

# Uppföljning - verktyg för miljöintegrering i planeringen

Måns Nilsson

# Analytical framework and tool kit for SEA follow-up

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## ABSTRACT

Most Strategic Environmental Assessment (SEA) research and applications have so far neglected the ex post stages of the process, also called SEA follow-up. Tool kits and methodological frameworks for engaging effectively with SEA follow-up have been conspicuously missing. In particular, little has so far been learned from the much more mature evaluation literature although many aspects are similar. This paper provides an analytical framework and tool kit for SEA follow-up. It is based on insights and tools developed within planning, evaluation and environmental systems analysis, and is also grounded in empirical studies into real levels. The purpose of the framework is to promote a learning-oriented and integrated use of SEA processes at all stages of decision-making. It helps to identify appropriate tools and their use in the process, and to systematise the use of available data and knowledge across the planning, organization and process, and to systematise the analytical and deliberative tools. Most of these are applicable also ex ante, but are then used on a predictive moderate and iterative tool. The analytical element of the framework is oriented on the basis of programme theory and typology. The paper discusses three issues in the application of the framework: understanding the negotiation of organisations and knowledge; understanding planners' questions and analytical requirements; and understanding interests, incentives and reluctance to evaluate.

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## 1. Introduction

While the last five years have seen a rapid development of tools and methodological frameworks for ex ante Strategic Environmental Assessment (SEA), the ex post stages of SEA that is assessment activities undertaken after the strategic decision has been adopted, have been far less researched. Two earlier articles addressed what we then saw as major gaps in SEA literature, namely the provision of concrete tools and methods to use in a SEA process engaged in conducting the impacts of a policy or plan. We thus looked especially at appropriate methodologies to deploy in the ex ante stages of a SEA (Finnveden et al., 2002; Nilsson et al., 2005). Since then, there has been a surge of SEA applications and associated methodological developments still, the ex post stages of SEA, or the more mainstream term "SEA follow-up" is distinction will be discussed in 2.1, are surprisingly little addressed and often treated almost in passing both in SEA research and practice (Cherp et al., in press). A more systematic

and ambitious approach to SEA follow-up is therefore only emerging and has so far primarily revolved around existing thinking with in EA (Fors and Morrison-Saunders, 2004). The mature literature has outlined the basic concepts, functions and possible roles that the management can take on (e.g. monitoring, evaluation, communication and sequencing of activities in particular ex post policy and planning situations). Similarly, SEA regulations and guidelines are held at such a general level that desk offers faces a severe lack of concrete tools to fulfil the required follow-up.

The aim of this paper is to develop a theoretically and empirically grounded framework of tools for SEA in the ex post stages of decision making. We have chosen as our empirical basis practices and analytical needs in different types of regional planning. This empirical grounding is necessary to anchor the framework in reality but also comes with a cost, since more precise tools and analytical needs depend on the specific decision-making context. Still, we have endeavoured to construct a tool framework that will be broadly relevant not only for different levels of strategic decision-making (be it policy, plan, or programme) but also for different sectors. The framework complies with the minimum requirements of official SEA

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## TOWARDS A FRAMEWORK FOR SEA FOLLOW-UP: THEORETICAL ISSUES AND LESSONS FROM POLICY EVALUATION

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Most SEA practice and research has focused on the pre-decision stages, whereas post-decision follow-up stages such as monitoring, evaluation and management have been given far less attention. These stages, referred to as SEA follow-up, are integral to making SEA effective and learning-oriented. This paper takes the first step towards a framework for conducting SEA follow-up, by analysing the requirements for ex post activities according to the European SEA Directive (2001/42/EC), reviewing existing experiences and literature on how to perform SEA follow-up and policy evaluation. The directive, along with most mainstream applications of SEA, is based on EIA follow-up concepts. However, SEA follow-up divides a number of critical differences, including an enhanced risk of implementation gaps; a focus on performance rather than compliance; and less direct linkages between decisions and impacts. The paper argues that the SEA Directive is necessary to enable strategic decision making and learning. Lessons from the policy/programme evaluation literature could strengthen SEA follow-up by giving it analytical rigour in relation to establishing causality and providing insights into the use and acceptance of SEA follow-up among decision makers and stakeholders. Further explorations into policy evaluation toolkits and practical experiences in applying them, are needed to enhance the potential of SEA follow-up in supporting strategic decision making.

Keywords: SEA follow-up; evaluation; monitoring; SEA directive.  
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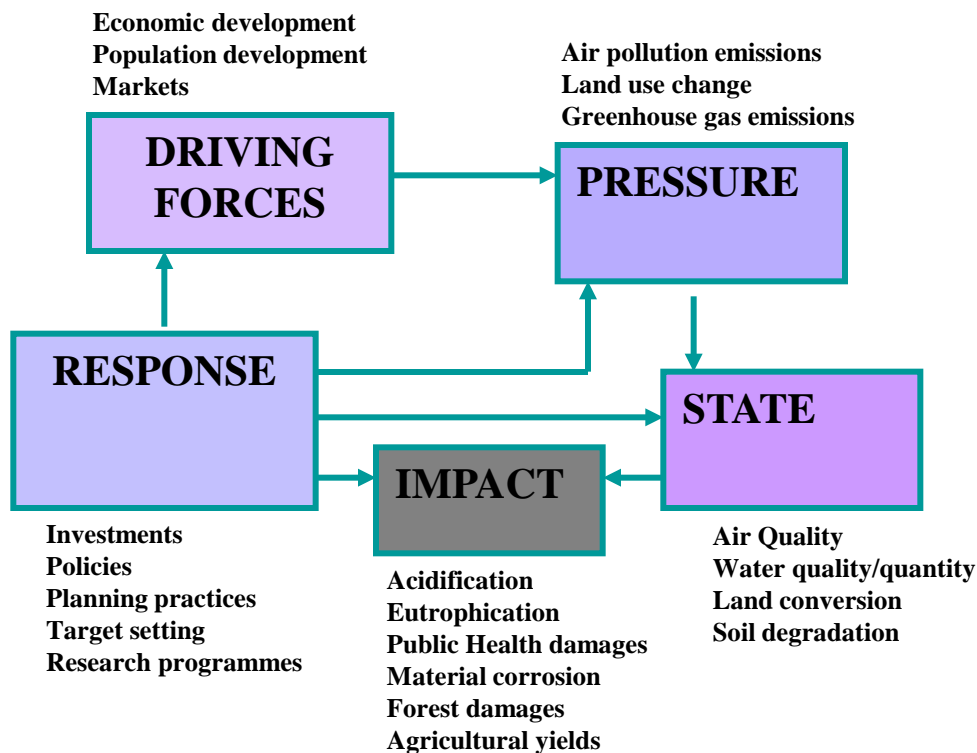
## European Directive 2001 assessment of certain plans and programmes

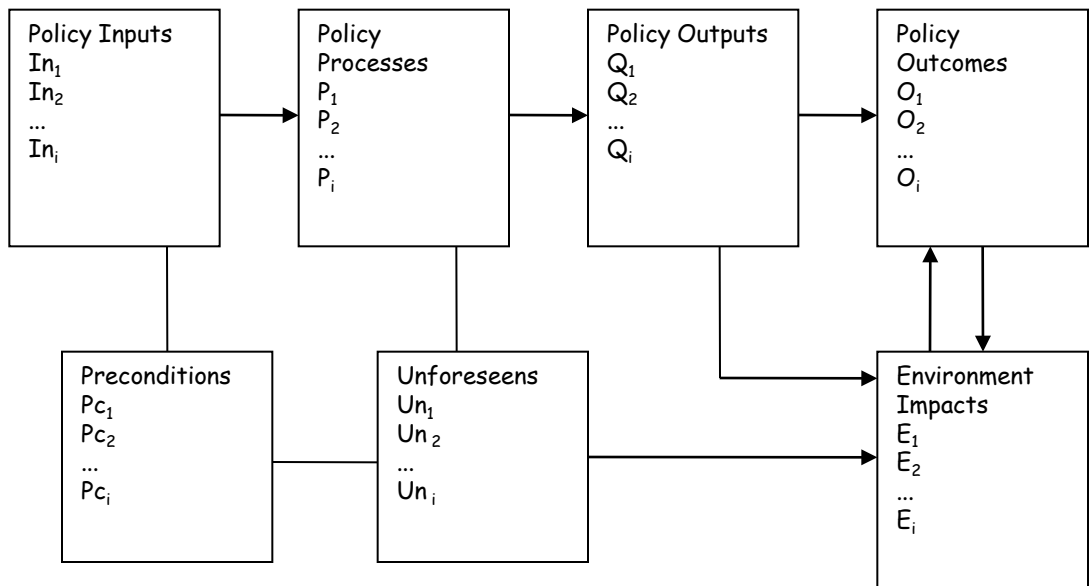
Article 10 extends Member States' duties beyond the planning phase to the implementation phase and lays down the obligation to **monitor the significant environmental effects of the implementation of plans and programmes**. ... it enables the results of the environmental assessment to be compared with the environmental effects which in fact occur.

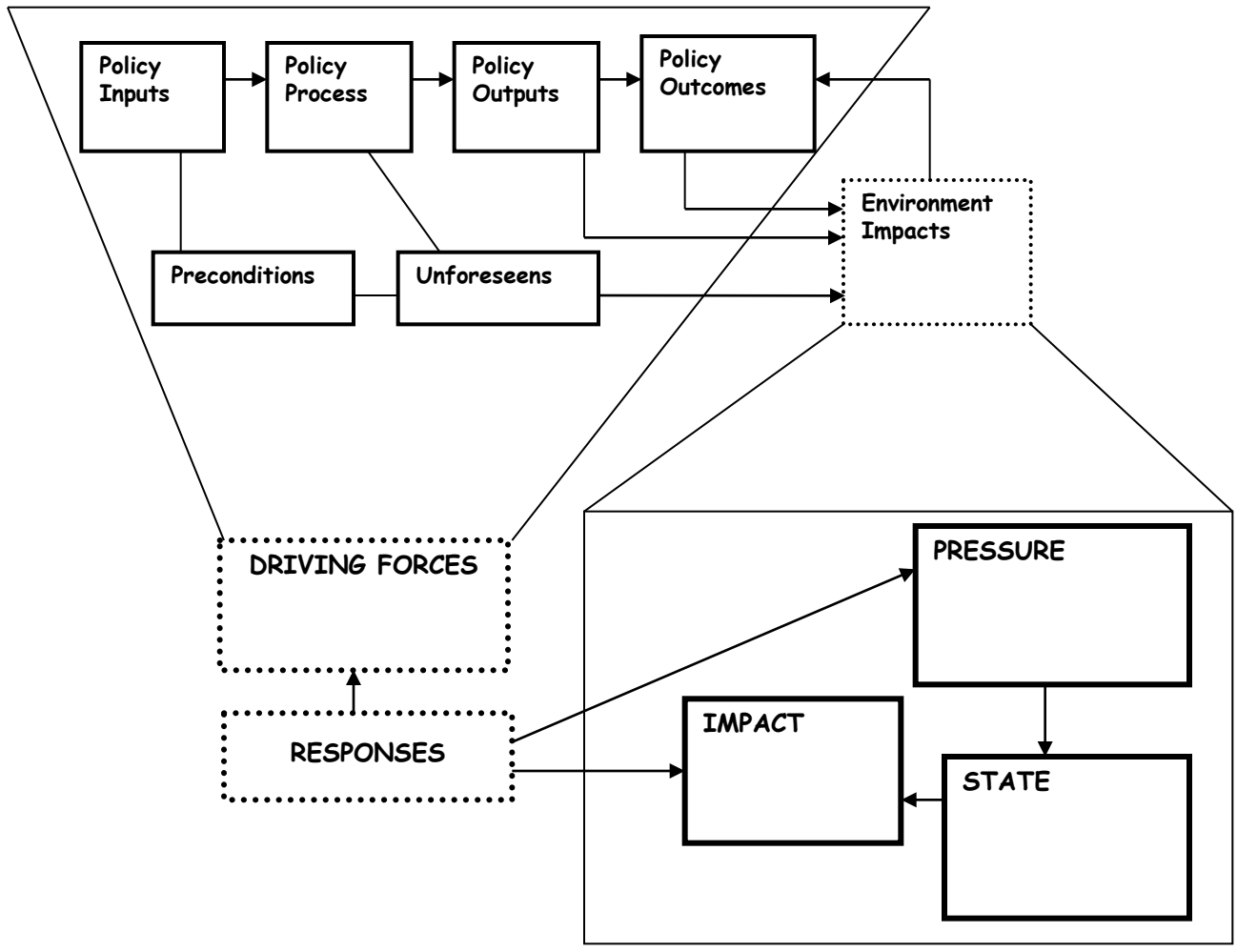
The **methods chosen should be those which are available and best fitted in each case** to seeing whether the assumptions made in the environmental assessment correspond with the environmental effects which occur when the plan or programme is implemented, and to identifying at an early stage unforeseen adverse effects

If monitoring can be satisfactorily **integrated in the regular planning cycle**, it may not be necessary to establish a separate procedural step for carrying it out. Monitoring may coincide for example with the regular revision of a plan or programme, depending on which effects are being monitored and upon the length of intervals between revisions.

From EC guidance document, 2003







# Planning context

## Regional growth programmes

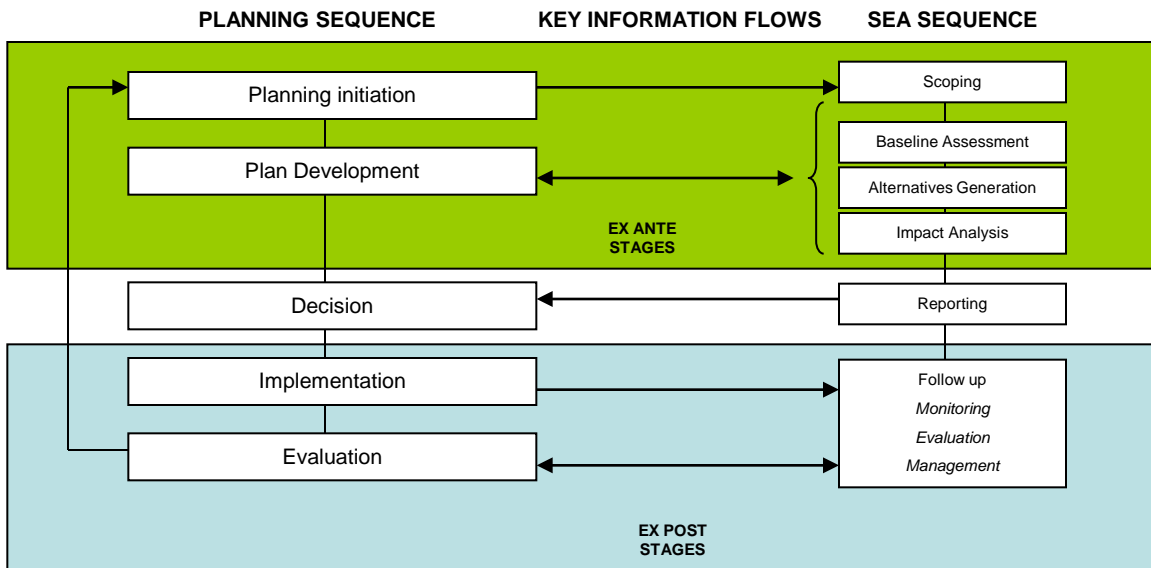
- -new types of planning and evaluation, of more cognitive process and consensus building, multi-organizational

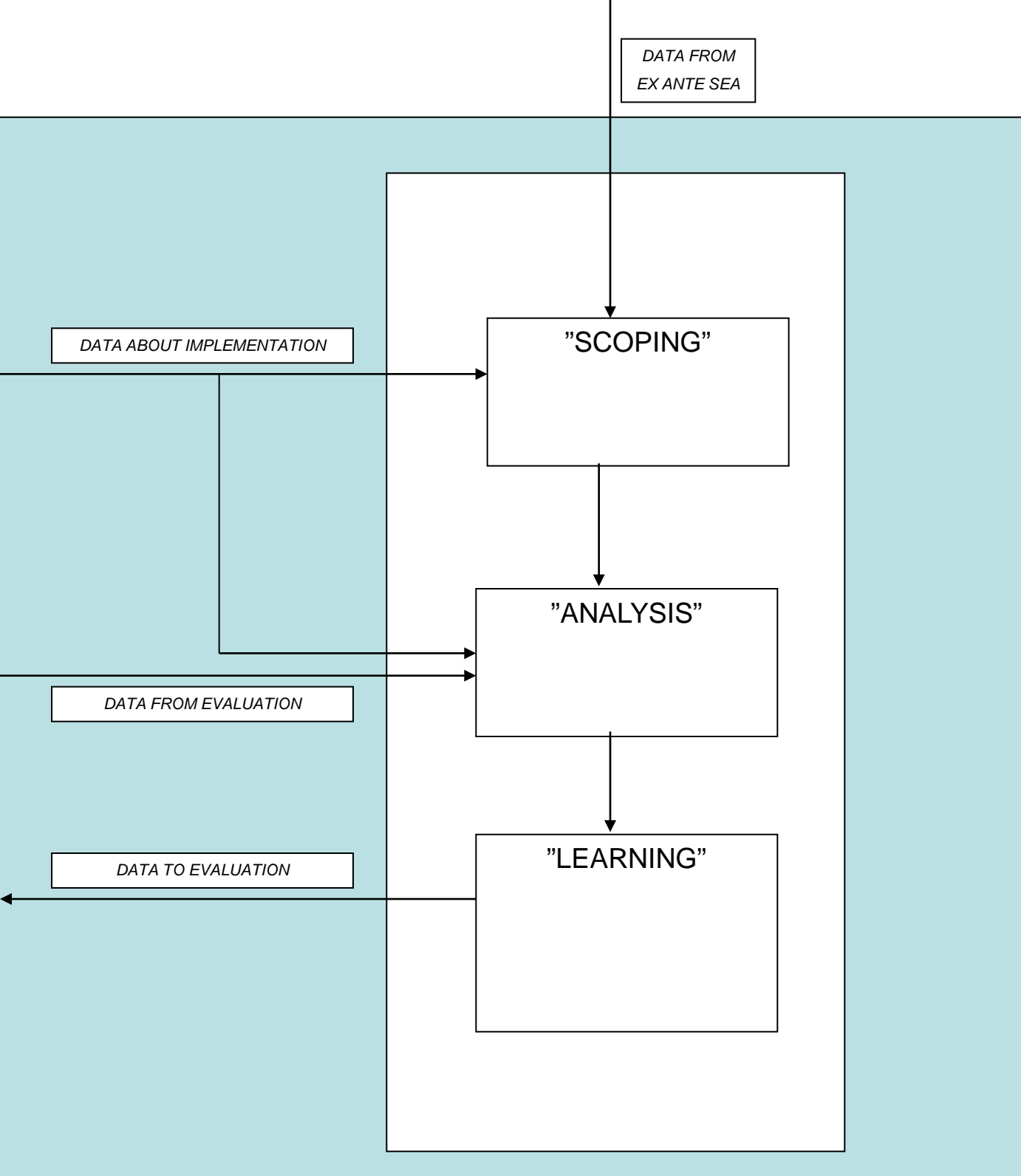
## Regional transport planning

- -traditional identification of investment objects and implementation

# Identifierade behov i planeringen

- Generell uppföljning är svag på regional nivå - bevakning men inte utvärdering
- Flera institutioner finns på plats men koordineras inte
- Miljöperspektivet är svagt integrerat
- Planeringen har svårt att hantera gränserna "uppåt"
- Analytiska svårigheter
  - Svårt att särskilja planens effekter gentemot bredare samhällsutveckling
  - Svårt att fastställa relevanta effekter av planens objekt
- Verktygslådor en lösning?





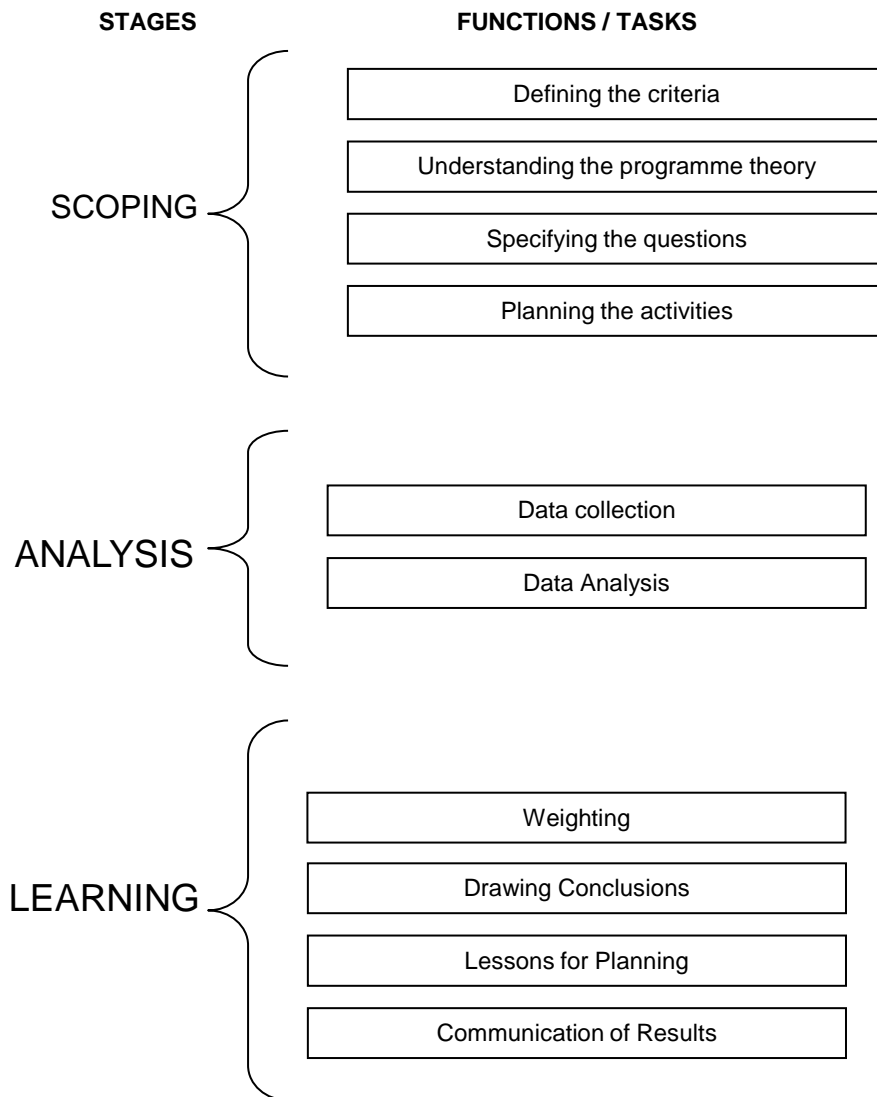
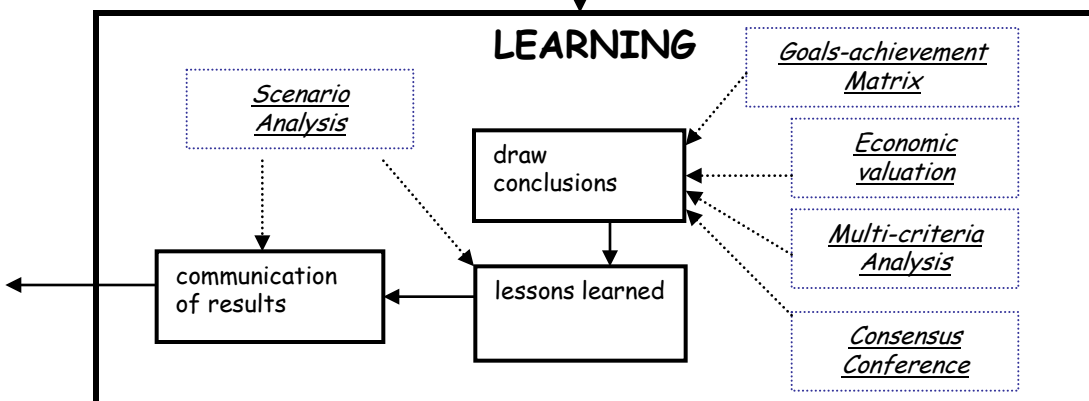
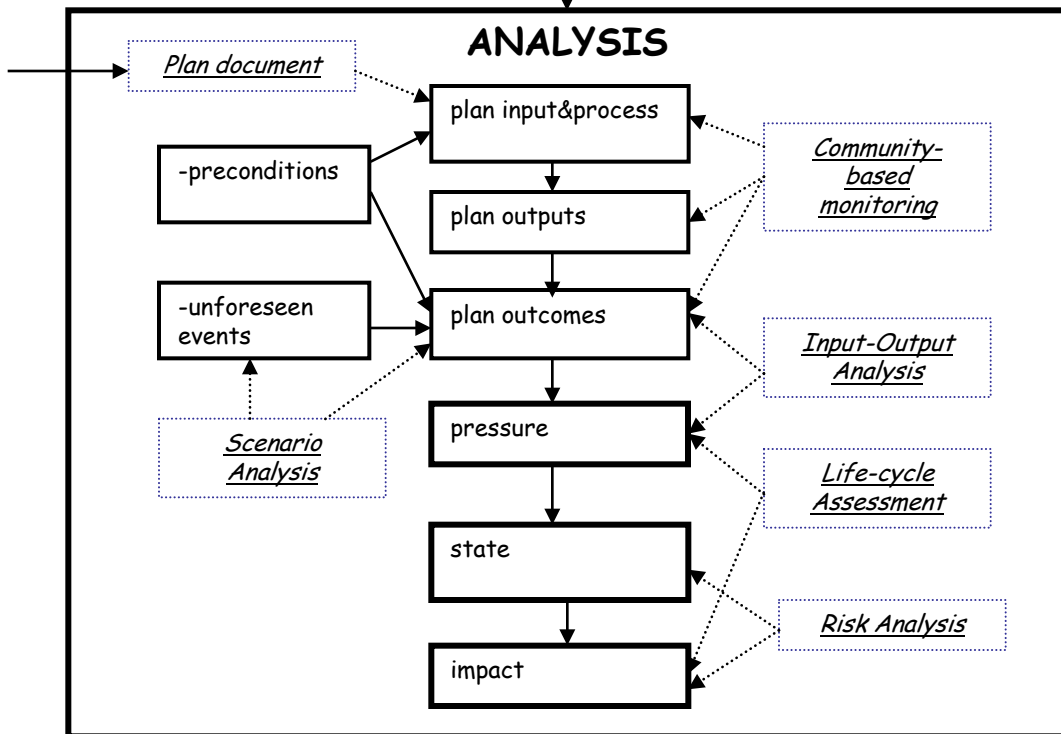
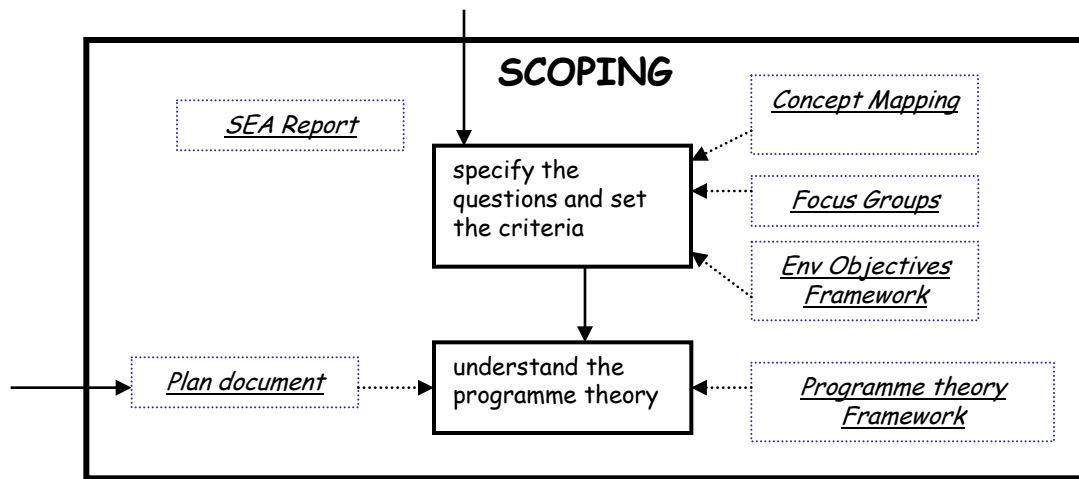


Figure 3. The functional components of SEA Follow up.



# Uppföljning inom SEA kan stärka miljöintegreringen

- Kan skapa institutionella förutsättningar för lärandeprocesser
- Kan användas för att koordinera olika idag fragmenterade uppföljningsprocesser
- Kan öka analytiska kunskapen ("explaining")
- Kan stärka deltagandet i planeringen ("judging")
- Kan tillämpas på olika vis för olika typer av planering.
- Kan tillämpas på olika vis beroende på information och uppföljningsbehov