

# Capacity Development Monitoring Scorecard Table

## At the project level

Project/Programme Name: Integrating Global Environmental Issues into Bulgaria's Regional Development Process. (Rio Conventions Project (RCP))

Project/Programme Cycle Phase: Start-up (reported as per November 2006)

Date: April, 2008

Capacity Result / Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	Contribution to which Outcome <sup>1</sup>
<b>CR 1: Capacities for engagement</b>						
<b>Indicator 1</b> – Degree of legitimacy/mandate of lead environmental organizations  <i>Note: The project understands and defines the term “lead environmental organizations” as all governmental institutions in Bulgaria responsible for Environmental Management (EM) with which the project has contacts or direct influence: MoEW, MRDPW and Executive Environmental Agency. For the purposes of the project, EM here is defined as the process of integration of global environmental issues (GEI) into regional and spatial planning</i>	Institutional responsibilities for environmental management (EM) are not clearly defined	0		Ministry of Regional Development Public Works (MRDPW) (and its regional structures) – assisted by Ministry of Environment and Waters (MoEW) - is the lead organization in Bulgaria that develops and adopts RD and SP plans and programs, which are subject to Ecological Assessment. However, during the first planning cycle those plans and strategies were developed with limited public involvement and their legitimacy is not fully ascertained by all of the stakeholders.	In 2007 the project will start the development of a training program for public officials from MRDPW, MoEW, their regional structures and Municipalities. Although targeted at these groups, it is expected that general practitioners will also (in time) undergo the trainings. Generally the training will have a particular focus on providing them with basic skills and knowledge of how to integrate GEI. This also includes clarification of lead organizations responsibilities for environmental management. Through this the authority and legitimacy of the lead organizations will be established to a broader set of stakeholders. In addition, the application of the practical skills taught during	Project Outcomes 1 and 3
	Institutional responsibilities for environmental management are identified	1				
	Authority and legitimacy of all lead organizations responsible for environmental management are partially recognized by stakeholders	2	2			
	Authority and legitimacy of all lead organizations responsible for environmental management recognized by stakeholders	3				

<sup>1</sup> **Project Outcome 1:** The methodologies, skills, knowledge, and information management system for mainstreaming global environmental considerations into the formulation, implementation and evaluation of regional development and spatial planning policies are in place.

**Project Outcome 2:** Institutional changes that support mainstreaming of global environmental into regional development and spatial planning are in place.

**Project Outcome 3:** Regional development plans and municipal-level spatial development plans are revised to integrate global environmental objectives in a pilot region through application of capacities developed in Outcomes 1 and 2.

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					the course will be used in the forthcoming update of the Regional and Municipal Development Plans (RDPs) and strategies in 2009. A pilot testing of the training programme is envisaged in mid-2008.	
<b>Indicator 2</b> – Existence of operational co-management mechanisms (OCM)  <i>Note: The project understands and defines OCM as shared responsibility between MoEW, MRDPW and other key stakeholders in the management of the Rio Conventions Project in order to provide for legitimacy of project results and achievements</i>	No co-management mechanisms are in place	0		OCM in the management of the Rio Convention Project is achieved through the appointment of a Steering Committee comprised of equal number of members from MoEW and MRDPW.	In addition to the Steering Committee Meetings a Project Advisory Board is to be established comprised of a broader circle of interested stakeholders. The first Advisory Board meeting will coincide with the project's inception workshop and subsequent AB meetings will be held at least once a year.  Furthermore, an Inter-ministerial Expert Task Force (IETF) aimed at exchanging experience and best practices in integrating GEI into strategies plans and programmes is expected established under the project by mid 2008. The IETF shall in addition identify and suggest successful strategies for how GEI can be integrated into strategic documents of other ministries besides MRDPW and MoEW.	Project Outcome 2:
	Some co-management mechanisms are in place and operational	1				
	Some co-management mechanisms are formally established through agreements, MOUs, etc.	2	2			
	Comprehensive co-management mechanisms are formally established and are operational/functional	3				
<b>Indicator 3</b> – Existence of cooperation with stakeholder groups  <i>Note: The project understands and defines cooperation with stakeholder groups as</i>	Identification of stakeholders and their participation/involvement in decision-making is poor	0		In accordance with the Regional Development Act the first RDPs were approved in 2006. Their drafting and finalization involved little public participation, due to, on one hand limited	As part of the project activities scheduled to start mid 2008 the project shall develop, publish and distribute Guidelines for effective public participation in regional and local environmental and RD	Project Outcomes 1 and 3
	Stakeholders are identified but their participation in decision-making is limited	1	1			
	Stakeholders are identified	2				

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<i>involvement of a broader group of targeted stakeholders (municipalities, NGOs, local RD councils, business associations, academic organizations) in the update of RDPs and MDPs</i>	and regular consultations mechanisms are established			knowledge and capacity of relevant stakeholders to participate knowledgeably in this process, and on the other hand, the limited experience and capacity of authorities to hold public hearings and integrate public opinion in policy documents.	planning. At least two seminars and two pilot public hearings shall be held in 2009 to “visualize” the use of the Guidelines in actual update of RDP and MDP. Representatives from MRDPW, MoEW and ExEA shall be involved in review and final approval of the Guidelines. In this way, an early input from those stakeholders shall be secured at all relevant stages of planning.	
	Stakeholders are identified and they actively contribute to established participative decision-making processes	3				
<b>Total score for CR1</b>			<b>5</b>			
<b>CR 2: Capacities to generate, access and use information and knowledge</b>						
<b>Indicator 4</b> – Degree of environmental awareness of stakeholders <i>Note: For the project purposes “stakeholders” here are defined as relevant decision-makers at national, regional and local level involved in RD and SP policy making and implementation</i>	Stakeholders are not aware about global environmental issues and their related possible solutions (MEAs) <sup>2</sup>	0		Data about global environmental issues (GEI) in Bulgaria is generally available. However, individuals and organizations do not have the necessary skills and knowledge how to process pertinent data and come up with relevant “solutions” to global environmental problems.	In 2007 the project will conduct a couple of surveys among public officials at the national, regional and municipal level which will identify present need for integration of GEI into RD and SP.  Furthermore, the project will in 2007 identify institutions that collect and present national environmental data on a regular basis.  A major project endeavor to be implemented in 2008, besides the development of the project’s training program, will be to devise a set of indicators that adequately measure the contribution of certain	Project Outcomes 1 and 2
	Stakeholders are aware about global environmental issues but not about the possible solutions (MEAs)	1	<b>1</b>			
	Stakeholders are aware about global environmental issues and the possible solutions but do not know how to participate	2				
	Stakeholders are aware about global environmental issues and are actively participating in the implementation of related solutions	3				

<sup>2</sup> Multilateral environmental agreements

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					project, plan or strategy to alleviation of GEI. The indicators will become an integrated part of the MRDPW guidelines (to be developed in 2008 onwards) for how to develop and update project and programmes. Institutional and stakeholder level of capacity on indicator use will be build via project trainings.	
<b>Indicator 5</b> – Access and sharing of environmental information by stakeholders  <i>Note: For project purposes “environmental information needs and infrastructure for sharing them” are defined as environmental information needed for the drafting and update or RD and SP strategies</i>	The environmental information needs are not identified and the information management infrastructure is inadequate	0		Environmental information relevant to RD and SP in Bulgaria is gathered by many institutions. A general problem is the different formats in which data is processed and stored. Information exchange between institutions is also not always “fluent”. A few institutions publish environmental information on their web sites free of charge or in comprehensible formats, which limits the public access to it.  By the end of 2008 MRDPW plans to develop a uniform, internet and desktop, GIS based information system targeted at administrative-territorial levels including municipalities and DAs which need it for the update, monitoring and evaluation of strategic planning documents.	Project activities shall be conducted in 2008 towards improvement of data generation, processing and exchange among institutions and accessibility by the public. In particular, the project envisages conducting a series of meetings with major data providers in Bulgaria (identified in 2007) to discuss how to improve information gathering, processing and exchange and sharing it with interested stakeholders.  The project shall support the Ministry with the purchase of necessary GIS layers (e.g. on biodiversity, land use, etc.) and a set of indicators relevant to the implementation of the Rio Conventions in RD and SP. Thus the project shall aide the development of an institutionalized and integrated environmental database. A training on how	Project Outcome 2:
	The environmental information needs are identified but the information management infrastructure is inadequate	1	<b>1</b>			
	The environmental information is partially available and shared among stakeholders but is not covering all focal areas and/or the information management infrastructure to manage and give information access to the public is limited	2				
	Comprehensive environmental information is available and shared through an adequate information management infrastructure	3				

Capacity Result / Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	Contribution to which Outcome <sup>1</sup>
					to access and work with the database shall be included in the core training course.	
<b>Indicator 6</b> – Existence of environmental education programmes  <i>Note For the project purposes “environmental education programmes” here is defined as educational programs in the cross-cutting area of regional development (RD) and environmental protection (EP)</i>	No environmental education programmes are in place	0		Initial research in connection with the project initiation has demonstrated that there are very few educational programs offered by higher education institutions in Bulgaria in the cross-cutting area of RD and EP.	The training program package whose development will start in 2007, and which shall be completed in 2008, will be a significant step in this direction since it will contain both a practitioners-tailored course and an academic program in the targeted cross-cutting area of global environmental management. The academic course will be accepted into the permanent curricular of the Sofia University which will also be running the practitioners-tailored course. The latter course will be based on user-pay principle although the project will ensure the training of at least 130 people.	Project Outcome 1:
	Environmental education programmes are partially developed and partially delivered	1	<b>1</b>			
	Environmental education programmes are fully developed but partially delivered	2				
	Comprehensive environmental education programmes exist and are being delivered	3				
	Relevant research results are available for environmental policy development	3				
<b>Indicator 7</b> – Extent of the linkage between environmental research/science and policy development	No linkage exist between environmental policy development and science/research strategies and programmes	0				
<b>NOT APPLICABLE TO THE PROJECT</b>	Research needs for environmental policy development are identified but are not translated into relevant research strategies and programmes	1				
	Relevant research strategies and programmes for environmental policy development exist but the research information is not responding fully to the policy research needs	2				

Capacity Result / Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	Contribution to which Outcome <sup>1</sup>
	Relevant research results are available for environmental policy development	3				
<b>Indicator 8</b> – Extent of inclusion/use of traditional knowledge in environmental decision-making	Traditional knowledge is ignored and not taken into account into relevant participative decision-making processes	0				
<b>NOT APPLICABLE TO THE PROJECT</b>	Traditional knowledge is identified and recognized as important but is not collected and used in relevant participative decision-making processes	1				
	Traditional knowledge is collected but is not used systematically into relevant participative decision-making processes	2				
	Traditional knowledge is collected, used and shared for effective participative decision-making processes	3				
<b>Total score for CR2</b>			<b>2</b>			
<b>CR 3: Capacities for strategy, policy and legislation development</b>						
<b>Indicator 9</b> – Extent of the environmental planning and strategy development process	The environmental planning and strategy development process is not coordinated and does not produce adequate environmental plans and strategies	0	<b>0</b>	During the last planning cycle (2005-2007) MRDPW produced a lot of RD strategies and plans. However, a little attention was paid to integration of GE objectives in those plans and strategies, as well as in OPRD. In addition, insufficient stakeholder input was solicited and integrated in them. Cross-sectoral integration of environmental objectives and monitoring of their implementation is still	The Project shall facilitate the MRDPW in GEI integration through a couple of interventions. On one hand, it will be through the development of a set of indicators. On the other hand, an activity under the project Outcome 2 planned for 2008 shall be to establish an inter-ministerial task force which shall propose a plan of action for successful cross-sector integration of environmental issues.	Project Outcome 1, 2 and 3
<i>Note: For the project purposes “environmental planning” here is defined as the integration of GEI into RD and SP policy development and implementation</i>	The environmental planning and strategy development process does produce adequate environmental plans and strategies but there are not implemented/used	1				
	Adequate environmental plans and strategies are produced but there are only partially implemented because of funding	2				

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	constraints and/or other problems			happening on isolated basis.		
	The environmental planning and strategy development process is well coordinated by the lead environmental organizations and produces the required environmental plans and strategies; which are being implemented	3			In addition, the project shall develop, publish and distribute Guidelines for effective public participation in regional and local environmental and RD planning. At least two seminars and two pilot public hearings shall be held in 2009 to “visualize” the use of the Guidelines in actual update of RDP and MDP. These civil society trainings are aimed at improving public participation in the update of RD and environmental plans and strategies.  Furthermore, the guidelines will support MRDPW existing procedures (as described in TDA) as to how to conduct the local and regional planning processes and thus will become institutionalized guidelines	
<b>Indicator 10</b> – Existence of an adequate environmental policy and regulatory frameworks  <i>Note: For the project purposes this indicator is understood as the existence of adequate policies and legislature that stimulate the enforcement of the Rio Conventions at the</i>	The environmental policy and regulatory frameworks are insufficient; they do not provide an enabling environment	0		Adequate environmental legislature framework exists to stimulate the application of the Rio Conventions at the regional and local level. However, there are difficulties in implementation and enforcement due to lack of adequate skills and tools in implementing authorities within MRDPW, but especially in their regional structures and municipalities.	To alleviate this problem, the project’s training program will be completed and pilot tested in 2008 in order for public employees and experts from “non-environmental” institutions and organizations are able to enforce environmental laws. An Ordinance shall be developed, giving directions to municipalities how to integrate environmental issues into local planning. In addition, pilot update of RD and SP plans shall be conducted to provide	Project Outcomes 1 and 2
	Some relevant environmental policies and laws exist but few are implemented and enforced	1				
	Adequate environmental policy and legislation frameworks exist but there are problems in implementing and enforcing them	2	2			
	Adequate policy and legislation frameworks are	3				

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<i>regional and local level.</i>	implemented and provide an adequate enabling environment; a compliance and enforcement mechanism is established and functions				regional and local authorities with models for cross-cutting integration in planning processes.	
<b>Indicator 11</b> – Adequacy of the environmental information available for decision-making  <i>Note For the project purposes “environmental information” here is defined as is understood as environmental information related to RD and SP.</i>	The availability of environmental information for decision-making is lacking	0		Environmental data for the implementation of the 3 Rio Conventions and facilitation of RD and SP decision -making is gathered and processed on systematic basis by different institutions at national and regional level. However, there are often difficulties in the exchange of the gathered information among institutions. Moreover, information is seldom published on the internet which hinders environment-related decision-making especially at the local level. This means that even though information is <i>available</i> , its “channeling“ by the respective institutions is <i>not done in a proper way</i> .	A database with most relevant sources of environmental information will be developed in the initial phase of the project and published on the project web site.  In 2008 the project shall facilitate the conducting of series of round tables with institutions gathering information relevant to the environmental decision-making in order to improve exchange, update and accessibility to such information by planners and the civil society.  In addition the project shall aide MRDPW in the production of an institutionalized, internet-based information database through the purchase of relevant (environmental) GIS layers that will support planning processes at the local and regional level, including planning for the Rio Conventions integration and implementation.	Project Outcomes 1 and 2
	Some environmental information exists but it is not sufficient to support environmental decision-making processes	1	<b>1</b>			
	Relevant environmental information is made available to environmental decision-makers but the process to update this information is not functioning properly	2				
	Political and administrative decision-makers obtain and use updated environmental information to make environmental decisions	3				
<b>Total score for CR3</b>			<b>3</b>			
<b>CR 4: Capacities for management and implementation</b>						
<b>Indicator 12</b> – Existence and	The environmental organizations don’t have	0		Financial resources to enact environmental	The Project will via its training program build the	Project Outcomes 1 and 2

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mobilization of resources  <i>Note: for the purposes of the project this indicator shall explore how the Rio Conventions objectives and implementation at the regional level is actually happening and financed/taken care of and how financial resources and technical assistance under the OPs is used.</i>	adequate resources for their programmes and projects and the requirements have not been assessed			policies (and the 3 Rio Conventions in particular) are generally available under the different OPs. At the same time, the necessary skills and knowledge how to apply and integrate those policies in other areas are generally lacking. At present, MRDPW is trying to build those capacities through employees' attending a limited number of seminars and short-trainings on environmental topics.	capacity of the ministerial staff on how to ensure the integration of GEI in plans and programmes.	
	The resource requirements are known but are not being addressed	1			In addition, the Ordinance for cross-cutting integration of GEI in plans to be developed within the project should also give some directions to regional and local governments what resources and in what relevant to the 3 Conventions areas they should be setting aside.	
	The funding sources for these resource requirements are partially identified and the resource requirements are partially addressed	2				
	Adequate resources are mobilized and available for the functioning of the lead environmental organizations	3	<b>3</b>			
<b>Indicator 13</b> – Availability of required technical skills and technology transfer  <i>Note: the project interprets “technological skills” as the capacity to use and apply in everyday work relevant RD and SP technologies like GIS and skills for use of relevant planning and monitoring tools by staff.</i>	The necessary required skills and technology are not available and the needs are not identified	0		A limited amount of skills related to GIS use, Environmental Assessments application, etc. in RD and SP are already present in MRDPW and its regional structures. However, there is no national system of GIS and other related technologies used for planning purposes on systematic manner.	An initial research on domestic best practices in GIS use for planning purposes will be conducted in the initial stages of the project.  Further investigations shall be conducted in 2008 for designing and testing a pilot internet based GIS system for regional planning on the level of at least one planning region. In addition, the regional development plan of one pilot district administration and one municipality shall be updated in order to create a replication model. The developed training program should also assist this process.	Project Outcomes 1 and 3
	The required skills and technologies needs are identified as well as their sources	1	<b>1</b>			
	The required skills and technologies are obtained but their access depend on foreign sources	2				
	The required skills and technologies are available and there is a national-based mechanism for updating the required skills and for upgrading the technologies	3				
<b>Total score for CR4</b>			<b>4</b>			

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<b>CR 5: Capacities to monitor and evaluate</b>						
<p><b>Indicator 14</b> – Adequacy of the project/programme monitoring process</p> <p><i>Note: For the project purposes “monitoring process” has been defined as whether monitoring of RD and SP programs and plans succeeds to capture impact on the global environment</i></p>	Irregular project monitoring is being done without an adequate monitoring framework detailing what and how to monitor the particular project or programme	0	0	<p>At present, MRDPW performs very limited monitoring of environmental impacts of plans, programs and projects implemented or financed by the ministry. The monitoring is only based on 1 or 2 indicators. Therefore, assessing the impact of those policies and programs on the global environment is not possible. In addition most of the OPs have not started yet with their operations, therefore, monitoring is not yet happening.</p>	<p>In 2007 the project will start work on developing a set of relevant indicators which can adequately measure the impact on GE of regional and municipal plans and programs. In 2008 the indicators shall be finalized and pilot-tested in one municipality or region. Subsequently, the obtained results from the pilot test shall be used for the update of the RD and SP of one region and municipality.</p>	<p>Project Outcomes 1 and 3</p>
	An adequate resourced monitoring framework is in place but project monitoring is irregularly conducted	1				
	Regular participative monitoring of results in being conducted but this information is only partially used by the project/programme implementation team	2				
	Monitoring information is produced timely and accurately and is used by the implementation team to learn and possibly to change the course of action	3				
<p><b>Indicator 15</b> – Adequacy of the project/programme monitoring and evaluation process</p> <p><i>Note: For the project purposes “monitoring and evaluation process” has been defined as whether monitoring of RD and SP programs and plans succeeds to</i></p>	None or ineffective evaluations are being conducted without an adequate evaluation plan; including the necessary resources	0	0	<p>As already indicted monitoring of the impact on GE of the application of RD and SP is thwarted by the fact that only few indicators are used for such purposes. Therefore, evaluations of plans and programs cannot be adequately performed.</p>	<p>The set of indicators to be finalized in 2008 and their pilot testing shall be accompanied by devising of an evaluation framework which shall be included in the posterior Municipal Guidebook on Indicators, to be developed under the project, and in the update of RD and SP municipal and DA plans and strategies. In addition, the developed TP shall build the required basic skills for monitoring and evaluation of plans and strategies.</p>	<p>Project Outcomes 1 and 3</p>
	An adequate evaluation plan is in place but evaluation activities are irregularly conducted	1				
	Evaluations are being conducted as per an adequate evaluation plan but the evaluation results are only partially used by the project/programme implementation team	2				

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<i>capture impact on the global environment</i>	Effective evaluations are conducted timely and accurately and are used by the implementation team and the Agencies and GEF Staff to correct the course of action if needed and to learn for further planning activities	3				
<b>Total score for CR5</b>			<b>0</b>			
<b>Combined total score for CR1-CR5</b>			<b>14</b>			

*Note: in respect to Indicator 14 and 15 the project focuses on OPRD and development of skills for integration of the Rio Conventions into OPRD, RDPs and MDPs.*

## List of abbreviations

BE	Bulgarian Entity
BP	Best Practice
CEU	Central European University
DA	District Administration
EM	Environmental Management
EU	European Union
ExEA	Executive Environmental Agency
GE(I)	Global Environment (Issues)
GEF	Global Environmental Fund
GIS	Geographic Information System
GRDP	Greening Regional Development Programmes Project
IE	International Entity
MDPs	Municipal Development Plan
MoEW	Ministry of Environment and Water
MoU	Memorandum of Understanding
MRDPW	Ministry for Regional Development and Public Works
NGO	Non-Government Organization
NPD	National Project Director
OCM	Operational Co-Management
OPRD	Operational Program Regional Development
PIR	Project Implementation Review
PM	Project Manager
PMU	Project Management Unit
RCP	Rio Conventions Project
RD	Regional Development
RDP	Regional Development Plans
RDA	Regional Development Act
SC	Steering Committee
SEA	Strategic Environmental Assessment
SP	Spatial Planning
SU	Sofia University
TDA	Territorial Development Act
ToR	Terms of Reference
TP	Training Program
TPP	Training Program Package
UNCBD	United Nations Convention on Biological Diversity
UNCCD	United Nations Convention to Combat Desertification
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change