

Appendix A

Appraisal Methodology

A1 Appraisal Methodology

A1.1 Introduction

This appendix sets out the methodology used in undertaking a Combined Appraisal of the RHS and RSHS and provides background information on the IAT, what its purpose is, how it was developed and how it has been assessed to meet the requirements for appraising the RHS and RSHS.

The method used in undertaking the Combined Appraisal of the RHS and RSHS has followed a two stage approach for each key appraisal stage (i.e. Appraisal 1, 2 and 3):

- Stage 1: Initial appraisal undertaken by Arup to provide an initial level of assessment to stimulate discussions at Stage 2.
- Stage 2: Appraisal Group Workshop which reviewed the initial findings from Stage 1 and provided an opportunity for stakeholders to provide additional comments at the workshop and/ or via email.

Following completion of this stage the method used in undertaking the Combined Appraisal of the RHS Consultation Paper followed the same two stage approach.

A1.2 Methodology

The approach undertaken for these Appraisals is based on the North West IAT. In summary, the principles behind undertaking a combined approach to appraising the RHS and RSHS are:

- To ensure a holistic approach to appraisal is achieved based on the North West Integrated Appraisal Toolkit (IAT).
- That the appraisal fully integrates the specific requirements of the different types of appraisal/ assessment.
- A more comprehensive range of social, economic and environmental issues are taken into consideration.
- That the approach is used to form the basis for appraisals of the future Single Regional Strategy.

The appraisal process for the RHS and RSHS Discussion Papers and RHS Consultation Paper includes the following tasks in accordance with SA/ SEA requirements:

1. Test the plan objectives against the sustainability objectives;
2. Predict and assess the effects of different issues.

The appraisal process is iterative, building on previous experience and feedback from the Regional Leaders Forum and Appraisal Groups with an interest in the SA, EqIA, HIA and Rural Proofing.

A1.2.1 Using the IAT as the basis for the Combined Appraisal

One of the core elements of the commission is to use the North West IAT as the basis for undertaking the Combined Appraisal and to help inform what additional, supplementary questions are required in order to meet the requirements of EqIA, HIA and Rural Proofing.

The IAT has been developed in consultation with statutory stakeholders to ensure that policies and projects developed in the North West integrate fully economic, social and environmental objectives to ensure sustainable development. It is an interactive and dynamic tool that provides a robust framework for appraisal, valuable information, and a transparent and coherent audit record for those producing policies, programmes and other proposals.

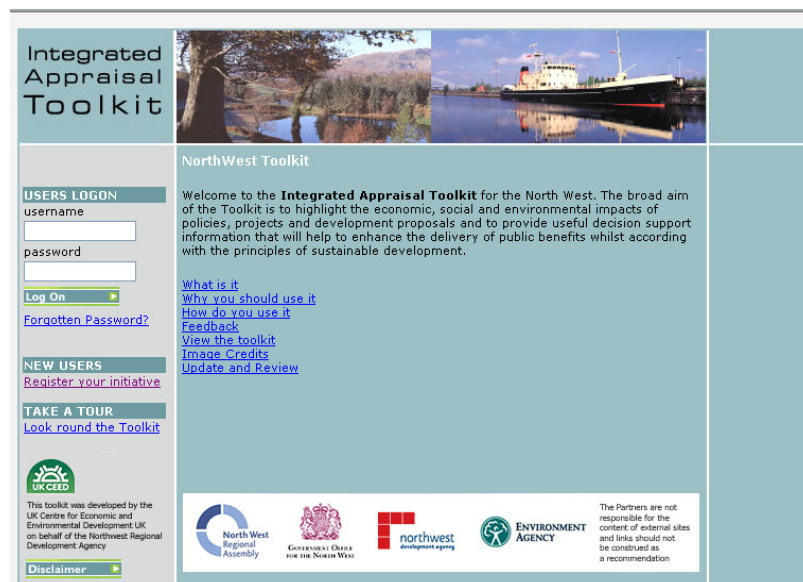
The IAT has been designed to address the sustainable development issues that are pertinent to the North West, whilst incorporating enough flexibility to allow both regional and local initiatives to be assessed.

For further information on the entire question set used in the IAT please visit: www.sdtoolkit-northwest.org.uk/toolkit/index.php

The IAT appraisal framework covers the following themes:

- Biodiversity and Landscape
- Building and heritage
- Climate Change and Energy
- Community
- Economy
- Health and Well- being
- Housing
- Local Environmental Quality
- Raw Materials
- Skills and Behaviour
- Transport
- Waste

In addition to the established IAT framework, a specific section on Rural Proofing has also been developed.



A1.2.2 Assessing the IAT against the RSS SA Objectives

One of the key issues for this combined approach is to ensure there is a consistent approach to appraisal that ensures the links with other regional strategies such as the RSS and RES is achieved. In achieving this, an assessment was undertaken to compare the suitability and robustness of the themes in the IAT compared to the RSS SA objectives.

This ensured we had a clear understanding of the IAT's ability to provide a broad appraisal and how this will inform the more detailed and specific requirements of EqIA, HIA and Rural Proofing.

A1.2.3 Screening the IAT

In addition to assessing the IAT for its suitability for SA of the Regional Housing Strategies we have also undertaken a screening exercise to ensure we only appraise the strategies with the most relevant questions.

A1.2.4 How we will Use the IAT

The IAT is a dynamic and interactive tool that can be used to assess the economic, social and environmental credentials of plans, policy and programmes etc. For details on the IAT questions used to undertake the EqIA, HIA and Rural proofing as well as the supplementary questions developed, please refer to Appendix D.

A1.3 Developing Appraisal Groups for the RHS and RSHS

As identified in Section 1.2.1, the identification of appropriate stakeholders to be involved and engaged in the appraisal process is key to the robustness of the Combined Appraisal. Identification of potential stakeholders began in March 2008. The initial invitation to be involved in the appraisal process was made on 25 March 2008 with expressions of interest to be received by the 4 April 2008. In addition, to ensure further alignment with the RSS the invitation was extended to include expressions of interest for being involved in the appraisal process as part of the RSS Partial Review.

Following expressions of interest being received, further correspondence was made on 4 May 2008 inviting members to the first Appraisal Group workshop to be held on the 23 May 2008. The correspondence provided each Appraisal Group member with guidance on the appraisal process, their roles and responsibilities and relevant background information for the RHS and RSHS in order to effectively frontload them in the process.

A1.4 Assessing the Effects

The method used to assess the direct and indirect effects of the RHS and RSHS is informed by judgments. This judgement process will be based upon the method used by Arup to undertake an initial assessment and the findings then presented to the Appraisal Group members to review and comment on, either via email and/ or at the Appraisal Group workshop.

In assessing the RHS and RSHS a series of tables have been developed to record the appraisal and are developed to reflect the IAT appraisal framework and scoring scale. The scoring scale used is set out below:

- No Response
- I consider that this is not relevant
- I do not know
- It will have a very negative impact
- It will have a slightly negative impact
- It will have a neutral or mixed impact
- It will have a slightly positive impact
- It will have a very positive impact

A1.4.1 Presenting the Appraisals

In undertaking the assessment a systematic approach was used to ensure that wherever possible:

- the content of the strategy Discussion/ Consultation Paper is identified in relation to the issues it is being appraised against with general observations provided that identify the specific contents of the paper;
- mitigation measures are identified that should be considered in shaping the RHS and RSHS with a view to then preparing the next stage of the strategies.

- guidance and signposting to relevant policy interventions is provided that should also be considered to avoid policy conflict.

An example of the tables used is set out below:

Figure 1 Example of Appraisal Table

IAT Question	Will the initiative improve income levels in deprived areas?
Impact	<i>It will have a slightly positive impact</i>
Observations	
The paper looks at tackling worklessness in order to allow the excluded to successfully live independently.	
Mitigation for the Discussion Paper	
The Discussion Paper should recognise the need to address average incomes in the region and how housing and in particular housing led regeneration can assist in increasing incomes in areas of deprivation.	
Appraisal Group Comments	
Appraisal Group Members recommended that housing and health should be better linked to the 'Pathways to Work Programme' to enable people to access opportunities more readily	
Policies for Consideration	
Potential areas for further policy development include reference to the RES, in particular the objectives set out in the People and jobs section of the strategy. This sets out a range of issues needed to be addressed to achieve greater accessibility to employment including the development to job linkages, growth of local employment in areas remote from growth in addition to existing successful areas. It also considers the need to improve the health of workforces and the need to respond to an aging population and the implications this has for the economy.	
In addition, in relation addressing the requirements of Rural Proofing the North West Regional Rural Delivery Framework (www.gos.gov.uk/497468/docs/276882/400859). Reference should also be made to policy RDF2 of the RSS which deals with Rural Areas	
RHS Author Response	