
Potential of Strategic Environmental Assessment Follow-up for Institutional Learning and Collaboration:

A case of Merseyside Local Transport Plans, UK

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Presentation Outline

1. Conception of SEA follow-up:

- **SEA & follow-up in SEA in the context of SD evaluations**
 - **What is SEA follow-up?**
 - **Why SEA follow-up?**
 - **Challenges**
- **How, where & when can SEA follow-up contribute?**

2. Merseyside Local Transport Plans

- **Research description & method**
- **Research results and findings**
- **Other observations**
- **Conclusions and lessons**



Conception of SEA follow-up (1): SEA in the context of SD evaluations

SEA - a systematic process of integrating environmental considerations on a par with economic and social ones into the earliest phase of policy, plan or program development.

SEA belongs to proactive SD evaluations with a focus on the ex ante evaluation of socio-economic & env-al impacts of strategies.

**Formulation of
strategic initiative -
SEA**



**Strategy implementation –
revision – substitution - SEA
follow-up**



Conception of SEA follow-up (2):

Definition and Rationale

What is SEA follow-up?

- monitoring and evaluation of impacts of a strategy for management of, and communication about its environmental performance.

Why SEA follow-up?

- To bridge the implementation gap & track actual effects
- To cope with uncertainties intrinsic to planning
- To provide flexibility & adaptation to dynamic practice
- To allow for feedback, feedforward & learning
- To provide communication (informing role; improving public awareness; acceptance and legitimization)

SEA follow-up gains a special significance (for SD) – but is insufficiently addressed



Complexity of strategy evaluation

Causality

Organization

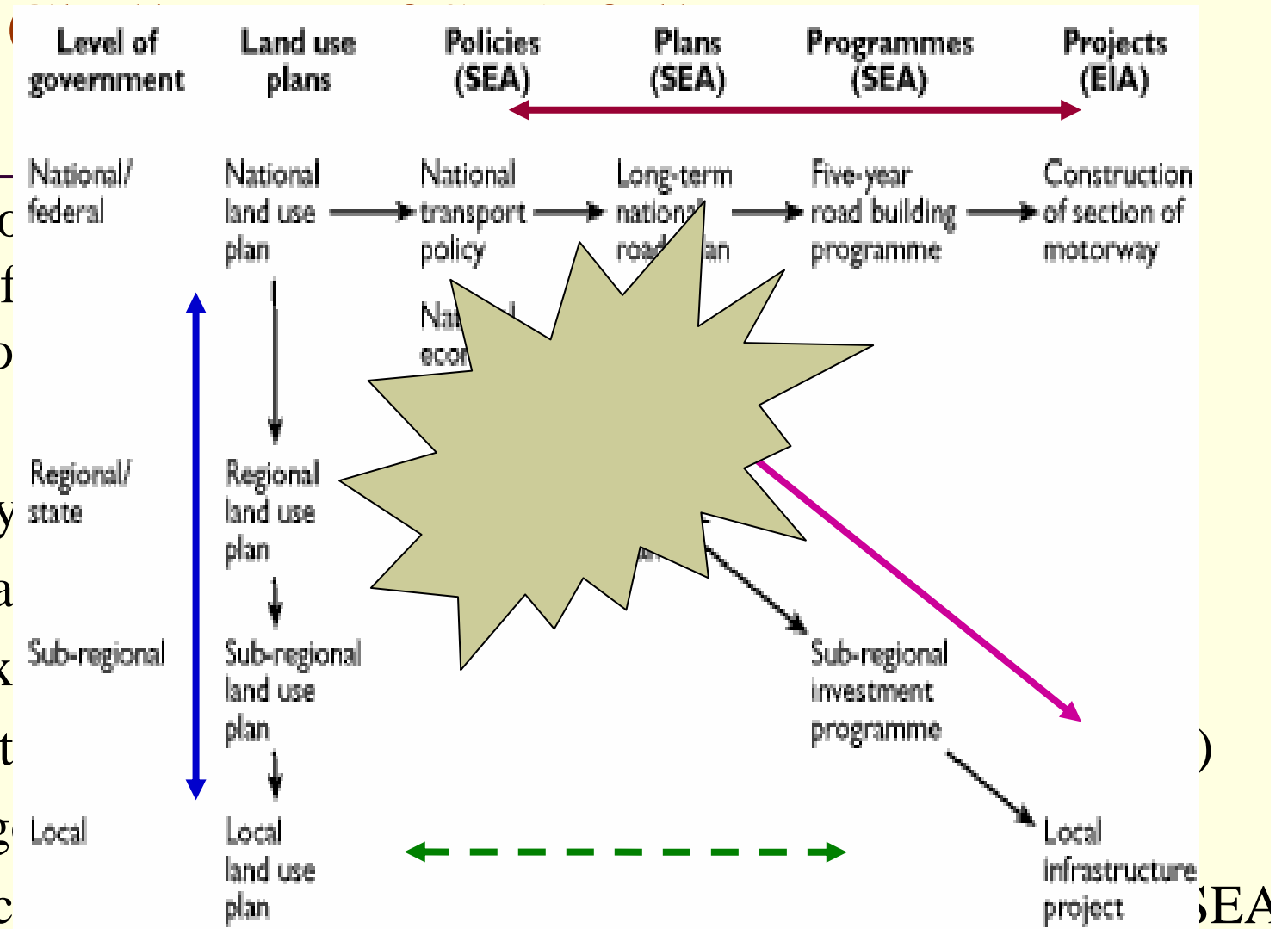
Complex

Different

Challenges

Dynamic

(becomes outdated?)





SEA follow-up

*dimensional character of
ation and build capacities?
tific and technical knowledge for
lback, feedforward, and learning*

**Merseyside Local
Transport Plans, UK**

*Merseyside partnership:
5 districts & MerseyTravel*



Merseyside Local Transport Strategies, UK:

Research description & method

Strategy	Years	Assessment	Follow-up
Merseyside Integrated Travel Study	1993 - 2000	Health Impact Assessment	Health, Environmental, Performance
Local Transport Plan 1	2000/01-2005/06	Health Impact Assessment	Health, Performance
Local Transport Plan 2	2006/07-2011/12	SEA & Health Impact Assessment	SEA - Health, Environmental, Performance

Aim: to explore a potential of SEA follow-up for the Merseyside strategies to enhance institutional learning and collaboration

Methods: Criteria derivation, Interviews (6 partners & on-site officers); Internet-adapted & library-based content analysis; Context research (planning, cultural, etc.)



Research results and findings

Social & institutional aspects of SEA follow-up needed to facilitate strategy (7)

1. **Formal provisions and position in planning cycle & decision - & policy-making processes**
 - A strict position in relation to strategy implementation as per sector
 - Tiering or “policy context” positions (S)EA follow-up amongst related strategies, SEAs & ex-post evaluations at different DM/planning levels
 - Links within tiers focus on relations b/w the institutions & responsible people + on the ways to rationalise data collection & exchange
 - Env. follow-up for the LTP1 is blurred by performance monitoring, is clearer for the LTP2 & integrated with implementation monitoring w/o separate strategic EMP.
 - Env. follow-up background papers, reports and protocols – operation year & annual reporting.



Research results and findings

2. Explicit statement of SEA follow-up rationales and goals for different decision-making and planning tiers

- Downscaled to a command and control reaction
- #1-to meet international& national standards, then regional, sub-regional, local
- Government deploys methods of fin. incentives (“punish-then-reward”)
- SEA follow-up is deficient -nearly no bottom-up shaping of goals
- LTP proponents possess info on horizontal & lower strategies, i.e. ready to take responsive/corporate actions
- Info fatigue vs. unclear agreement for provision of info
- Corporate responsibility is intuitively based on personal & prof. contacts.



Research results and findings

3. Provision of adaptive management approaches in SEA follow-up

- The LTPs are sensitive to external political, econ. & public changes
- Hard to immediately adapt (planning operation & budget cycles)
- SEA follow-up ~ content of updated strategic actions and re-assess their consequences for the environment.
- A principle of continuity ensures implementation as per intention, adaptive env. management + the continuity of experience.
- Internal capacity = a feedback for planning authorities gains adequacy and supports collective learning.
- Continuity - merged with managerial component & capacity building



Research results and findings

4. Expression of commitment coupled with managerial competence

- The LTP1 complies with monitoring tasks, if SEA follow-up existed the commitment towards env. targets would be higher.
- All partners are committed to implementing SEA follow-up as per the LTP2 – 1st annual report confirms
- Partners - required to do ~ the same for SEA & HIA follow-up, but they have different technical resources and capacities.
- Commitment is related to the possession of technical capacities
- Good managerial competence for SEA follow-up for both LTPs, but bound to the resource availability and capacity building

District	Stakeholders' capacity to conduct ground level SEA follow-up
Sefton	Advanced sophisticated equipment, enough qualified people
Liverpool	
Knowsley	
Wirral	
St. Helens	Older equipment, lack of people



Research results and findings

5. Open (coordinated) cooperation and accountability incl. a right for feedback and participation

- No “communication plans” for the MerITS/LTPs, but a sound organizational setup to communicate on SEA follow-up
- follow-up results - annual reports are on the website, enquiries are answered by the LTP Support Unit and Forums.
- Low interest from people unless issues directly relate to them
- Partners gets monitoring data from subcontractors
- Steering Group - reps of all partners - coordinates collaboration.
- Beyond the LTPs – no formal cooperation and coordination BUT...
- Informality is crucial for learning-actors from different strategies collaborate unofficially, learn from/advice to each other, act jointly.



Research results and findings

6. Transparent frameworks for SEA follow-up delivery activities and their contribution to strategy goal

- Communication-to secure transparency of strategy delivery- focuses on the public and interest groups.
- Official Internet sites (performance monitoring) - supports the continuity of information flows.
- transferring data from the LTP1 to the LTP2 - more transparent than b/w the MerITS & the LTP1
- SEA follow-up – to ensure the next strategies absorb info from the preceding ones
- SEA follow-up actions are clear for the LTP2 as per SEA & HIA
- All parties are accountable for their actions
- Stakeholders better understand how SEA follow-up can contribute to achievement of strategy's objectives and goals



Research results and findings

7. Determination of practicable resources for SEA follow-up

- Budget for the LTP1 included monitoring costs, strategy performance costs & means towards lower schemes.
- The LTP2 - same fin. clauses but larger resources for monitoring; not increased equally for all districts
- SEA identifies monitoring technique, timing and responsible parties
- Divergent and emergent actions are frequent in routine of the LTPs are~by corresponding changes in monitoring & management practices
- planning staff seeks to make changes consistent with objectives of the LTPs and time & human resources available.
- Resources affect commitment and managerial competence



Other Observations

SEA follow-up stresses importance of social learning & collective cognitive processes

- Organizational change – “changing routines”
- Attitudinal change- ways of thinking about Transport & Environment
- Behavioural change - how people interact & engage in collaboration.

SEA follow-up establishes, operationalizes, & maintains a system of links both within one strategy & in-between different tiers & strategic levels

SEA follow-up supports collaboration and multiple information flows both outside and inside the implementing institution



Conclusions and Lessons

Important: sustain gained institutional changes, new capacities and strengthened cooperation! – through SEA follow-up, which

- helps maintain forms of relations & links and share culturally provided tools and implements
- is supplemental to the rationales for ex post evaluation of the LTPs and other tiered to it actions
- serves as a mechanism to facilitate inheriting and transfer of env. & socio-economic elements from one planning cycle to another.
- guides allocation of tasks and duties and meaningful implementation of environmental and performance monitoring in follow-up programs
- supports better coordination and cooperation of the parties incl. unofficial.
- raises participation, awareness, motivation and credibility.



Thank you!

Questions, comments?

