



**TRAINING COURSE "STRATEGIES
AND TOOLS OF ENVIRONMENTAL
COMPLIANCE ASSURANCE":
Methodology description for
trainers in EECCA countries**



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This brochure was developed as part of the OECD/EAP Task Force’s work programme in support to reforms of environmental enforcement authorities in countries of Eastern Europe, Caucasus, and Central Asia. The opinions expressed in this document are the sole responsibility of the authors and do not necessarily reflect those of the OECD or the governments of its member countries.

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FOREWORD

Environmental enforcement authorities (EEAs) need adequate human, material, and financial resources in order to protect the environment. In many countries, access to these resources will very much depend upon the political will to translate environmental law into practice and availability of financial resources. Where such will political exists and basic funding is ensured, the number and particularly the quality of human resources are decisive factors to ensure environmental compliance.

In this context, training is instrumental for raising the professionalism of staff. Better professional training promotes consistency in inspection planning and execution. It provides for international and national coherence of environmental compliance assurance and contributes to a higher and more uniform environmental performance within the regulated community.

In countries of Eastern Europe, Caucasus, and Central Asia (EECCA), training mostly occurs *ad hoc* through workshops, very rare exchange programmes, or by pairing a new employee with a more experienced colleague. As a rule, training institutes or universities in EECCA do not have permitting, inspection and enforcement courses in their curricula. Scattered training events are part of technical assistance programmes. In many instances, the results of training are unsustainable as staff turnover is high. The character of existing expertise is mainly technical, adequate managerial or communication skills being scarce. While some EECCA countries have developed national training curricula, based on domestic legal systems, it is important to supplement them with good international practice and promote cross-country coherence in regulation, inspection, and enforcement.

Within the 2003-2007 work programme, the OECD/EAP Task Force Secretariat organised numerous training and know-how transfer events at the level of sub-regions (e.g. in the Caucasus) and countries, including Armenia, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Russia, and Ukraine. The training programme was based on the “Toolkit for Better Environmental Inspectorates”, which is a comprehensive manual reflecting modern theory and practice of environmental compliance promotion, monitoring, and enforcement.

The programme had a positive impact and, as a result, the Secretariat and its partners in EECCA have faced an increasing demand for training, which is difficult to satisfy without enlarging the number of trainers and creating a mechanism that would enable trainers to continuously update the training programmes and materials.

The current brochure is one of the outputs of the OECD/EAP Task Force project that aims to promote a structured approach towards training of environmental inspectors and facilitate networking among specialised institutions in the EECCA region and with similar institutions in OECD and CEE countries. It describes the methodology for a training course on strategies and tools of environmental compliance assurance. Trainers are the key audience for the document.

This work is part of regional cooperation within the Regulatory Programme Implementation Network (REPIN) of EECCA countries. REPIN provides policy makers and practitioners with a platform to exchange experience and build partnerships with their counterparts from OECD countries, Central and Eastern Europe, as well as with representatives of NGOs and the private sector on issues of common interest.

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INTRODUCTION TO THE TRAINING COURSE

The overall objective of the training course is helping environmental inspectorates to adopt good international practices of environmental compliance assurance. The course is based on the OECD publication “Assuring Environmental Compliance: A Toolkit for Better Environmental Inspectorates”. The suggested methodology is to combine brief lectures with extensive participants’ practical work, including a site visit. This approach reflects particularities of professional training that, as a rule, largely relies on experience sharing, self-learning, and learning-by-doing. All training materials are available on the companion CD-ROM.

It is recommended that a team of trainers (two to four) implement the training. Prior to the training, they will assign responsibilities for both training preparation and delivery. One of the trainers should assume the leader’s role and facilitate a coordinated approach among team members. Annex 1 contains a Checklist that will help trainer teams to prepare individual training courses and session. More advice on individual competence development, including on needs assessment and training programme development, will be provided in a guidance paper that is currently under preparation by the OECD/EAP Task Force secretariat.

In the current document, eleven training modules for a five-day seminar are described (see a possible seminar agenda in Annex 2). This does not mean, however, that the same length and the exact agenda should be replicated in all cases. The course, for instance, could be extended to several weeks with one module presented weekly. Nevertheless, all modules need to be presented in order to promote a systemic understanding of strategies and tools for environmental compliance assurance. The proposed key modules reflect the following topics:

- Design of modern regulatory regimes;
- Institutions and strategies of compliance assurance;
- Minimum criteria for environmental inspection;
- Non-compliance response;
- Interviewing and communication techniques;
- Country-specific experience of compliance assurance and networking.

In advance to the training course, participants may want to familiarise themselves with the “Guiding Principles for Reform of Environmental Enforcement Authorities in Transition Economies”. In addition, the programme may identify a number of tasks to be fulfilled by participants as part of their self-preparation, as shown in Annex 2. The following tools are indispensable for the training: LCD projector and screen, flipchart and flipchart paper; markers and notepads; and colour stickers.

SEMINAR OPENING

Time	Description of activities	Logistical notes
10 min.	<p>This session will set the scene for the entire training. The participation of a high-level official, preferably the inspectorate’s top official, is a crucial element of success for the module and the entire training course. It will show management interest in both the process and outcomes of training.</p> <p>A top official from the host Inspectorate will welcome the participants and open the meeting.</p>	Distribute the Inspectorate Brochure, if available
20 min.	<p>The Trainers’ Team Leader introduces the course and explains the overall context for carrying it out.</p> <p>At the end of the Introduction, participants are asked to tell their names, positions, regions, and (in one-two sentences) the <u>expectations</u> for the training course. The latter are written on the flipchart.</p> <p>Also the <u>rules of communication</u> during the course are explained and agreed upon:</p> <ul style="list-style-type: none"> • Only one person talks, including because of the need to have good translation (where relevant); • Interventions from the floor are most welcome but one person should not capture the whole discussion or the entire time; • No smoking nearby the meeting room; • No mobile telephone use in the training room; • Other rules – to suggest to participants to complete the list. <p>Finally, the speaker mentions with whom any <u>administrative issues</u> should be solved.</p>	<p>Print out and distribute:</p> <ul style="list-style-type: none"> • Handouts of the presentation “Introduction to the Training Course” • The training agenda
End of Opening		

MODULE 1: OVERVIEW OF MODERN REGULATORY REGIMES

Time	Description of activities	Logistical notes
60 min.	<p>The trainer starts the session with the following questions:</p> <ul style="list-style-type: none"> • What does government modernisation mean for the national and sub-national authorities? • Who are the players of modern governance systems? • How should the regulation look like in order to be “modern”? <p>Responses are written on the flipchart and then the Trainer delivers the presentation.</p> <p>Participants are involved in a short discussion when showing the following slides:</p> <p><u>“The Regulatory Cycle”</u>: How does feedback occur between all stages of the regulatory cycle in the country?</p> <p><u>“Feasibility and Enforceability”</u>: What tools are used to assess the impact of regulation? Are the current requirements feasible? Are they enforceable?</p> <p><u>“Transparent Regulation”</u>: Are actual consultations meaningful or are they conducted for the sake of consultations?</p> <p><u>“Accountability and Control”</u>: What data and institutional reports are publicly available?</p> <p><u>“Models of Behaviour”</u>: What model is most frequent in the country/region?</p> <p>A summary of key notions learned is presented at the end of this session.</p>	<p>Print out and distribute:</p> <ul style="list-style-type: none"> • Handouts of the presentation “Design of Modern Regulatory Regimes” • Article by Sir John Harman, Chairman of the UK Environment Protection Agency • Selected briefs from the OECD series on modern public management • “Guiding principles for the reform of environmental enforcement authorities in EECCA” as a model of modern regulation in transition economies • The Toolkit for Better Environmental Inspectorates (Part 1), in particular the Dutch “Table of Eleven”
End of Module 1		

MODULE 2: BUILDING AN INSPECTORATE

Time	Description of activities	Logistical notes
<i>Part 1</i>		
20 min.	The trainer gives a presentation on the necessary legal framework and internationally-recognised “quality (performance) standards” for inspectorates (slides 1 – 12).	Print out and distribute: <ul style="list-style-type: none"> • Handout of slides • The text of the national law on environmental enforcement and the Inspectorate’s internal regulation
20 min.	...followed by discussion with the participants what they recognize from the national model. Participants are referred to the “Guiding Principles” and Section 1.3 of the Toolkit shortly describing the “quality standards” approach.	
30 min.	The trainer gives a presentation on strategy development. During the presentation he/she interacts with the participants by asking questions and inviting them to clarify the situation in their inspectorate. The trainer hands out documents that can exemplify the mission, vision and values of an environmental inspectorate, as well as the table of contents of a strategic plan. Participants are referred to Section 2.1 of the Toolkit describing the process of strategic planning.	Print out and distribute: <ul style="list-style-type: none"> • Inspectorate’s/Ministry’s Strategy, if available • Examples provided on the CD-ROM, including the contents/outline of a strategic plan, mission statements, and basic questions related to strategic planning; • The Toolkit for Better Environmental Inspectorates (Part 2), in particular the Section 2.1
15 min.	The trainer explains the particularities of SWOT analysis as a step up for the afternoon workshop (slides 22 – 28), which will include the making of such an analysis.	Print out and distribute: <ul style="list-style-type: none"> • SWOT analysis – general introduction • Example of a SWOT analysis
5 min.	Questions and answers	

Time	Description of activities	Logistical notes
Part 2		
60 min.	<p>EXERCISE 1 SWOT analysis</p> <p>The trainers will explain the actions to be taken. Participants will split in 4 small groups, each group deciding on a facilitator and a <i>rapporteur</i>. They will have 30 minutes to brainstorm on the strengths, weaknesses, opportunities and threats of their own Inspectorate. The trainers will be available to provide support to the small groups.</p> <p>After small group discussions, participants will be invited to return to the plenary session. Each group will be asked to present and discuss the results of the SWOT analysis (30 min. available per total for this segment).</p>	<p>Break-out locations for small groups have to be booked in advance</p> <p>Each group will need a flipchart, flipchart paper, and markers</p>
60 min.	<p>EXERCISE 2 Inspectorate responsibilities</p> <p>The trainer will ask participants to brainstorm on their Inspectorate responsibilities. After the brainstorming session (15 minutes), participants will prioritise the inspectorate's responsibilities individually (15 minutes).</p> <p>Results are recorded on the flipchart (10 minutes), followed by a plenary discussion (20 minutes).</p>	
60 min.	<p>EXERCISE 3 Consultations on a draft law – Role play</p> <p>The trainer will ask participants to split in five groups reflecting various stakeholder groups: (i) environmental authorities; (ii) enterprises; (iii) NGOs; (iv) the judiciary, and (v) Members of Parliament. During 30 minutes of small group work they define the position of each group vis-à-vis a draft law (e.g. one-two major articles) under preparation by environmental authorities. The participants will need to write down the pros and cons from the perspective of their own stakeholder group.</p> <p>In plenary, participants will need to present their views and find a compromise, if possible, on the draft.</p>	<p>Print out and distribute:</p> <ul style="list-style-type: none"> • Excerpts from a draft law under development <p>Break-out locations for small groups have to be booked in advance</p> <p>Each group will need a flipchart, flipchart paper, and markers</p>
Part 3		
60 min.	<p>Based on the outcomes of practical work, participants will be asked to brainstorm on key areas for improvement within the Inspectorate and define <u>seven top priorities</u>.</p>	<p>Stickers (7 per person)</p>
End of Module 2		

MODULE 3: CHOICE OF OUTCOMES AND INSTRUMENTS

Time	Description of activities	Logistical notes
Part 1		
15 min.	The trainer gives the floor to the participants to estimate the number of large, medium and small enterprises in their region. Data are recorded on the flipchart.	Print out and distribute: <ul style="list-style-type: none"> • Slide handouts for Module 3
15 min.followed by a short presentation (slides 1 – 3). Together trainer and participants discuss and conclude on the completeness of the existing information on the regulated community. A particular attention is paid to relations between the Inspectorate and the permit authority as regards the inflow of information about the regulated facilities.	
Part 2		
20 min.	Trainer hands out an exercise (priority setting nr. 1) and asks the participants to individually answer the questions. After answering the questions, the participants explain the reasoning behind the choices that they made.	Print out and distribute: <ul style="list-style-type: none"> • Handouts for exercises 1 – 3 • Operator Performance Appraisal Method from Scotland • Section 3.4 of the Toolkit Colour stickers (3 per person)
40 min.	The trainer hands out another exercise (priority setting nr. 2). Four small groups are established, each being asked to establish the list of priorities from 1 (top priority) to 10 (least important). Each group appoints a <i>rapporteur</i> . After the exercise the results will be filled in on a board schedule and compared. Conclusions will be drawn.	
15 min.	The trainer shows slide 4. The 3 rd exercise (priority setting nr. 3) is to be filled in by all participants individually. This is followed by a “stickering” exercise, where each participant shows his/her top 3 of priority criteria. The trainer refers to the Operator Performance Appraisal method, used in Scotland as a possible prioritisation technique. He/she also draws participants’ attention to the Section 3.4 of the Toolkit and its annexes.	

Time	Description of activities	Logistical notes
Part 3		
20 min.	The trainer presents alternative ways to achieve compliance.	
20 min.	The trainer gives a presentation on inspection and enforcement approach (slides 16 – 22). The trainer refers to the UK Enforcement Policy, presented in the annexes to Part 3 of the Toolkit.	Print out and distribute: <ul style="list-style-type: none"> • UK Enforcement Policy
20 min.	The trainer presents particularities of inspection programming (slide 23)	Print out and distribute: <ul style="list-style-type: none"> • Guidelines on inspection programming from one-two countries (available on the CD-ROM)
End of Module 3		

MODULE 4: ORGANISATIONAL CULTURE

Time	Description of activities	Logistical note
Part 1		
20 min.	The trainer delivers the presentation (slides 1 – 5). Participants are asked to provide feedback on the existing practices and their impact on Inspectorate’s performance.	Print out and distribute: <ul style="list-style-type: none"> • Slide handouts • Questionnaire on the organisational culture and the “response” • Example of values established by the Georgian inspectorate • Questionnaire on the management style To process responses to the questionnaire on management styles, an Excel file is available
15 min.	The trainer hands out a test (questionnaire – 2.3b) on corporate culture. Participants fill it in, make the calculation and are given the ‘response’. Dependent on reactions short discussion. Next an example of culture (Georgian Inspectorate) is handed out.	
15 min.	The trainer hands out a questionnaire on management style. The participants individually fill it in, make their own calculations and return the filled in form to the trainer.	
15 min.	The trainer explains the X and Y theory and main management styles. (slides 6 – 7) The <u>Assistant</u> collects all the forms and starts to work out the results in the available format.	
20 min.	Trainer asks the participants for their experience with staff behaviour, including their own attitude to colleagues and managers. Following that he gives a presentation on staff behaviour and commitment (slides 8 – 13).	
15 min.	The trainer discusses with participants the present communication flows and structures, including internal and external ones.	
20 min.	Next the trainer <i>presents</i> slides 14 – 18 and links them to the previous discussion / exchange of opinions.	

Time	Description of activities	Logistical notes
Part 2		
60 min.	<p>Workshop about corporate culture. The “corporate culture” checklist is handed out.</p> <p>One of the participants is nominated as chairman. The chairman arranges the organisation of the group in such a way that:</p> <ul style="list-style-type: none"> • all participants go through the checklist; • everybody contributes to the answers on the checklist; • a brainstorm session is held, identifying the 10 major preferences in the inspectorate’s corporate culture and the 10 major rejections; • the “10 golden principles of internal communication” are drafted; • specific measures are identified to facilitate better communication. <p>The trainers will be available to support small group work. Their role will be a coaching one.</p>	<p>Print out and distribute:</p> <ul style="list-style-type: none"> • Corporate culture checklist
30 min.	In plenary, concluding remarks will be made by the trainer and the participants.	
End of Module 4		

MODULE 5: SITE VISIT

First phase of the site visit exercise

Time	Description of activities	Logistical notes
<i>Part 1</i>		
20 min.	<p>In plenary, the trainer explains the assignment. Participants are asked to do the following during the first company visit:</p> <ul style="list-style-type: none"> • put questions to the site management/staff in order to build up a general understanding of the company and production processes; • take notes; • not (!) to act as an inspector for the time being. <p>The person responsible for site visit organisation explains the logistics of the visit. If necessary, protective clothing is provided to participants and trainers.</p>	Notepads and pens have to be prepared in advance.
40 min.	Transport to the site and arrival.	
135 min.	<p>A short introduction is given to the site management, underlining that:</p> <ul style="list-style-type: none"> • the groups is in training; • the company will not suffer formal consequences in case of non-compliance discover; • the company must not expect future preferential treatment as a reward for hosting the training; • the first day aims to gather information, and a second visit is planned for the “inspection” role play. <p>On-site activities will include:</p> <ul style="list-style-type: none"> • explanation of production process, • review of available documents including licenses, • tour of the site, and • questions and answers session. <p>The first day site visit will be resumed by thanking the host company (to be done by the leader of the trainer’s team).</p>	
40 min.	Return to the training location.	

Debriefing of the first phase

Time	Description of activities	Logistical notes
Part 2		
25 min.	<p>The trainers discuss the site visit with the participants. The discussion is about <u>two issues</u> only:</p> <ul style="list-style-type: none"> • Description of the production process of the company (without judgement whether things are right or wrong according to the law); • Possibilities to make the production process run more environmentally friendly and at the same time more economical for the company. <p>The described production process and possibilities for improvement will be used as a starting point for the next-day “inspection activities”.</p> <p>During the discussion, one of the participants writes the key findings on flipchart paper.</p>	<p>Print out and distribute:</p> <ul style="list-style-type: none"> • Handout slides • Copies of the company’s (integrated) permit • Available guidance documents on routine inspection and incidents
25 min.	<p>The colleague who issued the permit provides copies of the company’s permit to the participants (depending on the size of the permit: 1 for each participant or 4 copies for the whole group at least). This permit writer explains the permit obligations. A “questions and answers” session follows.</p> <p>During the session with the permit writer one of the participants writes down the key requirements on flipchart.</p>	
15 min.	The trainer delivers the presentation on site visit organisation	
15 min.	The trainer discusses the aims of the inspection with the participants. One of the participants writes the conclusions on a flipchart.	
15 min.	The trainer discusses the planning of the inspection with the participants. One of the participants writes the conclusions on a flipchart.	
10 min.	<p>The trainer discusses the roles of the participants during the ‘inspection’. Participants agree on the following:</p> <ul style="list-style-type: none"> • who will do the opening meeting; • who will do the inspection round in the company; • who will do the evaluation of findings and the closing meeting; • who will be the observers of the whole process. 	
15 min.	The trainer discusses with the participants the ethical considerations of the site visit and inspection in general. One of the participants notes the conclusions on a flipchart.	

Development of an inspection checklist

Time	Description of activities	Logistical notes
Part 3		
10 min.	The trainer gives a short introduction providing hints and guidance for the group to draft a checklist for tomorrow's inspection. The participants are divided in 4 equally numbered groups, each with the task to draft a checklist.	Print out and distribute: <ul style="list-style-type: none"> • Toolkit Part 4 • The final version of the site-specific checklist
50 min.	The groups of participants work on their checklists. They write down their results on a flipchart. They leave sufficient room for translation.	
30 min.	The groups stick their results to the wall. The trainer discusses the results with the group and concludes on the final checklist. One of the participants transfers the checklist in a Word-file, so that it can be printed for all participants.	

Second phase of the site visit

Time	Description of activities	Logistical notes
Part 4		
40 min.	Travel to the site.	All participants should have the checklist and notepads and pens.
120 min.	The site visit is conducted according to the roles agreed previously. Apart from their assigned roles all participants are requested to observe and note facts and findings concerning: <ul style="list-style-type: none"> • non-compliance; • communication with the company; • possibilities for company's process improvement; • management of the company; • attitude of the company. <p>While being on-site, participants and trainers strictly obey the company's safety regulations.</p>	
40 min.	Travel from the site to the training location.	

Debriefing of the second phase of the site visit

Time	Description of activities	Logistical notes
Part 5		
15 min.	The trainer gives the floor to each of the 7 role players for a first round of general personal impressions (maximum two minutes for each player).	Participants should have their notes from the site visit.
45 min.	<p>The trainer goes more into depth on each of the following:</p> <ul style="list-style-type: none"> • opening meeting; • inspection round in the company; • evaluation of findings and the closing meeting; • observers of the whole process. <p>Per item the players mention their observations. Other trainees add their observations. All together discuss and agree on suggestions for future approach.</p> <p>Conclusions are written on a flip-chart by one of the participants.</p>	
End of Module 5		

MODULE 6: COLLECTING EVIDENCE

Time	Description of activities	Logistical notes
30 min.	<p>The trainer discusses with the participants the way in which observations of inspectors and other evidence are documented:</p> <ul style="list-style-type: none"> • what things, and how, are written down; • are there court cases and if so, what is the rate of cases won by the Inspectorate; • why cases are lost in court; • are all procedural requirements well known and followed by inspectors; • what precautions are currently taken to avoid loss of documents/evidence. 	<p>Print out and distribute:</p> <ul style="list-style-type: none"> • Handout slides; • National requirements on evidence collection.
15 min.	<p>The trainer gives a presentation on evidence collection.</p>	
15 min.	<p>The trainer asks the participants what would be needed to provide them with better possibilities to collect evidence in respect to:</p> <ul style="list-style-type: none"> • legal requirements; • financial possibilities; • management support. <p>Conclusions are written on a flip-chart by one of the participants.</p>	
End of Module 6		

MODULE 7: DOCUMENTING INSPECTION FINDINGS

Time	Description of activities	Logistical notes
30 min.	<p>The trainer discusses with participants the way in which they document their inspection findings. He writes and draws on a flipchart how the process takes place, asking for:</p> <ul style="list-style-type: none"> • accuracy requirements; • document tracking possibilities; • accountability for storage/filing; • storage times; • physical storage (desk, room, electronic, etc.); • confidentiality of information, 	<p>Print out and distribute:</p> <ul style="list-style-type: none"> • Handout slides; • Guidance on reporting from the Scottish EPA.
15 min.	<p>The trainer gives a short presentation on documenting inspection findings.</p>	
15 min.	<p>If appropriate, the presentation is followed by a discussion of possibilities to use other ways of dealing with documenting inspection findings in the country.</p> <p>One of the participants writes the conclusions on a flipchart.</p>	
End of Module 7		

MODULE 8: COMMUNICATION – BASIC ELEMENTS

Time	Description of activities	Logistical notes
20 min.	The trainer gives an introductory presentation on verbal communication (sender, receiver, interference, frames of reference).	Print out and distribute: <ul style="list-style-type: none"> • Handout slides
25 min.	The trainer gives an interactive presentation on non-verbal communication. On the basis of the slides different types of non-verbal communication are discussed. During the presentation and discussion the trainer shows different forms and also asks the participants to express themselves non-verbally.	
20 min.	The trainer asks the participants about their personal feeling in the following hypothetical situations: <ul style="list-style-type: none"> • You talk to a neighbour at a party. The neighbour stands very close to you, almost touching you and face close to yours. • During an ice hockey game you are in the stadium. The person aside of you does not pay attention to you, but is enthusiastically supporting the players. In his enthusiasm his arms touch you regularly. • Your close friend puts an arm around your shoulder and pulls you close to him. 	
25 min.	The trainer explains the different zones that play a role in communication. He uses slides 17- 21. The trainer shows the slides 22 – 25 that explain the kind of answer to be expected depending on the way questions are asked. The trainer asks selected participants to ask selected other participants open, closed, hypothetical, suggestive, etc. questions. The asked participants answer. All other participants observe what kind of question was asked. Through this exercise participants develop a feeling about types of questions and the sort of answer to be expected.	
End of Module 8		

MODULE 9: INTERVIEWING TECHNIQUES

Time	Description of activities	Logistical notes
20 min.	The trainer discusses with the participants how they perform interviews and what they would consider key in that. One of the participants notes the conclusions on a flip-chart.	Print out and distribute: <ul style="list-style-type: none"> • Handout slides.
30 min.	The trainer gives a presentation on interviewing techniques, followed by discussions about existing approaches. The group identifies measures to improve these approaches. The trainer notes the most important possibilities on a flipchart.	
40 min.	Role play where the participants try out the potential approaches. One participant plays the director of the company, another – the inspector doing the interview. Other participants participate, make notes and provide feedback after the exercise. The exercise is done 2 times. After each of the exercises (10 minutes each) there will be around 10 minutes debriefing.	Print out and distribute: <ul style="list-style-type: none"> • Handout slides.
End of Module 9		

MODULE 10: ENFORCEMENT PROCESS

Time	Description of activities	Logistical notes
25 min.	The trainer discusses with the participants the reasons to inspect and enforce. Next the trainer shows and clarifies slides 1-4.	Print out and distribute: <ul style="list-style-type: none"> • Handout slides.
35 min.	<p>The trainer discusses whether non-compliance situations are always followed by enforcement action in Kazakhstan or not. What arguments play a role in the decision making?</p> <p>The trainer shows and clarifies slides 8-10.</p> <p>The trainer asks the participants for reasons that in the country are considered aggravating and to strengthen the enforcement reaction of the authorities. How would that “stronger” enforcement reaction look like?</p> <p>Trainer shows slide 11.</p>	
30 min.	<p>The trainer shows slide 12 and asks the participants about their powers as an inspector. These are listed on a flipchart. The trainer asks for examples when these powers were used and provokes discussion to clarify the scope of the powers.</p> <p>The trainer shows slides 13 and 14 and discusses the possible and actual use of their rights by regulates. He/she tries to get clear which the reasons behind use or non use could be.</p>	
End of Module 10		

MODULE 11: INTERNATIONAL EXPERIENCE AND NETWORKING

Time	Description of activities	Logistical notes
25 min.	The trainer presents the major trends of institutional reform and funding of environmental inspectorates in OECD countries.	Print out and distribute: <ul style="list-style-type: none"> • Handout slides. • INECE brochure in Russian
35 min.	The trainer presents two examples (e.g. from Norway and Russia). To be stressed, that these are NOT models to follow, just an update what is happening in other countries. Questions and answers	
30 min.	The trainer introduces the existing international networks. Internet navigation (if possible)	
End of Module 11		

CLOSING SESSION

Time	Description of activities	Logistical notes
30 min	Plenary discussion of the seminar content and methodology Proposals for follow-up	
30 min	Certificates Ceremony Thanks to participants and support staff Adjourn	Signed certificates
End of training		

ANNEX 1. CHECKLIST FOR PREPARING TRAINING SESSIONS

Goals

- What are the targets for this training programme?
- Do these targets focus on knowledge, skills or attitude?
- Which level do you want to achieve?
- How do you formulate the training target for the students?
- How do you clarify the importance for the future/practice/exam?

Starting point

- What do the students already know about the subject of the training?
- What is their attitude towards the subject?
- Do they have practical experience in this field of interest?
- How heterogeneous is the group of students in this respect?

Didactical approach

- Which didactical approach will you use?
- Is the chosen didactical approach the most appropriate to achieve the training goal?
- To what extent does the chosen didactical approach take into account:
 - participants' existing level of knowledge on this topic;
 - participants' experience in this field;
 - their attitude towards the subject; and
 - the differences (in level) between individual participants in the group?
- Does the chosen didactical approach make use of (i) existing knowledge; (ii) existing experience; and (iii) participants' attitudes?

Training activities

- What questions will you ask participants?
- Which assignments will you raise?

- What should you watch out for as a trainer?

Contents

- To what extent can the contents be “illustrated” or made “visible”?
- To what extent should you work with (i) recent general examples; (ii) examples from practice; and (iii) examples from the known environment of participants?
- To what extent will the contents be linked with existing knowledge?

Learning activities of the students

- Are the students actively involved in the training? How?
- Are the activities motivating?
- How is the information offered processed by the students?

Use of books and other teaching material

- Should you explain during the training what the book, reader or other documentation contains?
- Should you ask participants to read in advance to enable you to discuss issues in more depth during the training?
- Should you ask the students to read the relevant documentation after you have explained the issues during the training?

Media: blackboard, flipchart, transparencies, PowerPoint presentations

- How will you use the blackboard, flipchart, transparencies, PowerPoint presentations?
 - to illustrate;
 - to summarise or provide an overview;
 - to indicate the goal of the training;
 - to jot down ideas and notes; or
 - to acknowledge or reward remarks made by participants.

Evaluation

- How will you monitor whether the training goals were achieved?
- How will you monitor your own performance?

Source: Training Manual for Environmental Inspectorates in South Eastern Europe. The Regional Environmental Centre for Central and Eastern Europe, 2003.

ANNEX 2: POSSIBLE AGENDA FOR A FIVE DAY SEMINAR

Item	Timing	Title	Preparations prior to the seminar: Participants' tasks
Day 1			
	09:30-10:00	Welcome and introduction	
1.1	10:00-11:00	Design of modern regulatory regimes Principles of good governance and "smart" regulation; Key approaches used in modern regulatory regimes; The regulatory cycle; Incentive framework for companies to comply.	To reflect on the following: Reasons for using current regulatory approaches.
	11:00-11:30	Break	
1.2	11:30-13:00	Building an inspectorate Minimum criteria for inspection and for inspectorates; Strategic management and strategy development; Introduction to SWOT-analysis.	To reflect on the following: National requirements concerning the quality of an Inspectorate's work.
	13:00-14:00	Lunch	
1.3	14:00-18:00	Workshop The participants will: Do a SWOT-analysis; Draft the mission, vision and values statements, and define key objectives.	Conduct a SWOT analysis for the own unit; Reflect on mission, vision, values, and key objectives.
Day 2			
2.1	09:30-10:30	Feedback, discussion and conclusion outcome of 1.3	
	10:30-11:00	Break	
2.2	11:00-13:00	Choice of outcomes and instruments Performance-oriented activity; Compliance rates and compliance models; Instruments of compliance assurance.	Reflect on the following: Current targets and their feasibility; Compliance models.
	13:00-14:00	Lunch	
2.3	14:00-16:00	Organisational culture Understanding staff behaviour; Management style and building trust; Internal communication.	Reflect on the following: Personal job satisfaction and management style; Current communication.
	16:00-16:30	Break	

Item	Timing	Title	Preparations prior to the seminar: Participants' tasks
2.4	16:30-17:30	Workshop Identify the characteristics of the corporate culture they want to achieve at the Inspectorate.	Fill in the questionnaire(s) provided by the Secretariat.
2.5	17:30-18:00	Feedback, discussion and conclusion on outcome of 2.4	
Day 3			
3.1	09:00-13:00	Site visit Meeting with facility managers Walk through visit	The visit will be prepared by the host Inspectorate.
13:00-14:00 Lunch			
3.2	14:00-16:00	Debriefing of the Site visit Aims of inspection Planning Ethical considerations	Take notes during the site visit.
16:00-16:30 Break			
3.3	16:30-17:30	Development of an overall checklist for inspection	Reflect on key stages and outcomes of a site visit.
3.4	17:30-18:00	Feedback, discussion and conclusion outcome of 3.3	
Day 4			
4.1	09:30-11:30	On-site activities Access to site and interaction with the company Site walk-through and visual inspection	Collect information regarding cases of denial of entry and their causes
11:30-12:00 Return to training location			
4.2	12:00-13:00	Debriefing of on-site activities Evaluation of activities / experiences / observations Evaluation and development of the checklist	During debriefing - discuss observations, and Find options for improved on-site inspections
13:00-14:00 Lunch			
4.3	14:00-15:00	Collecting evidence Different types of evidence Evidence protection and control	Collect information on cases rejected by the judiciary
4.4	15:00-16:00	Documenting inspection findings Report format and content Tips for writing inspection reports Utility of checklists in comparison with narrative format	Reflect on the current outline of inspection reports (inspection documentation)
16:00-16:30 Break			
4.5	16:30-18:00	Conducting interviews – 1 Principles of communication Body language	Reflect on own skills

Item	Timing	Title	Preparations prior to the seminar: Participants' tasks
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Day 5

5.1	09:30-11:00	Conducting interviews – 2 Asking questions Interviewing techniques	Reflect on own skills Participate in practical exercises during training
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	11:00-11:30	Break	
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5.2	11:30-13:00	Enforcement process Types of penalties Penalty calculation Negotiation and settlement Court process Resolution strategies	Reflect on the effectiveness of existing non-compliance responses and possibilities to improve them
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	13:00-14:00	Lunch	
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4.3	14:00-17:00	International experience Environmental inspectorates in OECD countries Environmental inspectorates in EECCA countries Regional and international networks Internet navigation	Reflect on benefits of networking and needs to improve international cooperation
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	17:00	Concluding remarks and follow up	
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TRAINING COURSE “STRATEGIES AND TOOLS OF ENVIRONMENTAL COMPLIANCE ASSURANCE”:

Methodology description for trainers in EECCA countries

This brochure is a support tool for preparing and delivering training on the overall organisation of environmental compliance assurance. The methodology is brief – it just gives a general understanding of the approach that could be used to organise the training course.

The brochure is one of the elements from a trainer’s resource kit (CD-ROM) that includes a training manual, companion slides, exercises, reference documents, etc.

Trainers may need to further develop and adapt the proposed approach to the specifics of their target audience.