

Proceedings from  
The INECE-OECD Workshop on  
Environmental Compliance and Enforcement  
Indicators:  
Measuring What Matters

3-4 November 2003  
OECD Headquarters  
Paris, France

Sponsored by  
the International Network for Environmental Compliance and Enforcement (INECE)  
and  
the Organisation for Economic Co-operation and Development (OECD)

**March 31, 2004**



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## **EXECUTIVE SUMMARY**

These proceedings present the results of an international workshop on Compliance and Enforcement Indicators, which was organized by the International Network for Environmental Compliance and Enforcement (INECE) and the Organisation for Economic Co-operation and Development (OECD) on the 3-4 November 2003 in Paris. The meeting was conducted in the framework of the INECE Project on Compliance and Enforcement Indicators.

### **1 BACKGROUND**

Information about compliance control and enforcement actions and their results can be a powerful instrument for assuring and stimulating compliance with environmental requirements. Over the years, compliance assurance programs evolved, as did demands for reliable, harmonized and easily understandable information not only from environmental policy makers but also from other public authorities, businesses, the general public, environmental nongovernmental organizations (NGOs) and other stakeholders. The development of meaningful and robust environmental compliance and enforcement (ECE) indicators responds to these demands.

As experience with using ECE indicators accumulates, needs have been expressed to develop common definitions, analyze design and implementation issues in different country specific contexts and build capacities of the transition and developing countries to apply these indicators.

### **2 ORGANIZATIONAL FRAMEWORK**

Responding to this need the INECE, in cooperation with OECD and other partners, has developed a project to assist enforcement agencies in designing compliance and enforcement indicators and using them for agencies' performance assessment. The Project aims to:

- help establish procedures to apply both quantitative and qualitative indicators, with regular feedback to managers, political leaders and legislature;
- strengthen demand and capacity for performance assessment in individual countries;
- stimulate co-operation projects to develop and apply in practice enforcement and compliance indicators, and
- contribute towards international harmonization of indicators in order to facilitate reporting on progress towards sustainable development in the regional and global contexts.

The Project was launched by an expert workshop on 3-4 November 2003 hosted by INECE and OECD in Paris, France. This meeting provided a forum for the officials and experts representing more than 20 developed, transition and developing countries as well as international organizations, multi-lateral environmental agreement secretariats, and NGOs to exchange experiences in the use of enforcement and compliance indicators. The specific objectives were to:

- review the rationale, purpose and needs for using enforcement and compliance indicators;
- advance the development of common definitions, typology and the relationships with other types of indicators;
- consider experience from OECD, transition and developing economies with using enforcement and compliance indicators;
- discuss Project's follow-up steps at the international and country level.

### 3 STRUCTURE OF THE PROCEEDINGS

This document consist of three primary sections.

**Section 1: Summary of the Workshop Discussion and Conclusions.** A summary of the information contained in the presentations and discussion is included in this part. The workshop participants explored examples and use of indicators and analyzed their role and management decision-making. They examined processes for developing ECE indicators and the barriers to such development. They discussed criteria for evaluating the usefulness and effectiveness of the resulting ECE indicators. The workshop participants identified the various stakeholders with interests in ECE indicators and emphasized the advantages of public participation in the development and utilization of ECE indicators.

**Section 2: Background Paper.** Leading up to the workshop an international team of experts collaborated on an extensive background paper "Measuring What Matters." The background paper established common framework for the workshop's discussion and helped to dramatically increase the workshop's productivity.

**Section 3: Descriptions of the Use of ECE Indicators in Selected Countries.** The workshop featured presentations from developed, transition and developing country experts. These presentations provided experiences with ECE indicators as well as guidance for further development of ECE indicators. Abridged versions of selected presentations are included in these proceedings.

All elements of the proceedings are available at the INECE Web site at <http://inece.org/indicators/workshop.html>.

### 4 ACKNOWLEDGEMENTS

The INECE and OECD Secretariats express their sincerest gratitude to those who participated in the development of these proceedings and, in particular, to the workshop participants listed in Section 5, whose contributions made this a truly important international event.

The Secretariats offer special thanks and appreciation to Environment Canada for its support in the development of these proceedings and to Frank Barrett for his leadership in preparing the background paper, which is included in Section 2. The Secretariats also wish to thank the governments of Germany, the Netherlands, United Kingdom and the United States and the World Bank Institute for their in-kind and financial contributions to the organization of the workshop and the preparations of the substantive inputs.

One major factor to the success of this workshop was the cooperation of the INECE Expert Working Group on ECE Indicators. The Expert Group shaped the agenda for the workshop to ensure that the discussion responded to real needs and regional differences. The Expert Working Group members are Frank Barrett, Environment Canada; Antonio Benjamin, Law for Green Planet Institute (Brazil); Adriana Bianchi, World Bank Institute; María Eugenia Di Paola, FARN (Argentina); Nick Franco, US Environmental Protection Agency (USEPA); Jo Gerardu, VROM (the Netherlands); Davis Jones, USEPA; Donald Kaniaru, formerly of UNEP; Myriam Linster, OECD; Kenneth Markowitz, INECE Secretariat; Carolina Mauri, Costa Rica; Krzysztof Michalak, OECD; Ladislav Miko, Czech Republic Ministry of Environment; Dave Pascoe, Environment Canada; John Seager, Environment Agency (England and Wales); Michael Stahl, USEPA; and Durwood Zaelke, INECE Secretariat.

The views expressed in this document are only those of authors and they do not express the official opinion of the OECD, INECE, or national governments mentioned throughout.