



---

<b>Document title</b>	Analyses of sufficiency of measures for the BSAP update
<b>Code</b>	3-6
<b>Category</b>	DEC
<b>Agenda Item</b>	3 - Update of the Baltic Sea Action Plan
<b>Submission date</b>	12.11.2018
<b>Submitted by</b>	Executive Secretary
<b>Reference</b>	

---

## Background

According to the Strategic plan for the BSAP update, agreed by HOD 54-2018, an analysis of sufficiency of measures should be carried out to support the selection of new and strengthened HELCOM actions. The analysis is proposed to be based on business-as-usual (BAU) scenarios (cf guidance for the BSAP update, document 2-6 Rev1, HELCOM 39-2018). Such scenarios describe how the state of the marine environment would change over time due to the future changes in marine uses and the implementation of measures impacting the marine environment and they can be used to identify a gap to good environmental status.

To support such analyses HOD were invited, intersessionally, to consider the establishment of an *ad hoc* Expert Group on analyses of sufficiency of measures (EG SOM) to be put in place as a temporary support to the BSAP update.

The following Contracting Parties provided feedback in the intersessional HOD consultation: Sweden, Finland, Estonia, Denmark, EU. All of these CPs have in general supported the establishment of the expert group and the proposed ToR (with some comments to it).

At the working level (Pressure 8-2018) feedback from some countries was received (**Annex 1**), including one country pointing to a difficulty to appoint additional experts to the proposed EG SOM.

The following clarification could be provided as to the proposed composition of the expert group. The expert group is to be based on the existing HELCOM ESA (social and economic analysis) network, national technical experts on the topics to be addressed by the group (such as experts already represented in HELCOM Working and Expert Groups), and of the Chairs of HELCOM Working Groups. The expert group is also open for other nominated representatives of the Contracting Parties (e.g. national focal points for the BSAP update). The rationale for establishing the group is further detailed in the document.

After the draft ToR for EG SOM was circulated to HOD on 3 September, and a further developed ToR on 3 October 2018, the Secretariat has been informed that the HELCOM ACTION project application has passed the first evaluation step. The application was submitted in response to the EU call for projects to support cooperation on measures to reach a good environmental status of the marine environment (cf. HOD 54-2018, paragraphs 3.21-3.25). The project proposal, summarized in document 3-5, will evaluate the effectiveness of measures related to by-catch of mammals and birds, impacts on the seafloor (primarily from fishing but not exclusively), MPAs as a conservation and protection measure, and eutrophication. For these topics BAU scenarios and analyses of sufficiency of measures will be carried out as part of the project implementation. This means that the tentative new expert group can focus its work on complementary topics to the ACTION project, e.g. hazardous substances, non-indigenous species, marine litter, underwater noise, and biodiversity topics not covered by the ACTION project. Prioritization of the work effort for those

topics could take place by identifying already from the onset that some topics, e.g. with limited data availability, are more suitable for an expert-based evaluation rather than a data driven approach.

To reflect the new developments the draft ToR for EG SOM has been updated as included in Attachment 1.

The Strategic Plan for the BSAP updated identifies GEAR a responsible for planning the work on sufficiency of measures (see document 3-1, activity 5) and the task was discussed at GEAR 19-2018 as reflected in **Annex 2**.

### Action requested

The Meeting is invited to:

- confirm and approve establishment of the *ad hoc* Expert Group on analyses of sufficiency of measures (EG SOM) and approve its ToR,
- agree that hazardous substances, non-indigenous species, marine litter, underwater noise, and biodiversity topics not covered by the ACTION project, are possible additional topics for analyses of sufficiency of measures,
- take note that a Lead Country approach has been outlined for the implementation of SOM analysis for topics that are complementary to the ACTION project, and inform the Secretariat ([ullali.zweifel@helcom.fi](mailto:ullali.zweifel@helcom.fi)) of interest and possibility to lead the work on these topics, fully or partially, by 15 January 2019,
- take note that a Lead Country approach has been outlined for the development of syntheses to support the BSAP update and countries are invited to propose topics for such syntheses by 15 January 2019 and inform Secretariat on possibilities to lead the work.

## Business as usual scenarios in brief

The use of thematic BAU scenarios as a basis for analyzing sufficiency of measures includes briefly the following steps as depicted in Figure 1:

- collection of information on measures and their level of implementation,
- collection of information on the effectiveness of the measures,
- compilation of information on projections of the development of human activities over the time-scale of the BAU (end point of BAU still to be agreed),
- implementation of a 'linkage framework' to estimate the effect of measures and human activities on pressures,
- the information above will build up to the BAU scenario i.e. the projected status of the environment by a specific point in time if no further measures are taken,
- the projected status is compared to GES, defined through HELCOM core indicators, or pressure targets e.g. HELCOM indicator on MAI/CART,
- this information leads up to a gap analysis, i.e. how far are we from reaching GES?

The results will thus identify a tentative need for new or strengthened actions. EG SOM and HELCOM Working Groups (see Figure 2) would use the results as a basis when proposing new or strengthened actions for the BSAP update.

A proposal for the approach has been presented to and discussed by the GEAR Group ([GEAR 18-2018, document 4-3](#)). The approach is to be fine-tuned by the HELCOM ESA network and tentative HELCOM ACTION project for use in the BSAP update. Under the condition that the HELCOM ACTION project is funded the themes to be considered by EG SOM are hazardous substances, non-indigenous species, marine litter, underwater noise, and biodiversity topics not covered by the ACTION project

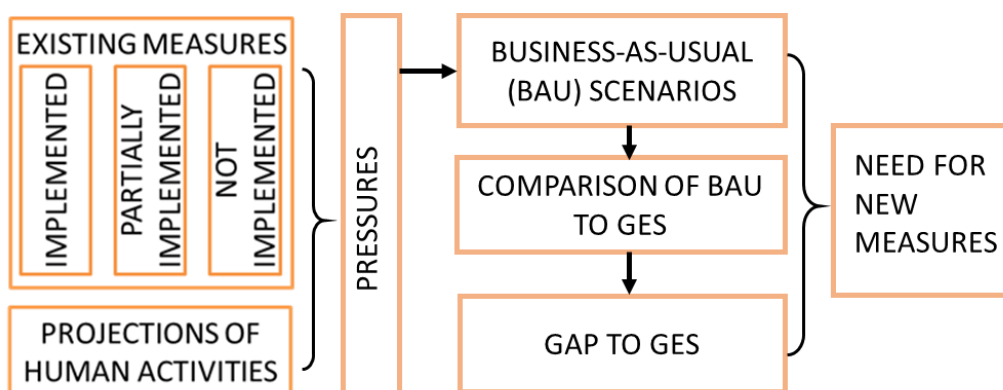


Figure 1. Key steps of analysing sufficiency of measures based on BAU scenarios.

## Rationale for establishing EG SOM

Earlier on, HELCOM 39-2018 decided to establish a task force to carry out the BSAP update, without yet specifying the role nor mandate of such a task force.

HOD 54-2018 considered the proposed Terms of Reference for the BSAP update task force and took note of the view by the Contracting Parties that the role, the composition, chair and the operation of the proposed task force need to be clarified. Furthermore, HOD 54-2018 in general supported the idea of carrying out the analysis of sufficiency of measures via an interdisciplinary platform.

Based on the intersessional work and feedback from the Heads of Delegation, the Secretariat has prepared a proposal for Terms of Reference for an ad hoc expert group on sufficiency of measures.

The proposal to establish EG SOM has several motivations:

1) To create an interdisciplinary platform. Development of BAU scenarios requires involvement of different expertise (natural scientists, environmental economists and expertise on policies and their implementation) in a joint work process. The required expertise is to a large extent already available within HELCOM but experts are working in separate groups.

2) To ensure that a coherent and structured approach is used across topics and provide for a balanced input for decisions by HOD on new actions.

3) To make sure that best available knowledge is synthesized to support selection of new HELCOM actions. The ToR for EG SOM includes the task to synthesize existing knowledge that could support the update of the BSAP, e.g. on the effectiveness of existing and potential new measures, available projections on development of human activities, etc. Such syntheses would be purpose-made for the BSAP update with the aim of being easy to communicate in the HELCOM working structure and with information in a format that can be used as an input to the analyses of sufficiency of measures.

4) To create opportunities for carrying out the required analyses in a cooperative manner. The development of BAU scenarios is a task that requires that experts have dedicated time and resources for the task, i.e. it is not a task that can be carried out only via workshops or existing meetings in the HELCOM working structure.

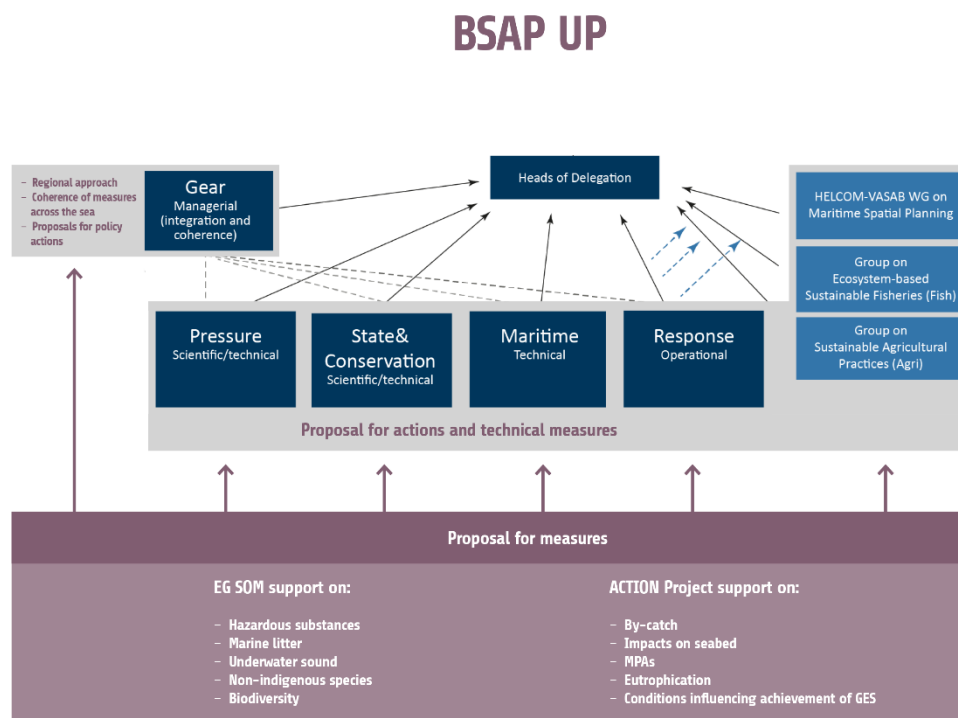


Figure 2. Outline EG SOM and the tentative HELCOM ACTION project in the HELCOM working structure.

Figure 2 outlines how EG SOM and the ACTION project fit in the HELCOM working structure. EG SOM and ACTION project would work closely together and use the same approaches. The ongoing work would be reviewed by HELCOM Working Groups and the results would be supplied for further consideration by Working Groups e.g. through workshops and Working Group sessions. GEAR would specifically guide the BAU analyses, according to the mandate of the group, towards a coherent regional approach.

EG SOM is proposed to convene its first meeting in February 2019. The further details of the work and the arrangements are outlined in the draft ToR for EG SOM, **Attachment 1**.

### Resources needs for the planned work

Of the four tasks that have been outlined in the ToR for EG SOM two will require substantial work to support the BSAP update:

- Synthesize existing knowledge that can support the analyses and decision on new HELCOM actions,
- Carry out analyses of sufficiency of measures

A rough estimate of resource needs is the following:

- **Preparation of syntheses:** Time required to prepare a purpose-made syntheses to support the BSAP update may vary considerably. If experts are requested to synthesize results from projects in which they have participated (e.g. BONUS projects) it would possibly only require a few days. If however the topic will require to go through numerous articles or reports or to carry out computations, it is estimated that up to one month work may be required. Thus, the resources required for the syntheses will depend both on selected topics and expertise involved in the work.
- **Participation in the development of BAU/analyses of sufficiency of measures:** For these analyses a minimum 2 month contribution to the expert group has been estimated, whether for an ESA expert or a topical expert. If an in-depth analysis is to be carried out for a topic like hazardous substances, where several different substances and activities will need to be considered, the resource requirements may be even higher. If on the other hand it is decided to take a less in depth approach for some topics, e.g. to base sufficiency of measures analyses for some topics on an expert-based approach, the resource need will be lower.
- **Participation in EG SOM meetings:** Participation in EG SOM should also estimate for circa three physical meetings during 2019-2020. The work will otherwise mainly take place intersessionally and via correspondence.
- **HELCOM thematic workshops.** Such workshops foreseen to be held in 2020 to discuss potential new measures based on the results. These workshop would involve a broader participation of HELCOM experts. Participation in workshops will require time for preparation (consider workshop documents in advance) and attendance for 1-2 day workshops.

The draft ToR of EG SOM indicates a Lead Country approach for the analyses of sufficiency of measures (cf. "working method"). All countries however are requested to be ready to supply available information to support the analyses, e.g. to supply national information on effectiveness of measures. The task is thus still a team effort that would be coordinated through EG SOM, including to ensure support from ESA expertise. Offers for Lead could also be for partial analyses.

Also for the preparation of syntheses a Lead Country approach is proposed. The draft syntheses will then be reviewed through the HELCOM working structure. In this regard GEAR 19-2018 agreed that the Secretariat will prepare a list of proposed topics for the synthesis to GEAR by mid-December 2018 and that countries can propose complementary topics by mid-January 2019. This date has been set so that the list of proposals can be ready for the proposed first meeting of EG SOM in February 2019 as indicated in the draft ToR.

## Attachment 1. Draft ToR for an ad hoc HELCOM expert group on sufficiency of measures (HELCOM EG SOM)

(the same amended version as circulated to HODs on 3 October 2018, except for clarifying additions highlighted in yellow and deletions with strikethrough)

The purpose of the group is to support the update of the HELCOM Baltic Sea Action Plan (BSAP) with regard to analysing sufficiency of measures to reach HELCOM objectives and targets, and to support identification of new actions (cf. activities 5 and 6 of the Strategic Plan for the BSAP update). Prioritized topics for the work of the EG SOM are to be identified by GEAR 19-2018 and decided by HOD 55-2018. The first meeting of the group will be held in February 2019.

The EG SOM will:

- Summarize existing knowledge that can support decision on HELCOM actions
- Identify need for collection of information on other measures than those agreed in HELCOM (for some topics possibly through ACTION project)
- Further develop the regional BAU/sufficiency of measures approach under the guidance of GEAR and for approval by HOD (possibly through ACTION project)
- Plan for regional BAU/sufficiency of measures for the prioritized topics for which a quantitative approach might be taken and for other topics for which an expert based evaluation is required or more suitable
- Carry out analyses of sufficiency of measures
- Make proposals on new actions based on analyses of sufficiency of measures and on synthesizing existing information on effectiveness of potential new measures
- Possibly, towards end of process, carry out analyses of cost-effectiveness of proposed new actions.

### 1) Syntheses of knowledge:

Time-line: February 2019 – December 2019

The work will start from synthesizing existing knowledge to support the regional analysis of sufficiency of measures and the identification of potential new HELCOM actions to be included in the updated BSAP (cf. page 3, Strategic Plan for the BSAP update). The syntheses could focus on potential new measures and their effectiveness, conservation approaches and impacts of climate change, and are anticipated to build e.g. on results of recent BONUS projects.

Task of EG SOM

- Identify for which of the prioritized topics that existing syntheses can be used to support the BSAP update and for which topics that new purpose-made syntheses should be developed.
- Develop instructions for carrying out the syntheses e.g. structure, content, type of information to be collected, indicative length.

The Task of EG SOM is to be carried out at the kick-off meeting. Contracting Parties will be invited to offer the lead for preparing the synthesis. The syntheses will be reviewed by relevant EGs and WGs.

### 2) Collection of information on existing measures:

Time-line: January – September 2019

HELCOM actions only represent part of the actions taken to mitigate pressures on the Baltic Sea. To support the analysis of sufficiency of measures a compilation of additional measures implemented through other policy requirements is needed (cf. Activity 4c in the Strategic Plan for the BSAP update). The collected information, together with information on the level of implementation of HELCOM agreements, will be used for establishing the regional BAU scenario (item 3).

Task of EG SOM:

- Identify relevant additional policies and propose how to carry out the collection of information on other (than HELCOM) existing measures and their level of implementation (cf. Activity 4c in the Strategic Plan for the BSAP update)

The task will be carried out at the kick-off meeting. The collection of information could be supported by a dedicated staff at the Secretariat. Contracting Parties will be offered to review and complement the information.

### **3) Establish a business as usual (BAU) scenario for the purposes of the BSAP update.**

Timing: February 2019-end 2019

The analysis of sufficiency of measures will build on the regional BAU approach. BAU describes how the state of the marine environment would change over time due to changes in marine uses and implementation of the existing policy frameworks with an impact on the marine environment and can be used for assessing the sufficiency of planned measures for achieving HELCOM objectives and targets i.e. to estimate a potential gap between BAU and good environmental status.

The work on this task will build on the EU-funded HELCOM SPICE project deliverable “Development of a regional “business-as-usual” scenario (BAU) to be used as a baseline in the integrated assessment of the marine environment”. The report was presented to GEAR 18-2018, commented by CPs, and the next step will be to propose how the regional BAU work can be taken forward within HELCOM.

It is foreseen that the analysis of effectiveness of existing measures, which is part of the BAU analyses, may for some topics be based on a quantitative approach and that such analyses will require extended time (months) in order to collect required data and carry out the analyses. For other (most) topics an expert based evaluation will likely be the most practical approach considering lack of existing information on effectiveness of measures as well as time constraints.

Task for EG SOM:

- Further develop the regional BAU approach under the guidance of GEAR and for approval by HOD (tentatively through ACTION project), considering the use of both quantitative and expert-based approaches,
- Carry out the BAU scenario for prioritized topics to support analyses of sufficiency of measures.

The further development of the BAU approach should take place during spring 2019 and analyses are to take place by the end of 2019. Work could be organized in smaller interdisciplinary groups and Contracting Parties will be invited to allocate time of experts appointed to the group.

### **4) Carry out analyses of sufficiency of measures to reach HELCOM objectives and targets (cf. Activity 5 and 6 in the Strategic Plan for the BSAP update).**

Timing: late 2019- mid 2020

Analyses of sufficiency of measures will build on the regional business as usual (BAU) scenario for the purposes of the BSAP update. The first step in the planning of work on sufficiency of measures will be carried out as part of the preparation of the BSAP update Work Plan, to be taken up at GEAR 19-2018. This is to be followed by the planning in the SOM project group.

Task for EG SOM:

- Plan for and carry out thematic workshops to discuss and conclude on the need for additional measures.

- Provide information to support the identification of new measures, .e.g. through synthesising information on effects of potential new measures, and make proposals on new actions based on analyses of sufficiency of measures and on synthesising existing information on effectiveness of potential new measures. Such proposals could e.g. be based on reviewing the list of measures implemented in the respective countries.

The analysis of sufficiency of measures will involve working/expert groups e.g. joint workshop arrangements. The analyses of sufficiency of measures may will also generate proposals on potential new or complementary HELCOM actions that could fill gaps towards the goals of the BSAP.

Tentatively, towards end of process, carry out analyses of cost-effectiveness of proposed new actions. **This would require that the work of EG SOM is extended until end of 2020.**

#### 5) **Any other tasks as may be decided by the HELCOM Heads of Delegation.**

##### Working method

The EG SOM is of an ad hoc character, meaning it has a time limited mandate. It will be established as soon as decided by HODs and finish its work by **mid-2020**.

The group will include expertise in environmental economy and natural scientists. The group will consist of:

- the HELCOM network on social and economic analysis (ESA network); HODs should ensure their representatives in the ESA network are nationally assigned this new task;
- experts assigned to the work by the countries in their lead country role or contributing role;
- chairs and vice-chairs of HELCOM working groups (WGs) and relevant expert groups (EGs) will be invited to become members of the group;
- WGs and relevant EGs will be invited to co-organize and join thematic workshops;
- CPs (HODs) are invited to nominate any additional experts as they deem appropriate, **including technical experts e.g. from the existing working and expert groups and** including for kick-off meeting and thematic workshops.

Secretariat will evaluate the situation and communicate with HODs on any additional need for expertise in the group. The aim is to ensure sufficient expertise for all areas prioritized for the analysis.

Participation in EG SOM is open to HELCOM Observers.

The group will act as an interdisciplinary platform to harmonize the approach on analysis of sufficiency of measures, particularly for topics where an expert based evaluations will be used.

Contracting Parties will be invited to offer resources for **preparing syntheses and** carrying an analysis i.e. take up the leading role, assign national experts or institutes, and provide funding to the HELCOM budget.

The Secretariat and BSAP update Project Manager will support the work of the EG SOM. The EG SOM will utilise physical meetings and intersessional and online interaction. It will elect a chair and a vice-chair at its kick-off meeting.

The expert group will communicate its proposals and results to WGs in line with the mandates of the WGs. The specific role of the Working Groups will be to provide guidance to the EG SOM on how to carry out the analyses, support the collection of required data for analyses, review the results before submission for consideration by HODs.

Progress of work under EG SOM will be regularly reported to HODs.

Administrative support to the EG SOM will be provided by the Secretariat.



## Annex 1 – Extract from Outcome of Pressure 9-2018

- Pressure 9-2018 took note of the presentation on the Strategic Plan and Work Plan for the update of the Baltic Sea Action Plan (doc. 3-1, Annex 1 and Annex 2) as presented by the Secretariat (Presentation 1). The expected contribution by HELCOM Working Groups stemming from the agreed activities in the strategic plan were also presented. The aim is to utilize the existing expertise of the HELCOM groups in the BSAP update, under the guidance of the Heads of Delegation.
- The Meeting noted that analysis of sufficiency of measures (SOM) will be carried out as part of updating the BSAP, in particular to support selection of new actions, as agreed by HELCOM 39-2018. To support the planned analyses a HELCOM Expert Group on Sufficiency of Measures (EG SOM) is under consideration, the Terms of Reference to be adopted at HOD 55-2018.
- The Meeting took note of the view of Germany that while the presented SOM approach is logical, it is also over-ambitious. Furthermore, Germany pointed out that for topics such as eutrophication the necessary expertise and knowledge to formulate new measures already exists within the Pressure WG. The Meeting also noted the view of Russia being against establishing a new group, due to the fact that there are limited possibilities to involve additional national experts in the HELCOM work on SOM.
- The Meeting took note of the view of Denmark that the overall work plan approach is found manageable although very tight, but a more detailed plan for the contribution from Pressure WG is desired, including to agree on the role of associated expert groups and to identify the tasks that will be addressed at future meetings of the Pressure WG.
- The Meeting took note of the information by the Secretariat that one of the main purposes of the EG SOM is to develop a similar and structured method and approach to identifying needs for new or strengthened measures across the HELCOM working structure. The Contracting Parties will be invited to nominate experts to EG SOM, and the nominations are expected to draw from existing HELCOM expertise, including Pressure WG and associated EGs. Prioritization of topics to be covered by the analysis of sufficiency of measures will be proposed by the GEAR Group, as needed, which is closely linked to the question of available resources.

## Annex 2 - Outcome of GEAR 19-2018 and next steps, extract

- 
- The Meeting considered the proposal to carry out BAU scenarios as a basis for the analyses of sufficiency of measures on topics complementary to the ACTION project and supported in general the approach presented in **document 3-3** and **Presentation 4**.
- The Meeting noted the proposal by Germany to use the ESA network as basis for the analyses complemented with thematic workshops to identify new actions. The Meeting took note of the clarification by the Secretariat that the analyses that are required to carry out BAU scenarios, as outlined in document 3-3, require substantial work and are not possible to accomplish through workshops.
- The Meeting discussed the challenges with using the BAU approach highlighting that there will be gaps in quantitative data, in particular on effectiveness of measures. The Meeting noted that qualitative and semi-qualitative approaches can be employed in case quantitative data is missing and that such approaches have been used at a national level. The Meeting took note of the proposal by the EU to consider the approaches that have been used in the development of EU MSFD PoMs and that are summarized in the national reports from the EC.
- The Meeting discussed the resource requirements and feasibility to carry out BAU/analyses of sufficiency of measures for topics complementary to the ACTION project and the potential need for prioritization of topics for the analyses. For the complementary topics a lead country approach was proposed. The Meeting noted that a definition of desired status (threshold values) is available for hazardous substances and non-indigenous species, which will facilitate the analyses. These two

topics also coincide with two of the major pressures on the Baltic Sea according to the State of the Baltic Sea report. The Meeting further noted that while indicators and threshold values for marine litter and underwater noise are prioritized for further development in HELCOM they are not likely to be ready for use in the BSAP update analyses i.e. by autumn 2019. Biodiversity was identified as a difficult topic to address through the proposed approach since it will require one further step of estimating impacts in the causal chain from measures to status.

- Contracting Parties were invited to share their ideas with the Secretariat ([ullali.zweifel@helcom.fi](mailto:ullali.zweifel@helcom.fi)) on how to structure the analysis of the complementary topics by **30 November 2018** with the aim to develop the proposal further together with the Secretariat. The Meeting noted that Sweden will make an initial contribution on the topic of hazardous substances.
- The Meeting discussed the step of proposing new actions for the BSAP update noting that the analysis of sufficiency of measures ends at indicating a tentative gap to GES. The Meeting noted the view of Sweden that a methodology for proposing new actions should be considered, for example by evaluating where in the DPSIR that measures are most effective. The Meeting took note that in the ACTION project analyses of cost-effectiveness will be carried out to support the selection of new actions. The Meeting took note of the view of Denmark that analyses of cost-efficiency should also be carried out for topics complementary to the ACTION project. The Meeting noted the view by Germany that if costs are considered, also benefits should be taken into account. Germany expressed the view to limit the analysis to identifying gaps and scope for new measures, while cost effectiveness and cost-benefit analysis for proposed new measures should be discussed in a separate activity. The Meeting took note that the purpose of cost-efficiency analyses is to develop a set of measures that are least costly but still sufficient to reach GES. The Meeting took note of the view of the Chair of the ESA network that to evaluate cost and benefits for each measure is not purposeful.

The full discussion on the analysis of sufficiency of measures is found in paragraphs 3.15-3.26 in the [Outcome of GEAR-19-2018](#).