

## Module 5: Overview of basic applicable tools and tips for SEA practice

- Basic analytical methods in SEA
- Public participation approaches and tools
- Role of environmental objectives in SEA
- Post-SEA monitoring
- Tips for writing ToRs for SEA

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## Basic analytical tools in SEA



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## Introduction to SEA tools

- There is no single best methodology for conducting SEA
- A large kit of tools is available for use, derived from EIA and methods used in plan evaluation and policy analysis
- SEA methodology and tools should be appropriate to the issues
- The choice of an approach can be determined as part of screening or scoping

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## Six principles for choice of SEA tools

- Fit for purpose -- SEA tools should be appropriate to the impacts addressed
- Simple as possible -- choose the simplest methodology consistent with the task
- Data and scale adapted – choice of EIA derived or policy appraisal/ plan evaluation tools based on type of cause-effect relationship
- Credible approach – results should be technically robust and defensible
- Practicable options – emphasize the alternatives and measures that best mitigate adverse effects and enhance positive effects
- Decision-relevant -- clarify the issues and trade-offs at stake

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## Tools described

- Assessing environmental baseline
  - Assessing relation to relevant env./health objectives
  - Assessing specific impacts
  - Presenting assessment results to for decision-making
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- Analytical methods already used in SEAs practice in CEE

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## Assessing env. baseline

Task	Basic tools
Describe key trends and current issues of concern	<ul style="list-style-type: none"> <li>■ State of Environment Reporting</li> <li>■ SWOT analysis (env. issues)</li> <li>■ Progress reports on relevant environmental policy objectives, standards and indicators</li> <li>■ Classic env./health surveys (very static – only if necessary for very local plans)</li> </ul>

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### Assessing relation to relevant env./health objectives

Task	Basic tools
Identify relevant env. objectives	<ul style="list-style-type: none"> <li>■ Review of environmental/health objectives (international treaties, Environmental Policy, NEHAP, Sust. Development Strategy)</li> <li>■ Reviews of laws and regulations</li> <li>■ Reviews of limits of use of the territory</li> </ul>
Evaluate attribution of the P/P to these objectives	<ul style="list-style-type: none"> <li>■ Review of proposed development objectives and actions against relevant env. objectives (matrices)</li> </ul>

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### Assessing specific impacts

Task	Basic tools
Identify possible env. impacts	<ul style="list-style-type: none"> <li>■ Public concerns</li> <li>■ Case comparisons</li> <li>■ Networks (secondary impacts)</li> </ul>
Evaluate env. Impacts – show key trends	<ul style="list-style-type: none"> <li>■ Expert judgements (workshops &gt;&gt; Delphi technique)</li> <li>■ Trend extrapolations (presumes that basic correlations remain constant)</li> <li>■ Predictive and simulation models (numerous causal linkages and correlations)</li> <li>■ GIS</li> <li>■ comparative health risk assessment</li> </ul>

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### Presenting assessment results for decision-making

Task	Basic tools
Present findings	<ul style="list-style-type: none"> <li>■ Simple summary of key benefits and problems/risks of each option</li> <li>■ Visual matrices</li> <li>■ Multi-criteria analyses</li> <li>■ Cost-benefit analyses</li> </ul>

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### SEA methods already used in CEE - I

Task within SEA	Tools used
Assessment of environmental baseline	<ul style="list-style-type: none"> <li>■ Review of State of Environment reports</li> <li>■ SWOT analysis (env. issues)</li> </ul>
Determination of relevant env. objectives for the strategy	<ul style="list-style-type: none"> <li>■ Review of environmental commitments (international treaties, Environmental Policy, EHAP, SD Strategy)</li> <li>■ Limits for the use of the territory</li> <li>■ Analysis of key environmental issues in the given sector/region (see above)</li> </ul>
Compatibility of development and env. objectives	<ul style="list-style-type: none"> <li>■ Matrices of mutual relationship of objectives (possible synergies and conflicts) – to screen out clearly conflicting objectives</li> </ul>

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### SEA methods already used in CEE - II

Relationship between conceptual alternatives and environmental objectives	<ul style="list-style-type: none"> <li>■ Indicators to measure attainment of every env. objective (long-list – short-list)</li> <li>■ Evaluation of attainment of env. objectives by each conceptual alternative</li> </ul>
Analysis of possible env. impacts	<ul style="list-style-type: none"> <li>■ Collective expert judgement often more precise than modelling</li> <li>■ GIS, modelling</li> </ul>
Env. management plan	<ul style="list-style-type: none"> <li>■ Scope of any subsequent env. evaluations (SEA, EIA or other env. evaluations)</li> <li>■ Institutional arrangements (roles of env. authorities in review of subsequent actions)</li> </ul>
Env. monitoring	<ul style="list-style-type: none"> <li>■ Adjustments of monitoring/statistical system to measure actual attainment of env. objectives</li> </ul>

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### Public participation approaches and tools



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## Public participation tools

- Dissemination and access to information
- Feedback and consultations
- Extended involvement

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## Dissemination and access to information

Key task	Basic tools
Inform the concerned public	<ul style="list-style-type: none"> <li>■ WWW sites</li> <li>■ Email lists</li> <li>■ Advertising and media interviews</li> <li>■ Leaflets</li> <li>■ Newsletters</li> <li>■ Unstaffed exhibits (e.g. billboards, models)</li> </ul> <p>■ <i>Use established communication means and ask recipients to forward information to concerned publics known to them</i></p>

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## Feedback and consultations

Key task	Basic tools
Make it easy to provide comments and inputs	<ul style="list-style-type: none"> <li>■ Internet</li> <li>■ Public meetings (not necessarily hearings)</li> <li>■ Focus groups and interviews</li> <li>■ Surveys</li> <li>■ Staffed telephone lines</li> <li>■ Staffed exhibit</li> </ul> <p>■ <i>Formal public hearings do not work well</i></p> <p>■ <i>Rather opt for problem resolution tools</i></p>

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### Extended involvement

Key task	Basic tools
Make it easy to provide comments and inputs	<ul style="list-style-type: none"><li>■ Community advisory groups</li><li>■ Consensus workshops or conference</li><li>■ Visioning (linked to scenario development)</li><li>■ Citizen juries (may call witnesses)</li></ul>

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### Key issues of concern

- Often difficult to see who can be interested or affected
- Participation in SEA requires dedication (work, time) to follow sometimes quite complicated planning, programming or policy-making
- Usually less interest than expected
- Mainly organised groups (unless you deal with very specific local plan where clear project-level decisions are made)
- Example – SEA of Czech NDP – 330 NGOs regularly invited – initially large interest (about 70-80) – at the end only about 5 groups involved

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### Practical tips (1)

- Approach public which may be concerned (interested or affected) – NGOs, think-tanks, professional associations, business associations
- Be honest about invitation – ask recipients to forward the invitation to others that may be interested

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## Practical tips (2)

- Too many invitations to participate may drain energy of public concerned (e.g. SEA of Development Strategy for Plzen Region had 4 stages of PP – participation dropped from 48 to 5)
- Two key stages of participation
  - analysis of current situation and determination of relevant env./health objective
  - Proposed plan and its alternatives
  - Do not mix these discussion items

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## Role of environmental objectives in SEA



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## Why is this topic important?

Environmental objectives ....

- reflect desired trends in „state of environment“ (e.g. decrease noise exposure to ...) or in „sound environmental management“ (e.g. support uptake of EMS)
- inform planners about env. objectives that should be respected in elaboration of strategic alternatives within PP,
- help SEA team to quickly analyse strategic alternatives (how they perform against env. objectives).

They can be general or specific (quantified targets + timeline)

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### Key issues of concern (1)

- **Applicability for the given P/P**
  - Are they relevant to guide planning and assessment of future development objectives, priorities and actions
  
- **Are they considered as adequate assessment benchmarks by:**
  - Planning authorities
  - Relevant environmental and health authorities
  - Concerned public


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### Key issues of concern (2)

- No set of universally applicable objectives – need to define them for each PPP separately
  
- Relevant env. objectives should be identified through critical examination of existing env. objectives and env. pressures in the given sector/area
  
- They should be agreed by env. authorities, development authorities (and where possible also the public)


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### Practical recommendations

1. Identify env. trends and problems in the given sector/area
  
2. Identify (a long list of) relevant env. objectives established:
  - by international treaties,
  - by national legislation, policies and strategies (Env. Policies EAPs/NEHAPs, SD strategies, etc.)
  - where applicable also by local decrees, strategies, plans and programs (LA21, air protection plans, etc.)
  
3. Select the most relevant objectives
  - >> Make a short list through consultation with planning authorities, environmental and health authorities


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**Post-SEA monitoring**



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**Practical recommendations**

1. Define indicators to measure attainment of relevant env. objectives throughout the implementation of the P/P
2. Request new data sets only if necessary – link them to information to be gained from EIA or env. permitting of individual implementation projects
3. Review existing monitoring systems (consult with national statistical authorities and existing env. reporting systems)
4. Periodic reports on implementation –general information whether P/P meets the objectives and what adjustments (if any) should be made



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**Tips for writing ToR for SEA**



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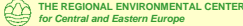
### Purpose of ToR in SEA

**Why?**

- Define the scope of the assessment and suggest its linkage to the planning process
- State what IS expected from SEA
- Also state what is NOT expected from SEA

**Who?**

- Draft ToR can be elaborated by the proponent or the SEA team
- Draft ToR should be discussed with relevant env./health authorities




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### Possible content of ToR for SEA (1)

**Overall design of the SEA process**

- Steps and timeline of plan/program making process
- Corresponding tasks of SEA + timeline
- Consultations with authorities and the public concerned

**Substantive focus of the assessment**

- Relevant env./health issues and objectives
- Alternatives to be considered
- Desired level of detail in the assessment
- Possibly: Recommended assessment techniques and reference materials




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### Possible content of ToR for SEA (2)

**Internal management of the SEA process**

- Internal communication between planners team and SEA team
- Contingencies – what happens if there are changes in the planning process
- Resolution of conflicting views - what happens if SEA team and planning team disagree

**Workload and resources**

- Estimated workload and direct costs (either for each specific task in SEA or the entire SEA process)
- Proposed composition of SEA team




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### Steps and timeline of planning process

- Describe the nature and purpose of plan/program
- Describe the logic of planning process and its internal steps and timeline.
- Indicate when SEA should start and finish and how its analyses should be used within the planning process



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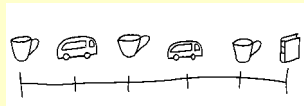
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### Corresponding tasks of SEA, timeline

- At what stage input from SEA is expected?
- Fix the moment for final input from SEA experts
- Provisions for assessing changes that might occur after SEA process is over



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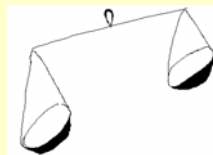
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### Level of detail, assessment techniques

- What is the expected level of detail and uncertainties
- Recommended assessment techniques, if any?



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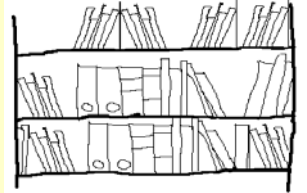
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## Reference materials

- List of reference materials, which should be consulted,
- Is there need to consult other programmes, which are under development at the same time?



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## Public participation

- Identification of public concerned
- What techniques – hearings, workshop, how many (if different from legal requirements)?
- What documents need to be available to public? Final report? Intermediate reports?
- Require production of easily understandable summary for public

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## Communication between SEA team and planning team

- Describe mandate of SEA team in the planning process.
- What are the communication channels? Can SEA observes participate in sessions of the planning team and vice-versa?
- Introductory workshop of SEA and planning team VERY useful to agree on modalities of joint work

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## Plan for contingencies

- How to handle changes in the planning procedure
- Mechanisms for flexibility



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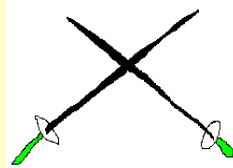
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## Conflict resolution

- Division of responsibilities between planning and SEA team
- How are disagreements approached?
- What happens if the advice of SEA experts is ignored by the planning team?



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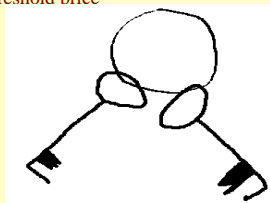
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## Budget

- Expected number of workdays and direct costs
- Available financing/ threshold price



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