

Chapter 2 Scope and Key SEA Stages

2.1 Introduction

- 2.1.1 The European Directive 2001/42/EC, commonly known as the SEA Directive, requires an assessment of the effects of certain plans and programmes on the environment. This came into force in the UK in July 2004. LTPs are covered by this legislation.
- 2.1.2 The main purpose for an SEA is to provide for a high level of protection of the environment and contribute to the integration of environmental considerations into preparation and adoption of plans with a view to promoting sustainable development (Article 1 of the Directive).
- 2.1.3 The SEA process is now well-established in plan preparation and there are a number of guidance documents to help ensure that authorities meet the SEA Directive. This report has been produced by Derbyshire County Council's Local Transport Plan team using the Department for Transport, Transport Analysis Guidance, known as WEBTAG, '2.11 *Strategic Environmental Assessment for Transport Plans and Programmes*' as updated as a draft in 2009. The final guidance is awaited. We have also begun to consider the recommendations contained within the latest CLG report on SEA, "Towards a more efficient and effective use of Strategic Environmental Assessment and Sustainability Appraisal in spatial planning (March 2010), although this was published after much of this document was written.

2.2 Scope of the SEA

Introduction

- 2.2.1 The following paragraphs describe the proposed spatial, temporal and technical scope of this SEA.

Spatial Scope

- 2.2.2 The area covered by the Derbyshire LTP3 and this SEA comprises the administrative county of Derbyshire as shown in Figure 1.1. This is marginally different to LTP2 where some of the County administrative area surrounding Derby City was included within a joint LTP with Derby City Council. Derby City Council is producing a separate LTP3 and SEA covering the City Council area. The SEA Scoping Report carried out by Derby City Council includes the potential Park and Ride site situated outside the City boundary at Boulton Moor. The 3.92ha SSSI site at Boulton Moor is in favourable condition, and it was considered that sites designated for nature conservation can be considered to be under pressure from development within city limits (pg. 109 of Derby City Council LTP3 SEA Scoping Report)
<http://www.derby.gov.uk/TransportStreets/TransportPlanning/Strategic+Environmental+Assessment+for+LTP3.htm>
- 2.2.3 Although the LTP and SEA focus on the administrative county of Derbyshire, we are aware that patterns of transport or environmental issues are not restricted by County/ administrative boundaries. Therefore, where necessary the LTP and SEA will give consideration to the effects of the LTP on surrounding counties and cities and beyond, as well as more national and international issues.

Temporal Scope

- 2.2.4 LTP3 will cover a much longer timescale than that of LTPs 1 and 2, which covered 5-year periods. LTP3 comprises two elements of different timescale planning. It will contain a longer-term strategy covering the 15-year period 2011 to 2026. The implementation of the Plan will be undertaken through shorter-term Implementation Plans. The form of these are still under consideration, but it is likely that they will be 3 or 5 year rolling plans.

Technical Scope

- 2.2.5 Whilst this SEA is required to consider all relevant stages and topics under the SEA Directive, there are also three additional processes which encompass broader assessments of environmental topic areas. We have therefore decided to incorporate the topic areas under this SEA (the individual topics are listed in more detail on the next page):-

1. 'New Approach to Appraisal' (NATA)
2. Health Impact Assessment (HIA).
3. Habitats Regulations Assessment.

2.2.6 This report does not include the Equality Impact Assessment which is being undertaken as a separate exercise, but relevant issues will be incorporated as the two processes are undertaken.

SEA Directive topics

2.2.7 Within the SEA Directive, the term environment does not only refer to the natural and historic environment, but also to effects such as human health, population and material assets. SEA Directive Annex I (f) lists environmental topics to be considered:-

- biodiversity, flora and fauna
- population
- human health
- soil
- water
- air
- climatic factors
- material assets
- cultural heritage including architectural and archaeological heritage
- landscape
- and the interrelationship between the above factors.

New Approach to Appraisal

2.2.8 In addition, the New Approach to Appraisal (NATA) provides an approach for improving the consistency and transparency with which transport decisions are made. There is a close relationship between the topic areas in the SEA Directive and NATA sub-objectives, as shown in Table 2.1 below. These are currently being updated to accord with the national transport goals and challenges as described in paragraph 1.2.5 (WEBTAG Units 2.5 and 3.2).

Table 2.1 NATA sub-objectives and other topics to be addressed within an SEA

NATA Objective	NATA sub-objective	NATA Objective	NATA sub-objective
Environment	Noise	Safety	Accidents
	Local Air Quality		Security
	Greenhouse gases	Accessibility	Community severance
	Landscape		Access to the transport system
	Townscape	Economy	Public accounts
	Heritage		Business users and providers
	Biodiversity		Consumer users
	Water environment		
	Physical fitness		

Health Impact Assessment

2.2.9 As highlighted above, human health is a topic to be considered under the SEA Directive. A Health Impact Assessment (HIA) is also an integral part of the LTP process and therefore to reduce duplication it makes sense to combine the HIA into the SEA process. Draft guidance on SEAs and health by the Department of Health 2007 recommended that Local Transport Authorities should consider the following topics:-

- transport to work, shops, schools and healthcare
- walking and cycling
- community severance
- frequency and severity of crashes
- collisions causing injury and fatal accidents
- air pollution and noise
- ageing population and increasing disability.

2.2.10 Within these, there may be vulnerable social groups that require further consideration due to health inequalities such as children, women, older people and disabled people.

Habitats Regulations Assessment

- 2.2.11 Prior to this SEA Scoping Report, we undertook a pre-screening exercise for the Habitats Regulations Assessment to identify any potential significant effects that we could ensure were incorporated into the SEA process, the Pre-Screening Report is included in Annex 2. The pre-screening exercise identified three topics to be considered:-
- Disturbance due to visitor and tourism pressures
 - Air quality
 - Water quality

A topic-based approach

- 2.2.12 The four assessment processes above have identified a number of topics to be considered through the Scoping assessment stages. We considered the best way to undertake the analysis of other relevant plans and policies, environmental baseline and environmental issues was to look at these on a topic by topic basis. We have therefore taken the topics listed above and grouped these under seven over-arching topic headings as shown in Table 2.2 below. We have structured the next seven chapters of this Scoping Report around these over-arching topic areas and analysed relevant information for Stages A1 to A4 under these. We have therefore summarised the development of draft SEA objectives under each of these topic areas.

Table 2.2 Summary table of topic-based approach

Overarching Topic	SEA Topics covered	NATA sub-objectives covered	Health Impact Assessment topics covered	Habitats Regulations topics covered
1. Landscape	<ul style="list-style-type: none"> • landscape 	<ul style="list-style-type: none"> • landscape • townscape 		
2. Biodiversity, flora, fauna and soils	<ul style="list-style-type: none"> • biodiversity • flora • fauna • soils • air 	<ul style="list-style-type: none"> • biodiversity • noise • water environment • local air quality 		<ul style="list-style-type: none"> • disturbance due to tourism pressures • air quality • water quality
3. Cultural heritage including architectural and archaeological heritage	<ul style="list-style-type: none"> • cultural heritage • air 	<ul style="list-style-type: none"> • townscape • heritage • local air quality 		
4. Climatic factors, including greenhouse gases	<ul style="list-style-type: none"> • climatic factors • air 	<ul style="list-style-type: none"> • local air quality • greenhouse gases 		
5. Water	<ul style="list-style-type: none"> • water 	<ul style="list-style-type: none"> • water environment 		<ul style="list-style-type: none"> • water quality
6. Material assets	<ul style="list-style-type: none"> • material assets 	<ul style="list-style-type: none"> • public accounts • business users and providers • consumer users 		
7. Population and human health, including noise	<ul style="list-style-type: none"> • population • human health • air 	<ul style="list-style-type: none"> • noise • physical fitness • accidents • security • community severance • access to the transport system • local air quality 	<ul style="list-style-type: none"> • transport to work, shops, schools and healthcare • walking and cycling • community severance • frequency and severity of crashes • collisions causing injury and fatal accidents • air pollution and noise • ageing population and increasing disability 	

- 2.2.13 The SEA Regulations also require that the interrelationship between the above factors is considered. We acknowledge that there is some overlap between the over-arching topic areas and consideration of interrelationship will be considered under the topic heading where it is most relevant. This should help to reduce duplication.

2.3 The Key Stages of SEA and LTP

Introduction

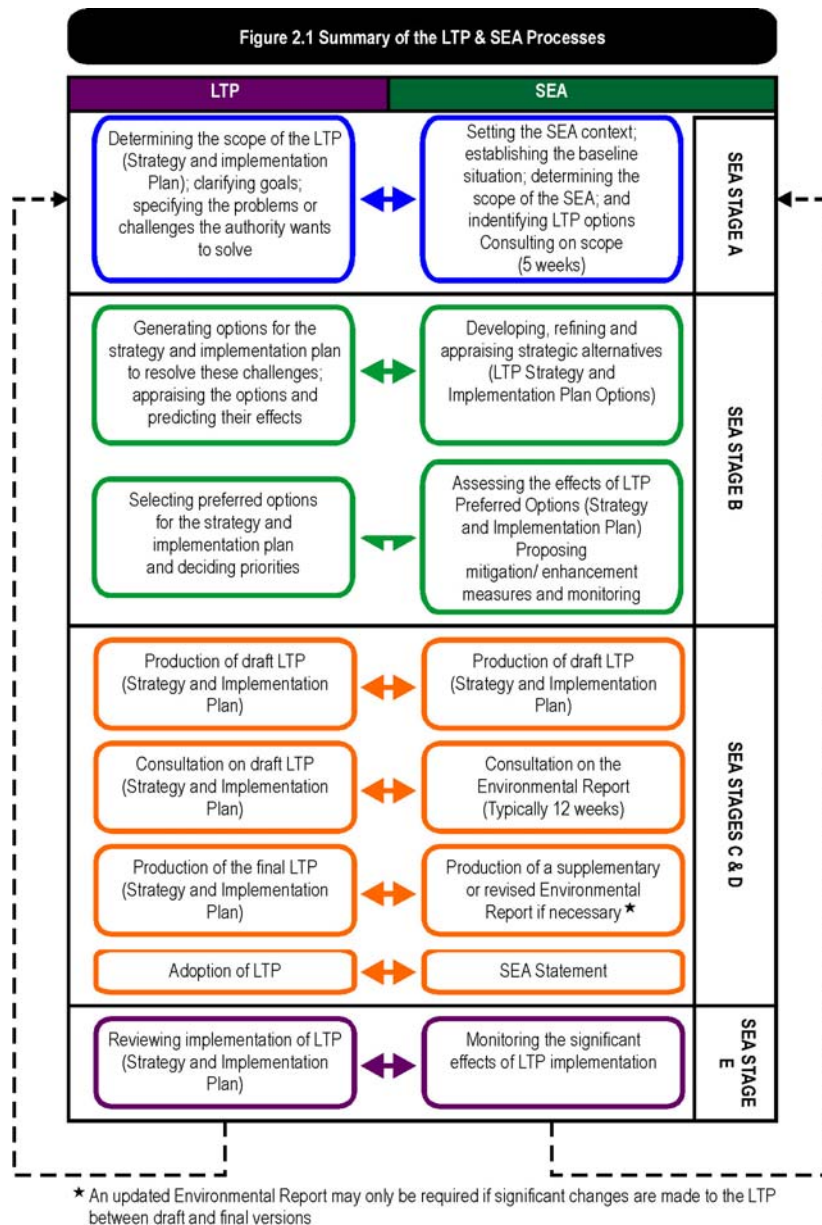
- 2.3.1 WEBTAG guidance sets out five stages (A to E) that we will follow during this SEA as shown in Table 2.3 below. This Scoping Report includes the work required under Stage A.

Table 2.3 Key Stages for Strategic Environmental Assessment of the Derbyshire LTP

Stage A	Setting the context and objectives, establishing the baseline and deciding on the scope
A1	Identifying other relevant plans, programmes and Environmental protection objectives
A2	Collecting baseline information
A3	Identifying environmental problems
A4	Developing SEA objectives
A5	Consulting on the scope of the SEA
Stage B	Developing and refining alternatives and assessing effects
B1	Testing the plan objectives against SEA objectives
B2	Developing strategic alternatives
B3	Predicting the effects of the draft plan, including alternatives
B4	Evaluating the effects of the draft plan, including alternatives
B5	Considering ways of mitigating adverse effects
B6	Proposing measures to monitor the environmental effects of Plan implementation
Stage C	Preparing the Environmental Report
C1	Prepare the Environment Report with information as required in Article 5 and Annex 1 of the SEA Directive
Stage D	Consulting on the draft plan and Environment Report
D1	Consult on the draft Plan and Environmental Report
D2	Assess significant changes
D3	Make decisions and provide information
Stage E	Monitoring the significant effects of implementing the Plan on the environment
E1	Developing aims and methods for monitoring
E2	Responding to adverse effects

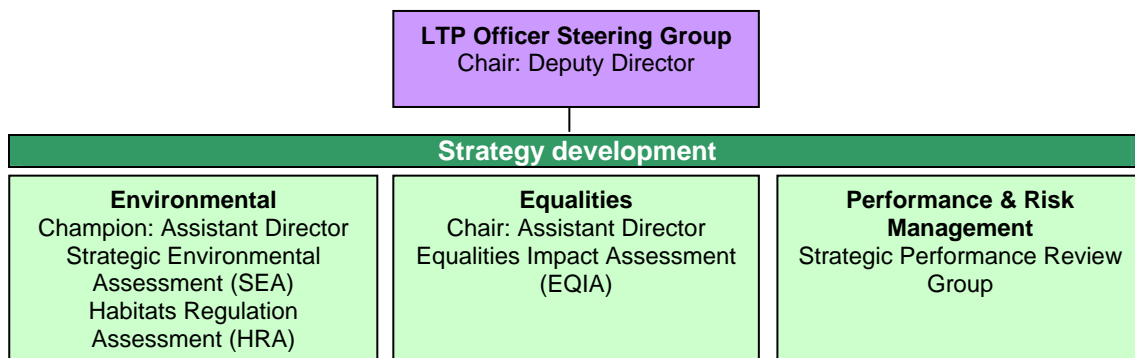
Source: Department for Transport WEBTAG 2.11 Strategic Environmental Assessment for Transport Plans and Programmes 2009

- 2.3.2 Of course the SEA is not a separate process to the LTP, but an integral part of its development. As described in 1.2.10 our key principles for undertaking this SEA is to integrate the findings and recommendations generated by the SEA into the LTP. Figure 2.1, which is an extract from WEBTAG 2.11 outlines the stages involved in developing the LTP and its associated SEA and identifies how the stages of the two processes link together.



2.3.3 To oversee and ensure that the SEA process is undertaken effectively, we have established an internal Environmental Group as part of the overall Governance of the Derbyshire LTP development to oversee the SEA and Habitats Regulations, see Figure 2.2. This Group is championed by an Assistant Director. In undertaking the SEA of our second LTP we appointed a consultant to act as a ‘critical friend’ to support the process and to ensure that the Authority accorded with the SEA Directive. For this SEA Scoping Report we have appointed consultants Scott Wilson to act as our critical friend.

**Figure 2.2 Local Transport Plan 3 (beyond 2011)
Governance Arrangements – LTP Strategy**



SEA Stages A1 to A3 – the topic based approach

2.3.4 As described in paragraph 2.2.12 above, we have structured the findings of SEA stages A1 to A3 under seven topic areas, see Table 2.1 above. To avoid duplication in explaining each of the SEA Stages in each of these topic areas, the following paragraphs briefly explain the rationale behind these three stages. Each of the topic chapters begin with a summary table setting out the key findings under each stage and also bring forward the suggested draft objectives that have been developed to provide a complete picture.

Stage A1: Identifying other relevant plans, programmes and environmental protection objectives

2.3.5 There are many policies, plans and programmes of relevance to the SEA from the highest to the lowest spatial level – i.e. International, European, National, Inter-regional/ regional and sub-regional, and local level. We have undertaken a comprehensive review of these to document how the LTP is affected by outside factors; to suggest ideas for how any constraints can be addressed; and to help identify SEA objectives.

2.3.6 In doing this we have given most emphasis to the most local spatial level available, on the basis that all plans comply with those plans at a higher spatial level. The exception to this is where there is something more recent at the higher spatial level. Where objectives/ requirements and implications for LTP3 are recorded, specific action plans have also been considered if these exist, as these are more directly transferable to the local transport planning process. The information contained within the topic chapters is a summary of this exercise. More detailed information on this review can be found in Annex A1.

Stage A2: Collecting baseline information

2.3.7 Baseline data assists the assessment to the environmental effects of transport strategies. This helps identify existing environmental problems and provide the basis for predicting and monitoring the effects of the LTP and also identifying alternative ways of dealing with them.

2.3.8 Clearly sufficient baseline data needs to be collected to address each SEA topic area. The data has to be sufficiently robust to show:-

- How good or bad is the current situation?
- Whether trends indicate that the situation is getting better or worse?
- How far is the current situation from thresholds, objectives or targets?
- Whether any particular sensitive environmental issues are affected?
- Whether any problems identified are large/ small, reversible or irreversible, permanent or temporary, direct or indirect?
- How difficult it would be to offset or remedy any predicted environmental damage?
- What significant secondary, cumulative or synergistic effects have there been or are there likely to be?

2.3.9 As the DfT's guidance indicates, collection of baseline data could go on almost indefinitely. The preparation time for the third Derbyshire LTP does not allow the County Council the luxury of such an approach. To develop the third LTP we require to be at the option development stage by Spring 2010. Therefore we have had to limit the data collection exercise to the end of January 2010 to enable time to consult on this Scoping Report alongside our consultation on option development.

2.3.10 Where we have identified gaps in data, we have set out whether we intend to collect this missing data and by when. Any remaining gaps which may prove useful in future are highlighted, their importance assessed and the measures to obtain the data (or reasons for not obtaining the data) explained.

2.3.11 In identifying the existing baseline, we have considered the most up-to-date information that is available. Where possible we have estimated future trends up to our theoretical future environmental horizon i.e. 2026.

Stage A3: Identifying environmental problems

2.3.12 The identification of environmental problems and opportunities will be used to inform the options and issues stage of the development of LTP3 to help avoid or solve these. In identifying the environmental problems we have summarised these as key challenges to be taken forward for consideration in developing draft objectives and for further examination through Stage B.

Stage A4: Developing SEA Objectives

- 2.3.13 Although the SEA Directive does not specifically require the use of objectives or indicators, they can help analyse and compare environmental effects. In developing our SEA objectives, we are using the analysis in this Scoping Report to formulate these, rather than having a pre-conceived idea of what these are. Therefore the draft SEA objectives have been formulated by considering:-
- examining the topic areas under the SEA Directive, 'New Approach to Appraisal', Health Impact Assessment and Habitats Regulations Assessment
 - Regional Sustainable Development objectives
 - checking Local Development Document environmental objectives
 - bringing forward SEA objectives from the current Local Transport Plan (LTP2)
 - more particularly, key challenges, opportunities and data gaps that have arisen from the assessment of the environmental baseline and identification of environmental problems relating to the Plan
- 2.3.14 Where we suggest objectives for the SEA we will provide a local focus, rather than restating national objectives.
- 2.3.15 At this stage we are not suggesting indicators for the draft objectives. We will develop these after further detailed assessment as part of Stage B. At this stage, we will bear in mind our recent review of LTP2 indicators undertaken for the 2008 Progress Report, which also incorporated the move to the National Performance Framework in seeking to reduce the burden of monitoring.
- 2.3.16 The draft SEA objectives emerging from the work so far are listed at the end of each of the topic chapters (3 to 9). These are as follows:

Derbyshire LTP3 draft SEA objectives:

- SEA 1 Protect and enhance protected landscape areas and other areas of high landscape value from the visual impact of transport infrastructure and light pollution
- SEA 2 Maintain the transport asset for local travel, to protect sense of place and the natural and historic environment
- SEA 3 Protect and enhance the county's historic landscape and areas of high townscape value
- SEA 4 Avoid damage to designated and/or protected heritage and historical sites
- SEA 5 Help preserve remoteness and tranquillity within the Peak District National Park and other areas of tranquil countryside
- SEA 6 Encourage biodiversity and take measures to reduce habitat fragmentation
- SEA 7 Avoid damage to designated wildlife sites and protected species
- SEA 8 Support sustainable tourism
- SEA 9 Prevent damage to the landscape due to increases in recreational walking and cycling, motorcycling etc.
- SEA 10 Reduce transport's emissions of carbon dioxide and other greenhouse gases, with the desired outcome of tackling climate change
- SEA 11 Enhance the network's resilience to climate change e.g. reduce the risk of flooding
- SEA 12 Minimise energy usage and reduce dependency on non-renewable resources
- SEA 13 Reduce the emission of air pollutants from transport in declared Air Quality Management Areas which relate to local traffic
- SEA 14 Influence the location of development to make efficient use of existing physical infrastructure and to help reduce the need to travel
- SEA 15 Increase the proportion of re-used and recycled materials used in road and Rights of Way construction and maintenance
- SEA 16 Use locally sourced materials wherever feasible
- SEA 17 Improve access to key services and facilities using sustainable modes of transport
- SEA 18 Ensure the provision of transport and services considers the needs of elderly people, particularly in rural areas
- SEA 19 Improve road safety through targeted interventions, and make travel feel safer particularly by non car modes
- SEA 20 Improve community safety, reduce crime and the fear of crime
- SEA 21 Improve health by encouraging walking and cycling, and reducing health inequalities
- SEA 22 Minimise noise impacts
- SEA 23 Enhance opportunities for social contact within communities.