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| Document title | Criteria for evaluation of new actions |
| Code | 5-1 |
| Category | CMNT |
| Agenda Item | 5 - Preparation of thematic BSAP UP workshops in spring 2020 |
| Submission date | 3.3.2020 |
| Submitted by | Secretariat |
| Reference | |

Background

HELCOM SOM Platform 2-2019 (see [Notes from SOM Platform 2-2019](#), 4.7) agreed to develop criteria for the consideration of new actions for the updated BSAP. The criteria will be applied at the BSAP UP thematic workshops that will be held in May 2020 (see separate meeting document).

The criteria have been developed by Latvia and Sweden in consultation with the national contact points of the HELCOM SOM Platform. HOD 57-2019 took note of the development of the criteria and agreed that they should be endorsed by the GEAR Group via correspondence before implementation at the BSAP UP workshops (Outcome para 3-15). The document was submitted to GEAR contacts on 27 January with tacit approval by 14 February 2020. Denmark and Germany affirmed the endorsement of the criteria and provided suggestions as included in Annex 1.

Annex 2 includes the criteria document as it was submitted to the GEAR Group. This full document describes also the discussions leading up to the criteria and some reflections on what was excluded. For purpose of the BSAP UP workshops the document is proposed to be converted into a succinct guidance as indicated in document 5-2.

Action requested

The Meeting is invited to:

- take note of the endorsed criteria for evaluation of new actions at BSAP UP workshops
- consider the suggestions by Denmark and Germany.

Annex 1. Criteria for evaluation of proposed new actions at the BSAP UP workshops

| Comment from Germany through endorsement by GEAR: | Comment by secretariat |
|--|---|
| <ul style="list-style-type: none"> - It could be useful to clarify for the assessment of measures that measures which address several pressures at one time or have multiple positive impacts (e.g. including terrestrial ecosystems or human health) could be cases for prioritisation. | <ul style="list-style-type: none"> - This could be reflected in the more specific guidance to the implementation of criteria at the BSAP UP workshops (see separate meeting document) |
| <ul style="list-style-type: none"> - Should technical feasibility be taken into account in the assessment? | <ul style="list-style-type: none"> - This will be addressed through the technical review by WGs and the outcome will be available to the workshops |
| Comment from Denmark through endorsement by GEAR: | |
| <ul style="list-style-type: none"> - We recommend that the selected list of new measures/actions are going to be presented for HoDs in a commenting-document in June 2020, and that this sentence reflects that process. | <ul style="list-style-type: none"> - It is proposed that the outcome of the workshops is included in a CMNT document to HOD with a request in line with: “take note of the outcome of workshops and guide the further deliberation of proposed new actions that will take place by HELCOM Working Groups”. |
| <ul style="list-style-type: none"> - With regard to Step 1: “The working group meetings would be tasked to look at the gaps highlighted in the SOM analysis (as available), and whether synopsis proposals can close these gaps”. We still find this part unclear. Will WGs only be presented of the gap analysis on existing actions or also a gap analysis with the proposed new actions. If not, then it will be hard to see if the gaps will be closed. | <ul style="list-style-type: none"> - The Working Groups will finalize the review of existing HELCOM actions before or at the same meetings as the technical review of synopses. Thus, the Working Group will have a complete overview of existing actions when reviewing the synopses. Results from the SOM analysis will however not be ready in time for (most) Working Group meetings. Thus, this “gap analysis” as part of WG meeting will be general, identifying any major gaps in relation to major focus areas of HELCOM work. |

Annex 2. Proposal on criteria for evaluation of new actions as endorsed by GEAR

(document endorsed by the GEAR Group by 14 February 2020)

Background

As part of the SOM platform meeting 2-2019 (see [Notes from SOM Platform 2-2019](#), 4.7) it was agreed that jointly agreed criteria for the consideration of new actions for the updated BSAP will be important to support the planned BSAP UP thematic workshops that will be held in May 2020 (for further background to the workshops, see e.g. GEAR 20-2020, document 4-1). HOD 57-2019 took note of the development of the criteria and agreed that they should be endorsed by the GEAR Group via correspondence before implementation at the BSAP UP workshops (Outcome para 3-15).

The criteria have been developed by Latvia and Sweden in consultation with the national contact points of the HELCOM SOM Platform. This document presents the fourth version of the criteria for assessment of new measures¹ for the BSAP update. It outlines the overall approach for preparation and assessment of new measures (section 1) and provides the proposal on criteria to be used in thematic BSAP update workshops (section 2).

At HELCOM SOM Platform 3-2020, taking place 24-26 March 2020, Helsinki, further preparations for the BSAP UP workshops will take place including to define supporting analyses and background material to be prepared prior to the workshops.

The GEAR Group is invited to endorse the criteria and general approach as presented in this document by 14 February 2020 (jannica.haldin@helcom.fi). No response by this date will be considered as tacit approval. GEAR 22-2020 will be informed on the outcome of SOM Platform 3-2020 and the further developed plans for the BSAP UP workshops.

1 Introduction

The SOM Meeting 2-2019 (4.8) supported the three-step approach to prepare new measures for the updated BSAP, including an initial technical review by Working Groups (WG), the application of criteria for consideration of new measures at the thematic BSAP update workshops (the criteria themselves were not agreed at the meeting), and the evaluation of cost-effectiveness of new measures. Figure 1 outlines this approach.

The specific content of each step and links with the SOM process will be further developed through the SOM platform. No selection of the measures would be made as part of these steps. The outcome will provide a list of possible new measures and their assessments (according to the criteria in Step 2 and cost-effectiveness analysis in Step 3). Based on the outcome of the thematic workshops (in May 2020) the Working Groups will make the first proposals on new actions for the updated BSAP to HOD.

¹ Explanation on what is meant with new HELCOM actions and measures is provided in Annex 1.

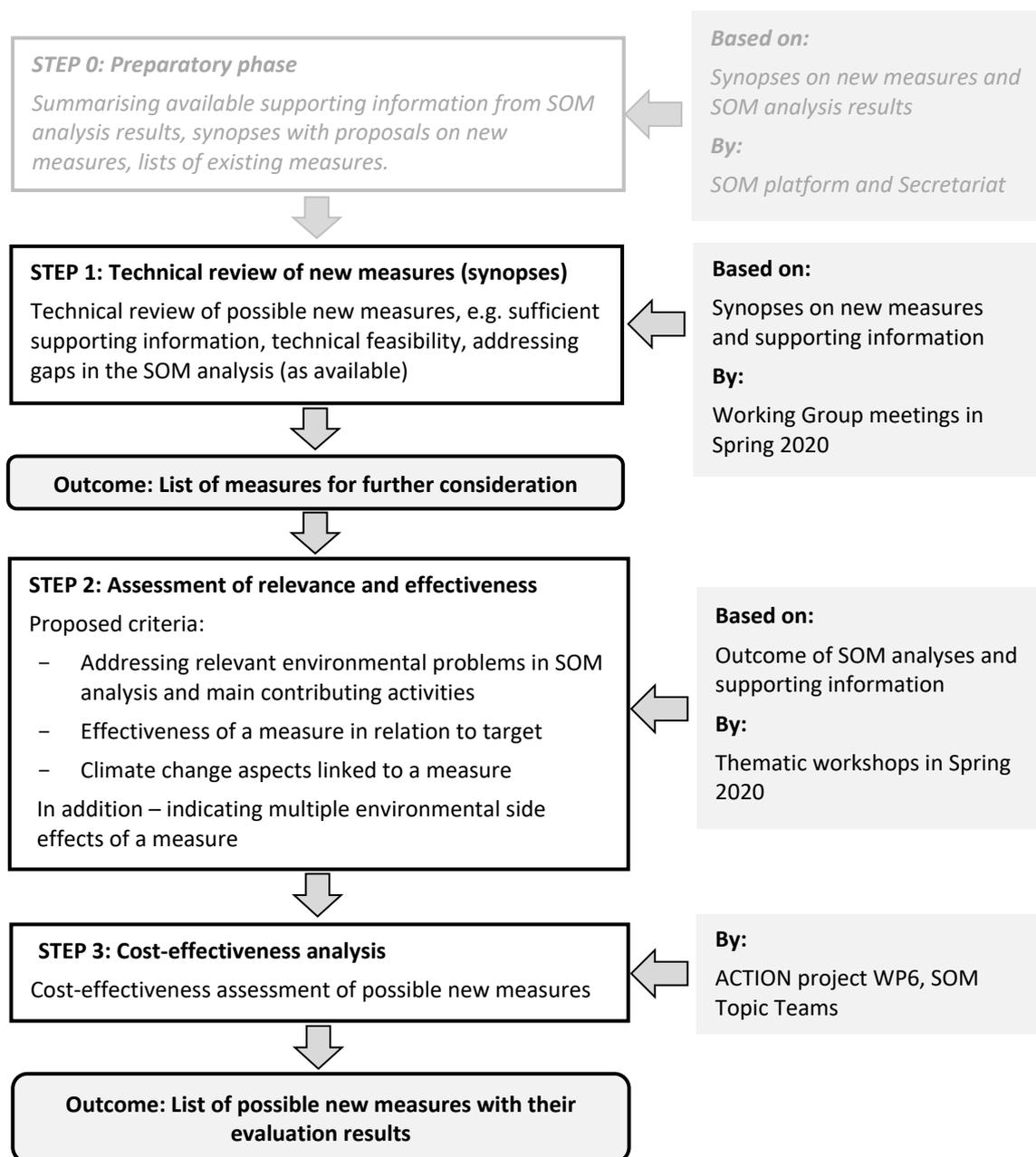


Figure 1. Proposed steps and criteria for the assessment of new measures for the BSAP update.

The **preparatory phase** will be implemented by the SOM Platform and Secretariat in advance of the Working Group meetings and thematic workshops, and would aim to summarise relevant available information to be used as input for Step 1 and Step 2. The information will come from initial results of the SOM analyses, the synopses with proposals on new actions, lists of existing measures on national, regional and global level.

Step 1 will be implemented by HELCOM Working Groups, and it would focus on a technical review and substance of the possible new measures provided in synopsis. The working group meetings would be tasked to look at the gaps highlighted in the SOM analysis (as available), and whether synopsis proposals can close these gaps. Working groups should also investigate if the proposed actions could be realized/implemented at a technical level. The review should document the conclusions and motivations to whether a proposal is recommended for further consideration (e.g. that there is sufficient information/supporting scientific evidence, the measure is technically feasible), including, could propose additional measures for the SOM gaps where new measures are missing.

Step 2 will be implemented by Thematic BSAP UP workshops in May 2020 to analyse and assess the proposed new measures, based on a set of agreed criteria, considering the outcome of the SOM analysis and WG meetings. This step would aim 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. The updated proposal for the criteria used in this step is provided in the next section.

Step 3 will involve cost-effectiveness analysis of possible new measures and would be conducted by ACTION project considering also input from SOM topic teams.

2 Updated proposal on the criteria for assessing new actions in Step 2

Basis for the updated proposal on the criteria

This is the fourth updated proposal on the criteria, and it is developed based on the agreements at the SOM platform meeting 2-2019 ([Notes from SOM Platform 2-2019](#)) and considering further comments received from countries after the SOM platform meeting and for the previous versions of the document.

At the SOM platform meeting 2-2019:

(4.8) The Meeting **agreed** that jointly agreed criteria for the consideration of new actions for the updated BSAP will be important to support the planned thematic workshops and that such criteria should be presented for consideration by HOD 57 2019. HOD 57-2019 took note of the development of the criteria and agreed that they should be endorsed by the GEAR Group.

(4.11) The Meeting **agreed** that the role of criteria is guidance to provide a qualitative description at the thematic workshops while also requesting a qualitative summary indicating priority of the actions (e.g. high-medium-low).

The Meeting proposed to use a qualitative approach (4.17) and the criteria should be used to provide a qualitative evaluation of the measure (4.12).

Concerning specific criteria that could be included the Meeting noted (4.12):

- All criteria should be concrete and not overlap with other criteria
- The list of criteria should be reasonably short
- Effectiveness of measures should be one of the criteria assessed at the thematic workshops
- Different views were expressed whether costs should be a criterion for the thematic workshops
- Evaluation of multiple environmental effects of measures should consider both negative and positive environmental effects
- Climate change aspects could be considered separately
- Analyses made prior to the workshops can clarify if the proposals match the main gaps according to the results of the SOM analysis and/or the main activities contribution to pressures
- Relevance for HELCOM, i.e. if the measure is best suited for implementation by a third party, is required for purpose of the BSAP update and could be assessed prior to the workshops but should not be used as a criterion at the thematic workshops
- Different views were expressed as to whether to use socio-economic impacts as a criterion during thematic workshops or as a consideration in the cost-effectiveness analyses.

Updated proposal on the criteria

The proposed list of the criteria is developed based on the following considerations:

- The role of the thematic workshops is to make a more thorough review of the lists of proposed measures, considering the outcomes from the SOM analysis and WG meetings. The resulting analysis and qualitative assessment of the measures from the thematic workshops will be considered for further deliberation by HOD and HELCOM Working Groups.
- The criteria should be used to provide, as much as possible, a qualitative assessment (e.g. high-medium-low) of important aspects of measures to support future prioritisation.
- Combining the assessments for criteria, in particular based on some scoring system, was not supported by many countries. If more than one criterion is used, the ranking/prioritisation would require combining assessments for the criteria, meaning that some kind of approach for taking together these assessments would be needed, i.e. to state if a measure is of High-Medium-Low priority. .
- When the criteria involve information which is out of the scope of synopses, it needs to be made clear how the background information and assessments will be prepared.

It is proposed to include the following criteria for the assessment of measures in Step 2:

1. Addressing relevant environmental problems and relevant activities identified in the SOM analysis.
Answers from a Drop-Down-list would be pre-filled marking the environmental problem(s) identified in the SOM analysis a measure addresses (by Step 0 and Step 1). Task of the thematic workshops would be to validate this (Yes/No) assessment.
2. Effectiveness of a measure in relation to target / objective (positive environmental effect on the pressure/environmental theme primarily targeted by a measure is considered here).
Exact definition of the effectiveness applied in the assessment will be further clarified by SOM platform in the process of preparation of the BSAP UP workshops.
Descriptive (and, if available, quantitative) information about the effect/effectiveness of a measure could be pre-filled based on the synopses. Task of the thematic workshops would be to review and complement this information as well as provide the qualitative assessment (High-Moderate-Low effectiveness). Also a “Not assessed” option is considered if there is not enough information for the assessment. Any information available from the SOM work could be used as a source here.
3. Climate change aspects.
Such information is not expected from the synopses, however, there is support from some countries to consider these aspects in the criteria. An assessment could be developed by the Working Groups and thematic workshops, specifying for those measures where these impacts are identified relevant (i) if there is a positive impact on mitigating climate change impacts, or (ii) climate change could have a negative impact reducing the effectiveness of a measure. Potentially, dialogue is needed with the submitters of the Synopsis for further advice.

In addition, comments on relevant positive or negative environmental side effects could be provided if a measure has (i) a significant positive environmental “side” effect on other than the targeted pressures/environmental themes and/or wider environment; (ii) significant negative environmental side effects. It is not clear for now to what extent such information would come from the synopses. Comments could be provided for the measures, where these impacts are identified relevant, by the Working Groups and the thematic workshops. Keeping these side effects separately from the targeted effect (in the criterion 2) would allow transparency of the effectiveness assessment.

Note that costs are not proposed as the criterion in this updated version. If the role of the thematic workshops is mainly seen to provide assessments of measures, and taking into account that the HECOM ACTION project will provide assessment of the costs, results from both would form a basis for selection of

measures later. However, countries are still invited to provide their opinions if the costs should be considered as the criterion for the thematic workshops.

The table below illustrates a possible summary of the assessment of measures, which could be the outcome from Step 2 workshops and would provide supporting information for the selection of measures later.

Table 1. Illustration for possible summary on the assessment of measures.

Notes:

The table could also include information (for each measure) from the preparatory step (e.g. addressed target, pressure, activity/sector). What is presented here is the information concerning the assessment of the measures.

It is proposed to include in this summary also descriptive (and, if available, quantitative) information in relation to the assessments, which would summarise the background information for the qualitative assessment (or would be the only information, where the assessment is not made). The specific format for the output of the workshops will be agreed at SOM 3- meeting (planned item on the agenda).

| Title of measure | (1) Addressing SOM gaps | (2) Effectiveness on target/ objective | (3) Climate change aspects | Comments on positive or negative environmental side effects |
|------------------|--|---|--|---|
| | Selecting from Drop-Down-list with SOM gaps; Assessment: addressing the gap(s) Yes / No | Descriptive (and quantitative if available) information; Assessment: High / Moderate / Low / Not assessed | Descriptive (and quantitative if available) information explaining the impacts; Assessment: Positive / Negative / No impact or Not assessed | <u>Where identified relevant</u> Descriptive (and quantitative if available) information |
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Annex 1: What is meant with new HELCOM actions and measures for the BSAP update

‘HELCOM actions’ is used as a broad term to refer to agreements of the current BSAP, Ministerial Declarations and of HELCOM Recommendations. ‘HELCOM actions’ thus comprise direct measures to improve the Baltic Sea as well as knowledge enhancing activities and strategic decisions. While the Baltic Sea Action Plan is foreseen to include actions in this broader sense, the SOM analysis is focused on measures to improve state of the Baltic that have a concrete effect. The need for such measures will be identified through the synopses and SOM analysis, and proposals for new measures can be rather specific (measures), or rather general, as long as there is a clear link to the improvement in the environment. The SOM analyses will include a step where an assessment is made of the sufficiency of measures with the new proposals included (i.e. BAU + new measures). This means that at this stage of the analyses all type of measures with an anticipated measurable effect, also those to be implemented nationally or by third party, need to be considered. Note that the proposed criteria in Step 2 would only apply to such measures.

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 i.e. 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. A discussion on actions suitable for the update of the BSAP, and their formulation, will therefore also be needed, including considerations of competency and suitability of actions on a regional level (efficiency, priority etc.).

Also, the updated BSAP will include existing measures not yet fully implemented and other commitments which do not qualify as a hard measure in the sense of the SOM-activity, and other actions which are precursors for hard measures (e.g. commitments to draft recommendations, to establish communication, to influence other regional/EU/international processes where HELCOM has no direct mandate). The proposed criteria in Step 2 would not be applied for such proposals on new HELCOM actions.