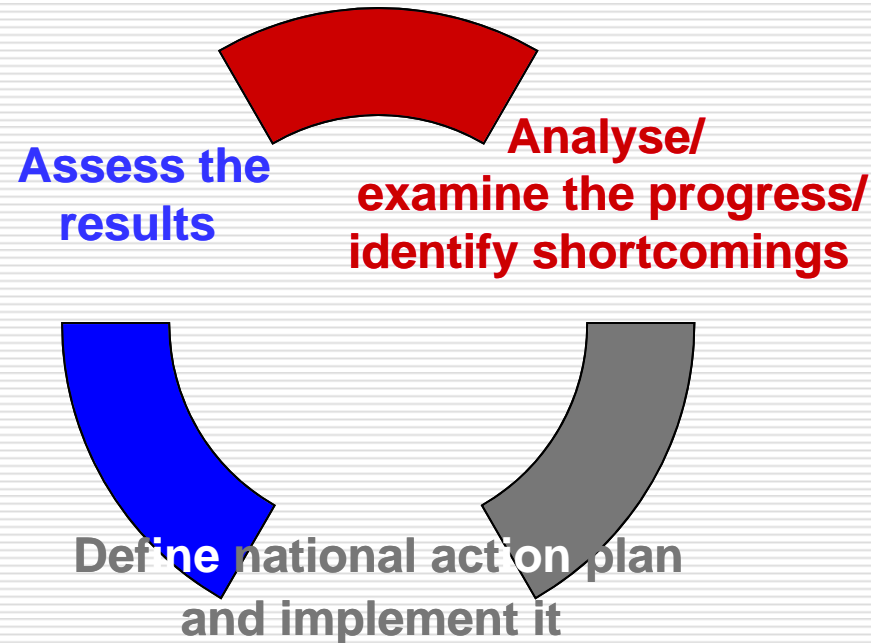
Strategic approach for the Assistance Programme

The Convention is complex and requires for its implementation the coordinated involvement of a number of competent Authorities at the national level. Certain tasks under the Convention also require vertical coordination between national and regional and local Authorities as well as industry and the public. Finally, implementing the Convention fully requires bilateral cross-border cooperation with neighbouring Countries.

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The strategic approach is designed to enhance the efforts of participating Countries in the implementation phase of the Assistance Programme. It outlines the mechanism for participating Countries for identifying short- and longterm planning of activities and for measuring the progress achieved.

Goal oriented participation in the Assistance Programme with a step-wise and cyclic mechanism of Strategic Approach

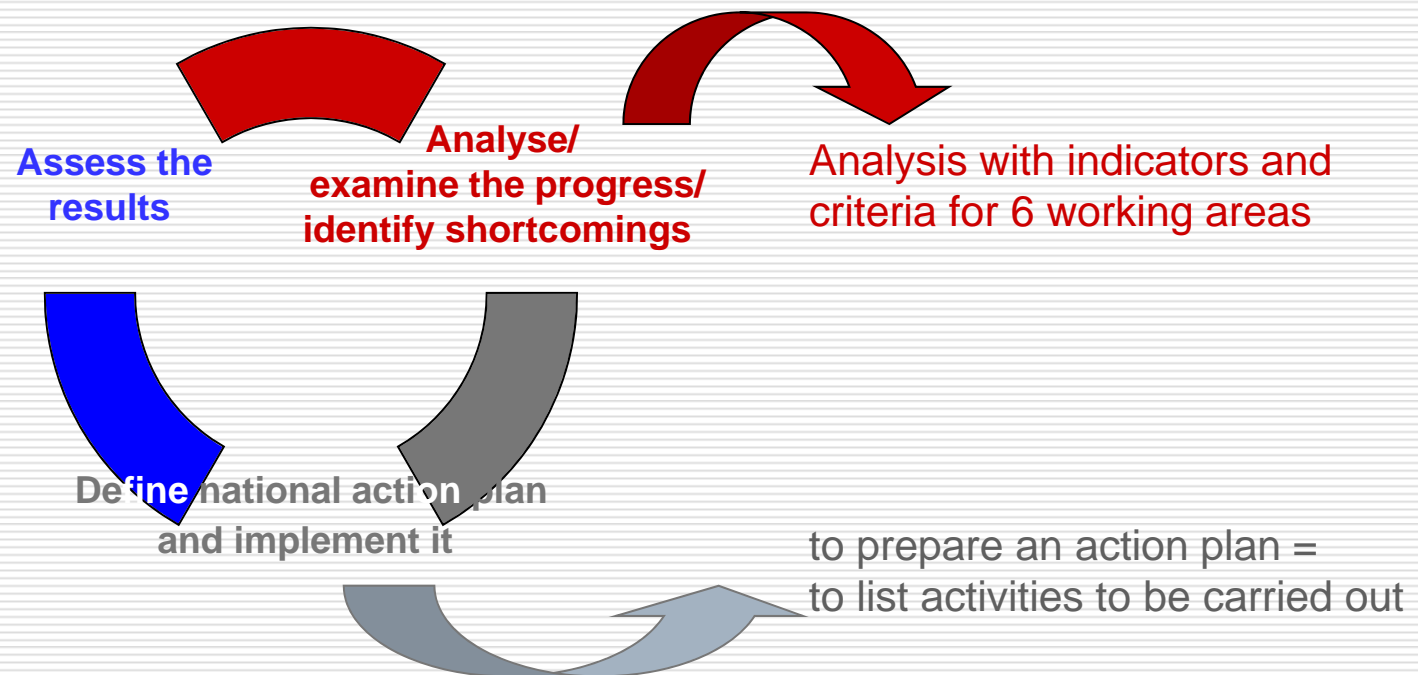


How does step-wise cyclic approach fit with the Form, Indicators and Criteria

Form for monitoring (analysing, planning, evaluation) participation in the Assistance Programme's activities

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Form for monitoring implementation cycles



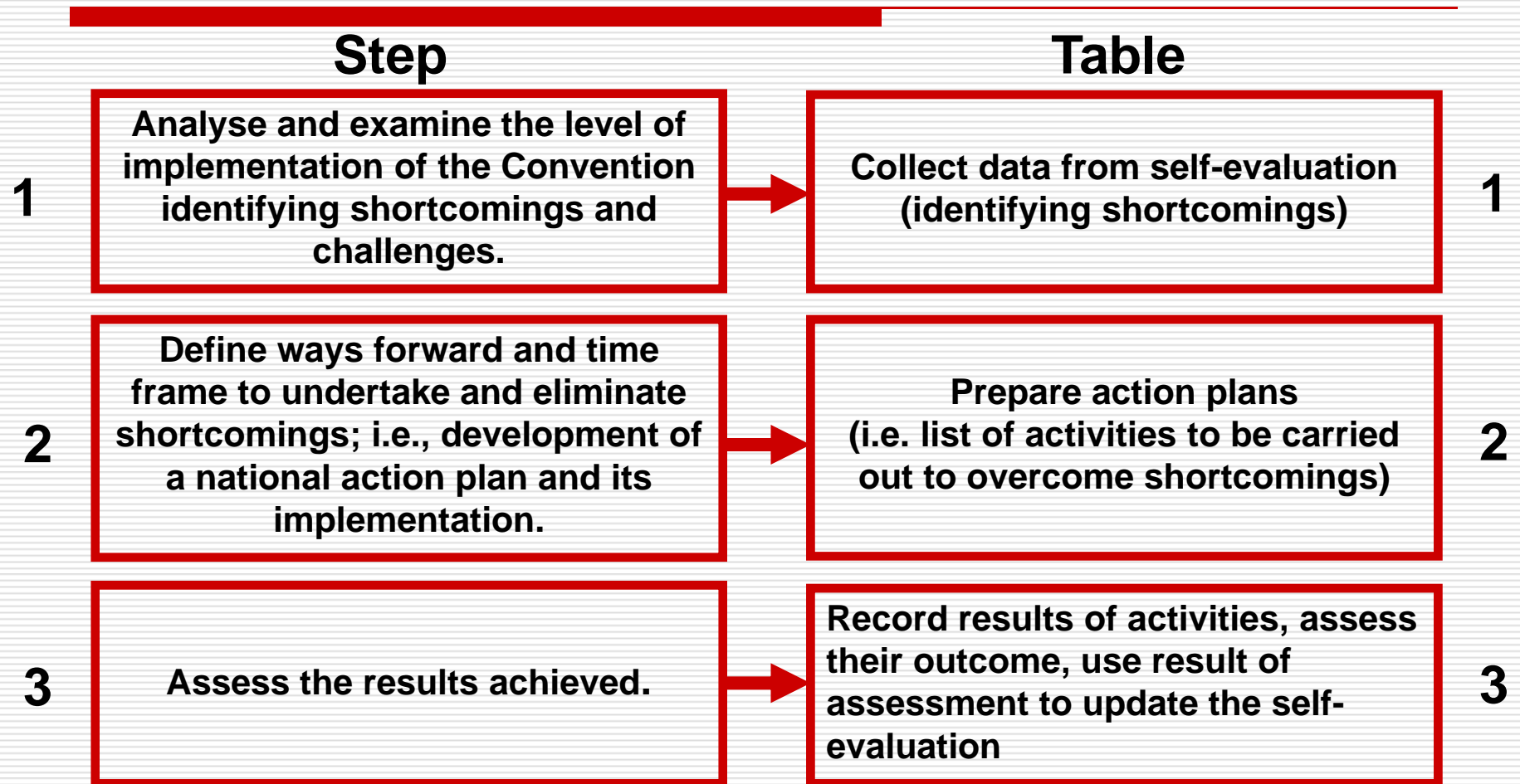
Developing a Form for monitoring (analysing, planning and evaluating) the participation of a Country in the Assistance Programme

Task: develop a template/form

- to reflect cyclic and step-wise character of Strategic Approach
- to show progress level at any time
- to enable saving of data
- to ensure transparency of actions planned and implemented

Result: a form consisting of three tables

The implementation of the Strategic Approach using the indicators and criteria



Monitoring implementation cycles with the Form

Steps of the cyclic mechanism	Use of the tables in the Form
<p>Step 1 <i>Analyse and examine the level of implementation of the Convention identifying shortcomings and challenges.</i></p>	<p>Table 1 <i>Collect data on the results of the self-evaluation, with a detailed and precise explanation of the progress stage assigned to a specific indicator and of the identification of shortcomings and challenges. List priority actions to be undertaken.</i></p>
<p>Step 2 <i>Define ways forward and time frame to undertake and eliminate shortcomings; i.e., development of a national action plan and its implementation.</i></p>	<p>Table 2 <i>List planned activities to be carried out (i.e., national action plan). The plan of activities needs to be based on the shortcomings or challenges identified in table 1 and needs to be validated by the relevant authorities/officers according to the rules and practices in each participating country.</i></p>
<p>Step 3 <i>Assess the results achieved.</i></p>	<p>Table 3 <i>Record activities implemented within a cycle and the results achieved. Data should be collected for each activity undertaken at the national or international level, independently or with external assistance, regardless of a programme under which activities took place.</i></p>

Why the need of preparing an action plan

Quoting from the document ECE/CP.TEIA/2010/6

“... An updated national action plan is a **prerequisite** for the submission of project proposals for a given activity under the Assistance Programme. Proposed activities in the national action plan should be based on the results of the assessment of the level of progress attained and the needs identified in the self-evaluation exercise ...”

Where to find the form for the self evaluation and for preparing an action plan?

Document
ECE/CP.TEIA/2010/6

Annex VIII

Forms for monitoring, analysing, planning and evaluating the participation of ...(country name)... in the Assistance Programme ...(revised/date/)... :

3 tables

Table 1: to report results of self-evaluation (an identify shortcomings)

Table 2: **ACTION PLAN to list activities to carry out to address shortcomings**

Table 3: to record activities implemented and results achieved

How to perform self evaluation?

- Sit down and think
- Analyse each working area separately
- Analyse each indicator separately
- Get relevant information
- Discuss the situation in the Country
- Document reasons for each stage of identified progress

Who? A group of competent persons

Step 1

Analyse and examine the level of implementation of the Convention identifying shortcomings and challenges.



Table 1

Collect data from self-evaluation (identifying shortcomings)

Result of self-evaluation with regard to the status of implementation of the Convention ¶

Areas of work with indicators	Progress stage with explanation	Identification of shortcomings and challenges with a list of priority actions to be undertaken
Identification of hazardous activities		
Mechanism for the collection of data		
Mechanism for the analysis and validation of data		
Mechanism for the review/revision of data		
Notification of hazardous activities		
Mechanism for the prevention of hazardous activities		
Mechanism for the investigation of hazardous activities		
Prevention of hazardous activities		
Mechanism giving responsibility for safe operation to the operators		
Mechanism for the control of hazardous activities		
Mechanism for the emergency response		
Mechanism for the rehabilitation of hazardous activities		
Mechanism for the monitoring of hazardous activities		
Mechanism for the assessment of hazardous activities		
Mechanism for the management of hazardous activities		
Mechanism for the control of hazardous activities		
Mechanism for the emergency response		
Mechanism for the rehabilitation of hazardous activities		
Mechanism for the monitoring of hazardous activities		
Mechanism for the assessment of hazardous activities		
Mechanism for the management of hazardous activities		

Level 4.

There are intensive and detailed discussions on developing a mechanism for data collection within the national WGI and the ministry on the basis of guidelines that tackle collecting, analyzing, validating and revising data as described in the stage 5. Since the mechanism is not adopted through governmental act or other form, the country is not in level 5 (from the self-assessment of Moldova)

To implement the requirements of guideline for collecting, analyzing, validating of data.

- a) ...
- b) ...

(from the self-assessment of Moldova)

The action plan/1

Step 2

Define ways forward and time frame to undertake and eliminate shortcomings; i.e., development of a national action plan and its implementation.



Table 2

Prepare action plans (i.e. list of activities to be carried out to overcome shortcomings)

Table 2←

Plan of activities to be undertaken (i.e. national action plan) with regard to the list of priority actions identified in table 1¶

<i>Activities</i> ^a	<i>Description of the activity with an indication of targeted results</i> ^a	<i>Responsibility</i> ^a	<i>Timing</i> ^a	<i>External assistance needed? If yes, what kind?</i> ^a
1 st . activity□	□	□	□	□
2 nd . activity□	□	□	□	□
...□	□	□	□	□

The action plan/2

Activities	Description of the activity with an indication of targeted result	Responsibility	Timing	External assistance needed? If yes, what kind?
<p>1st activity</p> <p>Training of officers of Serbian authorities on the evaluation of safety reports</p>	<p>Trainings for representatives of relevant institutional sectors that are included in the process of issuing approval (of documentation).</p> <p>Expected objective: to improve knowledge on evaluation of safety reporting using the checklist system and to increase cooperation and coordination among different public authorities (text from Serbian self-assessment)</p>	<p>Ministry of Environment, Mining and Spatial Planning, Department on Risk Management</p>	<p>October-November 2011</p>	<p>Support from international experts needed to review training material</p>

The content of these three columns has been inserted by the secretariat as example only

Assessment and update of self-evaluation

... at the end ...

Step 3

Assess the results achieved.

Table 3

Record results of activities, assess their outcome, use result of assessment to update the self-evaluation

Table 3←

Report of activity(ies) implemented, results achieved ¶

<i>Activities</i> α	<i>Results achieved</i> α	<i>Follow-up</i> α
1 st activity α	□	□
2 nd activity α	□	□
... α	□	□

And then ... practical follow-up

Send to the Secretariat:

- 1. Your country's self-evaluation (table 1) by end of September 2011**
- 2. Your country's action plan (table 2) by end of February 2012**

BUT

If your country will submit a project proposal before those dates than please submit the self-evaluation (table 1) and the action plan (table 2) only for the area of work in which the project proposal is, together with the project proposal and submit the rest of the self-evaluation and action plan in the dates above.

Filling in the form – in steps

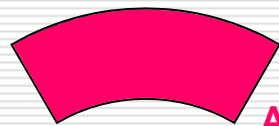
When?

- the first time the Country uses the Strategic Approach
- when there is a change
- at the end of any activity

How?

- analyse each/relevant working area separately
 - discuss the situation in the Country
 - identify the progress stage
 - document the result of the self-evaluation
-

First part of cyclic approach = self-evaluation with the use of indicators and criteria



Analyse/
examine the progress/
identify shortcomings



Analysis with indicators and criteria for 6 working areas:

- identification of hazardous activities (3 indicators)
- notification of hazardous activities (2 indicators)
- prevention (2 indicators)
- preparedness (4 indicators)
- response and mutual assistance (3 indicators)
- info to the public and public participation (2 indicators)



First part of cyclic approach = self-evaluation with the use of indicators and criteria

Task: development of indicators for self-evaluation

Goal:

- to be developed for the six working areas of Strategic Approach
- should reflect provisions of the Convention
- not only for self-evaluation, but also to give guidance
- easy to understand and use
- possibly common approach for all working areas

Result:

- indicator = mechanism
 - mechanism = set of procedures, actions and implementation rules
-

Indicators

Indicators for working area 1: identification of hazardous activities

- first: Mechanism for the collection of data
- second: Mechanism for the analysis and validation of data
- third: Mechanism for the review/revision of data

Indicators for working area 2: notification of hazardous activities

- first: Mechanism for the transboundary consultation on hazardous activities
- second: Mechanism for the notification of hazardous activities

Indicators for working area 3: prevention

- first: Mechanism giving the responsibility for industrial safety to hazardous activity operators
 - second: Mechanism introducing the control regime of the Competent Authorities
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Indicators

Indicators for working area 4: preparedness

- first: Mechanism giving the responsibility for emergency preparedness to hazardous activity operators
- second: Mechanism giving the responsibility for emergency preparedness to the Competent Authorities
- third: Mechanism ensuring transboundary compatible emergency plans

Indicators for working area 5: response and mutual assistance

- first Mechanism giving the responsibility to competent authority to promptly recognise industrial accidents or an immediate threat thereof
- second: Mechanism to ensure the use of IAN system
- third: Mechanism to ensure the use of notification mechanisms at the national level
- fourth: Mechanism giving responsibility to competent authority to request and to provide assistance

Indicators for working area 6: information to the public and public participation

- first: Mechanism to inform the public
 - second: Mechanism to ensure opportunities for public participation in relevant procedures whenever possible and appropriate
-

First part of cyclic approach = self-evaluation with the use of indicators and criteria

Task: development of criteria for self-evaluation

Goal:

- fit for use in the context of Strategic Approach for Assistance Programme
- easy to understand and simple for use
- common approach for all working areas
- the character of criteria should be positive/encouraging

Result:

- criteria divided into 6 progress stages :
 1. little awareness
 2. initial discussion
 3. decision taken
 4. intensive and detailed discussion
 5. mechanism adopted
 6. mechanism implemented and operational in practice
-

Table of indicators and criteria for each working area

<i>Indicators / Criteria</i>	First Indicator	Second Indicator	Third Indicator
Progress stage 1	<i>Little awareness</i>	<i>Little awareness</i>	<i>Little awareness</i>	...
Progress stage 2	<i>Initial discussions</i>	<i>Initial discussions</i>	<i>Initial discussions</i>	...
Progress stage 3	<i>Decision taken</i>	<i>Decision taken</i>	<i>Decision taken</i>	...
Progress stage 4	<i>Intensive and detailed discussions</i>	<i>Intensive and detailed discussions</i>	<i>Intensive and detailed discussions</i>	...
Progress stage 5	<i>Mechanism adopted</i>	<i>Mechanism adopted</i>	<i>Mechanism adopted</i>	...
Progress stage 6	<i>Mechanism operational and implemented in practice</i>	<i>Mechanism operational and implemented in practice</i>	<i>Mechanism operational and implemented in practice</i>	...