

EATIA

ESPON and Territorial Impact Assessment

Targeted Analysis 2013/2/9

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This report presents a more detailed overview of the analytical approach to be applied by the project. This Targeted Analysis is conducted within the framework of the ESPON 2013 Programme, partly financed by the European Regional Development Fund.

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1 More detailed overview of the analytical approach to be applied

In this section the main objectives of the project are introduced. These together with the methodology introduced in section 2 explain the analytical approach adopted. In the original proposal, the TPG identified five main objectives for the proposed project. These are subsequently slightly adapted¹ (indicated in red and strike-through), following the project kick-off meetings in Brussels (with ESPON and national stakeholders) in November 2010 and in Liverpool (with the TPG) in December 2010, as follows:

- (1) **Establishing differences and similarities of assessment tools:**
To establish differences and similarities between underlying rationales, aims, objectives and methods applied in territorial impact assessment (TIA), European Commission Impact Assessment (EC IA), strategic environmental assessment/ sustainability appraisal (SEA/SA), regulatory impact assessment (RIA), rural proofing, as well as other types of assessment of territorial impacts; this will be based on the evidence provided in legislation, guidelines and the professional literature, as well as ESPON documents; the main focus will be on practice at EC level, in the UK, Portugal² and Slovenia; in this context, review results of assessments known to the TPG and other expert opinions will also be considered;

- (2) **Designing a TIA framework:**
To design a TIA framework for use in ~~for~~ **establishing impacts of European policy (directives)** in spatial policy and planning at European, national and regional/local levels, particularly in the UK, Portugal and Slovenia and, in this context, to determine the extent to which TIA appears to be 'integratable' with other assessment tools currently applied; this will be based mostly on the evidence provided through objective (1); on the expertise of project team members, as well as Steering Committee and other expert consultations and ESPON documents (coming out of e.g. the ARTS project and the TEQUILA model);

- (3) **Testing the applicability of the TIA framework:**
To test the applicability of the TIA framework at European, national and regional/local spatial policy and plan making levels in the three countries mentioned above; considering the resources available and the need for the UK to include at least the ~~Scottish, Welsh, Northern Irish and one English regional/local type plan,~~ it is suggested that testing should be done by each, the UK, Portuguese and Slovenian partners for ~~two~~ **four** EC policies/ Directives (~~i.e. six in total~~), for ~~two~~

¹ This is in line with the flexible approach to the project, as outlined in the proposal where it was said that 'any aspect of the project will be discussed and agreed on not just by the trans-national project group (TPG) of partners, but also by the steering committee (SC – representing the ESPON CU and the main stakeholders from the UK, Portugal and Slovenia). Therefore, objectives can be revisited, if the SC considers this necessary.'

² An initial literature search shows that there's currently only very few instruments applied in Portugal (mainly SEA and EIA) and similarly in Slovenia.

~~national spatial plan related policies/plans (i.e. six in total), as well as~~
for in four regional/local spatial plans (i.e. 12 in total) in each of the UK, Portugal and Slovenia; in this context, to identify any problems, e.g. in connection with vertical and horizontal integration; to refine the TIA framework, based on the outcomes of testing (NB: the focus on spatial plans is resulting from the project specifications which talk about '... the assessment of territorial impacts of European (sector) policies [...] in the cycles for territorial and spatial planning policymaking ... and in national and regional territorial development strategies...'; however, if the ESPON CU and /or national stakeholders / the SC consider it necessary, one or two additional sectoral plans in each stakeholder country could also be considered);

- (4) **Assessing the usefulness/ benefits and associated costs of TIA:**
To identify those situations in which TIA might be usefully/ beneficially applied, particularly from a multi-level governance perspective and to establish what its added value may be to e.g. EC directives and policies, national and regional/ local policies/plans in the UK, Portugal and Slovenia and other EU member states; this will be based on the results of objectives (1) to (3), as well as on expert opinions of possibly all EU member states (web-based survey); in this context, to establish usability of existing data sources; to make an estimation of the effort (time; possibly money) required to conduct TIA in different situations, based on the framework developed;
- (5) **Drawing conclusions and recommendations:**
To draw overall conclusions and to provide for recommendations for TIA applied at various scales in the UK, Portugal and Slovenia, and possibly elsewhere in the EU and within the European Commission.

The underlying rationale of the project is connected with the following four components; (1) identifying suitable assessment approaches for TIA applications; (2) situations and levels, at which TIA may be usefully applied; the (3) efficient integration of TIA into decision making; and (4) possibilities to 'upload' TIA at national/regional/local levels to the level of the European Commission.

2 Methodology and hypothesis for further investigation

The methodology shows how the TPG aims at meeting the set objectives. It consists of two main parts;

- (1) analytical work and
- (2) interactive learning.

Regarding the latter, three interactive learning workshops are held in each of the three countries (i.e. nine in total); inception, interim and final workshops. These workshops take place in locations provided by the national stakeholders in the members states' capital cities. Around 15 non-stakeholder

and non-project team related participants take part in each of the workshops. Participants have been jointly identified by the stakeholders and the project team of researchers (trans-national project group - TPG). The same stakeholders are supposed to take part in the three sequential workshops, in particular for achieving joint learning. Over the course of the work, these participants will thus become part of *national learning networks* on TIA (see Annex 1 for learning network members).

Steering Committee meetings are held by the TPG, the ESPON CU and the stakeholders five times. A kick-off event took place on 5 November 2010 in Brussels. This established the background of the research and allowed the stakeholders, as well as the ESPON CU to formulate what they intend to achieve. A second meeting will take place in Lisbon on 17 February 2011. The other three meetings (locations to be confirmed) will be held in September 2011, March 2012 and May 2012. The closing meeting will allow bringing all outcomes together. Finally, four TPG meetings will also take place. The first of these was held in Liverpool on 13 December 2010. Two further meetings will be held during conferences that all TPG members are attending; on 14 May 2011 in Porto and in September 2011 in Birmingham. A final TPG meeting will take place in March 2012, either in Delft or Liverpool.

Subsequently, the methodology is explained in further detail in terms of the main objectives described in section 1; all methodological stages involve analytical as well interactive learning aspects.

a. *Establishing differences and similarities of assessment tools:*

As a first step, it is important to establish what differences and similarities there are between different existing assessment tools. This is crucial as if e.g. there were no differences at all, instruments could simply be merged. As a general rule, it is likely that the more similarities there are, the better the chances for integration of TIA would be. In this context, aspects to be considered include the underlying rationale for applying the instrument, as well as aims and objectives of the tools, as described in the professional academic and non-academic literature, as well as other documents (e.g. legal requirements/guidelines). Furthermore, each partner may review one practical application known to them for each of the assessment approaches found (up to five), with a view of identifying differences and similarities. In this context, expert opinions will also be sought. Assessment tools to be considered will include TIA itself, as well as the EC's integrated assessment (IA), strategic environmental assessment (SEA)/sustainability appraisal (SA), regulatory impact assessment (RIA) and rural proofing. Information generated within ESPON 2006 and 2013 (e.g. TEQUILA model and ARTS project) will also be considered. A document summarising results is prepared. The first ('inception') interactive learning workshops are taking place during methodological stage a; in Slovenia on 11 January 2011; in the UK on 27 January 2011; and in Portugal on 7 February 2011. Annex 2 shows

tables summarising preliminary results for assessment tools in the UK, Portugal and Slovenia.

b. Designing a TIA framework

The results generated through a. will allow the TPG to make an initial estimation of the extent to which integration of different assessment tools appears possible. Initial suggestions will be made for what a TIA framework for the consideration of spatial impacts of European directives at national and regional/local levels may look like. These will take opinions of the members of the interactive learning workshops into account. The framework is anticipated to consist of two main parts; (a) a generic part, and (b) a country context specific TIA application part, in which policy and plan making practice in the UK, Portugal and Slovenia is taken into account (i.e. adaptation of TIA framework to specific contexts). The generic part will include the identification of core elements that are thought to be the same in any system, including elements of assessment processes, methods and aspects of tiering between e.g. different administrative (national, regional, local) or systematic (policies, plans, programmes, projects) levels of decision making. The country context specific TIA application part, finally, will result in suggestions for how TIA can be applied in the existing spatial (or, if considered necessary by workshop participants and the Steering Group, also in one or two sectoral) policy and plan making systems of the UK, Portugal and Slovenia. The work done will be of an analytical and interactive learning nature. Ways for using the ESPON database in the emerging TIA framework will also be explored. A document summarising results is prepared. The second ('interim') interactive learning workshops will take place during methodological stage b.

c. Testing the applicability of the TIA framework

The framework coming out of b. will be applied (ie 'tested') to selected 'real' cases, reflecting practice at national and regional/ local levels of the three EU stakeholder member states. Taking their respective member state perspective, each of the UK, Portuguese and Slovenian partners will look at how TIA could be applied within four regional/local spatial plans for four EC policies/ directives. Depending on availability and on what the ESPON CU and stakeholders/ Steering Committee consider suitable, it is suggested that testing should mostly be done for existing, recently completed Directives and regional/local policies/plans, as well as, potentially, for one or two directives and regional/local policies/plans under preparation. Ideally, participants of the interactive learning workshops would have knowledge of the regional/local policies/plans included. Testing will be a work intensive process (each case is anticipated to require around two full working weeks) and is anticipated to involve several stages and tasks, as follows: Firstly, the policy/plan making, as well as, if applicable, the associated assessment processes would need to be established ('mapped'). Whilst there are often formal, prescribed (legally required)

preparation procedures in place, their actual format frequently differs. However, effective impact assessment requires a good understanding of real decision making processes. Also, in this context, the role of other policies and plans, as well the stakeholders involved would need to be established. A good understanding of why e.g. certain policy/plan and assessment methods are used also needs to be developed. Furthermore, data and resource requirements are going to be highlighted. Overall, communication with those involved in policy and plan making will be crucial and up to 10 in-depth phone interviews are planned for each policy/ plan considered. In this context, opinions of those involved in policy/plan making on the TIA framework will be sought. If the number of involved stakeholders in a particular policy/plan turns out to be large, written questionnaires may also be used. An important aspect to be considered at this stage will be on potential vertical (i.e. between different administrative levels) and horizontal (i.e. policies/plans at a certain administrative level) integration problems. This methodological stage includes analytical work, i.e. the application of the TIA framework to selected cases, as outlined above. In addition to the analytical work, results will be sent to the participants who took part in the inception and interim interactive learning workshops (and who may ideally have knowledge of the chosen cases), as well as to the project's stakeholders for critical evaluation. In this context, a further round of semi-structured phone interviews may be conducted by the project partners with policy/plan making participants / stakeholders. If required, telephone/skype conferences may also be set up. Feedback and comments thus obtained will be considered in a document summarising results.

d. Assessing the usefulness/ benefits and associated costs of TIA

This involves a discussion and an estimation of the usefulness/ benefits of TIA applied at different decision making levels. This will be based on two aspects, namely the outcomes of c., i.e. practical experiences, and considering what is required for a TIA in terms of institutions, tools, techniques, data, resources etc., as well as the opinions of learning network members and other European spatial planning and assessment practitioners and commentators, identified through an internet survey (survey monkey; www.surveymonkey.com). If no clear picture is emerging, survey respondents may also be contacted by phone for more in-depth interviews. The third ('final') interactive learning workshops will take place during methodological stage d. A document summarising results is prepared.

e. Drawing conclusions and recommendations

This involves drafting wider conclusions and recommendations coming out of the various parts of the project. Furthermore, a closing session will be organised with the TPG, the ESPON CU and the stakeholders / Steering Committee members. This will enable the exchange of cross-

stakeholder and country experiences and learning. A document summarising results is prepared.

3 Review of the main literature, data sources, etc. distinguishing between EU level and the particular case study's level

Generally speaking, assessment tools differ in terms of e.g. the level of assessment (strategic vs. project); types of impacts covered (e.g. environmental, social, regulatory, economic), methods used (quantitative vs. qualitative), the reference frame (sustainable development, good governance principles, competitiveness, equity), as well as the legal status (obligatory or non-obligatory). TIA is normally conceived as a strategic assessment tool of sectoral policies [and plans] and their proposed measures in terms of their impacts on territorial cohesion (Schindegger and Tatzberger, 2005). In most cases it is a non-obligatory and policy optimization tool. It can cover a wide set of impacts related to territory. Sensitivity to territorial scale and parameters, consideration of territorial potentials as well as regional identity has therefore been suggested to be TIA's main focus.

The first document which explicitly mentioned the need for the assessment of territorial impacts was the European Spatial Development Perspective (CEC, 1999). This suggested that TIA would be an instrument for assessing certain plans and strategies as well as one that aims at improving the coordination between sectors (transport, agriculture, regional development, research and development - R&D, information and communication technologies - ICT) and territorial objectives (therefore taking on an important spatial planning role). Subsequently, the White Paper on Governance (CEC, 2001) mentioned the need for considering territorial impacts of sector policies, aiming at replacing the sector-oriented approach with one that is integrated. It suggested that this should lead to more coherent policies, which would contribute to territorial cohesion. Territorial cohesion itself was introduced as a community aim within the Third Cohesion Report, stating that "people should not be disadvantaged by wherever they happen to live or work in the Union" (CEC, 2004, p. 27). It suggests that the quality of places where people live and work in can influence their access to economic and social opportunities and the quality of their life (Davoudi, 2005). The concept of territorial cohesion derives from existing objectives, such as sustainability, competitiveness and quality of life, putting them into a territorial perspective. It promotes not only economic cohesion but also social and environmental cohesion, considering different spatial levels from the local level to the EU level. It is concerned with both, regional disparities and accessibility to services (Hamez, 2005; Faludi, 2009a; Faludi, 2009b; Janin Rivolin, 2010).

Policies with potentially strong relations to territorial cohesion are transport, energy and environment, education, research and innovation policies. Their territorial impacts have been evaluated by the European Spatial Planning Observatory Network (ESPON) in several projects (e.g. ESPON 2.1.1., 2004; ESPON 2.1.4., 2005b). The results of these research projects confirm that most policies and their measures do not take territorial cohesion into consideration. In this context, TIA is seen as a potentially powerful tool to

provide more awareness (ex-ante and ex-post) of the territorial implications, synergies or costs of non-co-ordination. Currently, there is no common or prescribed approach to TIA. The territorial level, the method of evaluation and the understanding of correlations between policies and plans all vary.

TIA projects to date have revolved around various themes. ESPON policy impact projects, for example, have concentrated mostly on ex-post policy analysis, assessing potential influences of European sector policies on EU member states' national territories. In this context, projects have included SASI (recursive simulation model of socio-economic regional development), CGEurope (a spatial computable general equilibrium model), and the STIMA model (Spatial Telecommunications Impact Assessment). Furthermore, in this context, the ESPON 2.1.1 project 'Territorial Impact of EU Transport and TEN Policies' (ESPON, 2004) has been of importance. Statistical methods have also been tested, such as group analysis for agriculture (ESPON 2.1.3 CAP impact; ESPON, 2005a); regression analyses, econometric models - OECD interlink model, IMF multimod, and the GEM-E3 general equilibrium model (ESPON 2.1.4 Energy; ESPON, 2005b). Finally, the TEQUILA simulation package, developed in ESPON 3.2 (ESPON, 2006), and the TIA method developed for the Netherlands (NEAA, 2009) have explicitly built on the territorial cohesion concept.

4 Use of existing ESPON results relevant for this project

This project differs from previous ESPON projects in a sense that it primarily targets specific member states and associated stakeholders. Previous projects dealt with the total ESPON 27 + 4 space in a generic way. It allows this project to go further where the other projects had to stop. The main advantages are (1) that already developed ESPON tools and methods can be tested in practice and (2) that the governance and process elements of both understanding territorial impact and doing a TIA can be addressed directly and elaborated on in a generally applicable format. It is expected that in particular the latter will be of interest to stakeholders in a specific member state.

Current ESPON outcomes and tools relevant to this project include, as already mentioned, the outcomes of various ESPON 2006 impact studies (in particular the 2.1.x studies), the TEQUILA model as developed in ESPON 3.2, the ESPON TIPTAP project that basically applied TEQUILA to the TENs and CAP policy fields and the (preliminary) outcomes and methods of the ESPON 2013 ARTS project, which is currently carried out and aims to develop a method to assess the territorial sensitivity to EU directives at a NUTS 2 level.

However, not all previous outcomes can be used in this project. As indicated, the EATIA project takes a notably different approach with less emphasis on generic quantitative methods. A main objective is to develop an easy-to-use approach that national and regional/local policy/plan makers and officials can easily understand. This is something that previous ESPON projects also had in mind but have not really succeeded in developing. It is from this perspective

that outcomes of previous projects will be assessed, particularly their usefulness. The ARTS project is thought to be a good starting point for the purposes of this EATIA project.

Generally speaking, the first generation of impact studies are of little use from a methodological perspective as they deploy ex post methodologies and neglect the factor governance. Also they focus on entire policy fields, rather than on individual directives. In terms of awareness raising, the outcomes of some of the projects could be useful in order to inform local stakeholders about the possible effects of EU policies and legislation.

The experiences of the TIPTAP project indicate that the TEQUILA model, whereas useable for researchers, does not qualify as an easy-to-use model for policy makers. It suffers from some 'black box' characteristics and incorporates a certain amount of (expert) judgements which do not necessarily reflect local preferences or insights. Also, its applicability is highly dependent on the availability of cause/effect relationships between indicators and quantitative data, which is neither the case for each policy field nor can this always be expected to be available in the case of entirely new directives. Moreover, and this is more generally the case with ESPON research to date, by absence of a clear territorial cohesion indicator, it has remained somewhat fuzzy what type of impact is actually measured by TEQUILA. This refers to three composite indicators; (1) 'territorial efficiency', (2) 'territorial quality' and (3) 'territorial identity'. Together, these should form an expression of territorial cohesion. Each indicator can be given a certain weight in order to relate to local interests, but even then labels such as identity, quality and efficiency are probably too abstract to mobilise policymakers and local stakeholders. In general, therefore, the TEQUILA/TIPTAP model as such, although in specific cases useful in the early stages of the TIA process to raise awareness is a less obvious starting point for the models or frameworks that will be developed in this project.

Currently, the ARTS methodology, which basically is a refinement of the TEQUILA model, provides the biggest opportunity for the EATIA project. The methodology consists of a number of independent transparent steps: 1) 'logical chain', indicating main cause/effect relationships based on a directive, 2) translation into an 'exposure matrix', using predefined territorial indicators, 3) confrontation with 'regional characteristics' matrix. Steps 1 and 2 can easily be carried out stakeholders, preferably with involving expert knowledge, and providing an overall picture of the fields that will potentially be affected by a Directive. This exercise alone provides for sufficient information for stakeholders to decide whether TIA would be of interest to them or not. Applying subsequently step 3 of the ARTS methodology could be of interest in order to see how the stakeholders' region compares across Europe, but will not necessarily add new information to be taken on board in the TIA process.

5 Distribution of work packages among partners, the break down of the project's budget on the individual partners per budget line

Responsibilities of project partners for work packages (WP) are outlined in Table 1. This presents the WP lead partners, the expected written outputs, as well as activities leading to the outputs. A timetable and an indication of the required time input are also given. Table 2 shows WP person hours per partner, as well as a cost summary. Furthermore, Figure 1 shows the project timetable gantt chart.

Figure 1: Project timetable gantt chart

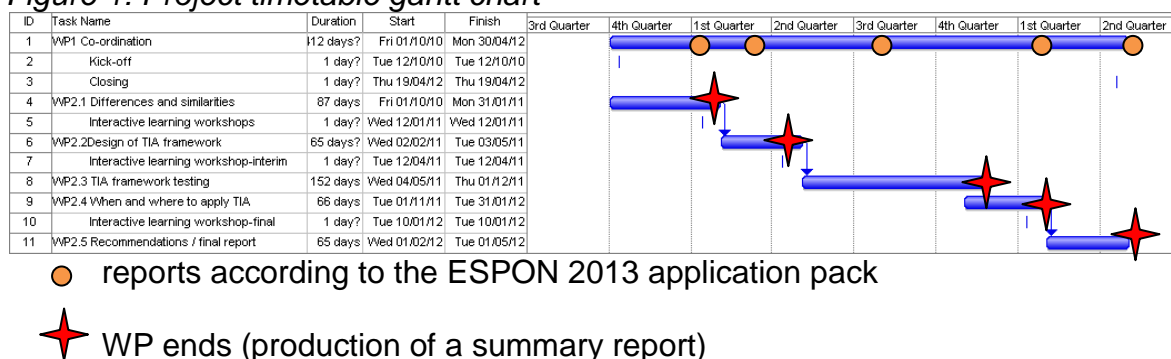


Table 2: Work Package person hours per partner as follows:

	Partner 1 (LP)	Partner 2	Partner 3	Partner 4
WP1	1,806h (48,157.19€)	32h (1,600€)	32h (1,304.64€)	32h (1,913.60€)
WP2.1	330.5h (8,812.82€)	206h (10,300€)	240h (9,784.80€)	140h (8,372€)
WP2.2	165h (4,399.74€)	105h (5,250€)	120h (4,892.40€)	120h (7,176€)
WP2.3	1072h (28,584.99€)	700h (35,000€)	700h (28,539€)	176h (10,524.80€)
WP2.4	242.5h (6,466.29€)	154h (7,700€)	500h (20,385€)	32h (1,913.60€)
WP2.5	330.5h (8,812.82€)	30h (1,500€)	40h (1,630.80€)	40h (2,392€)
WP3	117.5h (3,133.15€)	60h (3,000€)	60h (2,446.20€)	80h (4,784€)
Total	4,064h (108,367€)	1,287h (64,350€)	1692h (68,983€)	620h (37,076€)

Total working hours: 7,663; total project costs = 349,281€

Table 1: Responsibilities of project partners

Work Package	Work package will lead to achievement of: (written outputs are underlined)	Lead Partner	Activities leading to output	Activities to be started /completed		Partners / Persons involved	Time input (person hours)
				Start	Complete		
WP1	Co-ordination and management of the project in order to meet all objectives	Partner 1	1 Project co-ordination & management; <u>inception, interim, draft final and final reports*</u> ; input paper to min. meeting 3 Two project seminars (kick-off and closing)	10/2010	04/2012	1 Partner 1	1,774
				10/2010	04/2012	2 All four project partners	128
WP2.1	<u>Document</u> establishing differences and similarities of assessment tools	Partner 2	1 Literature and document review 2 Interactive learning workshops	10/2010 01/2011	02/2011 01/2011	1 All four project partners 2 Partners 1 to 3	616.5 300
WP2.2	Design of TIA framework; <u>document</u>	Partner 4	1 Design TIA framework 2 Interactive learning workshops	02/2011 04/2011	04/2011 04/2011	1 All four project partners 2 All four project partners	390 120
WP2.3	TIA framework testing; <u>document</u> summarising experiences	Partner 1 Partner 2 Partner 3	Test applicability of TIA framework to existing assessments of two EC, two national and four regional policies / plans in each country	05/2011	11/2011	1 Partners 1 to 3 for testing 2 Partner 4 for critical comments	2,472 176
WP2.4	<u>Document</u> on when and where to apply TIA and associated effort	Partner 3	1 Drawing together lessons from WP2.3 2 Survey with external experts 3 Interactive learning workshops	11/2011 11/2011 01/2012	11/2011 01/2012 01/2012	1 All four project partners 2 Partner 3 (+ other partners) 3 Partners 1 to 3	205.5 603 120
WP2.5	<u>Final report</u> , including recommendations	Partner 1	1 Drafting report 2 Critical comments on report	01/2012 /2012	04/2012 02/2012	1 Partner 1 2 Partners 2-4	330.5 110
WP3	- ESPON, NTCCP , TCUM meetings, conferences/events	Partners 1 to 4	Project presentations	10/2010	?	1 Partners 1 – 4	317.7

* each partner needs to send a partner progress report to the lead partner

6 Project specific part

Annex 1 lists the participants of the first interactive learning workshops in Slovenia, Portugal and the UK. These form the national learning networks for the duration of the project.

7 Overview of more detailed deliveries and outputs envisaged by the project and envisaged dialogue with stakeholders in that respect

The project includes numerous deliveries and outputs, as follows:

(a) Co-ordination and management related deliveries

- (1) Inception report (31 January 2011), interim report (31 August 2011), draft final report (29 February 2012), final report (30 April 2012)
- (2) Input paper to ministerial meeting (18 March 2011)

(b) Reports

- (1) Literature and document review on 'differences and similarities of assessment tools' (draft prepared for end of January 2011, final version end of February 2011; see annex 2)
 - (i) draft literature review will be sent out to members of the national learning networks for comments.
- (2) Design of TIA framework (draft version by April 2011)
 - (i) draft version to be discussed in the 2nd interactive learning work shop in May 2011.
- (3) Testing the applicability of the TIA framework to in four regional policies / plans for four European directives in each country
 - (i) testing in close collaboration with learning network members, based on suggestions for suitable directives and policies/plans by the ESPON CU, national stakeholders, the TPG and learning network members.
- (4) Usefulness of TIA and associated efforts
 - (i) based on results of testing, learning network members' opinions and a web-based survey; discussion in the third interactive learning workshop in January/February 2012.
- (5) final report and recommendations
 - (i) taking various project stages and results of interactive learning workshops into account.

(c) Project meetings/seminars;

- (1) In the project proposal, kick-off and closing meetings/seminars were mentioned; however, two additional meetings will be held during conferences, attended by all members of the TPG; one in Porto on 14 May 2011 and one in Birmingham in September 2011.

(d) Dissemination; ESPON seminars and conference presentations

- (1) ESPON seminars
 - (i) attendance of ESPON seminar 'new evidence and opportunities for strategic spatial planning in the UK' in Manchester on 2 December 2010 by Tom Gore
 - (ii) attendance of ESPON UK contact point workshop in London on 14 February 2011 by Thomas Fischer; reporting on 'ESPON and sustainability'.
 - (iii) ... more to come...
- (2) Conference presentations
 - (i) Conference on 13 May 2011 in Porto, Portugal; attended by all TPG members; presentation on TIA by Olivier Sykes
 - (ii) Planning Research Conference in Birmingham, UK, 12-14 September 2011; session on TIA attended by all TPG members
 - (iii) International Association for Impact Assessment (IAIA) special conference on strategic environmental assessment, September 2011; presentation by Thomas Fischer on TIA
 - (iv) ...more to come...

8 Indication of likely barriers that the project implementation might face

Possible barriers to project implementation have been assessed by the project partners. However, they are not thought to be in the way of completing the project successfully. In this context, it is important that the four partner institutions (TPG) are represented by experienced researchers, who respect each other and who have in-depth knowledge and expertise of impact assessment in general, as well as TIA, territorial cohesion, and European spatial and other policy in particular. Institutional support is very high for all partners, i.e. the institutions represented in this proposal are established major research institutions with excellent support structures. Project co-ordination, management, monitoring and auditing will ensure the project will be delivered according to the project outline, as approved by the Steering Committee.

The start of the project was delayed by about a month and a half. Whilst the TPG does not believe that this will have an impact on the overall delivery of the project, the initial stages have been slightly delayed. However, the inception interactive learning workshops in the three EU member states have

been conducted in January, as planned, and there is still a close fit to the timetable originally scheduled.

9 Orientation of the project previewed towards the Interim report

The interim report is due in on 29 August 2011. Up until then, the following tasks are to be completed:

- (1) Complete the literature and document review by the end of February 2011 (TPG)
- (2) Attend ESPON UK contact point workshop in London on 14 February 2011 by Thomas Fischer; report on 'ESPON and sustainability' (P1); for this a report is prepared, summarising results of the inception interactive learning workshops in the three EU member states
- (3) Attend steering committee meeting on 17 February in Lisbon (P1, possibly P2)
- (4) Prepare paper for ministerial meeting by 18 March (TPG; P 1)
- (5) Design the TIA framework until the end of April 2011 and send it out to learning network members for debate (P 4)
- (6) Hold 2nd round of interactive learning workshops in May 2011 (P4 to attend all!)
- (7) Attend ESPON seminar on 21-22 June in Hungary (tbc)
- (8) Start testing the TIA framework for directives and local spatial policies/plans in consultation with steering committee and learning network members

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Annex 1: Learning network members

(1) Slovenia





 REPUBLIKA SLOVENIJA
 MINISTRSTVO ZA OKOLJE IN PROSTOR







Delavnica za projekt ESPON EATIA, Ciljne analize 2013

Lokacija: Ministrstvo za okolje in prostor, Direktorat za prostor, Dunajska 21, sejna soba v podhodu stavbe (dostop po stopnicah za kioskom ali s Snelštrove ulice).

Datum: torek, 11. januar 2011, 10.00-14.00

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50	Uroš Člunčič	MOP DOP			
51	META MURŠEK	MOP DOP			
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(3) Portugal

Interactive learning workshop to be held on 7 February 2011 with:

- 5 Regional Coordination and Development Commissions (corresponding to the 5 Regions of Portugal Mainland; North, Centre, Lisbon and Tagus Valley, Alentejo and Algarve)
- 1 Azores Regional Government (Spatial Planning)
- 1 Madeira Regional Government (Spatial Planning)
- 1 Department of Foresight, Planning and International Affairs (DPP) (Ministry for the Environment and Spatial Planning)
- 1 Office for Strategic Planning and International Affairs (GPERI) (Ministry of Public Works, Transports and Communications)
- 1 Office of planning and Agri-food Policy (Ministry of Agriculture, Rural Development and Fisheries)
- 1 ESPON National contact point
- 1 Tourism Institute of Portugal
- 1 Portuguese Environment Agency (Ministry for the Environment and Spatial Planning)
- 1 Directorate General for Spatial Planning and Urban Development
- 1 Directorate General for Energy and Geology
- 1 Observatory for the National Strategic Reference Framework

Annex 2: Comparison tables of different assessment instruments

METHODOLOGY: European Commission Impact Assessment			
Criteria			Context
			EC
NATURE OF THE TOOL	1	Legal status	Formal procedure
	2	Guidelines?	Impact Assessment Guidelines (EC 2009)
	3	Focus of assessment (policies, plans, programmes, projects?)	EU level policy
	4	Spatial scale (European, national, regional, local?)	European
	5	Type of impact considered (social, environmental, economic)	Social, environmental and economic. However in practice considerations are considered by some to be unbalanced, often favouring economic aspects most (Renda 2006, TEP 2007).
	6	Timing (ex ante, ex post, etc)	Ex-ante
	7	Initiating party (e.g. project developer)	European Commission departments
	8	End user/decision maker (e.g. members of parliament)	Primarily Commissioners and their Cabinets, but also members of the European Parliament and Council (TEP 2007)
PROCEDURAL ELEMENTS	9	Requirements for:	Screening?
	10		Scoping?
	11		Report preparation?
	12		Summary preparation?
	13		Review?
	14		Monitoring?
ASSESSMENT PROCESS	15	Includes consideration of alternatives?	Yes, however in some this is a reported deficiency with IAs only focusing on one preferred option (TEP 2007)
	16	Form (qualitative, quantitative?)	Guidelines advocate both qualitative and quantitative types (EC 2009). However in practice a lack of quantification has been noted (Renda 2006)
	17	Positive and negative impacts considered?	Both
	18	Consideration of territorial dimensions of impacts?	Yes but rarely (Dallhamer et al 2010)
	19	Uncertainties acknowledged?	A requirement mentioned in guidelines (EC 2009)
	20	Primary data collection?	No (Dallhamer et al 2010)

	21	Consideration of mitigatory measures?	Yes
CONSULTATION AND INFLUENCE	22	Consultation with experts and other administrations?	Yes, but a lack of time and resources has been reported on occasions to limit how widely Commission services and external stakeholders are actually consulted (TEP 2007)
	23	Public participation?	A requirement in IA guidelines (EC 2009). IAs are also required to report on consultation activities, detailing how it was undertaken, who was consulted and the subject of the consultation (EC 2009).
	24	Actual level of influence in decision making?	Generally limited. One study found that in the Commission, IAs of legislative proposals generally have more influence than those of non-legislative types. Within the European Parliament and Council IAs generally have little influence, with members reportedly sceptical of IA (TEP 2007).

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METHODOLOGY: Environmental impact assessment

Criteria		Context			
		UK	Slovenia	Portugal	
NATURE OF THE TOOL	1	Legal status?	<p>Yes, varying depending on authorisation system. In the planning system as follows (these are currently undergoing further changes):</p> <ul style="list-style-type: none"> • The Town and Country Planning (Environmental Impact Assessment) (England and Wales) Regulations 1999 as amended • The Environmental Impact Assessment Regulations (Scotland) 1999 as amended. • Planning (Environmental Impact Assessment) Regulations (Northern Ireland) 1999 as amended. 	<p>Legally binding, Environmental Protection Act (2004), Decree on the content of report on the effects of intended activity into the environment and its method of drawing up (2009), Decree amending the Decree on the categories of activities for which an environmental impact assessment is mandatory (2009)</p>	<p>Legal model DL 69/2000 and DL 197/2005</p>
	2	Guidelines?	<p>Numerous, including:</p> <p><i>Environmental Impact Assessment: A guide to good practice and procedures</i> (DCLG 2006)</p> <p><i>A Handbook on Environmental Impact Assessment: Guidance for Competent Authorities, Consultees and others involved in the Environmental Impact Assessment Process in Scotland</i> (SNH 2009)</p>	<p>Yes, described in the law and in decree (Decree on the content of report on the effects of intended activity into the environment and its method of drawing up, 2009) which used it be in the form of guidelines, on-line on ministry web page and several informal guidelines</p>	<p>Yes, several guides available: general, review process, and project specific</p>
	3	Focus of assessment (policies, plans, programmes, projects)?	Projects	Projects	Projects
	4	Spatial scale (European, national, regional, local)?	Local, regional	National, regional, local	National Regional
	5	Type of impact considered (social, environmental, economic)?	Primarily environmental	Assessment of long-term, mid-term and short term (in)direct impacts on human, soil, water, air, habitat, biodiversity, climate and landscape. Beside that also immovable property should be considered together with the cultural heritage..	Environmental and socio-economic impacts
	6	Timing (ex ante, ex post, etc)?	Ex-ante	Ex-ante	Ex-ante focus, with some ex-post procedures
	7	Initiating party (e.g. project developer)?	Project developer (private or public)	Project developer (private or public)	Project developer (private or public)
	8	End user/decision maker (e.g. members of	Competent authority - normally the local planning authority	Ministry of Environment and spatial planning -	Environment Ministry

		parliament)?		Environmental Agency of the Republic of Slovenia		
PROCEDURAL ELEMENTS	9	Requirements for:	Screening?	Yes	Yes, government published the list of all developments that should undergo the assessment in a decree. See above.	Two lists of projects (Annex I and Annex II)
	10		Scoping?	Yes	Yes, possible but not obligatory.	Recommended but not compulsory
	11		Report preparation?	Environmental statement	Yes	Yes, EIA Report
	12		Summary preparation?	Non-technical summary	Yes, a report abstract should be produced for the public.	Non-technical summary
	13		Review?	Yes, competent authority, supported by statutory consultees and sometimes external consultants.	Yes	Yes
	14		Monitoring?	Non-statutory (DCLG 2006) and often considered a deficiency in UK practice	Yes, monitoring plan (based on sectoral legislation) should accompany the report.	Yes, auditing & post-evaluation procedures
ASSESSMENT PROCESS	15	Includes consideration of alternatives?	Yes, but full assessment only undertaken for the proposed scheme (DCLG 2006)	Yes, should be included in the report together with detailed explanation of why certain alternative has been chosen as suitable regarding environmental impacts.	Recommended	
	16	Form (qualitative, quantitative)?	A mixture, largely dependent on aspect of environment considered, but generally more quantitative than for example SEA	Both.	Quantitative and qualitative analysis with an explicit reference to the scientific methods used	
	17	Positive and negative impacts considered?	Both	Both, however focus on negative impacts and their prevention.	Both	
	18	Consideration of territorial dimensions of impacts?	Not explicitly	Indirectly through environmental impact assessment and by considering the project on exact location. Otherwise territorial dimension not mentioned in legislation. Report should include description of the project location, size and its characteristics.	No reference	
	19	Uncertainties acknowledged?	Advocated in guidance (DCLG 2006)	Not specifically.	Yes, uncertainties must be explicitly mentioned	
	20	Primary data collection?	Yes	Usually existing data is used together with existing knowledge and methods in the field. If needed, ministry should provide available data to EIA performer.	Mix of data sources	
	21	Consideration of mitigatory measures?	Yes	Yes, are included in the environmental protection consent and are defined by the Ministry.	Yes, highly recommended	

CONSULTATION AND INFLUENCE	22	Consultation with experts and other administrations?	Mechanisms are in place for various organisations to be engaged in the EIA process - including the relevant competent authorities and statutory consultees (in England includes the Environment Agency and Natural England) - through e.g. the ability of the developer to request screening and scoping opinions.	Yes, if defined by the Ministry. Sectoral agencies (cultural protection, environmental protection) etc. provide opinion on development proposal and have right to require certain data provision in order to do that.	Yes, institutional consultation
	23	Public participation?	Formal provisions for public consultation in submission and review stages but is promoted more widely in government guidance (DCLG 2006). Nevertheless, some studies have reported weaknesses, including the ineffective timing and planning of participation procedures and the poor implementation of methods of participation (Hartley and Wood 2005).	Yes, 30-day consultation is required on the application, environmental report and draft of decision on environmental protection consent. In the case of trans-frontier impacts other member state should be included in the consultation.	Yes, there are formal consultation stages and the need to produce a final Consultation Report
	24	Actual level of influence in decision making?	Mixed results. In terms of influence on project design a study by Wood <i>et al</i> (1996) found that EIA led to an average 2.2 modifications per project, most occurring in the pre-submission stage and 75% of these of major significance. In terms of influence on planning consent, decision-making often not changed much by the EIA (Glasson 2005).	Significant. Development depends on the positive statement on environmental protection consent and cannot be proceeded without it. For example, national detailed plan cannot be adopted without a positive consent.	Significant influence in decision making

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METHODOLOGY: Strategic Environmental Assessment

Criteria		Context			
		UK	Slovenia	Portugal	
NATURE OF THE TOOL	1	Legal status	<p>Yes, due to legislative devolution transposed in the UK through:</p> <ul style="list-style-type: none"> • The Environmental Assessment of Plans and Programmes Regulations 2004 • The Environmental Assessment of Plans and Programmes Regulations (Northern Ireland) 2004 • The Environmental Assessment (Scotland) Act 2005 • The Environmental Assessment of Plans and Programmes (Wales) Regulations 2004 	legally binding; EU directive and national environmental and planning law, regulation on producing environmental report	Legal model DL 232/2007
	2	Guidelines?	<p>A range. Includes:</p> <p><i>A practical guide to the SEA directive</i> (ODPM et al 2005).</p> <p><i>Sustainability Appraisal of Regional Spatial Strategies and Local Development Documents: Guidance for Regional Planning Bodies and Local Planning Authorities</i> (ODPM 2005)</p>	Included in Decree laying down the content of environmental report and on detailed procedure for the assessment of the effects on certain plans and programmes on the environment (2005)	Yes, two guides available: general and for land use plans
	3	Focus of assessment (policies, plans, programmes, projects?)	Plans and Programmes. However, under the Environmental Assessment (Scotland) Act 2005 the scope of SEA application in Scotland is expanded beyond that of the Directive to include strategies.	Plans and Programmes	Plans and Programmes
	4	Spatial scale (European, national, regional, local?)	National, regional and local	National, local; sometimes also regional	National Regional
	5	Type of impact considered (social, environmental, economic)	Primarily environmental	Mostly environmental. Aims at limiting unwanted environmental impacts and strengthening positive impacts by using the least costs.	Environmental and socio-economic impacts
	6	Timing (ex ante, ex post, etc)	Ex-ante	Ex-ante	Ex-ante
	7	Initiating party (e.g. project developer)	The Responsible authority, i.e. the body which prepares and/or adopts the plan or programme (ODPM et al 2005).	Institutions responsible for the preparation of the plan and programme.	The institution responsible for the preparation of the Plan and Programme
	8	End user/decision maker (e.g. members of parliament)	Responsible authority	Ministry of Environment and Spatial Planning	Environment Ministry
PROC EDUR	9	Requirements Screening?	Yes. In the Scottish Act, a 'pre-	Yes, first phase performed by the Ministry of	One list of plans and programmes

		for:		screening' stage is also included	Environment and Spatial Planning on the basis of measures as defined in directive.	
	10		Scoping?	Yes	No, not defined.	Yes, corresponding to a specific phase of the SEA process
	11		Report preparation?	Environmental Report	Yes, environmental report	Yes, SEA Report
	12		Summary preparation?	Yes	Yes	Non Technical Summary
	13		Review?	Yes, consultation bodies and public must be able to review the ER with the plan or programme.	Yes	Yes
	14		Monitoring?	Yes. Although often treated poorly in environmental reports (Fisher 2010)	Yes, required, but rarely performed	Yes, pos-evaluation
ASSESSMENT PROCESS	15	Includes consideration of alternatives?		Yes, the SEA directive includes explicit requirements to consider the effects of reasonable alternatives in the environmental report	Yes, recommended but not obligatory.	Yes, recommended
	16	Form (qualitative, quantitative?)		Guidance (ODPM et al 2005) advocates both forms. However, a study by Therivel and Walsh (2006) found that many of the techniques utilised in SEA actually rely simply on judgement and the opinions of planners, statutory consultees and the public.	Usually qualitative analysis	Quantitative and qualitative analysis
	17	Positive and negative impacts considered?		Both	No, positive are rarely included, focus only on negative impacts.	Both
	18	Consideration of territorial dimensions of impacts?		Not explicitly	No, except for the spatial plan preparation.	No explicit reference
	19	Uncertainties acknowledged?		Advocated in guidance (ODPM 2005). However the treatment of uncertainties in environmental reports can be poor (Fischer 2010)	No or depends on the performer.	Yes, uncertainties and difficulties must be mentioned
	20	Primary data collection?		Potentially, in practice mainly existing data	Usually existing data is used: habitat mapping is sometimes additionally required by decision makers.	Uncommon, mainly existing data sources
	21	Consideration of mitigatory measures?		Advocated in guidance (ODPM 2005)	Yes, some alternative measures to reduce potential negative impacts are proposed.	Yes, highly recommended
CONSULTATION & INFLUENCE	22	Consultation with experts and other administrations?		Yes with designated consultation bodies <ul style="list-style-type: none"> • England: Natural England, English Heritage, and the Environment Agency • Northern Ireland: The Department of the Environment's Environment and Heritage Service • Scotland: Historic Scotland, Scottish Natural Heritage, and the Scottish Environment Protection 	Yes	Yes, institutional consultation

		<p>Agency</p> <ul style="list-style-type: none"> Wales: Cadw (Welsh Historic Monuments), Countryside Council for Wales, and the Environment Agency Wales (ODPM 2005:17) <p>However, a study by Therivel and Walsh (2006) found that involvement of these bodies can be limited, or unhelpful in a significant minority of cases.</p>		
23	Public participation?	Actively promoted in guidance (ODPM et al 2005), beyond the minimum requirements of the Directive.	No, except for the obligatory 30-day public consultation in the final phase of SEA to inform the public about the otherwise already finalized content.	Yes, a formal period of public participation
24	Actual level of influence in decision making?	Although the environmental report and consultation responses must be taken into account in the preparation of the plan or programme, influence is unclear. In the planning system, for instance, the SA/SEAs influence on the plan making process is reported to often be limited to 'fine tuning' rather than 'plan shaping' (DCLG 2010).	Legally binding; positive opinion on SEA conditions adoption of the programme/plan.	So far, minor influence in decision making

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Fischer (2010) 'Reviewing the quality of strategic environmental assessment reports for English spatial plan core strategies'. *Environmental Impact Assessment Review* 30 pp.62–69

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METHODOLOGY: Regulatory Impact Assessment					
Criteria			Context		
			UK	Slovenia	
NATURE OF THE TOOL	1	Legal status?		Based on a non-legalistic model	Legally required
	2	Guidelines?		<i>Impact Assessment Guidance</i> (BIS 2010a) <i>Impact Assessment Toolkit</i> (BIS 2010b)	Handbook for Conducting Impact Assessment (draft 2010), Methodology on preparation of statement of elimination of administrative barriers (2005)
	3	Focus of assessment (policies, plans, programmes, projects)?		Policies	Legislation, also policies
	4	Spatial scale (European, national, regional, local)?		National	National
	5	Type of impact considered (social, environmental, economic)?		Social, environmental and economic. However in practice social and environmental impacts are often more neglected.	Check of potential administrative burdens that could arise due to legislation implementation. Also a brief statement of potential impact on territory, society and environment. More a commentary of the law than a detailed assessment.
	6	Timing (ex ante, ex post, etc)?		Ex-ante and ex-post	Ex-ante
	7	Initiating party (e.g. project developer)?		Government departments and agencies	Government departments
	8	End user/decision maker (e.g. members of parliament)?		Government and Parliament.	Government and Parliament
PROCEDURAL ELEMENTS	9	Requirements for:	Screening?	By policy-makers, 'triggered' by the perceived potential to impact the private sector, voluntary sector or public services.	By policy-makers. Each legislation is subjected to preliminary RIA.
	10		Scoping?	Informally	Informally
	11		Report preparation?	Yes	Not necessarily. Summary report is included into explanatory note of the legislation and does not represent a separate document.
	12		Summary preparation?	Yes	Yes
	13		Review?	Yes	No
	14		Monitoring?	Yes	No
ASSESSMENT PROCESS	15	Includes consideration of alternatives?		Yes, including non-regulatory alternatives, however in practice this is weak with the preferred option receiving most attention (NAO 2007).	Not always. It focuses only on alternatives regarding limitation of administrative burdens.
	16	Form (qualitative, quantitative)?		Determined under the 'principle of proportionality' with quantification and monetisation only advocated when 'appropriate' (BIS 2010a). In practice lack of quantification is seen as a weak point particularly in terms of social and environmental impacts (NAO 2007).	Qualitative with some monetisation. The RIA is performed with the help of the table in which policy makers enter their assessment.

	17	Positive and negative impacts considered?	Both	Both.
	18	Consideration of territorial dimensions of impacts?	Not explicitly	Rarely
	19	Uncertainties acknowledged?	Advocated in guidance (BIS 2010b), but in the past have not been fully acknowledged – overuse of single point estimates for example, rather than ranges (NAO 2007).	Rarely
	20	Primary data collection?	Potentially. In practice mainly use existing sources.	No. Use of existing sources.
	21	Consideration of mitigatory measures?	Yes	No
CONSULTATION AND INFLUENCE	22	Consultation with experts and other administrations?	This is reported to be one of the strongest areas of current RIA practice. In the past have included setting up focus groups, workshops and roadshows involving a range of stakeholders from academia and other government departments to industry representatives and small businesses (NAO 2007).	Experts are not normally included in the RIA process (this can also vary) but they actively participate in the legislation preparation when they also consider alternatives, potential impacts of the legislation etc. No specific method is designated. Usually workshops are held or experts are invited to actively engage in public hearings.
	23	Public participation?	Yes, there is a formal consultation stage during which the public is consulted. The level that responses are utilised, or have been perceived to have been utilised, has been noted to vary considerably in the past however (NAO 2007).	Yes, there is a formal public consultation stage when public is invited to express opinion on the proposal. Usually, one or two public hearings are organised during regulation process; however they are not necessarily connected to the RIA process. Public participation is also possible on-line. The level of proposals' consideration depends on their content and legislator's approach.
	24	Actual level of influence in decision making?	In practice usefulness in decision making has been questioned, particularly in the parliamentary process due to lack of awareness and perceived weaknesses in RIA (NAO 2007).	Limited. RIA is recognised more as necessity than a helpful tool for legislation improvements and optimization.

References

BIS (2010a) *Impact Assessment Guidance*. [Online]. Available from: <http://www.bis.gov.uk/assets/biscore/better-regulation/docs/i/10-1269-impact-assessment-guidance.pdf> (Accessed: 5 December 2010)

BIS (2010b) *Impact Assessment Toolkit: A Guide to Undertaking Impact Assessment and Completing the IA Template*. [Online]. Available from: <http://www.bis.gov.uk/assets/biscore/better-regulation/docs/10-901-impact-assessment-toolkit.pdf> (Accessed: 7 December 2010)

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METHODOLOGY: Sustainability Appraisal

		Criteria	Context	
			UK	
NATURE OF THE TOOL	1	Legal status	Planning and Compulsory Purchase Act (2004). Also incorporates requirements of SEA directive transposed by the Environmental Assessment of Plans and Programmes Regulations 2004	
	2	Guidelines?	ODPM (2005) <i>Sustainability Appraisal of Regional Spatial Strategies and Local Development Documents</i>	
	3	Focus of assessment (policies, plans, programmes, projects?)	Development plans	
	4	Spatial scale (European, national, regional, local?)	Regional and local	
	5	Type of impact considered (social, environmental, economic)	Social, environmental and economic. However sometimes considered to be biased. Some say bias towards environment, due to the strength of the SEA directives requirements in the system. Others have argued that it supports the socio-economic objectives.	
	6	Timing (ex ante, ex post, etc)	Ex-ante	
	7	Initiating party (e.g. project developer)	Planning authorities/bodies	
	8	End user/decision maker (e.g. members of parliament)	Planning authorities/bodies	
PROCEDURAL ELEMENTS	9	Requirements for:	Screening?	Yes
	10		Scoping?	Yes
	11		Report preparation?	SA report
	12		Summary preparation?	Yes
	13		Review?	Yes
	14		Monitoring?	Yes
ASSESSMENT PROCESS	15	Includes consideration of alternatives?		Yes, however considered by some practitioners to be 'forced', 'retrofitted', 'bogus', 'manufactured' rather than meaningful (DCLG 2010)
	16	Form (qualitative, quantitative?)		Principally qualitative and generally heavily reliant on judgement.
	17	Positive and negative impacts considered?		Both, normally in terms of movement to or away from a sustainability objective.
	18	Consideration of territorial dimensions of impacts?		Not explicitly
	19	Uncertainties acknowledged?		Advocated in guidance (ODPM 2005).

	20	Primary data collection?	Chiefly uses secondary sources
	21	Consideration of mitigatory measures?	Yes
CONSULTATION AND INFLUENCE	22	Consultation with experts and other administrations?	Under SEA requirements required to consult the environmental consultation bodies. Additionally SA guidance states that it is also desirable to consult other bodies to get a balance between those concerned with social, economic and environmental issues (ODPM 2005). Some studies have however reported difficulties in getting other stakeholders involved in the SA process. Possibly attributed to the style of the reports which are long and daunting (PAS 2006).
	23	Public participation?	Yes, SA guidance (ODPM 2005) suggests that this should closely follow pattern of consultation in the plan making process. In practice, however, planning bodies can find it difficult to engage the public, given the complexity of the process, obscurity of the ideas and the length, format and language used in SA reports - even non-technical summaries can be too technical (RTPI 2008, DCLG 2010).
	24	Actual level of influence in decision making?	Mixed. Evidence to suggest SA recommendations are utilised, evidence also to the contrary. Some have attributed lack of influence to similar reasons the problems in engaging the public, such as the quality of information presentation in the SA reports (RTPI 2008). Indeed, some practitioners reported to believe that the effort required for SA not commensurate with impact on policy making and policy effectiveness (DCLG 2007).

References

ODPM (2005) *Sustainability Appraisal of Regional Spatial Strategies and Local Development Documents*. [Online]. Available from: <http://www.communities.gov.uk/archived/publications/planningandbuilding/sustainabilityappraisal> (Accessed: 15 January 2010)

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METHODOLOGY: Rural Proofing			
Criteria			Context
			UK
NATURE OF THE TOOL	1	Legal status?	Government policy introduced into England by the rural white paper (2000) <i>Our countryside, the future – A fair deal for rural England</i>
	2	Guidelines?	Rural Proofing Guidance (CRC 2009)
	3	Focus of assessment (policies, plans, programmes, projects)?	Domestic policy
	4	Spatial scale (European, national, regional, local)?	In England the formal commitment applies to national and regional levels but in practice has filtered down to the local level (Brian Wilson Associates & Rural Innovation 2008)
	5	Type of impact considered (social, environmental, economic)?	Socio-economic
	6	Timing (ex ante, ex post, etc)?	Ex-ante
	7	Initiating party (e.g. project developer)?	Government (national and regional levels)
	8	End user/decision maker (e.g. members of parliament)?	Government (national and regional levels)
PROCEDURAL ELEMENTS	9	Requirements for:	Screening?
	10		Scoping?
	11		Report preparation?
	12		Summary preparation?
	13		Review?
	14		Monitoring?
			Unclear, CRC (2009) guidance advocates simply 'thinking rural' in the normal policy making process. Has been included as a 'specific impact test' within the IA process at the central government level.
ASSESSMENT PROCESS	15	Includes consideration of alternatives?	Unclear, potentially in line with normal policy development process.
	16	Form (qualitative, quantitative)?	Qualitative - often simply a tick box exercise based on personal judgement with weak evidence.
	17	Positive and negative impacts considered?	Potentially
	18	Consideration of territorial dimensions of impacts?	Yes, fundamental aspect of tool is to consider impact on rural areas.
	19	Uncertainties acknowledged?	Unclear
	20	Primary data collection?	Potentially, unclear in practice.
	21	Consideration of mitigatory measures?	Yes, include safeguards and policy refinements and adjustments (CRC 2007)

CONSULTATION AND INFLUENCE	22	Consultation with experts and other administrations?	Engaging stakeholders to support rural proofing, such as rural interest groups and expert advisors, is reported to be patchy and inconsistent. Further, some report that policy makers undertake minimum consultation with little effort to engage proactively in rural interests (CRC 2007)
	23	Public participation?	Potentially, unclear how widespread.
	24	Actual level of influence in decision making?	The tool has had limited impact across government (Brian Wilson Associates & Rural Innovation 2008). The influence and performance of rural proofing is reported to be weak and 'disappointing', having not been built into the day-to-day work of departments and is more reliant on individuals (CRC 2007).

References

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