May 2018

APPLICATION OF THE PROTOCOL ON STRATEGIC ENVIRONMENTAL ASSESSMENT:

MANUAL FOR TRAINERS

EaPGREEN
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UNECE

DISCLAIMER

This document *Application of the Protocol on Strategic Environmental Assessment: Manual for Trainers* (the Manual) was prepared by consultants to the United Nations Economic Commission for Europe (UNECE) secretariat to the Protocol on Strategic Environmental Assessment to the Convention on Environmental Impact Assessment in a Transboundary Context in consultation with the secretariat and with funding from the European Union (EU) "Greening Economies in the Eastern Neighbourhood' (EaP GREEN)" project. The views expressed herein can in no way be taken to reflect the official opinion of the EU, UNECE or the other EaP GREEN implementing organisations.

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ABOUT THE EAP GREEN PROJECT

In the period 2013 – April 2018, the European Union (EU) "Greening Economies in the Eastern Neighbourhood" (EaP GREEN) project assisted six countries of the EU Eastern Neighbourhood Partnership - Armenia, Azerbaijan, Belarus, Georgia, the Republic of Moldova and Ukraine - in progressing faster towards a green economy. The project promoted decoupling of economic growth from environmental degradation, with a view to attaining higher productivity and competitiveness, better natural capital management, enhanced environmental quality of life, and more resilient economies.

More specifically, the EaP GREEN project aimed to:

- Mainstream sustainable consumption and production into national development plans, legislation and regulatory frameworks with a view to providing a sound legal basis for future policy development in line with the regional and international agreements and processes and consistent with existing EU "acquis" in the relevant policy areas;
- Promote the use of strategic environmental assessment (SEA) and environmental impact assessment (EIA) as essential planning tools for environmentally sustainable economic development; and
- Achieve a shift to a green economy through the adoption of sustainable consumption and production practices in selected economic sectors (manufacturing, agriculture, construction, etc.).
- The EaP GREEN was structured around three components:
  - Governance and financing tools;
  - SEA and EIA; and
  - Demonstration projects.

UNECE supported the participating countries in developing and applying national SEA legislation and systems in accordance with the provisions of the Protocol on SEA to the Convention on Environmental Impact Assessment in a Transboundary Context (Espoo Convention) and the EU SEA Directive. The related activities were linked to the work-plans under the Convention and the Protocol, and contributed to promoting the ratification and implementation of the Protocol on SEA. The key focus of UNECE's assistance was on:

1. **Revision of the existing national regulatory and legislative frameworks**, including reviews of SEA and, as appropriate, of transboundary EIA legislation, drafting of SEA legislation; awareness raising events to support the adoption of the legislation; and sub-regional overview;

2. **Capacity building on SEA (and transboundary EIA) procedures**, including national and sub-national level training on SEA, development of national guidance documents, sub-regional events for coordination and experience-sharing, and pilot SEAs; and

3. **Strengthening of administrative capacities and clarifying the roles of different stakeholders in SEA and transboundary EIA**.

ABOUT THE UNECE PROTOCOL ON STRATEGIC ENVIRONMENTAL ASSESSMENT (SEA)

The Protocol on Strategic Environmental Assessment (SEA) was negotiated under the 1991 UNECE Convention on Environmental Impact Assessment in a Transboundary Context (the Espoo Convention) to extend the principles and the scope of the Convention to plans and programmes, and, to the extent appropriate, to policies and legislation. The Protocol is, however, a legally distinct instrument[1]. The Protocol on SEA was signed in Kiev in 2003 and entered into force on 11 July 2010. The Protocol is an international agreement that provides for legal obligations and a procedural framework for the implementation of SEA to countries that are Parties to it[2] The Protocol on SEA is open to all member States of the United Nations.

The Protocol on SEA augments the Espoo Convention by ensuring that Parties integrate environmental, including health, considerations into their plans and programmes at early stages of planning, setting also a non-mandatory framework for the assessment of policies and legislation. The Protocol ensures that both environmental and health authorities are informed and consulted on the plan or programme. In addition, it provides for extensive public participation in the planning and decision-making processes. Unlike the Espoo Convention, which applies only to planned activities that are likely to cause significant adverse impact across the national frontiers, the Protocol applies mainly to domestic plans and programmes. Should transboundary effects be likely, however, the Protocol on SEA (Article 10) provides also for transboundary consultations with potentially affected Party or Parties.

The Protocol on SEA is considered by its Parties as a key tool for sustainable development: its implementation is expected to assist countries in achieving Sustainable Development Goals and their targets as set out in the 2030 Agenda for Sustainable Development[3]. The Protocol has also proved to be useful for addressing climate change.

More information about the Protocol on SEA can be found on the UNECE website: https://www.unece.org/env/eia/sea_protocol.html.

[1] This means that a country can join the Protocol on SEA without being a Party to the Espoo Convention.
[2] For up to date information on the state of ratification of the Protocol, please see: https://treaties.un.org/Pages/ViewDetails.aspx?src=TREATY&mtdsg_no=XXVII-4-b&chapter=27&clang=_en
[3] General Assembly resolution 70/1.

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The Manual was prepared by consultants to UNECE, Maia Gachechiladze-Bozhesku (Ecoline International Ltd., Bulgaria) and Martin Smutny (Integra Consulting Ltd., Czech Republic), in consultation with Elena Santer (UNECE). Topic 8. was drafted by Plamen Peev (BlueLink foundation, Bulgaria). In addition, Olena Pometun (Academy of Educational Science, Ukraine). Tea Aulavuo (UNECE) and Olena Borysova (EBRD, Ukraine) provided valuable comments and inputs to the Manual.

Part I of the Manual is largely based on the following two main resource materials, (while reflecting also many other sources referenced throughout the Manual):

Resource Manual to Support Application of the Protocol on Strategic Environmental Assessment, UNECE (2012)[4] (by Nick Bonvoisin, Jiri Dusik, Ausra Jurkeviciute, Barry Sadler); and
Training Manual for the 1st Training of Trainers on SEA/EIA, Environment and Climate Regional Accession Network (ECRAN) (2014)[5] (by Martin Smutny).

Part II of the Manual dedicated to the training approaches and techniques was adapted from the publication Developing and delivering training on the Aarhus Convention for Civil Society. A Manual for Trainers, drafted by Elena Santer and Olena Pometun in the framework of the European Union Project: 'Environmental Information, Education and Public Awareness, Armenia, Azerbaijan, Belarus, Georgia, Moldova and Ukraine' (EuropeAid 02-0114).

Materials used in this Manual draw on the practical experiences of EU member States and those countries of Eastern Europe and the Caucasus that implemented pilot SEAs under the EaP GREEN project. The draft version of this Manual was first presented and used at a "training of trainers" workshop 'Design and delivery of training events on strategic environmental Assessment' held in Kakheti, Georgia, on 3–6 November 2015. The experience gained during the training was integrated into the subsequent version of the Manual presented at the second workshop: 'Sharing experience with introducing strategic environmental assessment (SEA) and environmental impact assessment (EIA) in selected countries of Eastern Europe, the Caucasus, and Central Asia' conducted in Kyiv Region, Ukraine, on 31 October–2 November 2017. The feedback received during that workshop was further incorporated in the present version of the Manual.

[4] Available at: http://www.unece.org/index.php?id=27379.
[5] Available at: http://www.ecranetwork.org/Files/ToT_training_manual.pdf.

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INTRODUCTION

Purpose of the Manual

TThe Manual on Strategic Environmental Assessment for Trainers (the Manual) was prepared within the framework of the European Union (EU)-funded project 'Greening Economies in the Eastern Neighbourhood' (EaP GREEN)[6] that aimed, inter alia, at promoting the use of strategic environmental assessment (SEA) and environmental impact assessment (EIA) as essential tools for supporting environmentally sustainable planning and economic development. This Manual was designed to provide practical assistance for building capacities in order to implement the United Nations Economic Commission for Europe (UNECE) Protocol on Strategic Environmental Assessment (Protocol on SEA) to the Convention on the Environmental Impact Assessment in a Transboundary Context (the Espoo Convention). The need for the Manual was identified during the initial stage of the EaP GREEN project implementation. Consequently, it was first prepared as a background document for the training of trainers that UNECE facilitated in the six beneficiary countries - Armenia, Azerbaijan, Belarus, Georgia, the Republic of Moldova, and Ukraine — with a view to sustaining and further disseminating the training results. The Manual was prepared to support the process of educating and training state officials, members of civil society and representatives of academia in the six countries. However, the Manual is a free source of information and can be used in any other country and/or region.

Parties and stakeholders under the Protocol on SEA are encouraged to use and widely disseminate the Manual. The Manual is available in electronic format on the UNECE website in English and Russian (http://www.unece.org/env/eia/publications.html).

Structure of the Manual

TThis Manual is comprised of two parts: Part I 'Teaching Modules on SEA' and Part II 'How to develop and deliver training on SEA'.

The Teaching Modules in Part I provide practical support to trainers in the form of templates for training on each step of the SEA process, considering the requirements of the Protocol on SEA and following international principles of good SEA practice. The Modules include exemplary plans for training seminars and particular training sessions, examples of interactive exercises to be used for particular topics, a suggested structure of slides for presentations, references to readings and materials that can be used for preparing trainings and/or distributed to training participants to supplement the training they receive. The templates differ in style and type of training method, and give trainers the opportunity to use different approaches and options in implementing trainings on SEA.

Whilst the primary goal of the Manual is to support the implementation of the SEA procedure in accordance with the Protocol on SEA, the topics addressed in the Teaching Modules and their structure go beyond the main provisions of the Protocol (see the scheme below). The main reason for this is to provide a flexible framework that enable to accommodate the specifics of the SEA procedures set by national legislations. Furthermore, the structure of the topics in the Teaching Module 3 reflects the typical steps and tasks to be conducted when applying SEA in practice. The scheme below explains the linkages between the articles of the Protocol on SEA and the Teaching Modules/topics in Part I of the Manual.

[6] http://www.unece.org/env/eia/about/eap_green.html

Table 1: Linkages between the articles of the Protocol on SEA and the Teaching Modules/topics in Part I of the Manual

Teaching Modules and Topics	Relevant provisions of the Protocol on SEA	Comments
Teaching Module 1. How to introduce SEA	Preamble, Art. 1, Art. 2	The Preamble emphasizes the role of SEA in planning and decision-making processes and links SEA to sustainable development and international cooperation. Art. 1 defines the objectives of the Protocol on SEA, which can be also considered as general objectives for the SEA application. Art. 2 elaborates the main definitions.
Teaching Module 2. How to integrate SEA into plan- and programme-making	Preamble, Art. 1a, Art. 1b	The provisions listed recognize the importance of SEA in the preparation and adoption of plans and programmes. Art. 1a and 1b stipulate the need for taking environmental and health considerations into account when developing plans and programmes, and when preparing policies and legislation, respectively.
Teaching Module 3. How to conduct SEA		
Topic 1. Scope of the SEA application and screening	Art. 4, Art. 5, Annex III	The Protocol on SEA defines a field of SEA application concerning plans and programmes in its Art. 4 and the criteria to determine likely significant environmental and health effects to be applied in screening (Art 5.1 and Annex III)
Topic 2. Scoping	Art. 6	Art. 6 stipulates requirements to be followed when determining the scope of assessment, including consultations with environmental and health authorities and public participation.
Topic 3. Baseline analysis	Art. 7, Annex IV	Although conducting a baseline analysis is not prescribed as a separate step in the Protocol on SEA, it is well covered by the provisions regarding the preparation of an environmental report.
Topic 4. Evaluation of effects and formulation of mitigation measures (including alternatives)	Art. 7, Annex IV	Similarly to the baseline analysis, the analysis of likely effects and formulation of mitigation measures is addressed by the provisions regarding the preparation of the environmental report.

Teaching Modules and Topics	Relevant provisions of the Protocol on SEA	Comments
Topic 5. Preparation of SEA report	Art. 7, Annex IV	The Protocol on SEA requires the preparation of an 'environmental report' and stipulates information to be included in it.
Topic 6. Quality assurance/quality control	Art. 7	The Protocol on SEA stipulates in its Art. 7 that the countries (i.e. the Parties to the Protocol on SEA) shall ensure that environmental reports are of sufficient quality to meet the requirements of the Protocol on SEA.
Topic 7. Monitoring	Art. 12, Annex IV.	The Protocol on SEA requires that the SEA report should contain measures envisaged for monitoring the significant environmental (and health) effects and stipulates further requirements regarding monitoring in its Art. 12.
Topic 8. Consultations with environmental and health authorities and public participation	Preamble, Art. 2.6, Art. 5.2-5.4, Art. 6.2-6.3, Art. 8, Art. 9, Art. 10	The Protocol on SEA in its preamble acknowledges the importance of providing for public participation in SEA and recognizes undertaking public participation and consultations with environmental and health authorities and considering their results in a plan or programme as an integral part of SEA (Art. 2.6). The Protocol on SEA stipulates the requirements for consultations with environmental and health authorities and participation of the public at the key stages of SEA, including the transboundary consultations.
Topic 9. SEA and decision-making	Art. 11	Art. 11 defines obligations of the countries regarding consideration of SEA outcomes when adopting the plans and programmes.

Part II of the Manual is intended to serve as a user manual for the Teaching Modules in Part I. It contains recommendations on how to develop, organize and deliver training in general, and describes different methods of training and the evaluation of training. It provides the rationale and practical assistance for the use of interactive teaching techniques to deliver training to adults. It also outlines the skills that educators and trainers should have.

The Manual is accompanied by an extensive set of supporting documents, in particular PowerPoint presentations covering all main SEA steps addressed in the Manual and presenting relevant case examples. The supporting documents are available only in electronic format and can be downloaded from the UNECE website (http://www.unece.org/env/eia/publications.html). Further, for convenience of the users of the Manual, the reference materials used in the Manual were compiled in separate folders, alongside the catalogue of these sources, and are available on the same UNECE webpage.

Target audience of the Manual

This Manual is intended to be used by those who deliver or plan to deliver trainings on SEA. It will be useful for both professional educators and trainers, as well as for non-professional trainers and 'beginners'. It will provide support to experienced educators or trainers working in institutes for the professional training of state officials, in higher education institutions or public training centres. It will also be helpful for beginner level trainers, such as representatives of governmental bodies, who want to increase the level of knowledge and understanding of SEA of their employees, or members of non-governmental organizations who would like to train their members or the wider community. The Manual will also help to facilitate cooperation between different stakeholders to better protect the environment.

How to use the Manual?

Although the Manual contains scenarios for trainings on particular topics, it can also be used to carry out training on SEA for different types of educational activities. For example, it can be used to prepare:

- Training sessions for officials or members of civil society on one, several or all steps in the SEA process;
- Courses in secondary schools or higher education institutions;
- Short courses to be included in the existing curricula for training and professional development of state officials; and
- Short half-day or a few hour-long seminars for various groups of people.

The interactive training exercises, lectures and discussions can be adapted not only to the conditions of the activity within which they are delivered, but also to the specific goals of the training activity and the needs of the participants.

For example, while carrying out joint training for state officials and members of non-governmental organizations, it is often necessary to organize parallel group work during the joint sessions in order to tailor the training to those different groups. It is also important to carry out plenary discussions to allow for the exchange of expertise and to discuss what was learned during the joint sessions and how this knowledge can be applied in practice.

In order to make the training components relevant to the conditions of a particular country, it is recommended that these should be adapted to reflect and incorporate local legislation, experience, case examples, research, etc., when delivering the training at the national or sub-national levels. As already mentioned above, the Manual is a free information source to be used in the countries of Eastern Europe, Caucasus, and Central Asia as well as elsewhere. A status of the national legislative framework for SEA may largely differ country to country. Thus, the assignments for exercises in Part I of this Manual, wherever relevant, also reflect situations with limited or non-existing national legislation on SEA and provide tips on how to design a group work in such a context.

PART I.

TEACHING MODULES ON STRATEGIC ENVIRONMENTAL ASSESSMENT

TEACHING MODULE 1. HOW TO INTRODUCE SEA

1.1. Introduction to the module (session)

To introduce the session, the trainer should present its goal and objectives (which could be presented as expected outcomes), as well as topics to be discussed, and familiarize participants with the plan of the session, as proposed in **Table 2** below. The expected duration of this introductory session is 90 minutes.

Table 2: Proposed plan for the session

Number of the element of the session	Elements of the session	Method to use	Time
1.1.	Introduction to the session	Brief information from the trainer	5 min
1.2.	Introduction to SEA	Interactive lecture supported by a PowerPoint presentation	20–30 min
1.3.	Exercise: Links between SEA and Environmental Impact Assessment (EIA), as well as State Environmental Expertise (SEE)[28]	Work in small groups	20–30 min
1.4.	Presenting and discussing group work outputs	Presentations and discussion in a large group	15–20 min
1.5.	Reflection block	Discussion in a large group	10–20 min

The below goal and objectives should be adjusted to the needs of the target group to be invited to the national trainings.

The goal of this teaching session is to familiarize the participants with the key concepts of SEA. After the training the participants will be able to:

- Explain what SEA is and why its application is important;
- Explain what kind of legal documents regulate SEA at the international and national levels;
- Outline the benefits and costs of SEA;
- Determine the actors in the SEA process;
- Describe key principles of effective SEA application; and
- Elaborate on the linkages between SEA and EIA, as well as SEE.

1.2. Introduction to SEA: main concepts

The below sub-sections present the indicative material that can be used by the trainers to prepare their own presentations on "Introduction to SEA". Additional reference sources are provided at the end of this Module.

[28] http://www.unece.org/env/eia/about/eap_green.html

1.2.1. What is SEA?

SEA is internationally recognized as the key instrument for integrating environmental and health concerns into strategic planning and decision-making to prevent and mitigate possible damage from economic and regional development. It promotes sustainable development goals and principles and supports efforts towards the transition to a green economy. SEA should be applied during the preparation of governmental strategic documents[29] in order to ensure that the environmental and health implications of planned developments are analysed and considered early in decision-making processes, before the decisions are made. In addition, relevant authorities and the public should be properly consulted in the process. As a result, SEA increases the legitimacy of planning and decision-making processes and their outcomes.

[29] *"Strategic documents" refer to documents (and any modifications to them) required by legislative, regulatory or administrative provisions and subject to preparation and/or adoption by an authority or prepared by an authority for adoption, through a formal procedure, by a parliament or a government (cf. art. 2, para. 5, of the Protocol on SEA). Strategic documents that are subject to SEA according to the Protocol on SEA in different countries have various names, including plans, programmes, policies, concepts, conditions.*

The Protocol on SEA and the EU's SEA Directive[31] define SEA as follows:

Protocol on SEA	SEA Directive
"the evaluation of the likely environmental, including health, effects, which comprises the determination of the scope of an environmental report and its preparation, the carrying-out of public participation and consultations, and the taking into account of the environmental report and the results of the public participation and consultations in a plan or programme" (art. 2, para. 6).	"the preparation of an environmental report, the carrying out of consultations, the taking into account of the environmental report and the results of the consultations in decision-making and the provision of information on the decision in accordance with Articles 4 to 9" (art.2.(b)).

1.2.2. Purpose of SEA

According to the Protocol on SEA, the objective of SEA is to ensure that environmental, including health, considerations are thoroughly taken into account in the development of plans and programmes in support of environmentally sound and sustainable development. In particular, SEA assists authorities responsible for plans or programmes, as well as decision-makers, to take into account:

- Key environmental trends, potentials and constraints that may affect or may be affected by the plan or programme.
- Environmental objectives and indicators that are relevant to the plan or programme.
- Likely significant environmental effects of proposed options and the implementation of the plan or programme.
- Measures to avoid, reduce or mitigate adverse effects and to enhance positive effects.
- Views and information from relevant authorities, the public and, as relevant, potentially affected States.

1.2.3. International legislation

The international and regional legislation for SEA consists of the UNECE Protocol on SEA and the EU SEA Directive. The SEA Directive greatly influenced the negotiation of the Protocol on SEA. However, there are several differences between these two legal instruments, including the geographical scope (the Protocol on SEA is open for accession by all United Nations' member States, while the EU SEA Directive is a regional instrument for the EU member States) and the consideration and integration of environmental concerns in the preparation of policies and legislation. While both the Protocol on SEA and the SEA Directive require that SEA be applied to plans and programmes, the Protocol on SEA promotes its application also to policies and legislation "to the extent appropriate".

The Protocol on SEA was adopted in Kyiv (Ukraine) in 2003 at the extraordinary meeting of the Parties to the Espoo Convention during the 'Environment for Europe' Ministerial Conference. It was signed by 36 UNECE member States and the European Community (currently European Union). All Parties must take the necessary legislative, regulatory and other appropriate measures to implement its provisions. More information on the Protocol on SEA and its current status of ratifications can be found at http://www.unece.org/env/eia/sea_protocol.htm.

The SEA Directive has been in force since 2001. The EU member States must have its requirements transposed into their national legal frameworks. For more information on the SEA Directive see http://ec.europa.eu/environment/eia/home.htm.

1.2.4. Benefits and costs of SEA

SEA, if properly implemented, should result in the following benefits:

- Improved protection of the environment and management of natural resources;
- Improved quality of plan- and programme-making and strategic documents;
- Increased efficiency of decision-making;
- Identification of new opportunities for development;
- Cost-saving and preventing costly mistakes;
- Strengthened governance; and
- Transboundary cooperation.

Moreover, in general, the effective and consistent application of SEA to economic and regional development planning can considerably assist countries in attaining sustainable development goals, greening their economies, and addressing climate change.

The financial costs of SEA may significantly vary depending on the character and detail of the plan or programme assessed, the number of alternatives evaluated, the scope of the public involvement (the extent of consultation process), among other factors. According to an EU study, SEA may increase planning costs by up to 5-10%; however, good SEAs were found to increase planning costs by less than 5%[32]. In terms of time inputs, a UK study showed that most SEAs required approxi-

[31] *Directive 2001/42/EC of the European Parliament and of the Council of 27 June 2001 on the assessment of the effects of certain plans and programmes on the environment. Available at http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex:32001L0042.*

[32] *European Commission (1996), A study on costs and benefits in EIA/SEA. Available at http://ec.europa.eu/environment/archives/eia/eia-studies-and-reports/eia-costs-benefit-en.htm.*

mately 70-80 person-days to be completed (roughly half of that time for scoping and the other half for the preparation of the environmental report)[33]. According to a survey from the Czech Republic[34] on the efficiency of the SEA application, about 50% of SEAs required about 2 – 10 person-days from the planning authority. However, as conducting the assessment (carrying out the analyses, preparing the SEA report, etc.) was usually assigned to external consultants, the overall time needed for the full SEA was difficult to estimate.

It should be noted that costs for carrying out the SEA for a specific plan or programme should be covered by the authority responsible for the preparation of that plan or programme (and thus responsible for ensuring the SEA application as well). The timely application of SEA in parallel with the planning is also of importance: if the responsible planning authority does not understand the SEA process and does not integrate it within its planning process, it will not be able to make much use of the SEA recommendations and results, nor benefit from the savings in terms of time and costs.

1.2.5. Effectiveness/good practice principles

In order for SEA to deliver benefits, as described above, it should be applied effectively, in accordance with a following set of general guiding principles[35]:

- SEA should be undertaken by the authority responsible for a plan or programme and be integrated into and customized to the logic of the plan- or programme-making process.
- SEA should be applied as early as possible in the decision-making process, when all the alternatives and options remain open for consideration.
- SEA should focus on the key issues that matter in the relevant stages of the plan- or programme-making process. This will facilitate the process being undertaken in a timely, cost-effective and credible manner.
- SEA should evaluate a reasonable range of alternatives, recognizing that their scope will vary with the level of decision-making. Wherever possible and appropriate, it should identify the best practicable environmental option.
- SEA should provide appropriate opportunities for the involvement of the authorities, the public and other key stakeholders throughout the process, starting from its earliest stages, and in accordance with clearly formulated procedures. Ideally, it should employ easy-to-use consultation techniques that are suitable for the target groups.
- SEA should be carried out with appropriate and cost-effective methods and techniques of analysis. It should achieve its objectives within the limits of the available information, time and resources, and should gather information only in the amount and detail necessary for sound decision-making.

1.2.6. Actors in SEA

- **Planning authorities** are authorities responsible for preparation of plans or programmes, submitting them for adoption and/or for their implementation. They should ensure that SEA is carried for plans or programmes and are responsible for its quality and meeting legal provisions.
- **Environmental and health authorities** are governmental and/or public authorities in charge of relevant environmental and health issues. They should be involved in the SEA process, have an opportunity to provide comments on a plan or programme as well as on the SEA report, and be informed how their comments have been taken into account. In some SEA systems, there is also a **competent authority** for SEA, which is in charge of coordination of the SEA process and issuing the final SEA statement.
- **Decision-makers** are representatives of governmental and/or other public bodies of a State in charge of approving or adopting the plan or programme in accordance with relevant legal provisions and administrative structure. These include the national Government or the Parliament and sub-national public entities, such as regional and municipal councils, etc. In terms of SEA, decision-makers should consider SEA findings and conclusions in their decisions.
- **The public** can be defined as one or more physical or legal persons and their associations, organizations or groups. The public should have early, timely and effective opportunities to participate in the SEA process when all options are open and have their comments considered in a plan / programme and in the SEA.
- **Foreign countries** (affected Parties) should be involved in the SEA process in case a certain plan or programme is likely to have transboundary effects on their territory.

[33] *R. Therivel and F. Walsh (2005), "The Strategic Environmental Assessment Directive in the UK: One Year On", submitted to Environmental Impact Assessment Review.*

[34] *Experience with application of SEA in the Czech Republic and UK: A Public Authorities´ Point of View (Musil, M. at el, EIA-IPPC-SEA Bulleting, 2010, in Czech language).*

[35] *Adapted from UNECE Resource Manual on SEA (2012) and IAIA. 2002. Strategic Environmental Assessment: Performance Criteria. Fargo, ND: International Association for Impact Assessment.*

1.2.7. Linkages and differences between SEA and EIA

SEA applies to 'strategic' planning documents and processes, such as plans or programmes, and to the extent appropriate to policies and legislation, while EIA is applied to individual proposed activities or development projects[36]. SEA can be applied in a range of situations that may differ in terms of their strategic nature. Overall, the range of the SEA application is much wider than that of the project-level EIA[38].

Figure 1 below summarizes the changing focus of SEA, depending on how far away from the project level it is applied. At lower tiers, SEA is likely to be based on a more rigorous EIA-based approach, and at higher tiers it is likely to be more flexible and of high-level (and possibly non-EIA based).

The applicable methods and techniques vary, depending on the specific situation. At lower tiers of planning, methods and techniques typically used in EIA may be useful and appropriately applied also in SEA. At higher tiers, methods and techniques typically applied within policy-making may be more appropriate, such as forecasting, backcasting and visioning. Furthermore, there are methods and techniques that may be applied at both, higher and lower tiers, including, for example, checklists, matrices and impact trees. Generally speaking, quantification within assessment is more difficult to achieve at higher tiers that come with a greater degree of uncertainty.

	SEA ← → EIA 'Higher tiers' / 'Lower tiers'			
Descision making level	Policy	Plan	Programme	Project
Nature of action	Strategic, visionary, conceptual			Immediate, operational
Ouputs	General			Detailed
Scale of impacts	Macroscopic, cumulative, unclear			Microscopic, localised
Time scale	Long to medium term			Medium to short-term
Key data sources	Sustainable development strategies, state of the environment reports, visions			Field work, sample analysis
Type of data	More qualitative			More quantitative
Alternatives	Area wide, political, regulative, technological, fiscal, economic			Specific locations, design, construction, operation
Rigor of analysis	More uncertainty			More rigor
Assessment benchmarks	Sustainability benchmarks (criteria and objectives)			Legal restrictions and best practice
Role of practitioner	Mediator for negotiations			Advocator of values and norms Technician, using stakeholder values
Public perception	More vague, distant			More reactivate (NIMBY)

Figure 1: The changing focus of SEA from lower to higher tiers

[36] *The following levels of planning and decision-making are outlined in the environmental assessment literature:*

- *Policy: road-map with defined objectives, set priorities, rules and mechanisms to implement objectives;*
- *Plan: priorities, options and measures for resource allocation according to resource suitability and availability, following the orientation, and implementing, relevant sectoral and global policies;*
- *Programme: organized agenda with defined objectives to be achieved during programme implementation, with specification of activities and programmes investments, in the framework of relevant policies and plans;*
- *Project: a detailed proposal, scheme or design of any development action or activity, which represents an investment, involves construction works and implements policy / planning objectives (based on Partidario, M.R. (undated), Strategic Environmental Assessment (SEA): Current Practices, Future Demands and Capacity-building Needs, IAIA training course manual (http://www.iaia.org/pdf/EIA/SEA/SEAManual.pdf.*

[38] *This paragraph is based on the text adjusted from Fischer, B.T. (2007) Theory and Practice of Strategic Environmental Assessment. London: Earthscan.*

1.3. Exercise: defining and discussing links between SEA, EIA (OVOS[39]) and SEE

This exercise implies that the participants should have some awareness about the local EIA (OVOS) and SEE system. If not, the national trainers should consider presenting the system first.

Necessary materials:

Assignment for the groups (which can be presented as a slide on the screen), markers, paper, flipchart, and a hand-out.

1.3.1. Option 1. Discussing links between SEA, EIA (OVOS) and SEE systems in your country

Assignment:

For Option 1, the trainer asks the participants to discuss the following questions in small groups and put the ideas on paper (the hand-out 1.A. for this exercise is given in Annex 1):

- What are the main achievements and challenges of the existing EIA (OVOS) system in the country?
- What are the (potential) links between SEA and EIA (OVOS) system?
- What are the (potential) links between SEA and SEE?

The trainer invites the participants to use arrows, lines, etc. to link the drawn SEA, EIA (OVOS) and SEE blocks as per their thinking and provide their arguments.

1.3.2. Option 2. Establishing links between SEA, EIA (OVOS) and SEE with reference to a City Master Plan[40]

For Option 2, the trainer should prepare a drawing of a hypothetical City Master Plan with the infrastructure facilities of his/her choice and four cards. Each facility is assigned a number. The drawing can be displayed on the slide or attached to the flipchart. Three cards should bear the following headings: EIA (OVOS), and SEA, SEE; and the forth card should be blank.

The trainer splits the participants into several small groups and gives a set of four cards to each group. The participants are asked to discuss which facilities or objects from the drawing are subject to EIA, SEA and/or SEE, if at all, and write corresponding numbers on the cards.

The sample hand-out for this Option 2 is given in Annex 1 (see Hand-out 1.B.).

1.4. Presenting and discussing the group work outputs

The trainer invites one representative (volunteer) from each group to write or depict the results of the small group work on a flip-chart or a whiteboard (blackboard). If the findings are similar, all can be kept on one sheet.

The trainer can ask additional questions such as:

- Why, in your opinion, SEA is important for your organization or institution and for your country?
- What do think about this possibility in your country or region?
- Was the provided information sufficient to understand the links between EIA, SEA and SEE?
- How does the scale or significance of the facilities or objects on the Plan change your judgment?

1.5. Reflection block

After having discussed the outputs, the trainer conducts a joint reflection session. The trainer invites the participants to look at the list that they have produced together and asks them:

- What ideas did you have during this exercise?
- Have you understood the key concepts and messages? What have you discovered for yourself?
- What would you suggest to improve the effectiveness of the session?

Volunteers from the participants are invited to respond to the above questions in turn.

1.6. Teaching tips

1.6.1. Specific techniques/ approaches

The general methods that can be used for this session are described in Part 2 of this Manual. More specific tips and proposed techniques are outlined in Table 3.

[39] *'OVOS' is an acronym initially introduced in the Soviet Union, which signifies "assessment of the impact on the environment" (Otsenka Vozdeistvia na Okrujauschuu Sredu). OVOS is a procedure during which the proponent/developer of a project collects the necessary information concerning the project's environmental impact and compiles the relevant documentation. OVOS is not of a permitting nature. The OVOS materials along with the other required documentation are submitted by the proponent/developer to the relevant authorities for 'state ecological expertise'. A project can only be authorized if the authorities (or the external experts nominated by them) issue a positive 'expertise' conclusion.*

[40] *Option 2 of this exercise was developed by the participants of the Training for Trainers on SEA in Kakheti, Georgia (2015).*

Table 3: Proposed specific techniques and teaching tips per element of the session

Elements of the session	Method to use	Specific techniques and teaching tips
Introduction to the session	Brief information from the trainer	Use PowerPoint slides as needed.
Introduction to SEA	Interactive lecture supported with Power Point Presentation	Open each new topic with the questions that will evoke thinking and discussion for some 2–3 minutes. E.g., • Do you have any experience with SEA? If so, please describe your experience. • What is your understanding of SEA? • What do you think is the purpose of SEA? • What could be the benefits / costs of SEA? • Who are the main actors in the SEA process? First ask the question, then collect opinions from the participants and show the respective slide.
Exercise: Links between SEA, EIA/ OVOS and SEE	Work in small groups (4-6 persons)	Prepare hand-outs and background materials, e.g. as suggested above.
Presenting and discussing outputs	Presentations and discussion in a large group	Group reporters present group work outputs one by one (no more than 2 minutes each).
Reflection block	Discussion in a large group	Invite participants to respond to the questions, present issues and summarize their thoughts and opinions using either the 'microphone' method or a big-circle discussion. The discussion continues until all the volunteers have expressed their thoughts.

1.6.2. Proposed structure of the presentation

The trainer can prepare a presentation based on the above theoretical background materials and additional reference sources, as necessary (refer to the end of the Module). The following structure can be used as an indicative guide for the format and content of the presentation:

- What is SEA (1 slide) — describe what SEA is, provide definition(s);
- Why do SEA (1–2 slides) — explain why SEA is important, what are its purposes;
- Status of practical implementation of SEA in the country (1 slide) — describe if and when any SEAs have been conducted in the country, and what were the subject(s) of these SEAs;
- Legal framework (1 – 2 slides) – describe the legal requirements stipulated by the national legislation regarding SEA. If there are no relevant provisions in the national legal framework yet, make a reference to the Protocol on SEA and the EU SEA Directive;
- Benefits and costs of SEA (3–5 slides) — describe the benefits of SEA (which could be outlined one by one on separate slides); present the costs of SEA in terms of temporal and financial costs;
- Actors in SEA (1–2 slides) — explain who the key actors are in the SEA process; elaborate on their roles and functions (if applicable make reference to the SEA actors and their roles as stipulated in the national legislation);
- Good practice principles (1–2 slides) — present the key principles for effective SEA application;
- Exercise and discussion (1–2 slides) — prepare the assignment for the exercise. You may use an example provided above or (optimally) prepare your own exercise;
- Reflection block (1–2 slides) — elaborate on questions for reflective discussion. You may use the questions provided above and/or develop additional ones on the outputs of the session.

An example of a similar presentation prepared as part of the EaP GREEN is provided among the supporting documents to this Manual (refer to 'Introduction to SEA.pptx').

1.7. Recommended reference sources

Reference source	Relevant chapter(s)
UNECE. 2012. Resource Manual to Support Application of the Protocol on Strategic Environmental Assessment. (http://www.unece.org/index.php?id=27379)	Chapter A1. A Brief Introduction to Strategic Environmental Assessment
Partidario, M.R. (undated), Strategic Environmental Assessment (SEA): Current Practices, Future Demands and Capacity-building Needs, IAIA training course manual. (http://www.iaia.org/pdf/EIA/SEA/SEAManual.pdf)	1. Introduction 2. Background to the development of SEA 3. Concepts and notion of SEA — What is SEA? 4. Principles of SEA
OECD. 2006. Applying SEA. Good Practice Guidance for Development Co-operation. (https://www.oecd.org/environment/environment-development/37353858.pdf)	Chapter 1. Introduction Chapter 2. Understanding Strategic Environmental Assessment Chapter 3. The Benefits of Using Strategic Environmental Assessment in Development Cooperation Chapter 4. Towards Strategic Environmental Assessment Good Practice: Principles and Processes

TEACHING MODULE 2. HOW TO INTEGRATE SEA INTO PLAN- AND PROGRAMME-MAKING

1.1. Introduction to the module (session)

Present the goal and objectives (which could be presented as expected outcomes) of this session, as well as topics to be discussed, and familiarize participants with the structure of the session, as proposed in **Table 4**. The duration of the session is 90–120 minutes.

Table 4: Proposed plan for the session

Number of the element of the session	Elements of the session	Method to use	Time
1.1.	Introduction to the session	Brief information from the trainer	5 min
1.2.	How to integrate SEA process into plan- or programme-making	Interactive lecture supported with a PowerPoint presentation	20–30 min
1.3.	Exercise: Integrating SEA into plan- or programme-making processes	Work in small groups	20–30 min
1.4.	Presenting and discussing group work outputs	Presentations and discussion in a large group	20–30 min
1.5.	Reflection block	Discussion in a large group	10–15 min

The below goal and objectives should be adjusted to the needs of the target group to be invited to the national trainings.

The goal of this session is to understand how the SEA process can be integrated into plan- or programme-making. After the training the participants will be able to:

- Explain why it is important and useful to integrate SEA into plan- or programme-making;
- Outline the key stages of the SEA process;
- Outline the key steps of the plan- or programme-making process;
- Describe the key integration modes; and
- Discuss the potential advantages, strengths, disadvantages and weaknesses of each integration mode.

The below sub-sections present the indicative material that can be used by the trainers to prepare their own presentations on 'How to integrate SEA process into plan- and programme-making'. Additional reference sources are provided at the end of this Module.

1.2. Integrating SEA into plan- and programme-making: theoretical background

1.2.1. Why integrate SEA into plan- and programme-making?

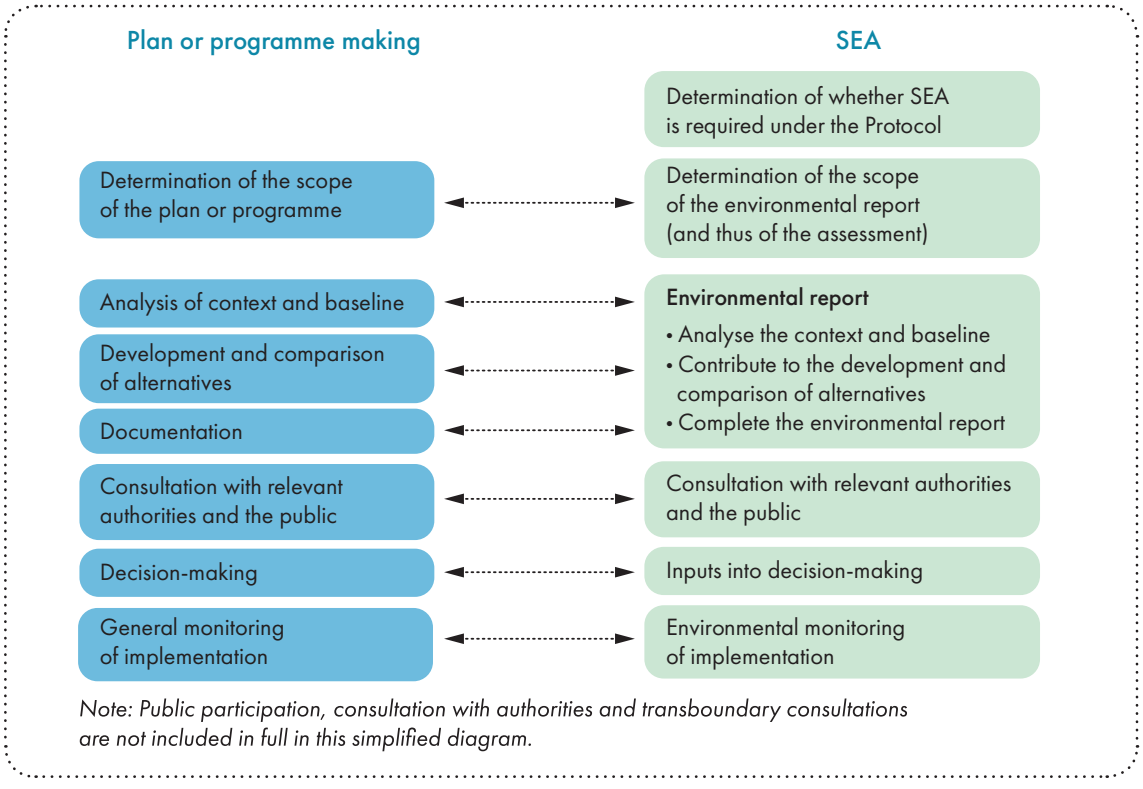
The goal of integrating SEA into plan- or programme-making is to provide early and effective inputs and to ensure that environmental, health and sustainability considerations are taken into account in the development of plans or programmes (Article 1a of the Protocol on SEA) and preparation of policies and legislation (Article 1b of the Protocol on SEA). Other practical reasons for integrating SEA into plan- or programme-making are detailed in the UNECE Resource Manual (2012).

In practice, the possibilities for and approaches to integration will depend on the logic, tasks and formal stages in the plan- or programme-making process and SEA. The generic stages and tasks for bother processes are outlined below.

1.2.2. Typical tasks of plan- or programme-making

Plan- or programme-making is usually an iterative process involving the following tasks (UNECE 2012) (refer to the left-hand part of **Figure 2** below):

- The **scope of the plan or programme** is normally clarified during initiation, when the expected nature of the plan or programme, its broad objectives and the issues to be addressed are determined.
- The **analysis of the context and baseline** usually includes the review of the existing environmental and socio-economic conditions, current development trends, constraints and opportunities for future development, and other specific issues that should be taken into account and addressed in the plan or programme.
- The formulation **and comparison of alternatives** of the plan or programme often takes place through consideration of optional objectives of the plan or programme, optional priorities proposed in the plan or programme, options for activities proposed to implement these objectives or options for implementation arrangements.
- **Documentation**, i.e., the preparation of an environmental report or SEA report, which may include defining the roles and responsibilities for implementation of the plan or programme and designing monitoring arrangements.
- **Consultation** with the relevant authorities and the public (including transboundary consultations for plan or programmes that may have transboundary effects).
- The draft plan or programme is then finalized for **decision-making**.
- **Monitoring** of implementation.



Note: Public participation, consultation with authorities and transboundary consultations are not included in full in this simplified diagram.

Figure 2: Logical links between plan- and programme-making tasks and SEA elements (partially integrated mode)

These tasks are illustrative and may occur not as distinct steps, but be merged or further split based on the logic of the specific plan- or programme-making process and its formal procedural stages.

1.2.3. Generic SEA process stages

Although each SEA process should be unique and tailored to the specifics of its subject plan or programme, there are several common analytical stages, which are typically performed within the SEA process, namely:

- Screening (determining if SEA is required to be applied to the certain plan or programme);
- Scoping (setting the scope for the SEA, including a work-plan);
- Baseline analysis (analysis of the context, existing conditions and trends);
- Impact evaluation, including alternatives, and formulation of mitigation measures (including monitoring);
- Compiling the SEA report (or 'Environmental Report' as per the Protocol on SEA);
- Quality control of the SEA report,
- Inputs into decision-making; and
- Environmental monitoring of implementation.

The above analytical stages are consistent with the requirements of the Protocol and form part of the administrative procedural SEA steps as per the Protocol, as shown in the right-hand side of **Figure 2** above.

Alongside the above stages, SEA should ensure consultations with relevant environmental and health authorities, and the public. At the end, the conclusions and recommendations provided by the SEA, together with the comments from the relevant authorities and the public need to be considered in decision-making (i.e. the approval of the plan or programme).

1.2.4. Integration modes and their strengths and weaknesses

The extent of the integration of SEA into plan- and programme-making can vary. The UNECE Resource Manual (2012), as well as the professional SEA literature, describes three basic integration modes as shown below (**Table 5**).

Table 5: SEA and plan or programme integration modes with corresponding strengths and weaknesses

SEA and plan / programme integration mode	Strengths	Weaknesses
SEA and plan or programme-making are independent processes; SEA is applied to the draft plan or programme document just before the consent decision is given	• Incorporation of SEA recommendations in the final plan or programme	• SEA does not influence the development of the plan or programme. • Duplication of effort • Duplication in the commenting/consultation process • Significantly delays the plan or programme-making process. • Non-compliant with the Protocol on SEA and SEA Directive
SEA and plan or programme-making are partially integrated and run as parallel processes that logically connect at various core stages. This mode is depicted in Figure 2.	• Reduces delays • Saves resources (joint data collection, joint consultations with authorities and the public) • Early consideration of different viewpoints • Compliant with the Protocol on SEA and SEA Directive	• Increases demands on the SEA team in terms of following the planning process • Need for strong coordination between SEA and planning team • Need to adapt SEA work-plan to any changes in the plan- or programme-making process
SEA and plan or programme-making are fully integrated (SEA experts and planning experts work together as one team that develops the plan or programme)	• As above (for the partially integrated mode) • Builds trust between stakeholders that may normally have different attitudes and values • Compliant with the Protocol on SEA and SEA Directive	• SEA experts in the overall plan- or programme-making team may become fully co-opted in the planning process, or may be marginalized • Teamwork may result in internal agreements and trade-offs that are not transparent to outside stakeholders

There is no single best approach to linking SEA with plan- or programme-making. However, it has been demonstrated that the SEAs that are separated from planning tend to be less effective and are unlikely to provide a sufficient basis for complying with the Protocol on SEA. Partial or full integration of SEAs into plan- or programme-making seems to offer suitable frameworks for application of the Protocol. The choice of approach depends on the specific conditions in each plan- or programme-making process. Sometimes partial integration would be more effective than full integration; on other occasions the reverse may be true (UNECE 2012). For example, in higher-level (strategy or policy) situations, SEA and planning may be fully integrated, while in plan situations, a partial integration approach may be preferable, particularly in the interest of a balanced view on the various assessment aspects and transparency (Fischer 2007).

1.3. Exercise: integrating SEA and plan- or programme-making processes

1.3.1. Option 1. Integrate the SEA process into the development of a plan or programme example from your country

Option 1 implies that the participants should be aware of the certain plan or programme-making process. If the participants are a mixed group with different backgrounds, the trainer separates those who are familiar with the planning procedure (e.g., representatives of Ministries) and proposes that they proceed with Option 1. The second group will proceed with Option 2 below.

The trainer advises the participants to save the results of their work on the below exercises, as these will serve as the basis for the exercise devoted to stakeholder engagement and consultations.

Necessary materials:

Assignment for the groups (which can be presented as a slide on the screen or in the hand-out), markers, paper, flipchart, and an A4 paper hand-out. An example hand-out (Hand-out 2.A.) is provided in Annex 2.

1.3.2. Option 2. Integrate the SEA process into the development of a 5-year Local Transport Plan

For Option 2 the description of a certain plan or programme-making process should be provided to the participants. This Manual provides a case of a 5-year Local Transport Plan from England as an example.

Necessary materials:

Assignment for the groups (can be presented as a slide on the screen), markers, paper, flipchart, and an A4 paper hand-out. An example hand-out (Hand-out 2.B.) can be found in Annex 2.

1.4. Presenting and discussing the group work outputs

The trainer may wish to follow the order of the questions from the assignment:

- How would you link your SEA and the plan or programme-making process and why?
- What kind of obstacles to the integration might you encounter?
- Is your integration proposal similar to any of the integration modes discussed above in the Manual?

The trainer invites one representative (volunteer) from each group to reply to the first question and to explain the reasons of selecting a certain integration mode. The trainer should keep records on the on a flip-chart or a whiteboard (blackboard).

The trainer proceeds to questions 2 and 3 by inviting one representative (volunteer) from each group to reply to them. The trainer compare the results of the groups according to the exercise options chosen earlier (Option 1 groups and Option 2 groups, respectively), and records the named obstacles on the on a flip-chart or a whiteboard (or blackboard).

The trainer can also ask additional questions such as:

- What kind of solutions would you propose to overcome the obstacles to the integration you have identified during the exercise?

1.5. Reflection block

After the completion of the discussion the trainer should carry out a joint reflection session (10-15 minutes). For this, the trainer invites the participants to look at the results that they have produced together, and asks them:

- What ideas did you have during this exercise?
- In your opinion, what are the most important messages of the session?
- How would you suggest improving the effectiveness of this session?

The trainer invites volunteering participants to respond to all the above questions.

1.6. Teaching tips

1.6.1. Specific techniques / approach

The general methods that can be used for this session are described in Part 2. More specific tips and proposed techniques are outlined in **Table 6**.

Table 6: Proposed specific techniques and teaching tips per element of the session

Elements of the session	Method to use	Specific techniques and teaching tips
Introduction to the session	Brief information from the trainer	Use PowerPoint slides as needed
How to integrate SEA process into the plan- or programme-making	Interactive lecture supported with Power Point Presentation	Open each new topic with the questions that will evoke thinking and discussion for some 2–3 minutes. E.g., • Why do you think it is important to integrate SEA into the plan or programme-making processes? • What could be the steps in the planning process, in your opinion? • What could be the key steps in the SEA process? First ask the question, then collect the opinion of the participants and show the respective slide.
Integrating SEA and plan- or programme-making processes	Work in small groups (4–6 persons)	Prepare hand-outs and background materials, e.g. as suggested above
Presenting and discussing outputs	Presentations and discussion in a large group	Group reporters present their group work outputs one by one (not more than 2 minutes each). The representatives of other groups are invited to provide comments and ask questions.
Reflection block	Discussion in a large group	Invite participants to respond to the questions, present issues and summarize their thoughts and opinions using either the 'microphone' method or a big-circle discussion. The discussion continues until all the volunteers have expressed their thoughts.

1.6.2. Proposed structure of the presentation

The trainer can prepare a presentation based on the above theoretical background materials and additional reference sources, as necessary (refer to the end of the Module). The following structure can be used as an indicative guide for the format and content of the presentation:

- Reasons for integrating SEA into plan or programme making (1–2 slides) — explain why the integration is important, what are its purposes;
- Legal framework (1 – 2 slides) – describe the legal requirements stipulated by the national legislation regarding the integration of SEA into the planning process. If there are no relevant provisions in the national legal framework yet, make a reference to the Protocol on SEA and the EU SEA Directives;
- Typical tasks and steps of plan- or programme-making (1 – 2 slides) – use the relevant illustration material from the UNECE Resource Manual or other reference sources listed at the end of this Module;
- Generic SEA process (1 – 2 slides) – present the SEA procedural steps and, if applicable make reference to the SEA steps as stipulated in the national legislation; use the relevant illustration material from the UNECE Resource Manual or other reference sources listed at the end of this Module;

- Integration modes (3 slides) – present the main three integration modes and approaches (one per slide) preferably using less words on slides and more graphics (i.e., the relevant illustration material from the UNECE Resource Manual or other reference sources listed at the end of this Module);
- How to identify links between SEA and plan- and programme-making (1 slide) – provide practical advice on how to find entry points for SEA into the plan- and programme-making process; use the information from the UNECE Resource Manual or other reference sources listed at the end of this Module);
- Exercise and discussion (1 – 2 slides) – prepare the assignment for the exercise on the slide(s). You may use the examples provided above or prepare your own exercise;
- Reflection block (1 slide) – elaborate on questions for reflective discussion. You may use the questions provided above and/or develop additional ones to reflect the integration practice or desired integration approaches for your country.

An example of a similar presentation is provided among the supporting documents to this Manual (refer to 'Integrating SEA in planning.pptx').

1.7. Recommended reference sources

Reference source	Relevant chapter(s)
UNECE. 2012. Resource Manual to Support Application of the Protocol on Strategic Environmental Assessment. (http://www.unece.org/index.php?id=27379)	Chapter A2 Integration of SEA into plan and programme making
Partidario, M.R. (undated), Strategic Environmental Assessment (SEA): Current Practices, Future Demands and Capacity-building Needs, IAIA training course manual. (http://www.iaia.org/pdf/EIA/SEA/SEAManual.pdf).	6. International experience with SEA — procedural models and approaches
Regional Environmental Center for Central and Eastern Europe (REC). 2007. Strategic Environmental Assessment Training Manual for South Eastern Europe.	Module 4: Approaches to SEA

TEACHING MODULE 3. HOW TO CONDUCT SEA

This Teaching Module is split into several Topics as follows:

- Topic 1. Scope of SEA application and screening;
- Topic 2. Scoping;
- Topic 3. Baseline analysis;
- Topic 4. Evaluation of effects and formulation of mitigation measures (including alternatives);
- Topic 5. Preparation of SEA report;
- Topic 6. Quality assurance / quality control;
- Topic 7. Monitoring;
- Topic 8. Consultations with environmental and health authorities and public participation; and
- Topic 9. SEA and decision-making.

Each Topic is discussed in the sections that follow.

TOPIC 1. SCOPE OF THE SEA APPLICATION AND SCREENING

1.1. Introduction to the session

The trainer should present the goal and objectives (which could be presented as expected outcomes) of this session, as well as topics to be discussed, and familiarize participants with the structure of the session, as proposed in **Table 7**. The expected duration of the session is 90–120 minutes.

Table 7: Proposed plan for the session

Number of the element of the session	Elements of the session	Method to use	Time
1.1.	Introduction to the session	Brief information from the trainer	5 min
1.2.	What is screening in SEA, why and how to conduct it?	Interactive lecture supported by a Power Point presentation	20–30 min
1.3.	Case examples	Brief information from the trainer, supported by a Power Point presentation	5–10 min
1.4.	Exercise: Determining if SEA is needed	Work in small groups	20–30 min
1.5.	Presenting and discussing group work outputs	Presentations and discussion in a large group	20–25 min
1.6.	Reflection block	Discussion in a large group	10–20 min

The below goal and objectives should be adjusted to the needs of the target group to be invited to the national trainings.

The goal of this teaching session is to understand the need for and essence of screening in SEA. After the training the participants will be able to:

- Discuss why screening is needed and important;
- Explain when screening should take place;
- Outline the key criteria for screening;
- Apply the screening provisions of the Protocol on SEA; and
- Explain which strategic planning documents are exempt from SEA.

The below sub-sections present the indicative material that can be used by the trainers to prepare their own presentations on the screening procedure. Additional reference sources are provided at the end of this Topic.

1.2. Screening: theoretical background

1.2.1. What is screening in SEA and why it is needed

The aim of the screening procedure is to identify if SEA needs to be applied for a specific plan or programme.

Many human activities may cause environmental and health impacts. However, SEA is supposed to address mainly significant effects. Thus, the screening identifies whether SEA needs to be applied for a specific plan or programme. Screening is very important for the efficiency of the entire SEA system. A well-defined screening procedure focuses resources upon those plans and programmes that might potentially lead to significant environmental and health effects, and excludes those plans or programmes with only minor (or without) environmental and health consequences from the SEA systems.

The Protocol on SEA defines the field of application of SEA concerning plans and programmes in its Article 4 and criteria to determine likely significant environmental and health effects to be applied in screening in its Article 5.1, and Annex III (see details below).

1.2.2. How to conduct screening: approach and method

There are various approaches to be used for conducting the screening. Often the screening is based on a list of criteria, which would help identify if a certain plan or programme should be subject to SEA. In many SEA systems, the screening additionally involves consultations with relevant environmental and health authorities (which is a requirement under the Protocol on SEA). At times, the screening is conducted directly by the competent authority for SEA based on the information (e.g., 'application' or 'notification') submitted by the planning agency.

To determine whether SEA is required under the Protocol on SEA, it is necessary to first determine whether the plan or programme falls within the Protocol's definition of a plan or programme. Plans and programmes must be both "required by legislative, regulatory or administrative provisions" and "subject to preparation and/or adoption by an authority or prepared by an authority for adoption, through a formal procedure, by a parliament or a government".

Second, it is necessary to determine if a plan or programme is within the Protocol's field of application, considering a set of criteria in article 4, paragraph 2, and annexes I and II. In addition, a SEA is required also for plans and programmes other than those subject to paragraph 2, which set the framework for future development content if it is so determined by screening (art. 4, para. 3). However, if the plan or programme referred to in paragraph 2 determines the use of a small area at a local level, or is a minor modification to a plan or programme, a SEA will be required only if it so determined by screening.

The UNECE Resource Manual contains a flow chart for determining whether a particular plan or programme is subject to a SEA (Figure 3). It asks nine questions that are set out in the Protocol's field of application (art. 2, para. 5, and art. 4). A tenth question (determination of significant effects, art. 5) may be necessary to determine whether a plan or programme is subject to SEA through screening. The UNECE Resource Manual also elaborates on each question from the flow chart.

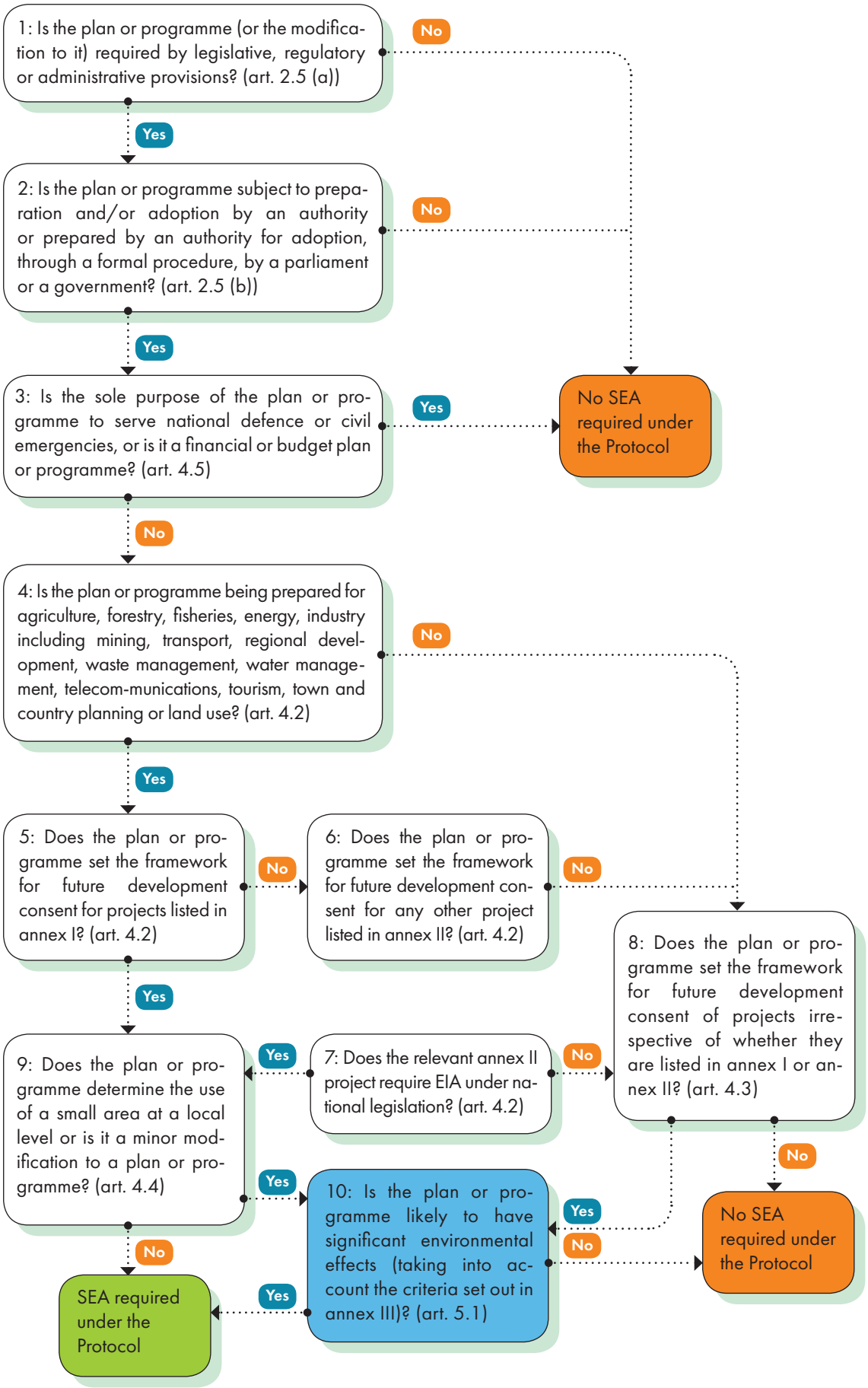


Figure 3: Flow-chart to help determine if the plan or programme is subject to SEA

The EU SEA Directive's requirements for screening are quite similar to those in the Protocol on SEA. The major criteria to be considered when conducting the screening of plans and programmes as per the EU SEA Directive can be formulated as shown in **Table 8**.

Table 8: SEA Screening as per the EU SEA Directive

Test Question	Rational
Is the plan or programme subject to preparation and/or adoption by an authority at national, regional or local level, or is it prepared by an authority for adoption through a legislative procedure by Parliament or Government, and is it required by legislative, regulatory or administrative provisions?	Only those plans and programmes should be considered as a subject of SEA. SEA should not be applied for ad-hoc documents, which are not formalized through the legal decisions or approval by a governmental authority.
Is the plan or programme prepared for agriculture, forestry, fisheries, energy, industry, transport, waste management, water management, telecommunications, tourism, town and country planning or land use?	The EU SEA Directive lists these sectors as the most important for strategic planning with potential significant environmental and health impacts.
Does the plan or programme set the framework for future development consent of projects, which may require EIA?	If the plan or programme implementation includes implementation of projects requiring the EIA, then the significant impacts can be expected and SEA should be carried out.
Can impacts on Natura 2000 sites be expected?	If an Appropriate Assessment in accordance with the Articles 6 or 7 of the Directive 92/43/EEC is required, the full SEA should be applied.

For the plans and programmes, which determine the use of small areas at local level and minor modifications to plans and programmes, SEA should only be required if they are likely to have significant environmental or health effects. To determine the significance of the likely impacts, criteria listed in Annex II of the EU SEA Directive can be used.

1.2.3. Strategic planning documents that are exempt from SEA

According to both the Protocol on SEA and EU SEA Directive, plans and programmes whose sole purpose is national defence or civil emergencies are not subject to SEA, nor are financial or budget plans or programmes.

1.3. Case examples

The trainer can use case examples to illustrate the screening procedure to the training participants. Examples can be prepared using the cases either from the trainer's own country, EU countries (refer to the resources on the UNECE page at http://www.unece.org/env/eia/sea_manual/links.html) or any other country as a PowerPoint presentation to be demonstrated during the national trainings. A case example from the Czech Republic in the PowerPoint format is available among the supporting documents to this Manual (refer to 'Screening Czech Republic.pptx').

1.4. Exercise: Determining if SEA is required

The trainer should prepare two SEA case studies for this exercise following the format of the example set out below, as well as the necessary materials. The trainer may wish to use cases from his/her own country or any other country.

If time permits, each work group can work on both SEA cases below; however, if insufficient time is available, the trainer may wish to instruct the groups to work on either one or another SEA case. The task below is formulated assuming that sufficient time is available to consider both SEA cases.

Necessary materials:

Assignment for the groups (which can be presented as a slide on the screen or in the hand-out), markers, paper, flipchart, and an A4 paper hand-out. The task and cases are provided in Hand-out 3.1. in Annex 3.

Task: Determine if a SEA is needed for the example plans and programmes and justify your decision. Use criteria stipulated by your national legislation, the above flow-chart from the UNECE Resource Manual, or by the EU SEA Directive (see the table above).

In addition, answer the following questions:

- Is the information available sufficient for screening?
- If not, what additional information would you need?
- What screening criteria or questions did you use?

SEA CASE 1: Amendments to a Municipal Spatial Plan of Tarukai Municipality

The process of amending the Tarukai Municipality spatial plan has been initiated by a group of landowners, who submitted the request to the municipal council. The proposed amendments would change the functional use of a total of 15,000 m^2 of the land from grassland to a housing area. The landowners aim to build 10 family houses in the area for their own living.

The site borders with the urban area of the municipality to the south, agricultural land to the east and west, and forest to the north. The road connecting the houses with the main road, the electricity network, sewage and water supply systems will be a part of the project.

SEA CASE 2: The National Energy Strategy

The Ministry of Energy is initiating the preparation of the national energy strategy. The strategy will define the energy priorities in the country, primarily the energy mix and the domestic energy demand by 2030. The strategy will address all energy sources that can be realistically utilized in the country.

1.5. Presenting and discussing the group work outputs

The trainer invites the participants to share the outputs of their work in groups.

Following this, he/she asks them to reflect on the three questions from the assignment above.

The trainer invites one representative (volunteer) from each group to reply to each question and keeps records on the flip-chart or a whiteboard (blackboard). Thus, each group will present their outputs according to the questions, one by one. The trainer invites other groups to listen, comment and supplement the answers. Additionally, he/she asks the volunteer reporter(s) from each group to highlight points in which they agree or disagree with other groups.

The trainer can ask additional questions such as:

- What are the criteria to be used for screening?
- What information and data need to be provided to conduct screening? Are these usually available?
- Is there a clear procedure for SEA screening in your country?
- Should environmental and health authorities be involved in screening? If so, how should their opinions be considered?
- What are the main challenges regarding the screening procedure in your country and how these can be addressed?

1.6. Reflection block

After the exercise the trainer should carry out a joint reflection session. He/she invites the participants to look at the results that they have produced together and asks them 2-3 of the following questions, depending on the time available:

- What other ideas did you have during this exercise?
- In your opinion, what are the most important messages of this session?
- What would you suggest to improve the effectiveness of the session?

The trainer invites the volunteering participants to respond to the above questions in turn.

1.7. Teaching tips

1.7.1. Specific techniques / approaches

The general methods that can be used for this session are described in Part 2. More specific tips and proposed techniques are outlined in **Table 9**.

Table 9: Proposed specific techniques and teaching tips per element of the session

Elements of the session	Method to use	Specific techniques and teaching tips
Introduction to the session	Brief information from the trainer	Use PowerPoint slides as needed
What is screening in SEA? Why and how to conduct it?	Interactive lecture supported by a PowerPoint presentation	Open each new topic with the questions that will evoke thinking and discussion for some 2–3 minutes. E.g., • Have you heard about the term 'screening'? If so, in what context and meaning? • In your understanding, what could screening in SEA be about? • Should any plan or programme be exempt from SEA? If yes, what kind(s) of plans or programmes? First ask the question, then collect the opinions of the participants, and then show the respective slide(s).

Table 9: Proposed specific techniques and teaching tips per element of the session

Elements of the session	Method to use	Specific techniques and teaching tips
Case examples	Brief information from the trainer	Ask the participants to comment on: • What was the key message, in your opinion? • Were the cases informative?
Exercise: Determining if SEA is needed	Work in small groups (4–6 persons)	Prepare hand-outs and background materials, e.g. as suggested above
Presenting and discussing outputs	Presentations and discussion in a large group	Each group's reporter presents the group work outputs, one by one (no more than 2 minutes each).
Reflection block	Discussion in a large group	Invite participants to respond to the questions, present any issues and summarize their thoughts and opinions using either the 'microphone' method or a big-circle discussion. The discussion continues until all the volunteers have expressed their thoughts.

1.7.2. Proposed structure of the presentation

The trainer can prepare a presentation based on the above theoretical background materials and additional reference sources, as necessary (refer to the end of the Topic). The following structure can be used as an indicative guide for the format and content of the presentation:

- Aim and rationale (1–2 slides) — describe why screening is important and why the screening procedure needs to be properly designed and applied;
- Legal framework (2 – 3 slides) – describe the legal requirements stipulated by the national legislation regarding the screening procedure. If there are no relevant provisions in the national legal framework yet, make a reference to the Protocol on SEA and the EU SEA Directive;
- Approaches and tools (3–5 slides) — describe the approach to screening in your country. Start with the procedure (e.g., who initiates the screening, which agency decides about the necessity of SEA, if there are any consultations required) and then provide criteria for determining a need for SEA.
- Case study (2–3 slides) — describe one or two SEA screening cases, preferably from your country, providing information on the plan and programme which was a subject of the screening, the criteria applied and the final decision.
- Exercise and discussion (1–2 slides) – prepare the assignment for the exercise on the slide(s). You may use the examples provided above or prepare your own exercise, e.g., a short description of real cases from your country.
- Reflection block (1 slide) — elaborate on questions for reflective discussion. You may use the questions provided above and/or develop additional ones on the outputs of the session.
- Slides that can be used to prepare a presentation on screening are provided among the supporting documents to this Manual (refer to 'Screening.pptx' and to 'Screening Czech Republic.pptx' for the case example).

1.8. Recommended reference sources

Reference source	Relevant chapter(s)
UNECE. 2012. Resource Manual to Support Application of the Protocol on Strategic Environmental Assessment. (http://www.unece.org/index.php?id=27379)	Chapter A3 Determining whether plans and programmes require SEA under the Protocol
JASPERS. 2013. Joint Assistance to Support Projects in European Regions. Practical guidance on the SEA and EIA Directives training. Key elements.	I. Recommendation on key elements that should be included in SEA training
ODPM. 2005. A Practical Guide to Strategic Environmental Assessment Directive. Practical guidance on applying European Directive 2001/42/EC 'on the assessment of the effects of certain plans and programs on the environment'. Office of the Deputy Prime Minister, London. (https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/7657/practicalguidesea.pdf)	2. Background and Context

TOPIC 2. SCOPING

1.1. Introduction to the session

The trainer should present the goal and objectives (which could be presented as expected outcomes) of this session, as well as topics to be discussed, and familiarize participants with the structure of the session, as proposed in the table below. The expected duration of the session is 90-120 minutes.

Table 10: Proposed plan for the session

Number of the element of the session	Elements of the session	Method to use	Time
1.1.	Introduction to the session	Brief information from the trainer	5 min
1.2.	What is scoping in SEA, why and how to conduct it?	Interactive lecture supported by a Power Point Presentation	20–30 min
1.3.	Practical advice	Discussion in small groups	10–15 min
1.4.	Case examples	Brief information from the trainer and reflection by the participants	5–10 min
1.5.	Exercise: Identification of the key environmental and health issues	Work in small groups	30–40 min
1.6.	Presenting and discussing group work outputs	Presentations and discussion in a large group	20–25 min
1.7.	Reflection block	Discussion in a large group	10–20 min

The below goal and objectives should be adjusted to the needs of the target group to be invited to the trainings.

The goal of this teaching session is to understand the need for and essence of scoping in SEA. After the training the participants will be able to:

- Understand the need for and importance of scoping;
- Coordinate and manage the scoping procedure;
- Outline the key activities that are undertaken during scoping;
- Explain what the key outputs of the scoping stage are;
- Define the scope of SEA, and
- Identify and make a list of the key environmental and health issues.

The below sub-sections present the indicative material that can be used by the trainers to prepare their own presentations on SEA scoping. Additional reference sources are provided at the end of this Topic.

1.2. Scoping: theoretical background

1.2.1. What scoping in SEA is and why it is needed

Scoping is the first element in the SEA process. It defines the information content in terms of both the topics to be considered and the depth or detail of the information to be presented on each topic. The issues identified in the scoping will guide the evaluation of the environmental baseline, the assessment of the likely effects and consideration of possible alternatives or options. Therefore, the scoping procedure is a key step for an effective SEA, as a well-defined scope of the assessment enables the SEA to focus on the key problems and thus minimizes financial, time and human resources.

Thus, the overall aim of scoping is to ensure that the SEA report is correctly focused and provides enough relevant information on what really matters.

The Protocol on SEA stipulates requirements regarding the scoping in its Article 6.

1.2.2. Activities undertaken during scoping

Scoping should preliminary outline:

- Information content in terms of both the relevant topics to be considered and the depth or detail of the information;
- Possible alternatives or options which should be addressed within the SEA;
- Territorial dimensions of the likely effects;
- Analyses and surveys to be conducted during the SEA;
- Methods and tools to be used, as well as sources of relevant data;
- Stakeholders to be involved (including environmental and health authorities as well as public);
- The level and nature of stakeholder involvement in the SEA process procedure and participatory approaches and methods; and
- SEA work-plan and time-scale taking into account the available resources.

The Protocol on SEA stipulates that the Parties should adopt the necessary arrangements for the determination of the relevant information to be included in an environmental report (i.e. the determination of the scope of assessment).

Neither the Protocol on SEA nor the EU SEA Directive requires the preparation of a SEA scoping report; however, the practice shows that scoping reports provide a useful basis for consultations at the scoping stage. The Protocol on SEA furthermore stipulates that environmental and health authorities must be consulted during scoping (Art. 6.2), and the public should be provided with opportunities to participate (Art. 6.3).

The output of the scoping stage can be also understood as the detailed Terms of Reference for further analyses and the SEA report.

1.2.3. How to conduct scoping

Determining the relevant topics to be addressed in the SEA can involve various methods and approaches. For an overview of the basic analytical tools used for scoping, refer, for instance, to Chapter A5 of the UNECE Resource Manual (2012). However, it might start from the list of general environmental and health themes. This list can be guided by relevant legislation (e.g. a legal framework for environmental protection can be used to define the environmental components, or the relevant annexes of the EU SEA Directive could be used as well). For each theme the specific issues should be identified, which are relevant to the plan or programme being assessed together with describing the territorial scope. Scoping then normally moves from a long list of concerns to a short list of potentially significant issues. In this context, it also needs to be pointed out that in practice the scoping is closely linked to baseline analysis (see Module 3, Topic 3). Defining the scope of the assessment is often followed by a baseline analysis that leads to more precise identification of the key issues and problems.

For SEA, especially in the case of development strategies, it is also beneficial to identify existing objectives relevant to the key issues, which are stipulated by strategic or legal documents (e.g. a national environmental policy, international treaties, etc.). It will help (i) to identify linkages between the proposed plan or programme and other strategic documents, (ii) substantiate selection of the key issues. If there are objectives stipulated by an approved formal document, it means that it is generally significant and thus reasonable to be addressed in SEA. This analysis can start with the identification of a comprehensive list of all existing objectives, the most relevant ones can be selected later in the process. The results can be summarized in the form of a table, as proposed below (**Table 11**).

As mentioned above, the scoping results will determine the focus of the entire SEA, and therefore it is highly recommended to conduct consultations with relevant stakeholders at this stage (including environmental and health authorities and the public). The inputs from consultations will help to achieve consensus in the early stage of SEA on what the scope of the assessment should be.

The scoping results can be summarized in the scoping report. In many countries the information to be included in the scoping report are stipulated in relevant SEA legislation. In some countries, the SEA regulations require the responsible environmental and health authorities to review the scoping reports and to issue a Scoping Opinion or Scoping Statement (see Annex 10).

Table 11: Summary of key issues and relevant SEA objectives by SEA topic or theme

General themes to be considered in SEA	Key specific issues related to plan or programme	Relevant objectives
Air	• PM10, NOx • Air pollution from transport or energy production • Air pollution from local sources	• Improve air quality in the region, especially in towns and cities • Reduce adverse health impacts from transport (especially caused by noise and air emissions)
Water	• Water pollution from agriculture • Drinking water supply • Water demand for irrigation • Floods	• Provide sufficient protection against floods • Improve management of irrigation water demands based on agricultural practice • Protect water resources from pollution caused by agriculture and industry
Waste management	• Household wastes • Industrial and other wastes	• Increase ratio of household wastes separation • Increase utilization and reuse of industrial wastes • Introduce the best available techniques for hazardous waste management
Soil	• Soil pollution from agriculture • Water erosion	• Reduce currently excessive use of agriculture land and greenfields for urban development and economic activities (industrial sites, shopping centres) • Reduce soil erosion and soil pollution from agricultural activities
....		

Practical advice

- When identifying relevant objectives in SEA scoping, it is important to consider plans and programmes at the same level as the plan or programme being assessed (e.g. a regional sectoral development programme, if the SEA is dealing with a regional spatial plan), as well as at levels above (e.g. national policies and programmes, if the SEA is dealing with a regional spatial plan) in order to address both horizontal and vertical linkages.
- The list of the key issues needs to be kept flexible and open. New data and information might appear later in the SEA indicating that some other issues should be included in consideration. On the other hand, some problems might turn out not to be as serious as previously anticipated, and thus can be excluded from the list.
- Do not be afraid to suggest alternatives. It is better to address alternative solutions from the beginning of the SEA process rather than face additional requests at the final stages of the assessment.
- Remember to address health related issues. Even though it is called "environmental" assessment, health is an inseparable component, which has to be addressed in SEA, in accordance with the Protocol on SEA. Moreover, it is good practice to also address the likely social effects of a plan or programme (e.g. resettlement, loss of jobs, etc.).
- Optimally, the scope of SEA should be collectively agreed upon by the planning team, the SEA competent authority and all relevant stakeholders. However, no issue should be excluded from the SEA due to a disagreement with one of the stakeholders. There is still an opportunity to modify or reduce the list of key issues later in the SEA process.
- The consultations in scoping can be undertaken in the form of informal workshops and/or a series of small meetings with selected authorities and other stakeholders.

1.4. Case examples

It is helpful to use case examples to illustrate the key features or functions of scoping to the training participants. Examples can be prepared using the cases from either the trainer's own country, EU countries (refer to the resources on the UNECE page at http://www.unece.org/env/eia/sea_manual/links.html) or any other country. The trainer can present these in a PowerPoint or use the case example of the SEA scoping for the National Transport Strategy in the Czech Republic (a PowerPoint presentation is available among the supporting documents to this Manual; refer to 'Scoping SEA Czech Transport Strategy.pptx').

The trainer should ask the participants if this case is effective in illustrating the scoping stage.

1.5. Exercise: Identification of key environmental and health issues

Two options can be proposed within this exercise. Option 1 is intended for participants who have participated in at least one SEA, conducted either in their home countries or elsewhere. Option 2 is aimed at those who do not have practical SEA experience. If the participants of the training have different backgrounds ranging from those who do not have experience with SEA to those who have participated in one or more SEAs, the groups should be formed based on the extent of their experience in SEA to join either the Option 1 or Option 2 exercise.

1.5.1. Option 1. Identification of key environmental and health issues for the SEA you have participated in (in your country or elsewhere)

This Option 1 is for the participants who have participated in at least one SEA, conducted either in their home countries or elsewhere.

Necessary materials:

Assignment for the groups (can be presented as a slide on the screen or in the hand-out), markers, paper, flipchart, and an A4 paper hand-out. An example hand-out (Hand-out 3.2.A.) is provided in Annex 4.

Assignment: Recall any SEA case you participated in and provide a description of it, containing the following information:

- Title of the plan or programme that was subject to your SEA case (a short name will suffice);
- Duration and geographical coverage of the programme or plan; and
- Key problems that that plan or programme intended to resolve.

Following this, identify the key environmental and health themes and then issues relevant to your plan or programme, as well as suggest which environmental and health concerns can be excluded from further assessment (if any). You can use the table provided in the hand-out to structure and summarize your outputs.

If time permits, you may also:

- Determine whom to consult during scoping and how; and
- Define the temporal boundaries of each particular issue, how far into the future to look when examining the positive and negative impacts of the

plan or programme on these issues: short-term (e.g. term of the current government), mid-term (7–10 years) or long-term (over 10 years).

- Define the geographical boundaries of each particular issue — i.e. the territorial scope of the likely impacts and/or where the sensitive areas are located.

1.5.2. Option 2. Identification of key environmental and health issues for the provided SEA

Option 2 does not require the participants to have previous experience in SEA application. The trainer prepares a SEA case study for this exercise following the format of the example set out below, as well as the necessary materials. The trainer may wish to use the cases from his/her own country or any other country for the trainings.

Necessary materials:

Assignment for the groups (which can be presented as a slide on the screen or in the hand-out), markers, paper, flipchart, and an A4 paper hand-out. The task and cases are also provided in Hand-out 3.2.B. in Annex 4.

Assignment:

SEA CASE: The National Energy Strategy

The Ministry of Energy has initiated preparation of the National Energy Strategy. The Strategy will define the energy priorities of the country, primarily the energy mix and the domestic energy demand by 2030. The strategy will address all energy sources that can be realistically utilized in the country. In addition, the SEA for the National Energy Strategy has been launched. However, because the SEA is being conducted concurrently with the planning process, you do not have at this stage any information about the proposed actions in the Strategy. You have only been informed that the Strategy will address the following issues:

- Energy efficiency
- Alternative energy sources
- Energy market reform
- Energy security
- Energy transmission infrastructure
- Emissions reduction

You need to identify the key environmental and health issues relevant to the Strategy as well as suggest which environmental and health concerns can be excluded from further assessment (if any). You can use the table provided in the hand-out to structure and summarize your outputs.

If time permits, you may also:

- Determine whom to consult during scoping and how;
- Define the temporal boundaries of each particular issue, i.e. how far into the future to look when examining the positive and negative impacts of the plan or programme on these issues: short-term (e.g. term of the current government), mid-term (7–10 years) or long-term (over 10 years).
- Define the geographical boundaries of each particular issue, i.e. the territorial scope of the likely impacts and/or where the sensitive areas are located.

1.6. Presenting and discussing the group work outputs

The trainer invites the participants to share the outputs of their work in groups.

Following this, he/she asks them to reflect on the two questions from the assignment regarding the consultations and temporal boundaries, as presented above.

One representative (volunteer) from each group is invited to reply to each question, and another to comment and/or supplement. The trainer keeps records on the flip-chart or a whiteboard (or blackboard).

1.7. Reflection block

After discussing the outputs of the group work, the trainer should hold a joint reflection session. He/she invites the participants to look at the results that have been produced together and asks them 2-3 of the following questions:

- Is there a clear procedure for SEA scoping in your country? If so, please describe the administrative steps.
- Is there any guidance in your country for the identification of the key issues to be addressed in SEA?
- Should environmental and health authorities be involved in scoping? If so, should their opinions be considered?
- What are the main challenges regarding the scoping in your country and how these can be addressed?
- What ideas did you have during this exercise?
- In your opinion, what are the most important messages of this session?

The trainer invites volunteers from the participants to respond to the above questions in turn.

1.8. Teaching tips

1.8.1. Specific techniques / approaches

The general methods that can be used for this session are described in Part II of this Manual. More specific tips and proposed techniques are outlined in **Table 12**.

Table 12: Proposed specific techniques and teaching tips per element of the session

Elements of the session	Method to use	Specific techniques and teaching tips
Introduction to the session	Brief information from the trainer	Use PowerPoint slides as needed
What is scoping in SEA, why and how to conduct it?	Interactive lecture supported by a PowerPoint presentation	Open each new topic with the questions that will evoke thinking and discussion for some 2–3 minutes. E.g., • Do you have any experience with scoping in SEA? If so, please describe your experience. • Do you think scoping is an important procedure? If so, why? • What do you think can be the purpose of scoping? • What is, in your opinion, the most important activity to be undertaken as part of scoping? First ask the question, then collect the opinions of the participants and show the respective slide(s).
Practical advice		Split into small groups, provide a hand-out with the practical advice, assign a practical advice to a certain group and ask them to discuss the following questions (5 min): • What is the essence of this advice? • Is it important for the practice in your country? If so, justify why. Ask a volunteer from each group to share the responses to the large group (2–3 min per group)
Case examples	Brief information from the trainer and feedback from the participants	Ask the participants to comments: • What was the key message, in your opinion? • Were the cases informative?
Exercise: Identification of the key environmental and health issues	Work in small groups (4–6 persons)	Prepare hand-outs and background materials, e.g. as suggested above
Presenting and discussing outputs	Presentations and discussion in a large group	Reporters from each group present the outputs of the group work one by one (no more than 2 minutes each).
Reflection block	Discussion in a large group	Invite participants to respond to the questions, present issues and summarize their thoughts and opinions using either the 'microphone' method or a big-circle discussion. The discussion continues until all the volunteers have expressed their thoughts.

1.8.2. Proposed structure of the presentation

The trainer can prepare a presentation based on the above theoretical background materials and additional reference sources (refer to the end of the Topic). The following structure can be used as an indicative guide for the format and content of your presentation:

- Aim and rationale (1–2 slides) — describe what scoping is and why it is important;
- Legal framework (2 – 3 slides) – describe the legal requirements stipulated by the national legislation regarding the scoping stage. If there are no relevant provisions in the national legal framework yet, make a reference to the Protocol on SEA and the EU SEA Directive;
- Approaches and tools (3–5 slides) — describe the approaches used in scoping in your country. Start with the procedure (e.g., who initiates the scoping, which agency is responsible for conducting scoping, and if consultations are required). Also provide an overview of the tools that are used or planned to be used in your country.
- Practical advice (1–2 slides) — elaborate on the practical advice provided above and/or develop additional ones reflecting the context in your country.
- Case study (2–3 slides) — describe the scope of one SEA, preferably from your country, providing information on the plan and programme that was the subject of the assessment, the key issues identified and territorial scope of the likely impacts.
- Exercise and discussion (1–2 slides) — prepare the assignment for the exercise on the slide(s). You may use the examples provided above or prepare your own exercise, e.g., a short description of real cases from your country.
- Reflection block (1 slide) — elaborate on questions for the reflective discussion. You may use the questions provided above and/or develop additional ones on the outputs of the session.

Slides that can be used to prepare a presentation on scoping are provided among the supporting documents to this Manual (refer to 'Scoping.pptx' and to 'Scoping SEA Czech Transport Strategy.pptx' for the case example).

1.9. Recommended reference sources

Reference source	Relevant chapter(s)
UNECE. 2012. Resource Manual to Support Application of the Protocol on Strategic Environmental Assessment. (http://www.unece.org/index.php?id=27379)	Chapter A3 Determining whether plans and programmes require SEA under the Protocol
EU DGTREN. 2005. The SEA Manual: A Sourcebook on Strategic Environmental Assessment of Transport Infrastructure Plans and Programs. European Commission Directorate-General for Energy and Transport. (http://ec.europa.eu/environment/archives/eia/sea-studies-and-reports/pdf/beacon_manuel_en.pdf)	3. Conducting the SEA Process
OECD. 2006. Applying Strategic Environmental Assessment: Good Practice Guidance for Development Co-operation (DAC Guidelines and Reference Series). Organisation for Economic Co-operation and Development. (http://www.oecd.org/environment/environment-development/37353858.pdf)	Chapter 4. Towards Strategic Environmental Assessment Good Practice: Principles and Processes
ODPM. 2005. A Practical Guide to Strategic Environmental Assessment Directive. Practical guidance on applying European Directive 2001/42/EC 'on the assessment of the effects of certain plans and programs on the environment'. Office of the Deputy Prime Minister, London. (https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/7657/practicalguidesea.pdf)	5. Stages of SEA

TOPIC 3. BASELINE ANALYSIS

1.1. Introduction to the session

The trainer should present the goal and objectives of this session, as well as topics to be discussed, and familiarize participants with the structure of the session, as proposed in the table below. The expected duration of the session is 90-120 minutes.

Table 13: Proposed plan for the session

Number of the element of the session	Elements of the session	Method to use	Time
1.1.	Introduction to the session	Brief information from the trainer	5 min
1.2.	What baseline data are; the need for and purpose of the baseline analysis in SEA, and how to conduct it	Interactive lecture supported by a Power Point Presentation	20–30 min
1.3.	Practical advice	Brainstorming exercise	5–10 min
1.4.	Case examples	Brief information from the trainer and discussion	5–10 min
1.5.	Exercise: Reviewing the provided baseline analysis section	Work in small groups or work individually	30–40 min
1.6.	Presenting and discussing group work outputs	Presentations and discussion in a large group	20–25 min
1.7.	Reflection block	Discussion in a large group	10–20 min

The below goal and objectives should be adjusted to the needs of the target group to be invited to the national trainings.

The goal of this teaching session is to understand the need for and essence of baseline analysis in SEA. After the training the participants will be able to:

- Explain what baseline analysis is and what it entails;
- Discuss why baseline analysis is needed and important;
- Explain when baseline analysis should take place;
- Outline the key activities that are undertaken during baseline analysis; and
- Explain what the key outputs of the baseline analysis stage are.

The below sub-sections present the indicative material that can be used by the trainers to prepare their own presentations on baseline analysis. Additional reference sources are provided at the end of this Topic.

1.2. Baseline analysis: theoretical background

1.2.1. What 'baseline analysis' means

The analysis of the baseline information – in other words, the context and the relevant aspects of the state of the environment, including health - is an essential part of the SEA process. This is underpinned by the requirements of the Protocol on SEA in its Article 7 and Annex IV. The baseline analysis comprises a set of activities to be accomplished for the collection, selection and evaluation of the baseline data (i.e. data on the existing environmental and socio-economic conditions) and their further documentation in the SEA Report. The baseline analysis in SEA provides a basis for further assessment of likely effects, formulation of mitigation measures and monitoring schemes. It starts during the SEA scoping stages, builds on the results of scoping and can lead to better identification of the key issues, the key problems relevant to the plan or programme, and the territory likely to be affected. The baseline analysis helps to estimate the likely future evolution of the relevant environmental and health issues in case the plan or programme IS NOT implemented (and thus provides a 'baseline' for assessing how implementing the plan or program can affect the environment and health in the future).

1.2.2. Approach to baseline data collection and selection

Static or snap-shot baseline information is of limited use to SEA; rather, it should address long-term trends and understand the forces behind the trends. SEA quite often can rely on the existing data and available information. However, it is important to carefully consider what information is required and what the most appropriate level of detail is. In addition, the data and information collected should be as recent and accurate as possible.

Not all the baseline data available should be collected for each SEA, rather the selection of baseline

information focus only on aspects that are relevant to the environmental and health issues identified during the scoping. The data and information to be collected should address the aspects which:

- are relevant to the area or region for which the plan or programme is developed; and
- • cover the environmental and health issues identified during scoping (i.e. those which can be significantly affected by the plan or programme implementation).

1.2.3. How to conduct baseline analysis

Baseline analysis in SEA should be undertaken for each key issue identified in scoping, and should:

- Describe the current conditions;
- Describe past trends;
- Identify the main drivers influencing the trends so far, and
- Based on the above, outline the likely evolution of the trends in the future (without implementing the plan or programme being assessed).

Baseline analysis in SEA should, to the extent possible, address the following questions:

- What are the legal and policy targets for a given environmental or health issue?
- What are the key characteristics of the study area?
- What are the key areas and problems that need special protection or increased attention?
- What has been the trend so far a given environmental or health issue?
- How far is the current situation from any established objective or targets? What is driving these trends? Which of these drivers can be significantly influenced by the proposed plan or programme?
- How will the future trend evolve without the proposed plan or programme? Will it be influenced by major developments that have been already approved but not implemented yet, such as climate change, changes in the regulatory or policy framework, economic incentives, etc? What are the key emerging risks?
- What are the major implications (if any) for the SEA and the planning process? E.g. the baseline analysis may result in proposing an alternative option to be considered in the plan- or programme-making process.

There are driving forces that influence a variety of factors such as economic development, legal and regulatory framework, implementation of sectoral programmes and/or large infrastructure projects. The most important drivers have to be considered when describing a likely future evolution. Although there are many uncertainties surrounding the likely future trends, the SEA should outline the future trends as best as possible, using the most recent and accurate data available to describe the best and worst scenarios. However, it is also important to clearly indicate the uncertainties that may limit accuracy of the baseline analysis.

1.2.4. Tools for the baseline analysis

AA baseline analysis may include both quantitative and qualitative information, and it is often useful to combine both types of information. Depending on the nature of the assessment, the methods and tools to be used to describe and analyse the baseline situation range from simple approaches, such as checklists, matrixes, Geographic Information System (GIS) maps and overlays, and professional/expert judgment to sophisticated mathematical modelling (e.g. preparation of noise maps, dispersion of pollutants in the air). An overview of the key tools for baseline analysis is provided in the UNECE Resource Manual (Annex A5.1) and other reference sources mentioned at the end of the Topics.

1.2.5. Sources of baseline information

Typical sources of information for the baseline analysis in SEA include:

- State of the environment reports that offer a broad view on the state of the environment at the regional and national levels (which could be static and thus should be reviewed for several years);
- Information included in other relevant strategies, plans or programmes that can be used after its verification and update;
- Existing and available information from environmental monitoring conducted for research and other purposes;
- Experts opinions (discussions, questionnaires);
- Available information from governmental institutions at different levels and in different sectors; and
- Records of monitoring activities conducted during environmental assessment by environmental authorities.

The environmental and health information is not always available on the websites of the state authorities but could be requested from them. Some countries have put together baseline information and datasets that could be used for SEA. For instance, the UK's 'Practical Guide to SEA Directive' (ODPM, 2005) contains a 12-page long list of the types of data that are held by different authorities and organisations.

Practical advice

- Collection of baseline information could go on indefinitely, thus set a time limit for information collection, and make arrangements to fill any major gaps for future reviews of the plans or programmes.
- Focus the baseline analysis on key issues identified in scoping and on those drivers, which might be influenced by the plan and programme– avoid the preparation of a generalized 'State of the Environment'.
- The baseline analysis should indicate the uncertainties in estimating the likely future developments and possible lack of data, which are needed for proper evaluation of environmental and health effects of the plan or programme.
- Involve relevant stakeholders when preparing the baseline analysis, especially environmental and health authorities, universities, research institutions etc., which can provide very useful inputs (data, information, reports etc.).
- The baseline analysis might also provide inputs into the analysis conducted by the planning team for the plan or programme, and thus support integration of relevant environmental and health considerations into the plan or programme at an early stage of the planning process.
- Try to present the baseline information in a way that is clearly understood and interpreted not only by the authorities, but also by the public (for example use of maps, charts, diagrams, etc.).

1.4. Case examples

It is helpful to use case examples to illustrate the scoping procedure to the training participants. Examples can be prepared using the cases either from the trainer's own country, EU countries (refer to the resources on the UNECE page at http://www.unece.org/env/eia/sea_manual/links.html) or any other country. Alternatively, the trainer can use the provided case example from the supporting documents to this Manual: the SEA of the Operational Program Enterprise and Innovations (Czech Republic, 2007 –2013; refer to 'Baseline SEA Czech OPEI.pptx').

1.5. Exercise: Reviewing the provided baseline analysis section

The exercise on the baseline analysis is usually demanding and requires extensive background materials, and thus it very often exceeds the time allocation within a typical SEA training. Therefore, it is suggested to select good and bad examples of baseline analyses from the real SEA cases and facilitate a discussion regarding practical approaches and methods to be used. The trainer can use the baseline analysis sections from the pilot SEA reports from the EaP GREEN countries or any other country when developing the training materials, or deploy the below example that is based on the SEA Report from the Waste Management Plan for England[41].

Necessary materials:

Assignment for the groups (which can be presented as a slide on the screen or in the hand-out), markers, paper, flipchart, and an A4 paper hand-out. An example (Hand-out 3.3.) is provided in Annex 5.

Assignment:

Review the below baseline sections: "Human Health" and "Energy" from the SEA Report of the Waste Management Plan for England and discuss the following questions:

- Is the current state of i) Human Health and ii) Energy related issues described?
- Are the trends related to i) Human Health and ii) Energy described?
- What are the main drivers influencing the trends identified?
- Is there any forecast or outline of the likely evolution of the i) Human Health and ii) Energy-related trends in the future (i.e. the 'zero' or 'business-as-usual' alternative)?
- Is there anything missing? What else would you have collected?

1.6. Presenting and discussing the group work outputs

The trainer invites the participants to share the outputs of their work in groups or initiates the whole-group discussion to be structured around the assignment questions.

One representative (volunteer) from each group is invited to reply to each question, and another to comment and/or supplement. The trainer keeps records on the flip-chart or a whiteboard (or blackboard).

In addition, the trainer can consider asking 1-2 of the following questions:

- What is the usual approach to a SEA baseline analysis in your country? Does it cover the aspects mentioned above?
- Would you suggest other approaches to estimate the likely future development of the key environmental issues?

[41] *Eunomia Research & Consulting Ltd. 2013. Waste Management Plan for England. SEA. Environmental Report, prepared for Defra. http://www.eunomia.co.uk/reports-tools/waste-management-plan-for-england-strategic-environmental-assessment-environmental-report.*

- Should environmental and health authorities be involved in the baseline analysis? If so, when and for what kind of purpose?
- What are the main challenges regarding the baseline analysis in your country and how can these be addressed?

1.7. Reflection block

After discussing the group work outputs, the trainer should hold a joint reflection session. He/she can invite the participants to look at the results that they have produced together and asks them the following questions:

- What ideas did you have during this exercise?
- In your opinion, what are the most important messages of this session?
- How would you suggest improving the effectiveness of the session?

The trainer invites volunteers from the participants to respond to the above questions in turn.

1.8. Teaching tips

1.8.1. Specific techniques / approaches

The general methods that can be used for this session are described in Part II of this Manual. More specific tips and proposed techniques are outlined in **Table 14**.

Table 14: Proposed specific techniques and teaching tips per element of the session

Elements of the session	Method to use	Specific techniques and teaching tips
Introduction to the session	Brief information from the trainer	Use PowerPoint slides as relevant
What baseline data are; the need for and purpose of the baseline analysis in SEA, and how to conduct it	Interactive lecture supported by a PowerPoint presentation	Open each new topic with the questions that will evoke thinking and discussion for some 2–3 minutes. E.g., • How would you define 'baseline information'? • Why is baseline information important, in your opinion? • Do you have any experience with baseline data collection in SEA or EIA? If so, please describe your experience. First ask the question, then collect the opinions of the participants and show the respective slide(s).
Practical advice	Brainstorming exercise	Follow the instructions for the brainstorming technique in Part I of this Manual. Prepare guiding questions, such as: What is important to consider in terms of practice?
Case examples	Brief information from the trainer and discussion	Ask the participants to comment: • What was the key message in your opinion? • Were the cases informative?
Exercise: Reviewing the provided baseline analysis section	Work in small groups (4–6 people) or work individually	Prepare hand-outs and background materials, e.g. as suggested above. This exercise can be conducted either in groups or individually. In the former case, the groups will present the outputs of their discussion, and in the latter — a large circle discussion can take place.
Presenting and discussing group work outputs	Presentations and discussion in a large group	Reporters for each group present the outputs of the group work one by one (no more than 2 minutes each). In the case of individual reporting, the 'microphone' method or a big-circle discussion can be held.
Reflection block	Discussion in a large group	Invite participants to respond to the questions, present issues and summarize their thoughts and opinions using either the 'microphone' method or a big-circle discussion. The discussion continues until all the volunteers have expressed their thoughts.

1.8.2. Proposed structure of the presentation

The trainer prepares a presentation based on the above theoretical background materials and additional reference sources (refer to the end of the Topic). The following structure can be used as an indicative guide for the format and content of your presentation:

- Aim and rationale (1–2 slides) — describe what baseline information is and why it is important;
- Legal framework (2 – 3 slides) – describe the legal requirements stipulated by the national legislation regarding the baseline data collection, selection and analysis. If there are no relevant provisions in the national legal framework yet, make a reference to the Protocol on SEA and the EU SEA Directive;
- Approaches and tools (2–3 slides) — describe a typical approach to baseline analysis in your country. Provide also an overview of tools that are used or planned to be used in your country, and highlight main challenges and/or typical inadequacies in practice.
- Practical advice (1–2 slides) — elaborate on the practical advice provided above and/or develop additional ones reflecting the context in your country.
- Case study (2–3 slides) — present a baseline analysis for one or two SEAs, preferably from your country. You may choose to demonstrate a 'good' and a 'bad' case.
- Exercise and discussion (1–2 slides) — prepare the assignment for the exercise on the slide(s). You may use the example provided above or prepare your own exercise.
- Reflection block (1–2 slides) — elaborate on questions for the reflective discussion. You may use the questions provided above, in the reflection block, and/or develop additional ones on the outputs of the session.

Slides that can be used to prepare a presentation on baseline analysis are provided among the supporting documents to this Manual (refer to 'Baseline Analysis.pptx' and to 'Baseline SEA Czech OPEI.pptx' for the case example).

1.9. Recommended reference sources

Reference source	Relevant chapter(s)
UNECE. 2012. Resource Manual to Support Application of the Protocol on Strategic Environmental Assessment. (http://www.unece.org/index.php?id=27379)	Chapter A4 SEA of plans and programmes Chapter A5 Overview of basic tools for SEA Annex A5.1: Description of selected analytical tools
JASPERS. 2013. Joint Assistance to Support Projects in European Regions. Practical guidance on the SEA and EIA Directives training. Key elements.	5. Baseline information
ODPM. 2005. A Practical Guide to Strategic Environmental Assessment Directive. Practical guidance on applying European Directive 2001/42/EC 'on the assessment of the effects of certain plans and programs on the environment'. Office of the Deputy Prime Minister, London. (https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/7657/practicalguidesea.pdf)	5. Stages of SEA

TOPIC 4. EVALUATION OF EFFECTS AND FORMULATION OF MITIGATION MEASURES (INCLUDING ALTERNATIVES)

1.1. Introduction to the session

The trainer should present the goal and objectives (which could be presented as expected outcomes) of this session, as well as topics to be discussed, and familiarize participants with the structure of the session, as proposed in the table below. The expected duration of the session is 90-120 min.

Table 15: Proposed plan for the session

Number of the element of the session	Elements of the session	Method to use	Time
1.1.	Introduction to the session	Brief information from the trainer	5 min
1.2.	Theoretical background	Interactive lecture supported by a PowerPoint presentation	15–20 min
1.3.	Practical advice	Brief information from the trainer; discussion in small groups and sharing of opinions	15–20
1.4.	Case examples	Presentation by the trainer and discussion in a large group	10–20 min
1.5.	Exercise: Discussion of analysis	Work in small groups or work individually	30–40 min
1.6.	Discussion and presentation block	Discussion of questions in small groups with further presentation of results and feedback from the participants	15–25 min
1.7.	Reflection block	Discussion in a large group	10–15 min

The below goal and objectives should be adjusted to the needs of the target group to be invited to the national trainings.

The goal of this session is to provide an overview of the tools and methods used in SEA to identify, predict and evaluate effects of plans or programmes and understand how these can be applied in practice. After the training the participants will be able to:

- Understand what 'effect analysis' implies in SEA and what activities it encompasses;
- Define and design 'effect identification', 'effect prediction' and 'effect evaluation' activities in SEA;
- Propose and review strategic alternatives, and
- Identify possible mitigation or enhancement measures.

The below sub-sections present the indicative material that can be used by the trainers to prepare their own presentations on the Topic. Additional reference sources are provided at the end of this Topic.

1.2. Assessing effects, defining alternatives and proposing mitigation and enhancement measures: theoretical background

1.2.1. Aim and rational

The Protocol on SEA (Art. 7) requires the Parties to assess alternatives by identifying, describing and evaluating likely significant environmental, including health, effects. Correspondingly, this stage in the SEA process aims at assessing the significant adverse and positive effects of the plan or programme, and – in light of the conclusions from the impacts analysis – at considering alternatives, and formulating measures to prevent, reduce and as fully as possible offset any likely significant adverse effects of implementing the plan or programme.

This is a core stage of the SEA, as one of the main tasks of SEA process is to evaluate the potential significant adverse and positive effects of the proposed plan or programme. One of the key benefits of SEA is that it enables the identification of environmental effects for a number of proposals included in the strategic document. Therefore, it can address the likely cumulative

effects, which may result from individually minor but collectively significant actions taking place over a period of time. Once the likely risks and impacts are identified and predicted, the SEA has to evaluate them and suggest appropriate measures to address the likely significant adverse effects (i.e., mitigation), as well as enhance the likely positive impacts (i.e., enhancement).

1.2.2.Approaches and methods

Identifying and predicting effects

The effect of a plan or programme is defined by the difference in environmental or sustainability conditions with and without it. In order to identify the potential effects the following questions should be asked: Will changes occur in relation to the environmental components and health of the proposed plan or programme? What kind of changes?

Prediction involves describing the identified effects (i.e., changes) in terms of their magnitude, geographical scale, the time period over which they will occur, whether they are permanent or temporary, positive or negative, probable or improbable, frequent or rare, and whether or not there are secondary, cumulative and/or synergistic effects.

Predictions do not have to be expressed in quantitative terms. Hard data may enable the experts or authorities to make detailed quantitative predictions, and this can be particularly useful where a plan or programme's effects are uncertain, close to a threshold, or cumulative. However quantification is not always practicable, and qualitative predictions can be equally valid and appropriate. Qualitative does not mean 'guessed'. Predictions need to be supported by evidence, such as references to any research, discussions or consultation which helped the SEA team to reach their conclusions. Rating techniques are often used for qualitative estimates of effects and their systematic comparison.

A short overview of methods and tools, which can be used for effect analysis, is provided in Annex 9 of this training manual.

Evaluation

Evaluation involves determining whether the predicted effect is significant or not: this requires an element of judgement. The criteria of significance in Annex III of the Protocol on SEA and Annex II of the SEA Directive are relevant when considering a specific effect, e.g. its scale, permanence and the nature and sensitivity of the receiving environment. It may also be helpful to refer to the baseline information and indicators defined in the baseline analysis.

In practice, a frequently used approach to evaluation is to bring together (possibly as an effect significance matrix) the following parameters:

- the magnitude of the predicted effect (greater area, longer duration etc. = more significant) from the effect prediction stage, and
- the value and sensitivity of the receiving environment (already stressed, more sensitive etc. = more significant).
- The value and sensitivity of the receiving environment can be determined through e.g.:
- designations such as national parks;
- other measures of value or vulnerability, e.g. how many people use the area or whether any rare species are present in the area;
- standards and thresholds: whether standards (e.g. for air quality) are already being exceeded; and
- public or stakeholder values: what is significant to local residents.

The output of the effect evaluation is a yes (significant impact) or no (insignificant impact) statement. If gradation of effects is important, a rubrics-based range can be introduced via which it is possible to evaluate the effects as being of e.g., low (minor), medium (moderate) or high (major) significance (**Figure 4**).

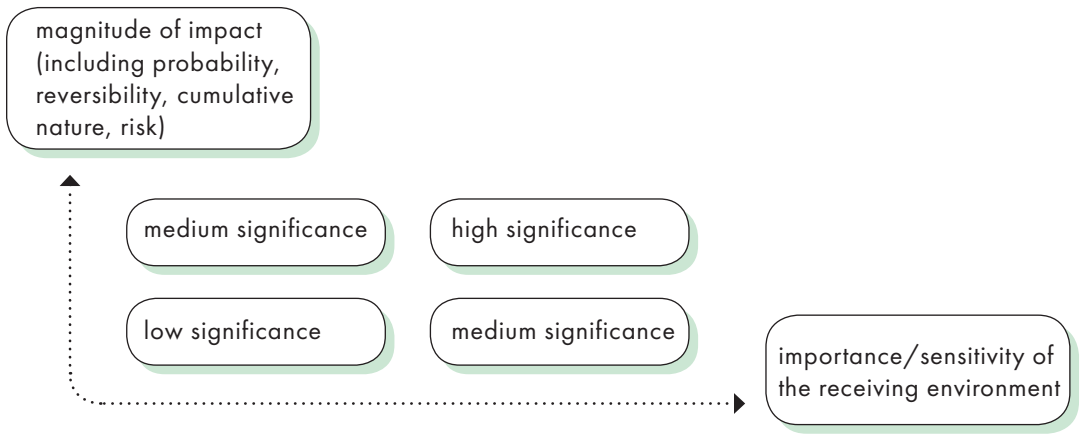


Figure 4: Determining effect significance[42]

[42] *Based on Therivel, R. (2004) Strategic Environmental Assessment in Action. London: Earthscan.*

In addition, SEA can, especially when dealing with policies and strategies and if conducted in parallel with the preparation of the plan or programme, evaluate priorities and objectives of the strategic document assessed[43]. Evaluation of priorities and objectives should address synergies and conflicts between the environmental and health objectives (as identified in the scoping stage) and the objectives and priorities proposed in the plan or programme. This might lead to suggestions or modifications to the proposed objectives and priorities in order to increase the consistency between the plan or programme with the environmental and health objectives of earlier approved strategies. The evaluation can also support integration of environmental and health considerations in the plan or programme.

Formulating and assessing alternatives

The SEA process plays an important role in identifying and generating reasonable alternatives. This assessment step can initiate the discussion on alternatives to the plan or programme through asking questions from the 'hierarchy of alternatives' (Figure 5) (ODPM, 2005). Alternatives should be sufficiently distinct in order to highlight the different environmental implications of each, allowing for meaningful comparisons to be made at a strategic level.

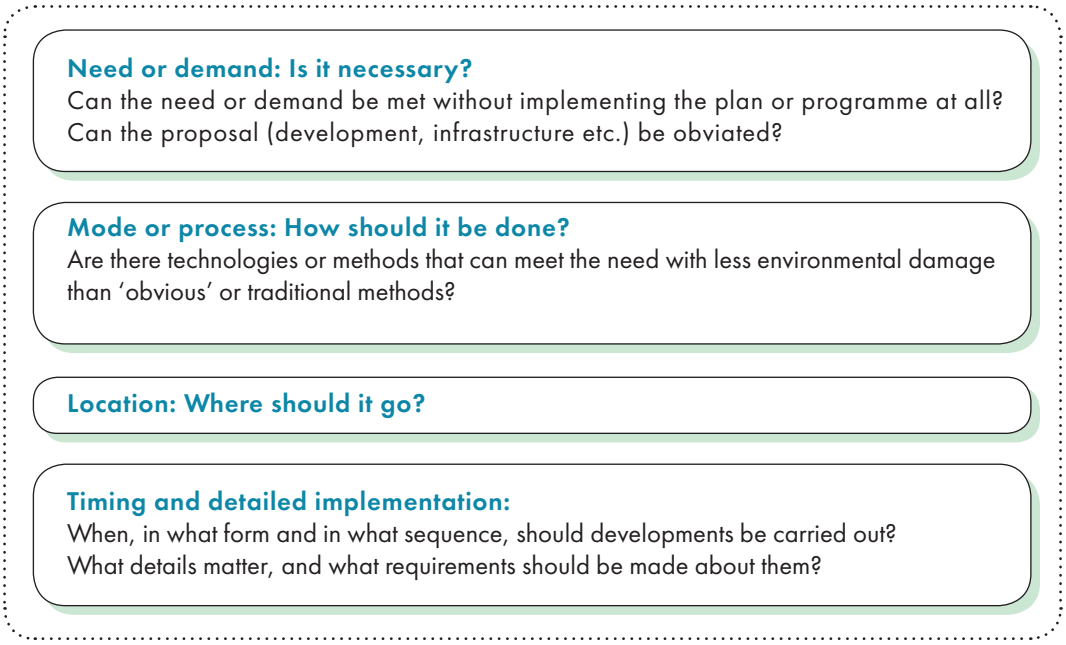


Figure 5: Hierarchy of alternatives

The SEA should primarily focus on baseline trends and how likely the future trends would be affected by the implementation of the plan or programme and all its alternatives. The predicted effects of alternatives should be compared with the likely future evolution as described in the baseline analysis, in order to determine their ranking in terms of their environmental and health effects (Table 16).

Table 16: A possible matrix for comparing alternatives

	Alternatives	
Environmental theme	Alternative 1	Alternative 2
Flora and fauna		
Protected area (ha.)	++	+
Disturbance to protected area	+	-
Water		
Surface water quality	+	--
Surface water quantity	+/-	?

Symbols: + positive; - negative; 0 neutral; ? uncertain; + minor; ++ major; +/-both positive and negative

[43] *The SEA Directive and Protocol on SEA requires the identification of relevant environmental protection objectives and an analysis of the way those objectives and any environmental considerations have been taken into account during the preparation of the plan or programme.*

Mitigation

Following the effect analysis, SEA has to formulate measures to avoid, mitigate or compensate the likely significant adverse impacts, as well as to enhance possible positive effects. Mitigation can take a wide range of forms, including (based on ODPM, 2005):

- Changes to the alternative concerned, (e.g. replacing a road connection with a railway);
- Changes to the plan or programme as a whole (the overall design of a given development proposal);
- Changes to a specific proposal within the plan or programme;
- Inclusion of new provisions within the plan or programme;
- Technical measures to be applied during the implementation stage (e.g. buffer zones application of design principles);
- Identifying issues to be addressed in project EIAs; and
- Proposals for changing other plans and programmes.

Practical advice

- Evaluation and recommendations formulated by the SEA in relation to the plan or programme have to be properly communicated to planners. It needs to be substantiated by proper justification and explanation, in order to encourage integration of SEA suggestions into the plan or programme from the planners' side.
- Provide a clear ranking of alternatives from the environmental effects point of view.
- Document how the alternatives have been narrowed down and state the reasons for rejecting or selecting certain alternatives.
- Link mitigation measures to the effects identified.
- Optimally, mitigation measures should be integrated in the plan or programme design.
- Consultations with relevant governmental authorities are recommended in order to obtain agreement on the mitigation actions proposed.
- Don't forget to describe assessment methodologies and make note of any uncertainties and a lack of data or information (as required by the Protocol on SEA, Annex IV).

1.4. Case examples

The trainer can use case examples to illustrate the effect analysis procedure and the development of mitigation measures. Examples can be prepared as a PowerPoint presentation using the cases from the trainer's own country, EU countries (refer to the resources on the UNECE page at http://www.unece.org/env/eia/sea_manual/links.html) or any other country. Alternatively, the trainer can use the provided case example from the supporting documents to this Manual: SEA for the Krasna Hora Spatial Plan (Czech Republic, refer to 'Analysis SEA Krasna Hora case.pptx').

1.5. Exercise: Discussion of analysis

Based on one of the above SEA cases, the participants are asked to:

- comment on the relevance and adequacy of analyses (considering the subject of the assessment and the key issues or impacts identified),
- identify methods for effect analysis used, and
- (where appropriate) suggest other approaches and tools for analysing effects.

1.6. Discussion and presentation block

The trainer invites the participants to discuss the following questions in small groups (1-2 questions per group):

- Would you consider evaluation of objectives and priorities useful in SEA?
- If so, for what types of plans and programmes?
- If not, what other approach you would apply to address the overall direction of the plan early in the planning process?
- Would you use other approaches to estimate the likely cumulative impacts of the plan or programme?
- What difficulties would you foresee when working on these tasks?
- What methods and approaches are usually used in your country?
- Can data and information usually available provide sufficient basis for evaluation of the effects of the plan or programme?
- Are there any analyses usually carried out within plan preparation that could be used also in SEA?

One representative (volunteer) from each group is invited to reply to each question, whilst other participants are asked to provide their feedback. The trainer keeps records on the flip-chart or a whiteboard (or blackboard).

1.7. Reflection block

The trainer invites the participants to reflect on the following questions in turn:

- In your opinion, what are the most important messages of this session?
- What kind of information would you like to additionally receive during this session?
- Do you have suggestions on how to improve the session?

1.8. Teaching tips

1.8.1. Specific techniques / approach

The general methods that can be used for this session are described in Part 1 of this Manual. More specific tips and proposed techniques are outlined below.

Table 17: Proposed specific techniques and teaching tips per element of the session

Elements of the session	Method to use	Specific techniques and teaching tips
Introduction to the session	Brief information from the trainer	Use PowerPoint slides as relevant
Theoretical background	Interactive lecture supported by a PowerPoint Presentation	Open each new topic with the questions that will evoke thinking and discussion for some 2–3 minutes. E.g., • What is involved in the identification of effects? How would you identify them? • What is involved in the prediction of effects? How would you predict them? • What is involved in the evaluation of effects? How would you evaluate them? • What kind of form can mitigation take? Can you give some examples? • What would you interpret as 'reasonable' alternatives? First ask the question, then collect the opinions of the participants and show the respective slide(s).
Practical advice	Brief information from the trainer; discussion in small groups and sharing of opinions	Split the participants into small groups and assign each group several practical advice examples. Ask to review (5 min) and respond: • Are the provided pieces of advice clear? • Are they important and why? • What else would you add? Ask a volunteer from each group to share the responses to the large group (2–3 min per group).
Case examples	Presentation by the trainer and discussion in a large group	Use PowerPoint slides as relevant. Ask the participant if the cases are clear and illustrative, and what the key message was for the participants.
Exercise: discussing the analysis	Discussion of the SEA analysis based on the presented cases	Split the participants into 4–5-people groups and ask them to discuss the provided questions. Then, reporters for each group present the outputs of the group work one by one (no more than 2 minutes each). The entire group is invited to comment on each presentation.
Discussion and presentation block	Discussion of questions in small groups with further presentation of results and feedback from the participants	Split the participants into 4–5-people groups and ask them to elaborate on the provided questions (1–3 questions). Then, group reporters present group work outputs one by one (not more than 2 minutes each). The entire group is invited to comment on each presentation.
Reflection block	Discussion in a large group	Invite the participants to respond to the questions, present issues and summarize their thoughts and opinions using either the 'microphone' method or a big-circle discussion. The discussion continues until all the volunteers have expressed their thoughts.

1.8.2. Proposed structure of the presentation

The trainer can prepare a presentation based on the above theoretical background materials and additional reference sources (refer to the end of the Topic). The following structure can be used as an indicative guide for the format and content of your presentation:

- Aim and rational (1–2 slides) — describe why effect analysis is important in SEA and what its aim is;
- Legal framework (1 – 2 slides) – describe the legal requirements stipulated by the national legislation regarding effect analysis, mitigation measures and alternatives. If there are no relevant provisions in the national legal framework yet, make a reference to the Protocol on SEA or the EU SEA Directive;
- Approaches (3–4 slides) — describe the typical approaches and tools used for effect analysis in SEA in your country and highlight main challenges and/or typical insufficiencies in practice. If there is no practice yet, focus on the methodological guidance referenced at the end of this Topic;
- Case study (2 – 3 slides) - present the effect analysis in a SEA case. If no such cases are available from your country, use the materials from elsewhere;
- Exercise (1 slide) — present the questions on the slide for small-group discussion.
- Discussion and presentation (1–2 slides) — prepare questions for discussion in small groups and their subsequent presentation to a large group. You may use the questions provided above and/or develop additional ones to reflect the practice or desired approaches for your country.
- Reflection block (1 slide) — elaborate questions for reflective discussion on the outputs of the session.

Slides that can be used to prepare a presentation on assessment and mitigation are provided among the training documents to this Manual (refer to 'Assessment and mitigation.pptx' and to 'Analysis SEA Krasna Hora case.pptx' for the case example).

1.9. Recommended reference sources

Reference source	Relevant chapter(s)
UNECE. 2012. Resource Manual to Support Application of the Protocol on Strategic Environmental Assessment (http://www.unece.org/index.php?id=27379)	Chapter A4 SEA of plans and programmes; Chapter A5 Overview of basic tools for SEA
ODPM: A Practical Guide to Strategic Environmental Assessment Directive. Practical guidance on applying European Directive 2001/42/EC 'on the assessment of the effects of certain plans and programs on the environment'. Office of the Deputy Prime Minister, London. 2005 (https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/7657/practicalguidesea.pdf)	5. Stages of SEA Annexes

TOPIC 5. PREPARATION OF SEA REPORT

1.1. Introduction to the session

The trainer should present the goal and objectives (which could be presented as expected outcomes) of this session, as well as topics to be discussed, and familiarize participants with the structure of the session, as proposed in the table below. The expected duration of the session is 90 minutes.

Table 18: Proposed plan for the session

Number of the element of the session	Elements of the session	Method to use	Time
1.1.	Introduction to the session	Brief information from the trainer	5 min
1.2.	The purpose and content of the SEA Report; approach to its preparation	Interactive lecture supported by a PowerPoint presentation	15–25 min
1.3.	Practical advice	Brainstorming exercise	5–10 min
1.4.	Case examples	Brief information and discussion	5–10 min
1.5.	Exercise: Structuring the SEA Report / Reviewing the structure of the SEA Report	Work in small groups	20–30 min
1.6.	Presenting and discussing group work outputs	Presentations and discussion in a large group	15–20 min
1.7.	Reflection block	Discussion in a large group	10–15 min

The below goal and objectives should be adjusted to the needs of the target group to be invited to the national trainings.

The goal of this teaching session is to understand the purpose of preparing the SEA Report and its informational content. After the training the participants will be able to:

- Discuss the need for and purpose of the SEA Report;
- Outline the key elements that need to be included in the SEA Report;
- Discuss a possible structure / outline of the SEA Report;
- Elaborate on the approach to be taken to prepare the SEA Report; and
- Discuss practical tips on how to prepare the fit-for-purpose SEA Report.

The below sub-sections present the indicative material that can be used by the trainers to prepare their own presentations on the SEA Report. Additional reference sources are provided at the end of this Topic.

1.2. Preparing SEA Report: theoretical background

1.2.1. What a SEA Report (or Environmental Report) is and why it is needed

The aim of this SEA stage is to prepare a readable SEA Report (or 'Environmental Report', according to the Protocol on SEA, Art. 7), which provides all the information, data, conclusions and recommendations in a clear and understandable way. The SEA Report is necessary not only to summarize all the findings and conclusions of the SEA, but also to enable efficient consultations with relevant authorities and other stakeholders and to demonstrate how the inputs from SEA have been integrated in the draft plan or programme.

1.2.2. Approach

The SEA Report is a keystone document used for consultation with all relevant stakeholders (including environmental and health authorities and the public), and thus it needs to be well organized and reader-friendly. A high-quality SEA Report helps to ensure effective communication with

stakeholders, a greater understanding of the information provided by the SEA, and improved chances that the suggestions and conclusions in the SEA will be agreed upon by the stakeholders. The SEA Report is not a purely academic or scientific study; its main messages should be clearly conveyed and made apparent to the relevant stakeholders for their consideration. More detailed information is provided in the annexes to this Manual.

Conclusions and recommendations have to be clearly formulated; i.e. the SEA Report needs to explicitly describe (i) what is suggested (mitigation measures, monitoring schemes, conditions to be adopted by decision-makers, etc.), (ii) why it is suggested (e.g. in order to minimize certain adverse effects), and (iii) who or which institutions should perform these actions (the planning agency, project developer, environmental agencies, decision-makers, etc.).

1.2.3. Contents of the SEA report

The Protocol on SEA (Annex IV) and the EU SEA Directive (Annex I) specify the information to be included in the SEA Report. According to Annex IV of the Protocol, the SEA Report should contain the following:

- The contents and the main objectives of the plan or programme and its link with other plans or programmes.
- The relevant aspects of the current state of the environment, including health, and the likely evolution thereof should the plan or programme not be implemented.
- The characteristics of the environment, including health, in areas likely to be significantly affected.
- The environmental, including health, problems which are relevant to the plan or programme.
- The environmental, including health, objectives established at international, national and other levels which are relevant to the plan or programme, and the ways in which these objectives and other environmental, including health, considerations have been taken into account during its preparation.
- The likely significant environmental, including health, effects[44] as defined in article 2, paragraph 7.
- Measures to prevent, reduce or mitigate any significant adverse effects on the environment, including health, which may result from the implementation of the plan or programme.
- An outline of the reasons for selecting the alternatives dealt with and a description of how the assessment was undertaken including difficulties encountered in providing the information to be included such as technical deficiencies or lack of knowledge.
- Measures envisaged for monitoring environmental, including health, effects of the implementation of the plan or programme.
- The likely significant transboundary environmental, including health, effects.
- A non-technical summary of the information provided.

Ideally, the report should also indicate if, and how, any inputs from the SEA have been accepted and integrated in the draft plan or programme.

Approaches to reviewing the quality of SEA reports, as well as the relevant criteria for good-quality SEA reporting, are discussed in Topic 6. Quality Control of this Manual.

1.2.4. Structure of the SEA Report

The information to be included in the SEA report can be guided by the paragraphs in Annex IV of the Protocol on SEA, Annex I of the EU SEA Directive or relevant national SEA legislation. However, it is important to consider (by SEA authorities and/or practitioners) the bullets above in section 1.2.3 as the 'information to be included in the SEA Report' and not as a rigid structure to be followed in each and every SEA case. Under this approach, SEA practitioners can organize the information in the Report in any logical way that would allow the SEA Report to meet the mentioned formal requirements and to reflect the particularities of a specific SEA. In practice, it often makes sense to combine sections, such as combining the description of the current state of the environment with information on the characteristics of areas likely to be significantly affected. Another example is to provide a description of the methodology in an introductory chapter of the SEA Report (similarly, the non-technical summary is often placed at the very beginning of the document). **Figure 9** depicts a possible structure, alongside the related contents, of the SEA Report as is proposed in the UK's 'Practical Guide to SEA Directive' (ODPM, 2005). Although it does not follow exactly the order proposed by the SEA Protocol and SEA Directive, the proposed structure covers all necessary information to be provided by the SEA report.

In addition, information that may be needed for reference or for detailed review by technical experts should be included in the appendices to the SEA Report. The appendices may also contain the list of authorities, agencies or individuals consulted during the SEA process, an explanation of terms (glossary), etc. Obviously, the information in the appendices should be properly referenced to in the SEA Report.

[44] *These effects should include secondary, cumulative, synergistic, short-, medium- and long-term, permanent and temporary, positive and negative effects.*

Figure 6: Possible structure and the related contents of the SEA Report

Reference source	Relevant chapter(s)
Non-technical summary	• Summary of the SEA process • Summary of the likely significant effects of the plan or programme and proposed mitigation measures • Overview of how SEA recommendations have been taken into account during the plan or programme preparation • How to comment on the report
Background on SEA and methodology used	• Purpose of the SEA • Approach adopted in the SEA • Who was consulted, and when • Difficulties encountered in compiling information or carrying out the assessment
Main features of the plan or programme	• Structure and the content • Objectives of the plan or programme • Main strategic alternatives considered in the plan or programme and how they were identified • Preparation and adoption of the plan or programme
Environmental and health baseline	• Relevant aspects of the current state of the environment, including health, and the likely evolution thereof should the plan or programme not be implemented • Links to other international, national, regional and local plans and programmes, and relevant environmental and health objectives • Key environmental and health issues and problems
Likely significant effects and mitigation measures	• Policy analysis i.e. linkages between objectives of the plan and programme and relevant environmental and health objectives • Likely significant environmental and health effects of the measures (including specific development proposals) proposed by the plan or programme • Proposed mitigation measures • Uncertainties and risks
Evaluation of alternatives	• Comparison of the significant environmental effects of the alternatives • How environmental issues were considered in choosing the preferred strategic alternatives • Other alternatives considered and why they were rejected • Any proposed mitigation measures
Implementation	• Summary of SEA recommendation's and how these should be considered in adoption and implementation of the plan or programme (including also inks to other tiers of plans and programmes and the project level (environmental impact assessment, design guidance etc.) • Monitoring scheme

Practical advice

- Don't overcomplicate the SEA Report, its main body should be short and clear. All detailed analyses and information can be provided in annexes to the report.
- Adjust the structure of the SEA Report as relevant to the nature and content of the plan or programme that is the subject of the assessment.
- Use understandable language (avoid using e.g. technical terms or acronyms without proper explanation), which make the report user-friendly to decision-makers, relevant authorities and the public.

- Always include a non-technical summary.
- Provide information on the SEA process management outlining how the process was conducted, if there were any consultations with relevant authorities and/or other stakeholders, how the outcomes of these consultations were considered in the SEA report, and so forth.
- Don't forget to clearly indicate which suggestions have been already integrated in the final draft of the plan or programme during the planning process.
- Clearly indicate any uncertainties and a lack of data and information.

1.4. Case examples

The trainer can use case examples to illustrate the structure of the SEA Report to the training participants. Examples can be prepared as a PowerPoint presentation based on the case studies from either the trainer's own country, the EU countries (refer to the resources on the UNECE page at http://www.unece.org/env/eia/sea_manual/links.html) or any other country. The trainer may use the case examples that are provided as part of the supporting documents to the Manual, namely:

- SEA and Health Impact Assessment Report for the Merseyside Local Transport Plan, 2006-2011, UK (refer to 'Merseyside LTP SEA structure Eng. docx'), and
- SEA Report for the Operational Programme Enterprise and Innovations 2007 – 2013 of the Czech Republic (refer to 'OPEI SEA report structure.docx').

1.5. Exercise: Structuring the SEA Report / Reviewing the structure of the SEA Report

Two options for group exercises can be proposed within this exercise. The participants are not required to possess specific qualifications to be able to undertake either of the options. The trainer may decide to use either of or both of the options during the training. If the selection depends on time constraints, it should be noted that Option 1 might require more time to complete. The trainer may wish to use cases from his/her country or any other country for the trainings in the future.

1.5.1. Option 1. Structuring the SEA Report

Necessary materials:

Assignment for the groups (which can be presented as a slide on the screen or in the hand-out), markers, paper, flipchart, and an A4 paper hand-out. An example (Hand-out 3.5.A.) is provided in Annex 6.

Assignment: You are the SEA team members (SEA consultant) and need to design a draft structure for your SEA Report based on the above recommendations from the UNECE Resource Manual. Against each Chapter in your SEA Report structure, indicate the information you would propose to include in it.

1.5.2. Option 2. Reviewing the provided Table of Contents of the SEA and HIA Report

Necessary materials:

Assignment for the groups (which can be presented as a slide on the screen or in the hand-out), markers, paper, flipchart, and an A4 paper hand-out. The task and cases are also provided in Hand-out 3.5.B. (Annex 6).

Assignment: The group members are provided with the Table of Contents of a real SEA Report, e.g., of the SEA and Health Impact Assessment Report for the Merseyside Local Transport Plan, 2006–2011, UK, and asked to:

- compare the provided structure with Annex IV of the Protocol on SEA,
- conclude, to the extent possible, if the report fully covers all topics stipulated by the above regulations and recommendations, and
- identify topics or information that are missing (if any).

1.6. Presenting and discussing the group work outputs

The trainer invites the participants to share the outputs of their group work.

Following this, the trainer asks the participants to provide their feedback on 2-3 of the following questions (these were also included in the exercises as an additional task, except for the three last questions):

- How should SEA reports be best structured to make them useful to the target audience? Who was in your target group and how this influenced your structure?
- How long should be a SEA report, in your opinion?
- What kind of information should be included in a non-technical summary of a SEA Report and how long should it be?
- Are there clear requirements on the content and/or structure of a SEA Report in your country? If so, please outline.
- Are environmental and health authorities involved in providing advice on the SEA structure and/or content? If not, should they be involved?
- What are the key shortcoming of the SEA reports in your country and how these can be addressed?

The trainer invites one representative (volunteer) from each group to reply to each question and keeps records on the flip-chart or a whiteboard (or blackboard).

1.7. Reflection block

After discussing the outputs of the group work, the trainer should hold a joint reflection session. The trainer invites the participants to look at the results that they have produced together and asks them 2-3 of the following questions:

- What ideas did you have during this exercise?
- What are the key messages of this session, in your view?
- What would you suggest to improve the effectiveness of the session?

The trainer invite volunteering participants to respond to the above questions in turn.

1.8. Teaching tips

1.8.1. Specific techniques / approaches

The general methods that can be used for this session are described in Part II of this Manual. More specific tips and proposed techniques are outlined in **Table 19**.

Table 19: Proposed specific techniques and teaching tips per element of the session

Elements of the session	Method to use	Specific techniques and teaching tips
Introduction to the session	Brief information from the trainer	Use PowerPoint slides as relevant
The purpose and content of the SEA Report; approach to its preparation	Interactive lecture supported by a PowerPoint presentation	Open each new topic with the questions that will evoke thinking and discussion for some 2-3 minutes. E.g., • • Do you have any experience with structuring a SEA Report? If so, please describe your experience. • • What, in your opinion, are the main reasons for preparing a SEA Report? • • What is, in your opinion, should be included in a SEA Report? First ask the question, then collect the opinions of the participants and show the respective slide(s).
Practical advice	Work in small groups	Split the trainees in small groups and assign each group several advices. Ask to review (5 min) and respond: • Are the provided pieces of advice clear? • Are they important and why? • What else would you add? Ask a volunteer from each group to share the responses to the large group (2-3 min per group).
Case examples	Brief information from the trainer and discussion	Use PowerPoint slides as relevant. Ask the participant if the cases are clear and illustrative, and what the key message was for the trainees.
Exercise: Structuring the SEA Report / Reviewing the structure of the SEA Report	Work in small groups (4-6 persons)	Prepare hand-outs and background materials, e.g. as suggested above
Presenting and discussing group work outputs	Presentations and discussion in a large group	Reporters from each group present the outputs of the group work one by one (no more than 2 minutes each). Other groups are invited to comment and ask questions.
Reflection block	Discussion in a large group	Invite participants to respond to the questions, present issues and summarize their thoughts and opinions using either the 'microphone' method or a big-circle discussion. The discussion continues until all the volunteers have expressed their thoughts.

1.8.2. Proposed structure of the presentation

The trainer can prepare a presentation based on the above theoretical background materials and additional reference sources (refer to the end of the Topic). The following structure can be used as an indicative guide for the format and content of your presentation:

- Aim and rationale (1–2 slides) — describe why a SEA Report is important, what the main purpose of it is, and what main qualities it should have;
- Legal framework (1 – 2 slides) – describe the legal requirements stipulated by the national legislation regarding the structure and content of the SEA Report. If there are no relevant provisions in the national legal framework yet, make a reference to the Protocol on SEA and/or the EU SEA Directive.
- Approaches and tools (2–3) — describe the typical structure of the SEA Report in your country, and highlight main challenges and/or typical insufficiencies in practice. If there is no sufficient practice to illustrate in your country, refer to other countries' materials found in the reference sources or other open sources.
- Practical advice (1–2 slides) — elaborate on the practical tips provided above and/or develop additional ones reflecting the context in your country.
- Case study (2–3 slides) — present the structure and content of one or two SEA Reports from your country. If no SEA Reports have been prepared in your country so far, use the materials from other EaP GREEN countries or elsewhere.
- Exercise and discussion (1–2 slides) — prepare the assignment for the exercise on the slide(s). You may use the examples provided above or prepare your own exercise.
- Reflection block (1 slide) — elaborate on questions for the reflective discussion. You may use the questions provided above (and in the assignment) and/or develop additional ones to reflect the practice or desired approaches for your country.

Slides that can be used to prepare a relevant presentation are provided among the supporting documents to this Manual (refer to 'SEA Report.pptx' and to 'Merseyside LTP SEA structure Eng.docx' and 'OPEI SEA report structure.docx' for the examples of SEA reports' structure).

1.9. Recommended reference sources

Reference source	Relevant chapter(s)
UNECE. 2012. Resource Manual to Support Application of the Protocol on Strategic Environmental Assessment. (http://www.unece.org/index.php?id=27379)	Chapter A4 SEA of plans and programmes
ODPM. 2005. A Practical Guide to Strategic Environmental Assessment Directive. Practical guidance on applying European Directive 2001/42/EC 'on the assessment of the effects of certain plans and programs on the environment'. Office of the Deputy Prime Minister, London. (https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/7657/practicalguidesea.pdf)	5. Stages of SEA

TOPIC 6. QUALITY ASSURANCE/QUALITY CONTROL

1.1. Introduction to the session

The trainer should present the goal and objectives (which could be presented as expected outcomes) of this session, as well as topics to be discussed, and familiarize participants with the structure of the session, as proposed in the table below. The expected duration of the session is 90-120 minutes.

Table 20: Proposed plan for the session

Number of the element of the session	Elements of the session	Method to use	Time
1.1.	Introduction to the session	Brief information from the trainer	5 min
1.2.	The definition and aim of quality assurance/quality control in SEA; approach to its conduit	Interactive lecture supported by a Power Point Presentation	15–25 min
1.3.	Practical advice	Work in small groups	5–10 min
1.4.	Case examples	Brief information from the trainer and discussion	5–10 min
1.5.	Exercise: quality review in SEA	Work in small groups (two options are proposed)	20–30 min
1.6.	Presenting and discussing group work outputs	Presentations and discussion in a large group	15–20 min
1.7.	Reflection block	Discussion in a large group	10–15 min

The below goal and objectives should be adjusted to the needs of the target group to be invited to the national trainings.

The goal of this teaching session is to understand the purpose, timing, need and responsibility for quality assurance/quality control in SEA. After the training the participants will be able to:

- Discuss the need for and purpose of quality assurance/quality control in SEA;
- Distinguish between the quality control of SEA reports and that of SEA process;
- Discuss who can undertake quality assurance/quality control in SEA, and when it should be undertaken; and
- Elaborate on the approach to be taken to conduct quality assurance/quality control in SEA.

The below sub-sections present the indicative material that can be used by the trainers to prepare their own presentations on quality assurance/quality control in SEA. Additional reference sources are provided at the end of this Topic.

1.2. Quality control/quality assurance in SEA: theoretical background

1.2.1. Aim and definition

The aim of the quality assurance/quality control step in SEA is to ensure that the SEA process has provided reliable and objective information to be considered when adopting the plan or programme and has communicated this information effectively to stakeholders. Quality assurance focuses on preventing potential deficiencies, while quality control is more output-oriented and focuses on the identification of deficiencies.

Two objects of quality assurance/quality control can be distinguished, i.e.:

- The SEA report; or
- The entire SEA process (including the SEA administrative procedure).

The quality review of SEA reports is the most frequent form that the quality control step takes in practice. However, optimally the quality control in SEA should not be focused only on the SEA report, but on the entire SEA process, especially on its interaction with the planning process and integration of SEA recommendations in the draft plan or programme as the expected 'end-result' of SEA. The quality of SEA consists of many aspects, e.g., communication between SEA and planning teams, availability and appropriateness of data and information, the use of effective impacts´ evaluation tools and techniques, means of stakeholders´ consultations and participation, and an extent of integration of the SEA findings into the plan or programme.

The Protocol on SEA does not provide for details with respect to quality control of SEA, but it stipulates in its Article 7 that the countries (i.e. Parties to the Protocol on SEA) shall ensure that environmental reports are of sufficient quality to meet the requirements of the Protocol on SEA.

1.2.2. Who is responsible and when to do quality control?

It needs to be noted that quality assurance in SEA is often not defined as an individual stage in the SEA process, and responsibility for assuring quality depends on the institutional arrangements in a given country. The same authority that prepared the environmental report might also be responsible for assuring its quality. The environmental authority responsible for reviewing the SEA report, if such exists, might also take on the task of quality control, or an independent commission might be set up or an existing audit commission might have its mandate extended.

In some countries environmental and health authorities are responsible for reviewing the scoping reports and issuing the so-called Scoping Opinions or Scoping Statements. Such Scoping Opinions or Statements can be considered as a quality control tool in the early stages of the SEA process. An example of the Scoping Opinion form is given in Annex 10 to this Manual.

The practice shows that there are several points during the SEA process when certain 'types' of the quality assurance and control mechanism can be launched, namely:

- internal quality reviews can be initiated during as part of the SEA process and can be applied at any stage of SEA;
- external quality reviews are usually undertaken once a (draft) SEA report is completed (this can be a formal check by the responsible / competent authorities can are expected to issue the SEA approval or SEA statement);
- external quality audits that are carried out by an outside organisation, typically an independent consultant, a government body such as the Netherlands Environmental Impact Agency, or a non-government organisation such as the UK Institute of Environmental Management and Assessment. The audit could be commissioned either by the competent authority as a pre-emptive 'self-check', or as a critical analysis 'against' the competent authority, e.g. by a non-government organisation. Audits typically look at i) whether the SEA report (and/or process where appropriate) fulfils legal minimum requirements and, if not, what else it requires; and ii) whether it has been broadly done in accordance with current best practice and, if not, what else it could include.

It should be also noted that consultations with public can be considered as another type of quality control. Often, public discussion reveals insufficiencies or errors in the SEA report, or misinterpretation of conclusions, etc.

1.2.3. Approaches

How can we review the quality of the SEA process or report? The most widely used method requires a preparation of a set of **review criteria**[45]. Usually, for each task the quality reviewers develop a unique set of criteria. These are a series of questions (or statements that can be used as questions), which provide a check on whether the SEA report or process has been undertaken properly. Review criteria can focus on the SEA report, and help to ensure that it discusses everything that it should, e.g. 'Is information presented so as to be comprehensible to the non-specialist?', 'Is there a non-technical summary?' The criteria cannot really and should not cover the detailed technical aspects of SEA, if the right models have been applied, or the right assumptions or scenarios have been used. The criteria can only test whether the SEA process has been carried out to a very limited extent, e.g. 'Have the right people been involved at the right time?'.

There are a number of documents containing quality assurance checklists or best practice criteria that can be used to review the quality of SEA reports and/or SEA processes. They include:

- International Association for Impact Assessment's (IAIA's) SEA performance criteria;
- the quality assurance checklist from the UK's 'A Practical Guide to SEA' (ODPM, 2005) is useful in verifying the SEA report, and to some extent, SEA process is of sufficient quality;
- the sample quality assurance checklist, provided in the UNECE Resource Manual (see **Table 21**), that was derived from the above UK's Guide and can be adjusted to the needed context; and
- the 'Quality review package' that was developed at the EIA Centre of the University of Manchester, UK, potentially for SEA reports of land-use plans, but can be used for SEA reports in other sectors as well.

Table 21: Quality assurance checklist (UNECE, 2012)

Objectives and context
• The plan's or programme's purpose and objectives are made clear. • Environmental issues and constraints, including international and EC environmental protection objectives, are considered in developing objectives and targets. • SEA objectives, where used, are clearly set out and linked to indicators and targets where appropriate. • Links with other related plans, programmes and policies are identified and explained. • Conflicts that exist between SEA objectives and plan objectives and between SEA objectives and other plan objectives are identified and described
Scoping
• Relevant authorities with environmental, including health, responsibilities are consulted in appropriate ways and at appropriate times on the content and scope of the environmental report. • The assessment focuses on significant issues. • Technical, procedural and other difficulties encountered are discussed; assumptions and uncertainties are made explicit. • Reasons are given for eliminating issues from further consideration.
Alternatives
• Realistic alternatives are considered for key issues, and the reasons for choosing them are documented. • Alternatives include "do minimum" and/or "business as usual" scenarios wherever relevant. • The environmental effects (both adverse and beneficial) of each alternative are identified and compared. • Inconsistencies between the alternatives and other relevant plans, programmes or policies are identified and explained. • Reasons are given for selection or elimination of alternatives.
Baseline information
• Relevant aspects of the current state of the environment and their likely evolution without the plan or programme are described. • Environmental characteristics of areas likely to be significantly affected are described, including areas wider than the physical boundary of the plan area where it is likely to be affected by the plan. • Difficulties such as deficiencies in information or methods are explained.
Prediction and evaluation of likely significant environmental effects

[45] *A 'criterion' is a benchmark, standard, or yardstick against which accomplishment, conformance, performance, quality, suitability, etc. of an assessment, alternative, activity, or plan can be measured.*

- Effects identified include the types listed in the Protocol (human health, flora, fauna, biodiversity, soil, climate, air, water, landscape, natural sites, material assets and cultural heritage), as relevant; other likely environmental effects are also covered, as appropriate.
- Both positive and negative effects are considered, and the duration of effects (short, medium or long term) is addressed.
- Likely secondary, cumulative and synergistic effects are identified where practicable.
- Interrelationships between effects are considered where practicable.
- The prediction and evaluation of effects makes use of relevant accepted standards, regulations, and thresholds.
- Methods used to evaluate the effects are described.

Mitigation measures

- Measures envisaged to prevent, reduce and offset any significant adverse effects of implementing the plan or programme are indicated.
- Issues to be taken into account in project consents are identified.

The environmental report

- Is clear and concise in its layout and presentation.
- Uses simple, clear language and avoids or explains technical terms.
- Uses maps and other illustrations where appropriate.
- Explains the methodology used.
- Explains who was consulted and what methods of consultation were used.
- Identifies sources of information, including expert judgement and matters of opinion.
- Contains a non-technical summary covering the overall approach to the SEA, the objectives of the plan, the main options considered and any changes to the plan resulting from the SEA.

Consultation

- The SEA is consulted on as an integral part of the plan-making process.
- Relevant authorities with environmental, including health, responsibilities and the public likely to be affected by, or having an interest in, the plan or programme are consulted in ways and at times which give them an early and effective opportunity within appropriate time frames to express their opinions on the draft plan and environmental report.

Decision-making and information on the decision

- The environmental report and the opinions of those consulted are taken into account in finalizing and adopting the plan or programme.
- An explanation is given of how they have been taken into account.
- Reasons are given for choosing the plan or programme as adopted, in the light of other reasonable alternatives considered.

Monitoring measures

- Measures proposed for monitoring are clear, practicable and linked to the indicators and objectives used in the SEA.
- Monitoring is used, where appropriate, during implementation of the plan or programme to make good deficiencies in baseline information in the SEA.
- Monitoring enables unforeseen adverse effects to be identified at an early stage. (These effects may include predictions that prove to be incorrect.)
- Proposals are made for action in response to significant adverse effects.

Practical advice

- Clearly define the object of your review (e.g., the SEA process or SEA report) and its purpose;
- Do not focus the quality assurance/quality control solely on the SEA report, but also address the wider context and procedural aspects (the SEA process);
- Understand quality assurance/quality control as a support to SEA conclusions and recommendations, rather than a critique focusing on minor details;
- Keep your quality assurance/quality control scheme simple and efficient. More attention should be paid to the complicated SEA processes and important plans and programmes of a strategic nature, rather than applying the same approach for all SEAs in the country;
- Enable the public to comment on the quality of SEA reports and also provide room in the procedure to integrate these comments into the final SEA report before decision-making.

1.4. Case examples

The trainer can use case examples to illustrate the quality assurance/quality control procedure to the training participants. Examples can be prepared as a PowerPoint presentation using the cases from the trainer's own country or elsewhere. Alternatively, the trainer can use the case examples provided below (Table 22). The PowerPoint case example from the Czech Republic is also provided as part of the supporting documents to this Manual (refer to 'Quality Control SEA Czech Republic.pptx').

1.5. Exercise: quality review in SEA

Two options are proposed for this exercise as follows:

1.5.1. Option 1. Comparing quality review approaches in SEA

The trainer splits the participants into small groups (or, in case participants come from different countries, into groups based on countries). Then, he/she asks them to compare the approaches to the quality review as presented in the case examples (Table 22) with the approaches used or proposed to be used in their country(ies). The trainer asks them to elaborate and provide feedback on the questions below. The trainer may wish to use cases from any countries for this exercise in the future or the cases provided.

Necessary materials:

Assignment for the groups (which can be presented as a slide on the screen or in the hand-out), markers, paper, flipchart, and an A4 paper hand-out. An example (Hand-out 3.6.A.) is provided in Annex 7.

Assignment: Compare the approaches to the quality review as presented in the case examples (Table 22) with the approaches used or proposed to be used in their country. Elaborate and provide feedback on the following questions:

- What should be the role of quality assurance/quality control in SEA?
- What are the pros and cons of the approaches to quality control introduced? Which one is the most similar to the quality control mechanisms in your country?
- What approaches are used in your country? Are there any specific criteria for a good SEA report or SEA process?
- Do you see any limitations of the approaches used in your country? If so, what changes would you suggest?

1.5.2. Option 2. Discussing the quality review criteria

The trainer splits the participants into small groups and provides them with the list of quality review criteria or questions. He/she asks the groups to select three of the most relevant ones in their view and justify the selection.

Necessary materials:

Assignment for the groups (which can be presented as a slide on the screen or in the hand-out), markers, paper, flipchart, and an A4 paper hand-out. An example (Hand-out 3.6.B.) is provided in Annex 7.

Assignment:

- Review the list of the provided quality review criteria or questions,
- Select three most relevant ones, and
- Justify the selection.

1.6. Presenting and discussing the outputs of group work

The trainer invites the participants to share the outputs of their group work and provide their feedback on the questions included in the exercise above. The trainer invites one representative (volunteer) from each group to reply to each question and keeps records on the flip-chart or a whiteboard (or blackboard).

If time allows, the trainer can asks the additional questions:

- Can any existing scheme in your country (e.g. SEE) be considered as a quality control mechanism?
- If so, how it could be linked to the quality control in SEA?
- Do you think that additional quality assurance/quality control mechanisms are needed in your country? Why yes/no? If yes, how it should be designed?

1.7. Reflection block

After discussing the outputs of the group work, the trainer should hold a joint reflection session. He/she invites the participants to look at the results that they have produced together and asks them 1-2 of the following questions:

- What ideas did you have during this exercise?
- In your opinion, what are the most important messages of this session?
- What would you suggest to improve the effectiveness of the session?

The trainer invites volunteering participants to respond to the above questions in turn.

Table 22: Approaches to the SEA quality control in the Czech Republic, Denmark and the Netherlands

		Czech Republic	Denmark	The Netherlands
Division between environmental/ SEA competent authority and planning agency (proponent)	Public authority	SEA Competent Authority (CA) coordinates entire SEA process	CA is responsible for the entire SEA process.	CA is responsible for screening, scoping, organizing public participation. CA responsible for justifying the ultimate decision in light of the SEA findings.
	Proponent	Has to prepare and submit required documents i.e. mainly notification (for screening and scoping stage) and the SEA report together with the draft plan or programme	Proponent can be required to deliver information.	Proponent is responsible for conducting the SEA report.
Quality control measures embedded in national legislation	Scoping	The SEA CA has to check if the notification includes all information required by the SEA Law	Other relevant authorities must be consulted on scope and report. Input from relevant authorities is appropriate.	CA is responsible for scoping. The NCEA (National Commission for Environmental Assessment) can be asked to provide scoping advice at the start of the EA procedure. For each SEA, the NCEA then forms specific expert panels comprised of the most relevant disciplines. Reviews are mandatory on so-called comprehensive projects. CA also asks 'legal advisors' for a scoping advice. CA decides on the eventual scope. Other relevant authorities must be consulted on scope and report. CA may be asked or voluntarily provide scoping advice (in this case the CA also asks 'legal advisors' for a scoping advice). Proponent can ask for scoping advice from the NCEA on a voluntary basis (for a fee).
	Public participation	Public is involved in (i) screening/scoping (runs together in the Czech SEA system), when everybody (i.e. including general public) can give comments regarding the scope of SEA, and (ii) in the stage of SEA Report and the draft plan or programme	Public to give input and review in authority's consultation on the final SEA report, but not on the scope. The SEA report must to a relevant extent respond to public input. Public can appeal to national boards of appeal, which has the power to reverse decisions.	Public to give input and review in authority's consultations on the final SEA report.
	Review of the SEA report	The SEA CA has to check if the SEA report includes all information required by the SEA Law	No formal provisions besides consultation of other authorities. Relies on public involvement noted above.	NCEA is responsible for undertaking a quality review of the EA report, which was mandatory for all development actions until 2010. Since 2010, a review has been required only for so-called comprehensive projects or development actions.
	Public statements on the use of SEA	The decision-making body responsible for adoption of the plan or programme has to prepare and publish the statement on how SEA results have been considered in the plan or programme as adopted together with additional information as required by Art. 9.1 of the EU SEA Directive.	Until 2010, the public statement must include a specification of whether the most environmental friendly alternative was selected.	The public statement must include reasons for choices and description of measures to handle the negative impacts.

1.8. Teaching tips

1.8.1. Specific techniques / approaches

The general methods that can be used for this session are described in Part 2 of this Manual. More specific tips and proposed techniques are outlined below.

Table 23: Proposed specific techniques and teaching tips per element of the session

Elements of the session	Method to use	Specific techniques and teaching tips
Introduction to the session	Brief information from the trainer	Use PowerPoint slides as needed
The definition and aim of quality assurance/quality control in SEA; approaches to its application	Interactive lecture supported by a PowerPoint presentation	Open each new topic with the questions that will evoke thinking and discussion for some 2–3 minutes. E.g., • What is a quality of assessment in your understanding? • When should a quality review be undertaken? • Who should be responsible for the quality review? • Why is quality review needed / important? • Do you have any experience with quality review of environmental assessment reports? First ask the question, then collect the opinions of the participants and show the respective slide(s).
Practical advice	Work in small groups	Use PowerPoint slides as needed. Split the participants in small groups and assign each group several advices. Ask to review (5 min) and respond: • Are the provided pieces of advice clear? • Are they important and why? • What else would you add? Ask a volunteer from each group to share the responses to the large group (2–3 min per group).
Case examples	Brief information from the trainer and discussion	Use PowerPoint slides as needed. Ask the participant if the cases are clear and illustrative, and what the key message was for the trainees.
Exercise: quality review in SEA	Work in small groups (4–6 persons)	Prepare hand-outs and background materials, e.g. as suggested above
Presenting and discussing group work outputs	Presentations and discussion in a large group	Group reporters present group work outputs one by one (not more than 2 minutes each).
Reflection block	Discussion in a large group	Invite participants to respond to the questions, present issues and summarize their thoughts and opinions using either the 'microphone' method or a big-circle discussion. The discussion continues until all the volunteers express their thoughts.

1.8.2. Proposed structure of the presentation

The trainer can prepare a presentation based on the above theoretical background materials and additional reference sources (refer to the end of the Topic). The following structure can be used as an indicative guide for the format and content of your presentation:

- Aim and rationale (1–2 slides) — define what quality assurance/quality control in SEA is, and describe why it is needed and important;
- Legal framework (1–2 slides) — describe the legal requirements stipulated by the national legislation regarding quality assurance/quality control in SEA.
- Approaches (3–5) — describe the approaches to quality assurance/quality control in SEA in your country, including when to do this procedure, who should be responsible, what could be the practical arrangements, etc. If there is no sufficient practice to illustrate from your country, refer to other countries' materials found in the reference sources or other open sources.
- Practical advice (1–2 slides) — elaborate on the practical tips provided above and/or develop additional ones reflecting the context in your country.
- Case study (2 – 3 slides) – illustrate a quality control procedure and present the quality control /review conclusion (statement) for SEA from your country. If no SEA quality reviews have been undertaken in your country so far, use the materials from elsewhere.
- Exercise and discussion (1–2 slides) — prepare the assignment for the exercise on the slide(s). You may use the examples provided above or prepare your own exercise.
- Reflection block (1 slide) — elaborate on questions for the reflective discussion. You may use the questions provided above (and in the assignment) and/or develop additional ones to reflect the practice or desired approaches for your country.

Slides that can be used to prepare a presentation on quality assurance / control in SEA are provided among the supporting documents to this Manual (refer to 'Quality Control.ppt' and to 'Quality Control SEA Czech Republic.pptx' for the case example).

1.9. Recommended reference sources

Reference source	Relevant chapter(s)
UNECE. 2012. Resource Manual to Support Application of the Protocol on Strategic Environmental Assessment. (http://www.unece.org/index.php?id=27379)	Chapter A4 SEA of plans and programmes
ODPM. 2005. A Practical Guide to Strategic Environmental Assessment Directive. Practical guidance on applying European Directive 2001/42/EC 'on the assessment of the effects of certain plans and programs on the environment'. Office of the Deputy Prime Minister, London. (https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/7657/practicalguidesea.pdf)	5. Stages of SEA
N. Lee, R. Colley, J. Bonde, & J. Simpson. 1999. Reviewing the quality of environmental assessments and environmental appraisals. EIA Centre, University of Manchester. (https://aardlink.files.wordpress.com/2013/08/op55.pdf)	Part C. environmental appraisals review package NB. Applicable for the quality review of SEA reports
IAIA. 2002. SEA performance criteria. International Association for Impact Assessment. (https://www.iaia.org/uploads/pdf/sp1.pdf)	NB. More appropriate for the quality assurance / review of the SEA process

TOPIC 7. SEA MONITORING

1.1. Introduction to the session

The trainer should present the goal and objectives (which could be presented as expected outcomes) of this session, as well as topics to be discussed, and familiarize participants with the structure of the session, as proposed in the table below. The expected duration of the session is 90-120 minutes.

Table 24: Proposed plan for the session

Number of the element of the session	Elements of the session	Method to use	Time
1.1.	Introduction to the session	Brief information from the trainer	5 min
1.2.	Theoretical background	Interactive lecture supported by a PowerPoint presentation	15–20 min
1.3.	Practical advice	Brief information from the trainer; discussion in small groups and sharing of opinions	15–20
1.4.	Case examples	Presentation by the trainer and discussion in a large group	10–20 min
1.5.	Exercise: discussion of monitoring approaches	Discussion of questions in small groups with further presentation of results and feedback from the participants	15–25 min
1.6.	Reflection block	Discussion in a large group	10–15 min

The below goal and objectives should be adjusted to the needs of the target group to be invited to the trainings.

The goal of this teaching session is to understand the role of and need for SEA monitoring and follow up, as well as their contribution to and links with the implementation of plans or programmes. After the training the participants will be able to:

- Explain what monitoring in SEA is and explain the need for the monitoring or follow up programme;
- Outline the components of a SEA monitoring programme;
- Elaborate on the links between SEA monitoring and the implementation of plans or programmes,
- Identify the key actors and responsible parties in SEA monitoring, and
- Discuss and propose a SEA monitoring programme.

The below sub-sections present the indicative material that can be used by the trainers to prepare their own presentations on the Topic. Additional reference sources are provided at the end of this Topic.

1.2. SEA monitoring and follow-up: theoretical background

1.2.1. Rational and key formal requirements

Monitoring is crucial for securing environmentally friendly and sustainability-led delivery of plans or programmes and the learning process. This is recognized in the requirements of both the Protocol on SEA and the SEA Directive. In particular, the Protocol on SEA requires that the SEA report should contain measures envisaged for monitoring the significant environmental (and health) effects of the implementation of the adopted plan or programme (Annex IV) and stipulates further requirements regarding monitoring in its Article 12. According to the UNECE Resource Manual, monitoring might be used to:

- Compare predicted and actual effects, thus providing information on the implementation of the plan or programme;
- Provide experience to help improve future SEAs (i.e., as a quality control tool);
- Check that environmental conditions imposed by the authorities are being complied with;

- Check that the plan or programme is implemented as described, including the prescribed measures to prevent, reduce or compensate adverse effects.

Monitoring measures should not only be envisaged, but also implemented (as is required by the Protocol on SEA and the SEA Directive). Despite the importance of SEA monitoring, there are very few practical cases of its implementation. This is largely due to difficulties in tracking the effects of plans or programmes, establishing a cause-effect relationship at the plan or programme level and attributing them to a particular plan or programme.

1.2.2. SEA monitoring programme

Monitoring is not sufficient on its own to continuously incorporate environmental considerations into the implementation of plans or programmes or to provide information about environmental and health effects to stakeholders. To ensure this, a SEA monitoring (or SEA follow up) programme should be designed that would include:

1) monitoring of:

- environmental and health effects during the implementation of the plan and programme; and
- how the mitigation measures proposed by the SEA are implemented;

2) evaluation of the monitoring results and taking response actions (as the Protocol on SEA and the SEA Directive require that the actors who are implementing the plan or programme should be able to take appropriate response measures); and

3) communication (since the Protocol on SEA and the SEA Directive require that the results of monitoring be made available to the stakeholders).

1.2.3. How to design the SEA monitoring programme

The SEA Report should suggest indicators to enable the monitoring of the main likely affects identified in the assessment (see 'Approaches' below). When compiling the SEA Report, the UK's 'A Practical Guide on SEA' (2005) recommends preparing a table that will outline the responsibility for the monitoring process and will cover the following:

- Monitoring activity to be undertaken
- Responsibility for undertaking the monitoring
- When the monitoring needs to be carried out (dates and frequency)
- How results should be presented and in what format
- Status of monitoring and any problems encountered.

It should be noted that the SEA monitoring programme design depends on the scope, content of a specific plan or programme that needs to be monitored, as well as on administrative level and legal requirements. Further, for general policies and strategies at the national or regional level it is hardly possible to distinguish between the effects of a given plan (subject of SEA and thus a subject of monitoring) and the effects of other activities happening in the area. In many cases, the only option is then to rely on general environmental monitoring. If a plan or programme is implemented via a number of specific projects, the approach can be to monitor individual projects, and by 'summing up' the impacts of individual projects to estimate the overall effects of the planning document. But this approach is possible only in certain cases and is demanding. This, however, also requires linking the environmental monitoring to the overall monitoring and evaluation of the plan or programme implementation.

1.2.4. Links between the SEA monitoring delivery and implementation of the plan or programme

The SEA monitoring activities and reporting should be optimally integrated in the overall monitoring scheme for the implementation of the plan or programme and/or linked to the regular revisions of a plan or programme. This needs to be discussed already during the SEA process when designing the monitoring scheme.

1.2.5. Who should be responsible for SEA monitoring delivery?

The monitoring programme/measures should be prepared within the SEA Report. However, how the responsibilities for the implementation of monitoring should be assigned is not explicit. The Protocol on SEA and SEA Directive do not suggest who, where, when or how should undertake the SEA monitoring programme. However, in many countries responsibilities to monitor environmental and health effects during the implementation of the plan or programme are legally assigned to the agency coordinating its implementation. Thus, when designing a monitoring arrangement, it has to be decided whether the tasks should be performed by the same authority or body implementing the plan or programme or by different authorities or bodies, e.g. environmental authorities (IMPEL, 2002).

It stems from practice, however, that the agency implementing a plan or programme holds the key role in monitoring the implementation of both the plan or programme and the SEA monitoring programme.

1.2.6. Approaches and tools

As previously mentioned, monitoring is linked to the environmental baseline, effect evaluation, and mitigation measures. The table below illustrates a typical structure for monitoring.

Table 25: Example of structure for monitoring

SEA objective	Significant environmental effect	Proposed monitoring
To protect and where possible enhance flora and fauna	Permanent loss of inter-tidal habitat due to 'hold the line' coastal protection schemes and on-going coastal squeeze	Monitoring of the quantity of inter-tidal habitat losses and gains using: • modelling based on water levels (annual); • aerial photography (at least on a 5 yearly basis).
	Inter-tidal habitat creation	Long-term monitoring through: • aerial photography • vegetation surveys • bird surveys • benthic macro-invertebrate surveys
To protect the historic environment	Potential to unearth or damage buried archaeological features	No strategic monitoring required. During preparation of detailed designs, appropriate archaeological assessments and watching briefs will be carried out.

Based on: Environment Agency (2006) Humber Estuary Defence Study. (https://www.gov.uk/government/organisations/environment-agency)

The basic tool for SEA monitoring is based on the use of indicators that are tailored to each identified issue across the environmental and health themes in SEA (or, depending on the methods used, to SEA objectives). The example of such a structure is given in **Figure 7**.

SEA Topic	Possible SEA objectives (to be adapted to regional/local circumstances)	Possible SEA indicators (to be adapted to regional/local circumstances)
Biodiversity, fauna and flora	• avoid damage to designated wildlife and geological sites and protected species • maintain biodiversity, avoiding irreversible losses • restore the full range of characteristic habitats and species to viable levels • reverse the long term decline in farmland birds • ensure the sustainable management of key wildlife sites and the ecological processes on which they depend • provide opportunities for people to come into contact with and appreciate wildlife and wild places	• reported levels of damage to designated sites/species • achievement of Biodiversity Action Plan targets • reported condition of nationally important wildlife sites, Sites of Special Scientific Interest (SSSIs) etc • achievement of 'Accessible Natural Greenspace Standards' • number/area of Local Nature Reserves
Population and human health	• create conditions to improve health and reduce health inequalities • promote healthy living • protect and enhance human health • reduce and prevent crime, reduce fear of crime • decrease noise and vibration • increase opportunities for indoor recreation and exercise	• size of population • changes in demography • years of healthy life expectancy / infant mortality rate • mortality by cause • recorded crimes per 1,000 population • fear of crime surveys • number of transport/pedestrian/cyclist road accidents • number of people affected by ambient • noise levels • proportion of tranquil areas • percentage of population living in most deprived areas/reliant on key benefits/ income deprived • general resident perception surveys

Figure 7: Examples of SEA indicators (ODPM, 2005)

As another example, the IMPEL Report on Monitoring for SEA Directive (2002) recommends applying the DPSIR framework-based groups of indicators:

- Indicators for driving forces to describe the social, demographic and economic developments in societies and the corresponding changes in life styles etc.
- Pressure indicators to describe developments in release of substances, physical and biological agents, the use of resources and the use of land.
- State indicators to give a description of the quantity and quality of physical, biological or chemical phenomena in a certain area. They may, for instance, describe the wildlife resources.
- Impact indicators to be used to describe, which impact results from the driving forces.
- Response indicators to refer to responses by groups and individuals in society, as well as government attempts to prevent, compensate, ameliorate or adapt changes in the state of the environment.

The information collected through this framework is then evaluated and interpreted by the responsible stakeholders holding the necessary mandate and possessing technical capacities. The data collection, processing and storage involves application of different tools and databases, e.g. GIS and other software, specialized governmental databases, existing national monitoring schemes, and various sectors databases. Further, the evaluated and stored data are used for managerial decisions and actions according to the objectives of SEA follow up programs.

Practical advice

Steps in designing and implementing a monitoring scheme	DO NOT FORGET
SEA scoping and impact assessment	• To consider environmental and sustainability issues, objectives and indicators from a plan or programme • To actively engage the plan/programme planning team/proponents of the plan or programme and relevant environmental authorities when formulating monitoring scheme.
Monitoring	• That indicators should be easily analyzed and measurable (e.g., SMART approach[46]) • That indicators that are already monitored should be preferably used, while recommendations on introducing new indicators needs to be provided only rarely (and properly discussed with relevant environmental agencies) • That monitoring should enable information to be recorded and stored in a format useable for other agencies/ authorities • To include mitigation measures to be monitored • To include SEA recommendations • To discuss monitoring and evaluation methods and their resource-feasibility with the PP proponent
Evaluation	• To match evaluation with the regular revision of PP • To use simple methods whenever possible
Management	• To match SEA follow-up actions with monitoring program of PP so that they get integrated into the planning cycle • To make provisions for emergent actions in case monitoring reveals unforeseen impacts • To make monitoring, evaluation and management arrangements realistic/cost-effective
Communication	• To make space for obtaining feedback from the relevant authorities and the public on the progress of PP and SEA follow-up • To describe how the outputs of monitoring will be/have been considered by the proponent • To acknowledge open questions, uncertainties and difficulties that came about during PP and SEA follow-up implementation • To avoid complicated jargon.

[46] *Refer to the EC's European Evaluation Network for Rural Development (https://enrd.ec.europa.eu/evaluation/faq/indicators_en).*

1.4. Case examples

The trainer can case examples to illustrate the approaches to monitoring in SEA to the participants. Examples can be prepared as a PowerPoint presentation based on the case studies from either the trainer's own country, the EU countries (refer to the resources on the UNECE page at http://www.unece.org/env/eia/sea_manual/links.html) or any other country.

1.5.Exercise: discussion of monitoring approaches

The trainer invites the participants to discuss the following questions in small groups:

- What are general environmental/health monitoring scheme(s) in your country?
- What indicators can be used for monitoring?
- Which agencies can/should be responsible for environmental and health monitoring?
- How should SEA monitoring be linked with the monitoring for the plan or programme?

Then, the trainer invites one representative (volunteer) from each group to reply to each question and asks all participants to provide their feedback. The trainer keeps records on the flip-chart or a whiteboard (or blackboard).

1.6. Reflection block

The trainer invites the participants to reflect on the following questions in turn:

- In your opinion, what are the most important messages of this session?
- What would you suggest to improve the effectiveness of this session?

1.7. Teaching tips

1.7.1. Specific techniques / approaches

The general methods that can be used for this session are described in Part II of this Manual. More specific tips and proposed techniques are outlined below.

Table 26: Proposed specific techniques and teaching tips per element of the session

Elements of the session	Method to use	Specific techniques and teaching tips
Introduction to the session	Brief information from the trainer	Use PowerPoint slides as relevant
Theoretical background	Interactive lecture supported by a PowerPoint presentation	Open each new topic with the questions that will evoke thinking and discussion for some 2–3 min. E.g., • What is understood to be 'monitoring' in relation to SEA? • Is it enough to only monitor? What other activities are needed? • What can be the subject(s) of monitoring in SEA? • Who should be responsible for delivering the SEA monitoring programme? First ask the question, then collect the opinions of the participants and show the respective slide(s).
Practical advice	Brief information from the trainer; discussion in small groups and sharing of opinions	Split the participants in small groups and assign each group a set of 'practical advice' for a SEA monitoring programme (e.g., a set for scoping, management — from the above table). Ask to review (5 min) and say: • Are the provided pieces of advice clear? • Are they important and why? • What else would you add? Ask a volunteer from each group to share the responses to the large group (2–3 min per group).
Case examples	Presentation by the trainer and discussion in a large group	Use PowerPoint slides as relevant; Ask the participant if the cases are clear and what the key message is for the participants.
Exercise: discussion of monitoring approaches	Discussion of the provided questions in small groups, followed by the presentation of results and feedback from the participants	Split the participants into 4–5-people groups and ask them to elaborate on the provided questions. Then, the reporters of each group present the outputs of the group work one by one (no more than 2 minutes each). The entire group is invited to comment on each presentation.
Reflection block	Discussion in a large group	Invite the participants to respond to the questions, present issues and summarize their thoughts and opinions using either the 'microphone' method or a big-circle discussion. The discussion continues until all the volunteers have expressed their thoughts.

1.7.2. Proposed structure of the presentation

The trainer can prepare a presentation based on the above theoretical background materials and additional reference sources (refer to the end of the Topic). The following structure can be used as an indicative guide for the format and content of your presentation:

- Overview (1–2 slides) — describe what monitoring is in the context of SEA, why it is needed and important;
- Legal framework (1 – 2 slides) – describe the legal requirements stipulated by the national legislation regarding monitoring actions that stem from the SEA process;
- Approaches (2–3) — describe the approaches to monitoring in SEA in your country; including aspects such as who is responsible for monitoring, how it is linked with monitoring of plans or programmes, how a monitoring scheme can be organized in practice. If there is no sufficient practice to illustrate from your country, refer to other countries' materials found in the reference sources or other open sources.
- Practical advice (1–2 slides) — elaborate on the practical tips provided above and/or develop additional ones reflecting the context in your country.
- Case study (2 – 3 slides) - present a SEA case with the monitoring scheme from your country. If no such cases are available from your country, use the materials from elsewhere.
- Exercise (1–2 slides) — prepare questions for discussion in small groups and their subsequent presentation to a large group. You may use the questions provided above and/or develop additional ones to reflect the practice or desired approaches for your country.
- Reflection block (1 slide) — elaborate on the questions for the reflective discussion on the outputs of the session.

Slides that can be used to prepare a presentation on monitoring in SEA are provided among the supporting documents to this Manual (refer to 'Monitoring.pptx').

1.9. Recommended reference sources

Reference source	Relevant chapter(s)
UNECE. 2012. Resource Manual to Support Application of the Protocol on Strategic Environmental Assessment. (http://www.unece.org/index.php?id=27379)	Chapter A4 SEA of plans and programmes
ODPM. 2005. A Practical Guide to Strategic Environmental Assessment Directive. Practical guidance on applying European Directive 2001/42/EC 'on the assessment of the effects of certain plans and programs on the environment'. Office of the Deputy Prime Minister, London. (https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/7657/practicalguidesea.pdf)	5. Stages of SEA
European Union Network for the Implementation and Enforcement of Environment Law (IMPEL) final report. 2002. IMPEL PROJECT: Implementation of Article 10 of the SEA Directive 2001/42/EC. (http://ec.europa.eu/environment/archives/eia/pdf/impel_final_report.pdf)	8. Monitoring
European Commission. 2003. Implementation of Directive 2001/42 on the assessment of the effects of certain plans and programmes on the environment. Commission of the European Communities, Brussels. (http://ec.europa.eu/environment/archives/eia/pdf/030923_sea_guidance.pdf)	
EC's European Evaluation Network for Rural Development. 2018. Indicators. (https://enrd.ec.europa.eu/evaluation/faq/indicators_en)	

TOPIC 8. CONSULTATIONS WITH ENVIRONMENTAL AND HEALTH AUTHORITIES AND PUBLIC PARTICIPATION

1.1. Introduction to the session

The trainer should present the goal and objectives (which could be presented as expected outcomes) of this session, as well as topics to be discussed, and familiarize participants with the structure of the session, as proposed in the table below. The expected duration of the session is 90-120 minutes.

Table 27: Proposed plan for the session

Number of the element of the session	Elements of the session	Method to use	Time
1.1.	Introduction to the session	Brief information from the trainer	5 min
1.2.	How to integrate consultations with environmental and health authorities and public participation in the SEA process	Interactive lecture supported by a Power Point presentation	20–30 min

Table 27: Proposed plan for the session

Number of the element of the session	Elements of the session	Method to use	Time
1.3.	Practical advice	Discussion in small groups	5–10 min
1.4.	Case examples	Brief information from the trainer and interactive discussion	5–10 min
1.5.	Exercise: Integrating consultations with environmental and health authorities and public participation into the SEA process	Work in small groups (two options are proposed)	20–30 min
1.6.	Presenting and discussing group work outputs	Presentations and discussion in a large group	20–30 min
1.7.	Reflection block	Discussion in a large group	10–15 min

The below goal and objectives should be adjusted to the needs of the target group to be invited to the national trainings.

The goal of this session is to gain understanding of and specific insights on consultations with environmental and health authorities and public participation in the SEA process. After the training the participants will be able to:

- Explain the rationale and benefits of consultations with environmental and health authorities and public participation and its integration in the SEA process;
- Identify the key relevant stakeholders to be consulted and participate in the SEA process;
- Outline those stages of the SEA process where consultations with environmental and health authorities and public participation should be carried out and understand the potential advantages and disadvantages of different approaches to consultations with environmental and health authorities and public participation;
- Describe and select the methods and tools for consultations with environmental and health authorities and public participation; and
- Describe the main expected inputs from consultations with environmental and health authorities and public participation and how they should be taken into account in relevant stages of SEA process and/or plan or programme. Stakeholder engagement during the SEA process: theoretical background.

The below sub-sections present the indicative material that can be used by the trainers to prepare their own presentations on this theme. Additional reference sources are provided at the end of this Topic.

1.2. Consultations with environmental and health authorities and public participation in the SEA process: theoretical background

1.2.1. 1.2.1. Why to carry out consultations with environmental and health authorities and public participation during the SEA process?

The Protocol on SEA in its preamble acknowledges the importance of providing for public participation in SEA and recognises public participation and consultations with environmental and health authorities and the subsequent consideration of their results in a plan or programme as an integral part of SEA (Art. 2.6). The Protocol on SEA further stipulates requirements for consultations with environmental and health authorities and participation of the public at the key stages of SEA (Art. 5, 6, 8 and 9) including the transboundary consultations (Art. 10).

In practice as well as in SEA theory, those organizations and individuals that are interested in, can affect or be affected by a plan or programme are often referred to as 'stakeholders' (i.e., have 'a stake' in a plan/programme). Stakeholders thus can include governmental agencies (i.e. environmental and health authorities, and other authorities), civil society, experts, academia, and so forth. In case of the likely transboundary effects, potentially affected country or countries need to be considered as stakeholders to be involved in SEA (see details below). Therefore, in this section, as well as in other relevant chapters of this Manual, a term 'stakeholder consultations' is used which covers consultations with relevant environmental and health authorities, public participations, and involvement of other relevant stakeholders, including likely affected countries.

The goal of stakeholder consultations and participation in SEA is to provide for early, timely and effective opportunity to all relevant stakeholders so that they can contribute their inputs into the SEA process, when all options and alternatives are open. The public participation and consultations with environmental and health authorities and other stakeholders can also be beneficial for improving the quality of the SEA by obtaining new information and data or verifying the findings and conclusions of the scoping and/or SEA reports. The consultations can reflect the values and attitudes of the public towards the plan or programme undergoing SEA and support the implementation of the plan or programme after its approval.

A set of practical considerations for consultations with the public and authorities are described in detail in the UNECE Resource Manual (2012).

1.2.2. Defining the stakeholders and the scope of their involvement

Key stakeholders

There are two main types of stakeholders defined in the Protocol on SEA: the public – involved via the public participation process (Art. 8) and the environmental and health authorities (Art. 9). However, stakeholders may also include other governmental national or local authorities, academia, unions, etc. In the case of significant transboundary environmental and health effects, transboundary consultations should be carried out with the likely affected countries (Art. 10).

In order to carry out efficient stakeholder consultations, it is critical to identify the key stakeholders, to define the purpose of the consultations and participation, to choose effective methods and tools for consultations and participation, and carefully plan the activities from the start of the SEA process. When planning consultations and participation in SEA process, it is also important to take into account if (and how) the planning process itself includes stakeholder consultations, with the aim to integrate those with the stakeholder consultations within the SEA process, so that potential overlaps and duplication can be avoided and both SEA and planning processes streamlined.

In practice, the scope and means of consultations and participation is often well defined by relevant national the legal requirements on SEA and/or on planning procedures (e.g. spatial planning).

Environmental and health authorities

Consultations with the environmental and health authorities are part of the stakeholder consultation process and in many countries are envisioned in the national legislations. Often, it is easier to identify relevant authorities with environmental responsibilities than their health counterparts. Typically, the environmental and heath responsibilities can be spread across the planning hierarchy, e.g.:

- National authorities are often the lead agencies on environmental and health policy development and implementation issues.
- Regional and local authorities may have a more specific role in operational matters relating to regional administrations and populations.
- Municipal authorities may have a role in protecting the local environment and human health.

The stages of SEA where the relevant environmental and health authorities should be consulted as per the Protocol on SEA are discussed further in Section 1.2.3 below.

The public

Public participation is an integral part of stakeholder consultations, and in many cases the national legislation contains provisions on the rights of the public to participate in the SEA process.

The Protocol on SEA defines "the public" as "the public concerned", including relevant NGOs, which have the opportunity to express opinion on the draft plan or programme and the environmental report. The SEA Directive defines "the public" as one or more natural or legal persons and, in accordance with national legislation or practice, their associations, organisations or groups. Each country's legislation could have more detailed definition of "the public" and of the rights and modes of participation in SEA.

The main international environmental agreement in the field of environmental democracy and public participation is the Aarhus Convention (UNECE Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters, 1998). The Protocol on SEA lists guiding requirements for the arrangements to be made in the legal and institutional system of each Party to the Protocol for informing the public and consulting the public concerned. In particular, the following elements should be taken into consideration (Annex V to the Protocol on SEA):

- The proposed plan or programme and its nature.
- The authority responsible for its adoption.
- The envisaged procedure, including:
  - The commencement of the procedure;
  - The opportunities for the public to participate;
  - The time and venue of any envisaged public hearing;
  - The authority from which relevant information can be obtained and where the relevant information has been deposited for examination by the public;
  - The authority to which comments or questions can be submitted and the time schedule for the transmittal of comments or questions; and
  - What environmental, including health, information relevant to the proposed plan or programme is available.
- Whether the plan or programme is likely to be subject to a transboundary assessment procedure.

The Aarhus Convention Implementation Guide (UNECE, 2014) provides an overview of the core obligations imposed on Parties through Article 7 (Public participation concerning plans, programmes and policies relating to the environment) and practical guidance for their implementation (**Table 28**).

Table 28: General requirements for public participation under Art.7 of the Aarhus Conventions and guidance for their implementation

Article	General requirements	Implementation Guidance
Article 7 Public participation concerning plans, programmes and policies relating to the environment	• Establish a transparent and fair framework for public participation in plans and programmes relating to the environment • Identify the participating public • Conduct public participation early in development of plans and programmes relating to the environment • Give necessary information to the public • Establish reasonable time frames for public participation • Take due account of the outcome	• Develop a list or clear criteria for identifying plans, programmes and policies relating to the environment • Develop clear rules for participation • Develop mechanisms for notification • Set guidelines and standards for the quality of necessary information • Develop tools for the identification of the participating public • Supervise how public authorities take comments into account • Establish policies for public participation in policymaking • Flexibility in means (practical and/or other provisions) • Flexibility in setting time frames • Broad latitude in how to provide public participation in preparation of policies

Likely affected countries (transboundary consultations)

Article 10 of the Protocol on SEA provides for transboundary consultations when a proposed plan or programme in one country (the Party of origin) is likely to have significant environmental effects on the territory of another country (the affected Party). Detailed arrangements for informing the public concerned and authorities in the affected Party, and for giving them the opportunity to forward their opinion on the draft plan or programme and the environmental report should be made (Art. 10.4). The opinions of the public concerned and the environmental and health authorities in the affected Party have to be taken into due account, and they have to be informed of how their comments were taken into account (Art. 11).

For more information see the UNECE Resource Manual (2012) and to the Good Practice Recommendations on Public Participation in Strategic Environmental Assessment (2016)[47].

1.2.3. Stages of the SEA process with stakeholder consultations

Each national and institutional system should provide for procedural arrangements and minimal requirements for stakeholder consultations within the SEA process. The Protocol on SEA envisages consultations with authorities and public participation in different stages of the SEA process as follows:

- Consultations with environmental and health authorities:
  - Determination of significant effects, if required while determining whether SEA is required (Art. 5.2).
  - Scoping (Art. 6.2).
  - Environmental report (Art. 9.3).
- Public participation: the public concerned must have the opportunity to express its opinion on the draft plan or programme and the environmental report within a reasonable time frame (Art. 8.4). In addition, the Protocol optionally provides for public participation in earlier stages:
  - Determination of significant effects, when determining whether SEA is required (Art. 5).
  - Scoping (Art. 6).
  - Detailed arrangements for informing the public and consulting the public concerned have to be determined and made publicly available (Art. 8.5).
  - Consultations with authorities.
- Transboundary consultations: in case a country developing a plan or programme (Party of origin) considers that this plan/programme might have significant transboundary environmental, including health, effects, it must initiate transboundary consultations comprising the following steps:
  - Notification of an affected Party (Art. 1 and 2).
  - Response to the notification by the affected Party (Art. 3).
  - Consultations on the draft plan or programme and SEA report involving the environmental and health authorities, as well as the public of the affected country.

The above stages are illustrative as consultations may occur not as distinct steps, but be merged or further split based on the logic of the SEA and the specific plan- or programme-making process and their formal procedural stages.

[47] *Good Practice Recommendations on Public Participation in Strategic Environmental Assessment (2016) was prepared under the Protocol on SEA, and is available in English, French and Russian (http://www.unece.org/index.php?id=42234).*

1.2.4. Methods and tools

The Protocol on SEA does not precise the methods and tools to be used for consultations with the relevant authorities or public participation. In practice, the methods and tools for stakeholder consultations in the SEA process may vary, the more formal ones being selected for consultations with the relevant authorities. The UNECE Resource Manual (2012) suggests that the following specific techniques could be applied to consult with authorities:

- Seeking written comments.
- Steering groups.
- Focus groups.
- Advisory committees.
- Interviews.
- Internet-based discussions.

In addition, the UNECE Resource Manual (2012) describes some of the most common methods and tools for public participation (see Table 29 below). Where appropriate these can be used to consult the relevant authorities as well. The selection of proper and effective tools and methods for stakeholder consultations and participation depends on many factors, such as legal arrangements, nature and scope of the plan or programme, and the practice of authorities and public with SEA procedures in the country. There is no single best approach to designing a good process of stakeholder consultations. In many cases, the role of the SEA authority controlling the process from formal point of view could be critical to introduce and maintain good practices for consultations, e.g. requiring a plan for stakeholder consultations from the SEA team.

Table 29: Overview of basic public participation tools (UNECE Resource Manual)

Public participation tool	Enables ...			Key features		
	Provision of information	Gathering of comments	Collaborative problem solving	Usual cost of application	Problem-solving ability	Ease of commenting
Range of printed material inviting comments	✓	✓		$		😐
Displays and exhibits	✓	✓		$		😐
Staffed displays and exhibits	✓	✓	✓	$$	•	☺
Information hotline	✓	✓		$		☺
Internet/Web-based consultations	✓	✓	✓	$	•	😐
Questionnaires and response sheets		✓		$$		☺
Surveys		✓		$$		☺
Public hearings	✓	✓		$		😐
Workshops	✓	✓	✓	$	••	☺
Advisory committee	✓	✓	✓	$	••	☺

Key:

Enables	✓	Yes
Usual cost of application	$	Lower
	$$	Higher
Problem-solving ability	•	Low
	••	High
Ease of commenting	😐	Moderate
	☺	High

Practical advice

- Prepare the plan for the stakeholder consultations at the beginning of the SEA process, including the following aspects: the identification of relevant stakeholders including environmental and health authorities and the public, objectives and expected outcomes from consultations and participation of each stakeholders' group, methods and tools to be used, and timing of consultations and participation. Optimally, this plan should be discussed with the planning agency/planners in order to reach an agreement on consultations and participation activities to be carried out within the SEA process
- When planning stakeholders consultations, consider consultation activities to be conducted in the planning process itself – optimally, when preparing the consultation plan (see above);
- Always provide a feedback on stakeholders' comments received, indicating how these have been or will be addressed in the SEA or explaining why these cannot be accepted;
- In SEA report, include an overview of the consultation activities carried out together with a summary of main comments and how these were considered in the assessment.

1.4. Case example

The trainer can use case examples to illustrate how stakeholder consultations were integrated in and conducted during the SEA process. Examples can be based on the cases either from the trainer's own country, EU countries (refer to the resources on the UNECE page at http://www.unece.org/env/eia/sea_manual/links.html) or any other country, as a PowerPoint presentation. Alternatively, the trainer can use the following case example: the SEA Report for the National Development Plan for 2007 – 2013 of the Czech Republic (refer to 'public participation SEA ndp.doc').

The trainer should present the cases and ask the participants if and what these cases have added to their understanding of stakeholder consultations.

1.5. Exercise: integrating consultations with environmental and health authorities and public participation into the SEA process

Option 1 is intended for participants who are aware of the certain SEA and plan or programme-making process. If the participants are a mixed group with different backgrounds, the trainer separates those who are familiar with the planning procedure (e.g., representatives of Ministries) and propose them to proceed with Option 1. The second group will proceed with Option 2 or Option 3 (the simplest of the three options) below.

1.5.1. Option 1. Integrate stakeholder consultations into the SEA process of a plan / programme from your country

For this exercise, the trainer asks the participants to use the table prepared when performing the assignment from Module 2 entitled 'Integrating SEA and plan- or programme-making processes'.

Necessary materials:

Assignment for the groups (which can be presented as a slide on the screen or in the hand-out), markers, paper, flipchart, and an A4 paper hand-out (Hand-out 3.8.A. in Annex 8), and tables with outputs from the assignment from Module 2 entitled 'integrating SEA and plan- or programme-making processes'.

1.5.2. Option 2. Integrate the stakeholder consultations into the SEA process of the 5-year Local Transport Plan

For Option 2 the description of a SEA process of a certain plan or programme-making process should be provided to the participants. This Manual uses the 5-year Local Transport Plan from England as an example.

Necessary materials:

Assignment for the groups (which can be presented as a slide on the screen), markers, paper, flipchart, and an A4 paper hand-out (Hand-out 3.8.B. in Annex 8), and tables with outputs from the assignment from Module 2 entitled 'integrating SEA and plan- or programme-making processes'.

1.5.3. Option 3. Selecting public participation forms and methods for a SEA process[48]

For Option 3 the trainer prepares a hand-out with the list of SEA steps (which could be adapted as per the

[48] *Option 3 of this exercise was developed by the participants of the Training for Trainers on SEA in Kakheti, Georgia (2015).*

national legislation) and the list of public participation methods. The participants are split in small groups and invited to discuss which methods and forms of public participation could be used at each of the SEA step.

Necessary materials:

Assignment for the groups (which can be presented as a slide on the screen or can be drawn on the flipchart that makes the exercise more interactive), markers, paper, flipchart, and an A4 paper hand-out. An example (Hand-out 3.8.C.) is found in Annex 8.

1.6. Presenting and discussing the group work outputs

The trainer may wish to follow the order of the questions from the assignment:

- How would you identify and select the key relevant stakeholders?
- How would you best integrate the consultations with the identified stakeholders into the SEA process?
- What kind of obstacles and challenges to conducting stakeholder participation you might encounter?
- Invite one representative (volunteer) from each group to reply to each question in a row. Compare the results of the groups according to the exercise options chosen earlier (Option 1 groups and Option 2 groups, respectively). Keep records on the on a flip-chart or a whiteboard (or blackboard).

In addition, the trainer invite the participants to look at the results that has been produced together and asks to reflect on 1-2 of the following questions:

- What kind of solutions would you propose to overcome obstacles to conducting consultations and public participation activities in the process SEA you have identified during the exercise?
- In which stages of the SEA process would you see consultations with stakeholders as the most effective and why?
- Which stakeholders' groups are usually involved in SEA in your country?
- What methods and tools would you suggest to use for consultations with stakeholders in SEA in your country?
- How would you deal with the integration of results of consultations and public participation in SEA? How would you deal with the integration of opposing opinions into the SEA report?

1.7. Reflection block

After the discussion, the trainer should carry out a joint reflection session and asks the participants to reflect on the following questions:

- What ideas did you have during this exercise?
- In your opinion, what are the most important messages of the session?
- What would you suggest to improve the effectiveness of the session?

Volunteers from the participants are invited to respond to the questions in turn.

1.8. Teaching tips

1.8.1. Specific techniques / approaches

The general methods that can be used for this session are described in Part II of this Manual. More specific tips and proposed techniques are outlined in table below.

Table 30: Proposed specific techniques and teaching tips per element of the session

Elements of the session	Method to use	Specific techniques and teaching tips
Introduction to the session	Brief information from the trainer	Use PowerPoint slides as/if needed.
How to integrate consultations with environmental and health authorities and public participation into the SEA process	Interactive lecture supported by a PowerPoint presentation	Open each new topic with the questions that will evoke thinking and discussion for some 2–3 minutes. E.g., • Why do you think it is important to carry out consultations with environmental and health authorities and public participation during the SEA process? • How are the key stakeholders identified and involved into the SEA process? • Into which main stages of the SEA process should consultations with environmental and health authorities and public participation be integrated? • What are the methods and tools for consulting environmental and health authorities and ensuring First ask the question, then collect the opinion of the participants and show the respective slide.

Table 30: Proposed specific techniques and teaching tips per element of the session

Elements of the session	Method to use	Specific techniques and teaching tips
Exercise: Integrating consultations with environmental and health authorities and public participation into the SEA process	Work in small groups (4-6 persons)	Prepare hand-outs and background materials, e.g. as suggested above
Presenting and discussing outputs	Presentations and discussion in a large group	Reporters for each group present the outputs of the group work one by one (no more than 2 minutes each). The preventatives of other groups are invited to provide comments and ask questions.
Practical advice	Discussion in small groups	Split the participants into small groups, provide a hand-out with a set of practical advice, assign a number of an advice to a certain group and ask to discuss the following questions (5 min): • What is the essence of this advice? • Is it important for the practice in your country? If so, justify why. Ask a volunteer from each group to share the responses to the large group (2–3 min per group).
Case examples	Brief information from the trainer and interactive discussion	After presenting the cases ask if and what have they added for the understanding of the procedure
Reflection block	Discussion in a large group	Invite participants to respond to the questions, present issues and summarise their thoughts and opinions using either the 'microphone' method or a big-circle discussion. The discussion continues until all the volunteers have expressed their thoughts.

1.8.2. Proposed structure of the presentation

The trainer can prepare a presentation based on the above theoretical background materials and additional reference sources, as necessary (refer to the end of the Topic). The following structure can be used as an indicative guide for the format and content of the presentation:

- Rationale and aim (1–2 slides) — explain why the integration of stakeholder consultations is important, what are its purposes, etc.;
- Legal framework (1 – 2 slides) – describe the legal requirements stipulated by the national legislation regarding stakeholder consultations. If there are no relevant provisions in the national legal framework yet, make a reference to the Protocol on SEA and/or the SEA Directive;
- Approach (1– 2 slides) – describe how the stakeholders are identified and involved in the SEA process; use the materials from the UNECE Resource Manual, the Aarhus Convention Implementation Guide, and other references listed at the end of this Topic;
- Design (1 – 2 slides) – present the typical stages of the SEA process and the integration of stakeholder consultations in them. If applicable, make reference to the SEA steps as stipulated in the national legislation, use the relevant illustration material from the UNECE Resource Manual and the provisions of the Protocol on SEA;
- Tools and methods (2–3 slides) — present generic methods and tools for stakeholder consultations. If applicable, make reference to the methods and tools as stipulated in the national legislation; make distinction between the methods and tools for consultations with public and with authorities, use the relevant reference material as needed;
- Practical advice (1–2 slides) — provide practical

advice on how to design a consultation plan integrated in the SEA process and what consultation methods and tools could be selected; use the information from the reference sources as needed);

- Exercise and discussion (1–2 slides) — prepare the assignment for the exercise on the slide(s). You may use the examples provided above or prepare your own exercise;
- Reflection block (1 slide) — elaborate on the questions for the reflective discussion. You may use the above questions and/or develop additional ones on the outputs of the session.

Slides that can be used to prepare a presentation on consultation and public participation in SEA are provided among the supporting documents to this Manual (refer to 'Public Participation and Transboundary Consultations.pptx' and to 'public participation SEA ndp.doc' for the case example).

1.9. Recommended reference sources

Reference source	Relevant chapter(s)
UNECE. 2012. Resource Manual to Support Application of the Protocol on Strategic Environmental Assessment. (http://www.unece.org/index.php?id=27379)	Chapter A4 SEA of plans and programmes
UNECE. 2014. The Aarhus Convention. An Implementation Guide. (http://www.unece.org/fileadmin/DAM/env/pp/Publications/Aarhus_Implementation_Guide_interactive_eng.pdf)	
ODPM. 2005. A Practical Guide to Strategic Environmental Assessment Directive. Practical guidance on applying European Directive 2001/42/EC 'on the assessment of the effects of certain plans and programs on the environment'. Office of the Deputy Prime Minister, London. (https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/7657/practicalguidesea.pdf)	5. SEA and Consultation
UNECE. 2016. Good Practice Recommendations on Public Participation in Strategic Environmental Assessment. (http://www.unece.org/index.php?id=42234)	

TOPIC 9. SEA AND DECISION-MAKING

1.1. Introduction to the session

The trainer should present the goal and objectives (which could be presented as expected outcomes) of this session, as well as topics to be discussed, and familiarize participants with the structure of the session, as proposed in the table below. The expected duration of the session is 90-120 minutes.

Table 31: Proposed plan for the session

Number of the element of the session	Elements of the session	Method to use	Time
1.1.	Introduction to the session	Brief information from the trainer	5 min
1.2.	Theoretical background	Interactive lecture supported by a PowerPoint presentation	20–30 min
1.3.	Case examples	Presentation by the trainer and discussion in a large group	5–10 min
1.4.	Exercise: discussing the integration of SEA results in decision-making	Discussion of questions in small groups with further presentation of results and feedback from the participants	5–10 min
1.5.	Reflection block	Discussion in a large group	20–30 min

The below goal and objectives should be adjusted to the needs of the target group to be invited for the national trainings.

The goal of this teaching session is to understand the role and contribution of SEA in the decision-making process, especially in the final approval of the draft plan or programme. After the training the participants should be able to:

- Conclude if the SEA report contains sufficient information for decision-making, as per formal requirements;
- Identify the formal decision (i.e. adoption of the plan or programme), relevant 'decision' documents and/or procedure in the local context; and
- Discuss and design the SEA process in a way that would allow it to be better incorporated in a plan or programme decision-making and better inform the final decision on approval of a plan or programme, and to provide information on the decision to relevant stakeholders including the public.

The below sub-sections present the indicative material that can be used by the trainers to prepare their own presentations on the Topic. Additional reference sources are provided at the end of this Topic.

1.2. SEA and decision-making: theoretical background

1.2.1. Overview

Decision-makers should have information about likely environmental and health consequences related to their decision, i.e. the approval of the plan or programme at the strategic level. One of the main purposes of SEA is exactly to ensure that environmental considerations inform and are integrated into strategic decision-making, and thus the SEA report should contain the information sufficient for the decision-makers to support their decisions.

According to both the Protocol on SEA and the SEA Directive, in adopting a plan or programme the decision-makers must take into account the conclusions of the SEA report, as well as the opinions expressed by the relevant environmental and health authorities, the public concerned and any affected Parties (Art. 11, Protocol on SEA). Furthermore, these stakeholders must be informed about the decision and how results of SEA have been taken into account when adopting the plan or programme.

1.2.2. Approach: considering SEA in adopting plans/programmes

The decision-makers should always consider the SEA conclusions. To facilitate this, the SEA report should be submitted as an integral part of the plan or programme. In some countries, based on the review of the SEA report, the agency coordinating SEA process issues a final 'SEA document' such as SEA statements or SEA approval conditions. These final SEA documents are then used by the responsible decision-making body to make a decision (i.e. approval or rejection) on the plan or programme. In other countries, the decision-making authorities have to consider conclusions provided directly by the SEA report when adopting a given plan or programme.

In particular, the Protocol on SEA and the SEA Directive stipulate that following the adoption of a plan or programme, the relevant environmental and health authorities, the general public (not only the public concerned) and any affected Parties must be informed of the decision. Furthermore, the adopted plan or programme must be made available to them together with a statement summarizing:

- How the environmental and health considerations (as presented in the SEA report) have been integrated into the adopted plan or programme;
- How the stakeholders opinions (as expressed by the public concerned in the case of the public) have been taken into account;
- The reasons why the plan or programme has been adopted in the light of the reasonable alternatives considered.

Authorities must provide sufficient information about the conditions under which the above information is available and how it can be obtained. This could be done, for example, via information publications, announcements in government publications or on government websites, television or radio public service announcements.

1.2.3. Enhancing the decision-making process

There are a number of publications exploring ways of enhancing the influence of SEA on decision-making during the planning process (please refer to the sources at the end of this Topic). However, in practice, the most efficient way (and very often the only one) to ensure that the SEA conclusions are considered in decision-making is to integrate SEA inputs into the plan or programme during the planning process. The planning process may include a sequence of 'small' decisions when certain choices, having environmental implications, are made. Some elements of the SEA process may be integrated within a plan- or programme-making process. Therefore SEA can provide step-wise inputs to fit 'small' decisions depending on the extent and mode of its integration with plan or programme-making (refer to 'Teaching module 2. How to integrate SEA process into plan- and programme-making'). Ideally, various analyses performed within SEA should inform the entire plan- or programme-making process. The final draft plan or programme might therefore explain how the SEA has influenced the plan- or programme-making process and 'small' decisions taken therein.

1.3. Case examples

The trainer can use case examples to illustrate the procedure of considering the SEA recommendations in decision-making to the training participants. Examples can be prepared as a PowerPoint presentation based on the cases from the trainer's own country, EU countries (refer to the resources on the UNECE page at http://www.unece.org/env/eia/sea_manual/links.html) or elsewhere.

1.4. Exercise: discussing the integration of SEA results in decision-making

The trainer invites the participants to discuss the following questions in small groups:

- What is the procedure on integrating the SEA conclusions into decision-making (in your country)?
- Does it reflect the requirements of the Protocol on SEA and the SEA Directive in relation to decision-making? If not, what adjustments would you suggest?
- How are stakeholders informed about the decision and about how the SEA has been taken into account? Is there a decision-making party that can set the approval conditions based on the SEA under which the plan or programme can proceed?
- How can the acceptance of SEA conclusions by decision-makers be enhanced?
- What types of conditions need to be created to enable SEA to contribute to decision-making to a larger extent?

One representative (volunteer) from each group is invited to reply to each question and all other participants are suggested to provide their feedback. The trainer keeps records on the flip-chart or a whiteboard (or blackboard).

1.5. Reflection block

The trainer should invite the participants to reflect on the following questions in turn:

- In your opinion, what are the most important messages of the session?
- What additional information would you like to receive?
- What would you suggest to improve the effectiveness of this session?

1.6. Teaching tips

1.6.1. Specific techniques / approaches

The general methods that can be used for this session are described in Part II of this Manual. More specific tips and proposed techniques are outlined in table below.

Table 32: Proposed specific techniques and teaching tips per element of the session

Elements of the session	Method to use	Specific techniques and teaching tips
Introduction to the session	Brief information from the trainer	Use PowerPoint slides as relevant
Theoretical background	Interactive lecture supported by a PowerPoint presentation	Open each new topic with the questions that will evoke thinking and discussion for some 2–3 minutes. E.g., • What is understood to be a 'decision' in relation to SEA and planning? • What is 'decision' in terms of the Protocol on SEA? • What are the links between SEA and decision-making? First ask the question, then collect the opinions of the participants and show the respective slide(s).
Case examples	Presentation by the trainer and discussion in a large group	Use PowerPoint slides as relevant; After presenting the cases ask if and what have they added for the understanding of the procedure
Exercise: discussing the integration of SEA results in decision-making	Discussion of the provided questions in small groups, followed by the presentation of results and feedback from the participants	Split the participants into 4–5-people groups and ask them to elaborate on the provided questions. Then, reporters for each group present the outputs of the group work one by one (no more than 2 minutes each). The entire group is invited to comment on each presentation.
Reflection block	Discussion in a large group	Invite the participants to respond to the questions, present issues and summarize their thoughts and opinions using either the 'microphone' method or a big-circle discussion. The discussion continues until all the volunteers have expressed their thoughts.

1.6.2. Proposed structure of the presentation

The trainer can prepare a presentation based on the above theoretical background materials and additional reference sources (refer to the end of the Topic). The following structure can be used as an indicative guide for the format and content of your presentation:

- Overview (1–2 slides) — describe the link between SEA and decision-making and discuss different interpretations of the decision in the SEA and planning;
- Legal framework (1–2 slides) — describe the legal requirements stipulated by the national legislation in relation to how SEA is taken into account in decision-making;
- • Approaches (2 – 3) – describe the practical steps on how SEA is considered in decision-making (e.g. what type of the SEA document is submitted for decision-making, who issues a final statement, which authority is responsible for publishing the decision and related information as required by the Protocol on SEA and/or the SEA Directive) and highlight the main challenges and/or typical problems (e.g. ensuring that decision-makers consider the SEA results).
- Case study (2 – 3 slides) - present a SEA case, where SEA conclusions have been integrated into the decision. If no such cases are available from your country, use the materials from elsewhere.
- Discussion and presentation (1–2 slides) — prepare questions for discussion in small groups and their subsequent presentation to a large group. You may use the questions provided above and/or develop additional ones to reflect the practice or desired approaches for your country.
- Reflection block (1 slide) — elaborate on the questions for the reflective discussion on the outcomes of the session.

Slides that can be used to prepare a presentation on decision-making in SEA are provided among the supporting documents to this Manual (refer to 'Decision-making.pptx').

1.7. Recommended reference sources

Reference source	Relevant chapter(s)
UNECE. 2012. Resource Manual to Support Application of the Protocol on Strategic Environmental Assessment. (http://www.unece.org/index.php?id=27379)	Chapter A4 SEA of plans and programmes
ODPM. 2005. A Practical Guide to Strategic Environmental Assessment Directive. Practical guidance on applying European Directive 2001/42/EC 'on the assessment of the effects of certain plans and programs on the environment'. Office of the Deputy Prime Minister, London. (https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/7657/practicalguidesea.pdf)	5. Stages of SEA
Report for the European Commission by Sheate, W., Dagg, S., Richardson, J., Aschemann, R., Palerm, J., and Steen, U. 2001. SEA and Integration of the Environment into Strategic Decision-Making (http://ec.europa.eu/environment/archives/eia/sea-studies-and-reports/pdf/sea_integration_main.pdf)	NB. This report evaluates how environmental considerations are included in policy, plan and programme decision-making in all sectors
Dalkmann, H., Herrera, R.J., and Bongardt, D. 2004. Analytical strategic environmental assessment (ANSEA) developing a new approach to SEA. Environmental Impact Assessment Review, 24(4): 385-402. (http://faculty.mu.edu.sa/public/uploads/1338109268.0211EIA-7.pdf)	NB. This article explores a decision-centred approach to the SEA process.

PART II.

HOW TO DEVELOP AND DELIVER TRAINING ON STRATEGIC ENVIROMENTAL ASSESSMENT

1 WHAT IS NECESSARY TO KNOW ABOUT INTERACTIVE TRAINING

1.1. What is interactive training?

Interactive training is a form of active training that allows the participants to not only obtain knowledge, master new skills and change their approaches, but to also lay down the foundation for solving real life situations outside of the classroom — all in a short time. Interactive training allows the participants to use their experience, encourages dialogue between the participants and the trainers, and provides opportunities to critically analyze the organisational and system-related causes of problems.

Interactive training is based on the main principles of the theory of adult learning and makes the educational process more active by getting the participants involved. Adults digest information most effectively when working on their own problem solving, performing practical exercises or while training others. Research shows that adults remember 20 per cent of what they hear, 40 per cent of what they see and hear and 80 per cent of what they see, hear and do. Accordingly, training is least effective when the information is received in a passive way, during lectures or at presentations. As shown in Figure 8, using the information and critically analyzing it, then immediately applying the knowledge in practice and in the training of others, significantly increases the effectiveness of digested information.

Since the learning styles of adults differ, applying different methods of interactive training is more effective than applying a single method, which may work for some people and not for others. Digesting information is more effective when participants are given the opportunity to hear, see, ask questions, take part in a role play, read, write, work with the equipment, and discuss key questions.

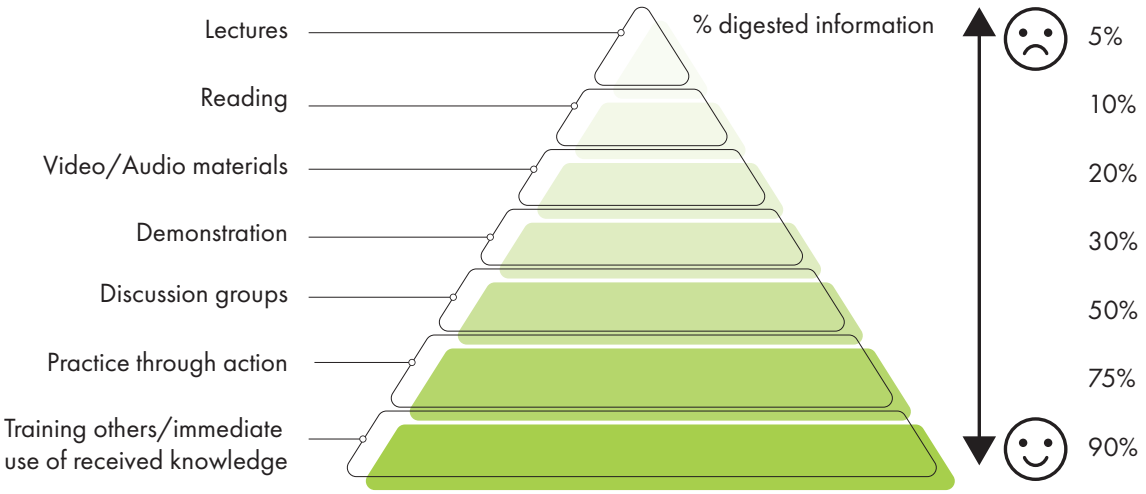


Figure 8: Effectiveness of the training methods

Training is also more effective if its outcomes can be applied within the context of the work or the everyday life of the training participants. For instance, while working with state officials, you could suggest they discuss the difficulties that can arise when trying to get the public involved in the process of environmental decision-making. Such discussions will give the participants their first experience of understanding the possibility of public participation. Furthermore, trainers will give the participants an opportunity to understand some of the difficulties they will face in their work, and to start developing ways together to overcome them.

One of the main concepts used at the time of development of this manual was the theory of learning by experience, created by the American researcher David Colb[49]. This theory explains to a great extent the essence of the processes of interaction taking place during interactive training (**Figure 9**).

[49] V.Velichko, A.Dergai, D.Karpievich, O. Savichik. (2001) Intercultural Education in High School. / Minsk: Tesei.

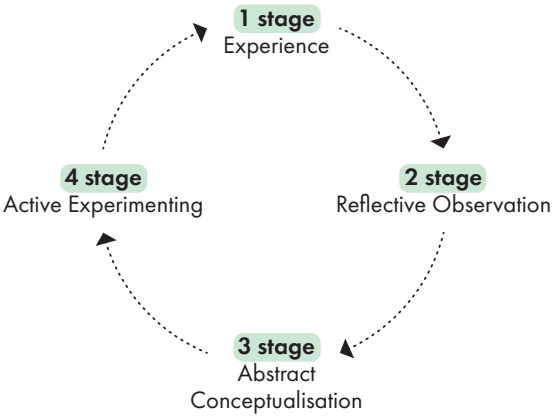


Figure 9: Colb Learning Cycle

According to David Colb, the learning cycle consists of four successive and interconnected stages, specific experience, reflective observation, abstract conceptualisation and active experimenting.

During the first stage of the cycle, the participants use a specific personal experience that they already have. If the participant does not have experience relevant to the issue or topic being used for the learning activity, the participant can obtain this experience during the learning activity, with the help of a specially organized interaction.

During the stage of reflection and observation, conditions are created for the critical observation of and reflection on what has been experienced, and discussions are held among observing participants who are in some way related to the experience. The productivity of such discussions will be greatest if the 'triangular rule' is observed by each of the participants. According to this rule, three components are equally important — the topic, the group, and the persons themselves. Unless all three components are present during the discussions, the emphasis will shift to one of these aspects, which will negatively affect the effectiveness of the discussions.

In the third stage of the cycle, 'Abstract Conceptualisation', new or unique pieces of knowledge can emerge as a result of the joint reflections by the participants. The value of this knowledge is not in the information gained, but in its creative character, and is strengthened by the participants' interaction (i.e. their joint movement in a singular direction with the goal of realizing their individual needs). The results of interactions in this stage are expressed in the form of conclusions and deductions from the participants themselves.

During the final stage of the cycle, the opportunity to review the formulated conclusions is especially important. Most often, this review takes place during the practice, and finally leads to gaining new experiences, which in turn become the beginning of a new learning cycle. Sometimes the stage of active experimenting may not take place immediately within the educational activity, but may 'occur' after it is complete, perhaps during further learning activities by the participants.

The effectiveness of any educational programme depends, to a great extent, on the methods of communication. Traditional methods of training involve a lecture delivered by a trainer to participants, followed by the return of the knowledge by participants in their replies, also structured as 'lectures'. In contrast, the foundation of interactive training is the principle of multilateral communication, which avoids focusing on the point of view of the educator and one-sided communication. Multilateral communication is facilitated by the use of corresponding training methods, whereby special attention is paid to the process of effective communication, in which the participants are more mobile, more open and active[50].

1.2. Learning styles

People receive information by hearing it, seeing it or and by experiencing it. Quite often one of these means is more dominant.

For example, people who use hearing as the main way of receiving information can be said to have an audial style. Such participants rely on their ability to remember what they hear and quite often do not take notes and do not pay any particular attention to what the trainer is doing. During the training, they may be very talkative and may read the written assignments aloud. These participants prefer lectures, discussions and question-and-answer sessions.

People with a visual style receive information visually and remember it better when it is presented with the aid of additional demonstrational means — such as images, charts, maps, etc. Such participants prefer the well-structured presentation of information and like to take notes. During training, they are usually silent. The best methods for these people are video, slides, shows or the immediate demonstration of what is being said.

People with an experiential style learn through participation in the training process. They are quite passionate participants and often do not have much patience. During the training, they may be restless and fussy until they have an opportunity to move around or do something themselves. Their approach towards education is quite

[50] I.Vachkov.(2001) Basics of Group Training Technology Psycho Techniques: Training Manual. – Moscow: Os-89.

unsystematic. The best methods for these participants are practical exercises such as role plays and group exercises.

People learn in different ways and use different means of receiving information. By presenting information in various ways and using diverse methods of work, you can meet the needs of participants of different types. Additionally, presenting information in a variety of ways (audio, video, practice) enables better absorption, as it creates an opportunity to repeat and strengthen the message.

1.3. Who are the trainers and can you become a trainer?

The experience of carrying out educational activities on different topics and with different audiences has revealed that the success of training largely depends on the abilities, skills and personal qualities of the trainer who carries out the training.

The most important qualities for a trainer are:

- Excellent understanding of the subject of the training (or working in partnership with an expert in the field).
- Ability to speak in front of an audience and to listen to others.
- Flexibility and ability to easily adapt to the needs of the group.
- Ability to learn fast and to learn from own mistakes.
- Desire to help others to learn.
- Ability to give clear instructions.
- Ability to create an atmosphere of openness and trust within the group.
- Ability to plan and implement training.
- Ability to cope and learn when things do not go according to plan.
- Being organized in all aspects of work and precise in fulfilling tasks.

To do in the next training:

_____

_____

_____

Keep this list, review it before beginning the next training and afterwards, and make the appropriate conclusions about your professional growth [51].

During training, the trainer plays a variety of roles — the actor, lecturer, trainer, organiser, assistant, leader, preacher, philosopher, manager, diplomat, accountant and specialist.

1.4. Can you be a trainer on SEA if you have never conducted training before?

This is a question you can answer yourself. Remember a training session you especially liked. Why did you like it? Imagine yourself in the trainer's place. Do you have a desire to work with people? Do you enjoy communicating with them? Are you ready to learn how to prepare and conduct training? If your answers to these questions were positive, you do not have to worry about not having some of the qualities listed above - a trainer will improve with each training session he or she conducts.

This manual was composed to be of maximum assistance to people learning to prepare and carry out a training session. It has all the necessary training materials on SEA, as well as methodological recommendations for organizing trainings. It includes recommendations for trainers, which describe in great detail the process for preparing training, methods for conducting a training session and tips for interacting with a group, allowing the trainer to attract and hold the attention of the audience.

With good preparation and some skills in working with people, you can start working as a trainer and will be able to carry out a one-day workshop or training for a small number of people, gradually increasing the duration of the educational activity and the number of participants.

In order to determine the level of your professional growth, it is a good idea to undertake a self-evaluation after each training session using the following format:

- Three things that you did best while carrying out the training
- Three things that were the weakest in your performance
- Plan of self-improvement such as:

To avoid doing in the next training:

_____

_____

_____

[51] A.Panchenkov, O.Pometun, T.Remeh. (2003) Education in Action: How to Organise the Training for Trainers in Order for Them to Learn to Apply the Interactive Training Technologies./ Kiev: A.P.N.

2 HOW TO PREPARE A TRAINING

TThe success of any educational activity, or an activity that requires a flow of information between people, be it a workshop, training, round table discussion or conference, depends on many factors and includes various elements that supplement and strengthen the common effect. There is no ideal recipe for training. This varies according to a range of factors such as the personality of the trainer, his or her knowledge and practical experience, how prepared the participants are, their desire to learn, their need to apply the obtained knowledge and skills in practice, and the location and conditions under which the training is conducted.

Good preparation and careful planning of the training session is always necessary. During the preparatory stage, the trainer should pay attention to the following:

- Evaluating the level of knowledge and needs of the future training participants.
- Setting aims and objectives.
- Developing the programme, its logic and schedule of work.
- Selecting methods.
- Preparing hand-outs.
- Organizational matters (e.g., venue, equipment, food for participants).

2.1. Get to know your audience

Carrying out the training needs analysis is a key feature that differentiates interactive education from more traditional educational activities. Collecting information about the participants, their level of knowledge and their training needs helps to set goals for the training session, to develop or modify a programme and to select the most appropriate methods and styles for the training to be conducted.

For instance, in some cases you may need to work with a better-prepared group that has already participated in previous trainings sessions on SEA. The training goal for such a group may be to improve their knowledge of a particular topic (e.g. screening). In other cases you may need to work with a group of people who do not have knowledge about SEA. This could be, for example, representatives from local authorities whose goal it is to understand what SEA is and how it can be applied at their level. Thus, the goals and programmes of two such training sessions will be different.

[52] Tourtilott L. Britt P. (1994) How to conduct an effective workshop: EE Toolbox — Workshop Resource Manual. Michigan: University of Michigan.

Furthermore, the analysis of training needs allows the trainer to commence interaction with the audience, easing the feeling of discomfort at the beginning of the training for both the participants and the trainer. Collecting examples of the participants' experiences with SEA at the beginning of the training sessions will also make the programme more fascinating[52].

To assess the training needs it is necessary to explore the following:

What attitudes the participants hold towards the training:

- Motivation: do the participants want to study, do they see the need for self-development and training, how do they perceive the changes and the goals of the training?
- Do they express a need to voluntarily participate in the training?
- What are their expectations of the training?

What knowledge, skills and experiences the participants have on the subject of the training:

- What specific knowledge and skills would the participants like to obtain?
- Do the participants have an understanding of how the training can help their work?
- What additional goals and objectives would be of benefit for the course, if taken into account?

Personal information about the participants:

- The departments within the organisations where they work, etc.
- Education, age, etc.

Practical advice

How to collect information?

It is possible to obtain information about the participants and their training needs, using a number of methods, some of which are:

- Questionnaires.
- Interviewing the participants (which can be done by phone).
- Conversations with their managers.

If, for some reason, it was impossible to collect information about the training participants beforehand, use the first few minutes of the training to carry out the participants' needs analysis during the 'Getting Acquainted' and 'Expectations' exercises (see Annexes 11 and 12).

Questionnaires

This method of information collection provides an opportunity to analyze a large spectrum of opinions on issues of interest in a short time. In order to use this method effectively, the questions should be well composed: they should not be too general, as that will make it difficult to come to any conclusions, but they should also not be too specific or assuming one or another answer, as the received information will not be sufficiently representative. Questionnaires can be used at the time of participant registration, by including the questions in the registration form. This will allow for an assessment of the participants' experience and the needs of those participants who have not filled out the questionnaire in advance. Examples of needs assessment questionnaires are provided in Annex 13.

Interview (conversation) with the potential participants of the training

Opinions of the potential participants of the training can reveal valuable information for the training. However, it is not free from subjectivity. They are not always ready to determine their own training needs, analyze the problems and correctly determine the reasons for these problems. Such interviews are carried out according to a certain structure, moving from more general questions (these must be open questions) to more particular ones. An informal conversational style of communication allows the participant to open up, leading to the development of new conjectures and to posing new, more specific questions.

Conversation with key people

Conversations with key people are an important method for obtaining information for the training needs analysis. Key people include the directors, bosses or other leaders of organisations or groups, as they have a strong understanding of the issues that his or her employees face at work. Furthermore, these are the people who carry the responsibility for effectiveness at workplaces in general. Therefore, these key people may be able to provide information about their organisation's main problematic areas as well as the history of work on SEA or related matters, which will be the subject of the training you will be conducting.

Target groups in SEA training

State Officials

Training on SEA is carried out for state officials of different levels: representatives of the national ministries of environment and their regional (district) departments, representatives of other ministries and departments, representatives of local authorities, city mayors, etc.

Representatives of the ministries of environment are likely to know about the main provisions of the Protocol on SEA and the national requirements on SEA and attempt to apply them. However, they need additional and specific knowledge about the mechanisms of applying SEA.

Many representatives from non-environmental ministries and departments and local authorities are unlikely to have a sound understanding of SEA, some would have never used it and do not know what responsibilities the Protocol on SEA and national SEA legislation imposes on them. While working with these target groups, along with those who have general and specific knowledge of SEA, special attention must be paid to the participants' motivations for undertaking the training and to demonstrating the benefits and successful cases of SEA.

One special characteristic of this target group is that many state officials are reluctant to participate in trainings / seminars. They should be encouraged to take part. To do that, preliminary work with the participants is necessary. This can be carried out through personal or group meetings, in written form, by telephone, via email, etc. From experience, the most economical means of communication with this target group is written correspondence.

Public Representatives

This is the group where academia, professors, educators, physicians, representatives of environmental NGOs, media, business, human rights activists and other stakeholders belong. This group is interested in knowledge about concrete mechanisms related to the immediate work that they carry out, for instance, when and how public participation should be ensured in SEA.

Work with concrete examples

Education will be most effective if you build the training on a local example, which can be either real or hypothetical.

2.2. Set goals and objectives for the training

Planning always begins with defining the idea of planned outcomes, meaning the goals and objectives of the training. Goals and objectives determine the level of achievement. Once you know what you want to accomplish, it is easier to find ways to achieve it. Therefore, begin planning the training by setting goals and objectives. Define them at the first stage of planning and present them to the participants during the first stage of training when conducting it. Goal and objectives can be defined as:

- Goal: the formulated, anticipated outcome of the training. The goal is the most important and significant milestone, which the participants and the trainer should strive to achieve through the training activities.
- Objectives: specific, concrete outcomes of the activities, indicating the new skills and knowledge obtained via the training. A step-by-step, gradual implementation of the objectives facilitates the achievement of the overall goal.

Practical advice

Be specific

The more specific the formulated goals are, the more likely it is that they will be achieved by the end of the session. It is important that the objectives are worded clearly, to ensure that the participants have the same interpretation of them. For starters, consider the following questions:

- Why is this session/training being carried out?
- What knowledge and skills will the participants carry away with them after this session has finished?
- How should the participants feel after the session has finished?

Be practical

When defining the objectives (anticipated outcomes), consider 'external conditions' in which you will be working: the subject of the training, abilities, interests and needs of the participants, time constraints, etc. In order to set the objectives, use the following expression: 'After the training the participants will / will be able to...'.

Check the criteria for goals and objectives

After setting the goal and objectives, check whether they satisfy the following criteria: specific, measurable, acceptable, realistic, time-bound (S.M.A.R.T).

Don't define too many objectives

Sometimes trainers try to define too many objectives for one session. In order to avoid this, it is necessary to determine which goals and objectives are necessary and achievable.

Tie the training to participants' experience

In Part I of this Manual, Teaching Modules and Topics are presented. For each of them, specific goals and objectives are defined that may satisfy the needs of your participants or require some adjustment. Whilst developing a specific training, refer to the information gained from the training needs analysis. Determine if there are any concrete examples from the participants' experience that can be studied during the process of training. It is better to tie the training to the specific activity that is being carried out in the area of implementation of the Protocol on SEA or national SEA regulations.

2.3. Develop the training programme

A good training programme is based on thorough planning of the two main components — content (what to teach) and process (how to teach). Training programmes based on the principles of Colb's training theory (Chapter 1), allow for the effective combination of different methods and styles of training and use of the participants' experience. In addition, they establish multilateral communication and create an atmosphere where both the trainer and the participants take responsibility for the training outcome. As presented in **Figure 10**, the training programme, based on Colb's theory, consists of three main elements: introduction, main part and conclusion. Each separate training session consists of the very same elements.

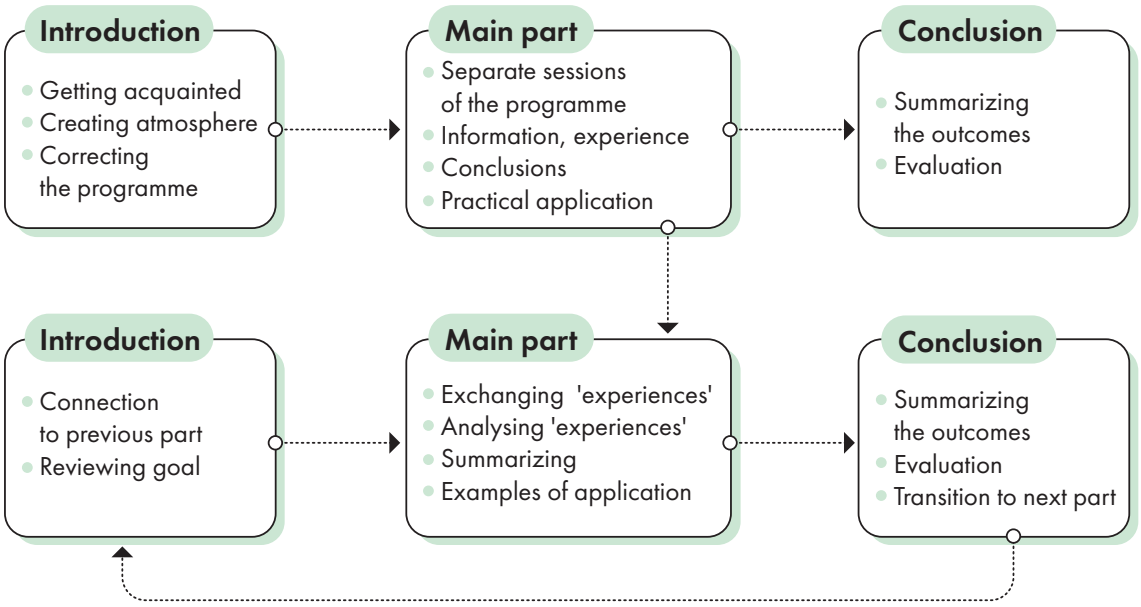


Figure 10: Components of the programme

Practical advice

Plan enough time for the introductory part of training

The introductory part is crucial to creating a positive atmosphere, bringing the participants into the training process and establishing a connection with them. The duration of an introductory part depends on the length of training. For one and a half to three-day long training sessions, it is necessary to allocate 1.5–2.5 hours to the introductory part. If it is a short training (half or one day), you will need between 30 to 60 minutes. Use this time to let the participants get acquainted, review the goals and objectives and if necessary make programme corrections. Chapter 3 describes in greater detail how to select methods to enable the participants to get acquainted and to determine their expectations, as well as how to create a positive atmosphere.

Don't forget about reviewing the goals and objectives

Before the beginning of each separate session, present its goals and objectives to the participants. If this is not the first session, emphasise what role this particular session will play in the training programme, and how it is connected with the other programme elements. Here you can also present the general structure of the session. In this way, it will be easier for the participants to maintain their attention during the session.

Prepare interactive exercises for the main part of the session

Plan an exercise that gives the participants an opportunity to demonstrate a situation, which corresponds to the goal of that particular session. The experience gained as a result of this exercise will help in the acquisition of knowledge. The methods that may be used here include: working in small groups; conducting case study analysis exercises; performing role plays; and well prepared interactive lectures and exercises (offered in each of the Teaching Modules on SEA).

Obtain the feedback from participants after each session and evaluate

First provide the participants with an opportunity to share individual experiences, then analyse the concrete situation. Encourage the process of analysis of the experience. Choose three or four questions that correspond to the goals of the exercise, for example:

- What experience have you gained (what have you learned as an outcome of the exercise)?
- What was difficult to understand or do?
- What do you think was successful?
- What would you have changed?

Summarize obtained knowledge and make conclusions

This is the important part of training. Summarizing obtained knowledge and experience allows the participants to connect the information they have received with the situations they face in everyday life. We recommend posing the following questions:

- What did this activity help you understand?
- What main session can you learn from this activity and why?

When discussing their experiences together, participants have an opportunity to learn from each other. Sometimes some of them may even exchange their points of view, or attitudes towards the topic. Connecting questions with the content of the activity and inviting participants to make conclusions will encourage them to expand the scope of the problem that is being analysed. Instead of reviewing and commenting on specifics, use this opportunity to evaluate the general picture and review the issue from different perspectives. If necessary, provide explanations on a particular matter.

Think how to ensure application, and plan future actions

This is a key point in a training programme for an adult audience, because this stage provides participants the time needed to incorporate new information into the context of their own experiences in a purposeful way. Ask the participants to share ideas about how they can apply their newly obtained knowledge in practical terms. The following questions can be useful:

- What to do next?
- How can I apply what I have just learned?

Summarise outcomes at the end of the say or end of the training

The purpose of this session is to help the participants retain the main points of a session. Whilst summarizing the outcomes, connect them with the goals of the session and the participants' original expectations. It is important to provide participants an opportunity to understand whether they have reached the goals, and whether their expectations were met. If this is not the last session, say a few words about the next session, making a smooth transition to the next stages of the programme. If this is the end of the training, an evaluation of the entire course can be conducted by the participants themselves, as well as by the trainers.

2.4. Place components in the right order

A well-developed separate session, serving as a part of the training programme, or a well-developed single exercise or presentation may not lead to an overall successful training programme. If a component is in the wrong place within the general training programme, its effectiveness and meaning can be lost. For example, participants may feel tired when higher levels of concentration are required. There are several fundamental principles for effectively developing a programme and placing its components in correct order[53].

Practical advice

Start each part of the training with a review of new material

First, put forward an element that will capture the attention of the audience and will present the general picture of the topic.

Increase the level of difficulty of assignments gradually

Choose the logic: from the particular to the general, or from the general to the particular.

Combine different methods

When selecting methods, take into account the duration of the training and its components, as well as the time needed for a particular method, the form of communication and placement of participants, suggested by the method.

Pay attention to the logic of the programme

The presented concepts and the skills that they are based on should supplement each other. If one idea logically follows another one, it will be easier for the participants to understand and memorise the material.

Familiarize participants with the elements, step-by-step

Complex material is easier to study piece by piece, in order to bring everything together and present the entire idea. Then summarize the material studied.

[53] Tourtilott L. Britt P. (1994) How to conduct an effective workshop: EE Toolbox — Workshop Resource Manual. Michigan: University of Michigan.

Conclude the training with a discussion about what to do next

Let the participants think about how they can utilize the knowledge they have gained in real life situations, and plan the steps that they will take to apply them in their work.

2.5. Develop a work schedule

As previously mentioned, the training chart (**Figure 10**) can be used to develop a plan for a single session as well as to plan a general training programme spanning several days. The next step in preparing training is the development of a work schedule, i.e. defining time-frames for each training part and each session in particular. When developing a work schedule it is necessary to take into account a few practical considerations.

Practical advice

Decide on the duration of the training programme

Start by calculating of the duration of the training (the number of days). For every day of the training, define the following: the start and end time of work, lunchtime (no less than one hour) and time for two 30-minute breaks.

For example:

- 8.45–9.00 opening and goals for the day
- 9:00–10.30 sessions
- 10.30–11.00 coffee break
- 11:00–13.30 sessions
- 13:30–14:30 lunch
- 14:30–16:00 sessions
- 16:00–16.30 coffee break
- 16:30–17:45 sessions
- 17.45–18.00 summarizing outcomes, evaluation of the day

Allocate enough time for breaks

It is known that it is difficult for adults to concentrate and stay in one place for more than two hours at a time. Therefore, it is important to provide a 20–30 minute break after each 1.5–2 hour session. Breaks let the participants communicate with each other, exchange opinions or simply have a rest with a cup of tea or coffee. Breaks can also be used to undertake small assignments.

Make three or four working sessions in one day

Plan each of the sessions in accordance with the model presented above, taking into account all the particular characteristics of adult learning.

In a short programme (less than one day), don't plan too many things

Short programmes are usually harder to develop, since there is always more information than time to present it. Therefore, it is necessary to establish specific and acceptable goals. Limit yourself to the presentation of new information and the organisation of short discussions about how it can be used in various situations. Do not make the common mistake of trying to present too much information.

Whilst organizing long programmes (more than one day), give more time to think things through and for practice

A programme of more than a day in duration offers more time to reflect upon information and experiences, apply knowledge in practice, and plan further actions. If a programme provides brief intervals (a few days, a week), in between the training blocks it may be possible to provide participants with assignments, the results of which could be exchanged during the next class.

If the programme requires participants to stay together in one place for a period of several days, one of the evenings could be dedicated to undertaking joint projects or assignments, the results of which could be presented the next day. Provide the participants with /an opportunity to apply in practice the skills that they have obtained and invite them to present their evaluation[54].

[54] Siberman M. (1998) Active training; a handbook of technique design, case examples and tips (2nd ed.). San Francisco: Josley-Bass, Pfeiffer.

SAMPLE TRAINING AGENDAS

A. Sample agenda for a four-day training

In-depth training workshop for policy-makers, administrative officials, and NGO representatives on conducting SEA in [country]

Venue, date

Day 1	
09.00	Opening the workshop
09.20	Introduction • Presentation of participants and their expectations • Introduction to the workshop objectives • Practical information
10.30	Coffee/Tea
11.00	Introduction to the UNECE Protocol on Strategic Environmental Assessment (SEA) to the Espoo Convention • Basic information • Evolution of SEA
12.00	Evolution and current status of environmental assessment system, including SEA, in [country] • Legal framework and institutional set-up • Main issues of SEA practice
12.30	Lunch
14.00	Introduction to a case study for the application of the SEA procedure Reading time for participants
15.00	Coffee/Tea
15.30–17.30	Link Programme (P/P/P) and SEA • Introduction • Case work Wrap-up & Discussion on how the case work relates to the participants context

Day 2	
09.00	Determining whether SEA is required and determining the scope of the assessment • Introduction • Group work • Presentations, Wrap-up & Discussion
10.30	Coffee/Tea
11.00	Determining whether SEA is required and determining the scope of the assessment (continued)
12.30	Lunch
14.00	Analyzing the baseline trends • Introduction • Group work • Presentations, Wrap-up & Discussion
15.30	Coffee/Tea
16.00	Assessing the cumulative impacts of proposed activities (continued)
17.15–17.30	Closure of the day

Day 3	
09.00	Analyzing proposed development priorities and their alternatives • Introduction • Group work • Presentations, Wrap-up & Discussion
10.30	Coffee/Tea
11.00	Analyzing proposed development priorities and their alternatives (continued)
12.30	Lunch
14.00	Assessing the cumulative impacts of proposed activities • Introduction • Group work • Presentations, Wrap-up & Discussion
15.30	Coffee/Tea
16.00	Assessing the cumulative impacts of proposed activities (continued)
17.15–17.30	Closure of the day

Day 4	
09.00	Ensuring effective opportunities for public participation in SEA • Introduction • Case work • Presentations, Wrap-up & Discussion
10.30	Coffee/Tea
11.00	Ensuring effective public participation in SEA (continued)
12.30	Lunch
14.00	Taking due account of the SEA outcomes in decision-making and monitoring • Introduction • Case work • Presentations, Wrap-up & Discussion
15.30	Coffee/Tea
16.00–17.00	Closing session • Wrap-up of the training • Training evaluation • Participants´ view • Distribution of certificates

2.6. Select appropriate methods

One of the mandatory conditions of effective training is the balance between the content and the process. Adults digest information better if they take part in the training process. Thus, the inclusion of group exercises as part of a programme is required. At the same time, adult participants are quite fastidious — they will not be satisfied by training filled with a multitude of group exercises that are not connected with their subject of interest. The trainer has to be able to determine at what time the facts should be presented, and when to use methods that allow for the participants to apply the facts and think them over.

In order to balance the programme and achieve the goals of a particular session or training as a whole, various methods can be utilized. The selection of methods depends on the following factors: goals and objectives of the training, special characteristics, the needs of the audience, and the need to retain the attention of the audience over a certain period of time. There are also the following limitations: time, number of participants, and availability of equipment, etc.

Table 33 below illustrates the main characteristics, advantages and limitations of various methods. It can help in the selection of an appropriate training strategy.

Table 33: Training methods: strengths and limitations[55]

Training methods	Strengths	Limitations	The purpose of the method
Lecture	Allows you to: • present factual material in a consistent and logical way; • convey a large volume of information in a short time; • open discussion on a problem; • connect the theory and the experience drawn from the examples of good practices; • work with a large audience.	• Passivity of audience; • One-way communication; • Responsibility for results of the training lies with the trainer; • Difficulty evaluating the effectiveness of the training process; • Lack of opportunity to receive experience and to work through abilities and skills.	Knowledge
Small group exercises	Basic method, used in combination with other methods. Allows you to: • develop effective communication and cooperation between participants while developing new skills and obtaining • knowledge; • receive comments from fellow participants; • Transfer responsibility for results of training to trainees.	• Possibility of facing difficulties while arranging participants into groups. Need time to prepare some types of group work; • Possibility of all groups obtaining similar results in some exercises, which would put certain limits on plenary discussion to follow.	Knowledge, skills, development of projects, search for solution to problem, etc.
Discussion	Allows participants to get more actively involved in training process, express independent opinions and interest. Other strengths include: • feedback to be quickly established between participants and trainer; • determining the level of knowledge of the participants and correcting mistakes without putting much pressure on them; • participants to learn on their own; • listening to each other - trainer to avoid giving answers to all questions; • trainer to move easily to using other methods, e.g. a lecture, if a large volume of information is to be learned.	• Possibility of spending a lot of time in order to carry out this method; • Difficulties at formulating the questions for discussion and tasks; • Need for certain level of preparation for both trainer and participants in order to take part in discussion; • Possibility that some participants will dominate.	Knowledge, exchange of opinions and experience between the participants on a controversial problem; analysis of the problems, abilities and skills of backing up one's point of view with arguments and defending one's point of view or attitude

[55] *Adapted from Merri Weinger. Trainer's guide on basic environmental health. Available at: http://www.who.int/occupational_health/publications/en/oehbehtgp1.pdf.*

Training methods	Strengths	Limitations	The purpose of the method
Case studies	Allows you to: • develop ability to analyze, ask relevant questions, develop decisions and defend one's point of view; • improve participant's communicative skills; • develop ability to see situation from several different angles and take into consideration various factors that influence the situation; • develop several decisions and analyse them.	• Possibility of needing to spend a lot of time in order to develop the cases. Possibility of facing conflict situations in the process of developing and adopting decisions; • Possibility that participants will have problems connected with transferring learning experience into real life situations.	Application of knowledge and skills, skills of analysing and solving problems
Role plays	Allows you to: • reconstruct a problematic situation 'in action'; • 'see' the roles of other participants, gain an understanding of their motivations, and 'play through'/ try out the new models of behaviour; • develop an ability to analyse the decisions that were made, etc.	• Possibility of having to spend a lot of time for development and preparation of a play; • Possibility of encountering psychological barriers of the participants, which will impede 'role' performance; • Requirement that the method is to be used in small groups; • Need for a correctly structured analysis in order for the learning goals to be achieved.	Skills, social action, attitude
Work with text, working sheets and questionnaires	Allows you to: • get all participants involved in content work; • participants work through the material and ponder over it on their own, without external influence; • use the results of independent work when working in small or big groups.	• Possibility of spending a lot of time in order to develop the handouts. In use for only a short period of time.	Expand knowledge, review experience and attitude of the experts
Brainstorming	Allows you to: • open the way for creative thinking and creation of new ideas; • collect many ideas over a short period of time; • encourage all participants, as any ideas are being considered.	• Possibility of participants becoming distracted from the problem, which is being solved; • Need time limit of between 10–15 minutes.	Development of criteria, development of lists, knowledge, attitude
Audiovisual materials (movies, slides, etc.)	Allows you to: • bring in entertaining detail into the training process, and stimulate questions; • focus attention of audience; • work with large groups.	• Possibility of having too large a number of questions appearing in participants' minds, which would make a focused discussion more difficult.	Attitude, knowledge

The below sessions detail some methods effectively utilized whilst conducting trainings on SEA.

2.6.1. Interactive mini-lecture

Lectures allow for the quick conveyance of a significant volume of information to a large audience. They allow for the presentation of material in a concise and logical form in a short period of time.

Traditional lectures are characterised by a long monotonous presentation of material by a lecturer to passive listeners'. In contrast to this, during the course of intensive education at training sessions, interactive mini-lectures of no more than 15 minutes in duration are presented. They include a significant amount of activity for the audience and are indispensable whilst conducting training on SEA.

Mini-lectures allow for the presentation of the main procedures of SEA, provisions of SEA legislation, and other information. It is desirable to use lectures at the beginning of a training programme, after having conducting the 'getting acquainted' session with participants, in order to introduce them to the understanding of a problem.

Practical advice

Start the lecture in an unusual way

Try to grab the attention of the audience with an interesting opening. Ask provocative questions, tell an interesting story, demonstrate something, show the results of training needs analysis for this target group or ask a few questions in such a way that participants can answer by raising their hands, etc.

Present the material briefly and clearly

In order to retain the audience's attention, the length of a lecture should not exceed 15 minutes. Select three to five main points and present them in an easily comprehensible form.

Use illustrations and visual aids

Use visual aids, graphs, drawings, slides, hand-outs and other technical means. They contribute to better understanding and retention of information. You can also distribute a short summary of your lecture and other hand-outs (printed copy of slides), so that the attention spans of participants do not get derailed by having to take excessive notes.

Communicate with your audience – give them opportunity to ask

Be interactive. Get the participants involved in the training process and the process of thinking over the presented information with the help of strategically placed questions. Use examples to illustrate the theory and humour to maintain a rapport with your audience, and don't read from a script. Use your own words and demonstrate your enthusiasm.

Maintain visual contact with the audience: try to make eye contact with each and every member of your audience, not only with one participant, to embrace everyone. Use open postures and positive body language, which helps win over the audience. Be careful of your hand gestures.

Actively engage the audience

The nature of presentations can often seem like a one-sided proposition. However, asking the audience what they think, inviting questions, and other means of encouraging audience participation can boost engagement and make attendees feel like a part of a conversation. It also makes the presenter seem much more relatable. Consider starting with a poll or survey. Don't be put off by unexpected questions – instead, see them as an opportunity to give the audience what they want. The use of questions is an important tool. Questions engage the audience's minds in a more stimulating way than by simply asking them to sit and listen to your talk. Draw in the audience with clear, focused questions.

Watch the logic of presentation

At the beginning of a mini-lecture, present its plan (put it on a board or on paper, etc.) and emphasize what questions will be reviewed. Whilst conducting a mini-lecture, follow the plan. Do not jump from one subject to another at random.

Reinforce presented material

After presenting the information, plan an exercise that will help participants memorize and apply the new knowledge. This can be through discussion, working in small groups, exercises aimed at solving a particular problem and role plays.

Watch the tone of your voice

Courtesy and sincerity should become your

motto. No matter how the participants behave themselves, remarks about their behaviour should be made in a reserved and polite manner. The words 'thank you for your question' can be pronounced with various intonations, and could make the participant regret the very moment he or she decided to speak or act. Even the most difficult participants should be given respect. Both your verbal and non-verbal expressions during the lecture will, by means of thousands of nuances, manifest your real attitude toward the group, so be friendly, whatever the cost.

Identify difficult places

When preparing the lecture, identify all the so-called 'delicate spots' that can become subjects of participants' questions. Imagine yourself in the shoes of the participant and try to anticipate what details may lead to questions, remarks, reactions, and prepare to face them, as much as possible.

Prepare to face difficult questions in advance

Try to prepare for the potential questions. However, if a question takes you by surprise, you must enact a behavioural model to act properly in this instance, such as:

- Pause for 5–7 seconds and think, standing before the participants. Demonstrate to the participants that you are not ignoring the question, rather taking the necessary time to think it over. This way the participants will pause together with you, giving you time to collect your thoughts, find an answer, or understand what to do next.
- Readdress the question to the group: 'And how would you answer this question yourselves?'
- Admit sincerely that you don't know the answer, but explain to the participants that you will certainly consult a specialist or look through the literature, etc. and will find the answer. An example of a positive response to a difficult question is: 'Thank you, this was a wonderful question. It is very difficult indeed, and we have devoted a lot of time and energy to finding an answer to it. We will certainly get back to it and review it together with a specialist'.
- If you are planning to answer questions after the lecture, don't forget to announce this at the beginning, so that the people will be able to jot down their questions and ask them later.
- A good solution is to create a question-and-answer box. This will enable the participants to put their questions, related to the content of the training, in a special place during the entire training session. Trainers will be able to read them in their spare time and prepare answers.

Not a single question should be ignored

Using the abovementioned examples, respond to ALL questions that are being asked, as well as ALL remarks and comments.

There should be less 'YOU' and more 'WE'

Limit the use of pronouns that separate you from the participants. Unacceptable expressions are those such as 'you must' or 'you are obliged'. Substitute them with softer expressions, like 'it is advised that...', 'the law states that...', 'it is recommended to do it in the following way...', etc.

2.6.2. Small group exercises

Working in small groups, in contrast to the lecture, switches the focus of the training from the trainer to the participants themselves. This method encourages cooperation between members of the group, allows them to realise each participant's natural aspiration for communication and facilitates the digestion of information and formation of skills.

Small groups are formed to enhance the participants' interest in a new subject, study or reinforce new material, develop a project, find solution to a problem, etc. This is a basic training method, which is easily combined with other methods. For example, you can brainstorm, hold a discussion, and perform a role play or a case study analysis in a small group. Discussions in small groups can be a component of an interactive lecture. Having been split into small groups, participants can find answers to given questions, develop a definition, develop a list of problems and/or solutions to them, share experience and examples, discuss and select main points from a given text, etc.

Organizing small group work facilitates the development of effective communication and the cooperation of participants, which are important skills for the joint work of stakeholders in any project. Therefore, it is recommended that you use small group work actively when carrying out trainings on SEA.

The method is simple. Having received an assignment from a trainer, participants gather in small groups. They undertake the assignment together, making a report about the outcomes of the work for later presentation to a larger audience.

Practical advice

Plan work thoroughly

It is necessary to decide how to split the bigger group into smaller ones. It is also necessary to clearly define what the participants should achieve as a result of the work, determine the duration of the work in small groups and the way in which the results will be presented to the larger audience.

Define the number of participants

The optimal number of participants placed into small groups largely depends on the total number of participants in the training, the character and the volume of assigned work, the availability of necessary materials and the time allocated for implementing the assignment. Changing the composition of a group at the time of training will contribute to a wider exchange of experiences. Participants can be placed into groups of two or three people or in larger groups of four to seven people.

Split up participants into groups quickly and effectively

There are many methods for assigning participants to groups. Participants can be arranged into groups in alphabetic order, with the help of lists, prepared in advance, or with the help of numbered colour cards. The main thing is not to waste time waiting for complex explanations of how to split into groups and to try to give the participants who have never worked with each other before a chance to exchange knowledge and experience. When group sizes change, the method used to arrange participants into groups can also be changed.

Give brief and precise instructions on the forthcoming work

Instructions should be a simple, ordered, step-by-step explanation to the participants of what they should be doing. Avoid complex phrases. Make sure the participants understand and can do what is required of them. Whilst giving instructions, use action oriented words: note, tell, present to the other groups, etc. It is sometimes useful to distribute an assignment in a printed form or to write it on a whiteboard.

Define clearly the time allocated for the task

Whilst giving instructions, define clearly the allocated time for group assignments and write it on the whiteboard. This will help them organize their work effectively. Do not give too much time, as people will get distracted or bored. Before the end of the group work, walk around the room and encourage all the groups to finish their work on time.

Suggest the participants choose roles within the group

In order to effectively organize work in a small group, it is advisable to select from among its participants someone to act as moderator in order to steer the discussion, someone else as a secretary to take notes of the ideas from the participants, someone as presenter, who will present the outcomes of the group work at a plenary meeting, and finally someone to be responsible for keeping track of the time.

Watch the groups working

Observe one group after another, watching how they perform their assignments and answer questions arising from their work. Groups may need additional instructions and clarifications.

Develop a method of reporting the results of implementing an assignment in advance

At the time of giving instructions, explain to the participants how they will report the results of implementing the assignment. The method of reporting the results of implementing the assignment is determined not only by the complexity of an assignment, but also by the time allocated for its completion. There are several ways of reporting the implementation results of an assignment:

- Presentation: groups present the results verbally or by explaining the notes that the group made earlier on a whiteboard or paper. This way of reporting takes the longest time.
- Gallery: groups present the results of their work in the form of posters or notes on large sheets of paper. The participants are given

time to review and analyse presentations. Then the results are discussed in a large group and the important elements, highlighted by every group, are emphasised.

- Reporting group-to-group: When there are several groups and little time, groups can present results to each other, but not to the whole audience. In this case you may need several rooms.
- Partial report: Each group reports on some of the points mentioned, but only on the most important ones.
- Summary: After the sheets with the groups' work results are placed on the walls, the trainer selects the most interesting ones and asks the group to comment on them in greater detail.
- Discussion: Instead of simply reporting you can organize a discussion, in the process of which questions can be asked to one or another group. This method saves time, but it is possible to lose some original ideas created by a particular group.

All the questions posed to large groups can be posed to small groups too. The difference is that when working in small groups, the participants have a greater opportunity to get involved in the work. Below are different approaches to working in small groups[56].

'Think, discuss, share' 25 minutes

How to organize the work:

- Pose a question to the large group. Put the question on a sheet of A1 paper.
- Ask each participant to think about the answer.
- Afterwards, ask participants to discuss their answer with their neighbour on their right
- In conclusion, discuss with the whole group the possible answers to the question.

Triads' 30 minutes

How to organize the work:

- Split up the group into smaller groups of three persons each.
- Hand out to each participant their role: of interviewer, interviewee, and observer. The interviewer asks a question, the interviewee responds to it, and the observer takes notes about what he or she witnesses.
- Give a subject for the interview or a question for discussion, and assign a time period (not more than 7 minutes each).
- Ask the participants to swap roles.
- After the end of three rounds of discussion (when each participant has played each of the roles) bring the larger group back together again and discuss what new issues have been learned on the subject. You can also ask, which role was easier to play and why.

'Circles' 45 minutes

This method develops the ability to listen and helps each participant make a contribution to the group work. The time depends on the number of participants. Assume that every participant will speak for no longer than 3 minutes.

How to organize the work:

- Pose a question to the group. Put the question on a sheet of A1 paper.
- Ask each participant to answer in turn, observing the following rule: when each person answers, they should first repeat the main points of the previous person's answer before giving their own.
- Change the one who answers first if you use this method more than once. [17]

'6x5, 5x6' 45 minutes

How to organize the work:

- Split the participants up into six groups of five persons each.
- Give each group one common subject for discussion. Put the assignment on a sheet of A1 formatted paper.
- After the end of the group discussion, each participant of the group becomes the 'bearer' of group knowledge.
- Arrange the participants into new groups, based on the rule of 'one participant from each group'. In this manner, you form five groups of six persons each. In order to make the procedure of forming the new groups easier, assign a number to each participant from the previous groups (1, 2, 3, 4, 5). The resulting six 'number ones' will form the new group number one, the six 'number twos' will form the new group number two, etc., (i.e. all similar numbers get arranged into one group).

[56] *Tourtilott L. Britt P. (1994) How to conduct an effective workshop: EE Toolbox — Workshop Resource Manual. Michigan: University of Michigan.*

- Ask each participant to share in the results of the discussion of the subject in the previous group. [17]

'1x2x4' 45 minutes

How to organize the work:

- Ask the participants to individually think over an answer to a question, or ponder over some issue or the ways to solve some problem.
- Then put the participants into pairs and ask each pair to jointly produce an answer to the question, or formulate a summary of thought about the issue or problem.
- Then arrange the pairs into groups of four, who will form one answer or summary out of the previous two, which is acceptable to all four persons.
- The results are put on a sheet of A1 paper, and presented later by each group.

2.6.3. Discussion

Discussion can be a broad public dialogue focusing on one or a number of issues. It is one of the main methods of training, in which the trainer plays the role of a 'show host' and acts as the catalyst for an informal, unconstrained exchange of information and experience between the participants. Discussion allows for an increase in the level of interaction between the participants and the effectiveness of the educational process.

Discussion is used to exchange opinions and experience between the participants on an issue, in order to develop the skills needed for devising arguments and defending an opinion, as well as increasing their motivation. A trainer moderates the discussion, bringing to the attention of the participants the key matters that have come up during the discussion, in order to present and review various facets relating to the issue.

This method is actively used during training on SEA, as well as during round table discussions, conferences and seminars.

Practical advice

Give the participants sufficient information

Before the start of the discussion, give the participants enough background information in the form of a text, ready-written dialogue, role-play, case study or a short video clip.

Define the problem issue clearly

The question or subject of a discussion should be controversial: i.e. subjects for which there is no single answer, rather those which allow for various solutions, in particular, opposing, mutually exclusive ones. For instance, when initiating a discussion on the effectiveness of SEA application and the need to carry out more work in the country, you may use one (or all three) of the statements below, offering the participants a choice to support or refute any of them, based on their opinion:

- In our country SEA is not being implemented at all.
- The Protocol on SEA was ratified by our country and there is nothing else we need to do.
- People have the opportunity to participate in SEAs but they do not use it.

You should not use the questions like, 'who is right and who is wrong?' The possible events should be the central focus, such as 'What would be possible in this or that situation?', 'What would happen if...?' or 'Are there alternative possibilities or ways to act?'

Develop a plan for conducting a discussion

A plan can be an important component in your preparation to conduct a discussion. It looks like a list of questions that will help you direct the discussion and focus participants on the issue for discussion.

Stick to the selected format of carrying out the discussion

During discussion of a controversial matter, precisely follow the format tailored to the discussion that you have selected, for example a round table discussion, a discussion in a common circle, 'take your position', etc. Clearly sticking to the selected format for conducting a discussion will help to make it more effective and reach the goal that has been set, within the allocated timeframe.

Watch the time and follow the schedule

It is better to have some time remaining, as it will be possible to share it equally among the participants at the end of the discussion. However, if

you will be lacking time for collective discussion and summarizing the results, your discussion will not reach the set goals.

Don't let the participants deviate from the subject of the discussion

Before starting the discussion, give the participants a few minutes to think over the issue and define their arguments. During the discussion listen to the participants carefully, watch their mood and take notes. This will help you stay within the boundaries of the issue being discussed. If the discussion deviates from the subject at hand, make a summary of the main points and bring the attention of the participants back to the main subject. You can use phrases like: 'It seems that we have deviated a bit from the subject, let's return to the concept...'.

Encourage active discussion

Actively mime and use gestures that help support the discussion flow, without interrupting it. If the discussion dies, change the definition of the problem being discussed or use another method to look for new ideas.

Don't let the participants turn the discussion into a conflict, but don't suppress expressions either. Avoid overgeneralizing, using indefinite questions and questions with double meanings. Use concrete questions to support the discussion and abstract questions to calm things down.

An atmosphere of trust during the discussion will help make it more open and effective. Additional advice that will help you whilst conducting a discussion or to handle difficult situations is presented in Chapter 3.

Summarize the results of the discussion immediately

A discussion can end both by achieving consensus (adoption of a coordinated decision) and by participants' retaining different points of view.

In order to conclude the discussion, ask: 'Would anyone else like to add something in conclusion?'. Ask those who expressed the desire, to summarise the results of the discussion, for example, by asking them to list the most convincing arguments that were put forward by all sides.

If there is not enough time, the trainer can summarise the results by him or herself, taking into account all the opinions expressed by the group. Bring the attention of the group to the opinions and ideas that are connected to the issue at hand and softly correct any inaccuracies you had noted earlier during the discussion.

Some Discussion Activities[57]

Take a position

This method is useful at the beginning of work with issues and problems under discussion. It can be used at the beginning of training or a session in order to demonstrate varied points of view on the studied issue, or after the participants have already familiarised themselves with certain information and have determined possible opposing solutions to the problem. To start a discussion, it is advisable to use a question that may have opposing solutions (e.g. 'yes' and 'no'), or two extended definitions of opposing points of view.

When analysing opposing points of view, the participants should familiarize themselves with different positions, learn to predict the consequences of individual activities and political decisions both for society and individual citizens, apply their skills in practice to defend their positions, and learn to listen to others.

How to organize the work:

- Present the problem (question for discussion). Give them a few minutes to think it over and define their position regarding the given question.
- Place posters with the words 'I agree' and 'I disagree' on opposite sides of the room. (You can also present polar positions. For example, 'Public Participation is Useless and Unnecessary', 'Public Participation is Necessary and Creates Significant Effects'). You can present three positions: 'I agree', 'Don't know, have no particular opinion' or 'I am opposed'.
- Ask the participants to stand near the poster that reflects their opinion regarding the given problem ('to vote by foot').
- Suggest to all those who share one particular point of view to discuss it and develop arguments together in its defence.
- After all points of view have been present-

[57] *O.Pometun, L.Pirozhenko. (2002) Interactive Training Technologies: Theory, Practice, Experience. / Kiev: A.P.N.*

ed, ask if there is anyone who has changed his or her mind. Ask such participants to come over to the other poster and explain the reasons for the conversion of opinion.

- Ask the participants to mention the strongest arguments of their own and the opposing side.

Change your position

This technique is similar to the technique 'Take a position'. It gives all the participants the chance to get involved in the discussion of the problem issue. Further, it gives the participants an opportunity to understand opposing points of view and develop the skills for devising arguments, and active listening, etc.

How to organize the work:

- Define the assignment for the whole group.
- Arrange groups into four person clusters. Split each cluster into two pairs.
- One of the pairs in a cluster should present arguments in favour of the 'yes' position. The other should defend the opposing 'no' position. Give enough time to prepare arguments and announce the time allocated.
- When the preparation time is up, ask the participants to present their arguments to their partners.
- Then ask the pairs to exchange their positions and repeat everything from the beginning. This will require much less time.
- Ask the cluster to discuss the subject freely. Now the participants have an opportunity to express their own point of view. As a result of the discussion, the cluster should either reach agreement or come to the conclusion that they don't have enough information. Determine the time-frame of the free discussion in advance.
- Summarize the results together with the entire group.

Discussion in a large circle 'Microphone'

This is a technique to discuss a subject in a large circle, which gives everyone an opportunity to say something quickly, taking turns, answering questions or expressing one's point of view or position.

How to organize the work:

- Pose a question to participants.
- Offer an object (pen, pencil, etc.) to be used as an imaginary microphone. The participants should pass it to one another, taking turns holding the floor.
- Only give the floor to the person who holds the imaginary microphone.
- Ask participants to speak in a concise and quick way (taking no longer than one minute).
- Do not comment and do not evaluate the responses.

As an option, you can interview a few participants, approaching them with the 'microphone'.

Unfinished sentence

This technique is often combined with the 'microphone' technique. It gives an opportunity to work on the form and content of expressed thoughts, and compare them with others. Work using this technique gives the participants an opportunity to overcome stereotypes, to express themselves more freely on the subject of the discussion, to develop their own skill of speaking in a concise and convincing manner.

How to organize the work:

- Define the subject, on which the participants will have to speak.
- Pose an unfinished sentence and ask the participants to complete it. Subsequent participants should start speaking with the words you proposed.
- The participants should work with open sentences, for instance 'this decision was made because...', or 'the most important thing for me at the training is...', or 'for me public participation is...'.

Discussion in the form of a 'Panel Debate'

This method involves a few participants discussing the problem with an audience. This form of discussion combines the advantages of a lecture and of a group discussion. A group of three to five people conducts a discussion with the other participants present. The observers join in the discussion later, either expressing their opinion or asking the participants questions.

A TV talk-show style discussion provides an opportunity to clearly express different points of view on the given problem, but you should not forget that the principal participants of the discussion should be competent enough in the given area and should be well prepared for the particular conversation. It is also important that

the personal qualities of the actors do not distract from the subject of discussion, and that all participants have equal opportunities to express their points of view (their statements should be no longer than three to five minutes). The moderator makes sure that none of the participants deviate from the given subject. The duration of such discussion should be no longer than 90 minutes.

How to organize the work:

- Define the subject under discussion, invite the principal participants, and mention the conditions of the organisation of the discussion (duration of interventions, etc.).
- Ask the principal participants in the discussion to sit around a table and the observers should sit at tables around the central table, in the shape of the letter 'U').
- To start the discussion, introduce the principal participants and announce the subject of the discussion.
- First the principal participants will speak. Their contributions should take no longer than 20 minutes, after that you should ask the rest of participants to take part in the discussion. If necessary, remind the participants about the agenda, schedule and the need to observe proper etiquette during the discussion.
- After the end of the discussion summarize the results, give a short analysis of the input of the principal participants.

Discussion in the form of a symposium

Just as in a TV talk-show style discussion, this type of discussion combines the advantages of both a lecture and a group discussion. This form of discussion helps professionals share their knowledge and experiences with the audience, without turning their comments into long and tedious lectures. It also makes dialogue between the listeners and the lecturer easier.

Two or three lecturers (professionals or simply the people who are very competent in the subject) express their points of view on the problem in a short form. The maximum length of each lecture should not exceed ten minutes. Then 20 minutes is given for joint discussion.

Discussion in the form of a symposium is especially effective when it is necessary for the whole group to share experiences and the results of work etc. In this case, it is possible to organise the entire conference into several subject blocks, which logically supplement each other.

How to organize the work:

- In order to prepare a symposium, the trainer needs to meet the lecturers and agree on the plan of the organisation of presentations, their subjects and schedule.
- Firstly, open the discussion, explain the subject under discussion and let the principal participants speak. Keep to the schedule.
- After the lecturers have made their presentations, offer to everyone who wants to, the opportunity to take part in the discussion. The duration of the joint discussion is 20 to 30 minutes, while each person's input should not be longer than two or three minutes. Try to get as many participants as possible involved in the conversation. If needed, remind the participants about the agenda, schedule and need to observe proper etiquette during the debates.
- After the conclusion of this joint discussion, summarize the results of the discussion as a whole. Lecturers may answer the questions.

2.6.4. Round Table

Round Table is a conversation within a medium or small group (not more than five participants), whose members discuss a certain question, communicating both with each other and with all the other participants as the audience of the round table discussion.

2.6.5. Expert Group Meeting

Expert Group Meeting (loop-type discussion) is an exchange of opinions in a group of four to six participants with a chair who is appointed in advance. It has two stages: 1) discussion of the selected problem by all participants in the small group; and 2) presentation of the position of the group in the form of short (three to five minutes) statements by each of its members to the entire audience. Discussion of this position with the audience is not envisaged.

2.6.6. Concentric Circles

Concentric Circles is an activity during the starting phase, similar to the 'round table', but the communication between the members of the working group and the audience takes place in the form of exchange of roles. The working group becomes the audience and the audience turns into a discussion group.

2.6.7. 6 x 6 x 6

6 x 6 x 6 involves simultaneous discussions of a certain problem by six groups (each comprised of six participants), for six minutes. After this, the facilitator creates six new groups, each of six participants, who previously discussed six different subjects. This method is similar to the 'mosaic' method.

Among the methods utilized to work with discussion matters there are more simple ones. They are used as elements within the context of more complex methods, such as work in small groups, mini-lectures, and the like. It is to this group of methods that Brainstorming and Multi-voting belong[58], as outlined below.

2.6.8. Brainstorming

Brainstorming is a well-known interactive technology for collective discussion. It is widely used in order to develop several decisions to a certain problem. Brainstorming encourages creative abilities, facilitates involvement of all the participants in the process and gives everyone an opportunity to express their own opinion.

How to organise work:

- After presenting the problem and defining the subject in question, ensure that everyone understands what the discussion is going to be about and define the question clearly. For example, 'Possible Barriers for the Public to Take Part in Decision-making' or 'What are the Advantages of Public Participation'?
- Ask the participants to express ideas, comments, cite phrases or words related to this problem. Don't interrupt the process of expressing ideas. At this stage, one of the following methods can be used:
  - Circles: Go around the group asking each participant to offer up an idea.
  - Popcorn: The participants speak freely — until everyone has expressed all their ideas.
- Put all the ideas on a board or a big sheet of paper in the order of appearance, without remarks, comments or questions. During the work of the groups don't miss even one expressed idea. Don't discuss and don't criticise suggested ideas. Otherwise, the participants will focus on grounding their own point of view and will stop generating new and better ideas.
- Encourage all of the participants to generate the biggest number of ideas. Quantity will become quality. It is important to support and note even the most unusual ideas.
- Ask the participants to develop or change the ideas of the others. Combining or changing previously expressed ideas often leads to creation of new ideas, much better in comparison with the original ones.

2.6.9. Multi-voting

This method uses several rounds of voting in order to select the most important ideas from a large number of alternatives. Selection is conducted through a series of voting rounds, each round reducing the number on the previous list by precisely one half. Using this method, even a list of 30-50 questions can be reduced to a more acceptable number after about four or five consecutive voting rounds. Multi-voting usually follows brainstorming to determine questions that should be the focus of future discussions.

How to organize the work:

- Make a list of questions and assign a number to every question.
- If the group agrees, combine two or more similar questions into one.
- If necessary, change the numbers of the groups of questions.
- Ask all the participants to choose and prioritise the most important questions with the help of coloured sticky notes or in some other way. Voting may be done in an open way, simply by raising one's hand when the corresponding question is read aloud.
- Put down the numbers of the selected questions on a separate sheet of paper. The number of selected questions should not exceed one third of the total number of questions on the list.
- Count all votes.
- In order to shrink the list, remove the questions that attract the least number of votes. Here, the number of participants determines the minimum number of votes. As a rule, if the group is not large (five or less), cross out the questions that have attracted less than two votes. If the group is of medium size, (from 6 to 15 persons), remove all of the questions that attracted less than three votes. In large groups (more than 15 people), remove the questions that attracted less than four votes.
- Repeat the actions described in points three to six with the list of remaining questions until the number of questions reaches a desirable figure. If the list does not shrink due to equal distribution of votes, select the question that is considered the most important by everyone.

[58] *Tourtilott L. Britt P. (1994) How to conduct an effective workshop: EE Toolbox — Workshop Resource Manual. Michigan: University of Michigan.*

2.6.10. Case study

Case studies are used in order to review real-life situations and examples in a sort of 'slow-motion'. Case studies serve as examples for generalisations, provide grounds for a high level of abstraction and thought, demonstrate human feelings and emotions and help connect new theoretic material with real-life creating an opportunity to apply acquired knowledge in practical terms. This method is used whilst conducting training on SEA in order to analyse the viewpoints of different stakeholders in the decision-making process, as well as in order to study the consensus-building process. For example, a study of the situation in which local authorities make decisions allowing the construction of a game park, which can lead to cutting down a part of the natural forest, allows the participants to examine various factors. These factors influence the decision-making by local authorities, and therefore help participants to develop skills for consensus building.

Conducting exercises using case studies involves the following main steps: presenting the case to the participants, studying and analysing the case independently, analysing the case in a group and developing the solution, selecting the solution and summarizing the results.

Practical advice

Prepare the problem case in advance

When developing the description of a case (example, dilemma), it is necessary to provide sufficient information to the participants. Different sides of a conflict should be studied, as well as the opposing positions and interests of the actors. The description should contain the four main components of the dilemma: the general context of the dilemma; the choices that the dilemma offers; equally strong arguments 'for' and 'against'; and the proposal to make a clear choice in the end. Check how clearly the case is described and whether all the information is necessary to solve the problem.

Arrange participants into small groups

The optimal size of the group for case study analysis would be between six and ten people. It is advisable that there are people of different educational, professional and vocational backgrounds in each group. If the common group is quite large, divide it into sub-groups, and have each of them deal with one of the aspects of the given problem. If needed, introduce an element of competition by instructing the groups to attempt to solve the problem within a certain time frame.

Clearly define exercise goals and individual and group assignments

Instructions should be clear and concise. Having handed out the description of the case, make sure the participants understand the root of the problem.

If necessary, ask the participants to select one problem so that during the process it can be studied in greater detail. Be prepared to give explanations where necessary.

Give participants time to individually study the situation

Explain that each and every participant should read the description of the situation, highlight the problem and select the method that can be used to analyse it. Encourage the participants to define the necessary facts and missing information and start developing a course of action.

Encourage sub-groups work

Observe the work of every group. From time to time go around the groups to ensure each participant has an opportunity to express and justify their position. Encourage a situation analysis and the process of agreement on a recommended action. Ask the groups to prepare reports on the results of their work.

Conduct joint discussion

Discussion is an important component of any exercise. It facilitates the exchange of experiences, aids in solving every aspect of a situation and correcting possible errors. Before the exercise, prepare questions that are needed to conduct a discussion. Study the situation on your own, in order to be able to freely answer the questions, give comments and explain in a well-grounded way the new variants of a decision[59].

[59] *O.Pometun, L.Pirozhenko. (2002). Interactive Training Technologies: Theory, Practice, Experience. / Kiev: A.P.N.*

Questions in order to analyse a situation and conduct a discussion

Variant 1:

Facts. What is happening? Where and when? Who has contributed to the problem? What do we know about them? Which facts are useful and which are of secondary importance? What is fact and what is opinion?

The reason for the situation. What is the conflict about? What questions is it necessary to review in order to solve the problem? What are the interests belonging to each side? Why do they oppose each other?

Arguments. What arguments can be drawn in support of each side? What documents or information can we rely upon whilst defending one or another position?

Decision. What can be the solution for the situation? Why this particular solution? What is the choice of such a solution based on? Are there any other ways to solve the problem?

Variant 2:

- What problem is presented in the example?
- How do different people see this situation?
- What can be done in order to solve it?
- What factors should be taken into account in order to select the optimal decision?
- What will be the outcome of various decisions?
- What decision will be the most optimal?

As much as possible, don't comment, but ask questions instead. For example, if the group comes to such a conclusion that clearly doesn't follow from the study of the situation, ask, 'How is this conclusion justified?' Resist the temptation to help the participants and show your knowledge of the subject. Use the results of the analysis of the situation in order to avoid abstract arguments.

Conclude the exercise by summarizing

Summarize the main points, recommendations, arguments and proofs touched upon during the discussion. Also, carry out a review of exercise implementation and assess the extent to which the goals of the exercise were achieved.

Some Case Study Activities

Problem-solving exercises

Use of this technique teaches the participants how to solve problems independently as well as to make decisions collectively.

How to organise work:

- Prepare the problem assignment and the problem case.
- Explain the case to the participants and define the core of the problem. Make sure the assignment is clear to everyone. If needed, provide additional information.
- Arrange the participants into groups, so they discuss the problem before starting to look for solutions.
- Using the 'brainstorming' technique, create as many different variants to the problem, as possible. During this stage consider each and every possible solution. A large number of ideas should be generated.
- Together with the participants analyse, clarify and merge the expressed ideas.
- Discuss the possible positive and negative consequences of each suggested solution.
- Choose the best variant and agree on the selection with everyone (this can be done by voting or according to the rules used to reach consensus).
- In case the chosen solution is unacceptable or ineffective, choose two alternative variants and reach an agreement regarding their use.

Stages in the process of problem solving:

- Define the core of the problem.
- Define the significance of the problem.
- Think over the possible variants of solutions.
- Analyse the possible consequences of each variant.
- Choose the variant of solution that you think is optimal.
- If the first variant proves ineffective, suggest other variants and start it all from the beginning.

Tree of solutions

As a variant of a technique to be used to solve a problem, a 'tree of solutions' can be used, which helps the participants to analyze and better understand the mechanisms of making complex de-

cisions. The method is similar to the one described above, but the search for proposed solutions is carried out according to a certain scheme.

How to organize the work:

- Define and put on the whiteboard (blackboard) the problem assignment or the problem case.
- Make sure the assignment is clear to everyone. Give the necessary additional information. Make sure that the participants understand the importance of the solution of the problem for the actors of the case.
- Using the 'brainstorming' technique, create as many different variants of the solution to the problem as possible. At this stage not even one solution is discarded. A large number of ideas should be generated.
- Discuss the variants of solution of the problem using the following question: 'What positive and what negative aspects will this solution bring to each side?' Choose three or four possible solutions.
- Arrange the participants into small groups and ask them to fill in the chart. Each group must choose one solution through discussion.
- After each group presents their solution of choice, discuss it. You can ask the participants to vote in order to select one final solution.

2.6.11. Role play

Role play (role play and simulation play) imitates reality. Role play is understood as a certain simulation of a real-life situation for training purposes, its reproduction is a 'playback' by the participants.

Playing through a real situation provides the participants with an opportunity to reproduce it in a simplified form. They can study the procedures related to the function of civil institutions, within an economic, political or cultural framework of a particular country, which is especially important in order to conduct trainings on SEA.

The goal of such plays is to reflect certain phenomena, mechanisms (e.g. procedure of decision-making by local self-governmental bodies, or mechanisms for increasing an income of an enterprise) and to discover any irregularities. They facilitate the study of different viewpoints and approaches towards solving the problem, as well as practicing behavioural skills for a new situation, inter-personal skills of working, and a change in attitude and values.

For example, a role play is an effective method to 'work through' the skills of organizing a dialogue between the stakeholders and those studying the process of public participation in decision-making. A role play, such as simulating a meeting between local authorities and the members of a neighbourhood committee, centred on concerns over the worsening health conditions due to emissions from a nearby industry, can provoke discussion about the importance of public involvement in supervision and prevention of pollution. The participants who play the roles of local authorities may demonstrate or develop their communication skills, as well as study ways to provide information. The participants who perform the roles of public representatives can demonstrate the significance of the issue for the local population, as well as their ability to express their concern and present good arguments, to demonstrate the need for action. After having conducted a role play, the trainer starts a discussion and the participants define the problem, its causes and different opinions on the matter. Then, participants develop a potential strategy to enhance communication between the representatives of the authorities and the public on environmental matters and risks.

Plays are created using clearly defined roles (by law or by tradition) and course of events, reproduced by the participants: such as hearings in court or in parliament, public hearings, assemblies, or commission meetings. They are built upon well-developed scripts and are used to acquire new knowledge that is hard to receive by traditional methods.

The plays should only present the problem. Its interpretation and the conclusions of the participants are provided during the structured discussion that follows the plays, which includes analyses and experiences gained during the exercise. It is necessary to emphasise the main points, make conclusions and summarise[60].

Practical advice

Plan work in advance

Prepare the scenario and instructions for all the roles in written form. The description should be clear and concise so as to aid the participants play their roles accurately. Thoroughly plan the timing of the play. Explaining the rules of play should take up no more than 10–15% of the time, while preparations in small groups should take up 15–20%, presentation and discussion should take up 20–50%, and the summary 15% of the time.

[60] *M. van Ments. (2002) Effective Use of Role Plays in Training. / Saint Petersburg: Peter.*

Establish a friendly and safe atmosphere

Before beginning a role play, incite interest in the participants. Show the connection between this exercise, the previous session and the next training sessions. Do not start the day with a role play. Use it only after the participants get acquainted, have an understanding of the topic, and establish good relationships.

Define the goals of the exercise

Clearly describe the goals of the exercise. Give an example of what the participants will have learned as an outcome of the exercise.

Make the participants familiar with the context of the play

Explain to the participants the history of the problem and the situation that has developed. Describe the characters and present all the necessary information.

When distributing roles, use volunteers

The most effective way to distribute roles is voluntarily. Let all the participants select the roles they like. If you are sure that certain participants will be able to receive the experience they need or will be able to successfully act out a particular role, invite them to take part in the play. It is important to make the exercise as effective as possible. Therefore if a participant refuses to take a role, don't force the issue but offer it to other participants.

Get the whole group involved, using observers

Invite the rest of the participants to play the role of observers and give them a certain task. Connect the task with the goal of the roleplay and put it on the whiteboard or place it in the handouts.

Give instructions to those performing roles and give them time to prepare

Assist the participants in performing their roles. It is desirable to arrange the participants in small groups or pairs in order for them to prepare their roles. Ask the performers to rehearse the roles in a different room.

Organise the stage

Prepare everything necessary to conduct the role-play. Place the furniture in an appropriate manner and prepare equipment for the performers. Help the performers take their places on the 'stage'. Present them as the characters of the role-play.

Watch the time

During the role play, watch the time. If time is up, tactfully stop the play at the most appropriate moment. In case several variants of the play are performed (with the help of different players and situations), control the process of transition from one group of performers to the next. Separately give observers a short while for their comments.

Conduct discussion and analysis of the role play

Help the participants to develop their roles. Discuss in detail the situation that was played out, first with the performers and then with the observers. Make use of the following questions:

- How did you feel whilst performing this or that role?
- What did you like during the course of the play, and what didn't you like?
- Was the problem solved? Why? How was it solved?
- What was your plan? What did you try to achieve? How did your behaviour influence the other characters?
- What other line of conduct could possibly have been chosen?
- Have you ever found yourself in similar situations?
- In what way will this experience influence your future behaviour in real-life situations?

Ask the observers, what moments corresponding to the goals of the play they noticed during the course of the roleplay. Discussion is the time when the participants have the opportunity to formulate the knowledge they received as an outcome of the exercise, as well as to think about what behavioural models will be most appropriate in real life.

Make a summary

This step ends the activity and allows participants to move on to the next activity. Emphasize the importance of the activity they have just conducted and how it prepared them for the remaining part of the training programme.

Some Role Play Activities

Public hearings

Public hearings are carried out by bodies of legislative power in order to receive information about how laws and other decisions will affect the interests of citizens. Public hearings may also be organized by different stakeholders, non-governmental organisations or unions in order to study public opinion[61].

The purpose of this technique is to simulate a public hearing. This allows the participants to understand the goals and the procedures for conducting the hearings, and to familiarize themselves with the responsibilities of the staff members of governmental bodies. The participants also receive practical experience in defining and presenting ideas, interests and values, related to the subject of hearings. Furthermore, participants have the opportunity to observe and evaluate lines of conduct by opposing sides.

How to organize work

- Prepare the room. Set up the table for the 'law-makers' in the front part of the audience, as well as the table for the secretary and a table and a podium for the speakers.
- Prepare name-cards with the participants' names and positions, and place them on the tables. Explain the roles:

Lawmakers

The selected lawmakers conduct the hearings. They announce the presentations of the speakers and make decisions on the subjects discussed. A chairman should be selected from among the lawmakers.

Stakeholders

Arrange a few groups of stakeholders (no more than five persons in each group). Each group presents to the committee its viewpoint regarding the matter. It is necessary to have an odd number of groups, because they speak 'in favour' or 'against' the issue under discussion. The number and size of groups depends on the subject and the number of participants in the training session. It is necessary to present several points of view that correspond to the real points of view in a particular local community. Each group selects its own speaker who presents to the committee the point of view of the group.

Secretary

It is necessary to choose a secretary who will document the meeting and take notes of all proposals that will be made.

Timekeeper

It is necessary to choose a person who will track the time of the presentations or interventions, so that each group has an opportunity to present their opinion.

- Explain to the participants the goal of the public hearings and the rules for the meeting. If necessary, distribute the instructions for participation in the public hearings.
- The chairman opens the hearings, announces the goal of the activity, the rules of work and the schedule of presentations.
- The invited speaker presents his or her position during two minutes. Later, he or she answers questions from the committee in no more than three minutes.
- First the chairman asks the presenter his or her questions, then the 'members' of the organisation or the representatives of the governmental structure, who carry out the hearing. The members of the presenter's group may help him or her answer questions from the committee.
- Arrange the participants into groups of five people or less:
  - One group will represent the lawmakers or the commission, who are carrying out the hearing. The number of the participants should be odd.
  - Other groups represent the citizens, the staff of the non-governmental organisation, interested in the subject under discussion.
- Give the participants enough time to develop positions and prepare to conduct the hearing.
- Conduct the hearing.
- When all the presenters have been heard, the members of the governmental structure or the non-governmental organisation that initiated the hearing analyse the arguments, discuss the problems and make an announcement about their future actions.

[61] *O.Pometun, L.Pirozhenko. (2002) Interactive Training Technologies: Theory, Practice, Experience. / Kiev: A.P.N.*

- Analyze the exercise in the following order:
  - Discuss the facts and arguments, related to the subject.
  - Discuss the opinion of the participants regarding the public hearings as a way of solving the problems of public importance and defining state policy.
  - Discuss how effectively the hearing has been, and in what way it can be made more effective in the future.
  - Discuss other matters that the participants came up with.

2.7. Reflection

When the participants have understood the ideas and concepts of the session, it is necessary to proceed to the next phase of the session – the debriefing and reflection. This is a vital phase of interactive learning. The aim of this phase of the session is to perform the following functions:

- systematize the materials learnt;
- apply new knowledge in the circumstances of a new situation;
- clarify the contents of the materials learnt;
- juxtapose the actual outcomes with the expectations;
- analyze why things worked one way and not the other;
- draw conclusions;
- consolidate or adjust learning;
- identify new topics for consideration;
- establish links between the things already known and the things that need to be mastered and learnt in future; and
- develop a plan of follow up activities.

The trainer should create appropriate conditions so the participants can ask themselves what it means for them, how this changes their old concepts, and how they will be able to apply it in their future activities and in real life. They also have to assess their own degree of understanding of the learning materials, and to plan clear practical steps towards further perfection thereof. The participants should compare their perceptions with the thoughts, viewpoints, feelings of others, and, at times adjust their positions.

Hence, interactive learning requires reflection, which is a human ability to engage in self-assessment, to analyze one's own actions, deeds, motives, and to collate them with socially and personally meaningful values. It is also important to analyze the actions and deeds of other people, and to evaluate them. The aim of reflection is to recollect, to identify and to comprehend the key components of activities – their contents, type, methods, problems, ways of addressing them, the outcomes obtained, etc.

The reflection of the participants consists of the following phases:

- end the pre-reflection activities. Any previous activity must be ended or suspended. If problems occurred during solving the problem, search for a solution can be continued after the reflection;
- resume the sequence of actions performed. Everything that was done is reproduced verbally or in writing, including that which, on the face of it, may appear to be insignificant;
- study the replicated sequence of actions from the perspective of its efficiency, productivity, conformity to the set objectives, etc. Parameters for the analysis of the reflection material are selected from those proposed by the trainer; and
- identify and formulate reflection results. Several types of these results can be identified: subject-relevant products of activities – ideas, proposals, patterns, answers to questions etc.; techniques that were used or created during activities; hypotheses associated with the future activities.

Another important factor impacting on the efficiency of reflection in learning is diversity of its forms and techniques, their appropriateness to the age and other characteristics of the participants. Reflection should not be verbal only, it can be done in the form of drawings, diagrams, charts, etc.

The techniques and methods below will help the trainer to organize the final phase of learning both during the class intended for mastering new knowledge, and during special classes that summarize a topic, a section, etc.

2.7.1. Techniques of reflection at the end of the session

Objective: to enable the participants to analyze the contents and the classroom activities, to develop skills in reflecting, adjusting and evaluating one's thinking and learning activities, to let the trainer receive feedback on aspects of the session that are the most important to the participants.

Number of the participants: up to 30

Time requirement: 5 to 10 minutes.

Supplies: not required

Performance procedure:

Variation 1. Reflective talk

After the individual activities or fragments of the session, an oral discussion can be organized using the following questions: What was our aim in doing this activity? What thoughts did it provoke? What feelings? What did you personally learn? What would you like to learn in future?

Variation 2. Self–evaluation sheets

At the end of the session when the participants took part in some interactive activities, they are asked to fill in self–evaluation sheets. This work done, the trainer may request several participants to read out their self-evaluation and to comment on it, and also ask them what they would like to learn at the future sessions. The trainer can take these evaluations into consideration when grading the learning of the topic by the participants, etc.

Below you will find several examples of self-evaluation sheets.

Sheet of evaluating speaking skills

Name, Surname

Evaluation criteria (0 — needs improvement; 1 — fair; 2 — excellent)

Criteria	Points
I can find arguments and clearly state them	
I can make logical conclusions	
I can use paraphrasing well	
I can ask questions	
I can say ' no '	
I can react to criticism with arguments	

Variation 3. Incomplete sentence

The trainer formulates an incomplete sentence and asks the participants to complete it by giving floor one to another in turn. An incomplete sentence may be proposed orally or in writing. The main requirement is that it should offer final reflective formulas, for instance: ... was important for me today, today I learnt..., in future I would like to learn..., I liked ... most of all.

Variation 4. An essay

At the end of the session, the participants are asked to write a brief essay and to clearly state their position, in which, during five minutes, they are expected to give an answer to the key question of the session.

If the participants are unfamiliar with this kind of activity, the trainer may prepare a sample of writing an essay on a sheet of paper given to each participant.

Sample format of a written work – essay

Name Date Topic

1. An issue the participant has to solve, for instance: Should environmental authorities be involved in the scoping stage?

2. Arguments 'For'

a) b) c)

Arguments 'Against'

a) b) c)

3.State your attitude to the issue in the form of a comprehensible paragraph.

Continue writing the essay (responding to the question) on the remaining space on the sheet. Write legibly and divide the text into paragraphs. Remember that you are constrained in terms of the scope by the size of this sheet, so plan the scope in advance.

Variation 5. A flash discussion

A brief discussion reflecting the topic of the session is organized at the end of the session, for instance, using the following pattern: Try to recollect cases from your life when.... What are they a testimony of? What thoughts, feelings, did it invoke in you? What thoughts and feelings does it invoke now? How will you react to manifestations of... now? What was the importance of the session for you?

Variation 6. In a single word

At the end of the session the trainer provides a sheet of flip-chart paper (size A4) and asks the participants to state what they liked about the session the most: content, methods, atmosphere, activities, results, etc.

The participants should define the selected aspect in one word that would explain their choice. The trainer writes this word on the paper and, if required, asks the participants to comment on it.

2.8. Prepare training materials

Well-prepared training materials help in conducting both the entire training and each individual session. For example, a short text with information on the subject will help keep the participants from getting distracted by having to take excessive notes. Specially prepared questionnaires and forms will assist greatly in the performance of certain exercises, and brief information will help the participants deepen their knowledge on an individual basis.

Practical advice

Prepare all materials in advance

Having prepared all the necessary slides, handouts and assignments in advance, you will be able to avoid any additional stress just before the start of the training.

Disseminate the training materials in advance

Send out the prepared training materials to the participants prior to the training.

Prepare the list of participants and disseminate it in advance

Send out the prepared training materials to the participants prior to the training.

2.9. Take care of logistics

Logistics is as important as a well-developed programme. Good organisation initially creates a positive working atmosphere for the participants at the training venue[16].

The checklist for the trainer, presented below, will be useful to check the preparation of a training programme.

Practical advice

Before the training:

- Be sure to distribute invitations to the participants and get confirmation that they will attend.
- Reserve and prepare a room to conduct the training in. The room should not be too large, about three to five square meters per person, with good acoustics, ventilation, lighting and comfortable chairs etc. Arrange the furniture in such a way that the seating of the participants corresponds to your goals.
- Think in advance about necessary materials for training: pens, notebooks, hand-out materials and programme.
- Determine what equipment you will want to use: flip chart (white board with a large notebook), projector and computer, etc. Order it, if necessary. Take care of additional materials: markers, scotch tape, etc.
- Jot down small notes for yourself covering the course of each activity, which you may need with you during each session.
- Send out information about the place and time when the activity is to take place, along with instructions on how to get to the place, contact numbers, and materials that participants have to bring with them.
- Decide how you will organise meals and coffee breaks.
- Decide how you will evaluate the training or seminar and what will be necessary for the evaluation.

[16] *Tourtilott L. Britt P. (1994) How to conduct an effective workshop: EE Toolbox — Workshop Resource Manual. Michigan: University of Michigan.*

At the last minute

- Arrive early, check preparations and relax.
- If the room where the training will take place is difficult to find, hang up direction signs.
- Check if the room is ready, equipment is in order and all materials are ready. Organize the materials in such a way that you will know where can you find what, including the training evaluation forms.
- Write the goals and objectives of the training clearly on the whiteboard or a slide. Also put on the whiteboard, flip chart or a slide the assignments that you will use to conduct exercises, as well as the time allocated for them.

At the time when you conduct the activity

- When participants start to gather, greet them, creating a favourable atmosphere. Distribute badges and hand-outs, if necessary.
- Start on time. Do not forget to introduce yourself and give participants an opportunity to do the same. After greeting participants and conducting an 'ice-breaker' exercise, present an overview of the entire training, including goals and programme. Draw attention to what time the breaks are planned for.
- Stick to the break schedule and never continue training after the allocated time.
- Do not forget to incorporate into each session time to think over how the acquired knowledge can be applied in practice and to summarise the outcomes.
- If you are conducting a written training evaluation, give participants time to think it over and complete forms. Try to collect all the forms before the participants leave the room.
- At the beginning of a session ask participants to register, giving their personal details, such as full name and surname (and patronymic), address, telephone number and e-mail address.
- Before the training is over, allocate time to answer questions that may remain in the participants' minds.
- If you work in a group of trainers, gather after conducting the training and conduct a short evaluation. Introduce modifications to the programme, if necessary.
- Tidy the room after the end of an activity.

3 HOW TO CONDUCT EFFECTIVE AND SUCCESSFUL TRAINING

A well-developed programme and training materials only partly guarantee the success of the training. An important factor is the trainer's ability to organize the process of education, i.e. to create a positive atmosphere, to be in touch with the level of interest and the development of relationships between the participants, to encourage discussion and skilfully make transitions from one part of the training to another, etc. In order to accomplish this task, it is important to pay attention to the following aspects:

- Watch and work with the group dynamics.
- Create a positive atmosphere and establish a rapport with the participants.
- Maintain the interest of the participants and raise the degree of absorption of knowledge during training.
- Work with different target groups.
- Answer difficult questions.
- Be ready to disentangle yourself from complicated situations and to deal with 'difficult' participants.

3.1. What to know about group dynamics?

In the work of any group there are three issues on the mental agenda of each participant. They can be symbolically called 'I', 'We' and 'It' [21].

- Matters related to 'I' encompass the personal emotions and thoughts of a trainer and of every participant: Who am I and how do I feel? What am I concerned about? How do I experience my role in this group? How am I received by the group? They are also connected with the I — We relationships.
- Matters related to 'We' are the behaviour of the participants toward each other. For instance, the culture of the meetings, politeness and everything that is related to our relationships with other members of the group. Who is allowed to speak? Who makes decisions within a group, and how are decisions arrived at? Whose opinions are important? Do we make room for different opinions?
- Matters related to 'It' are those concerning the subject of a training or a meeting, the actual reason for coming together, no matter whether it is to do business or for educational or other purposes. What do we do together? What do we need to discuss, in order to reach a result?

The task of every trainer is to maintain a balance between the business and psychosocial aspects, 'I' and 'We'. If, instead of suppressing the 'I' and 'We', the trainer consciously pays attention to them and encourages them to 'float to the surface' with the help of exercises such as 'Getting Acquainted', 'Expectations' and 'Icebreakers', etc., then, having spent more time on them in the beginning, s/he will be able to save considerable time later on.

Therefore, pay special attention to the introductory part of training. If you are successful in giving sufficient space to the I and We, the balance of interest will soon shift and the group will become an effective working group, where people enjoy meetings, express their creative abilities and feel that they can discuss matters that are important to them. Establishing a balance between 'Me, Us, It', creates positive group dynamics.

A group with a positive dynamic learns step-by-step how to satisfy its business and psychosocial needs, both each person's individual needs and the needs of the whole group as well as the need to achieve the goal of the session/training.

What stages of group dynamics exist?

As a trainer, you have not only to observe and facilitate the work of the group, but also to evaluate the development of group dynamics, and effectively intervene, if the group dynamic hampers the effective implementation of the training. According to Tackman's model, a group goes through five major stages in the development of a group process (group dynamics): formation, storm, getting normal, maximum output capacity, parting [63].

Practical advice

During each stage, change your actions in order to ensure positive group dynamics

The table below provides some advice on what activities to use at each stage.

[63] *I.Vachkov. (2001) Basics of Group Training Technology Psycho Techniques: Training Manual. — Moscow: Os–89.*

Table 34: Activities to use at each stage of group dynamics

Stage	Attributes	Main tasks for the trainer
Formation	• The participants have not yet decided, what role they should accept, or don't know what roles the others will accept • On a non-verbal level the participants are communicating diffidence • Nobody wants to ' stick their neck out ', mediocrity is supported	• Explain the goals of the training, discover doubts • Encourage participants to formulate their own goals • If the participants are not acquainted - conduct an introduction session • Establish norms and rules of work • Carry out the first assignments of the work plan
Storm	• A leader or leaders appear within the group • The participants start manifesting their attitude towards what's going on negative behaviour may emerge, i.e. such that could hinder or sabotage the work of the group • Conflict arises • ' Difficult ' participants emerge	• Questions to the participants regarding their expectations (diary of wishes and remarks) • Moderate the work • Make sure aggressive behaviour is 'de-fused' and the energy used in a positive way • Formation of goals
Getting normal	• Acceptance of the training • The participants clearly understand the assignment, take part in discussion, openly express their opinions, learn • The group functions efficiently without trainer's attention, a facilitator may arise from among the members of the group • Cooperation, mutual support and mutual perception	• Secure an efficient workflow and the flow of the training process • Summarise the work of the group, moderate the training • Gather feedback information from the participants
Maximum output capacity	• The group starts functioning as an effective group • The members of the group take part in doing the assignments, bringing in their ideas, analysing the ideas of the others	• Compare the group's activity with the goals and assess their capability to apply the knowledge they receive in exercises and assignments • Evaluation of the work of the group against established criteria
Parting	• Summarizing the results of the work • Determining the prospects of cooperation • Exchanging contact information	• Comparing the results of the group process with the tasks of the training • Stimulating the preparation of individual plans • Expressing gratitude for the creative work

Note that all groups develop in different ways

It is worth noting that in reality the work of the group can have a wave-like character — the group can 'back out' of some stages or 'jump into' others.

3.2. How to create a positive atmosphere and establish rapport with participants

The first minutes of training are the most important ones, because during that time the basis for future work and the success of the whole training, is laid. The introductory part of training includes four main elements:

1. Presentation of the contents of the programme (what knowledge and skills will the participants obtain during the training) and of the schedule (what follows what, when does the work start and finish, when are the breaks) of the training;
2. Introducing participants to each other;
3. Development of rules for group work at the time of the training; and
4. Discovering expectations and fears (concerns) of the participants.

The order of these elements may vary. The duration of the introductory part depends on the full duration of the training. Usually it is one session, before the first break[64].

Practical advice

Be with the participants before the start of the training

The trainer's work starts a few minutes ahead of the time when the official programme starts. When people first arrive for the training they may be reserved or feel timid, and it is advisable that the trainer uses this time to greet the participants in an informal manner to get acquainted with them and receive useful information about their expectations.

Start with a short introduction

Welcome the participants and announce the subject of the training and its goals. Present the programme of the training. Give information about its duration and the planned breaks. If necessary, explain the essence of the interactive training method and the need for active participation. Provide an opportunity to ask questions about the goals and objectives as well as the opportunity to express ideas or concerns.

Briefly introduce yourself. If you took part in similar courses earlier, speak briefly about this as well as about your impressions. Ask the participants of the training about their experiences related to the subject of the seminar.

Be sure to carry out an interactive getting acquainted session

There are different methods to organize getting acquainted sessions. The selection of the most appropriate one depends on the duration of the training, special characteristics of the participants and on how comfortable you feel whilst using one method or another.

To enable participants to get to know each other you can ask them to briefly introduce themselves or to introduce the person next to them, after a short conversation with him or her, asking them to talk about their job and hobbies, etc. To organize the getting acquainted session you can use a tennis ball and ask the participants to pass it to each other at random. The one who catches the ball will introduce themselves. It is also possible to use various symbols (on postcards, for instance). After the participants have picked the symbols for themselves, they introduce themselves and explain why they picked those particular symbols.

Don't be afraid to experiment and use more complex methods in order to get acquainted

For instance, a method called 'Profile' was used during trainings on access to environmental information, conducted for representatives of different ministries and departments with representatives of the public and the mass media. The number of participants ranged from 10 to more than 40, and the training lasted between two and three days, sometimes more. The duration of the exercise is 60 minutes.

Under this method, the participants are arranged into groups of three persons. Each group receives a set of markers or pencils, flashlight, scotch tape and large sheets of paper. Then they are asked to draw a profile of each of the participants according to the following rules. A large sheet of paper is attached to the wall. One of the participants, whose profile will be drawn, stands with their side turned to the sheet of paper. The second participant, using the flashlight creates a shadow of the profile of the first participant on the wall. The third participant draws the profile of the first participant on the paper. After this the third participant carries out an interview with the first participant. The questions may be about the participant's ex-

[64] *P.Jackson. (2002). Improvisation in Training. / Saint Petersburg: Peter.*

perience, their hobbies, why he or she decided to attend the training and what he or she expects from the training, etc. The responses are written on the paper beside the image of the first participant. Then the participants have to change roles and create profiles for everyone else. Finally, all the portraits and the results of the interviews are hung up on the walls, and the whole group studies the resulting profiles. The trainer can also participate in the exercise.

Set up the rules of work inside the group

Discuss with the group the rules developed in advance, and include their proposals. Observing the rules in the course of training will help you organize a group and create the conditions for successful effective work (some examples of an introductory part are given below). The following should be included in the list of rules:

- be on time;
- speak in turn;
- speak on your own behalf;
- be positive;
- no one can force anyone else to speak, people only speak when they are willing to do so.

Evaluate the expectations of the participants

A possible way to begin a session is to evaluate participants' expectations. Start by providing a few examples of answers, then ask the participants what they expect from the session, and put the most important things on the whiteboard or on the flip-chart. Then explain, in what way the course or session may help them reach their individual goals, expressed in the expectations. At the end of the session return to this list of expectations, evaluating the results.

The exercise, 'Expectations', is very simple. Ask the participants what they expect from the training and put the main points on the whiteboard. It can be combined with the getting acquainted exercise.

Use the exercises to create atmosphere

In order to break the ice and build a good rapport between the participants and the trainer, both the previous and some other 'ice-breaker' exercises can help to create a positive atmosphere. When training is conducted over many days, having an icebreaker at the beginning of each day helps the participants tune in to the spirit of cooperation and encourages them to actively participate.

3.3. Introductory part of training

Duration of training: 1.5 days

Duration of the introductory part: 90 minutes

1. Introduction to the goal, tasks, and the training programme 10 minutes

- Greet the audience and express your gratitude to all who have come to the training. Announce the goals and tasks of the training (you can use slides prepared in advance). Prepare the training programme, paying attention to the stages and schedule of work (it is advisable to prepare the programme in the form of hand-outs and put it in the participants' folders).
- The training schedule can also be put on a big sheet of paper (A1 size) and placed on the wall.

2. Introducing the trainers and experts: 5 minutes

Briefly introduce yourself, other trainers, experts, representatives of the project, guests etc.

3. Introduction: 15 minutes

Select one of the variants of interactive introduction, which you like the most. The methods for organizing a 'Getting acquainted' session are found in Annex 11.

You can use the method 'Snow ball', as follows.

- All the participants stand in a circle.
- The first volunteer says his or her name as well as an adjective that corresponds to a trait of his or her character that starts with the same letter as their name.
- The next participant in the circle repeats the name and adjective that he or she heard from the previous participant, then gives their own.
- The next participant repeats the names and adjectives of the two previous participants — and so it goes on until the circle comes to an end.

4. Accepting the rules of group work: 15 minutes

Ask the participants why rules are necessary in life. Ask those present to set the rules for work at the training, which are typical rules.

Announce each rule separately and ask how the participants understand it, and if the audience agrees with it, and then put it on the whiteboard/blackboard or on the flipchart. Then once again draw the participants' attention to the list and ask them if they are ready to work according to these rules. Carry out a democratic procedure to adopt the rules.

We recommend including the following rules in the list of rules:

- come on time;
- speak in turn;
- speak on behalf of yourself;
- be positive;
- no one can force anyone else to speak, people only speak when they are willing to do so.

When listing the rules, you can assign numbers (1, 2, 3, ...) so that in case a rule is broken it would be possible to say: "Sergei, you are breaking rule number 2".

Ask the participants if they have anything to add to the list of rules. Remind them that the rules should be realistic and possible to implement. Add to the list all the proposed additional rules that the participants agree on. Agree on a gesture (for example, open palms on the face level) or a word (for example, the word 'rules') that you will use in case the rules are broken. Put the list of rules somewhere in the audience so that you can return to it if needed.

5. Expectations and concerns: 20 minutes.

In order to assess expectations you can use the method of 'unfinished sentence'. Ask every participant to think of and complete two sentences: "I expect from the seminar..." and "At this seminar I would like to avoid..." These can be expressed by the participants verbally in a circle or can be put on sticky notes (post-it notes) of different colours.

Thereafter the participants can explain their expectations and concerns in groups of 6. Simultaneously they will stick their notes on large sheets of paper, classifying them by colour.

You can also ask the participants to 'write a question that you would like answered during the training'. These questions can be written on separate coloured cards and discussed together with the expectations and anxieties (for other ideas about how to carry out this part refer to Annex 12).

6. Ice breaker: 25 minutes.

In order to create a favourable atmosphere and to overcome any psychological discomfort, the "Coat of Arms" method can be used. In order to use it, you will need a hand-out with a picture of coat of arms (Annex 14).

Ask the participants to answer the questions you ask by filling in the windows in the schematically drawn coat of arms. Emphasize that the answer should be given in the form of a drawing, chart, icon, or symbolic sign. There is a window for every question, and the last question should be answered in the line beneath the coat of arms.

Ask the participants to answer the following questions:

- what are the two things that I do best of all;
- what is my greatest success in life;
- what do I look like in the eyes of my colleagues;
- what do I look like in the eyes of my subordinates;
- what is my professional dream;
- what are the three words that I would like to hear in my address; and
- what is my credo in life (in profession).

Invite someone to open one window and say what is pictured there and what he or she wanted to express by means of this picture. All who are present take turns to speak. If there is not enough time, you can ask every participant to choose and open just one window, whichever they like, instead of opening all of them.

Ask the participants how they liked the exercise and what thoughts and ideas it provoked. Suggest that they keep their coat of arms, since people's thoughts about themselves may change over time.

3.4. How to maintain participants' interest and raise the level of knowledge absorption during training

While conducting a session the trainer needs to assist participants to work effectively in the group in order to achieve the set goals. An important tool is the organisation of a discussion among all group members seated in a circle. In order to encourage the absorption of complex aspects of the content, to facilitate understanding and the development of opinions on the subject, the trainer needs to be capable of asking the right questions and giving right answers to the group. The trainer also needs to be capable of paraphrasing the statements of the participants, summarizing information, encouraging participation and applying work strategies to different groups[65].

[65] *Tourtilott L. Britt P. (1994) How to conduct an effective workshop: EE Toolbox — Workshop Resource Manual. Michigan: University of Michigan.*

Practical advice

Ask open questions

In order to successfully carry out a discussion in groups of any size, posing questions in the right way is very important. It is best to ask open questions, for example: 'What do you think about...?', 'In what cases can we speak of... ?', 'How, in what way... ?', 'What ways to solve the problem can you see... ?'. The answers to such questions cannot be reduced to 'Yes' or 'No'. They help the participants to think about the core meaning of what is going on, encourage thinking and make the discussion deeper.

Closed questions have one correct answer. For instance, 'How many articles related to environmental matters are contained in the Ukrainian constitution?' While using such questions, the trainers may feel more comfortable, because the right answer is indisputable. But such questions are only useful to assess the participants' knowledge of certain facts. They should be used when you want to make sure that the participants have a basic level of knowledge of facts on a certain matter, before moving to a deeper analysis or other activities of a higher level.

The second type of question is an open question. Open questions either do not have right answers or have many right answers (that may possibly contradict each other). The following are examples of open questions:

- In what situations can you use the procedure of public participation in your work?
- How does the process of public participation help the authorities protect the environment?
- In what way can you influence a decision about constructing a new industrial facility in your region, which is to be adopted by the local administration?

Asking such questions at the time of the training is more difficult, because the participants will give answers that contradict each other, and the trainer's idea of the right answer may be challenged by the participants.

Prepare the questions in advance

While conducting a discussion or other exercise, prepare the questions on separate cards in advance. This will help you focus the discussion on the problem and avoid the need to improvise while you watch the process.

The questions can be distributed to the participants in advance in order to reduce the time that needs to be allocated for them to think over their answers.

Paraphrase the statements of the participants in order to make understanding easier

The ability to paraphrase helps verify whether you have been understood correctly, and allows you to emphasise an important question or remark. To paraphrase is to repeat an already expressed thought in other words. For example, you can say: 'As far as I understand, you mean the following...' or 'Did I get you right...' In this way, you invoke a positive or negative response, focusing attention on the question.

Paraphrasing also helps to quiet down a talkative participant. For example, 'Natalia, as far as I understand it, you are saying that, now, what do others think about this?'.

Remember that even though paraphrasing is important to encourage discussion, it is important not to overuse it, either. Participants may get tired of frequent repetition.

Summarize expressed ideas, when you conclude each logical part of training

The ability to summarize is one of the main skills necessary to carry out any form of training, especially discussion. It helps highlight key points, go from one subject to another and summarise the outcome. Summarizing is also used to check to what extent the material is clear, and to give an overview of the achievements so far. For example, if you see that participants are confused, you may say: 'It seems to me that the most important points that we have come up with so far are the following: ...', and then list the points and ask: 'Do you agree? Does anyone want to add anything?'

If you have enough time, get several participants involved in summarizing the key outcomes of an exercise or a part of the training.

Encourage the participants

There are many ways to encourage the learning process and make it easier:

- Establishing eye-contact.
- Nodding your head in agreement, or the use of other gestures to demonstrate your attention.
- The use of body language to encourage the participants, moving closer to him or her, or by turning your body to face him or her.
- Calling participants by their names, especially when paraphrasing their words.
- Using compliments.
- Select your words carefully. When reacting to participants' creative ideas, be aware of the harsh effect that the following phrases may have: 'Good answer!', 'Right solution!', 'Be more practical!', 'Follow the rules', 'This is not logical'. Whenever possible, use 'open' phrases, for example: 'Good, what else can we do?'

Be prepared to answer the questions of the group

It is impossible to foresee all situations and questions that may appear at the time of the training. If a group has questions, it is worth paying attention to them:

- Confirm that you understand the question.
- Identify the intention that has driven the question.
- Decide whether to deal with it now or later.

Select the information framework for the answer to the question.

Select the method of answering: re-address, separate the subject from the person, support his or her confidence, etc.

If the participants' questions are related to the subject of the training, remember:

- It is better not to answer them directly, even if you know the answer, but to re-address them to the group, having provided, if necessary, additional information. Don't be categorical, even if you are sure you are right. Don't waste time arguing, it is better to return to this question at another time. And don't fail to fulfil your promise.
- If you are not sure that the answer is correct, it is appropriate to behave naturally and to refer to other sources. It is also important that you don't ignore or overlook questions.
- If the group has questions that are not related to the subject of the training, try to:
- Follow the adopted rules.
- Set aside emotions. Remember that it is information that is refuted, not the person who presents it. Always discuss the heart of the matter.
- If you are asked personal questions, it is better if you answer them after the training.
- Don't get involved in technical arguments, nor assume a defending position if you meet people who demand more attention for themselves and try to demonstrate to the audience and the trainers that they are experts in a given matter. In such cases use all your experience as a trainer and the skills of effective communication.

3.5. How to resolve a difficult situation

In the process of group development, questions of 'I and Us' may begin to dominate, which lead to the development of difficult situations. This may create tension between the group and the trainer, between individual participants, the beginning or growth of a conflict, undesirable model of behaviour exhibited by some participants, etc. It is important for the trainer to see the possibility of development of such a situation in time, and to choose the right strategy for his or her own behaviour[66].

Practical advice

If the participants behave with suspicion and distrust toward the trainer...

- In the introductory speech let them understand that you respect the values of the participants and understand their problems.
- Conduct an exercise to create a favourable atmosphere — an 'ice breaker'.
- Take into account that certain people cannot take in information before they find an answer to the question 'what for?' They need to be motivated in order to take in information. There are people who are not interested in knowing the answer to this question. They need to know in what way they will be able to apply the received information. Discuss this together with the group.

[66] *K.Torn, D.McKay. (2002) Training. The Trainer's Handbook. / Saint Petersburg: Peter.*

If the energy of the group declines during the course of work...

- If the reason for this is excessive physical tiredness, have a break, get some fresh air into the room. Try to interchange different methods of giving information, change your place in the circle of participants more often.
- If the reason lies in the information that is being fed to the participants, it is advisable that the plan be corrected in accordance with the particular characteristics of the group. The volume of the blocks of information and the comprehensiveness of the material can be revised.

If the group expects the trainers to solve all the assigned tasks and to give answers to all questions...

- Focus the participants' attention on the goals and objectives of the training. Pay attention to the individual abilities of the participants, stir up their inner potential, raise their motivation, provide basic knowledge, and demonstrate the organisation of their work in the given conditions.
- Point at other possible sources from which one can get answers to specific questions.
- If it is difficult for you to establish a good rapport with the group...
- Try to determine the reason for this in the process of interaction with the participants. If the participants' expectations do not match the content of the training, bring their attention once again to the goals and objectives of the training.
- Organize the work in small groups, constantly changing the membership of these groups. At the same time assignments must be short and precise.
- Try entering the circle and establishing contact on a non-verbal level. Use inspiring words, give an example from your own experience related to the training subject.
- Ask more open questions. Do not answer your own questions yourself.
- Remember to utilize the principle of getting the participants involved: encourage an exchange of opinion, listen to the opinions of all the participants, treat them with respect and never forget to thank those who offer an opinion.

If you don't have feedback from the group...

- During the training, after completion of one or another of its parts the trainer should receive information from the participants about to what extent they have digested the material and what they think and feel about the given content. This information is called feedback. Various methods exist for a trainer to receive feedback. For instance, when finishing an exercise you can ask the group to draw conclusions. Sometimes it is appropriate to ask the participants to talk in pairs or small groups about the exercise they completed, and then to present the information in a big circle of participants in a synthesized form: 'In this exercise we learned three important things...', 'Today I understood...', etc.

If the group loses interest...

- Loss of interest is observed in situations when the information is too obscure, too general, or too detailed.
- The interactive method allows the trainers to change the fashion in which the information is presented, for example switching the audience from one method to another.

If the group does the exercises reluctantly

- The reason may be that the group did not understand the terms of the assignment. Repeat the terms of the assignment, and then ask the group if everything is clear.
- If the type of assignment implies work in small groups, then divide the participants into the small groups first, and then hand out the assignment.
- Try to make logical transitions from one exercise to the next.
- If the group is performing a role play for the first time, make sure you talk to the participants and explain what a role play is and why they are doing it at this point.

If you deviated from the programme during the training...

- Always think about alternative exercises — the 'Plan B'. Prepare more materials and exercises than there are in the programme, so that you can change it around and, if necessary, choose an alternative way of reaching the goals of the training.
- In order to prevent the development of difficult situations and to eliminate them, several strategies shown below can be used:

Coordinate your actions and your statements

- Invest maximum effort in order to make each of your statements clear and easy to understand. Try to avoid contradicting your own words.
- Be prepared to accept alternative ways to conduct the training, suggested by the group.

Act as a mediator, harmonizing the work of the group, preventing the development of conflicts

- Facilitate reconciliation and invest all possible effort to solve the moot points in a non-conflict manner. Smooth out any conflicts.
- Bring the participants' attention to similar opinions and opinions that complement each other, not to the contradictory opinions of the participants.
- Intervene when the group becomes bogged down in contradictions and disagreements (sometimes even without reason). Try to put off the questions of the participants or the moot points of the program that lead to a dead end, in order to tackle them later.
- Use the technique of 'quitting the discussion': become absorbed in silence, or start 'day-dreaming' and doing something very different from what the audience expects from you, or start talking very quietly to one of the participants.
- If necessary, you can step aside from the subject of the discussion, talk about something from your own experience or something on a different subject, not related to the subject of the discussion.

Assist the group and focus on its needs

- Discuss and establish parameters and methods of work with the group at the beginning of the joint work, then point out the deviations from them or from the general direction of discussion during the course of the training.
- Organize the group process, using the means and methods that facilitate an increase in the effectiveness of the group work.

Support the participants

- Express your approval when someone from the group offers a proposal and treat the ideas of the group members in an open and friendly way.

Follow the flow

- Follow the development of the ideas in the group, analysing them tactfully.

3.6.How to deal with 'difficult' participants

Sometimes during training we can observe undesirable behavioural patterns of particular participants that cause damage to the learning process and may even bring to nought the work of the group.

Dealing with 'difficult' participants is an essential part of the work during the training. Bear this in mind, viewing the 'difficult' participants as an opportunity to raise your own professionalism. Manifesting patience, politeness, avoiding arguments with them, etc., will enable you to have control at all times over the real situation of the training[67].

Practical advice

If the participants are late...

Sometimes it is not possible to avoid late arrivals, nevertheless it should be treated as a misuse of time of those who did arrive on time. Here are a few ways to overcome this problem:

- Help the group to adopt the rule about being punctual. If the group members choose to establish this rule on their own, they will most probably observe it.
- Set an example for others: don't arrive late. Your own behaviour reflects the degree of seriousness about providing the group with good training.
- Make it important to be present at the beginning of a session. If the participants understand that they will miss something important during the first minutes of a session, they will make more effort to come on time. For example, distribute the hand-outs that present the subject of the forthcoming session.

If the participants don't show up at all...

Sometimes the participants who were invited do not show up at the training or at a part of it. The absence of participants may seriously affect the work of the group. This problem can be solved with the help of several methods (or techniques):

- Establish a real need to attend the sessions. If the participants receive little benefit from the training, it is only natural that its value falls, reducing its original importance on their list of priorities.

[67] *F. Rays (ed. in charge) (2003) 1500 Tips for Trainers or Human Resources Managers. Saint Petersburg: Peter.*

- Distribute some materials during each session. Participants do not like to miss the hand-outs and instructions on how to do an assignment.
- Make an agreement in advance with the administration of the organisations where the participants work. Often the participants excuse themselves from attending the training, claiming that they are urgently summoned to work. While talking to their boss, point out that their participation in the entire training will significantly increase the effectiveness of the training and will bring greater benefit to the organisation.

If inappropriate conversations take place in the group...

While organizing work in small groups, provide the participants with an opportunity to communicate with each other, exchange knowledge and experience, training each other. This significantly reduces the participants' need to have conversations outside the subject.

The possibility of inappropriate conversations occurring may be reduced by other means, including:

- Stand closer to the participants who are talking to each other. If the conversation is inappropriate indeed, it usually stops. If it's something useful, then you may join in and provide assistance.
- Discover the reason why the conversation took place. Sometimes you may discover some sound reasons. For instance, the participants may be explaining to each other the material that is not clear or helping to catch up with material one or more of them missed.

If the participants leave the session early...

As a rule, only a few participants dare leave a session before it finishes. Sometimes during work in small groups situations arise when the participants leave early or don't return to a session after a break. The following advice will help to reduce such behaviour:

- Maintain activity during the session. One of the most widespread reasons why participants leave early from joint sessions, is that they get the feeling that nothing important will happen there. It is better to give the groups more assignments at a certain point, than too few. But provide for some time in order to finish what was started during the next sessions.
- Be careful with breaks. If you have quite a long session and need to have a lunch or coffee break, make an agreement about the exact time when the session will resume. Write it on a flipchart, a slide or a whiteboard or blackboard in such a manner that everyone not only hears it, but also sees this information. An 'unrounded' time is memorized best, for example '10.43', and not 'quarter to eleven'.
- Leave something very important for the participants for the end of a session. For example, ask the participants to make, with your help, a summary of the accomplished work. The resulting discussions should not be as important as the introductory ones. Sometimes distribute an especially important hand-out at the very end of a session.

If the participants don't work on their assignments...

Much time is wasted when the members of the group get distracted from working on their assignments or don't hurry to move to the next stage of work. The following methods will help you maintain the participants' focus on the fulfilment of their assignment:

- Explain clearly what needs to be done. It is better to give an assignment to every participant in a printed form. Verbal explanations are quickly forgotten, which makes it more difficult to fulfil the given task.
- Make the first part of the group exercise short and simple. This will give the group an opportunity to accumulate the energy faster and to move on to doing more complex assignments without unnecessary delay.
- Define the training goals clearly. When the participants know what benefit they will receive from doing a specific exercise, they will get involved in it more actively.
- Use the method of step-by-step implementation of an assignment and set up a time frame for completion of each of the stages. The more the participants approach the time limit, the more effort they invest. To enhance the level of effort in the group work, watch the time: softly remind participants that 'there is six minutes left', as this helps significantly increase the amount of work that gets completed.

If the behaviour of particular participants distracts the group from the work...

Group work is sometimes less effective due to the behaviour of one or two participants who slow down the training process, distracting the

focus from the subject of the training or session. Sometimes it is quite difficult to find a simple solution to prevent such behaviour, but the following advice should help you cope with such situations:

- Make sure the participant is really impeding the work. It is possible that while observing the work of several groups you approached a group at the very moment when one of its members was expressing his or her opinion quite emotionally, or arguing too passionately. The other members of the group may take it as normal, but the trainer may incorrectly interpret the situation, by assuming the worst.
- Learn why this person creates obstacles. Sometimes the reason behind this is the fact that the group as a whole loses the ability to function, or that the members of the group understand the meaning of the assignment in different ways.
- Watch the difficult participant and keep track of him or her in order to see whether or not he or she continues to influence the group in a destructive way. As a rule, it only takes a talk with such a person to discover the reason for such behaviour.

If the situation does not improve, change the composition of the group between different assignments. In this way it is possible to reduce the influence of the difficult participant on a particular small group.

- Always use the support and help of the group when the situation permits. Often they are capable of coping with the difficult situation better than you.
- It may be useful to think over the tactics and strategy to tackle the 'unruly' participants before the beginning of a session.
- In extreme cases you may resort to such measures as:
  - Group criticism. Allocate time for analysis of the participant's behaviour in the group, pointing it out as an obstacle to the group dynamics;
  - Confrontation. During the break talk to the difficult participant privately: 'I think we have a good group with a high growth potential. It would be easier for us (both the group and myself) to work, if you restrained yourself more and gave the others more opportunities to express themselves. Can I rely upon your support in this?';
  - Expulsion. 'May I be honest with you?' You have disrupted several sessions of the seminar and no one, including myself, knows what to do with this. But it is not my intention to jeopardize the success and the achievements of the whole group. If you cannot abstain from arguing, wrangling and misusing our limited time, I will have to ask you to leave the seminar.

Participants who create problems: how to work with them

The majority of participants in seminars do not create problems, but willingly participate in the training, fully investing themselves. Nonetheless, in practically any group one may come across at least one participant who will make the work of the group difficult in one way or another. The most widespread types of problem participants can be described as 'Doubting', 'Monopolist', 'Experienced', 'Squabbler', 'Clown', 'Show off', etc.

There are no universal or simple answers to all questions that arise in relation to problem participants, but the recommendations that follow below can be useful in some situations.

Doubting

This type of person, humble, shy, and for the most part, quiet, can be encountered in virtually every group. For example, Sonia The Doubting is shy and does not like to speak before an audience. It is necessary to think over the ways to get Sonia involved in active work. Work in pairs or in groups of three can be used for this purpose, as everyone's participation is virtually guaranteed there. While working in groups, try to give such assignments that require every person to give a small report before the whole group after the exercise is completed You can also use the method of chain and ask one and the same question to several participants, automatically including Sonia in their number. It is useful to address Sonia directly from time to time: 'It seems to me that Sonia has not yet spoken on this subject' or 'You seem to have wanted to add something' or 'If I am not mistaken, you have quite broad experience in this area. I am sure everyone will be grateful if you could share it with us'. Ask her a lot of simple questions, especially the ones that relate to her everyday activities and everyday life. Some moderators prefer to talk to such a participant during a break about things unrelated to the subject of the training. Usually this raises the self-esteem of the participant and positively influences the level of his or her activity in the future.

Monopolist

This participant only needs to talk, and if nothing stops them, they could talk without a break for the seminars entire duration. Politely, but firmly say to Misha The Monopolist: 'Not everyone has had an opportunity to express themselves yet. I hope you will not object if we listen to the others' opinions on this subject?' Or: 'Let's talk about this during the break'.

Your message to monopolist Misha can in this case be defined as follows: 'We want to be fair, therefore please let us evenly distribute the time among everyone who wishes to speak'. But just as when dealing with any other difficult participant, be polite. Let Misha understand that we value his input, but selectively rather than unconditionally.

Sometimes you can resort to more effective means, for example, say in a humorous way: 'Is it really you again?' or 'All right, that's enough Misha, let the others have a say too'.

'Show off'

Polina The "Show Off" loves to show how knowledgeable she is, using scientific-sounding terms, complex phrases, plenty of statistics and quotations every minute, describing her broad and unique experience, etc. If Polina's statements become too long, use the same advice as were given for dealing with "Monopolist". On the other hand, if Polina's interventions are quite rare, it is not worth paying special attention to it. There is a high probability that one of the participants will make a remark about her behaviour. The best strategy is to let the group solve this problem.

Experienced

Just as demonstrated by the Monopolist, the participant Boris The Experienced feels a huge need to be heard. Perhaps recently, Boris has not been receiving the job satisfaction that he used to receive and therefore he tends to discuss the past all the time. It is not that easy to cut down Boris' enthusiasm, as his interventions are not necessarily aggressive or pushy, but they are rather long and have little relevance to the topic. The best advice for handling Boris is accentuated politeness. The following remarks will help: 'This is all very interesting, but we have to move ahead', or: 'Thank you for the interesting story. And now, let's return to our main subject...'.

Squabbler

Slava The Squabbler constantly seeks reasons to disagree both with other participants and with the trainer. Constructive objection helps the work, but constant reasoning and pointless arguments only distract and present obstacles to moving ahead. One of the ways to cope with Slava is to let the group deal with him: 'Would anyone like to react to this objection (statement)?' The main thing is not to engage in discussion with Slava. If Slava continues to insist that his point of view is right even after the exchange of opinions, simply say: 'Your position is clear to me. You think, that... Let's agree that we have different viewpoints on this matter'. Or: 'We have given enough attention and time to this issue. We have to move on to the next subject. If you like, we will continue this discussion during the break'.

Remember, there has never been a trainer who has ever out-argued a participant. The thing is, the participants will always be on the side of your opponent, because he or she is also a participant, albeit a difficult one. Besides that, the participants always rely on your understanding, tact and patience.

'Never listening'

Natasha The Never-Listening likes to interrupt, entering the discussion whenever possible, which deprives her of the ability to listen. Natasha's inability to listen is possibly a manifestation of her keen desire to be heard or to correct others. It is also possible that it may be explained by her special interest in the subject of the discussion and her yearning to express her ideas. Regardless of the motives, Natasha's behaviour can impede the work of the group. Here is some advice on how to work with Natasha. Insist on observing the schedule: 'I see that you have a valuable remark, but Petr has so far had no opportunity to speak. You won't mind if I give him an opportunity to speak, will you?'.

Ask for a comparative analysis: 'How does your idea/viewpoint match Andrei's viewpoint?'. This type of approach can help Natasha understand that she has to take into account the positions and viewpoints of other participants, and in order to do this she has to listen before she can give her own comments.

Critic of ideas

Nina can duly criticise the proposals of the others, drawing a multitude of arguments against them: 'Nothing will result in nothing. We tried

this already. It's not the right time yet. It's too late already. The bosses (authorities) will never endorse this. The theory is not bad, but it can hardly be implemented in real life.' Her interventions often start with 'yes, but...'. Possibly, Nina's behaviour is dictated by a certain bias towards those who can successfully generate new ideas. The danger of Nina's behaviour is that her criticism can reduce the others' desire to offer their proposals.

When working with Nina, support the idea, expressed by someone that she criticises: 'I think this in essence is a reasonable idea. Can anyone present arguments in defence of this idea?', 'How do the others see this problem? What other sides of the problems can you identify?'. Ask Nina to express her ideas. If a constructive proposal does not follow, offer the following: 'Since we have not come up with any better ideas, let's return to Victor's idea and review it in greater detail'.

Complaining person

Zhenia The Complaining often expresses dissatisfaction and has a lot of complaints about his colleagues, the trainer, the organizers, the authorities, the politicians, the press, etc. He very often summarizes everything he sees in a negative light and uses expressions such as 'How terrible it is that...' and 'If not for the...', 'It's always like this...', 'Never...' He has difficulty finding a solution to the problem, but he is very capable of exaggerating its dimensions.

When working with Zhenia you can ask him to make a proposal on how to improve the situation that he does not like. Ask him to request help from the group if necessary. You can encourage him to view the problem from a positive perspective: 'You have just told us how terrible things are with... Now, could you please mention at least one positive detail?'. Ask the group to draw a few more positive expressions, channelling the conversation into a constructive direction.

It is possible to prevent complaining from occurring by directing the conversation into another plane from the very beginning: 'We all know how bad the situation is around... We gathered here in order to try to find possible ways to improve the situation. If we all focus on finding these ways, our joint work will become fruitful. How can we achieve this?'

Aggressive

Anatoli The Aggressive usually likes to use any occasion whatsoever to attack the trainer. Anatoli asks questions in a pushy manner and inserts his remarks in order to confuse and provoke the trainer. The best way to fight Anatoli is to simply paraphrase his questions and remarks in a softer and more objective form. It is also possible to say to him: 'I see that this question arouses very keen emotions in you. Would you like to hear my opinion (opinion of the group) on this issue?'. It is best if you, when answering, do so to the whole group, not personally to Anatoli. This usually reduces, albeit possibly only temporarily, the aggressiveness of Anatoli.

Embittered

The behaviour of the embittered participant, Oleg, is variable, from complete, silent, non-participation and complaints (about the hard chairs, cold coffee, cold room) to negative and provocative questions. He seeks a weak point in the very material of the training or in the way it is being presented. Usually, Oleg doesn't have anything against the trainer. He is rather resentful towards the whole world, and, in particular, toward the boss who sent him to this training for whatever reason.

Sandra Weintraub, management trainer, recommends considering the following questions when dealing with Oleg The Embittered:

- How professionally am I capable of acting in this difficult situation?
- Did I do all I could in order to lift the participants' potential feelings of danger and discomfort?
- Was I able to create such an atmosphere at the seminar that the participants could quietly and without fear express their critical remarks concerning the training?
- Have I considered the possibility of using the types of activities (exercises, games), which facilitate the relief of the rising dissatisfaction? For instance, the feedback, received by Oleg in the course of a role play, can quite possibly shake his negative orientation.
- Have I taken into account the possibility of open discussion of the problem with the group? It will possibly be useful for Oleg to hear how the other participants evaluate his behaviour. Quite often a person like him does not have a clue that his actions may make the other participants feel uncomfortable.

Clown

The main distinctive trait of a Clown is inappropriate and often annoying humour. Humour is useful, but if Kostya The Clown slows the progress of the group work and causes irritation in many of the participants, it is necessary to curb his sense of humour. From time to time try to get Kostya involved in a serious dialogue. Let him understand that he may be heard (which is his true goal), but on a higher level. Praise his timely and serious input. Also, on the contrary, do not encourage his attempts to joke. Sometimes it is useful to ask him to repeat the joke once again: 'I am sorry, I am afraid I didn't catch the point here. Could you explain the same thing in other words, in a simpler way?'.

Sometimes the problem is more difficult because some participants loudly support Kostya by their reaction to his humour. In this situation, the best way is also to try to open the serious part of his character and work directly with it.

The above is an adaptation of information material contained in the training centre "Golubka"

3.7. How to work with the audio and visual materials

Audio-visual aids, such as the whiteboard (blackboard), flip-chart, and slides are effective in conveying new knowledge, raise interest levels and promote understanding by the participants[68].

Practical advice

Tips for creating an effective presentation

Tip	Details
Minimize the number of slides.	To maintain a clear message and to keep your audience attentive and interested, keep the number of slides in your presentation to a minimum.
Choose a font style that your audience can read from a distance.	Choosing the right font style, such as Helvetica or Arial, helps to get your message across. Avoid narrow fonts, such as Arial Narrow, and avoid fonts that include fancy edges, such as Times.
Choose a font size that your audience can read from a distance.	Choosing the right font size helps to get your message across. • A one-inch letter is readable from 10 feet. • A two-inch letter is readable from 20 feet. • A three-inch letter is readable from 30 feet.
Keep your text simple by using bullet points or short sentences.	Use bullets or short sentences, and try to keep each to one line; that is, without text wrapping. You want your audience to listen to you present your information, rather than read the screen. Some projectors crop slides at the edges, so long sentences may be cropped. You can remove articles such as "a" and "the" to help reduce the word count on a line.
Use art to help convey your message.	Use graphics to help tell your story. Don't overwhelm your audience by adding too many graphics to a slide, however.
Make labels for charts and graphs understandable.	Use only enough text to make label elements in a chart or graph comprehensible.
Make slide backgrounds subtle and keep them consistent.	Choose an appealing, consistent template or theme that is not too eye-catching. You don't want the background or design to detract from your message.
Use high contrast between background colour and text colour.	Themes automatically set the contrast between a light background with dark coloured text or dark background with light coloured text.
Check the spelling and grammar.	To earn and maintain the respect of your audience, always check the spelling and grammar in your presentation.

[68] *M. Weinger. Teacher's guide on basic environmental health. Available at: http://www.who.int/occupational_health/publications/en/oehbehtgp1.pdf.*

Tip	Details
Show up early and verify that your equipment works properly.	Make sure that all equipment is connected and running.
Don't assume that your presentation will work fine on another computer.	Disk failures, software version mismatches, lack of disk space, low memory, and many other factors can ruin a presentation. If the computer that you plan to give your presentation on does not belong to you, make sure that it has adequate disk space so that you don't have to present from a CD. Turn off screen savers, and make sure that you have the appropriate files and versions of software that you need, including Microsoft Office PowerPoint.
Verify that the projector's resolution is the same as the computer on which you created your presentation.	If the resolutions don't match, your slides may be cropped, or other display problems can occur.
Turn your screen saver off.	Keep your audience focused on the content of your presentation.
Check all colours on a projection screen before giving the actual presentation.	The colours may project differently than what appears on your monitor.
Ask your audience to hold questions until the end.	Questions are an excellent indicator that people are engaged by your subject matter and presentation skills. But if you save questions until the end of the presentation, you will get through your material uninterrupted. Also, early questions are often answered by ensuing slides and commentary.
Avoid moving the pointer unconsciously.	When you are not using the pointer, remove your hand from the mouse. This helps to stop you from moving the pointer unconsciously, which can be distracting.
Do not read the presentation.	Practice the presentation so that you can speak from bullet points. The text should be a cue for the presenter rather than the full message for the audience.
Stay on time.	If you plan a certain amount of time for your presentation, do not go over. If there is no time limit, take less time rather than more to ensure that people stay engaged.
Monitor your audience's behaviour.	Each time that you deliver a presentation, monitor your audience's behaviour. If you observe people focusing on your slides, the slides may contain too much data or be confusing or distracting in some other way. Use the information you learn each time to improve your future presentations.

Source: Microsoft Office site at https://support.office.com/en-gb/article/Tips-for-creating-and-delivering-an-effective-presentation-f43156b0-20d2-4c51-8345-0c337cefb88b

If you are using a flip-chart or a whiteboard (blackboard)...

- Stand on one side of the flip-chart in order for the audience to see what is already written on the sheet of paper.
- When you speak, stand facing the audience, rather than facing the flip-chart. Do not try to speak and write simultaneously.
- Use the flip-chart to take notes of ideas, expressed by the group. The sheets can be put on the wall and used anytime in the process of the work. It is also possible to prepare flip-chart sheets in advance in order to use them at the time of presentation.
- When the training participants see a visual image of the main points of the lecture, they receive the presented material in a more effective way.

4 EVALUATION OF TRAINING

Evaluation of training is one of the main components of a training programme. It will not only provide the trainer with useful information in order to further improve the training course, but also creates an impression of completeness.

Usually the trainer can determine how well the training process performs by observing the group dynamic, the activity of the audience, by analysing spontaneous comments, etc. Nevertheless, evaluation provides the trainer with the opportunity to validate his or her observations, and allows the participants to express their opinions and obtain satisfaction from the fact that they have been heard. Evaluation should be carried out throughout the duration of the training activity, after each working day, and sometimes after a series of sessions also. This type of evaluation is called feedback.

The evaluation of the entire training provides the participants with an opportunity to analyze previous experiences and discuss future changes, as well as to make a decision about the need to continue training after some time. It also emotionally and logically concludes the training[69].

Practical advice

Carry out the training evaluation during the final part of the training

The evaluation procedure should be planned for the final part of a training session. If the training is several hours long, then at least 15 minutes should be allocated for this purpose. If the meeting is one day or several days long, then it will be necessary to allocate more time for the final evaluation (from 30 minutes to 1 hour), and in the process of conducting the training it is appropriate to have short intermediate evaluations at the conclusion of each day. Some methods for receiving feedback from participants are presented in Annex 15.

Before the beginning of an evaluation procedure, explain what it is

Do not expect the participants to know what evaluation is. Apart from this, many (even those who often attend training) do not see evaluation as a part of the training process. Explain before carrying out an evaluation, why it is necessary.

Use different forms of evaluation

Training evaluations can take place spontaneously, in the form of reaction of the participants to what is happening. The trainer should encourage the participants to evaluate the content or the process after the completion of an exercise, a discussion or a part of training. It is important to receive evaluations of specific activities, exercises or roles, conducted by different participants.

If this does not happen spontaneously, you can use special questions like: 'How useful was this exercise for you? Perhaps, it would be good to do some additional work on this? Do you think that we need to change the way we work (the work order)? What exercise did you like the most? What would you have added if you were a trainer? What was well done? What parts of the programme have to be improved and in what way? How do you evaluate the role of the trainer - did he render assistance or did he prevent you from absorbing the material? What special knowledge have you received from this seminar?'

Among the advantages of such a discussion is the opportunity to clarify and elaborate on certain comments. The most important remarks can be determined judging by how frequently they were expressed. And finally the participants of the group are offered an opportunity to talk to each other when giving personal evaluations, and the trainer is given an opportunity to make concluding remarks and give the group his or her comments.

Conduct a written evaluation

A written evaluation provides an opportunity to receive answers from almost all of the participants. Among its advantages is a standard form, which makes it easier for trainers to process the results, if that is necessary. During the course of the written evaluation it is also possible to receive comments that the participants did not want to express verbally.

In order to conduct written evaluations, special evaluation forms or questionnaires are developed. An example of an evaluation form is presented in Annex 16.

[69] *Tourtilott L. Britt P. (1994) How to conduct an effective workshop: EE Toolbox — Workshop Resource Manual. Michigan: University of Michigan.*

ANNEXES

ANNEX 1. TEACHING MODULE 1. EXERCISE: DEFINING AND DISCUSSING LINKS BETWEEN SEA, EIA (OVOS) AND STATE ECOLOGICAL EXPERTISE (SEE)

Hand-out 1.A. Discussing links between SEA, EIA (OVOS) and SEE system in your country

Note to the trainer: You can choose 2–3 questions from the set of questions below for the group to discuss. Ensure that you have at least two groups to discuss the same set of questions.

Assignment:

Discuss the following questions in your group and put the ideas on paper:

- What are the main achievements and challenges of the existing OVOS system in the country?
- What are the (potential) links between the SEA and EIA (OVOS) systems?
- What are the (potential) links between SEA and SEE?
- What are the differences and similarities between the SEA, EIA (OVOS) and SEE?

Illustrate the links between SEA, EIA (OVOS) and SEE as per your thinking (using boxes, arrow or any other graphical tools) and provide your arguments.

Hand-out 1.B. Establishing links between SEA, EIA (OVOS) and SEE with reference to a City Master Plan[47]

Note: the area marked as "???" constitutes a grey zone not covered by the Master Plan.

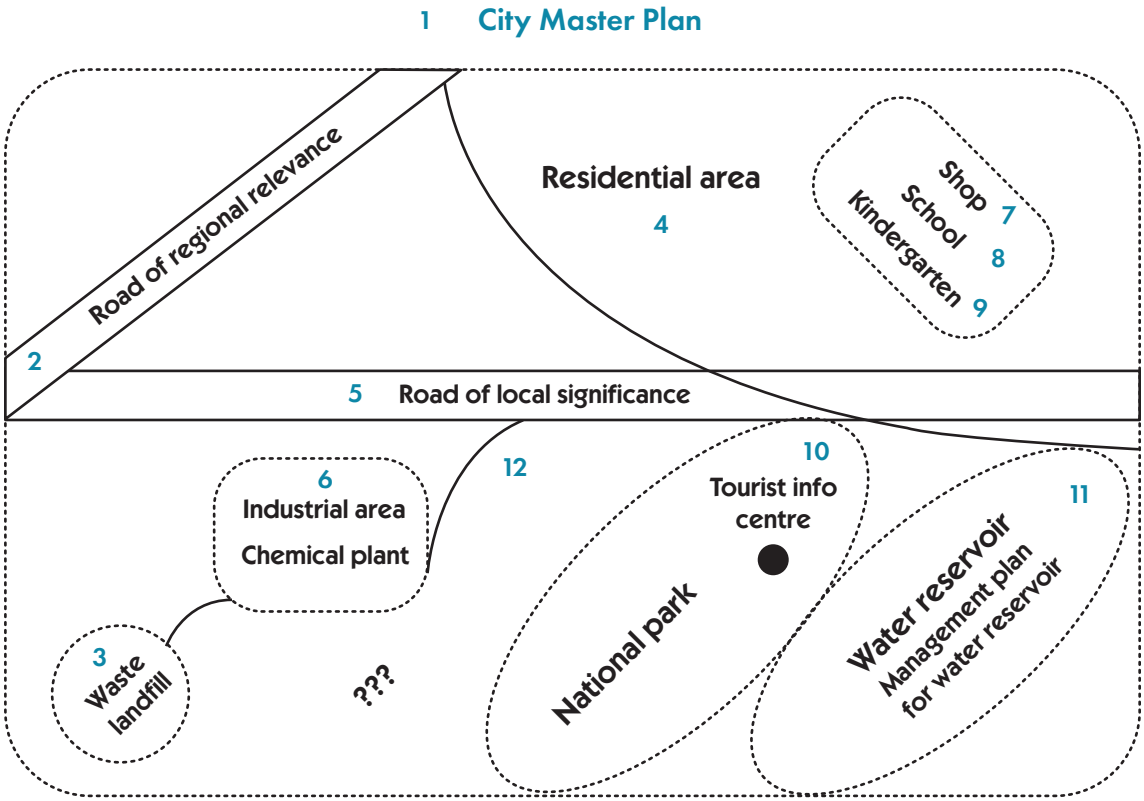
Assignment:

Your aim is to determine which facilities or objects on the below drawing are subject to SEA, EIA (OVOS) and/or SEE, if at all, and write corresponding numbers on the cards. Prepare the justification for your decision.

The set of cards:

EIA (OVOS)	SEA	SEE	

The drawing of the City Master Plan:



[47] *This Option 2 of the exercise was developed by the participants of the Training for Trainers on SEA in Kakheti, Georgia (2015).*

ANNEX 2. TEACHING MODULE 2. EXERCISE: INTEGRATING SEA AND PLAN- / PROGRAMME-MAKING PROCESSES

Hand-out 2.A. Integrate the SEA process into the development of a plan or programme from your country

Assignment:

Your aim is to design a scheme that links the SEA tasks (as presented in the Training of Trainers Manual or UN-ECE Resource Manual) with the planning stages of any plan or programme that you are familiar with from your country. Discuss the following questions with each other:

- How would you link your SEA and the plan or programme-making process and why?
- What kind of obstacles to integration you might encounter?
- Is your integration proposal similar to any of the integration modes discussed in this Manual?

Use the table below to document the outcomes of your discussion. Draw more rows if needed.

Steps in the planning process	SEA stages or tasks	Comments on obstacles to integration

Hand-out 2.B. Integrate the SEA process into the development of the 5-year Local Transport Plan, England

Assignment:

Your aim is to design a scheme of linking the SEA tasks, as presented in the this Manual or the UNECE Resource Manual, with the planning stages of the 5-year Local Transport Plan, England. First, read the description of the Local Transport Plan's planning process and then discuss with each other the following questions:

- How would you link your SEA and the plan or programme-making process and why?
- What kind of obstacles to the integration you might encounter?
- Is your integration proposal similar to any of the integration modes discussed above in this Manual?

Use the table below to document the outcomes of you discussion. Draw more rows if needed.

Description of the Local Transport Plan-making process

Local transport plans are an important part of transport planning in England. Strategic transport authorities (such as county councils, unitary authorities, etc.) are expected to prepare them as forward-looking plans covering a number of years (typically five years), and present them to the Department for Transport. Local transport plans are subject to SEA. When preparing the Local transport plans, the county of Lancashire uses the planning procedure as presented in the table to the left.

- Setting objectives and problem definition
- Understanding the current situation
- Understanding the future situation

- Consultation, participation, information
- Options for solutions

- Appraisal framework
- Appraisal tools and procedures
- Costs
- Options testing and appraisal
- Distillation and comparison of options

- Consultations
- Outputs from the study
- Funding resources

- Implementation programme
- Monitoring and evaluation

Steps in the planning process	SEA stages or tasks	Comments on obstacles to integration

ANNEX 3. TEACHING MODULE 3. TOPIC 1. SCREENING. EXERCISE: DETERMINING IF SEA IS NEEDED. HAND-OUT 3.1

Assignment:

Determine if SEA is needed for the following plans and programmes and justify your decision. Use the criteria stipulated by your national legislation, the flow-chart from the UNECE Resource Manual, or the EU SEA Directive (for criteria and the flow-chart, refer to the Manual, Part I, Module 3. Topic 1. Screening).

Answer the following questions:

- Is the information available sufficient for screening?
- If not, what additional information would you need?
- What screening criteria / questions did you use?

SEA CASE 1: Amendments of Municipal Spatial Plan of Tarukai Municipality

The process of amending the Tarukai Municipality spatial plan has been initiated by a group of landowners, who submitted the request to the municipal council. The proposed amendments would change the functional use of a total of 15,000 m² of the land from grassland to a housing area. The landowners aim to build 10 family houses in the area for their own living.

The site borders the urban area of the municipality to the south, agricultural land to the east and west, and forest to the north. The road connecting the houses to the main road and to the electricity network, sewage and water supply systems will be a part of the project.

SEA CASE 2: The National Energy Strategy

The Ministry of Energy is initiating the preparation of the national energy strategy. The strategy will define the energy priorities of the country, primarily the energy mix and the domestic energy demand by 2030. The strategy will address all energy sources that can be realistically utilized in the country.

ANNEX 4. TEACHING MODULE 3. TOPIC 2. SCOPING. EXERCISE: IDENTIFICATION OF KEY ENVIRONMENTAL AND HEALTH ISSUES

Hand-out 3.2.A. Identification of key environmental and health issues for the SEA you have participated (in your country or elsewhere)

This exercise (Option 1) is for the participants who have participated in at least one SEA conducted either it their home countries or elsewhere.

Assignment: Recall any SEA case you participated in and provide a brief description containing the following information:

- Title of the plan or programme that was subject to your SEA case (a short name will suffice);
- Duration and geographical coverage of the programme or plan; and
- Key problems that that plan or programme intended to resolve.

Following this, identify the key environmental and health themes and issues relevant to your plan or programme, as well as suggest which environmental and health concerns can be excluded from further assessment (if any). You can use the table provided below to structure and summarize your outputs.

If time permits, you may also:

- Determine whom to consult during scoping and how; and
- Define the temporal boundaries of each particular issue, i.e. how far into the future to look when examining the positive and negative impacts of your plan or programme on these issues: short-term (e.g. term of the current government), mid-term (7–10 years) or long-term (over 10 years);
- Define the spatial boundaries or territorial scope of each particular issue.

General themes to be considered in SEA	Key specific issues related to a plan or programme	Whom to consult	Temporal boundaries of issues	Spatial boundaries
Air				
Water				
Waste				
Soil				
Public Health				
Cultural heritage				
...				
...				

Hand-out 3.2.B. Identification of key environmental and health issues for the provided SEA

This exercise (Option 2) does not require the participants to have previous experience in SEA application.

Assignment:

SEA CASE: The National Energy Strategy

The Ministry of Energy already initiated the preparation of the National Energy Strategy. The Strategy will define the energy priorities of the country, primarily the energy mix and the domestic energy demand by 2030. The Strategy will address all energy sources that can be realistically utilized in the country. Also, the SEA for the Strategy has been launched. However, because the SEA is being conducted concurrently with the planning process, you do not have at this stage any information about the proposed actions in the Strategy. You have only been informed that the Strategy will address the following issues:

- Energy efficiency
- Alternative energy sources
- Energy market reform
- Energy security
- Energy transmission infrastructure
- Emissions reduction

You need to identify the key environmental and health issues relevant to the Strategy as well as suggest which environmental and health concerns can be excluded from further assessment (if any). You can use the table below to structure and summarize your outputs.

If time permits, you may also:

- Determine whom to consult during scoping and how;
- Define the temporal boundaries of each particular issue, i.e. how far into the future to look when examining the positive and negative impacts of your plan or programme on these issues: short-term (e.g. term of the current government), mid-term (7–10 years) or long-term (over 10 years);
- Define the spatial boundaries or territorial scope of each particular issue.

General themes to be considered in SEA	Key specific issues related to a plan or programme	Whom to consult	Temporal boundaries of issues	Spatial boundaries
Air				
Water				
Waste				
Soil				
Public Health				
Cultural heritage				
…				
…				

ANNEX 5. TEACHING MODULE 3. TOPIC 3. BASELINE ANALYSIS. EXERCISE: REVIEWING THE PROVIDED BASELINE ANALYSIS SECTION. HAND-OUT 3.3

Assignment:

Review the below baseline sections on i) Human Health and ii) Energy from the SEA Report of the Waste Management Plan[72] for England and discuss the following questions:

- Is the current state of i) Human Health and ii) Energy related issues described?
- Are the trends related to i) Human Health and ii) Energy described?
- Are the main drivers influencing the trends identified?
- Is there any forecast or outline of the likely evolution of i) Human Health and ii) Energy-related trends in the future ('zero' or 'business-as-usual' alternative)?
- Is there anything missing? What else would you have collected?

A.2.1. Human Health

As mentioned in the main text, most studies suggest that the health impacts associated with waste management are small. The principle contributions to health impacts for which waste management is responsible are the air pollutants released through both the treatment processes themselves and the transport of materials. Some offsetting benefits can be derived from the recycling of materials involved in the generation of energy (i.e. avoiding pollution from the extraction and processing of primary materials, or from generation of energy from alternative sources). Poor outdoor air quality can be a contributing factor to health problems as well as damaging ecosystems, biodiversity and valued habitats.

The adverse health effects from short and long-term exposure to air pollution range from worsening asthmatic conditions to reduced life expectancy caused by heart and lung disease, as well as a reduced quality of life and increased costs of hospital admissions. Despite improvements over recent decades, air pollution is still expected to reduce the life expectancy of every person in the UK by an average of six months, with an estimated annual cost to society of up to £19 billion[73]. However, the contribution of waste management to this overall impact may be relatively small.

The following general indicators of health status are relevant to this issue, but as noted above, the contribution of waste management to these impacts is believed to be very small:

- In England life expectancy, at 78.0 for males, and 82.1 for females is slightly higher than the UK averages (77.0 and 81.9) (2007-9). Around 80% would expect to live a healthy life. At the age of 65 English males and females would expect a somewhat longer healthy life expectancy that other parts of the UK[74].
- The prevalence of lifetime doctor-diagnosed asthma was 16% among men (17% for boys) and 17% among women (12% for girls), and decreased with age for both sexes. 9% of men and 10% of women currently had asthma, having experienced symptoms of asthma, or with their symptoms controlled by medication, in the last 12 months. Those living in lower income households are more likely to suffer from Asthma than those in higher income households[75].
- In the UK 5.4 million people receive treatment for asthma – a condition that can be exacerbated by local pollution, including vehicle emissions[76]. The NHS Health Survey for England 2010[77] estimates that Asthma causes around 1,000 deaths per year and the direct cost of dealing with Asthma in the UK as £1bn per year.
- In the UK, proportions of life spent disability-free increased for women but mostly fell for men at age 65 between 2004–06 and 2007–09[78].

[72] *Eunomia Research & Consulting Ltd. (2013) Waste Management Plan for England. SEA. Environmental Report, prepared for Defra. http://www.eunomia.co.uk/reports-tools/waste-management-plan-for-england-strategic-environmental-assessment-environmental-report.*

[73] *[NB. The links is copied from the original report]. Defra. See http://www.defra.gov.uk/environment/quality/air/air-quality/eu/*

[74] *[NB. The links is copied from the original report]. Office of National Statistics. See http://www.ons.gov.uk/ons/publications/re-reference- tables.html?edition=tcm%3A77-222911*

[75] *[NB. The links is copied from the original report]. The Health Survey for England 2010 (Respiratory Health). NHS Information Centre 2010.*

[76] *[NB. The links is copied from the original report]. See http://www.asthma.org.uk/news_media/media_resources/for_journalists_key.html*

[77] *[NB. The links is copied from the original report]. The Health Survey for England 2010 (Respiratory Health). NHS Information Centre, 2010.*

[78] *[NB. The links is copied from the original report]. Office of National Statistics*

- 19% of the working population in the UK who are classified as disabled equates to 10 million people, of which 5 million are over the state pension age. This has roughly stayed the same from 2002 to 2008, which would represent a slight fall in overall percentage of the total population[49].

A.2.13 Energy

Energy, primarily in the form of heat, electricity and transport, is a key component of the assessment. Energy from waste is an important priority within the Waste Review. The Government faces challenges in meeting energy demand while reducing greenhouse gas emissions. Energy production in the UK continues to drop while consumption has lowered slightly in recent years (0.4% drop in 2009 to 2010). The UK is a net importer of energy with a dependency level of 28%. Fuel poverty in England has risen from 5.9% of households in 2003 to 18.4% of households in 2009; an increase from 1.2m households in 2003 to 4m in 2009[50].

Long Term Trends

The long term projection is for a decrease in energy consumption in the UK of 9% by 2020 from 2005 levels[51]. Within the energy mix, however, there are significant peaks and troughs in the different sources of energy, as power stations and end users switch between energy sources due to market demands and production outages. In addition, extreme weather conditions affect short term trends, such recent cold winters, which raised the consumption of gas-fired heating.

Renewable capacity is rising at a rate of approximately 11% per annum and it provided 3.2% of the UK's energy consumption in 2010. The five main contributors to this rise in capacity are solid waste treatment, sewage treatment, landfill gas, wind and hydropower. Figure 21 provides an outline of developing capacity across this sector.

The EU Renewables Directive set a target of 15% of energy to be generated by renewables in the UK[52]. The ability for the UK to achieve this target is uncertain, having failed to reach its interim EU target for 10% of electricity generated by renewables by 2010[53]. However the Government's Renewable Energy Strategy stated that 30% of our electricity could come from renewable resources by 2020.

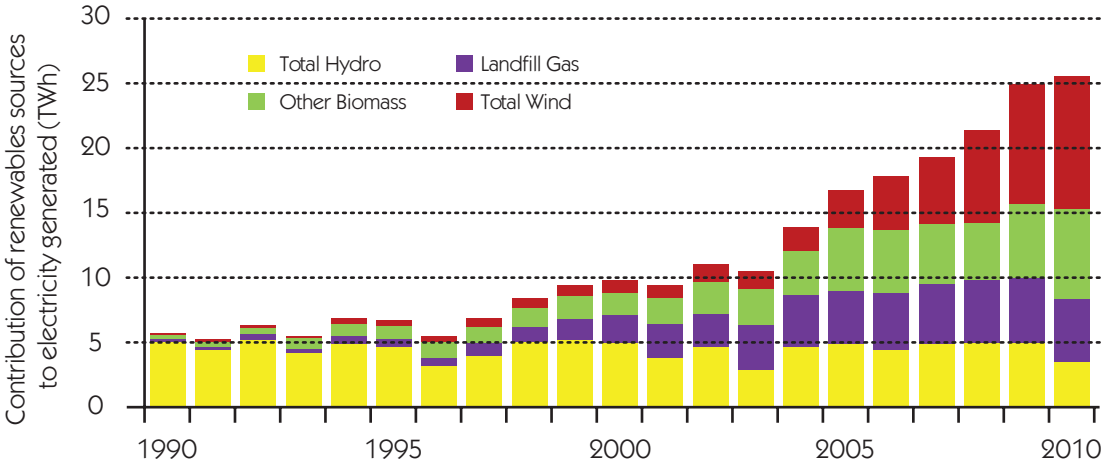


Figure 21: Electricity generated from Renewable Sources 1990–2010

[79] *[NB. The links is copied from the original report]. Family Resources Survey (FRS) Disability prevalence estimates 2007/8.*

[80] *[NB. The links is copied from the original report]. DECC. See http://www.decc.gov.uk/assets/decc/11/stats/publications/energy-in-brief/2286-uk-energy-in- brief-2011.pdf*

[81] *[NB. The links is copied from the original report]. European Commission, Renewable Energy: Progressing towards the 2020 target. Available at: http://eur- lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2011:0031:FIN:EN:PDF*

[82] *[NB. The links is copied from the original report]. See http://ec.europa.eu/energy/renewables/targets_en.htm*

[83] *[NB. The links is copied from the original report]. See http://ec.europa.eu/energy/renewables/reports/doc/2011_list_renewable_energy_targets.pdf.*

ANNEX 6. TEACHING MODULE 3. TOPIC 5. PREPARATION OF SEA REPORT. EXERCISE: STRUCTURING THE SEA REPORT / REVIEWING THE STRUCTURE OF THE SEA REPORT

Hand-out 3.5.A. Structuring the SEA Report

Assignment:

You are the SEA team members (SEA consultant) and you need to design a draft structure for your SEA Report based on the above recommendations from the UNECE Resource Manual[84], Annex IV of the Protocol on SEA or Annex I of the SEA Directive (the source selection depends on the time available, aims of the training, the audience and choice of the trainer, etc.).

Against each chapter in your SEA Report structure, indicate the information you would propose to include in it.

You may find it useful to draw a table for this exercise as follows:

Chapter	Information to include	Comments
..		

If time allows, please provide your feedback on the following questions during the presentation of your result:

- How should SEA reports be best structured to make them useful to the target audience? Who was in your target group and how did this influence your structure?
- How long should a SEA report be, in your opinion?
- What kind of information should be included in a non-technical summary of a SEA Report and how long should it be?

[84] *These are provided in Topic 5. SEA Report of the Teaching Manual.*

Hand-out 3.5.B. Reviewing the provided Table of Contents of the SEA and HIA Report

Assignment:

Please review the provided Table of Contents of the example SEA Report, e.g., of the SEA and Health Impact Assessment Report for the Merseyside Local Transport Plan, 2006–2011, UK, and respond to the following:

- compare the provided structure with either the recommendations of the UNECE Resource Manual[85], Annex IV of the Protocol on SEA or Annex I of the SEA Directive (the source selection depends on the time available, aims of the training, the audience and choice of the trainer, etc.),
- conclude, to the extent possibly, if the report fully covers all topics stipulated by the above regulations and recommendations, and
- identify topics or information that are missing (if any).
- When reporting your results consider commenting on
- what are the similarities and key differences between the Table of Contents of the example report and the recommendations of the UNECE Resource Manual (or the provisions of the Protocol on SEA or the SEA Directive, or other source that was selected)?
- What would you remove or add?
- If time allows, please provide your feedback on the following questions:
- How should SEA reports be best structured to make them useful to the target audience? Who was in your target group and did how this influence your structure?
- How long should a SEA report be, in your opinion?
- What kind of information should be included in a non-technical summary of a SEA Report and how long should it be?

Table of Contents the SEA and Health Impact Assessment Report for the Merseyside Local Transport Plan, 2006–2011, UK[56]

[85] *These are provided in Topic 5. SEA Report of the Teaching Manual.*

[86] *Merseyside LTP Environmental and Sustainability Group. 2005. Merseyside LTP Strategic Environmental Assessment & Health Impact Assessment (Final Report). http://www.transportmerseyside.org/uploads/documents/nov_06/trav_1164383242_trav_1155546042_Appendix_17[1].pdf*

ANNEX 7. TEACHING MODULE 3. TOPIC 6. QUALITY ASSURANCE AND QUALITY CONTROL. EXERCISE: QUALITY REVIEW IN SEA

Hand-out 3.6.A. Comparing quality review approaches in SEA

Assignment:

Compare approaches to the quality review as presented in the case examples provided below with approaches used or proposed to be used in their country. Provide feedback on the following questions:

- What should be the role of the quality assurance/ quality control in SEA?
- What are the pros and cons of the approaches to the quality control introduced? Which one is the most similar to the quality control mechanisms in your country?
- What approaches are used in your country? Are there any specific criteria for a good SEA report or SEA process?
- Do you see any limitations in the approaches used in your country? If so, what changes would you suggest?

		Czech Republic	Denmark	The Netherlands
Division between environmental/ SEA competent authority and planning agency (proponent)	Public authority	SEA Competent Authority (CA) coordinates entire SEA process	CA is responsible for the entire SEA process.	CA is responsible for screening, scoping, organizing public participation. CA responsible for justifying the ultimate decision in the light of the SEA findings.
	Proponent	Has to prepare and submit required documents i.e. mainly notification (for screening and scoping stage) and the SEA report together with the draft plan or programme	Proponent can be required to deliver information.	Proponent is responsible for conducting the SEA report.
Quality control measures embedded in national legislation	Scoping	The SEA CA has to check if the notification includes all information required by the SEA Law	Other relevant authorities must be consulted on scope and report. Input from relevant authorities is, by definition, appropriate.	CA is responsible for scoping. The NCEA (National Commission for Environmental Assessment) can be asked to provide scoping advice at the start of the EA procedure. For each SEA, the NCEA then forms specific expert panels comprised of the most relevant disciplines. Reviews are mandatory on so-called comprehensive projects. CA also asks 'legal advisors' for a scoping advice. CA decides on the eventual scope. Other relevant authorities must be consulted on scope and report. CA may be asked or voluntarily provide scoping advice (in this case the CA also asks 'legal advisors' for a scoping advice). Proponent can ask for scoping advice from the NCEA on a voluntary basis (for a fee).
	Public participation	Public is involved in (i) screening/scoping (runs together in the Czech SEA system), when everybody (i.e. including general public) can give comments regarding the scope of SEA, and (ii) in the stage of SEA Report and the draft plan or programme	Public to give input and review in authority's consultation on the final SEA report, but not on the scope. The SEA report must to a relevant extent respond to public input. Public can appeal to national boards of appeal, which has the power to reverse decisions.	Public to give input and review in authority's consultations on the final SEA report.
	Review of the SEA report	The SEA CA has to check if the SEA report includes all information required by the SEA Law	No formal provisions besides consultation of other authorities. Relies on public involvement noted above.	NCEA is responsible for undertaking a quality review of the EA report, which was mandatory for all development actions until 2010. Since 2010, a review has been required only for so-called comprehensive projects or development actions.
	Public statements on the use of SEA	The decision-making body responsible for adoption of the plan or programme has to prepare and publish the statement on how SEA results have been considered in the plan or programme as adopted together with additional information as required by the Art. 9.1 of the EU SEA Directive.	Until 2010, the public statement must include a specification of whether the most environmental friendly alternative was selected.	The public statement must include reasons for choices and description of measures to handle the negative impacts.

Hand-out 3.6.B. Discussing the quality review criteria

Assignment:

- Review the list of quality review criteria provided,
- Select the three most relevant ones, and
- Justify the selection.

Quality Review Criteria for SEA (UNECE, 2012).

Objectives and context

- The plan's or programme's purpose and objectives are made clear.
- Environmental issues and constraints, including international and EC environmental protection objectives, are considered in developing objectives and targets.
- SEA objectives, where used, are clearly set out and linked to indicators and targets where appropriate.
- Links with other related plans, programmes and policies are identified and explained.
- Conflicts that exist between SEA objectives, between SEA and plan objectives and between SEA objectives and other plan objectives are identified and described.

Scoping

- Relevant authorities with environmental, including health, responsibilities are consulted in appropriate ways and at appropriate times on the content and scope of the environmental report.
- The assessment focuses on significant issues.
- Technical, procedural and other difficulties encountered are discussed; assumptions and uncertainties are made explicit.
- Reasons are given for eliminating issues from further consideration.

Alternatives

- Realistic alternatives are considered for key issues, and the reasons for choosing them are documented.
- Alternatives include 'do minimum' and/or 'business as usual' scenarios wherever relevant.
- The environmental effects (both adverse and beneficial) of each alternative are identified and compared.
- Inconsistencies between the alternatives and other relevant plans, programmes or policies are identified and explained.
- Reasons are given for selection or elimination of alternatives.

Baseline information

- Relevant aspects of the current state of the environment and their likely evolution without the plan or programme are described.
- Environmental characteristics of areas likely to be significantly affected are described, including areas wider than the physical boundary of the plan area where it is likely to be affected by the plan.
- Difficulties such as deficiencies in information or methods are explained.

Prediction and evaluation of likely significant environmental effects

- Effects identified include the types listed in the Protocol (human health, flora, fauna, biodiversity, soil, climate, air, water, landscape, natural sites, material assets and cultural heritage), as relevant; other likely environmental effects are also covered, as appropriate.
- Both positive and negative effects are considered, and the duration of effects (short, medium or long term) is addressed.
- Likely secondary, cumulative and synergistic effects are identified where practicable.
- Interrelationships between effects are considered where practicable.
- The prediction and evaluation of effects makes use of relevant accepted standards, regulations, and thresholds.
- Methods used to evaluate the effects are described.

Mitigation measures

- Measures envisaged to prevent, reduce and offset any significant adverse effects of implementing the plan or programme are indicated.
- Issues to be taken into account in project consents are identified.

The environmental report

- Is clear and concise in its layout and presentation.
- Uses simple, clear language and avoids or explains technical terms.
- Uses maps and other illustrations where appropriate.
- Explains the methodology used.
- Explains who was consulted and what methods of consultation were used.
- Identifies sources of information, including expert judgement and matters of opinion.
- Contains a non-technical summary covering the overall approach to the SEA, the objectives of the plan, the main options considered and any changes to the plan resulting from the SEA.

Consultation

- The SEA is consulted on as an integral part of the plan-making process.
- Relevant authorities with environmental, including health, responsibilities and the public likely to be affected by, or having an interest in, the plan or programme are consulted in ways and at times which give them an early and effective opportunity within appropriate time frames to express their opinions on the draft plan and environmental report.

Decision-making and information on the decision

- The environmental report and the opinions of those consulted are taken into account in finalizing and adopting the plan or programme.
- An explanation is given of how they have been taken into account.
- Reasons are given for choosing the plan or programme as adopted, in the light of other reasonable alternatives considered.

Monitoring measures

- Measures proposed for monitoring are clear, practicable and linked to the indicators and objectives used in the SEA.
- Monitoring is used, where appropriate, during implementation of the plan or programme to make good deficiencies in baseline information in the SEA.
- Monitoring enables unforeseen adverse effects to be identified at an early stage. (These effects may include predictions that prove to be incorrect.)
- Proposals are made for action in response to significant adverse effects.

ANNEX 8. TEACHING MODULE 3.8. CONSULTATIONS WITH ENVIRONMENTAL AND HEALTH AUTHORITIES AND PUBLIC PARTICIPATION. EXERCISE: INTEGRATING CONSULTATIONS WITH ENVIRONMENTAL AND HEALTH AUTHORITIES AND PUBLIC PARTICIPATION INTO THE SEA PROCESS

Hand-out 3.8.A. Integrate consultations with environmental and health authorities and public participation into the SEA of a plan or programme from your country

NB. For this exercise you are requested to build upon the tables with the outputs from the assignment from Module 2 entitled 'integrating SEA and plan- or programme-making processes'.

Assignment:

Your aim is to design a plan for integrating stakeholder consultations into the SEA process and to select methods and tools for these consultations. Use as a reference the SEA stages you proposed in the Module 2 assignment (or as presented in this Manual or UNECE Resource Manual, and/or as legally required in your country for carrying out a SEA of any plan or programme from your country that you are familiar with). Discuss with each other the following questions:

- How would you identify and select the key relevant stakeholders?
- How would you effectively integrate the consultations with the identified stakeholders into the SEA process?
- What kind of obstacles and challenges to conducting consultations and ensuring public participation might you encounter?

Use the table below to document the outputs of you discussion. Draw more rows if needed.

SEA stages	Key stakeholders	Methods or tools for consultations	Comments on obstacles to integration of the consultations

Hand-out 3.8.B. Integrate the consultations with environmental and health authorities and public participation into the SEA process of the 5-year Local Transport Plan, England

NB. For this exercise you are requested to build upon Hand-out 2.B and the tables with the outputs from the assignment in Module 2 entitled 'integrating SEA and plan- or programme-making processes'.

Assignment:

Your aim is to design a plan for integrating stakeholder consultations into the SEA process and to select methods and tools for these consultations. Use as a reference the Hand-out 2.B or the stages provided below.

Discuss with each other the following questions:

- How would you identify and select the key relevant stakeholders?
- How would you effectively integrate the consultations with the identified stakeholders into the SEA process?
- What kind of obstacles and challenges to conducting consultations and ensuring public participation might you encounter?

Use the table below to document the outputs of you discussion. Draw more rows if needed.

- Setting objectives and problem definition
- Understanding the current situation
- Understanding the future situation
- Consultation, participation, information
- Options for solutions
- Appraisal framework
- Appraisal tools and procedures
- Costs
- Options testing and appraisal
- Distillation and comparison of options
- Consultations
- Outputs from the study
- Funding resources
- Implementation programme
- Monitoring and evaluation

SEA stages	Key stakeholders	Methods or tools for consultations	Comments on obstacles to integration of the consultations

Hand-out 3.8.C. Selecting public participation forms and methods for a SEA process[87]

Assignment:

Your aim is to select public participation method(s) from the table below that are appropriate for each of the SEA stages. You can document your results by means of the numbers. For instance, you can write 1, 7, etc. against the scoping, and so on. Please justify your selection and indicate which target group(s) will be reached using the selected methods.

SEA stages	Results of your selection (indicate using numbers)	Target group(s)	Public participation methods
Scoping			1. Range of printed material inviting comments 2. Displays and exhibits 3. Staffed displays and exhibits 4. Information hotline 5. Internet or web-based consultations 6. Questionnaires and response sheets 7. Surveys 8. Public hearings 9. Workshops 10. Advisory committee
Baseline analysis			
Impact evaluation			
Compiling SEA report			
Quality control of the SEA report			
Inputs into decision-making			
Monitoring			

[87] *This exercise was developed by the participants of the Training for Trainers on SEA in Kakheti, Georgia (2015).*

ANNEX 9. OVERVIEW OF METHODS AND TOOLS

Here is a practical overview of applicable methods or analytical tools that can be applied when undertaking SEA evaluation. It gives a short overview of the suitability of selected methods or analytical tools, as well as pros and cons for its use. Even if it can be treated as a list of tools and techniques that can be used by evaluators when undertaking SEA it should not be used as 'a rule' or the only source of such ideas. Each strategy, plan or program is unique and it should be uniquely evaluated.

It is also vital to emphasize that SEA experts may and should vary the approach, methods and tools used in order to ensure the best possible results for each SEA. It is also advisable to select the best possible method or analytical tool for each of the main steps in the SEA process in accordance with actual decision-making needs and information availability, thus ensuring tailored approach on a case-by-case basis.

The key features of applicable methods or analytical tools can be summarized as described below (adapted from UNECE, 2012 and modified for the purpose of the training material):

Selected applicable methods or analytical tools	Their application within the SEA process				
	Identification of Issues and impacts	Context and baseline analysis	Contributing to development of alternatives	Assessment of impacts	Comparing key options for decision-making
Spatial analyses/ Geographical information systems (GIS)	✓	✓	✓	✓	✓
Trends analysis/ extrapolation	✓	✓	✓	✓	✓
Multi-criteria analysis			✓	✓	✓
Cost-benefit analysis			✓		✓
Comparative risk assessment			✓	✓	✓
Modelling		✓	✓	✓	✓

SPATIAL ANALYSES/GEOGRAPHICAL INFORMATION SYSTEMS (GIS)

Spatial analyses are undertaken through preparation of layers or maps with different information that is relevant to the SEA. This method is often useful to map information and to show how it varies across the plan or programme area. The results of spatial analyses can offer a variety of practical uses in the SEA process. In that regard they can:

- Provide a composite picture of the receiving environment, the resulting development opportunities and existing constraints/conflicts.
- When using time data series, show how changes have occurred over time.
- Present impacts of previous developments and show linkages between different issues.
- Identify potential impacts of planned future activities or development.
- Outline cumulative impacts of different activities on one issue.
- Indicate spatial concentrations of different environmental impacts.
- Advantages and disadvantages for implementation:

+ Spatial analyses allow the use of large amount of geographically located data that would otherwise prove impractical to use.
+ Spatial analyses allow for better understanding of current state, on-going processes and relationships between different sets of data in real space.
+ Spatial analyses can consider topography and local territorial issues.
+ Spatial analyses are heavily used and relied upon in the planning process of any plan or programme, thus making it a convenient tool for communication with planning team, problem focused discussions and solution finding.

– If relevant data are not readily available in adequate form, space range and quality, spatial analyses can be expensive, time consuming and sometimes even counterproductive.
– Equally important/problematic are the quality control of GIS made results (in the case of combining different sets of data) and adequate interpretation of results, which demands good knowledge and understanding of datasets by the evaluator.
– GIS provides specific answers to specific questions. General use of GIS seems like a high tech approach, but sometimes the mass of available data can cause unnecessary complications in the decision making process.

TRENDS ANALYSIS/EXTRAPOLATION

Accurate trend analysis is one of the most important aspects of any assessment. In the context of SEA, it can be defined as an interpretation of environmental pressures and changes in the state of the environment through space and over time. It is also often used to predict or model future events or evolvement of the process. It was designed to simplify vast quantities of information and help us understand the big picture or the direction we are heading.

Trend analysis uses data sets and helps to trace any trends or patterns. Trends can be linear, exponential or cyclical and they should, where possible, be analysed over a correct temporal scale. The presentation of trends can be fairly simple (e.g. a line graph) or quite complex (e.g. using three-dimensional graphics or video simulation). There are numerous computer programs that facilitate trend analysis, the simplest ones being computer spreadsheet software, more advanced ones including RATS, GAUSS, JMP, etc.

Advantages and disadvantages for implementation:

+ It can summarize and simplify vast quantities of information and help us understand the big picture.
+ It can greatly assist in the quantification of cumulative impacts in cases where environmental data are available over long periods.
± As trends can reveal unexpected deviations from the expected or general trend, it is also very vital to detect such deviations, to determine the reasons behind their appearance and to put them into context of the goal of the trend analysis.
– Since it is based on data sets, it is only as reliable or precise as the data used for its implementation. That is why special attention should be given to the selection of adequate and precise data sets and to understanding the methods and quality of data gathering, including the consultations with respective authorities and the support of qualitative data (exact information on specific phenomena).

MULTI-CRITERIA ANALYSIS

Multi-criteria analysis (MCA) helps to manage complexity in decision-making by converting the evaluation to a numerical score. All MCA approaches incorporate judgments that are expressed in weights of criteria and in performance evaluations of each option. It numerically evaluates all alternative options against several criteria, and combines these separate evaluations into one overall evaluation. It can be used to identify a single most preferred option, to rank options, or simply to distinguish acceptable and unacceptable options so that a limited number of options can be short-listed for a detailed appraisal. Its purpose is to serve as an aid to thinking and decision-making, but not to make the decision. It is a way of breaking the problem into more manageable pieces, and then reassembling the pieces to present a coherent overall picture to decision makers.

Advantages and disadvantages for implementation:

+ It takes into account different criteria at the same time, thus avoiding decision-making process based on single criteria.
+ It is transparent and explicit.
+ It can be used to bring together the view of different stakeholders in the evaluation.
+ It can facilitate communication between decision makers and sometimes with the wider community.
– It reduces rational debate about various pros and cons of proposed alternative options into discussion about abstract numbers.
– It cannot facilitate consensus on very controversial decisions.
– By presenting quantitative information it can create a false impression of accuracy. This sometimes hides the fact that all MCAs heavily depend on a value judgment.
– It can be easily manipulated by those who perform it.
– SEA usually takes into account the environmental and some social aspects (e.g. health, accessibility, etc.), leaving out others social aspects (jobs, social standards, etc.) and economic aspects that should also be included in a real MCA. In this way, use of MCA is partially limited or has to be modified.

COST-BENEFIT ANALYSIS/COST-UTILITY ANALYSIS

In a cost-benefit analysis, benefits and costs are expressed in monetary terms, so that all flows of benefits and flows of project costs over time are expressed on a common basis in terms of their 'net present value'. As a method, the cost-benefit analysis has two main purposes:

- to determine if the investment or decision is sound by providing justification or feasibility, and
- to provide a basis for comparing different investments or decisions.

As a cost-benefit analysis demands monetary values of all criteria, its traditional use is much more widespread in EIA than in SEA. It is sometimes very hard to objectively value certain aspects, such as human life or environment. However, this can sometimes be ameliorated by using the related technique of cost-utility analysis, in which benefits are expressed in non-monetary units such as quality-adjusted life years (e.g. road safety can be measured in terms of cost per life saved). A benefit or cost is defined as anything that increases or decreases human wellbeing. In turn, human wellbeing is determined by what people prefer (revealed through choices, market behaviour, questionnaire, etc.). Measurement of a preference is obtained by finding out the individual's willingness to pay for a benefit or avoidance of a cost, or their willingness to accept compensation for tolerating a cost or foregoing a benefit. However, such non-monetary metrics have limited usefulness for evaluating policies with substantially different outcomes.

Advantages and disadvantages for implementation:

+ It provides easy-to-understand information (in monetary terms) to the decision maker.
+ It allows comparison of effects, which might otherwise be difficult to compare (e.g. time savings for motorists versus loss of landscape value).
± While cost-benefit analysis can offer a well-educated estimate of the best alternative, perfection in terms of economic efficiency and social welfare are not guaranteed.
± It is sometimes very hard to objectively value certain aspects, such as human life or environment. This can sometimes be avoided by using of cost-utility analysis.
– There are many issues of contention in cost-benefit analysis, including appropriate discount rates and the reduction of future costs and benefits to net present values, and the valuation of health, life and environmental goods and services.
– There are many technical difficulties and much dispute regarding the methods used within cost-benefit analysis, such as contingent valuation.

COMPARATIVE RISK ASSESSMENT

Comparative risk assessment is an environmental decision-making tool used to systematically measure, compare, and rank environmental problems or issue areas. It is the determination of quantitative, qualitative or comparative value of risk related to a concrete situation and a recognized threat. It requires calculations of two components of risk — the magnitude of the potential loss and the probability that the loss will occur. In other words, how much can we expect to lose from an asset based on the risks, threats, and vulnerabilities. It then becomes possible, from economical perspective, to justify expenditures to implement countermeasures to protect the asset. The method typically focuses on the risks a problem poses to human health, the natural environment and quality of life, and results in a list (or lists) of issue areas ranked in terms of relative risks.

Advantages and disadvantages for implementation:

+ It allows for objective ranking of risks that are otherwise hard to compare.
– Use of comparative risk assessment is in practice limited to special cases. It is a specific tool designed to answer specific questions. As such, its use in a relatively open and wide ranging SEA process is relatively limited, and is much more appropriate for EIA level.
– Analysis is multi-disciplinary and highly complex.
– Setting priorities is ultimately based on values of the community and results may vary substantially if ranking criteria have changed.

MODELLING

Modelling is a general name for all methodologies used for modelling any type of processes or events in space and time. Any kind of modelling is closely connected with the use of GIS as a tool for implementation of spatial or other data models. More standardized models that can be reused in other similar cases were developed into computer programs specifically designed to answer certain set of questions (HMS, Mike, IMMI, etc). On the other hand GIS itself offers wide range of spatial standardized models (Slope, Watershed, etc) or even allows programming oriented users to develop unique models to satisfy their needs.

Modelling generally tends to be used in SEA only when other analytical tools would provide insufficient predictions. The most common models include:

- Air Quality Models, which can simulate individual or cumulative impacts of a number of projects on the local air quality.
- Soil Quality Models, which can calculate soil degradation (e.g. erosion, degradation of the organic matter, etc.) or leaching and accumulation of chemicals (fertilizers, pesticides, and heavy metals) applied to soil.
- Water Quality Models, which can simulate dispersion of various pollutants under different flow or tidal conditions. Other water quality models can simulate the behaviour of pollutants in a lake environment. There are also models that simulate dispersion of various pollutants in ground water and

the time needed for the body of ground water to clean itself.

- Flood Models, which can simulate individual or cumulative impacts of a project or a number of projects on both — the local floods and floods downstream.
- Noise Models, which can consider the cumulative noise levels from more than one source.
- Visualization Models, which can simulate individual or cumulative impacts of a number of projects on the landscape. They are most commonly used in SEA when dealing with new building or infrastructure projects located in or in vicinity of protected landscapes or cultural heritage areas or buildings.

Advantages and disadvantages for implementation:

+ Modelling, when used correctly, allows for long term prediction of processes and events.
+ Models can simulate the effects of proposed plans over time and in space, and carry out numerous simulations based on different assumptions or scenarios and input data.
+ Modelling results can be effectively combined with GIS.
– Construction or calibration and running of a model are usually very demanding in terms of cost, expertise and time.
– No model can realistically address every intricacy of the natural system.
– The accuracy of a model totally relies on the quality of the baseline data.
– Modelling is based on the set of analytical procedures and rules designed to simulate real-world conditions. Any change in the model itself or the used data sets can provide very different results. In the process of objective and critical interpretation of the results a lot of attention should be put on quality of the data sets, quality of simulation of real-world conditions and reliability of the model itself.
– Modelling cannot predict the occurrence of external factors, which quite often greatly influence the phenomenon that is being observed.

ANNEX 10 EXAMPLE OF THE SCOPING OPINION/STATEMENT FORM

Scoping Opinion Form

Identification data:

Document title: *Strategy for...*

Planning authority: *Ministry of ..., Department of... Contact person: ...*

Nature of the document, purpose and objectives:

- *Indication of legal basis (e.g. Strategy required by the waste management code)*
- *Outline of objectives and expected content/structure of the document*
- *Indication of the nature of planned interventions (e.g. investments, infrastructure projects, legislative measures, educational or other activities)*
- *Indication of planning process milestones and deadlines (e. g. expected approval by the government: February 2017)*

Area covered/Territory of application:

- *Administrative units where the Strategic Document is to be implemented (e.g. whole country, or only selected* region(s) or settlement(s)

Scoping process:

Indication of key milestones so far

- *E.g. Scoping report submitted on ... 2017, the public was entitled to submit their opinions and comments with* the period of ... 2017, etc.

Received comments

- *List of opinions received during the scoping process (can be provided as an annex to the scoping opinion)*
- *Indication of how the comments have been considered in the scoping opinion (e.g. explaining that some suggestions* have been included among issues to be further addressed, or that responses to certain opinions will be presented in the SEA report)

Scoping opinion:

- Overview of environmental and health issues that shall be further analyzed in the SEA (optimally indicating also level of detail – which can vary from very general (e.g. water quality), to specific (e.g. change in benzo-a-pyrene concentrations in the air of urban areas).
- Overview of strategic documents or environmental policy objectives to be included in the compliance analysis within the SEA (e.g. Assess the compliance of the proposed Strategy within the document 'National Program for Biodiversity protection (2010)', namely with its goal to "preserve integrity and ecological functions in protected areas").
- List of stakeholders who should be consulted in the further stage of SEA (e.g. regional authority X, NGO Y, Research institute Z)
- Recommendations for the further consultation process including possible activities beyond the legal requirements (e. one public hearing on the draft strategic document and SEA report shall be organized in the capital city, while two additional workshops can be recommended to be conducted in two of the potentially most affected districts)
- Any requirements regarding the assessment of alternatives (e.g. indication of a need for developing and/or analyzing certain alternatives, e.g. specific transport corridors alternatives should be developed and assessed in order to avoid likely effects on populated areas)
- Recommendations regarding analytical methods or tools to be used in the SEA (e.g. spatial analysis of the likely conflicts between protected areas and planned infrastructure).

ANNEX 11. GETTING ACQUAINTED EXERCISES

These exercises are essential for all types of educational seminars and trainings[88].

Offer the participants an opportunity to become acquainted. There are several options to do this; select the most appropriate one from the following list, taking into account the composition of the group and the goal of the training:

1. Ask each participant to state their name, briefly describe themselves (their occupation, where they live, hobbies, etc.). Start the process of getting acquainted with the first person who volunteers, and then move around the circle. Do not skip anyone, including the trainers. Thank everyone and move on. The trainers introduce themselves when it's their turn to speak.
2. Ask the participants to state their names and briefly explain the history of their name. Stick to the requirements, presented in variant 1.
3. Ask the participants to state their name and one of their character traits that starts with the same letter as their name. They can demonstrate this character trait by means of pantomime. Do not forget about the order in which you should carry out the exercise that was described in the variant 1.
4. Let each participant state their name and finish the sentence 'I am proud...'. Explain that they can be proud of the various traits of their own characters. Stick to the rule that people only speak if they want to, as well as to the rules of work in the common circle (i.e. if someone refuses to express themselves, skip him or her, but return to them after the circle is complete, as they will surely have something to say by then).
5. Divide those who are present into pairs and have them take a seat, forming a circle. If someone cannot be paired, get a trainer involved. Ask them to decide who in each pair will be number one, and who will be number two. Tell them that the number ones will have three minutes to ask their partner five questions about their job, family, hobbies, etc., in order to find out as much as possible about him or her. After this the number twos will take turn to ask questions. After that ask everyone to briefly tell to the whole group sitting in the circle about their partner, using the most interesting and relevant bits of information they have received. Remember that people should speak if they want to. Support the continuity of the circle, and be sure to remind to those who speak too long about the need to be concise. Instead of numbers, you can assign names to the participants in each pair, for example, Joy and Happiness. In this case when the participants introduce their partners, they should start with the words: 'I would like to introduce to you my Joy (Happiness)'.
6. Prepare in advance a small collection of coins. Let every participant choose one coin from your collection, after which ask the participants to study 'their' coins — what sort of coin is that (one cent, ten cents, etc.), in what year was it minted — and to remember an event of their life, that has taken place in that year and stuck to their memory the most. Listen to the participants' stories in a circle, having reminded them that they should start their story by introducing themselves. Don't forget to collect the coins right after the exercise is finished.

Regardless of the selected variant, you must carry out an evaluation of the exercise by asking the following questions: 'How did you feel when you were doing this exercise?' or 'What did we do it for?'

- Ask the participants to finish one of the following phrases: 'Most of all I like...' or 'Most of all I dislike...', and add a few words about themselves in the context of what they just told.

An 'ice breaker' exercise should be carried out in the beginning of every day of training. On the second and the third days of training it can be conducted in the form of reflection of the previous working day:

- Ask the participants to build their own image of the day, according to the following scheme: Name... 'Today, I learnt that SEA means, in my opinion...' Or: Name... After yesterday's session, I understood that...'
- Ask the participants to define their attitudes for the specific day: Name... Today, it is important for me that...'

[88] *A.Panchenkov, O.Pometun, T.Remeh. (2003) Education in Action: How to Organise the Training for Trainers in Order for Them to Learn to Apply the Interactive Training Technologies./ Kiev: A.P.N.*

ANNEX 12. EXPECTATIONS EXERCISES

Begin each day of a multi-day seminar by carrying out an exercise aimed at discovering the participants' expectations. If you are conducting a short presentation type of seminar, combine the 'discovering participants' expectations with the introduction of the participants, or don't include this exercise into the program at all.

Expectations should be recorded on a sheet of A1 formatted paper and hung up in the room. It is useful to come back to them while conducting this exercise the next time, and compare expectations from the first day of work with the expectations of the second one.

Before you begin, place emphasis on the fact that you all are at the beginning of an important journey, and in order to complete it successfully it is necessary to determine what everyone present expects from the work in this training.

1. Ask the participants to finish the sentence: 'From this training I expect...'. Ask them to be concise.

Let your partner record all the expressions of the participants on the whiteboard (or blackboard). You can draw a chamomile flower in advance, whose petals will be expectations, or a sail ship, whose sail has to be full with the wind of expectations from the training. You must carry out a reflection, using the following question: 'And did we do this for?' [9, p. 12].

2. If there are too many participants (over 24 persons), and you don't have the time to listen to everyone separately, you can split them up into small groups and ask them to define and express the expectations of their small group. This technique is also useful in case there are a few people among the participants who don't really know themselves what they want.
3. Hand out to the participants the small colour post-it notes and ask them to record on them the question that they would like answered at the time of training. After a short time (5–10 minutes) ask everyone to put their sticky note on the wall or on the flip-chart, read it, and comment. In this manner, the questions that are most important to the participants will be identified.

Instead of post-it notes you can use small flags — pieces of coloured paper, cut diagonally. After the participants put their questions on them, they can hang them on a long thread, in order to form a large chain of flags.

ANNEX 13. TRAINING NEEDS ANALYSIS: QUESTIONNAIRE

Dear participant of the SEA training,

Please answer to the questions below regarding your experience with SEA and/or other types of environmental assessments applied in your country, also taking into account a draft or approved national legal framework for SEA.

1. Have you previously participated in any SEA/EIA trainings or any other related capacity building? If so, what parts of or topics in the training were the most useful for you?

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2. What stage or analysis usually performed in SEA do you consider the most important, and why?

.....

.....

3. What information regarding SEA would you like to obtain during the Training of Trainers?

.....

.....

4. What specific topics or questions you would like to address at the sub-regional conference on developing legislative framework for the SEA in line with the Protocol on SEA?

.....

.....

5. Please describe the key challenges regarding the usual steps and analyses to be performed in SEA as listed below. When doing so, you may wish also to indicate how existing problems could be solved.

- Screening i.e. deciding whether the plan or programme requires SEA.

.....

.....

- Scoping i.e. determining the focus and scope of the SEA.

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- Linking SEA to planning (i.e. how to integrate SEA in the planning process).

.....

.....

- Baseline analysis (i.e. analysis of the existing environmental (including health) and socio-economic conditions of the study area).

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- Assessing likely effects and formulating mitigation measures.

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- Stakeholder participation.

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- Quality control.

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- Decision-making i.e. taking due account of SEA outcomes in the preparation and adoption of plans and programme.

.....

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- Monitoring.

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6. What support materials (guidance on certain SEA analyses, forms for specific SEA steps, explanatory notes on the legal provisions, bylaws) should be ideally developed to support further application of SEA in your country?

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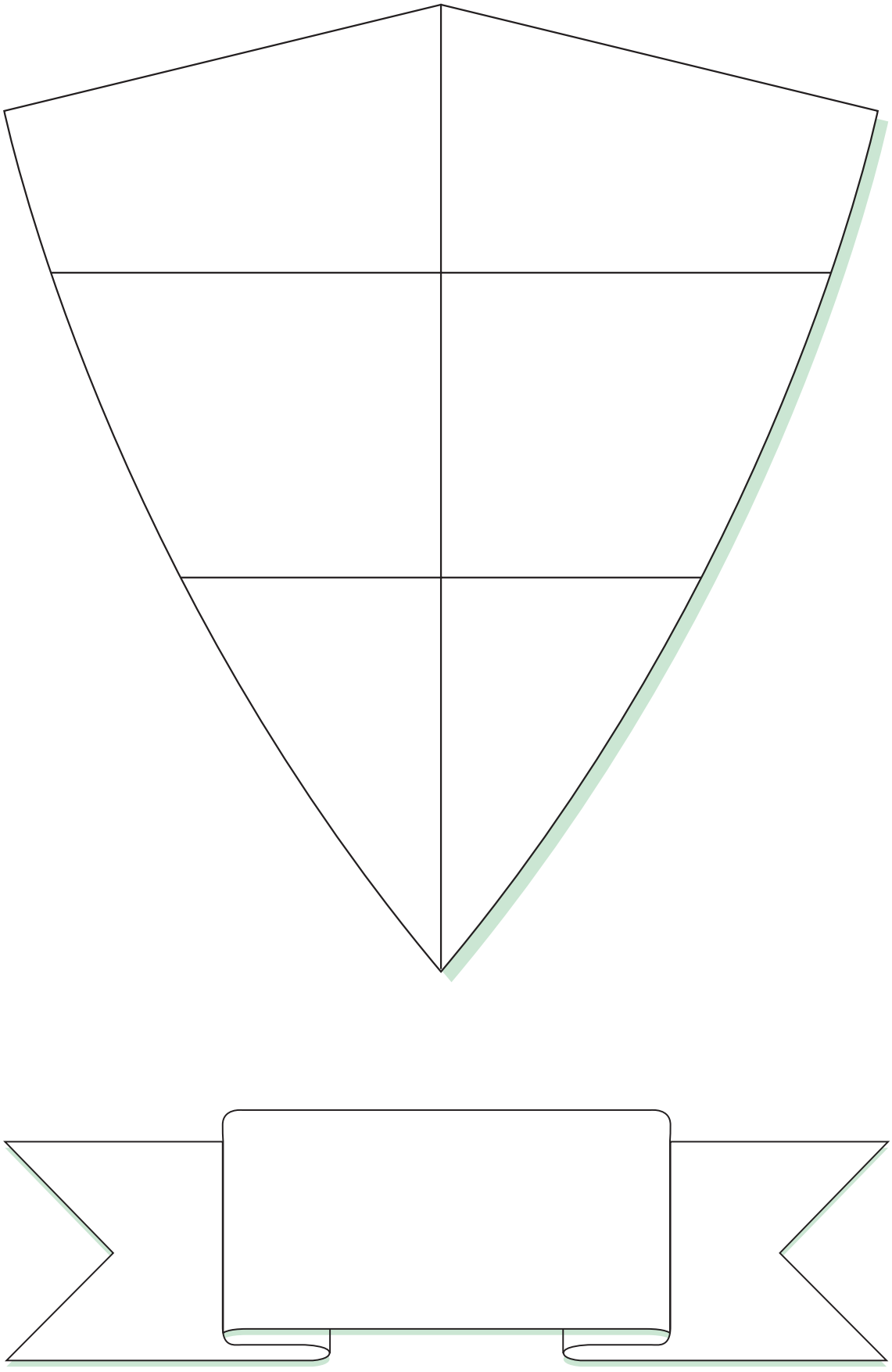
ANNEX 14. HAND-OUT FOR THE EXERCISE 'COAT OF ARMS'



ANNEX 15. SOME METHODS FOR RECEIVING FEEDBACK

Feedback is useful to both the participants and the trainer. The exercises, described below, will let the participants feel the feedback during their work at the time of the training.

Different methods can be used to receive feedback.

1. 'Train carriages'

This method ensures that feedback is provided at a certain stage of training (most commonly one session is evaluated). The trainer asks the participants to evaluate the previous part of the training, using a poster with a steam train and carriages (the number of the carriages should be the same as the number of training stages being evaluated). Impressions, thoughts and ideas should be put on the post-it notes that are to be placed on the corresponding carriages. After this anyone who likes can familiarize themselves with their contents [2, p. 68].

2. 'Rear-view mirror'

In the beginning of a new day of a seminar you can use the method 'Rear-view mirror'. The participants are reminded of the function of a rear-view mirror (enables one to see what is going on behind). Then they are asked to take a few minutes to analyse the previous day (stage) of the seminar, using the following questions:

- What did you like?
- What caused you some thinking?
- What could have been done differently?

After this everyone takes his or her turn to speak in circle [2, p. 85].

3. 'Lyrical, Practical, Abstruse, Critical'

This is a group-oriented method to receive feedback.

The participants are arranged in four groups. Each group receives a sheet of paper with one of the following inscriptions: 'Lyrical', 'Practical', 'Abstruse', and 'Critical'. The participants are then asked to take a few minutes to describe the previous stage of training (for instance, the previous day), based on the inscription they received. Descriptions should be in the form of narratives written on a sheet of paper.

Then the groups exchange their sheets of paper and continue the descriptions, started by the others. In this way, each group describes the stage of the seminar that is being analyzed, from four viewpoints. Then every group receives their original version and reads it in the common circle.

The number and content of the characteristics that are being offered, as well as the algorithm of conducting the activity, may vary. In case there are many people at the seminar, it is better to arrange them into eight groups, i.e. two consecutive 'streams', rather than creating quantitatively large groups (of more than 5 persons).

ANNEX 16. FINAL EVALUATION FROM OF THE TRAINING

First Name .....

Last Name .....

1. For me the training was

☐ Very useful;

☐ Quite useful;

☐ Interesting, but not usseful;

☐ Useless;

Your comments:

.....

.....

2. Evaluate please, according to a seven-point scale (7 — very good, 1 — unsatisfactory; whenever possible, please explain your evaluations):

Training content	1	2	3	4	5	6	7

.....

.....

Logic of the training	1	2	3	4	5	6	7

.....

.....

Atmosphere at the training	1	2	3	4	5	6	7

.....

.....

Style of conducting the training	1	2	3	4	5	6	7

.....

.....

Relevance of methods that were selected	1	2	3	4	5	6	7

.....

.....

Organisation of the training	1	2	3	4	5	6	7

.....

.....

3. Are you happy with how you yourself have worked at the training?

☐ Yes ☐ Not entirely ☐ Rather not ☐ No ☐ Don't know

4. What contribution have you made to the joint work?

.....

.....

5. Have your expectations been met at the semonar? To what extent and why?

.....

.....

6. Indicate, please, the three most important aspects that turned out to be significant for you at the time of the training:

1. .....

2. .....

3. .....

7. What turned out to be less useful for you?

1. .....

2. .....

3. .....

8. How would you describe for yourself the result of the training you have just completed?

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9. What suggestion would you like to make to the trainers and organisers?

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Other comments:

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Thank you for your cooperation!

EaPGREEN
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This project is funded by the EU

OECD
BETTER POLICIES FOR BETTER LIVES

UNECE

UN environment

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APPLICATION OF THE PROTOCOL ON STRATEGIC ENVIRONMENTAL ASSESSMENT: MANUAL FOR TRAINERS

This document *Application of the Protocol on Strategic Environmental Assessment: Manual for Trainers* (the Manual) was developed to support the application of the United Nations Economic Commission for Europe (UNECE) Protocol on Strategic Environmental Assessment (the Protocol on SEA) to the Convention on Environmental Impact Assessment in the Transboundary Context (the Espoo Convention) and of the European Union SEA Directive.

Strategic environmental assessment (SEA) is a systematic and anticipatory process, undertaken to analyse the potential environmental, including health, effects of proposed plans, programmes and other strategic initiatives and to integrate the findings into strategic decision-making. It applies to the extent appropriate to policies and legislation. By allowing countries to integrate the environmental and health concerns into their development plans and programmes at the earliest stages, SEA helps countries in their efforts to attain sustainable development goals and to green their economies.

The UNECE Protocol on SEA was adopted in Kyiv in 2003 and it entered into force in 2010. The Protocol is open for accession by all United Nations' member States (for up to date information on the status of its ratification refer to https://treaties.un.org/Pages/ViewDetails.aspx?src=TREATY&mtdsg_no=XXVII-4-b&chapter=27&lang=en).
The Manual was prepared to support the process of educating and training of state officials, members of civil society and representative of academia in the countries of Eastern Europe and the Caucasus: Armenia, Azerbaijan, Belarus, Georgia, Republic of Moldova, and Ukraine. However, the Manual is a free source of information and can be used in any other country and/or region. Parties and stakeholders under the Protocol on SEA are encouraged to use and widely disseminate the Manual. The manual is available in electronic format on the UNECE website in English and Russian (http://www.unece.org/env/eia/publications.html).

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