

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



Substantive focus of SEA



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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 Plzen 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

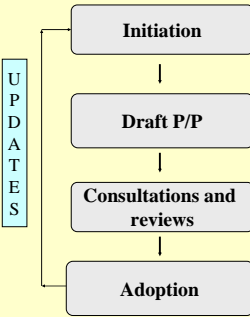
- **Evaluation of impacts of implementing P/P** - EC - DG TREN: SEA of Transport Infrastructure Plans (1997)
http://www.europa.eu.int/comm/transport/themes/network/english/bground_doc/index_en.html
- **Evaluating consistency with environmental objectives:**
EC Handbook on EA of RDPs and EU Structural Funds Programmes (998)
<http://www.europa.eu.int/comm/environment/eia/sea-guidelines/handbook.htm>
- **Comparison of SEA approaches:** Sheate et al (2001)
http://www.europa.eu.int/comm/environment/eia/sea-studies-and-reports/sea_integration_xsum.pdf

Key options for integrating SEA into elaboration of plans and programmes



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Usual structure of the planning process



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.

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Key elements of the SEA Protocol



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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).

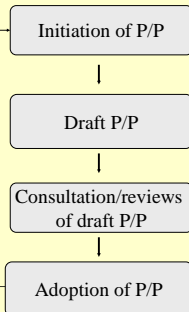
Key options for integration of SEA element into elaboration of PP

Key integration options

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

Basic elements of the planning process

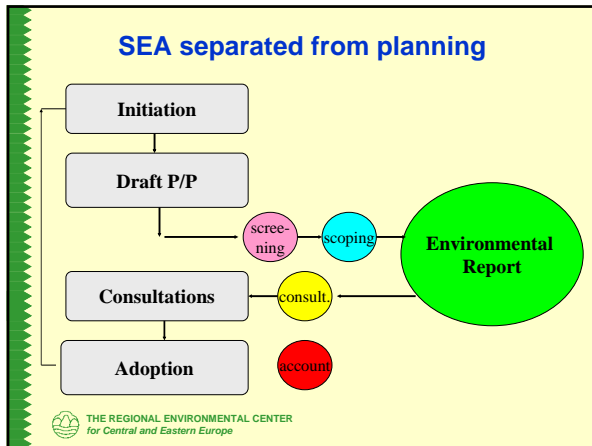
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Key issues and questions:

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

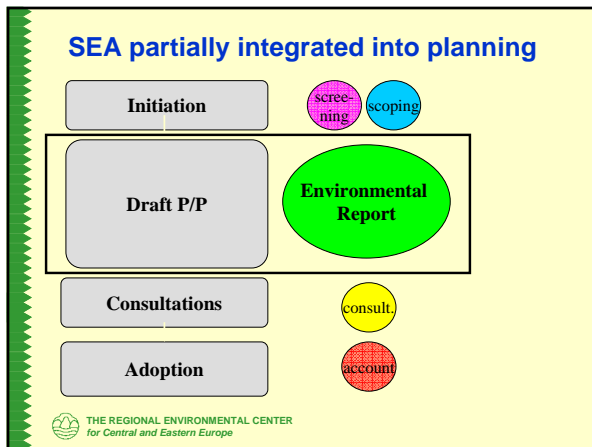
2. Are these basic elements of P/P elaboration present in your planning systems?

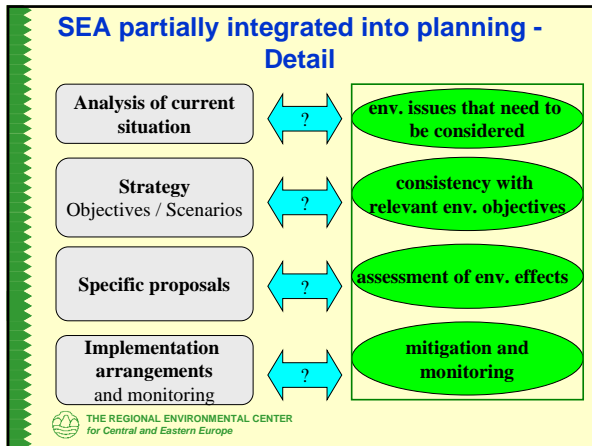


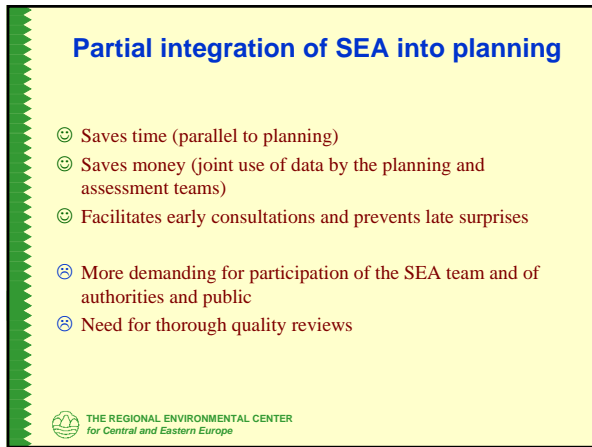
Separation of SEA from planning

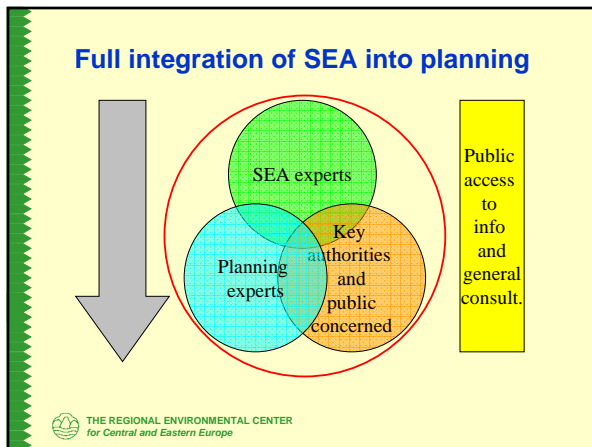
- ☹ Usually comes too late - new alternatives and proposals may be boycotted by planners
- ☹ Prolongs the entire planning process
- ☹ Late assessment tends to be more costly

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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 loses independent sight – it is important to keep “power balance” between SEA and planning experts

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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?

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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

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Integrating SEA into elaboration of plans and programmes: Practical recommendations



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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?



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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



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Possible framework for analysis of the planning process

Tasks in the elaboration of plan/program	Existing environmental analyses	Existing provisions for consultations with authorities	Provisions for public access to info. and public consultations
.....
.....
.....
.....

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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

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

Usual tasks in elaboration of the P/P	Corresponding task in SEA	Consult. with authorities	Consult. with public
Initiation of the P/P	SEA screening and scoping	X	?
Analysis of existing situation	Analysis of environmental baseline for the P/P	?	?
Determination of specific goals of the P/P	Determination of relevant env. objectives for the P/P	?	?

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Opportunities for integrating of SEA into planning processes in SEE (2)

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

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

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

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