European Union Network for the Implementation and Enforcement of Environmental Law

IMPEL NPRI

National Peer Review Initiative (NPRI)

Project 2019/21 report

Identification of the Project and the Report

Title report: INational Peer Review Initiative (NPRI) Project 2019/21 Report	Number report: 2019/21
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Disclaimer:

This report is the result of a project within the IMPEL network. The content does not necessarily represent the view of the national administrations.

This is a first release of the Project report that will be further developed and completed, and will be consigned with the group of deliverables developed.

Introduction to IMPEL

The European Union Network for the Implementation and Enforcement of Environmental Law (IMPEL) is an international non-profit association of the environmental authorities of the EU Member States, acceding and candidate countries of the European Union and EEA countries. The association is registered in Belgium and its legal seat is in Bruxelles, Belgium.

IMPEL was set up in 1992 as an informal Network of European regulators and authorities concerned with the implementation and enforcement of environmental law. The Network's objective is to create the necessary impetus in the European Community to make progress on ensuring a more effective application of environmental legislation. The core of the IMPEL activities concerns awareness raising, capacity building and exchange of information and experiences on implementation, enforcement and international enforcement collaboration as well as promoting and supporting the practicability and enforceability of European environmental legislation.

During the previous years IMPEL has developed into a considerable, widely known organisation, being mentioned in a number of EU legislative and policy documents, e.g. the 6th Environment Action Programme and the Recommendation on Minimum Criteria for Environmental Inspections.

The expertise and experience of the participants within IMPEL make the network uniquely qualified to work on both technical and regulatory aspects of EU environmental legislation.

Information on the IMPEL Network is also available through its website at:

www.impel.eu

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Introduction

IMPEL has more than 20 years' experience with the implementation of peer reviews, the so called IMPEL Review Initiative (IRI). The approach of and experiences with the IRI's, inspired Italy and The Netherlands, to take the initiative to modify and adjust the current IRI scheme into a peer review concept that can be applied at national, regional, local and organizational level. The General Assembly of IMPEL decided in 2018 to conduct the project 'establishing a National Peer Review Initiative (NPRI)' of which the first phase to be carried out in 2019 and 2020.

This document presents the general results of the 2019 – 2020 project. The report refers to various documents with more detailed information of specific phases or activities as carried out within the framework of this NPRI project, and to facilitate the development of the NPRI methodology.

The Outcome of the project and other papers and presentations produced during the project are collected in the following documents:

1. NPRI 2019_21 Survey on experiences with 'peer review' amomg IMPEL Members NPRI 2019_21
2. Preliminary study Peer Review approaches documents NPRI 2019_21
3. NPRI 2019_21 Methodology and Guidance NPRI 2019_21
4. NPRI 2019_21 Meetings report NPRI 2019_21
5. NPRI 2019_21 Working documents and presentations NPRI 2019_21

1. Objective NPRI-project

The general objective of the NPRI project is to develop a systematic approach for a National Peer Review Initiative, based on flexibility and specific country and organisational needs. The aim of the project is:

- To develop a Peer Review methodology and guidance that supports increase of capabilities, at various levels (local, regional, national and organisational), and facilitates homogeneity and harmonisation of performance of authorities in environmental matters, such as implementation, inspection, permitting, planning, to share good practices and to foster all the processes in order to contribute to a better harmonised implementation of environmental legislation;
- To set the basis for a methodology when applied supports a better understanding of the common needs within competent authorities (e.g.: training, common rules, documents, type of instruments and technical support etc.);
- To develop a support mechanism and guidance to implement the NPRI methodology at a national scale through a national network of contact points;
- To design an approach on facilitating and delivering adequate support to implement the outcomes of Peer Review missions.

2. Governance

A proposal for the NPRI project was included in a ToR[1] and approved by the General Assembly in its meeting in 2018. A project team was set up, led by project leaders from Italy and the Netherlands. Representatives of Finland, Republic of North Macedonia, Belgium, Greece, Portugal, Albania, Italy and the Netherlands are members of the open project team. The project is supported by a consultant.

To guide the project, the project leaders had and have a frequent contact and discuss the progress of the project. The project team has meetings which are preferably held back-to-back with a planned event or through video conferencing. Due to the Covid-19 situation, currently the communication is through email exchange and video conferencing.

3. Methodology

The methodology to carry out the NPRI project in 2019-2020 consisted of the following phases:

1. **Discussion document**:
   A thorough study of literature focused on 'peer review' theory, methodologies and effectiveness resulting in a discussion document containing the 'working principles, scope and focus' of the NPRI concept. An agreed 'discussion document' by the project group will provide guidance to the NPRI project.
2. **Survey and analysis**:
   A survey based on a questionnaire aiming at mapping the current experience amongst IMPEL members regarding peer reviews in organisations and agencies at all administrative levels.
3. **Preliminary Study**:
   A preliminary study of Peer Review methodologies as applied by selected organisations
4. **Country visits**:
   Meetings with authorities the Netherlands and Italy aiming at exchanging experiences regarding Peer Review methodologies as carried out by their organisations, followed by in depth discussions.
5. **'National Peer Review Initiative (NPRI) Scheme, Methodology and Guideline':**
   Development of a draft *'National Peer Review Initiative (NPRI) Scheme, Methodology and Guideline'*, based on the outcome of the preliminary study, country visits and the outcome of brainstorming sessions related to discussion documents on 'Assessment Frameworks' and 'NPRI Support Mechanisms'. The final draft aims to be tested in countries as included in the follow-up NPRI project to be carried out in 2020-2021.

4. Execution of the project phases

In this chapter the work will be presented that carried related to the different phases of the project as described in the previous chapter:

4.1   Ad. 1 Discussion document (scope and focus)

At the start of the project a discussion document was prepared and discussed to obtain a joint understanding of principles, scope, focus, limitations and target audience, and in particular to provide clear guidance to the project. The document discussed in first instance the subject of peer review and

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[1] ToR_NPRI_2019.doc

theory behind it, based on a brief review of the approaches of organisations who have long-lasting experiences with executing peer reviews, such as the OECD, UNECE, IAEA, the European Commission through the TAIEX P2P approach and IMPEL's IRI tool. The document resulted in a proposal including the scope, principles and starting points of a NPRI concept or methodology. The discussion document was discussed and approved (with proposals for revision) by the project team during its meeting on 17 June 2019 in Athens, Greece. Based on the outcome of the discussion the document was revised accordingly.[2]

The discussion document, in its last version, is available in the file "1. NPRI 2019_21 Discussion document", attached to this document.

4.2   Ad. 2 Survey and analysis

A survey was carried out within the IMPEL community through which information is gathered on experiences with 'peer review' approaches and concepts by governmental organisations and authorities at national, regional, local and institutional level. A dedicated questionnaire was developed and circulated to all IMPEL member organisations, asking them for information. The survey was not intended as a benchmarking exercise. The questionnaire was launched on 12 August 2019 and closed on 30 October 2019. There was a total of 30 responses to the questionnaire, representing 19 IMPEL member countries. This is 52,8% of all (36) IMPEL member countries. From 6 IMPEL member countries, 2 or more organisations responded to the questionnaire. The findings of the survey and its analysis are included in the report *'Analysis IMPEL NPRI Questionnaire – Survey on experiences with 'peer review' approaches and concepts'*. See the file "2. NPRI 2019_21 Survey on experiences with 'peer review' amomg IMPEL Members NPRI 2019_21", attached to this document.

Results revealed the great importance and concurrently, the diversity of existing review processes, the general need for feedback information regarding processes and services, as well as the existing gaps that can be filled by a robust, timely and relevant review method with follow up actions. The added value of a review scheme between national experts such as the NPRI tool was undisputed.
In summary:

- An opportunity to identify challenges, strengths and weaknesses in a system/institution or subject, in order to develop ways on how to improve them;
- A chance to examine and identify existing gaps and areas for improvement;
- An opportunity to give incentives for standardization and harmonization;
- Validation of good practices and strengths;
- An evaluation performed by experts familiar with national legislation and practices;
- An opportunity to encourage and support further development and improvement.

4.3   Ad 3. Preliminary Study

An important element of the project is a preliminary study focusing on a comparison of 7 different Peer Review and assessment approaches or methodologies, aiming at identifying approaches and good practices that can contribute to the development of the NPRI methodology. The complete study is

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[2] Discussion document NPRI - Version 24 October 2019

available in the folder: "3. Preliminary study Peer Review approaches documents NPRI 2019_21", attached this report.

4.3.1   Approach Preliminary Study

The following approach is used to carry out the preliminary study:

a) A study of literature of 'peer review' theory, methodologies and effectiveness;
b) A description of the 'working principles' of an NPRI, followed by discussion, revision and approval;
c) Selection of organisations who have a long-lasting experience with conducting Peer Reviews and or assessments. The selection was made based on agreed criteria;
d) Thorough study of the individual approaches (objectives, methodologies, scope, process etc.);
e) Drafting a summary document per reviewed organization describing in brief the Peer Review and assessment approach of the organization;
f) Drafting factsheets of the reviewed methodologies with brief characteristics of the Peer Review approach related to 10 'defined' dimensions of Peer Reviews or assessment approaches;
g) A selection and 'value' to which extent the Peer Review approach meets the 'working definition';
h) Comparison of the approaches with the 'working principles' as agreed by the team based on the discussion document of 24 October 2019';
i) Drafting conclusions and recommendations of the study aiming at giving incentives for further discussion on developing a framework of a NPRI methodology.

The following seven organisations have been selected:

1. Regional Environmental Protection Agencies (REPA) – *Collegiate test;*
2. International Atomic and Energy Agency (IAEA) – *Emergency Preparedness Review (EPREV);*
3. European Commission - Environmental Implementation Review (EIR) and TAIEX;
4. IMPEL - *IMPEL Review Initiative (IRI);*
5. United Nations Economic Commission for Europe (UNECE) – *Environmental Performance Review (EPR;)*
6. Organisation for Economic Co-operation and Development (OECD) – *Environmental Performance Review (EPR);*
7. Italian Peer Review experiences – *'A national approach'.*

4.3.2   Outcome study Peer Reviews on Assessment Frameworks

The preliminary study[3] concluded in summary:

General
All Peer Review and assessment methodologies as examined have proven their value in practice and most of the methodologies have their own and, in most cases, specific target audience. The methods as studied have clearly formulated objectives, namely, to help the organisation under review improve its performance, adopt best practices and comply with established standards and principles. Capacity and knowledge building are important aspects in this regard.

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[3] Preliminary study Peer Review approaches, *'a comparison of 7 different Peer Review and assessment approaches or methodologies, aiming at identifying approaches and good practices that can contribute to the development of a 'National Peer Review Initiative'.* P. 19

The study also confirms the assumption *'there is not a standardised peer review mechanism, but all peer review approaches share certain structural elements.' Neither there is a single, correct or unique way to measure performance.'* However, after comparison of the agreed draft 'NPRI working principles' with studied Peer Review approaches, it can be concluded that all reviewed methodologies can provide important input to a design and development of the NPRI approach.

(Lack of) Assessment Frameworks

Almost all organizations that perform peer review have difficulty developing or applying a concrete assessment framework with which a 'value judgment' can be given on the level of implementation, goal achievement, compliance etc., assuming Peer Reviews aim to 'measure' performance.

The performance of a country or organization in a certain area is mainly determined in a qualitative way. Although this approach can sometimes be regarded as arbitrary, it appears to be a good method to achieve desired improvement through dialogue and the exchange of knowledge and experience. All investigated methods contain this approach.

There is as well the ambition to measure aspects in a quantitive way. The reality is that this is quite complicated.

In this regard the Italian approach is interesting. Their approach also contains important quantitative elements through which insight is gained in the allocation of time and budget related to different aspects of work and/or organisation responsibilities. This approach is promising, and in particular to be considered to be used to discuss enhancing efficiency and effectiveness of operations and set priorities of organisations. In addition, this approach could also be useful to be explored further in light of strategic management discussions.

The different experiences have been used to design an approach and guidance on developing an assessment framework that meets the principles of the NPRI concept, which aims to be applied flexibly to various subjects where performance must be measured. See for this in particular paragraph 5.5.1.

Peer Review process

The studied organizations described (some thoroughly) their review process. Ample attention has been given to the content of all steps, the activities that take place, division of responsibilities, information and data collection and sharing, and the timing of all process steps. Agreements between the host organization and the review organization are formalized through a ToR. All organizations conduct assessments in a structured way, as laid down in most of the available guidance material.

All organizations organize preparatory meetings with the country or organization where the review will be conducted. During that meeting, all organizations provide information about the process of the review, the scope and length of the mission. Also, the provision of information in advance through questionnaires is discussed with the organization to be reviewed.

Composition teams and recruitment

The research shows a broad variety in how review teams are put together and how experts are recruited. Some organizations select team members on the basis of proven knowledge, as is done by the IAEA and others select on the basis of CVs and (proven) involvement in the topic (UNECE and

OECD). It cannot be directly concluded from the research whether there is a concrete assessment framework against which the potential candidates are assessed. In some cases, there is the impression that the selection of team members, or at least some, is based on 'because we know him or her.' The recruitment of team members by the IAEA includes a web-based training which needs to be successfully completed. This is a condition.

Guidance and training

All organizations have guidance material available to a greater or lesser extent. This varies from a complete guidance in which the entire process from the review is described in detail (IAEA), to provide guidance on relative main points (REPA) of the process. Organizations such as UNECE, IAEA and IMPEL have information packages available with background information and instructions for the team, as well as for the organization to be reviewed so that people can prepare for the review. UNECE, OECD and IAEA have very comprehensive guidance material available.

Reporting

The research shows that there is variety in the way how the reports are prepared. All organizations have in common that the report is already being worked on during the mission. Some organisations divide the chapters of the report to be written among those team members who are experts in a specific subject. IMPEL has a rapporteur as a member of the team who, in consultation with the team leader, prepares the draft of a rapport.

Follow-up

The way if and how follow-up is given to peer reviews and assessments is very different. The reviewed country or organisation is expected to implement the recommendations according to an action plan to be drafted. However, this cannot be imposed. Although most organisations have the ambition to organise follow-up missions, not all have these activities institutionalised. The OECD, UNECE and IAEA however have formal arrangements for this.

4.4   Ad 4. Country visits, Project meeting and focus of specific topics- relevant documents

A part of the project were two country visits in which experts participated from Belgium, Albania, Finland, Portugal, Greece, Italy and The Netherlands. The aim of the visits was to exchange experiences regarding Peer Review methodologies as carried out by their organisations. Presentations were given, followed by in depth discussions and brain storming. The outcome of these visits contributed to the further development of a NPRI methodology. The country visit to The Netherlands took place from 23 – 24 January 2020. Due to the Covid19 virus crisis, it was decided to organize the 'country visit' to Italy through a video conference, which was held on 24 March and 2 April 2020. All these events provided important input to the NPRI project.

The Country visits and other relevant activities, as Project Team meetings and the studies carried out by a task force in charge of studying the Assessment Framework issue are describer in the file "4. NPRI 2019_21 Meetings report"; in the file "4.1. NPRI 2019_21 Collection of Working documents and presentations" the presentations delivered during country visits and meeting can be found.

4.5 Ad 5. National Peer Review Initiative (NPRI) Scheme, Methodology and Guideline

Bases on the outcome of the preliminary study and related discussions, as well on the results of the country visits and subsequent brainstorming, a preliminary document with a design of a NPRI Peer Review scheme and methodology was drafted. In the folder in attach "5. NPRI 2019_21 Methodology and Guidance"

The methodology is designed as a process of Peer Review. If applied, the outcome aims to support the reviewed organization in improving the implementation of tasks and responsibilities. Use of the methodology also aims at gaining a better understanding of common needs within authorities (e.g.: training, common rules, documents, type of instruments and technical support etc.) and to determine how support could be delivered by a core group of experts to achieve these results. Furthermore, the document provides guidance how a NPRI Peer Review instrument can be implemented by a network of national and/or regional experts and how adequate support can be provided to implement findings of a peer review.

The aim is as well that the instrument can serve as a capacity-building instrument for the organisation under review, as well as for other organisations, especially those acting as reviewers.

The document contains a detailed description of all phases of the process of a Peer Review, including roles, responsibilities and expectations etc. The following phases and related activity are described:
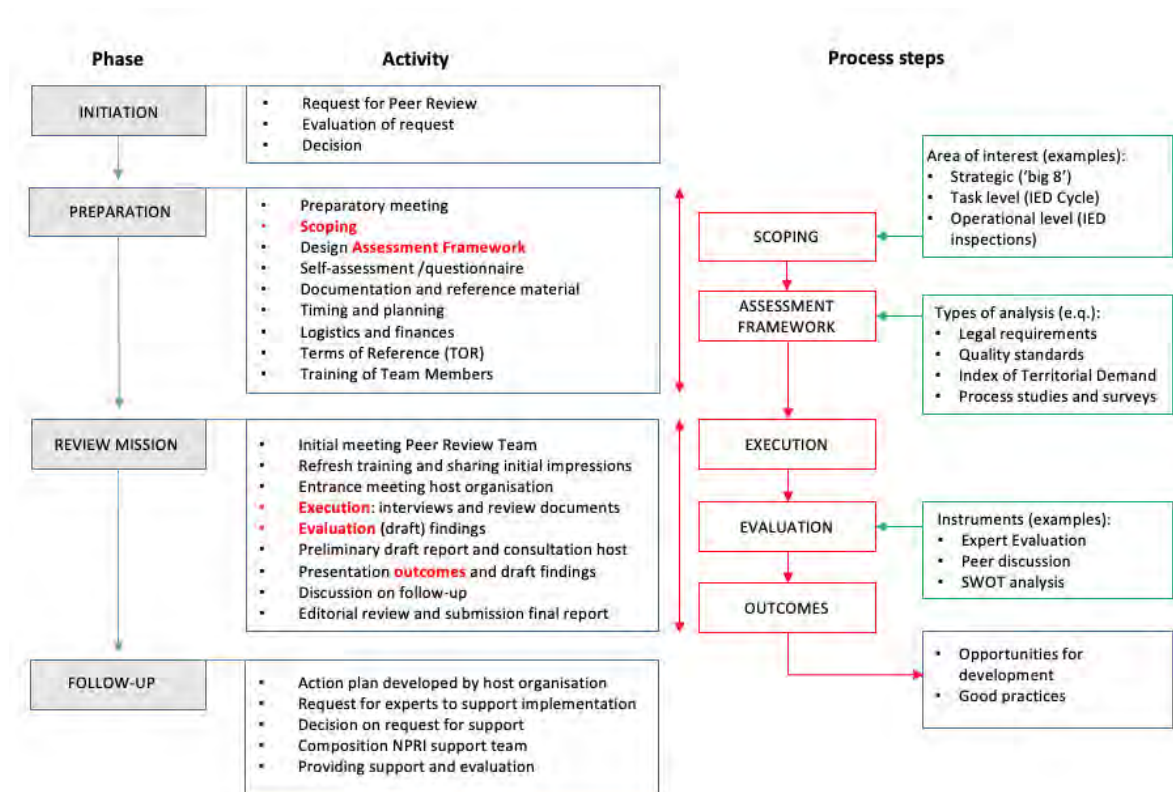
In connection with the design of the NPRI methodology, two separate discussions took place on the topics 'Assessment Framework' and 'NPRI support programme'. These were important because the subjects are essential components of the NPRI methodology to be developed. For that reason, these subjects are here mentioned more specifically:

4.5.1   Discussion document and annex "Guidance to design an Assessment Framework"

In fact, Peer Review aims to 'measure' performance. However, is no universal method for measuring performance and as mentioned earlier, an Assessment Framework is mainly lacking. Being able to measure performance, a clear assessment framework with indicators is needed that relates to and cover those subjects on which the assessment is focused. In some situations, an assessment framework is laid down in legislation and regulations, or a framework is derived from a quality system. Examples are the 'Model Regulation on the quality of permits, supervision and enforcement of environmental law'[4] as used by the Dutch Association of Provinces in the Netherlands, as well as the European Parliament and Council Recommendation providing for minimum criteria for Environmental Inspections (RMCEI)[5]. Assessment frameworks can for example also be formed by quality systems such as ISO 9001. Other organisations use other approaches. That is why various assessment frameworks are used for measuring performance of specific tasks. Sometimes the assessment frameworks are a mix of various methodologies.

Within the context of the project the question is relevant if and how an assessment framework can be designed that meets the principles of the NPRI concept, which aims to be applied flexible to various subjects where performance must be measured. This topic was thoroughly discussed within the project group based on a discussion document.[6] The outcome of the discussions provided input to the development of a 'guidance to design an Assessment Framework.' This guidance is included in a separate annex[7], attached to the methodology. The annex outlines more in detail guidance and steps of a process that can be considered in designing an assessment framework. In addition, in this annex two examples of an assessment framework are described as used by international organisations.

4.5.2   Discussion setting up a support programme

The NPRI project aims to provide support to countries and organizations in two ways:

1. To establish a NPRI support programme at national level, including the set-up of a core group of experts in a broad field of expertise;
2. To provide support to organisations after completing a Peer Review mission to help to implement the findings on request.

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[4] Wabo Kwaliteitscriteria. Available from
https://www.infomil.nl/publish/pages/75656/vth_wabo_kwaliteitscriteria_versie_2_2_2019_deel_b.pdf

[5] RECOMMENDATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 4 April 2001providing for minimum criteria for environmental inspections in the Member States(2001/331/EC; Available at: https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32001H0331&from=EN

[6] Discussion document Assessment Framework text version 18 February [2][1].docx
[7] Annex 'Guidance to design an Assessment Framework'

To facilitate a discussion on how both ways of support can be developed and implemented in a NPRI support programme, a discussion document[8] was prepared and discussed by the project team. The outcome of the discussions will be the input for an approach to be developed further and to be included in the methodology.

5. Events and deliverables

The following events took place in the course of the project, as well as the following deliverables have been produced (time period April 2019 – July 2020):

1. An initial project meeting was held in Italy on 25 and 26 June 2019 to operationalise the TOR and project.
2. A document that provides the scope and principles of the NPRI. This document provided important guidance for the next steps in the project.
3. A project kick-off meeting was held in Greece from 17 – 18 July 2019 to officially launch the project. Several organisations participated in the launch.
4. A questionnaire was developed and distributed to all members with a request for information. The response on this survey provided relevant information which adds value to the next phases of the project.
5. A report including the outcome of the survey and an analysis of the results. The outcome is as well summarized in a PPT presentation.
6. Seven different annexes with a description and thorough information of Peer (and Performance) Review approaches and methodologies that were examined within the 'Preliminary Study' as carried out.
7. A report of the preliminary study including the results of the study, a comparison of 7 different Peer Review approaches, an analysis of all relevant information, and various conclusions and recommendations. The findings of the preliminary study are as well summarized in a PPT presentation.
8. A country visit to the Netherlands and hosted by the REPA Zuid-Holland Zuid on 23 and 24 January 2020. The event was attended by an international group of participants.
9. A project team meeting was held back-to-back to the country visit in the Netherlands and the outcome of the survey and questionnaire, as well as the results of the preliminary study were presented. The presentations were followed by discussions which gave guidance to next steps of the project, in particular to develop a first draft scheme of a NPRI approach and methodology.
10. A report containing a draft 'National Peer Review Initiative (NPRI) Scheme, Methodology and Guideline' was prepared and is available for further review, discussion and revision.
11. A discussion document on the topic 'Assessment Framework' was drafted, reviewed and discussed.
12. The document as mentioned under 11 and the outcome of the discussions formed the basis to establish a small Task Force that developed a framework for a Guidance to design an Assessment Framework', including amongst other considerations on indicators and/or criteria that could be used.

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[8] Approach support NPRI version 18 February.docx

13. A discussion document about 'setting up a NPRI support programme' has been drafted and was made available for review and discussion. The document and the outcome of the discussions provided the basis for drafting a specific chapter about 'support within the NPRI context.'

14. An annex called 'Guidance for experts/reviewers in writing reports of a peer review' was drafted as an appendix to the NPRI methodology.

All documents and presentations are available in the files and folders in attach:
1. NPRI 2019_21 Discussion document
2. NPRI 2019_21 Survey on experiences with 'peer review' among IMPEL Members
3. NPRI 2019_21 Preliminary study Peer Review approaches documents
4. NPRI 2019_21 Meetings report NPRI
4.1. NPRI 2019_21 Collection of Working documents and presentations NPRI 2019_21
5. NPRI 2019_21 Methodology and Guidance

6. Evaluation

Because of the uncertainties on the further planning of the NPRI project due to the Corona virus problems, there is a need to reconsider the schedule of the project. Being realistic (without being sure), delays in face-to-face meetings as project team, as well as other in person gatherings are foreseen. It also will have an impact on the second year of the project, of which the start is expected to be postponed, as well as related contracts to be drafted and signed. Finally, it has an impact as well on the financing of the project due to deadlines of contracts, agreements with the Commission etc.
However, it also should be underlined that, despite barriers due to the Covid-19 situation, the first phase of the NPRI project was successful in terms of keeping up to the project planning, the level of involvement of project partners and the number and quality of events and deliverables.

7. To conclude

From April 2019 till July 2020 the first phase of the project *'establishing a National Peer Review Initiative (NPRI)'* was carried out. The outcomes of surveys, preliminary studies on Peer Review methodologies, discussions on Assessment Frameworks and support mechanisms were consolidated in different documents which together form the basis of an advanced draft NPRI methodology as a draft overall product of the project. The outcomes of country visits undoubtedly added value to all discussions and the final draft.

More work needs to be done to complete the draft methodology as well as that this should be tested in practice in the course of 2020 and 2021. A second Terms of Reference is drafted and presented to IMPEL's General Assembly. The NPRI project team is convinced that the final NPRI instrument will be an important addition to IMPEL's rich toolbox and as well will meet the expectations as included in the Action Plan of the Environmental Compliance Assurance (ECA) Initiative of the European Commission.

Annexes

This document describes the initiative of establishing a National Peer Review Initiative (NPRI), based on a long-term experience of IMPEL with the execution of peer reviews, the so called IRI's. The approach of and experiences with the IMPEL peer reviews, inspired Italy and The Netherlands, to modify the current scheme and to further develop a peer review concept through which peer reviews can be carried out at national, regional, local and organizational level. Both countries experimented with a concept. In both experiments, experts, representing an organization, peer reviewed an equivalent organization. The results of these exercises encouraged IMPEL to further develop this initiative into an instrument that can be used by countries at various levels.

This document discusses in first instance the subject of peer review and theory behind it, based on a brief review of the approaches of organisations who have long-lasting experiences with executing peer reviews, such as the OECD, UNECE, IAEA and the European Commission through the TAIEX P2P approach. Then briefly IMPEL's IRI methodology will be described. Finally, the document will result in a proposal (for discussion) on the scope, principles and starting points of a NPRI concept or methodology. The aim is to reach agreements after discussing this document on how the instrument can be developed.

What is peer review?

There is a broad variety in use of 'peer review' concepts. In the field of organizational, economic and environmental issues, many organisations use this methodology to assess performances and to help to further improve. It also varies from mandatory to voluntary schemes. Besides IMPEL, organisations as the OECD, IAEA, UNECE and European have broad and long-lasting experiences. A quick reading of (scarce available literature on) peer review approaches learns that they basically share certain structural elements, principles, assumptions and procedures. It also learns that 'peer review' has not been rigorously defined and that there is no standardized peer review mechanism.

As an example, the OECD who has a long-lasting experience with conducting peer reviews at state level describes 'peer review' as:

'The peer review is a discussion among equals, not a hearing by a superior body that will hand down a judgement or punishment. This makes them a more flexible tool; a state may be more willing to accept criticism, and its neighbours to give it, if both sides know it does not commit them to a rigid position or obligatory course of action. Peer reviews are not intended to resolve differences among states, but they may play some of the role of a dispute settlement mechanism, by encouraging open dialogue that can help clarify positions in a non-adversarial setting.'[1]

Peer review in the context of an IRI or NPRI contains to a large extent similar elements and is basically an assessment of one organization's performance or practices in a particular area or with

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[1] https://www.oecd.org/site/peerreview/whatispeerreview.htm

respect to a particular theme by experts of more or less equivalent organisations. The main aim is to help the organization under review improve its performance, adopt best practices and comply with established standards and principles.

Effectiveness of 'peer review'

For a peer review to be effective, certain conditions must be met. With all these conditions in place, peer review can serve as a stimulus for improvement and can act as a catalyst for improvement. The following[2] can be mentioned as examples:

- Effectiveness is largely depended on the willingness of the organization concerned to accept it.
- Peer review is particularly effective when it is possible to provide both qualitative assessments of performance and quantitative measures of progress.
- The effectiveness of peer review relies on the influence and persuasion exercised by the peers during the process.
- If a peer review does not take the form of legally binding acts, as sanctions or other enforcement mechanisms, the effectiveness of the exercise may increase. In such a 'non-binding' situation, peer review is a means of soft persuasion which can become an important driving force to stimulate the peer reviewed organization to implement identified opportunities for development, achieve goals and meet standards.
- Participating organizations must share the same views on the standards or criteria against which to evaluate performance. A strong common understanding on these elements will prevent uncertainty or backtracking during the process. In other words, value sharing is essential for effectiveness of peer review.
- Peer review can function properly only if there is an adequate level of commitment by the participating organizations and experts. Besides supplying enough resources to carry out a peer review, a full engagement in the process, whether reviewing or being reviewed, is key.
- While peer review, by its nature, is a cooperative, non-adversarial process, mutual trust is important for its success. While the peer review process itself can contribute to confidence building, a large degree of trust and value sharing among the participants should be present from the beginning to facilitate the disclosure of data, information and documentation which are essential to the process.
- The effectiveness of a peer review is largely determined by a strong connection between the credibility of the process of the peer review and its capacity of influence to implement findings and ultimately to achieve improvement. Credibility of the peer review process is essential to its effectiveness. Well trained, experienced examiners and experts, representing organizations with equal tasks and responsibilities, help ensure this credibility.

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[2] Peer Review. An OECD Tool for Co-operation and Change; P 19.

- The involvement of the reviewed organization in the peer review process and ownership of the outcome is the best guarantee that it will ultimately endorse the final report and implement its recommendations.
- Fairness and the objectivity of the review should not be endangered. For example, the organization under review should not be permitted to veto all or part of the final report.
- A peer review should contain 'mutual learning' as a shared value. When the peer reviewed and the examiners will learn from each other, the effectiveness will increase.
- Wanting to have a peer review carried out must be attractive. It must be clear from the outset that the organizations involved benefit from their participation. The form of the peer review can make an important contribution to this.
- The peer review must be flexible in nature and must be closely aligned with the needs and wishes of the applicant.

IMPEL Peer Review Initiative (IRI)

The IMPEL Network has more than 16-year experience in conducting informal reviews of environmental authorities in IMPEL Member countries by using a peer review scheme (IMPEL Peer Review Initiative – IRI) as developed by the Network. The IRI is a voluntary, peer review scheme to look at the processes and procedures of environmental authorities in IMPEL member countries and identify areas of good practice and opportunities for further development.

The IRI is intended to enable the environmental authority and review team to explore how the authority carries out its tasks. It aims at identifying areas of good practice for dissemination together with opportunities to develop existing practice within the authority and authorities in other IMPEL member countries.

It was set up to implement the European Parliament and Council Recommendation (2001/331/EC) providing for minimum criteria for environmental inspections (RMCEI), where it states:

'Member States should assist each other administratively in operating this Recommendation. The establishment by Member States in cooperation with IMPEL of reporting and advice schemes relating to inspectorates and inspection procedures would help to promote best practice across the Community.'

The aims of the IRI are to:

- provide advice to environmental authorities seeking an external review of their structure, operation or performance by experts from other IMPEL member countries for the purpose of benchmarking and continuous improvement of their organisation
- encourage capacity building in environmental authorities in IMPEL member countries
- encourage the exchange of experience and collaboration between these authorities on common issues and problems

- spread good practice leading to improved quality of the work of environmental authorities and contributing to continuous improvement of quality and consistency of application of environmental law across IMPEL member countries ('the level playing field').

National Peer Review Initiative (NPRI), the project and working principles

The project

The general objective of the NPRI project is to develop a systematic approach for a National Peer Review Initiative, based on flexibility and specific country needs.

The desired outcome is the increase of the capability, at various levels (local, regional, national and organisational), to understand the degree of homogeneity and harmonisation of the performance of competent authorities in environmental matters, such as implementation, inspection, permitting, planning, to share good practices and to foster all the processes in order to contribute to a better harmonised implementation of environmental legislation.

Furthermore, the project aims to set the basis for a better understanding of the common needs within competent authorities (e.g.: training, common rules, documents, type of instruments and technical support etc.) and to determine how mutual support could be delivered within or by a National Network of authorities to achieve these results. Therefore, the project will provide IMPEL Members with a concept or approach, including a guideline on how a NPRI scheme could be implemented, and how an adequate support can be delivered.

The project, by consequence, will support the development of a core group of experts, able to implement/improve the NPRI's in their country, as well as to support the implementation of an NPRI in other countries.

The project will be carried out in 2019 and 2020.

In the first year, the project is aiming at the definition of Guidelines for National Networks, to develop peer reviews at various levels. This aim will be achieved through activities as a preliminary study of existing NPRI experiences (questionnaire, workshops, discussion and analysis); exchange visits in selected countries; the definition of a 'NPRI-concept' and a study on how IMPEL could facilitate in the development of the NPRI in countries.

In the second year the IMPEL Project Team will support organisations in the development of customised schemes based on specific country needs. This will be done through visits in which the Project Team will provide expertise and advice to help the country to get started. In the second year also the core group of experts will be established.

Working principles NPRI

There is no standardized peer review mechanism, but all peer reviews share certain structural elements: a basis for proceeding; an agreed set of principles, standards and criteria against which the country's performance will be reviewed; designated actors to carry out the review; and a set of

procedures leading to the final result. These will be described more in detail in the concept of the NPRI, after analysis of the preliminary study on 'peer review'.

Based on the preliminary discussion included in this document, a NPRI can be framed along the following working principles:

An NPRI <u>is</u>:

- On a voluntary basis
- A supportive instrument aiming at improving performance of …
- An instrument of which the results after use adds value to the assessed organization
- Findings and 'opportunities for development' are non-binding
- Flexible and can be focused on a variety of topic and themes
- On request of a country, national, regional, or local authority or an organization
- Is a mutual learning process in which best practices are exchanged. This is true not only for the organization under review, but also for other organisations, especially those acting as lead examiners
- A means of stimulating reform in the policies and practices of the organizations to be reviewed
- An NPRI is based on a dialogue through which organizations systematically exchange information, attitudes and views on policy decisions and their application. This can result in further cooperation
- A concept that can also serve as an important capacity-building instrument, since it is a mutual learning process in which best practices are exchanged. This is true not only for the organization under review, but also for other organizations, especially those acting as examiners
- Is flexible and can take different forms, such as: expert missions, study visits, workshops etc.
- A concept that has a flexible process. It <u>can</u> consist of the following main steps: Preparation, Review Mission, Expert Review, Peer Review, Publication and Launch.

A NPRI is <u>not</u>:

- A ranking of countries, regions, organizations etc. due to their performance
- A 'naming and shaming' technique which singles out poor performers
- A formal audit

Next steps

The proposed next steps are the following:

- To discuss this discussion document and agree on the scope and principles of a NPRI
- To discuss the list with scheduled activities in light of the discussion of the scope and principles of a NPRI

Analysis IMPEL NPRI Questionnaire – Survey on experiences with 'peer review' approaches and concepts

Table of content

Executive summary

Effort was made to map the current experience amongst IMPEL members regarding peer reviews in organisations and agencies at all administrative levels. Results revealed the great importance and concurrently, the diversity of existing review processes, the general need for feedback information regarding processes and services, as well as the existing gaps that can be filled by a robust, timely and relevant review method with follow up actions. The potential value of a review scheme between national experts such as the NPRI tool was undisputed.

Executive summary

Analysis IMPEL NPRI Questionnaire – Survey on experiences with 'peer review' approaches and concepts

Introduction

IMPEL's General Assembly decided in December 2018 to carry out a project on establishing a 'National Peer Review Initiative (NPRI)', based on a 16-year experience of IMPEL with the execution of peer reviews, the so called IRI's. The NPRI builds on the IRI concept and other (international) experiences with 'peer review' and will modify the current scheme into a flexible 'peer review' methodology that can be used by equivalent organisations and authorities at national, regional, local and institutional level.

The desired outcome of the project is to increase capabilities at various levels, to understand the degree of homogeneity and harmonisation of the performance of authorities in environmental matters, such as implementation, inspection, permitting, planning, to share good practices and to foster processes that contribute to a more harmonised implementation of environmental legislation. Furthermore, the project aims to set the basis for a better understanding of the common needs within competent authorities (e.g. training, common rules, documents, type of instruments and technical support etc.) and to determine how mutual support could be delivered within or by a National Network of authorities to achieve these results.

An important element of the project is a questionnaire through which information is gathered on experiences with 'peer review' approaches and concepts by governmental organisations and authorities at national, regional, local and institutional level. It provides information on experiences of equivalent organisations and authorities at various levels as mentioned and how these experiences helped to assess performance and supported further improvement. The questionnaire was not intended as an audit or a benchmarking exercise.

Structure and content of the questionnaire

A thematically structured questionnaire with 5 main ~~questions~~ sections and several sub-questions was addressed to public authorities directly responsible for any part of the application or enforcement of environmental legislation or the surveillance of the environment.
The focus was at:
- background information of the respondents and the organisations they represent;
- the division of environmental competencies between different authorities within countries;
- information on the different reviews that have been performed in a country/institution;

- any other tool or process in place nationally, regionally, locally or institutionally for assessing and/or evaluating a system or organization;
- an opinion on the likely contribution of the NPRI scheme.

The questionnaire was launched on 12 August 2019 and closed on 30 October 2019

After closing of the survey, the collected information was analysed. Results and relevant conclusions from the survey are included in this report.

RESULTS QUESTIONNAIRE

The results are presented as answers and an analysis of the questions as included in the questionnaire:

1. Details of Respondent and Organisation

1.1: Please indicate your name, job title, responsibilities, authority and contact details. If you prefer to stay anonymous, just skip this question.

Answers to this question provided the information of the respondent. In total 30 responses were received.

1.2: Please indicate your country

There was a total of 30 responses to the questionnaire. These responses represent 19 IMPEL member countries, which is 52,8% of all (36) IMPEL member countries. From 6 IMPEL member countries, 2 or more organisations responded to the questionnaire:

Country	Nr. responses	Country	Nr. responses
Albania		Ireland	
Belgium		Italy	7
Bulgaria		Kosovo	
Croatia	3	Netherlands	
Cyprus		Norway	
Czech Republic	2	Portugal	2
Denmark		Slovak Republic	
Finland		Slovenia	2
Germany		United Kingdom	2
Hungary			

The countries that responded to the questionnaire can be seen in the following map:

1.3: What is the operational level of your organisation?

The 30 respondents mentioned that they operate at the following levels:

- 12 at the regional level
- 17 at the national level
- 1 at the local level
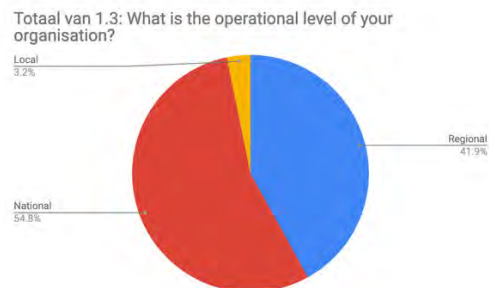
See table of conclusion at the end of section 2.

1.4: Is your organisation responsible for environmental protection in the following areas (please mark relevant check boxes)? [If your answer is 'Other' please specify]
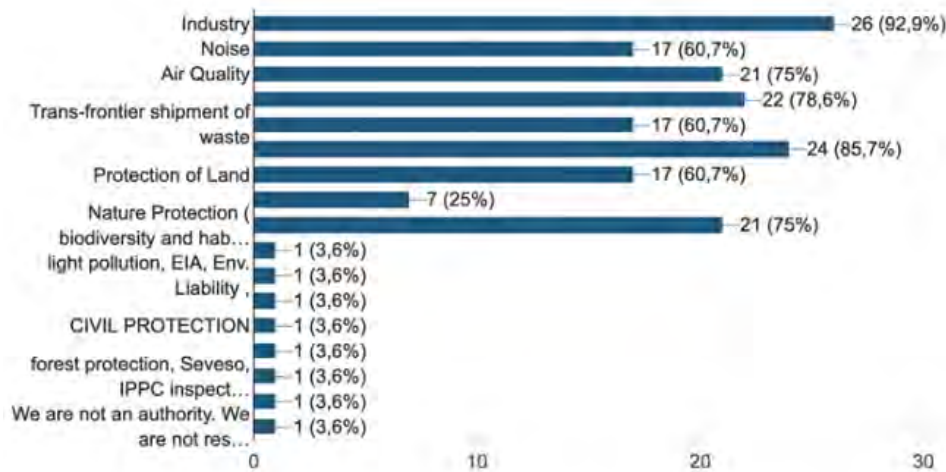
See table of conclusion at the end of section 2.

1.5: Is your organisation responsible for the following tasks (please mark all relevant check boxes)? [If your answer is 'Other' please specify]
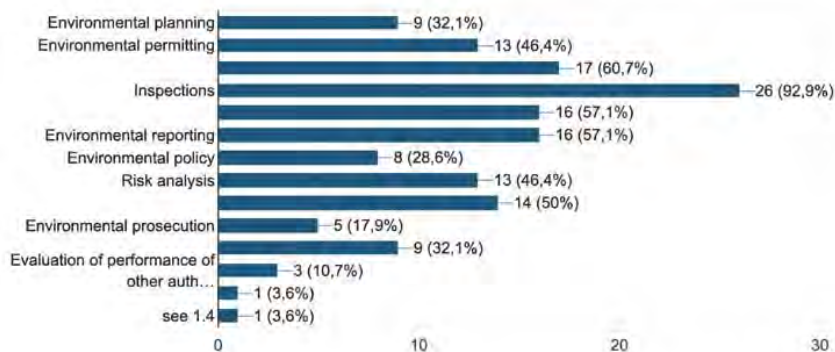
See table of conclusion at the end of section 2.

1.6: How is your organisation financed? [If your answer is 'Other' please describe how].

HOW IS YOUR ORGANISATION FINANCED?

EU funding and other funding sources
3%

Fees from enterprises
3%

Fixed budget and completed task
4%

Fixed budget en project funding
7%

Fixed budget
83%
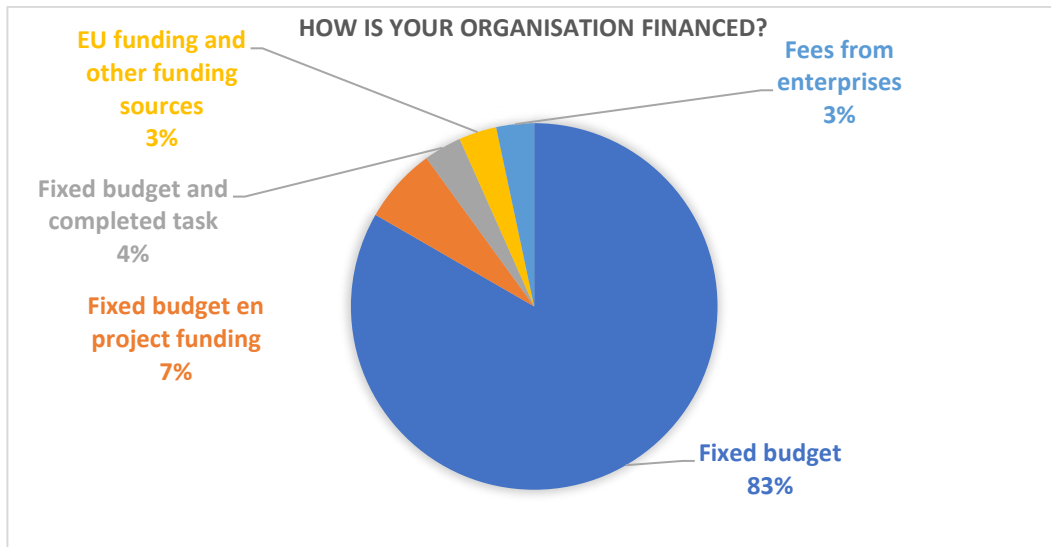
See table of conclusion at the end of section 2.

1.7: Does your organisation agree to be named in the list of organisations to have taken part in this questionnaire that will be included in the report?

Yes
No

28,6%

71,4%
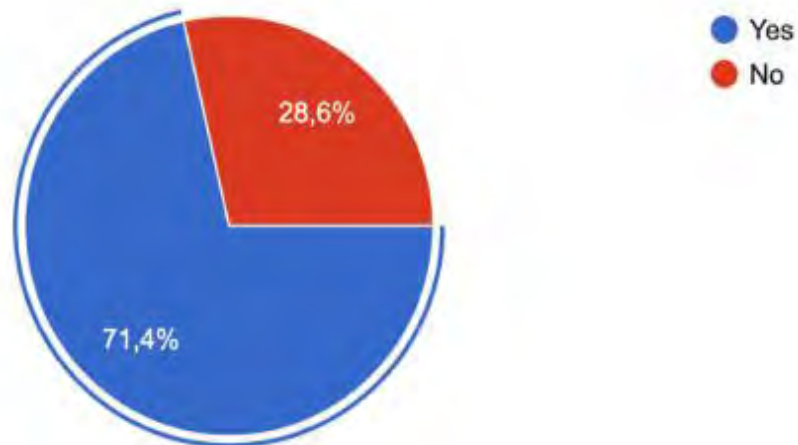
1.8: Does your organisation agree that any specific information or examples that you have given is cited in the report?
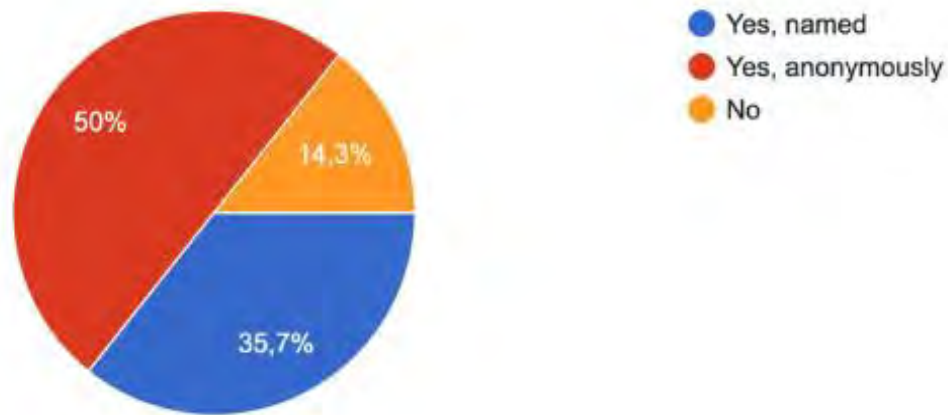
(From 1.7 & 1.8. above): Permission to publicize the information gathered from the questionnaire has been secured for most responses given

2. Division of Administrative Competences

2.1: Are competences for the implementation and/or enforcement of environmental regulation in your sector-field of work centralized or divided at different administrative levels (central, decentralized, regional, local: provinces, municipalities etc.)? [If your answer is 'Other' as in 'divided competencies at different levels' please describe how].

9 out of 30 respondents mentioned that the competences for the implementation and/or enforcement of environmental regulation are at the central level. 21 respondents mentioned that these competences and responsibilities are decentralized at different levels, such as regions, provinces and municipalities.
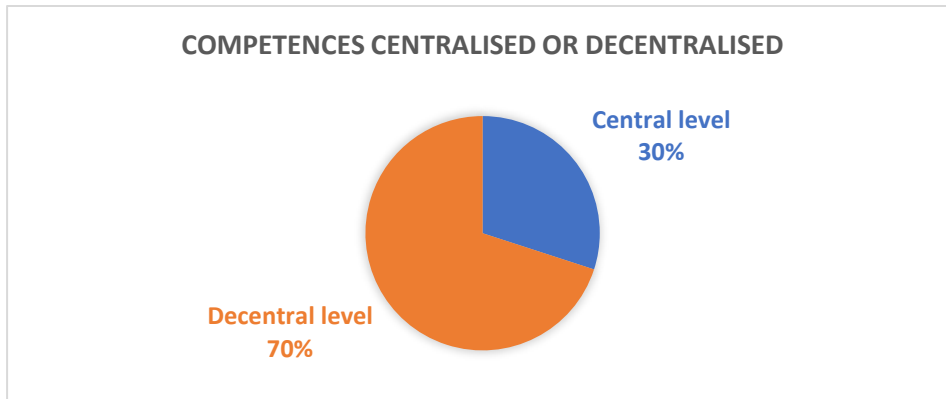
COMPETENCES CENTRALISED OR DECENTRALISED

Central level
30%

Decentral level
70%

2.2: Do competences for the implementation and/or enforcement of environmental regulation in your sector-field of work belong exclusively to your institution or are other organisations involved? [If your answer is 'Other' as in 'there are other organisations involved' please describe how].

9 out of 30 respondents mentioned that the competences for the implementation and/or enforcement exclusively belongs to their institution. 21 respondents mentioned that these competences and responsibilities belong to organisations at a regional, provincial and municipal level. Sometimes there is a mix of competences that partly belong to an institution at a central level and at organisations at a decentralised level.

COMPETENCES EXCLUSIVELY ONE ORGANISATION OR ARE OTHER ORGANISATIONS INVOLVED

Exclusively one organisation
30%

Other
70%
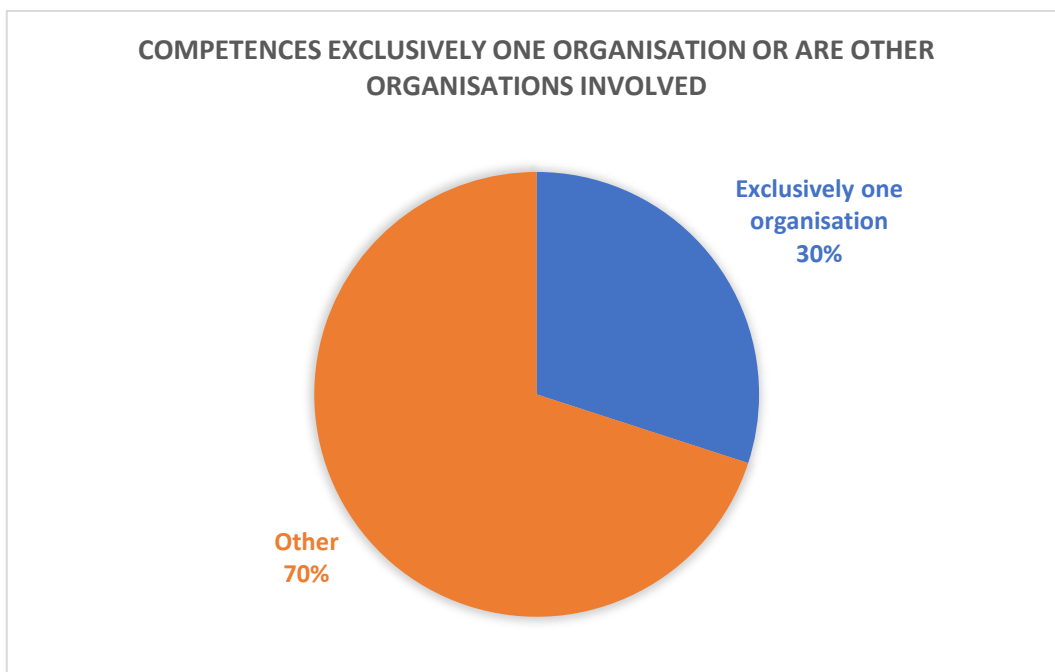
Conclusions on the representation of organisations (Sections 1 & 2)

- Representation from over half of IMPEL member countries, 2/3 of which have decentralized 70% of the competencies for the implementation and/or enforcement of environmental regulation to organisations at regional, provincial and municipal level.

- However, the majority of organisations represented were at national level; they operate on a fixed budget, deal in all sectors/areas of environmental protection but mostly through environmental inspections and permitting.

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3. Review details

3.1: What experience does your organisation have with assessing and/or evaluating its performance or practices in a particular area/sector/theme (for example, assessing the inspection and enforcement system)?

The experiences with assessments or evaluations of performances or practices are varying. 7 respondents indicated that they do not have any experience with assessments or evaluations, while 24 respondents mention having experiences.

The experiences of organizations can be split in assessments or evaluations that are conducted with internal and/or external assistance.

Assessments with external assistance
Of the 19 IMPEL member countries who responded to the questionnaire, only 14 reported on an IRI carried out in the timeframe of 2002 – 2019. These countries and the assessed organisations have experienced the IRI methodology and approach, executed by external and international experts.

The map illustrates how many (27) and which countries have performed IMPEL Review Initiatives (IRI) in the timeframe of 2002 – 2019. Italy performed 2 IRI's of which 1 'green IRI', Slovenia performed 2 IRI's as well and Portugal 2, of which 1 IRI was conducted at the Azores.

Map:

Very few IMPEL member countries have experience with other external organisations in carrying out peer reviews. Organisations that were mentioned are: United Nations Economic Committee for Europe (UNECE), the OECD, the Regional Environmental Centre (REC) in the Western Balkan Region and the Balkan Environmental Regulatory Compliance and Enforcement Network (BERCEN). This last-mentioned network does not exist anymore.

Example of external peer review

- An interesting experience with an external peer review is an approach where two neighboring countries carry out a peer review in another country, with focus on a thematic area, such as the quality of the water management (Norway).

Assessments, evaluations and peer reviews carried out within a country or organization and with internal assistance

The majority of the respondents have certain experiences with assessments or evaluations carried out within an organization at national or regional level. The answers did not clarify if these assessments were carried out as peer reviews or internal audits, or whether another approach was used.

The focus of these assessments and evaluations the respondents reported about varied significantly. Some organisations are assessed by formal bodies such as an Office of Auditors.

Other organisations conduct evaluations and assessments based on regulations and legislation through which the assessments are obligatory. Several agencies reported that they are 'peer reviewed' by the regional governments on a yearly basis on their qualitative and quantitative performance.

Examples were also given where assessments are focused on activities such as the performance of surveillance in protected areas, enforcement approaches, waste disposal facilities, as well as the use of a specific instrument or methodology. A few organisations mentioned that they have a kind of a continuous internal evaluation of their way of working and their performance. The approach of 'learning on the job' is also seen by some respondents as a kind of continuous assessment and approach for improvement.

Examples of assessments, evaluations and peer reviews

- An interesting example was given about an assessment carried out by operators focused on the performance of the environmental inspectorate (Norway).

- In one country with 29 similar organisations, a progamme is carried out that includes a collegiate peer review. Three so called Regional Environmental Protection Agencies (REPA's), carry out a peer review at another REPA. By implementing this programme all REPA's are assessed within a timeframe of a year (the Netherlands).

- One country mentioned that they work with one-year plans which are evaluated every year with proposals for the work plan for the next year.

- Ireland mentioned that they are obliged to produce evaluations and public reports for presentation to the parliament.

3.2: At what level was the assessment and/or evaluation carried out (central, decentralized, regional, local, institutional)?

Assessments and/or evaluations that are carried out, can be divided as follows:
- 15 countries at a central level
- 9 countries at a regional level
- 2 countries at the local level
- 7 countries at an institutional level
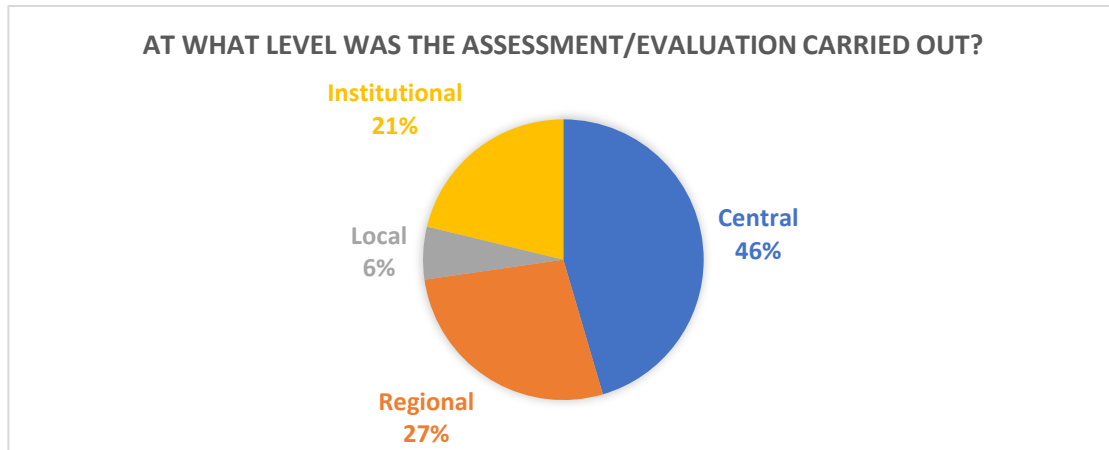
In 5 countries of the above listed numbers there are combinations of assessments and/or evaluations carried out at regional, central, local, decentral and institutional level.

3.3: Was the assessment and/or evaluation performed on an organisation and/or process (e.g. inspections, permitting, monitoring, etc.) and/or specific sector or topic (e.g. nature protection or specific Natura 2000 site, etc.)

24 respondents answered this question. The answers showed that in several countries the focus of the assessment/evaluation is on a combination of subjects:

- Organisation and process
- Organisation, process and topic
- Organization only
- Process and topic
- Organisation and topic
- Topic only
- Process only

The following graph provides roughly the distribution of the various assessments and/or evaluations:
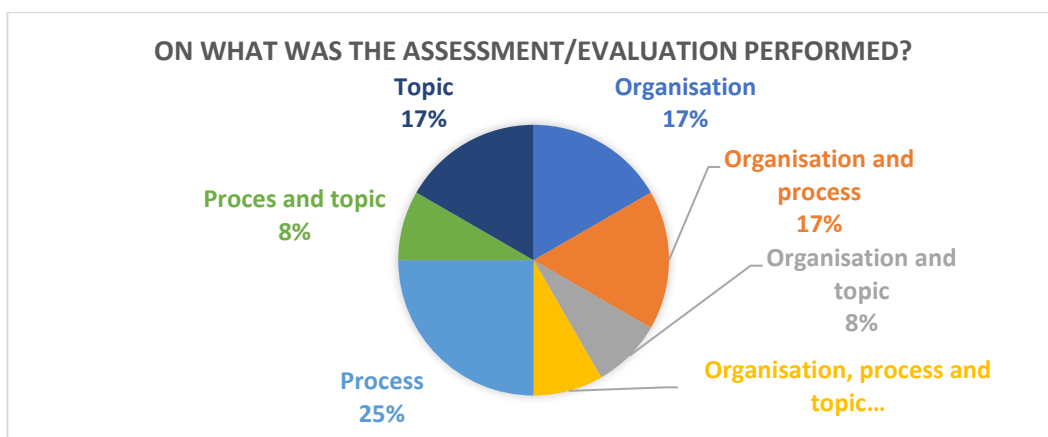
Organisation

In regard to which extent and how the organisations were assessed, little information was provided. Some answers made reference to the institutional performance on the quantitative issues of their whole set of services. In particular, this was connected to the accreditation or certification of the respective organization or service. Also, the evaluation of achieving the annual goals of the regional Government was mentioned. One country mentioned that they were assessed by the OECD with the focus on the whole organization of the Environmental Protection Agency.

Belgium mentioned the assessment of their inspection authority and in particular the focus on the soil pollution authority.

Process

Several answers mentioned that the assessments/or evaluations were focused on the processes of:

- Environmental inspections
- Permitting
- Process and performance analysis
- Monitoring

Topics

The following topics were mentioned on which assessments and/or evaluations were focused:

- IED
- Enforcement actions
- Environmental Impact Assessment
- SEVESO
- Waste management and waste streams
- Water quality and water protection
- Nature protection
- Protected areas and Natura 2000
- Transfrontier Shipments of Waste
- Method for risk analysis determining inspection frequency (IED related)
- Soil pollution

3.4: By who was the assessment and/or evaluation carried out ('internal' e.g. in-country experts of more or less equivalent organisations/agencies, 'external' agencies-experts through e.g. IMPEL Review Initiative, TAIEX-EIR PEER 2 PEER, etc.)?

25 out of 30 respondents answered this question. The answers show that there are experiences with assessments and evaluations carried out by internal experts (11 respondents), external experts (9 respondents), and 4 respondents reported that they have experience with internal and external experts who carried out assessments and/or evaluations.
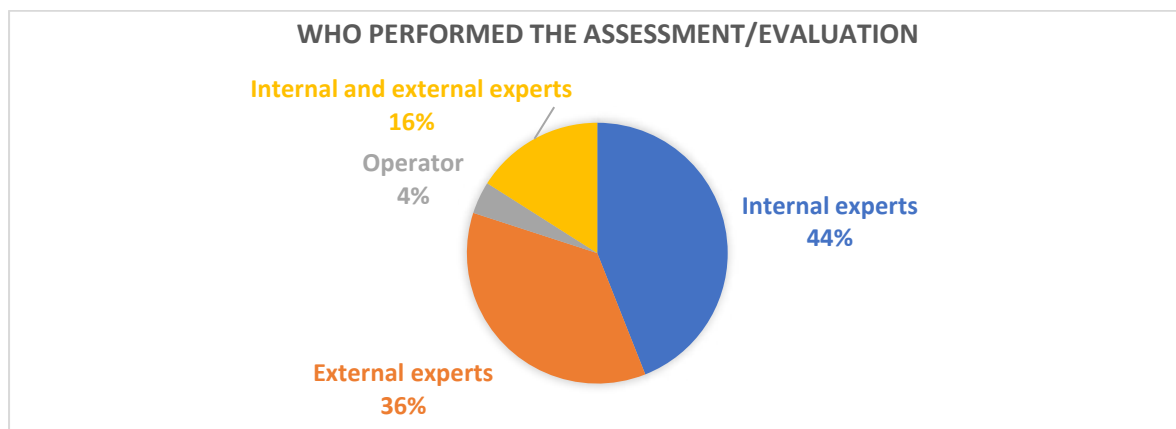
Internal experts

The internal experts came from different agencies at a regional and national level. It was also reported that in one country the people who are involved in work are reflecting on their tasks by carrying out self-assessments.

Another experience was that peer review experts from a region performed a review on the performance of another region and vice versa. The assessment was focused on the inspections of waste disposal/recovery facilities as part of a quality management exercise.

External experts

The reports on assessments/and or evaluations as carried out by external experts mentioned the following organisations:

- IMPEL – IMPEL Review Initiative (IRI)
- United Nations Economic Commission for Europe (UNECE)
- Organisation for Economic Co-operation and Development (OECD)
- United Nations Framework Convention on Climate Change (UNFCCC)

<u>Other</u>

An interesting report was that in one country the operators who were inspected by inspectors, were asked to assess the way of working and the performance of the inspectors (Norway).

3.5: How was the assessment and/or evaluation performed? Please specify if the process was informal-voluntary or formal-compulsory-non voluntary, etc.
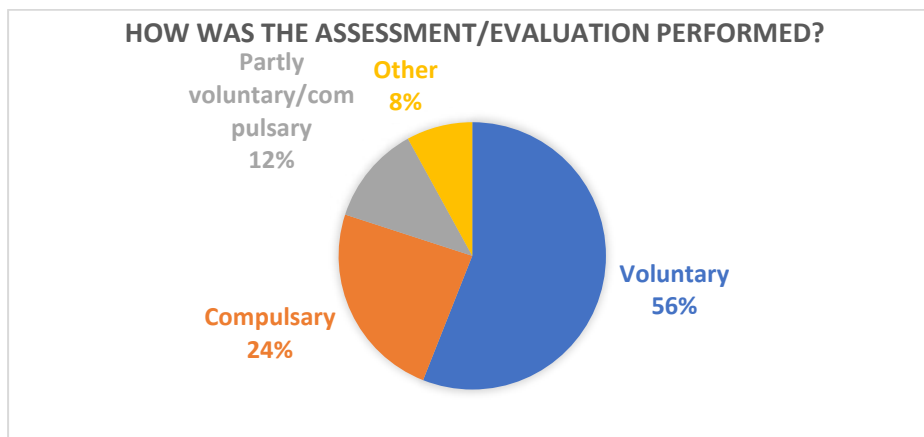
25 out of 30 respondents answered this question. 14 respondents mentioned that the assessments and/or evaluations were carried out on a voluntary basis, while 6 respondents mentioned that it was compulsory to carry out assessments and/or evaluations. 3 respondents answered that they conducted assessments on a voluntary and some as well on a compulsory base. The example of the UNECE was given where countries and applicable organizations are obliged to carry out assessments and/or evaluations based on the requirements as included in international Conventions.

In Italy legislation is in place that obliges organisations at regional and national level to conduct assessments and/or evaluations focusing on specific topics.

7 respondents mentioned that their voluntary conducted assessment and/or evaluation was carried out within the framework of the IMPEL Peer Review Initiative (IRI). A peer review conducted by the OECD is also seen as a voluntary assessment.

3.6: What did the assessment and/or evaluation require in regard to resources? Please specify such factors as timeframe/duration (in days), expenses/costs, staff time/working hours, etc.

The information provided by the respondents was little and had a broad variety. It is difficult to draw a valid conclusion based on the information as provided.

9 respondents provided information on the time that was needed to carry out an assessment and/or evaluation.

Time needed for carrying out assessments and/or evaluations varies from:
- 5 – 60 man-days, while the majority of the respondents reported that the time that is needed is around 20 – 60 man-days.

The numbers are difficult to understand and need further clarification. It is not fully clear if the time spent is related to one assessment and/or if the time spent is related to the time spent by a whole team of experts related to one assessment. Furthermore, it is not clear if the staff-time was calculated as well by the organisations.

Some respondents mentioned that the time consumption is about in the range of the time-consumption of an IRI.

The UNECE assessment cost 21 man-days.
The OECD assessment cost 60 man-days.

Albania: an external assessment carried out by the UNECE was part of a whole evaluation of the Ministry of Environment and its related institutions. This included 4 experts from the ministry and 3 experts/specialists from 3 related institutions. Also, the National Agency of Environment, State Inspectorate of Environment, Forestry and Water and the National Agency of the Protected Areas. The UNECE team had 6 experts. The working time frame of the team was 21 man-days. Expenses, such as flight tickets, hotel and per diem were covered by the UNECE.

To list some other experiences:
- Some respondents reported that the time needed for the internal assessment requires the same as an IMPEL IRI, some less.
- For an assessment several days (2 day for preparation, 1day execution, 2 days for reporting with recommendations) were needed. It was mentioned that it did not require additional costs, because the assessment was organised as the regular job of a senior inspector.
- Dedicated staff is in duty to prepare and conduct the evaluation processes

- Usually the actions take six months and involve two (2) inspectors. Please see an example from Portugal, from page 14, at https://www.impel.eu/wp-content/uploads/2018/06/FR-2017-19-1-Guidance-inspection-of-quarries-1.pdf
- Approximately 80 hrs
- As a rough estimate a respondent said that about 20-30 staff were involved from all 3 agencies and each person spent between 1 and 3 days, including the time for preparations. The costs may have been 50 man-days x 8 hours x 100€ = 40.000€ (not confirmed, personal estimate)
- 60-man days
- 4 days IRI, 20 days preparation, staff time - 6 days (7 persons), 18 days (1 person)
- For each process: 7 days - 2/3 people from the headquarters and 12 people from local departments. Costs involved were all in-kind contributions.
- Difficult to estimate. All the stakeholders were consulted. The process took several months.

3.7: Did your organisation perform any follow-up or evaluate the results of the review (e.g. by assessing the impact on the organisation, by incorporating the outcomes, etc.)? [If your answer is 'Other' as in 'Yes, we acted on the review results' please describe how (aims, methodology applied, etc.)]

DID YOUR ORGANISATION PERFORM ANY FOLLOW-UP ON THE RESULTS?

- Don't know 11%
- On some 18%
- Yes 41%
- No 30%
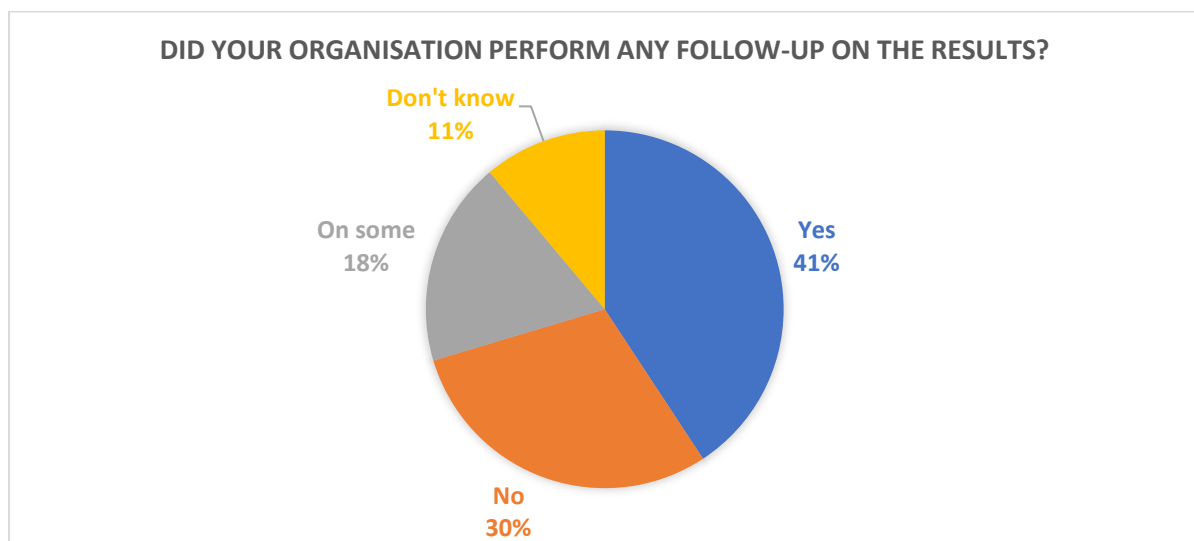
27 out of 30 respondents responded to this question. 11 respondents mentioned that they performed a follow-up to the outcome of the assessment and/or evaluation, while 8 respondents mentioned that they did not perform a follow-up on the outcome. 5 respondents mentioned that some of the outcomes had a follow-up and 3 respondents were not aware of any follow-up but were not sure.

The ones who gave follow-up to the assessments and/or evaluations mentioned in particular:

- The results help the organization in defining goals in performance and homogeneity. The results stimulate the improvement of internal processes.
- The review set the basis for the development of year-plans, as well as that the opportunities for development were incorporated in action plans
- The outcomes of IRI's were in some cases taken up in the sense of opportunities of development, however in some cases there was also a clear answer that they were not used in any follow-up activity

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Examples of follow-up actions and initiatives

- Portugal mentioned that the outcomes of the assessments were drafted in a report with clear drafted opportunities for development (or recommendations in this case). After a formal process for approval of the report through the ministry, the respective organisations are obliged to take the recommendations into an action plan and to execute the plan. Furthermore, the senior managers are obliged to report about the progress of the implementation of the actions of the action plan to the General Inspector. The implementation of the recommendations is time limited (maximum 2 years). In case some recommendations cannot be implemented, a report needs to be written with explanations for the competent ministry.

- Belgium mentioned that all the outcomes of the consultation process, including proposals to modify legislation, procedures, ways of working are to be implemented. The outcomes were also presented to the priority stakeholders of the organization.

Conclusions on assessments, evaluations and peer reviews (Section 3)

Most respondents have had experience with some form of assessment (Q.3.1), evaluation and peer review, which nevertheless varied considerably in regards to:

- *the organizational level at which they were carried out*
  More commonly performed at a central level; notably some assessments were carried out at a combination of administrative levels (Q.3.2).
- the focus of the review
  Reviews concentrated mainly on processes and organisations, rather than specific sectors or topics (Q.3.3).
- *the review form*
  Reported reviews were carried out with external and/or internal assistance, as well as in the form of self-assessment (Q.3.4).

- *the level of formality*
  Although there are cases of mandatory assessments and evaluations, reviews for the greater part take place on a voluntary basis (Q.3.5).
- *the resource requirements (expenditure, time demands etc.)*
  This proved to be the factor with the greatest variability (further information and analysis is needed to draw specific conclusions (Q.3.6).
- the follow-up effects and actions
  A significant percentage of the respondents reported some form of follow-up, but an even greater percentage reported a partial or no resulting initiative/action from the assessment/evaluation (Q.3.7).

4. Other approaches

4.1: If you have had no experience with peer review, how do you ensure homogeneity and harmonisation, quality and effectiveness of procedures, services, etc. provided? Please describe the process followed.

18 out of 30 respondents answered this question, representing 11 countries. It has to be mentioned that 8 of the 11 countries conducted an IRI in the timeframe of 2002 – 2019. This means that although these countries do have experience with this particular form of peer review the respondents in question might not. The responses are therefore analysed weighing particularly on: '*how do you ensure homogeneity and harmonisation, quality and effectiveness of procedures, services, etc. provided?*'

The responses can be summarized listed as:

Norway:
Performed evaluations by others on the organization have their own structures and internal procedures, somehow equivalent to the IMPEL IRI procedures. For the assessments and/or evaluations the regional or central organisation perform on the local county Governors, internal procedures, checklists, information gathering processes are used by a fixed team who performs these.

Bulgaria:
No peer review as such has been performed so far. However, the Ministry of Environment and Water as national administration has been subject to different reviews and assessments in various fields of environmental protection. However other assessment were performed, more in detail described in the appendix to this report. To be mentioned:

1. The climate change policy directorate has been subject to two reviews, both under the United Nations Framework Convention of Climate Change /UNFCCC/ and Kyoto Protocol. where the country was assessed on the progress in meeting their 2020 targets of GHG reductions.

2. National communication review – the National Communication is an extensive document describing the measures taken by the country to reduce GHG emissions and mitigate climate change in each sector of the economy. The reviews were carried out by external review teams of UNFCCC.

3. The National Nature Protection Service directorate has been subject to Environmental Performance Third Review, in particular Chapter 9 Biodiversity and National Ecological Network have been analysed. The third Review was carried out by United Nations Economic Commission for Europe – expert working group including Bulgarian experts from the Ministry of Environment and Water.

Furthermore, the Waste Management Directorate has recently been a subject of two studies: on by-products and end-of-waste, the objectives of which were to identify relevant case studies on both categories and to make recommendations on the design of national legal and enforcement regimes in order to provide the best outcome under a circular economy perspective.

Croatia:
Croatia considers to develop a standard procedure for specific topics to help avoid differences and problems in implementation of environmental legislation. This development is however in a very early stage. Till now a first draft is prepared with a very basic Framework focusing on what and how to do.

Finland:
The ministry of the Environment steers the regional authorities and the heads of the compliance assurance units meet twice a year, as well as they meet remotely every other month. Besides that, they are networking between specialists.

United Kingdom uses a less formal self-evaluation + continuous improvement approach. Besides that, there are informal reviews with input from the stakeholders.

Italy:
Uses national guidelines, procedures and methods which are implemented in the internal quality assurance system. In addition to this, in areas in which there is not a peer review in place, the assessment is made by the responsible organisations at the regional level for specific areas. Also, internal audits (studies and investigations over processes at risk at departmental or central level) are performed, as well as quality audits (ISO 9001). As far as possible, Quality Assurance / Quality Control procedures are applied involving also intercomparing the performance of equivalent organisations and regions.

Denmark:

Feedback from municipalities and national organisations is important, as well as feedback from other organisations, such as the industry, farmers union, and organisations related to nature protection.

Netherlands:

Peer reviews as carried out by the Regional Protection Agencies (REPA's) are based on experiences with IMPEL IRI and modified to be used by the REPA's.

Germany:

For parts of environmental administration and (some) licensing procedures there are guidelines and manuals. For some inspections they also exist, such as waste shipment inspections, inspections of IED facilities, illegal waste sites and some others.

Slovenia:

Coordinated inspections are organised throughout the country. Also internal controls on processes are performed. Regular monthly meetings of all regional units are organized to discuss different open issues. Several internal guidelines have been developed and are in use.

Ireland:

Scrutiny also by media and stakeholder organisations via engagement meetings.

Belgium:

Experiences with peer review approaches in the context of the IMPEL IRI.

Other evaluation methods

- Different forms of internal or external evaluation, guidelines, cooperation initiatives and networking are applied in participating countries, mainly on an informal basis, in order to ensure effectiveness and better coordination, as well as to promote harmonization of procedures.

5. Added value

5.1: What added value or contribution can you foresee from the application of a NPRI scheme in your country and/or organisation (e.g. an opportunity to identify strengths and weaknesses in a system/institution, a chance to identify areas for improvement, an evaluation performed by experts familiar with national legislation and practices, an opportunity to encourage and support further development and improvement, etc.)?

The question was answered by all respondents.

There was almost a unanimous positive opinion and view on the usefulness of a peer review scheme.

The added value as included in the examples in the question was several times underlined.

Added value of NPRI

- An opportunity to identify challenges, strengths and weaknesses in a system/institution or subject, in order to develop ways on how to improve them
- A chance to examine and identify existing gaps and areas for improvement
- An opportunity to give incentives for standardization and harmonisation
- Validation of good practices and strengths
- An evaluation performed by experts familiar with national legislation and practices,
- An opportunity to encourage and support further development and improvement

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The following points were also mentioned:
- It was noted that the idea of a NPRI is very good and adds to existing approaches and methodologies for assessments, monitoring and improvement. In addition to that it was mentioned by a respondent that the approach of a NPRI in particular is important for countries with a larger number of regions, lander or provinces, such as Germany, Italy and Spain. For other countries an extra added value can be found in carrying out peer reviews with focus on specific topics such as water or waste.
- One country mentioned that it is not sure, despite the added value, if there is a high need for tools in addition what already exists within the country. It could be necessary to translate the tool into the national language, as well as that the tool should be merged with the existing ones. Due to resources that will be required and the justification for using these, it is doubtful if that would happen within the specific country.

- Performing peer reviews helps to identify strengths and weaknesses of competent authorities and the areas in need of improvement, improve their performance and contribute to a better implementation of environmental legislation. Nonetheless, a country mentioned that they would be in favor of reviews focused on a specific area of environmental protection rather than a wide range peer review. In addition, such reviews should not be too time or resource consuming for the administrative unit under assessment. It should not lead to additional administrative burden.
- The overall quality of work of an organization can be improved by peer review sessions (also at a sectorial level), on:
    - peer review with focus on comparison of processes in organisations, professional skills, as well as self-evaluation of personnel
    - establishing rankings at an informal level (processes) and/or at the management level
    - development of methods and procedures
    - on the exchange of good/best practices
- The added value is clearly an opportunity to identify strengths and weaknesses in a system/institution, a chance to identify areas for improvement, an evaluation performed by experts familiar with national legislation and practices, an opportunity to encourage and support further development and improvement and contribute to consistency of procedures and to learn from each other, and to promote cooperation between organisations.
- A chance to discuss with colleagues working on the same topic
- Incentives for further development. Sharing existing NPRI practices and implement these in a new model could help us to improve the process
- Performing peer reviews will contribute to a higher level of homogeneity. Also at a regional level there will be benefits of processes like an NPRI
- A peer review will contribute to homogeneity of performance at organisational and network level, improvement of compliance to legislation, identification of areas and opportunities for improvement, definition of common standards and exchange of best practices
- It will contribute to closing gaps on defining competences between central and local levels.
- The use of a SWOT analysis offers the opportunity to identify areas for improvement and also to increase performance in the execution of one's duties and thus deliver a higher quality of service to the public.

Appendix

Bulgaria

No peer review as such has been performed so far. However, the Ministry of Environment and Water as national administration has been subject to different reviews and assessments in various fields of environmental protection. To be mentioned:

4. The climate change policy directorate has been subject to two reviews, both under the United Nations Framework Convention of Climate Change /UNFCCC/ and Kyoto Protocol: Multilateral assessment – part of the international assessment and review (IAR) for developed countries /Annex I countries/ where countries are assessed on their progress in meeting their 2020 targets of GHG reductions.

5. National communication review – the National Communication is an extensive document describing the measures taken by the country to reduce GHG emissions and mitigate climate change in each sector of the economy. It aims to promote the provision of consistent, transparent, comparable, accurate and complete information in order to enable a thorough review and assessment of the implementation of the Convention by the Parties, and to monitor the progress Annex I Parties are making towards meeting the goals of the Convention; Bulgaria was evaluated in November 2018. The evaluation report was published in June 2019. Since Bulgaria has ratified the UNFCCC in 1995, there have been seven national communications reviews and 1 multilateral assessment. Both reviews are cross-sectoral as a scope, the evaluation itself is central - at country level and the aim is to assess the progress of Bulgaria in meeting its obligations in the field of climate change. The reviews were carried out by external review teams of UNFCCC. The multilateral assessment is carried out by all parties of the Convention. - International assessment – a compulsory review, two stages of the reviewing process: preparatory, written questions and answers and in-session presentation followed by real-time questions and answers; required resources - 2 months for preparation preliminary stage, resources for additional travel costs of experts for the in session stage; - National communications - preparatory, written questions and answers by the reviewing team of experts and in-country review; required resources - 2 months for preparation preliminary stage, 1 week for the in country review; The national communication review is followed by report with recommendations, which are taken into consideration by the competent authorities.

6. The National Nature Protection Service directorate has been subject to Environmental Performance Third Review. In Chapter 9 Biodiversity and National Ecological Network have been analysed: Status and trends in biodiversity; Protected areas, Natura 2000 protected sites and the National Ecological Network; Threats to biodiversity; Legal policy and institutional framework. The third Review was carried out by United Nations

Economic Commission for Europe – expert working group including Bulgarian experts from the Ministry of Environment and Water.

7. The Waste Management Directorate has recently been a subject of two studies: A study commissioned by DG Environment, EC, to assess Member States´ practices on by-products and end-of-waste, the objectives of which were to identify relevant case studies on both categories and to make recommendations on the design of national legal and enforcement regimes in order to provide the best outcome under a circular economy perspective. The relevant chemical and product legislation has been taken into account, as well as the possible adverse environmental and human health impacts. The Environment Agency of Austria as a lead partner of the contracted Consortium has launched a consultation of Member States by filling in a compiled questionnaire in about two-month desk-study timeframe. Draft factsheet annexed to the interim report within the "Study to assess Member States' practices on by-product and end-of waste" will be prepared. Following the adoption of Joint Initiative 97/827/JHA in 1997, a mechanism for evaluating the implementation at national level of the international initiatives combating organized crime has been established. In accordance with Article 2 of the Joint Initiative, in December 2016, the WG 'General Issues including Evaluation' (GENVAL) has decided that the eighth round of mutual evaluations should predominantly consider the practical implementation and functioning of European prevention policies on environmental crime and combating it. Therefore, the eighth round of evaluation covers two specific areas: illegal waste trafficking and illegal production or treatment of hazardous materials. It provides a comprehensive overview of the legal and operational aspects of combating environmental crime, cross-border cooperation and cooperation with relevant EU agencies.

Preliminary study Peer Review approaches

'a comparison of 7 different Peer Review and assessment approaches or methodologies, aiming at identifying approaches and good practices that can contribute to the development of the 'National Peer Review Initiative'

Table of content

Preliminary study Peer Review approaches

1.1   Introduction

IMPEL has more than 20 years experience with the implementation of peer reviews, the so called IMPEL Review Initiative (IRI). The approach of and experiences with the IRI's, inspired Italy and The Netherlands, to take the initiative to modify and adjust the current IRI scheme into a peer review concept that can be applied at national, regional, local and organizational level. Both countries experimented with a concept and in both experiments, experts, representing an organization, peer reviewed an equivalent organization. The results of these exercises encouraged IMPEL to conduct a project aiming at developing an instrument that can be used by countries at various levels. The General Assembly of IMPEL decided in 2018 to conduct the project 'establishing a National Peer Review Initiative (NPRI)', to be carried out in 2019 and 2020.

An important element of the project is a preliminary study focusing on a comparison of 6 different Peer Review and assessment approaches or methodologies, aiming at identifying approaches and good practices that can contribute to the development of the NPRI.

This document discusses briefly the subject of peer review and theory behind it. Then the methodology of the preliminary study will be discussed, followed by a description of the organisations and their peer review approaches. Finally, the document will result in a set of conclusions drawn from the study and recommendations on how the outcome of this study could be included in the design and development of the NPRI instrument.

2.   The NPRI Project

The general objective of the NPRI project is to develop a systematic approach for a National Peer Review Initiative, based on flexibility and specific country and organisational needs.

The desired outcome after use of the approach is the increase of the capability, at various levels (local, regional, national and organisational), to understand the degree of homogeneity and harmonisation of the performance of competent authorities in environmental matters, such as implementation, inspection, permitting, planning, to share good practices and to foster all the processes in order to contribute to a better harmonised implementation of environmental legislation.

Furthermore, the project aims to set the basis for an instrument that when applied supports a better understanding of the common needs within competent authorities (e.g.: training, common rules, documents, type of instruments and technical support etc.) and to determine how mutual support could be delivered within or by a National Network of authorities to achieve these results. Therefore, the project will provide IMPEL Members with a concept or

approach, including a guideline on how a NPRI scheme could be implemented, and how an adequate support can be delivered.

The project, by consequence, will also support the development of a core group of experts, able to implement/improve the NPRI's in their country, as well as to support the implementation of an NPRI in other countries.

3.   Methodology preliminary study

The following approach is used to carry out the preliminary study:

1. A study of literature of 'peer review' theory, methodologies and effectiveness;
2. A description of the 'working principles' of an NPRI;
3. Selection of organisations who have a long-lasting experience with conducting Peer Reviews and or assessments;
4. Thorough study of the approach (objectives, methodologies, scope, process etc.);
5. Drafting a summary document per reviewed organization describing in brief the Peer Review and assessment approach of the organisation (separate Annexes to this report);
6. Drafting factsheets of the reviewed methodologies with brief characteristics of the Peer Review approach related to 10 'defined' dimensions of Peer Reviews or assessment approaches;
7. A selection and 'value' to which extent the peer review approach meets the 'working definition';
8. Comparison of the approaches with the 'working principles' as agreed by the team based on the discussion document of 24 October 2019';
9. Drafting conclusions and recommendations of the study aiming at giving incentives for further discussion on developing a framework of a NPRI methodology.

4.   Background and principles of 'Peer Review'

4.1   What is peer review?

There is no standardised peer review mechanism. Instead, there is a broad variety in 'peer review' concepts available. In the field of organizational, economic and environmental issues, many organisations use a Peer Review methodology to assess performances and to help to further improve. However, all peer reviews methodologies share certain structural elements, such as an agreed set of principles, assumptions, standards and criteria against which the country's performance will be reviewed. Also designated actors to carry out the review and a set of procedures leading to the final result are shared elements.

Peer review is basically an examination of one's performance or practices in a particular area by another. The point of the exercise is to help the target audience under review improve its policymaking, adopt best practices and comply with established standards and principles. Peer reviews cover a wide range of topics, from economics and governance to education, health, environment and energy. It also varies from compulsory to voluntary schemes.

A reading through literature on peer review approaches learns that 'peer review' has not been rigorously defined and that there is no standardized peer review mechanism. The OECD who has more than 50 years of experience with Peer Review describes it in a way that fits well with how IMPEL performs its IRI:

'The peer review is a discussion among equals, not a hearing by a superior body that will hand down a judgement or punishment. This makes them a more flexible tool; a state may be more willing to accept criticism, and its neighbours to give it, if both sides know it does not commit them to a rigid position or obligatory course of action. Peer reviews are not intended to resolve differences among states, but they may play some of the role of a dispute settlement mechanism, by encouraging open dialogue that can help clarify positions in a non-adversarial setting.'[1]

Peer Reviews or assessments as carried out by organisations such as the IAEA, UNECE, European Commission and IMPEL contain to a large extent similar elements, aims and methodologies. Basically a 'peer review' is an assessment of one organisation's performance or practices in a particular area or with respect to a particular theme by experts of more or less equivalent organisations. The main aim is to help the organisation under review improve its performance, adopt best practices and comply with established standards and principles. This connects seamless with the Peer Review approach and subjects in the context of an IRI or NPRI.

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[1] https://www.oecd.org/site/peerreview/whatispeerreview.htm

4.2   Effectiveness of 'peer review'

If the Peer Review method is applied, it is important that the outcome leads to the desired result. In other words, the explicit wish is that the peer review method is effective. It is important to understand the factors and conditions that determines the effectiveness of the approach.

The OECD states, based on their experience, that key to the effectiveness of peer reviews is the so called 'peer pressure' exerted by the ones carrying out the review, and the willingness of the receiver concerned to accept it. 'Peer Pressure' is the effect of the influence and persuasion exercised by the peers during the process, while in the meantime it does not take the form of legally binding acts, as sanctions or other enforcement mechanisms. Instead, it is a means of soft persuasion which can become an important driving force to stimulate the receiver of Peer Review to change, achieve goals and meet standards.

For a peer review to be effective, certain conditions must be met. If these conditions[2] are in place, peer review can serve and act as a stimulus and catalyst for improvement. The following conditions should be considered:

Willingness and commitment	• Effectiveness is largely depended on the willingness of the organisation concerned to accept it. • Adequate level of commitment: a peer review can function properly only if there is an adequate level of commitment by the participating organisations. This includes supplying enough resources to carry it out, and being fully engaged in the process, whether reviewing or being reviewed.
Value sharing	• Sharing same views: participating organisations must share the same views on the Assessment Framework - standards or criteria - against which the performance will be evaluated. A strong common understanding on these elements will prevent uncertainty or backtracking during the process. • A peer review should contain 'mutual learning' as a shared value. When the peer reviewed and the examiners will learn from each other, the effectiveness will increase. • It must be clear from the outset that the organizations involved benefit from their participation.
Non legally binding	• If a peer review and its outcome do not take the form of legally binding acts, as sanctions or other enforcement mechanisms, the effectiveness of the exercise may increase. In a 'non-binding' situation, peer review is a means of 'soft' persuasion which can become an important driving force to stimulate implementation of

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[2] Peer Review. An OECD Tool for Co-operation and Change; P 19.

	identified opportunities for development, achieve goals and being in compliance with standards.
Mutual trust	• Peer review is, by its nature, a cooperative, non-adversarial process. Mutual trust is key for its success. A large degree of trust and value sharing among the participants should be present from the beginning to facilitate the disclosure of data, information and documentation which are essential to the process. The way how the peer review process is designed and carried out can contribute to confidence building
Credibility	• The credibility of the peer review process is essential to its effectiveness. There is a strong link between the credibility of the process and its capacity of influence. OECD: an independent Secretariat, designated examining organisations or countries and a multilateral committee process, all help ensure this credibility. • Well trained, experienced examiners and experts, representing organisations with equal tasks and responsibilities, help ensure this credibility.
Ownership	• The involvement of the reviewed country or organisation in the process and its ownership of the outcome is the best guarantee that it will ultimately endorse the final report and implement its recommendations.
Fairness and objectivity	• Involvement of the reviewed country or organization should not endanger the fairness and the objectivity of the review. The organisation under review should not be permitted to veto all or part of the final report.
Flexibility and alignment with needs	• The peer review must be flexible in nature and must be closely aligned with the needs and wishes of the country or organization to be reviewed.

4.3   Factors that influence a Peer Review and its outcome

As described in paragraph 4.1, the main objective of a Peer Review is to help the country or organization under review improve its performance by adopting good practices, implementing identified opportunities for development aiming at being in compliance with policies, legislation, standards and principles. In case all conditions of the effectiveness of a Peer Review are met, it is unfortunately no guarantee that the peer review process will run smoothly or as a result of the assessment that the outcome will be implemented.

All organisations as investigated in the context of this study identify factors that influence the practical execution of the Peer Review, and the implementation the outcome. These are often factors which are interconnected and difficult to influence by the reviewing organization. These interconnected challenges are identified by all organisations. It is

important to describe these briefly. In particular the UNECE[3][4] evaluates the process of their reviews regularly.

The following observations can be mentioned in this regard:

- Changing political circumstances: Changing the political situation in the reviewed countries make it difficult to implement the Environmental Performance Review process and ensure continuity of commitments to the EPR process and implementation of its recommendations.
- Environment's low priority in the national development agenda: in most of the beneficiary countries, environmental issues show to be a low priority and the national environmental authorities do not have a strong position.
- National counterparts are often unable to meet deadlines: this is a quite common challenge in relation to deadlines established for the completion of country specific questionnaires distributed prior to the review mission.
- Variations in institutional and individual capacities in countries participating in Peer Reviews: several countries demonstrate limited capacity to effectively participate in all phases of the review process. National authorities in those countries do not have enough human resources to support the review missions and staff assigned to support the review process had often limited capacity to adequately respond to the needs of review teams.
- Sharing information and expertise among different stakeholders/authorities in beneficiary countries, as well as with Peer Review mission team: in some countries the review process can be an opportunity for good inter-sectoral communication and collaboration, but often neither the coordinating environmental authority nor any of the ministries/authorities from participating sectors is able to fulfil this responsibility properly. It is quite challenging for Peer Review teams to receive all the data/information required on time given the lack of access and even reluctancy of authorities to release data even if available.
- Environmental authorities of the recipient countries are in general keen to participate in the Environmental Performance Review process. In most cases the outcomes of the work are well 'owned' at the technical expert levels. However, the level of 'ownership' at political and decision-making levels varies depending on current political and economic priorities.
- Cultural and language differences.

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[33] EXTERNAL INDEPENDENT EVALUATION OF ENVIRONMENTAL PERFORMANCE REVIEW PROCESS BASED ON REVIEWS CARRIED OUT INTHE PERIOD2015–2019 https://www.unece.org/environmental-policy/environmental-performance-reviews/evaluations.html

[4] Self-Evaluation Report Assessment of procedural steps for the preparation and conducting of the environmental performance reviews; Operational Activities and Review Section Environment Division, 2012; https://www.unece.org/fileadmin/DAM/env/epr/Self-evaluation/EPR_Self_Evaluation.English.pdf

- The impact of EPRs is partial. Nevertheless, in many countries positive results leading to new policies or policy changes in the beneficiary countries were achieved. Technical cooperation workshops strengthen the beneficiary countries capacities in the implementation of the EPR recommendations.

4.4 'Peer learning' as an additional positive effect of a Peer Review

Environmental Performance (Peer) Reviews are increasingly recognized as an instrument for peer learning[5], in addition to be a peer review mechanism. Peer learning takes place during the different stages of the review process:

4.4.1 Review mission:

During the review mission, the review team visits the country under the review. The review team is composed of experts provided by various countries and international organizations. The review team holds numerous meetings with governmental officials and other actors in the country under review. During these meetings, exchange of knowledge, experience and best practice takes place. While the core purpose of the review mission is to evaluate the performance of the country or organisation under review, experts from the review team also learn and gather experience and knowledge that are useful and often applicable to their countries. This peer-to-peer exchange inspires further contacts and collaboration.

4.4.2 Expert Review:

During the review of the draft report by the review team, expert representatives of countries from various parts of the region (EU, UNECE or otherwise) discuss the review report together with the delegation of the country under review. Emphasis is made on providing the country under review with useful recommendations and opportunities for development, tailored to its needs and capacities. During the meeting, experts share what works and does not work in their countries in order to come up with solutions for improving the situation in the country under review. The learning goes both ways and opportunities for further cooperation, projects and networking are identified.

4.4.3 Publication and launch:

Peer Review reports are in most of the examined methodologies widely disseminated and available online, so that everybody could benefit from the information therein. When the country under review organises a launch of its peer review report, various organisations of interest, such as embassies and cooperation partners are invited to the launch event in order to stimulate collaboration and follow-up to the recommendations of the review report.

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[5] https://www.unece.org/environmental-policy/environmental-performance-reviews/peer-learning.html

5.   Working principles NPRI

At the start of the project, the project team decided on draft 'working principles' of a NPRI. The basis for that was a discussion document containing a proposal for a 'working principles' as 'an NPRI is and an NPRI is not'. These working principles may change during the course of the project after analysis of the preliminary study on 'peer review'.

5.1   What is a NPRI?

Based on the preliminary discussion as mentioned, a NPRI can be framed along the following working principles:

General	• A defined process and instrument with focus on fostering the introduction and implementation of a Peer Review tool in countries that helps for a continuous improvement of processes and performance. The instrument aims to identify and specify when implemented, needs for support for assistance in implementation of findings (opportunities for development) as an outcome of the Peer Review.
When applied:	• An NPRI will be carried out on a voluntary basis, on request and to be applied at national, regional, or local authority or organizational level. • It is a supportive instrument that helps to identify opportunities for development, as well as approaches on how to implement these opportunities. The instrument aims at assessing the performance of a country, organization or process in the implementation of environmental legislation and particularly on the topics Permitting, Inspections and Enforcement. • The NPRI is an instrument of which the results after use adds value to the assessed country or organization. It also serves a means of stimulating reform in the policies and practices of the organisations to be reviewed • Findings and 'opportunities for development' as an outcome of the reviews are non-binding
Flexibility	• The instrument is flexible and can focus on a variety of topic and themes, preliminary based on needs of the country or organization to be reviewed. It can take different forms, such as: expert missions, study visits, workshops etc. • The instrument the following main steps: Preparation, Review Mission, Expert Review, Peer Review, Publication and Launch.
Capacity building and mutual learning	• The instrument can serve as an important capacity-building instrument, since it is a mutual learning process in which good practices are exchanged. This is true not only for the organisation under review, but also for other organisations, especially those acting as reviewers. • A NPRI is based on a dialogue through which organisations systematically exchange information, attitudes and views on policy decisions and their application. This can result in further cooperation. • The instrument can be used by (a pool of) experts to train experts to introduce the NPRI tool.

5.2   A NPRI is not:

- A ranking of countries, regions, organisations etc. due to their performance
- A 'naming and shaming' technique which singles out poor performers
- A formal audit
- An ISO based assessment or evaluation

6.   Selection of organisations and Peer Review methodologies

The choices of organisations to be selected to review their application of a peer review or assessment methodology and/or approach are based on the following:

- Long-lasting experience with a peer review approach or assessment methodology
- Positive experiences of reviewed countries or organisations with a Peer Review or assessment approach
- Organisations that are operating internationally in reviewing performance of countries or organisations
- The understanding that the review aims at assessing implementation and performance and contains the possibility as well for exchanging experiences and good practices and delivers recommendations or opportunities for development

6.1   Evaluation aspects

Six organisations have been selected and subsequently their peer review or assessment approaches have been reviewed and evaluated in the context of the preliminary study. The evaluation focused in particular on the following aspects:

- Objective and scope
- Composition of the Expert Team
- Guidance
- Assessment Framework
- Process (distinguished in:
    - Preparation
    - Assessment
    - Reporting
- End of mission
- Follow-up

More extensive information of the evaluation is available in 6 annexes that accompany this report.

6.2   Selected organisations and review / assessment approaches

The following organisations have been selected:

1. Regional Environmental Protection Agencies (REPA) – *Collegiate test*
2. International Atomic and Energy Agency (IAEA) – *Emergency Preparedness Review (EPREV)*
3. European Commission - *Environmental Implementation Review (EIR) and TAIEX*
4. IMPEL - *IMPEL Review Initiative (IRI)*

5. United Nations Economic Commission for Europe (UNECE) – *Environmental Performance Review (EPR)*
6. Organisation for Economic Co-operation and Development (OECD) – *Environmental Performance Review (EPR)*

6.2.1   Regional Environmental Protection Agencies (REPA)

Since 1 July 2014, a nationwide system of 29 Regional Environmental Protection Agencies (REPA) has been in place, under the umbrella of an association[6] of these services in the Netherlands. Their mission is to improve the quality of licensing, supervision and enforcement in the Netherlands. The REPA's work continuously on the improvement of their way of working and processes and aim to comply with requirements for the organization and process criteria which are laid down in applicable regulations. An important instrument to achieve improvement is the use of a collegiate peer review to test each other, exchange knowledge and learn from each other. A more detailed description of the REPAs and the used methodology can be found in Annex I.

6.2.2   International Atomic and Energy Agency (IAEA)

The IAEA offers their Member States peer review missions to assess to which extent the Member States are prepared for radioactive and nuclear emergencies. The Emergency Preparedness Review (EPREV) is one of the peer review missions offered by the IAEA. This service is provided by the IAEA to Member States on their request to appraise their level of preparedness for nuclear or radiological emergencies. Conclusions and recommendations from the peer reviews are compiled in a report which advises the Member State on ways of improving its nuclear safety and security. Follow-up missions assess progress made in implementing the recommendations. A more detailed description of the IAEA EPREV and the used methodology can be found in Annex II.

6.2.3   European Commission, Environmental Implementation Review (EIR) and TAIEX

The European Commission has the responsibility to oversee the application of the common rules agreed by the European Parliament and by the Member States within the Council. Every two years the European Commission conducts an Environmental Implementation Review (EIR) aiming at improving implementation in the field of EU environmental policy and legislation, by identifying the causes of implementation gaps and addressing systemic obstacles to environmental integration across policy sectors, and to find solutions to them. It maps the main challenges for each Member State, as well as existing good practices and points of excellence. To facilitate peer learning between Member States, regions and municipalities on improving their implementation practices, the European Commission's Directorate-General for the Environment launched a TAIEX-EIR Peer to Peer tool. A more

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[6] https://www.omgevingsdienst.nl/home/default.aspx

detailed description of the EIR and the used methodology, as well as the TAIEX Peer to Peer Tool can be found in Annex III.

6.2.4   IMPEL - IMPEL Review Initiative (IRI)

The Network's objective is to create the necessary impetus in the European Union to make progress on ensuring a more effective application of environmental legislation.
The IMPEL Review Initiative (IRI) is IMPEL's peer review tool that brings together a team of technical experts and professionals that review the processes and procedures of environmental authorities in IMPEL Member countries. The aim is to identify good and best practice as well as 'opportunities for development'. These are areas that the review team would recommend improvements based on developments and experiences elsewhere in Europe. The results of the Peer Review are presented back to the host in the form of a presentation to senior management and in a final report. A more detailed description of the EIR and the used methodology, as well as the TAIEX Peer to Peer Tool can be found in Annex IV.

6.2.5   United Nations Economic Commission for Europe (UNECE) - EPR

An Environmental Performance Review (EPR) is an external assessment of the progress a country has made in reconciling its environmental and economic targets and in meeting its international environmental commitments. EPRs, as conducted by the UNECE, have their genesis in the work of the Organization for Economic Cooperation and Development (OECD). EPRs follow a systematic step-by-step approach and play an important catalytic and advisory role in addressing specific needs and priorities of beneficiary countries in mainstreaming environmental considerations into sectoral policies. A more detailed description of the UNECE EPR and the used methodology, can be found in Annex V.

6.2.6   Organisation for Economic Co-operation and Development (OECD) – EPR

Peer reviews are carried out by the OECD already more than 50 years. The peer review has showed to be very successful. Several other international organisations adopted the OECD peer review process and method and adjusted them to their needs and use. By using this instrument each country's policy in a particular area is examined by members on an equal basis. A country seeking opportunities to increase and strengthen the implementation and execution of environmental policies, can learn from the Identified challenges and (potential) solutions and how they can help in practical implementation of their policies and legislation. The OECD Environmental Performance Review (EPR) programme was launched in 1992 within a peer review framework, as one of the OECD's core working methods. A more detailed description of the OECD EPR and the used methodology can be found in Annex VI.

6.2.7   National System for Environmental Protection (SNPA) in Italy: Environmental Protection Agencies (ARPA – APPA) and ISPRA – *National Peer Review Initiative (NPRI)*

The SNPA decided to implement a Peer Review scheme after a positive experience with the IMPEL Review Initiative (IRI) as carried out by IMPEL.

The aim of SNPA was to develop and use a method to help the System in homogenizing its behaviour and performances, considering that the System itself is composed by 21 regional/provincial EPAs plus ISPRA, a central Institute for environmental protection and research.

The activities are in progress, a complete NPRI manual has been drafted and approved, and a first review experience has been carried out.

The development of the System and the incorporation of it in the respective law, including principles for the homogenization and proporational funding of the SNPA, highlights further needs for the implentation of NPRI. Approaches on how to define quantitative, qualitative and financial aspects of the System that should be implemented by each of the Agencies and ISPRA, will be also used as base for development of further NPRI activities.

It was also decided that the assessment of the results of the reviews will be developed through a SWOT analysis technique.

7.   Factsheets and dimensions of Peer Review

Based on the study and review of the selected methodologies, 10 dimensions of importance have been distinguished and transferred into 'working definitions.' These dimensions are equivalent with the 'evaluation aspects' in paragraph 6.1.

As a next step, each organisation and examined Peer Review or assessment methodology is summarised and described in a factsheet in a way that it provides information to which extent the methodology or assessment approach matches with and meets the qualitative 'requirement'.

Of course, this method of comparison and value allocation is, to a certain extent, arbitrary. However, this method of value allocation creates a platform or basis for further discussion to discuss those components of the investigated method and possibly adjust them to subsequently make them suitable and applicable for the NPRI method to be developed.

The following classification is used to provide a qualitative rating:

Rating	*Abbreviation*
Highly/fully meets the working definition	H
Partially meets the working definition	P
Little meets the working definition	L
Not (relevant) meets the working definition	N

DIMENSION	'WORKING DEFINITION'	REPAs	IAEA EPREV	EC EIR	IMPEL IRI	UNECE EPR	OECD	SNPA Italy
Objective and scope	Clear objectives are important because they convert visions into clear-cut measurable targets. Clear goals or objectives bring focus (scoping) and helps to validate steps, contributes to better planning and gives guidance. By further detailing, they establish standards of performance. In principle they function like measuring sticks to identify the successes and challenges of an organization, its policy, performance etc. Clear set objectives help identify non-performing areas and to take stimulate corrective actions.	H	H	H/P	H	H	H	H
Composition Expert Team	The credibility of the peer review process is essential to its effectiveness. Well trained, experienced examiners and experts, representing organisations with equal tasks and responsibilities, help ensure this credibility. Credibility increases if there is transparency, quality monitoring and assessment of applicants in the application process and procedures. The composition and knowledge of the team must also match the nature of the peer review in question.	P	H	N	P	H	P	P
Guidance	Guidance, such as manuals, checklists and video's, provide broad advice in following a procedure or process, instead of (only) providing a set of precise requirements or standards. Guidelines are important to safeguard a correct understanding of the subject and the use of the Peer Review methodology. They also help to avoid inconsistencies in approaches and ensure an unambiguous conduct of the review, which is important for reliable conclusions. Guidance prevents a diversity of approach by several people who perform a peer review, which means that incomparable outcomes can be prevented to a significant extent.	H	H	N	H/P	H	H	H

	Furthermore, guidance material contributes to the overall state of knowledge regarding the subject to be reviewed.							
Assessment framework	An assessment framework provides a structured conceptual map of requirements and/or standards along with details of how achievement of can be measured. The need for using an assessment framework in environmental performance reviews is to be able to 'measure' to what extent the achievement of objectives, which are often embedded in laws and obligations, have been achieved. An assessment framework therefore preferably has concrete measurable objectives with indicators or criteria, to be used by comparing the actual situation with the desired situation.	H	H	P	H	P	H	H
Process	For a clear implementation of the peer review it is important that the process is clearly and properly explained and described. Such a description must be documented and updated as necessary. A process description must contain all relevant steps and describe the actions to be taken, with a reference to relevant guidance material where necessary. A process description largely prevents a divergent implementation of the peer review.	H	H	P	H	H	H	P
• *Preparation*	In the preparation phase of the peer review, all steps are taken that are needed for a high-quality and reliable assessment. This means contact with the organization to be reviewed, drawing up a TOR and putting together the right team. Furthermore, the organization to be reviewed provides all relevant information on time, often through a questionnaire, so that the review team can prepare well for the mission.	H	H	N	H	H	H	H
• *Assessment*	All conditions are present and working to perform the assessment according to plan, such as having the answers of the questionnaire and additional reference material available. All logistical margins	H	H	N	H	H	H	H

	are also working. The team members are prepared and fully informed.							
• *Reporting*	There is guidance for writing a report (style, choice of words, language, length, clarity about relevant information etc.). Tasks are divided among the team members concerning the writing of the report or parts thereof. The draft report is ready in accordance with the planning and TOR and as draft consulted with the receiving organisation for comments or factual errors. There is consensus in the review team about the formulation of the findings.	P	H	N	H/P	H	H	P
End of mission	The report is presented to the management of the relevant organization with a clear presentation of the findings. Agreements are made about a possible follow-up. It is stated that the report will be published after adoption. The financial settlement takes place with the host country and where necessary with the participating team members. The final version of the report will be officially sent to the reviewed organisation.	H	H	N	H/P	H	H	H
Follow-up	Agreements have been made with the reviewed organization about possible follow-up support in carrying out follow-up actions. The reviewed organization is recommended to draw up an action plan. It is also offered to conduct a follow-up peer review after a period to be determined in order to 'measure' progress.	H	H	H	L	H	H	P

8.0   Conclusions

8.1   General

- All Peer Review and assessment methodologies as examined have all proven their value in practice.
- Most of the methodologies have their own and, in most cases, specific target audience.
- In comparing the methodologies with the 'working definitions' of the 10 distinguished 'dimensions', it can be concluded that most of the methodologies score 'Highly/Fully', except in a few instances the score is P, or H/P and in one situation L.
- This comparison confirms the assumption that *'there is not a standardised peer review mechanism, but all peer review approaches share certain structural elements.'*
- The EC EIR is not really a Peer Review methodology but more an assessment based on information and data available through different sources. That is also why on certain dimensions the score is a N. The score N means then that it is 'not applicable' for the reviewed methodology. The methodology however contains elements that can be useful to include in the discussions on the NPRI approach.
- If the agreed draft 'working principles' of the NPRI are compared with the summarized Peer Review approaches as included in the Annexes as well with the factsheets, it can be concluded that all reviewed methodologies can provide important input for the design and development of the NPRI approach on all distinguished 10 dimensions.

8.2   Evaluation aspects

8.2.1   Objective and scope

- All Peer Review and assessment methods as studied have clearly formulated objectives, namely to help the organisation under review improve its performance, adopt best practices and comply with established standards and principles. Capacity and knowledge building are important aspects in this regard.

8.2.2   Composition of the Expert Team

- The research shows that there is quite a bit of variation in the way the review teams are put together and how the experts are recruited. Some organizations select team members on the basis of proven knowledge, as is done by the IAEA and others select on the basis of CVs and (proven) involvement in the topic (UNECE and OECD).
- In most situations, selections are made by the secretariat of the organization concerned, or at least facilitates the composition of the team and the recruitment of the members.
- In some situations, a country to be reviewed can request a specific expert to participate in the Peer Review. It is not clear to what extent such requests are granted. No information, except the IAEA, could be found how those procedures actually proceed.

- The recruitment of team members by the IAEA includes a web-based training which needs to be successfully completed. This is a condition.
- It cannot be directly concluded from the research whether there is a concrete assessment framework against which the potential candidates are assessed. In some cases, there is the impression that the selection of team members, or at least some, is based on 'because we know him or her.'

8.2.3   Guidance

- All organizations have guidance material available to a greater or lesser extent. This varies from a complete guidance in which the entire process from the review is described in detail (IAEA), to guidance on relative main points (REPA) of the process. Guidance material is available for the way in which the process runs, including standard agendas, checklists for team leaders and team members, and for example for writing a report.
- Organizations such as UNECE, IAEA and IMPEL have information packages available with background information and instructions for the team, as well as for the organization to be reviewed so that people can prepare for the review.

8.2.4   Assessment Framework

- Organizations have difficulty developing or applying a concrete assessment framework with which a 'value judgment' can be given on the level of implementation, goal achievement, compliance etc. Although the ambition is to make these aspects measurable, the (quantitative) reality complicated.
- The lack of specific indicators or criteria remains a challenge for most organizations. Both UNECE, the European Commission and the OECD try to implement improvements through regular evaluations.
  The assessment framework with 26 specific described requirements as applied by the IAEA from the IAEA seems well feasible.
- The performance of a country or organization in a certain area is mainly determined in a qualitative way. Although this approach can sometimes be regarded as arbitrary, it appears to be good method to achieve desired improvement through dialogue and the exchange of knowledge and experience. All investigated methods contain this approach.

8.2.5   Process

- All organizations described thoroughly the review process. Ample attention has been given to the content of all steps, the activities that take place, division of responsibilities, information and data collection and sharing, and the timing of all process steps.

8.2.5.1 Preparation

- All organizations organize preparatory meetings with the country or organization where the review will be conducted. During that meeting, all organizations provide information about the process of the review, the scope and length of the mission. Also, the provision of information in advance through questionnaires is discussed with the organization to be reviewed.
- The IAEA asks the organisation to be reviewed to provide a self-assessment report of which the format to some extend can be compared with the questionnaires as used by the other organisations.
- An interesting element of the preparation by the IAEA is that each team member completes a first assessment of the self-assessment report and 'advanced reference material' and presents his/her analysis in a 10 minutes intervention during the start of the mission to the rest of the team. This safeguards that all team members have studied all material and are well prepared.
- All organizations formalise the agreement through a Terms of Reference.

8.2.5.2 Assessment

- All organizations conduct the assessments in a structured way, as is laid down in most of the available guidance material.
- Some organizations (UNECE, IAEA and OECD) divide the team into sub-teams according to the subject to be reviewed. Team members are deployed in the field of expertise in this way.
- Every day, the day is evaluated by the team to discuss the findings of that day and the activities for the following day are discussed.
- Work is done on the report in the evening.

8.2.5.3 Reporting

- The research shows that there is variety in the way how the reports are prepared. What all organizations have in common is that the report is already being worked on during the mission.
- Some organisations divide the chapters of the report to be written among those team members who are experts on a specific subject.
- One organisation (IMPEL) has a rapporteur as a member of the team who, in consultation with the team leader, prepares the draft of a rapport.
- All organisations share the draft report with findings with the country or organisations that have been reviewed for consultation. They are then given the opportunity to adjust inaccuracies or to provide additional information in cases where this is necessary.

- The reports are in principle public and are published on the website of the organization that carried out the review. This is a condition that has been agreed and is recorded in the TOR.
- The REPAs make an exception to this. They treat the reports as confidential because the content is primarily (and only intended) for the organizations reviewed. An overall and generalized report however will be made public.

8.2.6 End of mission

- The formal presentation of the final concept of the report to the responsible minister or management of an organization differs per organization. REPA, IMPEL and the IAEA present the report immediately at the end of the mission. The final version will be sent after a possible revision based on the latest comments.
- UNECE and OECD follow an internal procedure of an expert review of the report by expert committees with authority to amend. After adoption by the expert committees, the report is then officially presented.
- In addition, the REPAs also prepare an overall, generalised and anonymous report for their umbrella governing body and for the relevant minister or state secretary.

8.2.7 Follow-up

- The way in which follow-up is given to peer reviews and assessments is very different. The reviewed country or organisation is expected to implement the recommendations according to an action plan to be drafted. However, this cannot be imposed.
- All organizations have provisions to conduct a follow-up mission at the request of the country or organization being reviewed. The OECD has a follow-up cycle for a subsequent review and can in fact enforce this because their Environmental Performance Review is mandatory. The other organizations cannot impose such an obligation.
- Organizations such as the UNECE encourages the reviewed country or organisation to inform them about the progress of the implementation of the actions to be taken. Furthermore, their method also includes a subsequent cycle of performance review.
- The IAEA conducts follow-up reviews and carries these out on request of a country or as a result of bilateral contacts between the IAEA and the respective country.
- IMPEL can perform a follow-up review and has some experience with that. However, this approach has not been institutionalized within IMPEL and its members.
- Some organizations have provisions (or ambitions) to support the reviewed country or organisation with the implementation of recommendations. It is observed that such support is not properly institutionalized within the reviewing organisations. The TAIEX Peer to Peer Tool, however, offers support through a network of experts that can be deployed on request.
- All organizations indicate that missions and mission cycles are being evaluated aiming at improving the process.

9.0   Recommendations

It is recommended that the NPRI project team discusses the content and outcome of the preliminary study. In particular the discussion should focus on:

- Is there a need to revise the working principles of NPRI as included in paragraph 5.2
- How would the NPRI methodology look like and how can the findings of this study help in its design?

Abbreviations

NPRI	–	National Peer Review Initiative
IMPEL	–	European Union Network for the Implementation and Enforcement of Environmental Law
IRI	–	IMPEL Review Initiative
OECD	–	Organization for Economic Cooperation and Development
IAEA	–	International Atomic and Energy Agency
UNECE	–	United Nations Economic Commission for Europe
TAIEX	-	Technical Assistance and Information Exchange
EPR	–	Environmental Performance Review
EU	–	European Union
EIR	–	Environmental Implementation Review
REPA	–	Regional Environmental Protection Agency
EPREV	–	Emergency Preparedness Review
SNPA	-	National System for Environmental Protection
LEPTA	-	Essential Levels of Services for Environmental Protection

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Collegiate tests by the Regional Environmental Protection Agencies (REPAs) in the Netherlands.

Objective and scope	The objective and scope of the Collegiate tests by the REPAs is to exchange knowledge and learn from each other aiming at improving the quality of the organisation as included in the so-called Quality Criteria Regulation. In particular the focus is on 'Permitting, Surveillance and Enforcement'.
Composition Expert Team	• Reviews teams are composed of staff of 3 REPAs who will assess another REPA • There are no requirements set or documented for the reviewers in terms of background, expertise and experience.
Guidance	• Brief guidance (as a manual) is available for the interviewers, highlighting aspects of 'preparation, conversation, reporting and feedback.' • A checklist is available for the interviewers as guidance.
Assessment framework	• The assessment framework is clear, documented and formalised by a 'Quality Criteria Regulation' with criteria that monitor the robustness of the organisation and the knowledge and skills of the staff. • The REPAs decide which part(s) of this framework will be reviewed. This is handled flexible by focussing on specific priority aspects. • The choice of the scope and focus is made at the level of the overarching organisation of the REPA's as a joint decision. • Besides the jointly agreed scope and focus, a REPA to be reviewed has the freedom to choose an own and 'free' topic to be included in the Peer Review.
Process:	• The process of a collegiate test is briefly and general described • Reference is made to the methodology where the CT is based upon (IRI IMPEL and the use of the 'big-8). • Reference is made to the elements of the Quality Criteria Regulation, or at least those topics where the CT is focused on.
• *Preparation*	• Decisions have been taken at the 'national level' of the REPAs on the scope and focus • Review team is formed and agreements have been made on dates and timing and logistics. • A questionnaire is filled out by the REPSA to be reviewed, containing 6 standard topics with related questions and they cover the objective, process, planning and points to carry out to complete the CT.

• *Assessment*	• The review team uses the filled out questionnaire as a basis for the interviews, collect information and 'value' the received information based on comparing with the applicable requirement. • The assessment is supported by a standardised agenda to ensure a structured process.
• *Reporting*	• From each CT a report is prepared based on the outcome of the questionnaire and findings of the interviews, containing an analysis of all findings, as well as highlighting potential options for improvement.
End of mission	• The (confidential) report is presented to the management of the REPA. • A summary report is drawn up with overarching findings, conclusions and recommendations, intended for all Boards of the REPAs and the responsible State Secretary for the environment.
Follow-up	• After each cycle the involved REPAs jointly evaluate the collegiate Peer Review through a dedicated meeting, aiming at improving the instrument, identifying 'what went good and what can be improved' topics, to be included in the methodology for the next cycle.

Emergency Preparedness Review (EPREV) of the International Atomic and Energy Agency (IAEA)

Objective and scope	The objective and scope of the EPREV is very clear: to review the practical implementation of emergency preparedness arrangements for responding to a radiation emergency. The review looks at all aspects of these arrangements and 'judge' if the requirements for these arrangements are met. The review supports the exchange of experiences 'good practices' as well, and it provides guidance to the receiving countries on the implementation of 'suggestions and recommendations.'
Composition Expert Team	- An international expert team is composed by the IAEA secretariat, however they take into account the requests from the receiving country for involvement of international experienced experts. - Recruitment is done by the IAEA in close consultation with the host country and CV's need to be sent in advanced which are then reviewed by the IAEA. - Review of potential team members is on background, expertise in specific areas related to the Peer Review, as well as experience with Peer Reviews. - Potential team members need to undergo a web-based training and test, to be successfully finalized. This is a go-no-go requirement. The test, if successfully completed, will provide a certificate. Training material, such as manuals and guidelines etc, are shared with the potential team members in advance. - Potential team members need to handover a 'certificate of conduct', as well as a medical certificate. - If the applicant is accepted, a temporarily 'IAEA-contract' will be made and a payment to cover the costs will be agreed. - A document of 'confidentiality' needs to be signed.
Guidance	- Guidance material for the team members is available and shared in advance, as well as reference material containing the requirements as to be implemented by the countries and their responsible authorities. - Guidance material is as well available for team members on information gathering, writing the findings, reporting etc. Guidance is also included in presentations provided to the team members.
Assessment framework	- The IAEA uses in their EPREV approach a clear assessment framework with 26 criteria, based on sets of safety requirements. These requirements are documented in official Safety Guides. The compliance of the country and their responsible authorities is tested by the team along these 26 criteria. - Distinction in findings is made as: suggestions, recommendations and good practices and a clear scheme of relations between observations, suggestions, recommendations and good practices. All are well defined. - Findings are evidence based (documentation, interviews) and cross checked by the team members through discussion and valued as: or a suggestion, or a recommendation, or a good practice.

Process:	The process is thoroughly described and documented in manuals, guidance material and schemes. Timelines for the different phases of the whole process are set, including reporting and consultation.
• *Preparation*	• In person preparatory meeting is held to discuss and agree on a ToR (including scope, timing, duration of the mission, planning etc.). • A self-assessment report is completed by the host country and uploaded on a shared file through the EPREV website • Advanced Reference Material (ARM) is shared by the host country • Team members complete a first assessment of the self-assessment report and ARM and present their analysis in a 10 minutes intervention during the start of the mission. This safeguards that all team members have studied all material and are well prepared.
• *Assessment*	• Clear (documented) structure of information gathering and connected guidance • The review team is divided on sub teams. Each sub team prepares the assessment based on interview topics and questions • Daily team meetings take place at the end of the day to discuss the findings of the day, to cross-check findings, to discuss the plan for the next day and to discuss findings in draft text for the report.
• *Reporting*	• There is clear (documented) guidance on writing the report (format, content, style, length) and this guidance is contained in the training as well available in writing. • Team leader and IAEA coordinator are working continuous on the report. • Draft report is shared with officials of the host country for consultation and (if needed) clarification. • Clear process on drafting, revising and distinction between roles and responsibilities.
End of mission	• Presentation of the findings of the results of the mission to high level representatives of the host country. • High level representative of the IAEA participates in the event of the final presentation • High level representative of host country, IAEA representative and EPREV team leader answer questions during a press conference.
Follow-up	• After submission of the final report, the host country will draft and complete an Action Plan. • The host country is encouraged to discuss a tentative date for a follow-up mission (formally on request of the country). • The host country informs in between the IAEA on progress of the execution of the Action Plan.

Environmental Implementation Review (EIR) – European Commission

Objective and scope	The overarching objective of the Environmental Implementation Review (EIR) is to support the delivery of the objectives of existing EU environmental policies and legislation, and aims to improve the common knowledge about existing implementation gaps on EU environmental policy and law in each Member State, and to provide new solutions complementary to legal enforcement.	
Composition Expert Team	The EIRs are carried out by staff of the Commission and occasionally with assistance of consultants. The review is not a Peer Review, however to carry out the assessment some similar methods as in Peer Review are used to complete the assessment. To support and assist countries with the implementation of challenges and recommendations as a result of the EIR the TAIEX Peer-to-Peer Tool was established. Through this tool experts or a team of experts assist countries On their request). Selection of members of the TAIEX P to P team is done by the responsible organisation within the Commission, based on applications of international experts to database of the TAIEX tool. The Commission decides which expert will be applied for which support to a country.	
Guidance	•	
Assessment framework	• A first round of EIRs revealed the need for sound methodologies for assessing aspects of environmental governance. • A clear need for relevant data and information was expressed. • The IEEP conducted a project aiming at developing a methodology – an assessment framework for assessing environmental governance performance of public administrations in each of the EU Member States. • IEEP modified and restructured 5 dimensions of Environmental Governance: transparency, participation, access to Justice, compliance assurance and effectiveness and efficiency. • Within these 5 dimensions, 21 themes are identified and a cross-cutting theme on 'context and characteristics of environmental governance.'. • A range of questions with indicators is identified and forms the basis of the assessment of environmental governance characteristics and performance in EU Member States. • The next cycle of assessment is based on the developed assessment framework and contains 3 levels, namely 1) aggregation to the level of the five dimensions; 2) aggregation to the level of themes (subdimensions) and 3) individual indicators or assessment criteria per theme.	

Process:	• The process of the EIR is different from the Peer Review approach. • First cycle: EIR reports were drafted by the Commission based on publicly available information (and revised after consultation with the Member States). • Second cycle: draft EIR reports were prepared based on publicly available information and by making use of the revised Assessment Framework. • Member States were given the opportunity to respond to the draft assessments, commenting on or correcting errors of fact and responding to specific requests for additional information, or providing further information which they considered relevant. • Organising 3 workshops with Member State officials and other stakeholders to discuss the (draft) assessment framework and related approaches.	
• *Preparation*	N.A.	
• *Assessment*	N.A.	
• *Reporting*	• Reports were prepared by the Commission (assisted by external consultants. • Member States were consulted regarding correcting errors or by providing additional information.	
End of mission	Each report has or will be discussed between the Member State and the European Commission aiming at finding ways on how to overcome gaps and challenges and how assistance can be provided (e.q. through the TAIEX P2P tool)	
Follow-up	The EIR process will be carried out every two year. Countries are requested to work on the challenges on implementation in between the cycles.	

IMPEL Review Initiative (IRI)

Objective and scope	The IRI brings together a team of technical experts and professionals that review the processes and procedures of environmental authorities in IMPEL Member countries and aims to identify good and best practice as well as 'opportunities for development'. These are areas that the review team would recommend improvements based on opportunities for developments and good practices elsewhere in Europe.
Composition Expert Team	• A team with international experts is composed by the 'IRI ambassadors'. • The process of recruitment is not fully transparent in practice. • An IRI information package provides information about the roles and responsibilities, as well as the qualifications of the team members. • The experts need to cover the subjects permitting, inspection, enforcement and policy and legal expertise, and need to have relevant expertise in policy, technical and organisational areas.
Guidance	• A country can apply for an IRI through the IMPEL website, which gives further guidance for an application. • An information package has been developed by IMPEL which gives guidance how an IRI is organised. • The IMPEL 'Doing the Right Things Guidance Book' gives guidance the executions of the IRI. • A checklist for IRI team leaders is available.
Assessment framework	• The IRI is designed in a way that the environmental authority is reviewed against the requirements of the European Parliament and Council Recommendation (2001/331/EC) providing for minimum criteria for environmental inspections (RMCEI), IED, SEVESO and the Waste directive. • The IMPEL 'Doing the Right Things Guidance Book' supports authorities in executing their tasks and how to meet the requirements.
Process:	The process is thoroughly described and documented in the IRI Information Package, as well as on the IMPEL website.
• *Preparation*	• An in person preparatory meeting is held in advance of the IRI to discuss the mission and to agree on the scope. • A TOR (including scope, timing, duration of the mission, planning) will be drafted as a result of the meeting and consultation. • A questionnaire is completed by the authority to be reviewed in advance and shared with the review team. • In advance of the mission (evening before) the IRI team will meet and discuss expectations, targets and practicalities.

• *Assessment*	• Presentations will be given by the host authority based on the questionnaire and other relevant information they wish to share. • The questionnaire will be discussed, and findings will be collected. • Each day, the team will discuss the findings as a preparation for the draft report.	
• *Reporting*	• The draft report will be prepared by a rapporteur in close cooperation with the team • On the last day of the mission a draft version of the report will be discussed with the host and finalised after that. • At the end of the mission the report will be presented to the host – high level management.	
End of mission	• The final version of the report will be discussed by the responsible IMPEL Expert Team, as well as sent for approval to IMPEL's General Assembly. • The final version of the report will be officially sent to the authority. • The report will be published on the IMPEL website.	
Follow-up	• The reviewed organisation is expected to give follow-up on the opportunities for development as included in the report. • A second IRI can be requested at a later stage to review to which extent the opportunities for development have been implemented. • IMPEL does not have a real support mechanism connected to the IRI to assist countries and/or organisations in implementation of the findings of the IRI.	

Environmental Performance Review (EPR) UNECE

Objective and scope	The objective of the UNECE EPR is clear, namely: to develop recommendations that help the reviewed State "improve its policy making, adopt best practices, and comply with established standards and principles. EPRs assess a country's overall environmental and environmental health status, its efforts to reduce pollution, manage natural resources, and implement environmental and environmental health policies. Focus is on Economies in Transition.
Composition Expert Team	• The ECE EPR secretariat puts an EPR review team together. • This involves the organization of finances, as well as allocating competent experts to the EPR. • Most EPR review teams consist of experts provided by ECE Member States and international organizations, staff members of ECE, and consultants. CV's are required and shared in advance before the final decision. Based on that a selection for an expert is made. • The aim is to establish the review team 2-3 months before the EPR review mission. • The team is designed in a way that each member of the EPR review team is given a specific responsibility through TORs for a (number of standard) chapter to be produced for the report.
Guidance	• The EPR review team is assisted by guidance through a 'Manual for international experts', containing expectations on output of the experts, , the process of the mission, deadlines for submission. • A separate guidance is prepared for the team members on the drafting process and structure writing style.

Assessment framework	• The EPR programme distinguishes three types of EPR, starting from a baseline EPR (first cycle), followed by an assessment of the progress on implementation (second cycle) and as a third step with the focus on environmental governance, financing and international cooperation. The EPRs include assessments of the performance against national and international policies, standards and commitments.
	    ○ 1st cycle: established baseline conditions regarding trends, policy commitments, institutional arrangements and routine capabilities for carrying out national evaluations
	    ○ 2nd cycle: focus on particular problems identified in the country and on the implementation of the recommendations in the initial (first) cycle.
	    ○ 3rd cycle: focus on environmental governance and financing in a green economy context, countries' cooperation with the international community and environmental mainstreaming in priority sectors

Process:	• The process of the EPR is thoroughly described and documented in policies, reports and manuals. Timelines for the different phases of the whole process are set, including reporting and consultation.

		• The EPR has a stepwise approach divided in 6 major steps, where each phase consists of a number of activities to be completed and outputs to be achieved by various actors: Preparation; Review Mission; Expert Review; Peer Review; Publication of the report; launch of the publication.
• *Preparation*		• A national coordinator of the country to be reviewed will be appointed. • A Peer Review Team will be assembled. • The scope of the review will be defined and discussed with the country to be reviewed. • A TOR will be drafted and reviewed, containing the scope, duration, information to be provided etc. • A preparation mission is carried out, aiming at informing the decision makers and country experts about the process, roles and responsibilities. • Come to an agreement with the country under review about all elements of the TOR, including the provision of information by the country. • Information and data will be collected. • A dedicated questionnaire is prepared on specific issues by each expert and related to his/her chapter of the review. • The team members draft their specific questions based on the outcome of the questionnaire as their input to the interviews with relevant organisations.
• *Assessment*		• Starts with a plenary meeting of the Review Team with the national experts and representatives of organisations of the country to be reviewed. • Presentations are made by the national experts on their environmental challenges, the current state of environmental policies and the legal basis. • Meetings with NGO's are organised to be informed by them about situations and challenges. • Consultations with national experts are organised for interviews and for fact checking. • Experts write their draft chapters.
• *Reporting*		• Draft reports are prepared by the team based on individual draft contributions of the chapters. • A complete draft report is shared with the country under review who has the possibility to comment and corrections of factual information. The draft will not be finalised before the country under review provides its consent. • The results of the expert review as included in the draft report are presented to the Committee on Environmental Policy, who uses the opportunity to provide comments and ask questions. • The report will finally be approved after formal adoption of the findings and recommendations.

End of mission		• After agreement on the findings and recommendations, the report will be presented to the country that was reviewed, including all involved organisations. • Once the printed version of the report is available, the report is launched in the capital of the reviewed country.

	• The UNECE issues a special press release on the occasion of the launch of the report.
Follow-up	• After submission of the final report, the reviewed country is expected to take measures to draft and complete an Action Plan. • The process of the Peer Review is evaluated, and the approach of the next cycle will be revised based on the outcome of the evaluation.

Peer Reviews by the Organisation for Economic Cooperation and Development (OECD)

Objective and scope	The objective of the OECD Environmental Performance Review (EPR) is very clear and documented. The principle aim is to help Member Countries to improve their individual and collective performances in environmental management and to which extent they are meeting domestic and internationally agreed policy requirements.
Composition Expert Team	• The responsible OECD Secretariat assembles a review team, based on participation of experts of 3 reviewing countries, OECD staff and prominent consultants. Occasionally observers participate from non-members and/or international organisations. Experts of 3 OECD member countries are involved to bring transparency and invaluable experience.
Guidance	• The OECD provides guidance to the team members on roles and responsibilities, reporting and assessment.
Assessment framework	• The reviewed country will be assessed against principles, criteria and standards and may include: Policy Recommendations and guidelines; specific (environmental) indicators and benchmarks; legally binding principles; rules contained in the country's national legislation. • A reference framework is contained in the 'OECD Environmental Strategy for the first Decade of the 21st Century'. • Evaluation: the standardisation of the methodology needs to be further increased, as well as the existing core set of environmental indicators needs to be further developed.
Process:	• The process of the OECD Peer Review is clearly written and documented, distinguished in approaches for a variety of Peer Reviews, including Environmental Performance Reviews. • Clear timelines on key activities are set.
• *Preparation*	• An outline of the PR is developed by the OECD Secretariat in consultation with the receiving country. • The review team will be assembled. • Information gathering starts by the Secretariat in cooperation with the country to be reviewed, as well as external and internal data collection. • All team members have access to the information to familiarise themselves. • Each expert is asked to prepare a set of discussion themes for use as a kind of an agenda.
• *Assessment*	• The review team meets with government and non-government representatives and carries out intensive dialogue based on questions connected to the prepared discussion themes. • If necessary, site visits are conducted, in case this adds value to the Peer Review.

• *Reporting*	• Each team member prepares a first draft of a chapter of the report during the mission. The review team and the Secretariat prepare as a next step an consolidated draft report. • The draft report is circulated for comments to all reviewing experts and to all relevant parts of the OECD. • A special Working Part on Environmental Performance (WPEP) discusses and reviews the draft report from the peer review team. If conclusions or recommendations need to be amended, the report will be revised by the Secretariat and approved by the WPEP.
End of mission	• The approved report will be published under responsibility of the Secretary-General of the OECD. • A press conference will be held by the receiving country with participation of the OECD.
Follow-up	• All members will undergo a second cycle to assess progress made since the first review. • Evaluation of the process, methodology etc, to increase standardisation takes place, which is input for the next cycle.

National System for Environmental Protection (SNPA) in Italy: Environmental Protection Agencies (ARPA – APPA) and ISPRA – *National Peer Review Initiative (NPRI)*

Objective and scope	The objective and scope of the NPRI of the SNPA is to foster the homogenization process of EPAs in Italy, sharing knowledge and best practices to improve the quality and cost effectiveness of the System and pursuing proportionality of action to regional environmental challenges. The focus of the experimental activities is AIA (IED) tasks. In future NPRI will be also aimed at Essential Levels of Environmental Protection Provisions (LEPTA) delivery .
Composition Expert Team	• Reviews teams are composed of approx. 5 experts different ARPAs who will assess another ARPA. • The Experts are chosen by a NPRI Project Leader on the base of their role and experience at the ARPAs they belong to with regard to different topics that will be treated during the review.
Guidance	• Is available as a Manual approved by the Council of SNPA.
Assessment framework	• The assessment framework is clear, documented and formalised in a list of questions, touching 15 dimensions in two area of interest (IED). • At present (2020) a study is carried out on the realization of further Reviews, with the scope on the evaluation of the delivery of the SNPA members of LEPTAs and specific assessment frameworks and context analysis are already available. • The choice of the scope and focus is made at the level of the National System for Environmental Protection, that instituted a specific national project.
Process:	• The process of a collegiate test is briefly and general described. • Reference is made to the IMPEL IRI methodology for what pertaining IED. • The processes related to LEPTA are currently object of study (2020).
Preparation	• Decisions have been taken at the 'national level' of the SNPA on the scope and focus. • A review team has been formed by the National Project Leader and the Host organization and is called to set up its own group of experts. Agreements have been reached on dates and timing and logistics. • A questionnaire has been filled out at national level and by the host ARPA, reviewed by the REPSA and containing 150 questions touching 15 dimensions in two area of interest (IED).

Assessment	• The review team uses the filled out questionnaire as a basis for the interviews, collect information and 'values' the received information based on comparison with the applicable requirement. • The assessment is supported by a standardised agenda to ensure a structured process.

	• The assessment was supported by the use of a SWOT approach.
Reporting	• A report is prepared based on the outcome of the questionnaire and findings of the interviews, containing an analysis of all findings, as well as highlighting potential options for improvement.
End of mission	• The draft Report is presented to the management and to the experts that took part in the review of the hosting ARPA. • The Final Report is approved by the Council of the SNPA.
Follow-up	• The possibility of implementation of a follow-up program was foreseen in the planning of the NPRI. • In the test case, there was no request from the Hosting ARPA to follow up the review activity.

ANNEX I

REGIONAL ENVIRONMENTAL PROTECTION AGENCIES (REPA'S) IN THE NETHERLANDS

Supervision and enforcement of activities in protecting the environment are complex and technical subjects for decentralized administrative bodies, such as municipalities, provinces and water boards. In order to be able to perform these tasks properly, a new organization in the form of environmental services has been developed.

29 Regional Environmental Protection Agencies (REPA's) are commissioned by decentralized administrations (municipalities and provinces) to provide permits, supervision and enforcement in the field of the environment. The REPA's work continuously on the improvement of their way of working and processes and aim to comply with requirements for the organization and process criteria which are laid down in applicable regulations. An important instrument to achieve improvement is the use of a peer review as a collegiate test.

In this document (Annex I) the peer review approach as collegiate test by the REPA's is described.

Acknowledgment

This Annex, commissioned by IMPEL and conducted by a National Peer Review Initiative (NPRI) team, was prepared as a part of a study on a comparison between different peer review approaches, aiming at the development of a peer review approach that can be used by countries and authorities to support them in their improvement.

The NPRI-team would like to acknowledge the Dutch Association 'Omgevingsdienst.nl' and the Regional Protection Agencies for sharing information about their methodologies and related documentation on the peer reviews as carried out by them in the context of a 'collegiate test'.

Disclaimer

Although every effort has been made to ensure the accuracy of the material contained in this document, complete accuracy cannot be guaranteed. The authors do not accept any responsibility whatsoever for loss or damage occasioned, or claimed to have been occasioned, in part or in full, as a consequence of any person acting, or refraining from acting, as a result of a matter contained in this document. This document intends as a contribution to development of a peer review instrument within the framework of the IMPEL project National Peer Review Initiative (NPRI).

Table of content

1.0   Regional Environmental Protection Agencies in the Netherlands

1.1   Organisation

Supervision and enforcement of activities in protecting the environment are complex and technical subjects for decentralized administrative bodies, such as municipalities, provinces and water boards. In order to be able to perform these tasks properly, a new organization in the form of environmental services has been developed.

Since 1 July 2014, a nationwide system of 29 Regional Environmental Protection Agencies (REPA) has been in place, under the umbrella of an association[1] of these services in the Netherlands. Their mission is to improve the quality of licensing, supervision and enforcement in the Netherlands.

The 29 REPA's are commissioned by decentralized administrations (municipalities and provinces) to provide permits, supervision and enforcement in the field of the environment. Some EPA's perform extra tasks, such as construction supervision, chemical industry or advice on, for example, energy or nature. The REPA's have expertise available for all these activities.

In this model the municipalities and provinces retain their competence, but enforcement is entrusted to the REPA's.

1.2   Tasks and responsibilities

The following 'basic tasks' have been transferred by municipalities and provinces to regional EPA's:

- environmental monitoring and enforcement of 'complex' environmental permits;
- preparation for taking a decision with regard to (environmental) establishments;
- enforcement at complex environmentally harmful facilities, and
- enforcement of provincial environmental duties.

Based on mandates, a REPA is given the authority to act for the administrative body. The administrative body however remains responsible for the actions and decisions. The Board of Mayor and Aldermen (municipality) and the Provincial Board (Province) can therefore outsource work but remain responsible in that case.

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[1] https://www.omgevingsdienst.nl/home/default.aspx

2.   Peer Review by REPA's

2.1   Reason Peer Reviews for the regional EPA's

Quality is one of the core values of the organization. The REPA's have been created to improve the quality of the performance of 'Permitting, Surveillance and Enforcement.' A set of quality criteria has been developed and included in the so called 'Quality Criteria Regulation'[2] that monitors the robustness of the organization and the knowledge and skills of its employees. But also standardizing processes, designing knowledge focal points and hubs, as well as by improving information technology.
These are in fact all preconditional and conditional aspects to actually raise that quality. Six REPA's started in 2016 a pilot to test each other on the implementation of the quality criteria by carrying out a 'collegiate Peer Review.' This collegiate Peer Review is an instrument in which colleagues test each other, exchange knowledge and learn from each other. It is about giving a boost to the quality of the organizations' implementation in a positive and stimulating way. The collegiate assessment can be a supplement to the internal quality system. It is not an audit or a visit from an inspection or a certification body.

2.2   Pilot in 2016 and follow-up

Six REPA's established two teams, consisting of three REPA's. Two REPA's visited the other Environment Service and conducted interviews. The REPA's worked with two themes, a fixed theme and a theme to be chosen. In consultation with the REPA's involved, the fixed theme was guaranteeing critical mass within the organization. The second theme was a free to be chosen theme. This can be a deepening of the first theme, or other topics that a REPA needs or would like to share or to be assessed. The day was rounded off with a presentation of the findings and experiences and a reflection of the REPA that was assessed. A report was drawn up and sent to the service.
In the end, every environment service was visited and interviewed once. The series were completed at the end of 2016 with a plan for the national rollout of the instrument. The six pilot EPA's did not only learn from each other in terms of content, but were also asked their opinion about the instrument, the result and the reporting and how this could be improved.

The 29 REPA's in the Netherlands organise collegial peer reviews every year since 2016. What started as a pilot has become a keeper. Colleagues from different regions carry out a peer review in the region of their colleagues.

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[2] https://www.infomil.nl/publish/pages/75656/vth_wabo_kwaliteitscriteria_versie_2_2_2019_deel_b.pdf

3.   Quality requirements by regulation

Environmental law contains rules, elaborated in quality criteria, which governments must adhere to when implementing licensing, supervision and enforcement. These rules are there to ensure clarity, quality and uniformity. Requirements for the organization of these process criteria are laid down by law in the General Provisions of Environmental Law (Wabo) Act and the associated general administrative measures (Environmental Law Decree (Bor) and Ministerial Environmental Law Decree (Mor)).

To support provinces and municipalities in this regard, the Dutch Associations of the Provinces (IPO) and the Municipalities (VNG) drew up the 'Model Regulation on the quality of permits, supervision and enforcement of environmental law'. This Model Regulation does not have any substantive quality requirements but refers to a set of quality criteria. This set of criteria makes it clear which quality citizens, companies and institutions, but also governments themselves, can expect from the tasks in the field of licensing, supervision and enforcement.

The quality criteria are guidelines for organising the organization in such a way that a qualitative task performance can be achieved. These are the so-called process criteria. The process criteria describe the requirements set for the comprehensive policy cycle, the BIG-8 cycle:

The BIG-8 connects the Environmental Department with its clients in a mutually dependent relationship. It is a simple control circle with a strategic policy circle in the upper ring and an operational, executive part in the lower ring. The implementation program forms the binding link in this regard. For the organization, this means that there is a comprehensive policy cycle, and a substantive lower limit, and that the tasks are assigned to organizations that can organize continuous implementation.

The Model Regulation[3] and its quality criteria are one of the tools to guarantee and promote the required quality and apply to implementing organizations and environmental services as the REPA's. The criteria also relate to the quality of employees. At the employee level this means that sufficient expertise and critical mass (capacity) are required to be able to perform the tasks adequately.

This concerns in brief the following:

Topic	Requirement
Enforcement policy	There is an enforcement policy for all policy fields that are integrated in or linked to the applicable regulation. It contains a description of the priorities, goals, strategies and activities, based on a problem analysis. The policy is coordinated with other relevant administrative bodies and partners.
Implementation program	The organization adopts an implementation program every year and makes this known through communication. This implementation program is coordinated with other administrative bodies and partners involved.
Implementation organization	The arrangement of the organization guarantees adequate and proper implementation of the policy. In any case, a plan containing the number and quality requirements of staff is adopted. The organization can also be reached outside the office hours. Work processes have been established. Insofar as there is supervision of establishments, licensing and enforcement are separate and there is a rotation schedule.
Guarantee of resources	Financial and human resources are guaranteed in the budget.
Monitoring	The organization monitors and records results and progress of program implementation.
Reporting	The organization reports on the implementation of the program and on achieving the goals as set.

4. Methodology

4.1 Introduction

The collegiate test in brief: groups of 3 environmental services visit each other in a year per turn. Each year there is a central theme to be assessed. For example, in 2019 the focus was on 'Measurable goals and monitoring' - on which the receiving REPA was 'assessed'. This central theme always links with the own quality system of the REPA and with the policy cycle of the so called 'Big-8', the quality system specially designed for licensing, monitoring and enforcement:

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[3] https://www.infomil.nl/publish/pages/75656/vth_wabo_kwaliteitscriteria_versie_2_2_2019_deel_b.pdf

Moreover, during the peer review, the host REPA can choose its own theme on which it wants to receive advice from colleagues from other regions. During the test, they recall the findings of the previous year, as well as what the REPA did with the comments.

The peer review of the Dutch regional EPA's is largely based on the peer review approach (IMPEL Review Initiative – IRI[4]) of the European Union Network for the Implementation and Enforcement of Environmental Law (IMPEL). This IRI is intended to improve the quality of work of the European implementing organizations.

The collegiate peer review of the regional EPA's can be split in two phases:

First review.
Colleagues of different regions assess processes and performances of another region. The review results in a report with findings and opportunities for development. Every year the Peer Review has a central theme. The receiving REPA is then 'assessed' on how the processes work in practice and how the goals are achieved. The central theme always has a link with the quality system of the REPA. In case of a choice for an additional own theme, the respective REPA receives advice from colleagues from other regions.

Follow-up reviews.
Colleagues from 3 REPA's carry out an assessment of the processes and performance of another REPA. The difference is that in this second review, the team recalls what was observed in the previous review and they assess if and how the opportunities for development are implemented.

To carry out a Peer Review takes about 80 hours.

4.2   Questionnaire

The organization that will be assessed is asked to fill out a questionnaire. The questionnaire must initially be completed by the (visited) service itself (with the exception of part C). No later than two days before the peer review, the completed questionnaire is sent as a draft to the visiting organizations. The final report, including improvement options, is completed by the assessors of the visiting organizations.

The questionnaire with 25 questions contains the following segments:

Follow-up, cycle
Part A.1: Objectives and monitoring permitting
Part A.2: Goals and monitoring supervision and enforcement
Part B.1: Monitoring permitting (more focus on details)

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[4] https://www.impel.eu/tools/impel-review-initiative-tool/

Part B.2: Monitoring supervision and enforcement (more focus on details)
Part D: Conclusions
Part E: Ideas for the next year

The answers on each question (from parts A – B) are divided in 3 segments:

Finding	Explanation and example (brief)	Option for improvement
Yes, No, Partly		

The answers to the questions and their analysis in mutual coherence, provide a qualitative picture of the goal realisation of a specific organizational unit, task or process.

Part D summarises the main conclusions drawn from the peer review and part E collects preliminary ideas for subjects for a collegiate test for the next year.

4.3   Standardised agenda

The REPA's use a standardised agenda (attachment I) for the collegiate test, containing the following topics:

1. Reception and introduction REPA
2. Follow up, cycle for improvement previous assessment
3. Measurable goals and monitoring
4. Extra theme (free to choose)
5. Completion of reporting by assessors
6. (Verbal) feedback of findings to the receiving organization

4.4   Supporting materials - guidance and checklist

In order to properly prepare the participants in the Peer Review, a point-by-step guide has been drawn up in which way the PR should be prepared, how the interviews can be conducted and in which way reports are made and how feedback can be given on the results. In this guide the learning points of the used methodology during the previous collegiate Peer Review cycle are included (see attachment II).

To ensure that the PR review takes place as structured as possible, a checklist has been drawn up that contains the points for attention for proper preparation and the way in which the Peer Review can be introduced (attachment III). These include an explanation to the receiving organisation of the objective, the process and the planning, as well as points to carry out the PR. Furthermore, a role division of the interviewers is briefly mentioned and

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the method of interviewing. Finally, the checklist shows what needs to be done to conclude the Peer Review.

4.5   Evaluation

After each cycle, the involved REPA's jointly evaluate through dedicated meetings the collegiate Peer Review as was carried out to identify opportunities for improvement of the PR instrument. Learning points for the next year, as well as issues that did not work well in the past review cycle. The learning points are included in the methodology for the next PR cycle.

4.6   Reporting

From each collegiate test (peer review) a report is prepared based on the outcome of the questionnaire and the findings from the interviews. Analysis of all gathered information in mutual coherence, provide a qualitative picture of the goal realisation of a specific organizational unit, task or process, and is included in a confidential report to the management of the specific REPA.

In addition, a summary report is drawn up with overarching findings, conclusions and recommendations, intended for all boards of the REPAs, as well as for the responsible state secretary for environmental management.

5.   In summary

5.1   Characteristics REPA's and peer review

This paragraph lists in summary some characteristics of the peer review as a collegiate test as performed by the Dutch REPA's:

- The 29 Regional EPA's are relatively young organisations, and quite equivalent to each other in terms of tasks and responsibilities, organizational setting and governance.
- The REPA's express clear need to learn from each other and to further improve. There is genuine drive to mutual learning in a collegial atmosphere.
- The REPA's perceive Peer Review is a valuable addition to more traditional audits which are in place to ensure that organisations are working according to the quality criteria and rules related to their tasks. Peer Reviews are educational and contribute to further improvement.
- There is a clear understanding that Peer Reviews focus on real quality assurance, such as how work is done in practice, how others do it, what can be learnt from it and how colleagues can help each other to further improve.
- Participation in the Peer Review is voluntary, and the results are treated confidentially.
- Each Peer Review results in a concise report, written by the visiting team and is property of the EPA that is assessed. The report has the status of 'confidential'.
- The findings of all Peer Reviews are processed in an anonymous consolidated report that appears once a year and is shared with all REPA's, umbrella organizations and the State Secretary of the responsible Ministry.
- An open atmosphere is very important and in the interest of the receiving Regional EPA. It is actually a precondition that the receiving REPA must be willing to be open during the Peer Review about their challenges and uncertainties. If topics are disguised, then the collegial assessment will not help the receiving organization.
- On request, regional EPA's can be assessed more firm and more in depth.
- There can be reluctance about sharing of results with the Board due to the formal and sometimes complicated relationship. However, a REPA can also greatly benefit from the advice of colleagues and how to deal with the Board, as well as with the management of the REPA due to their specific responsibilities.

List of abbreviations

Bor	-	Environmental Law Decree
IMPEL	-	European Union Network for the Implementation and Enforcement of Environmental Law
IPO	-	Inter Provinciaal Overleg
Mor	-	Ministerial Environmental Law Decree
NPRI	-	National Peer Review Initiative
REPA	-	Regional Environmental Protection Agency
VNG	-	Vereniging Nederlandse Gemeenten
Wabo	-	General Provisions of Environmental Law Act

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_deel_b.pdf

IMPEL Review Initiative (IRI). Available from https://www.impel.eu/tools/impel-review-initiative-tool/

Attachment I – Agenda Collegiate Test

Agenda CollegiateTest

Visit to .... (REPA) on (day, date, year)

<u>Visitors:</u> Team
leader: …… ……   organisation: (tel...........)
Name: organisation: (tel...........)
Name: organisation: (tel...........)

<u>Receiving Organisation:</u>
Contact person: function: (tel: ....)
Name: function: (tel...........)
Name: function: (tel...........)

<u>Location:</u>   …(REPA) ……, room…….

Time of day (hour)	Subject	Staff present
10.00-10.30	**Reception and introduction REPA** Also take into account the most important developments of the last year and things that may be interesting for other services.	Contact person Management
10.30-11.00	**Follow-up, improvement cycle audit 2018**	Contact person Management
11.00-12.00	**Measurable targets and monitoring**	Contact person …
12.15-13.00	*Lunch*	
13.00-14.00	**Follow-up measurable targets and monitoring**	Contact person … …
14.00-15.00	**Extra theme**	Contact person … …
15.00-15.30	**Completion of reporting by visitors**	
15.30-16.00	**Oral feedback findings receiving organization**	Contact person Management …
16.00	*Closing*	

Attachment II - Manual interviewer

Preparation

1. Determine the subject.
2. Make an appointment.
3. Collect relevant documentation.
5. Analyse the documents.
6. Determine which aspects must be assessed during the interview.
7. Make a list of key points and/or study the questionnaire.

Points of attention:

- Divide the roles (who asks the questions and who co-writes for the report) for each topic
- Pay attention to the purpose of the interview. What are you going to investigate? Match your core points to this.
- Ensure that all information is available in time.
- Be specific in the required research question.
- Do not make the list too long.

Conversation

8. Introduce the conversation well and make the goal clear and explain and clarify the questions where necessary.
9. Indicate that you are looking for agreement on improvements and do not judge the person.
10. Conduct the interview and ask as many open questions as possible. Transfer closed questions into open questions (who does what, where, when, how and how is the demonstrability)
11. Ask regularly for examples (objective evidence, deepen and enliven the conversation).
12. Keep the initiative and maintain the structure of the conversation. Use the questionnaire for this.
13. Avoid discussion about the usefulness and content of the quality criteria themselves.
14. Provide feedback on the answers to determine if the correct conclusion is drawn.
15. Give a summary of the findings.
16. Checking and cross-checking (search for objective evidence).

Points of attention:

- Ask the same questions to several people
- Compare answers with observations
- Compare answers with documentation
- Compare answers with registrations
- Compare results of successive (sub) processes

Reporting and feedback

17. Prepare the report.

<u>Points of attention:</u>

- Mention the goal
- Build the report from the key points of the questionnaire
- Indicate which deviations have been identified
- Always mention the examples and objective evidence
- Substantiate conclusions (objectify evidence or several of the same answers to a question)
- Give a final conclusion
- Include proposals for opportunities for improvement in the report

Send the draft report and ask for comments (submit within a week)

Attachment III - Checklist

Preparation

- Process and responsibilities are understood
- Risks, control methods, weaknesses are understood
- List of key points has been prepared
- Location: preferably the working environment of the interviewee

Introduction

- Introduce yourself and the members of the visitation team if necessary
- Put your conversation partner (interviewee) at ease
- Make the purpose and topic of the conversation clear
- Explain why notes are made
- Explain method and planning

Points of attention:

- The purpose of the interview is to guarantee the quality and performance of the organization;
- It is a sample;
- Interviewer is looking for agreement, not for differences, one examines agreement between written procedures / work instructions and their implementation;
- Conversation is not aimed at harming or assessing someone;
- The name of the interviewee does not appear in the report.

Performance

- Let the interviewee briefly explain his / her role
- Go from general to specific with your question
- Ask questions that lead to provable answers, start from the key points and ask so much questions as needed to get a well-founded answer to the key points
- Use open questions: "How do you know ...", "Why do you do ..."
- Be patient, receptive and to-the-point
- Accept silences
- Regularly summarize: "Do I understand correctly ...., Is it true that ......"
- Avoid discussions

Closing

- Summarize the facts
- Avoid interpretations and conclusions at this stage
- Give the interviewed opportunity to ask questions
- Give the interviewed opportunity to make suggestions for improvement
- Explain the follow-up procedure
- Thank the interviewee for the interview

Attachment IV - Report format Collegiate Test 'Measurable goals and Monitoring'

Report format Collegiate Test 'Measurable goals and Monitoring'

Visited organisation:
Tested organisations:
Date:

Explanation: After looking more closely at the Problem Analysis in 2018, the proposal is to look more closely in 2019 at the Measurable objectives as formulated on the basis of the analysis and the Monitoring thereof.

Discussions will arise about measurable objective and outcome. What do we mean exactly and what is achievable at Permitting, Surveillance and Enforcement?

Formulating good goals can only be done after a proper analysis. In 2018 it was identified that thorough analysis of compliance behavior is often still missing. The conclusion in 2019 may also be that measurable goals have not yet been sufficiently developed.

What is actually needed is a good exploration and discussion of what is actually wanted and what is feasible. In fact, we want to collect good ideas and examples that we can implement in practice.

It is also important to look into the cycle of improvement. To which extent is this test actually used as a management tool? Given the commitment to the Collegiate Assessment, it would be a shame if the opportunities for improvement are not properly managed. This part is new in the Collegiate Test and an important question to be answered is what can be learnt from it.

The questionnaire must initially be completed by the (visited) service itself (with the exception of part C). No later than two days before the peer evaluation, the completed questionnaire is sent as a draft to the visiting organizations. The final report, including opportunities for improvement, is completed by the visiting organizations - the assessors.

Follow-up; cycle of improvement

1. Which three most important opportunities for improvement came from the Collegiate test of 2018?

1.
2.
3.

2. How are the results of the test discussed in the Management Team of the service?

Open answer

3. How are the results of the collegiate test announced within the organization?

Open answer

4. Have the results of the test been discussed in the client consultation? (report)

Finding
Yes/No

5. Have the results of the test been reported back to the daily and / or general management of the service? (report)

Finding
Yes/No

6. Which specific actions have been taken with regard to the test and the opportunities for improvement?

Open answer

7. How could the functioning of the Collegiate Test as a management tool for systematic improvement be strengthened?

Open answer

Part A.1: Goals and monitoring Granting permits

8. Is there a description of the purpose of granting permits per policy field (environment and / or building)?

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

9. Have priorities been set, taking into account problem analysis and evaluations?

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

10. Has the frequency, with which the environmental part of the environmental permit is updated, been established?

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

11. Have measurable indicators been established for all objectives?

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

12. Are there agreements about monitoring of these indicators?

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

13. Are these indicators formulated in terms of output or outcome?

Finding	Explanation and example (short)	Opportunity for improvement
Output, outcome		

Part A.2: Goals and monitoring Supervision and enforcement

14. Is there a description of the purpose of enforcement per policy field?

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

15. Is the goal formulated in terms of compliance behaviour?

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

16. Have priorities been set, taking into account problem analysis, compliance behaviour and evaluations?

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

17. Are there measurable indicators for all objectives?

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

18. Are there agreements about the monitoring of these indicators?

Finding	Explanation and example (short)	Opportunity for improvement
Output, outcome		

19. Have the indicators been formulated in terms of output or outcome?

Finding	Explanation and example (short)	Opportunity for improvement
Output, outcome		

Deel B.1: Monitoring Authorization

20. Is the monitoring of licensing activities focused on:

a. number and nature of applications submitted;

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

b. number of decisions based on the applications submitted;

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

c. number of processed reports subdivided into relevant categories;

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

d. number of decisions subdivided into relevant categories;

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

e. number of objections / appeals submitted by initiators and percentage honoured;

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

f. timeliness of the delivered products;

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

g. the effects of permits issued on the quality of the physical living environment;

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

h. the substantive quality of the products.

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

B.2: Monitoring surveillance and enforcement

21. Is the monitoring of the quality and results of the monitoring and enforcement activities focused on the following elements:

a.   extent to which supervision and sanction strategy has been applied;

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

b.   realisation frequencies of visits;

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

c.   detected violations;

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

d.   timeliness of the (re-) audit;

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

e.   timeliness of sending audit report and letter;

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

f.   the compliance behaviour;

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

g. evaluation of the enforcement results resulting in improvements with regard to the enforcement (policy) cycle.

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

D: Conclusions

22. What are the most striking conclusions of this test? Both positive points - What impressed you as assessors? - as points for improvement. Name a total of at least five, at most ten. Formulate them together with the tested service. Where possible, also identify interesting aspects outside the central theme that emerged during the introduction of the service, for example.

Open answer

23. What best practices have you discovered with this test that may be interesting for other services? If possible, refer to a document and attach it.

Open answer

24. Does the Measurable goals and Monitoring component meet the quality requirements? Give a strict but fair and nuanced judgment.

Open answer

Part E: Next year

25. What ideas do you have for the subject of the Collegiate Test for next year?

ANNEX II

INTERNATIONAL ATOMIC AND ENERGY AGENCY (IAEA)

The IAEA Emergency Preparedness Review (EPREV) is one of the peer review missions offered by the IAEA. This service is provided by the IAEA to Member States on their request to appraise their level of preparedness for nuclear or radiological emergencies. Other missions focus more in particular on the operational safety of facilities using nuclear material. Conclusions and recommendations from the peer reviews are compiled in a report which advises the Member State on ways of improving its nuclear safety and security. A follow-up mission assesses progress made in implementing the recommendations.

In the context of this preliminary study the EPREV approach and methodology is described.

Acknowledgment

This Annex, commissioned by IMPEL and conducted by a National Peer Review Initiative (NPRI) team, was prepared as a part of a study on a comparison between different peer review approaches, aiming at the development of a peer review approach that can be used by countries and authorities to support them in their improvement.

The NPRI-team would like to acknowledge the IAEA who kindly gave permission to reproduce extracts taken from the 'Overview of the EPREV Process' from the IAEA Publication titled: 'Emergency Preparedness Review (EPREV) Guidelines' to the extent and for the purposes of the study, taking into account that the IAEA retains the copyright. In particular acknowledgement and reference to the IAEA publication: International Atomic Energy Agency, Emergency Preparedness Review (EPREV) Guidelines, Services Series No. 36, IAEA, Vienna (2018) should be mentioned in this regard.

Disclaimer

Although every effort has been made to ensure the accuracy of the material contained in this document, complete accuracy cannot be guaranteed. The authors do not accept any responsibility whatsoever for loss or damage occasioned, or claimed to have been occasioned, in part or in full, as a consequence of any person acting, or refraining from acting, as a result of a matter contained in this document. This document intends as a contribution to development of a peer review instrument within the framework of the IMPEL project National Peer Review Initiative (NPRI).

Table of content

1. International Atomic and Energy Agency (IAEA)[1]

1.1 Organisation

The International Atomic and Energy Agency (IAEA) is an independent intergovernmental, science and technology-based organization, and part of the United Nations. The organization serves as the global focal point for nuclear cooperation, and assists its Member States, in the context of social and economic goals, in planning for and using nuclear science and technology for various peaceful purposes. This includes the generation of electricity and facilitates the transfer of such technology and knowledge in a sustainable manner to developing Member States. Furthermore, the IAEA develops nuclear safety standards and, based on these standards, promotes the achievement and maintenance of high levels of safety in applications of nuclear energy, as well as the protection of human health and the environment against ionizing radiation. The organization verifies through its inspection system that States comply with their commitments to applicable international regulations and related provisions.

The IAEA's Department of Nuclear Safety and Security offers a wide array of peer review and advisory services in the various domains of nuclear safety and security. These services play key roles for global nuclear safety and security, enabling countries to benefit from the independent insights of leading international experts, based on the common reference frame of the IAEA safety standards and security guidance. Each of these services is undertaken by an IAEA-led team of international experts that compares actual practices with IAEA standards.

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[1] https://www.iaea.org/

2. Emergency Preparedness Review (EPREV)

Since 1999, the IAEA has provided the Emergency Preparedness Review (EPREV) service to independently review preparedness for nuclear or radiological emergencies in Member States. Several missions have since been implemented. The IAEA-led EPREV service is performed by a team of international experts selected on the basis of their knowledge and experience in the field and with other similar reviews. The output of this peer review consists of 'suggestions' and 'recommendation's and intended to enhance emergency preparedness and response capabilities and arrangements. Also 'good practices' that can be used by other Member States to enhance their own emergency preparedness and response arrangements is an important output of the EPREV missions.

2.1   About EPREV

The benefits of an EPREV Peer Review as methodology used in EPREV missions include:

- It is a credible, independent, objective international peer review of the state of emergency preparedness in the Host State;
- It is a tool to promote continuous improvement;
- It can be used to target specific aspects of the EPR system as part of a continuous improvement program for the Host State
- It allows the review of interfaces, cooperation and arrangements between the organizations involved in nuclear and radiological emergencies;
- It helps raise the profile of an Emergency Peer Review (EPR) in the Host State and to promote the engagement of senior officials in the nuclear and radiological emergencies planning process;
- It promotes the sharing of experience and lessons learned among key EPR organisations in the Host State and with review team members;
- It provides an opportunity for the Host State to discuss specific EPR issues and seek expert opinion and guidance from the IAEA staff and international experts;
- It provides other Member States with information regarding good practices identified in the course of the review;
- It promotes the application of IAEA safety standards, thereby contributing to the global harmonization of EPR approaches and arrangements;
- It provides feedback on the use and application IAEA safety standards; and
- It promotes a greater global openness and transparency in EPR.

2.1.1   Objective EPREV

The main objective of the EPREV is to review the Host State's preparedness arrangements for effectively responding to nuclear and radiological emergencies. The review is based on relevant guidelines and IAEA safety standards and takes into account the Host State's

situation in terms of practices and legal framework. The purpose of these guidelines on EPREV is to provide a systematic and consistent methodology for conducting all activities associated with EPREV missions. The intended audience for using the guidelines are the Review team members, for the conduct of the missions, and the prospective and actual Host States, to clarify expectations and allow a smooth preparation and conduct of the EPREV mission and follow-up actions.

An EPREV facilitates the development of national emergency response capabilities, consistent with the IAEA safety standards[2]. The scope of the service is therefore directly related to the areas addressed by these standards A team of IAEA Secretariat and international experts assess national capabilities by comparing their arrangements with IAEA safety standards and worldwide good practices.

2.1.2   EPREV in summary

An EPREV is:	An EPREV is not:
• A peer review conducted by an international team of experts • An assessment based on international safety standards in the area of emergency preparedness and response, taking into account local conditions • A review and technical exchange of experiences and practices at all levels	• An audit against a rigid set of codes and standards • A review based on standards from experts' own country • A way to compare or rank Member States in terms of emergency preparedness • An inspection of the national regulatory requirements

2.1.3   Practical objectives of an EPREV

The purpose of the EPREV service is to review the practical implementation of emergency preparedness arrangements for responding to a radiation emergency. An EPREV peer appraisal is *performance-based*, i.e. the review tries to answer the question 'are the arrangements adequate and will they work?' given the national context in which they are applied. This service also aims at identifying specific strengths and best practices that can be shared with other Member States and it provides a basis for determining where improvements may be required and for measuring progress made in those areas.

2.1.4   Focus of EPREV

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[2] IAEA Safety Standards: https://www.iaea.org/resources/safety-standards

An EPREV focuses only on the parts and the system that apply to nuclear and radiological emergencies. The peer review looks at emergency preparedness, not emergency response. The review can focus on one specific emergency preparedness category or a combination of them. An EPREV must also consider previously performed review missions, avoiding duplication and overlap.

2.1.5   Scope of EPREV

The scope of EPREV is flexible and scalable and can include one or more emergency preparedness categories, or a targeted hazard item within an emergency preparedness category. Regardless of the scope, the review must include stakeholders at all levels, as well as the full vertical system, from facility or practice to national response, including international arrangements.

3. EPREV Experts and team members: qualifications and expectations

The IAEA sets requirements and expectations on the experience and expertise of international experts. Only if these requirements are met, experts can be appointed to be a member of an international EPREV team. To successfully complete a home-based training on EPREV for candidate team members is obligatory.

3.1 Requirements

An EPREV team combines senior experience in EPR planning, operations and regulatory aspects related to the scope of the mission. The experts must have an excellent knowledge of IAEA safety standards in EPR, Furthermore, they must have experience in reviews and appraisals of EPR arrangements and practical experience related to the mission objectives and scope, including the type of facilities and activities to be reviewed. Some team members should have experience related to the management of complex emergencies, not necessarily nuclear.

Team members have good interpersonal skills and an open attitude towards systems and approaches that are different from the ones with which they are familiar. Team members must be able to communicate clearly. Being adaptable and flexible in countries where the main language may not be English is an important requirement. Furthermore, the candidates should have good written and oral communications skills in English.

3.2 Expectations

Reviewers are responsible for making necessary preparations for the mission, on the basis of information from the Team Coordinator. The team members review a Self-Assessment report and Advanced Reference Material (ARM) and prepare a first impressions report. The next step and task are to conduct the mission as directed by the Team Leader.
It is expected from all team members that they maintain a spirit of openness, transparency and cooperation with the counterparts during the mission. Furthermore, it is expected that they provide comprehensive and high-quality daily input to the preliminary report, as directed by the Team Leader. A review of the completed preliminary report is an important element of the tasks of the team members. The report will be drafted based on the input from the team members and the expertise they individually and collectively have.
To maintain appropriate confidentiality of sensitive information in accordance with applicable confidentiality agreement is an important requirement.
After completion of the mission it is expected from all team members to provide comments to the IAEA on the EPREV process.

3.3   Training

All experts must complete a home-based training on EPREV within 12 months of participating in a main mission. This training, developed and administered by the IEC, covers the basic EPREV process, the conduct of the review and the documentation of observations, recommendations, suggestions and best practices. Within a minimum of two weeks prior to an EPREV mission, the results of the training must be provided to the IAEA coordinator. Failure to do so may prevent an expert from taking part in a mission.

3.4   Cultural aspects

It is important to mention that the involved experts are perceived as IAEA representatives by the receiving countries. A high degree of cultural sensitivity is essential. Therefore, experts should become familiar with national and cultural context in the host state, with special attention for differences with expert's current culture.
There are several sources available that support the experts to be prepared for the mission and then in particular regarding the cultural aspects of the host country:

- The CIA World Factbook: https://www.cia.gov/library/publications/the-world-factbook/index.html
- Countries and their cultures: http://www.everyculture.com/
- Wikipedia: http://www.wikipedia.org/

4. EPREV PROCESS[3]

4.1 Process overview

An EPREV is initiated through a formal request from a country to the IAEA Secretariat. Normally this goes via the Permanent Mission of the requesting State. After acceptance, as a next step, discussions will then be initiated between the Host Country's EPREV coordinator and the IAEA Secretariat Team Coordinator. Prior to an agreement on scope or dates, the Host Country will prepare an EPR self-assessment report, which will be the basis for the peer review mission.

The results of the self-assessment will be reviewed by the IAEA Incident and Emergency Centre (IEC) in consultation with the Host Country EPREV Coordinator. In case of an agreement on conducting an EPREV, a mission will be scheduled, and a detailed planning begins at this point.

On important step in the process is holding an in person preparatory meeting. This will be at least six months before the main mission. The goal of this meeting is to agree on the terms of reference (TOR) for the EPREV. Amongst others, the scope of the EPREV will be discussed and included in the TOR, as well as the team composition, planning etc. Terms of reference are discussed further in this document. Normally, the preparatory meeting is conducted by the EPREV Team Leader and the IAEA Team Coordinator, in person and in the Host Country.

Experts are recruited in consultation with the Host State. It is important that their expertise and experience must cover the entire scope of the mission. The team composition should normally be agreed to at least three to four months before the mission to allow adequate time for security clearance and visas.

At the latest two months before the mission, the Host State should provide a complete set of so-called Advance Reference Material (ARM) and upload it on a dedicated and Password protected site of the IAEA. These are also a subject for agreement during the preparatory meeting. The experts will then review this material as well as the results of the self-assessment. These are the basis for establishing priorities in the areas to be reviewed. The experts are asked to provide a first impressions report to the IAEA Team Coordinator at the latest two weeks before the mission. The report should contain areas where additional information will be needed, potential issues and suggested priorities for the review mission.

The EPREV mission is then conducted, which normally lasts 6 to 12 days, depending on the scope and level of complexity of the review. At the end of the mission, an agreed draft

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[3] https://www-pub.iaea.org/MTCD/Publications/PDF/SVS-36_web.pdf

report is provided and presented to the Host State for review. The final report is delivered following completion of the main mission.

After submission of the final report, the Host State should draft and complete an Action Plan[4]. At that point, a tentative date will be discussed for a follow-up mission. The Host State Coordinator and the IAEA Team Coordinator will also normally agree on a periodicity for the Host State to inform the IEC on the progress achieved on the Action Plan, which is normally no less than once per year.

4.2   Follow-up EPREV mission

A follow-up mission should be conducted two to four years after the completion of the main mission to review progress in implementing improvements resulting from the initial EPREV mission recommendations or suggestions. The Host State and IAEA should schedule the follow up mission a minimum of six months before the mission. The timing will be dependent on the progress implementing the Action Plan. Terms of reference for the follow-up will be drafted and agreed with the Host State in an EPREV follow-up preparatory meeting. Normally, this meeting will be conducted by video conference. However, depending on the scope of the follow-up mission, the meeting could be held in person. As a minimum, the preparatory meeting will involve the Host Country follow-up coordinator, the IAEA follow-up team coordinator and EPREV follow up team leader.

4.3   Overview of the EPREV process:

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[4] https://www.iaea.org/publications/13417/emergency-preparedness-review-eprev-guidelines P. 36
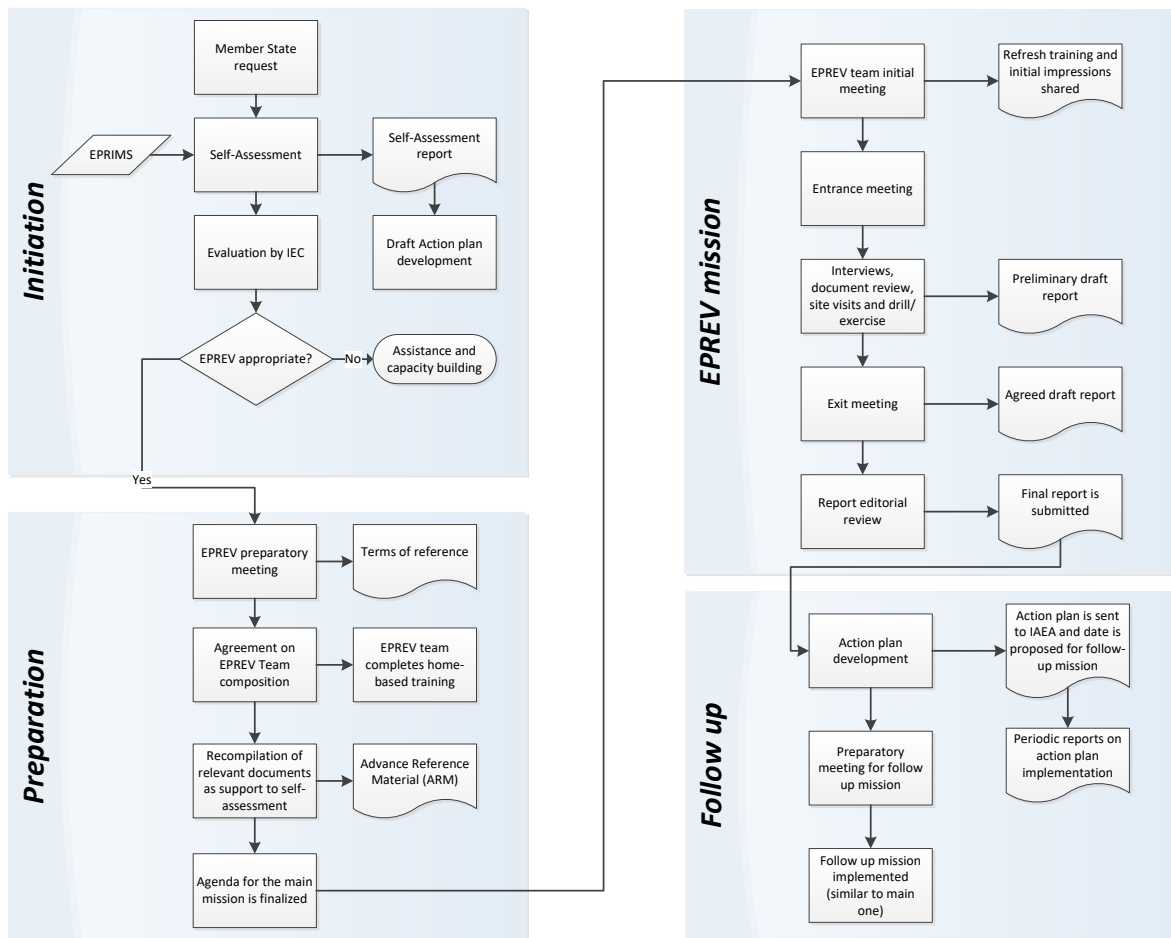
Fig. 1. The EPREV Process[5]

4.4   Typical mission agenda

The agenda of an EPREV is quite standardised and contains to a large extent the following elements. There is some room for flexibility, however the team leader will follow this agenda as much as possible to safeguard that all work is done within the available time and with the quality that is needed and expected.

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[5] Source: https://www.iaea.org/publications/13417/emergency-preparedness-review-eprev-guidelines .p6

Day		Activity
0		Review team internal meeting: briefing, review of mission plan, review of preliminary findings and assignment of priorities.
1	am	Entrance meeting • Presentation by Host Country overall national framework for EPR • Presentation by Host Country of self-assessment • Presentation by IAEA of EPREV objectives and process
	pm	
2		
3		Visits and interviews
4		
5		
6		Report writing by EPREV team
7	am	Report writing
	16:00	Preliminary draft report submitted to National EPREV coordinator
8	am	Host Country reviews report and prepares written comments Team drafts executive summary and presentation for the exit meeting
	12:00	National EPREV coordinator submit written comments to the EPREV team
	pm	Meeting with Host Country representatives to discuss comments
9	am	Team finalizes draft report
	pm	Meeting between Team Leader and Team Coordinator with Host Country representatives to agree on executive summary and press release DDG or senior representative from IAEA arrives
10	am	Exit meeting and delivery of agreed draft report Press conference

Fig. 2. Example standard mission agenda

4.5   Daily team meetings

At approximately 17:00 h, every day, there is a one-hour team meeting to discuss key observations in each review area which form the basis for recommendations, suggestions or good practices. Also, cross-cutting issues that need to be brought to the attention of other reviewers are discussed. Gaps and questions where the information obtained thus far is not clear or inconsistent are shared with the team members and discussed and the priorities for the next day of the peer review are set.

5. GATHERING INFORMATION

An EPREV can only be conducted through an adequate information gathering and analysis. The review is based on 25 applicable requirements contained in IAEA Safety Standards Series No. GSR Part 7[6]. The information should be structured against those 25 requirements. There will be some redundancies and cross-cutting issues, and that's why this division can be felt as a bit artificial. However, it ensures consistency between missions, and consistency with the IAEA requirements.

Information from different sources will be collected and studied. Needed information can be made available through documents, reports, interviews, visits etc. The following 7 methods can be mentioned in this regard:

5.1 Seven methods for gathering information

1. A review of the ARM, before the mission
2. Consultation of other IAEA peer review reports for the Host State
3. A review of additional documents, which will be requested by the reviewers during the mission, such as contingency plans, protocols etc.
4. Interviews with counterparts
5. Site visits
6. Direct observation of EPR activities, mainly drills and exercises
7. Consolidation of observations by all reviewers during daily team meetings

5.1.1 Interviews

The purpose of interviews is to gather information to clarify, confirm or deepen the understanding of the reviewer on specific issues. It is important to mention that these interviews are not interrogations but discussions. They promote a two-way exchange of information. It is important that each expert should prepare the interview in advance to:

• Identify which requirements apply to the counterpart
• Identify priorities
• Establish broad list of likely questions to ask

During the interview the experts keep detailed and factual notes, not qualitative comments. They also verify notes with their counterpart to ensure accuracy. It is important to hold the interviews in an open, transparent and cooperative atmosphere, that enables a two-way exchange of information

5.1.2 Site visits

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[6] https://www.iaea.org/publications/10905/preparedness-and-response-for-a-nuclear-or-radiological-emergency

Site visits can be useful for observing equipment, facilities and EPR activities, such as training, or monitoring. It also gives the opportunity to interview working staff from those facilities. Site visits can provide additional 'reality' information directly from the 'working places' from staff involved.

5.1.3   Exercises

Exercises can provide additional and valuable information to the peer review. However, they are not always the most efficient way to verify EPR during a mission. They take considerable efforts to organize and conduct, at a time when resources may be considerably busy with the EPREV mission. It also needs to be mentioned that properly observing the exercise may require more than one reviewer for a considerable part of a day, thereby significantly reducing the review time available to the review team. If observation of an exercise is part of the mission, observing and noting the findings are of importance (in light of the 25 requirements).

5.2   Quality assurance

Finally, as good practice, data gathered should be verified through verification with the counterpart, comparison of information from one person to another and comparison of data from one document source to another.

6. FINDINGS

Findings of an EPREV mission are formulated in a standardised way as:

- Recommendations
- Suggestions
- Good practices

Each finding has the following components:

1. Observation (a brief statement of facts that supports the finding and it summarizes, concisely, the text from the report relevant to that section).
2. Basis (should be one (and only one) paragraph from the Safety Standards, from the section that corresponds to the section of the EPREV Report).

Relationship of observations with good practices, suggestions and recommendations in scheme:[7]
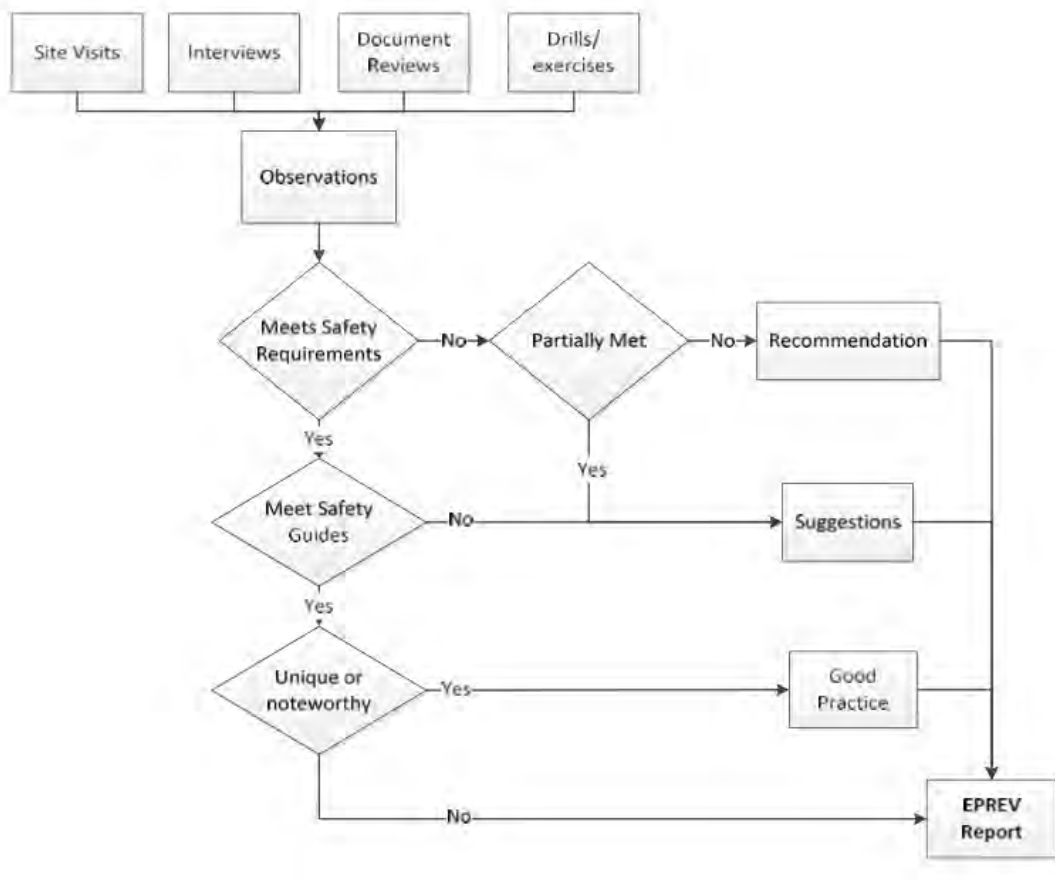
Fig. 3. Relationship of observations with good practices, suggestions and recommendations.

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[7] Source: http://www-pub.iaea.org/MTCD/Publications/PDF/SVS-36_web.pdf Fig. 3. P. 24

6.1   Recommendations

Recommendations address aspects of the EPR arrangements that are not fully consistent with the IAEA Safety Requirements contained in GSR Part 7. In drafting recommendations, it is important that they are specific, realistic and designed to result in tangible improvements. They also should state 'what' needs to be achieved, not 'how. As a follow-up it is up to the Host State to determine the best method for achieving the desired outcome.
Other requirements for 'recommendations' are that they should be succinct and self-explanatory, practicable and implementable. Furthermore, it is important that the basis for the recommendation must be clearly documented. In addition, reviewers should be sufficiently open to understand that the intent of the requirement may be met even if the terms, detailed arrangements or method used are somewhat different from the precise text of the requirement. Recommendations <u>must</u> be based on Safety Requirements

6.2   Suggestions

Suggestions address two types of observations, namely:
1)   the requirement is met but the arrangements are not entirely consistent with the guidance contained in the applicable safety standards on EPR, and/or
2)   the requirement is met but it is deemed that tangible improvements could be made to the manner in which the arrangements are consistent with the requirements.

Suggestions are primarily intended to make the arrangements more effective or efficient. A 'suggestion' may be proposed in conjunction with a recommendation or may stand on its own. Just as with 'recommendations' the 'suggestions must be clearly documented and <u>can</u> be based on Safety Requirements or Safety Guides.

6.3   Good practices

The third category of findings are 'good practices'. A good practice reflects an organization, arrangement, programme or performance superior to those generally observed elsewhere. A good practice goes beyond the fulfilment of current requirements or expectations, and it should be worthy of the attention to other Member States.
The basis for good practices should be any of the requirements or guidance contained in the IAEA safety standards on EPR. Furthermore, a good practice need not be exclusive or unique to the Host State, but it should not be common to many.

7. REPORTING

From day one, the EPREV team starts with writing the report of the peer review. A template for that is available. The review activities take place during the day and writing of the report is an activity for the evening. The following daily cycle is followed by the team:

7.1   Daily cycle for report writing

1. After the daily team meeting, if a reviewer has specific inputs or observations on a requirement for which they are not the primary author, their first priority is to send that input to the primary author as agreed during the team meeting.
2. Each reviewer collects all the notes relevant to the sections for which they are responsible and drafts those sections. Notes and questions can be inserted in the text, which will need to be resolved prior to final drafting.
3. Each reviewer sends their daily draft of the report to the IAEA Coordinator at the end of each day.
4. The following day, the IAEA Coordinator consolidates the inputs into a single, harmonized and consistent draft report and sends it back to the team. The draft report may contain questions and comments to be addressed by the reviewers.
5. At the following daily meeting, the IAEA Coordinator presents comments and issues on the report, to be addressed by the reviewers.
6. After the daily meeting, each reviewer modifies the relevant section of the report in the latest version sent to them by the IAEA Coordinator and the cycle continues.

7.2   Writing the EPREV findings, applicable 'rules'

*   Describe the situation and setting
*   Describe objective evidence and observation
*   Identify and site the requirement
*   Write the finding (suggestion, recommendation or good practice)

7.3   Language

Writing should be as simple as possible. The use of simple, plain English is essential for clear communication in a multi-cultural setting. Furthermore, it needs to be pointed out that an EPREV report is not a country report for the outside world. The information should be limited to that which supports the findings. Information of a general nature is not useful unless it provides an essential context for the findings

In the training of the experts regarding writing of a report there is attention for the following:

- Some words have more than one meaning in English
- Unusual or very specific technical words can be difficult to understand by non-native English speakers
- Fancy words used to demonstrate expertise make some statements less clear
- Multiple adjectives or adverbs make sentences more difficult to understand
- Too many conditional clauses also make the meaning less clear
- Do's, don'ts and tips regarding writing a report

8. Process submission report

The following scheme[8] and timeline provide information about the steps to be taken in finalizing the report of the mission:

Report status	Time
The team finalizes the draft report	Two to four days prior to the end of the mission
Submission of the agreed draft report to the Host State	End of Mission
Final draft report provided to Host State	Four weeks after Mission
Comments received by the IAEA Coordinator	Four weeks after submission of the Final draft Report
Final report submitted by IAEA to the Host State through official channels (normally via Permanent Mission)	Four weeks after receipt of comments

Two to four days before ending the mission, a draft version of the preliminary report will be submitted to the Host State EPREV coordinator for comments and reflection. A meeting between the review team and the counterparts will be organised. The purpose of this meeting is to discuss and agree on all observations, and to correct any misunderstandings or errors.
If agreed, the preliminary findings of the EPREV will be presented to the officials of the counterparts. This can be followed or combined with a press conference.

After ending the mission there will be an opportunity within four weeks following the completion of the mission. Comments on the report are welcomed and the final report will then be made available to the Host State, through its permanent mission.

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[8] http://www-pub.iaea.org/MTCD/Publications/PDF/SVS-36_web.pdf , Table 2. Timeline for submission of EPREV report. P. 23

List of abbreviations

ARM   - Advanced Reference Material
EPR   - Emergency Peer Review
EPREV - Emergency Preparedness Peer Review
GSR   - General Safety Requirements
IAEA   - International Atomic Energy Agency
IEC   - Incident and Emergency Centre
IMPEL - European Union Network for the Implementation and Enforcement of
              Environmental Law
TOR   - Terms of Reference

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ANNEX III

Environmental Implementation Review (EIR) and TAIEX - EIR Peer to Peer Tool

Implementation of EU environmental policy and law is essential for a healthy environment and is in the first place a task for the EU Member States themselves. The European Commission however has the responsibility to oversee the application of the common rules agreed by the European Parliament and by the Member States within the Council. Every two years the European Commission conducts an Environmental Implementation Review (EIR) aiming at improving implementation in the field of EU environmental policy and legislation, by identifying the causes of implementation gaps and addressing systemic obstacles to environmental integration across policy sectors, and to find solutions to them. It maps the main challenges for each Member State, as well as existing good practices and points of excellence.

To facilitate peer learning between Member States, regions and municipalities on improving their implementation practices, the European Commission's Directorate-General for the Environment launched a TAIEX-EIR Peer to Peer tool.

Acknowledgement

This Annex, commissioned by IMPEL and conducted by a National Peer Review Initiative (NPRI) team, was prepared as a part of a study on a comparison between different peer review or assessment approaches, aiming at developing a peer review approach that can be used by countries and authorities to support them in their improvement.

The NPRI-team acknowledges the work and policies of the European Commission on the Environmental Implementation Reviews (EIR), the Environmental Compliance Assurance Initiative (ECA), as well as the TAIEX-EIR Peer to Peer instrument. Furthermore, the Institute for European Environmental Policy (IEEP) is acknowledged for their work on the Development of an assessment framework on environmental governance in the EU Member States as contained in the final report No 07.0203/2017/764990/SER/ENV.E.4, May 2019 and its respective annexes.

Disclaimer

Although every effort has been made to ensure the accuracy of the material contained in this document, complete accuracy cannot be guaranteed. The authors do not accept any responsibility whatsoever for loss or damage occasioned, or claimed to have been occasioned, in part or in full, as a consequence of any person acting, or refraining from acting, as a result of a matter contained in this document. This document intends as a contribution to development of a peer review instrument within the framework of the IMPEL project National Peer Review Initiative (NPRI).

Tabel of content

1. Environmental Implementation Review (EIR)

1.1   Introduction

Implementation of EU environmental policy and law is essential for a healthy environment. Overcoming the gap between what has been decided and actually implemented is critical to ensure good environmental outcomes for citizens, as well as to preserve a level playing field for economic operators and to create opportunities for social and technological innovations and economic development. Implementation of EU rules is in the first place a task for the EU Member States themselves, but the Commission has the responsibility to oversee the application of the common rules.

In February 2017, the European Commission published for the first time an Environmental Implementation Review (EIR). The EIR is a two-yearly cycle of analysis conducted by the European Commission and aims to improve implementation in the field of EU environmental policy and legislation, by identifying the causes of implementation gaps, addressing systemic obstacles to environmental integration across policy sectors, to stimulate debate on shared environmental challenges, and to find solutions to them. It maps the main challenges for each Member State, as well as existing good practices and points of excellence. The 28 country reports, published every two years along with a summary of common trends and recommendations, are based on based on desk research and consultation with the Member States.

The first Environmental Implementation Review package was adopted in February 2017. Since its adoption, many Member States have organised national Environmental Implementation Review dialogues on the priority themes identified in their reports. In many cases, regional and local authorities and key stakeholders have been involved. The second round of reporting took place in 2019.

2. Objective Environmental Implementation Review

The overarching objective of the Environmental Implementation Review (EIR) is to support the delivery of the objectives of existing EU environmental policies and legislation. The EIR process aims to be inclusive and participative, flexible and in synergy with existing work on environmental implementation.

The Commission addresses with Member States the causes of implementation gaps and find solutions before problems become urgent. In this context, the EIR initiative aims[1] to:

- improve the common knowledge about existing implementation gaps on EU environmental policy and law in each Member State;

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[1] Objectives of the Environmental Implementation Review:
https://ec.europa.eu/environment/eir/objectives/index_en.htm

- provide new solutions complementary to legal enforcement;
- address the underlying root and often cross-sectoral causes of these gaps; and
- stimulate exchanges of good practice.

The Commission informed[2] that the EIR will therefore be conducted to:

- provide an informed and synthetic picture of where each Member State stands regarding the main environmental implementation gaps, based on the same set of benchmarks which reflect the existing, agreed policy objectives and key obligations defined by the EU environmental legislation;
- create the opportunity for a structured dialogue with each Member States on the achievements and challenges in tackling the implementation gaps and about the actions needed;
- provide early and tailored support to Member States in streamlining their efforts to implement EU environmental acquis and policies based on the findings of the reports;
- strengthen the EU's compliance culture in the area of environmental policies and provide an informed basis for political debates and deliberations between the EU institutions about the horizontal challenges, opportunities and possible solutions aimed at further narrowing the implementation gaps;
- identify and share best practices and common problems and make best use of the experience accumulated across the EU, as well as engaging with the whole range of stakeholders in actions to address the implementation gaps;
- provide aggregated feedback to the Commission about the way in which the EU's environmental policies and legislation work and deliver the expected results.

The Commission delivers a country report that maps out the main challenges in implementing European environmental policy and legislation as well as good practices, including points of excellence in that country.

3. Benefits

The EIR aims to improve effectiveness and efficiency in the delivery of environmental policy and legislation by complementing enforcement. A clear advantage of this approach is that it can bring up critical issues and possibly structural solutions in a preventive and transparent manner, in some cases even before the compliance deadlines expire and enforcement needs to come into action. Member States and the Commission benefit from this approach.[3]

3.1 Member States

The Member States will gain:

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[2] https://ec.europa.eu/environment/eir/objectives/index_en.htm
[3] Delivering the benefits of EU environmental policies through a regular Environmental Implementation Review; https://eur-lex.europa.eu/legal-content/EN/TXT/HTML/?uri=CELEX:52016DC0316&from=EN

- the opportunity to exchange good practices and receive knowledge and expertise from each other to tackle their individual environmental challenges.
- Identification of common environmental issues to be addressed collectively where appropriate.
- A better understanding, which increases acceptance and support for the outcomes of the EIR.
- Opportunities to learn from each other (peer to peer), based on the efforts made by each Member State.
- Opportunities towards a more targeted use of EU funds, stimulation of higher absorption rates and highlighting the real needs and priorities of smart investment policies.
- More visibility to the public and stakeholders of their achievements in tackling the challenges they are confronted with, as well as the costs or benefits of the necessary measures.

3.2   Commission

The Commission will gain:
- An opportunity to identify potential systemic solutions to environmental implementation problems
- to raise awareness at an earlier stage and to strengthen the preventive dimension related to the application of Union law.
- That Member States anticipate better to the issues that need corrective action, in line with the EU public policy principles;
- A better insight into the challenges the national authorities are confronted with when applying the Union law, which is also useful when reviewing existing or proposing new environmental legislation.
- Improvement of the use of data already available to the Commission as the initiative necessitates compiling and assessing available information in a more targeted, country specific manner.
- A cross-cutting overview of the main implementation challenges.

4. Assessment Framework

The first round of assessment reports for the 28 Member States in 2017 revealed a lack of sound methodologies[4] for assessing the various aspects of environmental governance. In some cases, relevant data and information to underpin the assessments were not readily available, namely access to information, public participation arrangements or administrative capacity to ensure the integration of environmental considerations into planning decisions. To overcome this issue, the commission commissioned the Institute for European Environmental Policy (IEEP)[5], to conduct a project with the main objective to develop a

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[4] https://www.ecologic.eu/15201
[5] https://ieep.eu/

methodology – an assessment framework - for assessing the environmental governance performance of public administrations in each of the EU Member States.

The project concluded to use and modify and restructure five dimensions of Environmental Governance, namely: transparency, participation, access to justice, compliance assurance / accountability and effectiveness / efficiency:

Dimension	Explanation
Transparency	Under the transparency dimension, the assessment examined the flow and quality of information in support of environmental policy. An important element to ensure well-informed environmental policy decisions is that environmental data is available for use by a wide range of organisations, and by the public at large.
Participation	Wide participation in decision-making, including by a broad range of stakeholders, members of the public, and civil society groups, can contribute significantly to ensuring that policy decisions take into account a full range of facts, and that decisions have a broad base of support. The assessment looked in particular at how EU countries enabled public participation, and at related questions such as public confidence in institutions; individuals' sense of their ability to influence environmental outcomes; and equitability and inclusiveness of environmental policymaking.
Access to justice	Effective legal mechanisms for implementing environmental policy and enforcing environmental legislation are vital to ensuring that the commitments made in legislation are delivered in practice. The assessment focuses on the role of citizens and environmental associations in using national courts to secure compliance, rather than enforcement action by public authorities, which is dealt with under the compliance assurance dimension.
Compliance assurance	The assessment looks at three classes of intervention that authorities undertake to ensure that economic and other activities comply with environmental rules: promotion, monitoring and enforcement. It also looks at the handling of complaints on environmental issues from individual citizens and from associations.
Effectiveness and efficiency	Under this heading, the assessment covers a wide variety of issues, including how well resources (financial, material, and human) are used in delivering environmental objectives, and whether there are effective mechanisms for ensuring that environmental issues are addressed in other areas of administration and policy.

Within these five dimensions, 21 themes were identified[6], as well as a cross-cutting theme on 'context and characteristics of environmental governance'. This was needed to provide the needed institutional set up for the understanding of the information of the five dimensions.

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[6] Development of an assessment framework on environmental governance in the EU Member States, No 07.0203/2017/764990/SER/ENV.E.4 Final report May 2019, p7, p8; https://ec.europa.eu/environment/environmental_governance/pdf/development_assessment_framework_environmental_governance.pdf#page=248

A range of questions (with indicators)[7] was identified, based on this assessment framework, which formed the basis of the assessment of environmental governance characteristics and performance in the Member States. Questions were included based on a combination of relevance, perceived likelihood of identifying similar information in different Member States to provide answers, and comparability of the resulting information (and thus the extent to which they could be used to generate information at an EU-wide level).

The results of the study project as included in a report[8], sets out an initial methodology. The study has also been used in the preparation of the 2019 Environmental Implementation Review[9]. The Commission will now work with the EU countries to develop this assessment framework further. In addition to contributing to the EIR, the assessment framework[10] shall be an integral part and important tool of all activities related to environmental governance, including the implementation of the action plan on compliance assurance[11] and the streamlining of reporting and improvement of active dissemination at national level.

5. Methodology

The environmental governance assessment carried out in 2019, based on the assessment framework as developed, is undertaken at three levels and in two steps (overall and specific assessment)[12]:

- Level 1: aggregation to the level of the five dimensions
- Level 2: aggregation to the level of themes (subdimensions)
- Level 3: individual indicators or assessment criteria, per theme

Where appropriate, specific areas or illustrative samples are selected for the purposes of generating comparable information across the EU countries.

In order to help in identifying patterns of approaches to environmental governance, and to compare performance between Member States in broad terms, the project developed an approach to a categorisation of performance in relation to individual questions, and, in order to understand performance for each Member State in respect of each dimension, assigning a

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[7] Criteria for categorization of Member States performance, Annex 5, https://ec.europa.eu/environment/environmental_governance/pdf/development_assessment_framework_environmental_governance.pdf#page=248

[8] https://ec.europa.eu/environment/environmental_governance/pdf/development_assessment_framework_environmental_governance.pdf

[9] https://ec.europa.eu/environment/eir/index_en.htm

[10] Assessment Framework: https://ec.europa.eu/environment/eir/index_en.htm; p 16 - 29

[11] https://ec.europa.eu/environment/legal/compliance_en.htm

[12] Development of an assessment framework on environmental governance in the EU Member States, No 07.0203/2017/764990/SER/ENV.E.4 Final report May 2019, p17;

simple numerical value to categories of performance on the basis of the data gathered on individual questions.[13]

6. The environmental implementation review cycle

The first EIR cycle was carried out in 2017. Reports were drafted by the Commission based publicly available information and if necessary revised after consultation with the Member States.

As from the second cycle onwards, the Commission reports on progress achieved in implementation, including as a follow up to the conclusions of the previous cycle.

In the second two-year cycle:

- Initial drafts of the governance assessments for each Member State were prepared based on publicly available information, not supplemented by interviews or questions to the Member State authorities, in an effort to avoid placing excessive demands on the time of relevant officials.
- Member States were then given an opportunity to respond to the draft assessments, commenting on or correcting errors of fact, responding to specific requests for additional information, or providing further information which they considered relevant.
- Three workshops were held with Member State officials and other stakeholders over the course of the project:
  - to discuss the draft assessment framework;
  - to discuss the emerging assessments;
  - to discuss the emerging findings of this report and consider approaches to the categorisation of performance.

7. Peer Learning for environmental authorities - (TAIEX - EIR) Peer to Peer Tool

Shortly after the adoption of the first package of reporting, a TAIEX-EIR Peer to Peer tool was launched by the European Commission's Directorate-General for the Environment to facilitate peer learning between Member States, regions and municipalities on improving their implementation practices. This new tool, called TAIEX-EIR P2P[14], provides practical and

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[13] Criteria for categorization of Member States performance:
https://ec.europa.eu/environment/environmental_governance/pdf/development_assessment_framework_environmental_governance.pdf#page=248
[14] https://ec.europa.eu/environment/eir/p2p/index_en.htm

tailored support and builds on the already existing, successful and well-established TAIEX Instrument of the Commission's Directorate-General for Neighbourhood and Enlargement Negotiations and it applies to environmental laws and policies in the context of the EIR.

The reason for launching the tool is the fact that across the EU, thousands of professionals are involved in the implementation of environmental policy and legislation, who possess a wealth of knowledge and invaluable know-how which could be exchanged in order to improve implementation at national, regional and local level. Altogether, there is a huge potential for Member States' environmental authorities at all levels to improve their environmental performance by learning from each other.

The TAIEX – EIR Peer to Peer Tool is successful. In 2018, the first operational year of the tool, all Member States were involved in at least one event and more than 50% of the events were multi-country workshops. In 19 projects executed in 2018, the tool has been used mainly by the environmental authorities. The Commission strives that other relevant authorities also will start to use the tool.

7.1   Supported Peer exchanges

TAIEX – EIR P2P assistance will finance expert exchanges on EU environmental policy and law that are linked to issues covered in the EIR country reports or on common challenges and root causes of implementation gaps in the EIR. Assistance is provided at request of public institutions involved in the implementation of EU environmental policy and law in the EU Member States. The types of exchanges are based on identified concrete and specific needs by authorities who are responsible for implementation of EU environmental policy and law in their country or region.

Depending on the purpose of the event the focus can be more on learning from a specific good practice example, a specific experience or knowledge or more on a mutual exchange of experience between environmental authorities on a particular implementation challenge.

The following three activities and exchanges are supported by TAIEX-EIR PEER 2 PEER:

Expert Missions	Experts from an EU Member State environmental authority visit an environmental authority in other Member States that have requested peer advice and exchange of experience on a specific topic. Expert missions can last between two to five days.
Study Visits	Staff (maximum three) from a requesting environmental authority conduct a working visit to other EU Member State institutions to exchange good practices and to learn from each other. A study visit can last between two to five days.

Workshops	Workshops with environmental authorities from one or several EU Member States (single or multi-country workshops) can be organized in a requesting institution. Workshops would normally last two days.

Through the TAIEX-EIR Peer to Peer Tool, costs of travel, accommodation and a per diem for experts participating in expert missions or workshops can be financed. In addition, a daily allowance per working day can be paid to the expert or her/his employer. Working language is English. Interpretation can be financed if the need is made plausible. Costs for the venue, catering or the printing of background material are not financed.

7.2   How to apply for assistance?

Assistance through the TAIEX – EIR P2P instrument, can be requested by:

- National, regional and local departments and agencies;
- Coordinating authorities;
- Inspection and audit authorities;
- Permitting authorities;
- Regional or local environmental implementation businesses entrusted with a public task, and with the application supported by an authority
- Networks of experts involved in environmental implementation and enforcement in cooperation with a Member State environmental authority.

The request for assistance needs to be electronically submitted and is subject to approval by the European Commission. The process of application, the exchange and reporting contain the next steps:

Application for a TAIEX-EIR P2P exchange	The administration of a Member State applies for assistance, through an on-line application[15] and application template[16].
Evaluation of the application	The Commission examines and reviews the application and decides on whether the request for peer-to-peer exchange is eligible and justified.
Preparation for the exchange	Once the Commission takes a positive decision, the preparation of the exchange starts, including the process of selecting experts and defining practical details in close co-operation with the requesting institution.

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[15] Online application TAIEX-EIR P2P:
https://webgate.ec.europa.eu/TMSWebRestrict/resources/js/app/#/applicationform/home

[16] TAIEX-EIR P2P application template:
https://ec.europa.eu/environment/eir/pdf/TAIEX%20application%20template.pdf

Organisation of the exchange	The Commission, via its external service provider at DG NEAR, provides administrative support for the practical organisation of an event and covers the costs of expert missions, study visits and workshops.
Reporting	Following the conclusion of the exchange (or series of exchanges) a report with related documents and presentations is submitted by the expert(s), including relevant conclusions/recommendations, to be made publicly available.
Evaluation of the exchange	Evaluation by recipients of assistance takes place after the exchange (within 15 working days) and also after 6 months to assess the impact of the event.

TAIEX-EIR PEER 2 PEER makes use of the existing extensive TAIEX expert database comprising many public experts and professionals who are well experienced in the area of environmental policies.

In this regard also Networks of environmental authorities and experts, such as IMPEL, provide indispensable contributions to the exchange of knowledge and good practice in the implementation of environmental policy and legislation. TAIEX-EIR PEER 2 PEER can complement activities of these networks.

More information:

TAIEX-EIR PEER 2 PEER Launch event (7 September 2017): All presentations

List of abbreviations

ECA   -   Environmental Compliance and Assurance Initiative

EIR   -   Environmental Implementation Review (EIR)

EU   -   European Union

IEEP   -   Institute for European Environmental Policy

NPRI   -   National Peer Review Initiative

P2P   -   Peer to Peer

TAIEX   -   Technical Assistance and Information Exchange instrument of the European Commission

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Assessment Framework: https://ec.europa.eu/environment/eir/index_en.htm; p 16 - 29

https://ec.europa.eu/environment/legal/compliance_en.htm

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Online application TAIEX-EIR P2P: Available from:
https://webgate.ec.europa.eu/TMSWebRestrict/resources/js/app/#/applicationform/home

[1] TAIEX-EIR P2P application template: Available from:
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ANNEX IV

IMPEL Review Initiative (IRI)

The IMPEL Review Initiative (IRI) is IMPEL's peer review tool that brings together a team of technical experts and professionals that review the processes and procedures of environmental authorities in IMPEL Member countries. The aim is to identify good and best practice as well as 'opportunities for development'. These are areas that the review team would recommend improvements based on developments and experiences elsewhere in Europe. The results of the Peer Review are presented back to the host in the form of a presentation to senior management and in a final report.

Acknowledgement

This Annex, commissioned by IMPEL and conducted by a National Peer Review Initiative (NPRI) team, was prepared as a part of a study on a comparison between different peer review or assessment approaches, aiming at developing a peer review approach that can be used by countries and authorities to support them in their improvement.

The NPRI-team acknowledges the work of the European Union Network for the Implementation and Enforcement of Environmental Law IMPEL on the development and implementation of the IRI.

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Table of content

1. IMPEL Review Initiative (IRI)

1.1   Introduction

The IMPEL Review Initiative (IRI) is IMPEL's peer review tool that has been in use since 2001. The IRI brings together a team of technical experts and professionals that review the processes and procedures of environmental authorities in IMPEL Member countries, to identify good and best practice as well as 'opportunities for development'. These are areas that the review team would recommend improvements based on developments and experiences elsewhere in Europe. An IRI is an informal review and voluntary scheme and not an audit process and is intended to enable the host environmental authority and the Review Team to explore how the authority carries out its tasks. The results of the Peer Review are then presented back to the host in the form of a presentation to senior management and in a final report.

1.2   Background

The IRI was set up to implement the European Parliament and Council Recommendation[1] (2001/331/EC) providing for minimum criteria for environmental inspections (RMCEI), where it states:

"Member States should assist each other administratively in operating this Recommendation. The establishment by Member States in cooperation with IMPEL of reporting and advice schemes relating to inspectorates and inspection procedures would help to promote best practice across the Community."

IRI is intended to enable the host environmental authority and the review team to explore how the authority carries out its tasks, peer review the structure and the operation of performance. The outcome of the peer review is embedded in a report, presented in terms of opportunities for development and good practices to the host and after finalisation published on the IMPEL website.

1.3   Potential benefits of an IRI

Member States that host an IRI will benefit from an expert review of its systems and procedures with particular focus on conformity with the RMCEI. The participants in the review team will broaden and deepen their knowledge and understanding of environmental inspection procedures. Other Member States will benefit through the dissemination of the findings of the review through the IMPEL network.

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[1] https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32001H0331&from=EN

At the same time, EU and national policy makers benefit from the IRI's with relevant evidence base on the strengths and room for improvement of the work carried out by a given environmental authority. This may allow policy makers to take actions, e.g. it may allow national policy makers to assess whether a change of the legal mandate of environmental inspectorates is necessary. Publication of an IRI also provides the public with relevant environmental information.

The potential benefits of an IRI include:

* providing advice to environmental authorities seeking an external review of their structure, operation or performance by experts from other IMPEL member countries;
* encouraging capacity building in environmental authorities in IMPEL member countries;
* encouraging the exchange of experience and collaboration between these authorities on common issues and problems;
* spreading good practice leading to improved quality of the work of inspectors and other officials working within environment authorities and contributing to continuous improvement of quality and consistency of application of environmental law across the EU ('the level playing-field').

2.0   Content of an IRI

Content in Brief

The following is a sample of issues that the review team examine as part of an IRI:
* Permitting activities – Find out the process for issuing, reviewing and revoking permits, sanctions, involvement of the public, charges for permits;
* Criteria and procedures for planning of inspections;
* Execution framework – Find out what provisions, instructions, equipment are in place to enable inspectors and other staff to carry out inspection activities;
* Execution and reporting – Find out how routine and non--routine inspection activities are carried out and reported upon;
* Performance and monitoring - Find out how the environmental authority assesses its performance.

1. Methodology

3.1 How to organize an IRI?

IMPEL has developed an information package[2] (attachment 1) that explains step by step how an IRI is organized. With reference to the information package, the organizational steps can be briefly described as follows:

3.1.1 Getting started

1. Visit the IRI page on the IMPEL website and get in touch with an IRI Ambassador.
2. The Ambassador will contact the applicant and discuss the plans. The Ambassador will help to draft a Terms of Reference (ToR) and appoint a Team Leader and a Rapporteur to the IRI
3. A ToR will be written and presented to the Expert Team and IMPEL General Assembly
4. Identify participants to be invited to the IRI?
5. In advance of the IRI, a 1-day Preparatory meeting will be held. During this meeting the scope of the IRI will be agreed as well as what preparatory work will be needed to be carried out in advance of the IRI review itself.
6. Information will be sent by the applicant to the project team, including a completed "Chapter A" of questionnaire (attachment 2)

3.1.2 During the review

1. Review team will meet the evening before the review starts and will discuss expectations and targets for the review.
2. Review: The team leader will lead the review. He may invite members of the review team to lead on certain sections depending on their expertise. The host may wish to present an overview for sections of the questionnaire to set the scene for the presentations. The review team will discuss the findings at the end of the day and agree on the points of best practice and areas for development. They will briefly discuss this at the beginning of the following day after having had a chance to sleep on what they have learned!
3. A draft report will be written
4. The draft report will be discussed with the review team. Text of chapters A and B are provided by host in such a way that they can easily be included in the report.
5. On the last day of the review a draft version of the report will be discussed with the host.
6. The draft report will be finalised.
7. Presentation of draft report to the host at the end of the project.

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[2] IMPEL Review Initiative, Information Package 2016

3.1.3   After the review

1. Finalise report
2. The report will be presented report to the Expert Team
3. The report will be presented to the IMPEL General Assembly for approval
4. Finalise the financial matters
5. Write an article for the IMPEL website

3.2   Questionnaire

As to methodology, and in addition to 'how to organize an IRI, a tailored questionnaire (attachment 2), which identifies the topics on which the review focuses, is drafted and sent out in advance to the host authority and used by the reviewers.

The questionnaire is designed in a way that the environmental authority is reviewed against the requirements of the RMCEI, IED, SEVESO and the Waste directive. The IMPEL 'Doing the Right Things'Guidance Book[3] for planning of environmental inspections has been used to help structure the questionnaire and the review. The Guidance Book was developed to support Inspectorates in implementing the RMCEI and describes the different steps of the Environmental Inspection Cycle pursuant to the RMCEI.

With reference to the questionnaire, the following segments can be distinguished:
- Part A – Defining the regulatory framework of environmental protection in the IMPEL member country.
- Part B– Permitting activities
- Part C – Performing inspection tasks (Environmental Inspection Cycle)
- Part D – Site visit

Each part has different topics to be considered, as well as questions that need to be answered.

3.3   Composition of the IRI team

The review itself is conducted over several days at the premises of the host authority by a review team consisting of approximately eight IMPEL experts as a broad cross section of the IMPEL network. The experts cover the subjects permitting, inspection, enforcement, policy and legal expertise from different countries, and have relevant expertise in policy, technical and organisational areas. The information package also provides information about the roles and responsibilities, as well as the qualifications of the respective team members.

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[3] https://www.impel.eu/projects/doing-the-right-things-methodology/

3.4 Time consumption and costs

The financial cost (€) of an IRI is relatively low and is approximately € 7000,-. The most significant cost is time resource, for example the staff resource to plan and execute the IRI as a host.

Additional services such as translation and training will increase the costs of an IRI. This represents excellent value for money as all the time given by participants is given for free. Costs of reviews therefore should not be a negative factor when deciding to have a review.

The IRI takes 3 – 3,5 days and follows a standardised process. In addition, 2 days should be calculated for the preparatory meeting.

2. Connection IRI with the Environmental Compliance and Assurance (ECA) Initiative[4]

On 18 January 2018, the European Commission adopted a 9-point Action Plan[5] to increase compliance with and improve governance on EU environmental rules on activities. The actions were aimed to be implemented over 2018-2019 with the help of EU countries and European networks of environmental agencies, inspectors, auditors, police, prosecutors and judges. The various actions are further detailed in a 'staff working document'[6]. IMPEL was invited to carry out important tasks to implement several actions, including the implementation and further development of the IRI. The Commission stated about peer reviews[7]:

'These allow environmental compliance assurance authorities in one Member State to benefit from a review of their structures and practices by compliance assurance practitioners from other Member States. The most established reviews are those conducted under the IMPEL Review Initiative (IRI) which focuses on reviewing and evaluating national environmental inspection systems. The IRI peer reviews provide a useful form of external evaluation but are limited in both the extent of what is reviewed, and the number of reviews undertaken. Not all Member States have yet been subject to an IRI review. To date reviews have largely focused on industrial inspections rather than other types of compliance assurance activities (although latterly the IRI has begun undertaking reviews focused on

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[4] COM (2016), 710 final, Commission Work Programme 2017

[5] https://ec.europa.eu/environment/legal/pdf/COM_2018_10_F1_COMMUNICATION_FROM_COMMISSION_TO_INST_EN_V8_P1_959219. pdf

[6] COMMISSION STAFF WORKING DOCUMENT Environmental Compliance Assurance —scope, concept and need for EU actions Accompanying the document EU actions to improve environmental compliance and governance {COM(2018)10final}; https://ec.europa.eu/environment/legal/pdf/SWD_2018_10_F1_OTHER_STAFF_WORKING_PAPER_EN_V5_P1_959220.pdf

[7] Staff working document, p. 17; https://ec.europa.eu/environment/legal/pdf/SWD_2018_10_F1_OTHER_STAFF_WORKING_PAPER_EN_V5_P1_959220.pdf

nature legislation). Being conducted by IMPEL alone, they have not covered — or not to any large extent — the environmental compliance assurance chain that brings in the roles of police, prosecutors and courts.'

The Commission also stated that should be aimed to increase the benefits by strengthening IMPEL peer reviews through one or more of the following:

- expanded geographical coverage
- expanded subject-areas
- more extensive coverage of the compliance assurance chain (for instance, through involvement of police officers and prosecutors)

The IMPEL network welcomed the European Commission's Communication, 'Delivering a Europe that protects, empowers and defends'[8] and the initiative on stepping up efforts on the application, implementation and enforcement of EU environmental law and drafted a Position Paper[9] from the IMPEL network on 'Environmental Compliance Assurance'. Regarding IMPEL's ambition 'Develop and build capacity in agencies and authorities responsible for implementing and enforcing environmental legislation at national, regional and local (municipal) levels', the Position Paper expresses:

'The IMPEL Review Initiative (IRI) programme will ensure that each peer review is followed with a tailored training package and capacity building workshop to implement the recommendations of the peer review process. The IRI programme will be flexible to ensure the coverage of IMPEL's thematic areas and to ensure other key actors within the compliance and enforcement chain are connected and involved where appropriate.'

3. IMPEL plans and ambitions on IRI for the future

IMPEL has developed plans to reinvigorate the IRI over the years 2019/20 with the aim of having a further step change in delivery from 2021 onwards. IMPEL aims to:

- Carry out four IRIs per year over the next two years before increasing that number again in 2021
- Provide direct support to host organisations to help implement 'opportunities for development' and this will be in the form of direct one-to-one peer-based assistance
- To carry out peer reviews on other 'non-traditional' regulatory regime covering water and nature

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[8] Communication from the Commission on an Action Plan on Environmental Compliance Assurance, http://ec.europa.eu/smart-regulation/roadmaps/docs/2015_env_066_environmental_compliance_assurance_en.pdf, pp.2.

[9] https://www.impel.eu/wp-content/uploads/2017/06/EnvCompliance-Assurance-Position-Paper-IMPEL.pdf

- To promote and help support IMPEL member countries develop 'national' peer review schemes where applicable
- Where relevant, incorporate other actors in the compliance chain e.g. judges, prosecutors and environmental police in the review process
- Develop and run a training programme to increase the number of team leaders and rapporteurs
- Review the IRI template to make it more applicable to policy and permitting functions and to ensure it remains valid for inspectorates; and
- Launch the new IRI template at an IRI conference in 2020, which will also showcase what, has already been achieved by the IRI programme.

4. Output of an IRI and deliverables

The outcome of the peer review is embedded in a report, containing a list of good practice (areas where the review team think the host organisation is doing well) and opportunities for development (areas where the review team feel the host could and should consider making improvements).

5. Relevance to specific themes

The IRI is relevant to compliance assurance and accountability, and particularly to the theme of compliance monitoring, follow-up and enforcement, including the issue of cooperation of environmental authorities in compliance assurance.

Furthermore, the IRI is relevant to complaint handling and improving public information and awareness. It is also relevant to effectiveness and efficiency, and particularly to administrative capacity of environmental authorities as well as, with regard to a Green IRI, to cooperation with relevant civil society environmental organizations.

The publication of the IRI on the IMPEL website makes this peer review scheme relevant also to other themes, particularly in terms of increasing transparency (environmental information) and participation (public confidence).

6. Evaluation

An evaluation from the 7 reviews carried out in 2012 within the IMPEL network by using data and information. The evaluation demonstrates that the IMPEL Review Initiative (IRI) has been very beneficial to the host authorities and that the IRI programme has retained its value and utility as an informal review mechanism

The project has shown as well that implementation of IRI project recommendations, particularly opportunities for development, is a challenge for host authorities for a number of reasons such as lack of senior decision maker support, the language barrier and a lack of time and money.

A workshop in 2017 was used to gather, assess and understand how recommendations made by IMPEL's IRI teams have been implemented over the last few years. The outcome of the previous evaluation was confirmed through this workshop. Although significant improvements have been made to the way in which IMPEL member organisations undergoing an IRI have changed their operations, more attention should be on the implementation of the outcome of the IRI, as well as how IMPEL could support and assist authorities with the implementation.

7. In conclusion

IRI provides important input as far as environmental compliance assurance is concerned, highlighting the reality of daily management processes on the part of a given environmental authority. The findings of the peer reviews are of extreme relevance in terms of subsequent actions for improvement by the hosting authority as well as of related interventions of policy makers. However, the same features of the peer review scheme and the limited number of environmental authorities who hosted the peer review so far, may limit the actual relevance of the findings in terms of spreading good practice across EU environmental authorities due to the role played by the specificities of the host environmental authority. IRI represents a useful framework for the assessment of compliance assurance and administrative capacity, particularly with regard to environmental inspectorates; at the same time, the publication of the finding of IRI makes the peer review scheme relevant to transparency and participation. Encouraging of interaction between the hosting authority and other authorities is to a greater extent relevant.

Attachments

1. IMPEL Review Initiative, Information Package 2016
2. Questionnaire IMPEL Review Initiative (IRI)
3. IRI Team Leaders Checklist

List of abbreviations

EC   –   European Commission

IED   –   Industrial Emissions Directive

IRI   –   IMPEL Review Initiative

NPRI   –   National Peer Review Initiative

RMCEI –   Recommendation Minimum Criteria for Environmental Inspections

TOR   –   Terms of Reference

References

- RECOMMENDATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 4 April 2001providing for minimum criteria for environmental inspections in the Member States(2001/331/EC; Available at: https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32001H0331&from=EN

- IMPEL Review Initiative, Information Package 2016

- IMPEL 'Doing the Right Things'Guidance Book; Available at: https://www.impel.eu/projects/doing-the-right-things-methodology/

- COM (2016), 710 final, Commission Work Programme 2017

- COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS EU actions to improve environmental compliance and governance { SWD (2018) 10 final}; Available at: https://ec.europa.eu/environment/legal/pdf/COM_2018_10_F1_COMMUNICATION_FROM_COMMISSION_TO_INST_EN_V8_P1_959219.pdf

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- Communication from the Commission on an Action Plan on Environmental Compliance Assurance, http://ec.europa.eu/smart-regulation/roadmaps/docs/2015_env_066_environmental_compliance_assurance_en.pdf, pp.2.

- A Position Paper from the IMPEL network on 'Environmental Compliance Assurance; Available at: https://www.impel.eu/wp-content/uploads/2017/06/EnvCompliance-Assurance-Position-Paper-IMPEL.pdf

ANNEX V

Environmental Performance Review (EPR) – United Nations Economic Commission for Europe (UNECE)

An Environmental Performance Review (EPR) is an external assessment of the progress a country has made in reconciling its environmental and economic targets and in meeting its international environmental commitments. EPRs, as conducted by the UNECE, have their genesis in the work of the Organization for Economic Cooperation and Development (OECD).

The EPR programme has been implemented by the UNECE since 1994. Since then, the UNECE has carried out reviews in 16 European economies in transition, including countries of central and eastern Europe and newly in dependent states of the former Soviet Union. Second, or follow -up reviews were conducted in seven countries.

EPRs follow a systematic step-by-step approach and play an important catalytic and advisory role in addressing specific needs and priorities of beneficiary countries in mainstreaming environmental considerations into sectoral policies.

In the context of this preliminary study, the EPR approach and methodology are described and explained.

Acknowledgement

This Annex, commissioned by IMPEL and conducted by a National Peer Review Initiative (NPRI) team, was prepared as a part of a study on a comparison between different peer review or assessment approaches, aiming at developing a peer review approach that can be used by countries and authorities to support them in their improvement.

The NPRI-team acknowledges the work and policies of the United Nations Economic Commission for Europe (UNECE) Environmental Performance Review Programme. A special thanks to Mr. Antoine Nunes, manager of the Environmental Performance Review Programme of the Environment Division, who kindly provided valuable oral and written information and permitted to use the information for the study.

Disclaimer

Although every effort has been made to ensure the accuracy of the material contained in this document, complete accuracy cannot be guaranteed. The authors do not accept any responsibility whatsoever for loss or damage occasioned, or claimed to have been occasioned, in part or in full, as a consequence of any person acting, or refraining from acting, as a result of a matter contained in this document. This document intends as a contribution to development of a peer review instrument within the framework of the IMPEL project National Peer Review Initiative (NPRI).

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Table of content

1. Environmental Performance Review (EPR) – United Nations Economic Commission for Europe (UNECE)[1]

1.1 Introduction and background

An Environmental Performance Review (EPR) is an external assessment of the progress a country has made in reconciling its environmental and economic targets and in meeting its international environmental commitments. EPRs, as conducted by the UNECE, have their genesis in the work of the Organization for Economic Cooperation and Development (OECD). In 1991, the Environment Ministers of OECD launched a programme for environmental performance review to help OECD Member countries improve their individual and collective performances in environmental management.

While the EPRs are mandatory for OECD Member Countries, they are voluntary for the UNECE Member States, and in particular the 'economies in transition', which are not Member Countries of OECD. UNECE has also carried out EPRs for countries outside of its region who showed interest to learn from experiences from other countries.

EPRs are analytical studies prepared by a team of international experts with the participation of relevant domestic government officials, experts and public stakeholders. The studies are a voluntary exercise and carried out only at the request of the country. The EPR programme has been implemented by the UNECE since 1994. Since then, the UNECE has carried out reviews in 16 European economies in transition, including countries of central and eastern Europe and newly in dependent states of the former Soviet Union. Second, or follow -up reviews were conducted in seven countries.

Evaluation demonstrated that the process is a very useful resource on environment and health information for European countries. While the process has been applied so far exclusively in the European context, it could be relevant as a potential tool for leveraging change in countries of the developing world.

The EPRs target mainly decision- and policymakers, but they are also directed to a wider audience (general public, non-governmental organizations (NGOs), academia, business and government at different levels) in the reviewed country as well as in other countries interested to learn from the EPR experience. In addition, EPRs are of interest to donors wishing to know how best to direct their support of countries with economies in transition.

1.2 Main objectives of the EPR programme

The EPR programme is based on the concept of peer review. A peer review conducted within the framework of an international organization can be described as the systematic

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[1] Environmental Performance Reviews: https://www.unece.org/env/epr.html

examination and assessment of the performance of a State by other States in a wide range of policy areas such as economics, international trade and environment. EPRs assess a country's overall environmental and environmental health status, its efforts to reduce pollution, manage natural resources, and implement environmental and environmental health policies.

The ultimate goal is to develop recommendations that help the reviewed State "improve its policy making, adopt best practices, and comply with established standards and principles." A key feature of peer reviews is that they are objective, fact-based assessments of policies in certain area by a team of experts, which gives them credibility and explains their influence.

The main objectives of the ECE EPR programme are:

- To assist countries to improve their management of the environment and associated environmental performance (reduced pollution burden; sustainable development of natural resources) by making concrete recommendations for better policy design and implementation
- To promote the exchange of information among countries about policies and experiences
- To help integrating environmental policies into sector-specific economic policies (such as for agriculture, energy, transport and health)
- To promote greater accountability to other countries and to the public
- To strengthen cooperation with the international community.

1.3   First, Second and Third-cycle EPRs

The EPR programme distinguishes three types of EPR, starting from a baseline EPR (first cycle), followed by an assessment of the progress on implementation (second cycle) and as a third step with the focus on environmental governance, financing and international cooperation. The following three types should be mentioned:

First-cycle EPRs established baseline conditions regarding trends, policy commitments, institutional arrangements and routine capabilities for carrying out national evaluations.

Second-cycle EPRs assessed progress and helped to stimulate greater accountability. Emphasis was placed on implementation and financing of the environment policy, integration of environmental concerns into economic sectors, and promotion of sustainable development. Second reviews focus on particular problems identified in the country and on the implementation of the recommendations in the initial (first) review.

Third-cycle EPRs include environmental governance and financing in a green economy context, countries' cooperation with the international community and environmental mainstreaming in priority sectors.

Second and third EPRs are carried out when sufficient progress has been made in implementation of the recommendations and when second generation problems occur. In general, this is about five years after the first review.

1.4   Management EPR

EPRs are carried out by the EPR Unit in the Operational Activities and Review Section (OARS) of the Economic Commission for Europe (ECE) Environment Division. This Unit works with experts in other ECE divisions and other international organizations, as well as with member States.

Each EPR project is managed on the basis of an implementation plan prepared by the ECE EPR secretariat in cooperation with the receiving country. The key challenges are to ensure that all relevant activities are implemented during each phase, that the outputs are delivered in time and that the whole project is carried out in a cost-effective way.

1.5   Funding and costs of the EPR Programme

The core secretariat for the EPR programme is provided by ECE. The operational budget for the activities carried under the EPR Programme completely depends on funds provided by donors directly to the EPR Trust Fund or through contributions in kind, mostly in the form of country experts provided by donors or international organizations.

The requirements in extrabudgetary funding for the review of <u>any</u> given country may range between USD 100,000 and 200,000, depending on a number of factors, such as mission costs, number of chapters, availability of country experts and fluctuations in currency exchange rates. This cost requirements cover the preparatory mission, fact-finding mission, consultancies, participation of representatives from the countries under review in the meeting of the ECE EGEP and the Peer Reviews that take place during the sessions of the CEP, the launch event and the translation and printing in local languages.

2. EPR: a stepwise approach[2]

The process of carrying out an EPR can be divided into six major phases. Each phase consists of a number of activities to be completed and outputs to be achieved by various actors:

1. <u>Preparation</u>, including a preparatory mission to agree with the country on its EPR structure, development of the terms of reference (ToR) assembly of a review team of experts.

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[2] https://www.unece.org/environmental-policy/environmental-performance-reviews/review-process.html

2. <u>Review Mission</u>, by an expert team that travels to the country under review and meets with representatives of the government at national and local levels, NGOs, academia, the private sector the international community.
3. <u>Expert Review</u>, by the ECE Expert Group on EPRs.
4. <u>Peer Review</u>, the member States in the Committee on Environment Policy (CEP). The peer review concludes with the adoption the EPR recommendations. The reviewed country commits to implementing the adopted recommendations.
5. <u>Publication of the report</u> by the ECE secretariat.
6. <u>Launch of publication</u> organized to present the EPR findings to the governmental authorities, international community, NGOs and other stakeholders.

A table with the main phases of the EPR, the main activities and duration is included in attachment IV of this report.

2.1   Ad 1. Preparation

The main goals of the preparation phase are to define the scope of the review. Usually this is done during a preparatory mission in collaboration with the country to be reviewed. In this phase also the EPR review team will be established. Furthermore, relevant documentation and data will be collected so that the EPR review team is well informed about environmental challenges and environmental policy in the country. The preparatory phase contains amongst others the following activities:

2.1.1   National coordinator

The effectiveness of the preparatory phase depends significantly on close cooperation with the country reviewed. A first important step is the nomination of a national coordinator in the national environmental authority who liaises with the ECE EPR secretariat on all major issues during the whole EPR process.

The national coordinator is in almost all cases a person of adequate seniority with professional quality and experience to support the mission. Good communication and communication channels and sound governance are essential for a successful EPR.

2.1.2   Preparatory mission

After the decision has been taken to carry out an EPR, a preparatory mission is organized. In general, such a mission is scheduled for two to three working days. It takes place, in general, some 3 to 4 months before the review mission. Before the mission and in consultation with the country to be reviewed, a draft implementation plan for the whole EPR process is developed. The plan indicates the dates for each of the major steps in the process and the roles and responsibilities of the major actors involved.

The main objectives of the preparatory mission are to:

- inform the decision-makers and national experts about the EPR process and roles and responsibilities of the country under review;
- consult with national experts to better understand environmental challenges in the country;
- consult and agree with the Government on an outline of the EPR, which specifies the main issues and the various chapters of the report;
- discuss the implementation plan with the Government, notably as regards the dates of the review mission, the peer review as well as the launching of the report.
- start collecting documentation and data that are relevant to the major issues to be covered by the EPR;
- agree with the Government on relevant documentation and data to be submitted to the ECE EPR secretariat by a specific deadline after the preparatory mission.

After the preparatory mission, the ECE EPR secretariat finalises the implementation plan and returns it to the country (responsible national authority) to be reviewed, together with the agreed structure (chapters) of the review.

2.1.3   National focal points

Besides the nomination of the national coordinator for the EPR, the nomination for each chapter of the report of a national focal point is important. This because of the variety in subjects of the EPR. The national focal point will be the main counterpart to the expert of the EPR review team for a specific subject.

The tasks, duties and responsibilities of the national focal point include:

- setting aside sufficient time for consultations with members of the EPR review team;
- preparing written answers to questionnaires submitted before the review mission;
- helping international experts to meet with other relevant national experts;
- after the mission, helping to clarify outstanding issues and providing comments on the draft report.

During the preparatory phase of the process, the country should have nominated all national focal points for each of the EPR review chapters. This will safeguard an efficient and effective cooperation with the corresponding member of the EPR review team.

2.1.4   Establishing the EPR review team

Once the structure and date of the EPR has been agreed, the ECE EPR secretariat puts an EPR review team together. This involves the organization of finances, as well as allocating competent experts to the EPR. Most EPR review teams consist of experts provided by ECE Member States and international organizations, staff members of ECE, and consultants. The aim is to establish the review team 2-3 months before the EPR review mission.

The EPR review team is assisted by guidance through a 'Manual for international experts' (attachment III) and includes:

- the purpose of the review
- the kind of output expected from the experts
- the drafting process and the structure of the chapters
- the conduct of the review mission
- deadlines for submission of the chapter to the ECE EPR secretariat after the review mission.
- the writing style (Attachment I)

2.1.5   Team members and reporting

The team is designed in a way that each member of the EPR review team is given a specific responsibility through TORs for a (number of standard) chapter to be produced for the report. These indicate the major and special issues of importance to be covered and the thematic sequence and structure of the chapter. The aim is to define a general framework for the exploratory work to be accomplished and indicate major areas that should be explored. Experts are to make some adjustments to the proposed structure of the chapter, reflecting specific problems in their area and in the light of information and data collected and studied by them.

2.1.6   Collection of information and data

Collecting and analysing relevant data and information material in advance of the review mission are essential elements of the preparation process. Data and information are collected from various sources, such as various national Governmental sectors, NGOs, international organizations and academic research. Each expert will then become familiar with existing environmental challenges, as well as the legal and institutional framework for environmental policy and other relevant facts.

The responsibility for collecting the relevant information material in lies at each member of the EPR review team. Support by the country in this preparatory work in supplying documentation on relevant policy, legal and regulatory instruments, and other official documents and data is of utmost importance. It is conditional for the overall efficiency and effectiveness of the review mission that the information is timely sent to the ECE EPR secretariat.

As a next step each member of the EPR review team prepares a questionnaire (Attachment II) on specific issues that are of particular interest for her or his chapter. The information gathered provides important guidance and substance to the actional review mission and reporting. The questionnaires to be drafted by the experts should be forwarded by the ECE EPR secretariat to the country 4-6 weeks before the mission. Translation in the national language is important.

2.1.7   Planning of meetings with local experts during the review mission

An important source of information are the local experts on a range of topics. To approach this in an efficient way, the members of the EPR review team prepare, a list of questions they want to discuss with experts of the national authority responsible for environment policy and management, as well as with other governmental and non-governmental bodies in the country. The national coordinator plays an important role in transferring the questions to the respective authorities and in timely gathering the information. The ECE EPR secretariat facilitates this by sending the questions to the national coordinator and monitors this part of the process.

Important to mention is the development of a leaflet or brochure for distribution to interviewees during the review mission. The helpful information explains the EPR process, indicates the various elements of the review and chapters of the report.

2.2   Ad. 2   Review mission

The main objective of the review mission is to make an independent and unbiased evaluation of the environmental performance. The EPR review team members meet in this step of the process with experts from central and local governments, civil society, academics, foreign assistance organisations operating in the country, etc. If needed, also field visits can be performed if this adds value to the review.

2.2.1   Plenary meeting

On the first day of the review mission a plenary meeting with participation of all national experts involved in the review and members of the EPR review team will be held. The national experts make presentations to the review team on major environmental challenges and issues, the current state of environmental policy and laws and legislation where it is based on. This is an important first occasion for the EPR review team members to understand how well informed they are about the environmental situation and environmental policies. It also contributes to get familiar with key contacts.

2.2.2   Meetings with and involvement of NGOs and international organizations

The EPR approach encourages to actively involve non-governmental organizations (NGOs) in the EPRs. Plenary meetings with NGOs are part of the official EPR Programme. In particular during the first week of the review mission meetings are organized with representatives of environmental NGOs, international community of donors and international institutions which are based in the country under review. These meetings are organized in close cooperation with environmental authority, who often deals with preparing and sending out invitations. NGOs are also given the opportunity to comment on the draft report, upon consent of the respective Government. In general, NGOs can play a role in future advocacy

efforts directed towards a more sustained involvement of ministries in the EPR process and in supporting the implementation of EPR recommendations.

2.2.3   Consultations with national experts

During the review mission direct consultations – individual or small group meetings – are held with national experts. The main emphasis of these meetings is the assessment of environmental performance and gathering factual information (fact-finding) in addition to the information as gathered by the questionnaires. Also cross-checking of information and draft findings can take place.

2.2.4   Teamwork and coordination

During the review missions, a daily wrap-up meeting of the team is held at the end the working day. These meetings aim to exchange information on progress made and challenges encountered by the EPR review team members. Furthermore, it helps to coordinate and plan forthcoming meetings with various national experts.

At the mid-point of the mission, a full day meeting of the review team is held where each team member presents the progress achieved, existing information gaps and possible directions of recommendations to be made in the EPR. These presentations facilitate discussions among the team members and result in sharing comments and suggestions. It also avoids overlap between the different chapters and it safeguards the attention for cross-cutting issues of interest for other or of draft report

2.3   Ad 3.   Expert Review

In this phase of the process a complete draft report will be prepared and submitted in time for the expert and peer reviews. After the review mission, the EPR review team members are tasked to prepare a draft of their specific chapter and send it to the ECE EPR secretariat within about three weeks.

After complete editing, the complete draft is sent for expert review carried out by an expert group. The UNECE mentions that 5-6 months after the country mission were needed for producing the complete draft report to an expert group of the ECE who has the authority for a detailed review of the assessment of environmental performance and associated recommendations as produced by the review team. The complete draft report is also sent to the reviewed country for comments and corrections of factual information.

The main focus of the expert group is on the recommendations contained in the report. Each of the experts acts as lead discussant for a particular chapter. The reviewed country is represented at the meeting by a small delegation and has an opportunity to comment on the assessment and recommendations proposed. Recommendations will not be finalized before the country delegation has provided its consent.

2.4   Ad. 4   Peer review

The results of the expert review are presented to the Committee on Environmental Policy (CEP) by one of the members of the ECE expert group. At this occasion a high-level representative of the reviewed country then presents the most recent developments of significance in the country, as well as its main environmental challenges, priorities and adopted policy measures. Members of the Committee use that opportunity to provide comments on the report, ask questions, and share relevant experiences from their own country. They also have the opportunity making suggestions how certain challenges in the reviewed countries could possibly be (better addressed). The peer review concludes with the formal adoption of the recommendations made in the EPR.

2.5   Ad. 5   Publication of the report

All EPR reports are published in English and uploaded on the EPR's website, approximately 3-4 months after the peer review. Once the report is available, the report is usually launched in the reviewed country and presented to all organisations who were involved in the peer review and/or have interest in the outcome of it.

2.6   Ad. 6   Launch of publication

Once the print version of the report is available, the report is usually launched in the capital of the reviewed country. The organization of the launch event and its format are discussed and agreed with the Government.

The ECE issues a special press release on the occasion of the launch of the report. Such an event usually takes place on average 6 -12 months after the publication. The publication of four of the countries covered in this paper were completed in or before 2011: Uzbekistan, Georgia, Azerbaijan, and Bosnia and Herzegovina. Only two of them have organized launch events in close cooperation with ECE EPR secretariat.

Typically, the launch event includes

- a press conference with high-level Government representation;
- a presentation by ECE EPR secretariat of the main findings of the report to national experts as well as experts from other institutions present in the country (international organizations; embassies; foreign assistance organizations, academia, etc.).

3.0   Impact on the implementation of the outcome of an EPR

In conducting an EPR several interconnected challenges are identified that impact the implementation of EPR activities in all beneficiary countries to varying degrees. The process is regularly evaluated by the UNECE[3,4]. The following observations can be mentioned in this regard:

- Changing political circumstances: Changing political situation in the reviewed countries make it difficult to implement the EPR process and ensure continuity of commitments to the EPR process and implementation of its recommendations.
- Environment's low priority in the national development agenda: Almost in all beneficiary countries environmental issues showed to be a low priority and the national environmental authorities do not have a strong position.
- National counterparts are often unable to meet deadlines: This is a quite common challenge in relation to deadlines established for the completion of country specific questionnaires distributed prior to EPR review mission.
- Variations in institutional and individual capacities in countries participating in EPR: Several countries demonstrate limited capacity to effectively participate in all phases of the EPR process. National authorities in those countries do not have enough human resources to support the EPR review missions and in several cases the staff assigned to support the EPR process had limited capacity to adequately respond to the needs of EPR review teams.
- Sharing information and expertise among different stakeholders/authorities in beneficiary countries, as well as with EPR mission team: In some countries the EPR process can be an opportunity for good inter-sectoral communication and collaboration, but neither the coordinating environmental authority nor any of the ministries/authorities from participating sectors was able to fulfil this responsibility properly. It is quite challenging for EPR review teams to receive all the data/information required on time given the lack of access and even reluctancy of authorities to release data even if available.
- Cultural and language differences.

Environmental authorities of the recipient countries are keen to participate in EPR process. In most cases the outcomes of the work are well 'owned' at the technical expert levels.

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[33] EXTERNAL INDEPENDENT EVALUATION OF ENVIRONMENTAL PERFORMANCE REVIEW PROCESS BASED ON REVIEWS CARRIED OUT INTHE PERIOD2015–2019
https://www.unece.org/environmental-policy/environmental-performance-reviews/evaluations.html

[4] Self-Evaluation Report Assessment of procedural steps for the preparation and conducting of the environmental performance reviews; Operational Activities and Review Section Environment Division, 2012; https://www.unece.org/fileadmin/DAM/env/epr/Self-evaluation/EPR_Self_Evaluation.English.pdf

However, the level of 'ownership' at political and decision-making levels varies depending on current political and economic priorities.

Taking the observations from the evaluation into account, the following observations and conclusions are as well very relevant:

- EPRs play an important catalytic and advisory role in addressing specific needs and priorities of beneficiary countries in mainstreaming environmental considerations into sectoral policies.
- Principal challenges or obstacles to achieving the objectives of the EPR activities, which were faced in some beneficiary countries, were: changing political directions, low profile attached to environmental agenda, limited institutional and individual capacities, and information sharing barriers.
- The overall sustainability and ownership of the EPRs in the reviewed countries is partial. The EPR unit has limited capacity for accompanying countries in follow-up and implementation of recommendations. In recent years, the EPR unit started to provide assistance to the reviewed countries in implementation of recommendations.
- The impact of EPRs is partial. Nevertheless, in many countries positive results leading to new policies or policy changes in the beneficiary countries were achieved.
- Technical cooperation workshops strengthen the beneficiary countries capacities in the implementation of the EPR recommendations.

4.0 'Peer learning' as an additional positive effect of an EPR[5]

EPRs are increasingly recognized as an instrument for peer learning, in addition to be a peer review mechanism. Whereas peer review takes place closer to the end of the EPR preparation process, namely during the discussion of the draft EPR report by the UNECE Committee on Environmental Policy, peer learning takes place during the following stages in the EPR preparation process:

4.1 Review mission:

During the review mission, the review team visits the country under the review. The review team is composed of experts provided by various countries and international organizations. The review team holds numerous meetings with governmental officials and other actors in the country under review. During these meetings, exchange of knowledge, experience and best practice takes place. While the core purpose of the review mission is to evaluate the performance of the country under review, experts from the review team also learn and gather experience and knowledge that are useful and often applicable to their countries. This peer-to-peer exchange inspires further contacts and collaboration.

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[5] https://www.unece.org/environmental-policy/environmental-performance-reviews/peer-learning.html

4.2   Expert Review:

During the review of the draft EPR report by the Expert Group on EPRs, expert representatives of countries from various parts of the UNECE region discuss the EPR report together with the delegation of the country under review. Emphasis is made on providing the country under review with useful recommendations, tailored to its needs and capacities. During the meeting, experts share what works and does not work in their countries in order to come up with solutions for improving the situation in the country under review. The learning goes both ways and opportunities for further cooperation, projects and networking are identified.

4.3   Peer Review:

During the session of the Committee on Environmental Policy, delegations from all UNECE Member States discuss the draft EPR report together with a high-level representative of the country under review. The high-level representative has the opportunity to point out the priorities of the country and ask for various types of assistance (knowledge, technology or technical assistance), which is necessary for implementation of EPR recommendations. Other governments comment on the issues described in the report and share their experience on solutions found in their countries. In addition, roundtable or other discussions are regularly organized during the Committee's sessions to promote further exchange of experience and peer learning on the basis of EPRs.

4.4   Publication and launch:

EPR publications are widely disseminated and available online, so that everybody could benefit from the information therein. When the country under review organizes a launch of its EPR report, embassies and cooperation partners are invited to the launch event in order to stimulate collaboration and follow-up to the recommendations of the EPR report.

5.   Attachments

I.   Explanatory note on drafting process
II.   Example of a questionnaire
III.   Manual for international experts
IV.   Table with the main phases of the EPR, main activities and duration

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List of abbreviations

- CEP – Committee on Environmental Policy
- ECE – Economic Commission for Europe
- EPR – Environmental Performance Review
- IMPEL – European Union Network for the Implementation and Enforcement of Environmental Law
- NGO – Non-Governmental Organisation
- UNECE - United Nations Economic Economic Commission for Europe
- TOR – Terms of Reference

References

- UNECE, Environmental Policy in Transition: Lessons Learned from Ten Years of UNECE Environmental Performance Reviews, Economic Commission for Europe, Committee on Environmental Policy, Unpublished Draft, October 2002. Available at: http://www.unece.org/fileadmin/DAM/env/epr/documents/0331979_eng.pdf
- UNECE Environmental Performance Reviews Programme (http://www.unece.org/env/epr).
- Peer Learning: https://www.unece.org/environmental-policy/environmental-performance-reviews/peer-learning.html
- EXTERNAL INDEPENDENT EVALUATION OF ENVIRONMENTAL PERFORMANCE REVIEW PROCESS BASED ON REVIEWS CARRIED OUT INTHE PERIOD2015–2019; Available at: https://www.unece.org/environmental-policy/environmental-performance-reviews/evaluations.html
- Self-Evaluation Report Assessment of procedural steps for the preparation and conducting of the environmental performance reviews; Operational Activities and Review Section Environment Division, 2012; Available at: https://www.unece.org/fileadmin/DAM/env/epr/Self-evaluation/EPR_Self_Evaluation.English.pdf
- EPR, a stepwise process. Available at: https://www.unece.org/environmental-policy/environmental-performance-reviews/review-process.html

Attachment I

Explanatory note on the drafting process

United Nations Economic Commission for Europe - Third Environmental Performance Review of …………
Explanatory note on the drafting process

This explanatory note is an integral part of the Terms of References for all chapters.

Drafting process

The UNECE secretariat will provide EPR-team members with some materials and information relevant to the EPR of the country under review. Nonetheless, the team member (international expert) should undertake collecting additional data and information from open and reliable sources and Internet. The designated national focal point(s) for the chapter will assist with providing relevant data and information as well as with establishing a schedule of interviews in the country with, when appropriate, governmental officials, NGOs, international community and business. However, it is finally the international expert who must ensure, through the review mission and direct communication with the national focal point, that s/he has all of the materials and information necessary for the preparation of the chapter.

To facilitate the drafting process, the international expert is expected to prepare a questionnaire to be sent to the country. The international expert should prepare a preliminary draft chapter prior to the review mission to the country. The draft should help identify data and information gaps and inconsistencies together with areas whether further analysis is needed during the mission. Special attention should be given to statistical data requirements.

Structure and content of a given chapter

The international expert is expected to follow the outline as defined by the UNECE secretariat for a given chapter described in the attached ToR. The chapter should provide, for each topic covered, (1) a description of the development of the issue within the country during the period covered by the EPR (from 2010 until now), (2) an assessment of its current status, and (3) an evaluation of environmental performance, especially in terms of achieving the objectives set by the country itself.

Every effort should be made to avoid merely summing up policies, strategies and laws or providing long lists of policy and legal elements without comment. Rather, it is important to describe and clarify the relationships among the various policies, strategies and laws, and assess their effectiveness.

A clear distinction should be made between intentions, achievements and areas for progress. Experts should try not to mix facts and assessment; every topic starts with a factual description, which should fully substantiate the assessment.

A chapter ends with the section "Assessment, conclusions and recommendations". The assessment should synthesize the key findings of the chapter with regard to the progress made by the country and the remaining challenges. Up to 5 recommendations are sufficient. It is important that no new information is provided in this section, as conclusions and recommendations should follow logically from the facts and assessments described in the core text. Recommendations should also be as concise as possible, and be concrete, measurable and realistic. The lists of recommendations or numerous bullet points should be avoided. Each recommendation indicating to whom it is addressed, should be preceded by a brief explanatory text that will justify the corresponding recommendation.

The international expert is expected to prepare a separate section or one or several boxes devoted to SDGs relevant for a given chapter. Depending on the available information and data and the national situation, the selection of goals and targets could be adjusted, and goals and targets could be clustered or prioritized. In the section or box, the international expert is expected to address: (a) the existence of an enabling framework and resources for achieving the goals and/or targets, and (b) progress towards achievement of the goals and/or targets. In the section on assessment, conclusions and recommendations, the international expert is encouraged to provide recommendations on how to foster the progress towards the achievement of the goals and/or targets.

Questionnaire, appointments and interviews

The international expert is expected to prepare: (1) a questionnaire to be sent to the country in order to obtain and/or clarify information needed for preparation of the chapter; (2) a list of meetings and institutions to visit in the country during the review mission. The list of meetings can include proposed field visits. Questionnaire and request for meetings and field visits should be sent to the UNECE secretariat within the established deadline (see below). Generic questionnaires for most chapters were prepared by the UNECE secretariat and will be shared with the expert to assist in the preparation of the questionnaire.

Each international expert will be teamed with a national designated counterpart (national focal point). The focal point will help the international expert during the review mission with

the collection of information and the arrangement of appointments with officials, institutes and organisations.

Submission of a chapter

After the review mission, the draft chapter has to be sent by email to the UNECE secretariat within the established deadline (see below). No exceptions can be made to this deadline. The UNECE secretariat will review and discuss the chapter and, if necessary, return it to the expert with requests for clarifications or additional information. Revision of the chapter should be completed within the established deadline (see below).

The intergovernmental Expert Group on Environmental Performance Reviews and a delegation of the reviewed country will discuss conclusions and recommendations drawn in the report. The UNECE Committee on Environmental Policy will carry out a peer review with the reviewed country, based on the EPR-report. It will adopt the EPR recommendations to the country.

Formatting style

The style of writing should be concise (to the point) and precise. In their drafting, experts should also use active voice as much as possible.

Language

The chapter should be written in <u>English</u>. Editing will be done by the UNECE secretariat.

At a later stage, experts with the knowledge of the Russian language will be requested by UNECE secretariat to proofread the Russian translation of their chapters.

Length

The chapter should be of some 15-18 pages, including graphs and tables.

Format

The chapter should be delivered in a WORD file, font "Times New Roman", font size 11; single line spacing; no formatting (bold, italic, etc.), as this will be done according to UN standards. Write abbreviations at least once in full.

Figures and tables

The figures and tables should be provided in a *separate* EXCEL file. Ensure that data used for the graphics and figures are included in the EXCEL file. Always indicate sources of the data

(author, name of the book, or report and year of publication). Do not incorporate the figures and tables into the text: just indicate by relevant titles and sources where they should be placed in the text. An explanation and analysis of the tables and figures should be provided in the text. Do not copy and paste any charts or figures as the secretariat will need data for all charts and figures since those are redrawn to the UN standards.

Acknowledgements

The expert should provide in a *separate* file names (gender, first name, last name) and related-institution of national experts who really contributed to the preparation of the chapter.

References (sources)

Experts should provide in a *separate* file reference lists of materials used for the drafting such as books, e-books, publications, UN publications and documents, Government publications, working papers or research reports, articles, online databases, unpublished papers and public statements.

Implementation of recommendations of the previous EPR

In a separate file, experts should provide information on implementation of the recommendations of the previous EPR, as assigned to them by UNECE secretariat. For each past recommendation, assessment should be made as to whether this recommendation was fully/partially/not implemented, and a brief explanatory text should be provided.

Timeframe

The following timeframe should be respected:

Action	Deadline
Questionnaires, detailed requests for interviews and for field visits be sent to UNECE secretariat	……….
Review mission to the country, excluding travel	……….
Submission to the UNECE secretariat of: -Chapter, including excel file with figures and tables -Acknowledgements (people interviewed) -References (sources) -Implementation of recommendations of the previous EPR	……….
Revision and finalization of the chapter after the receipt of comments from the UNECE secretariat	……….

Questionnaire
Chapter on regulatory and compliance assurance mechanisms

Institutional framework

- What is the overall governance structure for environmental regulation / compliance assurance – horizontally and vertically? How are environmental permitting, inspection, and law enforcement functions organized across the different institutions at national and sub-national level? Please refer to both pollution control and nature protection fields.

- How the structure of environmental enforcement system has evolved since the previous EPR?

- Do the environmental enforcement authorities have sufficient resources to carry out their mandate? What is the number of currently operating staff? How are the resource requirements assessed?

- What is the role of the main authorities with responsibilities in the field of environmental regulation? How is interaction between different authorities organised, including as regards planning of activity?

- What are the relevant responsibilities of the sub-national level authorities? Do they carry inspection/enforcement functions?

Regulated community

- Is the regulated community identified and profiled accurately? (In other words, do the environmental enforcement authorities have a clear understanding of who are the subjects of control?) What procedures and tools exist in support to the identification of the regulated community?

Project-level assessment

- What is the scope of the Environmental Impact Assessment (EIA)? What parties are involved? How is the EIA process organised?

- How transparency of the EIA process is ensured? What are the procedures for public information and consultation?

- What is the number of EIAs carried out since previous EPR and for what kind of projects? *Please provide annual statistics* on the projects going through different EIA phases: screening, scoping / preparation of EIA report, positive/negative decisions on EIA reports).

- How is transboundary EIA organised? Is there experience in transboundary EIA?

Environmental permitting and licensing

- How is the environmental permitting organised? What kinds of permits exist? What are the authorities with responsibilities in environmental permitting? How the legal framework for permitting evolved since previous EPR?

- What is the scope of integrated permitting? Have the subjects of integrated permitting been identified? What are the numbers of IPPC installations and of IPPC permits issued?

- How are facilities that are NOT subject to IPPC permits regulated?

- *Please provide statistics* on the number of media-specific and other environmental permits issued since previous EPR (e.g. water permits, waste and hazardous waste management permits, nature resources use permits, permits for export/import of radioactive materials, ODS, chemicals, etc).

- What are the provisions for permit revision and permit withdrawal?

- How is the transparency of permitting ensured?

- How cooperation is organized with inspection authorities (e.g. information on permits, feedback on inspections)?

- What regulations exist on emission standards? Are there specific sectoral environmental norms defined (e.g. for energy sector, chemical or metallurgical industry)?

Compliance promotion and voluntary initiatives

- Is a mechanism established to assist the regulated community to understand and comply with the environmental requirements?

- Are there any initiatives undertaken by the environmental enforcement authorities towards promotion/implementation of Environmental Management Schemes in enterprises?

- How many companies are certified in ISO 14000 or other voluntary schemes?

- Are there any examples of corporate social responsibility practices?

- Is the environmental labeling applied?

Compliance monitoring (inspection) and reporting *(please cover both environmental inspections, as well as water, forestry and nature protection inspections if separate)*

- What mechanisms are used to verify compliance (e.g. site visits, requests for information, etc.)? *Please provide related statistics.*

- Is the regulated community required to conduct mandatory self-monitoring and report its results to the authorities? *Please provide related statistics.* Do enterprises have Environmental Management Plans and is their content binding or not?

- What are the procedural requirements to conduct inspection? What types of inspection are used, e.g. planned/unplanned; announced in advance or without announcement; integrated or media-specific?

- Are there inspection guidelines and manuals? Is the EC "Recommendation on minimum criteria for environmental inspections" used as a reference?

- What are the procedures for reporting on an inspection?

- Are there (annual) plans for conducting environmental inspections? Are they open to the public?

- Is there a risk based and operator performance based classification of industrial sites being used for planning inspections? Is an emissions database (polluters register) available as a planning instrument?

- Are there joint inspections (with other authorities)? Are those planned or ad hoc inspections?

- What is the number of staff involved in inspections? What is the number of environmental inspections carried out per year (in the period since previous EPR)? What is the ratio between planned and unplanned inspections? *Please provide related statistics.*

- How cooperation is organized between the environmental enforcement authority and other enforcement authorities (e.g. with the police)?

- How is the system of nature protection inspection organized?

Enforcement tools

- How wide is non-compliance among the members of the regulated community? (What part of the checked subjects is in breach of law?) What are the roots of non-compliance?

- *Please provide the statistics* on the environmental enforcement activity since previous EPR including: (i) inspectors' decisions; (ii) administrative proceedings initiated; and (iii) criminal proceedings filed. Include also other indicators of inspectors' work used in the country.

- Please, provide data about the payments (non-compliance fines, damage compensations) per year as a result of inspections. Are these payments channelled to the state budget?

- How many are the cases of suspension of the operation or closure of installations?

- What is the procedure for criminal enforcement? *Please provide statistics* on the use of criminal enforcement in the environmental sector.

- Does an appeal mechanism exist? How is it working? *Please provide related statistics.*

- What is the procedure for dealing with citizens' complaints? How many complaints are filed annually?

- Please provide information on the environmental liability, insurance and compensation mechanisms.

Organisational aspects

- How is the environmental enforcement authority's performance measured?

- What accountability and transparency mechanisms exist? Is inspectors' integrity an issue?

- How the inspectors training needs are determined? Does the environmental enforcement authority succeed in building specialized expertise (given the variety of legislation it has to enforce)?

- How is the environmental enforcement authority involved in international cooperation?

Sustainable Development Goals

For each of the SDGs targets: **12.6**

please provide information on:

- Enabling framework (which institution is responsible; if new institutional structures and/or offices have been created/are envisaged, including coordination mechanism and stakeholder participation);
- Resources needed and allocated (namely financial and technical assistance planned or already received for implementation);
- Means of implementation (policies and measures planned or already being implemented, including but not limited to laws and regulations and their current stay of play);
- Elements particularly relevant in adapting the goals and targets to the national context;
- Obstacles experienced and/or perceived in their implementation and compliance;
- Concrete results already achieved or envisaged.

The expert is expected to prepare a separate section or box devoted to SDGs relevant for the chapter. Depending on the available information and data and the national situation, the selection of goals and targets could be adjusted, and goals and targets could be clustered or prioritized. In the section or box, the expert is expected to address: (a) the existence of an enabling framework and resources for achieving the goals and/or targets, and (b) progress towards achievement of the goals and/or targets. In the section on assessment, conclusions and recommendations, the expert is encouraged to provide recommendations on how to foster the progress towards the achievement of the goals and/or targets.

Attachment III

MANUAL FOR INTERNATIONAL EXPERTS
SECOND REVIEWS

The Overall Context

When writing the assessment, it is important to know to whom the assessment is addressed (the audience), its purpose and the expected output.

The Audience: The Environmental Performance Review report is addressed primarily to decision makers in the government administration, but also to donor countries, International Financing Institutions (IFIs), Non-Governmental Organisations (NGOs), and the business sector. When writing the assessment, adjust the style and tone to this audience.

The Purpose: The purpose of the assessment is threefold:

- To assist countries in transition to improve their management of the environment by establishing baseline conditions and making concrete recommendations for better policy implementation and performance,
- To promote a continuous dialogue among ECE member countries by exchanging information about policies and experiences, and progress in the current transition period, consistent with the overall objectives of the Pan European region (see: http://www.unece.org/env/europe/welcome.html);
- To integrate environmental policies into sectoral policies.

Expected Output from the Expert: The immediate output of the Environmental Performance Review mission to the reviewed country is the drafting of the Environmental Performance Review report, including recommendations (See details below). Subsequent to this, the UNECE Committee on Environmental Policy will conduct a Peer Review with the reviewed country, based on the report of the Environmental Performance Review.

Each expert prepares a chapter for the Environmental Performance Review. Each of these chapters is critical to the overall review process. It should be prepared as detailed below, in a timely manner and consistent with the overall purpose of the EPR programme.

The structure of a **second Review** generally includes a broad assessment of developments since the preceding comprehensive EPR, as well an analysis of the current situation and of a

few selected issues that are topical and critical for the environmental management of the country. The structure includes three parts:

- Policy making, planning and implementation in environmental management;
- Mobilizing financial resources for the environment; and
- Integrating environmental concerns into economic sectors and promoting sustainable development.

The Drafting Process

Preparation of the chapters is the responsibility of the respective experts. The secretariat will assist to the extent possible in providing the expert with information that is collected from a number of sources, with overall guidance and with logistical support during the missions. The country focal points will assist also with providing information as well as with establishing a schedule of interviews in-country. However, it is finally the expert who must ensure, through the mission and direct communication with the focal point, that she/he has all of the materials and information necessary for preparation of a chapter.

Draft chapter: The ECE Secretariat provides each expert with the <u>outline for his/her chapter</u> and with whatever documents may be collected in advance, including detailed information about the environmental issues in the country to be reviewed. The expert is expected to collect further information and, based on the outline, prepare a draft chapter prior to the mission. The draft should include formulated questions on the information needs that the expert wants to resolve during the mission. Special attention should be given to statistical data requirements. The draft should be sent to the Secretariat no later than two weeks before the review mission.

Chapter Structure: The chapter should cover the outline as defined by the secretariat and possibly modified after discussion between the expert and the secretariat. The chapter should provide, for each topic covered, (1) a description of the development of the issue within the country since the first review, (2) an appraisal of its current status, along with (3) relevant policy objectives and responses. This assessment should be put in the context of the "Environment for Europe" process (EfE, e.g. EECCA Strategy), the transition process and, where applicable, the EU enlargement process. It should contain an evaluation of environmental performance, especially in terms of the objectives of the country itself, and discuss the obstacles to progress, the main impacts on the environment and, where possible, on the economy.

Every effort should be made to avoid merely summing up policies, strategies and laws or providing long lists of policy and legal elements without comment. Rather, it is important to describe and clarify the relationships among the various policies, strategies and laws, and explain what they really mean in the context of the country under review.

A clear distinction should be made between achievements and areas for progress, and between intentions, actions and results. Try not to mix facts and assessment; every topic starts with a factual description, which should fully substantiate the assessment.

The chapter ends with conclusions and recommendations. It is important that no new information is provided here, as conclusions and recommendations should follow logically from the facts and assessments. Each recommendation should be preceded by a brief introductory text that will justify the corresponding recommendation. Between 4 and 6 recommendations are sufficient.

Each recommendation should indicate to whom it is addressed. Recommendations must be concrete, measurable and realistic. They also should be as concise as possible.

Special Web site: A special website is available with information about the reviewed country and links to relevant Internet websites [http://www.unece.org/unece/env/epr/experts/country]. A sample chapter is available on this website as an example.

Appointments and Interviews: Each expert will be teamed with a national counterpart. Questions and requests for appointments should be forwarded to the counterpart in due time. The counterpart will help you during the review mission with the collection of information and the arrangement of appointments with officials, institutes and organisations.

Post-Mission Submission of Chapter: After the review mission the chapter has to be sent by email to the Secretariat within a maximum period of two weeks (the exact deadline agreed during the review mission). No exceptions can be made to this deadline due to editing, printing and translation requirements. The Secretariat will read and discuss the chapter and, if necessary, return it to the expert with requests for clarification or additional information. Refining of the chapter must be completed as soon as possible, and usually within one week.

Formatting

Length: The chapter should not exceed 12 pages, including graphs and tables, except if there is a different suggestion in the TOR.

Style: The style of writing should be concise (to the point) and precise. In their drafting, experts should also use active voice as often as possible.

Language: The chapter should be written in English. Editing will be done by the Secretariat and, where necessary, translations will be made in official UN languages.

Format: The chapter should be delivered in a WORD file. Use font "Times New Roman", font size 11; single line spacing; no formatting (bold, italic, etc.), as this will be done according to UN standards. Write abbreviations at least once in full and add a list of references (no referencing in the text), including the visited Internet websites).

Figures and tables: The figures and tables should be provided in a *separate* EXCEL file. Ensure that the data used for the graphics and figures are included in the EXCEL file. Always indicate sources of the data (author, name book or report and year of publication). Do not incorporate the figures and tables into the text: just indicate where they should be placed in the text. An explanation and analysis of the tables and figures should be provided in the text.

Attachment IV: Main phases of the production of an Environmental Performance Review

	Stage	Main activities	Duration (average)
1	**Preparations**	• Nomination of national coordinator • Preparatory mission Implementation plan • Nomination of national focal points • Establishment of EPR review team • Collection of information and data • Planning of meetings with local experts during the review mission	3 – 4 months
2	**Review mission**	• Plenary meeting • Plenary meetings with NGOs and international organizations • Individual meetings (Consultation with national experts) • Site visits • Teamwork and coordination	10-12 days
3	**Preparation of draft report**	• Preparations of draft chapters • Consolidation; checking; restructuring • Editing (English) • Submission of draft for comments to national authorities of reviewed country	4-6 months
4	**Expert review/Peer review**	• Submission of draft for preparation of review • Expert review meeting • Peer review meeting	4 weeks before meeting
5	**Publication and dissemination**	• Finalization of report • Translation (Russian/national language) • Printing • Posting of report on ECE website • Distribution of printed copies	5-8 months
6	**Launching of publication**	• Launching of the EPR report in the reviewed country	6-12 months
	Total time		**19 - 30 months**

ANNEX VI

Peer Reviews by the Organisation for Economic Co-operation and Development (OECD)

Peer reviews are carried out by the OECD already more than 50 years. These have evolved over time to take account of new developments, including the involvement of civil society, business and labour. The peer review has showed to be very successful. Several other international organisations adopted the OECD peer review process and method and adjusted them to their needs and use.

By using this instrument each country's policy in a particular area is examined by members on an equal basis. As an example, a country seeking opportunities to increase and strengthen the implementation and execution of environmental policies, can learn valuable lessons from its peers on what has worked and what has not, as well as finding way on how to improve. Identified challenges and (potential) solutions can help governments and its authorities in practical implementation of their policies and legislation.

In the context of the preliminary study as carried out within the NPRI project, the Peer Review approach of the OECD with regard to the Environmental Performance Review is described and explained in this document.

Acknowledgement

This Annex, commissioned by IMPEL and conducted by a National Peer Review Initiative (NPRI) team, was prepared as a part of a study on a comparison between different peer review or assessment approaches, aiming at developing a peer review approach that can be used by countries and authorities to support them in their improvement.

The NPRI-team acknowledges the work, policies and methodologies of the Organisation for Economic Co-operation and Development Environmental (OECD) on 'Peer Reviews' and in particular on the Environmental Performance Reviews. Gratefully the free accessible and available information on the OECD Peer Review has been used for this study with references to the OECD information sources.

Disclaimer

Although every effort has been made to ensure the accuracy of the material contained in this document, complete accuracy cannot be guaranteed. The authors do not accept any responsibility whatsoever for loss or damage occasioned, or claimed to have been occasioned, in part or in full, as a consequence of any person acting, or refraining from acting, as a result of a matter contained in this document. This document intends as a contribution to development of a peer review instrument within the framework of the IMPEL project National Peer Review Initiative (NPRI).

Table of content

1. Peer Reviews by the Organisation for Economic Co-operation and Development (OECD)

1.1 Introduction and background

One of the OECD's core strengths is its ability to offer its members an approach to compare experiences and examine 'best practices' in a host of areas, amongst others the subject of environmental protection.

The execution of Peer Reviews is an important activity in this regard. By using this instrument each country's policy in a particular area is examined by members on an equal basis. As an example, a country seeking opportunities to increase and strengthen the implementation and execution of environmental policies, can learn valuable lessons from its peers on what has worked and what has not, as well as finding way on how to improve. Identified challenges and (potential) solutions can help governments and its authorities in practical implementation of their policies and legislation. It also can help to win support for discussing difficult measures. As stated by the OECD[1]: 'perhaps most importantly, because everyone goes through the same exercise, no country feels it is being singled out. Today's reviewers will be in the hot seat themselves tomorrow.'

Peer reviews are carried out by the OECD already more than 50 years. As the OECD states: it has evolved over time to take account of new developments, including the involvement of civil society, business and labour. The peer review has showed to be very successful. Several other international organisations adopted the OECD peer review process and method and adjusted them to their needs and use. Examples are the United Nations Economic Commission for Europe (UNECE) in conducting Environmental Performance Reviews (EPR), the European Commissions in conducting the Environmental Implementation Reviews (EIR) and the International Atomic and Energy Agency.

By the early 1990s, OECD governments had enacted a wide variety of environmental laws and signed up to a multitude of environmental treaties and declarations. It became clear that mechanisms were needed to ensure that governments were keeping their environmental promises. The members agreed that it was desirable to review systematically the environmental performance of individual OECD countries in meeting domestic policy objectives and international commitments. As a next step the OECD Environmental Performance Review (EPR) programme was launched in 1992 within a peer review framework, as one of the OECD's core working methods.

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[1] https://www.oecd.org/site/peerreview/

1.2   Main objective of the OECD peer review programme

The reviews provide an independent, fact-based assessment and targeted recommendations to encourage further reforms from a whole-of-government perspective.

The principal aim of the OECD's environmental performance reviews is to help Member countries[2] improve their individual and collective performances in environmental management. The primary goals for this programme are:

- to help individual governments measure and judge their progress against domestic and international commitments, and by establishing baseline conditions, trends, policy commitments, institutional arrangements and routine capabilities for carrying out national evaluations;
- to promote a continuous policy dialogue among Member countries, through a peer review process and by the transfer of information on policies, approaches and experiences of reviewed countries – Peer Learning;
- to stimulate greater accountability from Member countries' governments towards the public and to other countries.

Programme efforts are directed at promoting sustainable development, with emphasis on developments in domestic and international environmental policy, as well as on the integration of economic, social and environmental decision-making.

1.3   What do OECD Environmental Performance Reviews[3] contain?

- **The assessment and recommendations:** a summary of the main findings of the review and present policy recommendations to help the country improve its environmental performance.
- **Key environmental trends:** a description of the country's progress in using energy and natural resources efficiently, reducing the carbon intensity of its economy, managing its natural assets and improving environmental quality of life.
- **Environmental governance and management:** a review of the country's environmental governance system and legislative framework, and how the country ensures compliance with environmental regulations.
- **Towards green growth:** a presentation of the country's efforts to mainstream environment into its economic policy and to promote the greening of the economy, for example through the use of taxes and other pricing instruments.
- **Two topics for in-depth analysis that can be chosen by** each country.

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[2] OECD member countries: https://www.oecd.org/about/document/list-oecd-member-countries.htm
[3] http://www.oecd.org/environment/country-reviews/about-env-country-reviews.htm

2.0   Environmental Performance and Reference framework

2.1   Achieving objectives

Whether objectives are being met is the essence of appraising environmental performance. More precisely, performance should, as far as possible, refer to three main questions relating to the achievement of national objectives or international commitments. The OECD explains this[4] as follows:

- to what extent is the objective achieved? Retaining a clear distinction between intentions, actions and results, (the emphasis being on results), is central to assessing performance.
- is the objective ambitious or modest? In other words, how does the objective itself relate to the country-specific context, i.e. to the past and current state of the environment, natural resource endowment, economic structure and development levels, and demographic trends? Objectives are chosen and priorities are set through a country's decision-making process on the basis of scientific, ethical and economic considerations. Environmental performance reviews therefore include a systematic review of the context (physical, human, social, economic, legislative and institutional/ administrative). This introduces an element of standardisation and readily accessible comparability in the review process.
- are results achieved in a cost-effective way?

2.2   A hierarchy of objectives[5]

Environmental objectives may be more or less explicit and may refer to different types and levels of commitments (general, qualitative and quantitative):

- aims at the general level (e.g. preserving and improving environmental quality, sustainable development);
- qualitative goals at the intermediate level (e.g. preserving the ozone layer, reducing acidity);
- specific quantitative targets or a commitment to the implementation of a set of policy measures at a more specific level. Such targets or commitments are determined by technical, administrative and economic criteria.

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[4] *Environmental Performance*: https://www.oecd.org/site/peerreview/environmentalperformancereviews.htm
[5] Text from: *A hierarchy of objectives*:
https://www.oecd.org/site/peerreview/environmentalperformancereviews.htm

2.3   A historical perspective

The review should also include a view from an historical perspective in terms of examining the evolution of environmental policy (such as the trend away from purely curative approaches towards preventive and integrated approaches) and the development of innovative approaches, emerging policy directions and related objectives. Reviewing performance requires looking at past achievements and challenges as well as future (planned) progress.

2.4   Range of policy instruments

Pursuing environmental objectives requires development of mechanisms and incentives that enhance the efficiency of environmental resource use. Policy instruments therefore play an essential part in environmental performance. A broad range of policy instruments is considered to include in environmental performance, in particular instruments as:

- regulatory (standards, licensing, zoning, etc.);
- economic (charges, financial incentives, market creation, subsidies, etc.);
- institutional (administrative and legal reform);
- educational and information related;
- public investment (in infrastructure, R&D, etc.);
- enforcement and compliance.

To determine and value performance are important in determining performance, it should be understood that, due to the nature and scale of instruments as listed, these initiatives involve packages of instruments drawn from a wide portfolio. This will be the case in practice.

3. The OECD Peer Review: the general process and methodology

3.1 Building on the OECD experience

The review of trends, policies and countries' performance is a basic OECD function and is at the heart of the 'trade' of the OECD. The best known to the general public are the Economic Surveys are the longest-standing OECD reviews programme. Other reviews programmes exist in fields as energy, agriculture and development assistance. The environmental performance reviews programme has extended this approach to the environment.

The environmental performance reviews programme has benefited from the experience and methodology of other OECD review processes. It differs, however, in a number of ways, for instance:

- the fact that reviewing countries are directly involved with the Secretariat in the elaboration of the report;
- the number of reviews per year;
- the national representation on the Working Party on Environmental Performance (WPEP);
- the Ministerial press conferences (at publication time) and the formal government responses (one or two years later).

Each OECD peer review has its own procedure, but all consist of three phases: preparation, consultation and assessment. The process for an environmental performance review of a country:

3.2 The Preparation Stage

Preparation starts with designing of the outline of the review and the topics to be examined. This is done in consultation with the country under review. Besides including standardized topics for all countries, also country-specific topics can be selected for the review.
As a next step a review team will be assembled. This is done by the responsible OECD Secretariat. Members of the team are experts from 3 reviewing countries, staff of the OECD Environment Directorate and prominent consultants. Occasionally, it includes observers from non-members or international organisations. Participation of reviewing country's experts in the teams themselves brings transparency and invaluable experience.

At this stage data and information will be gathered by the Secretariat in cooperation with the reviewed country. Relevant and available information and documentation are gathered from the reviewed country and other information sources for the benefit of all team members who then will be able to familiarise themselves well with the situation in the reviewed country before the review mission.

To streamline meetings and discussions, a set of discussion themes is prepared for each review. This set serves as a kind of agenda during the team mission and assist in preparation for the meetings. It covers each of the sessions of the mission. A month before the start of the visit, the themes to be discussed are circulated to participants in the country being reviewed.

3.3   Review Mission Stage

During this stage the expert team meets with government and non-government representatives of the country under review and carries out intensive dialogue with representatives concerned. These include academics, industry, trade unions, NGOs, experts and local government representatives. As the team is already well informed about the situation in the country under review, the review mission is not a fact-finding mission, but focus its discussions on the evaluation of environmental performance. If necessary, on-site visits to places such as industrial plants or protected areas can be conducted in this phase of the review as well.

Each team member prepares a first draft of a chapter of the review report during the mission, and the review team and the Secretariat prepare a consolidated draft report, examining the country's performance against domestic objectives in environmental management and sustainable development, and in meeting international commitments. Also meeting the principal goals of the 'OECD Environmental Strategy for the First Decade of the 21st Century'[6] is evaluated and included in the draft report. The draft report includes conclusions and recommendations.

Further drafting, compilation, harmonisation and editing of the consolidated draft text is the responsibility of the Secretariat. This draft report is then circulated for comments to all reviewing country experts, to the Environment Directorate[7] and to all other relevant parts of OECD. A minimum of 4 months is needed from the review mission until the completion of the document.

3.4   Peer Review by the WPEP[8]

In this phase, the draft country report will be assessed by a Working Party on Environmental Performance (WPEP), involving all 30 OECD member countries[9]. The report is then sent to all member countries 6 weeks before the WPEP peer review meeting. The WPEP discusses and reviews the draft report and its specific parts during a full day of debate and policy dialogue.

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[6] OECD Environmental Strategy for the First Decade of the 21st Century. Available at: https://www.oecd.org/env/indicators-modelling-outlooks/1863539.pdf

[7] Environment Directorate OECD: https://www.oecd.org/env/

[8] Assessment phase OECD Peer Review: https://www.oecd.org/site/peerreview/theprocedures.htm

[9] 30 OECD countries: https://www.oecd.org/about/document/list-oecd-member-countries.htm

This exchange of views concentrates on issues that are significant or sensitive. It helps deepen the understanding of the main issues under discussion, probe the ground of any draft conclusions, look for a balance between criticisms and recommendations and aims for fairness in judgement between one review or another. A delegation from the reviewed country, answers questions from the other 29 countries. The WPEP then amends the conclusions and recommendations in light of the discussion and approves the review. The Secretariat updates some facts and figures based on requested amendments of the reviewed country on factual matters, together with possible changes in line with the WPEP Conclusions and Recommendations.

The OECD states that a very important 'by-product'[10] of the programme is the benefit that Member countries derive from serving as reviewers: country experts have the opportunity to draw firsthand on the experience of the reviewed country, to the advantage of their work back home.

3.5   Publication Stage

Publication of the completed report constitutes the last step of the review process is done under the responsibility of the Secretary-General of the OECD. The reports are first aimed at parliamentarians and decision-makers. Their role in further 'promoting' the report and making the best use of the results of the peer review meeting, is crucial. Furthermore, the reports are also aimed at a wider audience (general public, NGOs, industry, government at different levels) in the country under review. Through this a greater accountability of governments towards public opinion can be stimulated. The reports are distributed in the national language.

Publication of the reports attracts attention in the press in the country under review and in other countries as well. A press conference, usually given by the Environment Minister with participation of OECD, is given in the capital of the reviewed country to reach public opinion and decision-makers. Accompanying seminars, special distribution efforts in the national language are also very common.

3.6   Summary of key steps of a review

The OECD presents[11] the most important steps of the review process from the start to the approval of the report by the Working Party on Environmental Performance (WPEP) and publication of the final report, including the timing of the steps in the following orderly manner:

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[10] https://www.oecd.org/site/peerreview/environmentalperformancereviews.htm

[11] EPR.generic-brochure-2018-web-150-1.pdf; p. 8, 9

Timing	Key step of the process	Activities
One year ahead	*Review preparation and information collection*	• Selection of the in-depth chapters and agreement on the timetable. • Questionnaire response in co-operation with relevant ministries and agencies. • Data and documentation compilation. • Preparation of the review mission, involving a team of analysts and specialists, including experts from two reviewing countries.
Six months ahead	*Review mission*	• Meetings with environmental policy stakeholders: representatives of the environment ministry, other ministries, agencies, as well as independent experts, representatives from NGOs, industry, trade unions and state and local governments. • Field visit on a chosen in-depth theme.
Two months ahead	*Policy meeting*	• High-level discussion of the findings and recommendations of the EPR, between the OECD Secretariat and the reviewed country government.
One month ahead	*Draft report*	• The draft report and its assessment and recommendations are made available to the government of the reviewed country and representatives of the OECD Working Party on Environmental Performance.
Working Party meeting	*Peer Review*	• Presentation of the report to the Working Party on Environmental Performance in the presence of a high-level delegation from the reviewed country. • Delegates discuss, ask questions and exchange good practices on the subjects covered in the review. • Approval of the review'sassessment and recommendations, which reflect the collective views of OECD member countries.
Three to four months after the WPEP meeting	*Launch*	• The report is published and made freely accessible online for all, including civil society and the media. • Press conference, publication of the *Highlights* brochure and other online communications tools.

Source: OECD EPR generic brochure 2018

4.0   Follow-up and Monitoring

Based on the overall assessment of the first cycle of reviews and the changes considered necessary for the second cycle, the basic guidelines for the second cycle of reviews have been adjusted.

The second cycle of the EPRs respond to the changing policy context and demands after 2000 (e.g. OECD Sustainable Development Initiative, OECD Environment Strategy for the decade[12]). It will build on the baseline and recommendations set for each country during the first cycle and the focus on results achieved will be strengthened.

4.1   Contents

In the second cycle, environmental issues will continue to be covered, with more input from the reviewed country to assess progress made since the first review. Substantive environmental focus will be on reflecting concerns with sustainable development in an era of globalisation, a strengthened approach of performance and peer review, more streamlined approach and format, and a reinforced influence.

As a result, sustainable development issues will be covered, with a focus on the integration of environmental concerns within economic and social policies, including sectoral ones. In addition, the monitoring of performance with regard to international commitments (including within OECD) will be strengthened. Near future reviews will be selective in their emphasis and coverage of sectors and issues with highest relevance to the sustainable development of the country; reviews will include forward-looking aspects of performance.

4.2   Methodology

In the second cycle more attention will be on increased standardisation (methodology, report outline, use of indicators, inter alia to increase international comparability) and more country-tailored features (recognition of different contexts, speciality chapters, specific indicators). This also means that an enhanced core set of environmental indicators will be used, and more use will be made of indicators, in the review reports wherever feasible.

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[12] OECD ENVIRONMENTAL STRATEGY FOR THE FIRST DECADE OF THE 21ST CENTURY
https://www.oecd.org/env/indicators-modelling-outlooks/1863539.pdf

List of abbreviations

EPR	-	Environmental Performance Review
IMPEL	-	European Union Network for the Implementation and Enforcement of Environmental Law
NPRI	-	National Peer Review Initiative
OECD	-	Organisation for Economic Co-operation and Development
WPEP	-	Working Party on Environmental Performance

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ANNEX VII

NATIONAL SYSTEM FOR ENVIRONMENTAL PROTECTION (SNPA) IN ITALY: ENVIRONMENTAL PROTECTION AGENCIES AND ISPRA

In 1993, the Technical Offices belonging to Administrative Bodies, in Italy, have been made autonomous, gathering and transforming them in Agencies for Environmental Protection (ARPA), one for each of the Italian Regions and Autonomous Provinces; at central level, a National Agency for Environmental Protection (ANPA) was founded.

In 2016, the Italian protection public system was further strengthened, binding the Agencies and the Superior Institute for Environmental Protection and Research (ISPRA - the evolution of ANPA) in a national network with internal coordination mechanisms, to share and optimize best practices and expertise through a continuous collegial coordination work, with the aim to deliver to Italian Citizens the Essential Levels of Technical Provision for Environmental Protection (LEPTA), stated by the law and prospectively proportionately funded.

The nature of the network and its aim to deliver to all the Italian Citizens an homogeneous level and quality of environmental provisions (LEPTA) stimulates the search for instruments to foster mutual exchanges and learning, the intercomparison of the practices implemented and the pursuit of continuous improvement of the basis of best practice sharing.

Among many, the peer review methodology was selected as potential instrument to help the development and homogenization of SNPA.

This choice finds its roots In the experience made by some Italian Regional Agencies in IMPEL, having that took part as host in IRI program.

In Italy, the methodology has been experimentally ruled and tested in past, and recently it has been appointed by SNPA as suitable instrument to support LEPTA implementation.

Furthermore, the peer to peer approach has been transferred in strategical activities of the National System, as the determination of the balanced work burden of Agencies and the evaluation of costs.

Acknowledgment

The NPRI-team would like to acknowledge the Italian National System for Environmental Protection (SNPA) in all its components, for sharing information about their methodologies and related documentation on the peer reviews and peer to peer process analysis, as carried out by them in the context of the implementation of the instruments necessary to the implementation of the Essential Levels of Technical Provision for Environmental Protection (LEPTA).

Disclaimer

Although every effort has been made to ensure the accuracy of the material contained in this document, complete accuracy cannot be guaranteed. The authors do not accept any responsibility whatsoever for loss or damage occasioned, or claimed to have been occasioned, in part or in full, as a consequence of any person acting, or refraining from acting, as a result of a matter contained in this document. This document intends as a contribution to development of a peer review instrument within the framework of the IMPEL project National Peer Review Initiative (NPRI).

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1.0 National System for Environmental Protection in Italy

1.1   Organization, Task and Responsibilities

In Italy, administrative activities in environmental field are carried out by Administrative bodies, with different levels of competencies, that are defined on the basis of the dimension of the environmental issues to be managed: State level, Regions Level, Provinces Level and Municipalities Level.

The administrative activities consist, mainly, in permitting and compliance assurance initiatives, such as inspection and enforcement, and other activities regarding Environmental Impact Assessment (EIA), Strategic Impact Assessment (SEA), Spatial Planning; all these activities contain a strong technical component.

These activities are supported, on a technical level, by 21 Environmental Protection Agencies (ARPA's and APPA's), that act on the behalf and under the regulation of the respective Regions and Autonomous Provinces, and by the National Institute for environmental protection and research – ISPRA, under the control of the State Environment Ministry.

These subjects perform also the monitoring of the environment under the EU directives obligations.

This type of organization has been stated in 1993, by national law. The Regions and Autonomous Provinces were asked, through this law, to establish their own Environment Agency, to be built using the resources dedicated to the same activities previously allocated in local Administrative bodies and in the local Health Systems. The Central Institution has been set up assembling, over time, institutes and centres already operating in environmental protection field.

The aim was the homogenization of the technical procedures, at regional and national level, to increase technical quality and to create the due independence of the technical offices from the political bodies, using the model of the Environmental Authorities.

In 2016, furthermore, the Italian ARPA's/APPA's and ISPRA were bound in the National system for Environment Protection (SNPA) as network of technical authorities, although remaining, one by one, under the control respectively of the Regions and the State, with aim of further strengthening the technical homogenization process.

Scope of the SNPA is also the delivery to Italian Citizens of the *Essential Levels of Provisions for Environmental Protection* (LEPTA), as type, volume and quality of activities that each one of the SNPA members should perform in their Regions as proportionate response to the environmental risks in place.

The type, volume and quality of the activities to be delivered should also be the basis to determine the amount of the funding needed by each one of the SNPA members, using also the principle of standard processes and costs for each one of the due provisions.

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The SNPA is, consequently, based on two main values: the uniformity at national level of the services delivered to the citizens in environmental protection, and the belonging of each one of the SNPA Network member to the Regions, Autonomous Provinces and State, balancing a SNPA National Environmental Program with the specific Regional and Provincial planning.

In this situation, efforts of utmost importance for SNPA members are the setting of common technical rules and the development of uniform levels of environmental services, in terms of volume and quality, with the use of dedicated logics and tools, also based on history and experience.

1.2 The field of actions for the National System

The field of action of SNPA is described in law 132/2016 (art. 3).

In synthesis, main activities are:

- Surveillance and inspections of sources pressures on the environment
- Support to public administration in permitting, compliance assurance and enforcement actions
- Support to competent authorities in EIA activities and Spatial Planning
- Monitoring the state of the environment, land take, environmental resources and their evolution
- Support to public administration in environment judicial activity
- Cooperation with the National and Regional Civil Protection System in case of environmental emergencies, natural or anthropic.
- Cooperation with school system for education in environmental field and for training on environmental matters of the teaching body
- Research in environmental field

2.0 Italian Peer Review Approach

The Italian System for Environmental Protection, as network of Organizations, acting on the same European and National environmental acquis with common rules, has always felt the opportunity to identify a method to increase dialogue and interchanges among its member with the aim to achieve the needed homogeneity and overall quality.

In practical terms, the system was seeking an instrument to make comparisons and to spot out individual and systematic non homogeneities and opportunities for development, as well as best practices, taking into account, anyway, the belongings of its member to different Administrations.

A first inspiration for such an instrument was drawn from the experience made by ARPA Lombardia, as IMPEL Member that hosted an IRI mission in 2012, regarding the IED Implementation in that Region.

That experience showed that Peer Review could represent an instrument that meet many of the needs both of the Italian Network of Environmental Agencies and also of complex organizations, as

ARPA Lombardia itself, articulated in territorial departments and offices, facing as well, homogeneity and exchange challenges.

2.1 The development of an Italian Peer Review approach

The proposal to adopt Peer Review as steady instrument among the Network members was approved by the Council of the Italian Environmental System in 2014, and a roadmap for its implementation was drawn:

- Definition of a *guidance*, largely inspired by IMPEL IRI approach and, for this purpose realization of a specific national survey, knowledge base for the design of the guidance, scoping an assessment framework definition aimed the study the Agencies from the point of view of these issues:
  - **programmatic-organizational**
  - **technical-procedural**.
- Realization of a first, experimental Peer Review, at one of the Regional Agencies, on IED activities

The above activities were carried out in the period 2014 – 2017 and produced also materials to begin the dialog with IMPEL for the promotion of a National Peer Review scheme embedding his experience gathered at EU level.

At the start up of the project activities for the development of an Italian Peer to Peer approach, the Italian law establishing the networking among the Agencies and ISPRA (SNPA) was not yet approved and the new law indications, in 2016, and the outcomes of the efforts of SNPA to implement itself as network of peers, from the operational point of view, partially modified the original aim of the project to develop a Peer to Peer Approach. In particular, the pursuit of *Essential Levels of Provisions for Environmental Protection* (LEPTA), polarized many of the studies carried out in the System, both for the definition of that essential levels, and for the search of an instrument to verify and to foster their implementation.

A peer to peer approach, based on the definition of common standards and on peer review as instrument for evaluation and mutual support has been positively evaluated.

Anyway, the experience gathered following the original work program is very valuable for the development of the new work program based on peer to peer and peer review approach.

3.1 Methodology - Introduction

One of the most relevant characteristics of the project carried out in the SNPA is that it was aimed at growing its own Peer Review capabilities focussing, in the first phase, on:

- *a specific topic*: AIA (IED inspections)

- *working on a specific scope*: how inspections are carried out with regard to their main phases (planning, execution, reporting and monitoring of performance), spotting out peculiarities, best practices, opportunities for development) in the perspective also to achieve System homogeneity.
- *defining a specific, contextualized, assessment framework*: regarding specific questions and discussion areas deemed as interesting from the both point of views of the interests of the hosting agency and of the System Homogeneity.

The choice, in practice, was to study a topic having the following characteristics:

- it is a prominent task in environment protection actions in Italy and it is mandatory with regard to an European Directive: *principle of relevance in among SNPA activities*
- it is a task accomplished by all the Agencies and ISPRA on the basis of shared rules and protocols: *principle of clarity in Assessment Framework definition*
- it is a topic frequently subject of IMPEL IRI and, consequently methods and results grown in Italian experience finds in IMPEL itself a good intercomparing level: *principle of comparing methods and results with a strong reference point*
- that maximize the outcomes of the project, in term of usefulness of the study, that could be replied at other Agencies, relying on the same *scoping* and *assessment framework*, and in term of acquired experience to be used and adapted to other inspection areas.

For that reasons all the project and its product: the *guidance,* is aimed at AIA (IED) activities, but the choice, from the beginning, was to create an instrument that could be adapted, without efforts in excess, to many other inspection field, with the due flexibility, because of the many differences in place across the SNPA, due to different local administrative context and rules, and organizational and cultural diversities.

The starting point to put in practice Peer Review activities in Italy was the drafting of a *guidance* that identified a path with applicable rules, anyway keeping into consideration the need of flexibility,

The guidance was developed through a specific SNPA project named "*State of the art and best practices in the field of environmental inspections*", that has been focussed on the inspection tasks carried out by the Agency system in installations under the IED (AIA in Italy).

The activity has been developed into two phases:

- the realization of a specific national survey trough a questionnaire
- the Peer Review scheme and conduct

3.2 Questionnaire

The first phase required the acquisition of information from all the Agencies and ISPRA on the main aspects of AIA (IED) inspection management; this work was deemed necessary for the correct definition of the scope and of Assessment Framework in the specific peer review guidance to be developed.

For this scope, a specific questionnaire was written with the aim of gathering information with regard to the most important issues related to IED inspections across Italy. The questionnaire was sent to all the SNPA members: the Regional Agencies and ISPRA.

The questionnaire was composed by 150 questions in 16 sections divided into 2 groups of topics: **programmatic-organizational** and **technical-procedural**.

Nineteen Regional out of twenty one replied to the questionnaire plus ISPRA. The respondent Agencies sum up, under their competence by territory, 7,795 over 7904 Italian municipalities and cover 6,063 IED installations over 6140.

The questionnaire was aimed at a comparative evaluation of the main issues in the above mentioned fields (programmatic-organizational and technical-procedural) for the implementation of implementing IED inspections.

The survey vas composed by 16 sections with a variety of questions covering the following topics in regard to Agencies and ISPRA:

0. Description of the people who answer the questionnaire (organization, main function, mail, …)
1. Identification of the inspection team
2. Scheduling and drafting of the detailed inspection program
3. Inspection execution timing
4. Any specific provisions / procedures / instructions issued by the Regional Environmental Agency
5. Way and rules of transmission and evaluation of the installation operator's self-monitoring output
6. Assessment of the installation operator's disclosure obligations fulfilment
7. Sampling and subsequent laboratory analysis carried out by ARPA as part of an inspection
8. Verification of the requirements and obligations related to the following environmental parameters: wastewater, emissions into the atmosphere, waste products, noise, odours, protection of soil and groundwater, etc.
9. Assessment of the implementation of general and industry-specific BATs
10. Promotion of compliance and continuous improvement
11. Indications to the Administrative Authority on improvements or new duties for the installation
12. Baseline report
13. Emission trading (CO_2 and greenhouse gas emissions)
14. Seveso Installations
15. Pigs and Poultry rearing - IPPC activities referred to in point 6.6 of Annex I in IED
16. Economic impact of the IPPC inspections on ARPA

All the gathered responses were normalized to the number of installations and to the number of agencies.

All the responses were analysed, section by section, producing charts for each question and providing comments about the most significant results.

The information were very useful on many different levels, since every Regional Agency could find the differences with the others; from a national point of view the results allow to compare many aspects, the most relevant of which are:

• SNPA homogeneity or inhomogeneity

- impact on different kind of installations

3.3 Rules and topics

According to the guidance, the second step was the definition of general rules to be applied and necessary to define the execution of the peer review.

Among general rules, also the principles for Peer Review execution are discussed in the guidance:
- The peer review is aimed at the study and evaluation, carried out by the host Agency and a Visitor Team, on the basis of a scheme (*the guidance*) approved at SNPA level, on the conduct of inspections in AIA (IED) area, especially from a technical-organizational point of view;
- The revision activities are informal activities conducted in cooperation between the Host Agency and a Visitor Peer Review Team and do not constitute a process audits
- The peer review activities are aimed in particular at highlighting good practices and opportunities for improving current practices carried out at Hosting Agency, also with the aim of spreading the outcomes of the visit throughout the SNPA, if deemed useful;
- With the aim of giving maximum predictability to the peer revision activities and make aware all the participants of the framework of the contents and methods for the conduction of the peer review, they are carried out in accordance with the guidance
- The guidance is useful even to steer the follow up after the peer review.
- The host agency must define a host team, composed by the experts on the subject of the peer review;
- The visitor team is made up with expert in the specific fields to be studied, belonging to different Agencies, and its composition is decided by the National Peer Review Project management group.
- A defined time frame and time schedule is useful to give order and rhythm to the Peer Review; the duration of the peer review should be, in general, two full working days
- The host agency and the visiting team could agree a visit to an IED installation to get in touch with an actual inspection activity; in this case, the visit could last a day more;
- The host Agency may request that the evaluation activities focus on some particular aspect of the AIA (IED) inspective process, according to its objectives and needs;

The topics to be studied during the Peer review are also:

- Legal framework for environmental protection in the region where the agency is acting.
- Permitting activities in the powers possibly attributed to the Agency
- How inspections are carried out with regard to their main phases (planning, execution, reporting and monitoring of performance).

There are some specific tasks regarding Peer Review for the hosting agency:

- The host Agency will prepare and make available to the project team, prior to and in advance of the chosen dates, the documentation and every information deemed as useful, with reference to the contents of the review activity.
- The host agency must in any case provide the information requested in the questionnaire referred to in the scoping phase with regard to the defined assessment framework.
- In case the host agency would identify a site to be visited during the peer review, it must assure the necessary equipment.

3.4 Peer Review Mission

For a correct and positive mission of the peer review the Team must study in advance all the documents, so they must not only be experts in the field of the peer review, but also they have to know both the guidance, the questionnaire and the response of the hosting Agency.

The first step of the Peer Review is the starting meeting that must allow the participants (Host Agency and Visitor Team) to know each other about their competences and responsibilities on the subject or the review. This meeting is relevant to avoid misunderstanding and to establish the necessary cooperation between peers.

Then the peer review will be carried out by addressing the theme of the IED inspections conducted by the Host Agency, through a predefined path, defined in coherence with the defined *Assessment Framework,* by means of which the issue will be fully addressed in all its parts.

The assessment framework will drive the interviews on all the relevant aspect: the preparation of the visit, the presentation, the comment, the comparison and the summary report of the contents of the aforementioned frameworks.

The Host Agency will present:

- The regional rules and regulations issued in application of Part II Title III bis of Legislative Decree 152/2006, Italian transposition of the IED.
- The procedures adopted by the Host Agency for the execution of the tasks assumed according to the competences provided for in Part II Title III bis of Legislative Decree 152/2006, whether they are procedures included in a formalized QMS or not.
- The role of the Host Agency in the authorization process of the installations subjected to the procedures referred to in Part II Title III bis of Legislative Decree 152/2006, focusing in particular on the institutional tasks provided for in art. 29 quater of Legislative Decree 152/2006.
- An overview of the installations authorized according to the procedures set out in Part II Title III bis of Legislative Decree 152/2006 located on the territory of its Region.
- Its internal organization, with particular focus on the organization linked to the activities referred to in Part II Title III bis of Legislative Decree 152/2006.
- All the technical and procedural aspects of carrying out inspections on authorized installations according to the procedures set out in Part II Title III bis of Legislative Decree 152/2006.
- The methods for activating and conducting the extraordinary inspections referred to in paragraph 4 of article 29 decies of Legislative Decree 152/2006
- Some case history that can help to understand the way of working of the Host Agency.

After every explanation is useful a discussion between all the participants to clarify any doubt and to deepen the most relevant aspects of the presentation.

If the host agency has proposed a visit to a significant installation located in its territory of competence, this must be preceded by a presentation of the contents of the authorization document in possession of the installation pursuant to Part II Title III bis of Legislative Decree

152/2006, as well as the results of the last inspection carried out on the installation, highlighting the main technical aspects and the most significant environmental effects of the plants visited.

In this context, the visit of the plant does not constitute a formalized inspection visit, but it is proposed to provide the possibility for the host agency to show an example of good practice in carrying out the activities of competence.

3.5 Peer Review at Arpa Campania

The Peer review organised at Arpa Campania followed the rules described in the previous chapters, according to the Manual for the development and execution of peer reviews and it took place after receiving and analysing all IED "national questionnaires".

The expert team group agreed with the Regional EPA the agenda, so the work was organized in three working day (table 1), the topics and the time of each speech were established previously.

The first day began with the kick of meeting by the project team and were described purpose and organization of peer review. Arpa Campania participated with representatives from all the territorial departments and the technical direction, assuring a complete exchange of information.

Arpa Campania described its works according the Agenda through five specific topics, each topics was discussed with one or more presentations. Also the case study was described with two presentation and in this occasion was described an IED inspection in a strategic installation.

Each presentation was followed by a discussion between the specialists, which helped to highlight the qualifying aspects of the experience of the hosting Environmental Agency in the field of IED permits, and allowed the "project team" to provide advice on how to improve the organisational and operational methods adopted. For their part, the members of the "project team" also benefited, for the same reasons, from this exchange with their colleagues from the hosting Environmental Agency.

At the end of the day, the expert team group summarized, among them, the activity and driving the discussion by highlighting the differences and convergences.

This peer review was a regional peer review too, that means that ARPA Campania used positively this event to put together all its technicians in order to compare each other. It may be said that there was a peer review inside a peer review.

The last day there was the final discussion and the conclusion on the works, since it was not possible the on site visit.

Table 1. Agenda

Date	Time	Speachers	Topics
First day	60 minutes	Project team	Purpose and organization of peer review
	30 minutes	Host institution	Introduction

	45 minutes	Host institution	Topics (Rif. Manual peer review, points 5.1 and 5.2)
	90 minutes	Project team	Discussion
Second day	30 minutes	Project team	Intoduction Manual peer review, points: 5.3 and 5.5)
	180 minutes	Host institution	Topics (Rif. Manual peer review, points 5.3 and 5.4)
	90 minutes	Host institution	Case study (Rif. Manual peer review, points 5.5)
		Project team	Discussion
Third day	180 minutes	All	Discussion

3.6 Evaluation and follow up

According to the experience it was possible to draw many evaluations about perspective, uses, possibility of success, improvements,

In particular the immediate results were:

- The Peer Review has allowed to frame and clarify some of the responses provided by the Host Agency to the questionnaire, in particular related to status and methodologies used for IED inspections. Some information, which was initially not completely understandable and incomplete to the project team, were better defined within the specific regional regulatory framework and the functional and hierarchical organization of the Host Agency (ARPA Campania).

- The host agency took advantage of this "peer review" opportunity to discuss the organizational / technical / practical aspects adopted internally by their organization, noting the lack of homogeneity between different departments.

- There was a clear understanding that Peer Reviews focus on real and concrete aspects, such as how work is done in practice, how others do it, what can be learned from it and how colleagues can help each other to further improve.

Very important are the follow up of this peer review which doesn't refer only to IED inspections, but can be useful to improve the method on every subject.

To maximise the follow up, it was utilised the swot analysis in order to identify strengths, weaknesses, opportunities, and threats related to the object of the peer review:

- The deepening of the topics among technicians is useful and essential to facilitate the comparison and must be considered a strength.

- The use of tools such as a well-calibrated questionnaire and in-depth analysis of the information obtained are essential to bring out, during the review, the most critical elements of the process (es: AIA plant control process)

- General peer reviews can lead to comparisons on more specific theme, so the weaknesses emerged through peer review can become topics for new, more specific peer reviews.

- Weaknesses relating to the performance of the "AIA inspections" by the agency system may therefore be point of comparison with thematic peer review aimed at analysing the phases and / or processes that have presented the greatest lack of homogeneity in the approach of the different Regional Agencies.

- The ultimate goal of joining the peer comparison process must be the identification of solutions and "good practices" to be applied.

About the last point, one of the aim of the SNPA Peer Review Project was that "good practices" must be transferred to the National Network of Agencies (SNPA) for their spread across all Regional Agencies.

3.7 SWOT analysis in the Peer Review

In more details, the processing of the questionnaires and the results of the peer review at ARPA Campania were deepened using the SWOT analysis method: a strategic planning technique used to evaluate the strengths (S), weakness (W), opportunities (O) and threats (T) connected with a goal, with a view to promoting informed decision-making.

SWOT analysis helped to combine the study of the strengths and weaknesses of IED inspection in SNPA with the study of the opportunities and threats of the legislative, economic and operational context. In fact this tool takes into account internal and external factors, with a view to maximising the potential of strengths and opportunities, while minimising the impact of weaknesses and threats.

Picture 1.
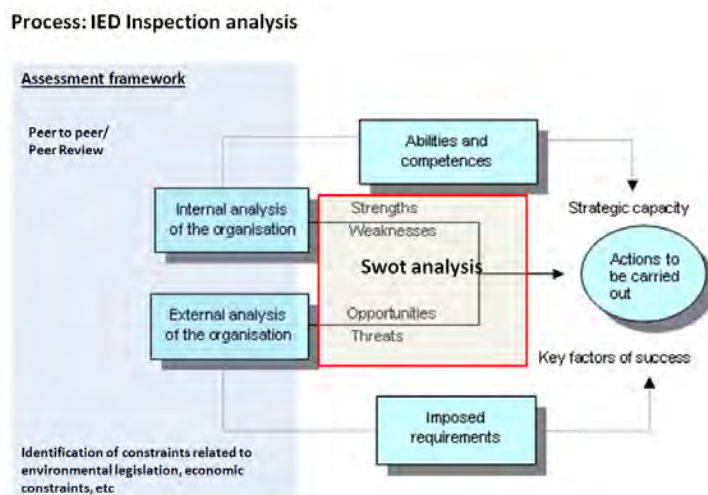
The analysis was carried out with reference to all the topics, considering both the strengths and weaknesses within the Environmental Agencies as a whole and the opportunities and threats connected with external factors, following in particular the two main aspects:

- programmatic and organizational aspects

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- technical and procedural aspects

In order to understand the contents of the analysis, it should be pointed out that some aspects were considered both as strengths (because, for example, they constituted good practices already adopted by certain Environmental Agencies) and as weaknesses (because, for example, the constituted good practices that are not yet universally adopted). Similarly, the non-achievement of significant opportunities may become a threat to the effective functioning of the system. For example:

Strengths and weaknesses (internal factors within an organization):
- Human resources: Presence of specialised staff
- Human resources: Difficulties applying anti-corruption legislation with regard to staff rotation since the specialised staff is composed by only few people

Opportunities and threats (external factors stemming from community or societal forces)
Legislation: Coordination of IPPC and Seveso inspections (Directive IED).
Legislation: Absence of national guidelines for coordinating IPPC-Seveso inspections

SWOT Analysis helped the project team to obtain objective elements to SNPA to improve the homogenization process of IED controls

So SWOT Analysis is a strategy analysis tool that may be very useful in peer review process in order to use the process results in a strategic planning.

The project may be scheduled into three step, and in the table 2 is summarized for each one the tools used, the activity and the results.

Table 2

STEP OF THE PROJECT		TOOLS	ACTIVITY	RESULTS
1	Peer to peer	"IPPC audit" questionnaire	Collection and data processing	Benchmarking
2	Peer review	Manual of peer review	Expert team group conducted peer review according to the manual	Visit at the Regional Agency
3	Strategic Analysis	SWOT Analysis	Data Analysis: map of internal and external factors, positive or negative	Identification of priorities to achieve homogeneity

SWOT Analysis may either be used ex ante or ex post a peer review:

- Ex ante: it supports the strategy planning process for example to choose national relevant topics for a national peer review. This is relevant for example because we need to define standard costs.
- Ex post: after a national peer review, in order to define priority to improve the homogeneity of a process according a continuous improvement process, figure 2

Picture 2

Standard Process ←
↓
Questionnaire

Peer to Peer
↓
Peer review
↓
SWOT analysis
↓
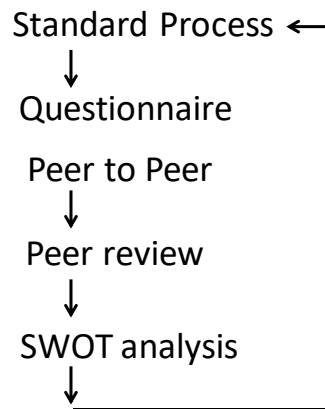
3.8 Synthesis of the experience

In the period 2014-2017 the system of Regional Environmental Agencies in collaboration with ISPRA developed a project to increase dialogue and interchanges among its member with the aim to achieve the needed homogeneity and overall quality with the use of Peer Review.

It was implemented a guidance inspired by IMPEL IRI and a first experience on IED inspections was realized at the end of 2016 in ARPA Campania.

The theoretical results were positive and, with the help of SWOT analysis, it was possible to identify a series of future improvements.

In the meantime a Law established the networking among the Agencies and ISPRA and the *Essential Levels of Provisions for Environmental Protection* (LEPTA) polarized many of the studies carried out in the System.

The experience of the Peer Review put in evidence the possibility to utilize this approach for LEPTA too since the method is powerful and can help since the rules of Peer Review are general and it's possible to carry out Peer Review to help in the definition of LEPTA.

4.0 Peer to Peer approach and assessment framework design for future NPRI Activities in SNPA

4.1 Essential Levels of Provisions (LEPTA) and Process Analysis Activities

In Italy, Law June 28, 2016 n. 132 states the right of Italian citizens to have avaiable Essential Levels of Environmental Protection Provisions (LEPTA).

LEPTA's is a set of essential services and provisions that the National System of the Environmental Protection Agencies (SNPA) must provide for, in order to achieve the necessary protection of the environment and, as well, to protect the human health from environmental menaces.

LEPTA's are <u>macro functions</u> within which groups of quite <u>homogeneous services</u> can be placed, these, in turn, are organized into <u>Provisions</u> ($\mathcal{P}$).

Therefore, there is a hierarchical structure for each LEPTA as follows:

EXAMPLE		
LEPTA: Inspections, surveillance and enforcement actions		
Inspections planned in accordance with national provisions	**Surveillance of activities subject to preventive environmental assessment**	**Etc.**
IED Inspections	Inspections about EIA requirements	Etc.
Seveso Inspections	Monitoring of evolution of the environment – Installations	Etc.
Waste inspections other than IiED	Monitoring of evolution of the environment – Major infrastructure projects	Etc.
Etc.	Etc.	Etc.
Etc.	Etc.	Etc.
Etc.	Etc.	Etc.
Etc.	Etc.	Etc.
Etc.	Etc.	Etc.

LEPTA's, at the present stage of evolution, are basically five, are related to five main tasks:

- Knowledge of the state of the environment
- Technical Support to the Competent Authorities for Authorizations and Spatial Planning
- Inspections, surveillance and enforcement actions
- Support of competent authorities in Environmental Emergency Response and in civil protection
- Other System Functions (e.g.: environmental Information, training, sustainability promotion, research etc.)

4.2 Volume of supplied services and cost as basis for funding of SNPA

The funding of LEPTA's in Italian Environmental System should be based up on:

- The number of each one of the different type of provisions to be delivered to achieve the related essential level, in each one of the regions
- The cost of each one f the provisions

4.2.1 The number of each one of the different type of provisions to be delivered to achieve the related essential level, in each one of the regions.

The quantity of each provision to be guaranteed in each of the regions depends on many factors such as state of environment, presence of anthropic pressure elements, vulnerabilities in place, and possibly more.

Regions in Italy, present a widely differentiated situation from the point of view of environmental factors that could determine the intensity of action of the ARPA's.

To manage this situation, it was studied and defined a synthetic factor, the *Territorial Demand Index* (IDT).

The IDT is a normalized value ($IDT_{norm} \in (0, 1] \ \forall \ \mathcal{P}$), that represent the proportion by which each of the LEPTA's and its subsets (Services and Provisions) must be supplied by each ARPA's, because each of them works in different territorial contexts.

Picture 3: the IDT of Italian regions for the provision "routine IED ispections"

| Prestazione | B.3.1.4 Ispezione integrata programmata su azienda soggetta ad AIA e valutazione dei rapporti annuali dei PMC (Piani di Monitoraggio e Controllo) |

Indice di Domanda Territoriale (IDT)

MODELLO TPO:	Normativo
Determinante:	n. ispezioni annuali su Aziende AIA in output a SSPC-CUT (soglie nazionali)
Qualità (Q):	--
Vulnerabilità (V):	--

	IDT
Provincia di Bolzano	0,000
V. d'Aosta	0,004
Basilicata	0,029
Calabria	0,030
Liguria	0,042
Provincia di Trento	0,043
Abruzzo	0,055
Sicilia	0,058
Sardegna	0,064
Umbria	0,071
Lazio	0,085
Puglia	0,100
Marche	0,111
Campania	0,120
Friuli VG	0,133
Toscana	0,208
Piemonte	0,342
Em.-Romagna	0,454
Veneto	0,486
Lombardia	1,000
Molise	no_data

So the actual quantity of a specific provision $n_\mathcal{P}$ is defined as follow:

$$n_\mathcal{P} = IDT_{norm} \times k$$

the k value is a Policy decision that should take into account the different environmental risks and the attributed priority, and the goals to be achieved.

This approach should guarantee an homogeneous delivery of environmental services, proportional to the environmental risk in place, despite the many differences among the regions.

The process to define, at policy level, the k value will be complex and it will take probably a long time.

To support the policy process, it was decided to gather and study data regarding quantity of each of the provisions currently delivered by each of the ARPA's. These quantities have been named *Key Historic Indicators* (ISC).

It is possible to compare the volumes of delivered provisions across regions normalizing ISC's using the IDT's: the result is a statistical distribution that shows the spread, around a normalized average value, of how the same provision in supplied in each region.

As target for LEPTA delivery, it was decided to choose, as k value, the 75th percentiles of the normalized distribution for each provision.

This means that all the ARPA's should converge, over time, toward best practices already implemented , in quantitative term, by the 25% of the ARPA's.

The number thus calculated of provisions to be delivered, for each type and for each ARPA, is the base for the definition of the national and regional work programme.

4.2.2 The cost of each one of the provisions

The definition of the cost for the delivery of each of the provision has always been a critical issue, and the attempt to determine costs though the analysis of historical financial data of the ARPA's has been unsuccessful because of different ways to record financial and operational data. Among many others, the different ways of taking into account overheads and depreciation and to identify the different activities belonging to a provision were spotted out as probable reasons for the found differences.

To overcome these problem, it was decided to implement a *peer to peer* (P2P) approach to determine, through a desk study based on operators experience and best practices, the *standard costs* for each of the System provisions, starting from the most important ones (monitoring and inspections prescribed by EU directives and some other of specific interest in Italy).

The "cost function" related to ARPA's provisions was developed:

1. on one side through a suitable reformulation of historical costs, taking into account the lack of homogeneity and the diversity among ARPA's

2. on the other side through the study of the processes necessary to deliver the provisions, taking into account law and quality standards, and achieving, as result, processes description with the identification of the needed men-hour, instruments and laboratory costs for each part of the processes. The studies were accomplished by panels of experts in the specific areas of work, coming from different ARPA's, following the methodological indications of a coordinator and on the base of standardized process scheme: a matrix where in ordinate were represented the main phases of the standard process and abscissa consists of two levels:

- LEVEL 1 - process analysis: for each provision, experts selected established, based on their experiences, activities related to each main phase of the standard process and an average "frequency" with which each activity is carried out, because the same type of action in a process might take less or more time depending on the dimension of the installation or of the environmental issue considered.

- LEVEL 2 - human resources setting: likewise, the number of man-hours necessary to accomplish every part of the process (differentiated between Managers and field operators) were defined by the panel of experts. To define a STD hourly rate, annual accounts of each ARPA has been examined.

LEVEL 0	LEVEL 1		LEVEL 2		
PHASES description	ACTIVITY (describe the activities characterizing the macroprocess phase)	Freq. (%)	HR Management (man hh)	HR Workers (man hh)	Freq. (%)
Training step	1. ..... 2. ..... 3.				
Specific work	1. ..... 2. ..... 3.				
Laboratory support activity					
Management of outcomes	1. ..... 2. ..... 3. ..... 4.				

So having the total STD overheads, the depreciation and the total STD cost of personnel you can get the total cost for each provision.

Currently we were able to establish 15 STD processes related to 15 provisions, that approximatively represent the 60% of the man-hour spent in SNPA

4.3 Conclusions

The definition of Essential Levels for environmental protection provisions in Italian legislation opens important perspectives for the implementation of a National Peer Review program.

The volume of provisions and of services to be delivered in each region, on the basis of the principle of proportionality to environmental risks, will certainly be a topic for the organization of National Peer Reviews, and the estimations made through the "IDT technique" will constitute an excellent base for the definition of a suitable assessment framework. It has been already defined that the priority in scheduling NPRI on this topic could be the value of the misalignment between the volume of the activities actually performed with the volume predicted with the IDT found in different ARPA's, to understand the reasons ad to foster a programming process informed at proportion with risk and national homogeneity.

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National Peer Review Initiative

IMPEL Project 2019/21

Phase one

Meetings Report

July 2020

Summary

0. Foreword

National Peer Review Initiative is a project that has been enthusiastically pursed by the Project Team, which gradually expanded along with the development of the activities.

On 24 February 2020, when the project was about to begin the critical phase that should have led to its conclusion, the Project Coordinators decided to cancel the Project Meeting and Country visit that it should have been held in Rome (Italy) on 27 and 28 February as sanitary precautionary initiative, in anticipation of what would later happen, all over Europe, because of COVID – 19 outbreak.

The *in person* meetings, from that moment, has been substituted with teleconferences.

This option proved to be partially satisfactory: the meetings has been originally designed upon the need to have thorough discussions over a topic, the National Peer Reviews, largely unexplored, which would benefit from direct and articulated discussions, only partially possible by teleconference in the large project team.

Despite the complex situation faced and despite the physiological delay, the project team was able to achieve all the expected goals and to build the basis for an operational follow up of the project, formalized in a ToR, presented to the IMPEL's General Assembly, encompassing the time frame from 1 July 2020 to 31 March 2021.

Thus, the three main documents referred to the 2019/21 Project ToR:

- **Survey within the IMPEL community, questionnaire and analysis**
- **Preliminary Study: analysis of Peer Review methodologies implemented at National and International level**
- **NPRI methodology**

has been produced, and they represent a strong base for the development of National or Network Peer review in Countries / Organizations that strive to improve their performance tacking advantage from the dialogue and mutual support that cam come from other members of the same network.

The results has been achieved through activities as meetings, discussion over preparatory documents, survey analysis, focus group work.

This Meeting Report describes the activities that have been accomplished to reach the above results and put at disposal of the reader all the documents used during the project activity, because they represent an added value for IMPEL Community and they contents many indications that can be inspiring for next steps of NPRI Project.

1. Milano (IT) meeting: 25 - 26 June 2019

1.1 Scope

The meeting was organized as first *in person* meeting with the scope of the drafting of an operational programme, derived from the Project ToR (see the "Collection of working documents and presentations", paragraph 1.1), and the preparation of the kick-off meeting, to be held in Athens (GR) on the following July.

1.1.1 Participants

The meeting was attended by:

#	Name	Surname	Organization	Cou nt.	E-mail
1	Pieter-Jan	Van Zanten	Omgevingsdienst Ijsselland	NL	P.van.Zanten@odijsselland.nl
2	Fabio	Carella	ARPA Lombardia	IT	f.carella@arpalombardia.it
3	Giuseppe	Sgorbati	ARPA Lombardia	IT	g.sgorbati@arpalombardia.it
4	Raffaella	Melzani	ARPA Lombardia	IT	r.melzani@arpalombardia.it
5	Chris	Dijkens	CJD Consulting	NL	chris.dijkens@gmail.com

1.2 Agenda of the meeting

The agenda used to manage the meeting is reported here:

1.3 Work done, support material and outputs of the meeting

The outputs of the meeting were:

a. a first operational activity planning (2019 and 2020 NPRI Projects): activities to be carried out to run the project, and which could be considered to be carried out by a consultant, or to be carried out in balance with support from the project group (the plan is available in the document "Collection of working documents and presentations", paragraph 2.1).

b. the first draft of the Agenda of Project Team Athens' meeting (see the Agenda in the paragraph regarding Athens' meeting)

1.4 Economics of the meeting

The expenses registered by the Project Coordinators are:

Type	Travels	Accomodations	Catering	Total
Amount	554,76 €	236,00 €	50,00 €	840,76 €

The economics of the meeting and of whole project have to be confirmed by the IMPEL Secretariat after collection and revision of statements of expenditure from Travel Agency and from project team members as direct expenditures with further reimbursement.

2. Athens (GR) meeting: 17 – 18 July 2020

2.1 Scope

The Project Team organized in Athens, on 17 – 18 July 2020, the kick-off meeting pf the Project, with the aim to refine, with the contribution of all the project team, the NPRI concept and to discuss and approve the Operational Planning drafted during the previous meeting in Milano.

2.2 Participants

The participants list is copied here below:

#	Name	Surname	Organization	Count.	E-mail
1	Marc	du Maine	Rijkswaterstaat	NL	marc.du.maine@rws.nl
2	Fabio	Carella	ARPA Lombardia	IT	f.carella@arpalombardia.it
3	Giuseppe	Sgorbati	ARPA Lombardia	IT	g.sgorbati@arpalombardia.it

#	Name	Surname	Organization	Count.	E-mail
4	Raffaella	Melzani	ARPA Lombardia	IT	r.melzani@arpalombardia.it
5	Alfredo	Pini	ISPRA	IT	alfredo.pini@isprambiente.it
6	John	Sayas	Greek Ombudsman	GR	sayas_ion@synigoros.gr
7	Angeliki	Bosdogianni	Greek Ombudsman	GR	grafeiosynigorou@synigoros.gr
8	Thalia	Statha	Special Secretariat of Inspectorate MoEE	GR	e.statha@prv.ypeka.gr
9	Sonia	Eleftheriadou	Director of Inspectorate of Southern Greece MoEE	GR	s.eleftheriadou@prv.ypeka.gr
10	Chris	Dijkens	CJD Consulting	NL	chris.dijkens@gmail.com

2.3 Agenda of the meeting

The agenda used to manage the meeting is reported here:

European Union Network for the Implementation and Enforcement of Environmental Law

NPRI Athens meeting
Draft Agenda
To be revised and approved at meeting opening

17th – 18th July 2019

Ministry of Environment & Energy, 119 Mesogeion Ave., 11526 Athens,
7th floor, **Room 728**

First day: Wednesday, 17th July 2019

Morning: 9:15 – 13:00

1. Welcome and introduction
2. Terms of reference – The rationale of the project
3. Discussion document - Aims and goals of the project – part 1. (draft document to be discussed – see attach 1)

Afternoon: 14:00 – 17:00

4. Discussion document - Aims and goals of the project – part 2. (draft document to be discussed – see attach)
5. Project approach, time schedule and deliverables (draft document to be discussed – see attach 2)
6. Questionnaire (step 2): draft to be discussed 1,5 h

Evening: 20:30 Dinner at 'Katsourbos' (https://katsourbos.gr/home/), 2 Aminta St., 11635 Athens
(for further details see Athens Practical Information document)

Second day: Thursday, 18th July 2019

Morning: 9:15 – 13:00

1. Recap of the first day 0,5
2. Project activities, next steps and division of the work 1
3. Logistics and organizational matters 1 h
4. Communications
5. AOB
6. Conclusions and closing of the meeting

2.4 Work done, support material and outputs of the meeting

a. Presentation of to the NPRI Project to help the project team to recap the principal steps that brought the Project coordinators to propose to the IMPEL General Assembly to develop the NPRI project, and to show the main experiences already carried out in the field. The PPT used is available in "Collection of working documents and presentations", paragraph 4.1.

b. Debate on NPRI Concept, based on the document "Discussion Document NPRI" (the reference text use as base for the debate is available in this "Collection of working documents and presentations", paragraph 3.1)

c. The operational activity planning (2019 and 2020 NPRI Projects) approved by the Project Team on the basis of the proposal of the Project Coordinators. This document available in the "Collection of working documents and presentations", paragraph 2.2.

d. The draft scheme for the survey on experiences with 'peer review' approaches and concepts, that is a part of the project . This document available in "Collection of working documents and presentations", paragraph 3.2

2.5 Economics of the meeting

The expenses registered by the Project Coordinators are:

Type	Travels	Accomodations	Catering	Total
Amount	1.406,89 €	1.450,62 €	500,00 €	3.357,51 €

The economics of the meeting and of whole project have to be confirmed by the IMPEL Secretariat after collection and revision of statements of expenditure from Travel Agency and from project team members as direct expenditures with further reimbursement.

3. Dordrecht (NL) meeting: 23 – 24 January 2020

3.1 Scope

The Project Team organized in Dordrecth (NL), on 23 – 34 Jaunary a Country Visit and Project Team meeting.

- The Country visit has been organized with the scope to share among Project Team Members the experiences conducted by Netherlands REPAs in the field of NPRI, instrument already in place and currently used on the base of a yearly program. Also a short tour to get in touch with the most important industrial installations in the Region has been done.

- In the Project Team meeting were discussed:
  o The general state of advancement of the project
  o First findings of the preliminary study on Peer Review approach in National and International Organizations
  o First analysis of the survey on experiences with 'peer review' approaches and concepts

3.2 Participants

The participants list is copied here below:

#	Name	Surname	Organization	Count.	E-mail
1	Pieter-Jan	Van Zanten	Omgevingsdienst IJsselland	NL	P.van.Zanten@odijsselland.nl
2	Marc	du Maine	Rijkswaterstaat	NL	marc.du.maine@rws.nl
3	Martine	Blondeel	Department of Environment & Spatial Development - Flemish Government.	BE	martine.blondeel@vlaanderen.be
4	Juha	Lathela	Ministry of the Environment	FI	Juha.Lahtela@ym.fi
5	Enis	Tela	State Inspectorate of Environment, Forestry and Water	AL	enis.tela@moe.gov.al
6	Paula	Malo	Portuguese Environment Agency (APA)	PT	ana.malo@apambiente.pt
7	Anabela	Rebelo	Portuguese Environment Agency (APA)	PT	anabela.rebelo@apambiente.pt
8	Fabio	Carella	ARPA Lombardia	IT	f.carella@arpalombardia.it
9	Giuseppe	Sgorbati	ARPA Lombardia	IT	g.sgorbati@arpalombardia.it
10	Raffaella	Melzani	ARPA Lombardia	IT	r.melzani@arpalombardia.it
11	Raffaella	Marigo	ARPA Lombardia	IT	r.marigo@arpalombardia.it
12	Adele	Lo Monaco	ARPAE Emilia Romagna	IT	alomonaco@arpae.it
13	John	Sayas	Greek Ombudsman	GR	sayas_ion@synigoros.gr
14	Angeliki	Bosdogianni	Greek Ombudsman	GR	grafeiosynigorou@synigoros.gr
15	Chris	Dijkens	CJD Consulting	NL	chris.dijkens@gmail.com

3.3 Agenda of the meeting

The agenda used to manage the meeting is reported here:

IMPEL National Peer Review Initiative (NPRI) Project 2019/21

Country Visit 1

Dordrecht, the Netherlands – 23th and 24th January, 2020

Omgevingsdienst Zuid-Holland Zuid
Johan de Wittstraat 140
3311 KJ Dordrecht
+31788885555
https://www.ozhz.nl/

First day – 23th January 2020
Exchange Visit

Nr.	Time	Programme item
1	09.00 - 09.15	Welcome by Ronald Visser, Director Omgevingsdienst Zuid-Holland Zuid
2	09.15 - 09.30	Introduction participants
3	09.30 - 10.15	Introduction background REPA's, scope of work, tasks and responsibilities (Marc de Maine and Koos Meijer)
4	10.15 - 10.30	Coffee break
5	10.30 - 11.15	Introduction principles of the Peer Review approach by the Dutch REPA's, Marc du Maine
6	11.15 - 12.00	Methodology of the Peer Review as used by the REPA's
7	12.00 - 12.20	Discussion
8	12.20 - 12.30	Short introduction of the region and visit
9	12.30 - 13.30	Lunch
10	13.30 - 15.00	Bus tour in region Zuid-Holland Zuid
11	15.00 - 16.30	Experiences with the Peer Review by REPA Omgevingsdienst Zuid-Holland Zuid and REPA Omgevingsdienst Midden- en West-Brabant, presented by Arian van Weerden, Otto van Neijenhof and Oskar de Mooij
12	16.30 – 17.00	Discussion, conclusions and closure

1

Synopsis of the topics presented in the meeting:

- **Principles of the Peer Reviews as carried out by the REPA's** (from pilot version till current situation) *(pt. 5)*

- **Methodology of the Peer Reviews as used by the REPA's**, including topics as:
  - Preparation
  - Team composition and selection of team members
  - Quality requirements (assessment framework) and indicators
  - Standardized agenda
  - Questionnaire and review
  - Interview techniques and procedures
  - Reporting and feedback
  - Connection with management and REPA Board (governance)
  - Follow-up
  - Strengths and weaknesses
  - Time consumption

  (pt. 6)

- **Presentation of Experiences carried out at different REPA's that have been assessed**
  - Selection of topics for the assessment
  - Experiences with the process and methodology
  - Report and internal discussions about the findings
  - Follow-up and implementation of opportunities for development
  - Experience with their governance structure on the Peer Review, the outcomes and follow-up
  - Strengths and weaknesses

  (pt. 11)

- **An overview of the environmental context:** tour by bus in the region, to see the environmental issues with which REPA Omgevingsdienst Zuid-Holland Zuid have to cope with.
  - 1 on 1 discussion and knowledge exchange
  - Drive by
    - Chemours (PFOA issues)
    - HVC (waste incinerator, heat supplier houses)
    - ZAVIN (hospital-waste incinerator)
    - FN-Steel (Steel industrie)
    - Kinderdijk (Unesco world heritage site)
    - Kijfhoek (marshalling yard, shunting at railyard)

  (pt. 8 and 10)

Bus Tour itinerary:
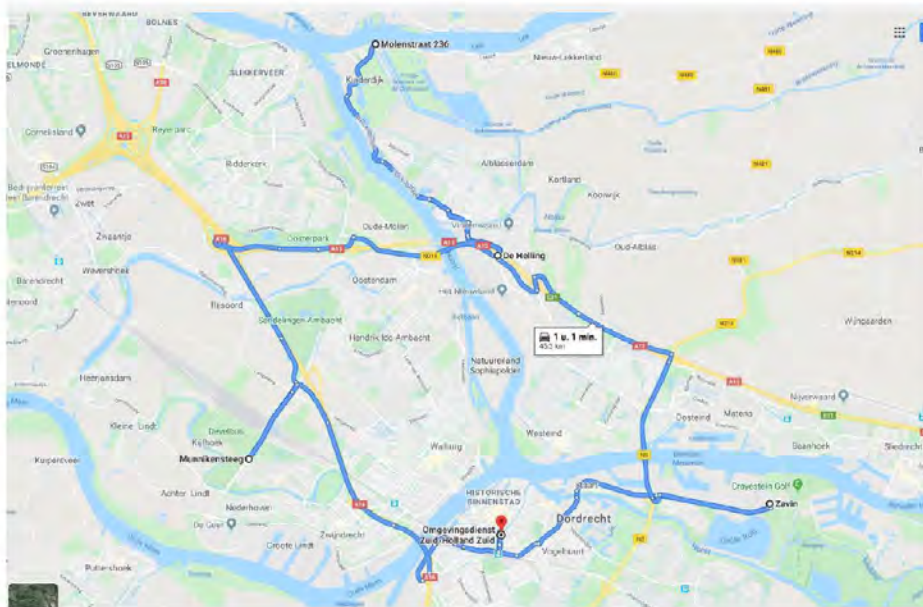
Second day – 24th January 2020

Meeting of the NPRI project team

Time	Agenda item
09.00 – 09.45	Discussion on the progress of the project (Giuseppe and Pieter-Jan)
09.45 – 10.30	Findings of the preliminary study (Chris)
10.30 – 10.45	Coffee break
10.45 – 11.30	Discussion
11.30 – 12.00	Analysis of the questionnaire and its findings (Thalia and Chris)
12.00 – 12.30	Discussion
12.30 – 13.15	Lunch break
13.15 – 15.00	Next steps (such as selection of country visits, conference etc.)
15.00 – 15.30	Conclusions, actions and next steps
15.30	Closure

The venue:

Omgevingsdienst Zuid-Holland Zuid
Johan de Wittstraat 140
3311 KJ Dordrecht
+31788885555
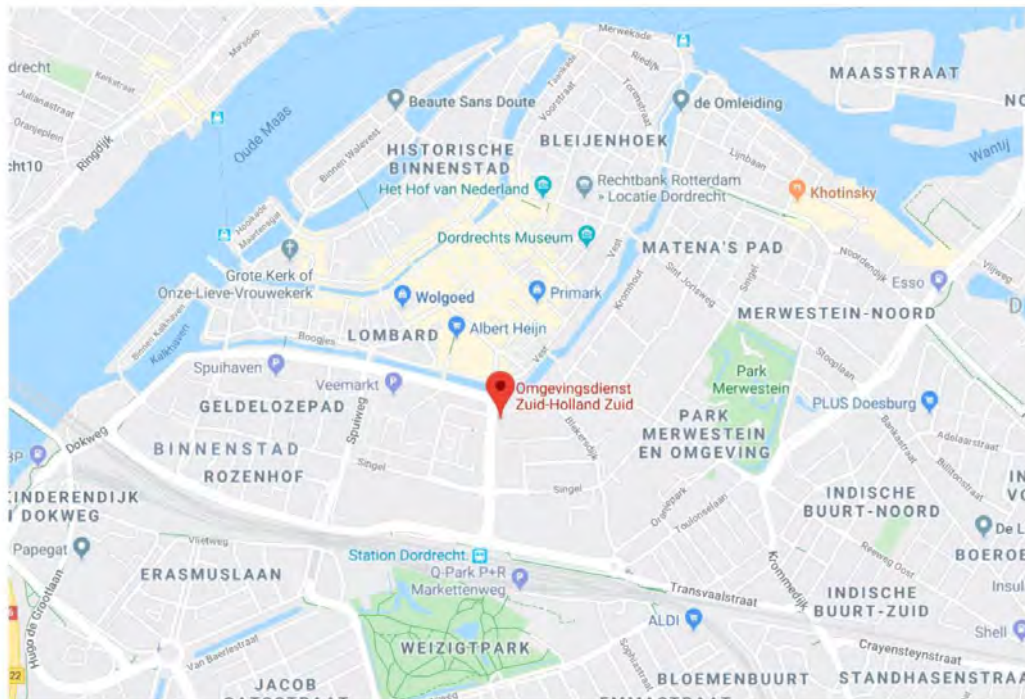
3.4 Work done, support material and outputs of the meeting

a. Introduction to the meeting, showing the state of the art of the project and the outcomes of the 2019's Helsinki IMPEL General Assembly. The PPT used is available in the "Collection of working documents and presentations", paragraph 4.2.

b. Presentation of the principles and of the methodologies implemented at REPA's to carry out the peer reviews in their network at National level. Discussion between Project Team members and REPA's representatives. Also the implementation in practice at REPA's of peer reviews has been showed to the project team. The PPTs showed are available in the "Collection of working documents and presentations", paragraphs 4.3.1 - 4.3.3.

c. Discussion on the Preliminary Study on Peer Review Approach adopted by six Organizations or Networks. The presentation used as base for the debate is available in this Report Attach "Working Documents", paragraph 4.3.4

d. Discussion on the outcomes of Questionnaire at the base of the Survey on experiences and approaches; the results of the discussion have been embedded in the final draft of the Survey report.

e. The state of advancement and the amendments to the project approved by the Project Team on the basis of the proposal of the Project Coordinators. This document available in this Report Attach "Working Documents", paragraph 2.3

3.5 Economics of the meeting

The expenses registered by the Project Coordinators are:

Type	Travels	Accomodations	Catering	Total
Amount	1830,10 €	2805,00 €	700,00 €	5.335,10 €

The economics of the meeting and of whole project have to be confirmed by the IMPEL Secretariat after collection and revision of statements of expenditure from Travel Agency and from project team members as direct expenditures with further reimbursement.

4. Virtual Country Visit in Italy and Project Team meeting: 24th March and 2nd April 2020 *(in substitution of the meeting planned in Rome – IT on 27th and 28th February, 2020)*

4.1 Foreword

The outbreak of the Covid-19 pandemic suddenly interfered with the work program of the Project Team, forcing to a deep modification of the planned activities. The Meeting planned and fully organized in Rome on 27th and 28th February, 2020 was cancelled on 24th February, 2020. As consequence, the expenses for hotels and travels already made through Travelperk were only partially refunded, because of the choice, in several cases of cheapest fare: the non refundable one.

In substitution of the Rome meeting, two teleconference meeting where held: a "virtual country visit in Italy", on 24 march 2020, and a Project team meeting on 2nd April, 2020. The teleconferences were sufficiently efficient and effective, preventing, anyway, all the advantages of "in person" meetings.

4.2 Virtual Country Visit 2 – Italy, 24th March 2020. Scope

The Country visit has been organized with the scope to share among Project Team Members the experiences conducted by Italian National System for Enviroment Protection (SNPA), in the field of NPRI, in the framework of Italian organization. Also the future perspective of the use of NPRI in the framework the homogenization of the behaviour of the 21 Italian instrument already in place and currently used on the base of a yearly program.

4.2.1 Participants

The participants list is copied here below:

#	Name	Surname	Organization	Count.	E-mail
1	Marc	du Maine	Rijkswaterstaat	NL	marc.du.maine@rws.nl
2	Arian	Van Veerden	Omgevingsdienst Midden- en West-Brabant	NL	A.vanWeerden@omwb.nl
3	Willem Jan	Van der Ark	Omgevingsdienst Zuid – Holland Zuid	NL	W.vander.Ark@ozhz.nl
4	Martine	Blondeel	Department of Environment & Spatial Development - Flemish Government.	BE	martine.blondeel@vlaanderen.be
5	Anabela	Rebelo	Portuguese Environment Agency (APA)	PT	anabela.rebelo@apambiente.pt
6	Alfredo	Pini	ISPRA	IT	alfredo.pini@isprambiente.it
7	Fabio	Carella	ARPA Lombardia	IT	f.carella@arpalombardia.it
8	Giuseppe	Sgorbati	ARPA Lombardia	IT	g.sgorbati@arpalombardia.it
9	Raffaella	Melzani	ARPA Lombardia	IT	r.melzani@arpalombardia.it
10	Raffaella	Marigo	ARPA Lombardia	IT	r.marigo@arpalombardia.it
11	Adele	Lo Monaco	ARPAE Emilia Romagna	IT	alomonaco@arpae.it
12	John	Sayas	Greek Ombudsman	GR	sayas_ion@synigoros.gr
13	Angeliki	Bosdogianni	Greek Ombudsman	GR	grafeiosynigorou@synigoros.gr
14	Thalia	Statha	Special Secr. Insp. MoEE	GR	e.statha@prv.ypeka.gr
15	Chris	Dijkens	CJD Consulting	NL	chris.dijkens@gmail.com
16	Bruno	Barbera	Volountary Consultant	IT	bruno61bar@gmail.com

4.2.2 Agenda of the meeting

The agenda used to manage the meeting is reported here:

NPRI Project 2019/21 *Country Visit 2*
Virtual Country Visit 2
Teleconference Meeting – 24 March 2020

Lifesize System
https://call.lifesizecloud.com/614365

Chairing: *Giuseppe Sgorbati*

Time	Agenda item
09.00 - 09.15	**Connection to the Teleconference System**
09.15 - 09.30	**Introduction of participants, introduction to the Meeting** - *Pieter-Jan van Zanten, Omgevingsdienst IJsselland and Giuseppe Sgorbati – SNPA, All*
09.30 – 10:00	**The Italian National System for Environment Protection (SNPA)** – *Alfredo Pini - ISPRA*
10:00 - 10.30	**Essential Levels of Environmental Provisions (LEPTA) as driver for the activities and the homogenization of SNPA** - The National Catalogue of Services – *Giuseppe Sgorbati, SNPA*
10:30 – 10:50	**Short Break**
10:50 – 11:00	**Why NPRI in Italy: casting IRI experience and values over SNPA** – *Fabio Carella and Raffaella Melzani - ARPA Lombardia Directorate General*
11:00 – 11:30	**Peer Review First Experience in Italy - IRI model transposed in Italy: preliminary study and visit at ARPA Campania** - *Adele Lo Monaco, ARPAE Emilia Romagna*
11:30 – 12:00	**A new Peer to Peer approach: Essential Levels of Provisions and Process Analysis** – *Raffella Marigo, ARPA Lombardia*
12:00 – 13:00	**Short recap, discussion, conclusions and closure** – *Giuseppe Sgorbati, SNPA and Pieter-Jan van Zanten, Omgevingsdienst IJsselland, All*

4.2.3 Work done, support material and outputs of the meeting

a. Description of the National and Regional Environmental protection system and their interlinkages: the SNPA and the administrative tasks attributer to the State, the Regions the Provinces and the Municipalities

b. The new Italian Environmental Law stating the Citizens' right of a minimum and Homogeneous level of provisions (activities) for the protection of the environment (the *LEPTAs*)

c. The scope of the use of NPRI in Italy: toward improvement and homogenization of the performances of the regional EPAs

d. First experiences in holding NPRIs

e. How to face the Assessment Framework challenge: quality, quantitative, costs standards

The PPTs used are available this Report Attach "Working Documents", paragraph this Report Attach "Working Documents", paragraphs 4.4.1 – 4.4.5

4.3 Virtual Meeting of the NPRI project team (2th April, 2020)

Among the activities included in the program of the Rome Meeting, cancelled, there were the advancements of the activity of the project. To cover this second part of the original program, a new Project Team meeting has been scheduled on 2th April, 2020.

4.3.1 Participants

The participants list is copied here below:

#	Name	Surname	Organization	Count.	E-Mail
1	Giuseppe	Sgorbati	ARPA Lombardia (Cons.)	IT	g.sgorbati@arpalombardia.it
2	Pieter -Jan	Van Zanten	Omgevingsdienst Ijsselland	NL	P.van.Zanten@odijsselland.nl
3	Fabio	Carella	ARPA Lombardia	IT	f.carella@arpalombardia.it
4	Darko	Blinkow	State Environmental Inspectorate	MKD	d.blinkov@sei.gov.mk
5	Angeliki	Bosdogianni	Greek Ombudsman	GR	gl@synigoros.gr
6	Blondeel	Martine	Department of Environment & Spatial Development - Flemish Government.	BE	martine.blondeel@vlaanderen.be
7	Melzani	Raffaella	ARPA Lombardia	IT	R.MELZANI@arpalombardia.it
8	Marigo	Raffaella	ARPA Lombardia	IT	R.MARIGO@arpalombardia.it
9	Lo Monaco	Adele	ARPAE Emilia Romagna	IT	alomonaco@arpae.it
10	Pini	Alfredo	ISPRA	IT	alfredo.pini@isprambiente.it
11	Marc	Du Maine	Rijkswaterstaat	NL	marc.du.maine@rws.nl
12	Willem Jan	van der Ark	Omgevingsdienst Zuid – Holland Zuid	NL	W.vander.Ark@ozhz.nl
13	Ary Bastiaan	van Weerden	Omgevingsdienst Midden- en West-Brabant	NL	A.vanWeerden@omwb.nl
14	Ana	Malo	Portuguese Environment Agency (APA)	PT	ana.malo@apambiente.pt

4.3.2 Agenda of the meeting

Time	Agenda item
09.30 – 10.00	Progress of the project and actions of previous meetings (Dordrecht (23 January) and the video conference on 24 March. Also, the formal closure of the 2019 project will be discussed (Giuseppe and Pieter-Jan).
10.00 – 10.45	Presentation draft NPRI scheme, discussion received comments and way forward (Chris).
10.45 – 11.00	Short break
11.00 – 11.30	Assessment Framework NPRI and way forward (discussion based on received comments on discussion document and after the Italian presentations on 24 March)
11.30 – 12.00	Approach Support programme NPRI and way forward (discussion based on received comments on discussion document)
12.00 – 12.45	Discussion on the second phase (2020/2021) of the NPRI project, including amongst others: • Information received from the IMPEL Chair on timelines and finances (related to the Covid-19 crisis) and impact on the project • Terms of Reference • Start of the project • Identification of key events • Identification of countries to test the NPRI methodology • In person meetings, seminars and conference • How to gain broad interest for the NPRI approach within IMPEL (Giuseppe, Pieter-Jan)
12.45 – 13.00	Conclusions, actions next steps and closure (Giuseppe and Pieter-Jan).

4.3.3 Work done, and outputs of the meeting

1) During the introduction, it was recalled the recent request from the Board to re-write the ToRs for the year 2020, already approved by the General Assembly, formerly to be implemented in the time frame January – December 2020 and, later, in the period April – December. Now the period to work out the projects is July – December, and this choice required to change in dept the previous Tor. The new ToR has been already prepared and sent to IMPEL Secretariat for submission to the General Assembly, because it actually is, administratively and technically, a new one.
The new ToR has already sent to the Project Team and will be illustrated and discussed in detail in next meeting.

2) The main part of the meeting was spent to present and discuss the present draft of the final report.

It was recalled the need to make so that the NPRI scheme, outcome of our work, will be represented as a flexible one, and important will be put in explaining that the NPRI logic have to be deeply adapted to the reality and needs of the Country/Network that want to implement the scheme.

Many points still needs to be discussed in the Project team and in particular the Assessment Framework and the Support Programme, and the Project team decided to entrust three groups in a specific *task force*.

A part of the discussion was oriented to find out the way in which spread the results of the work, gaining further adhesions to the project and evocating the idea to implement a NPRI scheme adapted to specific needs. This action is already a part of the amended ToR that will be submitted to the General Assembly but it to be discussed in detail and next project meeting will be aimed at this goal.

To do list as outcome of the meeting:

- Giuseppe: to draft and agenda and to seek for dates to hold, in short time, a further teleconference to complete discussion on the topic of the agenda not discussed today
- Chris and Giuseppe: to define a bullet list of topic of interest regarding Assessment Framework
- A "task force" will be constituted to discuss and present proposals to the Project Team regarding "Assessment Framework" for further development of the topic in the project report. The proposed members of this TF are Arian, Marc (NL), Giuseppe, Fabio, Raffaella Ma, Raffaella Me (IT), Anabela (PT)
- Pieter Jan, Chris and Giuseppe will discuss the theme of Support Program and Network in the development of NPRI capabilities and Structure

4.4 Economics of the meeting

As already mentioned, the outbreak of the Covid-19 pandemic forced the Project Team to cancel the Meeting planned and fully organized in Rome on 27th and 28th February.

As consequence, the expenses for hotels and travels already made through Travelperk were only partially refunded.

Here below are summarized the expenses made to organize the Rome meeting. The refunds obtained on cancelled reservations are not calculated in this summary, because the Project Team is not completely aware of the reservations that were actually refunded to Travelperk and, by consequence, to be deducted from the cost of the meeting.

Type	Travels	Accomodations	Catering	Total
Amount	2998,29 €	2811,71 €	-0-	5810,00 €

The economics of the meeting and of whole project have to be confirmed by the IMPEL Secretariat after collection and revision of statements of expenditure from Travel Agency and from project team members as direct expenditures with further reimbursement.

5. Further work virtual meetings: Assessment Framework discussion and documents

During the Project Team meeting held by teleconference on 2th April 2020, it was decided to establish a *task force* that would go in deep of this crucial topic, starting from a preliminary discussion document

already drafted (see ref. 3.3.1 in the "Collection of working documents and presentations), with the purpose to set the basis for a specific chapter in the NPRI Methodology guidance.

The *task force* met by teleconference on 16th april 2020 to share the specific work program; in the following weeks the task force produced the planned documents.

The *task force* composition, the assigned topics and the reference of these documents were:

Project Team Members	Topic	Ref. in the "Collection of working documents and presentations"
Anabela	Measuring performance: performance principles and performance indicators	3.3.2
Marc and Arian	What is an assessment framework	3.3.3
Giuseppe and Raffaella Mlz	The organization to be reviewed, the network context it belongs to, scoping and the assessment framework	3.3.4
Fabio, Raffaella Mrg and Adele	Examples of assessment framework in the peer review approaches	3.3.5

IMPEL NPRI
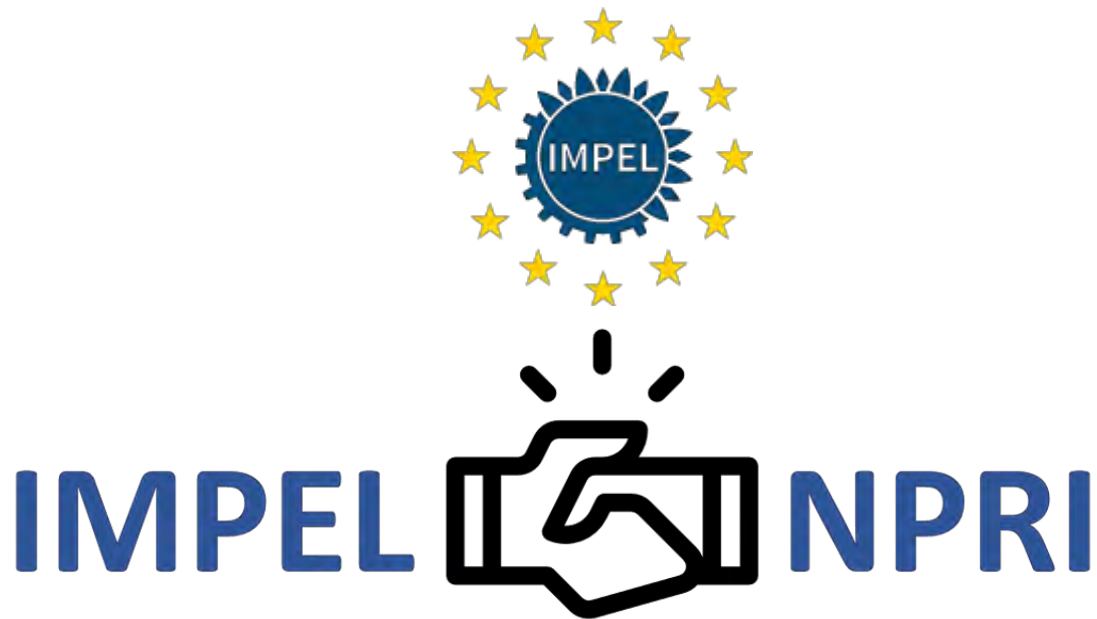
National Peer Review Initiative

IMPEL Project 2019/21

Phase one

Collection of working documents and presentations delivered during meetings

July 2020

Summary

0. Foreword

In this section, all the documents relevant to trace the activities developed during the IMPEL NPRI Project 2019/21 were collected.

This attach of the Activity Report has been conceived not only with the aim of make available the complete history of the Project and to show the dimension of the actual work commitments deployed in the project, but also to put at disposal of a wider audience in IMPEL all the documents deemed to be important for the development of the discussion about NPRI and also for the knowledge of the organization of IMPEL's Members, in the perspective of good and best practice exchange.

The documents gathered in this attach are grouped in this way:

1) Programs and state of advancement of the Project that tracks the way in which the ToR has been practically implemented
2) Discussion documents on specific topics in the perimeter of the Project, produced to make easy the discussion in the Project Team and the output/outcome of the work consequently developed
3) Presentations held during the project meetings
4) Presentation and documents regarding the Country visits made along with the Project Team meetings with the scope to share information regarding EPA's organization in the visited Countries and to share experiences already gained in NPRI practice or in related topics

1. Project Term of Reference

The ToR of the project that follows has been approved during the IMPEL General Assembly held in Helsinki (Finland) on 19 – 20 November 2019.

TOR Reference No.:	Author(s): Giuseppe Sgorbati (IT), Pieter-Jan van Zanten NL), Fabio Carella (IT)
Version:	Date: 2018-12-20

TERMS OF REFERENCE FOR WORK UNDER THE AUSPICES OF IMPEL

1. Work type and title

1.1 Identify which Expert Team this needs to go to for initial consideration

Industry	☐
Waste and TFS	☐
Water and land	☐
Nature protection	☐
Cross-cutting – tools and approaches -	☑

1.2 Type of work you need funding for

Exchange visits	X
Peer reviews (e.g. IRI)	☑
Conference	☐
Development of tools/guidance	☑
Comparison studies	☑
Assessing legislation (checklist)	☐
Other (please describe):	☐

1.3 Full name of work (enough to fully describe what the work area is)

Definition of the scheme(s) for National Peer Review Initiatives (NPRI), with the aims of IRI, but at national level.

1.4 Abbreviated name of work or project

National Peer Review Initiative - NPRI

2. Outline business case (why this piece of work?)

2.1 Name the legislative driver(s) where they exist (name the Directive, Regulation, etc.)

COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS EU actions to improve environmental compliance and governance (18.1.2018 COM(2018) 10 final) - Action 1 "Improve deployment of environmental compliance assurance expertise across the EU by means of peer reviews, joint enforcement actions, compliance assurance visits and use of the TAIEX-EIR Peer2Peer tool"

Template for IMPEL TOR – Final version: 07.08.2014

Page 1 of 10

5

2.2 Link to IMPEL MASP priority work areas	
1. Assist members to implement new legislation	☐
2. Build capacity in member organisations through the IMPEL Review Initiatives	☑
3. Work on 'problem areas' of implementation identified by IMPEL and the European Commission	☑

2.3 Why is this work needed? (background, motivations, aims, etc.)

Beside IRI, founded on the cooperation of IMPEL Members, from different Members States, to foster the process of implementation of the European Environmental Legislation through a peer to peer approach, more than one Country feels the need to deploy an instrument based on the same 'peer-to-peer concept' at the National Network level or (sub) regional level.

Public responsibilities for the implementation of environmental law at national level, are often implemented at a decentralised level (provinces, regions and municipalities), or through a network of "sister organizations". Also offices of the same central body, distributed over the country can have the responsibilities for implementation, based on the principle of territorial competence.

A National network could encounter many challenges in term of homogeneity, such as different behaviours, interpretations, time of responses, technical approaches in the implementation of the European and National Environmental Laws. This situation constitutes potentially a problem at National level, because it generates differences in citizens' services in the environmental field, but may constitute as well a strong drag in the implementation of the EU environmental acquis, at least at the level of homogeneity and harmonisation.

Based on these considerations, two Countries, Italy and The Netherlands, built experiences in the conduction of National Peer Review Initiatives (NPRI), and decided to use the NPRI as a fundamental and statutory instrument for the harmonisation of the approaches of the National Network. These experiences were shared and discussed in a number of IMPEL activities in last 12 months: the 2017 IMPEL General Assembly in Tallinn, the 2018 Extraordinary General Assembly in Brussels and the 2018 IMPEL Conference in Zwolle. The theme was also discussed at IMPEL Experts Level in a special workshop held in Treviso in June 2018, and in an "IRI Ambassadors Meeting" held in Zwolle in August 2018. All these activities together set the basis for a project aiming at the systematization of the NPRI approach.

2.4 Desired outcome of the work (what do you want to achieve? What will be better / done differently as a result of this project?)

The aim of this project is to develop a systematic approach for a NPRI, based on flexibility and specific country needs.

The desired outcome is the increase of the capability, at State level, to understand the degree of homogeneity and harmonisation of the performance of the bodies competent in environmental matters: inspection, permitting, planning, to share good practices and to foster all the processes in order to contribute to a better and homogeneous and harmonised implementation of environmental legislation.

The project is aimed to set the basis for a better understanding of the common needs within a network (e.g.: training, common rules and documents, type of instruments and technical support) and to determine mutual help that could be delivered within or by the National Network to achieve these results.

To achieve these results, the Project will provide IMPEL Members with an autonomous capacity to develop a customized NPRI scheme, to implement it, supporting these Organizations with a

adequate support.

The project, by consequence, will develop a nucleus of experts able to implement/improve the NPRI's in their Country; these experts at the meantime, will be able to support the implementation of NPRI in other Countries.

2.5 Does this project link to any previous or current IMPEL projects? (state which projects and how they are related)

The project represents a development, on national basis, of Impel Review Initiative principles and aims.

3. Structure of the proposed activity

3.1 Describe the activities of the proposal (what are you going to do and how?)

1st year

In the first year, the project is aiming at the definition of Guidelines, for National Networks, to develop regional and local peer reviews.

This goal will be achieved through the following activities:

1) preliminary study of the experiences of NPRI already in place: questionnaire, meetings (workshop) for discussion and analysis;
2) Exchange visits in Countries that already use NPRI, to get in touch and discuss the conceptual framework on which these activity are based, how the model is implemented in practice, the output of the activity and its outcomes; If possible, the project team will also attend NPRI's for a direct contact and dialog
3) definition of 'NPRI concept', and a Reference Text containing good practices, experiences, guidelines, as a base for organizations interested in NPRI development and implementation;
4) study of the possibility on how IMPEL could facilitate, with the support of experienced experts, the development of NPRI in countries (also taking into consideration the possibility to connect these activities with the Taiex P2P initiative)

2nd year The 2nd second year's of activity will be based upon the outcomes and opportunities stemming from the 1st year's project and will be characterized by visits to Countries interested in the development of NPRI.

In the 2nd year, IMPEL Project Team will support Organizations in the development of customized schemes based of specific Country's needs. This support will be delivered through visits in which the Project Team will provide for expertise and advice to help the start up of the initiative.

Taking advantage of these experiences the scheme for development of NPRI will be further improved.

The aim of the second year of activity will be also the set up of a team of experts in NPRI with the scope to supply assistance to other Countries that want to implement the NPRI scheme or to expand it in areas . The projectr will provide for a further improvement of the reference text and of the 'NPRI concept'.

3.2 Describe the products of the proposal (what are you going to produce in terms of output / outcome?)

1) Analysis and report on the experiences already in place, comparison of aims, techniques and

instruments.

2) Building of common experiences regarding NPRI, with national experts and Project team members, taking part to some selected national activities as observers.
3) A draft of a first Reference text and 'NPRI concept'.
4) Definition of the framework and Guidelines for the support that IMPEL could deliver to foster the development and implementation of the NPRI project.
5) Development of a Team of Experts able to foster NPRI activities in other IMPEL member Organizations and Countries.
6) Conference / Workshop of NPRI experiences.

3.3 Describe the milestones of this proposal (how will you know if you are on track to complete the work on time?)

The milestones of the project are synthetically listed below.

1st year:

1) March - Peparatory meeting
2) May – June - Country Visit to share NPRI activities (1)
3) September – October - Country Visit to share NPRI activities (2)
4) September – October - Final meeting (BtB with event 2)
5) November – December – Final Workshop

2nd YEAR

1) March - Country Visit to support NPRI development (1)
2) May - June - Country Visit to support NPRI development (2)
3) September -October - Country Visit to support NPRI development (3)
4) Novembre – Dicember - Workshop / Training for NPRI implementation

3.4 Risks (what are the potential risks for this project and what actions will be put in place to mitigate these?)

No substantial risks involved.

4. Organisation of the work

4.1 Lead (who will lead the work: name, organisation and country) – this must be confirmed prior to submission of the TOR to the General Assembly)

Co-Coordinators: Italy and the Netherlands

4.2 Project team (who will take part: name, organisation and country)

–Italy, The Netherlsnds, Greece (TBC), Slovakia (TBC), Germany (TBC) – Other Contries upon GA members proposals

4.3 Other IMPEL participants (name, organisation and country)

-tbd-

4.4. Other non-IMPEL participants (name, organisation and country)

-tbd-

5. High level budget projection of the proposal. In case this is a multi-year project, identify future requirements as much as possible

	Year 1 (exact)	Year 2	Year 3	Year 4
How much money do you require from IMPEL?	49670 €	49195 €		
How much money is to be co-financed	0			
Total budget	49670 €	49195 €		

6. Detailed event costs of the work for year 1

	Travel € (max €360 per return journey)	Hotel € (max €90 per night)	Catering € (max €25 per day)	Total costs €
Event 1 *Preparatory meeting* *–March 2019* *TBD* *8* *2*	2880	1440	400	4720
Event 2 *Country Visit – Share experiences 1* *May - June 2019* *TBD* *8* *3*	2880	2160	600	5640
Event 3 *Country Visit - Share experiences 2* *September – October 2019* *TBD* *8* *3*	2880	2160	600	5640
Event 4 *Final Meeting (BtB with event 3)* *September - October 2019* *TBD*	360	720	200	1280

8				
1				
Event 5				
Final Workshop				
November – December 2019	7560	3780	1050	12390
TBD				
21				
2				
Total costs for all events	16560	10260	2850	29670

7. Detailed other costs of the work for year 1

7.1 Are you using a consultant?	☑ Yes ☐ No
7.2 What are the total costs for the consultant?	12000 €
7.3 Who is paying for the consultant?	IMPEL
7.4. What will the consultant do?	Elaborate outcomes of the different phases of the project in form of reports; drafting of Reference Texts and NPRI Concept ; support in the coordination of the meetings
7.5 Are there any additional costs?	☑ Yes Namely: 8000 €
7.6 What are the additional costs for?	editorial support and translations
7.7 Who is paying for the additional costs?	IMPEL
7.8. Are you seeking other funding sources?	NO
7.9 Do you need budget for communications around the project? If so, describe what type of activities and the related costs	NO

8. Detailed event costs of the work for year 2 (TBC on the basis of the outcomes of year 1 project)

	Travel € (max €360 per return journey)	Hotel € (max €90 per night)	Catering € (max €25 per day)	Total costs €
Event 1 *Country visit for Support 1* *March 2020* *TBD* *8* *3*	2880	2070	575	5525
Event 2 *Country visit for Support 2* *May - June 2020* *TBD* *8* *3*	2880	2160	600	5640
Event 3 *Country visit for Support 3* *September – October 2020* *TBD* *8* *3*	2880	2160	600	5640
Event 4 *Workshop – Training for NPRI Implementation* *November – December 2020* *TBD* *21* *1*	7560	3780	1050	12390
Total costs for all events	16200	10170	2825	29195

9. Detailed other costs of the work for year 2 (TBC on the basis of the outcomes of year 1 project)

7.1 Are you using a consultant?	☑ Yes ☐ No
7.2 What are the total costs for the consultant?	12000€
7.3 Who is paying for the consultant?	IMPEL
7.4. What will the consultant	Elaborate outcomes of the different phases of the project in form

do?	of reports; Improvement of Reference Texts and NPRI Concept ; support in the coordination of the meetings – teaching in training sessions
7.5 Are there any additional costs?	Yes Namely: 8000 €
7.6 What are the additional costs for?	editorial support and translations
7.7 Who is paying for the additional costs?	IMPEL
7.8. Are you seeking other funding sources?	NO
7.9 Do you need budget for communications around the project? If so, describe what type of activities and the related costs	NO

10.Communication and follow-up (checklist)

	What		By when
8.1 Indicate which communication materials will be developed throughout the project and when *(all to be sent to the communications officer at the IMPEL secretariat)*	TOR ˅ * Interim report ˅ * Project report ˅ * Progress report(s) ˅ Press releases News items for the website ˅ * News items for the e-newsletter Project abstract ˅ * IMPEL at a Glance ˅ Other, (give details):	☐ ☑ ☑ ☐ ☐ ☐ ☐ ☐ ☐ ☐	June 2019 December 2019 Spring 2020 December 2020 (if + when necessary)
8.2 Milestones / Scheduled meetings (for the website diary)	tbd		
8.3 Images for the IMPEL image bank	☑ Yes ☐ No		
8.4 Indicate which materials will be translated and into which languages	tbd		
8.5 Indicate if web-based tools will be developed and if hosting by IMPEL is required	tbd		
8.6 Identify which groups/institutions will be targeted and how	Member Organization structured as network or that are part of a national network		
8.7 Identify parallel developments / events by other organisations, where the project can be promoted	tbd		

˅) *Templates are available and should be used. *) Obligatory*

11.Remarks

Is there anything else you would like to add to the Terms of Reference that has not been covered above?

In case of doubts or questions please contact the
IMPEL Secretariat.

Draft and final versions need to be sent to the
IMPEL Secretariat in word format, not in PDF.

Thank you.

2. Planning and state of advancement of the Project that tracks the way in which the ToR has been implemented in practice

2.1. First release approved during Milano (IT) meeting (25 - 26 June 2019)

Activities to be carried out to run the project, and which could be considered to be carried out by a consultant, or to be carried out in balance with support from the project group:

YEAR 1

STEP	ACTIVITY	SCHEDULE
Step 1: **Project meeting (start-up)**	• Organising and facilitating a first meeting of the project group to obtain an agreed understanding of the project, its goals, the expected outcomes and deliverables, timelines, as well as the methodologies to be used to achieve the desired results. A report of the meeting will be drafted. (5)	**24 – 25 June 2019**

Step 2:
 	
Preliminary study
	• Carrying out a preliminary study on experiences with peer reviews within European countries (at a national, regional, local and organisational level)
	
	    o Study and review of relevant documentation regarding (experiences with) 'peer reviews' (2)
	
	    o Development of a questionnaire (Survey Monkey) to extract information from countries on experiences and to identify (specific) needs (2)
	
	    o Reviewing and analysing the results of the questionnaire (2)
		July – September 2019

	o In depth interviews with representatives of selected countries who have experiences with the implementation of a (national) peer review concept or who expressed a need to implement peer reviews (3)	**September – December 2019**
	o Selection of two countries for a visit to obtain a better understanding of their experiences with a peer review approach, to learn their best practices and to discuss specific needs. The outcome of the visits will feed in the preliminary study, as well as in drafting a National Peer Review Concept and related flexible options.	
	o Preparation, organising, attending and reporting of the country visits (5)	
	o Drafting a draft report of the preliminary study (3)	
	• Preparing and facilitating the second project group meeting and a 'back-to-back' international workshop to discuss the results of the preliminary study. A report of the meeting and workshop will be drafted. (5)	**Early December 2019**
	o Finalising the report of the preliminary study, containing (as a minimum): (4)	
	▪ A general overview of experiences with Peer Reviews in Europe	
	▪ Analysis and discussion	
	▪ Good practices	
	▪ Strategic direction of a concept of a NPRI	

YEAR 2

Step 3:	• Developing a concept for a (national) peer review, including options for needs at regional, local and organizational level (including approaches for peer reviews focusing on inspection, permitting, planning etc.). The concept will be flexible and will give guidance to a customized NPRI scheme (3)	**12**	**January – March 2020**
Development of a National Peer Review concept			
	• Developing guidance material on how to carry out the concepts of a NPRI (3)		
	• Exploring and describing on how experts within a country, IMPEL and/or international experts (through the TAIEX P2P initiative) can facilitate the implementation of the NPRI concept (0,5)		
	• Developing a proposal on 'testing' the NPRI concept, including testing at national, regional and local level, as well as at organisational level (0,5)		
	• Organising and facilitating an in-person meeting of the project group to: (5)		**March 2020**
	○ discuss the draft NPRI concept and guidance material		
	○ develop a (customized) NPRI scheme based on (specific) country needs		
	○ select countries and/or organisations who are interested in carrying out an NPRI		

Step 4: **Testing and implementation of the NPRI concept**	• Execution of an NPRI in the selected countries with assistance and support of (IMPEL) experts (10) • Evaluation of the results of the country visits and adjustments of the NPRI concept (and its options), reference material and guidance material (1) • If needed to revise the NPRI concept based on the results if the NPRI's carried out and their evaluation (1) • Finalising the deliverables of the project (NPRI concept, reference text and guidelines) (3)	**15**	**April – July 2020**
Step 5: **Development of a support mechanism**	• Establishing a pool of experts, composed of (IMPEL) volunteers from a variety of countries and organizations, covering those areas where the countries expressed their needs (based on the preliminary study, country visits and testing of the NPRI in steps 2 and 4), and who can support and assist on request (1) • Development of a training and a 'trainer the trainer' programme for experts who can deliver on request support and assistance to countries who want to carry out a NPRI scheme (2)	**3**	**August – October 2010**
Step 6: **Final workshop or conference**	• To organize and facilitate a final workshop or conference to present and discuss the results of the project and to encourage countries to implement the NPRI concept (5)	**5**	**November 2020**

2.2. Second release with amendments approved during Athens (GR) meeting (17 – 18 July 2019)

IMPEL project National Peer Review Initiative (NPRI)
rev. 29th, July 2019

Activities, with time schedule to be carried out to run the project on a two year span:

YEAR 1

STEP	ACTIVITY	SCHEDULE
Step 1: **First Analysis and Activity Planning**	**1.1 Pre-meeting** Pre-meeting of the small group of promoting countries of the NPRI project (Italy and the Netherlands) in Milan to discuss the general approach and to prepare the first meeting of the project group in Athens	*24 – 25 June 2019*
	1.2 Project meeting (start-up) The first meeting of the NPRI project group (to be held in Athens – Greece) to obtain an agreed understanding of the project, its goals, the expected outcomes and deliverables, timelines, as well as the methodologies to be used to achieve the desired results. A report of the meeting will be drafted.	*16 – 18 July 2019*
Step 2: **Preliminary study** Carrying out a preliminary study on experiences with peer reviews within European countries (at a national, regional, local and organisational level)	**2.1 Study of documents regarding relevant existing experiences** Study and review of relevant documentation regarding (experiences with) peer reviews. Amongst others documentation of OECD, IMPEL IRI's, UNECE. TAIEX P2P and European Commission will be studied. *Who:* • Chris	*August – October 2019*

	2.2 Survey of activities similar to NPRI carried out at IMPEL Members: Development and circulating a questionnaire (Survey Monkey or similar tool; target: National Coordinators and Expert Team Leaders) to extract information from countries on experiences and to identify (specific) needs. *Who:* • Chris and Thalia to draft and analyse • Rest of the Project Team: to contribute with comments	• *By the first / second week of August 2019:* preparation and circulating questionnaire in IMPEL Community • *By third / fourth week of September* Answers deadline
	2.3. Reviewing and analysing the results of the questionnaire First analysis of survey outcomes Who: • *Chris and Thalia to draft and analyse* • *Rest of the Project Team: to contribute with comments*	• *By first week of October* End of first data analysis -draft of the report circulating in Project Team • *By third week of October* Project Team to send back comments • *By fourth week of October* Send report to IMPEL Secretariat to present it to the General Assembly
	2.4 In-depth interviews with representatives of selected countries and organisations To deepen knowledge of experiences already in place with the implementation of a peer review concept (at national, local, network level) or who expressed a need to implement peer reviews Updating of the survey analysis with results of the consultation Who: • *Chris and Thalia*	• *By the first week of October* Contacts with IMPEL colleagues • *By the third week of October* Updating of the draft Report
	2.5 Diffusion of the firsts results in IMPEL Network	• *By fourth week of October*

	A release of the questionnaire study will be sent to the General Assembly to rise interest and foster participation in 2020 project follow-up. Who: • *Project Leaders*	Send report to IMPEL Secretariat
	2.5 Setting up and presentation of NPRI second year ToR A new ToR for second year of the project will be drafted considering the new FPA funding mechanism Who: • *Project Leaders, Project Team*	• *By fourth week of October* Send ToR to IMPEL Board
Step 3: **Field Study** Obtaining a better understanding of peer review approach in selected countries	**3.1 Organization of country visits:** First visits: in the Netherland and Italy and if possible, a third one, to obtain a better understanding of their experiences with a peer review approach, to learn their best practices and to discuss specific needs. The outcome of the visits will feed in the preliminary study, as well as in a (flexible) National Peer Review Concept that will be drafted. Who: • *Project Leaders, Project Team*	• *By the end of October* Definition of the draft agenda of the visits, definitions of the dates (including in case the third visit if a further host has been individuated)
	3.2 Making visits Execution of the Visits Who: • *Project Team*	• *Period December 2019 – January 2020*
	3.3 Visits Report Drafting Preparation of the report of Country visit; this text will be a part of the first year's final project report Who:	• *By the end of February*

	• *Chris, Project Leaders*	
Step 4 **Final meetings and reporting**	**4.1 First drafting of the first year's project report, preparation of the second project group meeting and a 'back-to back' international workshop** With the aim to prepare at best the final report of the first year's activities, the last project team meeting and the workshop, in the period December 2019 – February 2020, the project team will work circulating the parts of the report and will hold teleconferences. Who: • *Project Leaders, Project Team*	• *Period: December 2019 – February 2020* First draft of the first year's report, definition of the draft agenda of the meetings, definition of location and of the dates
	4.2 Carrying out of the second project group meeting and of the 'back-to back' international workshop To discuss the results of the 2019 study, to plan 2020 activities, to spread first results and increase partnership. The final "in person" meeting could be preceded by teleconference(s). Also the draft outline of the NPRI methodology will be discussed through brainstorming. The expectation is that 12 countries with a maximum of 20 – 21 participants will join the workshop. A report of the meeting and workshop will be drafted, to be included in the final 2019 project report Who: *Project Leaders, Project Team, IMPEL Members*	• *Period: end of March 2020* Final discussion in an enlarged audience to refine concepts and launch the second year's program.
	4.3 Drafting of the 2019 Final Report, The report will be drafted on the basis of the preliminary study and further activities, and it will contain (as a minimum): ▪ A general overview of experiences with Peer Reviews in Europe	• *Early April 2020* Send the draft to the General Assembly for approval

| | ▪ Analysis and discussion
▪ Good practices
▪ Strategic direction of a concept of a NPRI

The report, if possible, will be made with the use of a more updated and interactive instrument.

Who:
• *Chris, Project Leaders, Project Team members* | |

YEAR 2

| **Step 1:**

Development of a National Peer Review concept; | • Developing a concept of a (national) peer review, including flexible options for needs at regional, local and organizational level (including approaches for peer reviews focusing on inspection, permitting, planning etc.). The concept will be flexible and will give guidance to a customized NPRI scheme

• Developing draft guidance material on how to carry out the concepts of a NPRI and the way of reporting

• Exploring and describing on how experts within a country, IMPEL and/or international experts (through the TAIEX P2P initiative) can facilitate the implementation of the NPRI concept

• Developing a proposal on 'testing' the NPRI concept, including testing at national, regional and local level, as well as at organisational and process level;
• Third in-person meeting of the project group to: | *January 2020 – March 2020*

January 2020 – March 2020

March 2020 – April 2020

May 2020

June 2020 |

	o discuss the draft NPRI concept and guidance material o discuss the status and ownership of the concept, reports and guidance material o develop a (customized) NPRI scheme based on (specific) country needs o select countries and/or organisations who are interested in carrying out an NPRI and to test the NPRI concept	
Step 2: **Testing and implementation of the NPRI concept**	• Execution of an NPRI in the selected countries with assistance and support of (IMPEL) experts; the second year ToR will give indication about the number of 'tests' and the related budget • Update for the GA • Evaluation of the results of the country visits and revision and adjustments of the NPRI concept (and its options), reference material and guidance material • Finalising the deliverables of the project (NPRI concept, reference text and guidelines) • Fourth meeting of the project group to discuss the draft deliverables and to discuss next steps, including preparatory work for organising the final workshop or conference.	*September 2020 – October 2020* *October 2020* *November 2020* *December 2020* *January 2021*
Step 3: **Development of a support mechanism Netherlands and Italy**	• Establishing a national and international pool of experts, composed of (IMPEL) volunteers from a variety of countries and organizations, covering those areas where the countries expressed their interest (based on the preliminary study, country visits and testing of the NPRI in steps 2 and 4), and who can support and assist on	*November 2020 – December 2020*

	request. The international pool is in particular tasked with helping interested countries to implement the NPRI. • Development of a training and a 'training the trainers' programme for experts who can deliver on request support and assistance to countries who want to carry out a NPRI scheme, It will be evaluated the possibility to make available modern instruments for spreading NPRI and for its training (e.g.: E-Learning tools)	
Step 4: **Decision for the way forward of the project and Final Workshop or Conference**	• On the basis of the two year experience of the project, its team will evaluate a proposal on how to follow-up the activities; the results of the project and its followup will be exposed and discussed in a specific second year's final Workshop	*Late March 2021*

2.3. Third release with amendments approved during Dordrecht (NL) meeting (23 – 24 January 2020)

IMPEL project National Peer Review Initiative (NPRI)

Program of Activities – and Status Report
(rev 28th, January 2020)

YEAR 1

Done	Ongoing	To be done

STEP	ACTIVITY	SCHEDULE
Step 1:	**1.1 Pre-meeting**	*24 – 25 June 2019*

First Analysis and Activity Planning	Pre-meeting of the small group of promoting countries of the NPRI project (Italy and the Netherlands) in Milan to discuss the general approach and to prepare the first meeting of the project group in Athens	
	1.2 Project meeting (start-up) The first meeting of the NPRI project group (to be held in Athens – Greece) to obtain an agreed understanding of the project, its goals, the expected outcomes and deliverables, timelines, as well as the methodologies to be used to achieve the desired results. A report of the meeting will be drafted.	*16 – 18 July 2019*
Step 2: Preliminary study Carrying out a preliminary study on experiences with peer reviews within European countries (at a national, regional, local and organisational level)	**2.3 Study of documents regarding relevant existing experiences** Study and review of relevant documentation regarding (experiences with) peer reviews. Amongst others documentation of OECD, IMPEL IRI's, UNECE. TAIEX P2P and European Commission will be studied. *Who:* - Chris	*August – October 2019*
	2.4 Survey of activities similar to NPRI carried out at IMPEL Members: Development and circulating a questionnaire (Survey Monkey or similar tool; target: National Coordinators and Expert Team Leaders) to extract information from countries on experiences and to identify (specific) needs. *Who:* - Chris and Thalia to draft and analyse - Rest of the Project Team: to contribute with comments	- *By the first / second week of August 2019:* preparation and circulating questionnaire in IMPEL Community - *By third / fourth week of September* Answers deadline
	2.3. Reviewing and analysing the results of the questionnaire First analysis of survey outcomes Who: - *Chris and Thalia to draft and analyse*	- *By first week of October* End of first data analysis -draft of the report circulating in Project Team

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	• *Rest of the Project Team: to contribute with comments*	• *By third week of October* Project Team to send back comments • *By fourth week of October* Send report to IMPEL Secretariat to present it to the General Assembly
	2.5 Diffusion of the firsts results in IMPEL Network A release of the questionnaire study will be sent to the General Assembly to rise interest and foster participation in 2020 project follow-up. Who: • *Project Leaders*	• *November* First report at the General Assembly - Helsinky
	2.5 Setting up and presentation of NPRI second year ToR A new ToR for second year of the project will be drafted considering the new FPA funding mechanism Who: • *Project Leaders, Project Team*	• *November* Sent ToR to IMPEL Board; ToR 2020 approved by the General Assembly
	2.4 In-depth interviews with representatives of selected countries and organisations To deepen knowledge of experiences already in place with the implementation of a peer review concept (at national, local, network level) or who expressed a need to implement peer reviews Updating of the survey analysis with results of the consultation Who: • Chris and Thalia	• *February - March* • Updating of the draft Report
Step 3:	**3.4 Organization of country visits:**	*Planned first visit in the Netherlands*

Field Study Obtaining a better understanding of peer review approach in selected countries	In the Netherland and Italy to obtain a better understanding of their experiences with a peer review approach, to learn their best practices and to discuss specific needs. The outcome of the visits will feed in the refinement of preliminary study, as well as in a (flexible) National Peer Review Concept that will be drafted. Who: • *Project Leaders, Project Team*	*(Dordrecht) January 2020* *Planned: second visit in Italy (Rome) by the end of February* *Definition of the draft agenda of the visits, definitions of the dates*
	3.5 Making visit 1 First visit in the Netherlands Who: • *Project Team*	*Done: first visit in the Netherlands (Dordrecht) 23- 24 January 2020*
	3.6 Making visit 2 Second visit in Italy Who: • *Project Team*	*Planned: Rome, 27 – 28 February 2020*
	3.7 Visits Report Drafting Preparation of the report of Country visit; this text will be a part of the first year's final project report Who: • *Chris, Project Leaders*	• *By the end of February*
Step 4 **Final meetings and reporting**	**4.4 First drafting of the first year's project report, preparation of the second project group meeting and a 'back-to back' international workshop** With the aim to prepare at best the final report of the first year's activities, the last project team meeting and the workshop, in the period February - March 2020 the project team will work circulating the parts of the report and will hold teleconferences.	• *Period: February – March 2020* First draft of the first year's report, definition of the draft agenda of the meetings, definition of location and of the dates

	Who: • *Project Leaders, Project Team*	
	4.5 Carrying out of the second project group meeting and of the 'back-to back' international workshop To discuss the results of the 2019 study, to plan 2020 activities, to spread first results and increase partnership. The final "in person" meeting could be preceded by teleconference(s). Also the draft outline of the NPRI methodology will be discussed through brainstorming. The expectation is that 10 countries with a maximum of 20 – 21 participants will join the workshop. A report of the meeting and workshop will be drafted, to be included in the final 2019 project report Who: *Project Leaders, Project Team, IMPEL Members*	• *Period: end of March – April 2020* Final discussion in an enlarged audience to refine concepts and launch the second year's program.
	4.6 Drafting of the 2019 Final Report, The report will be drafted on the basis of the preliminary study and further activities, and it will contain (as a minimum): ▪ A general overview of experiences with Peer Reviews in Europe ▪ Analysis and discussion ▪ Good practices ▪ Strategic direction of a concept of a NPRI The report, if possible, will be made with the use of a more updated and interactive instrument. Who: • *Chris, Project Leaders, Project Team members*	• *April 2020* Send the draft to the General Assembly for approval

3. Discussion and working documents on specific topics in the perimeter of the Project

3.1. Draft scheme for the survey on experiences with 'peer review' approaches and concepts, amended version after Athens meeting 17 – 18 July 2019

IMPEL Project National Peer Review Initiative (NPRI)
Survey on experiences with 'peer review' approaches and concepts

Who is seeking this information?

*You are receiving a questionnaire from IMPEL, the **European Union Network for the Implementation and the Enforcement of Environmental Law, to which your country or environmental authority is a member**. IMPEL is an international non-profit association of environmental authorities of the EU Member States, EEA countries, acceding countries and candidates. The Network's objective is to promote a more effective application of EU environmental legislation and policies and support the work of environmental authorities all over Europe. For more information see www.impel.eu*

What is the IMPEL project National Peer Review Initiative (NPRI)

IMPEL's General Assembly decided to carry out a project on establishing a National Peer Review Initiative (NPRI), based on a 16-year experience of IMPEL with the execution of peer reviews, the so called IRI's. The NPRI builds on the IRI concept and other (international) experiences with 'peer review' and will modify the current scheme into a flexible 'peer review'[1] methodology that can be used by equivalent organisations and authorities at national, regional, local and institutional level.

The desired outcome of the project is to increase the capabilities at various levels, to understand the degree of homogeneity and harmonisation of the performance of authorities in environmental matters, such as implementation, inspection, permitting, planning, to share good practices and to foster all the processes in order to contribute to a better harmonised implementation of environmental legislation. Furthermore, the project aims to set the basis for a better understanding of the common needs within competent authorities (e.g.: training, common rules, documents, type of instruments and technical support etc.) and to determine how mutual support could be delivered within or by a National Network of authorities to achieve these results.

What is this questionnaire for?

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[1] With reference to the OECD - https://www.oecd.org/site/peerreview/whatispeerreview.htm, 'Peer Review' in the context of the NPRI project is described as:

'The peer review is a discussion among equals, not a hearing by a superior body that will hand down a judgement or punishment. This makes them a more flexible tool; a state may be more willing to accept criticism, and its neighbours to give it, if both sides know it does not commit them to a rigid position or obligatory course of action. Peer reviews are not intended to resolve differences among states, but they may play some of the role of a dispute settlement mechanism, by encouraging open dialogue that can help clarify positions in a non-adversarial setting.'

This questionnaire seeks information on experiences with 'peer review' approaches and concepts by governmental organisations and authorities at national, regional, local and institutional level. It gathers the experiences of equivalent organisations and authorities at various levels as mentioned and how these experiences helped assess performance and supported further improvement.

The information collected will be analysed and summarized, and relevant conclusions will be drawn by IMPEL to develop a NPRI methodology and guidance on how a NPRI scheme could be implemented, including the delivery of adequate support. A project report will summarize its findings.

*The questionnaire is **not** intended as an audit or a benchmarking exercise. IMPEL will **not** use it for case-specific reporting but would appreciate very much any quotable best-practice examples.*

Target audience for the questionnaire

*This questionnaire is addressed to public authorities directly responsible for any part of the **application or enforcement** of environmental legislation or the surveillance of the environmet[2].*

Confidentiality

The usefulness of this survey depends on respondents being open and honest in their responses. We will therefore fully respect the confidentiality of respondents. We seek information, illustrative cases and examples that can be shared, but will not identify specific countries or organisations in our report unless we are explicitly allowed to do so.

Structure of the questionnaire

The questionnaire is structured thematically in order to look at some background information of the respondents and the organisations they represent (Section 1.), the division of environmental competencies between different authorities within countries (Section 2.), information on the different reviews that have been performed in a country/institution (Section 3.), as well as on any other tool or process in place nationally, regionally, locally or institutionally for assessing and/or evaluating a system or organisation (Section 4.), and finally your opinion on the likely contribution of the NPRI scheme (Section 5.). For several terms, additional explanation is available in footnotes.

Questionnaire

Please complete this survey until 20th, September 2019.

If possible, please answer in English when asked for descriptions or specific examples.

1. Details of Respondent and Organisation

Question 1.1: Please indicate your name, job title, responsibilities, authority and contact details. If you prefer to stay anonymous, just skip this question.

Question 1.2: Please indicate your country. (dropdown)

Question 1.3: What is the operational level of your organisation?

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[2] Environmental competences and responsibilities are often divided per sector, e.g. between industrial installations, air quality, waste, water, soil, nature protection and some cross-cutting topics

national   ☐   *regional*   ☐   *local*   ☐

Question 1.4: Is your organisation responsible for environmental protection in the following areas (please mark relevant check boxes)?

Industry   ☐
Noise   ☐
Air Quality   ☐
Waste collection, treatment and disposal   ☐
Trans-frontier shipment of waste   ☐
Protection of Water   ☐
Protection of Land   ☐
Land use management and spatial planning   ☐
Nature Protection (biodiversity and habitats)   ☐
Other (please specify): …

Question 1.5: Is your organisation responsible for the following tasks (please mark all relevant check boxes)?

Environmental planning   ☐
Environmental permitting   ☐
Compliance promotion and assessment[3]   ☐
Inspections   ☐
Environmental monitoring and assessment[4]   ☐
Environmental reporting[5]   ☐
Civil and/or administrative law enforcement   ☐
Environmental prosecution   ☐
Development of strategies and programs   ☐
Evaluation of performance of other authorities   ☐
Other (please specify): …

Question 1.6: Does your organisation agree to be named in the list of organisations to have taken part in this questionnaire that will be included in the report?

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[3] Compliance assessment covers collecting information on compliance (levels) and the causes of non-compliance as well as predictions on further developments.

[4] Environmental Monitoring and Assessment establishes the state of the environment, collecting and interpreting e.g. physical, chemical and biological data in a certain area.

[5] Environmental reporting can be defined as the predetermined transfer of information of environmental or environment related data on a regular basis.

yes ☐   **no** ☐

Question 1.7: Does your organisation agree that any specific information or examples that you have given is cited in the report (please mark checkbox)?

yes, named ☐   **yes, anonymously** ☐   **no** ☐

Question 1.6: Does your organisation agree to be named in the list of organisations to have taken part in this questionnaire that will be included in the report?

yes ☐   **no** ☐

Question 1.7: Does your organisation agree that any specific information or examples that you have given is cited in the report (please mark checkbox)?

yes, named ☐   **yes, anonymously** ☐   **no** ☐

2. Division of Administrative Competencies

Question 2.1: Are competences for the implementation and/or enforcement of environmental regulation in your sector-field of work centralized or divided at different administrative levels (central, decentralized, regional, local: provinces, municipalities etc.)?

yes ☐   *please describe how (up to 250 words)*

no ☐

Question 2.2: Do competences for the implementation and/or enforcement of environmental regulation in your sector-field of work belong exclusively to your institution or are other organizations involved? If other institutions are involved please describe how (up to 250 words)

☐ **exclusively my institution**

☐ **other organizations are involved (please describe how (up to 250 words)**

3. Review details (If more than one review has been performed, Part 3 of the Questionnaire should be completed repeatedly, once for each review case)

Question 3.1: What experience does your organization have with assessing and/or evaluating its performance or practices in a particular area or with respect to a particular sector/theme (for example, assessing the inspection and enforcement system)? Please describe briefly (up to 250 words)

Question 3.2: At what level was the assessment and/or evaluation carried out (central, decentralized, regional, local, institutional)?

Question 3.3: Was the assessment and/or evaluation performed on an organisation and/or process (e.g. inspections, permitting, monitoring etc.) and/or specific sector or topic (e.g. nature protection or specific Natura 2000 site etc.)? Please describe briefly (up to 150 words)

Question 3.4: By who was the assessment and/or evaluation carried out (e.g. in-country experts of more or less equivalent organisations/agencies, external agencies-experts through e.g. IMPEL Review Initiative, TAIEX-EIR PEER 2 PEER, etc.)? Please specify (up to 150 words)

Question 3.5: How was the assessment and/or evaluation performed? Please describe briefly and specify if the process was informal-voluntary or formal-compulsory-non voluntary etc. (up to 250 words)

Question 3.6: What did the assessment and/or evaluation require in regards to resources? Please specify such factors as time-frame/duration (in days), expenses/costs, staff time/working hours etc. (up to 150 words)

4. Other Approaches

Question 4.1: If you have had no experience with peer review, how do you ensure homogeneity and harmonisation, quality and effectiveness of procedures, services etc. provided? Please describe the process followed (up to 250 words)

5. Added value

Question 5.1: What added value or contribution can you foresee from the application of a NPRI scheme in your country and/or organisation (e.g. an opportunity to identify strengths and weaknesses in a system/institution, a chance to identify areas for improvement, an evaluation performed by experts familiar with national legislation and practices, an opportunity to encourage and support further development and improvement, etc.)? (up to 250 words)

3.2. Assessment framework development: discussion document ad focusses produced by the specific task force

3.2.1. Assessment framework development: discussion document

What gets measured gets done, what gets measured and fed back gets done well, what gets rewarded gets repeated (John E Jones)

Reason document

The purpose of this note is to facilitate a discussion about how an assessment framework can be developed and can be used when applying the NPRI concept.

Introduction

Public sector organizations have increasingly recognized the need to develop and deploy performance measurement systems in order to remain high-performance organizations.

The NPRI approach aims to be deployed flexibly and to measure the performance of the various tasks and responsibilities of environmental authorities through Peer Review. This can vary from how implementation of assigned environmental tasks is carried out, the management thereof, the effectiveness of the execution of the tasks and to which extent the tasks contribute to the (improvement of) quality of the environment. Performance and Peer Review aim at the exchange of experiences and good practices to improve the ways of operation and goal achievement.

There is no specific method for measuring performance. To be able to measure performance, a clear assessment framework with indicators is needed. Such a framework must then relate to and cover those subjects on which the assessment is focused. In some situations, an assessment framework is laid down in legislation and regulations, or a framework is derived from a quality system. Examples are the 'Model Regulation on the quality of permits, supervision and enforcement of environmental law'[6] as used by the Dutch Association of Provinces in the Netherlands, as well as the European Parliament and Council Recommendation providing for minimum criteria for Environmental Inspections (RMCEI)[7]. Assessment frameworks can for example also be formed by quality systems such as ISO 9001. Other organisations use other approaches. That is why various other assessment frameworks are used for measuring performance of specific tasks. Sometimes the assessment frameworks are a mix of various methodologies.

Outcome study Peer Reviews on Assessment Frameworks

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[6] Wabo Kwaliteitscriteria. Available from https://www.infomil.nl/publish/pages/75656/vth_wabo_kwaliteitscriteria_versie_2_2_2019_deel_b.pdf

[7] RECOMMENDATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 4 April 2001providing for minimum criteria for environmental inspections in the Member States(2001/331/EC; Available at: https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32001H0331&from=EN

The study on Peer Review Approaches[8] concluded that almost all organizations that perform peer review are struggling with the application of a concrete assessment framework. The report concludes:

- Organizations have difficulty developing or applying a concrete assessment framework with which a 'value judgment' can be given on the level of implementation, goal achievement, compliance etc. Although the ambition is to make these aspects measurable, the (quantitative) reality complicated.
- The lack of specific indicators or criteria remains a challenge for most organizations. Both UNECE, the European Commission and the OECD try to implement improvements through regular evaluations. The assessment framework with 26 specific described requirements as applied by the IAEA seems well feasible.
- The performance of a country or organization in a certain area is mainly determined in a qualitative way. Although this approach can sometimes be regarded as arbitrary, it appears to be good method to achieve desired improvement through dialogue and the exchange of knowledge and experience. All investigated methods contain this approach.

These conclusions confirm that: there is no single, correct or unique way to measure performance. The subject or situation to be assessed directs which assessment framework should be used or developed.

The question is how an assessment framework can be designed that meets the principles of the NPRI concept, which aims to be applied flexibly to various subjects where performance must be measured. In fact, Peer Review aims to 'measure' performance.

What is an assessment framework?

Assessment frameworks provide a structured conceptual map of what is to be assessed.[9] A framework articulates the construct(s) to be measured, and the links between the construct(s) and the design and content of the instrument(s). Built into an assessment framework are assessment concepts (and their definitions), along with theoretical assumptions that allow others to relate to the framework and potentially adapt it to other domains of assessment. Further, an assessment framework details how an assessment is to be operationalized. It combines theory and practice and explains both the 'what' and the 'how'. Thus, assessment effectively means measuring achievement against a construct.

Methodological, technical and pragmatic considerations form part of the assessment framework, along with considerations of what is appropriate and feasible to assess. An assessment framework functions as a reference system against which to evaluate whether (individual) tasks meet set standards, requirements and collectively represent the desired coverage of assessment content. In an assessment framework the purposes of assessment can be articulated in greater clarity and theoretical assumptions and desired outcomes can be made explicit.

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[8] Preliminary study Peer Review approaches, *'a comparison of 6 different Peer Review and assessment approaches or methodologies, aiming at identifying approaches and good practices that can contribute tot the development of a 'National Peer Review Initiative'*. P. 19
[9] https://www.academia.edu/18484652/The_rationale_for_and_use_of_assessment_frameworks_improving_assessment_and_reporting_quality_in_medical_education; p. 110, 111, 112

As an explicit articulation of agreed definitions and standards, a framework acts as a consistent point of reference for a community. The existence of a framework encourages the critical, reflective development of instruments, increases accountability and can reduce bias in assessment practice.

Regardless of its detail and structure, an assessment framework offers the opportunity to establish a common language and set of understandings of the assessment out- comes in a specific context. This provides the ancillary benefits associated with having a community of people being involved in continuous improvement, and it provides/ensures after use and through reporting the outcome of the assessment to internal and external audiences a certain level of transparency and accountability.

Furthermore, through the use of a consistent assessment framework, it enables benchmarking across (equal) organisations, regions, provinces and potentially countries. Although the NPRI does not aim to compare outcomes in terms of ranking organisations, it definitely will facilitate an 'equal treatment' and to extract from findings of missions opportunities for development and good practices that can be used and implemented by other organisations.

Measuring performance: performance principles and performance indicators

Conducting a Peer Review within the concept of NPRI can be seen as 'measuring' performance, of which the outcome is intended to provide decision makers and management of the reviewed organization with concrete information and opportunities for development to make sound decisions and continuously improve performance and goal achievement. It is not, however, an exact science nor should it be viewed as such.

To provide a consistent basis for the assessment framework, performance principles and performance indicators should help to guide the NPRI to develop an assessment framework.

Performance principles

The following five performance principles[10] could be considered:

1. Outcomes and results must be clearly defined;
2. The performance measurement system, including data collection, should be simple and cost-effective;
3. The performance measurements system should be positive, not punitive.
4. Performance indicators should be simple, valid, reliable, affordable and relevant to the activity or process being measured; and
5. Performance indicators will be reviewed and improved on an ongoing basis. It is only by gaining experience measuring performance that you can really refine and improve the process.

Performance indicators

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[10] https://otc-cta.gc.ca/eng/publication/performance-measurement-framework

Reporting actual results against the performance indicators should demonstrate the extent to which the agency objective is being achieved. Agencies and authorities are encouraged to develop and set targets for performance indicators where possible.

A further benefit of a performance measurement system is that it can lead to a set of "best practices" and "lessons learned" that can be used internally to improve the authority's management practices and program activities.

The following minimum criteria[11] for assessing and selecting indicators[12] could be considered:

- Relevance: is it relevant to the activity, product or process being measured; does it reflect the goals and needs;
- Transparent: promoting the understanding about organisation's operation and performance and ensuring accountability;
- Comprehensive: addressing the important programmatic and operational aspects;
- Reliable, credible and feasible: based on data that are complete and accurate, as well as incorporating advanced information technology;
- Functionable and feasible: encouraging constructive behavior among staff members and balancing the cost of measurement, data collection and analysis with the value of this information.
- Validity: does the indicator allow you to be precise in measuring the results (quantity, quality, timeframe)?
- Reliability: is it a consistent measure over time. This is particularly important when selecting quantitative indicators?
- Simplicity: is the information available and will it be feasible to collect and analyze it?
- Affordability: can we afford to collect and analyse the information?

However, it has to be noted that no absolute set of indicators can be applied to all situations: what works for one organization or one regulation does not necessarily work for another. Therefore, these criteria need to be adapted to organization specific circumstances.

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[11] Measuring, Monitoring and Reporting Performance – Reference Guide, Queensland Government; Available at: https://www.google.com/search?client=firefox-b-d&q=measuring%2C+monitoring+and+reporting+performance+queensland

[12] Recommendations on Performance Measurement for Environmental Enforcement Authorities of Eastern Europe, Caucasus, and Central Asia, first draft, 1 June 2006; Available at: http://www.oecd.org/environment/outreach/38137583.pdf

Questions:

- The NPRI concept aims to be applied flexible. What is 'flexible' in this regard and how can we define the scope of the NPRI (which subjects and focus areas)?
- Should an Assessment Framework be developed based on scenario's or related to different situations, derived from identified focus areas (enforcement, inspections, planning, management etc?
- Should an Assessment Framework be developed by IMPEL or in close cooperation with the organization to be reviewed and how to execute that?
- Should the development of an Assessment Framework be a separate project activity within the NPRI project?
- How should we test a draft Assessment Framework?

3.2.2. Measuring performance: performance principles and performance indicators

The organizations or its procedures can be assessed using either qualitative or quantitative research methods and the appropriateness of using one of these techniques depends on the underlying assumptions of the surveyors and the nature of the targets to be studied.

The quantitative methods may use statistical data analysis and are easily replicated. These methods are focused on numbers or numeric values collected through surveys or other measurement techniques and match with outcomes about knowledge and comprehension. The main questions are focused on who, what, where and when. The qualitative methods are focused on words or narrative from respondents collected through interviews, questionnaires, focus groups, participant observation or other related methods. They match with outcomes about application and seek to explain and understand the organizational relations. In this type of methods the main questions are focused on why and how.

Although a qualitative assessment has the ability to probe for underlying values, beliefs, and assumptions where participants can raise issues that matter most to them, some important issues could be over looked since observations and results depends on interpretation of a positioned subject. On another hand, the quantitative approaches may facilitate comparisons but an important issue could be overlooked since the methods are focused only on preconceived issues and concepts.

Another option is the use of a complementary approach that combines both methodologies. For instance, in an organization the quantitative analysis will allow to identify behavioral norms for the organization as a whole, while the qualitative analysis may underlying the reasons for those behavior. Thus, the use of mixed methods may create a deeper understanding of the organization, enabling analysis of the values and assumptions driving behaviors within the organizations.

For this mixed approaches conceptual knowledge-based models may be applied, which can be defined as a formally described concept of a certain problem, usually represented by a set of production rules or decision trees, frames, etc. According this concept, indicators such as performance indicators may be developed, namely using the SMART criteria, i.e.

- *Specific*: Must describes what is intended to be measured and does not include multiple measurements;
- *Measurable*: Regardless of who uses the indicator, consistent results should be obtained and tracked under the same conditions;
- *Attainable*: Collecting data for the indictor should be simple, straightforward and cost-effective;
- *Relevant*: The indicator should be closely connected with each respective input, output or outcome;
- *Time-bound:* The indicator must be valid for a specific time frame.

The indicators can be measured by the use of empirical qualitative judgment to assess the "relative value" of the specific factors used in the process. For instance, the "relative values" can be obtained by a direct prioritised scale, such as 1 to 5 where 1 is poor and 5 is excellent or by a hierarchical analytical process based on an importance scale 1 to 9, as the one described by Saaty, where values can be attained by comparison between judgments over factors. In this scale 1 is low importance, 3 is weak importance, 5 is essential or strong importance, 7 is demonstrated importance, 9 is absolute importance and for intermediate levels between two judgements may be assigned values of 2, 4, 6 or 8.

Therefore, a combined quantitative-qualitative approach can provide an integrated assessment with a more holistic portrait of the organization or procedure and thereby, the framework can be used to facilitate and support communication within interdisciplinary teams and groups at local, regional or national level. These methods may facilitate the understanding the performance as how is being done and why is being done that way and benchmark operations and or procedures within an organization or network. Some key performance indicators can be used to compare organizations against their strategic goals.

The process outcomes will allow identifying gaps and weakness of the organization or procedures and also its major strengths and therefore, needs for improvement. Those should later be used in a strategic assessment, i.e., in an iterative mode, to promote a continuous quality improvement scheme.

Yauch, C. A. and H. J. Steudel (2003). "Complementary Use of Qualitative and Quantitative Cultural Assessment Methods." Organizational Research Methods 6(4): 465-481.

Saaty, T. L. (1980). The analytic hierarchy process: Planning, priority setting, resource allocation. 1st ed. NY: McGraw-Hill, New York.

3.2.3.What is an assessment framework

1. **Introduction (rationale)**

The assessment framework has an important central position in the Peer-review. The framework should provide answers about what is to be reviewed. The framework gives focus, direction and borders to the reviewing process. The assessment framework is an important link between the scope and the instruments of the Peer-review methodology. A crucial function of the assessment framework is that it makes available a common language to the participants of the peer-review.

Of course there is not such a thing as the one and only and totally including comprehensive assessment framework for Repa's. The framework is a crystallization of choices, based on deliberation, considerations and reflections.

This chapter describes what an assessment framework is, which choices can or must be made and it gives some insight in the (dis)advantages of certain choices. Flexibility will be emphasized: the assessment framework depends on the subject, goals and situation, and so more scenarios are possible and need to be developed. This is a first step and will give some building bricks how to develop an assessment framework for Repa's.

2. **What is an assessment framework?**

Assessment frameworks provide a structured conceptual map of what is to be assessed.[13] A framework articulates the construct(s) to be assessed. Constructs are concepts (words/subjects) that can be more or less measured. Furthermore the framework gives insight in the links between the construct(s) and the design and content of the instrument(s). Instruments which can be used are for example a questionnaire, a review framework, a SWAT-analysis.

Further, an assessment framework details how an assessment is to be operationalized. It explains both the 'what' and the 'how'.

3. **Flexibility and choices.**

The assessment framework depends on de scope, subjects and situation.

3.1   Link with scope and subject

Which assessment framework you choose or built depends of the scope of the Peer-review. Examples of scope you can choose are:
   a. Performance of permitting, inspection and enforcement (output)
   b. Professional Standards
   c. Policy (national, regional)
   d. Programming (also doing the right things)
   e. Costs and other financial aspects
   f. Outcome, contribution to environment or society

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[13]https://www.academia.edu/18484652/The_rationale_for_and_use_of_assessment_frameworks_improving_assessment_and_reporting_quality_in_medical_education; p. 110, 111, 112

g.   Management and Organisation of the REPA

h.   Innovation

3.2   Use exciting quality criteria or tailormade?

As assessment framework you can choose between:

a.   Legislation

Copy or translation of laws or national and regional rules.

b.   Quality systems

Sometimes there are national legislated Quality systems available (for example the "quality criteria 2.1" in the Netherlands), who give more or less detailed prescriptions. Also you can think of Quality systems who are developed or established by national branch organisations (such as a national platform of Repa's)

An alternative is to try to use more general qualitity systems approaches like the ISO or other certification systems.

c.   Developing your own assessment framework (tailormade)

If you have a special goal, subject or when a. and b. are not available, you can choose for developing an own assessment framework.

Discussion: With choosing for a. or b. you follow established criteria and prescriptions. A. and b. may be easier than c., with lower risks of difficult discussions and getting lost in developing an abstract framework. On the other hand many times legislation and national quality systems may be conservative and not inviting for new scopes, approaches and innovation. In some other country's the legislation is more ahead the performance practice in environment protection and can a. (or b) be preferable, especially when there are no specific (other) goals or circumstances to deal with.

3.3   Benchmark or dialog?

Also the question which assessment framework to use and to operationalize is dependent of the goals of the peer-review. Is it used as benchmark of the questionnaires, will the results of this benchmark discussed with the participants or will it excites only from dialogs between the participants? Will it be used as an instrument for dialog, to learn from each other, to compare, to evaluate, to explore good practices, to inspire and also to do the good things (not only doing the things good). In the last purpose (e.g. instrument for dialog) less operationalization is needed. The first approach may be more quantitively, the other more qualitative.

If the purpose is 'dialog' you can still use (inter)national established legislation or quality systems.

In common a feasible peer-review and it's assessment framework have both approaches in it, but you can make specific accents.

In this phase of developing peer-reviews and developing REPA's it may be more appropriate to use the peer-review as an instrument for dialog etc. than for audits.

3.4   The aggregation level

The aggregation level of the assessment framework is an important thing. We advise to develop a framework on a national level. So it makes it easier to compare the results between sister-organisations and to advice to policymaking by the national authority's. A framework on national level proposes the opportunity to link with national legislation or regulations of the national branch of Repa's (3.2).

But it is also possible to develop a framework tailormade for the host organisation (if this have a strong need to improve or special circumstances) or for a smaller group of Repa's hosting and visiting each other.

Also here it is possible to combine things (as done in the Netherland), with one part of the peer review with a national framework and a second part with a self-chosen subject and framework by the organisations that host and visit each other.

3.5   Conclusion

Different scenario's (based on distinguished scopes and approaches made above) need to be developed in the follow-up of this pre-study.

3.2.4. The organization to be reviewed, the network context it belongs to, scoping and the assessment framework

Introduction

Peer Review is a powerful instrument to assess performance of:

- an *organization*, in the context of a "*peer environment*", such the *network* to which the organization belongs
- a *network*, as body composed by a plurality of *organization*, providing the same *services* over different territories (e.g. States, Regions, Provinces, Municipalities)

Despite the possible simplifications in the above definitions, that should be interpreted with flexibility, some elements that are of great importance to understand potentials and limitations of peer review come into evidence. That elements should be taken into account in the design of peers reviews, in both the above cases.

With the aim of discussing the important topics of *scoping* and *assessment framework* in the context of *peer reviews*, some relevant questions regarding the nature of a network will be briefly discussed in the following paragraph 1.

Peer review are mostly intended as instrument to assess the performance of a member of a network. Nevertheless, the conduction of peer reviews on the same topic at number or at all the members of a network may make more relevant the outcomes of peer reviews; in this case, particular attention must be paid in the definition of the scope and assessment framework of the peer reviews, but many advantages stems from this approach for the Network in its entirety. The topic will be treated in short in the following paragraph 2.

One of the major issues in the definition of assessment framework is the availability of *standards* to be used as *benchmark* to evaluate the performance of an organization. When legal standards are not available, or when standards are not only quantitative, it is necessary to use principles that permits that the evaluation to be made are not simply related to the experience and point of view of the group of reviewers visiting the

reviewed Organization. In paragraph 3 is discussed an approach to this issues that can help in overcoming it, based on the knowledge and benchmarking of the Network.

Nature of the network and impact on scoping and assessment framework of Peers Reviews

The term *network* contains different meanings that are relevant from the point of view of the scoping and definition of the assessment framework of a peer review:
- o an informal voluntary network, in which members are linked by rules <u>not having</u> relevance at administrative level (e.g.: IMPEL)
- o a formal voluntary network, in which members are linked by rules <u>having</u> relevance at administrative level (e.g.: IAEA)
- o a formal network, instituted by law, in which members are similar but independent organizations (e.g.: SNPA in Italy and Network of Regional Agencies in the Netherlans)
- o a network which components belongs to the same Organization (e.g.: territorial offices, departments, delegations of an Administration)

All the type of network cited above could carry out peer reviews having, as scope, an evaluation on outputs, outcomes, and, in general terms, on "modus operandi".
The nature of the network is important to define the borders of the scoping and of the assessment framework of the review:
- More stringent and binding are the obligations at the base of the network, of increasing importance in the above list, also gradually increases the "homogeneity" of its members and possibility to define scopes related to the legal nature, duties and obligation of the network member. In some cases, as in last one of the above cited, peer review scopes could seems to overlap with the scope of other instrument already in place in the Organization, as Internal Audit and Quality Assurance Checks.
  It as to be stressed, to avoid misunderstanding, the main differences between Audits and Quality System Checks with regard to Peer Reviews, crucial to define their scope and the assessment framework of Peer Reviews.
  Audits and Quality System Checks are aimed at the verification of the correspondence of the behavior of the Organization (or of one of its part) to specific protocols; the effect of that procedures may have direct administrative impact over the Organization (or of one of its part).
  Peer Reviews may take into consideration, in case, even the same topics of Audits and Quality System Cheks, but the *underlying scope* is the improvement of the performance of organization based on the identification of the opportunities for development, relying on on the experience of both reviewers and reviewed Organization experts (not only on the confrontation on what was to be done and what was actually done) and on the sharing of the best practices as possible solution to fix criticalities in place (not only the imposition or the recommendation to achieve the provides standards).
  From this point of view, Internal Audits, Quality System Checks and Peer Reviews *are not alternative activities*, but are *subsidiary and integrated activities*, in which Peer Review plays the role to prevent or identify shortcomings in performances and to search of instrument for their recovery or for their improvement even if the defined legal standards are already respected.

By consequence, although the *topic* of Internal Audits, Quality System Audits and Peer Reviews could be the same, the scope of these activities may differ as, by consequence, the related assessment framework

- From the opposite point of observation, it would appear inappropriate and not productive that an informal voluntary network, as above defined, carries out peer reviews regarding performances in specific legal obligations that characterize only the organization to be reviewed and that is not shared with other the Network members.

  The topics, the scoping and the assessment framework of peer reviews in informal voluntary network could be found, in this case, in obligations, tasks, activities that are common in the whole group composing the network (e.g.: in case of IMPEL the European Directives implementation).

  By consequence, the scoping and the assessment framework of this kind of activities could be less or not focalized of specific practices and behaviors of the reviewed Organization related on specific, local rules. In this case, it can productively encompass mainly the common obligations, behavioral rules, activities, that are common in all the network. This may restrict the scope and the assessment framework of a peer review if compared to that ones that could be carried on in a formal network or inside an Organization structured as network

Peer Review as instrument to improve the overall performances in a Network: particularities of scoping and assessment framework

Mainly in the case of formal networks and of Organizations structured as territorial network, beside the opportunity to evaluate ad improve the performances of its individual members, Peer Reviews give opportunity to evaluate and improve the performances of the Network as a whole, in the form and with the advantages of this kind of approach.

This opportunity stress out the importance of Peer Review as institutional instrument for the development of a network.

Network peer review could be defined as peer review carried out homogeneously at the network members, about the same topic, with the same scope, under the same assessment framework.

While peer reviews carried out at individual organization, activated "one by one", on the basis of specific local needs, could be considered an "episode", aimed at mainly helping the single reviewed Structure, Peer Review organized at Network level can be accounted for as comprehensive program that:

- can be aimed at topics that are felt as "system priority"
- should be carried out at all or at a substantial number of the members of the network

The advantages of this type of approach are distributed into two main areas:

- Preparation, organization, execution
  - o The scoping phase, the assessment framework set up phase, as well as the preparation of all the support materials is made once and will be valid for all the peer reviews carried out on the same topic
  - o The visiting team/ teams can rely over an increasing experience on the specific topic of the reviews
- Use of the outcomes of the network peer reviews

o The cross-examination of the results of the peer reviews carried out systematically in the network can permit to spot out systematic opportunities for development, recurrent in the Network, that could be dealt with through the optimization of resources and maximization of results in all the network (e.g.: common protocols, training, sharing of resources) or a variety of best practices that could be candidate as network standard

The Network as qualitative and quantitative context for the development of an assessment framework

In many cases, predetermined standards to evaluate the performance of an Organization are not available. The evaluation of the performances could became strongly subjective and based only on the experience and judgment capacity of the reviewer(s).

In these cases, the study of the performances of the others members of Network to which the Organization under evaluation belongs may make possible to identify *internal standards*, i.e. *benchmarks*, to be used for the comparison of the performance of the Organization to be evaluated with the rest of the network.

Anyway, even when legal standards exist, the study of the performances in the network may give information useful in defining general network policies and actions.

The study of the performances of a network aimed at making available standard to be used in a peer review may be named *Network Context Analysis* and it could:

- overcome the lack of legal standards through the use of *benchmarks* derived from the operational reality
- create a picture of the behavior of the Network in its entirety, also useful to understand the spread of the responses to a determined environmental issue
- permit the identification of further network members that could beneficiate of the conduction of a peer reviews or other actions aiming at homogenization and development
- give the network information useful to make stronger its identity and increases the opportunity for dialog and interchanges.

The set of arguments and of questions deemed of interest for the development of an assessment framework of a peer review could be mirrored in the Network Context Analysis. A Network Context Analysis could be, in its simplest forms, carried out through surveys or desk studies on already available information.

The result of the study, in turn, will give feed back for the final definition of the Assessment Framework to be actually used in the Review.

Two point of attention have to be accounted for the development and use of the Process Context Analysis:

- *a technical one*:
  although the Network Members could be considered peers with regard to the topic of the review, because of difference in many aspects regarding the specific environmental situation in which they operates (e.g.: quality of the environment, its vulnerability) and from the antropic point of view (e.g.: population, industry), the volume and type of activity performed may significantly vary across the Network. It is necessary, by consequence, to normalize the

information obtained in the study (e.g.: weighting data on relevant factors) to make that information intercomparable and treatable with statistical instruments

- *a "relational" one:*
the availability, in an organized manner, of an intercomparable set of data regarding performances may be interpreted as a kind of "quality ranking" of the members of a network; to avoid misunderstandings, it is advisable the definition, in advance, of an agreement on how to deal with collected data in term of information and communication with the stakeholders and the public.

3.2.5. Examples of assessment framework in the peer review approaches

The report "Preliminary study Peer Review approaches" [14] gives, amongst other relevant information, examples on how the assessment framework in peer review is actually defined, implemented and used, by the seven studied organizations.

The synthetic working definition of assessment framework in used in the study is:

"An assessment framework provides a structured conceptual map of requirements and/or standards along with details of how achievement of can be measured.

The need for using an assessment framework in environmental performance reviews is to be able to 'measure' to what extent the achievement of objectives, which are often embedded in laws and obligations, have been achieved. An assessment framework therefore preferably has concrete measurable objectives with indicators or criteria, to be used by comparing the actual situation with the desired situation"

The definition is met, by the seven studied organizations, with different degree of correspondence but, in general, the assessment framework definition and use is a major topic in peer reviews organization.

In the following table are summarized the degree of correspondence to the above working definition of assessment framework with what actually implemented in the peer reviews carried out by the seven studied organizations / networks:

Table 1:

Dutch REPAs	IAEA EPREV	EC EIR	IMPEL IRI	UNECE EPR	OECD	Italy SNPA
High	High	Partially	High	Partially	High	High

The way to define and use assessment framework for each of the above cases is briefly described in the following paragraphs.

For details regarding the implementation at the different organization/network of assessment framework concepts, please refer to the full text of the report "Preliminary study Peer Review approaches".

Dutch REPAs

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[14] See the document "Preliminary study Peer Review approaches", developed by the NPRI project team as an integral part of this report, that describes the use of the peer review technique inside 7 network of subjects acting in environmental protection field

The scope of peer reviews is, in general, the evaluation of the correspondence of the actions of the REPAs to the principles set in the '*Model Regulation on the quality of permits, supervision and enforcement of environmental law*', approved by the Dutch Associations of the Provinces (IPO) and the Municipalities (VNG). A topic that corresponds in general to the aims of the above regulation is chosen every year by the REPAs as common argument for Peer Review to be carried out, and the topic is referred to elements constituting the *policy cycle* that connects the environmental departments with their clients in a mutually dependent relationship. The theme chosen for the conduction of the peer review links with the own quality system of the REPAs with the policy cycle.

The assessment framework is defined on the basis of the chosen topic, contains themes and questions relevant to the assessment of the quality of the action of the REPAs about the chosen review argument, and it is used to prepare supporting documentation and tools.

In particular, the assessment framework is used as a base to develop a preliminary questionnaire, that gathers the questions to be answered to achieve the required assessment; the outcomes of the questionnaire is used during the direct dialogs and interviews of the peer reviews. The assessment framework is also the base to produce a schematic part of the report of the peer review, in which every question related to the assessment framework is answered in synthesis using the following scheme:

- degree of correspondence of the findings of the review with a quality standard - closed answer: yes, no, partly
- explanation and example (short)
- opportunity for improvement (short description)

The outcomes of the peer review are discussed in a more open way in the conclusions of the report.

International Atomic and Energy Agency (IAEA)

The IAEA offers their Member States peer review missions to assess to which extent the Member States are prepared for radioactive and nuclear emergencies. The topic used as example in the "Preliminary study Peer Review approaches" attached to NPRI report, with regard to one of IAEA review activity, is the Emergency Preparedness Review (EPREV).

IAEA Member states have at disposal IAEA Safety standards as guidelines for the implementation of several aspects of nuclear safety, from the regulatory and technical point of view.

One of these safety standards refers to IAEA Safety Standards Series No. GSR Part 7[15], establishing the requirements for ensuring an adequate level of preparedness and response for a nuclear or radiological emergency.

The requirements defined in this safety standards are 26, grouped into 3 categories: general requirements, functional requirements, requirements for infrastructure.

Each one of the requirements contains a list of actions to be undertaken (e.g.: as analysis, specific criteria, arrangements, definition of responsibilities and procedures). The scope of the review is to verify if the requirements listed in the specific safety standards are fulfilled.

The assessment framework, in the case of the IAEA EPREV missions, is clearly established, and it corresponds with the requirements of the specific safety standard to be implemented, that are verified against the Host State's situation in terms of practices and legal framework.

Specific tools and documents of the review to be gathered are chosen with reference to the list of the requirement of the review; the Host state have also to perform a self-assessment and will make available

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[15] https://www.iaea.org/publications/10905/preparedness-and-response-for-a-nuclear-or-radiological-emergency

documents (advanced reference material – ARM) that will deliver to the visiting team a first picture of the situation that will be faced during the review.

European Commission Environmental Implementation Review

The European Commission has the responsibility to oversee the application of the common rules agreed by the European Parliament and by the Member States within the Council. To accomplish this task, every two years the European Commission conducts an Environmental Implementation Review (EIR) aiming at identifying the causes of implementation gaps and addressing systemic obstacles to environmental integration across policy sectors, and to find solutions to them. Due to the complexity of the assessment, after the first experience, carried out in 20217, the European Commission decided to improve the effectiveness, the efficiency and the transparency of the process through the development of a methodology, to address systematically the most relevant aspects of the implementation of the European environmental acquis. The outcome of this decision was the development of an assessment framework, as result of a specific project commissioned to the Institute for European Environmental Policy (IEEP).

The so developed assessment framework for EIR encompasses five dimensions of Environmental Governance, namely: transparency, participation, access to justice, compliance assurance / accountability and effectiveness / efficiency. Within these five dimensions, 21 themes were identified , as well as a cross-cutting theme on 'context and characteristics of environmental governance'.

The assessment framework, so prepared, constitutes the base for the development of questions to be discussed and indicators to be collected and examined that permits the needed evaluations.

The most recent environmental governance assessment (2019), based on the assessment framework as developed, is undertaken at three levels and in two steps (overall and specific assessment) :
•   Level 1: aggregation to the level of the five dimensions
•   Level 2: aggregation to the level of themes (subdimensions)
•   Level 3: individual indicators or assessment criteria, per theme
Furthermore, the availability of a well defined assessment framework with specific set of questions and indicators allows to manage at strategical level the results of EIRs comparing the performances of member States, identify pattern of approaches, spotting out singularities and best practices; this result is made possible assigning simple numerical value to categories of performance on the basis of the data gathered on individual questions.

IMPEL Review Initiative (IRI)

The IMPEL Review Initiative (IRI) is IMPEL's peer review tool that brings together a team of technical experts and professionals that review the processes and procedures of environmental authorities in IMPEL Member countries.
The scope of the review depends on the needs of the IMPEL member that ask for hosting the initiative, consequently, it is characterized by high flexibility.
The assessment framework, as conceptual map to achieve the evaluations regarding the topic chosen for the IRI, is, as well, flexible, and it is formed during the preparatory meetings that are foreseen in the IRI protocol.
In general terms, the assessment framework of an IRI is based on the piece of EU legislation that the Hosting organization needs to test. The topics on which Organizations has been reviewed are the RMCEI, IED, SEVESO,

Waste directive and Nature protection directives. The review in structured with the help of the IMPEL "Doing the Right Things" Guidance Book[16] for planning of environmental inspections.

The assessment framework is transposed in a tailored questionnaire which identifies the topics on which the review focuses, that is drafted and sent out in advance to the host authority and used by the reviewers during the review

With reference to the questionnaire, the following segments of the assessment can be distingished:

- • Part A – Defining the regulatory framework of environmental protection in the IMPEL member country.
- • Part B – Permitting activities
- • Part C – Performing inspection tasks (Environmental Inspection Cycle)
- • Part D – Site visit

Environmental Performance Review (EPR) – United Nations Economic Commission for Europe (UNECE)

An Environmental Performance Review (EPR) is an assessment of the progress a country has made in reconciling its environmental and economic targets and in meeting its international environmental commitments. The EPR Programme assists and supports ECE member countries in most of the environmental policy areas, for a better understanding of the way forward to achieve environmental targets, with regard also to the integration of the environmental policies into economic sectors. Since 2017 all EPRs integrate goals and targets of the 2030 Agenda for Sustainable Development

The studies are a voluntary exercise and carried out only at the request of a country.

EPRs are organized as analytical studies prepared by a team of international experts with the participation of relevant domestic government officials, experts and public stakeholders.

The general scope of the EPR, as above described, is very broad, and each one of the review activities has to be tailored to the specific Country. Consequently, also the assessment framework, aimed at gathering all the information needed for the review execution, have to be defined in details trough contacts with the hosting Country, although already existing as general framework. The assessment framework takes also into consideration also the level of achievement of environmental targets defined by the hosting Country.

To optimize the EPR activities, the EPR programme distinguishes three types of EPR, starting from a baseline EPR (first cycle), followed by an assessment of the progress on implementation (second cycle) and as a third step with the focus on environmental governance, financing and international cooperation.

The three type of EPRs corresponds to three broad areas of evaluation, each one subdivided in chapters, grouping homogeneous topics, which management is entrusted to an expert in the matters of the chapter; the expert has the task to study the situation of the Country in a specific entrusted area and, by consequence, to define in details the appropriate assessment framework for that area and, finally, to draft the pertinent report.

For the preliminary evaluations, the expert prepare a questionnaire, to be sent to the Host Country before the mission, to have first answers to the questions related to the assessment framework specific for the chapter entrusted.

Generic questionnaires for most chapters were prepared by the UNECE secretariat and are shared with the expert to assist in the preparation of the questionnaire. The standardized questionnaires at disposal of

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[16] https://www.impel.eu/projects/doing-the-right-things-methodology/

experts are a clear, standardized implementation, as practical tool, of the assessment framework regarding each chapter of the three types of EPR.

The answers to the questionnaire depict a first framework of the situation and allows the expert to prepare a well aimed list of questions that will be discussed with the local authorities during the mission.

Peer Reviews by the Organisation for Economic Co-operation and Development (OECD)

The principal aim of the OECD's environmental performance reviews is to help Member countries to improve their individual and collective performances in environmental management.

The OECD EPR appraises many elements that compose a Country Environmental Policy and its potential and actual capability to achieve the desired objectives.

A broad range of policy instruments is considered to include in environmental performance, in particular instruments as:

- regulatory (standards, licensing, zoning, etc.);
- economic (charges, financial incentives, market creation, subsidies, etc.);
- institutional (administrative and legal reform);
- educational and information related;
- public investment (in infrastructure, R&D, etc.);
- enforcement and compliance.

Environmental objectives of the policy instruments may be more or less explicit and may refer to different types and levels of commitments (general, qualitative and quantitative):

- aims at the general level (e.g. preserving and improving environmental quality, sustainable development);
- qualitative goals at the intermediate level (e.g. preserving the ozone layer, reducing acidity);
- specific quantitative targets or a commitment to the implementation of a set of policy measures at a more specific level. Such targets or commitments are determined by technical, administrative and economic criteria.

The key questions to be answered by the EPR, by consequence, are:
- to what extent is the objective achieved?
- is the objective ambitious or modest?
- are results achieved in a cost-effective way?

The assessment of the review, by consequence, is not limited to the comparison of the alignment of the results of environmental policy with its objectives, but need also a thorough analysis of the context to evaluate the proportionality between challenges and defined objective and available instruments to achieve that.

The assessment framework in OECD EPR is very complex and articulated. The preparation of the EPR starts with designing of the outline of the review and the topics to be examined. This is done in consultation with the country under review. Besides including standardized topics for all countries, also country-specific topics can be selected for the review.

To streamline meetings and discussions, a set of discussion themes is prepared for each review. This set serves as a kind of agenda during the team mission and assist in preparation for the meetings. It covers each of the sessions of the mission.

Peer reviews in National System for Environmental Protection (SNPA) in Italy: Environmental Protection Agencies (ARPA – APPA) and ISPRA

The SNPA drew the inspiration to perform National Peer Reviews from IRI experience, trying to transpose that practice into Italian reality.

The first experience carried out, useful also as test for the regular implementation of the activity, was aimed in particular to AIA (IED) activities, also because, being the IMPEL activity frequently aimed at this topic, it was useful to develop the Italian local experience on the strong base set by the network.

It was made a particular effort in setting the assessment framework of the initiative, that was transposed in a set of 150 questions grouped in 16 sections, regarding two main areas: programmatic-organizational and technical-procedural.

It was decided to use the questionnaire in two ways:
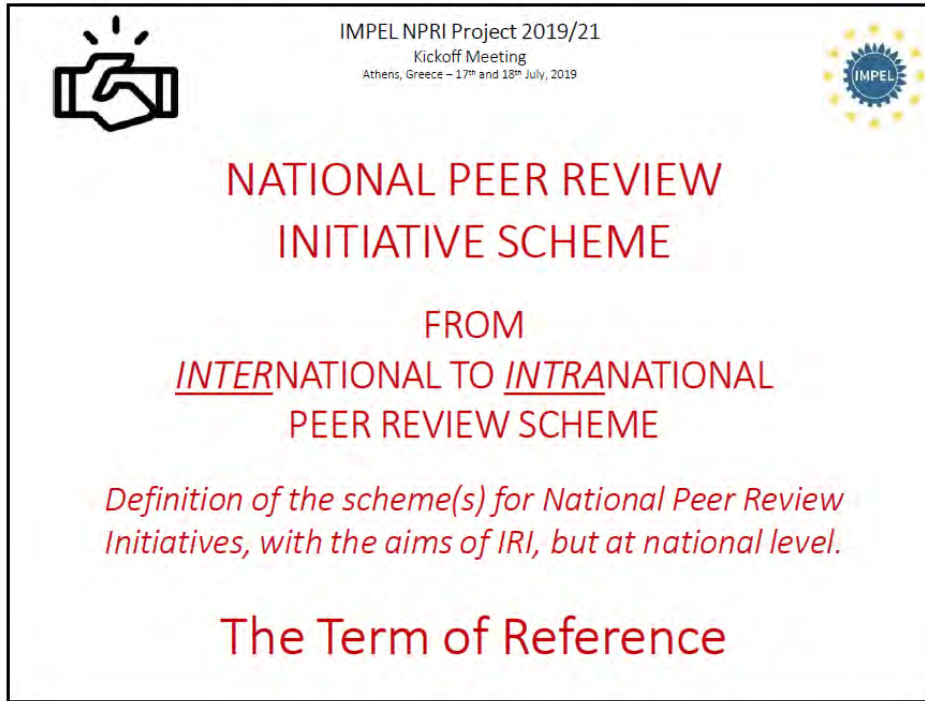
- to carry out a National Survey, at all the 21 Regional and Provincial Agencies and ISPRA, to have a comprehensive picture of the Italian situation, spotting out patterns of recurring issues and challenges that could deserve a nationwide approach, but also point of strength and best practice to be promoted.
- To use the same survey scheme, refined on the basis of the National survey, as base for the first review experience, hold at ARPA Campania.

Subsequently, the advent of the Environmental System Law, 132/2016, established the principle of *Essential Levels of Environmental Protection Provisions* (LEPTA) as minimum quantity and quality of activity to be delivered by ARPAs and APPAs in their regions / provincies, and of proportional funding for LEPTA execution.

This raised the need for calculating the correct proportional volume for each of the provisions to be delivered in each region and of the cost for each of that provisions.

Peer reviews will be one the methods to foster the homogenization and development of the National System, as a whole, and each one of the Agencies, and the quantitative, qualitative and economical frameworks that have been set with LEPTA studies will be efficiently used as assessment framework for the conduction of peer reviews in SNPA

4. Presentations held during the project meetings

4.1. NPRI Project presentation to the Project Team– Athens meeting 17 – 18 July 2019

IMPEL NPRI Project 2019/21
Kickoff Meeting
Athens, Greece – 17th and 18th July, 2019

RATIONALE (2):

Such National networks faces at considerable challenges, regarding:
- the homogeneity of the behaviour,
- interpretations, time of responses,
- technical approach
- Et cetera….

in the implementation of the European and National Environmental Laws,

A process able to foster homogenization can solve at the same time two issues:
- Differences in services delivered to Citizens in the environmental field,
- Differences in implementation of the EU environmental acquis at national level

IMPEL NPRI Project 2019/21
Kickoff Meeting
Athens, Greece – 17th and 18th July, 2019

RATIONALE (3):

- Based on these consideration, two Countries, Italy and The Netherlands, already developed experiences in the conduction of National Peer Review Initiatives (NPRI), and decided to use NPRI.

- These experiences were exposed and discussed in a number of IMPEL initiatives in last 18 month: the 2017 IMPEL General Assembly in Tallinn, the 2018 Extraordinary General Assembly in Brussels, the 2018 IMPEL Conference in Zwolle; the theme was discussed, at IMPEL Experts Level, in a focal workshop held in Treviso in June 2018, and in an "IRI Ambassadors Meeting" held in Zwolle in August 2018, setting the basis for a project aimed at the systematization of the NPRI approach.

IMPEL NPRI Project 2019/21
Kickoff Meeting
Athens, Greece – 17th and 18th July, 2019

AIMS:

- The aim of this project is to develop a systematic approach for NPRI, based on flexibility and specific country needs.

- The project is aimed to set the basis for a better understanding of the common needs inside a network:
  - ✓ *at structural level and not at the level of a single organization*
  - ✓ *with continuity and not episodically*
  - ✓ *with an approach fully modulated with regard to specific needs of the single national network*
  - ✓ *that can take into consideration all the particularity of behaviour of the Organization belonging to the National network, depending on national rules*
  - ✓ *With a full engagement of all the level of the management,*

(e.g. of possible actions stemming from NPRI: training, common rules and documents, type of instruments and technical support) and to determine mutual help that could be delivered inside the National Network to achieve these results.

IMPEL NPRI Project 2019/21
Kickoff Meeting
Athens, Greece – 17th and 18th July, 2019

ACTIONS:

In the first year, the project is aimed at the definition of Guidelines, for National Networks, to develop Local Peer reviews.
This goal will be achieved through the following activities:

1. *Preliminary study of the experiences of NPRI already in place: questionnaire, meeting for analysis.*
2. *Joint activities, taking part to NPRIs to share a better understanding of the aims and needs fulfilled in the Countries already engaged in NPRI activities*
3. *Definition of a Reference Text, containing good practices, experience, guidelines, as basic tool for Organizations interested in NPRI development*
4. *Study of the possibility that IMPEL could facilitate, with the support of experienced experts, the development on NPRI in Countries (also taking into consideration the possibility to put this kind of activities under the Taiex P2P initiative)*

The second year of activity will be characterized by a number of exchange visits, to foster the development of NPRI in member countries and to improve the refence documents

IMPEL NPRI Project 2019/21
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EXPECTED OUTPUTS / OUTCOMES

1. Report of the experiences already in place, comparison of aims, techniques and instruments,
2. Building of common experiences regarding NPRI, taking part to some selected activities as observer
3. Drafting of a first Reference text
4. Definition of the framework and Guidelines for the support that IMPEL could deliver to foster the development of NPRI project
5. Conference / Workshop of NPRI experience.

PERIOD:

March 2019 – March 2020

STRENGTHS:

Reference experiences already in place, experiences and expertise from IRI

BUDGET:

50.000 € 1st year – 50.000 € approx 2nd year (TBC)

IMPEL NPRI Project 2019/21
Kickoff Meeting
Athens, Greece – 17th and 18th July, 2019

Participants (17 July, 2019)

- Albania
- Greece
- Macedonia
- Italy
- Portugal
- The Netherlands

IMPEL NPRI Project 2019/21
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Examples of NPRI already adopted
or accomplished, perspectives

1) Italy

2) The Netherlands

IMPEL NPRI Project 2019/21
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Examples of NPRI already adopted
or accomplished, perspectives
1) Italy – 1

First experience: regarding IED
On the basis of IRI Italian first Experience (Como, 2012), and based on increasing needs of mutual help, of understanding of national situation and of homogenization, the Regional Agencies and ISPRA decided to carry out a first NPRI tentative experience

- Period: 2015 – 2017
- First Step: national survey to know the context
- Second step: drafting of the NPRI Manual, on the basis of the IRI Manual
- Third step: accomplishment of the NPRI
- Fourth Step: proposal to the SNPA to approve NPRI as statutory instrument to foster homogeneization

IMPEL NPRI Project 2019/21
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The survey

The Handbook

Stato di fatto e migliori pratiche
nel campo dei controlli ambientali

MANUALE PER L'ORGANIZZAZIONE E LA
CONDUZIONE DELLE PEER REVIEW

Dicembre 2015

The first italian *peer review* on IED inspection

ARPAC

CAMPANIA
Agenzia Regionale Protezione Ambientale

Diffusion of the results and promotion of the methodology

controlli AIA
conoscenza condivisa
sistema unitario a rete

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Examples of NPRI already adopted
or accomplished, perspectives

1) Italy – 2

Sistema Nazionale
per la Protezione
dell'Ambiente

Second experience: process analysis

The recent law on National System for Environment Protection (SNPA - L. 132/2016), set the basis for homogeneous delivery of env. protection actions all over the Nation, comprising the quality and the quantity of the activities performed in the System itself.

Not having a common standard, the System decided to design a standard for each one of most important processes, to be used as a nationwide reference.

The processes (at present 8) were defined through confrontation among a group of experts, each one of which carrying its own experience and point of view:

the experience, for some extent, can be comprised in the NPRI area

- Period: 2018 – ....
- First Step: definition of the "priority activities" by the Council of SNPA
- Second step: definition of the general layout of the processes
- Third step: accomplishment of the process analysis (4 – 6 experts + tutors)
- Fourth Step: proposal to the Env. Ministry of the metodology and results for further steps at governmental level (approved)

IMPEL NPRI Project 2019/21
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Athens, Greece – 17th and 18th July, 2019

Definition of the General Process Scheme

Process Anaylsis

Definition of Territorial Demand Index

IMPEL NPRI Project 2019/21
Kickoff Meeting
Athens, Greece – 17th and 18th July, 2019

Examples of NPRI already adopted or accomplished, perspectives

1) Italy – 3

Third experience: peer review of processes

The "priority processes" selected for the process analysis in the System are a good reference for the peer review activities at the Regional Agencies.
At present, we are planning NPRI activities in SNPA, proposing as peer review theme one of the 8 processes that already has a "standard scheme" thank to the work done over that processes to foster system homogeneization.
Agencies volunteering to host a peer review will indicate one out of the 8 processes already studied. The "standard scheme" of the process will be used not as a "binding scheme" but will remain on the background as "general framework"; the outcomes of the review will be used to improve process performance at reviewed agency as well as mean to evaluate ad improve the "standard layout

Period: 2019 – ....

- First Step: collection of candidacies and defining a time schedule
- Second step: NPRI
- Third step: release of the NPRI report and improvement of "standard process"

IMPEL NPRI Project 2019/21
Kickoff Meeting
Athens, Greece – 17th and 18th July, 2019

Examples of NPRI already adopted
or accomplished, perspectives
1) The Netherlands – 1

Toward homogeneization, best practice sharing and mutual support
A step by step process inside REPA Association

Due to institutional changes and the creation of the Regional Environental Protection
Agencies for each one of the 29 Netherldands' Region, it was felt the need of:
- Improving quality of work
- Mutual learning
- Advice on improvement law/working methods
- Report on state of play on individual as well national level
To achieve that goals the NPRI methodology was chosen.
The entity managing this project is the REPA Association

IMPEL NPRI Project 2019/21
Kickoff Meeting
Athens, Greece – 17th and 18th July, 2019

Examples of NPRI already adopted
or accomplished, perspectives
1) The Netherlands – 1

Toward homogeneization, best practice sharing and mutual support
A step by step process inside REPA Association

Methodology:
- Subdivision of the 29 Agecies in 9 pouls
- The members of each pool perform 3 visits at other pool members; period January -
September
- Central theme for all; 2018 strategies on permitting, inspection and enforcement
(questionnaire)
- Other topics chosen by host
- Reporting (national level) Oktober-December

IMPEL NPRI Project 2019/21
Kickoff Meeting
Athens, Greece – 17th and 18th July, 2019

Questions:

- Wich other experiences are in place?
- Wich are the common values that we can share?
- How to strenghten these experience and how to make it available for Colleagues at european level?

The discussion documents as trace to aim at best our work

4.2. NPRI Meeting introduction – Dordrecht 25 – 26 January 2020

IMPEL National Peer Review Initiative (NPRI) Project 2019/21

Country Visit 1 and Project Team Meeting
Dordrecht, the Netherlands – 23th and 24th January, 2020

Project objective

- To develop a systematic approach for a National Peer Review Initiative (NPRI), based on flexibility and specific country needs

- To set the basis for a better understanding of the common needs within competent authorities (e.q. training, common rules, documents, type of instruments and technical support etc.)

- To determine which and how support actions can be delivered within or by a National Network of authorities

- To provide IMPEL members with a new concept and approach, including guidance on how a NPRI scheme could be implemented, and how adequate support can be delivered

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IMPEL National Peer Review Initiative (NPRI) Project 2019/21

Country Visit 1 and Project Team Meeting
Dordrecht, the Netherlands – 23th and 24th January, 2020

Desired project outcomes

- Integrate a NPRI scheme in the wider area of Peer Reviews, implemented in IMPEL, but also in organisations as the OECD, IAEA, UNECE

- Discuss NPRI concept under the light of the known experiences already in place (i.e.: the Netherlands and Italy)

- Gather similar experiences carried out by IMPEL members

- Defining a framework of need to design appropriate answers

- Establishment of a core group of experts who implement the NPRI scheme in their country, as well as support its implementation in other countries

Slide: IMPEL National Peer Review Initiative (NPRI) Project 2019/21 — Country Visit 1 and Project Team Meeting, Dordrecht, the Netherlands – 23th and 24th January, 2020

2019 project progress

✓ Preparatory activities and meetings

✓ Drafting of a first discussion document, outlining the principles and the roadmap for the ativities

✓ Developing a survey on experiences and needs

COUNTRIES 22
ORGANIZATIONS 26
ANSWERS 28

Slide: IMPEL National Peer Review Initiative (NPRI) Project 2019/21 — Country Visit 1 and Project Team Meeting, Dordrecht, the Netherlands – 23th and 24th January, 2020

2019 project further activities

Ongoing

➤ Study existing experiences with Peer Review (e.q. OECD, UNECE, TAIEX P2P, European Commission, IAEA, ….)

Planned

❖ Exchange visit: The Netherlands (January)

❖ Exchange visit: Italy (February)

❖ Final Seminar (March)

IMPEL National Peer Review Initiative (NPRI) Project 2019/21

Country Visit 1 and Project Team Meeting
Dordrecht, the Netherlands – 23th and 24th January, 2020

2020 project

In the 2nd year, IMPEL Project Team will support Organizations in the development of customized schemes based of specific Country's needs. This support will be delivered through visits in which the Project Team will provide for expertise and advice to help the start up of the initiative.

Taking advantage of these experiences the scheme for development of NPRI will be further improved.

The aim of the second year of activity will be also the set up of a team of experts in NPRI with the scope to supply assistance to other Countries that want to implement the NPRI scheme or to expand it in areas . The project will provide for a further improvement of the reference text and of the 'NPRI concept'.

- April – May 2020: Kick-off meeting.
- May – June 2020: Country visit to support NPRI development (1).
- September 2020: Country visit to support NPRI development (2).
- October – November 2020: Country visit to support NPRI development (3).
- December 2020: Training for NPRI implementation.

IMPEL National Peer Review Initiative (NPRI) Project 2019/21

Country Visit 1 and Project Team Meeting
Dordrecht, the Netherlands – 23th and 24th January, 2020

Thank you so much, **dear Hosts**, for the opportunity you give us to share your experiences and to get close to the environmental reality of your country

4.3. REPA's illustration of peer review activity in their network - Dordrecht 25 – 26 January 2020

4.3.1 Principles implemented at REPA's to carry out the peer reviews in their network at National level
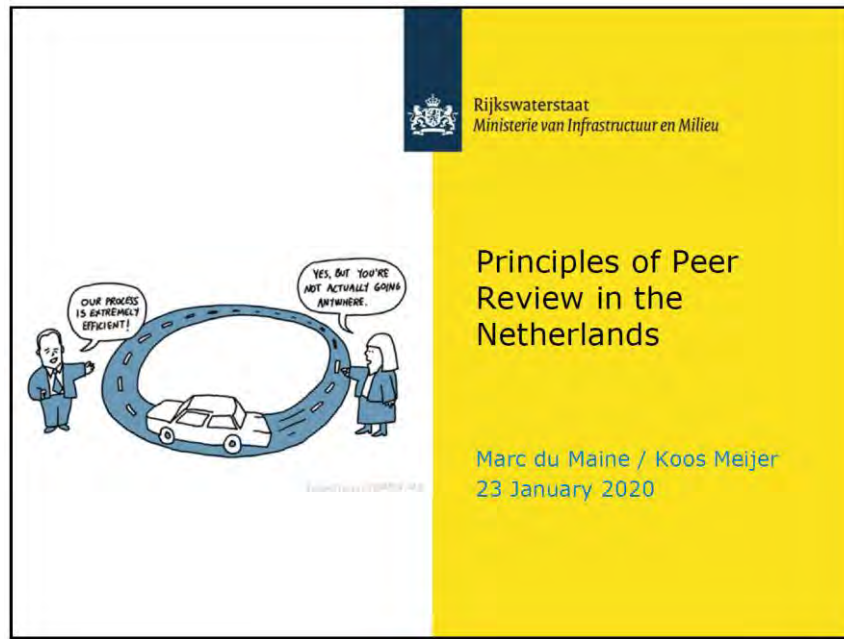
Environmental Law, problems to solve

- Organization of environmental enforcement
    > 400 municipalities, 12 provinces, 25 water boards, 1 national, etc

- Lot of incidents

- Investigation:
    - Lot of miscommunication
    - Lack of quality and knowledge
    - Poor information exchange

- Solution:
    25 environmental agencies for high risk and
    complex installations

Rijkswaterstaat
Title
27 juli 2020
3

Environmental Law, the start

- Lot of discussion

- Package deal
    – Ministries
    – Union of Municipalities
    – Union of Provinces
    – Union of Water boards

- Adjustment of the Law

Rijkswaterstaat
Title
27 juli 2020
4

Environmental Law, framework

5.3 Organization and tasks environmental agencies
5.4 Quality criteria tasks environmental agencies
5.5 Quality criteria other tasks
5.6 Two yearly monitoring
5.7 Process criteria
5.8 Information exchange
5.9 Coordination by Provinces

Rijkswaterstaat
Title

5

27 juli 2020

Extra attention to the quality of our work

- More articles are not effective

- Improvement of the quality by Peer Reviews

- Discussions with municipalities, provinces, REPA's and the Ministry

Rijkswaterstaat
Title

6

27 juli 2020

Principles of Peer Review

- No judgement by a superior body
- To help to improve performance
- With the help of experienced colleagues
- Open dialogue

Rijkswaterstaat
Title

7

27 juli 2020

What do we mean with a Peer Review in the Netherlands?

- Discussions with colleagues about quality standards
- Employees two REPA's visit a third REPA
- Discussions about a central theme with a questionnaire
- And a free topic
- Continuous attention to quality
- Use the result for accountability
- Good example: IRI

Rijkswaterstaat
Title

8

Testing phase I

Process
- Establish a Core Team
- Prepare short guidance
- Development questionnaire common theme (critical mass)
- Seven short descriptions for the free part
- 6 REPA's participate
- 6 visits (after two interim visits, short evaluation)
- After all visits final evaluation

Rijkswaterstaat
Title

9

Testing phase II

Results
- Enthusiasm among participants, it's FUN
- Difference in implementation
- Sharing information and knowledge
- Was definitely worth the (time)investment
- Please continue

Rijkswaterstaat
Title

10

27 juli 2020

Current situation I

Process
- Organized by REPA's Board
- Almost all REPA's participate
- One central point for information exchange
- https://www.omgevingsdienst.nl/kennisplatforms+
  nieuw/collegiale+toets/default.aspx

Rijkswaterstaat
Title

11   27 juli 2020

Current situation II

Results
- Improvement of internal quality system of the REPA
- Lot of enthusiasm around the Peer Reviews
- Improvement communication between the
  employees of the REPA's
- Report of the final results to the board of
  Municipalities, the board of provinces and the
  Ministry

Rijkswaterstaat
Title

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4.3.2 Methodology implemented at REPA's to carry out the peer reviews in their network at National level
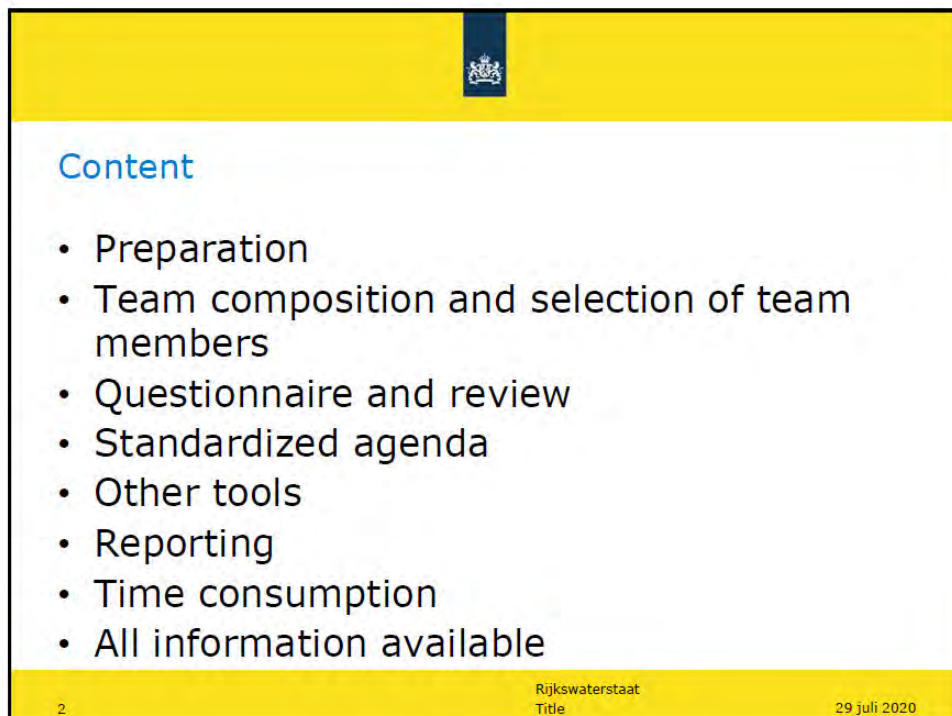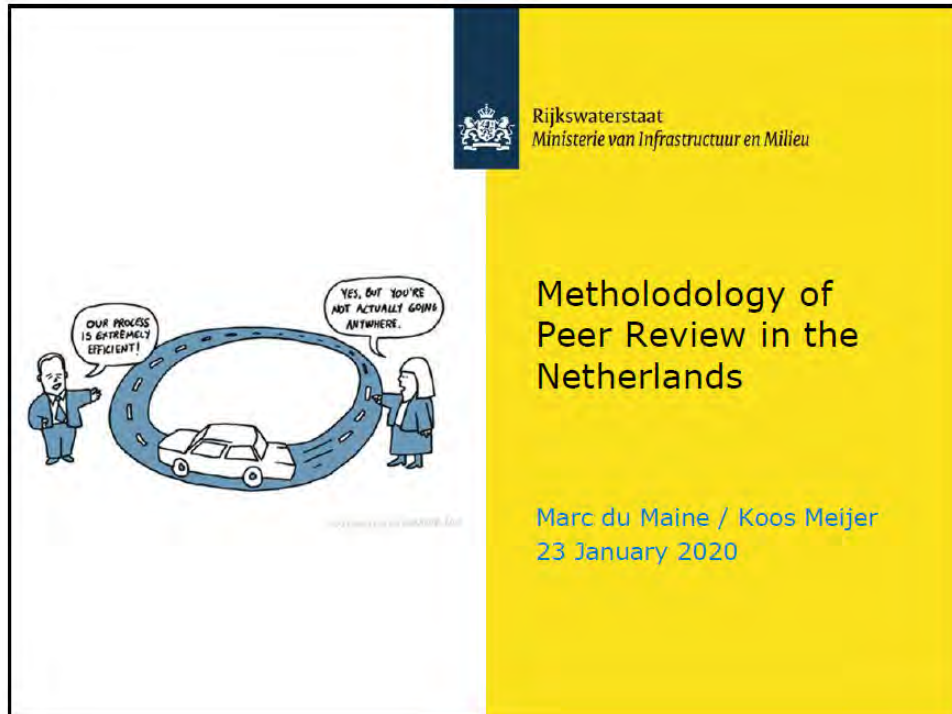
Preparation

- Core group
- Central theme
- Tools
- Participants 29 REPA's, divided in 9 groups

Team composition and selection of team members

- Visiting organization
  - Leader
  - Reporter
  (- Experts?)

- Visited organization
  - Project leader
  - Management
  - Experts

Questionnaire and review

- Standard questionnaire
- Useful in the discussions
- Start with recommendations last year
- Easy to report
- "Easy to compare"

Rijkswaterstaat
Title

5

Questionnaire 2019

- Introduction

- Follow up; Continuously improvement of the system

- Objectives and goals for the permitting
- Objectives and goals for the supervision and enforcement

- Target monitoring of the permitting
- Target monitoring of the supervision and enforcement

- Conclusions

- Tips for next year

Rijkswaterstaat
Title

6

29 juli 2020

Standardized agenda (2019)

Time	Subject	Employees present
10.00-10.30	Reception and introduction REPA Also take into account the most important developments of the last year and things that may be interesting for other services.	Contact Management
10.30-11.00	Follow-up, Recommendations Peer Review audit 2018	Contact Management
11.00-12.00	Measurable goals and monitoring	Contact ... ...
12.15-13.00	Lunch	
13.00-14.00	Measurable goals and monitoring	Contact ... ...
14.00-15.00	Extra theme (free theme)	Contact ... ...
15.00-15.30	Completion of reporting by visitors	
15.30-16.00	Oral feedback of findings to the receiving organization	Contact Management ...
16.00	Closing	

29 juli 2020

Other tools

Also
- Guidance with background information
- Manual for the interviewer
- Format for the structure of the meeting
- Extra background information central theme

Rijkswaterstaat
Title

8

29 juli 2020

Reporting

Individual reporting
- Results are for the REPA's themselves
- They decide what to communicate

Central reporting
- Anneal report of all the Peer Reviews by the REPA Board
- No individual results in the central reports
- Good practices (also on website)
- Report to Union of Municipalities, Union of Provinces and Minister

Rijkswaterstaat
Title

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29 juli 2020

Time consumption

Each REPA
- Preparation   1-2   days (complexity topics and program)
- Audit   2   day (number of experts)
- Reporting   0,5   day
       Total   3,5 – 4 days

Rijkswaterstaat
Title

10

29 juli 2020

All information available

All the information for the participants available:

- https://www.omgevingsdienst.nl/kennisplatforms+nieuw/collegiale+toets/default.aspx
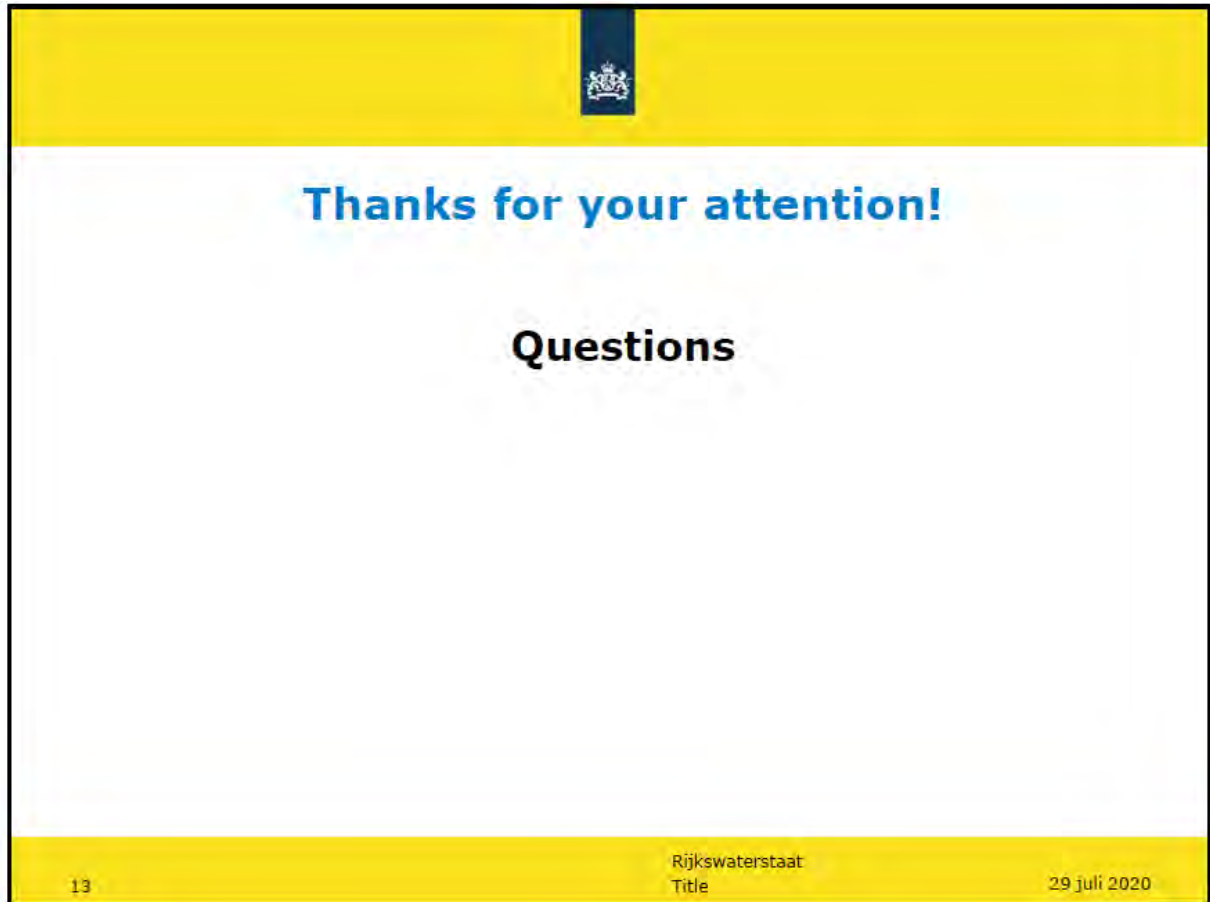
Rijkswaterstaat
Title
11
29 juli 2020

Strongness / weakness

- No requeremants set for the reveiwers?
- ....

Rijkswaterstaat
Title
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29 juli 2020

4.3.3 Implementation at REPA's of peer reviews at National level – practical application of principles and methodology

Omgevingsdienst Zuid-Holland Zuid

Index presentation

- Selection of topics for the assessment (Oskar)
- Experiences of the process and methodology (Oskar)
- Report and internal discussions about the findings (Oskar)
- Follow-up and implementation of opportunities for development (Otto)
- Experience with the governance structure of the Peer Review, its outcome and follow-up (Otto)
- Strengths and weaknesses (Otto)
- Complementary experiences REPA MWB (Arian)

23-01-2020 IMPEL, REPA's MWB and ZHZ   3

Omgevingsdienst Zuid-Holland Zuid

Selection of topics

- Morning programme fixed topic
    - Questionnaire
    - Benchmarking
- Afternoon programme
    - Excursion
    - Presentation (intervision or promotion)

23-01-2020 IMPEL, REPA's MWB and ZHZ   4

Omgevingsdienst Zuid-Holland Zuid

Experiences on the process and methodology (1 of 2)

- Objectives
  - Check / audit / intervision ?
- Input from association EPA NL (Koos and Marc)
  - Broad view
  - Independent

23-01-2020 IMPEL, REPA's MWB and ZHZ   5

Omgevingsdienst Zuid-Holland Zuid

Experiences on the process and methodology (2 of 2)

- Variety of REPA's
  - Development (old / new)
  - Different mandates
  - Culture
    - Between REPA's
    - Within REPA's (units)
- Preparation
  - management / fellow workers / presentation / live data
  - Supporting documents
  - 1 or 2 auditors lead auditor and someone to make notes?

23-01-2020 IMPEL, REPA's MWB and ZHZ   6

Omgevingsdienst Zuid-Holland Zuid

Report and internal discussions about the findings

- First audit in 2018 an elaborated report
- Later the questionnaire
    - Filled out by receiving REPA
    - Comments from auditteam, no corrections

- Internal discussions
    - First concept bij auditleader(s)
    - Review by other auditor
    - Review bij auditee (visited REPA)

23-01-2020 IMPEL, REPA's MWB and ZHZ   7

Omgevingsdienst Zuid-Holland Zuid

Improvements peer review

REPA ZHZ
- Dashboard (figures, financial information)
- Registration National enforcement strategy
- Watch out for a grand opening

REPA NL
- Contacts (direct and through ODNL)
- Stimulation use of knowledge forum (EPA NL: Kennisnet)

23-01-2020 IMPEL, REPA's MWB and ZHZ   8

Omgevingsdienst Zuid-Holland Zuid

Follow-up and implementation of opportunities for development

- Professional fellow workers
- self-directing teams
- Responsible management units
- Management Board

- Improvement of potential (ISO 9001:2015)
- Guarantee by procedures and by audit third party

23-01-2020 IMPEL, REPA's MWB and ZHZ   9

Omgevingsdienst Zuid-Holland Zuid

Experience with their governance structure on the Peer Review, its outcomes and follow-up

- OZHZ itself is responsible for the outcome
- Peer review is part of the overall check
- The outcome itself is not discussed separately in the board, it is generally stated that it was carried out.

23-01-2020 IMPEL, REPA's MWB and ZHZ   10

Contents

Four Sheets:

1. Starting Point 2018

2. Alternative approach 2019

3. Steps meeting 2019

4. Choosen Improvements

"WE DON'T WANT YOU TO VIEW THIS AUDIT COMMITTEE AS BEING IN ANY WAY CONFRONTATIONAL"

Not that way : no audit
Peer Review =
open-discussion and learn from each other

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Starting Point 2018

✓ In first year (2018) we followed standard methodology

✓ Same expierences as REPA ZHZ

Two complementary experiences:

a. Good open-discussions, learning from each other, but third session to much repeat and less energy

b. People walking in and out. Less coherent, less focus

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Alternative approach (2019)

✓ With REPA Amsterdam and REPA Fryslan

✓ One-and-a-half day meeting with the 3 Ceo's and a selection of Teammanagers and Policymakers 15 particpants

✓ Focus on 'learn from each other' and innovation

✓ Focus on outcome, not on measuring and monitoring output/goals

✓ Program prepared by 3 contactpersons of each REPA

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Steps in our Meeting 2019
Program

a. Our context: State of the art of the three REPA's

b. Summary of conclusions of questionnaires and open discussion to look for improvements

c. Focus on one strategic innovation subject (OUTCOME), subgroups

d. Experiences with outcome from somebody not involved in the sector

e. Reflection by 3 CEO's and adressing the combined improvements (for 3 REPA's the same)

f. Combined follow-up improvements, assisted by three contactpersons. Still going strong

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Improvements

a. Sharing information about risk-orientated working/programming (learn from each other)

b. Permitting/Licensing. From question send-demanding to risk oriented and updated permits

c. Outcome. Exchange the best practices of storytelling.

Important to make this fit with other improvement-programs our REPA already have.

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4.3.4 Preliminary Study on Peer Review Approach adopted by six Organizations or Networks – Dordrecht 25 – 26 January 2020

Preliminary study Peer Review Approaches

'a comparison of 6 Peer Review and assessment approaches or methodologies, aiming at identifying approaches and good practices that can contribute to development of a 'National Peer Review Initiative'

Methodology

- Study of relevant literature (theory, methodologies and effectiveness)
- Selection of organisations
- Study of objectives, methodologies, scope, process, ...
- Drafting summary documents (annexes)
- Factsheets, reflection on 10 'defined' dimensions
- Comparing findings with 'NPRI working principles'
- Conclusions and recommendations as input for discussion on developing a framework for a NPRI methodology

What is Peer Review

'The peer review is a discussion among equals, not a hearing by a superior body that will hand down a judgement or punishment. This makes them a more flexible tool; a state may be more willing to accept criticism, and its neighbours to give it, if both sides know it does not commit them to a rigid position or obligatory course of action. Peer reviews are not intended to resolve differences among states, but they may play some of the role of a dispute settlement mechanism, by encouraging open dialogue that can help clarify positions in a non-adversarial setting.'

OECD

What is Peer Review

'The peer review is a discussion among equals, not a hearing by a superior body that will hand down a judgement or punishment. This makes them a more flexible tool; a state may be more willing to accept criticism, and its neighbors to give it, if both sides know it does not commit them to a rigid position or obligatory course of action. Peer reviews are not intended to resolve differences among states, but they may play some of the role of a dispute settlement mechanism, by encouraging open dialogue that can help clarify positions in a non-adversarial setting.'

OECD

Effectiveness of Peer Review – conditions!

- Willingness and commitment
- Value sharing
- Non legally binding
- Mutual trust
- Credibility
- Ownership
- Fairness and objectivity
- Flexibility and alignment with needs

Factors that influence a Peer Review

- Changing political circumstances
- Priority
- Capacity
- Sharing information and expertise
- Ownership
- Cultural and language differences

Peer learning, an additional positive effect

Peer learning at different stages:

- Review mission

- Expert review

- Publication and launch

Working principles NPRI (1)

General:
- Defined process and instrument with focus on introduction and implementation of a Peer Review tool
- Aims to support identification of needs for support and implementation of opportunities for development as an outcome of the PR

When applied:
- Voluntary basis and on request
- To be applied at national, regional, local or organisational level
- Adds value and stimulates reform in policies and practices
- Findings and 'opportunities for development' are non-binding

Working principles NPRI (2)

Flexibility
- Instrument is flexible and can focus on a variety of topics and themes
- Can take forms of expert missions, study visits, workshops etc.

Capacity building and mutual learning
- Instrument can serve as a capacity building instrument
- Supports mutual learning and exchange of good practices
- Based on a dialogue and systematically exchange of information, views etc.
- Instrument can be used by (a pool) of experts to train experts to introduce the tool

Evaluation aspects

1. Objective and scope
2. Composition of the expert team
3. Guidance
4. Assessment framework
5. Process:
   a. Preparation
   b. Assessment
   c. Reporting
6. End of mission
7. Follow-up

Each evaluation aspect transferred into a 'working definition'

Selected organisations

- Regional Environmental Protection Agencies (REPA)
    - *Collegiate review*
- International Atomic and Energy Agency (IAEA)
    - *Emergency Preparedness Review (EPREV)*
- European Commission
    - *Environmental Implementation Review (EIR) and TAIEX*
- IMPEL
    - *IMPEL Review Initiative (IRI)*
- United Nations Economic Commission for Europe (UNECE)
    - *Environmental Performance Review (EPR)*
- Organisation for Economic Cooperation and Development (OECD)
    - *Environmental Performance Review (EPR)*

Comparison with 'assessment framework'

- Methodologies are compared with the working definitions

- Classification (rating based on match with working definitions)

- Summary of the result of the comparison in factsheets

- Detailed description in 6 annexes

- Comparison with the 'working principles' of the NPRI

- Conclusions and recommendations

Conclusions

General:

- No standardised mechanism, but all share structural elements

- All methodologies have proven their value in practice

- Most methodologies have their own target audience

- All reviewed methodologies can provide valuable input for the NPRI design

Evaluation aspects (1)

Objective/scope

- Clearly formulated objectives
  - Improve performance
  - Adopt good/best practices
  - Comply with standards
  - Supports capacity and knowledge building

Composition expert team

- Variety in 'recruitment' processes

- Secretariats play an important role

- Recruitment processes are not (fully) transparent

- Requirements not very clear

- A web-based training (IAEA) showed to be very helpful

Evaluation aspects (2)

Guidance

- All have (some) guidance material
  - Standard agenda
  - Process description
  - Checklists
  - Writing instructions
- Some organisations have information packages (IAEA, UNECE, REPA and IMPEL)

Assessment framework

- A concrete 'Assessment Framework' is a challenge for (almost) all organisations
- Lack of specific indicators or criteria
- Performance is mainly determined in a qualitative way

Evaluation aspects (3)

Process:

- All described the review process, activities, division of responsibilities, information sharing, data collection and timing of steps

Preparation

- Preparatory meetings
- Self assessment reports
- Questionnaire
- IAEA: first assessment by team member
- Terms of Reference

Assessment

- Structured
- Sometimes sub-teams
- Deployment in field of expertise
- Findings are daily evaluated
- Reporting starts

Evaluation aspects (4)

<u>Reporting</u>

- Variety how reports are prepared
- All work during the course of the Peer Review on the report
- Sometimes chapters are addressed to specific experts (IAEA/UNECE)
- Experience with a dedicated rapporteur (IMPEL)
- All share drafts with the host organisation to check inaccuracies or to provide additional information
- Reports are (in principle) public and agreed by the ToR
- Reports REPA are confidential and for internal use (except an overall generalised report)

Evaluation aspects (5)

<u>End of mission</u>

- REPA, IMPEL and IAEA present the draft report at the end of the mission
- Organisations follow internal procedures for (expert) review and approval
- REPAs produce an overall, generalised and anonymised report for their association and the minister

<u>Follow-up</u>

- Variety in 'follow-up'
- Encouragement to implement outcome and to inform about follow-up. OECD is mandatory.
- Follow-up missions and providing active support are not (fully) institutionalised
- Organisations indicate that missions and mission cycles are evaluated, aiming at improvement
- TAIEX P2P tool is promising

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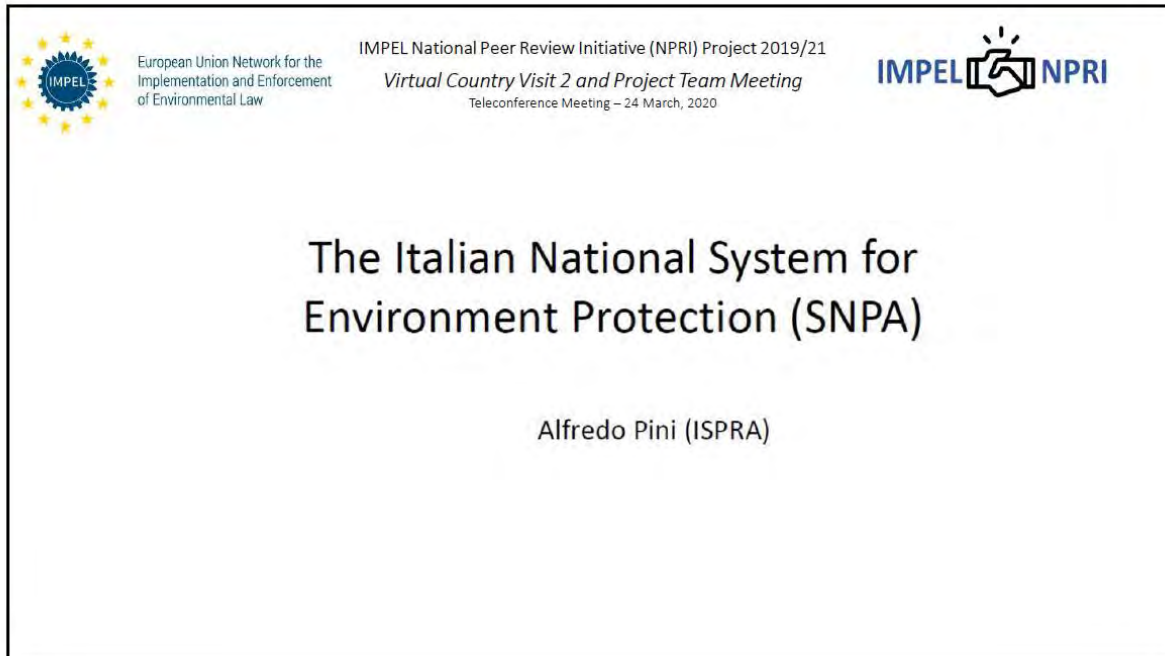
Recommendations

To discuss:

- The content and outcome of the study in light of the development of a NPRI methodology
- If the 'working principles' of the NPRI are still valid
- How the NPRI methodology could look like and to identify building blocks for the design

4.4 Virtual Country Visit in Italy: 24th March 2020

4.4.1 The Italian National System for Environmental Protection

IMPEL National Peer Review Initiative (NPRI) Project 2019/21

Virtual Country Visit 2 and Project Team Meeting
Teleconference Meeting – 24 March, 2020

European Union Network for the Implementation and Enforcement of Environmental Law

1. **Operational mandate (AGENCY)**
2. **Research legal framework (KNOWLEDGE CENTRE)**

UNIQUE PECULIARITY AT EU LEVEL

The Institute can keep itself at the forefront of knowledge and technology, as well as enjoy freedom to act and to operate as an autonomous and unbiased organization

---

IMPEL National Peer Review Initiative (NPRI) Project 2019/21

Virtual Country Visit 2 and Project Team Meeting
Teleconference Meeting – 24 March, 2020

European Union Network for the Implementation and Enforcement of Environmental Law

Above 1200 staff spread among **eight sites** all around Italy.

Responsibility for environmental:

- **Knowledge**
- **Monitoring**
- **Assessment**
- **Prevention & Control**
- **Inspection**
- **Technical and scientific advice**
- **Information and communication**
- **Education and training**

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Teleconference Meeting – 24 March, 2020

European Union Network for the Implementation and Enforcement of Environmental Law

Full environmental spectrum covered

The ISPRA's **environmental inspectors** operate all around the country

ISPRA formally supports the **Civil Protection** as a national centre for:

RISKS
- Seismic
- Hydrogeological
- Environmental

Official geological **cartography** (*GEOLOGICAL SURVEY OF ITALY*)

National Environmental Information System   **EEA**

ISPRA is **part of the National Statistical System**

COMPETENCE CENTRE for: the **waste cycle**; **environmental emergencies**; the **coastal environment and oceanography**

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European Union Network for the Implementation and Enforcement of Environmental Law

INTERNATIONAL FRAMEWORK

ISPRA operates worldwide, although it mainly provides technical-scientific support to EU environmental policies and institutions, and takes part in international programmes and research projects.

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Teleconference Meeting – 24 March, 2020

European Union Network for the
Implementation and Enforcement
of Environmental Law

2017: A 'NEW' SYSTEM

Following the entry into force of Law 132/16, since 14th January 2017, ISPRA coordinates the **National System for Environmental Protection (SNPA)**

19 Regional and **2** Province's Environmental Protection Agencies, under the chairmanship of ISPRA

Workforce: over **10,000**

Power to enforce the adoption of specific technical regulations and to make recommendations for new legislation

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European Union Network for the
Implementation and Enforcement
of Environmental Law

- 19 Agenzie Regionali per la Protezione Ambientale (ARPA) 2 Agenzie Provinciali di Trento e Bolzano (APPA) ISPRA ha ruolo di indirizzo e coordinamento

European Union Network for the
Implementation and Enforcement
of Environmental Law

IMPEL National Peer Review Initiative (NPRI) Project 2019/21

Virtual Country Visit 2 and Project Team Meeting

Teleconference Meeting – 24 March, 2020

For more information

alfredo.pini@isprambiente.it

4.4.2 The Promotion of the homogeneization in the Italian National System for Environmental Protection: the *LEPTAs*

IMPEL National Peer Review Initiative (NPRI) Project 2019/21

Virtual Country Visit 2 and Project Team Meeting
Teleconference Meeting – 24 March, 2020

A Keyword: Homogeneity

in the National System for Environment Protection as Network of EPAs

But... In practice what does it means?

Three items to share:

1) What we *must do*: the National Catalogue of Services (CNS)

2) In which *quantity*: the *uniform response to the needs of the Services* of Italian Regions, despite their large diversification

3) With which *quality*: implementation of technical rules defined at national level.

The three items collapse around the concept of LEPTA:

Essential Level of Environmental Technical Provisions

Minimum quantity, acceptable quantity and quality

Type of Activity

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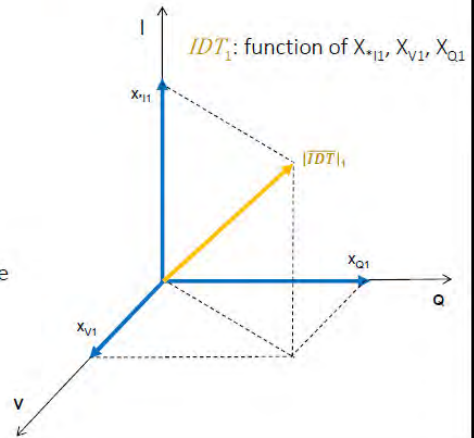Teleconference Meeting – 24 March, 2020

Having Secured by law the concept of:

"Essential Levels of Provisions for Environmental Protection (*LEPTA*)"

the law try to secure, as well, the fundings for LEPTA achievement

So, the shared definition of the three items:

1) What we *must do*: the National Catalogue of Services (CNS)

2) In which *quantity*: the *uniform response to the needs of the Services* of Italian Regions, despite their large diversification

3) With which *quality*: implementation of technical rules defined at national level.

should set the basis for the definition of the funding of the SNPA members

— Different quantity multiplier for each one of the Regions
— Same cost multiplier for all the Regions

First slide

First: what we must do - *work in progress regarding typical activities in SNPA, their denomination and their organization*

One of the problem faced is that, even if every component of the SNPA work on the basis of the same environmental laws, each one of the delivered provisions is not named in the same way and do not contains the same group of actions... the theme will be treated in a specific presentation.

The Category system going through the adoption process:

LEPTA 1	#	Servizi	Note
Monitoring of the State of the Environment	1.1	Quality of the priority environmental components	Surveys, measures and elaborations on the state of the environment regulated by national legislation pursuant to Community Directives to support the adoption of policies
	1.2	Meteorology, Climatology, natural risk factors	Measurements and evaluations, forecasts, on meteorological and climatic observables and on natural risk aspects
	1.3	Qualitative state and soil consumption	Measurements and evaluations to protect the "soil resource"
	1.4	Monitoring of ecosystems and the natural environment	Observations and assessments on protected areas and other aspects of protection of the natural environment

Second slide

First: what we must do - *work in progress regarding typical activities in SNPA, their denomination and their organization*

LEPTA 2	#	Servizi	Note
Technical Support to the Competent Authorities for Authorizations and Spatial Planning	2.1	Support for the Granting of Authorizations	Pre-emptive assessment activities in the authorization procedures for activities relevant from an environmental point of view, through participation, in various capacities, in the instructor processes
	2.2	Support in the remediation of contaminated sites	Activities connected in various capacities with the remediation and management of the soil matrix in administrative procedures for the reclamation of contaminated sites.
	2.3	Support in Environmental Assessment procedures	Technical activity aimed at the preliminary support on land management activities or with significant territorial impact

IMPEL National Peer Review Initiative (NPRI) Project 2019/21

Virtual Country Visit 2 and Project Team Meeting
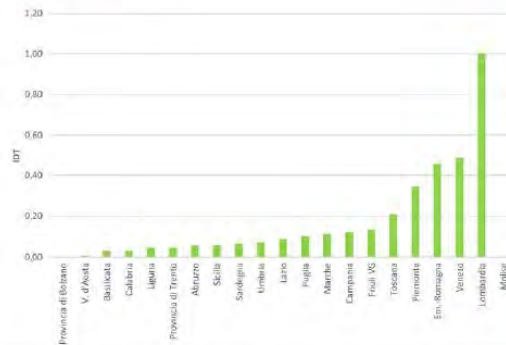Teleconference Meeting – 24 March, 2020

European Union Network for the
Implementation and Enforcement
of Environmental Law

First: what we must do - *work in progress regarding typical activities in SNPA, their denomination and their organization*

LEPTA 3	#	Servizio	Note
Inspection, control and other enforcement actions	3.1	Inspections and controls planned in accordance with national provisions	Inspection activity planned in the IED and Seveso field and any other mandatory control whose planning and programming methods are defined by national legislation
	3.2	Inspections and controls, activities on a territorial basis	Inspections relating to the exercise of regulated activities from the point of view of environmental protection (e.g. authorizations included in the *AUA* and other), also scheduled
	3.3	Environmental verification actions preliminary or complementary to the inspection and control activity	Services related to environmental matrices aimed at activating administrative - inspection actions: checks and investigations other than the activities carried out in the inspection area, aimed at verifying compliance with the environmental levels allowed by law and / or looking for sources of pressure
	3.4	Surveillance of activities subject to preventive environmental assessment	Technical activity aimed at verifying compliance with the reference levels and compliance with the requirements laid down by the EIA provisions, both at the time of construction and during their exercise
	3.5	Support activities for judicial action	Activities in the context of court proceedings.

LEPTA 4	#	Servizio	Note
Support in emergencies and civil protection activities Civile	4.1	Protection and response to emergencies from natural risks	Monitoring and response capacity in the event of catastrophic events related to natural risk factors
	4.2	Presidio e risposta alle emergenze per rischi di origine antropica	Protection and response to emergencies for anthropogenic risks
	4.3	Support actions and services for the National Civil Protection System	Specific benefits in favor of the Civil Protection System

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First: what we must do - *work in progress regarding typical activities in SNPA, their denomination and their organization*

LEPTA 5	#	Servizio	Note
System functions	5.1	Support functions for environmental management	Support for high administration activities and for the development of Policy tools
	5.2	Informazioni e sistemi informativi ambientali	Environmental information and information systems
	5.3	Environmental training and compliance support	Stakeholder-oriented training activities, such as administrations, companies and their associative bodies and support and facilitation activities for the development of compatible practices, administratively and substantially, for environmental compliance and sustainability
	5.4	Environmental education	Support for the development of a widespread culture in the environmental field
	5.5	Identity and System requirements	Characteristic and self-governing System actions: planning and programming, technical standardization, network management, management aspects
	5.6	Technical preliminary support for the adoption of voluntary tools	Activities in the procedures for the adoption by companies of recognized voluntary instruments
		Environmental research	Applied research in the environmental field and for the development of identity and system functions

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First: what we must do - *work in progress regarding typical activities in SNPA, their denomination and their organization*

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First: what we must do - *work in progress regarding typical activities in SNPA, their denomination and their organization*

An Area under discussion: which should be the relationships with the Health System and other Systems (many provision are still addressed to this area....)

Functional Area 6
Technical support in the field of public health and to Competent Bodies in the environmental field outside the framework of Law 132/2019 - prodromal to the definition of a specific LEPTA.

I.E.: Foods, fresh water delivered in houses, safety on workplaces, radiation protection.....

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Second: how many - *how to implement the concept of «essential level» and «national homogeneity» with Regions having huge differences between them*

The definition of the minimum amount of activity for each one of the *services* and *provisions* in each Region
related also with funding mechanism!

The topics in complex even if compared with Healt System, in which the *proxi* to be considered to ensure homogeneity is, rougly, the inhabitants in each one of the region

Environment protection seems to need to take into account much more aspects....

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Second: how many - *how to implement the concept of «essential level» and «national homogeneity» with Regions having huge differences between them*

Looking for the needs of the Regions

THE IDT:
Index of Territorial (Regional) Demand

Each one of the Regions must have their own IDT's for each of the services/provisions

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IDT: Index of Territorial (regional) demand
An example, a special case:
IED Inspections
IDT as result of a sum of parts:
Criteria and related Indicators, in this case already largely indicated by the IE Directive
Plus
An advanced tool, SSPC*, (evolution of IMPEL IRAM - Easy Tools) to determine needs for inspections related to classes of risk
Equal to
Result: IDT for IED inspection

Italy officially adopted SSPC as official national tool to plan inspections in 5285 installations under IED (1874 in Lombardy)

* SSPC took advantages of some concepts of IMPEL IRAM – EasyTools to evolve to a «custimized» advanced tool

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In general: IDT is based on the composition of different *criteria*: the dimensions of a «Risk Space»; the ITD will be proportional with the «composed risk»

Example: IDT for installations
The factors to be considered are:
- Criteria (the topics you decide to include in the risk evaluation)
- Indicators (actual topic and it dimension for a specific criteria
- Algorithm that collapse the different indicators in a «relative risk value»

Criteria 1 V axis: Indicator of Vulnerability of the environment in the same territory

Criteria 2 Q axis: Indicator of Quality of the environment in the same territory

Criteria 3 I axis: Indicator for Environmental pressures source, (i.e.: installations located in a territory)

IDT_1: function of X_{*I1}, X_{V1}, X_{Q1}

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Prestazione B.3.1.4 Ispezione integrata programmata su azienda soggetta ad AIA e valutazione dei rapporti annuali dei PMC (Piani di Monitoraggio e Controllo)

Indice di Domanda Territoriale (IDT)

Results Example:
IED Inspections
Total Annual Number of inspections, normalized to the Region(Lombardia) having the heaviest yearly work charge

MODELLO TPO:	Normativo
Determinante:	n. ispezioni annuali su Aziende AIA in output a SSPC-CUT (soglie nazionali)
Qualità (Q):	—
Vulnerabilità (V):	—

	IDT
Provincia di Bolzano	0,000
V. d'Aosta	0,004
Basilicata	0,029
Calabria	0,030
Liguria	0,042
Provincia di Trento	0,043
Abruzzo	0,055
Sicilia	0,058
Sardegna	0,064
Umbria	0,071
Lazio	0,085
Puglia	0,100
Marche	0,111
Campania	0,120
Friuli VG	0,133
Toscana	0,208
Piemonte	0,342
Em.-Romagna	0,454
Veneto	0,486
Lombardia	1,000
Molise	no_data

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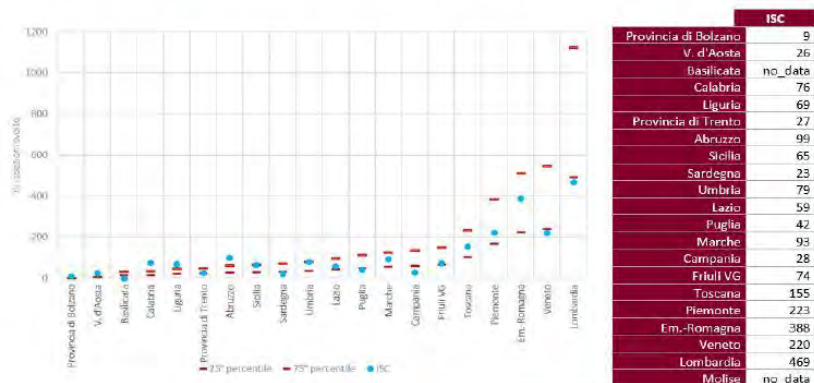
Third: how much does it costs - *how to evaluate the «standard cost» to deliver Provisions*

The lack of a common understanding, even at the level of definition of what is included and how to perform a Provisions, prevented the possibility to evaluate standard costs for each one of the provision gathering historical cost datas. It was decided to go further throug a peer to peer approach in the study of the processes undelying the provisions. The work is also the basis to define standardized processesses, that, even if not mandatory, define a benchmark as refernce for self evaluation, PtP evaluation, and as a reference for the implementation of standardized rules (ISO, UNI, etc.) when needed.

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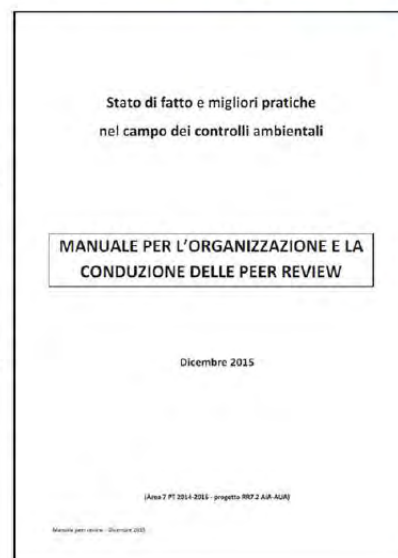Teleconference Meeting – 24 March, 2020
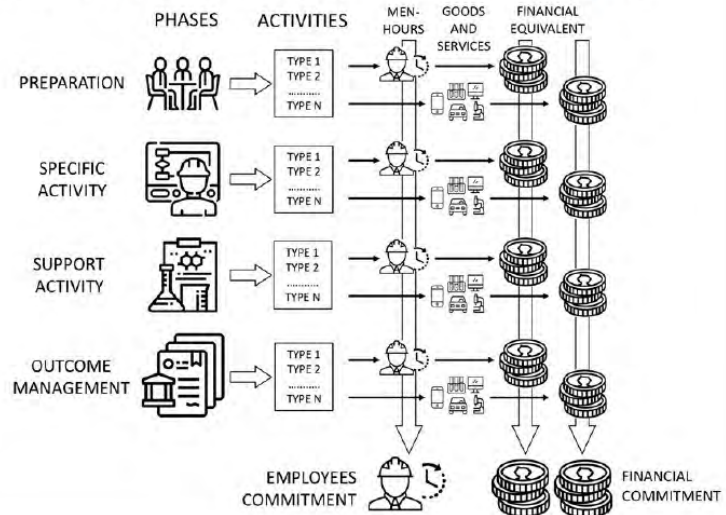
Finally….

The implementation of the LEPTA Philosopy needed reflections and the definition of specific methodologies, that, without spoiling the concept of uniform level, does not endanger the indipendency of the Agencies belonging to the SNPA

The LEPTA concept is going to be applied in next month (hopefully…) but:
- Which are the instrument to ensure that it is evenly applied in Italy)?
- Which are the instument to ensure a mutual support, a continuous dialogue, and to foster improvements based on experience?

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Thank you for your attention

Giuseppe

4.4.3 Why NPRI in Italy – Casting IRI experience and vaues over SNPA

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THE QUESTION WE ASKED
OURSELVES WAS:
could Impel Review Initiative (IRI)
be the solution?

BACK TO OUR EXPERIENCES AND NEW REFLECTIONS

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BACKGROUND:
A first contact of ARPA Lombardia with peer review practice consisted in the IRI that that took place in Como, Italy, on 21st -24th May, 2012.
The capability of detecting relevant issues and to outline solutions became evident for us. Some relevant outcomes (opportunities for development):

- Any violation of an IPPC permit has to be sent immediately to the prosecutor. In some European member states there is a more flexible system to deal with violation of IPPC permits, which is very strict on criminal breaches and less strict on minor breaches.
- Time limited permits (mostly 5 years) differ from other European countries which tend to be permits for life.
- Consider using IMPEL risk assessment for setting inspection priorities.
- EPAs are aware that having the same team leader going to the same companies all the time carries to risk of too strong involvment and potentially «issue blindness».

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BACKGROUND:

Some more relevant outcomes (opportunities for development):

- It could be considered to give higher priority to getting other regions at the same level of expertise on IPPC inspections.

- It could be considered to compare permits for companies with plants also in other regions in order to obtain a level playing field.

THESE TOPICS DEPENDS ON A NATIONAL ACTION AND WE WERE
INSPIRED BY IRI EXPERIENCE TO FIND OUT THE RIGHT INSTRUMENT
**TO ACHIEVE AT NATIONAL LEVEL THE HOMOGENEITY GOAL
PURSUED BY IMPEL AT EUROPEAN LEVEL**

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WORK IN PROGRESS

HOW COULD IMPEL HELP
IN THE HOMOGENIZATION OF
INSPECTION ACTIVITY?

Supporting in developing and tuning
a National Peer Review Initiative (NPRI)
taking advantage
of its large experience in IRI.

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STEPS TAKEN TO OPTIMIZE IMPEL HELP

Knowledge and self-experience as basis for the development of the work and IMPEL support.

So we made:

A national survey on IED inspections in order to gain the necessary kwowledge on the situation all over the Country

A first draft handbook for NPRI development in Italy

A first test experience on NPRI to face actual problems in National transposition of IRI

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THE HANDBOOK

Officially Approved by the National Council of SNPA on March 15th 2016

Developed on the pattern of the IMPEL IRI SCHEME

Field tested during the first National Peer Review in October 2016

…unfortunately not translated in English till now…..

Stato di fatto e migliori pratiche
nel campo dei controlli ambientali

MANUALE PER L'ORGANIZZAZIONE E LA
CONDUZIONE DELLE PEER REVIEW

Dicembre 2015

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THE HANDBOOK - *CONTENTS*

1. Introduction
2. Second phase of the project: *peer review* activities
3. References for *peer review* activities: IMPEL IRI exemple
4. Organization of *peer review*
   - Project team
   - Host Agency team
   - Duration of peer review
   - Preparation
   - Documents
5. Reference framework and development of *peer review*
   - Legislative, regulatory and procedural framework
   - The role of the Agency in the authorization context
   - Organizational framework
   - Technical framework
   - Site visit
6. Timing and costs
7. Annexes

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WORK IN PROGRESS

FURTHER ACTIVITIES INSPIRED BY IRI:
A Peer to Peer Approach for the standardization
of the main *EPA's network key parameters*

Amongst many issues in the implementation of our Environmental Network
Law there was the need to define *standard costs* for each one type of the activites
performed, as one of the feeds to define the financing of the Italian EPA's.

A first attempt to reach this goal was performed trying to analize the "historical" information,
obtaining very poor results, so we decided to try to solve the issue with an approach from
scratch, using the experience of groups of specialized technicians to define, through direct
confrontation and negotiations.

Thank you for your attention

4.4.4 Peer Review Experience in Italy

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SNPA projects: "Current situation and best practices in the field of environmental controls" (RR 7.2).

Authorizations main Step

30/06/2014:
• Approval of the project

15/06/2016 (Doc. N. 67/CF):
• Manual approval for the organization and conduct of Peer reviews

15/5/2017 (Doc. N. 10/CF):
• approval of the final project report and the ARPA Campania peer review
• report
• approval of editing and publication of documents
• mandate to propose new activities to be developed in the future three year plan

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Project's steps

1
• Questionnaire processing
• "IPPC audit" questionnaire
• Data processing

2
Development of Peer review Manual
SNPA approval (Deliberazione del CF 67 del 15/03/2016)
First National Peer Review (according IRI IMPEL model)

3
• SWOT analysis
• Communication

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Project: tools and results in each step

	STEP	Tools	Work	Results
1	Peer to peer	"IPPC audit" questionnaire	Collection and data processing	Benchmarking
2	Peer review	Manual of peer review	Looking for volunteers	Visit at ARPA Campania
3	Strategic planning	SWOT Analysis	Data Analysis	Map of internal and external factors, positive or negative

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Process: Inspections in IED Installations

Regulatory framework:

• 2010/75/UE Directive (IED Directive)

• Italian legislative transposition

• National and regional guidelines

CONTEXT: National and regional IPPC installation

IPPC Installation	Permit Autority	Control Autority
National: ~ 150	MATTM	ISPRA and ARPA
Regional: ~ 6.100	Region/Province/Agency	ARPA

Who does what	National IPPC Installation	Regional IPPC Installation
	Central EPA (ISPRA)	Regional EPA (ARPA)
Permit	PMC proposal	PMC Evaluation
Control	Inspection	Inspection

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"IPPC audit" questionnaire

Purpose of the questionnaire: How SNPA does IPPC Inspections?

IPPC Inspection
- programmatic and organizational aspects
- technical and procedural aspects

Peer -to- Peer

P2P

STEP 1

"IPPC audit" questionnaire: peer to peer

Comparative evaluation of the methods of implementing IPPC audits, conducted by analysing the data and information acquired from the regional/provincial Environmental Agencies and ISPRA.

Tool: questionnaire consists of 150 questions in 16 sections.
Investigation about two topics:
- Programs and Organisation
- Procedures and Technical Aspects

Collecting data: from October 2015 to February 2016

Data processing: all the answers were analysed section by section, producing charts for each question and providing comments to the most significant results and the consequent conclusions drawn.

STEP 1

"IPPC audit" questionnaire: peer to peer

ARPA's role in IED inspections: assessment of technical, procedural, programmatic and organisational aspects

0. Personal details
1. Identification of the audit team
2. Scheduling and drafting of a detailed control plan
3. Audit execution times
4. Any provisions/procedures/instructions issued by the Management of the participating Environmental Agencies
5. Transmission and evaluation of the plant operator's monitoring and self-control data
6. Assessment by ARPA of the plant operator's disclosure obligations
7. Sampling and subsequent laboratory analyses carried out by ARPA as part of an audit
8. Verification by ARPA of requirements and obligations related to the following environmental parameters: wastewater, emissions into the atmosphere, waste products, noise, odour, protection of soil and groundwater, etc.
9. Assessment of the application of general and industry-specific BATs
10. Promotion of compliance and continuous improvement
11. Directions to the Competent Authority
12. Baseline report
13. Emmission Trading (CO_2 and climate change)
14. Companies with a major accident risk (Seveso Directive)
15. Livestock enterprises - IPPC activities referred to in point 6.6 of Annex 8
16. Economic impact of the IPPC audits on ARPA

Compiling instructions
First type: YES / NO / sometimes
Second type: NEVER, <10% (infrequently carried out actions), ± 50% (averagely carried out actions), > 80% (frequently carried out actions)
Third type: use of numbers or explanations
First and second type answers: please tick in the proper box

STEP 1

IMPEL NPRI

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IMPEL NPRI

"IPPC audit" questionnaire: peer to peer

Example of programmatic and organizational questions

	2. Scheduling and drafting of a detailed control plan	YES	NO		
2.1	The ROUTINE inspection is considered complete when all environmental media have been checked				
2.2	The ROUTINE inspection is considered complete when even one environmental media has been checked				
2.3	NON-ROUTINE inspections predominate on ROUTINE inspections from the point of view of occurrence programming				
2.4	Any non-routine inspections are only performed on order of the Competent Authority or can be performed on Agency's initiative			closed answers	
2.5	The occurrence of routine inspections is scheduled on predefined criteria				
2.6	To schedule the occurrence of routine inspections, the Agency uses formalized tools /criteria for risk assessment				
2.7	The results of the assessment of self-monitoring may affect the occurrence of routine inspections				
2.8	The results of the assessment of self-monitoring can trigger any non-routine inspections				
2.9	The outcomes of previous inspections can affect the occurrence of inspections				

		YES	NO	sometimes	
2.10	The inspection programme, with the definition of the inspection team, is defined on an annual basis				
2.11	The possible participation of external expert staff, other than exclusively dedicated to IED installation inspections, is formalized				
2.12	The required Agency/lab activities are defined at the planning stage of the IED inspections				

		Never	<10%	±50 %	>80%
2.13	Inspection activities on request of the Judicial Authority at which percentage affect the overall IED inspection activities				
2.14	The results of inspections in the previous year are evaluated in terms of achievements versus the human resources used, in order to modify the forthcoming inspection programs				

	3. Audit execution times	YES	NO		
3.1	The duration of an inspection is defined in the annual programme				
3.2	The duration of an inspection is determined on the basis of available resources				
3.3	The duration of an inspection is defined on the basis of the authorization				

STEP 1

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IMPEL NPRI

"IPPC audit" questionnaire: peer to peer

Example of technical and procedural questions

		Never	<10%	±50 %.	>80%
7.2	EMISSIONS IN THE ATMOSPHERE				
7.2.1	The Solvents Management Plan is evaluated				
7.2.2	Sampling of emissions are carried out during the routine inspections				
7.2.3	In case of sampling: how many stacks are normally controlled with respect to the total number in the installation (which have significant emissions)				
7.2.4	In case of sampling: which are the considered pollutants (choose from the following options):	Never	<10%	±50 %	>80%
7.2.4.1	only those included in the authorization Monitoring Plan				
7.2.4.2	only the most critical ones included in the authorisation Monitoring Plan				
7.2.4.3	more then the ones included in the authorization Monitoring Plan				
7.2.4.4	only the pollutants that the ARPA's lab can analyse			closed answers	
7.2.5	In installations with continuous emission monitoring systems (CEMS) tests are carried out in parallel with ARPA equipment to verify the proper operation and calibration of CEMS (Linearity, IAR, QAL 2, UNI 14181, etc.)				
7.2.6	During inspections, fact-finding tests are carried out to verify the internal procedures relating to the maintenance of proper calibration of measuring instruments, such as the reading of the gas certified samples owned by ARPA or belonging to the operator				
7.2.7	Fact-finding non-fiscal measures are carried out through portable equipment (PID, explosimeters, multi parametric instruments) for the quantification, for example, of diffuse emissions				
7.2.8	In case of particularly significant emissions resulting from incineration plants, co-incineration, the first smelting steel mills or foundries dealing with scrap, etc., micropollutants are determined (PAHs, dioxins-furans)	Seldom not in each routine inspection	In each routine inspection	More frequently than in each routine inspection	rarely

		YES	NO		
7.3	ODORS				
7.3.1	There is a regional legislation about odor / olfactory nuisance				
7.3.2	Limits are provided in odorimetric unit (o.u.)				

		Never	<10%	±50 %	>80%
7.3.3	In case of an installation with evident problems of olfactory nuisance, with which frequency does ARPA carry out odorimetric investigations				
7.3.4	Investigations are carried out by ARPA's laboratory				
7.4	NOISE	Never	<10%	±50 %	>80%
7.4.1	How often noise emission measuring campaigns are carried out, in the absence of complaints, only to verify the compliance to limits				
7.5	GROUNDWATER / INDUSTRIAL WATER FROM WELLS	Never	<10%	±50 %	>80%
7.5.1	In case of usage of groundwater for industrial purposes, with which frequency analyses are performed for the chemical-physical monitoring of extracted water				
7.5.2	The regional IED installations are equipped with a piezometric network				
7.5.3	In presence of piezometers for groundwater quality monitoring in the IED installation (eg, landfills, waste treatment plants, installations subject to remediation procedure, etc.), how often sampling and analysis are carried out				

STEP 1

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Visit at ARPA Campania: Topics

Organisation

ARPA Campania describes the current situation relating to the plants, located in its region.
Moreover, it described its internal organization, focusing in particular on the activities referred to IPPC controls.

Technical framework

ARPA Campania describes all the technical and procedural aspects of executing audits on IPPC plants.

STEP 2

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Visit at ARPA Campania: Topics

Case study

ARPA Campania describes a case study relating to a significant plant located in its territory: Acerra's incinerator:

- the contents of the plant's permit;
- results of last audit carried out on the plant, in order to highlight the main technical aspects and the most significant environmental impact of the plant in question.

STEP 2

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IMPEL NPRI

Visit at ARPA Campania

Only a national peer review?

ARPA Campania took part with all the 5 provincial department, actually each topics was discussed by technicians from a different department.

Results:

- 11 works about different topics.
- Best practices have been acquired
- Advices delivered to the Agency
- Final Report approved by National Council of SNPA

…..not only……..

Arpa Campania used this peer review to confront each other and they understood the necessity to organize regional peer review.

STEP 2

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IMPEL NPRI

SWOT Analysis

The processing of the questionnaires was deepened using the SWOT analysis method:
- a strategic planning technique used to evalue the strengths (S), weakness (W), opportunities (O) and threats (T) connected with a goal, with a view to promoting informed decision-making.

	Helpful to achieving the objective	Harmful to achieving the objective
Internal origin (attributes of the organization)	Strengths	Weaknesses
External origin (attributes of the environment)	Opportunities	Threats

Di Xhienne - SWOT pt.svg, CC BY-SA 2.5, https://commons.wikimedia.org/w/index.php?curid=2838770   STEP 3

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SWOT Analysis

The analysis was carried out with reference to:
- programmatic and organizational aspects
- Technical and procedural aspects

Considering both the strengths and weaknesses within the Environmental Agencies as a whole and the opportunities and threats connected with external factors.

STEP 3

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SWOT Analysis

In order to better understand the contents of the analysis, it should be pointed out that some aspects were considered both as strengths (because, for example, they constituted good practices already adopted by certain Environmental Agencies) and as weaknesses (because, for example, the constituted good practices that are not yet universally adopted). Similarly, the non-achievement of significant opportunities may become a threat to the effective functioning of the system.

STEP 3

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SWOT Analysis   **Programmatic and organisational aspects**

	S: strengths	W: weakness
Internal factors	• Establishment of audit teams at the national level (better understanding of the context). • Presence of specialised staff for the various parameters being audited. • Audits scheduled based on environmental risk assessment tools (e.g. SSPC). • Scheduling of analytical activities. • Use of permits to schedule the duration of audits. • Presence of internal procedures for executing audits. • Integral management of audit results by staff qualified to work as judicial police officers when present in the Environmental Agencies. • Widespread training activities as a result of the enactment of new legislation.	• Incomplete and inhomogeneous adoption of audit schedules through the use of risk assessment tools (e.g. SSPC). • Difficulties applying anti-corruption legislation with regard to staff rotation. • Inhomogeneous presence of audit procedures in a certified quality management system. • Frequent absence of computing platforms for the recording and management of self-control data. • Inhomogeneous presence of staff qualified to work as judicial police officers in the ARPA/APPA/ISPRA system. • Frequent prevalence of training focused on regulatory aspects rather than ongoing training that also encompasses other respects. • Inhomogeneous reporting methods. • Difficulty quantifying the economic resources needed for the fees paid. • Substantial generalised lack of instruments for recording audit costs.
	O: opportunities	T: threats
External factors	• Activation by the SNPA of common training initiatives and uniform lines of conduct. • Uniform audit scheduling tools proposed by SNPA. • Establishment of a single computing platform for SNPA, for the recording and management of self-control data. • Activation of exchanges between SNPA and reference stakeholders on the organisation and role of the Environmental Agencies judicial police officers.	• Absence of uniform procedures across all Environmental Agencies for executing audits, drawing up final reports and handling penalties. • Staff generally insufficient to cope with the frequency of audits prescribed by the regulations. **STEP 3**

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SWOT Analysis   **Technical and procedural aspects**

	S: strengths	W: weakness
Internal factors	• Uniform evaluation of operator communications. • Significant sampling and analyses of industrial wastewater. • Updates on new legislation. • Assiduous controls on instructions. • Directions to operators on measures aimed at improving environmental performance. • Systematic evaluation of operators' self-controls.	• Inhomogeneous evaluation of E-PRTR declarations, solvent management plans and single environmental statements (MUD). • Insufficient analytical verifications on emissions into the atmosphere, odour, noise, groundwater and waste characterisation. • Insufficient ongoing training with regard to Best Available Techniques (BAT). • Insufficient knowledge about issues concerned with the reference report. • Assessment of self-controls often only carried out during audits. • Inhomogeneous actions resulting from self-controls. • Separate IPPC and MAR audit groups. • Lack of assessments on Agronomic Utilisation Plans (PUA) when auditing livestock enterprises
	O: opportunities	T: threats
External factors	• Evaluation of soil and groundwater and production of the reference report. • Coordination of IPPC and MAR audits. • Definition of technical and regulatory guidelines by the SNPA to address deficiencies in current regulations. • Activation by the SNPA of common training initiatives and uniform lines of conduct.	• Objective difficulties of interpretation regarding checks on the application of Best Available Techniques (BAT). • Deficiencies in current regulations for homogeneous evaluation of E-PRTR data. • Absence of national legislation on odour emissions and diffuse emissions. • Absence of technical-regulatory indications regarding criteria for ratifying the reference report. • The Emission Trading legislation does not envisage controls by Environmental Agencies. • Absence of national guidelines for coordinating IPPC-MAR audits. **STEP 3**

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Comunication

Workshop at Italian Chamber of Deputies on 19th October, 2017

Book:
Full text and attachments available in Italian at:
http://bit.ly/controlliAIA

Executive summary available in English at:
https://www.arpae.it/cms3/documenti/_cerca_doc/quaderni/controlliaia/ied_inspections.pdf

Website:
https://www.arpae.it/dettaglio_documento.asp?id=6824&idlivello=1504

STEP 3

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Project 's results

SWOT Analysis helped us to suggest to SNPA some objective for implementing homogenization in IPPC control.
Besides this work proved the need to keep up to date all these information

How?

By a permanent observatory designed to update the data collected and evaluate changes relating to environmental agencies.

Proposal

IMPEL National Peer Review Initiative (NPRI) Project 2019/21

Virtual Country Visit 2 and Project Team Meeting

Teleconference Meeting – 24 March, 2020

European Union Network for the Implementation and Enforcement of Environmental Law

Project 's results

The second aim of the project should be the systematic adoption of peer reviews, which our experience has demonstrated to be very useful.

These reviews provide on-the-field exchange, often translating into tangible actions those reflections resulting from the survey analysis.

Moreover, they provide opportunities for training and/or exchange between the various Environmental Agencies on the various themes highlighted in this document.

The third and equally important application of the project's results involves providing technical-operational support for the coordination envisaged by art. 29-quinquies of Law Decree 152/2006 "Coordination of uniform application throughout the country".
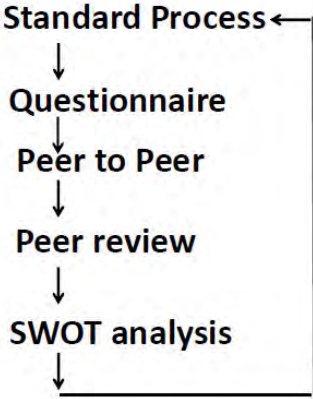
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Proposal

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Proposal of methodologic scheme

Standard Process

↓

Questionnaire

↓

Peer to Peer

↓

Peer review

↓

SWOT analysis

↓

Proposal

4.4.5 Peer Reviews in Italy: Essential Level pf Provisions and Activity Process Analysis

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Basically we start from **TWO** quantities:

IDT (Spatial Request Index)

$$IDT_{norm} \in (0,1] \, \forall \, \mathcal{P}$$

ISC (Key Historic Indicator)

It is an indicator describing the specific provision

$$n_{\mathcal{P}} = IDT_{norm} \times k$$

conversion factor
policy decision

Es: $k = 75th \; percentile$
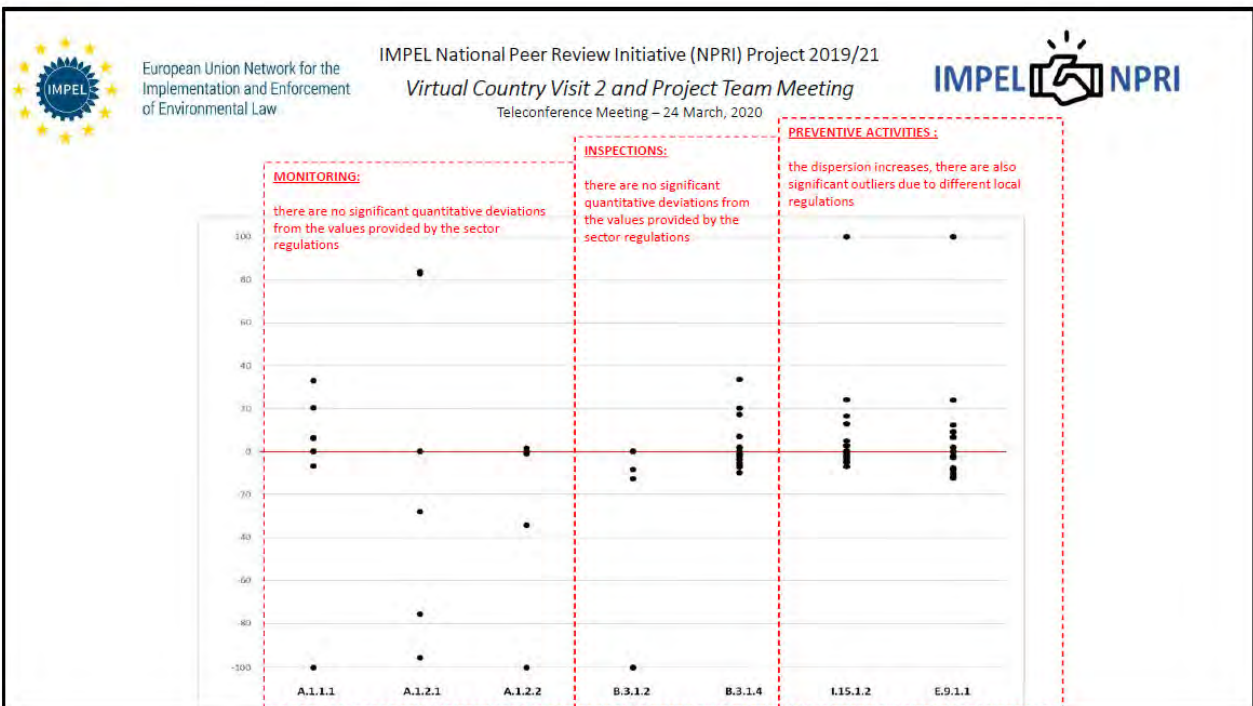
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MONITORING:

there are no significant quantitative deviations from the values provided by the sector regulations

INSPECTIONS:

there are no significant quantitative deviations from the values provided by the sector regulations

PREVENTIVE ACTIVITIES :

the dispersion increases, there are also significant outliers due to different local regulations

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How much does it cost for a $\mathcal{P}$?

Basically we need to define a cost for each provision

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Problem

Indications must be HOMOGENOUS and align with the System's good practices

starting from the definition of a **STD PROCESS** for each single provision

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European Union Network for the Implementation and Enforcement of Environmental Law

IMPEL NPRI

National Peer Review Initiative (NPRI) Methodology and Guidance

Version 23 July 2020

Table of content

Acknowledgement

The purpose of this document is to provide guidance for implementing a National Peer Review Initiative (NPRI) that can be performed at national, regional, local and organizational level by environmental protection agencies.

The document is based on the analysis of the results of a survey though a questionnaire, as well as a study on Peer Review methods used by various organizations. The content of the guidance is inspired by work in this area of:

- The European Union Network for the Implementation and Enforcement of Environmental Law (IMPEL) - the IMPEL Review Initiative (IRI)
- Italian Environmental Protection Agencies (ARPA's)
- Regional Environmental Protection Agencies (REPAs) in the Netherlands
- International Atomic and Energy Agency (IAEA) - Emergency Preparedness Review (EPREV)
- European Union - Environmental Implementation Review (EIR) and TAIEX EIR Peer To Peer Tool
- United Nations Economic Commission for Europe (UNECE) - Environmental Performance Review (EPR)
- Organization for Economic Cooperation and Development (OECD) - Environmental Performance Review (EPR)

The NPRI-team acknowledges the work, policies and methodologies of the aforementioned organisations on the subject 'Peer and/or Performance Review', and is grateful for the use of their free accessible information, as well as kindly provided oral and written information and the approval of the use of specific information for the study and this document.

1. National Peer Review Initiative (NPRI) Scheme, Methodology and Guideline

1.1 Introduction

'Improve continuously'; that's an ambition of almost every organisation. This certainly also applies to government organisations from which society might expect excellent performance of its services. The implementation of tasks and responsibilities by governmental (environmental) authorities is organized at various levels, namely at national, regional and local level. IMPEL assists authorities with the implementation of environmental legislation and the performance in its execution, amongst others through the application of a peer review, the IMPEL Review Initiative (IRI). IMPEL members, stimulated by positive experiences with a peer review scheme in Italy and the Netherlands, expressed the need for a tool or methodology that can be applied within a country and by comparable organisations within a network, and often at different administrative levels such as provinces and regions. The application aims at the exchange of experiences, knowledge and good practices through dialogue between colleagues and experts, the outcome of which provides input for improvement. The development and implementation of such an instrument is encouraged by the European Commission that included this component in the action plan accompanying the Environmental Compliance Assurance (ECA) Initiative.[1],[2] IMPEL also included this ambition in its Position Paper on Environmental Compliance Assurance and its multi-year Strategic Work Programme.[3]

The expressed need for a peer review instrument to be used at the various administrative levels is in particular based on the conviction that results of a structured and accessible peer review promote and accelerate further improvement of performance. Furthermore, to carry out Peer Reviews by experts from comparable organizations who are familiar with the tasks, responsibilities and quality aspects of the organisation in a programmatic way, is seen as an important advantage. Such a programme, the National Peer Review Initiative (NPRI scheme), should be implemented and managed at the national level by a network of representatives of involved authorities. Currently no such scheme exists.

This document describes the design of a NPRI scheme, methodology and process, as well as the setup of a (national) NPRI-network.

1.2 Characteristics of the NPRI scheme

The main focus of the NPRI scheme is to encourage the introduction and implementation of a Peer Review tool within a country, that helps to continuously improve processes and performance. The scheme consists of two main parts, namely setting up a NPRI network at national and network level in which representatives of various organisations participate, and the execution of Peer Reviews by which organisations systematically exchange information, good practices, and assess, through (open and constructive) dialogue, the implementation of policy decisions and related (operational) tasks.

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[1] https://ec.europa.eu/environment/legal/pdf/COM_2018_10_F1_COMMUNICATION_FROM_COMMISSION_TO_INST_EN_V8_P1_959219.pdf
[2] https://ec.europa.eu/environment/legal/pdf/SWD_2018_10_F1_OTHER_STAFF_WORKING_PAPER_EN_V5_P1_959220.pdf
[3] https://www.impel.eu/publications/impel-position-paper-on-environmental-compliance-assurance/

The NPRI scheme aims to be a flexible instrument but also a defined process that supports the assessment of the performance of a country, organization, authority or process in the implementation of environmental legislation. Furthermore, the scheme seeks to promote a better understanding of the needs of competent authorities (e.g. training, common rules, documents, type of instruments and technical support etc.) and to determine ways in which support could be delivered by a core group of experts to achieve this. It can therefore also serve as a capacity-building instrument, as it acts as a mutual learning process, both for the organisation under review, but also for other organisations especially those acting as reviewers.

The scheme is to be carried out on a voluntary basis, and only be applied upon request. Hence, it is the country, organisation or authority itself that proactively initiates the review process in view of assessing its current performance and improve upon it. It also serves as a means of stimulating reform in the policies and practices of the reviewed organisations. Potential findings from the review, presented as 'opportunities for development (OfD)' are suggestive and non-binding. Finally, through the NPRI scheme support will be delivered to requesting organisations for conducting the Peer Review, as well as implementing its relevant findings through a pool of experts.

1.3   NPRI network at national level

An important goal of the NPRI scheme, which entails the checking, improving and harmonizing of work processes and procedures of comparable and equivalent organisations, is to improve their performance. Peer Reviews prove to be an efficient instrument to gain an extended/in-depth insight into tasks and responsibilities, the achievement of legislation-based objectives and requirements and whether quality standards are being realised. A network of experts at national level can facilitate and coordinate the process of conducting Peer Reviews by and between organisations.

The NPRI scheme differs from the IMPEL Review Initiative (IRI) due to its focus on national and regional networks and equivalent organisations, rather than on single agencies or authorities within a country which constitutes the main focus of the IRI. Furthermore, the NPRI scheme is carried out independently managed at country level by a dedicated team, hence the whole review process, its related activities and potential outcomes are managed by the country (or country institution) itself.

1.3.1   Role of national NPRI network

A NPRI network of experts and representatives of organisations at national level has an essential role to play in the execution of the NPRI scheme, which can be distinguished as follows:

- Promoting and coordinating implementation of Peer Reviews by more or less comparable or equivalent organizations;
- Identifying and engaging with target audiences, such as environmental protection agencies of regions, provinces, municipalities and water quality management organisations;
- Discussing the need for and designs of methodologies, tools, training of officials etc.;
- Discussing requests for Peer Reviews from single organisations or a group of organisations that belong to the same network, as well as assessing and endorsing requests;
- Acting as a repository or peer reviews carried out at national level, i.e. a platform where accumulated experience, knowledge and methodological approaches are gathered;

- Acting as a national platform or interdisciplinary Working Group, tasked with drawing up a (multi) annual programme Peer Review that focuses on preparing and implementing the design, coordination and application of Peer Reviews, as well as allowing and promoting the discussion of their results and findings, also by converting them into more generic recommendations, from which other organisations (also at international level) can substantially benefit (see also pg. 6 of Annex I).
- Discussing requests for support on the implementation of findings of a Peer Review (see chapter 10).

1.3.2   Benefits

The outcome of Peer Reviews by and between comparable or equivalent organisations can contribute amongst others to:

- Harmonization in implementation of tasks and responsibilities of organisations;
- Improvement of efficiency, both in terms of human and financial recources, and not infrequently even a more effective performance of the tasks;
- Harmonising the execution of tasks and responsibilities, which can have an important effect on treating the target audience of the organisations in an equal manner. In this regard, permitting and inspections are important examples to mention specifically in connection with stakeholders such as industrial operators and other supervised businesses and actors;
- Legal equality and an improved level playing field;
- (Strategic) prioritisation of an organization - also at the (inter)national level.

1.3.3   How to organise a (national) NPRI network

It is recommended to appoint a NPRI coordinator at national level with the task and responsibility of promoting and establishing a network or interdisciplinary team of officials/experts, each representing a sub-network of organisations or an individual national organization, institution or agency. The IMPEL National Coordinator of the IMPEL Member Country could facilitate in this. In addition, the NPRI coordinator can play an important facilitating role in organizing Peer Reviews, assembling expert teams, supporting the reviews and coordinating support –upon request– for the implementation of findings and opportunities for development by the reviewed organisations. It is recommended to:

1. Conduct a brief analysis of equivalent or comparable organisations and their networks;
2. Approach the organisations, explain the reason, rationale and benefits of the NPRI scheme; when interest is expressed, request for the appointment of a contact person from the specific organisation, as well as request the organisation takes a seat in a committee that will coordinate the NPRI;
3. Prepare and organize a meeting at national level with the participation of representatives from all interested organisations.
4. Provide an agenda for the meeting that contains (for example) the following items:
   a. Opening by explaining the purpose and reason for the meeting;
   b. Tour de table and introduction of the NPRI team members;
   c. Presentation of the NPRI scheme;
   d. Discussion about the expectations of the participating organisations;
   e. Establishment of the NPRI team (from representatives of participating organisations) that will coordinate the implementation of the NPRI scheme;
   f. Explanation of the NPRI Peer Review methodology and its implementation;

g. Identification and inventory of needs of organisations on a variety of (not limited) subjects;

h. Availability of expertise/experts and time of the partners;

i. Training of experts;

j. Discussion about a Peer Review programme (networks, topics, themes);

k. Organisational aspects (involvement management, when, teams, experts, schedule, finances, background documents, etc.);

l. Discussion on how results of a Peer Review will be managed, such as:

    i. Management output and outcome of Peer Review

    ii. Confidentiality (yes/no)

    iii. Follow-up

    iv. Making findings available for others to benefit from it (after anonymising)

    v. How to convert findings into a process of (strategic) prioritisation

5. Evaluation and feed-back;

6. Providing support on implementation of findings of Peer Reviews.

1.3.4 Flexibility

The NPRI scheme is a voluntary and flexible concept. 'Flexible' means that the scheme can be adjusted and subsequently tailored to fit special circumstances and/or specific needs of networks and/or organisations within a country. Relative needs can be determined in consultation, coordination and agreement with comparable organisations within a national or regional network of organisations (such as provinces, municipalities, environmental protection agencies, inspection organizations etc.).

Based on the results of the inventory of needs of organisations(s), the next step relates to 'scoping', i.e. the determination of the scope of the subject the Peer Review should focus on. In this step, a frame of reference for the assessment is determined in consultation with the organizations to be reviewed. It is during this step that an 'Assessment Framework' will be developed against which the findings of the assessment will be tested. The nature of this framework depends on the choice of the subject to be reviewed and may also depend on relevant legal requirements, quality requirements or the extent to which goals of the organization are pursued. In fact, each Peer Review requires or may require customisation and the nature of the chosen topic will determine the framework against which the performance of an organization is assessed. For example, the requirements for conducting inspections and licensing will differ from each other, as well as policy evaluation and goal achievement. Here too, the NPRI scheme may be applied in a highly malleable and flexible manner.

The assessment framework needs to be developed in consultation with the organisations to be reviewed. As the wishes of organisations may differ in certain areas, flexibility is also very important in such cases, as the process might vary accordingly in the duration of the review, the number of experts and/or organisations involved, costs, focus areas and themes, qualitative and quantitative aspects, etc.

2. Peer Review and its process

2.1   Introduction

Peer review is intended as a fruitful dialogue amongst equals: exploratory, making connections, constructive and positively critical. Colleagues of organisations with expertise in certain subjects and / or processes may delve into similar or analogous processes that are carried out by fellow organisations. The aim is to explicitly provide the other organisation with the kind of / appropriate feedback that can serve as constructive input for further development. It is <u>not</u> an audit, but rather it is aimed at learning from and with each other, whereby questions may certainly be critical.

2.2   Conditions for success

To allow a Peer Review a good chance of success, it is advised that certain conditions take place during the review process:

Create a secure environment
- A peer review is based on the principle 'from good to better': This consciously positive approach emphasizes the intended development of the organisation as a whole, including that of the individual employee.
- Make sure there is enough time allocated in the programme: A Peer Review should be well announced in advance, so everyone involved has sufficient time to familiarise themselves with the working method. Allow the participants enough time to collect information, answer questions and prepare for discussions/conversations and exchanges.
- Find the right balance between the time spent and the level of (in)formality: Avoid making it too tight and too formal. It is important that everyone feels sufficiently safe and free and is able to work in a relaxed manner.
- Provide a report that is written in a concise manner: A clear and simple style should be used, so the contents are easily and quickly understood by the reader; avoid information of general nature unless it provides essential context for the findings.
- Agree in advance on confidentiality and publicity issues regarding the Peer Review and its outcome: If possible, formalise this in the Terms of Reference (TOR).

Ensure enough support for implementation
- Start with organizations or individuals that are curious or are already willing to participate with enthusiasm;
- Be realistic in setting goals and refrain from being overambitious;
- Highlight the added value of asking each other questions and learning from each other in a broad sense;
- Link the peer review to obligations the organization has with regard to the performance of its tasks.

Work from competences
- A good review stands or falls with the value-free observation of facts, interviewing those involved, writing out the findings and reflecting the facts found. It is important to ensure these qualities are already present at the outset of the review and allow the reviewers develop them further;

- Realise that the reviewer should adopt the perspective of improving the performance of an organization;
- Provide applicable and relevant guidance in view of improving performance, place a workable foundation under the method of the reviews; Repeating peer reviews can contribute to an open, learning culture.

Ensure that results can be implemented by the organization

- A successful review cycle depends on the ability and willingness to introduce and implement improvements. A stimulating environment and a creative culture where joint efforts can be concentrated on structural organisational improvements is ideal. Therefore, for organizations that choose to participate in a Peer Review it is recommended that they provide the appropriate space where proposals for improvements and changes can be discussed and coordinated.

2.3   Peer Review Process

For the successful implementation of a Peer Review it is important that the process is clearly and properly explained and described beforehand. Such a description, that can also serve as guidance, must be documented and updated accordingly. A process description should contain all relevant steps and elaborate on all actions to be taken, with reference to relevant guidance material where necessary. Such a description largely prevents a divergent implementation of a peer review. It is important to note that a Peer Review in the context of the NPRI should be scalable and flexible, depending on the scope, the subjects to be reviewed and the needs of the host organisation. Several good examples are available and can support the NPRI-team and experts in designing Peer Reviews.[4]

The process can incorporate the following phases with related activities:

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[4] Italian Peer Review experiences – *'A national approach'* and Dutch Regional Environmental Protection Agencies (REPA) – *Collegiate assessment;*
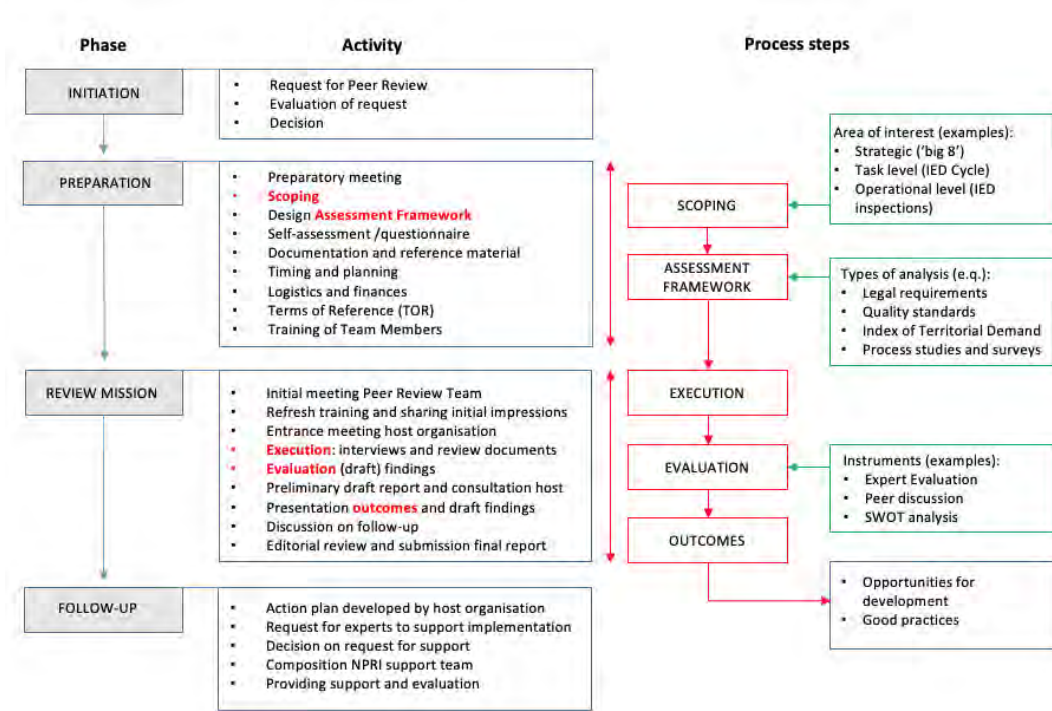
The following diagram depicts the entire process and the coherence and dependencies between the various process components, from initiating a peer review to implementation, follow-up and providing support to reviewed organisations for implementing results.
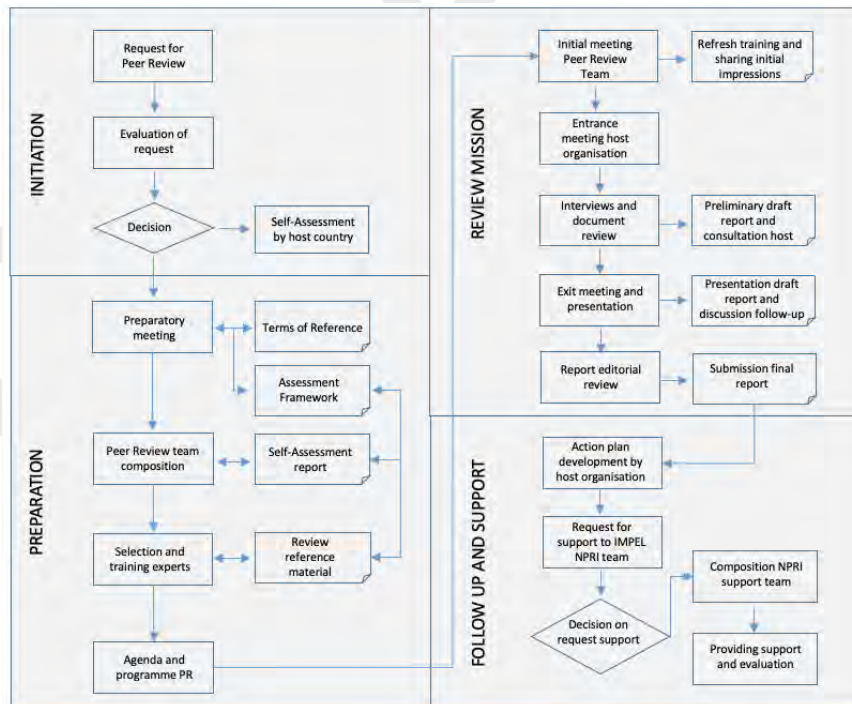
3. Initiation

A peer review starts with the intension of a single organization, or two or more organisations within a national network, or even of a network itself, to be subject to an external assessment through the NPRI-team, in order to assess the implementation of its assigned tasks and responsibilities in specific areas, with the aim of improving itself based on the results of the review. To this end, the organisation takes the initiative by making a request for a peer review.

3.1 Request for Peer Review

- A Peer Review within the framework of the NPRI is initiated through a (written) request of an applicant (national, regional or local authority or an organization) for being peer reviewed. The request, including the motivation, should be sent to the appointed National NPRI coordinator.
- In case the network -through the NPRI-team- decides to carry out Peer Reviews based on an agreed programme, the programme including topics, proposed assessment frameworks, questionnaires etc. can be shared in advance with all involved organisations.
- As a next step the National NPRI coordinator or a member of the national NPRI team will establish contact with the assigned contact person of the organization to be reviewed, to discuss the principles of the Peer Review and to gain a first impression of the objectives and scope of the PR.
- The request and related information regarding the objectives and scope will be discussed by the members of the national NPRI team. A general and structured framework will be used against which the request will be assessed.
- After acceptance and endorsement of the request, the NPRI team will designate a team leader for the mission and he/she will be the main point of contact for organising the Peer Review.

4. Preparation

In the preparation phase of the peer review, all steps that are needed for a high-quality and reliable assessment are taken. This entails contact with the organization to be reviewed, agreement on the scope and focus areas and assessment framework (scoping), drawing up a TOR and putting together a team of experts. Furthermore, the organization to be reviewed provides all relevant information in a timely manner, often through a questionnaire or a self-assessment report, so the review team can prepare well for the mission.

4.1 Preparatory meeting

X variable interval weeks/months prior to the Peer Review mission, the NPRI coordinator and the appointed team leader will visit the host organisation and meet with the Peer Review point of contact and senior management. The purpose of the preparatory meeting is to discuss and develop the scope and assessment framework, as well as to determine all tasks required before the mission is carried out. On the part of the host organisation, the host coordinator and senior representatives of the organization will participate in the preparatory meeting.

- Topics that can be discussed:
    - Objectives, focus areas and scope of the Peer Review
    - Assessment Framework
    - Duration of the mission
    - Timing and planning of the mission
    - Self-assessment and /or questionnaire
    - Additional information that needs to be provided
    - Logistics
    - Finances
    - Terms of Reference (TOR)

Duration of the preparatory meeting will be approximately 0,5 - 1 day.

The duration of the whole mission will depend on the scope and subjects of the peer review and is therefore flexible in time. The more exact duration will be discussed and agreed between the NPRI coordinator, team leader and the review coordinator of the host organisation. The duration of the mission will be included in the Terms of Reference.

4.2 Assessment framework

Peer review within the NPRI context is an instrument to assess performance of tasks and responsibilities of an organisation, goal achievements, a process or performance of (members of) a network of organisations. Focus of a peer review can also be on equivalent topics of a number of members of a network within a country.

To assess performance, a well-designed scope and 'assessment framework' with indicators are essential to determine to what extent the conditions that apply to the performance are met. Therefore an 'assessment framework' has an important and central position in the peer-review and

should provide answers about what is to be reviewed and gives focus, direction and borders to the review process.

This paragraph outlines the rationale and (the importance of) an assessment framework and its elements Furthermore, reference is made to Annex 1 of this document in which steps are described that can be considered on how an assessment framework can be developed.

4.2.1 What is an assessment framework?

The following characteristics of an 'assessment framework' can be mentioned.[5] An assessment framework:

- Provides a structured conceptual map of what is to be assessed and articulates the construct(s) to be assessed;
- Functions as a reference system against which to evaluate whether (individual) tasks meet set standards and/or requirements, and collectively represent the desired coverage of assessment content;
- Details how an assessment is to be operationalized. It explains both the 'what' and the 'how'. Thus, assessment effectively means measuring achievement against a construct;
- Provides a common language and set of understandings of assessment outcomes in a specific context to the participants of the peer-review, which is crucial;
- Encourages the critical, reflective development of instruments, increases accountability and transparency and can reduce bias in assessment practice. The clearer the borders of the assessment framework are, the more focused the results of the NPRI will be.

Furthermore, the use of a consistent assessment framework enables benchmarking across (equal) organisations, regions, provinces and potentially countries. Although the NPRI does not aim to compare outcomes in terms of ranking organisations, it definitely will facilitate an 'equal treatment' and to extract from findings of conducted missions, opportunities for development and good practices that can be used and implemented by other organisations.

It is important to note that there is no single, unique and totally including comprehensive assessment framework for measuring performance.

The reason is that the focus and subject of a peer review can vary broadly. The consequence of this is that the scope and assessment framework of the peer review must be tailored to the topic(s) that are the subject(s) of the assessment. These are based on the needs as expressed by organisations to be reviewed. Flexibility in designing an assessment framework is therefore essential. Design, nature and content of an assessment framework therefore largely depends on the subject, goals and situation of a peer review to be carried out.

Examples of subjects of a peer review:

a. Performance of permitting, inspection and enforcement (output)
b. Professional standards

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[5] https://www.academia.edu/18484652/The_rationale_for_and_use_of_assessment_frameworks_improving_assessment_and_reporting_quality_in_medical_education; p. 110, 111, 112

c. Policy (national, regional) and e.q. its effectiveness
d. Programming (also 'doing the right things')
e. Costs and other financial aspects
f. Outcome, contribution to environment or society
g. Management and organisation of the agency
h. Innovation

4.2.2 Measuring performance: performance principles and performance indicators

When performing a peer review, it is important that findings can be 'measured' to determine whether what has been assessed meets applicable conditions or standards. In addition, it is important that, regardless of who carries out the peer review, the results (observations and findings) of the review are reproducible. To ensure a consistent basis for an assessment framework, general performance principles and performance indicators help to guide the NPRI to develop an assessment framework. The following 'performance principles'[6] are considered to be taken into account when designing an assessment framework:

Performance principles

1. Outcomes and results must be clearly defined;
2. The performance measurement system, including data collection, should be simple and cost-effective;
3. The performance measurements system should be positive, not punitive.
4. Performance indicators should be simple, valid, reliable, affordable and relevant to the activity or process being measured; and
5. Performance indicators will be reviewed and improved on an ongoing basis. It is only by gaining experience measuring performance that you can really refine and improve the process.

According to these principles, performance indicators may be developed, based on using the SMART criteria (Specific, Measurable, Attainable, Relevant, Time-bound).

4.2.3 Assessment framework: standards and performance indicators

A major issue in designing an assessment framework is the availability of *standards and performance indicators* to be used as *benchmark* and reference to evaluate performance.

Standards or performance indicators can for instance be derived from:

A. Laws, legislation and/or Directives, such as:

o   the 'Model Regulation on the quality of permits, supervision and enforcement of environmental law'[7] as used by the Dutch Association of Provinces in the Netherlands;

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[6] https://otc-cta.gc.ca/eng/publication/performance-measurement-framework
[7] Wabo Kwaliteitscriteria. Available from
https://www.infomil.nl/publish/pages/75656/vth_wabo_kwaliteitscriteria_versie_2_2_2019_deel_b.pdf

    o European Parliament and Council Recommendation providing for minimum criteria for Environmental Inspections (RMCEI)[8].

B. Quality management systems, such as: Quality systems such as ISO 9001.

C. Organisation's internal (process) procedures and standards

If legal or quality management system standards and indicators are not available, it is necessary to use principles that allow that an assessment and evaluation to be carried out, are not simply related to the experience and point of view of the group of reviewers visiting the organization to be reviewed. In those cases, an assessment framework with 'standards' and performance indicators will have to be developed which is tailored to the specific subject(s) to be reviewed. As a result, an assessment framework must therefore be designed on the basis of customization.

4.2.4 Developing an 'assessment framework'

Reporting actual results against the performance indicators should demonstrate the extent to which the agency objective is being achieved. Agencies and authorities are encouraged to develop and set targets for performance indicators where possible.

It is advised to consider the following minimum criteria[9] for developing and selecting performance indicators[10]:

Relevance	Is it relevant to the activity, product or process being measured; does it reflect the goals and needs;
Transparent	Promoting the understanding about organisation's operation and performance and ensuring accountability;
Comprehensive	Addressing the important programmatic and operational aspects;
Reliable, credible and feasible	Based on data that are complete and accurate, as well as incorporating advanced information technology;
Functionable and feasible	Encouraging constructive behavior among staff members and balancing the cost of measurement, data collection and analysis with the value of this information.
Validity	Does the indicator allow you to be precise in measuring the results (quantity, quality, timeframe)?
Reliability	Is it a consistent measure over time? This is particularly important when selecting quantitative indicators?

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[8] RECOMMENDATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 4 April 2001providing for minimum criteria for environmental inspections in the Member States(2001/331/EC; Available at: https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32001H0331&from=EN

[9] Measuring, Monitoring ped Reporting Performance – Reference Guide, Queensland Government; Available at: https://www.google.com/search?client=firefox-b-d&q=measuring%2C+monitoring+and+reporting+performance+queensland

[10] Recommendations on Performance Measurement for Environmental Enforcement Authorities of Eastern Europe, Caucasus, and Central Asia, first draft, 1 June 2006; Available at: http://www.oecd.org/environment/outreach/38137583.pdf

Simplicity	Is the information available and will it be feasible to collect and analyse it?
Affordability	Can we afford to collect and analyse the information?

Annex 1 outlines more in detail guidance and steps of a process that can be considered to design an assessment framework. In addition, two examples are given of an assessment framework as used by international organisations.

4.3   Terms of Reference (TOR

It is advised that reached agreement on all subjects discussed is reflected in a Terms of Reference (TOR). The TOR will be signed by a mandated official of the host organisation and the NPRI coordinator. In the TOR the following information may be included (as examples):

- Background
- Scope and focus
- Assessment Framework
- Review team
- Coordination
- Self-assessment
- Duration
- Structure
- Organisation of work

- Mission
- Reference material to be shared in advance
- Budget and finances
- Logistics
- Output
- Confidentiality
- Communication
- Follow-up

An example of a template of a TOR is attached to this document as Annex (TO BE DEVELOPED).

4.4   Reference Material

No later than ...... before the mission, the host organisation is asked to provide a completed set of reference material, as agreed during the preparatory meeting. The nature of the reference material will depend of the subject and scope of the Peer Review. It is recommended that this material includes, as one of its key references, the most updated version of the self-assessment or answers to a dedicated questionnaire. The reference material may include (as examples and non-limited) within the scope of the Peer Review:

- Most recent version of a self-assessment and/or answers to the agreed upon questionnaire;
- Draft Action Plan based on the self-assessment;
- National framework and/or plans related to the scope and subjects of the Peer Review;
- Training programmes of staff
- Previous peer review reports
- Communication strategy
- An organization chart of the organization

The choice of language in which the documents will be provided will be agreed, depending on the nature of the Peer Review and the possible involvement of (international) experts. In principle, the documents will be written/produced in the native language of the country where the Peer Review will take place.

It is recommended that all documentation will be made available on or uploaded to a shared workspace accessible to all reviewers. The advantage presented is that all parties involved in the different stages of the Peer Review are continuously updated with the most recent and relevant information.

4.5   Selection of Review Team

A skilled team leader will be appointed to lead the Peer Review team (when established).

Experts will be recruited by the NPRI team in consultation with the host organisation. It is important that their expertise and experience covers the entire scope of the mission. The team composition should normally be agreed upon at least .. to .. weeks/months before the mission to allow adequate time for preparation as needed.

It is important to specify in advance likely requirements and expectations regarding the experience and expertise of international experts. Such a reference will prove useful when considering and selecting a potential candidate to be appointed as a member of a review team. This part of the process takes place in close consultation and cooperation with the hosting organisation.

A NPRI Peer Review team combines senior experience in the topics related to the scope of the mission. This means that a team is assembled with experts in the field of the specific topics that are under review. It is important to choose the team and its expertise in a way that the entire scope of the mission is covered.

In principle, irrespective of the specific subject, every review team and team member should meet a number of basic requirements, such as:

- being familiar with the NPRI scheme, structure, protocols etc.
- representing a diverse group of experts with an excellent evidence-based knowledge of and experience i) in reviews and appraisals of the aspects, arrangements and activities to be assessed, ii) in connection with the content of the assessment framework that has been agreed iii) related to the mission objective and scope;
- having previous experience with similar reviews, preferably by having participated as an expert or observer in previous review missions;
- having good interpersonal skills and an open attitude towards systems and approaches that are different from the ones with which they may be familiar;
- being able to communicate clearly; being adaptable to and flexible on cultural aspects of organisations, regions etc;
- having demonstrated good written and oral communications skills in their native language and if applicable also in English. In addition, the ability of team members to present the outcomes of the Peer Review to the reviewed organisation at all appropriate levels should be mentioned.

The roles and responsibilities of the team members are described in more detail in Annex (TO BE DEVELOPED) to this document.

4.6   Cultural aspects

Peer Reviews in the context of the NPRI will be mainly conducted within a country at the national, regional, local or organization level. If a peer review team is composed by experts originating from the country where the review will be carried out, the cultural aspects of the country, region or organisation, should be taken into consideration, and where needed, to be reflected in the team composition.

In case of involvement of international experts, a high degree of cultural sensitivity is essential. Therefore, experts should become familiar with national and cultural context in the host state and organisation, with special attention for differences with expert's current culture.

There are several sources available that support the experts to be prepared for the mission and then in particular regarding the cultural aspects of the host country:

- Countries and their cultures: http://www.everyculture.com/
- Wikipedia: http://www.wikipedia.org/
- The CIA World Factbook: https://www.cia.gov/library/publications/the-world-factbook/index.html

4.7   Training

In order for a mission to be as effective as possible, all members of the review team should be optimally prepared. It is therefore important that every participant has the same picture of what is expected and what needs to be done to make the mission successful. Hence it is advised that a basic training is followed by each team member to ensure that everyone has the same basic knowledge and is well prepared. Such training is also important to guarantee consistency in the approach not only for the mission carried out, but also for future missions in the context of the NPRI scheme.

Accordingly, all team members could be asked to complete a basic home-based online training. A dedicated (online) training module should be developed and administered by IMPEL that may cover amongst others:

- Peer review principles
- Essentials of an assessment framework within the context of the NPRI
- NPRI Peer Review Process and its elements
- Effectiveness of a Peer Review
- Interview and documentation research
- Cultural aspects
- How to formulate opportunities for development and good practices (and other observations)
- Writing principles (style and tone)
- Use of templates and standards
- Presentation of findings at the end of the mission
- Communication and publicity
- Provision of support

In addition to the training as proposed and described, it has to be noted that 'training on the job' is essential for the experts that participate in the 'core group of experts'. Apart from completing the basic training, it is important to learn through experiences gained from participating in Peer Reviews and to also learn from experienced colleagues.

4.8   Logistics

The point of contact of the host organisation is responsible for coordinating all host organisation logistical arrangements for the preparatory and the main Peer Review mission. The Terms of Refences provides information on the expected logistical arrangements.

4.9   Finances

In general, it is expected that organisations that participate in the NPRI-team cover their own costs in regard to traveling, meeting facilities, catering etc, when the team has its meetings and related activities.

During Peer Reviews, the host coordinator is responsible for the timely and proper allocation –if needed– of sufficient budget by the host of the mission according to the TOR. The NPRI coordinator is responsible for arranging the finances in case international experts are involved. Options for in-kind contribution may also be investigated.

When providing expert support to an organisation to implement the Opportunities for Development, separate financial arrangements may be needed. These will be subject to discussion and negotiation between the recipient of support and the organisation that provides the expert.

5. Peer Review mission

The Peer Review mission can start once all conditions are present and working to perform the assessment according to the plan; the self-assessment, answers to the questionnaire and additional reference material are available; all logistics are in place and working; the team members are trained and prepared and fully informed.

5.1   Mission Agenda

The programme of a Peer Review follows a standardised procedure, however, it should always be discussed and agreed in advance with the host organisation. Although the programme is flexible, it is recommended that the team leader follows this programme as much as possible to safeguard that all work is done within the available time and with the quality that is required and expected. As an example, the programme could contain the following elements:

Nr.	Activity
1	Review team initial meeting: • Briefing, review of mission plan • Review of preliminary findings • Assessment Framework • Assignment of priorities • Refresher training
2	Entrance meeting: • Presentation to review team about approach and methodology of peer review and assessment framework • Presentation by host organisation of the questionnaire and self-assessment • Presentation by host organisation on frameworks related to the subject and scope of the peer review
3	5. Visits and interviews
4	6. Report writing by the review team
5	7. Preliminary report submitted to peer review coordinator of host organisation and brief presentation of findings
6	8. Host organisation reviews report and prepares comments 9. Peer review team drafts executive summary and presentation for the exit meeting
7	• Coordinator of host organisation submits (written) comments to peer review team • Revision of draft report
8	• Meeting with representatives of host organisation to discuss comments
9	• Peer Review team finalises the draft report
10	• Meeting of peer review team with host organisation (senior level) representatives to present the findings and delivery of agreed draft report • Preliminary discussion on follow-up and support

5.2   Initial Review Team Meeting

It is important that all members of the team are fully prepared for the mission. This means that each team member has a clear understanding of the scope and process of the mission, the assessment framework and its indicators, the division of tasks and responsibilities and all logistics. It is of particular

importance that all members have gained the necessary knowledge about the organisation to be reviewed based on the self-assessment report and/or the answers to the questionnaire.

Reviewers are responsible for making necessary preparations for the mission, on the basis of information from the NPRI coordinator and Team Leader and the training as described in paragraph 4.7.

The team members **r**eview the Self-Assessment report or the answers to the questionnaire, as well as Reference Material that is provided by the host organisation in advance and prepare a brief first impressions report. Each team member is asked to present their preliminary findings to the other team members at an initial team meeting one day prior to the peer review mission. This approach stimulates engagement, ensures that all members have studied the material in advance, helps where further clarification is needed and brings focus. It also supports the alignment of all members to the peer review to be carried out.

It is therefore significant that an initial team meeting is conducted a day prior to the actual start of the review. This meeting, chaired by the team leader may discuss the following subjects:

- Introduction of all team members;
- A refresher training on (NPRI) Peer Review;
- A presentation on the assessment framework of the review;
- A five minutes presentation by each team member of his/her first impressions report based on a review of the self-assessment report, questionnaire and the reference material;
- Discussion of first impression reports and clarifications;
- Information about the mission schedule;
- Agreement on report writing procedures and assignments;
- Special rules and last-minute announcements;
- Additional information by host representative.

The host representative can be invited to this meeting as an observer and may provide additional information regarding the mission, as well as explain logistical arrangements. It also presents an opportunity to factually clarify issues which come up during the five-minute presentations of the team members.

5.3   Entrance Meeting with host organisation

The entrance meeting of the review team and the host organisation takes place on the morning of the first day of the assessment. The aim of this meeting is to ensure a common understanding amongst all key mission stakeholders of the objective and the process of the review mission. It is important that the entire review team attends that meeting, as well as the host coordinator and senior representatives of the organisation that will be reviewed. As an example, the entrance meeting could cover the following topics:
- Introductions
- Presentation by host organisation of overall frameworks for performance
- Presentation by host organisation of self-assessment
- Presentation by NPRI representative of mission objectives, assessment framework and review process

During the entrance meeting the NPRI coordinator and team leader will emphasize that the Peer Review is not an inspection or an audit. It will be highlighted that the review will be conducted in cooperation with the host organisation.

This entrance meeting is an opportunity for the team to meet the senior officials in one venue and for the senior officials to demonstrate their support and engagement in the peer review process.

5.4   Review Method and Assessment Framework

The review is carried out as follows:

Prior to the mission:

- A review of the self-assessment report and/or results of a questionnaire;
- A review of reference material that is shared in advance;
- Consultation of other or previous Peer Review reports of the host organization if available.

During the mission:

- Interviews with representatives of the host organization;
- Review of additional documents that will be requested by the reviewers or offered by the reviewed organisation during the mission;
- Site visits if they are considered to add value to the mission;
- Consolidation of observations by all reviewers during daily team meetings;
- Drafting the report;
- Presentation of the findings to the host organization.

5.5   Review of self-assessment report, results questionnaire and reference material

In preparation of the mission, reference materials (see paragraph 4.4) are shared with the reviewers. It is expected that all relevant documents are studied by the reviewers in advance. In case additional documents are needed during the mission, they will be made available to the reviewers wherever possible. In the event that the documents are not available in the language used during the mission, the host organization will ensure that an oral explanation is provided on the content of the requested document and, if necessary, additional questions are answered.

5.6   Interviews

Interviews are held to collect information aiming at clarifying, confirming or deepening the understanding of the reviewer of specific issues and focus areas.

A two-way exchange of information which is relevant to the Peer Review mission will provide the best results. Interviews in the context of peer reviews are discussions and not interrogations. It is important that interviews are held in an open and cooperative atmosphere between the interviewer and interviewee.

The interviews find their basis in the self-assessment reports, results of the questionnaire and additional reference information and need to be prepared well in advance to the mission by the

interviewers. The interviews need to be structured in a way that gathering all relevant information is ensured. The use of a checklist or a list with bullet points which can be prepared by the interviewer in advance can help to guide the discussion. However, it is not recommended to standardise the interviews too much as this may lead to a limitation of the outcomes of the interview. It is precisely the discussion that contributes to the acquisition of complete images and findings.

5.7   Site visits

Depending on the character of the mission and the focus areas of the Peer Review, it could be proposed by the reviewer or reviewed to carry out a site visit. A site visit may through its observations contribute to a better understanding of the operations of an organisation, its way of working etc. In case of a site visit, the visit must add value to the Peer Review. The expectations and purpose of a site visit must be clearly communicated between the reviewer and the host organisation. Preferably, the decision for a site visit should be made already before the mission. However, it should be noted that a site visit, including travel time, can significantly reduce the time available for the review. This needs to be considered when a decision for a site visit is made.

5.8   Daily Team Meetings

At the end of each day the review team meets to discuss their observations of the day and to prepare for the next day. These meetings also contribute to the cohesion of the team. The team leader leads the meeting and focuses on facts, issues and key points, such as:

- Key observations in each review focus area. Particular attention could be paid to those observations and findings that can form a basis for drafting 'opportunities for development' and 'good practices';
- To discuss data gathered in light of quality assurance. Verification of data is important through the host organisation, comparison of information from one person to another and comparison of data from one document source to another;
- To discuss, draft, and if necessary, to revise text of opportunities for development and good practices;
- To discuss identified cross-cutting issues that need to have attention of all reviewers;
- To discuss gaps and questions where the information as obtained so far is not sufficient, not clear, or not consistent and where additional information should be requested;
- Agreement on the primary writing responsibilities for that evening;
- Priorities and division of work for the next day.

6. Reporting

6.1 Report Writing Process

From day one, the review team starts with writing the report of the peer review. The structure of the report is guided by a template. The review activities take place during the day and writing of the report is an activity for the evening.

There is guidance for writing a report (style, choice of words, language, length, clarity about relevant information etc.). Tasks concerning the writing of the report or parts thereof can be divided among the team members. It can also be decided that one or two rapporteurs are responsible for collecting the information from the team members and consolidate the information in a draft report. The division of these tasks is the responsibility of the team leader. Annex II to this document provides more information in detail.

6.2 Style of writing

The language and structure of the report should make the access to and comprehension of the information easier. Meaningful headings and subheadings can help the reader grasp important information as quickly as possible and easily navigate through the document. The reports should have concise executive summaries to give managers and policy makers, and other stakeholders, an overview of the main findings and 'opportunities for development'.

Writing styles should be clear and simple, so the contents are easily and quickly understood by the reader. The use of simple, plain language is essential for clear communication in a multi-organisational and/or multi-cultural setting. The information should be limited to that which supports the findings. Information of a general nature is not useful unless it provides an essential context for the findings.

In a training of the experts regarding writing a report attention should be paid to the style of writing.

7. Findings

Study and review of documentation such as a self-assessment report and information from a questionnaire, as well as information from additional reference material, the results of the interviews and other observations during the peer review, form the basis for findings and further analysis thereof. These findings will be formulated as 'good practices' and 'opportunities for development'. See for guidance Annex II.

7.1 Good Practices

An important category of findings is 'good practices.' A good practice reflects an organisation, a process or procedure, arrangement, programme or performance superior to those generally observed elsewhere. A good practice goes beyond the fulfilment of current requirements or expectations, and it should be worthy of the attention of other organisations.
The basis for good practices should be any of the requirements or guidance contained in the assessment framework.

7.2 Opportunities for development

Opportunities for development are primarily intended to make arrangements more effective or efficient and to improve operations and performance.

'Opportunities for development' have their basis in different types of observations, namely:
1. Aspects of the arrangements, procedures etc. are <u>not</u> fully consistent with the requirements and/or standards as included in the agreed assessment framework;
2. The requirement is <u>largely</u> met but the arrangements are not entirely consistent with the requirement according to the standards as included in the assessment framework, and/or
3. The requirement is met, however, it is deemed that tangible improvements could be made to the manner in which the arrangements are consistent with the requirements.

It is important that an opportunity for development is clearly documented in conjunction with a requirement as included in the assessment framework. Furthermore, it is important to note that 'opportunities for development' can only be successfully implemented if they are realistic and feasible.

7.3 Consultation final (draft) report with host organisation

Before ending the mission, a draft version of the preliminary report will be submitted to the coordinator of the host organization for comments and reflection. Furthermore, a meeting will be held between the review team and representatives of the host organization. The purpose of this meeting is to discuss and agree on all observations, and to correct any misunderstandings or errors.

After ending the mission there will be an opportunity for commenting the report within 2 weeks following the completion of the mission. Comments on the report are welcomed and the final report will be made available to the host organisation.

8. End of mission and exit meeting

The mission concludes with an exit meeting. Normally this meeting is attended by a similar group to the one that attended the entrance meeting. It is essential that senior management participates in this meeting.

The team leader presents the report to the management of the host organization with a clear presentation of the findings. It needs to be explained that this version of the report includes the observed good practices and opportunities for development. Furthermore, it will be explained that the draft report will require further review and subsequent approval by both the host and the review team, before a final report is issued. However, from this point on, it is not expected that the main concept of good practices and opportunities for development will be changed anymore.

The team leader will mention that support can be offered to implement the findings if requested. The conditions for providing further support will be explained. If applicable, a possible follow-up could be discussed. It is also stated that the report will be published after adoption. The financial settlement takes place with the host country and where necessary with the participating team members. The final version of the report will be officially sent to the reviewed organisation.

The end of mission / exit meeting can last between two to four hours, depending on the scope of the Mission.

9.   Publication and Confidentiality

A starting point is to work as though the final report of the peer review will be made public. Disclosing performance –making available or disseminating data and indicators– is crucial in order to show value and raise an agency's credibility, establish a positive public image and increase society's support. Greater transparency of an environmental authority should be ensured with different audiences as their needs may vary significantly. Although public access to the results is an important principle, the host organization makes the final decision. Whether or not the findings of the peer review will be made public is also included in the TOR.

In case of agreement on publication, the final version of the report, after adoption, will be placed on the website of the organisation involved. If necessary, the host organization can also decide to share the findings of the peer review with the public through a press release or a press conference.

The following comments are important to note in this regard:

Environmental (enforcement) authorities have to be aware of certain limitations to disclosing information about environmental compliance assurance programmes and their results. These limitations will be mainly caused by:

- Danger of abuse of public information by the regulated community: Is it possible that putting data and agency strategies online will reveal too much information to regulated entities, allowing them to adapt their behaviour to avoid enforcement actions;
- Confidentiality and security limits of information disclosure: Very little information cannot be reported publicly because of its confidentiality. At the same time, there can be security concerns in publishing facility locations, especially for plants with hazardous material.

It is recommendable to develop internal guidelines on dealing with media inquiries.

Publicly disclosed information should be simple, however not simplistic. It should be provided in a context that allows meaningful interpretation and visualised to facilitate understanding. Statistics about non-compliance or enforcement actions should be accompanied with brief narrative information. Active information distribution at the time of significant events will stimulate interest in issues reviewed.

10. Support

The NPRI scheme contains a support mechanism to help implement the components of the scheme. Paragraph 1.2 describes the two main components of the NPRI scheme, namely:

1. Setting up a NPRI network at national level in which representatives of various organisations participate - a 'NPRI team', and a core group of experts in a broad field of expertise as described in the paragraphs 1.3.1 and 1.3.3 . The main role of this team is to promote and implement the scheme and to coordinate and assist in executing Peer Reviews at various levels within a country;
2. The execution of Peer Reviews and the provision of support to organisations (on request) after completing a Peer Review mission to assist them with the implementation of the findings.

Paragraph 1.3.3 'How to organise a national NPRI network' explains how a network can be set up, while section 1.3.1 discusses the purpose and role of the network. In summary, the focus of support by the NPRI team as platform can be summarized as follows:

Ad.1
- Promoting and coordinating implementation of the NPRI scheme;
- Setting up a yearly NPRI programme, based on an inventory of needs of single and/or a group of organisations in a network, and on the specifics of subjects to be reviewed and timing of Peer Reviews;
- Discussing and developing assessment frameworks, tailored to the specifics of a requested Peer Review;
- Assistance in discussing and developing Terms of Reference with organisations who requested a Peer Review;
- Establishing a core group of experts who are available for participating in Peer Review teams, as well as providing support in implementing findings of Peer Review missions;
- Offering peer review training to participants of the network;
- Assisting in assembling review teams and facilitating the participation of experts;
- Evaluating outcomes of Peer Reviews and converting them into generic findings, good practices and opportunities for development from which other organisations can benefit;
- To promote, assist and schedule follow-up peer reviews to be determined in order to 'measure' progress.

Ad. 2
- To discuss with the reviewed organization the outcome of the mission and the identified 'opportunities for development' (OfD) and to encourage (if applicable) to draft an action plan to implement the OfD;
- To discuss if (external) expert support is needed and if yes, which kind of support, what kind of expertise is appropriate and for how long. Offering a core group of experts (support team) covering a broad field of expertise readily available to help.
- Providing support (on request) to organisations after completing a Peer Review mission to implement the findings and opportunities for development by the reviewed organisations.

List of abbreviations

EIR	–	Environmental Implementation Review
EPR	–	Environmental Performance Review
EPREV	–	Emergency Preparedness Review
EU	–	European Union
IMPEL	–	European Union Network for the Implementation and Enforcement of Environmental Law
IAEA	–	International Atomic and Energy Agency
IRI	–	IMPEL Review Initiative
NPRI	–	National Peer Review Initiative
OECD	–	Organization for Economic Cooperation and Development
REPA	–	Regional Environmental Protection Agency
TAIEX	-	Technical Assistance and Information Exchange
TOR	-	Terms of Reference
UNECE	–	United Nations Economic Commission for Europe

Annexes (to be completed and to be developed)

I. Guidance to design an Assessment Framework
II. Guidance on writing reports for (international) experts
III. Requirements, recruitment, selection team members
IV. Training team members
V. Example of a Terms of Reference (TOR)

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European Union Network for the
Implementation and Enforcement
of Environmental Law

IMPEL NPRI

ANNEX I

GUIDANCE TO DESIGN AN ASSESSMENT FRAMEWORK

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GUIDANCE TO DESIGN AN ASSESSMENT FRAMEWORK

1. Introduction

As described in paragraph 4.2 of the NPRI methodology, an assessment framework has an important and central position in the Peer-review. An assessment framework should provide answers about what is to be reviewed, brings focus, direction and borders to the process of the Peer Review. Therefore, an assessment framework is an important link between the scope and the instruments of the peer-review methodology. A crucial function of the assessment framework is that it enables a common language to the participants of the peer-review.

This annex outlines more in detail guidance and steps of a process that can be considered in designing an assessment framework. In addition, in this annex two examples of an assessment framework are described as used by international organisations.

2. What is an assessment framework?

An assessment framework functions as a consistent reference system against which to evaluate whether (individual) tasks meet set standards and /or requirements, as well as it provides a structured conceptual map of what is to be assessed and measured.[1] Furthermore, it gives insight in the links between 'what is to be assessed' and the design and content of the instrument(s), such as a questionnaire, a review framework, a SWOT-analysis etc. Furthermore, an assessment framework details how an assessment is to be operationalized. It explains both, the 'what' and the 'how'.

3. Need for flexibility

Paragraph 4.2 of the NPRI methodology notes that there is <u>no</u> single, unique and totally including comprehensive assessment framework for measuring performance. The consequence of this is that the scope and assessment framework of the peer review must be tailored to the topic(s) that are the subject(s) of the assessment. The reason for this is that focus, and subject of a peer review can vary broadly. The subjects are based on the needs and wishes as expressed by organisations to be reviewed. Flexibility and customisation in designing an assessment framework is therefore essential.

4. Principles and choices

It is important to make a number of fundamental choices early on in the development of a peer review and an assessment framework that relate to the focus and purpose of the review. Is it a comparison between the performance of comparable organizations, and / or is the intention that the review is aimed at initiating dialogue for improvement of performance through dialogue? The involvement of senior management is necessary in making these choices and determining the aggregation level of an assessment framework. This is explained as follows:

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[1] https://www.academia.edu/18484652/The_rationale_for_and_use_of_assessment_frameworks_improving_assessment_and_reporting_quality_in_medical_education; p. 110, 111, 112

4.1   Involvement management

Customization is necessary in designing a peer review and assessment framework. This can in fact only be delivered if:
- needs and wishes of the organization to be reviewed are discussed, clear and agreed
- the nature and scope of the peer review are clear and agreed by the reviewers and the organisation to be reviewed
- there is agreement on the assessment framework and its basis on which the review will be performed, and the performance will be 'measured'.

The involvement of top management of an organisation from the very first moment in the different phases of this process is indispensable and their full support for the implementation is crucial. Finally, their commitment radiates confidence to the organisation and its staff that there is a willingness to take the results of the peer review seriously and to implement them aiming at achieving improvements.

4.2   Benchmark or dialog?

It is important to provide focus on the nature and aim of a peer review through the discussion as mentioned in paragraph 3.1. Clarity is needed whether the peer review is carried out as a comparison between organizations as participants in a network, or if the peer review will focus through dialogue on the exchange of knowledge, experience and good practices. This will also influence its operationalisation. If the approach is aimed at dialogue to inspire each other to enter into a conversation about 'to do the good things (and not only doing the things good), an 'assessment framework ' and the review method chosen for this purpose could serve much more as a guide for a conversation and interview.

In case the approach is on comparing the performance of tasks or processes of organisations, a combination of a qualitative and quantitative approach is also possible.

4.3   The aggregation level of an assessment framework

The choice of whether a peer review is developed for a group of organisations that belong to a (national) network or for an individual organisation, largely determines the aggregation level of the assessment framework. In the case of a (national) network it is recommended to develop an assessment framework at national level, based on national legislation or regulations of national associations of subnational and regional organisations, such as environmental protection agencies.

An assessment framework at national level enables comparison of results between equivalent organisations and to provide advices to policymakers of the national authorities.
It is also possible to develop an assessment framework tailormade for a host organisation if they express a strong need to improve their performance or for a smaller group of regional protection agencies.

Furthermore, it may be possible to combine a peer review at national and at regional level. Amongst others, one part of the peer review could use a national assessment framework and a second part could use a tailored assessment framework based on a self-chosen subject by a regional organisation.

5. Standards and performance indicators

A major issue in designing an assessment framework is the availability of standards and performance indicators to be used as benchmark and reference to evaluate performance.

Broadly speaking, standards or performance indicators can have the following basis:

	Basis performance indicators	Examples
A	Laws, legislation and/or Directives	• The 'Model Regulation on the quality of permits, supervision and enforcement of environmental law'[2] as used by the Dutch Association of Provinces in the Netherlands; • European Parliament and Council Recommendation providing for minimum criteria for Environmental Inspections (RMCEI)[3].
B	Quality management systems	• ISO 9001 and other certification systems.
C	Organisation's internal (process) procedures and standards	Procedures for: • Policy plans; • (multi) annual work plans; • Control cycles (goal achievement, resource management etc); • Health, safety and environment (HSE) aspects; • Data collection and analysis.

5.1 Performance indicators extracted from A (legislation) and B (quality systems)

In particular, performance indicators can be derived from subjects as mentioned under A and B, to design an assessment framework, whether or not tailor-made. It is therefore important to analyse existing regulations or procedures in this regard. The conditions that apply to the implementation of the RMCEI are presented as an example and are relatively easy to extract from the relevant regulations. See appendix 1 to this annex. In fact, this also applies to performance indicators that can be derived from quality management systems and from other formal, established and documented agreements and procedures.

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[2] Wabo Kwaliteitscriteria. Available from
https://www.infomil.nl/publish/pages/75656/vth_wabo_kwaliteitscriteria_versie_2_2_2019_deel_b.pdf

[3] RECOMMENDATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 4 April 2001providing for minimum criteria for environmental inspections in the Member States(2001/331/EC; Available at: https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32001H0331&from=EN

5.2   Performance indicators extracted from C (internal procedures and standards)

If legal or quality management system standards and indicators are not available, such as described in the table under C, it is necessary to use principles and indicators that are not simply related to the experience and views of the group of experts, visiting the organization to be reviewed. In those cases, an assessment framework with 'standards' and 'performance indicators' has to be developed based on performance indicators derived from internal procedures. Based on an analysis of these procedures the assessment framework can be tailored to specific subject(s) to be reviewed.

Instruments that can be helpful to support this process and which are widely used:

- The 'Plan, Do, Check and Act - PDCA' cycle, the so-called 'wheel of Deming'[4], as a supportive instrument to carry out assessments. The respective elements of this instrument can help in setting up a peer review and in developing an assessment framework in situations involving internal procedures that are set out in internal organizational arrangements.
- The approach of the 'Big 8 policy cycle' is also particularly useful as a basis for developing and
- Conducting a peer review including an assessment framework and is used by IMPEL, among others, in the implementation of the IRIs. Documentation such as 'Doing the right things'[5] can be very helpful in this regard.

5. Steps in developing an assessment framework

Taking into account the information in the aforementioned sections, the following steps can be considered to develop an assessment framework:

- Programming and preparation
- Scoping
- Designing an assessment framework

Programming and preparation

1. Establish an interdisciplinary working group at national level, composed of experts from different (network) organizations, tasked with drawing up a '(multi) annual program Peer Review.' The program may contain:
   a. Peer Reviews aiming at participants in a network of organizations. The goal may be benchmarking, of which the findings serve:
      o To improve performance on various topics throughout the network (peer review aiming at assessment and improvement of the system);
      o To identify and advise potential improvements to the management of the individual members of the network;
   b. (Assisting in) developing assessment frameworks for a variety of peer reviews at national level and at subnational and/or organisational level;
   c. Peer Reviews aiming at an individual organisation (the scope of the peer review can be diverse);
   d. A program aiming at providing support to the network and the individual organisations in the implementation of results of performed peer reviews.

Scoping

- At national level: discuss and decide on the jointly chosen priority topics that will be subject of peer reviews conducted at equivalent organizations that are part of a national network;
- Contact the organization(s) that has / have requested to perform a peer review;
- Discuss the purpose and subjects of the peer review. Consider topics such as:
  o Performance of permitting, inspection and enforcement (output)
  o Professional standards
  o Policy (national, regional) and e.g. its effectiveness
  o Programming (also 'doing the right things')
  o Costs and other financial aspects
  o Outcome, contribution to environment or society
  o Management and organisation of the agency
  o Innovation
  o Other
- Discuss wishes and needs of the organization to be reviewed and jointly determine the scope of the peer review. Record and agree between parties involved on what the scope is.
- Discuss that an 'assessment framework' will be developed on the basis of the scope, which will be presented to the organization to be reviewed in draft.

Designing an assessment framework

- Determine whether the peer review is intended for organisations within a network or an individual organisation
- Determine whether it is a 'measurement' of performance or if it is primarily a dialogue aiming at exchanging experiences / good practices. It can be as well a combination of both.
- Determine whether the subject (parts of the scope) of the peer review have established standards according to:
  A. laws and regulations and / or
  B. quality management systems
  C. organisation's internal (process) procedures and standards
- In case of:
  A. perform an analysis of the applicable laws and regulations and transform these into measurable units (performance indicators) that are related to the relevant parts of the scope of the peer review
  B. perform an analysis of the applicable conditions that are included in the quality management system, relate these to the relevant parts of the scope of the peer review and transform these into measurable units (performance indicators).
  C. discuss with the organisation to be reviewed which internal rules and procedures should be part of the peer review, request these and subject them to an analysis and extract units that can be made 'measurable' as performance indicators.
- When developing the performance indicators, consider the 'performance principles' and the minimum criteria for 'performance indicators' and use these as starting points. Also make sure that the SMART criteria are used when developing the indicators.

SMART criteria:

Specific	Must describe what is intended to be measured and does not include multiple measurements
Measurable	Regardless of who uses the indicator, consistent results should be obtained and tracked under the same conditions
Attainable	Collecting data for the indictor should be simple, straight forward and cost-effective
Relevant	The indicator should be closely connected with each respective input, output or outcome
Time-bound	The indicator must be valid for a specific time frame

Performance principles

During the process of scoping and designing an assessment framework, the following performance principles should be considered and could give guidance in the specific phase of the process:

1. Outcomes and results must be clearly defined;
2. The performance measurement system, including data collection, should be simple and cost-effective;
3. The performance measurements system should be positive, not punitive;
4. Performance indicators should be simple, valid, reliable, affordable and relevant to the activity or process being measured;
5. Performance indicators will be reviewed and improved on an ongoing basis. It is only by gaining experience measuring performance that you can really refine and improve the process.

Minimum criteria[6] for developing and selecting performance indicators[7]

Performance information needs to be collected and used at all levels in an organization and help to understand how well the organisation, parts of it, and individuals are performing. Performance information should help to inform decision-making, as well as describing whether the required level of performance has been achieved. Performance indicators show the extent to which the outcomes achieved by an organisation are meeting the objectives in their strategic plan. The information obtained helps to develop opportunities for development.

There is no absolute set of indicators that can be applied to all situations: What works for one country, an organisation or one regulation might not work for another. Therefore, these criteria need to be adapted to country or organisation specific circumstances. Performance indicators should have the following principles to be considered in the specific phase of the process of developing the assessment framework:

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[6] Measuring, Monitoring and Reporting Performance – Reference Guide, Queensland Government; Available at: https://www.google.com/search?client=firefox-b-d&q=measuring%2C+monitoring+and+reporting+performance+queensland

[7] Recommendations on Performance Measurement for Environmental Enforcement Authorities of Eastern Europe, Caucasus, and Central Asia, first draft, 1 June 2006; Available at: http://www.oecd.org/environment/outreach/38137583.pdf

Relevance	Is it relevant to the activity, product or process being measured; does it reflect the goals and needs;
Transparent	Promoting the understanding about organisation's operation and performance and ensuring accountability;
Comprehensive	Addressing the important programmatic and operational aspects;
Reliable, credible and feasible	Based on data that are complete and accurate, as well as incorporating advanced information technology;
Functionable and feasible	Encouraging constructive behavior among staff members and balancing the cost of measurement, data collection and analysis with the value of this information.
Validity	Does the indicator allow you to be precise in measuring the results (quantity, quality, timeframe)?
Reliability	Is it a consistent measure over time? This is particularly important when selecting quantitative indicators?
Simplicity	Is the information available and will it be feasible to collect and analyse it?
Affordability	Can we afford to collect and analyse the information?

6. Making an assessment framework measurable

An important function of an assessment framework is that it serves as a reference system against which to evaluate whether (individual) tasks meet set standards and/or requirements, in fact to measure performance.

By using measurable performance indicators, it is important to realise that there are several ways to shape this measurability. This can be done in a quantitative or qualitative way, or a mix of both. It is important in this context to understand for what purpose the peer review will be conducted. This largely determines how the results of a peer review are assessed. When the peer review focuses on a dialogue, the conversation will mainly be about sharing knowledge, experiences and good practices and identifying opportunities for development through the conversation. When the peer review is aimed at determining whether an organization has achieved its goals and / or has complied with conditions and standards, a (value) estimate or judgement of performance is relevant information. Based on this, after analysis of the findings, observations can be shared and opportunities for development can be proposed. Several methods are available to make such a measurement.

The two examples (UNECE and IAEA) as detailed in this Annex, provide information how a qualitative assessment framework is used by reviewing and assessing the performance of countries and organisations on specific topics.

6.1   Prioritised scale

Performance indicators can be measured by the use of empirical qualitative judgment to assess the 'relative value' of specific factors used in the process. For instance, 'relative values' can be obtained by a direct prioritised scale, such as 1 to 5 where 1 is poor and 5 is excellent or by a hierarchical

analytical process based on an importance scale 1 - 9, as described by Saaty,[8] where values can be attained by comparison between judgments over factors. In this scale 1 is low importance, 3 is weak and 5 is essential or strong importance, 7 is demonstrated importance, 9 is absolute importance and for intermediate levels between two judgments may be assigned values of 2, 4, 6 or 8.

Two examples of assessment frameworks (UNECE and IAEA) are included in this annex.

To design such a scale, it is needed to:
- Establish a multi-disciplinary group of experts, tasked with the preparation of the peer review or more specifically with designing an assessment framework;
- Identify the performance indicators related to standards derived from the subjects that will be reviewed;
- To objectify, describe and document the 'relative values' connected with individual standards or conditions and include these in a prioritised scale;
- To discuss the scale and its rationale with the network of organisations or management of an individual organisation, revise if necessary and agree on its application;
- Train the experts on the use of the prioritised scale and its methodology.

6.2   Validation of findings

When conducting an assessment with mainly qualitative aspects, there is a risk that the results can be arbitrary. It is therefore important to make the results of the peer review as unambiguous as possible and avoid subjectivity as much as possible. By using unambiguous standards and an assessment by subject matter experts, deviations can be kept to a minimum. In fact, this means that the results of an assessment are validated. It is important that this process takes place during the peer review at those times when the findings are discussed. This means that there is an important role for the team leader of the review team and of course for all team members to be able to conduct the discussions as accurately as possible. The validation topic should therefore be a separate part of the training for all team members to safeguard consistency in ways of operating.

In fact, the following sequence is followed in this validation process:
- Collecting the findings;
- The reviewer (expert) assesses the findings against the standards and requirements as included in the assessment framework;
- The expert prepares a draft opinion or judgment;
- Review of the findings and draft opinion/judgment through discussion by the group of experts. In particular attention is paid to the nature and degree of deviation from the standard;
- Reaching consensus on final opinion/judgment through discussion;
- Formulating a suggestion, recommendation or opportunity for development to be included in the final report.

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[8] Saaty, T. L. (1980). The analytic hierarchy process: Planning, priority setting, resource allocation. 1st ed. NY: McGraw-Hill, New York.

Examples of 'assessment frameworks'

UNECE Convention on the Transboundary Effects of Industrial Accidents (TEIA)

The UNECE developed an interesting instrument[9] to measure the progress in the implementation of requirements of the UNECE Convention on the Transboundary Effects of Industrial Accidents (TEIA). Although the instrument primarily is designed for countries to conduct self-assessments on the implementation of the convention, the principles of the tool can be easily transferred into a methodology for designing an assessment framework within the NPRI-context.

The instrument allows to assess the actual situation of countries and organisations in implementing the conditions of the Convention (is legal base). It is a tool for tracking progress and identifying possible shortcomings, which provide the basis for the development of plans of activities and needs-driven (external) assistance to overcome the shortcomings and to enhance improvement.

Assessment framework

Priority working areas are identified and link with priority requirements or conditions included in legislation. Each working area is operationalized into to a small set of indicators. These indicators indicate the topic to be implemented. Each indicator is then briefly described or defined to provide clarity on what to implement.

Each priority working priority area specifies the criteria for meeting the Convention's obligations for each indicator. Countries and their organisations measure their progress on their level of implementation of the Convention for each indicator by determining which progress stage corresponds to the country's situation.

As a next step, each indicator has been converted to a definition with minimum criteria, which together assess the extent to which the requirement has been implemented. Each criterion has 6 stages, where stage 6 is the highest level of achievement and obviously stage 1 is the lowest.

As an example: 'Criteria for (self) assessment':

Progress Stage	Criteria for self-assessment of progress
6	The indicator is fully operational and implemented by the competent authorities, the operators or both.
5	The indicator has been adopted and covers all the minimum elements, but is only partly operational in practice (due to lack of resources).
4	Intensive and detailed discussions take place among stakeholders on the content of legislation and specific procedures.
3	A decision has been taken at the level of policymakers to introduce or update the indicators. Relevant stakeholders are identified.
2	Initial discussions at the national level or among authorities, experts and operators are leading to the introduction of the indicators.
1	Little awareness among competent authorities of the need to introduce the indicator or of the requirements for setting it up.

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[9]http://www.unece.org/fileadmin/DAM/env/documents/2015/TEIA/Assistance_Programme/Benchmarks_user_friendly_version_English.pdf

By using this tool, the current situation of implementation or achievement can be measured among the six progress stages. The outcome of this process is the basis for evaluation and action plans aiming at improvement if necessary.

It should be noted that the 'determination' of the level of implementation or goal realization is done by factual determination (evidence by documentation or otherwise) and especially by a discussion (dialogue) between experts involved. So, it is not a mathematical exercise, but a validating process that provides a reliable picture of the situation and gives a direct picture of what needs to be changed or improved.

As scheme:
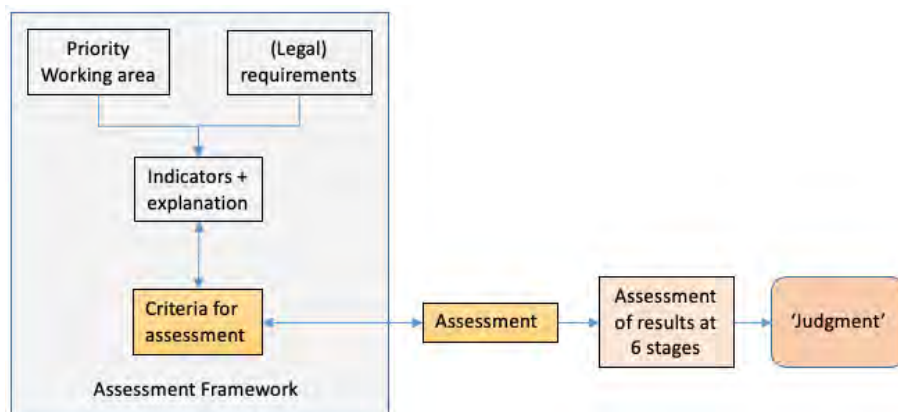
The results of the assessment are reported in a motivated report to the UNECE. Based on the assessment and an action plan that accompanies the report, the UNECE decides about granting financial resources for projects that support the enhancement of the implementation of the Convention.

IAEA: Emergency Preparedness Review (EPREV)

The International Atomic and Energy Agency (IAEA) conducts peer reviews, so called 'Emergency Preparedness Review (EPREV)' aimed at reviewing the Host State's preparedness arrangements for effectively responding to nuclear and radiological emergencies. The reviews are based on relevant guidelines and IAEA safety standards and take into account the Host State's situation in terms of practices and legal framework.

Basis for the EPREV peer review and assessment framework

The peer reviews are conducted on the basis of 25 requirements established in the IAEA Safety Standards. These Standards reflect an international consensus on what constitutes a high level of safety for protecting people and the environment from harmful effects of ionizing radiation. The standards can be used by States as a reference for their national regulations in respect of facilities and activities. They are used as well as basis for review services and in support of competence building, including the development of educational curricula.

An integrated and consistent set of Safety Requirements establishes the requirements that must be met to ensure the protection of people and the environment, both now and in the future. If the requirements are not met, measures must be taken to reach or restore the required level of safety. Many of the requirements are expressed as 'shall' statements, which implies a mandatory condition.

Assessment framework EPREV

The assessment framework of the peer review (EPREV), based on documented Safety Standards, consists of a set of requirements with the following characterisation:

- Requirements of a general nature that must be met before effective preparations can be started;
- Requirements that address the functions that are critical for performing an effective emergency response;
- Requirements that refer to the infrastructure necessary to develop and maintain adequate arrangements for preparedness and response.

The assessment framework is based on 25 safety defined and documented requirements. Each requirement has a number of indicators that concretise the requirement individually and in their mutual relationship.

Position of the 'assessment framework in the EPREV peer review process:
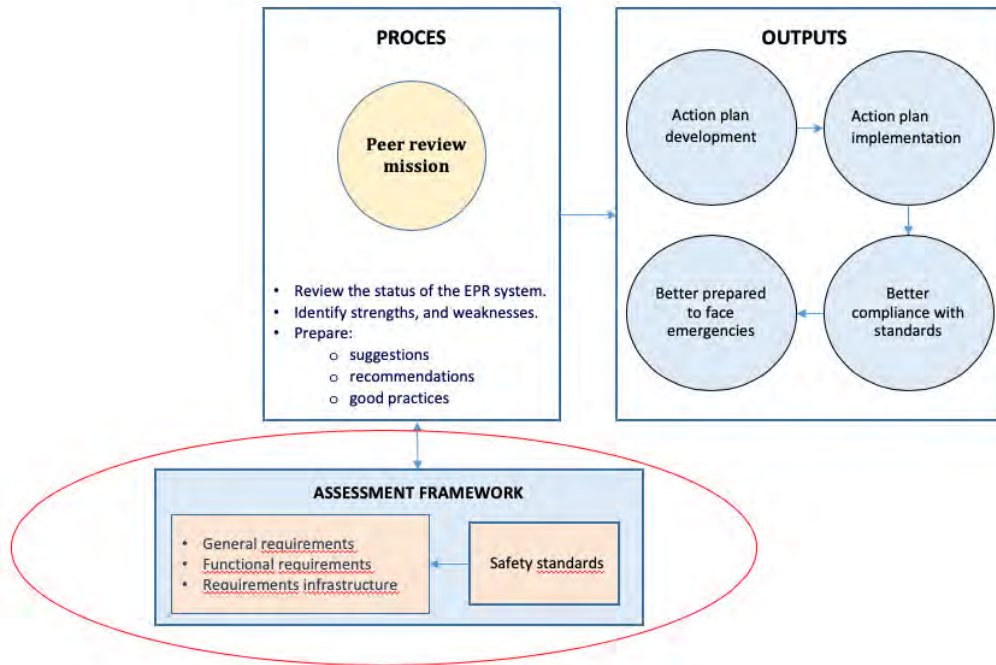
Measuring performance

Each requirement and the related performance indicators are carefully examined by the reviewers, for example through interviews, document research and site visits. Based on the expertise of the reviewers, an expert opinion is made as to whether the organization meets the relevant requirement and performance indicators. Because a qualitative assessment by an individual researcher can be arbitrary. To exclude subjectivity as much as possible, a discussion amongst several subject matter experts takes place whether or not each requirement is met. The discussion aims to reach consensus about the opinion/judgment. In fact, this approach validates the assessment.

The result of this, a draft judgment, is formulated based on assessment and reference against the following 'levels' of performance for the arrangements in the Host State relating to the standardized requirements:

- The requirement is fully met;
- The requirement is almost fully met;
- The requirement is partially met but the gap is not so significant. There is an Action Plan to address the gap;
- The requirement is partially met, and the gap is somewhat significant, but there is an Action Plan to address the gap;
- The requirement is partially met, and the gap is very significant
- There is no arrangement in place and no initiative to meet the requirement.

All 25 requirements are assessed against these levels of performance. The outcome of that is the basis for the reporting of the findings and level of performance.

Output peer review

The output of the EPREV Peer Review consists of:

- *Recommendations*, intended to enhance emergency preparedness and response capabilities and arrangements – 'obligatory' to follow up by the Host State;
- *Suggestions*, intended to enhance emergency preparedness and response capabilities and arrangements, 'advised' to follow up by the Host State;
- *Good practices*, that can be used by other Member States to enhance their own emergency preparedness and response arrangements.

More described in detail:

Recommendations	- Recommendations address aspects of the EPR arrangements that are not fully consistent with the IAEA Safety Requirements contained in the Safety Standards - They should be specific, realistic and designed to result in tangible improvements - They should state "what" needs to be achieved, not "how" - It is up to the Host State to determine the best method for achieving the desired outcome - They should be succinct and self-explanatory - They should be practicable and implementable - The basis for the recommendation must be clearly documented - Reviewers should be sufficiently open to understand that the intent of the requirement may be met even if the terms, detailed arrangements or method used are somewhat different from the precise text of the requirement
Suggestions	- Suggestions address two types of observations: - The requirement is met but the arrangements are not entirely consistent with the guidance contained in the safety standards on EPR - The requirement is met but it is deemed that tangible improvements could be made to the manner in which the arrangements are consistent with the requirements - Suggestions are primarily intended to make the arrangements more effective or efficient - A suggestion may be proposed in conjunction with a recommendation or may stand on its own - The basis for the suggestion must be clearly documented
Good Practices	- A good practice reflects an organization, arrangement, programme or performance superior to those generally observed elsewhere - A good practice goes beyond the fulfilment of current requirements or expectations - It should be worthy of the attention to other Member States - The basis for good practices should be any of the requirements or guidance contained in the IAEA safety standards on EPR. - A good practice need not be exclusive or unique to the Host State, but it should not be common to many

The results of the assessment are reported in a motivated report to the host country and its organisations. The host country is expected to implement the findings of the review. A follow-up will be scheduled to monitor the progress in implementation of the findings.

RECOMMENDATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 4 April 2001 providing for minimum criteria for environmental inspections in the Member States (2001/331/EC)

Topic	Requirement
Inspection plans	1. Member States should ensure that environmental inspection activities are planned in advance, by having at all times a plan or plans for environmental inspections providing coverage of all the territory of the Member State and of the controlled installations within it. Such a plan or plans should be available to the public according to Directive 90/313/EEC. 2. Such plan or plans may be established at national, regional or local levels, but Member States should ensure that the plan or plans apply to all environmental inspections of controlled installations within their territory and that the authorities are designated to carry out such inspections.
	Plans for environmental inspections should be produced the basis of the following: a) the EC legal requirements to be complied with; b) a register of controlled installations within the plan area; c) a general assessment of major environmental issues within the plan area and a general appraisal of the state of compliance by the controlled installations with EC legal requirements; d) data on and from previous inspection activities, if any.
	Plans for environmental inspections should: a) be appropriate to the inspection tasks of the relevant authorities, and should take account of the controlled installations concerned and the risks and environmental impacts of emissions and discharges from them; b) take into account relevant available information in relation to specific sites or types of controlled installations, such as reports by operators of controlled installations made to the authorities, self-monitoring data, environmental audit information and environmental statements, in

	particular those produced by controlled installations registered according to the Community eco-management and audit scheme (EMAS), results of previous inspections and reports of environmental quality monitoring.
	Each plan for environmental inspections should as a minimum: a) Should define the geographical area which it covers, which may be for all or part of the territory of a Member State; b) Cover a defined time period, for example one year; c) Include specific provisions for its revision; d) Identify the specific sites or types of controlled installations covered; e) Prescribe the programmes for routine environmental inspections, taking into account environmental risks; these programmes should include, where appropriate, the frequency of site visits for different types of or specified controlled installations; f) Provide for and outline the procedures for non-routine environmental inspections, in such cases in response to complaints, accidents, incidents and occurrences of non- compliance and for purposes of granting permission; g) Provide for coordination between the different inspecting authorities, where relevant.
Site visits	Member States should ensure that the following criteria are applied in respect of all site visits: a) That an appropriate check is made of compliance with the EC legal requirements relevant to the particular inspection; b) That if site visits are to be carried out by more than one environmental inspecting authority, they exchange information on each others' activities and, as far as possible, coordinate site visits and other environmental inspection work; c) That the findings of site visits are contained in reports made in accordance with point VI and exchanged, as necessary, between relevant inspection, enforcement and other authorities, whether national, regional or local; d) That inspectors or other officials entitled to carry out site visits have a legal right of access to sites and information, for the purposes of environmental inspection.
	Member States should ensure that site visits are regularly carried out by inspecting authorities as part of their routine environmental inspections and that the following additional criteria are applied for such site visits: a) That the full range of relevant environmental impacts is examined, in conformity with the applicable EC legal requirements, the environmental inspection programmes and the inspecting bodies' organisational arrangements;

	b) That such site visits should aim to promote and reinforce operators' knowledge and understanding of relevant EC legal requirements and environmental sensitivities, and of the environmental impacts of their activities; c) That the risks to and impact on the environment of the controlled installation are considered in order to evaluate the effectiveness of existing authorisation, permit or licensing requirements and to assess whether improvements or other changes to such requirements are necessary.
	Member States should also ensure that non-routine site visits are carried out in the following circumstances: a) In the investigation by the relevant inspecting authorities of serious environmental complaints, and as soon as possible after such complaints are received by the authorities; b) In the investigation of serious environmental accidents, incidents and occurrences of non-compliance, and as soon as possible after these come to the notice of the relevant inspecting authorities; c) Where appropriate, as part of the determination as to whether and on what terms to issue a first authorisation, permit or licence for a process or activity at a controlled installation or the proposed site thereof or to ensure the compliance with the requirements of authorisation, permit or licence after it has been issued and before the start of activity; d) Where appropriate, before the reissue, renewal or modifica- tion of authorisations, permits or licences.
Reports and conclusions following site visits	Member States should ensure that after every site visit the inspecting authorities process or store, in identifiable form and in data files, the inspection data and their findings as to compliance with EC legal requirements, an evaluation thereof and a conclusion on whether any further action should follow, such as enforcement proceedings, including sanctions, the issuing of a new or revised authorisation, permit or license or follow-up inspection activities, including further site visits. Reports should be finalised as soon as possible. Member States should ensure that such reports are prop- erly recorded in writing and maintained in a readily accessible database. The full reports, and wherever this is not practicable the conclusions of such reports, should be communicated to the operator of the controlled installation in question according to Directive 90/313/EEC; these reports should be publicly avail- able within two months of the inspection taking place.
Investigations of serious accidents, incidents and	Member States should ensure that the investigation of serious accidents, incidents and occurrences of non-compliance with EC legislation, whether these come to the attention of the authorities through a complaint or otherwise, is carried out by the relevant authority in order to:

occurrences of non-compliance	a) Clarify the causes of the event and its impact on the environment, and as appropriate, the responsibilities and possible liabilities for the event and its consequences, and to forward conclusions to the authority responsible for enforcement, if different from the inspecting authority; b) Mitigate and, where possible, remedy the environmental impacts of the event through a determination of the appropriate actions to be taken by the operator(s) and the authorities; c) Determine action to be taken to prevent further accidents, incidents and occurrences of non-compliance; d) Enable enforcement action or sanctions to proceed, if appropriate; and e) Ensure that the operator takes appropriate follow-up actions.
Reporting on environmental inspection activities in general	Member States should report to the Commission on their experience of the operation of this recommendation two years after the date of its publication in the *Official Journal of the European Communities*, using, to the extent possible, any data available from regional and local inspecting authorities. 2. Such reports should be available to the public and should include in particular the following information: a) data about the staffing and other resources of the inspecting authorities; b) details of the inspecting authority's role and performance in the establishment and implementation of relevant plan(s) for inspections; c) summary details of the environmental inspections carried out, including the number of site visits made, the proportion of controlled installations inspected (by type) and estimated length of time before all controlled installations of that type have been inspected; d) brief data on the degree of compliance by controlled installations with EC legal requirements as appears from inspections carried out; e) a summary, including numbers, of the actions taken as a result of serious complaints, accidents, incidents and occurrences of non-compliance; f) an evaluation of the success or failure of the plans for inspections as applicable to the inspecting body, with any recommendations for future plans.

ANNEX II

GUIDANCE FOR EXPERTS/REVIEWERS IN WRITING REPORTS OF A PEER REVIEW

Introduction

The (immediate) output of the Peer Review mission to the reviewed organisation is the drafting of the assessment report, including 'opportunities for development (OfD)', elaboration on 'good practices' and a discussion if and how support can be provided on the implementation.

In the pursuit of uniformity, a guidance as detailed below can assist in writing a report in a timely manner and being consistent with the overall purpose of the NPRI programme.
Uniformity within every NPRI scheme is neccesary and should be a basic principle. This should also be reflected when drawing up the reports, adjusted to the target group and the objectives pursued by the peer review. Uniformity enables benchmarking.

This annex provides guidance for reporting, paying attention to the style, format and length of the report.

Writing the report

Drafting of the report starts from day one. The structure of the report is guided by a template, to be adjusted to specific situations and/or subjects and purpose of the review. The review activities take place during the day and writing of the report is an activity for the evening. When writing the assessment, it is important to know and understand:
1. to whom the assessment is addressed (the audience),
2. its purpose and
3. the expected output

1. The audience

The Peer Review report is addressed primarily to senior managers and decision makers of the reviewed organisation. When writing the assessment report, the style and tone need to be adjusted to this audience. The content and elements of the report needs to be in line with the agreed Terms of Reference (TOR).
In case of being a part of a peer review programme, involving equivalent or comparable organisations, it is advised to adjust the style of the report to the 'umbrella organisation', such as an association of organisations.

Furthermore, the 'NPRI coordinator' at national and /or network level should be addressed because of his/her role to draw general conclusions for the peer reviews as input for the NPRI programme.

2. The purpose

The purpose of the Peer Review can be the following:

- To help the organisation under review to improve its performance by identifying and implementing OfD;
- To support the reviewed organisation in complying with established standards and principles;
- To help to adopt and implement good and best practices;
- To support strategy and policy development or revisions;
- To support benchmarking in case of the review of equivalent and comparable organisations;
- To support the improvement of the network in terms of homogeneity, the adoption of common good practices and to test the implementation of improvements.

3. The expected output

The output of the peer review is a report that is primarily intended for the senior management of an organization or in the case of a benchmark of similar organizations for both the senior management of each individual organization and the management of the umbrella organization. The report should result in a description of findings in terms of OfD's' and 'good practices'. In the case of a benchmark of comparable organisations, the report may include a generalization and abstracting of the findings that can be used by an umbrella organization. Furthermore, the report may give advices on providing support in implementing OfD. Another important output of the peer review is the acquired knowledge and experience of the various processes on which the review focused. In addition, the output may support the improvement of the network in terms of homogeneity, the adoption of common good practices and to test the implementation of improvements.

The Drafting Process

The overall responsibility of writing the report lies at the Team Leader.

Writing the report can be done in different ways and depends how the tasks are divided within a team regarding the preparation of the report. Options to choose:
- A dedicated rapporteur can be appointed and tasked with drafting the draft report in close cooperation with the Team Leader. Each expert as team member provides in writing the rapporteur the findings of his/her review. The rapporteur edits the text and transfers the information into the draft report; In case of writing of the report by a rapporteur, the team leader and rapporteur closely work together.
- Each expert as team member prepares a section or paragraph for the assessment related to his or her area of expertise and provides the draft text to the rapporteur or team leader who drafts a consolidated (draft) report of all contributions.

Daily cycle

In case the peer review lasts 2 days or more, the following daily cycle can be followed by the team:

1. Each expert/reviewer collects all the notes relevant to the sections for which they are responsible and will draft those sections. Notes and questions can be inserted in the text, which will need to be resolved prior to final drafting. Their daily draft of their section of the report will be sent to the team leader at the end of each day. If an expert has specific inputs or observations on a requirement for which they are not the primary author, their first priority is to send that input to the team leader and/or to the primary author as agreed during the team meeting.
2. The evening of each day will be used to evaluate the findings, and to discuss if more work is needed to complete the findings, and if yes, to whom these are addressed.
3. The same evening the team leader and rapporteur consolidate the inputs into a single, harmonised and consistent draft report and send it back to the team. The draft report may contain questions and comments to be addressed by the experts/reviewers.
4. At the following daily meeting, the same sequence as described under 1, 2 and 3, will be repeated.
5. After each daily meeting, each reviewer modifies the relevant section of the report in the latest version sent to them by the team leader and the cycle continues.
6. The second last day of the mission, the team will complete the draft report and prepares a presentation of the findings for the senior management.

Applicable 'rules' and style report

- The style of writing should be concise (to the point) and precise. In their drafting, experts/reviewers should also use active voice as often as possible.
- Every effort should be made to avoid merely summing up policies, strategies and laws or providing long lists of policy and legal elements without comment. Rather, it is important to describe and clarify the relationships among the various policies, strategies and laws, and explain what they really mean in the context of the organisation under review.
- Describe objective evidence and observation and identify and site the requirement
- Writing should be as simple as possible. The use of simple, plain language is essential for clear communication. Furthermore, it needs to be pointed out that a Peer Review report is not a report for the outside world. It is recommended that the information should be limited to that which supports the findings. Use information of a general nature only if it provides an essential context for the findings.
- When possible, expecially when the assessment framework is based on a quantitative approach, the use of tables/graphs that compare expected and actual outputs/outcomes is advisable. Also when qualitative approach is pursued, the use of tables/graphs with suitable indicators may help the readers.
- A clear distinction should be made between intentions, achievements, good practices and OfD. Experts/reviewers should try not to mix facts and assessment; every topic starts with a factual description, which should fully substantiate the assessment.
- The report ends with conclusions, 'OfD' en examples of good practices. It is important that no new information is provided here, as conclusions and 'opportunities for development' should follow logically from the facts and assessments. Each OfD should be preceded by a brief introductory text that will justify the corresponding OfD.

- Where possible, each OfD should indicate to whom it is addressed. OfD's must be concrete, measurable and realistic. They also should be as concise as possible.
- The report may give advices on providing support in implementing OfD.

In writing a report there needs to be attention for the following:

- Some words can/have more than one meaning. In English this is definitely the case.
- Unusual or very specific technical words can be difficult to understand by non-native speakers or by not technical experts.
- Fancy words used to demonstrate expertise make some statements less clear.
- Multiple adjectives or adverbs make sentences more difficult to understand.
- Too many conditional clauses also make the meaning less clear.

Do's and don't's when writing the report

Do:	**Do not:**
• Use factual statements	• Criticize
• Ensure accuracy of source information	• Overstate the facts
• Be specific and avoid general statements	• Include conflicting messages (i.e. positive & negative messages in the same finding)
• Group similar observations	
• Use terminology familiar to the organization	• Offer legal opinions
• Distinguish between something that is not documented and things that are not done	• Use derogatory descriptive adjectives
	• Use too many acronyms
• Prove that you were there. Did the people know the plans and procedures?	

Formatting

To strive for uniformity in the nature and form of the report, the following format is recommended:

Length	If possible, try not to exeed 15 – 20 pages of the report, including graphs and tables, except if there is a need based on the agreed Terms of Reference (TOR).
Language	The report should be written in the native language. Editing by an involved secretariat or editor could be considered.
Format	The report should be delivered in a WORD file. Use font 'Calibri standard, font size 11; single line spacing. Write abbreviations at least once in full and add a list of references and their sources, including the visited Internet websites). Footnotes can be helpful.
Figures and tables:	Where possible, the figures and tables, including the data, should be provided in a EXCEL file. Always indicate sources of the data. An explanation and analysis of the tables and figures should be provided in the text.
Vote of thanks:	Include in the report a vote of thanks and acknowledgement to the host organization for their hospitality.

Table of content of a report – some examples of elements to be included

The following elements can be considered to include in a report. The report must of course be designed according to what is included (scope, purpose, etc.) in the TOR.

- Titel Peer Review
- Acknowledgement
- Executive summary
- Introduction
  - *The NPRI scheme*
  - *Purpose of the Peer Review*
  - *Scope of the Peer Review*
  - *Assessment Framework and performance indicators*
- Brief description of the findings and their rationale based on the elements of the scope. Description per element!
- Description site visit (if applicable)
- Conclusions
  - *Good practices*
  - *Opportunities for development*
- Advices on follow-up and support
- List of involved people (names and positions) from the reviewed organisations and the Peer Review team
- List of abbreviations and references

Studio preliminare sulle metodologie di *Peer Review* (confronto fra pari)

'Confronto tra 6 diverse metodologie di Peer Review, al fine di individuare approcci e buone pratiche utili allo sviluppo del Progetto National Peer Review Initiative'

28 febbraio 2020

Indice

DRAFT ITA

1. Studio preliminare sulla metodologie di *peer review*

1.1 Introduzione

IMPEL vanta oltre 20 anni di esperienza nella realizzazione di attività di *peer review*, nell'ambito del progetto denominato *IMPEL Review Initiative* (IRI). L'approccio e l'esperienza IRI hanno ispirato Italia e Paesi Bassi a intraprendere un progetto di trasformazione e adeguamento dell'attuale schema IRI verso un modello di *peer review* applicabile su scala nazionale, regionale, locale e di organizzazione.

Entrambi i Paesi hanno sperimentato schemi di *peer review* e, in entrambi i casi, esperti di alcune Agenzie hanno condotto una *peer review* (*confronto tra pari*) su un'Agenzia appartenente alla stessa rete. I risultati di queste esperienze hanno indotto IMPEL a dare avvio a una iniziativa progettuale mirata allo sviluppo di uno strumento utilizzabile dai Paesi membri a diversi livelli. Nel 2018, l'Assemblea Generale di IMPEL ha approvato il progetto denominato "*Establishing a National Peer Review Initiative* (NPRI)", da realizzare negli anni 2019 e 2020.

Un elemento importante del progetto NPRI è lo studio preliminare incentrato sul confronto di 6 diverse metodologie di *peer review*, realizzato allo scopo di individuare approcci e buone pratiche utili allo sviluppo del progetto stesso.

Il presente documento contiene, innanzitutto, una descrizione sintetica del concetto di *peer review* e delle basi teoriche su cui lo stesso trova fondamento, per poi passare alla esposizione della metodologia adottata per lo studio preliminare, dei criteri con il quale è stato condotto, fornendo una descrizione dell'Organizzazioni e delle metodologie di *peer review* da esse adottati. Infine, traccia conclusioni e suggerimenti circa l'utilizzo dei risultati dello studio preliminare nella progettazione e nello sviluppo dello strumento NPRI.

2. Il Progetto NPRI

L'obiettivo principale del progetto NPRI è lo sviluppo di un approccio sistematico per la realizzazione di *peer review* nazionali, basato su criteri di flessibilità e attenzione alle esigenze specifiche dei paesi e delle organizzazioni coinvolte.

Il risultato atteso dall'utilizzo di tale metodologia è l'aumento della capacità, ai vari livelli (locale, regionale, nazionale e organizzativo), di conoscere il grado di omogeneità e di armonizzazione delle prestazioni erogate delle autorità competenti in materia ambientale, quali le attività per l'applicazione della legge, l'attività ispettiva, in campo autorizzativo, per la pianificazione, per la condivisione di buone pratiche e di supporto a tutti in processi finalizzati a contribuire ad un'omogenea implementazione della normativa in materia ambientale.

Il progetto mira, inoltre, a gettare le basi per la realizzazione di uno strumento che, ove applicato, favorirà una migliore comprensione delle esigenze comuni tra autorità competenti con la stessa missione, specie se appartenenti allo stesso *network* (ad esempio: formazione, regole comuni, documenti, tipologie di strumenti e supporto tecnico ecc.) e permetterà di individuare le possibilità di reciproco supporto da parte dello stesso network, nel suo complesso o di suoi membri, per raggiungere questi risultati. Il progetto fornirà, dunque, ai membri di IMPEL, un modello concettuale e una metodologia, che comprende linee guida per l'implementazione di attività di NPRI e la messa a disposizione di un supporto adeguato.

Il progetto, di conseguenza, supporterà anche lo sviluppo di un nucleo di esperti, in grado di implementare/migliorare le NPRI nel proprio paese, nonché di coadiuvare l'implementazione di una NPRI in altri paesi.

3.   Metodologia dello studio preliminare

Per la realizzazione dello studio preliminare è stato adottato il seguente schema:

1. Studio della letteratura disponibile su teoria, metodi ed efficacia della *peer review*;
2. Descrizione dei "principi di funzionamento" di una NPRI;
3. Selezione di organizzazioni con esperienze consolidate nella conduzione di *peer review* e/o *assessment (valutazione)*;
4. Studio approfondito degli schemi utilizzati (obiettivi, tecniche, ambito, processo, ecc.);
5. Redazione di un documento di sintesi relativo ad ognuna delle Organizzazioni studiate, contenete una breve descrizione delle metodologie di *peer review* e *assessment* adottate dai valutatori (allegati alla presente relazione);
6. Redazione di schede informative delle metodologie studiate con una breve descrizione delle tecniche di *peer review*, in riferimento a 10 *dimensioni caratteristiche* dell'attività *peer review* e di *assessment*.
7. Selezione e attribuzione, per ognuna delle 10 *dimensioni caratteristiche,* di un "*livello di corrispondenza*" che descrive quanto la metodologia di *peer review* implementata da ognuna delle Organizzazioni è congruente con la *definizione operativa* di tale *dimensione caratteristica* adottata in questo studio.
8. Confronto degli schemi utilizzati con i "*principi operativi*" concordati dal gruppo sulla base del documento di discussione del 24 ottobre 2019;
9. Redazione di conclusioni e suggerimenti volti a fornire spunti per ulteriori approfondimenti sullo sviluppo di un quadro della metodologia NPRI.

4.   Background e principi della *peer review*

4.1   Cos'è una *peer review*?

Non esiste un meccanismo standardizzato di *peer review*. Al contrario, esiste un'ampia varietà di concetti di "*peer revie*w". In campo organizzativo, economico e ambientale, molte organizzazioni utilizzano la metodologia della *peer review* per valutare le prestazioni e

contribuire a migliorarle ulteriormente. In ogni caso, tutte le metodologie di *peer review* prevedono determinati elementi strutturali analoghi, come un insieme concordato di principi, ipotesi, standard e criteri rispetto ai quali verrà valutata la performance di un Soggetto. Anche gli attori designati per la realizzazione della *peer review* e la serie di procedure che conducono al risultato finale sono elementi comuni.

La *peer review* è fondamentalmente una valutazione delle prestazioni o delle pratiche di un soggetto, in una determinata area, da parte di un altro. L'obiettivo dell'azione di *peer review* è aiutare il soggetto valutato a migliorare i propri processi decisionali, ad adottare *best practices* e a rispettare standard e principi stabiliti. Le *peer review* coprono un'ampia gamma di ambiti, quali l'economia e la governance, l'istruzione, la salute, l'ambiente e l'energia. E possono essere effettuate sia in regime obbligatorio che su base volontaria.

Dall'analisi della letteratura in materia, si apprende che il concetto di *peer review* non è stato rigorosamente definito e che non esiste un meccanismo standardizzato per la sua attuazione. L'OCSE, che vanta oltre 50 anni di esperienza in tema di *peer review*, la descrive secondo una logica che ben si adatta alla modalità con cui IMPEL esegue le sue IRI:
'La peer review è un confronto fra pari, non un'audizione da parte di un organo superiore che emetterà un giudizio o una sanzione. Ciò la rende uno strumento più flessibile; uno Stato può essere maggiormente disposto ad accettare le critiche e i suoi vicini a esprimerle, se entrambe le parti sanno che tutto ciò non le impegna verso una posizione rigida o una linea di condotta obbligatoria. Le peer review non intendono risolvere le differenze tra gli Stati, ma possono svolgere un'importante ruolo all'interno di un meccanismo di risoluzione delle controversie, incoraggiando un dialogo aperto che può aiutare a chiarire le posizioni in un contesto non ostile'.[1]

Le *peer review* effettuate da organizzazioni quali l'AIEA, l'UNECE, la Commissione Europea e IMPEL contengono in larga misura elementi, obiettivi e metodologie simili. Fondamentalmente, una *peer review* è una valutazione delle prestazioni o delle pratiche di un'organizzazione in una determinata area o rispetto a un tema particolare da parte di esperti di Organizzazioni più o meno analoghe. L'obiettivo principale è aiutare l'Organizzazione esaminata a migliorare le proprie prestazioni, ad adottare le migliori pratiche e a conformarsi a standard e principi stabiliti. Ciò si collega perfettamente con l'approccio delle *peer review* di IRI o NPRI.

4.2   Efficacia della *peer review*

Se viene applicato il metodo della *peer review*, è importante che le conclusioni conducano al risultato desiderato. In altre parole, la finalità esplicita è che il metodo di *peer review* sia efficace. È dunque importante comprendere i fattori e le condizioni che ne determinano l'efficacia.

L'OCSE afferma, in base all'esperienza maturata, che la chiave dell'efficacia delle *peer review* è la cosiddetta "pressione *inter pares*" esercitata da coloro che conducono la valutazione e la

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[1] https://www.oecd.org/site/peerreview/whatispeerreview.htm

volontà del destinatario interessato ad accettarla. La "pressione *inter pares*" è l'effetto dell'influenza e della persuasione esercitate dai valutatori durante il processo, che non assume la forma di atti giuridicamente vincolanti, come sanzioni o altri meccanismi impositivi. E' invece un mezzo di persuasione *soft* che può divenire un'importante forza trainante per stimolare soggetto valutato a cambiare, raggiungere obiettivi e soddisfare gli standard.

Affinché una *peer review* sia efficace, devono essere soddisfatte determinate condizioni. Se tali condizioni[2] sono presenti, la *peer review* è efficace e può fungere da stimolo e catalizzatore per il miglioramento. Devono essere considerate le seguenti condizioni:

Disponibilità e impegno	• L'efficacia dipende in larga misura dalla disponibilità e volontà dell'organizzazione coinvolta ad accettarla. • Livello di impegno adeguato: una *peer review* può funzionare correttamente solo se esiste un livello di impegno adeguato da parte delle organizzazioni partecipanti. Ciò include la messa a disposizione di risorse sufficienti per la sua realizzazione e il pieno coinvolgimento nel processo, sia che dal lato di chi conduce l'azione, sia da parte di chi viene valutato.
Condivisione dei valori	• Condivisione dei punti di vista: le organizzazioni partecipanti devono condividere gli stessi punti di vista sullo schema di valutazione - standard o criteri - rispetto ai quali verrà valutata la performance. Una forte condivisione di questi elementi previene incertezze o "retromarce" durante il processo. • Una *peer review* dovrebbe prevedere un "apprendimento reciproco" quale valore condiviso. Quando la parte che conduce la valutazione e la parte che ne è destinataria apprendono gli uni dagli altri, l'efficacia è maggiore. • Deve essere chiaro fin dall'inizio che le organizzazioni coinvolte beneficiano reciprocamente della partecipazione alla *peer review*.
Non legalmente vincolante	• Se una *peer review* e il suo esito non assumono la forma di atti giuridicamente vincolanti, come sanzioni o altri meccanismi impositivi, l'efficacia dell'azione è maggiore. In una situazione "non vincolante", la *peer review* è un mezzo di persuasione *soft* che può divenire un importante motore per stimolare l'implementazione di opportunità di sviluppo, raggiungimento degli obiettivi e conformità agli standard.
Fiducia reciproca	• La *peer review* è, per sua natura, un processo cooperativo, che non si svolge in contraddittorio. La fiducia reciproca è la chiave del suo successo. Un ampio livello di fiducia e condivisione dei valori, tra i partecipanti, dovrebbe essere presente sin dall'inizio per facilitare la messa a disposizione di dati, informazioni e documentazione essenziali per il processo. Il modo in cui viene progettato ed eseguito il processo di *peer review* può contribuire a consolidare una reciproca fiducia.
Credibilità	• La credibilità del processo di *peer review* è essenziale per la sua efficacia. Esiste un forte legame tra la credibilità del processo e la sua capacità di influenza.

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[2] Peer Review. An OECD Tool for Co-operation and Change; P 19.

		OCSE: un Segretariato, organizzazioni o paesi esaminatori indipendenti e un processo basato su una commissione multilaterale, tutto ciò contribuisce a garantire questa credibilità.
		• Esaminatori ed esperti ben preparati, che rappresentano organizzazioni che abbiano simili compiti e responsabilità, contribuiscono a garantire la credibilità del processo.
Proprietà		• Il coinvolgimento nel processo del paese o dell'organizzazione destinatari della *peer review* così come la proprietà delle risultanze, rappresentano la migliore garanzia della positiva valutazione della relazione finale e conseguente attuazione delle raccomandazioni in essa contenute.
Equità e obiettività		• Il coinvolgimento del paese, o dell'organizzazione, destinatario della *peer review* non deve compromettere l'equità e l'obiettività del processo. L'organizzazione in esame non dovrebbe essere autorizzata a porre il veto in tutto o in parte al rapporto finale.
Flessibilità e allineamento con le esigenze		• La *peer review* deve essere flessibile e deve essere strettamente allineata con le esigenze del paese o dell'organizzazione oggetto della valutazione.

4.3 Fattori che influenzano una *peer review* e i suoi risultati

Come descritto al paragrafo 4.1, l'obiettivo principale di una *peer review* è supportare il Paese o l'organizzazione che si sottopone a revisione a migliorare le proprie prestazioni, adottando buone pratiche e implementando opportunità di sviluppo in direzione di una maggiore conformità a politiche, legislazione vigente, standard e principi. Anche nei casi in cui siano soddisfatte tutte le precondizioni indispensabili per l'efficacia di una *peer review*, purtroppo non è sempre garantito che il processo si sviluppi senza intoppi o, conclusa la valutazione, che ne vengano implementati i risultati.

Tutte le organizzazioni esaminate nel contesto di questo studio individuano fattori che possono influenzare lo svolgimento del processo di *peer review* e l'implementazione dei suoi risultati. Si tratta in molti casi di fattori interconnessi e difficili da gestire dal Soggetto che conduce la valutazione. Queste criticità sono individuate da tutte le organizzazioni. È dunque importante darne una breve descrizione. In particolare, la Commissione Economica per l'Europa delle Nazioni Unite (UNECE)[3][4] valuta regolarmente il processo delle proprie attività di *review*.

A questo proposito, si riportano le seguenti osservazioni:

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[33] EXTERNAL INDEPENDENT EVALUATION OF ENVIRONMENTAL PERFORMANCE REVIEW PROCESS BASED ON REVIEWS CARRIED OUT INTHE PERIOD2015–2019
https://www.unece.org/environmental-policy/environmental-performance-reviews/evaluations.html

[4] Self-Evaluation Report Assessment of procedural steps for the preparation and conducting of the environmental performance reviews; Operational Activities and Review Section Environment Division, 2012; https://www.unece.org/fileadmin/DAM/env/epr/Self-evaluation/EPR_Self_Evaluation.English.pdf

- Cambiamento dell'assetto politico: il cambiamento della situazione politica nei paesi oggetto di valutazione rende difficile tanto il processo di riesame delle proprie prestazioni ambientali (*Environmental Performance Review* - EPR) quanto la garanzia della continuità verso impegni connessi al processo di EPR e l'attuazione delle raccomandazioni che ne derivano.
- Bassa priorità dell'ambiente nell'agenda nazionale per lo sviluppo: nella maggior parte dei paesi beneficiari dell'attività di *review*, la tematica ambientale appare essere posizionata ad un basso livello di priorità le autorità ambientali nazionali non hanno una posizione di forza.
- Le controparti nazionali nel processo di *review* spesso non sono in grado di rispettare le scadenze: si tratta di una criticità abbastanza comune per quanto riguarda i termini fissati per il completamento dei questionari distribuiti prima della fase di riesame.
- Disomogeneità nelle capacità, istituzionali e individuali, nei paesi che partecipano alle *peer review*: diversi paesi dimostrano una capacità limitata di partecipare efficacemente a tutte le fasi del processo di riesame. Le autorità nazionali di questi paesi non dispongono di risorse umane sufficienti per supportare i processi di riesame e lo stesso personale coinvolto denota inoltre una limitata capacità di rispondere adeguatamente alle esigenze dei valutatori.
- Condivisione di informazioni e competenze tra le diverse parti interessate/autorità nei paesi beneficiari, nonché con il gruppo di lavoro che conduce la *peer review*: in alcuni paesi il processo di *review* può rappresentare un'opportunità per lo sviluppo di una buona comunicazione e collaborazione intersettoriale, spesso però né l'autorità ambientale coordinatrice né alcuno dei ministeri/autorità di settore partecipanti sono in grado di adempiere correttamente a questa responsabilità. È abbastanza difficile per i team di *peer review* ottenere con puntualità tutti i dati e le informazioni richieste, a causa della mancanza di accesso alle stesse e perfino della riluttanza delle autorità a mettere a disposizione i dati, anche se disponibili.
- Le autorità ambientali dei paesi beneficiari sono generalmente interessate a partecipare al processo di riesame delle prestazioni ambientali (EPR). Nella maggior parte dei casi i risultati del lavoro sono ben acquisiti a livello di esperti tecnici. Tuttavia, il livello di acquisizione a livello politico e decisionale varia a seconda delle vigenti priorità politiche ed economiche.
- Differenze culturali e linguistiche.
- L'impatto delle EPR è parziale. Tuttavia, in molti paesi sono stati raggiunti risultati positivi che hanno portano a nuove politiche o cambiamenti. *Workshop* di collaborazione sul piano tecnico, rafforzano le capacità dei paesi beneficiari nell'attuazione delle raccomandazioni EPR.

4.4 *Peer learning* (apprendimento tra pari) come ulteriore effetto positivo di una P*eer Review*

Le valutazioni delle prestazioni ambientali (EPR) sono sempre più riconosciute come uno strumento che favorisce l'apprendimento tra pari, oltre ad essere uno strumento di revisione paritaria tra gli stessi. L'apprendimento tra pari avviene durante le diverse fasi del processo di riesame.

4.4.1 Missione di review:

Durante la missione di riesame, il team dei revisori visita il paese in esame. Questo team, composto da esperti messi a disposizione da vari paesi e organizzazioni internazionali, tiene numerosi incontri con i funzionari governativi ed altri attori del paese in esame, durante i quali hanno luogo scambi di conoscenze, esperienze e *best practice*. Lo scopo principale della missione di riesame è valutare le prestazioni del paese o dell'organizzazione in esame, e contemporaneamente anche gli esperti del team di riesame apprendono e acquisiscono esperienze e conoscenze utili, spesso applicabili anche nei loro paesi. Questo scambio *peer-to-peer* è di ispirazione per ulteriori contatti e collaborazioni.

4.4.2 Review da parte di Esperti

Durante l'esame della bozza di relazione predisposta dal team dei revisori, gli esperti rappresentanti di paesi appartenenti all'area o organizzazione (UE, UNECE o altro) si confrontano sui contenuti della relazione insieme alla delegazione del paese esaminato. In particolare, si focalizzano gli sforzi nel mettere a disposizione del paese esaminato raccomandazioni utili e opportunità di sviluppo, adattate alle sue specifiche esigenze e capacità. Durante l'incontro, gli esperti condividono informazioni circa ciò che funziona e non funziona nei loro paesi al fine di trovare soluzioni per migliorare la situazione nel paese in esame. L'apprendimento si sviluppa dunque in entrambi i sensi e vengono individuate opportunità per ulteriori momenti di cooperazione, sviluppo di progetti e reti.

4.4.3 Pubblicazione e presentazione:

Le relazioni delle *peer review* sono in molti casi ampiamente divulgate e rese disponibili online, in modo che tutti possano beneficiare delle informazioni in esse contenute. Quando il paese oggetto di riesame organizza la presentazione del rapporto di *peer review* che lo riguarda, varie organizzazioni di interesse, come ambasciate e partner di cooperazione, vengono invitate all'evento di lancio proprio per favorire la collaborazione e l'attuazione delle raccomandazioni contenute nel rapporto della *review*.

5. Principi operativi delle NPRI

Nella fase iniziale del progetto NPRI, il team di progetto ha deciso di redigere i "principi operativi" di una NPRI. A tal fine è stato utilizzato un documento di approfondimento contenente una proposta di tali principi: una descrizione di "cos'è una NPRI e cosa non lo è". Questi principi operativi sono comunque intesi come suscettibili di modifiche nel corso del progetto stesso, conseguentemente all'analisi dello studio preliminare sulla *peer review*.

5.1 Cos'è una NPRI?

Sulla base dell'approfondimento preliminare menzionato, una NPRI può essere inquadrata secondo i seguenti principi operativi:

In generale	• Un processo definito, focalizzato a favorire l'introduzione e l'implementazione di uno strumento di *peer peview* all'interno dei paesi quale mezzo di miglioramento continuo dei processi e delle prestazioni. L'attivazione di una *peer review* è finalizzata a identificare e specificare aspetti critici che possono richiedere supporto e assistenza per la loro risoluzione, quali *opportunità di sviluppo.*
Applicazione	• Una NPRI è effettuata su base volontaria, su richiesta ed è applicata a livello di autorità o organizzazione o *rete di pari* nazionale, regionale o locale. • È uno strumento di supporto che aiuta a individuare *opportunità di sviluppo*, nonché schemi per l'implementazione di tali opportunità. Lo strumento mira a valutare le prestazioni di un paese, organizzazione, rete o processo nell'attuazione della legislazione ambientale, in particolare in materia di Autorizzazioni, Ispezioni e attività di imposizione della legge (enforcement). • La NPRI è uno strumento i cui risultati portano valore aggiunto al paese o all'organizzazione o alla rete nel cui ambito viene eseguita. E' inoltre utile quale mezzo per stimolare la riforma delle politiche e delle pratiche in uso nelle organizzazioni valutate. • I risultati e le *opportunità di sviluppo* risultanti dai processi di *peer review* non sono vincolanti.
Flessibilità	• E' uno strumento flessibile e può essere focalizzato su una varietà di argomenti e temi, in base alle esigenze del paese, dell'organizzazione o della rete che intende impiegarlo. Può assumere diverse forme, come ad esempio: missioni di esperti, visite di studio, *workshop* ecc. • Lo strumento prevede i seguenti passaggi principali: preparazione, missione di *review*, discussione sulla *review* tra esperti, attuazione della *peer review*, pubblicazione e presentazione dei risultati.
***Capacity building* e apprendimento reciproco**	• La NPRI può rappresentare un importante strumento di *capacity building*, poiché rappresenta un processo di continuo apprendimento reciproco, durante il quale vengono condivise buone pratiche. Ciò vale non solo per l'organizzazione in esame, ma anche per altre organizzazioni, in particolare quelle che agiscono come revisori. • Una NPRI si basa su un dialogo attraverso il quale le organizzazioni scambiano sistematicamente informazioni, approcci e opinioni sulle decisioni di *policy* e sulla loro applicazione. Ciò può aprire ulteriori spazi di cooperazione, • Lo strumento può essere utilizzato da un pool di esperti per formare altri esperti ad introdurre la pratica della NPRI.

5.2 Una NPRI non è:

• Una classifica di paesi, regioni, organizzazioni in relazione alle loro prestazioni
• Una tecnica per screditare i soggetti con performance non adeguate
• Un audit formale
• Una valutazione o riesame ISO

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6.   Selezione delle Organizzazioni e metodologie di *peer review*

La scelta delle organizzazioni selezionate per esaminare gli schemi di *peer review* adottati dalle stesse, si è basata su quanto segue:

- Esperienza consolidata rispetto a uno schema di *peer review* o metodologia di *assessment* (valutazione)
- Esperienze positive di paesi o organizzazioni sottoposte a *peer review* o *assessment*
- Organizzazioni che operano a livello internazionale nel riesame delle prestazioni di paesi o organizzazioni
- Consapevolezza che la *review* mira a valutare l'implementazione di schemi normativi e prestazioni e contestualmente consente anche la possibilità di scambiare esperienze e buone pratiche, oltre a offrire suggerimenti e opportunità di sviluppo.

6.1   Aspetti esaminati

Nell'ambito dello studio preliminare, sono state selezionate sei organizzazioni ed esaminati gli schemi di *peer review* e di *assessment* da queste adottati. La valutazione si è incentrata in particolare sui seguenti aspetti:

- Obiettivi e ambito di applicazione
- Composizione del team di esperti
- Linee guida
- Quadro di valutazione
- Processo (suddiviso in):
  - Preparazione
  - Valutazione
  - Relazione
  - Chiusura della missione
  - Follow-up

Informazioni più dettagliate sulla valutazione sono disponibili nei 6 allegati che accompagnano questo rapporto.

6.2   Organizzazioni selezionate e metodologie di *review/assessment*

Sono state selezionate le seguenti organizzazioni:

1. Agenzie Regionali per la Protezione dell'Ambiente Olandesi (REPA) – *Collegiate test* (Test Collegiali)
2. *Agenzia Internazionale per l'Energia Atomica – Emergency Preparedness Review - EPREV* (Revisione della Capacità di Reazione In Emergenza)
3. Commissione Europea – *Environmental Implementation Review - EIR* (Revisione della Implementazione della Normativa Ambientale) *e Technical Assistance and Information*

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Exchange Instrument – TAIEX (Strumento per l'Assistenza Tecnica e Scambio di Informazioni)

4. IMPEL - *IMPEL Review Initiative (IRI)*
5. *Commissione Economica per l'Europa delle Nazioni Unite (UNECE) – Environmental Performance Review - EPR (*Revisione delle Prestazioni Ambientali)
6. Organizzazione per la cooperazione e lo sviluppo economico (OCSE) *Environmental Performance Review - EPR (*Revisione delle Prestazioni Ambientali)

6.2.1   Agenzie Regionali per la Protezione dell'Ambiente Olandesi (REPA)

In Olanda, dal 1 luglio 2014 è stato istituito un sistema nazionale composto da 29 Agenzie Regionali di Protezione Ambientale, riunite in un'associazione[5]. La loro missione è migliorare la qualità di autorizzazione, sorveglianza e controllo nel Paese. Le Agenzie lavorano costantemente al miglioramento delle proprie modalità operative e dei propri processi e mirano a soddisfare i requisiti e i criteri organizzativi e di processo stabiliti dalla normativa vigente. Uno strumento importante per ottenere miglioramenti è l'uso della *peer review* , utile per testarsi a vicenda, scambiare conoscenze e apprendere reciprocamente. Una descrizione più dettagliata delle Agenzie e delle metodologie utilizzata è disponibile nell'allegato I.

6.2.2   Agenzia Internazionale per l'Energia Atomica (International Atomic and Energy Agency - IAEA)

La IAEA offre ai propri Stati membri missioni di *peer review* finalizzate a valutare in che misura gli stessi sono preparati a far fronte ad emergenze radioattive e nucleari. *L'Emergency Preparedness Review* – EPREV (Revisione della Capacità di Reazione In Emergenza) è una delle missioni di *peer review* offerte dalla IAEA, su richiesta degli Stati membri. Le conclusioni e le raccomandazioni che emergono dalle *peer review* sono restituite in relazioni finali che rappresentano una sorta di consulenza agli Stati membri su come migliorare la propria sicurezza nucleare. In una fase successiva, missioni di follow-up valutano gli avanzamenti nell'attuazione delle raccomandazioni. Una descrizione più dettagliata dell'EPREV della IAEA e della metodologia utilizzata è disponibile nell'allegato II.

6.2.3   Commissione Europea, *Environmental Implementation Review* (EIR) e TAIEX

La Commissione europea ha la responsabilità di vigilare sull'applicazione delle norme comuni concordate dal Parlamento europeo e dagli Stati membri in seno al Consiglio. Ogni due anni, la Commissione europea conduce un processo di *Environmental Implementation Review* – EIR (Revisione della Implementazione della Normativa Ambientale), uno strumento volto ad sostenere i Paesi nell' implementazione delle politiche ambientali individuando le cause che generano un inadeguata attuazione. Il riesame dell'attuazione delle politiche ambientali attraverso un ciclo regolare di analisi, dialogo e supporto *peer-to-peer.* Vengono individuate le principali criticità per ciascuno Stato membro, nonché le buone pratiche e i punti di eccellenza esistenti.

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[5] https://www.omgevingsdienst.nl/home/default.aspx

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In tale contesto, la direzione generale dell'Ambiente della Commissione europea ha deciso di introdurre un nuovo strumento: TAIEX -EIR P2P) teso a favorire lo scambio di competenze inter pares tra le autorità responsabili dell'attuazione delle politiche e della normativa ambientale dell'Unione. Tale strumento è basato sul sistema di assistenza tecnica e scambio d'informazioni (Technical Assistance and Information Exchange - TAIEX). TAIEX-EIR P2P prende le mosse da questo strumento consolidato ed efficace e lo applica alle leggi e alle politiche in materia ambientale nel contesto della dell'attuazione delle politiche ambientali. In allegato III è riportata una descrizione più dettagliata della EIR (Revisione della Implementazione della Normativa Ambientale) e della metodologia utilizzata, così come della TAIEX P2P.

6.2.4   IMPEL - IMPEL Review Initiative (IRI)

L'obiettivo del Network IMPEL è generare l'impulso, all'interno dell'Unione europea, utile a progredire nella garanzia di una più efficace applicazione della legislazione ambientale. L'IMPEL Review Initiative (IRI) è lo strumento di *peer review* di IMPEL che riunisce un team di esperti tecnici e professionisti, che sono impiegati nella valutazione dei processi e delle procedure delle autorità ambientali nei paesi membri, al fine di individuare *best practice* e "opportunità di sviluppo". Esse sono aree nelle quali il team dei revisori consiglia miglioramenti, basati su sviluppi ed esperienze maturate nel corso di altre esperienze in Europa. I risultati della *peer review* sono presentati all'Organizzazione ospitante sotto forma di presentazione all'alta direzione e in una relazione finale. Una descrizione più dettagliata della metodologia utilizzata è disponibile nell'allegato IV.

6.2.5   Commissione economica per l'Europa delle Nazioni Unite United Nations (Economic Commission for Europe - UNECE) - EPR

Una Revisione delle Prestazioni Ambientali - *Environmental Performance Review* (EPR) è una valutazione esterna degli avanzamenti compiuti da un Paese nel conciliare i suoi obiettivi ambientali ed economici e nel rispettare gli impegni ambientali internazionali. Gli EPR, come condotti dall'UNECE, trovano origine nel lavoro dell'Organizzazione per la cooperazione e lo sviluppo economico (OCSE). Gli EPR seguono un approccio sistematico passo-passo e svolgono un importante ruolo catalizzatore e di consulenza nell'affrontare esigenze e priorità specifiche dei paesi beneficiari nell'integrare gli aspetti ambientali nelle politiche settoriali. Una descrizione più dettagliata dell'EPR UNECE e della metodologia utilizzata si trova nell'allegato V.

6.2.6   Organizzazione per la cooperazione e lo sviluppo economico - OCSE (*Organization for Economic Co-operation and Development - OECD*) – EPR

Le *peer review* vengono realizzate dall'OCSE già da oltre 50 anni, con successo. Diverse altre organizzazioni internazionali hanno adottato il processo e la metodologia di *peer review* dell'OCSE, adattandone il loro utilizzo alle proprie esigenze. Attraverso questo strumento, la politica di ciascun paese, in una determinata area tematica, viene esaminata dai membri su base paritaria. Un paese in cerca di opportunità per migliorare e rafforzare l'attuazione delle politiche ambientali, può imparare dalle criticità individuate e dalle (potenziali) soluzioni

adottate da altri soggetti e da come le stesse possano esser d'auto nell'implementazione delle loro politiche e legislazioni. Il programma OCSE per la valutazione delle prestazioni ambientali (EPR) è stato lanciato nel 1992 nell'ambito di una *peer review*, come uno dei metodi di lavoro principali.

Una descrizione più dettagliata dell'EPR dell'OCSE e della metodologia utilizzata è disponibile nell'allegato VI.

7.   Schede informative e *dimensioni* della *peer review*

Sulla base dello studio e dell'esame delle metodologie selezionate, sono state individuate 10 *dimensioni* rilevanti e le stesse sono state ricondotte a "definizioni operative". Queste *dimensioni* sono equivalenti agli "elementi di valutazione" di cui al paragrafo 6.1.

In una fase successiva, ciascuna organizzazione e le relative metodologia di *peer review* o *assessmen*t analizzate sono state riepilogate e descritte in schede informative, in modo da fornire un quadro sulla misura in cui gli schemi di valutazione corrispondono e soddisfano i "requisito" qualitativi.

Naturalmente, questo metodo di confronto e attribuzione di valori è, in una certa misura, di carattere arbitrario. Tuttavia, attraverso questa modalità è stato possibile creare una piattaforma, una base di partenza per ulteriori approfondimenti sulle componenti del metodo indagato, al fine del loro adattamento e applicazione allo sviluppo del metodo NPRI.

Per disporre di un *rating* qualitativo, è stata utilizzata la seguente classificazione:

Classificazione	Abbreviazione
Soddisfa pienamente/soddisfa la definizione operativa	H
Soddisfa parzialmente la definizione operativa	P
Soddisfa poco la definizione operativa	L
Non soddisfa la definizione operativa	N

DIMENSIONE	'DEFINIZIONE OPERATIVA'	REPAs	IAEA EPREV	EC EIR	IMPEL IRI	UNECE EPR	OECD
Obiettivo e campo di applicazione	Obiettivi ben definiti sono importanti perché permettono di convertire una *vision* in risultati chiaramente misurabili. Obiettivi chiari focalizzano l'attenzione, aiutano a convalidare i passaggi, contribuiscono a una migliore pianificazione e tracciano una guida. Ulteriormente dettagliati, stabiliscono standard di prestazione. In linea di principio, funzionano come dei "misuratori" dei successi e delle sfide di un'organizzazione, della sua politica, prestazioni, ecc. Obiettivi chiari e definiti aiutano a individuare le aree non performanti e a intraprendere azioni correttive.	H	H	H/P	H	H	H
Composizione del Team di esperti	La credibilità del processo di *peer review* è essenziale per la sua efficacia. Esaminatori competenti ed esperti, che rappresentano organizzazioni con uguali compiti e responsabilità, contribuiscono a garantire credibilità. La credibilità aumenta in presenza di trasparenza, monitoraggio della qualità e valutazione dei candidati nel processo di candidatura. La composizione e le conoscenze del team devono inoltre corrispondere alla natura della *peer review* in oggetto.	P	H	N	P	H	P
Linee guida	Linee guida, quali manuali, check list e video, mettono a disposizione suggerimenti su come eseguire una determinata procedura, anziché (solo) fornire una serie di requisiti o standard precisi. Le linee guida sono importanti per salvaguardare una corretta comprensione dell'argomento e l'uso della metodologia di *peer review*. Aiutano anche a evitare incoerenze negli approcci e garantiscono una condotta inequivocabile del riesame, importante per ottenere conclusioni affidabili. L'uso di linee guida previene diversità di approccio da parte di diverse persone che eseguono una peer review, il che significa prevenire significativamente il rischio di avere risultati che risultano non paragonabili.	H	H	N	H/P	H	H

	Inoltre, le linee guida contribuiscono a completare lo stato generale delle conoscenze sull'argomento oggetto del riesame.						
Quadro di valutazione	Il *quadro di valutazione* fornisce una mappa concettuale strutturata di requisiti e/o standard e ulteriori dettagli su come misurare il raggiungimento dei risultati. Utilizzare un *quadro di valutazione* nel riesame delle prestazioni ambientali significa essere in in grado di "misurare" il livello di raggiungimento dei risultati, che sono spesso integrati in leggi e obblighi normativi. Un quadro di valutazione contiene quindi preferibilmente obiettivi concreti misurabili con indicatori che consentano di confrontare la situazione reale con la situazione desiderata.	H	H	P	H	P	H
Processo	Per una efficace implementazione della peer review è importante che il processo sia chiaramente e correttamente spiegato e descritto. Tale descrizione deve essere documentata e aggiornata, se necessario. La descrizione del processo deve contenere tutte le fasi che lo compongono e descrivere le azioni da intraprendere, con riferimento a linee guida, ove necessario. La descrizione del processo evita un'applicazione divergente della *peer review*.	H	H	P	H	H	H
• *Preparazione*	Nella fase di preparazione della *peer review*, vengono prese tutte le misure necessarie per una valutazione affidabile e di elevata qualità. Questo significa contatti con l'organizzazione da esaminare, redigere un TOR e assemblare il giusto *team*. Inoltre, l'organizzazione da esaminare deve fornire per tempo tutte le informazioni necessarie, spesso attraverso la compilazione di un questionario, in modo che il team del riesame possa prepararsi adeguatamente alla missione.	H	H	N	H	H	H
• *Valutazione*	In questa fase sono disponibili e operative tutte le condizioni necessarie per eseguire la valutazione secondo il piano definito, come le risposte al questionario e materiale di riferimento aggiuntivo. Anche tutti gli aspetti logistici sono a regime. I membri del team sono preparati e pienamente informati.	H	H	N	H	H	H

• *Relazione*	Sono disponibili indicazioni per la stesura della relazione (stile, scelta delle parole, lingua, lunghezza, chiarezza sulle informazioni ecc.). Le attività di stesura del rapporto o parti di esso sono suddivise tra i membri del team. La relazione è predisposta in conformità con la pianificazione e il TOR, in versione preliminare, e viene sottoposta a consultazione con l'organizzazione in esame per commenti o correzione di errori. Vi è consenso nel team dei revisori sulla formulazione dei risultati.	P	H	N	H/P	H	H
Chiusura della missione	La relazione viene presentata alla direzione dell'organizzazione coinvolta con una illustrazione chiara dei risultati. Vengono presi accordi su possibili seguiti. Dopo l'adozione, la relazione viene pubblicata. Vengono adempiuti gli accordi finanziari con il paese ospitante e, se necessario, con i membri del team partecipante. La versione finale della relazione viene ufficialmente inviata all'organizzazione esaminata.	H	H	N	H/P	H	H
Follow-up	Sono presi accordi con l'organizzazione esaminata in merito al possibile supporto nello svolgimento di azioni follow-up. Si raccomanda all'organizzazione che ha ospitato la revisione di redigere un piano d'azione. Viene anche proposto di condurre una peer review dopo un periodo da definire per "misurare" i progressi.	H	H	H	L	H	H

8   Conclusioni

8.1   In generale

- Tutte le metodologie di *peer review* e di valutazione esaminate hanno dimostrato di avere un valore pratico.
- La maggior parte delle metodologie ha un proprio target e, in molti casi, destinatari specifici.
- Confrontando le metodologie con le "definizioni operative" delle 10 "dimensioni" individuate, si osserva che la maggior parte delle stesse ha un punteggio H, in alcuni casi P, o H / P, e in un solo caso punteggio L. (vedi classificazione al capitolo 7).
- Questo confronto conferma l'assunto che "non esiste un meccanismo standardizzato di *peer review*, ma tutti gli approcci condividono determinati elementi strutturali".
- L'EIR della Commissione Europea non è in realtà una metodologia di *peer review*, quanto piuttosto una valutazione basata su informazioni e dati disponibili attraverso diverse fonti. Questo è anche il motivo per cui su determinate dimensioni il punteggio equivale a N. Il punteggio N significa quindi che "non è applicabile" per la metodologia esaminata. La metodologia contiene tuttavia elementi utili da tenere in considerazione per l'approfondimento dell'approccio NPRI.
- Se si confrontano i "principi di funzionamento" della NPRI con il riepilogo degli approcci di *peer review* inclusi negli allegati, nonché con le schede tecniche, si può concludere che tutte le metodologie esaminate possono fornire un contributo importante per la progettazione e lo sviluppo della metodologia NPRI su tutte le 10 dimensioni individuate.

8.2   Aspetti esaminati

8.2.1   Obiettivi e ambito di applicazione

- Tutti i metodi di *peer review* e *assessment* studiati prevedono obiettivi chiaramente formulati che sono orientati ad aiutare il soggetto valutato a migliorare i propri processi decisionali, ad adottare *best practices* e a rispettare standard e principi stabiliti. In questo senso, lo sviluppo di capacità e conoscenze (*capacity and knowledge building*) sono aspetti importanti.

8.2.2   Composizione del team di esperti

- La ricerca dimostra che esistono differenze nel modo in cui i team di esperti vengono composti e nel modo in cui gli stessi vengono reclutati. Alcune organizzazioni selezionano i componenti del team sulla base di comprovate conoscenze, come è stato fatto dall'AIEA, altri li selezionano sulla base dei CV ed esperienze (comprovate) sull'argomento (UNECE e OCSE).

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- Nella maggior parte dei casi, la selezione è effettuata dal Segretariato dell'Organizzazione che offre l'attività di peer review, o quantomeno questo soggetto facilita la composizione della squadra e il reclutamento dei membri.
- In alcune situazioni, un paese da sottoporre al riesame può richiedere che un esperto specifico partecipi alla *peer review*. Non è chiaro fino a che punto tali richieste vengano accolte. Non è stata fornita alcuna informazione, in pratica, sulle procedure relative a questo caso, tranne che per la AIEA.
- Il reclutamento dei componenti del team da parte dell'AIEA comprende, quale condizione necessaria, il completamento con esito positivo di un corso di formazione online.
- Dalla ricerca non è possibile osservare se esiste un quadro di valutazione concreto in base al quale i potenziali candidati vengono valutati. In alcuni casi, si ha l'impressione che la selezione dei membri del team si basi elementi di conoscenza pregressa, "*perché lo conosciamo*".

8.2.3 Linee guida

- Tutte le organizzazioni fanno riferimento a documenti di indirizzo più o meno estesi. In alcuni casi si hanno linee guida complete che descrivono in dettaglio l'intero processo di *review* (AIEA), in altri si dispone di guide sui punti principali dello stesso (REPA). Sono disponibili linee guida sulle modalità di esecuzione del processo, inclusi ordini del giorno standard, *check list* per i coordinatori e i membri del team e, ad esempio, per la redazione della relazione.
- Organizzazioni come UNECE, AIEA e IMPEL hanno sviluppato pacchetti informativi con informazioni di base e istruzioni per il team, nonché per l'organizzazione ospitante, in modo che tutte le persone coinvolte possano prepararsi per il riesame.

8.2.4 Quadro di valutazione

- Le organizzazioni riscontrano difficoltà a sviluppare o applicare quadri di valutazione concreti attraverso i quali attribuire un "giudizio di valore" a livello di implementazione della normativa, raggiungimento degli obiettivi, conformità ecc. Sebbene l'ambizione sia di rendere misurabili tali aspetti, in realtà ciò è piuttosto complicato in termini quantitativi.
- La mancanza di indicatori o criteri specifici rimane una sfida per la maggior parte delle organizzazioni. che Sia l'UNECE, la Commissione europea e l'OCSE cercano di attuare miglioramenti attraverso valutazioni regolari.
- Il quadro di valutazione con i 26 descritti requisiti specifici applicati dall'AIEA sembra ben praticabile.
- Le prestazioni di un paese o di un'organizzazione in una determinata area sono principalmente determinate in modo qualitativo. Sebbene questo approccio possa talvolta essere considerato arbitrario, è comunque un buon metodo per conseguire gli obiettivi di miglioramento individuati attraverso il dialogo e lo scambio di conoscenze ed esperienze. Tutti i metodi studiati fanno riferimento a questo approccio.

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8.2.5   Processo

- Tutte le organizzazioni hanno descritto pienamente il processo di *review*. Ampia attenzione è stata data al contenuto di tutte le fasi, alle attività svolte, alla suddivisione delle responsabilità, alla raccolta e condivisione delle informazioni e dei dati, nonché alla tempistica di tutte le fasi del processo.

8.2.5.1 Preparazione

- Tutte le organizzazioni promuovono incontri preparatori con il paese o l'organizzazione in cui verrà condotta la *review*. Durante tali riunioni, tutte le organizzazioni forniscono informazioni sul processo di revisione, portata e durata della missione. Inoltre, l'approfondimento di informazioni da parte dell'organizzazione ospite avviene attraverso la compilazione di questionari.
- L'AIEA chiede all'organizzazione oggetto di revisione di mettere a disposizione una relazione di autovalutazione, il cui format può essere, in una certa misura, comparabile con i questionari utilizzati dalle altre organizzazioni.
- Un elemento interessante della fase di preparazione da parte dell'AIEA è che ciascun componente del team completa una prima valutazione della relazione di autovalutazione e del *"materiale di riferimento avanzato"* (ARM) e presenta al resto della squadra la conseguente analisi, in un intervento di 10 minuti all'inizio della missione. Ciò garantisce che tutti i membri del team abbiano studiato tutto il materiale e siano ben preparati.
- Tutte le organizzazioni formalizzano l'accordo attraverso uno specifico mandato.

8.2.5.2 Valutazione

- Tutte le organizzazioni conducono le valutazioni in modo strutturato, come indicato nella maggior parte delle linee guida disponibili.
- Alcune organizzazioni (UNECE, AIEA e OCSE) suddividono il team in sottogruppi, in base all'argomento oggetto di riesame. In questo modo, i membri del team vengono suddivisi per competenza sulle attività da condurre.
- Quotidianamente, il team effettua una valutazione per approfondire i risultati del giorno e discutere sulle attività del giorno successivo.
- Il lavoro è fatto nell'incontro di reporting serale.

8.2.5.3 Reporting

- Dalla ricerca emerge che esistono diverse di modalità di preparazione delle relazioni. Ciò che accomuna tutte le organizzazioni è il fatto che la relazione viene elaborata durante la missione.
- Alcune organizzazioni suddividono la stesura dei capitoli della relazione tra i diversi membri del team, in base alle competenze su uno specifico argomento.

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- In una organizzazione (IMPEL) viene individuato un membro del team relatore che, in consultazione con coordinatori del team, predispone la bozza di relazione.
- Tutte le organizzazioni condividono, attraverso consultazione, i risultati contenuti nella bozza di relazione con il paese o le organizzazioni oggetto di riesame. In questo modo, viene data loro la possibilità di apportare correzioni in caso di imprecisioni oppure di fornire informazioni aggiuntive, ove necessario.
- le relazioni sono normalmente pubbliche e vengono rese disponibili sul sito Web dell'organizzazione che ha effettuato la *review*. Si tratta di una condizione concordata e registrata nel ToR.
- Le REPA rappresentano un eccezione in questo senso. Gestiscono infatti le relazioni come documenti riservati, e il loro contenuto è principalmente, o solamente, destinato alle organizzazioni esaminate. Possono essere comunque rese pubbliche nell'ambito di rapporti più generali.

8.2.6   Chiusura della missione

- La presentazione formale dei contenuti della relazione al Ministero competente o alla Direzione di un'organizzazione, avviene in modo diverso nei casi esaminati. REPA, IMPEL e AIEA presentano la relazione immediatamente alla chiusura della missione. La versione finale viene poi trasmessa ad esito di eventuali revisioni sulla base delle ultime osservazioni raccolte.
- UNECE e OCSE seguono invece una procedura interna di revisione della relazione da parte di commissioni di esperti con potere di modifica. Dopo l'adozione delle osservazioni formulate dalle commissioni di esperti, il rapporto viene dunque presentato ufficialmente.
- Le REPA predispongono inoltre una relazione generale, anonima, per il loro organo di governo e per il Ministro o Segretario di Stato competente.

8.2.7   Follow-up

- Le modalità attraverso le quali viene dato seguito alle *peer review* sono differenti. Il paese o l'organizzazione valutati dovrebbero dare attuazione alle raccomandazioni sulla base di uno specifico piano d'azione. Tuttavia, ciò non può essere imposto.
- Tutte le organizzazioni si riservano di condurre missioni di follow-up su richiesta dei paesi o delle organizzazioni che sono state oggetto di riesame. L'OCSE prevede un ciclo di follow-up con una successiva review e può effettivamente svolgerlo poiché la sua EPR è obbligatoria. Le altre organizzazioni invece non possono imporre tale obbligo.
- Organizzazioni come l'UNECE incoraggiano il paese o l'organizzazione che sono state oggetto di riesame a fornire informazioni sullo stato di avanzamento dell'attuazione delle azioni previste in seguito alla review. Tale approccio include anche un successivo ciclo di riesame delle prestazioni.
- L'AIEA effettua riesami di follow-up e li esegue su richiesta di un paese o in seguito a contatti bilaterali con il rispettivo paese.

- IMPEL può eseguire una riesame di follow-up e ha peraltro una certa esperienza in tal senso. Tuttavia, tale approccio non è stato istituzionalizzato all'interno di IMPEL e dei suoi membri.
- Alcune organizzazioni si riservano di supportare il paese o l'organizzazione valutati nell'attuazione delle raccomandazioni. Si osserva però che tale supporto non è adeguatamente istituzionalizzato all'interno delle organizzazioni che conducono le review. Lo strumento *peer to peer* TAIEX, tuttavia, offre supporto attraverso una rete di esperti, attuabile su richiesta.
- Tutte le organizzazioni indicano che sono valutate missioni singole e cicli di missioni finalizzati a migliorare i processi studiati.

9.0 Raccomandazioni

Si raccomanda che il team di progetto NPRI approfondisca il contenuto e il risultato dello studio preliminare. In particolare, la discussione dovrebbe concentrarsi su:

- È necessario rivedere i principi di funzionamento di una NPRI illustrati al paragrafo 5.2?
- Come potrebbe evolversi la metodologia NPRI e in che modo i risultati di questo studio possono aiutare nella sua progettazione?

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Abbreviazioni

NPRI	–	National Peer Review Initiative
IMPEL	–	European Union Network for the Implementation and Enforcement of Environmental Law
IRI	–	IMPEL Review Initiative
OCSE	–	Organizzazione per la cooperazione e lo sviluppo economico
AIEA	–	Agenzia internazionale per l'energia atomica
UNECE	–	Commissione economica per l'Europa delle Nazioni Unite
TAIEX	-	Technical Assistance and Information Exchange
EPR	–	Environmental Performance Review
UE	–	Unione Europea
EIR	–	Environmental Implementation Review
REPA	–	Regional Environmental Protection Agency
EPREV	–	Emergency Preparedness Review

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Schede informative

Test collegiali delle Agenzie Regionali per la Protezione dell'Ambiente (REPA) dei Paesi Bassi

Obiettivi e ambito di applicazione	L'obiettivo dei test collegiali realizzati dalle REPA è lo scambio di conoscenze e l'apprendimento reciproco al fine di migliorare la qualità dell'organizzazione, come previsto nel cosiddetto regolamento sui criteri di qualità. In particolare, l'attenzione si concentra sui temi "Autorizzazione, Sorveglianza e Controllo".
Composizione del team di esperti	• I team di revisione sono composti da uno staff di 3 REPA impiegati nel riesame di un'altra REPA. • Non esistono requisiti stabiliti o documentati per i revisori in termini di background, competenza ed esperienza.
Linee Guida	• E' disponibile, ad uso degli intervistatori, un sintetico manuale focalizzato in particolare sugli aspetti "preparazione, discussione, relazione e feedback". • E' inoltre messa a disposizione degli intervistatori una check list.
Quadro di valutazione	• Il quadro di valutazione è chiaro, documentato e formalizzato in un "Regolamento Criteri di Qualità" contenete principi per monitorare la solidità dell'organizzazione e le conoscenze e competenze del personale. • Le REPA decidono su quali parti di questo quadro incentrare la revisione. Ciò viene gestito in modo flessibile, concentrandosi su specifici aspetti prioritari. • La scelta dell'ambito cui porre l'attenzione viene presa a livello di organizzazione generale della REPA, come decisione congiunta. • Oltre all'ambito di attenzione concordati congiuntamente, una REPA oggetto di revisione è libera di individuare un argomento proprio e "libero" da includere nella *peer review.*
Processo:	• Il processo del test collegiale è descritto sinteticamente e in termini generali. • Si fa riferimento alla metodologia su cui si basa il test collegiale (IRI IMPEL e l'uso dei "big-8). • Si fa riferimento agli elementi del regolamento sui criteri di qualità, o almeno agli argomenti su cui si concentra la CT.
• *Preparazione*	• Le decisioni sull'ambito della review e sui focus sono presi al "livello nazionale" delle REPA. • Viene composto un team di revisione e vengono presi accordi su date, tempistiche e logistica. • La REPA oggetto di riesame compila un questionario, contenente 6 argomenti standard con domande correlate che coprono obiettivo, processo, pianificazione e i punti da svolgere per completare il test collegiale.
• *Valutazione*	• Il team di revisione utilizza il questionario compilato come base per le interviste, raccoglie informazioni e assegna un valore alle informazioni raccolte in relazione ai requisiti applicabili. • La valutazione è supportata da un programma di lavoro standardizzato, per garantire un processo strutturato.

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• *Relazione*	• Ogni test collegiale predispone una relazione sulla base dell'esito del questionario e delle interviste, contenente un'analisi di tutti i risultati, evidenziando inoltre le possibili opzioni di miglioramento.
Chiusura della missione	• La relazione (riservata) viene presentata alla direzione della REPA. • Viene predisposta inoltre una relazione di sintesi contenente risultati, conclusioni e raccomandazioni generali, destinata a tutti i consigli di amministrazione delle REPA e al Segretario di Stato responsabile per l'ambiente.
Follow-up	• Dopo ogni ciclo, le REPA coinvolte valutano congiuntamente la peer review collegiale nell'ambito di un incontro dedicato, con l'obiettivo di migliorare lo strumento individuando "cosa è andato bene e cosa può essere migliorato" quali elementi utili per l'implementazione della metodologia relativa al ciclo successivo.

Emergency Preparedness Review – EPREV (Revisione della Capacità di Reazione In Emergenza) dell'Agenzia internazionale per l'energia atomica (AIEA)

Obiettivi e ambito di applicazione	L'obiettivo e il campo di applicazione di EPREV sono molto chiari: valutare l'attuazione, nella pratica, pratica delle disposizioni in materia di preparazione alle emergenze radiologiche. La revisione esamina tutti gli aspetti della strutturazione predisposta e "giudica" se i requisiti relativi a tale strutturazione sono soddisfatti. La revisione facilita anche lo scambio di esperienze in termini di "buone pratiche" e fornisce indicazioni ai paesi di accoglienza sull'attuazione di "suggerimenti e raccomandazioni".
Composizione del team di esperti	• Il Segretariato dell'AIEA compone un gruppo internazionale di esperti, comunque tenendo conto delle richieste del paese che ospita la review circa il coinvolgimento di esperti con esperienza internazionale. • La nomina nel gruppo viene effettuata dall'AIEA in stretta consultazione con il paese ospitante e il CV degli esperti deve essere inviato anticipatamente; esso successivamente viene valutato dall'AIEA. • La valutazione dei candidati membri del team è basata sui loro pregressi, l'esperienza in settori specifici correlati alla Peer Review e l'esperienza in questa pratica. • I candidati membri del team, al fine di essere effettivamente utilizzati nelle attività, devono sottoporsi a una formazione e test attraverso strumenti Web. Tale requisito è necessario. Il test, se completato con successo, produrrà una certificazione. Il materiale da utilizzarsi per la formazione, come manuali e linee guida, ecc., è precedentemente messo a disposizione dei candidati membri del team. • I candidati membri del team devono consegnare un "certificato di buona condotta" e un certificato medico. • Se il candidato viene accettato, verrà stipulato "contratto AIEA" a tempo determinato e verrà concordato il pagamento a copertura delle spese. • È necessario firmare un "accordo di riservatezza".
Linee guida	• Sono rese disponibili e condivise in anticipo con i membri del team apposite linee guida, così come il materiale di riferimento contenente i requisiti nella materia oggetto della revisione che devono essere implementati dai paesi e dalle loro autorità responsabili. • Sono anche rese disponibile ai membri del team linee guida sulla raccolta di informazioni, la verbalizzazione dei risultati, la comunicazione, ecc. Anche nelle presentazioni fornite ai membri del team sono incluse linee guida.
Quadro di valutazione	• L'AIEA utilizza nella propria metodologia EPREV un chiaro quadro di valutazione contenente 26 criteri, basato sud dei *set* di requisiti di sicurezza. Questi requisiti hanno un riscontro nelle *Safety Guides* ufficiali. Tali 26 criteri sono gli elementi sulla base dei quali viene verificata la conformità del paese e delle sue autorità responsabili. • I risultati dell'attività sono distinti in: suggerimenti, raccomandazioni e buone pratiche ed è predisposto un chiaro schema descrittivo e relazionale tra le valutazioni che sono ricondotte a tali categorie. • I risultati si basano su evidenze (documentazione, interviste) e i membri del team effettuano un controllo incrociato attraverso discussioni e conseguentemente inquadrati come: o un suggerimento, una raccomandazione o una buona pratica.
Processo:	Il processo è accuratamente descritto e documentato in manuali, linee guida e schemi. Vengono fissati i tempi per le diverse fasi dell'intero processo, inclusi reportistica e consultazione.

• *Preparazione*	• Si tiene una riunione preparatoria *in presenza* per discutere e concordare un ToR (Piano Operativo) (compresi ambito della *review*, tempistica, durata della missione, pianificazione ecc.).
	• Il paese ospitante completa un rapporto di autovalutazione, che viene caricato su un file condiviso tramite il sito Web EPREV
	• Il materiale di riferimento avanzato (ARM) è condiviso dal paese ospitante
	• I membri del team effettuano un primo esame del rapporto di autovalutazione e ARM e presentano la loro analisi in un intervento di 10 minuti all'inizio della missione. Ciò garantisce che tutti i membri del team abbiano studiato tutto il materiale e siano ben preparati.
• *Valutazione*	• La raccolta delle informazioni deve essere effettata secondo uno schema chiaro (definito in apposita documentazione) così come le indicazioni connesse.
	• Il team di revisione è articolato in team secondari. Ogni sottogruppo prepara la propria valutazione in base agli argomenti assegnati ed agli argomenti toccati nei colloqui
	• Le riunioni giornaliere del team si svolgono alla fine della giornata di lavoro, con lo scopo di discutere i risultati della giornata, effettuare verifiche incrociate, discutere il piano per il giorno successivo e discutere la trasposizione dei risultati nel progetto di rapporto in elaborazione.
• *Relazione*	• Esistono indicazioni chiare (definito in apposita documentazione) sulla redazione del rapporto (formato, contenuto, stile, lunghezza); queste indicazioni sono oggetto di formazione e sono disponibili anche in forma scritta.
	• Il team leader e il coordinatore dell'AIEA lavorano con continuità sul rapporto.
	• Il progetto di relazione è condiviso con i funzionari del paese ospitante per consultazione e (se necessario) chiarimenti.
	• La procedura di elaborazione, revisione devono essere chiari così come la distinzione tra ruoli e responsabilità.
Chiusura della missione	• Presentazione delle conclusioni derivanti dai risultati della missione a rappresentanti di alto livello del paese ospitante.
	• All'evento di presentazione finale partecipa un rappresentante di alto livello dell'AIEA
	• Il rappresentante di alto livello del paese ospitante, il rappresentante dell'AIEA e leader del team EPREV rispondono alle domande nel corso di una conferenza stampa.
Follow-up	• Dopo la presentazione del rapporto finale, il paese ospitante redigerà e completerà un piano d'azione.
	• Il paese ospitante è invitato a concordare una data provvisoria per una missione di follow-up (formalmente su richiesta del paese).
	• Il paese ospitante informa tra l'AIEA sullo stato di avanzamento dell'esecuzione del piano d'azione.

Environmental Implementation Review - EIR (Revisione della Implementazione della Normativa Ambientale) della Commissione Europea

Obiettivi e ambito di applicazione	L'obiettivo generale della Revisione dell'Implementazione della Normativa Ambientale (EIR) è sostenere la realizzazione degli obiettivi delle politiche e della legislazione ambientale vigenti nell'UE e migliorare le conoscenze comuni sui *gap* esistenti rispetto alla attuazione della normativa dell'Unione in ciascuno Stato membro, oltre fornire nuove soluzioni complementari all'applicazione della legge.
Composizione del team di esperti	Le EIR sono svolte da personale della Commissione, occasionalmente con l'assistenza di consulenti. La revisione non è una *peer review*, tuttavia nell'esecuzione della valutazione vengono utilizzati alcuni metodi simili a quelli utilizzati nelle *peer review*. Per supportare e assistere i paesi nell'affrontare le criticità e applicare le raccomandazioni formulate a seguito dell'EIR, è stato istituito lo strumento peer-to-peer TAIEX. Attraverso questo strumento, esperti o team di esperti assistono i paesi su loro richiesta. La selezione dei membri del team TAIEX PtoP viene effettuata dall'Organizzazione responsabile all'interno della Commissione, sulla base delle adesioni di esperti internazionali all'elenco istituito con lo strumento TAIEX. La Commissione decide quale esperto sarà incaricato e per quale tipologia di supporto ad un paese.
Linee guida	
Quadro di valutazione	- Una prima serie di EIR ha rivelato la necessità di solide metodologie per valutare gli aspetti della governance ambientale. - È stata espressa una chiara necessità di dati e informazioni rilevanti. - L'IEEP (Istituto per la politica ambientale europea) ha condotto un progetto finalizzato a sviluppare una metodologia, un quadro di valutazione per il riesame delle prestazioni di governance ambientale delle pubbliche amministrazioni in ognuno degli Stati membri dell'UE. - L'IEEP ha modificato e strutturato 5 dimensioni della governance ambientale: trasparenza, partecipazione, accesso alla giustizia, garanzia di conformità, efficacia ed efficienza. - All'interno di queste 5 dimensioni, vengono identificati 21 temi e un tema trasversale su "contesto e caratteristiche della governance ambientale". - È stata individuata una serie di domande con relativi indicatori che costituiscono la base della valutazione delle caratteristiche di governance ambientale e delle prestazioni negli Stati membri dell'UE. - Il successivo ciclo si basa sul quadro di valutazione sviluppato e contiene 3 livelli: 1) aggregazione al livello delle cinque dimensioni; 2) aggregazione a livello di temi (sub-dimensioni); 3) indicatori individuali o criteri di valutazione per tematica.
Processo:	- Il processo dell'EIR è diverso dall'approccio peer review. - Primo ciclo: le relazioni EIR sono redatte dalla Commissione sulla base di informazioni disponibili pubblicamente (e revisionate dopo aver consultato gli Stati membri).

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	• Secondo ciclo: le bozze di relazione EIR sono predisposte sulla base di informazioni disponibili pubblicamente e ricorrendo al quadro di valutazione revisionato. • Gli Stati membri hanno la possibilità di fornire riscontri sulle bozze della valutazione, di commentare o correggere errori materiali, rispondere a richieste specifiche con informazioni aggiuntive, di mettere a disposizione ulteriori informazioni considerate rilevanti. • Vengono organizzati 3 seminari con i funzionari degli Stati membri, e altre parti interessate, per discutere il quadro di valutazione in bozza e le metodologie correlate.	
• *Preparazione*	N.A.	
• *Valutazione*	N.A.	
• *Relazione*	• Le relazioni sono predisposte dalla Commissione (assistita da consulenti esterni). • Gli Stati membri sono stati consultati per la correzione di errori o per la fornitura di informazioni aggiuntive.	
Chiusura della missione	Ogni relazione è discussa tra lo Stato membro e la Commissione europea, allo scopo di individuare modi per superare i *gap* rilevati e per la fornitura di assistenza (ad es. Tramite lo strumento TAIEX P2P)	
Follow-up	Il processo EIR viene eseguito ogni due anni. I paesi sono invitati a lavorare sulle ctiticità relative alla implementazione della normativa tra un ciclo e l'altro.	

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IMPEL Review Initiative (IRI)

Obiettivi e ambito di applicazione	L'IRI riunisce un team di esperti tecnici e professionisti per il riesame dei processi e delle procedure adottate delle autorità ambientali dei paesi membri IMPEL con l'obiettivo di individuare buone pratiche, *best practice* e "opportunità di sviluppo". Si tratta di aree nelle quali il team di revisione suggerisce miglioramenti basati su opportunità di sviluppo e buone pratiche rilevate in altri paesi europei.	
Composizione del team di esperti	- Il team di esperti internazionali è composto dagli "*ambasciatori* dell'IRI"; - Il processo di reclutamento non è, di fatto, completamente trasparente. - Un pacchetto informativo sull'IRI fornisce informazioni su ruoli e responsabilità, nonché sulle qualifiche dei membri del team. - Gli esperti coprono le tematiche dell'autorizzazione, sorveglianza e controllo e devono disporre di rilevanti competenze nelle aree delle politicy, tecniche e organizzative.	
Linee guida	- Un paese può richiedere un IRI attraverso il sito Web di IMPEL, nel quale sono riportate le indicazioni per la formulare la domanda. - IMPEL ha sviluppato un pacchetto di informazioni con indicazioni sull'organizzazione di un IRI. - Il manuale IMPEL "Fai la cosa giusta" fornisce una guida per la conduzione dell'IRI. - È disponibile una check list per i coordinatori dei team IRI.	
Quadro di valutazione	- L'IRI è concepito in modo da effettuare il riesame dell'autorità ambientale rispetto ai requisiti della Raccomandazione del Parlamento europeo e del Consiglio (2001/331 / CE) che prevede criteri minimi per le ispezioni ambientali (RMCEI), IED, SEVESO e la direttiva sui rifiuti. - Il Manuale IMPEL "Fai la cosa giusta" supporta le autorità nell'esecuzione del proprio mandato e su come soddisfare i requisiti.	
Processo:	Il processo è accuratamente descritto e documentato nel pacchetto informativo IRI, nonché sul sito web IMPEL.	
• *Preparazione*	- Prima dell'IRI, si tiene una riunione preparatoria per discutere la missione e concordare l'ambito di applicazione. - A seguito dell'incontro e della consultazione, viene redatto un ToR (compresi ambito, tempistica, durata della missione, pianificazione). - Viene compilato un questionario da parte dall'autorità, che verrà esaminato in anticipo e condiviso con il team di revisione. - Prima della missione (la sera prima) il team dell'IRI si incontra e discute aspettative, obiettivi e aspetti pratici.	

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• *Valutazione*	• L'autorità ospitante effettua una presentazione dei risultati del questionario e di altre informazioni rilevanti che ritiene di condividere. • Viene approfondito il contenuto del questionario e vengono raccolti i risultati. • Ogni giorno, il team discute i risultati in preparazione della bozza di relazione.	
• *Relazione*	• La bozza di relazione è predisposta da un relatore, in stretta collaborazione con il gruppo. • L'ultimo giorno della missione, viene discussa con l'ospite una bozza di progetto del rapporto e successivamente viene finalizzata. • A conclusione della missione, la relazione viene presentata all'alta direzione dell'ospite.	
Chiusura della missione	• La versione finale della relazione è discussa dal team di esperti IMPEL responsabile delle attività e inviata, per l'approvazione, all'Assemblea Generale di IMPEL. • La versione finale della relazione viene ufficialmente inviata all'autorità. • La relazione viene pubblicata sul sito web IMPEL.	
Follow-up	• L'organizzazione esaminata dovrebbe dare seguito alle opportunità di sviluppo incluse nel rapporto. • Un secondo IRI può essere richiesto in una fase successiva, per verificare fino a che punto sono state implementate le opportunità di sviluppo. • IMPEL non ha un vero meccanismo di supporto collegato all'IRI per assistere i paesi e/o le organizzazioni nell'attuazione dei risultati dell'IRI.	

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Environmental Performance Review - EPR (Revisione delle Prestazioni Ambientali) dell'UNECE

Obiettivi e ambito di applicazione	L'obiettivo dell'EPR dell'UNECE è chiaro: sviluppare raccomandazioni che aiutino lo Stato destinatario della *review* a "migliorare il processo di elaborazione delle politiche, adottare le migliori pratiche e rispettare gli standard e i principi stabiliti. Le EPR valutano lo stato generale di salute e ambiente di un paese, i suoi sforzi per ridurre l'inquinamento, gestire le risorse naturali e attuare politiche in campo di salute e ambiente. L'attenzione è rivolta alle Economie in Transizione.
Composizione del team di esperti	- Il segretariato ECE EPR riunisce un team di revisione EPR. - Ciò comporta l'organizzazione degli aspetti finanziari e l'assegnazione di esperti competenti all'EPR. - La maggior parte dei team di revisione EPR è composta da esperti forniti dagli Stati membri dell'ECE e da organizzazioni internazionali, dai membri del personale dell'ECE e da consulenti. prima della decisione finale vengono richiesti e condivisi i CV. Sulla base della valutazione dei CV, vengono selezionati gli esperti. - L'obiettivo è quello di istituire il team di revisione 2-3 mesi prima della missione di revisione EPR. - Il team è progettato in modo che a ogni membro vengano assegnate responsabilità descritte in specifici ToR per la produzione di un certo numero di capitoli standard della relazione.
Linee guida	- Il team di revisione EPR dispone di linee guida, in particolare del "Manuale per esperti internazionali", contenente le indicazioni sul lavoro che deve essere prodotto dagli esperti, sul processo della missione, sulle scadenze per la presentazione dei risultati. - E' inoltre messa a disposizione dei membri del team una guida specifica sul processo di redazione e sullo stile di scrittura da adottare.
Quadro di valutazione	- Il programma distingue tre tipi di EPR, partendo da un EPR di base (primo ciclo), seguito da una valutazione dei progressi compiuti nel campo dell'implementazione della normativa (secondo ciclo) e come terzo ciclo, con particolare attenzione alla governance ambientale, ai finanziamenti e alla Cooperazione. Gli EPR comprendono valutazioni dei risultati rispetto alle politiche, agli standard e agli impegni nazionali e internazionali. 1° ciclo: condizioni di base consolidate per quanto riguarda le tendenze, gli impegni politici, gli accordi istituzionali e le capacità ordinarie per l'esecuzione delle valutazioni nazionali. 2° ciclo: focus su particolari problemi individuati nel paese e sull'attuazione delle raccomandazioni di cui al primo ciclo. 3° ciclo: focus sulla governance ambientale e sul finanziamento in un contesto di economia verde, cooperazione dei paesi con la comunità internazionale e integrazione della tematica ambientale nei settori prioritari.
Processo:	- Il processo dell'EPR è accuratamente descritto e documentato per quanto in termini di politiche, rapporti e manuali. Vengono fissate le tempistiche per le diverse fasi dell'intero processo, comprese le relazioni e le consultazioni. - L'EPR ha un approccio graduale diviso in 6 fasi principali, in cui ogni fase consiste in una serie di attività e risultati che devono essere raggiunti da parte di vari attori: Preparazione; Missione della Review; Review da parte di esperti; Peer Review; Pubblicazione della relazione; Diffusione della pubblicazione.
• *Preparazione*	Viene nominato un coordinatore nazionale del paese destinatario della Review.

		• Viene costituito un team di revisione tra pari.
		• L'ambito di riesame viene definito e discusso con il paese soggetto a review.
		• Viene redatto e rivisto un TOR, contenente l'ambito di riferimento, la durata, le informazioni da fornire, ecc.
		• Viene svolta una missione di preparazione, con l'obiettivo di informare i responsabili decisionali e gli esperti del paese che ospiterà la review sul processo, i ruoli e le responsabilità.
		• Si raggiunge un accordo con il paese in esame su tutti gli elementi del ToR, compresa la fornitura di informazioni da parte del paese stesso.
		• Vengono raccolte informazioni e dati.
		• Ogni esperto prepara un questionario dedicato su argomenti specifici connesso al capitolo della revisione assegnato.
		• I membri del team elaborano domande specifiche in base all'esito del questionario, come contributo alle interviste con le organizzazioni coinvolte.
• *Valutazione*		• Inizia con una riunione plenaria del gruppo di revisione con gli esperti nazionali e i rappresentanti delle organizzazioni del paese in esame.
		• Esperti nazionali svolgono presentazioni sulle criticità ambientali, stato dell'arte delle politiche ambientali e assetto normativo.
		• sono organizzati incontri con le ONG ottenere nformazioni su situazioni di interesse e criticità in essere.
		• Sono organizzate consultazioni con esperti nazionali per colloqui e verifiche.
		• Gli esperti scrivono le bozze dei capitoli loro asssegnati.
• *Relazione*		• Il team elabora le bozze di relazioni sulla base dei singoli contributi relativi ai vari capitoli.
		• La bozza completa della relazione viene condivisa con il paese in esame che ha la possibilità di commentare e correggere le informazioni. La bozza non è finalizzata sino a che il paese in esame non ha rilasciato il suo consenso.
		• I risultati della revisione degli esperti, inclusa nella bozza di relazione, sono presentati alla commissione per le politiche ambientali, che con l'occasione formula commenti e pone quesiti.
		• Dopo l'adozione formale delle conclusioni e delle raccomandazioni, la relazione viene infine approvata
Chiusura della missione		• Dopo aver raggiunto un accordo sui risultati e sulle raccomandazioni, la relazione viene presentata al paese che è stato oggetto di riesame e a tutte le organizzazioni coinvolte.
		• Una volta disponibile la versione stampata del rapporto, lo stesso viene presentato nella capitale del paese oggetto di riesame.
		• L'UNECE rilascia un comunicato stampa speciale in occasione della pubblicizzazione della relazione.
Follow-up		• Dopo la presentazione della relazione finale, il paese revisionato dovrebbe presisporre iniziative per redigere e completare un piano d'azione.
		• Viene valutato il processo di peer review e, sulla base dell'esito della valutazione, viene revisionata la metodologia da adottare per il ciclo successivo

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Peer Review dell'Organizzazione per la cooperazione e lo sviluppo economico (OCSE)

Obiettivi e ambito di applicazione	L'obiettivo dell'Environmental Performance Review (EPR) dell'OCSE è molto chiaro e documentato. L'obiettivo principale è quello di aiutare i paesi membri a migliorare le loro prestazioni, individuali e collettive, nella gestione ambientale e verificare in che misura soddisfano i requisiti delle politiche concordati a livello nazionale e internazionale.
Composizione del team di esperti	• Il Segretariato responsabile dell'OCSE riunisce il team di revisione, composto da esperti di 3 paesi che effettueranno la review, personale dell'OCSE e alti consulenti. Occasionalmente partecipano anche osservatori di paesi non membri e/o organizzazioni internazionali. Gli esperti dei 3 paesi membri dell'OCSE sono coinvolti per assicurare trasparenza e per la loro inestimabile esperienza.
Linee guida	• L'OCSE fornisce orientamenti ai membri del team su ruoli e responsabilità, reporting e valutazione.
Quadro di valutazione	• Il paese in esame sarà valutato in base a principi, criteri e norme che possono includere: raccomandazioni e orientamenti sulle politiche; indicatori e valori di riferimento specifici (ambientali); principi giuridicamente vincolanti; norme contenute nella legislazione nazionale del paese. • Un quadro di riferimento è contenuto nella "Strategia ambientale dell'OCSE per il primo decennio del XXI secolo". • Valutazione: deve essere ulteriormente aumentata la standardizzazione della metodologia, così come deve essere ulteriormente sviluppato il set di indicatori ambientali esistente.
Processo:	• Il processo di peer review dell'OCSE è chiaramente scritto e documentato, con modalità distinte per le diverse tipologie di peer review, tra cui il riesame delle prestazioni ambientali. • Vengono impostate chiare sequenze temporali sulle principali attività.
• *Preparazione*	• Il profilo della Peer review viene elaborato dal Segretariato dell'OCSE in consultazione con il paese in esame. • Viene costituito il team di revisione. • Il Segretariato avvia la raccolta delle informazioni in collaborazione con il paese in esame, nonché la raccolta di dati esterni e interni. • Tutti i membri del team hanno accesso alle informazioni per acquisire familiarità con l'organizzazione da esaminare. • Ogni esperto è invitato a preparare una serie di temi di discussione da utilizzare quale ordine del giorno.
• *Valutazione*	• Il team di revisione si riunisce con i rappresentanti governativi e non governativi ed effettua approfondimenti su aspetti connesse ai temi di discussione predisposti. • Se necessario, vengono effettuate visite in sito, nel caso in cui questo aggiunga valore alla Peer Review.
• *Reporting*	• Ogni membro del team prepara nel corso della missione una prima bozza di un capitolo del rapporto. In uno step successivo, il team di revisione e il Segretariato predispongono una bozza complessiva della relazione. • La bozza di relazione viene fatta circolare presso tutti gli esperti di revisione e tutte le parti interessate dell'OCSE per osservazioni e commenti. • Una apposita Struttura di lavoro sulle prestazioni in campo ambientale (Working Part on Environmental Performance - WPEP) discute e rivede la bozza di relazione. Se le conclusioni o le raccomandazioni richiedono delle modifiche, la relazione viene rivista dal Segretariato e approvata dal WPEP.

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Chiusura della missione	• La relazione approvata viene pubblicata sotto la responsabilità del Segretario generale dell'OCSE.
	• Il paese oggetto della review organizza una conferenza stampa con la partecipazione dell'OCSE.
Follow-up	• Tutti i gli esaminati vengono sottoposti a un secondo ciclo per valutare i progressi compiuti dopo la prima revisione.
	• Viene effettuata una valutazione del processo, della metodologia ecc., per aumentare la standardizzazione; la valutazione rappresenta l'input per il ciclo successivo.

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AGENZIE REGIONALI PER LA PROTEZIONE DELL'AMBIENTE (REPA) IN OLANDA

La sorveglianza è l'imposizione delle norme di legge (enforcement) nelle attività di protezione dell'ambiente sono argomenti complessi e ad elevato contenuto tecnico per gli organi amministrativi periferici, come i comuni, le province e le autorità compenti nel settore idrici. Per essere in grado di svolgere correttamente questi compiti, è stata sviluppata una nuova organizzazione sotto forma di servizi ambientali.

29 Agenzie Regionali di Protezione Ambientale (REPA) sono incaricate dalle amministrazioni periferiche (comuni e province) di produrre autorizzazioni, sorveglianza e svolgere attività di enforcement nel campo della protezione dell'ambiente. Il REPA lavora costantemente al miglioramento del loro modo di lavorare e dei processi e mira a soddisfare i requisiti per i criteri di organizzazione e di processo stabiliti nelle normative applicabili. Uno strumento importante per ottenere il miglioramento è l'uso di una revisione tra pari come verifica collegiale.

In questo documento (Allegato I) viene descritto l'approccio della revisione tra pari (peer review) come prova collegiale da parte della REPA.

Riconoscimenti

Il presente allegato, commissionato da IMPEL e condotto dal team di progetto NPRI (National Peer Review Initiative), è stato preparato come parte di uno studio che paragona metodi di peer review, con l'obiettivo di sviluppare un approccio alla peer review che può essere utilizzato da paesi e autorità competenti quale contributo nel processo di miglioramento.

Il team NPRI desidera ringraziare l'Associazione olandese "Omgevingsdienst.nl" e le Agenzie regionali per la condivisione di informazioni sulle loro metodologie e la relativa documentazione sulle revisioni tra pari effettuate da loro nel contesto di una "verifica collegiale".

Disclaimer

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Indice

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1.0 Regional Environmental Protection Agencies in the Netherlands

1.1 Organizzazione

La sorveglianza e *l'enforcement* nelle attività di protezione dell'ambiente risultano, per gli organi amministrativi periferici come i comuni, le province e le autorità del comparto idrico, temi complessi anche a causa del loro elevato contenuto tecnico. Per essere in grado di svolgere correttamente le funzioni assegnate, è stata sviluppata una nuova organizzazione a loro supporto, sotto forma di servizi ambientali.

Dal 1° luglio 2014, è stato istituito un sistema nazionale di 29 Agenzie Regionali per la Protezione dell'Ambiente (REPA), raccolte in un'Associazione nazionale. La loro missione è migliorare, attraverso la loro azione di supporto tecnico, la qualità delle autorizzazioni, della sorveglianza e *dell'enforcement* in tutta l'Olanda.

Le 29 REPA sono incaricate dalle amministrazioni periferiche richiamate di fornire autorizzazioni, di svolgere sorveglianza e azioni di enforcement, in campo ambientale. Alcune Agenzie svolgono compiti ulteriori, come la sorveglianza in edilizia, nell'industria chimica o di fornire consulenza, ad esempio sui temi dell'energia o della natura. Le REPA dispongono di competenze in tali campi.

In questo modello, i comuni e le province mantengono le loro competenze, ma *l'enforcement* è affidata alle REPA.

1.2 Compiti e responsabilità

I seguenti "compiti di base" sono stati trasferiti dai comuni e dalle province alle Agenzie regionali:

- monitoraggio ambientale e vigilanza sulle attività assoggettate ad autorizzazioni ambientali "complesse"
- istruttoria nel processo decisionale in merito agli stabilimenti che popvocano un impatto sull'ambiente;
- enforcement in strutture complesse impattanti sull'ambiente

e

- vigilanza sulle norma ambientali provinciali.

Sulla base di specifici mandati, una REPA ha l'autorità di agire per conto l'organo amministrativo. L'organo amministrativo resta tuttavia responsabile per le relative azioni e decisioni. Il Consiglio dei Sindaci e degli Assessori (per i comuni) e il Consiglio provinciale (per la Provincia) possono quindi "esternalizzare" tali attività ma ne rimangno, anche in questo caso, responsabili.

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2.   Peer Review nelle REPA

2.1   Il perché delle Peer Review nelle Agenzie Regionali

La qualità è uno dei valori fondamentali nelle organizzazioni. Le REPA sono state create per migliorare la qualità delle prestazioni di "autorizzazione, sorveglianza ed *enforcement*". E' stata sviluppata una serie di criteri di qualità, inclusa nel cosiddetto "Regolamento sui criteri di qualità" a presidio della solidità delle organizzazioni e la conoscenza e competenze dei propri dipendenti. Contribuiscono alla qualità anche la standardizzazione dei processi, la progettazione di punti focali e centri di riferimento delle conoscenze, nonché il miglioramenti derivanti dalla tecnologia dell'informazione.

Questi sono in effetti tutte le precondizioni e strumenti per un aumento effettivo quella qualità. Nel 2016, sei REPA hanno avviato un progetto pilota per valutarsi reciprocamente sull'attuazione dei criteri di qualità, effettuando una "*Peer Review collegiale*". Tale Peer Review collegiale è uno strumento in cui i colleghi si verificano, scambiano conoscenze e imparano reciprocamente. Lo scopo è di promuovere la qualità della realtà delle organizzazioni in modo positivo e stimolante. La valutazione collegiale può essere un elemento aggiuntivo ai sistemi di qualità interni. Non è un audit o una visita da parte di un organo ispettivo o di un ente di certificazione.

2.2   Attività pilota nel 2016 e follow-up

Sei REPA hanno creato due squadre, costituite da tre REPA. Per ognuna delle squadre, due REPA hanno visitato la terza REPA e condotto colloqui. le REPA hanno lavorato su due temi, un tema definito a priori e un tema a scelta. Stabilito in consultazione con la REPA coinvolta, il tema predefinito garantiva che l'attività raggiungesse una massa critica nell'organizzazione delle attività. Il secondo tema era un tema a libera scelta. Questo poteva essere un approfondimento del tema prioritario o di altri argomenti su cui una REPA esprime un'esigenza o che vorrebbe condividere o valutare in modo congiunto. La giornata di lavoro è stata poi completata con una presentazione dei risultati e delle esperienze e con una riflessione sulla REPA valutata. È stato redatto un rapporto e inviato al servizio ospitante.

Le attività sono state condotte turnando tra le tre REPA di ognuna delle due squadre, e, alla fine, ogni REPA è stata visitata e intervistata una volta. Le serie pilota sono state completate alla fine del 2016, ed è stato contemporaneamente definito un piano per il lancio nazionale dello strumento. Le sei REPA pilota, che hanno ottenuto benefici in termini di apprendimento reciproco, ma sono state anche invitate a esprimere la loro opinione sullo strumento, sui risultati ottenuti, sugli aspetti relativi alla comunicazione e su possibili miglioramenti da introdurre.

Dal 2016, le 29 REPA olandesi organizzano revisioni collegiali tra pari ogni anno. Iniziato come attività pilota oggi tale attività è divenuta un presidio stabile. I colleghi di diverse regioni svolgono così regolarmente attività di revisione tra pari con colleghi di altre regioni.

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3.   Requisiti regolamentari sulla qualità

La legislazione ambientale contiene regole, elaborate in base a criteri di qualità, alle quali i governi devono attenersi quando rilasciano autorizzazioni e svolgono attività di sorveglianza e azioni per il ripristino della conformità, ove necessario. Queste regole sono definite per garantire chiarezza, qualità e omogeneità. I requisiti per la definizione di questi criteri di processo sono stabiliti, a livello normativo, nell'Atto sulle Disposizioni Generali in tema di Diritto Ambientale (Wabo) e nelle relative misure amministrative generali (decreto legge ambientale - Bor) e nel decreto legge ministeriale ambientale (Mor)).

Per sostenere le province ed i comuni a tale riguardo, le associazioni olandesi delle province (IPO) e dei comuni (VNG) hanno elaborato il "Modello di regolamento sulla qualità delle autorizzazioni, la sorveglianza e l'enforcement della normativa ambientale". Tale modello di regolamento non rappresenta di per sè stesso un requisito sostanziale di qualità, ma fa riferimento a una serie di criteri di qualità. Questa serie di criteri chiarisce quale livello di qualità devono attendersi cittadini, aziende e istituzioni, ma anche i governi stessi, nel campo delle autorizzazioni, della sorveglianza e dell'enforcement.

I criteri di qualità sono linee guida per predisporre quanto necessario nelle organizzazioni in modo tale che sia possibile raggiungere livelli di qualità nell'erogazione delle proprie funzioni. Essi rappresentano i cosiddetti *criteri di processo*. I criteri di processo descrivono i requisiti applicabili nel ciclo globale della policy ambientale, il ciclo "*Big-8*":

Il Big-8 collega le Agenzie ambientali ai suoi committenti in una relazione reciprocamente dipendente. È un semplice circuito che schematizza la relazione tra le azioni politico strategiche nel circuito superiore e le azioni operative ed esecutive nell'circuito inferiore. Il programma operativo costituisce l'elemento di collegamento tra i due circuiti. Ciò mette in luce, per le Agenzie, che esiste un ciclo globale relativo alle policy che intercetta i compiti delle Agenzie che possono implementare a loro volta un ciclo, di carattere operativo, che gestiscono come azioni concatenate in modo continuo.

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Il "Modello di regolamento" e i suoi criteri di qualità sono uno degli strumenti per garantire e promuovere la qualità richiesta e si applicano alle organizzazioni che implementano la legislazione ambientale e ai servizi ambientali come le REPA. I criteri riguardano anche la qualità relativa all'azione dei loro dipendenti. A livello dei dipendenti ciò significa che sono necessarie competenze e capacità sufficienti a permettere loro di svolgere adeguatamente i compiti assegnati.

Ciò riguarda in breve quanto segue:

Argomento	Requisito
Policy sull'Enforcement (azioni per il presidio e il ripristino della conformità)	Esistono politiche di enforcement per tutti i campi di policy integrati o collegati alla normativa pertinente. Contiene una descrizione delle priorità, degli obiettivi, delle strategie e delle attività, sulla base di un'analisi del problema. La policy è coordinata con altri organi e partner amministrativi pertinenti.
Programma per l'implementazione della normativa	L'Organizzazione adotta annualmente un programma per l'attuazione della normativa e lo pubblicizza attraverso strumenti di comunicazione. Questo programma è coordinato con altri organi amministrativi e partner coinvolti.
Organizzazione per l'implementazione della normativa	L'assetto dell'Organizzazione garantisce una corretta e adeguata attuazione della politica. In ogni caso, viene adottato un piano contenente l'entità e i requisiti di qualità del personale. L'Organizzazione può essere raggiunta anche al di fuori degli orari di ufficio. Sono stati definiti processi di lavoro. Nella misura in cui vi è la supervisione di tali istituti, le l'attività autorizzative e di controllo sono separate e esiste un programma di rotazione del relativo personale.
Garanzia delle risorse	Le risorse finanziarie e umane sono garantite nel bilancio.
Monitoraggio delle attività	L'Organizzazione monitora e registra i risultati e i progressi nell'implementazione del proprio programma.
Reporting	L'organizzazione formula dei rapporti sull'attuazione del proprio programma e sul raggiungimento degli obiettivi prefissati.

4. Metodologia

4.1 Introduzione

Il test collegiale in breve: gruppi di 3 Agenzie ambientali effettuano visite tra di loro in un ciclo annuale. Ogni anno viene fissato principale da valutare. Ad esempio, nel 2019 l'attenzione si è concentrata su "Obiettivi misurabili e loro monitoraggio" - su cui è stato "valutata" la REPA ospitante la review. Il tema centrale si collega sempre al sistema di qualità proprio della REPA e al ciclo politico del cosiddetto "Big-8": il sistema di qualità appositamente definito per l'attività autorizzativa, la sorveglianza e l'enforcement.

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Inoltre, durante la revisione tra pari, la REPA ospitante può scegliere un tema sul quale desidera ricevere consigli da colleghi di altre regioni. Durante la review, si richiamano ricordano i risultati dell'anno precedente, nonché come la REPA ha utilizzato le osservazioni formulate.

La revisione tra pari degli Agenzie regionali olandesi si basa in gran parte sul metodo di revisione tra pari (IMPEL Review Initiative - IRI) della rete dell'Unione Europea per l'implementazione l'enforcement del diritto ambientale - IMPEL. L'IRI ha lo scopo di migliorare la qualità del lavoro delle Organizzazioni ambientali europee.

La revisione tra pari collegiale delle Agenzie regionali può essere suddivisa in due fasi:

Prima revisione
I colleghi di Agenzie diverse regioni valutano i processi e le prestazioni di un Agenzia un'altra regione. La revisione si traduce in un rapporto con risultati e opportunità di sviluppo. Ogni anno la Peer Review ha un tema centrale. Il REPA ricevente viene quindi "valutato" su come i processi funzionano nella pratica e su come gli obiettivi vengono raggiunti. Il tema centrale ha sempre un legame con il sistema di qualità della REPA. In caso di scelta per un tema aggiuntivo, il rispettivo REPA riceve consigli da colleghi di altre regioni.

Review di follow-up.
I colleghi di 3 REPA effettuano una valutazione dei processi e delle prestazioni di una REPA tra di loro. La differenza rispetto alla prima review è che in questa seconda revisione il team prende a riferimento ciò che è stato osservato nella revisione precedente e valuta se e come vengono implementate le indicazioni per il miglioramento rilasciate (*opportunità di sviluppo*).

Per eseguire una Peer Review sono necessarie circa 80 ore.

4.2   Questionnaire

L'Organizzazione che verrà valutata è tenuta a compilare un questionario , che dovrà essere completato da parte dell'Ufficio che sarà visitato prima dell'inizio della review (ad eccezione della parte C). Al più tardi due giorni prima dell'esame tra pari, il questionario compilato viene inviato in bozza alle Organizzazioni ospiti. Il rapporto finale, comprese le opzioni di miglioramento, è redatto dai valutatori delle Organizzazioni ospiti.

Il questionario contiene 25 domande sui seguenti argomenti:

Descrizione del ciclo di verifica delle proprie attività
Parte A.1:   Autorizzazioni: obiettivi e loro monitoraggio
Parte A.2:   Sorveglianza ed azioni per il ripristino della conformità: obiettivi e loro monitoraggio
Parte B.1:   Autorizzazioni: monitoraggio (in maggiore dettaglio)

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Parte B.2: Sorveglianza ed azioni per il ripristino della conformità: monitoraggio (in maggiore dettaglio)

Parte D: Conclusioni

Parte E: Ipotesi di lavoro per l'anno successivo

Le risposte alle domande delle parti A e B) sono divise in 3 segmenti:

Risultato	Motivazione ed esempi (in breve)	Opzioni di miglioramento
Si, No, Parzialmente		

Le risposte alle domande e la loro analisi, anche in termini di coerenza reciproca, forniscono un quadro qualitativo del conseguimento degli obiettivi in una specifica unità organizzativa, attività o processo.

La parte D sintetizza le principali conclusioni tratte dalla revisione tra pari e la parte E raccoglie ipotesi preliminari per una valutazione collettiva per il successivo anno.

4.3 Programma standardizzato

Le REPA, per la *peer review*, utilizzano un programma standardizzato (allegato I), contenente i seguenti argomenti:

1. Accoglienza e introduzione alla REPA ospitante.
2. Follow -up, implementazione delle opportunità di miglioramento indicate dalla valutazione precedente
3. Obiettivi misurabili e loro monitoraggio
4. Tema suppletivo (di libera scelta)
5. Redazione delle relazioni da parte dei valutatori
6. Feedback (verbale) dei risultati all'Organizzazione ricevente

4.4 Materiale di support – line guida e checklist

Al fine di fornire adeguato background ai partecipanti alla Peer Review, è stata redatta una linea guida dettagliata sul modo in cui deve essere preparata la PR, come possono essere condotti i colloqui, e in che modo vengono sviluppate le relazioni e in che modo sarà possibile fornire all'Organizzazione ospitante il feedback sui risultati. In questa linea guida sono inclusi punti derivanti dall'esperienza acquisita nella implementazione della metodologia durante l'esecuzione di precedenti cicli collegiali di Peer Review (vedi allegato II).

Per garantire che la revisione tra pari sia la più strutturata possibile, è stata redatta una *check list* (lista di controllo) che contiene i punti di attenzione per una corretta preparazione e modalità di presentazione della revisione tra pari (allegato III). Essa include una esposizione

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all'organizzazione ricevente dell'obiettivo, del processo e della sua pianificazione, nonché le tappe da percorrere per realizzare la peer review. Inoltre, viene brevemente descritta la divisione dei ruoli degli intervistatori e il metodo per lo sviluppo dei colloqui. Infine, attraverso la check list, può essere illustrato il percorso ed i passaggi principali per portare a compimento la peer review.

4.5   Valutazione

Dopo ogni ciclo, le REPA coinvolte valutano congiuntamente attraverso incontri dedicati la Peer Review collegiale così come è stata effettuata per identificare le opportunità di miglioramento dello strumento di revisione tra pari, *punti da cui apprendere* per lo svolgimento delle attività dell'anno successivo, nonché aspetti che non hanno funzionato adeguatamente nel ciclo di revisione appena trascorso. I risultati dell'esperienza svolta sono trasferiti nella metodologia per il successivo ciclo di peer review.

4.6   Reporting

A seguito di ciascuna peer review, viene predisposto un rapporto basato sull'esito del questionario e sui risultati dei colloqui. L'analisi di tutte le informazioni raccolte, in coerenza reciproca, fornisce un quadro qualitativo del raggiungimento degli obiettivi di una specifica unità organizzativa, attività o processo; l'analisi è inclusa in un rapporto riservato, indirizzata alla direzione della REPA visitata.

Inoltre, viene redatto un rapporto di sintesi con risultati generali, conclusioni e raccomandazioni, destinati a tutti i consigli di amministrazione delle REPA, nonché al segretario di Stato responsabile della gestione ambientale.

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5.   In sintesi

5.1   Caratteristiche delle REPA e relative peer review

In questo paragrafo sono elencate in sintesi alcune caratteristiche delle   peer review, effettuate come *test collettivo* così come eseguita dalle REPA olandesi:

- le 29 Agenzie regionali sono organizzazioni relativamente giovani e abbastanza equivalenti tra loro in termini di compiti e responsabilità, assetto organizzativo e governance.
- Le REPA esprimono una chiara esigenza di mutuo apprendimento e di ulteriore miglioramento delle loro prestazioni. Esiste una reale tensione verso una crescita basata sulle esperienze collettive in un'atmosfera solidale.
- Le REPA percepiscono le peer review come è una preziosa risorsa aggiuntiva rispetto agli audit più tradizionali che sono attuati per garantire che le organizzazioni lavorino secondo i criteri di qualità e le regole loro assegnate. Le peer review sono formative e contribuiscono a un ulteriore miglioramento delle Organizzazioni.
- Vi è una chiara comprensione del fatto che le Peer Review si concentrano sull'assicurazione della qualità in termini concreti, affrontando, ad esempio, il modo in cui il lavoro viene svolto in pratica, il modo in cui gli altri lo svolgono, cosa si può apprendere reciprocamente e come i colleghi possono aiutarsi vicendevolmente per migliorare ulteriormente.
- La partecipazione alla Peer Review è volontaria e i risultati sono trattati in modo confidenziale.
- Ogni Peer Review genera un rapporto conciso, scritto dal team dei revisori ed è di proprietà dell'EPA che viene valutata. Il rapporto è, definizione, "riservato".
- I risultati di tutte le Revisioni tra pari vengono elaborati in un rapporto consolidato, anonimizzato, prodotto annualmente, che viene condiviso tra tutte le REPA, le Organizzazioni che le raccolgono e il Segretario di Stato del Ministero responsabile.
- Per la REPA ricevente la review, è fondamentale e nel proprio interesse un clima aperto. In realtà, è una condizione preliminare necessaria che la REPA ricevente sia disposta ad essere aperta, nel corso della Peer Review, sulle proprie criticità incertezze. Se lo stato di fatto viene occultato la valutazione collegiale non sarà di aiuto all'Organizzazione ricevente.
- Su richiesta, le REPA possono essere valutate in modo più completo, fermo e più approfondito.
- Può esserci riluttanza sulla condivisione dei risultati con il Consiglio della REPA a causa della relazioni formali in essere, talvolta non semplici. Tuttavia, una REPA può anche trarre grande vantaggio dalle indicazioni dei colleghi anche su come gestire il rapporti con consiglio di amministrazione, nonché con il management gestione del REPA, viste le loro responsabilità specifiche.

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Elenco delle abbreviazioni (rivedere dopo la traduzione completa, per eventuali abbreviazioni in italiano)

Bor   -   Environmental Law Decree
IMPEL -   European Union Network for the Implementation and Enforcement of
                Environmental Law
IPO   -   Inter Provinciaal Overleg
Mor   -   Ministerial Environmental Law Decree
NPRI   -   National Peer Review Initiative
REPA   -   Regional Environmental Protection Agency
VNG   -   Vereniging Nederlandse Gemeenten
Wabo -   General Provisions of Environmental Law Act

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Riferimenti

Omgevingsdienst.nl; https://www.omgevingsdienst.nl/home/default.aspx

Wabo Kwaliteitscriteria. Available from https://www.infomil.nl/publish/pages/75656/vth_wabo_kwaliteitscriteria_versie_2_2_2019_deel_b.pdf

IMPEL Review Initiative (IRI). Available from https://www.impel.eu/tools/impel-review-initiative-tool/

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Allegato 1 – Programma standard per le Review Collegiali

Programma standard delle Review

Visita presso …………………(REPA)
Il ……………………. (Giorno, mese, anno)

Team <u>Ospite</u>
Leader: …… ……   Organizzazione: (tel………..)
Componente: Organizzazione: (tel………..)
Componente: Organizzazione: (tel………..)

<u>Organisation Ospitante:</u>
Persona di riferimento: funzione: (tel: ……….)
Componente: funzione: (tel………..)
Componente: funzione: (tel………..)

<u>Location:</u>   …(REPA) ……, room…….

Orario	Soggetto	Soggetti presenti
10.00-10.30	**Accoglienza e presentazione della REPA** Prendendo anche in considerazione gli sviluppi più importanti dell'ultimo anno e elementi che potrebbero essere interessanti per altri servizi.	Management – Persona di riferimento
10.30-11.00	**Follow-up, miglioramenti dal ciclo di review 2018**	Management – Persona di riferimento
11.00-12.00	**Obiettivi misurabili e loro monitoraggio**	Persona di riferimento …
12.15-13.00	***Pausa pranzo***	
13.00-14.00	**Obiettivi misurabili e loro monitoraggio**	Persona di riferimento … …
14.00-15.00	**Tema aggiuntivo indicato dalla REPA ospitante**	Persona di riferimento … …
15.00-15.30	**Completamento del reporting da parte dei visitatori**	
15.30-16.00	**Feedback verbale da parte dell'Organizzazione ospitante sulle conclusioni della review**	Management – Persona di riferimento …
16.00	***Chiusura***	

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Allegato II - Manuale del valutatore

Preparazione

1. Determinare l'oggetto della valutazione.
2. Fissare la data per la review.
3. Raccogliere la documentazione pertinente.
4. Analizzare i documenti.
5. Determinare quali aspetti devono essere valutati durante il colloquio.
6. Fai un elenco di punti chiave e / o studia il questionario.

Punti di attenzione:

- Suddividere i ruoli (chi pone le domande e chi scrive per il rapporto) per ciascun argomento
- Prestare attenzione allo scopo del colloquio. Che cosa hai intenzione di indagare? Indirizza principalmente la tua azione a tali temi.
- Assicurarsi che tutte le informazioni siano disponibili in tempo.
- Essere focalizzati sugli obiettivi della review.
- Non rendere eccessivamente lunga la lista delle attività da svolgere / argomenti da trattare

Colloquio

1. Presentare adeguatamente il colloquio e chiarirne gli obiettivi, spiegare e, ove necessario, chiarire le domande.
2. Ricorda che sei alla ricerca di obiettivi di miglioramento da condividere e che non hai l'obiettivo di valutare le persone.
3. Conduci il colloquio e poni quante più "domande aperte" possibili. Trasforma domande chiuse in domande aperte (chi fa cosa, dove, quando, come e come è dimostrabile)
4. Chiedere regolarmente esempi (prove oggettive, approfondire e animare la conversazione).
5. Mantenere nelle proprie mani l'iniziativa e la struttura della conversazione. A tale fine utilizza il questionario.
6. Evitare di discutere sull'utilità e sul contenuto dei criteri di qualità stessi.
7. Fornire feedback sulle risposte per determinare se si è tratta la conclusione corretta.
8. Fornire un riepilogo dei risultati.
9. Effettuare verifiche e controllo incrociato (ricerca di prove oggettive).

Punti di attenzione:

- Poni le stesse domande a più persone
- Confronta le risposte con le osservazioni
- Confronta le risposte con la documentazione
- Confronta le risposte con le registrazioni documentali
- Confronta i risultati relativi ai sotto-processi (secondari)

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Reporting e feedback

1. Prepare il report.

<u>Punti di attenzione:</u>

- Cita l'obiettivo delle attività
- Costruire il rapporto sulla base dei punti chiave del questionario
- Indica quali deviazioni dall'atteso sono state identificate
- Indicare sempre gli esempi e le prove oggettive
- Dare un supporto concreto alle conclusioni sostanziali (oggettivare prove o la ricorrenza delle risposte a una domanda)
- Fornisci una conclusione finale
- Includere nel rapporto proposte circa le opportunità di miglioramento

Invia il progetto di relazione, entro una settimana dal termine della visita, e chiedi commenti

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Allegato III - *Checklist*

Preparazione

- Vi sia la comprensione del processo e relative responsabilità
- Vi sia la comprensione dei rischi, metodi di controllo, punti di debolezza
- Sia stato preparato un elenco di punti chiave
- Luogo prescelto: preferibilmente l'ambiente di lavoro dell'intervistato

introduzione

- Presentazione di se stessi e dei membri del team che svolge le attività, se necessario
- Mettere a suo agio il tuo interlocutore (intervistato)
- Rendere chiari lo scopo e l'argomento del colloquio
- Spiegare perché vengono prese annotazioni
- Spiegare il metodo utilizzato ed il piano di lavoro

Punti di attenzione:

- Lo scopo del colloquio è di assicurare la qualità e le buone prestazioni dell'Organizzazione;
- Si tratta di attività analitica;
- L'intervistatore è alla ricerca di punti vista comuni, non di differenze, si esamina la concordanza tra procedure scritte / istruzioni di lavoro e la loro attuazione;
- Il colloquio non ha lo scopo di danneggiare o valutare qualcuno;
- Il nome dell'intervistato non apparrà nel rapporto.

Esecuzione

- Lasciare che l'intervistato spieghi brevemente il suo ruolo
- Le domande formulate devono permettere di passare dal generale allo specifico
- Poni domande che conducano a risposte dimostrabili, parti dai punti chiave e fai tante domande quante necessarie per ottenere risposte fondate relativamente a tali punti chiave
- Usa domande aperte: "Come fai a sapere ...", "Perché lo fai ..."
- Sii paziente, ricettivo e puntuale
- Accetta i silenzi
- Riassumi regolarmente: "Se capisco correttamente ...., è vero che ......"
- Evitare discussioni

Chiusura

- Riassumi i fatti
- Evitare in questa fase interpretazioni e conclusioni
- Dare l'opportunità agli intervistati di porre domande
- Offrire l'opportunità agli intervistati di fornire suggerimenti orientati almiglioramento
- Spiegare la procedura di follow-up

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- Ringraziare l'intervistato per il colloquio

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Format per il report dello Studio Collegiale "Obiettivi misurabili e loro monitoraggio"

Organizzazione visitata:
Organizzazioni valutate:
Data:

Spiegazione: Dopo aver esaminato più on dettaglio il tema "Analisi dei Problemi" nel 2018, la proposta è di esaminare nel 2019 il tema "Obiettivi Misurabili", formulati sulla base dell'analisi, ed il relativo Monitoraggio.

Si svilupperanno discussioni su obiettivi e risultati misurabili. Cosa intendiamo esattamente e cosa si può ottenere nei campi Autorizzazione, Sorveglianza ed Enforcement?

La formulazione di obiettivi validi può essere fatta solo dopo una corretta analisi. Nel 2018 è stato identificato che spesso manca ancora un'analisi approfondita del comportamento dei soggetti detentori di autorizzazione in termini di conformità. La conclusione dello studio da svolgere nel 2019 potrebbe anche essere che non sono stati ancora sufficientemente sviluppati *obiettivi misurabili*.

Ciò che è effettivamente necessario sono positivi approfondimenti e discussione su ciò che è realmente desiderato ottenere e ciò che è effettivamente fattibile. In concreto, l'obiettivo dello studio è di raccogliere buone idee ed esempi che possano essere messi in pratica.

È anche importante esaminare il ciclo di miglioramento. In che misura questo studio viene effettivamente utilizzato come strumento per la gestione del miglioramento? Dato l'impegno posto nella la valutazione collegiale, sarebbe un peccato se le opportunità di miglioramento non fossero gestite correttamente. Questa parte è una novità nello studio collegiale e un'importante domanda a cui rispondere è cosa si può imparare da esso.

Il questionario deve essere completato dal servizio (visitato) stesso (ad eccezione della parte C) prima della visita., il questionario compilato viene inviato come bozza alle organizzazioni che saranno ospitate non oltre due giorni prima della valutazione inter pares. Il rapporto finale, comprese le opportunità di miglioramento, è completato dalle organizzazioni ospiti - i "valutatori".

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Follow-up; ciclo di miglioramento

1. Quali sono le tre più importanti opportunità di miglioramento derivanti dallo studio collegiale del 2018?

1.
      2.
      3.

2. Come vengono discussi i risultati del test nel Management del Servizio?

Risposta aperta

3. Come sono pubblicizzati i risultati dello studio all'interno dell'Organizzazione?

Risposta aperta

4. I risultati del test sono stati discussi nel corso delle consultazioni dei soggetti ai quali è indirizzata l'attività dell'Organizzazione? (report)

Conclusione
Si/No

5. I risultati dello studio sono stati trasposti nella gestione quotidiana e / o generale del Servizio? (rapporto)

Risultato
Si/No

6. Quali azioni specifiche sono state intraprese in relazione allo studio e alle opportunità di miglioramento emerse?

Risposta aperta

7. Come potrebbe essere rafforzata la pratica dello Studio Collegiale quale strumento di gestione per il miglioramento continuo?

Risposta aperta

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Part A.1: Comcessione di Autorizzazioni: Obiettivi e loro monitoraggio

8. Esiste una descrizione delle finalità perseguite nella concessione delle autorizzazioni per settore (ambiente e / o edilizia)?

Conclusioni		Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente			

9. Sono state stabilite delle priorità, tenendo conto dell'analisi e delle valutazioni dei problemi?

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

10. È stata stabilita la frequenza con cui viene aggiornata la parte ambientale dell'autorizzazione?

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

11. Sono stati stabiliti indicatori misurabili per tutti gli obiettivi?

Finding	Explanation and example (short)	Opportunity for improvement
Yes, No, Partly		

12. Ci sono accordi relativi al monitoraggio di questi indicatori?

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

13. Tali indicatori sono espressi in termini di risultati anche ti tipo numerico o di effetto prodotto?

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

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Part A.2: Sorveglianza ed Enforcement: Obiettivi e loro Monitoraggio

14. Esiste una descrizione della finalità perseguite nelle attività per il ripristino della conformità per settore di policy?

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

15. Gli obiettivi considerano il comportamento in termini di rispetto della conformità dei soggetti esposti ai controlli?

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

16. Sono state definite priorità, considerando l'analisi dei problemi, il comportamento in termini di rispetto della conformità dei soggetti esposti ai controlli, di apposite valutazioni?

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

17. Esistono indicatori misurabili per tutti gli obiettivi?

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

18. Esistono accordi relativi al monitoraggio di questi indicatori?

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

19. Tali indicatori sono espressi in termini di risultati anche di tipo numerico o di effetto prodotto?

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

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Parte B.1: Monitoraggio delle attività Autorizzative

20. Il monitoraggio delle attività autorizzative tiene in considerazione:

a. numero e natura delle richieste di autorizzazione;

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

b. numero di decisioni in base alle domande presentate;

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

Ye

c. numero dei report lavorati suddivisi in categorie di interesse;

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

d. numero di decisioni suddivise in categorie di interesse;

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

e. Numero di opposizioni / appelli avanzati da soggetti interessati e percentuale di quello istruiti;

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

f. Puntualità nel rilascio dei prodotti di propria competenza;

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

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g. Effetti delle autorizzazioni rilasciate sulla qualità dell'ambiente;

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

h. Qualità sostanziale dei prodotti di propria competenza rilasciati

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

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B.2: Monitoraggio delle attività di sorveglianza ed enforcement

21. Il monitoraggio della qualità e dei risultati dell'attività sorveglianza ed enforcement è focalizzato sui seguenti elementi:

    a.   misura dell'applicazione della strategia di sorveglianza e sanzionamento

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

    b.   Messa in atto della frequenza prevista per i controlli

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

    c.   Violazioni individuate;

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

    d.   Puntualità negli audit e loro ripetizione

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

    e.   Puntualità nell'invio dei report di audit e delle comunicazioni

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

    f.   Comportamento in termini di conformità alla normativa;

Conclusioni	Spiegazione ed esempi (in breve)	Opportunità di miglioramento
Si, No, Parzialmente		

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g. Valutazione dei risultati dell'enforcement in termini di produzione di miglioramenti in riferimento al ciclo delle azioni per il ripristino della conformità previsto dalle politiche.

Conclusioni	Spiegazione ed esempi (in breve)	Opportunity for improvement
Si, No, Parzialmente		

22. Quali sono i risultati più interessanti di questo studio? Punti positivi - cosa vi ha impressionato, come valutatori, come argomenti di miglioramento? Indicarne almeno cinque, al massimo dieci. Formularli in collaborazione con il Servizio studiato. Ove possibile, identificare anche aspetti interessanti al di fuori del tema centrale emersi durante l'introduzione del servizio, ad esempio.

Risposta aperta

23. Quali migliori pratiche hai individuato in questo studio che potrebbero essere interessanti per altri Servizi? Se possibile, fare riferimento a un documento e allegarlo.

Risposta aperta

24. Le componenti "Obiettivi Misurabili" e "Monitoraggio degli Obiettivi" soddisfano i requisiti di qualità? Esprimi un giudizio rigoroso ma giusto e dettagliato.

Risposta aperta

Part E: Anno successivo

25. Che proposte hai per il soggetto dello studio collegiale del prossimo anno?

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INTERNATIONAL ATOMIC AND ENERGY AGENCY (IAEA) AGENZIA INTERNAZIONALE PER L'ENERGIA ATOMICA (AIEA)

La Emergency Preparedness Review (EPREV) (revisione del livello di preparazione alle emergenze) dell'AIEA è una delle missioni di revisione tra pari offerte dall'AIEA. Questo servizio è fornito dall'AIEA agli Stati membri sulla loro richiesta, per valutare la loro capacità di risposta alle emergenze nucleari o radiologiche. Altre missioni si concentrano più in particolare sulla sicurezza operativa delle strutture che utilizzano materie nucleari. Le conclusioni e le raccomandazioni delle revisioni *inter pares* sono raccolte in una relazione che fornisce indicazioni agli Stati membri su come migliorare la propria sicurezza nucleare. Una missione di follow-up valuta gli avanzamenti realizzati nell'attuazione delle raccomandazioni. Nel contesto di questo studio preliminare viene descritto l'approccio e la metodologia EPREV.

Riconoscimenti

Il presente allegato, commissionato da IMPEL e realizzato dal team del progetto NPRI,(National Peer Review Initiative), è stato predisposto come parte di uno studio di confronto tra diversi approcci di *peer review*, con l'obiettivo di sviluppare una metodologia di *peer review* che possa essere utilizzata da paesi e autorità per supportarli nel loro sviluppo qualitativo.

Il team NPRI vuole indirizzare questo riconoscimento all'AIEA, che ha gentilmente concesso l'autorizzazione a riprodurre estratti tratti dalla "Panoramica del processo EPREV" della pubblicazione dell'AIEA intitolata "Linee guida EPREV (Emergency Preparedness Review)" nella misura e ai fini della lo studio, tenendo conto che l'AIEA ne detiene il copyright. In particolare, sono citati a questo proposito questo riconoscimento e il riferimento alla pubblicazione AIEA - Agenzia internazionale per l'energia atomica, Linee guida per la revisione della preparazione alle emergenze (EPREV), Serie di servizi n. 36, AIEA, Vienna (2018)

Indice

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1. International Atomic and Energy Agency - IAEA (Agenzia Internazionale per l'Energia Atomica – AIEA)[1]

1.1 Organizzazione

L'Agenzia internazionale per l'energia atomica (AIEA) è un'organizzazione intergovernativa, scientifica e tecnologica indipendente appartenente alle Nazioni Unite. L'organizzazione funge da punto focale globale per la cooperazione in campo nucleare e assiste i suoi Stati membri, nel contesto di obiettivi sociali ed economici, nella pianificazione e nell'uso della scienza e della tecnologia nucleare per vari scopi pacifici. Ciò include la produzione di energia elettrica e facilita il trasferimento di tale tecnologia e conoscenza, in modo sostenibile, agli Stati membri in via di sviluppo. Inoltre, l'AIEA sviluppa standard di sicurezza nucleare e, sulla base di tali standard, promuove il raggiungimento e il mantenimento di elevati livelli di sicurezza nelle applicazioni dell'energia nucleare, nonché la protezione della salute umana e dell'ambiente dalle radiazioni ionizzanti. L'organizzazione verifica attraverso il proprio sistema di ispezione che gli Stati rispettino i propri impegni verso le normative internazionali applicabili e alle disposizioni correlate.

Il Dipartimento per la sicurezza e la protezione nucleare dell'AIEA offre una vasta gamma di servizi di consulenza e revisione tra pari nei vari settori della sicurezza e della protezione nucleare. Questi servizi svolgono un ruolo chiave per la sicurezza nucleare globale e consentono ai paesi di beneficiare degli approfondimenti indipendenti dei principali esperti internazionali, sulla base del quadro di riferimento comune relativo gli standard di sicurezza e delle linee guida sulla protezione dell'AIEA. Ognuno di questi servizi è svolto da un team di esperti internazionali guidato dall'AIEA che confronta le pratiche poste in essere con gli standard dell'AIEA.

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[1] https://www.iaea.org/

2. Emergency Preparedness Review - EPREV (revisione del livello di preparazione alle emergenze)

Dal 1999, l'AIEA ha fornito il servizio Emergency Preparedness Review - EPREV (revisione del livello di preparazione alle emergenze) per effettuare revisioni indipendenti il livello di preparazione alle emergenze nucleari o radiologiche negli Stati membri. Da allora sono state implementate diverse missioni. Il servizio EPREV guidato dall'AIEA è svolto da un team di esperti internazionali selezionati sulla base delle loro conoscenze ed esperienze sul campo, anche relative ad altre *review* simili. Il risultato di questa revisione tra pari è costituito da "suggerimenti" e "raccomandazioni" e intesi a migliorare le capacità e le modalità di preparazione e risposta alle emergenze. Sono un frutto importante delle missioni EPREV anche le "buone pratiche" che possono essere utilizzate da altri Stati membri per migliorare la propria preparazione all'emergenza e le modalità di risposta.

2.1 Circa EPREV

I vantaggi di una Peer Review EPREV come metodologia utilizzata nelle missioni EPREV includono:
- È una revisione inter pares internazionale credibile, indipendente e obiettiva sullo stato di preparazione alle emergenze nello Stato ospitante;
- È uno strumento per promuovere il miglioramento continuo;
- Può essere utilizzato per indirizzare specifici aspetti del sistema EPR nell'ambito di un programma di miglioramento continuo per lo Stato ospitante
- Consente la valutazione delle interfacce, forme di cooperazione e accordi tra le organizzazioni coinvolte nelle emergenze nucleari e radiologiche;
- Contribuisce a migliorare il profilo di una Peer Review sulle Emergenze (EPR) nello Stato ospitante e a promuovere l'impegno dei funzionari di alto livello nel processo di pianificazione delle emergenze nucleari e radiologiche;
- Promuove la condivisione di esperienze e *lessons learned* tra le principali organizzazioni facenti parte dello schema EPR nello Stato ospitante e con i membri del gruppo di revisione;
- Offre allo Stato ospitante un'opportunità per discutere di questioni EPR specifiche e chiedere il parere e orientamenti da parte del personale dell'AIEA e degli esperti internazionali;
- Fornisce ad altri Stati membri le informazioni relative alle buone pratiche identificate nel corso della revisione;
- Promuove l'applicazione delle norme di sicurezza dell'AIEA, contribuendo in tal modo all'armonizzazione globale degli approcci e delle disposizioni EPR;
- Fornisce feedback sull'uso e l'applicazione delle norme di sicurezza dell'AIEA;
e
- Promuove una maggiore apertura globale e trasparenza nel campo dell'EPR.

2.1.1 Obiettivo dell'EPREV

L'obiettivo principale dell'EPREV è di rivedere la strutturazione dello Stato ospitante per rispondere efficacemente alle emergenze nucleari e radiologiche. La revisione si basa sulle linee guida applicabili e sugli standard di sicurezza dell'AIEA e tiene conto della situazione dello

Stato ospitante in termini di prassi e quadro giuridico. Lo scopo delle linee guida su EPREV è fornire una metodologia sistematica e coerente per lo svolgimento di tutte le attività associate alle missioni EPREV. I soggetti ai quali sono indirizzate le linee guida sono i membri del team di revisione, per lo svolgimento delle missioni, e gli Stati ospitanti, attualmente e potenzialmente, le review, per delimitare il quadro delle attese e consentire una preparazione e una conduzione fluida della missione EPREV e delle azioni di follow-up.

Un EPREV facilita lo sviluppo di capacità nazionali di risposta alle emergenze, in linea con gli standard di sicurezza dell'AIEA. L'ambito del servizio è quindi direttamente correlato alle aree trattate da tali standard. Un team del Segretariato dell'AIEA ed esperti internazionali valutano le capacità nazionali confrontando la struttura predisposta in risposta alle emergenze con gli standard di sicurezza dell'AIEA e le buone pratiche in tutto il mondo.

2.1.2   EPREV in sintesi

un EPREV è:	un EPREV non è:
• Una revisione tra pari condotta da un team internazionale di esperti	• Una verifica rispetto a una serie rigida di codici e standard
• Una valutazione basata su standard di sicurezza internazionali nel settore della preparazione e risposta alle emergenze, tenendo conto delle condizioni locali	• Una revisione basata sugli standard del paese degli esperti
	• Un modo per confrontare o classificare gli Stati membri in termini di preparazione alle emergenze
• Una revisione e uno scambio tecnico di esperienze e pratiche a tutti i livelli	• Un'ispezione dei requisiti normativi nazionali

2.1.3   Obiettivi pratici di un EPREV

Lo scopo del servizio EPREV è di revisionare l'implementazione pratica delle disposizioni sul livello di preparazione alle emergenze radiologiche. Una valutazione tra pari EPREV è basata sulle prestazioni, ovvero la *review* cerca di rispondere alla domanda "quanto predisposto è adeguato e funzionerà?", dato il contesto nazionale in cui vengono applicati. Questo servizio mira inoltre a identificare i punti di forza specifici e le migliori pratiche che possono essere condivise con altri Stati membri e fornisce una base per determinare dove possono essere richiesti miglioramenti e per misurare gli avanzamenti realizzati in tali settori.

2.1.4   Focus dell'EPREV

Un EPREV è focalizzato solo sulle parti e sul sistema relativo alle emergenze nucleari e radiologiche. La revisione tra pari esamina il livello di preparazione alle emergenze, non la risposta alle emergenze. La *review* può concentrarsi su una specifica categoria di preparazione alle emergenze o su una loro combinazione. Un EPREV deve anche prendere in considerazione missioni di revisione eseguite in precedenza, evitando duplicazioni e sovrapposizioni.

2.1.5   Ambito di applicazione del EPREV

L'ambito di applicazione di EPREV è flessibile e scalabile e può includere una o più categorie di preparazione all'emergenza o un elemento di rischio mirato all'interno di una categoria di preparazione all'emergenza. Indipendentemente dal campo di applicazione, la revisione deve includere gli stakeholders interessati a tutti i livelli, nonché l'intero sistema verticale, dall'impianto o attività considerate sino alla risposta nazionale, compresi gli accordi internazionali.

1. Esperti e membri del team EPREV: qualifiche e aspettative

L'AIEA stabilisce requisiti e attese circa l'esperienza e la competenza degli esperti internazionali. Solo se questi requisiti sono soddisfatti, gli esperti possono essere nominati come membri di un team internazionale EPREV. I candidati membri del team devono completare, con successo, attività formativa a domicilio su EPREV

3.1 Requisiti

Un team EPREV combina: esperienza senior nella pianificazione EPR, aspetti operativi e normativi relativi all'ambito della missione. Gli esperti devono avere un'ottima conoscenza degli standard di sicurezza dell'AIEA in materia di EPR; inoltre devono avere esperienza nelle revisioni e valutazioni tipiche della attività EPR ed esperienza pratica relativa agli obiettivi e ambito della missione, incluso il tipo di strutture e attività da sottoporre a revisione. Alcuni membri del team dovrebbero possedere esperienza relativa alla gestione di emergenze complesse, non necessariamente nucleari.

I membri del team devono possedere buone capacità interpersonali e un atteggiamento aperto nei confronti di sistemi e approcci diversi da quelli con cui hanno familiarità. I membri del team devono essere in grado di comunicare chiaramente. Essere adattabili e flessibili nei paesi in cui la lingua principale potrebbe non essere l'inglese è un requisito importante. Inoltre, i candidati dovrebbero avere buone capacità di comunicazione scritta e orale in inglese.

3.2 Aspettative

I revisori sono responsabili per l'effettuazione dei preparativi necessari per la missione, sulla base delle informazioni fornite dal coordinatore del team. I membri del team esaminano un rapporto di autovalutazione e materiale di riferimento avanzato (Advanced Reference Material - ARM) e preparano un rapporto sulle prime impressioni. Il successivo passo consiste nel condurre la missione come indicato dal Team Leader.
Si prevede che tutti i membri del team mantengano uno spirito di apertura, trasparenza e cooperazione con le controparti durante la missione. Inoltre, si prevede che forniscano un contributo quotidiano completo e di alta qualità per la stesura del rapporto preliminare, come indicato dal Team Leader. Un elemento importante delle attività dei membri del team è la revisione della relazione preliminare completata. Il rapporto sarà redatto sulla base del contributo dei membri del team e dell'esperienza posseduta, a livello individuale e collettivo.
E' requisito importante mantenere adeguata riservatezza sulle informazioni sensibili in conformità con l'accordo di riservatezza applicabile.
Dopo il completamento della missione, tutti i membri del team devono fornire commenti all'AIEA sul processo EPREV.

3.3 Addestramento

Tutti gli esperti devono completare una formazione a domicilio su EPREV, entro 12 mesi dalla partecipazione a una missione principale. Questa formazione, sviluppata e gestita dall'IEC, copre il processo di base EPREV, lo svolgimento della *review* e la documentazione relativa a osservazioni, raccomandazioni, suggerimenti e migliori pratiche. Entro un minimo di due

settimane prima di una missione EPREV, i risultati della formazione devono essere forniti al coordinatore dell'AIEA. In caso contrario, si potrebbe impedire a un esperto di partecipare a una missione.

3.4   Aspetti culturali

E' importante ricordare che gli esperti coinvolti sono percepiti, dai paesi di accoglienza, come rappresentanti dell'AIEA. Un alto grado di sensibilità culturale è essenziale. Pertanto, gli esperti dovrebbero acquisire familiarità con il contesto nazionale e culturale nello stato ospitante, con particolare attenzione alle differenze con la cultura posseduta dall'esperto.
Esistono diverse fonti disponibili che supportano gli esperti nella preparazione della missione e in particolare per quanto riguarda gli aspetti culturali del paese ospitante:
- The CIA World Factbook: https://www.cia.gov/library/publications/the-world-factbook/index.html
- Countries and their cultures: http://www.everyculture.com/
- Wikipedia: http://www.wikipedia.org/

2. Processo EPREV[2]

4.1 Visione di insieme del processo

Un EPREV è avviato tramite una richiesta formale di un paese al Segretariato dell'AIEA. Normalmente questo avviene attraverso la Missione permanente dello Stato richiedente. Dopo l'accettazione, come passaggio successivo, verranno avviate le discussioni tra il coordinatore EPREV del Paese ospitante e il coordinatore dei team del Segretariato dell'AIEA. Prima di un accordo su ambito o date, il Paese ospitante preparerà un rapporto di autovalutazione dell'EPR, che sarà la base per la missione di revisione tra pari.

I risultati dell'autovalutazione saranno esaminati dal Centro per gli incidenti e le emergenze dell'AIEA (IEC) in consultazione con il coordinatore EPREV del Paese ospitante. In caso di accordo sulla conduzione di un EPREV, verrà programmata una missione e a questo punto inizia una pianificazione dettagliata.

Un passo importante del processo è l'organizzazione di una riunione preparatoria *in persona*. Ciò dovrà avvenire almeno sei mesi prima della missione principale. L'obiettivo di questo incontro è concordare Piano di Dettaglio (Term of Reference - ToR) per l'EPREV. Tra gli altri, l'ambito coperto dall'EPREV sarà discusso e incluso nel TOR, così come la composizione del team, la pianificazione, ecc. I termini di riferimento sono discussi ulteriormente in questo documento. Normalmente, la riunione preparatoria è condotta dal leader del team EPREV e dal coordinatore del team dell'AIEA, *in persona* e nel paese ospitante.

Gli esperti vengono reclutati consultando lo Stato ospitante. È importante che le loro competenze ed esperienze coprano l'intero ambito della missione. La composizione della squadra dovrebbe di norma essere concordata almeno tre o quattro mesi prima della missione per consentire un tempo adeguato per il nulla osta di sicurezza e i visti.

Al più tardi due mesi prima della missione, lo Stato ospitante dovrebbe fornire un set completo del cosiddetto materiale di riferimento avanzato (ARM) e caricarlo su un sito dedicato e protetto da password dell'AIEA. Anche tali materiali sono oggetto di accordo durante la riunione preparatoria. Gli esperti esamineranno quindi questo materiale e i risultati dell'autovalutazione. Queste sono le basi per stabilire le priorità nelle aree da sottoporre a review. Gli esperti sono invitati a fornire un rapporto sulle prime impressioni al coordinatore del team dell'AIEA al più tardi due settimane prima della missione. La relazione dovrebbe contenere l'indicazione delle aree in cui saranno necessarie ulteriori informazioni, potranno emergere potenziali problemi e l'indicazione di priorità suggerite per la missione di revisione.

Viene quindi condotta la missione EPREV, che normalmente dura dai 6 ai 12 giorni, a seconda dell'ambito e del livello di complessità della revisione. Al termine della missione, viene fornito un *progetto di relazione* concordato che viene presentato allo Stato ospitante per la revisione. Il rapporto finale viene consegnato dopo il completamento della missione principale.

Dopo la presentazione del rapporto finale, lo Stato ospitante dovrebbe redigere e completare un piano d'azione. A quel punto, verrà discussa una data provvisoria per una missione di follow-up. Il coordinatore dello Stato ospitante e il coordinatore del gruppo dell'AIEA

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[2] https://www-pub.iaea.org/MTCD/Publications/PDF/SVS-36_web.pdf

concordano inoltre, di norma, la frequenza con la quale lo Stato ospitante informa l'AIEA sui progressi realizzati in riferimento al piano d'azione; la periodicità normalmente non è inferiore a una volta all'anno.

4.2   Follow-up alla missione EPREV

Una missione di follow-up dovrebbe essere condotta da due a quattro anni dopo il completamento della missione principale, con lo scopo di esaminare gli avanzamenti nell'attuazione dei miglioramenti derivanti dalle raccomandazioni o dai suggerimenti rilasciati a seguito della missione EPREV iniziale. Lo Stato ospitante e l'AIEA dovrebbero programmare la missione di follow-up con un anticipo di almeno sei mesi. I tempi dipenderanno dagli avanzamenti nell'attuazione del piano d'azione. I termini di riferimento per il follow-up saranno redatti e concordati con lo Stato ospitante in una riunione preparatoria di follow-up EPREV. Normalmente, questo incontro sarà condotto in videoconferenza. Tuttavia, a seconda dell'ambito della missione di follow-up, l'incontro potrebbe svolgersi di persona. Come minimo, la riunione preparatoria coinvolgerà il coordinatore del follow-up del Paese ospitante, il coordinatore del team di follow-up dell'AIEA e il leader del team di follow-up EPREV.

4.3   Visione di insieme del processo di EPREV:
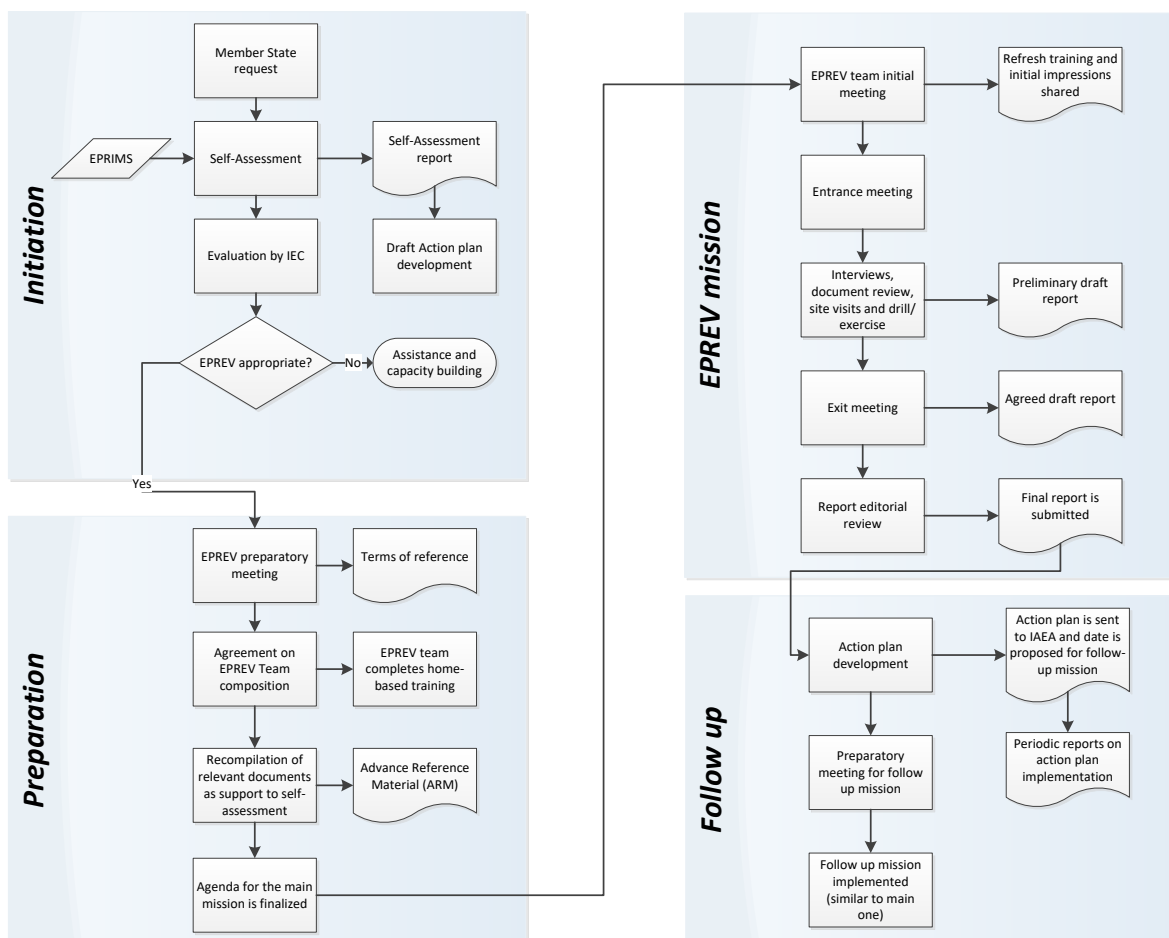
Fig. 1. Il processo EPREV[3]

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[3] Source: https://www.iaea.org/publications/13417/emergency-preparedness-review-eprev-guidelines .p6

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4.4 Agenda tipica di una missione

L'agenda di un EPREV è abbastanza standardizzata e contiene in larga misura gli elementi illustrati più sotto. C'è un certo margine di flessibilità, tuttavia il team leader seguirà il più possibile questo programma per assicurare che tutta l'attività venga svolta nel tempo disponibile e con la qualità necessaria e prevista.

Day		Activity
0		Review team internal meeting: briefing, review of mission plan, review of preliminary findings and assignment of priorities.
1	am	Entrance meeting • Presentation by Host Country overall national framework for EPR • Presentation by Host Country of self-assessment • Presentation by IAEA of EPREV objectives and process
	pm	
2		
3		Visits and interviews
4		
5		
6		Report writing by EPREV team
7	am	Report writing
	16:00	Preliminary draft report submitted to National EPREV coordinator
8	am	Host Country reviews report and prepares written comments Team drafts executive summary and presentation for the exit meeting
	12:00	National EPREV coordinator submit written comments to the EPREV team
	pm	Meeting with Host Country representatives to discuss comments
9	am	Team finalizes draft report
	pm	Meeting between Team Leader and Team Coordinator with Host Country representatives to agree on executive summary and press release DDG or senior representative from IAEA arrives
10	am	Exit meeting and delivery of agreed draft report Press conference

Fig. 2. Esempio di agenda standard di una missione

4.5 Incontri giornalieri del team

Alle 17:00 circa, ogni giorno, si tiene un incontro di gruppo di un'ora per discutere le osservazioni chiave in ogni area di revisione che costituiranno la base per raccomandazioni, suggerimenti o buone pratiche. Inoltre, vengono discusse questioni trasversali che devono essere portate all'attenzione di altri revisori. Lacune e questioni circa le quali le informazioni ottenute fino a quel momento non sono chiare o sono incoerenti vengono condivise con i membri del team e discusse; vengono stabilite le priorità per il giorno successivo della revisione tra pari.

3. RACCOLTA DELLE INFORMAZIONI

Un EPREV può essere condotto solo attraverso un'adeguata raccolta e analisi delle informazioni. La review si basa su 25 requisiti applicabili, contenuti negli standard di sicurezza IAEA serie n. GSR parte 7. Le informazioni dovrebbero essere strutturate in base a questi 25 requisiti. Ci saranno alcune ridondanze e problemi trasversali, ed è per questo che questa divisione può essere percepita come lievemente artificiale. Tuttavia, garantisce coerenza tra le missioni e coerenza con i requisiti dell'AIEA.

Verranno raccolte e studiate informazioni da diverse fonti. Le informazioni necessarie possono essere rese disponibili attraverso documenti, relazioni, interviste, visite ecc. I seguenti 7 metodi possono essere menzionati al riguardo:

5.1   Sette modalità per la raccolta delle informazioni

1. Una revisione del materiale di riferimento avanzato (ARM), prima della missione
2. Consultazione di altri rapporti di revisione inter pares dell'AIEA per lo Stato ospitante
3. Una revisione di documenti aggiuntivi, che saranno richiesti dai revisori durante la missione, come piani di emergenza, protocolli ecc.
4. Interviste con controparti
5. Visite al sito
6. Osservazione diretta delle attività EPR, principalmente esercitazioni e simulazioni
7. Consolidamento delle osservazioni di tutti i revisori durante le riunioni quotidiane del Gruppo

5.1.1   Colloqui

Lo scopo dei colloqui è quello di raccogliere informazioni per chiarire, confermare o approfondire la comprensione di chi effettua la revisione su questioni specifiche. È importante ricordare che questi colloqui non sono interrogatori ma discussioni. Promuovono uno scambio bilaterale di informazioni. È importante che ciascun esperto prepari il colloquio in anticipo per:
- Identificare quali requisiti si applicano alla controparte
- Identificare le priorità
- Stabilire un ampio elenco di possibili domande da porre

Durante il colloquio gli esperti tengono note dettagliate e fattuali, non commenti qualitativi. Inoltre verificano le note con la loro controparte per garantire l'accuratezza. È importante tenere i colloqui in un'atmosfera aperta, trasparente e collaborativa, che consenta uno scambio bilaterale di informazioni

5.1.2   Visite dei siti

Le visite ai siti possono essere utili per l'osservazione di attrezzature, strutture e attività EPR, quali formazione o monitoraggio. Offrono inoltre l'opportunità di intervistare il personale operativo di tali strutture. Le visite al sito possono fornire ulteriori informazioni sulla "realtà" direttamente dai "luoghi di lavoro" del personale coinvolto.

5.1.3   Esercitazioni

Le esercitazioni possono fornire informazioni aggiuntive e utili alla revisione tra pari. Tuttavia, non sono sempre il modo più efficiente per verificare l'EPR nel corso di una missione. Essi generano notevoli impegni, organizzativi e per il loro svolgimento, in un momento in cui le risorse possono essere considerevolmente coinvolte nella missione EPREV. È inoltre necessario menzionare che l'osservazione corretta dell'esercitazione può richiedere più di un revisore per una parte considerevole della giornata, riducendo così in modo significativo il tempo di revisione disponibile per il team di *review*. Se l'osservazione di un'esercitazione fa parte della missione, è importante osservare e annotare i risultati (alla luce dei 25 requisiti).

5.2   Assicurazione di qualità

Infine, come buona prassi, i dati raccolti dovrebbero essere verificati attraverso controllo con la controparte, il confronto delle informazioni da una persona a un'altra e il confronto dei dati da una fonte di documenti a un'altra.

4. DETERMINAZIONI

Le *determinazioni* di una missione EPREV sono formulate in modo standardizzato come:
- Raccomandazioni
- Suggerimenti
- Buone pratiche

Ogni determinazione ha le seguenti componenti:
1. Osservazione (una breve esposizione di fatti a sostegno della determinazione e che sintetizza sinteticamente il testo della relazione pertinente a tale sezione).
2. Base (dovrebbe essere uno - e solo uno - paragrafo degli IAEA Safety Standards, dalla sezione corrispondente alla sezione del Rapporto EPREV).

Schema del rapporto delle osservazioni con le buone pratiche, suggerimenti e raccomandazioni:[4]
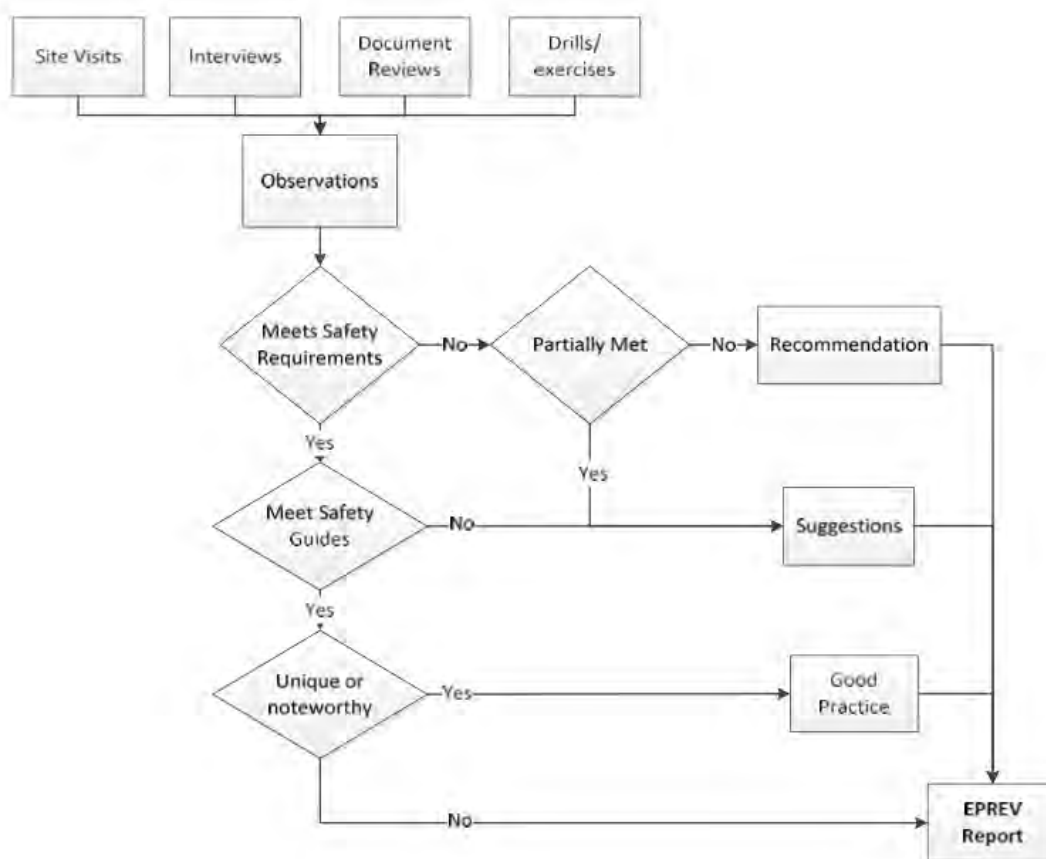
Fig. 3. Rapporto delle osservazioni con le buone pratiche, suggerimenti e raccomandazioni

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[4] Source: http://www-pub.iaea.org/MTCD/Publications/PDF/SVS-36_web.pdf Fig. 3. P. 24

6.1   Raccomandazioni

Le *raccomandazioni* riguardano aspetti delle disposizioni EPR che non sono pienamente coerenti con i requisiti di sicurezza dell'AIEA contenuti nella Parte 7 della GSR. Nella redazione delle raccomandazioni, è importante che esse siano specifiche, realistiche e progettate per ottenere miglioramenti tangibili. Dovrebbero anche indicare "cosa" deve essere raggiunto, non "come". Spetta allo Stato ospitante determinare il metodo migliore per raggiungere il risultato desiderato, come followup della missione.

Altri requisiti delle "raccomandazioni" sono che devono essere concise e autoesplicative, praticabili e attuabili. Inoltre, è importante che le basi della raccomandazione siano chiaramente documentate. Inoltre, i revisori dovrebbero essere sufficientemente aperti da comprendere che lo spirito della richiesta può essere soddisfatto anche se i termini, le disposizioni dettagliate o il metodo utilizzato sono in qualche modo diversi dal testo esatto della richiesta. Le raccomandazioni devono essere basate sui requisiti di sicurezza

6.2   Suggerimenti

I suggerimenti riguardano due tipi di osservazioni, vale a dire:
1) il requisito è soddisfatto ma le disposizioni non sono del tutto coerenti con le linee guida contenute nelle norme di sicurezza applicabili in materia di EPR

e / o

2) il requisito è soddisfatto ma si ritiene che potrebbero essere apportati miglioramenti tangibili, in termini di coerenza con i requisiti, dello stato di fatto

I suggerimenti hanno principalmente lo scopo di rendere lo stato di fatto più efficace o efficiente. Un "suggerimento" può essere proposto congiuntamente a una raccomandazione o può essere formulato autonomante. Proprio come con le "raccomandazioni", i "suggerimenti" devono essere chiaramente documentati e possono basarsi su Requisiti di Sicurezza o guide per la sicurezza. (Safety Requirements o Safety Guides).

6.3   Buone Pratiche

La terza categoria di determinazioni sono le "buone pratiche". Una buona pratica riflette un'organizzazione, un accordo, un programma o una prestazione superiore a quelli generalmente osservati altrove. Una buona pratica va oltre il rispetto delle esigenze o aspettative correnti e dovrebbe essere degna di attenzione da parte degli altri Stati membri. L'ambito delle buone pratiche dovrebbe essere uno qualsiasi dei requisiti o delle linee guida contenuti nelle norme di sicurezza dell'AIEA sull'EPR. Inoltre, una buona pratica non deve essere esclusiva o unica per lo Stato ospitante, ma non dovrebbe essere comune a molti soggetti.

8. REPORTING

Sin dal primo giorno, il team di EPREV inizia la stesura del rapporto della *peer review*. È disponibile un apposito modello. Le attività di revisione si svolgono durante il giorno e la stesura del rapporto è un'attività serale. Il team segue il seguente ciclo giornaliero:

7.1 Ciclo giornaliero per la redazione del report

1. Dopo la riunione quotidiana del team, se un revisore ha input o osservazioni specifici su un requisito per il quale non è il responsabile primario, la sua priorità principale è inviare tale input al responsabile primario, come concordato durante la riunione del team.
2. Ogni revisore raccoglie tutte le note relative alle sezioni di cui è responsabile e redige tali sezioni. Nel testo possono essere inserite note e domande che dovranno essere risolte prima della stesura finale
3. Ogni revisore invia al coordinatore dell'AIEA, alla fine di ogni giornata, la bozza giornaliera del rapporto
4. Il giorno seguente, il coordinatore dell'AIEA riunisce gli input in un'unica bozza di relazione armonizzata e coerente e la reinvia al team. Il progetto di relazione può contenere domande e commenti che devono essere indirizzati dai revisori.
5. Alla successiva riunione quotidiana, il coordinatore dell'AIEA espone commenti e problemi sul rapporto che devono essere affrontati dai revisori.
6. Dopo l'incontro quotidiano, ciascun revisore modifica la sezione pertinente del rapporto nell'ultima versione inviata dal coordinatore dell'AIEA e il ciclo continua.

7.2 Redazione delle determinazioni dell'EPREV, regole applicabili.

- Descrivere la situazione e lo stato di fatto
- Descrivere prove oggettive e constatazioni
- Identificare e collocare il requisito
- Redazione delle determinazioni (suggerimento, raccomandazione o buona pratica)

7.3 Linguaggio

I testi scritti dovrebbero essere il più semplice possibile. L'uso di un inglese semplice e chiaro è essenziale per una comunicazione chiara in un ambiente multiculturale. Inoltre, è necessario sottolineare che un rapporto EPREV non è un rapporto nazionale a favore del resto del mondo esterno. Le informazioni dovrebbero essere limitate a quelle che supportano le determinazioni. Le informazioni di carattere generale non sono utili a meno che non forniscano un contesto essenziale per le determinazioni.

Nella formazione degli esperti circa la stesura di un rapporto deve essere posta attenzione c per quanto segue:
- Alcune parole hanno più di un significato in inglese
- Le parole tecniche insolite o molto specifiche possono essere difficili da capire da parte di persone non di madrelingua inglese
- Le parole fantasiose utilizzate per dimostrare competenza rendono alcune dichiarazioni meno chiare
- Aggettivi multipli o avverbi rendono le frasi più difficili da comprendere

- Anche troppe clausole condizionali rendono i significati meno chiari
- Predisporre suggerimenti per quanto riguarda la scrittura di un rapporto (cose da fare, cose da non fare...)

7. Processo di presentazione del rapporto

Il seguente schema [5] e cronologia forniscono informazioni circa i passaggi da compiere nel completare il rapporto della missione:

Report status	Time
Il team porta a termine il progetto di relazione	Da due a quattro giorni prima della fine della missione
Presentazione del progetto di relazione concordato allo stato ospitante	Fine della missione
Consegna allo stato ospitante della bozza finale del rapporto	Quattro settimane dopo la missione
Ricezione dei commenti da parte del Coordinatore IAEA	Quattro settimane dopo la presentazione della versione finale del rapporto
Presentazione del rapporto finale da parte dell'AIEA, allo stato ospitante attraverso i canali ufficiali (normalmente attraverso la Rappresentanza Permanente dello stato presso la AIEA)	Quattro settimane dopo la ricezione dei commenti,

Da due o quattro giorni prima della conclusione della missione, una bozza della relazione preliminare sarà presentata al coordinatore EPREV dello Stato ospitante per commenti e riflessioni. Sarà organizzato un incontro tra il team di revisione e le controparti. Lo scopo di questa riunione è discutere e concordare tutte le osservazioni e correggere eventuali equivoci o errori.
Se concordato, i risultati preliminari dell'EPREV saranno presentati ai funzionari delle controparti. Questo può essere seguito o combinato con una conferenza stampa.

Dopo aver consegnato il rapporto in bozza finale ci sarà la possibilità per lo stato ospitante di formulare commenti. I commenti sul rapporto sono ben accetti e il rapporto finale sarà quindi reso disponibile allo Stato ospitante, attraverso la sua la Rappresentanza Permanente presso la AIEA

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[5] http://www-pub.iaea.org/MTCD/Publications/PDF/SVS-36_web.pdf , Table 2. Timeline for submission of EPREV report. P. 23

Abbreviazioni

ARM   Advanced Reference Material = materiale di riferimento avanzato

EPR   Emergency Peer Review = revisione tra pari sull'emergenza

EPREV   Emergency Preparedness Peer Review = revisione tra pari sul livello di preparazione all'emergenza

GSR   General Safety Requirements = requisiti generali di sicurezza

IAEA   International Atomic Energy Agency = AIEA Agenzia Internazionale per l'Energia Atomica

IEC   Incident and Emergency Centre = Centro Incidenti ed Emergenze

IMPEL   European Union Network for the Implementation and Enforcement of Environmental Law = Rete Europea per la Implementazione e l'Imposizione della Legislazione Ambientale

TOR   Terms of Reference = POD Piano Operativo di Dettaglio

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La Revisione dell'Implementazione della Normativa Ambientale nell'Unione Europea (*Environmental Implementation Review - EIR*) e lo strumento TAIEX- EIR *Peer to Peer*

L'attuazione della politica e della legislazione ambientale dell'UE è essenziale per un ambiente sano ed è un compito prioritario per gli Stati membri dell'UE. La Commissione europea ha tuttavia la responsabilità di sorvegliare sull'applicazione delle norme comuni concordate dal Parlamento europeo e dagli Stati membri in seno al Consiglio. Ogni due anni la Commissione europea conduce una revisione dell'implementazione ambientale (EIR) al fine di migliorare l'attuazione nel campo della politica e della legislazione ambientale dell'UE, identificando le cause delle lacune nell'attuazione della normativa e combattendo gli ostacoli sistemici all'integrazione ambientale nell'area politica e trovando soluzioni. Individua le principali criticità per ciascuno Stato membro, nonché le buone pratiche e i punti di eccellenza esistenti.

Per facilitare lo scambio di esperienze tra pari tra Stati membri, regioni e comuni sul miglioramento delle loro attività di implementazione della normativa europea, la direzione generale dell'Ambiente della Commissione europea ha lanciato un apposito strumento: la *Peer to Peer* TAIEX-EIR.

Riconoscimenti

Il presente allegato, commissionato da IMPEL e sviluppato da un team del progetto National Peer Review Initiative (NPRI), è parte di uno studio che mette a confronto diversi approcci di revisione o valutazione tra pari, allo scopo di sviluppare un metodo di revisione tra pari che può essere utilizzato all'interno di paesi e autorità competenti per supportarli nel loro miglioramento.

Il team NPRI riconosce il lavoro e le politiche della Commissione europea sulla Revisione dell'Implementazione della normativa ambientale Ambientale nell'Unione Europea (EIR), sull'iniziativa di Assicurazione della Conformità in campo Ambientale (Environmental Assurance Compliance - ECA), nonché sullo strumento *peer to peer* TAIEX-EIR. Inoltre, si riconosce il suo lavoro sullo sviluppo di un quadro di valutazione della governance ambientale negli Stati membri dell'UE svolto dall'Istituto per la politica ambientale europea (IEEP) come contenuto nella relazione finale n. 07.0203 / 2017/764990 / SER / ENV.E. 4 maggio 2019 e relativi allegati.

Clausola di non responsabilità

Sebbene sia stato fatto ogni sforzo per garantire l'accuratezza del materiale contenuto in questo documento, non è possibile garantirne la completa accuratezza. Gli autori non si assumono alcuna responsabilità per perdite o danni causati o dichiarati come correlati al

presente testo, in tutto o in parte, come conseguenza dell'azione o dell'astesione all'azione di chiunque, a seguito di nozioni contenuti nel presente documento . Questo documento intende esclusivamente fornire un contributo allo sviluppo di uno strumento di revisione tra pari nell'ambito del progetto IMPEL National Peer Review Initiative (NPRI).

Indice

1. Revisione dell'Implementazione della Normativa Ambientale nell'Unione Europea (Environmental Implementation Review - EIR)

1.1 Introduzione

L'implementazione delle politiche e della legislazione ambientale dell'UE è essenziale per un ambiente sano. Il superamento del divario tra ciò che è stato deciso e effettivamente attuato è fondamentale per garantire buona qualità ambientale, a beneficio dei cittadini, nonché per mantenere condizioni di parità per gli operatori economici e creare opportunità di innovazioni sociali e tecnologiche e di sviluppo economico. L'implementazione delle norme dell'UE è in primo luogo un compito degli stessi Stati membri dell'UE, ma la Commissione ha la responsabilità di sorvegliare l'applicazione delle norme comunitarie.

Nel febbraio 2017, la Commissione europea ha pubblicato per la prima volta uno studio di revisione dello stato di implementazione della normativa ambientale (EIR). L'EIR è un ciclo di analisi biennale condotto dalla Commissione europea e mira a migliorare l'attuazione nel campo delle politiche e della legislazione ambientale dell'UE, identificando le cause delle carenze di attuazione, affrontando gli ostacoli sistemici all'integrazione ambientale nei vari settori di policy, per stimolare dibattito sulle problematiche ambientali comuni e per trovare soluzioni ad esse. mappa le principali criticità per ciascuno Stato membro, nonché le buone pratiche e i punti di eccellenza esistenti. Le relazioni sui 28 paesi, pubblicate ogni due anni insieme a un riassunto delle tendenze e raccomandazioni comuni, si basano sulla ricerca documentale e sulla consultazione con gli Stati membri.
Il primo pacchetto di revisione sull'attuazione normativa in campo ambientale - EIR - è stato adottato nel febbraio 2017. Dalla sua adozione, molti Stati membri hanno organizzato confronti nazionali di revisione sull'attuazione normativa in campo ambientale sui temi prioritari identificati nelle relazioni che li riguardavano. In molti casi sono state coinvolte le autorità regionali e locali e le principali parti sociali interessate. La seconda serie di relazioni sulle EIR è stato edito nel 2019.

2. Obiettivi della EIR

L'obiettivo generale della revisione dell'implementazione ambientale (EIR) è supportare la realizzazione degli obiettivi delle politiche e della legislazione ambientali dell'UE. Il processo EIR mira a essere inclusivo e partecipativo, flessibile e in sinergia con attività già in corso sulla implementazione della normativa europea.

La Commissione affronta con gli Stati membri le cause delle carenze nell'attuazione della normativa ambientale e ricerca soluzioni ai problemi prima che diventino improcrastinabili. In questo contesto, l'iniziativa EIR mira a:

- migliorare le conoscenze comuni sulle carenze esistenti nell'attuazione della politica e della legislazione ambientale dell'UE in ciascuno Stato membro;
- fornire nuove soluzioni complementari all'applicazione della legge;
- affrontare le cause profonde e spesso intersettoriali di queste carenze;

e

- stimolare gli scambi di buone pratiche.

La Commissione informa[1] che la EIR, di conseguenza, verrà condotta allo scopo di:

- fornire un quadro informato e sintetico della posizione di ciascuno Stato membro in merito alle principali carenze nell'attuazione della normativa ambientale, sulla base della stessa serie di parametri di riferimento che riflettono gli obiettivi politici concordati in atto e gli obblighi chiave definiti dalla legislazione ambientale dell'UE;
- creare l'opportunità di un dialogo strutturato con ciascuno Stato membro sui risultati e le sfide da affrontare per colmare le lacune di attuazione e le azioni necessarie;
- fornire agli Stati membri un sostegno tempestivo e su misura per semplificare i loro sforzi per attuare il corpo normativo e le politiche ambientali dell'UE sulla base dei risultati dello studio riportati nelle relative relazioni;
- rafforzare la cultura della conformità dell'UE nel settore delle politiche ambientali e fornire una base informata per i dibattiti politici e le deliberazioni tra le istituzioni dell'UE relative alle sfide orizzontali, le opportunità e le possibili soluzioni volte a ridurre ulteriormente le carenze di attuazione della normativa ambientale;
- identificare e condividere le migliori pratiche e i problemi comuni e sfruttare al meglio l'esperienza disponibile in tutta l'UE, nonché impegnarsi con l'insieme delle parti interessate in azioni per colmare le lacune di attuazione della normativa ambientale;
- fornire feedback aggregati alla Commissione sul modo nel quale le politiche e la legislazione ambientali dell'UE funzionano e forniscono i risultati desiderati.

Per ognuno dei Paesi la Commissione presenta una relazione che mappa le principali criticità nell'attuazione della politica e della legislazione ambientali europee nonché le buone pratiche, compresi i punti di eccellenza in tale Paese.

3. Benefici

L'EIR mira a migliorare l'efficacia e l'efficienza nell'attuazione delle politiche e della legislazione ambientale quale complemento alle azioni della Commissione Europea nei confronti dei Paesi che non traspongono per tempo o adeguatamente la normativa europea nei propri ordinamenti. Un chiaro vantaggio di questo approccio è che può far emergere questioni critiche e possibilmente soluzioni strutturali in modo preventivo e trasparente, in

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[1] https://ec.europa.eu/environment/eir/objectives/index_en.htm

alcuni casi anche prima della scadenza dei termini per la trasposizione e la messa in atto dei provvedimenti europei. Sia gli Stati membri e la Commissione beneficiano di questo approccio.[2]

3.1   Stati membri

Gli Stati membri otterranno:
- L'opportunità di scambiare buone pratiche e accedere a conoscenze e competenze reciproche per affrontare le proprie problematiche ambientali.
- L'individuazione delle problematiche ambientali comuni da affrontare collettivamente, se del caso.
- Una migliore comprensione dei problemi, il che aumenta l'accettazione degli esiti dell'EIR e del relativo supporto per la risoluzione delle criticità.
- L'occasione di apprendere gli uni dagli altri (*peer to peer*), sulla base delle azioni poste in essere da ciascuno Stato membro.
- L'opportunità per un uso più mirato dei fondi dell'UE, lo stimolo di tassi di assorbimento dei fondi UE più elevati e la messa in evidenza delle priorità reali delle politiche più opportune per investimenti intelligenti.
- Maggiore visibilità al pubblico e alle parti interessate dei risultati raggiunti nell'affrontare le criticità cui devono far fronte, nonché dei costi e dei benefici delle misure necessarie.

3.2   Commissione

La Commissione otterrà:
- Un'opportunità per identificare potenziali soluzioni sistemiche ai problemi di implementazione della legislazione ambientale
- Consapevolezza precoce sulle problematiche in atto e il rafforzamento della dimensione preventiva relativa all'applicazione del diritto dell'Unione.
- Che gli Stati membri agiscano con migliore anticipo sulle questioni che richiedono un'azione correttiva, in linea con i principi di politica pubblica dell'UE;
- Una migliore comprensione delle sfide cui devono far fronte le autorità nazionali nell'applicazione del diritto dell'Unione, utile anche nel riesaminare la legislazione ambientale esistente o proponendone della nuova.
- Miglioramento dell'utilizzo dei dati disponibili già a disposizione della Commissione in quanto l'iniziativa richiede la l'organizzazione e la valutazione delle informazioni disponibili in un modo più mirato, specifico per paese.
- Una panoramica trasversale delle principali sfide nell'attuazione della normativa europea.

4. Quadro di valutazione

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[2] Delivering the benefits of EU environmental policies through a regular Environmental Implementation Review; https://eur-lex.europa.eu/legal-content/EN/TXT/HTML/?uri=CELEX:52016DC0316&from=EN

La prima serie di rapporti di valutazione per i 28 Stati membri, emessi nel 2017, ha rivelato la mancanza di solide metodologie per valutare i vari aspetti della governance ambientale. In alcuni casi, i dati e le informazioni pertinenti a sostegno delle valutazioni non erano prontamente disponibili, in particolare l'accesso alle informazioni, gli accordi di partecipazione pubblica o le informazioni sulla capacità amministrativa necessaria per garantire l'integrazione degli aspetti ambientali negli atti di pianificazione. Per superare questo problema, la commissione ha incaricato l'Istituto per la politica ambientale europea (IEEP) di condurre un progetto con l'obiettivo principale di sviluppare una metodologia - un *quadro di valutazione* - per valutare le prestazioni di governance ambientale delle pubbliche amministrazioni in ciascuno degli Stati membri dell'UE.

Il progetto è giunto alla conclusione di utilizzare, modificare e ristrutturare cinque dimensioni della governance ambientale, vale a dire: trasparenza, partecipazione, accesso alla giustizia, garanzia di conformità / responsabilità ed efficacia / efficienza:

Dimensione	Descrizione
Trasparenza	Sotto la dimensione della trasparenza, la valutazione ha esaminato il flusso e la qualità delle informazioni a supporto della politica ambientale. Un elemento importante per garantire decisioni informate in materia di politica ambientale è la disponibilità di dati ambientali da parte di un'ampia gamma di organizzazioni e del pubblico in generale.
Partecipazione	Un'ampia partecipazione al processo decisionale, anche da parte di un'ampia gamma di parti interessate, membri del pubblico e gruppi della società civile, può contribuire in modo significativo a garantire che le decisioni politiche tengano conto di una vasta gamma di fattori e che le decisioni abbiano il supporto di una base ampia. La valutazione ha riguardato in particolare il modo in cui i paesi dell'UE hanno consentito la partecipazione del pubblico e le questioni correlate come la fiducia del pubblico nelle istituzioni; percezione degli individui della loro capacità di influenzare i risultati ambientali; ed equità e inclusività del processo decisionale ambientale.
Accesso alla giustizia	Per garantire che gli impegni assunti nella legislazione siano rispettati nella pratica, sono fondamentali meccanismi giuridici efficaci relative alle azioni per l'implementazione delle politiche ambientali e alle azioni per il ripristino della conformità alla legislazione ambientale. La valutazione si concentra sul ruolo dei cittadini e delle associazioni ambientaliste nell'uso degli Organi di Giustizia nazionali per garantire la conformità alla normativa, piuttosto che sull'intervento delle autorità pubbliche, che viene trattato nell'ambito della dimensione di garanzia della conformità.
Assicurazione della conformità	La valutazione esamina tre classi di intervento che le autorità intraprendono per garantire che le attività economiche e di altro tipo rispettino le norme ambientali: promozione, monitoraggio e azioni per il ripristino della conformità (enforcement). Analizza anche la gestione degli esposti e lamentele su questioni ambientali da parte di singoli cittadini e di associazioni.
Efficacia ed efficenza	Sotto questo titolo, la valutazione copre una vasta gamma di questioni, incluso il modo in cui le risorse (finanziarie, materiali e umane) vengono utilizzate per raggiungere gli obiettivi ambientali e se esistono meccanismi efficaci per garantire che le problematiche ambientali siano considerate in altre aree dell'amministrazione e delle politiche.

All'interno di queste dimensioni, sono stati identificati 21 temi[3], nonché un tema trasversale sul "contesto e le caratteristiche della governance ambientale". Ciò al fine di fornire il necessario quadro dell'assetto istituzionale necessario per la comprensione delle informazioni relative alle cinque dimensioni.

E' stata identificata una gamma di domande (con indicatori)[4], centrata su questo quadro di valutazione, che ha costituito la base dello studio delle caratteristiche e delle prestazioni di governance ambientale negli Stati membri. Le domande sono state scelte in base a una combinazione di pertinenza, percezione della probabilità di identificare informazioni simili in diversi Stati membri per fornire risposte e comparabilità delle informazioni risultanti (e quindi della misura in cui potrebbero essere utilizzate per generare informazioni a livello dell'UE).

I risultati del progetto di studio, così come contenuti in un apposito report[5], definiscono una metodologia iniziale. Lo studio è stato utilizzato anche nella preparazione della EIR del 2019 [6]. La Commissione lavorerà ora con i paesi dell'UE per sviluppare ulteriormente tale quadro di valutazione. Oltre a contribuire all'EIR, il quadro di valutazione deve essere parte integrante, e strumento importante, di tutte le attività relative alla governance ambientale, compresa l'attuazione del piano d'azione sulla garanzia di conformità[7] e la razionalizzazione della comunicazione e il miglioramento della disseminazione attiva, in campo ambientale, a livello nazionale.

5. Metodologia

La valutazione della governance ambientale effettuata nel 2019, utilizzando il quadro di valutazione sviluppato, è condotta a tre livelli e in due fasi (valutazione complessiva e specifica)[8]:

- Livello 1: aggregazione al livello delle cinque dimensioni
- Livello 2: aggregazione a livello di temi (sub-dimensioni)
- Livello 3: singoli indicatori o criteri di valutazione, per tema

Quando possibile e opportuno, vengono selezionate aree specifiche o campioni illustrativi al fine di generare informazioni comparabili in tutti i paesi dell'UE.

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[3] Development of an assessment framework on environmental governance in the EU Member States, No 07.0203/2017/764990/SER/ENV.E.4 Final report May 2019, p7, p8;
https://ec.europa.eu/environment/environmental_governance/pdf/development_assessment_framework_environmental_governance.pdf#page=248
[4] Criteria for categorization of Member States performance, Annex 5,
https://ec.europa.eu/environment/environmental_governance/pdf/development_assessment_framework_environmental_governance.pdf#page=248
[5] https://ec.europa.eu/environment/environmental_governance/pdf/development_assessment_framework_environmental_governance.pdf
[6] https://ec.europa.eu/environment/eir/index_en.htm
[7] https://ec.europa.eu/environment/legal/compliance_en.htm
[8] Development of an assessment framework on environmental governance in the EU Member States, No 07.0203/2017/764990/SER/ENV.E.4 Final report May 2019, p17;

Al fine di aiutare a identificare i modelli di approccio alla governance ambientale e a confrontare le prestazioni tra gli Stati membri in termini generali, il progetto ha sviluppato un approccio a una classificazione delle prestazioni in relazione alle singole domande e, al fine di comprendere le prestazioni per ciascun membro rispetto ad ognuna delle dimensioni, assegnando un semplice valore numerico alle categorie di prestazioni sulla base dei dati raccolti su singole domande.[9]

6. Il ciclo dell'Environmental Implementation Review - EIR

Il primo ciclo EIR è stato effettuato nel 2017. I rapporti sono state redatti dalla Commissione sulla base di informazioni pubblicamente disponibili e, se necessario, rivedute dopo la consultazione con gli Stati membri.

A partire dal secondo ciclo, la Commissione riferisce sui progressi compiuti nell'attuazione della normativa dell'Unione, anche in seguito alle conclusioni del ciclo precedente.

Nel secondo ciclo biennale:
- I primi progetti di rapporto sulla valutazione della governance per ogni Stato membro sono stati preparati sulla base di informazioni pubblicamente disponibili, non integrati da interviste o interrogazioni alle autorità degli Stati membri, nel tentativo di evitare di porre richieste eccessive, al momento, ai funzionari competenti.
- Gli Stati membri hanno avuto quindi la possibilità di rispondere al progetto di valutazione, commentando o correggendo gli errori di fatto, rispondendo a specifiche richieste di informazioni supplementari o fornendo ulteriori informazioni che ritenevano pertinenti.
- Nel corso del progetto si sono svolti tre workshop con funzionari degli Stati membri e altre parti interessate al fine di:
  - discutere il progetto di quadro di valutazione;
  - discutere le valutazioni emergenti;
  - discutere i risultati emergenti di questa relazione e prendere in considerazione approcci alla categorizzazione delle prestazioni.

7. *Peer Learning* per autorità ambientali - (TAIEX - EIR) Peer to Peer Tool

Poco dopo l'adozione del primo pacchetto di rapporti, la Direzione generale per l'ambiente della Commissione europea ha lanciato lo strumento TAIEX-EIR Peer to Peer per facilitare il mutuo apprendimento tra i paesi membri, le regioni e i comuni sul miglioramento delle pratiche con le quali danno attuazione alla normativa ambientale. Questo nuovo strumento, chiamato TAIEX-EIR P2P[10], fornisce un supporto pratico e su misura e si basa sullo strumento

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[9] Criteria for categorization of Member States performance:
https://ec.europa.eu/environment/environmental_governance/pdf/development_assessment_framework_environmental_governance.pdf#page=248
[10] https://ec.europa.eu/environment/eir/p2p/index_en.htm

TAIEX già esistente, di successo e ben consolidato della Direzione Generale Politica europea di vicinato e negoziati di allargamento (NEAR) della Commissione e si applica alle leggi e alle politiche ambientali nel contesto dell'EIR.

La ragione per il lancio dello strumento è il fatto che in tutta l'UE migliaia di professionisti che possiedono una ricchezza di conoscenze e un know-how inestimabile, che potrebbe essere scambiato al fine di migliorare l'attuazione a livello nazionale, sono coinvolti nell'attuazione della politica e della legislazione ambientale, regionale e locale. Complessivamente, le autorità ambientali degli Stati membri a tutti i livelli hanno un enorme potenziale per migliorare le loro prestazioni ambientali attraversi un processo di mutuo apprendimento.

Lo strumento TAIEX – EIR Peer to Peer ha avuto successo. Nel 2018, primo anno operativo dello strumento, tutti gli Stati membri sono stati coinvolti in almeno un evento e più del 50% degli eventi sono stati workshop multinazionali. In 19 progetti realizzati nel 2018, lo strumento è stato utilizzato principalmente dalle autorità ambientali. La Commissione si impegna affinchè anche altre autorità competenti inizino a utilizzare lo strumento.

7.1   Supporto allo Scambio tra Pari

L'assistenza TAIEX - P2P dell'EIR finanzierà gli scambi di esperti sulle politiche e la legislazione ambientale dell'UE che sono collegate alle questioni coperte dai rapporti dell'EIR sui paesi o alle sfide comuni e alle cause profonde delle carenze nell'attuazione emerse con l'EIR. L'assistenza è fornita su richiesta delle istituzioni pubbliche degli Stati membri coinvolte nell'attuazione della politica e della legislazione ambientale dell'UE. Il tipo di scambio si basa su esigenze concrete e specifiche identificate dalle autorità responsabili nel proprio paese o regione dell'attuazione della politica e della legislazione dell'UE in materia ambientale.

A seconda dello scopo dello scambio, l'attenzione può concentrarsi maggiormente sull'apprendimento da uno specifico esempio di buona pratica, un'esperienza specifica o conoscenza o più su uno scambio reciproco di esperienze tra autorità ambientali su una particolare criticità nell'attuazione della normativa ambientale.

Le seguenti tre attività e scambi sono supportati da TAIEX-EIR PEER 2 PEER:

Missioni di esperti	Gli esperti di un'autorità ambientale di uno Stato membro dell'UE visitano un'autorità ambientale di altri Stati membri che ha richiesto consulenza tra pari e scambio di esperienze su un argomento specifico. Le missioni di esperti possono durare da due a cinque giorni.
Visite di studio	Il personale (massimo tre) di un'autorità ambientale richiedente conduce una visita di lavoro presso altre istituzioni di uno Stato membro dell'UE per scambiare buone pratiche e svolgere attività di apprendimento reciproco. Una visita di studio può durare da due a cinque giorni.

Workshop	In un'istituzione richiedente possono essere organizzati workshop con le autorità ambientali di uno o più Stati membri dell'UE (workshop singoli o pluri-nazionali). I workshop durano normalmente due giorni.

Attraverso lo strumento Peer to Peer di TAIEX-EIR, possono essere finanziati i costi di viaggio, alloggio e una diaria per gli esperti che partecipano a missioni o workshop. Inoltre, può essere versata all'esperto o al suo datore di lavoro un'indennità giornaliera per giorno lavorativo. La lingua di lavoro è l'inglese. L'uso di interpreti può essere finanziato se la necessità è resa plausibile. Costi per la sede, catering o la stampa di materiale di base non sono finanziati.

7.2   Come richiedere assistenza?

L'assistenza tramite lo strumento TAIEX – EIR P2P può essere richiesta da:

- Dipartimenti e agenzie nazionali, regionali e locali;
- Coordinamento delle autorità;
- Autorità preposte alle attività di Ispezione e Audit;
- Autorità preposte al rilascio delle Autorizzazioni;
- Le imprese regionali o locali implicate nell'attuazione della normativa ambientale a cui è affidato un compito pubblico, la cui richiesta di assistenza TAIEX è sostenuta da un'Autorità;
- Reti di esperti coinvolti nell'attuazione e nell'applicazione della normativa ambientale in collaborazione con un'Autorità ambientale degli Stati membri.

La richiesta di assistenza deve essere presentata elettronicamente ed è soggetta all'approvazione della Commissione europea. Il processo di richiesta, lo scambio e la rendicontazione contengono i passaggi successivi:

Richiesta di scambio P2P TAIEX-EIR	L'amministrazione di uno Stato membro chiede assistenza, attraverso uno formulario di richiesta[11] o di richiesta on-line[12].
Valutazione della domanda	La Commissione esamina e revisiona la domanda e decide se la richiesta di scambio peer-to-peer sia ammissibile e giustificata.
Preparazione per lo scambio	Una volta che la Commissione assume una decisione positiva, inizia la preparazione dello scambio, compreso il processo di selezione degli esperti e la definizione di dettagli pratici in stretta cooperazione con l'istituzione richiedente.

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[11] Online application TAIEX-EIR P2P:
https://webgate.ec.europa.eu/TMSWebRestrict/resources/js/app/#/applicationform/home

[12] TAIEX-EIR P2P application template:
https://ec.europa.eu/environment/eir/pdf/TAIEX%20application%20template.pdf

Organizzazione dello scambio	La Commissione, tramite il suo fornitore di servizi esterni presso la DG NEAR, fornisce supporto amministrativo per l'organizzazione tecnica dell'evento e copre i costi delle missioni di esperti, delle visite di studio e dei workshop.
Reporting	A seguito della conclusione dello scambio (o di una serie di scambi) gli esperti presentano una relazione con documenti e presentazioni correlati, comprese le relative conclusioni/raccomandazioni, da mettere a disposizione al pubblico.
Valutazione dello scambio	Ai fini di stimare l'impatto dello scambio, i beneficiari dell'assistenza formulano valutazioni, entro 15 giorni lavorativi e anche dopo 6 mesi

TAIEX-EIR PEER 2 PEER si avvale dell'ampia ed estesa banca dati di esperti TAIEX, che comprende molti esperti pubblici e professionisti che hanno una buona esperienza nel settore delle politiche ambientali.

A questo proposito, anche le reti delle autorità ambientali e gli esperti, come IMPEL, forniscono contributi indispensabili allo scambio di conoscenze e buone pratiche nell'attuazione della politica e della legislazione ambientale. TAIEX-EIR PEER 2 PEER può integrare le attività di queste reti.

Ulteriori informazioni:

Evento di lancio **TAIEX-EIR PEER 2 PEER** (7 Settembre 2017): All presentations Link a tutte le presentazioni.

List of abbreviations

ECA   -   Environmental Compliance and Assurance Initiative
EIR   -   Environmental Implementation Review (EIR)
EU   -   European Union
IEEP   -   Institute for European Environmental Policy
NPRI   -   National Peer Review Initiative
P2P   -   Peer to Peer
TAIEX -   Technical Assistance and Information Exchange instrument of the European
                Commission

Riferimenti

Objectives of the Environmental Implementation Review: available from
https://ec.europa.eu/environment/eir/objectives/index_en.htm

Delivering the benefits of EU environmental policies through a regular Environmental
Implementation Review; available from: https://eur-lex.europa.eu/legal-
content/EN/TXT/HTML/?uri=CELEX:52016DC0316&from=EN

https://www.ecologic.eu/15201

European Environmental Policy (IEEP); available from https://ieep.eu/

Development of an assessment framework on environmental governance in the EU Member
States, No 07.0203/2017/764990/SER/ENV.E.4 Final report May 2019, p7, p8; Available
from
https://ec.europa.eu/environment/environmental_governance/pdf/development_assessment_fr
amework_environmental_governance.pdf#page=248

Criteria for categorization of Member States performance, Annex 5; Available from
https://ec.europa.eu/environment/environmental_governance/pdf/development_assessment_fr
amework_environmental_governance.pdf#page=248

Development Assessment Framework EIR; Available from:
https://ec.europa.eu/environment/environmental_governance/pdf/development_assessme
nt_framework_environmental_governance.pdf

https://ec.europa.eu/environment/eir/index_en.htm

Assessment Framework: https://ec.europa.eu/environment/eir/index_en.htm; p 16 - 29

https://ec.europa.eu/environment/legal/compliance_en.htm

Development of an assessment framework on environmental governance in the EU Member
States, No 07.0203/2017/764990/SER/ENV.E.4 Final report May 2019, p17;

TAIEX-EIR Peer to Peer Tool; Available from:
https://ec.europa.eu/environment/eir/p2p/index_en.htm

Online application TAIEX-EIR P2P: Available from:
https://webgate.ec.europa.eu/TMSWebRestrict/resources/js/app/#/applicationform/home

[1] TAIEX-EIR P2P application template: Available from:
https://ec.europa.eu/environment/eir/pdf/TAIEX%20application%20template.pdf

Allegato IV

Iniziativa di revisione tra pari di IMPEL (IMPEL Review Initiative - IRI)

L'IMPEL Review Initiative (IRI) è lo strumento di revisione inter pares di IMPEL che riunisce un team di esperti tecnici e professionisti che rivede i processi e le procedure delle autorità ambientali nei paesi membri IMPEL. L'obiettivo è identificare buone e migliori pratiche nonché "opportunità di sviluppo". Queste sono aree o temi in cui il team di revisione consiglierebbe di apportare miglioramenti basati su sviluppi ed esperienze di altri paesi Europei. I risultati della Peer Review sono presentati all'Organizzazione ospitante sotto forma di presentazione all'alta dirigenza, nonchè in una relazione finale.

Riconoscimenti

Il presente allegato, commissionato da IMPEL e sviluppato da un team del progetto National Peer Review Initiative (NPRI), è parte di uno studio che mette a confronto diversi approcci di revisione o valutazione tra pari, allo scopo di sviluppare un metodo che puossa essere utilizzato all'interno di paesi e autorità competenti per supportarli nel loro miglioramento.

The NPRI-team riconosce il lavoro del Network Europeo per l'implementazione della normativa ambientale e per il ripristino della conformità IMPEL per lo sviluppo e l'applicazione dello schema IRI.

Disclaimer

Sebbene sia stato fatto ogni sforzo per garantire l'aderebza del materiale contenuto in questo documento rispetto all'originale, non è possibile garantirne la completa accuratezza. Gli autori non si assumono alcuna responsabilità per perdite o danni causati o dichiarati come correlati al presente testo, in tutto o in parte, come conseguenza dell'azione o dell'astensione all'azione di chiunque, a seguito di nozioni contenutei nel presente documento . Questo testo intende esclusivamente fornire un contributo allo sviluppo di uno strumento di revisione tra pari nell'ambito del progetto IMPEL National Peer Review Initiative (NPRI).

Indice

1. IMPEL Review Initiative (IRI)

1.1   Introduzione

L'IMPEL Review Initiative (IRI) è lo strumento di revisione inter pares di IMPEL, in uso dal 2001. L'IRI riunisce un team di esperti tecnici e professionisti che rivede i processi e le procedure delle autorità ambientali nei paesi membri IMPEL, per identificare le buone e migliori pratiche e le "opportunità di sviluppo". Queste sono aree o temi in cui il team di revisione consiglierebbe di apportare miglioramenti basati su sviluppi ed esperienze di altri paesi Europei. Un IRI è una revisione informale e uno schema volontario e non un processo di audit e ha lo scopo di consentire all'autorità ambientale ospitante e al gruppo di revisione di esplorare come l'autorità ospitante svolge i propri compiti. I risultati della Peer Review vengono quindi presentati all'ospite sotto forma di presentazione al *senior management*, nonché in una relazione finale.

1.2   Background

L'IRI è stato istituito per attuare la raccomandazione del Parlamento europeo e del Consiglio (2001/331 / CE) che prevede criteri minimi per le ispezioni ambientali (RMCEI), dove afferma:

"Gli Stati membri dovrebbero prestarsi reciprocamente assistenza sul piano amministrativo nell'attuare la presente raccomandazione. L'istituzione, da parte degli Stati membri in collaborazione con l'IMPEL, di relazioni e di sistemi di consulenza in materia di ispezioni e procedure ispettive contribuirebbero a promuovere le migliori pratiche nella Comunità."

L'IRI ha lo scopo di consentire all'autorità ambientale ospitante e al team di revisione di esplorare il modo in cui l'autorità svolge i suoi compiti, rivedere tra pari la struttura e la fase operativa delle proprie prestazioni. Il risultato della revisione tra pari è l'oggetto di un rapporto, presentato in termini di opportunità di sviluppo e buone pratiche indirizzato all'Organizzazione ospitante; al termine delle attività esso viene pubblicato sul sito web di IMPEL.

1.3   Benefici potenziali di un IRI

Gli Stati membri che ospitano un IRI beneficeranno di una revisione dei suoi sistemi e procedure, da parte di esperti, con particolare attenzione alla conformità con la Raccomandazione (2001/331/CE) RMCEI. I partecipanti al gruppo di esperti che collaborano nelle attività di revisione potranno ampliare e approfondire la loro conoscenza e comprensione delle procedure di ispezione in campo ambientale. Attraverso la rete IMPEL anche altri Stati membri trarranno vantaggio dalla diffusione dei risultati del riesame.

Allo stesso tempo, i decisori politici dell'UE e nazionali traggono beneficio dall'IRI attraverso l'accesso ad una significativa base esperienziale sui punti di forza e spazi di miglioramento nel lavoro svolto delle autorità ambientali. Ciò può consentire ai responsabili politici di intraprendere azioni, ad es. può consentire ai responsabili politici nazionali di valutare se è necessario modificare il mandato legale degli ispettorati ambientali. La pubblicazione di del rapporto relativo ad una IRI fornisce inoltre al pubblico rilevanti informazioni ambientali.

I potenziali benefici di un IRI includono:

- fornire consulenza alle autorità ambientali in cerca di una valutazione di parte terza, condotta da esperti di altri paesi membri di IMPEL, della loro struttura, funzionamento o prestazioni
- incoraggiare lo sviluppo di capacità (*capacity building*) nelle autorità ambientali nei paesi membri di IMPEL;
- incoraggiare lo scambio di esperienze e la collaborazione tra tali autorità su questioni e problemi comuni;
- diffondere le buone pratiche per migliorare la qualità del lavoro degli ispettori e degli altri funzionari che lavorano all'interno delle autorità ambientali e contribuire al miglioramento continuo della qualità e della coerenza dell'applicazione della legislazione ambientale in tutta l'UE (il c.d. "*level playing field*" - condizioni di parità).

2.0 Contenuto di un IRI

Contenuto in breve

Di seguito è riportato un esempio di problemi che il team di revisione esamina nel corso di di un IRI:
- Attività di autorizzazione – messa in luce del processo di rilascio, revisione e revoca di autorizzazioni, sanzioni, coinvolgimento del pubblico, onerosità del rilascio delle autorizzazioni;
- Criteri e procedure per la pianificazione delle ispezioni;
- Quadro operativo – visibilità di quali disposizioni, istruzioni, attrezzature sono disponibili per dare modo agli ispettori e ad altro personale di svolgere le attività di ispezione;
- Esecuzione e rendicontazione – Conoscenza di come vengono svolte e tradotte in report le attività di ispezione ordinarie e straordinarie;
- Prestazioni e loro monitoraggio – conoscenza di come l'autorità ambientale valuta le propriew
- prestazioni.

1. Metodologia

3.1   How to organize an IRI?

IMPEL has developed an information package[1] (attachment 1) that explains step by step how an IRI is organized. With reference to the information package, the organizational steps can be briefly described as follows:

3.1.1   Per iniziare

1. Visita la pagina IRI sul sito web IMPEL e mettiti in contatto con un "Ambasciatore IRI".
2. L'ambasciatore contatterà il richiedente e discuterà il caso. L'ambasciatore aiuterà a redigere un progetto (ToR) e nominerà un team leaed e un relatore per l'IRI
3. Verrà definito un ToR e presentato al gruppo di esperti e all'Assemblea generale IMPEL
4. Si definiscono i partecipanti da invitare all'IRI?
5. 5. Prima dell'IRI, si terrà una riunione preparatoria di 1 giorno. Durante questa riunione verranno concordati l'ambito di applicazione dell'IRI nonché i lavori preparatori necessari da effettuare prima dello svolgimento dell'IRI stesso.
6. Le informazioni richieste saranno inviate dall'Organizzazione ospitante al gruppo di progetto, compreso un "capitolo A" completo del questionario (allegato 2)

3.1.2   During the review

1. Il team dei revisori si incontrerà la sera prima dell'inizio della revisione e discuterà delle aspettative e degli obiettivi per la revisione.
2. Revisione: il Team Lear dirigerà la revisione. Può invitare membri del team di revisione a condurre determinate sezioni della review in base alla loro esperienza. L'ospitante potrebbe voler presentare una panoramica dei contenuti delle sezioni del questionario per definire il contesto generale per le presentazioni settoriali. Alla fine della giornata, il team di revisione discuterà i risultati e concorderà i punti relativi alle migliori pratiche e alle aree di sviluppo. Ne discuteranno brevemente all'inizio del giorno successivo *dopo aver avuto la possibilità di dormire sopra a ciò che hanno imparato!*
3. Sarà redatto un progetto di relazione
4. Il progetto di relazione sarà discusso con il team di revisione. Il testo dei capitoli A e B è fornito dall'Organizzazione ospitante in modo tale da poter essere incluso nel rapporto con facilità.

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[1] IMPEL Review Initiative, Information Package 2016

5. 5. L'ultimo giorno della revisione verrà discussa una bozza della relazione con l'Organizzazione ospitante
6. Il progetto di relazione sarà completato.
7. Al termine della visita il viene presentato all'Organizzazione ospitante il progetto di relazione

3.1.3 Dopo la review

1. Terminare la redazione del rapporto
2. Il rapporto verrà presentato al team di esperti
3. Il rapporto sarà presentato all'Assemblea Generale IMPEL per l'approvazione
4. Regolare le questioni finanziarie
5. Scrivere un articolo per il sito di Web IMPEL

3.2   Questionario

Per quanto riguarda la metodologia, oltre ad un manuale su "come organizzare un IRI", viene redatto e inviato in anticipo all'autorità ospitante un questionario su misura (allegato 2), che sarà utilizzato dai revisori durante le attività; tale questionario è focalizzato su gli argomenti su cui si concentra la revisione.

Il questionario è stato progettato in modo tale che l'autorità ambientale venga valutata rispetto ai requisiti di RMCEI, IED (AIA), SEVESO (RIR) e della direttiva sui rifiuti. Il testo guida IMPEL "Do the Right Thing" ("Fare le cose giuste") [2] per la pianificazione delle ispezioni ambientali è utilizzato come traccia per strutturare il questionario e la review. Il testo guida è stato sviluppato per supportare gli ispettorati nell'attuazione dell'RMCEI e descrive le diverse fasi del ciclo di ispezione ambientale ai sensi di tale Raccomandazione.

Con riferimento al questionario, si possono distinguere i seguenti segmenti:

- Parte A - Definizione del quadro normativo di protezione ambientale nel paese membro IMPEL.
- Parte B– Attività relative al rilascio di autorizzazioni
- Parte C - Esecuzione delle attività di ispezione (ciclo di ispezione ambientale)
- Parte D - Visita al sito

Ogni parte del questionario tratta di vari argomenti, nonché domande a cui è necessario rispondere.

3.3   Composizione del Team IRI

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[2] https://www.impel.eu/projects/doing-the-right-things-methodology/

La revisione viene condotta da un gruppo di revisione composto da circa otto esperti IMPEL, come ampia rappresentanza della rete stessa, nel corso di vari giorni, presso la sede dell'Autorità ospitante. Gli esperti coprono con la loro competenza materie quali il processo autorizzativo, l'ispezione, le attività per il ripristino del rispetto della legge (enforcement), le le policy e l'area legale di diversi paesi e dispongono di competenze pertinenti in settori di politicy, tecnici e organizzativi. Il pacchetto delle informazioni fornito mette a disposizioni e anche indicazioni sui ruoli e le responsabilità, nonché sulle qualifiche dei vari membri del team.

3.4   Tempo impiegato e costi

Il costo finanziario (€) di un IRI è relativamente basso. Il costo più significativo è la risorsa tempo, ad esempio il tempo-persona per pianificare ed eseguire l'IRI a livello di Organizzazione ospitante.
Servizi aggiuntivi come traduzione e formazione aumenteranno i costi di un IRI. Si ritiene ciò rappresenti un eccellente rapporto qualità-prezzo in quanto tutto il tempo messo a disposizione dai partecipanti è a titolo non oneroso. Pertanto, nella decisione di effettuare un IRI, il costo non dovrebbe costituire un fattore negativo
L'IRI dura 3 - 3,5 giorni e segue un processo standardizzato. Inoltre, devono essere calcolati 2 giorni per la riunione preparatoria.

2. Collegamento dell'IRI con l'iniziativa di Assicurazione della Conformità Ambientale (Environmental Compliance and Assurance - ECA – Initiative)[3]

Il 18 gennaio 2018 la Commissione europea ha adottato un piano d'azione in 9 punti[4] per incrementare i livelli di conformità e migliorare la capacità di governance relativamente norme ambientali dell'UE in materia di attività potenzialmente impattanti sull'ambiente. Le azioni erano mirate ad essere attuate nel periodo 2018-2019 con il supporto dei paesi dell'UE e delle reti europee di agenzie ambientali, ispettori, revisori, polizia, pubblici ministeri e giudici. Le varie azioni sono ulteriormente dettagliate in un apposito documento di lavoro ("'staff working document'"[5]). IMPEL è stata invitata a svolgere importanti compiti per dare compimento a diverse azioni, tra cui l'implementazione e l'ulteriore sviluppo dell'IRI. In merito alle revisioni tra pari, la Commissione ha dichiarato[6]:

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[3] COM (2016), 710 final, Commission Work Programme 2017

[4] https://ec.europa.eu/environment/legal/pdf/COM_2018_10_F1_COMMUNICATION_FROM_COMMISSION_TO_INST_EN_V8_P1_959219.pdf

[5] COMMISSION STAFF WORKING DOCUMENT Environmental Compliance Assurance —scope, concept and need for EU actions Accompanying the document EU actions to improve environmental compliance and governance {COM(2018)10final}; https://ec.europa.eu/environment/legal/pdf/SWD_2018_10_F1_OTHER_STAFF_WORKING_PAPER_EN_V5_P1_959220.pdf

[6] Staff working document, p. 17; https://ec.europa.eu/environment/legal/pdf/SWD_2018_10_F1_OTHER_STAFF_WORKING_PAPER_EN_V5_P1_959220.pdf

"Ciò consente alle autorità con il compito di assicurare la conformità alla normativa ambientale in uno Stato membro di beneficiare di una revisione delle loro strutture e pratiche da parte di professionisti della assicurazione della conformità di altri Stati membri. Le revisioni più consolidate sono quelle condotte nell'ambito della IMPEL Review Initiative (IRI) che si concentra sulla revisione e valutazione dei sistemi nazionali di ispezione ambientale. Le revisioni inter pares dell'IRI forniscono una forma utile di valutazione esterna ma sono limitate sia nella portata di ciò che viene esaminato, sia nel numero di revisioni intraprese. Non tutti gli Stati membri sono ancora stati sottoposti a una revisione nel quadro di una IRI. Fino ad oggi le revisioni si sono concentrate in gran parte sulle ispezioni industriali piuttosto che su altri tipi di attività di controllo della conformità (anche se in seguito l'IRI ha iniziato a svolgere revisioni incentrate sulla legislazione sulla natura). Essendo condotti solamente da IMPEL, non hanno coperto - o non in larga misura - la catena di assicurazione della conformità ambientale per quanto concerne i ruoli di polizia, pubblici ministeri e tribunali.'

La Commissione ha inoltre affermato che si dovrebbe essere mirare ad allargare i benefici dell'IRI rafforzando le revisioni tra pari IMPEL attraverso uno o più dei seguenti:

- ampliamento della copertura geografica
- estensione delle aree tematiche
- copertura più ampia della catena di controllo della conformità (ad esempio attraverso il coinvolgimento di agenti di polizia e pubblici ministeri)

La rete IMPEL ha accolto con favore la comunicazione della Commissione europea, "Realizzare un'Europa che protegge, dà potere e difende" ("Delivering a Europe that protects, empowers and defends")[7] e l'iniziativa per intensificare gli sforzi sull'applicazione, l'attuazione e l'enforcement della normativa ambientale dell'UE e ha redatto un documento di sintesi della rete IMPEL su "Assicurazione della Conformità Ambientale". Per quanto riguarda l'obiettivo di IMPEL "Costuire e sviluppare capacità nelle Agenzie e Autorità responsabili dell'attuazione e del rispetto della legislazione ambientale a livello nazionale, regionale e locale (comunale)", il Position Paper esprime:

"Il programma IMPEL Review Initiative (IRI) garantirà che ogni revisione tra pari sia seguita da un pacchetto di formazione su misura e da un seminario sullo sviluppo di capacità per attuare le raccomandazioni derivanti del processo di revisione tra pari. Il programma IRI sarà flessibile per garantire la copertura delle aree tematiche di IMPEL e per garantire che altri attori chiave all'interno della catena di conformità ed enforcement siano collegati e coinvolti, ove opportuno. '

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[7] Communication from the Commission on an Action Plan on Environmental Compliance Assurance, http://ec.europa.eu/smart-regulation/roadmaps/docs/2015_env_066_environmental_compliance_assurance_en.pdf, pp.2.

3. Piani ed obiettivi di IMPEL circa IRI per il futuro

IMPEL ha sviluppato, nel corso degli anni 2019/20, piani per ridare energia all'IRI, con l'obiettivo di apportare un ulteriore cambiamento graduale nella pratica dal 2021 in poi. IMPEL mira a:

- Effettuare quattro IRI all'anno nei prossimi due anni prima di aumentare ancora tale numero nel 2021
- Fornire supporto diretto alle organizzazioni ospitanti per aiutare a implementare le "opportunità di sviluppo" e ciò avverrà sotto forma di assistenza diretta "uno a uno" tra pari
- Effettuare revisioni tra pari su altri regimi regolamentari "non tradizionali" riguardanti l'acqua e la natura
- Promuovere e aiutare i paesi membri IMPEL a sviluppare schemi di valutazione inter pares "nazionali", ove applicabile
- Se pertinente, incorporare altri attori nella catena della conformità, ad es. giudici, pubblici ministeri e polizia ambientale nel processo di revisione
- Sviluppare ed eseguire un programma di formazione per aumentare il numero di team leader e relatori nel processo di IRI
- Rivedere il modello IRI per renderlo più applicabile alle politiche e alle funzioni di autorizzazione e per assicurarsi che mantenga la sua validità per gli ispettorati;
e
- Lanciare il nuovo modello IRI in una conferenza dell'IRI nel 2020, che illustrerà anche cosa è già stato realizzato dal programma IRI.

4. Prodotti di un IRI

Il risultato della revisione tra pari è tradotto in un report, che contiene un elenco di buone pratiche (aree in cui il team di revisione ritiene che l'organizzazione ospitante stia operando positivamente) e opportunità di sviluppo (aree in cui il team di revisione ritiene che l'Organizzazione ospitante possa e dovrebbe considerare di introdurre miglioramenti).

5. Rilevanza rispetto a temi specifici

L'IRI è rilevante ai fini della assicurazione della conformità e per la responsabilizzazione delle Organizzazioni, e in particolare del tema del monitoraggio della conformità, del follow-up e dell'enforcement, compresa la questione della cooperazione delle autorità ambientali nella assicurazione della conformità.

Inoltre, l'IRI è rilevante per la gestione degli esposti e delle lamentele in campo ambientale reclami e per il miglioramento dell'informazione e della consapevolezza del pubblico. È inoltre rilevante per l'efficacia e l'efficienza, e in particolare per la capacità amministrativa delle

autorità ambientali, nonché, per quanto riguarda un IRI nel campo della protezione della natura, per la cooperazione con le pertinenti organizzazioni ambientaliste della società civile.

La pubblicazione dell'IRI sul sito web IMPEL rende questo schema di revisione tra pari rilevante anche per altri temi, in particolare in termini di maggiore trasparenza (informazioni ambientali) e partecipazione (fiducia del pubblico).

6. Valutazione

Una valutazione delle 7 revisioni effettuate nel 2012 all'interno della rete IMPEL utilizzando dati e informazioni. La valutazione dimostra che l'iniziativa IMPEL Review (IRI) è stata molto utile per le autorità ospitanti e che il programma IRI ha mantenuto il suo valore e la sua utilità come strumento di revisione informale

Il progetto ha anche dimostrato che l'implementazione delle raccomandazioni derivanti dal progetto IRI, in particolare le opportunità di sviluppo, rappresenta una sfida per le autorità ospitanti per una serie di motivi come la mancanza di supporto da parte dei decisori senior, la barriera linguistica e la mancanza di tempo e denaro.

Nel 2017 è stato utilizzato un seminario quale strumento per raccogliere, valutare e comprendere in che modo le raccomandazioni formulate dai team IRI di IMPEL sono state implementate negli ultimi anni. Il risultato della valutazione precedente è stato confermato attraverso questo seminario. Sebbene siano stati apportati miglioramenti significativi al modo in cui le organizzazioni membro di IMPEL che si sottopongono a un IRI hanno modificato il loro modo di operare, è necessario essere maggiormente attenti per l'applicazione dei risultati dell'IRI, nonché al modo in cui IMPEL potrebbe supportare e assistere le autorità in tale applicazione.

7. In conclusione

L'IRI fornisce un contributo importante per quanto riguarda l'assicurazione della conformità ambientale, evidenziando la realtà dei processi di gestione quotidiana da parte di una determinata autorità ambientale. I risultati delle peer review sono di grande rilevanza in termini di successive azioni di miglioramento da parte dell'autorità ospitante e di relativi interventi dei responsabili amministrativi. Tuttavia, le stesse caratteristiche del sistema di revisione inter pares e il numero limitato di autorità ambientali che finora hanno ospitato la revisione inter pares, possono limitare l'effettiva rilevanza dei risultati in termini di diffusione delle buone pratiche tra le autorità ambientali dell'UE a causa delle specificità del ruolo svolto dall'autorità ambientale ospitante. L'IRI rappresenta un quadro utile per la valutazione della capacità di operare nel campo della assicurazione alla conformità e della capacità amministrativa, in particolare per quanto riguarda gli ispettorati ambientali; allo stesso tempo, la pubblicazione dei risultati dell'IRI rende lo schema di revisione tra pari rilevante per

la trasparenza e la partecipazione. Anche l'azione di incoraggiamento all'interazione tra l'autorità ospitante e altre autorità è di notevole rilievo

Allegati

1. IMPEL Review Initiative, Information Package 2016
2. Questionnaire IMPEL Review Initiative (IRI)
3. IRI Team Leaders Checklist

List of abbreviations

EC   –   European Commission

IED   –   Industrial Emissions Directive

IRI   –   IMPEL Review Initiative

NPRI –   National Peer Review Initiative

RMCEI –   Recommendation Minimum Criteria for Environmental Inspections

TOR   –   Terms of Reference

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