Agenda Item 9
From measures to investment needs and projects (capacity building session)

Regional Meeting on NAPs Implementation – Lessons learned and way forward

Marseille, France, 17-18 October 2016

United Nations Environment Programme
Mediterranean Action Plan (UNEP/MAP)
Barcelona Convention

SWIM and Horizon 2020 Support Mechanism
Project funded by the European Union

Purpose of training exercise

- To move the proposed NAP investment projects presented in the “project fiches ”forward from concept to reality.

- To define the “favorable” conditions and “supporting environment” needed for realization of these projects by national environmental agencies.

Underlying condition for realizing projects

- Active involvement by national environmental agencies with key stakeholders in:
  - ✓ Project planning phase; and
  - ✓ Project preparatory phase.

Project planning phase

- National environmental agencies should:
  - ✓ Conduct a critical review of project fiches
  - ✓ Validate data included in fiches.
  - ✓ Close gaps in data and information.
  - ✓ Assess challenges and identify obstacles that prevent the project from securing the necessary funding for implementation.

Project preparatory phase

- National environmental agencies should:
  - ✓ Coordinate with the principal agency/entity responsible for project implementation, i.e. **implementing agency** such as water and wastewater utility, industrial facilities, landfilling facilities, etc.

- Specifically, the national environmental agency should accomplish the following three tasks:

Task 1 for the national environmental agency

- Agree with the implementing agency on the “scope of project” in order to ensure that it:
  - ✓ Targets critical infrastructures.
  - ✓ Stresses the strategic focus provided by UNEP/MAP hotspots list and NAPs.
  - ✓ Addresses regional or cross-border impacts, if applicable.

Task 2 for the national environmental agency

- Agree with the implementing agency on the “concept of project” in order to ensure that it:
  - ✓ Is technically feasible, cost effective and contributes in an integrated manner to reduction of impacts on the “marine” environment.
  - ✓ Reflects future trends in pressures and impacts according to the present NBB) and related hotspots.
  - ✓ Is effective in meeting the requirements of the SAP; regional plans and GES targets.
  - ✓ Contributes to building human capital, improving institutional structures and national regulatory frameworks.

Task 3 for the national environmental agency

- Establish the necessary “supporting environment” by ensuring that the project is:
  - ✓ In line with sectoral strategies and national development plans.
  - ✓ Has political backing and support for project concept and selection and is supported by stakeholders.
  - ✓ Coordinated with potential donors in the planning and preparation phases.

Criteria for scoring and prioritizing project fiches

ASSESSMENT CRITERIA	SCORING CONDITIONS			
	4	3	2	1
Scope of project *(highest score 12 - a minimum score of 6 should be achieved for further consideration)*				
Project targets critical infrastructures (municipal wastewater treatment facilities, reception facilities for solid waste and marine litter, BAT/BEP)	Includes wastewater treatment facilities or solid waste reception facilities or BAT/BEP that directly reduce discharge of pollutants to Sea	Includes wastewater treatment facilities or solid waste reception facilities or BAT/BEP that indirectly reduce discharge of pollutants to Sea	Includes other types of infrastructure (i.e. WWTP or reception facilities or BAT/BEP are not foreseen)	Consists mainly of soft measures with infrastructure construction budget of less than 50%

Criteria for scoring and prioritizing project fiches

ASSESSMENT CRITERIA	SCORING CONDITIONS			
	4	3	2	1
Scope of project *(highest score 12 - a minimum score of 6 should be achieved for further consideration)*				
Project stresses the strategic focus provided by UNEP/MAP hotspots list	Project measures directly contribute to the elimination of hotspots	Project measures moderately contribute to the elimination of hotspots	Project measures have weak contribution to the elimination of hotspots	Project measures have no contribution to the elimination of hotspots

Criteria for scoring and prioritizing project fiches

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Scope of project *(highest score 12 - a minimum score of 6 should be achieved for further consideration)*				
Project stresses the strategic focus provided by UNEP/MAP hotspots list	Project measures directly contribute to the elimination of hotspots	Project measures moderately contribute to the elimination of hotspots	Project measures have weak contribution to the elimination of hotspots	Project measures have no contribution to the elimination of hotspots
Project addresses regional or cross-border impacts, if applicable	Area of the project is far from the border with no direct/indirect effects on the Mediterranean environment	Area of the project is close to border discharging treated effluent with negligible amounts of nutrients and/or toxic substances	Downstream area of project is close to border discharging treated effluent with moderate amounts of toxic substances	Downstream area of project is close to border discharging treated effluent with significant amounts of toxic substances

Criteria for scoring and prioritizing project fiches

ASSESSMENT CRITERIA	SCORING CONDITIONS			
	4	3	2	1
Concept of project *(highest score 16 - a minimum score of 8 should be achieved for further consideration)*				
Technically feasible, cost effective and contributes in an integrated manner to reduction of impacts on the "marine" environment	Project measures are technically feasible and cost effective and reduce impacts on the marine environment	Project measures are technically feasible and cost effective with limited impact on the marine environment	Project measures are not technically feasible and/or not cost effective	Project measures do not contribute to reduction of impacts on the marine environment regardless of cost

Criteria for scoring and prioritizing project fiches

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	4	3	2	1
Concept of project *(highest score 16 - a minimum score of 8 should be achieved for further consideration)*				
Technically feasible, cost effective and contributes in an integrated manner to reduction of impacts on the "marine" environment	Project measures are technically feasible and cost effective and reduce impacts on the marine environment	Project measures are technically feasible and cost effective with limited impact on the marine environment	Project measures are not technically feasible and/or not cost effective	Project measures do not contribute to reduction of impacts on the marine environment regardless of cost
Reflects future trends in pressures and impacts according to the present NBB and the environmental issues of related hotspots	Project does not discharge any pollutants included on the NBB list with significant impacts on the marine environment	Project discharges pollutants high on the NBB list, and includes effective measures for pollution prevention and control	Project discharges pollutants high on the NBB list, but its measures are ineffective for pollution prevention and control	Project discharges pollutants high on the list of NBB and does not include any measures for pollution prevention and control

Criteria for scoring and prioritizing project fiches

ASSESSMENT CRITERIA	SCORING CONDITIONS			
	4	3	2	1
Concept of project *(highest score 16 - a minimum score of 8 should be achieved for further consideration)*				
Effective in meeting the long-term provisions of the SAP; the legally binding measures of the regional plans and their implementation timetables; and GES targets	Project measures will fulfill the legal provisions for pollution prevention and control of the applicable regional plans	Project measures will fulfill to a large extent the legal provisions of the applicable regional plans	Project measures will fulfill to a small extent the legal provisions of the applicable regional plans	Project measures will not fulfill the legal provisions of the applicable regional plans

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Invests in building human capital, improving institutional structures and national regulatory frameworks	Project includes concrete provisions for capacity building, improving institutional structures and regulatory frameworks	Project includes only special provisions for training on operation and maintenance of infrastructure facilities	Project builds on training provided in previous projects for operation and maintenance of infrastructure facilities	Project does not include any training on operation and maintenance of new infrastructure or improvements of institutional structures or regulatory frameworks

Criteria for scoring and prioritizing project fiches

ASSESSMENT CRITERIA	SCORING CONDITIONS			
	4	3	2	1
Supporting environment *(highest score 12 - a minimum score of 6 should be achieved for consideration)*				
Has political backing and support by relevant stakeholders for project concept and selection	Project has full political backing by the national planning authority as a high priority project in the national sectoral plan	National planning authority does not object to project even though it has a low priority in the national sectoral plan	National planning authority objects to project as it is not included in the national sectoral plan	National planning authority and public opinions do not advocate implementation of project

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In line with sectoral strategies and national development plans	Project objectives are fully in line with the goals of national sectoral strategies and/or national development plans	Project objectives fulfill to a large extent the goals of national sectoral strategies and/or national development plans	Project objectives fulfill to a small extent the goals of national sectoral strategies and/or national development plans	Project objectives are not related to the goals of national sectoral strategies and/or national development plans

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In line with sectoral strategies and national development plans	Project objectives are fully in line with the goals of national sectoral strategies and/or national development plans	Project objectives fulfill to a large extent the goals of national sectoral strategies and/or national development plans	Project objectives fulfill to a small extent the goals of national sectoral strategies and/or national development plans	Project objectives are not related to the goals of national sectoral strategies and/or national development plans
Coordinated with potential donors/IFIs in the planning and preparation phases	Donors and IFIs have undertaken feasibility studies for the project or prepared master plans for the project area	Donors and IFIs were presented with feasibility study based on which they appraised the project for implementation	Donor and IFIs simply financed project measures implemented by the governmental agencies	Donors and IFIs were not involved in project preparation or financing.

Prioritization of project fiches for follow-up with implementation agencies

- Each project fiche must fulfill a minimum of 50% of the highest score for each category:
  - ✓ Minimum score to qualify for consideration is 20.
  - ✓ Maximum score to qualify for consideration is 40.

Example assessment: Montenegro

Improvement of the sewerage network and waste water treatment in Municipality of Kotor and Municipality of Tivat

Related hotspot: Port of Kotor (Category B – high risk area)
Sector: Wastewater
Promoter: Ministry of Sustainable Development and Tourism of Montenegro
Implementing agencies: Municipalities of Kotor and Tivat
Project value: €13,000,000

Scope of project

- Provide all settlements along the Bay of Kotor with piped sewerage.
- Provide all settlements in municipality of Tivat along the Bay with piped sewerage.
- A WWTP for Tivat and Kotor (72.000 PE) is under construction (financed by KfW)

General situation - Kotor municipality

- Urban area of Kotor municipality is situated in patches around the most inland part of the Bay of Kotor.
- The largest urban cluster is Kotor/Dobrota with14,000 inhabitants.
- Another 9,000 people live in smaller settlements along the Bay.
- Tourism is relatively low with a peak tourist number of about 10,900. Most of tourist activities take place around the bay.
- Kotor municipality has an industrial zone.
- The present sewerage network of Kotor is connected to the regional transmission main.
- Sewerage coverage inside the town is relatively low.
- The structural condition of the existing network of Kotor is very bad for 70% of the sewerage network which regularly collapses.
- Bathing water quality at many beaches does not meet the relevant national and international standards.

General situation - Municipality of Tivat

- Located around the Tivat Bay, part of the Bay of Kotor.
- The town has a population of about 11,500 permanent residents.
- A further 2,200 citizens live in other smaller settlements.
- Tourism is of importance, more than doubling the population in the summer season.
- The only industry of relevance is the shipyard adjacent to the town.
- The present sewerage network of Tivat is very underdeveloped.
- The structural condition of about 50% of network is bad.
- The sewerage network of Tivat is connected to the regional wastewater system that also serves Kotor and its industrial area.
- Bathing water quality meets relevant international standards.
- However, continued discharge of raw sewage to the sea via short outfalls is a risk both to bathing water quality and public health.

Other relevant project aspects

Depollution potential:

- Regional Plan for reduction of BOD from WWTP (EO5)
- Meets EU Directive 271/91/EEC

Supporting national policies and plans:

- Master Plan for Wastewater Treatment and Disposal for the Montenegrin Coast and the Municipality of Cetinje (2005) - Studies financed by the EU
- Feasibility Study "Wastewater Discharge in the Coastal Region" (2007) - Studies financed by KfW bank.

National plans:

- Master Plan for Wastewater Treatment and Disposal for the Montenegrin Coast and the Municipality of Cetinje (2005) - Studies financed by the EU

Donors and IFIs:

- IFIs will be actively involved in project implementation.

Impacts:

- Improving marine environment, tourism and household income..

Assessment findings (1)

Category	Assessment criteria	Documented project measures	Scoring conditions	Score
Scope of project	*Project targets critical infrastructures*	Construction of WWTP, sewerage and storm drainage network for municipalities located around bay of Kotor	Includes wastewater treatment facilities that <u>directly</u> reduce discharge of pollutants to Sea	4
	Project stresses the strategic focus provided by UNEP/MAP hotspots list	Contributes to elimination of Hot Spot: Port of Kotor, Category: B – high risk area	Project measures directly contribute to the elimination of hotspots	4
	Project addresses regional or cross-border impacts, if applicable	The aim is to achieve targets defined in Directive 271/91/EEC	Area of the project is close to border (Croatia) discharging treated effluent with negligible amounts of nutrients and/or toxic substances	3
			Sub-score (minimum 6)	11

Assessment findings (1)

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	Project stresses the strategic focus provided by UNEP/MAP hotspots list	Contributes to elimination of Hot Spot: Port of Kotor, Category: B – high risk area	Project measures directly contribute to the elimination of hotspots	4
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	Project stresses the strategic focus provided by UNEP/MAP hotspots list	Contributes to elimination of Hot Spot: Port of Kotor, Category: B – high risk area	Project measures directly contribute to the elimination of hotspots	4
	Project addresses regional or cross-border impacts, if applicable	The aim is to achieve targets defined in Directive 271/91/EEC	Area of the project is close to border (Croatia) discharging treated effluent with negligible amounts of nutrients and/or toxic substances	3
			Sub-score (minimum 6)	11

Assessment findings (2A)

Category	Assessment criteria	Documented project measures	Scoring conditions	Score
Concept of project	*Technically feasible, cost effective and contributes in an integrated manner to reduction of impacts on the "marine" environment*	Project involves construction of WWTP (with eco-remediation measures if possible), sewage and storm drainage networks,	Project measures are technically feasible and cost effective and reduce impacts on the marine environment	4

Assessment findings (2A)

Category	Assessment criteria	Documented project measures	Scoring conditions	Score
Concept of project	*Technically feasible, cost effective and contributes in an integrated manner to reduction of impacts on the "marine" environment*	Project involves construction of WWTP (with eco-remediation measures if possible), sewage and storm drainage networks,	Project measures are technically feasible and cost effective and reduce impacts on the marine environment	4
	Reflects future trends in pressures and impacts according to the present NBB and the environmental issues of related hotspots	Montenegro developed a matrix in which impacts from land-based sources of pollution on the marine ecosystem were ranked. Municipal wastewater from public water supply and utility companies, and illegal outfalls, were ranked highest due to lack of WWTP.	Project discharges pollutants high on the NBB list, and includes effective measures for pollution prevention and control	3

Assessment findings (2B)

Category	Assessment criteria	Documented project measures	Scoring conditions	Score
Concept of project	*Effective in meeting the long-term provisions of the SAP; the legally binding measures of the regional plans and their implementation timetables; and GES targets*	Project addresses municipal sewage system (new construction and rehabilitation), improves bathing water quality, includes construction of a WWTP, in accordance with Council Directive 91/271/EEC.	Project measures will fulfill the legal provisions for pollution prevention and control of the applicable regional plans (regional plan on BOD from municipal WWTP facilities, and criteria and standards for bathing waters quality)	4
	Invests in building human capital, improving institutional structures and national regulatory frameworks	No concrete information on the aspect of capacity building in project fiche, but KfW finance projects which include an accompanying measure component for capacity building and improvement of institutional and regulatory structures.	Project includes only special provisions for training on operation and maintenance of infrastructure facilities	3
			Sub-score (minimum 8)	14

Assessment findings (3)

Category	Assessment criteria	Documented project measures	Scoring conditions	Score
Scope of project	*Has political backing and support by relevant stakeholders for project concept and selection*	Project developed in cooperation with the Project Implementation Unit, Ministry of Sustainable Development and Tourism	Project has full political backing by the national planning authority as a high priority project in the national sectoral plan	4
			Sub-score (minimum 6)	12

Assessment findings (3)

Category	Assessment criteria	Documented project measures	Scoring conditions	Score
Scope of project	*Has political backing and support by relevant stakeholders for project concept and selection*	Project developed in cooperation with the Project Implementation Unit, Ministry of Sustainable Development and Tourism	Project has full political backing by the national planning authority as a high priority project in the national sectoral plan	4
	In line with sectoral strategies and national development plans	Master Plan for Wastewater Treatment and (2005) and Feasibility Study "Wastewater Discharge in the Coastal Region"	Project objectives are fully in line with the goals of national sectoral strategies and/or national development plans	4
			Sub-score (minimum 6)	12

Assessment findings (3)

Category	Assessment criteria	Documented project measures	Scoring conditions	Score
Scope of project	*Has political backing and support by relevant stakeholders for project concept and selection*	Project developed in cooperation with the Project Implementation Unit, Ministry of Sustainable Development and Tourism	Project has full political backing by the national planning authority as a high priority project in the national sectoral plan	4
	In line with sectoral strategies and national development plans	Master Plan for Wastewater Treatment and (2005) and Feasibility Study "Wastewater Discharge in the Coastal Region"	Project objectives are fully in line with the goals of national sectoral strategies and/or national development plans	4
	Coordinated with potential donors/IFIs in the planning and preparation phases	Master Plan for Wastewater Treatment and (2005) and Feasibility Study "Wastewater Discharge in the Coastal Region“ were financed by EU and KfW. Hence, project coordinated with IFIs	Donors and IFIs have undertaken feasibility studies for the project or prepared master plans for the project area	4
			Sub-score (minimum 6)	12

Results of assessment

- A total score of 37 (from a maximum of 40) is obtained for Montenegro's project fiche No. 4.
- This indicates that the project is indeed a priority investment project.
- Minimum sub-scores are all met.
- It is recommended that the project fiche includes additional details on capacity building activities in addition to details for strengthening existing institutional and legal structures.

Your task: assess two project fiches from your country

- Form country working group teams.
- Pick two project fiches from the pile of provided fiches which you think have potential for scoring highest scores.
- Using provided scoring criteria table, assess two project fiches.
- Fill the blank table of “results of assessment” and score.
- You have 50 minutes to complete exercise for two fiches.
- Be prepared to make a presentation of findings and conclusions of highest scoring project fiche.
- Upon completion of presentations, I will present summary points and concluding remarks.