



Document title	Guidance for implementation of criteria for evaluation of new actions at BSAP UP workshops
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Background

A set of common criteria has been developed to evaluate the proposals on tentative new HELCOM actions, collected via synopses. These criteria are to be applied coherently across the BSAP UP workshops. The criteria have been developed by the HELCOM SOM Platform and endorsed by the Gear Group.

Prior to the BSAP UP workshops, the HELCOM Working Groups have carried out a technical review of the synopses and an analysis of gaps and overlaps in comparison with existing HELCOM actions. This review forms a basis for the workshops and is included in document 2-1 and 2-1-Att.1.

This document includes a general overview of the process regarding the new actions for the updated BSAP and specific guidance for how to implement the evaluation criteria at the workshops.

Action requested

The workshop is invited to assess the proposals on new actions using the 'Criteria for evaluation of new actions'.

Guidance for implementation of criteria for evaluation of new actions at BSAP UP workshops

Background

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Prior to the BSAP UP workshops, the HELCOM Working Groups have carried out a technical review of the synopses and an analysis of gaps and overlaps in comparison with existing HELCOM actions. This review forms a basis for the workshops and is included in document 2-1 and 2-1-Att.1.

In HELCOM the term 'actions' is used in a broad sense to refer to the agreements of the current BSAP, Ministerial Declarations and HELCOM Recommendations. HELCOM actions include both actions that have a concrete effect on the environment (henceforth referred to as measures) and actions that are needed in order to e.g. support the implementation or identification of a measure (henceforth referred to as supporting actions). The categorization into measures and supporting actions (step towards measure, research, monitoring/data/assessment, knowledge sharing) is done by the Working Groups in the technical review phase. While all proposed new actions, both measures and supporting actions, will be considered and discussed at the workshops, the main focus will be on the evaluation of proposed new actions with the potential to reduce pressures or improve the state of the environment, i.e. those actions that have a measurable effect in the marine environment (measures). For those proposed actions that are categorized as measures, full evaluation criteria will be utilized and a qualitative summary will be developed. For the other proposed actions, the evaluation will be limited to the qualitative summary, including supporting reflections and justifications.

Finding the final formulation for the proposed new actions will not be a priority at the workshops. At a later stage, it is foreseen that the proposed measures may have to be reformulated to a more general shape to fit the update of the BSAP to allow for regional adoption at political level of the updated BSAP and national implementation. The same applies to situations where an action is needed by a third party. Such deliberations will take place by Working Groups and HELCOM HOD after the workshops.

This document includes a general overview of the process regarding new actions for the updated BSAP and specific guidance for how to implement the evaluation criteria at the workshops.

Steps of selecting new actions for the updated BSAP and links to the SOM process

The process for selecting new measures consists of three main steps, of which step two will be implemented at the workshops. The outcome of the workshops should provide a qualitative evaluation of possible new measures and their assessment based on the technical review by Working Groups and application of the evaluation criteria. No selection of the measures should be made at this time, but the qualitative summary of the evaluation should state if the proposed action is supported and prioritized by the workshop or not, with justification from the evaluation. The outcome of the workshop will be presented to HELCOM Working groups that will continue the deliberation and formulation of new actions for the updated BSAP throughout 2020.

In advance of the workshops, additional supporting information has been collated:

- a) Results of the sufficiency of measures (SOM) analysis and analysis of how well the proposed new actions address the gaps that have been identified in the SOM analyses.
- b) Identification of the component of the DPSIR chain the proposed measure targets.
- c) Estimates of the effects of the proposed new measures by linking them to measure types used in the SOM analysis where possible, and by assessing their effectiveness using the data collected for the SOM

analysis (based on synopses, expert surveys, literature reviews, and project outputs). The format of the estimates depends on the availability of the information.

Also, the applicability of the proposed actions for a regional agreement will be analysed prior to the workshops.

Step 1 has been implemented by HELCOM Working Groups and the results are included in document 2-1-Att.1. This step has focused on the technical feasibility and soundness of the proposals. No synopses have been omitted in this step, unless they are overlapping with existing measures or merged to another overlapping synopsis.

Step 2 will be implemented by BSAP UP workshops and involves the application of common criteria to analyse and assess the proposed new measures. This step aims to provide supporting information for the potential inclusion of measures in the updated BSAP. The workshops should be carried out from a scientific point of view and not consider policy related issues.

Step 3 will involve cost-effectiveness analysis of possible new measures and will be conducted by the HELCOM ACTION project with support from the HELCOM SOM Platform and topic teams. This analysis will be carried out in the autumn 2020.

The steps are outlined in Figure 1.

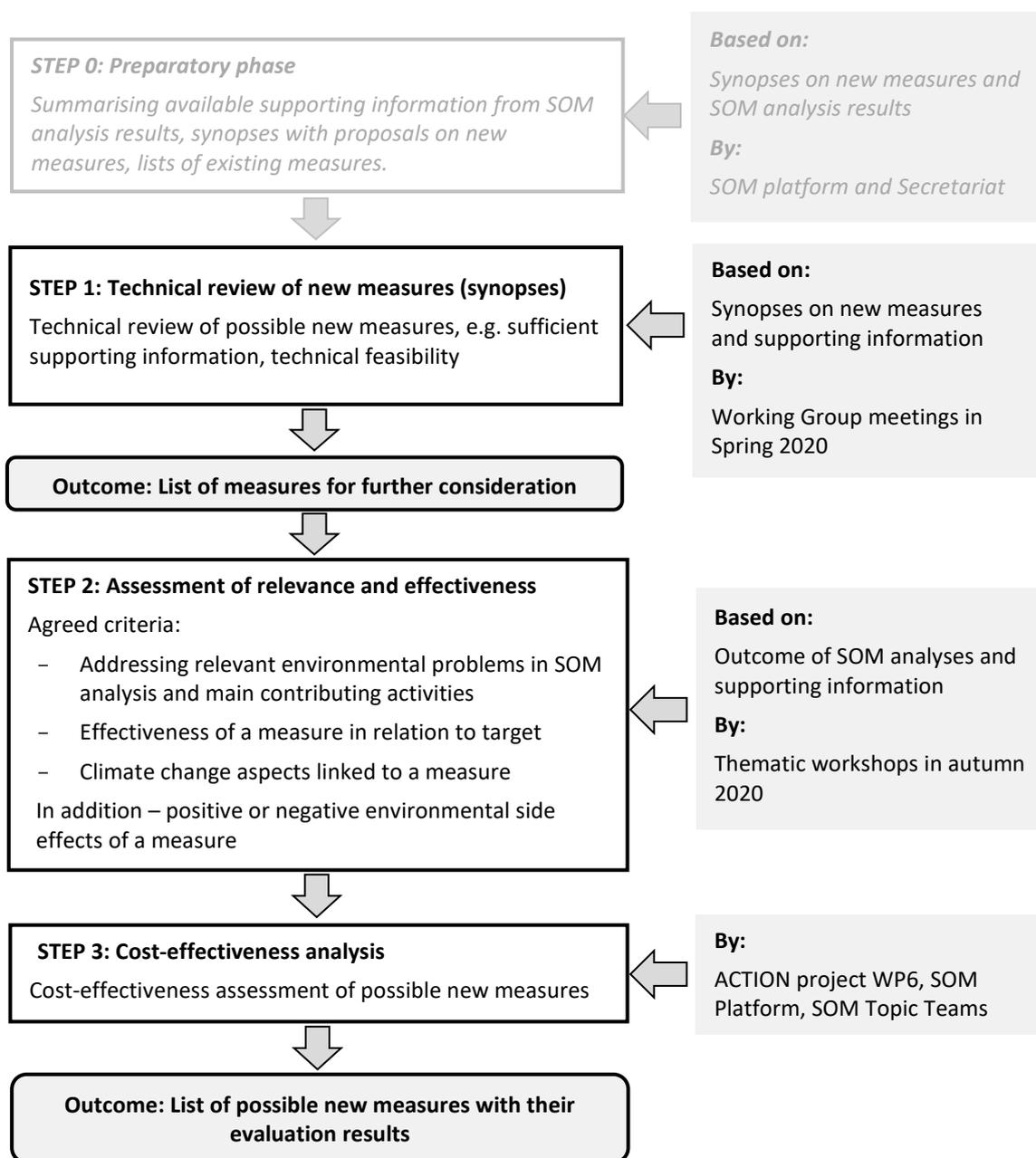


Figure 1. Proposed steps and criteria for the assessment of new measures for the BSAP update.

Criteria for evaluation

The following criteria for evaluation will be utilized for proposed new actions with the potential to reduce pressures or improve the state of the environment (measures).

- 1) Does the measure address relevant pressure and activities identified in the SOM analysis?

Information will be pre-filled on the pressures or state component(s) that the synopses are addressing. The task of the thematic workshops is to validate if the proposal addresses a gap identified in the SOM analysis (Yes/No/Not applicable).

- 2) What is the effectiveness of a measure in relation to target / objective? The positive environmental effect on the pressure/state component primarily targeted by a measure is considered here.

Descriptive and potentially quantitative information about the effect/effectiveness of a measure will be provided to the workshop, whenever available. The information will originate from the synopses on new actions or analyses made prior to the workshops. Since information of the effects of proposed measures may be limited, the step will likely also need to draw from the expertise of the participants. The task of the workshop is to review and complement the background information and use all of the information available to make an expert-based qualitative assessment (High-Moderate-Low) of the effectiveness. "Not assessed" is, however, also an option if it is considered that there is not enough information for the assessment.

The following aspects could be taken into account when assessing the effectiveness of measures:

- extent/intensity of application, e.g. actors/actor groups targeted, proportion of areas targeted
- geographical scale of application, e.g. local, basin-scale, entire Baltic Sea region
- environmental effectiveness (to reduce a pressure or improve state).

- 3) Does the measure have an effect on or is it affected by climate change?

Evaluate if (i) the proposed measure is likely to have a positive effect on climate change mitigation/adaptation (Positive/No impact/Not assessed), (ii) climate change could have an impact on reducing the effectiveness of the proposed measure (Yes/No). Climate change aspects should be described in the evaluation only if they are considered relevant/significant.

In addition, comments on positive or negative environmental side effects could be provided for those measures for which they are considered relevant, i.e. if a measure has a (i) significant positive environmental "side" effect on other than the targeted pressures/state components and/or wider environment; (ii) significant negative environmental side effects. These side effects should be assessed separately from the effectiveness of the measure in relation to the primary pressure/state component it targets and would only be described for those measures for which they are significant.

Guidance for qualitative summary of the assessment

The qualitative summary is developed both for measures and supporting actions. The qualitative summary should include an overall assessment of the proposed measure/action. It should clearly indicate whether the workshop supports including the proposed action in the updated BSAP or not, and if it is supported, whether it is a prioritized measure or not. The workshop can categorize some actions that are supported as prioritized actions, if they are considered to be particularly important for the updated BSAP.

For measures, the summary should provide a short justification for why it is supported/prioritized, considering all the evaluation criteria, potential complementing information provided at the workshop, as well as the results of the technical review and other prior analyses.

For supporting actions, the summary should include relevant reflections on the action and an assessment whether the action is supported and prioritized or not, with short justification, based on the potential complementing information provided at the workshop, as well as the results of the technical review and other prior analyses.

If the proposed measure/action is not supported to be included in the updated BSAP in the formulation contained in the synopsis but could be considered with alterations, a short description on how to address the shortcomings of the synopsis and modify it to a suitable action could be included in the summary.

Annex 1. Template for evaluation of synopses in BSAP UP workshops as agreed by SOM Platform via correspondence.

From technical review by Working Groups						BSAP UP workshops, application of criteria					
Action	Category	New/Existing actions	Substantiation of action	Technical feasibility	Gaps in proposal	Addressing SOM gaps	Effectiveness of measure	Mitigation of climate change impacts	Impact of climate change on effectiveness of measure	Positive/negative environmental side effects	Qualitative summary
	Measure, Step towards measure, Research, Monitoring/Data/Assessment, Knowledge sharing	New action/ Partly covered by existing action/ Entirely covered by existing action	Low/ Medium/ High	Low/ Medium/ High	Yes/No	Selecting from Drop-Down-list with SOM gaps; Yes/No/Not applicable	Descriptive (and quantitative if available) information; High/ Moderate/ Low/ Not assessed	Descriptive (and quantitative if available) information explaining the impacts (where relevant); Impacts on climate change mitigation/adaptation Positive/ No impact/ Not assessed	Descriptive (and quantitative if available) information explaining the impacts (where relevant); Could climate change have an impact reducing the effectiveness of a measure Yes / No	<u>Where identified relevant</u> Descriptive (and quantitative if available) information	Descriptive Supported/ Not supported Prioritized/ Not prioritized