Module 4: Approaches to SEA

Substantive focus of SEA

- Key options for integrating of SEA into elaboration of plans and programmes
- Integrating SEA into elaboration of plans and programmes - recommendations for practice

SEA inspired by project-level EIA (1)

- Presumption: the chief task of SEA is to evaluate possible environmental impacts of activities that are proposed in the plan/programme (inspired by EIA procedures)
- SEA starts when draft alternatives of the P/P are elaborated
- Scoping determines ToR for the SEA Report and can suggest new alternatives
- SEA Report describes the key effects of each alternative, compares them and recommends the optimal solution
- SEA Report reviewed by relevant environmental and health authorities and by the public concerned
- SEA Reports are taken into account before adoption of P/P
SEA inspired by project-level EIA (2)

- Enables assessment of likely env. impacts
- Impacts become clear when specific alternative(s) have been defined …
- …by this time, the main strategic choices have been made
- Such SEA comes too late to influence the P/P process
- SEA inputs may be ignored (newly suggested alternatives may be boycotted by planners - due to time or resource constrains, etc.)

SEA inspired by project-level EIA (3)

Examples included in this training manual (Module 8):

- SEA of Czech Energy Policy
- SEA of Regional Waste Management Plan of Plzen Region
- SEA of Comprehensive Planning of the Naissaar Island, Estonia

SEA inspired by objective-led appraisals (1)

- Presumption: The key choices in P/P are on the level of objectives and strategic scenarios. These crucial choices must take full account of relevant environmental objectives
- Determination of relevant environmental objectives for the respective sector/region
- Review of consistency of proposed objectives for the P/P with the relevant environmental objectives
- Analysis of consistency of strategic scenarios with the relevant environmental objectives
SEA inspired by objective-led appraisals (2)

- Early input from SEA into strategic planning - provides environmental ToR for the entire planning process
- Separate (public) discussion on objectives and on implementation – less scope for lobbying
- Environmental objectives for the specific sector/region may be poorly defined
- Poorly defined objectives may misguide the entire SEA process
- SEA enables only initial evaluation of draft scenarios – detailed assessments need to follow

SEA inspired by objective-led appraisals (3)

Examples included in this training manual (Module 8):
- SEA of Czech Sectoral Operational Program for Tourism
- SEA of Land-use of Naisar Island, Estonia
- SEA of Waste Management Plan of Priezen Region, CR
- SEA of Waste Management Plan of Ostrava Region, CR
- National Development Plan of Czech Republic
- National Development Plan of Estonia
- National Development Plan of Poland

Recommended reading

- Evaluating consistency with environmental objectives:
  EC Handbook on EA of RDPs and EU Structural Funds Programmes (998)
- Comparison of SEA approaches: Shae at al (2001)
Key options for integrating SEA into elaboration of plans and programmes

Usual structure of the planning process

<table>
<thead>
<tr>
<th>UPDATES</th>
<th>Initiation</th>
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<tbody>
<tr>
<td></td>
<td>Draft P/P</td>
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<td>Consultations and reviews</td>
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<td>Adoption</td>
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Note:
1. Specific planning or programming procedures often include additional or different elements.
2. If case of major differences, please general structure of your systems.

Key elements of the SEA Protocol

- Screening
- Scoping
- SEA Report
- Consultations with authorities
- Consultations with public
- Due account in d-m
- Monitoring
Basic question

- How to integrate SEA elements in elaboration of P/P ... in order to achieve objective of the Protocol ….

- … to provide for a high level of protection of the environment, including health ... by ensuring that environmental, including health, considerations are thoroughly taken into account in the development of P/P (Art 1).

Key options for integration of SEA element into elaboration of PP

Key integration options

- SEA separated from planning
- SEA partially integrated into planning
- SEA fully integrated into planning

Basic elements of the planning process

Initiation of P/P

Draft P/P

Consultation/reviews of draft P/P

Adoption of P/P

Key issues and questions:

1. This scheme outlines common elements in P/P elaboration. It is understood that specific planning or programming procedures may be more detailed.

2. Are these basic elements of P/P elaboration present in your planning systems?
**SEA separated from planning**

- Initiation
- Draft P/P
- Consultations
- Adoption

**Environmental Report**

- Screening
- Scoping

**Separation of SEA from planning**

- Usually comes too late - new alternatives and proposals may be boycotted by planners
- Prolongs the entire planning process
- Late assessment tends to be more costly

**SEA partially integrated into planning**

- Initiation
- Draft P/P
- Consultations
- Adoption

**Environmental Report**

- Screening
- Scoping
**Partial integration of SEA into planning**

- Saves time (parallel to planning)
- Saves money (joint use of data by the planning and assessment teams)
- Facilitates early consultations and prevents late surprises
- More demanding for participation of the SEA team and of authorities and public
- Need for thorough quality reviews

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**Full integration of SEA into planning**

- SEA experts
- Planning experts
- Key authorities and public concerned
- Public access to info and general consult.
Full integration of SEA into planning

- Puts SEA into heart of planning – it fully internalizes SEA
- Same benefits as partial integration – it saves time, money and prevents late surprises ...
- Builds mutual trust among planning experts, SEA experts and key authorities and stakeholders

- Possible internal agreements/disputes between team members may be hidden to the external stakeholders – they may not understand them and appreciate them,
- SEA team may be „fully co-opted“ by the planning process or it looses independent sight – it is important to keep “power balance” between SEA and planning experts

Main question ...

Which option most effectively achieves objective of the Protocol (Art. 1) ... to ensure that environmental, including health, considerations are thoroughly taken into account in the development of P/P?

Which option is most effective generally?

Some specific questions ....

- Should SEA be driven by the nature of planning or programming process or should be driven by procedural steps in SEA?
- How to most effectively link substantive tasks in SEA with substantive tasks in elaboration of P/P?
- When to initiate SEA?
- Should there be on stage of consultations or should consultations (scoping or review) occur at different stages of P/P formulation?
- How to relate SEA to partial environmental analyses and consultations within the planning process
Integrating SEA into elaboration of plans and programmes: Practical recommendations

SEA and existing environmental analyses
- Many planning processes already use limited environmental analyses and consultations
- SEA should strengthen rather than replace these systems
- To do this, one needs to know:
  - What is there?
  - What is sufficient?
  - What needs to be improved?

SEA and planning process
- Review the specific strategic planning process:
  - logic, tasks and formal steps in the planning
  - existing environmental analyses
  - existing consultation mechanisms
- Upgrade these existing provisions to meet requirements of international SEA benchmarks
Possible framework for analysis of the planning process

<table>
<thead>
<tr>
<th>Tasks in the elaboration of plan/program</th>
<th>Existing environmental analyses</th>
<th>Existing provisions for consultations with authorities</th>
<th>Provisions for public access to info. and public consultations</th>
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Usual tasks in elaboration of P/Ps in SEE

1. Initiation (ToR for the P/P - aims and relation to other PPPs
2. Analysis of existing situation within the given area or sector
3. Determination of specific development goals to be achieved by the P/P
4. Development and evaluation of possible “strategic” alternatives/scenarios to achieve development goals
5. Design of selected alternative/scenario – mini-alternatives of specific activities and their timing
6. Design of implementation system and monitoring system
7. Final proposal of P/P and justification for decision-making

Opportunities for integrating of SEA into planning processes in SEE (1)

<table>
<thead>
<tr>
<th>Usual tasks in elaboration of the P/P</th>
<th>Corresponding task in SEA</th>
<th>Consult. with authorities</th>
<th>Consult. with public</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initiation of the P/P</td>
<td>SEA screening and scoping</td>
<td>X</td>
<td>?</td>
</tr>
<tr>
<td>Analysis of existing situation</td>
<td>Analysis of environmental baseline for the P/P</td>
<td>?</td>
<td>?</td>
</tr>
<tr>
<td>Determination of specific goals of the P/P</td>
<td>Determination of relevant env. objectives for the P/P</td>
<td>?</td>
<td>?</td>
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</tbody>
</table>
### Opportunities for integrating of SEA into planning processes in SEE (2)

<table>
<thead>
<tr>
<th>Usual tasks in elaboration of the P/P</th>
<th>Corresponding task in SEA</th>
<th>Consult. with authorities</th>
<th>Consult. with public</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strategic scenarios</td>
<td>Review of consistency with relevant env. objectives</td>
<td>?</td>
<td>?</td>
</tr>
<tr>
<td>Design of specific measures/actions</td>
<td>Assessment of possible env. effects + design of mitigation measures</td>
<td>?</td>
<td>?</td>
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</tbody>
</table>

### Opportunities for integrating of SEA into planning processes in SEE (3)

<table>
<thead>
<tr>
<th>Usual tasks in elaboration of the P/P</th>
<th>Corresponding task in SEA</th>
<th>Consult. with authorities</th>
<th>Consult. with public</th>
</tr>
</thead>
<tbody>
<tr>
<td>Implementation and monitoring system</td>
<td>Design of env. monitoring system</td>
<td>?</td>
<td>?</td>
</tr>
<tr>
<td>Final proposal of the P/P</td>
<td>Wrap-up of SEA by elaboration of Environmental Report that summarizes key conclusions and notes possible uncertainties</td>
<td>X</td>
<td>X</td>
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</tbody>
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