DECIVIL
DEPARTAMENTO DE ENGENHARIA
CIVIL, ARQUITETURA E GEORRECURSOS
TÉCNICO LISBOA

Área Científica de Sistemas Urbanos e Regionais
Master in Engineering and Management of Innovation and Entrepreneurship
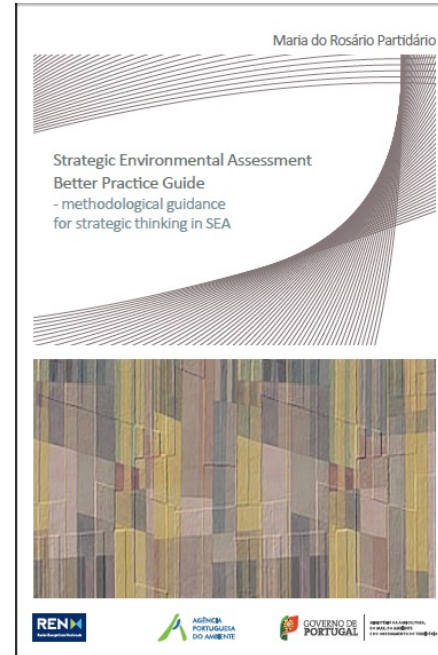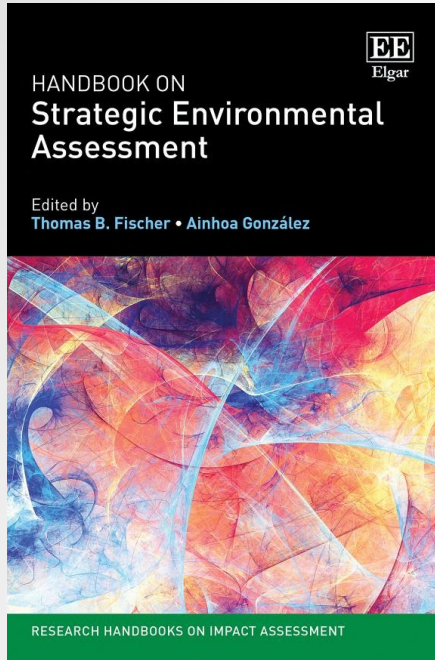Master in Environmental Engineering
Avaliação Ambiental Estratégica / Strategic Environmental Assessment
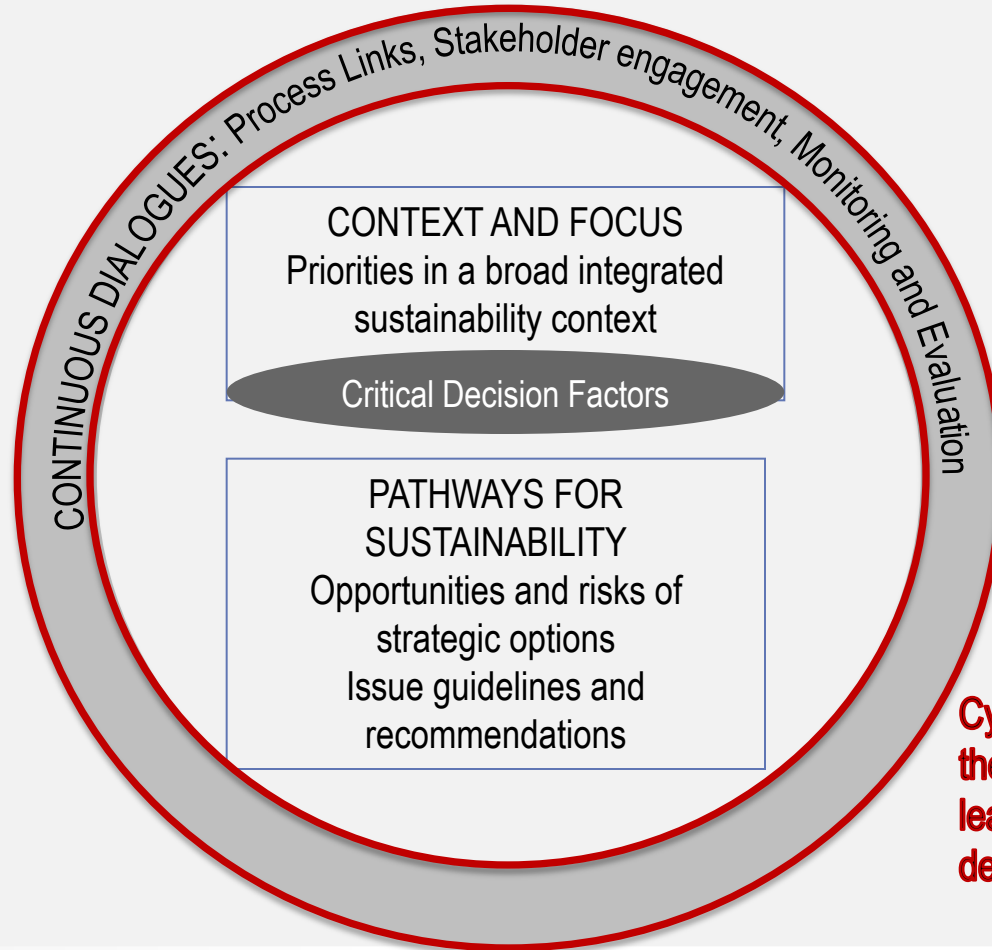
Follow-up in SEA, monitoring and evaluation
Continuous stage in ST4S

Prof. Doutora Maria do Rosário Partidário

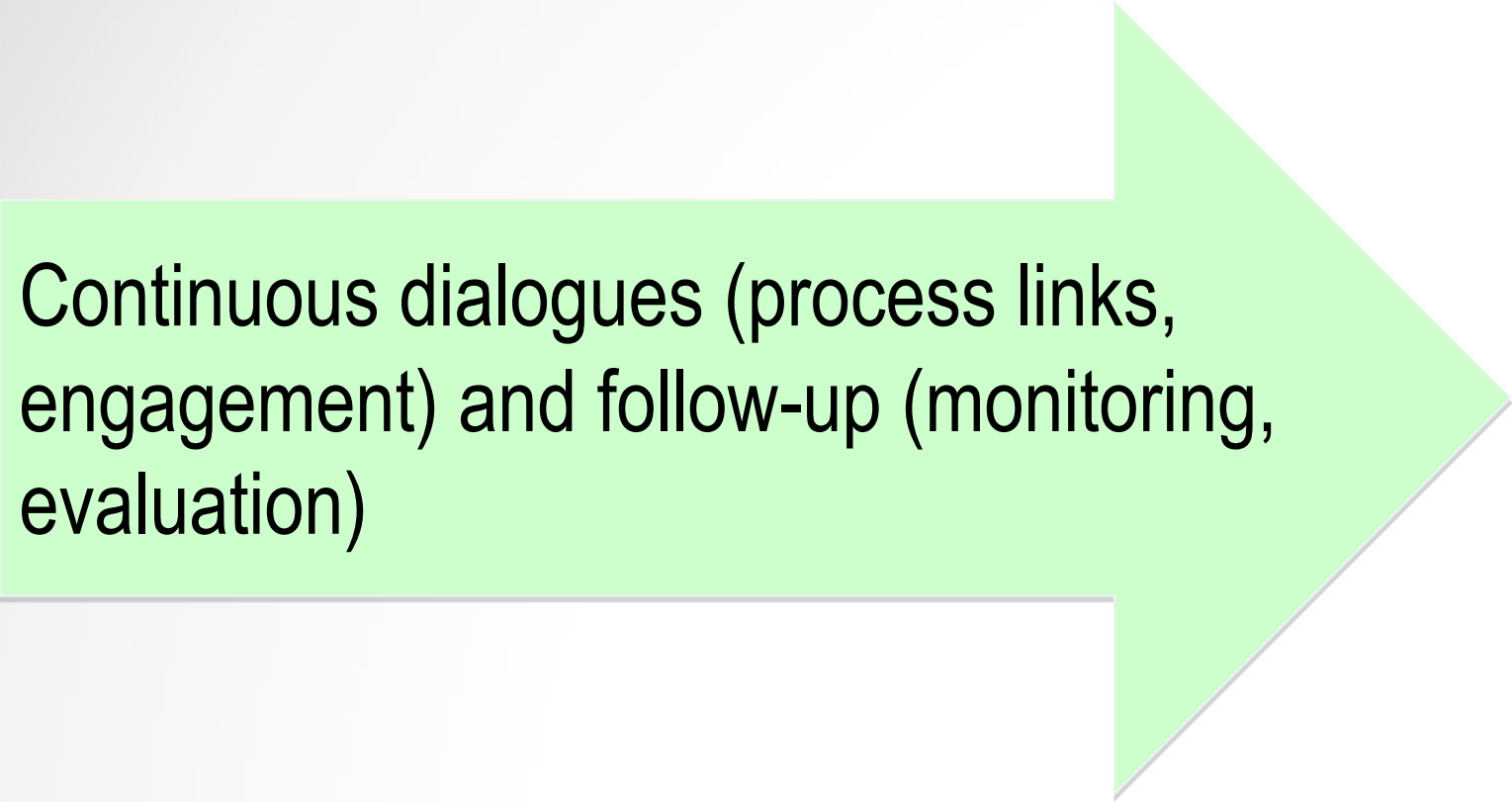# Bibliography

ST4S - Creating contexts for sustainable development

CONTINUOUS DIALOGUES: Process Links, Stakeholder engagement, Monitoring and Evaluation

CONTEXT AND FOCUS
Priorities in a broad integrated sustainability context

Critical Decision Factors

PATHWAYS FOR SUSTAINABILITY
Opportunities and risks of strategic options
Issue guidelines and recommendations

Cyclical re-assessment as the context change and learning takes place with development unfolding

*Strategic Environmental Assessment @   MRPartidário*

Continuous dialogues (process links, engagement) and follow-up (monitoring, evaluation)

Processes links means

Link terminology / concepts between PPP and SEA
Knowledge sharing and Information
Identifying decision points (decision windows)
Stakeholders engagement for both PPP and SEA
Communication strategy for both
Reporting (aligned)
Timeline (aligned)

Articulation of processes

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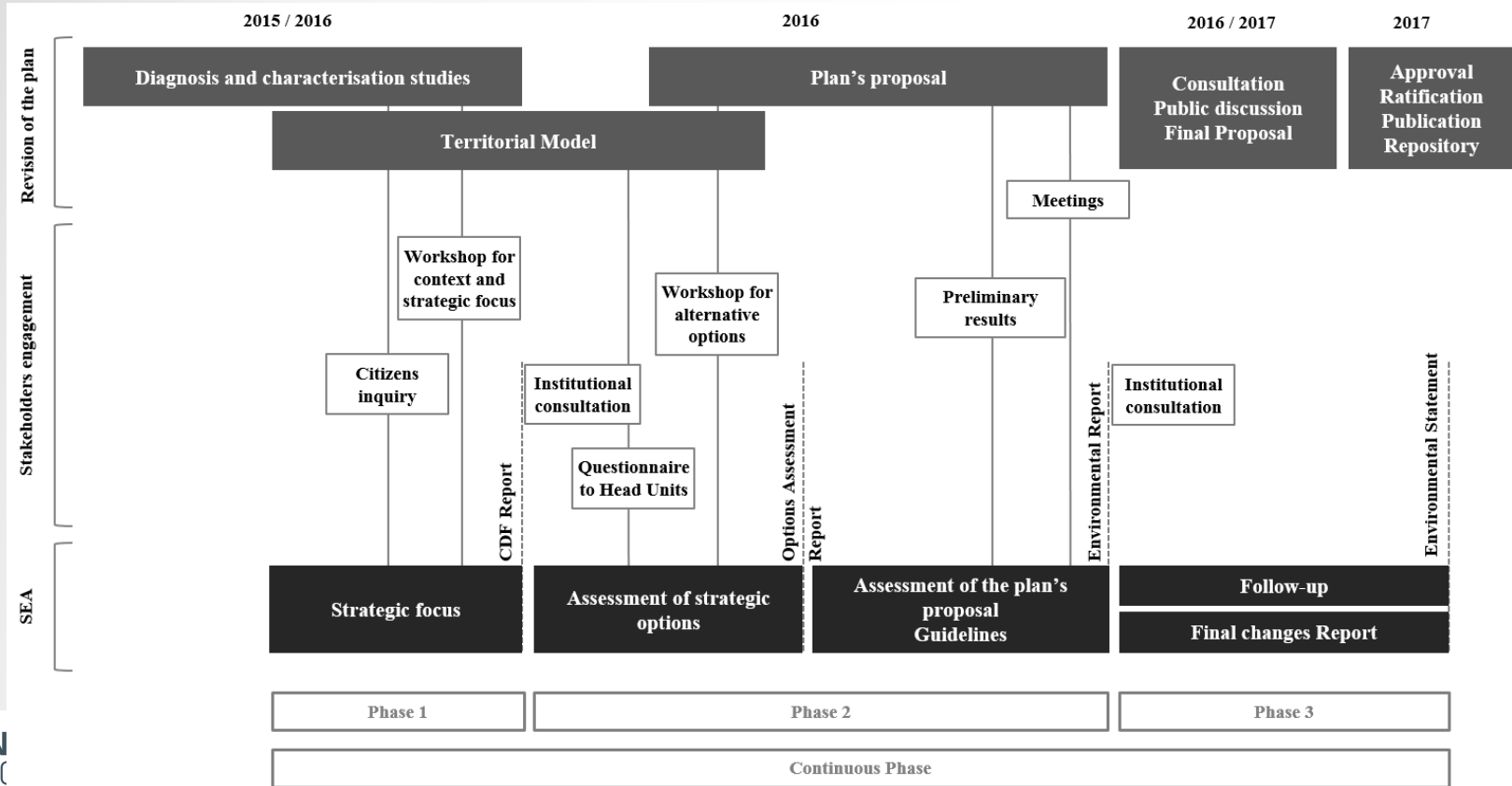
Engagement for creativity and governance

Techniques

Institutional analysis – look for intersectoral links and coordination.
Stakeholder analysis tools (power vs interest)
Stakeholders' perceptions
Public engagement practices
Participatory assessments to prioritize issues

(Partidário, 2007, 2012)
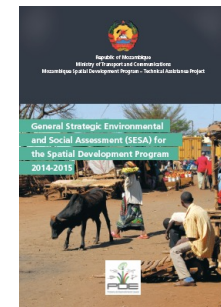
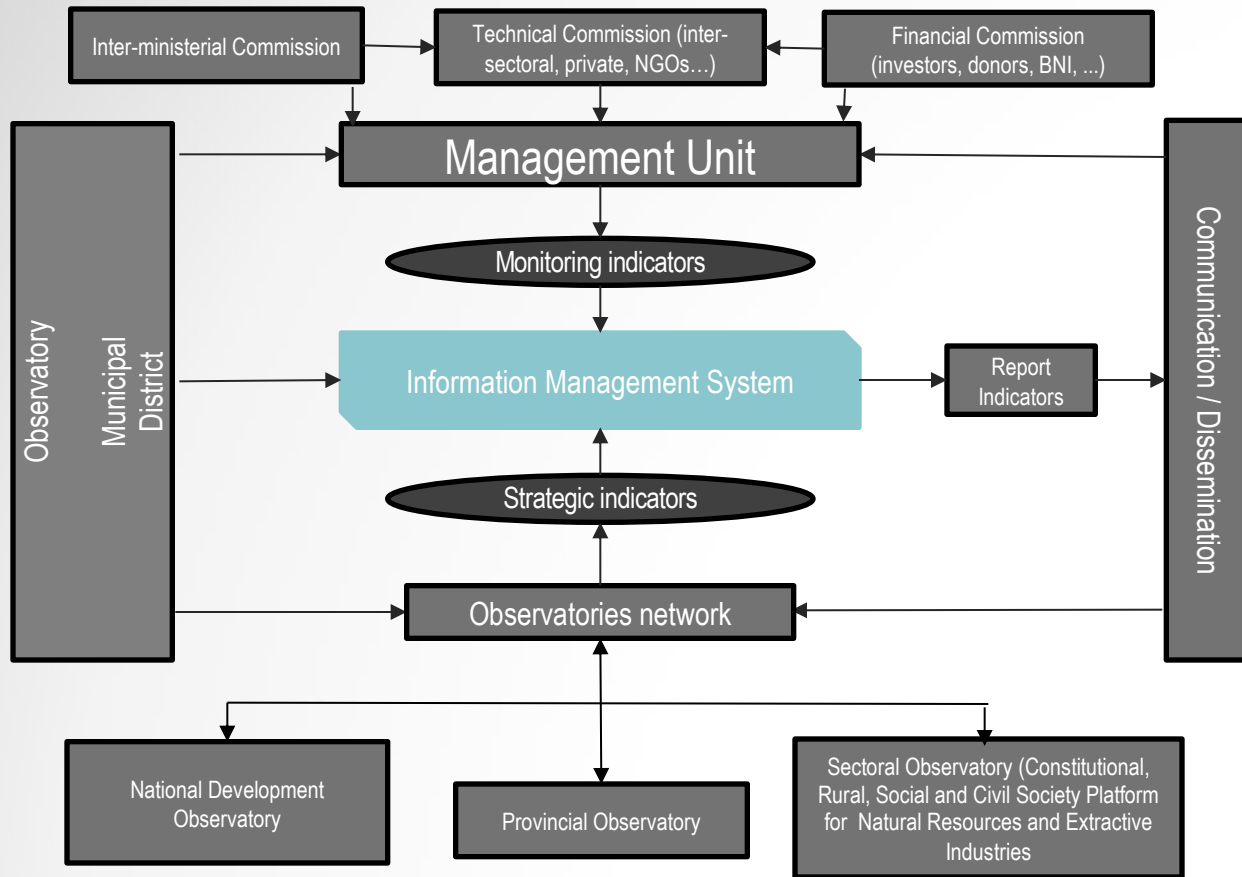# Follow-up: monitoring and evaluation

Techniques

Set mechanisms (institutional and technical) for continuous control through monitoring and evaluation

Create a database system to be systematically updated

Identify status as well risk or opportunities indicators

(Partidário, 2007, 2012)

Follow-up: monitoring and evaluation
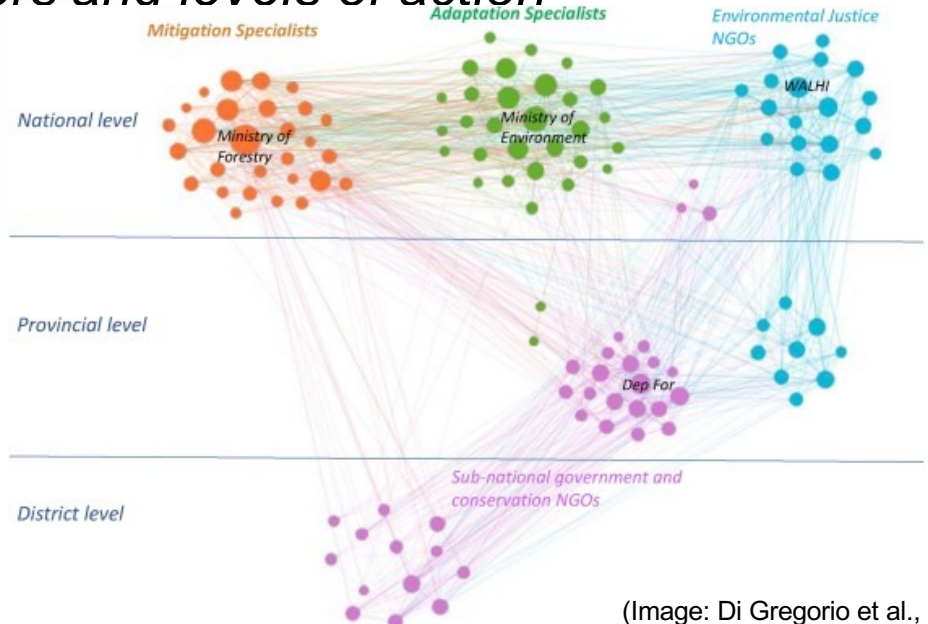
Governance is about how to make decisions

Creative SEA, a governance exercise based on capacity-building and collaboration

Governance in SEA = *steering in a situation with a plurality of interrelated challenges, actors and levels of action*

**"Multi-S"**
- Multi-Actor
- Multi-level
- Multi-Issues

(Image: Di Gregorio et al., 2019)

What is governance in the context of SEA and why is governance important for SEA?

Strategic dimension of analysis

- Opens up the possibility to elaborate on issues usually neglected in theory and practice
- Recognition of values, institutional settings, expectations, political/social motivations
- Ability to contribute to defining goals, setting priorities and making choices

Transition towards successful SEA

The "iron cage" of EIA
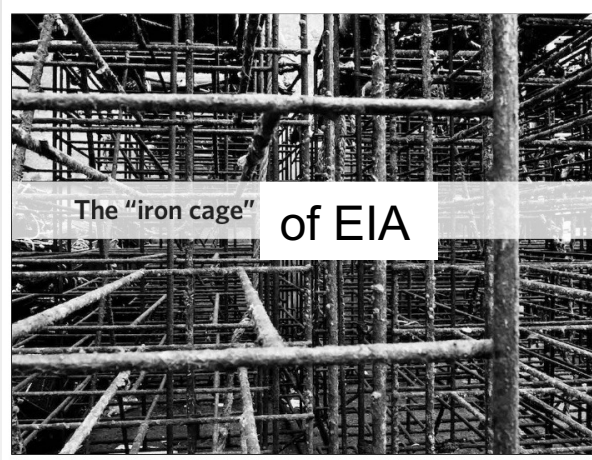
SEA locked in EIA technical rationality
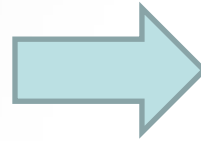
Creative SEA, a governance exercise based on capacity-building and collaboration

From impact assessment to strategic thinking

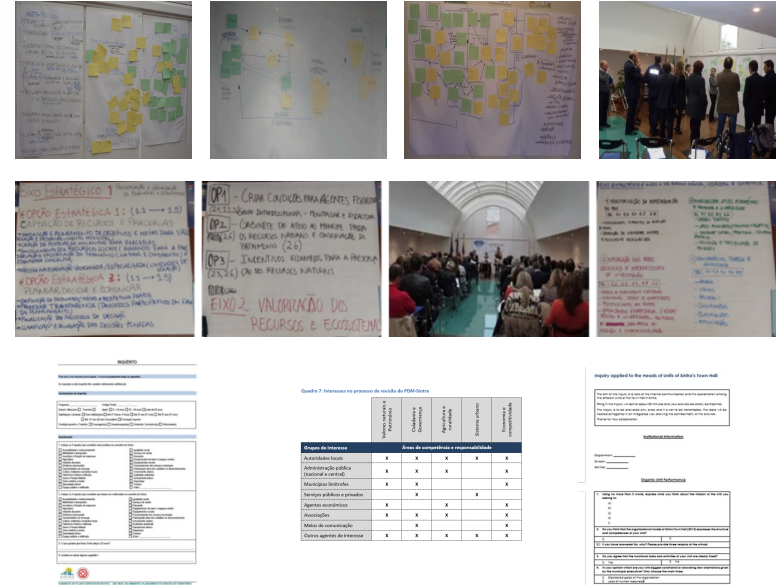## Creative SEA – Example for territorial planning:

QUESTIONNAIRE TO GENERAL POPULATION
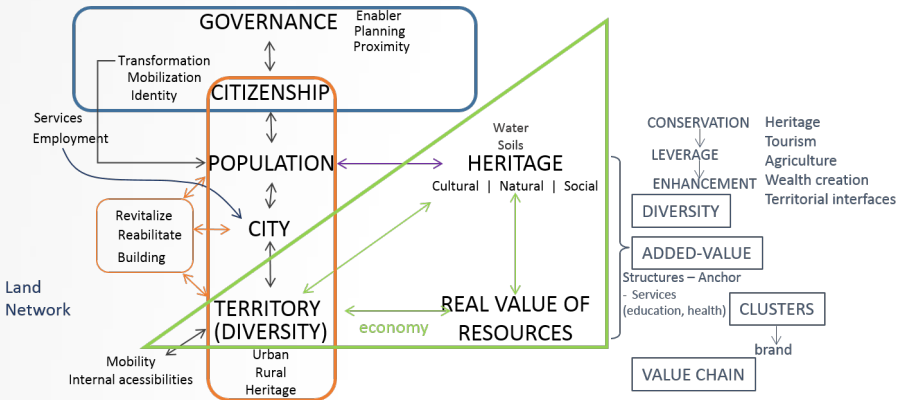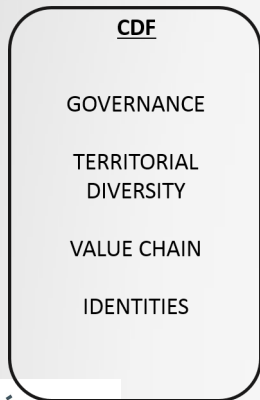
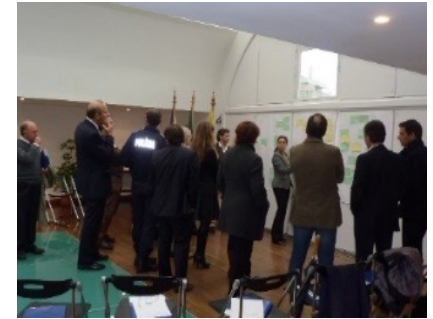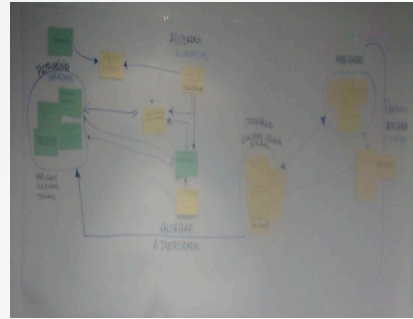WORKSHOP FOR CONTEXT AND STRATEGIC FOCUS

SEA GOVERNANCE FRAMEWORK

INQUIRY TO TERRITORIAL PLANNING COUNCIL

WORKSHOP OF STRATEGIC OPTIONS

- SEA functioned as a discussion arena (managed different expectations and worked as an empowerment tool).
- Different stakeholders shared their views and influenced the development of the strategy.
- SEA supported the creation of a sense of ownership towards the strategy.
- SEA helped to overcome, to some degree, uncertainty in terms of how the development context was prepared to deal with change, by identifying links between governance and planning actions.

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GOVERNANCE

TERRITORIAL DIVERSITY

VALUE CHAIN

IDENTITIES

GOVERNANCE — Enabler / Planning / Proximity

Transformation / Mobilization / Identity

CITIZENSHIP

Services / Employment

POPULATION

Revitalize / Reabilitate / Building

CITY

Land Network

TERRITORY (DIVERSITY)

Mobility / Internal acessibilities

Urban / Rural / Heritage

HERITAGE

Water / Soils

Cultural | Natural | Social

economy

REAL VALUE OF RESOURCES

CONSERVATION — Heritage / Tourism

LEVERAGE — Agriculture / Wealth creation

ENHANCEMENT — Territorial interfaces

DIVERSITY

ADDED-VALUE

Structures – Anchor
- Services
(education, health)

CLUSTERS

brand

VALUE CHAIN

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SEA assessment framework:

Governance	Diversity of the territory	Value chain	Identities
Municipal governance model	Urban	Mobilisation of economic agents	Investment in identity fators
Community proximity	'Saloia'	Products	Social network and citizenship
	Natural		
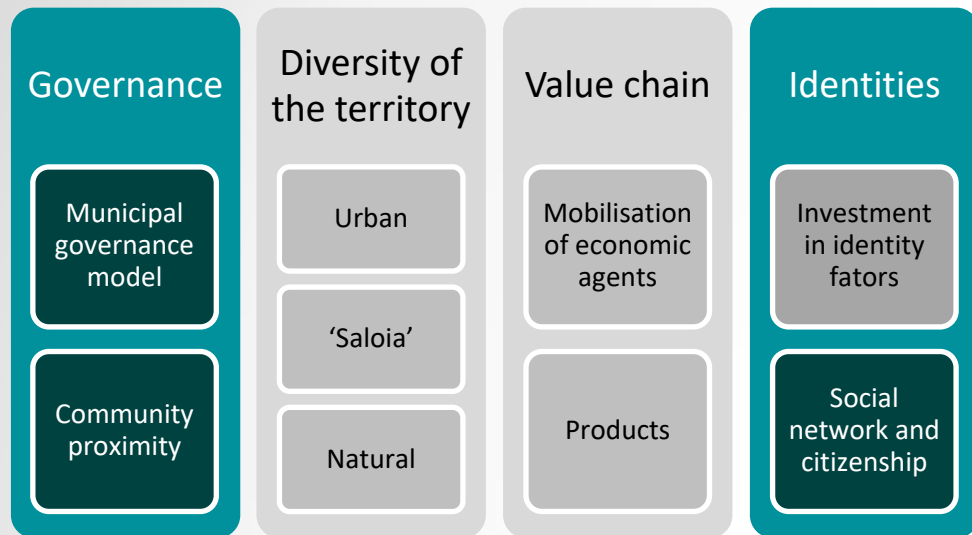
SEA governance framework:

- Identification of relevant actors.
- Identification of explicit responsibilities.
- Identification of the relationships bet

Quadro 7: Interesses no processo de revisão do PDM-Sintra

Grupos de Interesse	Valores naturais e Património	Cidadania e Governança	Agricultura e ruralidade	Sistema urbano	Economia e competitividade
	Áreas de competência e responsabilidade				
Autoridades locais	X	X	X	X	X
Administração pública (nacional e central)	X	X	X		X
Municípios limítrofes	X	X			X
Serviços públicos e privados		X		X	
Agentes económicos	X		X		X
Associações	X	X	X		X
Meios de comunicação		X			X
Outros agentes de interesse	X	X	X	X	X

Governance-inclusive SEA

May 2015: Workshop strategic options
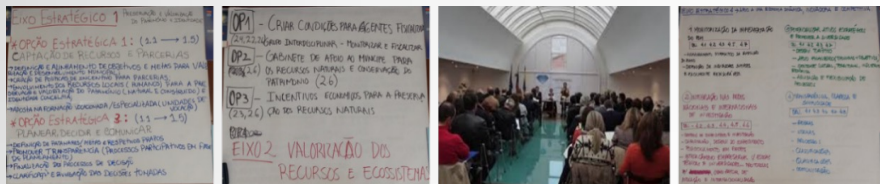
December 2015: Inquiry to the Head of Units Sintra's Council

Strategic axes and objectives
CDF
Trend analysis + SWOT

Key priorities

Description of options

INTRODUCTION → PRIORITIES → POTENTIAL OPTIONS → REFINMENT OF STRATEGIC OPTIONS → DEFINITION OF STRATEGIC OPTIONS

Baseline information

2 options per table
(max 8 per group)

4 strategic options
per group

Governance-inclusive SEA

The governance-inclusive SEA functioned as a **discussion arena**, helping to manage different expectations and work as an empowerment tool.

Different stakeholders **shared their view and influenced the development** of the municipal strategy in a constructive way.

The **SEA promoted dialogues and supported the creation of a sense of ownership** towards the municipal plan, ultimately providing legitimacy to the Plan.

Helped to overcome, to some degree, **uncertainty** in terms of how the development context is prepared to deal with change, by identifying links between governance and planning actions.

SEA worked not as a technical exercise but as a public policy instrument.

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IA as an instrument of governance for strategic change

1. **Encourage political willingness** towards integrating environmental and sustainability issues in decision-making, far beyond legal compliance

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IA as an instrument of governance for strategic change

1. Encourage political willingness towards integrating environmental and sustainability issues in decision-making, far beyond legal compliance

2. **Promote collective thinking, dialogues and collaborative practices** to deal with the challenges of sustainability

IA as an instrument of governance for strategic change

1. Encourage political willingness towards integrating environmental and sustainability issues in decision-making, far beyond legal compliance

2. Promote collective thinking, dialogues and collaborative practices to deal with the challenges of sustainability

3. **Change minds and create a strategic culture in decision-making** (rather then strategies as informal and separate from operational decision)

Discussion

Learning points with Monteiro and Partidario, 2017