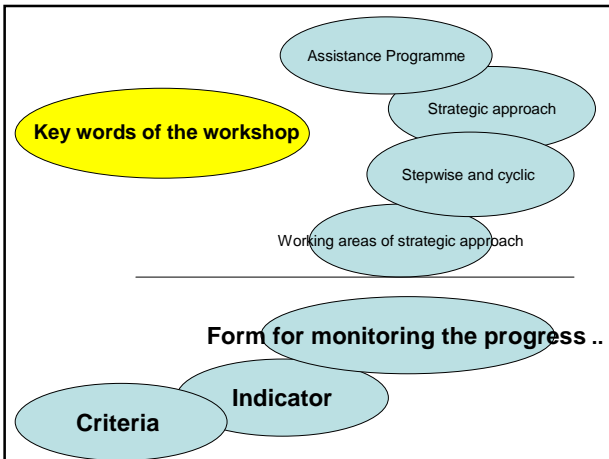


UN-ECE Convention on the Transboundary Effects of Industrial Accidents
Workshop on the use of indicators and criteria for the implementation of the Strategic Approach
Bratislava, 4 – 6 May 2011

Implementing Strategic Approach with the use of the Form, Indicators and Criteria

Jasmina KARBA,
Ministry of the Environment and Spatial Planning, Slovenija,
jasmina.karba@gov.si



- why implementing Strategic Approach?
- why have the form, indicators and criteria been prepared?
- whom are they addressing?
- how will a country benefit from self-evaluation?
- how to perform self-evaluation in practice?

Why implementing Strategic Approach?

- supports an image of a country that has a vision, a strategy and potential for progress
- supports an image of a country that knows the stage of progress, needs and priorities
- supports pro-active performance of a country
- it is transparent and systematic support for progressing in the implementation of the convention
- provides results that could serve as a base to apply for assistance also under other assistance programmes
- supports the reporting on the Convention's implementation
.....
- it has been adopted by COP

Why have the form, indicators and criteria been prepared?

- to serve as tools for the application of Strategic Approach
- to support the analysis and record of implementation status
- to serve as agreed benchmarks for the implementation status of a country
- to support the evaluation of Convention implementation status in general
- to support cost-benefit analysis of the Assistance Programme

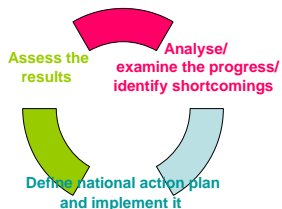
Whom are indicators, criteria and the form addressing?

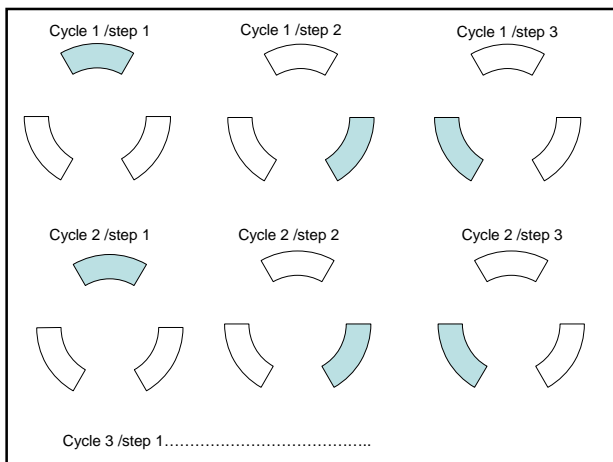
- countries participating in the Implementation Stage of Assistance Programme
- all parties to the Convention
- any country wishing to explore

How will a country benefit from self-evaluation?

- needs and priorities are identified based on thorough analysis of Convention's progress stage
- harmonised approach for the analysis of progress stage
- assistance activities based on needs and priorities
- better negotiation position
- rational use of resources
.....
- adopted by COP
- prerequisite for the participation of a country in the Assistance Programme

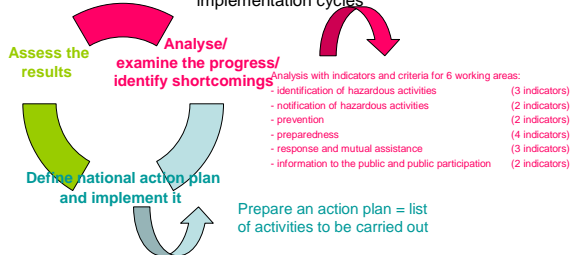
Goal oriented participation in the Assistance Programme with a stepwise and cyclic mechanism of Strategic Approach:





How does stepwise cyclic approach fit with the Form, Indicators and Criteria

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



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

Task: provide a format for collecting data within the stepwise cyclic mechanism

Idea: develop a template/form:

- to reflect stepwise and cyclic character of Strategic Approach
- to show level of progress at any time
- to enable saving of data
- to document the efforts and activities

Result:

A Form consisting of three tables

Monitoring implementation cycles with the Form

| <i>Steps of the cyclic mechanism</i> | <i>Use of the tables in the Form</i> |
|--|---|
| Step 1 Analyse and examine the level of implementation of the Convention identifying shortcomings and challenges. | Table 1 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. |
| 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 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. |
| Step 3 Assess the results achieved. | Table 3 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. |

Three tables of the Form - 1

Table 1
Results of the self-evaluation, detailed and precise explanation of the progress stage assigned to a specific indicator, identification of shortcomings and challenges, priority actions to be undertaken.

| <i>Areas of work with indicators</i> | <i>Progress stage with explanation</i> | <i>Identification of shortcomings and challenges with a list of priority actions to be undertaken</i> |
|--|--|---|
| 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 transboundary consultation on hazardous activities | | |
| Mechanism for notification of hazardous activities | | |
| Prevention | | |
| Mechanism giving responsibility for safe operation to HA operators | | |
| Mechanism introducing control regime of the competent authorities | | |
| | | |

1st part of cyclic approach = self-evaluation with the use of indicators and criteria

development of criteria for self-evaluation

Task: provide criteria for the self-measurement of progress achieved

Idea:

- fit for use in the context of Assistance Programme and Strategic Approach
- easy to understand and simple for use
- common approach for all working areas
- not only for self-evaluation, but also to give guidance
- the character of criteria should be positive/encouraging

Result:

- criteria divided into 6 levels of progress: little awareness...initial discussion...decision taken ...intensive and detailed discussion... mechanism adopted ... mechanism implemented and operational in practice
- criteria for levels of higher progress with detailed elements

Identifying stage of progress

Progress stage 1 (little awareness) has been reached:

- (a) when there is little awareness among competent authorities:
 - (i) that certain mechanism for the implementation of the Convention should be introduced;
 - (ii) of the necessary requirements for setting up such mechanism;
 - (iii) little awareness of its benefits; and/or
- (b) when ad hoc activities covering the mechanism might be in place, without a systematic procedure.

Progress stage 2 (initial discussion) has been reached:

- (a) when there is awareness at the level of experts of the need to introduce the mechanism,
- (b) when discussions are started on how it could be introduced and presented to policymakers for a formal decision, (discussions could be among authorities, experts and HA operators and should lead to an understanding of the legal context and a proposal to introduce the mechanism in question).

Progress stage 3 (decision taken) has been reached:

- (a) when a decision has been taken at the level of policymakers to introduce the mechanism in question;
- (b) when all relevant governmental and other stakeholders to be consulted have been identified.

In this progress stage discussions have led to a proposal to policymakers, who have formally (not necessarily by law) decided to introduce the mechanism in question and mandated/nominated a competent authority to elaborate the relevant legislation and procedures

Identifying stage of progress

Progress stage 4 (intensive and detailed discussion) has been reached:

when intensive and detailed discussions take place among stakeholders identified in progress stage 3 on the content of the relevant legislation and procedures specifying the functioning of the mechanism.

Progress stage 5 (mechanism adopted) has been reached:

- (a) when the mechanism has been adopted through a governmental act or other form of national practice, but it is not yet operational in practice (for instance, due to lack of human and/or financial resources);
- (b) a governmental act or other form of national practice defines the minimum components of the mechanisms of each working area;
- (c) a need for a training to implement the mechanism has been discussed;
- (d) the training has been designed, if the need for such a training has been confirmed.

Progress stage 6 (mechanism adopted and operational in practice) has been reached:

- (a) when the mechanism in question is operational and it is being implemented in practice by the competent authorities; and
- (b) human and financial resources have been secured; and
- (c) competent national experts are available and continuously trained to use the mechanism in question.

For each working area - table of indicators and criteria

| <i>Indicators / Criteria</i> | <i>First Indicator</i> | <i>Second Indicator</i> | <i>Third Indicator</i> | <i>.....</i> |
|------------------------------|--|--|--|--------------|
| 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> | ... |

How to perform self evaluation?

- Analyse each working area separately
- Analyse each indicator separately
- Get relevant information
- Discuss the situation in the country
- Document reasons for each stage of progress identified

Application of Indicators and Criteria and the Form in practice

Mandatory performance of self-evaluation with the use of indicators and criteria and monitoring of progress with the use of Form

Deadlines:

- Sept 2011 – self evaluation of the progress
- February 2012 – National Action Plan based on results of self-evaluation
- if submitting project proposal before Febr 2012: National Action Plan for the working area concerned in the project proposal

What should be sent to Secretariat and when?

- results of self-evaluation documented in Table 1 ... by Oct 2011
- National Action Plan (Table 2) ... by March 2012
- when submitting project proposal: Tables 1 and 2 / current Form

Note by the Bureau to COP 6
ECE/CP.TEIA/2010/6

Benchmarks for the implementation of the Convention on
the Transboundary Effects of Industrial Accidents
