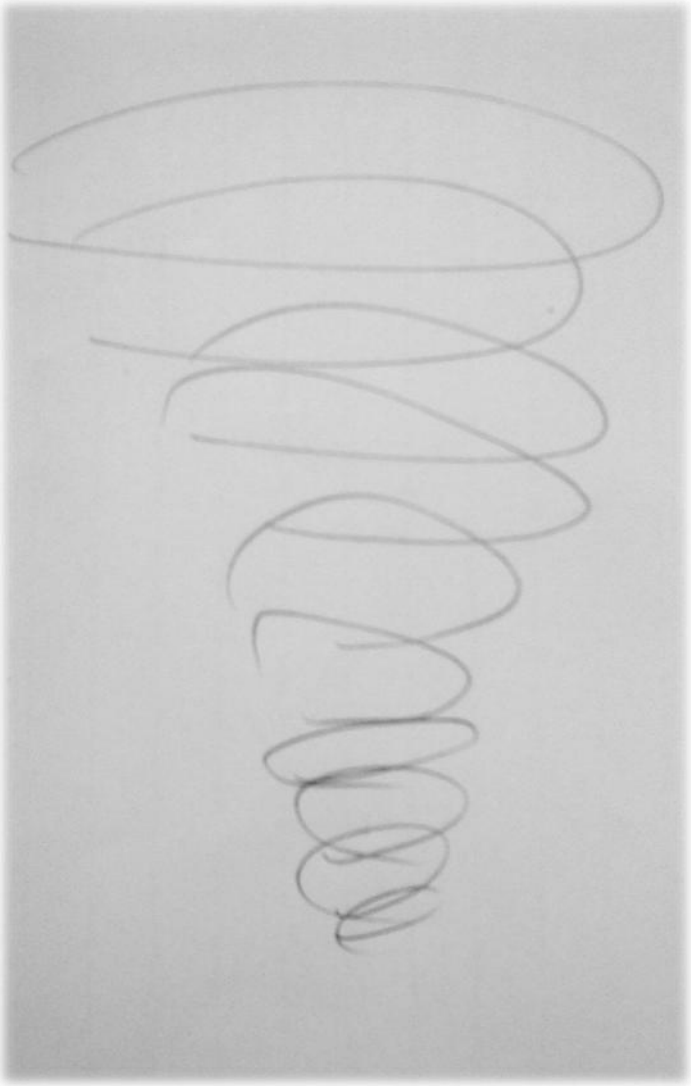
Brussels EASY–ECO 2010
Conference programme

Sustainable Development
Evaluations in Europe

From a Decade of Practices, Politics and Science to Emerging Demands



17-19 November 2010

European Parliament
Palais des Académies
Université Libre de Bruxelles

ULB UNIVERSITÉ LIBRE DE BRUXELLES

MARIE CURIE ACTIONS

WU WIRTSCHAFTS UNIVERSITÄT WIEN VIENNA UNIVERSITY OF ECONOMICS AND BUSINESS

Brussels EASY–ECO conference is organized by:

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The Université Libre de Bruxelles

When it was inaugurated in 1834, the Université Libre de Bruxelles (ULB) had 96 students, whereas it now has over 21,000. The number of faculties and schools also increased in response to the emergence of new disciplines and an ever greater number of specialisations.

ULB's seven Faculties, Schools and specialised Institutes cover all disciplines and all study cycles, from bachelors to doctorate and continuing education, and closely combine classroom teaching and research. Located in Brussels, the capital of the European Union, it has extended its activities to the south of the country (Wallonia) and has science parks, a teaching hospital (Erasme), a hospital network and a library with state-of-the-art equipment.

With three Nobel Prizes, a Fields Medal, three Wolf Award in physics, 44% of the five-yearly Fonds National de la Recherche Scientifique awards and 29% of the Francqui Awards, ULB ranks with the major research universities. With 15 Marie Curie research training networks and about 60 other projects in the 6th Research/Development Framework Programme, it has also proven itself to be an important partner for European science.

The University has a reputation for excellence in both basic and applied research in the biomedical field. It has other strong points: physics, economics and political science, European studies, international law, history, the French language, philosophy and, more recently, subjects such as artificial intelligence.

Institut de Gestion de l'Environnement et d'Aménagement du Territoire - Centre d'Etudes du Développement Durable

Founded in 1993 at the Université Libre de Bruxelles, the Institut de Gestion de l'Environnement et d'Aménagement du Territoire (IGEAT) is an interdisciplinary education and applied research institute oriented towards research and decision-aid in the fields of environmental policy, town- and land-use planning, local development as well as tourism. The Institute is dedicated to the implementation of an effective interdisciplinary approach in research and education.

The more than 40 researchers of the Institute are affiliated to 5 research units, one of which is the Centre d'Etudes du Développement Durable (CEDD), directed by Prof Edwin Zaccaï. The Centre carries out inter- and transdisciplinary research projects in the domain of environmental policies and strategies within the general discourse of sustainable development. The Centre is concerned with the analysis and evaluation of policies and their instruments, as well as with the socio-economic, technical or philosophical context of sustainable development. 4 research axes are explicitly covered: indicators, policy evaluation, sustainable consumption, and prospective studies. Currently, the Centre is composed of 8 researchers from various disciplinary fields, ranging from senior researchers to PhD-candidates. We are actively involved in a number of European and international academic networks, societies and projects, and keep being consulted as academic stakeholders in national and regional consultative fora and councils.

Contact Details

Phone: +32 (0)2.650.26.34
Emergency number: +32 (0)483.02.80.45
Fax: +32 (0)2.650.43.24
E-mail: vvgamere(at)ulb.ac.be

Web: www.sustainability.eu/easy/

CONTENTS

INTRODUCTION

WELCOME

Dear Colleagues, Dear Participants,

a warm welcome to Brussels to the 2010 EASY-ECO conference. It is a great pleasure for us to host the final event of 2005-2010 EASY-ECO Series.

Very naturally, the focus of the 2010 EASY-ECO conference is directed towards the European perspective of evaluation of sustainable development. The overarching aim we pursue is to take stock of a decade of research and practice on integrated evaluation for sustainable development at - and for - the European and national levels in order to identify the challenges ahead. Europe, as an array of institutional actors and as a space for diffusion and homogenisation of principles and practices across EU member states, appears as an adequate focus to explore these challenges. Upfront, we identified issues such as the development of innovative methods and tools, the insertion of SD evaluation into policy agendas and processes, the institutionalization and governance processes driving SD evaluations, issues of power, participation and collaboration in evaluation studies and systems. The city of Brussels, being the most prominent of the capitals of Europe, appears to be a perfect place to approach these issues. The fact that Belgium holds the Presidency of the Council facilitated the timely insertion of the EASY-ECO conference in the presidency's agenda.

We chose to organize the conference in three different venues, which fit the thematic axes of the event. The launching event takes place in the European Parliament. Supported by Isabelle Durant (MEP, The Greens), this half-day event allows us to develop on an analysis of the perception of SD evaluation by the main European institutional actors. The second day is held in the Belgian Royal Academy of Sciences and focuses on the linkages between the politics and the science of SD evaluation in Europe; the Academy is located in the European district of Brussels while being an eminent place of academic work. The third and last day of conference takes place on the Solbosch Campus of the Université Libre de Bruxelles. By the end of the conference, we would concentrate on the identification of the future research challenges in the field, as well as the networking needs which was at the basis of the EASY-ECO process.

We would like to thank all of you in advance for your enthusiasm in participating to the conference. It will indubitably contribute to its success.

We address also a special thanks to all people who played a part to the organization of this event, be it as members of the advisory board of the EASY-ECO network, as funding institutions, as members of the scientific committee to the Brussels' conference, as keynote speakers, as paper and poster presenters. Foremost, one has to thank the generations of PhD

and post-doc students who participated so numerously to the many EASY-ECO events and made this network a great place for exchange of experience and thinking.

We wish you an inspiring conference and a pleasant stay in Brussels.

Tom Bauler (Conference Chair) Valentine van Gameren (Conference Manager)

Sustainable Development is the challenge of our generation. While in the last 20 years, sustainable development evolved from a vague vision into a set of basic principles, the grand challenges still lay ahead of us: transforming into a low-carbon economy, stopping the worldwide loss of biodiversity, decoupling economic performance from resource consumption, water use and waste generation, improving the integration of the diverse societal groups, eradicating extreme poverty and developing a global partnership for development. Efficient and effective policies, programmes and projects are needed from the international and national to the regional, local and corporate level. To assess the potential impacts of these interventions, to monitor their implementation and to evaluate their outcomes and impacts, a great variety of feedback mechanism were developed and established. There is a lot of high-level practice out there, a lot of research conducted, a lot of tools invented and a lot of work in evaluating sustainable development.

Since nearly 10 years, the EASY ECO series tries to bring together researchers, professionals and clients to exchange experiences, to improve networking between different communities and to support capacity building. More than 1,000 experts participated in the six EASY ECO conferences, more than 400 young researchers attended one of the ten EASY ECO trainings. At the end of this EU-funded series of events, it is time to look back: Which are the best tools and approaches in evaluating sustainable development? In which areas of work are sustainability evaluations carried out? Which communities emerged and how is a high quality of evaluations secured? But we also have to look forward: Which methodological and pragmatic challenges are still unsolved? Which trends can we expect? What are the future needs of researchers, professionals and clients?

The EASY ECO 2010 Brussels Conference will try to come up with answers to these questions. It will present most recent research findings as well as a variety of case studies. We are happy to welcome a number of high-level keynote speakers as well as a lot of partners who accompanied the EASY ECO series of events for many years. The first day of the EASY ECO 2010 Brussels conference takes place at the European Parliament to support exchange and networking of policy-makers and researchers. Twelve sessions will give you the opportunity to exchange experiences, discuss findings and challenges and to collaborate in preparing new ideas.

As the initiator and coordinator of EASY ECO, I am happy to welcome you at the final conference of the EASY ECO series in Brussels for three days of outstanding presentations, interesting discussions and valuable possibilities for exchange and networking.

André Martinuzzi (EASY-ECO Coordinator)

SCIENTIFIC COMMITTEE

Alain AYONG LE KAMA: Université de Lille, FR

Alessandro BONIFAZI: Universita degli Studi di Bari, IT

Peter HARDI: Central European University, HUB

Klaus JACOB: Freie Universität Berlin, DE

Andrew JORDAN: University of East-Anglia, UK

Colin KIRKPATRICK: University of Manchester, UK

Markku LEHTONEN: University of Sussex, UK

André MARTINUZZI: Wirtschaftsuniversität Wien, AT

Miranda SCHREURS: Freie Universität Berlin, DE

Anneke VON RAGGAMBY: Ecologic, DE

ORGANISING COMMITTEE

The Brussels EASY-ECO conference is organized by the Centre d'Etudes du Développement Durable (Centre for Studies on Sustainable Development) of the Université Libre de Bruxelles.

Tom BAULER: Université Libre de Bruxelles (Chair)

Edwin ZACCAÏ: Université Libre de Bruxelles (co-Chair)

David AUBIN: Université catholique de Louvain (co-Chair)

Marc PALLEMAERTS: Université Libre de Bruxelles and Institute for European Environmental Policy

Valentine VAN GAMEREN: Université Libre de Bruxelles

Emilie MUTOMBO: Université Libre de Bruxelles

Fanny VANOBBERGHEN: Université Libre de Bruxelles

STUDENT VOLUNTEERS (at 28-10-2010)

Aline ASSONNA

Aude GRIFFET

Billie HEENE

Elodie BLONDEAU

Elsa WITTORSKI

Françis NZUKOU

Francois LEBECQ

Jamina VOGELEER

Julien RUELLE

Kimberley MEES

Marc BALLMER

Nancy VAN NIEUWENHOVE

Philipp SCHMOLKE

Sacha CONCHIN

EASY-ECO

EASY-ECO (Evaluation of Sustainability: European Conferences and Training Courses) is an academic conference and training process on issues of evaluation in the specific context of sustainable development (i.e. SD evaluation or sustainability evaluation). Twelve European research institutions are collaborating in a Marie-Curie (FP6) scheme with the common aim of building capacity of SD evaluation and facilitating the exchange of analyses, concepts and experiences. Between 2005 and 2010, the EASY-ECO Series has included seven academic conferences and ten doctoral training opportunities (for further details: www.easy-eco.eu).

EASY-ECO Coordination

The project coordinator is the **Research Institute for Managing Sustainability (RIMAS)** at the Vienna University of Economics and Business, which has successfully coordinated the EU-project **EASY-ECO – Evaluation of Sustainability** (funded within FP5 and FP6) since 2002.

EASY-ECO Partners

Central European University Business School (HU)

CEval Centrum für Evaluation / Centre for Evaluation (DE)

Department of Applied Economy - University of Basque Country (ES)

Department of Civil and Environmental Engineering at the University of Trento (IT)

Impact Assessment Research Centre in the University of Manchester's School of Environment and Development (UK)

International Institute for Industrial Environmental Economics (IIIEE) at Lund University (SE)

National Centre for Sustainable Development (RO)

The Regional Environmental Centre for Central and Eastern Europe (CZ, HU, SK)

The Sendzimir Foundation (PL)

Stockholm Environment Institute Tallinn Centre/Estonian Institute for Sustainable Development (EE)

Université Libre de Bruxelles – Institut de Gestion de l'Environnement et d'Aménagement du Territoire (BE)

EASY-ECO Advisory board

Marina FISCHER-KOWALSKI (Head of the Advisory Board): Professor of Social Ecology at Klagenfurt University, Lecturer of Sociology at Vienna University

Sándor KEREKES: Director, Institute of Environmental Sciences at Corvinus University of Budapest, and Dean of the Faculty of Business Administration

Nancy MCPHERSON: Special Adviser on Performance Assessment, IUCN - The World Conservation Union

Miranda SCHREURS: Environmental Policy Research Centre, Freie Universität Berlin

Daniel WACHTER: Head of Sustainable Development Section, Federal Office for Spatial Development (ARE), Switzerland

VENUES

This three-day conference will be held in three different venues. Given the European focus of this final conference, it will start in the **European Parliament**. Sessions the following days will take place at the **Belgian Royal Academy of Sciences – Palais des Académies** (European district) and at the **Université Libre de Bruxelles** (Solbosch Campus). On Thursday evening all participants are invited at a convivial dinner at **Atelier des Tanneurs**.

European Parliament
Place du Luxembourg / Luxemburg Plein
1047 Bruxelles / Brussel
Altiero Spinelli building
Entrance via courtyard

Nearest metro stop: **Trône / Troon**
bus stop: **Luxembourg / Luxemburg**

Palais des Académies
Rue Ducale / Hertogsstraat 1
1000 Bruxelles / Brussel

Nearest metro stop: **Trône / Troon**

Université Libre de Bruxelles
Building S – level 1
Avenue Jeanne / Johannalaan 44
1050 Bruxelles / Brussel

Nearest bus/tram stop: **Jeanne / Johanna**

Les Ateliers des Tanneurs
Rue des Tanneurs / Huideveltersstraat 58-62
1000 Brussels

Nearest bus stop: **Jeu de balle / Vossenplein**

STIB (Department of Belgian Public Transport): www.stib.be .

SNCB (Belgian Train Company): www.b-rail.be .

Taxi: +32 (0)2.349.49.00

For detailed access routes and public transport see section ‘Access maps to venues’.

MORNING

TURSDAY, 18 NOVEMBER 2010
Palais des Académies

THE POLITICS AND SCIENCES OF SUSTAINABLE DEVELOPMENT EVALUATIONS IN EUROPE

Registration

Welcome and introduction – Room *Nouvel Auditorium*

Plenary session A – Room *Nouvel Auditorium*
Does SD evaluation improve environmental policy?
P. KNOEPFEL

Coffee break

Parallel session B

B.1 – Multi-level Impact Assessments Room *Nouvel Auditorium*	B.2 – Influence of evaluation Room *Espace Baudouin*	B.3 – Science for tools and procedures in EU Impact Assessment Room *Préau*	B.4 – Cities and SD evaluation Room *Prigogine*

Lunch break

FRIDAY, 19 NOVEMBER 2010
Université Libre de Bruxelles

THE CHALLENGE FOR RESEARCH: NETWORKING AND CAPACITY-BUILDING IN THE FUTURE

Registration and poster installation

Parallel session F

F.1 – Refining tools for evaluation Room *Dupréel*	F.2 – Indicators for SD evaluation Room *CA*	F.3 – SD evaluation and rural development Room *Baugniet*	F.4 – Workshop: systemic evaluation Room *Janne*

Coffee break
Poster presentations in the hall

Plenary session G – Room *Dupréel*
Evaluating Sustainable Development – Communities, Achievements and still a lot of Challenges
A. MARTINUZZI

Round Table discussion – Room *Dupréel*
Evaluation research and practice: some prospects

Closing Words and Farewell – Room *Dupréel*

Lunch and departure

PROGRAMME OVERVIEW

AFTERNOON

WEDNESDAY, 17 NOVEMBER 2010

European Parliament - Room *3C50*

SUSTAINABLE DEVELOPMENT EVALUATIONS IN EUROPE IN 2010: THE ACTORS' ASSESSMENTS

Registration

Welcome and introduction

I. DURANT and A. MARTINUZZI

Keynote

An ever more sustainable Europe? Exploring the governance challenges

A. JORDAN

Panel Discussion: Critical insight on a decade of Sustainable Development Evaluations in Europe

Coffee break

Round Table and Plenary Discussion: The future of Sustainable Development Evaluations in Europe

Closing followed by a cocktail

Welcome dinner for grant holders

TURSDAY, 18 NOVEMBER 2010

Palais des Académies

THE POLITICS AND SCIENCES OF SUSTAINABLE DEVELOPMENT EVALUATIONS IN EUROPE

Plenary session C – Room *Nouvel Auditorium*

Evaluation and Sustainability: Immersion or Distortion?

T. WIDMER

Coffee break

Parallel sessions D

D.1 – Challenges for EU SD evaluationRoom *Nouvel Auditorium*	D.2 – Participation in SD evaluation Room *Espace Baudouin*	D.3 – SD evaluation in national policies Room *Préau*	D.4 – Theoretical discussions (tools and methods) Room *Prigogine*

Posters sessions E

E.1 – Flash presentations (1-9) Room *Nouvel Auditorium*	E.2 – Flash presentations (10-19) Room *Espace Baudouin*

Closing

Dinner (Ateliers des Tanneurs

PROGRAMME

17 NOV. – EUROPEAN PARLIAMENT

Place du Luxembourg, Altiero Spinelli building, Entrance via courtyard

SUSTAINABLE DEVELOPMENT EVALUATIONS IN EUROPE IN 2010: THE ACTORS' ASSESSMENTS

13:00	Registration (European Parliament) – Entrance Spinelli	
14:00	Welcome and introduction **Isabelle DURANT**, Member of the European Parliament, The Greens - European Free Alliance **André MARTINUZZI**, EASY-ECO Network Coordinator, Vienna University of Economics and Business	Plenary session Room: *3C50*
14:30	Keynote: **AN EVER MORE SUSTAINABLE EUROPE? EXPLORING THE GOVERNANCE CHALLENGES** **Andrew JORDAN**, University of East-Anglia	
15:15	**CRITICAL INSIGHTS ON A DECADE OF SUSTAINABLE DEVELOPMENT EVALUATIONS IN EUROPE: FROM PRINCIPLES TO BEST PRATICES?** **Stephen WHITE**, DG Environment, European Commission **Claude TURMES**, MEP, European Parliament **John HONTELEZ**, European Environmental Bureau **Jock MARTIN**, European Environment Agency **Jakub KONIECKI**, Secretariat General, Impact Assessment Board	
16:30	Coffee break	
17:00	Round Table and Plenary Discussion: **THE FUTURE OF SUSTAINABLE DEVELOPMENT EVALUATIONS IN EUROPE** Discussant: **Ian Craig DAVIES**, President of the European Evaluation Society	
18:15	Closing followed by a cocktail	
20:00	Welcome dinner for grant holders (La Bécasse)	

Keynote 14:30 – 15:15

Room: *3C50*

An ever more sustainable Europe? Exploring the governance challenges

Andrew JORDAN,
University of East-Anglia, United Kingdom

Chair: Tom Bauler - Université Libre de Bruxelles

Andrew Jordan *has a longstanding interest in British and EU environmental politics and policy making. He has conducted work on the long-term impact of the European Union on the traditional style, structures and procedures of British environmental policy (aka 'Europeanization'), as well as sustainable development, environmental policy integration and new modes of governance. He also undertakes comparative policy analysis in the EU on a broad range of themes including climate change, the politics of policy appraisal and policy dismantling. He has been an editor of the international journal Environment and Planning C (Government and Policy) since 1998. He has published over a hundred peer reviewed papers and chapters in edited books, as well as authored or edited 10 books on these themes. In the past, He has played an active part in several large EU funded research projects including MATISSE, ADAM and EPIGOV (all Framework 6) and CONSENSUS (Framework 7). He has also undertaken work inter alia for the Cabinet Office, the UK environment ministry, the Countryside Agency, the UK Office for Science and Technology, the European Commission and VROM, the Dutch Environment Ministry. In 2007, his book The Coordination of the European Union (Oxford University Press, 2006, with A. Schout) was awarded the Contemporary European Studies association's (UACES) annual prize for the book that "has made the most substantial and original contribution to knowledge in the area of European studies". In 2008 he was elected as an Academician of the Academy of Social Sciences (AcSS).*

An ever more sustainable Europe? Exploring the governance challenges

Sustainable development as a very special policy challenge - at once uniquely complex, conceptually expansive and politically highly ambitious. Those who advocate sustainable development, argue that it demands unprecedented levels of coordination across level and scales of governance, across policy sectors, and within and across human generations. But just how capable are existing systems of governance rising to this challenge? The very acute feeling, powerfully expressed in many reports since 1992, is that prospects for human development have got considerably *worse* – not better – for many millions of people since the 1987 Brundtland Commission.

In this talk I shall analyse how and why one particularly important, interesting but unique system of governance - namely the EU – has responded to political demands for governance

for sustainably. I will argue that the EU is an academically *interesting*, politically *important* but also (and this should never be forgotten) undeniably *unique* context in which to study the governance of sustainable development. I shall show that its response has not been emphatic or politically uncontested, chiefly because the EU - like so many systems of governance – has itself been deeply implicated in supporting *unsustainable* patterns of development. I then examine how the pre-existing system of governance in the EU has created special opportunities to move towards sustainable development, as well generated particular challenges. Finally, I will focus on the future and ask what opportunities and challenges are likely to originate in the key elements of governing (Peters and Pierre 2006) – polity, policy and politics. There are of course no "crystal balls" which mean that the future can never be known with any degree of certainty, but there are already indications of some of the profound challenges that the EU will need to address if it wishes to make European political integration a sustainable process, let alone the human development of its citizens.

18 NOV. – PALAIS DES ACADÉMIES

Rue Ducale / Hertogsstraat 1

THE POLITICS AND SCIENCE OF SUSTAINABLE DEVELOPMENT EVALUATIONS IN EUROPE

08:30	Registration	
09:00	Welcome and introduction **Tom BAULER**, Université Libre de Bruxelles	Plenary session A Room: *Nouvel Auditorium*
09:15	**DOES SD EVALUATION IMPROVE ENVIRONMENTAL POLICY?** **Peter KNOEPFEL**, Swiss Graduate School of Public Administration	
10:15	Coffee break	
10:45	**B.1 – Multi-level Impact Assessments** 1. Project Sustainability assessment: Application in Regions and Municipalities (Switzerland) 2. "Towards sustainable public administration", the contribution of the Spanish Presidency of the Innovative Public Services Group of EUPAN 3. Introducing sustainability assessment in a crowded institutional landscape: the case of the Flemish Region of Belgium 4. Emerging SD evaluation culture. A case study from a new member state - Poland.	Parallel sessions B Room: *Nouvel Auditorium*
	B.2 – Influence of evaluation 5. A study of the effectiveness of environmental assessment using the analytic network process 6. The evaluation of the European eco-label and the outcome of the revision of the European eco-label schemes 7. Environmental Policy ex-post assessment from the sustainability point of view (Czech Republic) 8. Whose role is it, anyway?: How do sub-national government procurement managers and their suppliers interpret their roles in implementing SD evaluation recommendations? 9. Evaluation standards of OECD export credit agencies: how the world commission on dams influenced decision making for large dam projects	Room: *Espace Baudouin*
	B.3 – Science for tools and procedures in EU Impact Assessment 10. Research on IA tools - examples for implicit IA research in the 6th and 7th EU Framework Programmes 11. Institutionalising policy impact assessment: Lessons from international development co-operation 12. Linking Practice and Research: Uncovering complex relationships in policy appraisal 13. Gender impact assessment integrated in social impacts assessment- the European experiment in sub-ordination	Room: *Préau*
	B.4 – Cities and SD evaluation 14. Energy sustainability evaluation framework for municipalities: Difficulties and Challenges 15. The Strategic Environmental Assessment of port areas: An application of the SEA on the new island port proposed for Salerno	Room: *Prigogine*

16. Assessing the Performance of Municipalities: Can there be a stakeholder consensus on indicator selections?
17. A flexible approach to monitor unsustainable effects of 30 km/h zones: the Goal Oriented Indicator Framework
18. Local Climate policy and Scope of Authority (Stockolm)

12:45 Lunch break

14:15 **EVALUATION AND SUSTAINABILITY: IMMERSION OR DISTORTION?**
Thomas WIDMER, Universität Zürich

Plenary session C
Nouvel Auditorium

15:00 Coffee break

15:30 **D.1 – Challenges for EU SD evaluation**

19. Evaluating Sustainable Development in a Changing Climate: Transboundary Governance Mechanisms
20. Climate change in the European Commission's impact assessments. An evaluation of selected impact assessments reports.
21. Integrated Impact Assessment at the European Commission: a step forward or backward for SD and the environment?
22. Seriously weighting sustainable development's environmental pillar: Can the European Court of Human Rights be instrumental?

Parallel sessions D
Room: *Nouvel Auditorium*

D.2 – Participation in SD evaluation

23. Multi-stakeholder involvement: the case of evaluation of regional energy-efficiency policies in Ukraine
24. Governance models in evaluation: Lessons learned from rural development evaluations in Italy
25. Stakeholder Participation in the Development and Use of Sustainability Impact Assessment Tools for European Land Use Policies
26. Participatory and governance issues: Does SD evaluation strengthen transparency and participations? Action 21 Plan in Gironde

Room: *Espace Baudouin*

D.3 – SD evaluation in national policies

27. Sustainable Development Evaluations in Poland
28. Sustainable development evaluations in turkey: what lessons can be taken from the eu practice?
29. Sustainable development integration in Latvia's environmental policy
30. Integrated Sustainability Assessment - case study for the Brazilian ethanol context
31. Is Norway prepared for an evaluation of their sustainable tourism policy initiative, or do they only think they are?

Room:
Préau

D.4 - Theoretical discussions: new SD evaluation tools and methods

32. Sustainable development and sinusoidal discounting
33. Strategic Environmental Assessment: from consumer behavior to spatial planning
34. Tools for assessing the SD impact of New technology
35. Sustainability assessment using Life Cycle approach and monetisation
36. Success or failure of sustainable transition policies. A framework for evaluation and assesssment of policies in complex systems

Room:
Prigogine

17:30 **POSTERS SESSIONS E:**

E.1 – Flash presentations (1-9)

E.2 – Flash presentations (10-19)

Semi-plenary sessions E
Rooms: Nouvel Auditorium
Espace Baudouin

18:30 Closing (and group departure to dinner venue at 18:50)

19:30 Conference Dinner (Ateliers des Tanneurs)

Plenary sessions

Plenary session A

09:15 – 10:15

Room: *Nouvel Auditorium*

Does SD evaluation improve environmental policy?

Peter KNOEPFEL,
Swiss Graduate School of Public Administration, Switzerland

Chair: Edwin Zaccaï- Université Libre de Bruxelles

Peter Knoepfel *(1949), Ph. D. in public law, is since 1982 ordinary professor at the Swiss Graduate School of Public Administration (IDHEAP) in public policy analysis and sustainable development (formerly, research director at the Social Science Research Center Berlin, part-time lecturer at the Free University Berlin, visiting professor at the University of Kassel, part-time lecturer at several universities both in Switzerland and abroad) and author/editor of numerous academic books (about 60) and articles and contributions in collective works (about 203) in German, French and English on the theory and practice of public policy analysis – in particular environment policy and sustainable development, cultural policy and natural resources policy. He is member of the steering committee of NRP 31 on climate change, Director of the IDHEAP (1994-2002) and head of the Public Policy/Sustainability Chair. Peter Knoepfel is visiting professor at the Autonomous University of Barcelona (March to September 2003) and lecturer at the Universities of Grenoble, Berne, Lausanne and at the ETHZ and EPFL as well as at the Taras Shevchenko University of Kiev (Ukraine).*

Since more than 30 years, Peter Knoepfel has lead numerous research projects financed by DFG, VW-foundation, several NRP and Div. 1 of SNSF, COST, INTERREG, FP 4, 5 and 6 of EU and federal offices (environment, energy, land use planning).

Does SD evaluation improve environmental policy?

The answer to this question depends on the way of we define « Sustainable Development » and it may be either yes or no; it even may be that SD-evaluation will impair the application of environmental policies. The contribution will first demonstrate the two negative answers: If evaluators apply the so called "weak+"-definition of SD which allows compensating weaknesses of a project in the field of environmental postulates of SD by strong economic or ecological features though requiring a strict application of all kind of norms and standards, practical SD-evaluation of specific projects by definition cannot affect environmental policies. To the contrary, if SD-evaluation uses the "weak" definition of SD it can in fact legitimate open contradictions of such projects with environmental policy requirements and thus help

interesting actors to consciously weaken environmental policies on the level of all kind of permit procedures of environmentally relevant public policies.

The main point of the contribution will consist of showing a rather new resource-oriented conception of SD which allows further developing contemporary environmental policies towards their basic (and original) concern which initially was and still is the aim of maintaining the reproduction capacity of natural resources. This demonstration is made by means of the analytical concept of "institutional regimes" (IR) capable to first link environmental protection with environmental exploitation policies and to property rights. This IR concept allows discussing environmental policies as one set of policies attributing well limited use rights on goods and services on a given resource to specific groups of user actors (in terms of rights to use it as a sink for gaseous, liquid and solid waste). These use rights will normally rival with use rights of other legitimate actors to other goods/services of the same resource. Legitimate uses can be founded in (civil) property rights and/or in public (exploitation or protection) policies. This new institutional economic approach allows a transformation of environmental policies into resource protection policies the aim of which must be to protect the reproduction capacity of the stock of each resource against any destruction stemming from the whole ensemble of uses of goods and services they provide.

Such a concept will inevitable strengthen the ecological aspects with regard to social and/or economic aspects of SD because one never will be able to use a destroyed resource neither in an ecologically, nor in a economically or socially sustainable way. We furthermore will try to demonstrate that a reasonable use of the "four capital approach" in SD-evaluation could improve evaluation tools by conceiving other renewable resources outside the natural capital (resources situated in the manufactured, the human and the social capital) which will be either (sustainably) enriched or (unsustainably) impaired by new activities under SD-evaluation.

Plenary session C

14:15 – 15:00

Room: ***Nouvel Auditorium***

Evaluation and Sustainability: Immersion or Distortion?

Thomas WIDMER,
Universität Zürich, Switzerland

Chair: David Aubin - Université catholique de Louvain

Thomas Widmer *is a Visiting Professor and the head of the research unit, Policy-Analysis & Evaluation' at the Department of Political Science, University of Zurich. He was born in Switzerland in 1963 and received his M.A. (1991), Ph.D. (1995) and PD (2007) in political science from the University of Zurich. He held research and teaching positions at various Universities in Switzerland (Berne, St. Gall and Zurich), in Germany (Constance) and in the USA (Harvard University).*

Widmer has been working in the area of evaluation since the late 1980s. He is the author and co-author of several monographs and has contributed to numerous edited books and scholarly journals. His research focuses on evaluation, public policy, institutional change, Swiss politics and methodology. His main interest lies in questions of quality and ethics in evaluation and he has worked in the fields of meta-evaluation and evaluation standards for many years.

He served as a member of the boards of the Swiss Evaluation Society (SEVAL; 1998-2008) and the European Evaluation Society (EES; 2002-2005) and is currently a member of the Ethics Committee of the American Evaluation Association (AEA). He is involved in EASY-ECO since 2002.

Evaluation and Sustainability: Immersion or Distortion?

How are sustainability and evaluation connected with each other? What is the significance of evaluation in the context of sustainable development? What are the specific challenges for evaluation projects in the context of sustainability? Can programs such as a sustainability strategy be evaluated in the same way as other evaluations objects or do they have to be conceptualized in a special way?

The contribution deals – from the point of view of an evaluation expert – with the relationship between sustainability on the one hand and evaluation on the other hand on a conceptual level and provides examples from evaluation practice for illustration. In order to analyse the relationship between evaluation and sustainability, the presentation relies on conceptualisations of both, sustainability and evaluation. The contribution elaborates on the different roles that the concept of sustainability can take in evaluation processes. It identifies three generically distinct constellations namely first sustainability as an evaluation criterion, second evaluation of objects with sustainability as a goal and third sustainability as an attribute of an evaluation design. It discusses the consequences of each of the three constellations.

It shows which configurations are distortionary for a sustainable development and/or good evaluation practice and which help to support both, good evaluation practice and a sustainable development.

Parallel sessions

Parallel sessions B 10:45 – 12: 45

B.1 – MULTI-LEVEL IMPACT ASSESSMENTS ROOM: *NOUVEL AUDITORIUM*

Chair: Clive George - University of Manchester

[01] Project Sustainability assessment: Application in Regions and Municipalities (Switzerland)

Anne DU PASQUIER
Federal Office for Spatial Development (ARE), Switzerland, anne.dupasquier(at)are.admin.ch

Since 1992, numerous municipalities and regions have developed programmes or taken action aimed at sustainable development. Over time, the need has arisen to establish whether the projects launched actually meet the requirements of sustainable development. Tools have thus been developed, and various public bodies in Switzerland – both cantons and municipalities – have conducted sustainability assessments (SAs) to systematically evaluate their projects from the point of view of the three dimensions of sustainable development.

In some cantons, the governing council has awarded an assessment mandate to the cantonal administration in the form of an official decision (sustainability audits and sustainability reporting in the cantonal administration). The mandate defines the responsibilities, who conducts the audit and what the relevant criteria are. All projects must be submitted to the legislative body responsible for authorizing the credit and must meet certain criteria to be officially recognized as sustainable development projects.

In some towns, the municipal government has awarded a mandate to the administration for performing sustainability assessments (specified in an official document or directive). All projects for which a municipal notice has been issued with a request for finance to the municipal council (legislative body) must be subject to an SA. Besides this, an SA is often one of the Agenda 21 measures implemented. The manner in which an SA is applied varies from one municipality to another.

The experience gained in these pioneering communities sets standards that could be adopted by other communities in their efforts to integrate SAs into their management processes. An experience-sharing group also makes it possible to identify success factors while rectifying less successful processes. The platform for sustainable development in Switzerland – the Federal Office for Spatial Development – plays the role of facilitator in a joint process together with the stakeholders.

Exchanges take place on the opportunities created by SAs and the problems inherent in their application, the key questions that need to be addressed at the outset, and important points to consider – including the involvement of policy-makers, communication with the authorities and presentation of the results, benefits of an SA. Other areas covered include the application of the results of the sustainability assessments, the spatial and time limitations, or the specific evaluation of projects from the social domain.

[02] "Towards sustainable public administration", the contribution of the Spanish Presidency of the Innovative Public Services Group of EUPAN

Consuelo HIDALGO GOMEZ
National Agency for the Evaluation of Public Policies and Quality of Services (Ministry of the Presidency), Spain, consuelo.hidalgo(at)aeval.es

During the first semester of 2010 Spain held the Presidency of the Innovative Public Services Group (IPSG) of the European Public Administration Network EUPAN. One of the activities included in its working program was the realization of "a study on different frameworks concerning measurement of a sustainable Public Administration, whose results could be presented to enable further EUPAN activities on the most suitable framework to be developed."

In the current financial crisis of the public sector throughout EU Member Countries, sustainability has become the single most important issue for policymakers and public managers. Besides, there are three arguments for exploring different sustainability measurement frameworks for public sector organizations at the European level. Firstly, as the objectives of public service organizations cover the wide spectrum of the public interest, public agencies should play a role model for the private sector. They should account for their own direct impact on the environment, social well-being and economic prosperity. Furthermore, as the public sector is promoter of social change, its impact in the environment goes beyond its operational performance. Public agencies should also be accountable for the impact of its services and policies.

The main purpose of the study was to find the way to enhance sustainability performance through measurement in public administration.

The results of the study were presented on 14th June 2010 in Madrid and acknowledged by the EUPAN Directors General and include:

– a definition of the dimensions and the scope of sustainable development applied to public administration, covering the social, economic and environmental development in the levels of organizational operations, public policies and services and the impact on all the stakeholders.

– a compared analysis of the different approaches taken to measure sustainability from the perspective of business models (Sustainability Balance Scorecard), excellence/Self-assessment models (Common Assessment Framework, CAF), international sustainability guidelines (ISO International Workshop Agreement 4, IWA 4, and ISO/DIS 26000) and sustainability reporting (Global Reporting Initiative, GRI).

– an outline of the proposal of a Sustainability Performance Framework for Public Administration to be considered for future development by the EUPAN network.

The proposed Sustainability Performance Framework for Public Administration has to be suitable for internal assessment and external reporting. This instrument should be capable of mainstreaming sustainability into the performance management system of any public agency and should also be compatible for use alongside CAF and other management models.

The creation of this instrument could now be timely, as the European Commission is promoting a similar initiative to design a European framework for private companies in order to overcome national fragmentation.

Following this initiative, the features of the proposed Sustainability Performance Framework would be:

– Scope limited to organizational performance (impact of public policies and services in a second stage)

– Agreement on a minimal set of core sustainability indicators (around 15 indicator around 15 Key Performance Indicators adapted to the public sector
– A self-assessment instrument to benchmark or to monitor progress
– To be promoted by IPSG network to integrate management (CAF or other instruments) and sustainability

[03] Introducing sustainability assessment in a crowded institutional landscape: the case of the Flemish Region of Belgium

Jean HUGE, Tom WAAS
Vrije Universiteit Brussel, Belgium, Jean.Huge(at)vub.ac.be / tom.waas(at)vub.ac.be

In Belgium's northern region, the institutionalisation of sustainable development is progressing rapidly. Within this dynamic policy environment, the 2006 Regional Strategy for Sustainable Development explicitly called for the development an '*impact assessment tool'* to identify the sustainable development impacts of each policy proposal in a systematic way.

During a three-year study, the Flemish Policy Research Centre for Sustainable Development analysed the potential, the challenges and the practical possibilities of sustainability assessment in Flanders, with the aim of developing a framework tailored to the needs of its future users. The overall qualitative research method focussed on learning effects through the use of participatory methods.

The quality of the knowledge used -entailing the framing of the concept of sustainability- and existing as well as future institutional arrangements were identified as key elements determining the design, the application and the ultimate policy impact of sustainability assessment.

A document analysis; expert interviews; a survey amongst officials as well as focus groups with citizens allowed the research team to identify the alleged functions of sustainability assessment in the decision-making process, and to propose a working definition of sustainability in the Flemish context. The analysis of the institutional aspects entailed a discourse analysis that identified elements of convergence between the better regulation agenda and the sustainable development agenda. The potential of the existing Flemish regulatory impact assessment (RIA) framework as a starting point for a sustainability assessment scheme was analysed and solutions for a future integration were suggested. The European and international experience with sustainability assessment yielded interesting insights. Finally, the project's findings were translated into practical policy recommendations including a sustainability assessment guidance emphasising participatory process characteristics.

As a result, the proposed Flemish sustainability assessment framework has its roots both in international practice and science, and in the context-specific sub-national institutional landscape. Although the project aimed at providing practical recommendations yielding rapid policy improvements, the potential transformative power of sustainability assessment was not ignored. However, re-framing the policy preparation process towards sustainability is a long learning process, to which this research project has hopefully contributed.

[04] Emerging SD evaluation culture. A case study from a new member state - Poland.

Iwona REICHARDT
Jagiellonian University, Philippines, iwonareichardt(at)gmail.com

This paper will present a case study regarding the experience of the emerging evaluation culture in a new European Union (EU) member state – Poland. It will address the issue of Sustainable Development (SD) evaluation in the policy-making process and focus on how SD evaluation is integrated in the context of Poland's public policy and decision-making process.

The primary aim of the paper will be to highlight the results of empirical research (conducted in 2010 as part of the author's doctoral dissertation research) on the issue of an emerging SD evaluation culture in Poland. The author will outline historical achievements in evaluation practices in Poland, especially in regards to European programs and procedures (e.x. Phare, Structural Funds) as well as in-country challenges. The author will discuss her recent research findings, including the survey results, which focus on the following challenges faced in Poland in regards to SD evaluation: 1) A short history of evaluation culture in Poland, especially as compared to "old" member states, 2) limited training opportunities, and 3) political decision making process and political culture. The Author will also discuss recent reforms, particularly in the area of public administration, and demonstrate how these reforms affect a significant change in Poland's evaluation experience. In addition, the paper will focus on political challenges and argue how issues such as the short length of office terms influence the decision-making process and potentially have a negative effect on including evaluation results in public policy decisions.

The second part will focus on research and methodological challenges in SD evaluation in Poland. This section will also be presented from the public policy perspective. It will address the recent survey results on the issue of methodological awareness among Polish political scientists and public policy scholars. In addition, the Author will present her findings on educational achievements (at the university level) and future challenges in regards to evaluation research from the academic standpoint.

In the final part, the Author will outline the current state of SD evaluation practices in Poland. The conclusion will point to achievements but will also underline challenges and work ahead. Conclusions will be based on Author's own research and findings from surveys conducted in 2010 in Poland.

B.2 – INFLUENCE OF EVALUATION **ROOM: *ESPACE BAUDOUIN***

Chair: Markku Lethonen - University of Sussex

[05] A study of the effectiveness of environmental assessment using the analytic network process

Nikolai BOBYLEV
Russian Academy of Sciences, Russian Federation, nikolaibobylev(at)yahoo.co.uk

The paper suggests a method for assessing the effectiveness of implementation of a variety of methods and procedures that are used in environmental assessment. Environmental assessment is a term which encompasses several procedures that are used to estimate an impact of a human activity on the environment. The most commonly legislated of these procedures which are used internationally are Environmental Impact Assessment and Strategic Environmental Assessment. These procedures can use a variety of methods that originated in different disciplines, such as geographic information systems, consensus building, cost-benefit analysis, hedonic pricing, multiple criteria decision analysis. Following about four decades of environmental assessment use by the public sector there is a need to analyze the performance of both the different processes and methods.

There is no accepted definition of effectiveness in the context of environmental assessment, but it usually involves investigating: whether the process made any difference in pursuing an initiative (e.g. project or policy); whether all the stakeholders (e.g. governmental regulators, investors, and public) were adequately involved and satisfied with the process; whether the results and recommendations elaborated were implemented.

To clarify the definition of effectiveness, criteria are developed, an Analytic Network Process is then used as a framework to integrate the criteria, some of which have clear optimization targets, whilst others represent complex concepts. The Analytic Network Process is especially beneficial because it features independence and feedback, which provide an opportunity to take into account criteria that differ in their properties. The author argues that the Analytic Network Process can serve as a framework for analysis of environmental methods effectiveness.

[06] The evaluation of the European eco-label and the outcome of the revision of the European eco-label schemes

Frieder RUBIK
Institute for Ecological Economy Research, Germany, frieder.rubik(at)ioew.de

The author was a core partner of the EVER ("Evaluation of EMAS and Eco-label for their Revision") consortium which evaluated the EU eco-label scheme and presented its findings in 2006 (see: http://ec.europa.eu/environment/emas/pdf/everfinalreport1_en.pdf).
The fundamental aim of the EVER study was to provide recommendations for the revision of the voluntary EU eco-label scheme managed by the European Commission. A couple of options and recommendations were proposed for the revision of the scheme based on the evidence collected in the different phases of the project.

In the following years, the European Commission considered these

recommendations, discussed the report within different policy arenas, carried out stakeholder consultations, prepared several drafts of a revision of the EU eco-label scheme. Finally, in 2009, the revision of the EU eco-label scheme was agreed and an update of the scheme has been published.

The paper analyses:

– the role of the EVER study – scientific advices – within the policy-making process,

– the relevance of the different recommendations and

– compares the proposals of the EVER-study with the modifications of the EU-eco-label directive.

[07] Environmental Policy ex-post assessment from the sustainability point of view (Czech Republic)

Petr SAVER[1], Jaroslav KREUZ[2]

[1]University of Economics, Czech Republic, sauer(at)vse.cz

[2]Charles University, Czech Republic, jaroslav.kreuz(at)centrum.cz

In both the theory and the practice of environmental policy, we can meet frequent attempts at ex-ante and ex-post assessment of its effectiveness. While those preparing Integrated Impact Assessment follow a methodology developed for that purpose, for ex-post assessments of the environmental policies implementation such methodology has not existed yet in the Czech Republic.

The aim of the conducted project was to prepare such methodology build on the sustainability concept and in the form, which would be directly applicable in practice. The methods of work involved extensive retrieval of information from domestic and foreign (with special focus on EU) literature, qualitative research among potential users of the methodology and deductions from more general theories and concepts.

Our paper will present the general concept and the basic elements of the methodology prepared for the ex-post environmental policy implementation analyses. The concept builds on several basic criteria of effectiveness: level of achievement of environmental objectives, policy cost effectiveness, including various transaction costs, overall economic effectiveness of the policy implementation. It also includes the assessment of a number of other economic, social and political factors. The concepts of economic analysis, economic policy and administration and policy analysis as such meet in the concept.

The suggested assessment process is divided into two main levels/phases – basic assessment and comprehensive assessment. The basic assessment is carried out in all cases and is of complex character. The basic assessment proceeds in three parallel modules which reflect the basic cornerstones of sustainable development – environment, economy and institutional-social issues. The comprehensive assessment is carried out only if required by conclusion of the basic assessment opponency. In this point, the methodology is to a certain extent analogical to „small“ and „extended“ RIA assessment. However, as regards the RIA, decisive for the carrying out of the comprehensive assessment are not arbitrarily pre-defined criteria (amount of costs), but the result of basic assessment (see below).

The structure of the paper will be as follows: Findings from the Czech and foreign literature dealing with the methodologies of assessment of environmental policies are briefly summarized first. This is followed by a brief description of the basic characteristics concerning the methodology of assessing the effectiveness of implementation of environmental policies, prepared by the authors of the paper. The process of assessment is described in the final chapter.

[08] Whose role is it, anyway?: How do sub-national government procurement managers and their suppliers interpret their roles in implementing SD evaluation recommendations?

Justin SACKS
K2A LLP, United Kingdom, toosacksy(at)hotmail.com

In the UK, evaluation at the sub-national government level is uncommon due to the smaller values of contracts/projects. SD evaluation is largely optional at the sub-national level, and there are no nationally prescribed formats for evaluation or for acting on the results of SD evaluations. The procurement of goods and services from external suppliers has been subjected to more SD evaluation than other sub-national government activities because it comprises approximately half of public spending and has received significant policy attention. Do sub-national governments and the suppliers whom they evaluate share a similar viewpoint on their respective roles in acting on evaluation recommendations? Understanding how these two viewpoints compare and contrast is critical to ensuring that SD evaluation is perceived as useful and continues to be advanced by sub-national governments.

This paper assesses the viewpoints of sub-national government procurement managers and the suppliers they have evaluated based on the experience of the Welsh Assembly Government. The Welsh Assembly Government is the regional government for Wales, United Kingdom. Data will be drawn from two sources:

1. Results generated by the Welsh Assembly Government's completed SD evaluation of its top 100 suppliers, which was conducted using a web-based self-completion questionnaire called CAESER (www.caeser.org). CAESER stands for Corporate Assessment of Environmental, Social and Economic Responsibility and is in use by several national government departments and sub-national governments. The questionnaire generates quantitative and qualitative results as well as recommendations for improvement based on the supplier's responses.

2. Semi-structured interviews with Welsh Assembly Government procurement managers and suppliers who have been evaluated using CAESER. The interviews will address how the procurement managers and the suppliers believe the recommendations for improvement from CAESER will be implemented, focusing on the anticipated role for the Welsh Assembly Government in achieving these improvements.

The responses from the semi-structured interviews will be used to assess how the perspectives of the Welsh Assembly Government procurement managers compare and contrast with the perspectives of the suppliers evaluated. This comparison should offer a better understanding of the role of sub-national governments in acting on SD evaluation recommendations, which will in turn ensure that sub-national governments gain greater value from SD evaluations. If SD evaluations are perceived as valuable, then sub-national governments will continue to advance SD evaluation.

[09] Evaluation standards of OECD export credit agencies: how the world commission on dams influenced decision making for large dam projects

Andreas ATZL
Karlsruhe Institute of Technology, Germany, mail(at)andreas-atzl.de

In the year 2000, the World Commission on Dams (WCD) presented its report 'Dams and Development. A new framework for decision making' (WCD 2000). The study leading to this report is a classical example of a sustainability evaluation. Firstly, the WCD process itself has been an attempt to involve all stakeholders in the commission (Fink and Cramer 2008:36). Moreover, the WCD did not only focus on environmental issues, but also assessed the long-term economic cost-benefit factors of large dams, their consequences for cultural heritage sites and the problems associated with the resettlement of people. The WCD recommended a set of norms and standards for the assessment, planning and operation of large dam projects. However, the WCD did not establish a mechanism for the dissemination of its recommendations. Furthermore, the WCD recommendations have been refused by dam proponents and many major dam-building countries (Atzl 2010).

This contribution discusses in detail the question whether and to what extent the WCD recommendations have influenced the assessment procedures of large dam projects by European Export Credits Agencies (ECAs). During the past decades, ECAs have been among the most important financiers for large dam and other infrastructure projects (Scheumann 2008:66). From the beginning of the 1990s onwards, ECAs of OECD countries have come under pressure by an international NGO-campaign. The campaign demanded the ECAs to review their impact assessment standards (Atzl 2009:49ff). Subsequently, in December 2003 the OECD-ECAs agreed on the OECD Common Approaches on the Environment and Officially Supported Export Credits (OECD 2007). Although these OECD Common Approaches are not legally binding, they created a common ground for European ECAs and have by some of them been literally implemented into binding assessment policies.

The paper's hypothesis is that the WCD recommendations, although they have been refused by dam proponents and do not have an dissemination mechanism, had an influence on the standards for large dam projects applied by Export Credit Agencies. To test this hypothesis, the contribution analyzes the standards of the OECD Common Approaches and the assessment policies of some OECD ECAs. It identifies references and pathways by which norms have come into these policies. Finally, the paper proposes a first approach towards a theoretical model on how sustainability standards for large dam disseminate.

B.3 – SCIENCE FOR TOOLS AND PROCEDURES IN EU IMPACT ASSESSMENT **ROOM: *PRÉAU***

Chair: Klaus Jacob - Freie Universitaet Berlin

[10] Research on IA tools - examples for implicit IA research in the 6th and 7th EU Framework Programmes

Podhora ARANKA, Katharina HELMING
Leibniz-Centre for Agricultural Landscape Research (ZALF), Germany, aranka.podhora(at)zalf.de

The innovative character of EU policy impact assessment attracts scientific attention from a variety of disciplines. Research supports the development of IA tools and methodologies as well as its political implementation. The EU funds research for IA implementation and procedures as well as for its tools and methodologies in its 6th and 7th Framework Programmes. Well-known projects are, among others, SEAMLESS that developed a computerized framework for assessing impacts of agricultural systems and the environment, SENSOR creating a tool explicitly for impacts on land use, MATISSE that contributed to improving the tools available for conducting Integrated Sustainability Assessments and SustainabilityA-Test which developed a book of reference for IA tools and procedures. These projects had an explicit IA focus in their research in common.

However, apart from these well-known and explicit projects, there exists a variety of projects whose results are implicitly related to IA. These projects focus, among other aspects, on policy-relevance of research and on the development of tools and would – if applied – also valuably contribute to increasing the results of IA studies. The LIAISE Network of Excellence project provides an extensive mapping and state of the art of these research activities.

The paper presents selected results of a mapping of scientific IA activities, focussing on the projects that are implicitly related to IA. The paper mainly focuses on the environmental sector and aims to answer the following three questions:

– How is IA implicitly integrated in recent EU research activities?

– What kind of research approaches exist that could contribute to the improvement of the different elements of IA but are not yet used (models, quantitative and qualitative analysis, stakeholder participation etc.)?

– What kind of research gaps could be identified based on these first mapping activities?

These first mapping results illustrate the wide scope of implicit IA-related research and help to extend the narrow scope of interpreting IA tools in their "traditional way" with cost-benefit-analysis, multi-criteria-analysis, computer models etc.. To conclude the paper, these results enable a discussion with the audience: Does research focus in terms of IA where it should be focussing on?

[11] Institutionalising policy impact assessment: Lessons from international development co-operation

Matthew CASHMORE
University of East Anglia, United Kingdom, m.cashmore(at)uea.ac.uk

Research on impact assessment (IA) sponsored by the European Commission has placed considerable emphasis on the identification and cataloguing of methods. Through the exploration of a 'revelatory' case concerning international development co-operation and urban planning policy in the megacity Dhaka, Bangladesh, this paper examines the significance of non-methodological constraints to the integration, or institutionalisation, of IA systems. A plethora of potential barriers to the integration of IA were observed in the Bangladesh governance context, but the immediate barriers were a function of institutions affecting the values, attitudes and behaviour of the development co-operation agency involved. It is suggested that what was portrayed as the pilot application of an innovative IA approach was probably driven by institutions pertaining to the organisation's standing and exercise of power, plus adversely constrained by project management rules.

The theoretical significance of this work is twofold. Firstly, it draws attention to how deeply and widely IA, and commitments to policy integration, are institutionally mediated, and thereby emphasises the extent to which their goals represent a challenge to the *status quo*. This might appear a predictable conclusion to draw from empirical micro-case research, but it is important to emphasise for it is poorly reflected in policy discourse and much academic work. Secondly, it highlights significant gaps in our understanding of what I label the politics of IA, and of mainstreaming sustainable development more generally. The political nuances of how, why and with what effect tools like SEA are used for policy integration are critically under-theorised. This research contributes to our understanding of the multiplicity of ways in which power relations are contested and recreated through the design and use of what have been portrayed as objective, pseudo-scientific methods.

The paper concludes with an examination of the implications of the findings of this international study for IA research, capacity development and practice in the European Union.

[12] Linking Practice and Research: Uncovering complex relationships in policy appraisal

Camilla ADELLE, Andrew JORDAN, John TURNPENNY
University of East-Anglia, United Kingdom, C.Adelle(at)uea.ac.uk / a.jordan(at)uea.ac.uk / j.turnpenny(at)uea.ac.uk

Policy Appraisal (PA) is a potentially important platform on which academic knowledge can inform policy making in practice. But precisely how might this be achieved and does it happen in practice? The utility of a technical rational model (TRM) of PA - in which 'objective assessment' is assumed to lead straightforwardly to better decisions (via instrumental learning) - has been significantly undermined by a post-positivist critique (PPC) - which assumes that policy making is far more chaotic and so looks for evidence of wider forms of (conceptual) learning. How far have these theoretical developments led to innovation in both the practice of and research on PA? This article reports on a systematic review of the literature which takes stock of the developments in the practice of and research on PA – specifically impact assessment - with regards to the

theoretical underpinnings. It appears that the research on PA is moving beyond the TRM and incorporating insights produced by the PPC, whereas the practices of PA remain highly influenced by the TRM. What therefore is sustaining the TRM? Where and when is its hold beginning to loosen? What are the implications for the relationship between the everyday practices of and research on PA? This paper discusses these questions in the light of the findings of the systematic review before developing a future research agenda for PA.

[13] Gender impact assessment integrated in social impacts assessment- the European experiment in sub-ordination

Arn THORBEN SAUER

Humboldt University Berlin, Germany, sauer(at)genderkompetenz.info

The European Commission (EC) started out in its commitment to Impact Assessment (IA) by making ex-ante allowance for the possible intended and unintended effects of its major legislative and policy-defining proposals in 2002. Since 2005, the European Commission's Legislative and Work Programme (CLWP) and its Annual Policy Strategy (APS) are systematically made subject to IAs, in which one obligatory part is a Social Impact Assessment (SIA). The SIA section in turn, includes sections on impacts on inequality with regards to gender equality. Thereby, the European Commission through its various Directorate Generals, regards the assessment of possible (in)equality effects between women and men as an *integral part* of a SIA within an overall IA framework whereas in the past Gender Impact Assessment (GIA) was used as a stand-alone tool, developed and issued in 1998 in the post-Beijing gender mainstreaming process. In the current and newly updated EU guidelines for impact assessment, questions regarding non-discrimination, equal treatment and equal opportunity are posed as an integral part of the social impacts of any foreclosed IA, which represents a *European experiment in sub-ordination*.

In my paper, I will first give a brief historical introduction to the EU IA system with regards to the tool GIA in the post-Beijing process. As test cases for this *experiment in sub-ordination*, I will then outline two different case studies, one where a gender lens was inserted in a beneficial way and one where it should have been considered, but was neglected to do so. The Evaluation of the Commission's IA system for the Secretariat General of the EC and the Impact Assessment Board (IAB) reports serve as my data sources for scrutinising the European gender equality elements of SIA in greater depth and to ask how gender-based policy advice and the method of an integrated gender lens live up to the EU's equality commitment.

Drawing from comparative and interdisciplinary research and gender theories suggesting that gender disaggregated data is better evidence for better regulation and better output, this exercise promises to contribute to better policy making and increased sustainability. Focusing on EU tools and practices, my hypothesis is that an integrated gender lens, although it should be more readily applied, has not yet arrived at the core of SIA, where it belongs. As a consequence, I will discuss with the audience how to feed innovative gender mainstreaming tools and approaches more effectively into the overall IA procedures of the "Common Approach to Impact Assessment" in the three European institutions - Commission, Parliament and Council - which is of particular importance with regards to international efforts to streamline regulatory procedures.

B.4 – CITIES AND SD EVALUATION **ROOM: *PRIGOGINE***

Chair: Keti Medarova - Institute of European Environmental Policy

[14] Energy sustainability evaluation framework for municipalities: Difficulties and Challenges

Ana Rita NEVES, Vítor LEAL
University of Porto, Portugal, anaritan(at)gmail.com

Sustainable Development has become a goal of our society. It must be also the driver towards energy planning as energy systems of today are still markedly unsustainable. Challenges in energy encompass the promotion of sustainable energy systems which require action at different levels of governance. In particular, local authorities play a significant role. The "global" problem of climate change has its roots in the intensive use of energy, which is in turn used 'locally' to sustain local activities. Agenda 21, the global action plan for Sustainable Development for the 21st Century highlights the need to 'think globally, act locally'. Emerging initiatives, such as the Covenant of Mayors, stress the fact that cities are important actors for implementing sustainable energy policies and their actions must be encouraged and supported. Given the wide commitment to sustainable development and energy and climate action policies, it becomes essential to evaluate the progress towards the achievement of the targets agreed. However, previous work has been relatively limited in providing comprehensive sets of energy sustainability indicators to be used at the local level. The development of national level sustainability indicators is a well documented work (e.g. United Nations, Eurostat and the European Environmental Agency) as it is for energy indicators (e.g. International Atomic Energy Agency and Organisation for Economic Co-operation and Development/International Energy Agency). In this paper, a framework of indicators to evaluate local energy sustainability and to provide support to decision-making in local energy planning processes is presented. The paper addresses the main difficulties resulting from the implementation of the framework and identifies the major challenges that local authorities have to face to put energy sustainability evaluation into practice. The research methodology encompassed a literature review of existing sets of sustainable development and energy indicators; the identification of the energy-related indicators and the application of three criteria to select the most appropriate indicators: the relevance for local energy sustainability, the measurability at the local level, and the power of the local authorities to change the performance of the indicators; and afterwards the testing of the indicators with municipalities. The methodology adopted has led to a framework of 18 local energy sustainability indicators. The testing stage has provided valuable inputs for the review of set. It involved two stages: a first one where the indicators were calculated for the municipality of Porto in Portugal; and a second stage, where three local authorities were invited to calculate the indicators and provide feedback. The number of indicators calculated by the participants was low. This has revealed that the set of indicators proposed was still considered too large, and a new review was performed. During the testing stage, there were found strong difficulties regarding the availability of data to compute the indicators at such a low level of administration, the municipality. However, there are meaningful indicators that should not be replaced by easily measured indicators that do not provide useful information. Instead, it is argued that the statistical data collection for the municipal level should be improved.

[15] The Strategic Environmental Assessment of port areas: An application of the SEA on the new island port proposed for Salerno

Marco SCERBO
University of Naples Frederico II, Italy, marcoscerbo(at)mclink.net

The renewed public interests in sustainable development (SD) issues, together with constant demand of participation and transparency by the citizenry for all those projects that affect quality of life compel EU member states at all administrative levels, and planners and evaluators to find new methodologies of evaluation that combine: economy, beauty and environment. It emphasizes the need to decide strategies through participation of all stakeholders for future of public projects i.e. Mega-urban projects or large infrastructures development such as commercial ports facilities, particularly for the effects linked to port-city interrelations.

Based on the principles that have inspired the birth of SD paradigm, the Strategic Environmental Assessment (SEA) is one of the most important tools in the field of SD Evaluations. It constitutes a framework where all the stakeholders have time, instruments and warranties to be able to endorse their own views assuring, therefore, transparency and participation and eliciting the best from the decision-making process.

The proposed case study is an application of SEA to port areas, in particular, to the new Master Plan of the Port of Salerno (Southern Italy, close to Amalfi Coast) in order to find out the preferred location and settings for the new island port expected to ease conflicts of interest between the existing and saturated port and the city.

Focus group discussions among Port Authority's staff and the other stakeholders (city-mayors from the catchment area, entrepreneurs, experts from the University of Naples and Salerno), and colloquiums with citizens and NGOs were the core element of the process.

The method applied was helpful to identify the preferred alternative among three options; the use of a multicriteria analysis based on "Analytical Network Process" (Saaty, 2006) completed the evaluation process and covered all the key issues that had arisen from the participatory phase.

[16] Assessing the Performance of Municipalities: Can there be a stakeholder consensus on indicator selections?

Alastair GREIG[1], Lorenzo BENINI[2]
[1]University of Dundee, United Kingdom, a.z.greig(at)dundee.ac.uk
[2]Università di Bologna, Italy

The increasing prominence in the academic literature given to stakeholder participation in evaluations of policies, programmes and projects cannot be understated. The need to recognise and accommodate stakeholder values in decision-making is now firmly established as an essential prerequisite for robust evaluation. So much so that some commentators suggest we are witnessing a new paradigm of holism in socioeconomic inquiry, as opposed to the old mechanistic, reductionist one. However, the direct transfer of these principles to more general 'regional assessments', for the purposes of municipality service provision, is a difficult one. The Single Outcome Agreements is a Scottish Government assessment protocol for municipalities without a common indicator

framework. This paper presents some empirical insights from this initiative that can indicate the true diversity of local interest across a small, western European country. The article questions whether a participative paradigm can really constitute a shift away from a reductionist one and the dangers of assuming it does. The implications of these findings are relevant to policies and issues, which purport to represent national, continental and possibly even global interests.

[17] A flexible approach to monitor unsustainable effects of 30 km/h zones: the Goal Oriented Indicator Framework

Levi VERMOTE, Cathy MACHARIS
Vrije Universiteit Brussels, Belgium, lvermote(at)vub.ac.be

Sustainability assessment or integrated assessment is an evaluation method to measure the social, economic and ecological impact of policy measures, enhancing more sustainable decision-making. In addition to assessment procedures, indicator based policy monitoring frameworks are used to alter unsustainable policy effects. Since monitoring of unsustainable challenges is rather complex, trade-off identification between the assessed phenomena is useful in regarding the comprehensiveness of the concept 'sustainability'. Flexible indicator libraries and data spaces facilitate the identification of trade offs among multiple impacts and refine the monitoring procedure. This study delineates potential unsustainable effects of operational traffic safety measures, based on an assessment scheme comprising valorised evaluation criteria. Assessment results are converted into a Goal Oriented Indicator Framework (Alkan Olsson, 2009), which supports flexible, multi scale monitoring; linking indicators to policy objectives and processes/means to accomplish these objectives. European and national strategic objectives are tiered to NUTS and LAU level context specific methods, to elaborate the objectives. To acquire reductions in speed behaviour, general infrastructural engineering measures are applied, making the road and its setting fundamental anchor points in the engineering pillar of the road traffic safety policy. This paper evaluates the sustainability of 30 km/h speed regimes; speed reducing devices; reconstructing roads and junctions; and reconstructing cycle and walking infrastructure. The overall objective is to develop a tool, which assesses the sustainability of operational policy measures and monitors assessment findings according to policy objectives, based on flexible indicator libraries and data spaces. Results show that reticence and design directive standards of speed reducing devices and sinuous road layout reduce noise emissions, pollutant gas emissions, greenhouse gas emissions and fuel combustion. Furthermore, antagonizing trade-offs have been identified among the evaluation criteria of the assessment scheme.

[18] Local Climate policy and Scope of Authority (Stockolm)

Kristin FAHLBERG
Royal Institute of Technology, Stockholm, Sweden, kristinf(at)kth.se

Local authorities are crucial actors in mitigating GHG emissions (see e.g. Collier, 1997, Collier and Löfstedt, 1997, Agyeman et al., 1998, Wilbanks and Kates, 1999, Betsill, 2001, Coenen and Menkveld, 2002, Bulkeley and Betsill, 2003) but their authority to promote and enable emission cuts varies and several studies indicate that (DeAngelo and Harvey, 1998, Aall et al., 2007). The reasons explaining this discrepancy of different results may be numerous but a starting point could be to evaluate the strategies and their different

structure and components. Since local action against climate change is crucial to the global success of mitigating climate change, it is necessary to provide the local stakeholders with tools and instruments that enable and promote results.

This paper aims to discuss the power local authorities have to act upon climate change based upon previous research (see e.g. Aall et al., 2007, Bulkeley and Kern, 2006, Coenen and Menkveld, 2002, DeAngelo and Harvey, 1998, Lindseth, 2004). To further strengthen the discussion we'll provide an example; our previous research on the City of Stockholm, its climate policy and mitigation programs, and to introduce the concept of Scope of Authority as a method to analyze municipal power. Local authorities often lack suitable criterions when choosing climate mitigation measures for their local action programs and thus chose measures by ad hoc with no analysis of the municipalities' ability and capacity to carry out these measures. Both policies and mitigation measures can be evaluated in regards of the municipal scope of authority and thus function as a criterion or indicator when choosing the most appropriate policy or mitigation measures, thus enabling effective climate mitigation policy. The analysis of the case of Stockholm concludes that the City of Stockholm has limited power to mitigate greenhouse gas emission within its geographical area and that other stakeholders are important for Stockholm to reach their target.

Parallel sessions D 15:30 – 17:30

D.1 – CHALLENGES FOR EU SD EVALUATION ROOM: *NOUVEL AUDITORIUM*

Chair: Camilla Adelle - University of East Anglia

[19] Evaluating Sustainable Development in a Changing Climate: Transboundary Governance Mechanisms

Bob MANTEAW
Alberta Environment, Canada, bobmanteaw(at)yahoo.com

In spite of the widespread popularity of the concept of sustainable development and accompanying efforts to make it realizable, evaluation processes remain unclear and have made it somehow difficult to establish when a sustainable development project has been successful or not. While evidence of this situation abounds in internationally-funded projects in some of the poorest regions of the world, the situation is being exacerbated by current climate uncertainties and impacts, which adversely affects sustainable development project objectives.

This paper foregrounds sustainable development governance within the context of global climate change. It acknowledges the fact that current changes in global climate conditions are raising serious concerns about how sustainable development has been conceptualized and how projects are pursued and evaluated. Focusing on Africa, the paper argues that current evidence of climate impacts on natural resources and communities are indicative of the potential threat that climate change poses to gains (if any) in the quest for sustainable development.

Erosion of gains as indicated above does not only refer to threats to health, livelihood systems, poverty reduction and resource sustenance of the world's poorest; it also refers

to threats to the social and intellectual currency gained by the sustainability debates. Perhaps, the most significant threat is the fact that climate change is calling into question existing notions and understandings of the concept of sustainable development and how it is pursued in a changing climate.

Many have argued that the difficulty of successfully evaluating sustainable development projects is logically linked to the lack of clarity in meaning and practice of the concept. While these arguments persists and remain unresolved, emergent arguments point to the fact that the reality of global climate change, particularly as it relates to adaptation management in developing regions of the world, reframes the sustainability debate by asking the question: How should sustainable development be pursued and evaluated in a changing climate?

It is against this background that the paper calls for a conscious reconsideration of what sustainable development means and how it should be approached in a changing climate. As a way of refocusing sustainable development governance approaches, the paper calls for reconsideration of what sustainable development means within geographically and culturally specific-contexts. This call becomes even more imperative against a backdrop of the boundlessness of climate impacts on sustainable development projects and the need for governance mechanisms that are transboundary and cross-cultural.

From a developing country perspective, and from the European Union (EU) external operations perspective, such reviews in governance mechanisms will not enhance evaluation procedures, but also will clarify what roles external agencies such as the EU should play in donor-supported projects. Even more importantly, the paper is of the view that any reorganization of sustainable development governance mechanisms should begin from an understanding of cultural arrangements and how they contribute to sustainable development governance.

[20] Climate change in the European Commission's impact assessments. An evaluation of selected impact assessments reports.

Valentine VAN GAMEREN
Université Libre de Bruxelles, Belgium, vvgamere(at)ulb.ac.be

This paper explores if and how the impacts of European policy proposals on climate change are taken into account through the impact assessment (IA) system of the European Commission. Our analysis is based on an evaluation of selected IA reports. These fourteen reports deal with policy initiatives more or less linked to climate change concerns, were prepared by five different responsible Directorates-General (AGRI, TREN, RDT, ENTR, DEV) and stagger from 2005 to 2009. The used methodology is composed from a content analysis of these IA reports as well as interviews with several members of the European Commission (authors of the reports in the different DGs and some IA coordination services, members of the DG ENV and of the better regulation and impact assessment unit in the SEC GEN).

Two assumptions were at the basis of this study. Firstly, we supposed that impacts on climate change would be taken into account in IA reports of policy initiatives related to this topic (what gathers a broad range of initiatives because a lot of policy sectors are concerned by climate change mitigation and adaptation). This first assumption was based on two points: on the one hand, the increasing concern about climate change in the European policy agenda and, on the other hand, the mission of the EC IA system to integrate sustainable development in European policies. Secondly, we expected that the impacts on climate change would be better evaluated in the IA reports in which DG

ENV was involved during the IA process (particularly in the inter-service groups). This second assumption was based on evaluations of the IA system that formulated this recommendation in order to take correctly into account the environmental impacts.

According to our results, the first hypothesis has been verified while the second one has been invalidated. Indeed, all analysed IA reports integrate the concern of climate change but with remarkable quality differences (following our chosen criteria). However, contrary to our assumption, no correlation was found between this level of quality and the involvement from the DG ENV in the process. Other potential factors of influence were tested (DG responsible, year, juridical kind of the policy initiative, consultation of environmental stakeholders and presence of an advice from the IA Board). Excepted for the DG responsible, no solid correlations were found by our analysis. Finally, other factors were evoked in the course of the study but were not tested. These are the timing of the IA process, the level of "openness" of the assessed proposal, the teams charged of the IA and the trainings offered to civil servants in this field. Eventually, some lessons of good practices were drawn with regards to our observations.

[21] Integrated Impact Assessment at the European Commission: a step forward or backward for SD and the environment?

Emilie MUTOMBO
Université Libre de Bruxelles, Belgium, ejempaka(at)ulb.ac.be

Current environmental and social challenges imply urgent actions from public authorities. To properly design these actions and measures, new decision support tools are developed which are supposed to foster the application of SD principles such as precautionary principle, participation, transversality, etc. Impact assessment is one of these tools. Lately sustainability impact assessment (SIA) and integrated impact assessment (IIA) have been developed, notably on the model of the European Commission procedure (EC IA)introduced in 2002, which has then diffused at the national level in several country members (as Belgium, France, …) or was built on existing appraisal systems (EIA/SEA) like in the United Kingdom.

The integrated ex-ante impact assessment procedure implemented by the commission has first raised multiple hopes. Building, in 2002, on three dominant agendas, the procedure was conceived as the opportunity to integrate the multiple EU objectives, in particular those related to the Action Plan for Better Regulation, the Lisbon Strategy and the Sustainable Development Strategy; all considered in a unique assessment tool which would replace former sectoral ex-ante evaluations. However, several researches performed on EC IA reports after the 2002 and 2005 guidelines were highlighting disappointing results in terms of integration of environmental and social considerations (see e.g. Wilkinson et al, 2004; Lee and Kirkpatrick, 2006; Renda 2006; Franz and Kirkpatrick). These findings regarding integrated appraisal systems are not limited to the European Commission as illustrated by critics raising from various background (Morrison-Saunders and Fischer, 2006; Therivel et al, 2009; Bond and Morrison-Saunders 2009; Nykvist and Nilsson, 2009)

Still, if the EC IA procedure has now been importantly studied in terms of the design and performance of the appraisal system, the question of whether such integrated impact assessment procedure "changes the politics of policy-making" has been less studied so far (see e.g. Turnpenny and Jordan 2008; Radaelli and Meuwse 2010).

Our PhD thesis, started in late 2009, is aiming at studying the influence of such integrated

assessment procedure. We will study the "politics of policy appraisal" as termed by Turnpenny et al (2009), i.e. the influence of such transversal and integration-oriented arrangement in a so far still highly sectoral policy making process. Rooted in an environmental management background, this research will in particular analyse the influence on environmental policy integration (Hertin et al, 2008).

Starting our research with an analysis of the EU case, we will analyze the EC IA at two levels (1) the output level: Are environmental considerations included in formal reports and documents resulting or related to the EC IA's? and (2) the process level: Does the EC IA procedure include 'new' actors in and modify their influence on the policy making process?

However, in this paper we will concentrate on the first step of our research through a state of the art on the question of the integration of environmental considerations within the EC IA procedure. Further, building on the first design- and performance-oriented analysis of the procedure, we will aim at complementing these results with a short analysis of the latest EC IA reports, and if available yet those based on the new 2009 guidelines, in order to assess the potential "progress" of this instrument towards effective integration at the output level.

[22] Seriously weighting sustainable development's environmental pillar: Can the European Court of Human Rights be instrumental?

Armelle GOURITIN
Vrije Universiteit Brussels, Belgium, armelle.gouritin(at)vub.ac.be

Starting from the criticisms against sustainable development as neglecting the environmental pillar, the paper aims at answering the following question: can the European Court of Human Rights interfere and operate a shift towards a more balanced approach and enhance the environmental pillar?

The starting point will be the criticisms expressed against sustainable development and more precisely the economic and social pillars taking precedence over the environmental pillar (as obvious e.g. when considering the Lisbon process).

First, the obstacles for the Court to perform such role will be acknowledged (the lack of proper legal basis in the Convention to cover environmental matters, States' wide margin of appreciation in environmental affairs, etc).

Second, the structural means for the Court to be instrumental when balancing the three pillars and more particularly advocating a shift towards a stronger environmental pillar will be exposed mainly through the assessment of the Court of national measures (or lack of measures) against the European Convention on Human Rights' requirements (the fair balance and legitimacy requirements on the one hand, and environmental procedural rights on the other hand).

Third, such role devoted to the Court will be examined by reviewing a number of cases: the Court's approach would be identified (e.g. case law concerning wind mills, forestry management plans, etc).

Fourth and finally, the potential added value of an autonomous right to a healthy and protected environment will be touched upon (such right having been recently recognized by the Court of Human Rights in the Tatar v. Romania case, 27th January 2009).

Matters of jurisdiction, e.g. on which grounds assessing EU law against Council of Europe human rights law (Bosphorus Hava Yollari Turizm ve Ticaret Anonim irketi v. Ireland, 30 June 2005), will not be the primary focus of the paper. Instead, this paper will focus on the

normative, material interplay between Council of Europe human rights law and EU law.

Hence, the steps would be to provide the background of the study, the potential of such approach, the state of play and future prospects. At each stage, two aspects will be clearly distinguished: the environmental pillar as advancing anthropocentric claims on the one hand (right to health etc) and eco-centric claims on the other hand (intrinsic value of the environment etc).

D.2 – PARTICIPATION IN SD EVALUATION — ROOM: *ESPACE BAUDOUIN*

Chair: Jean Hugé - Vrije Universiteit Brussel

[23] Multi-stakeholder involvement: the case of evaluation of regional energy-efficiency policies in Ukraine

Sergiy KRASNOKUTSKYY
DCPO EcoDonbas, Ukraine, krasnokutskyy(at)gmail.com

Progress towards sustainable development cannot be achieved without integration of the principle of sustainable energy use into policies and programmes. Energy has a strong link to all dimensions of sustainable development and policymakers should ensure that it meets the needs of the present without compromising the ability of future generations to meet their needs.

Energy efficiency is said to be one of the twin pillars of sustainable energy.

Historically, there are no sound national or regional energy efficiency policies and programmes with reliable goals and transparent measures as well as their evaluation in Ukraine. Moreover, practice shows, that the most critical issue is the lack of public involvement in policy- and decision-making processes.

In early 2010, EcoDonbas commissioned evaluation of regional energy-efficiency policies in four industrialised regions of Ukraine in the framework of project entitled "From high energy efficiency to low carbon: introducing EU experience and best practices in Ukraine", supported by Strategic Programme Fund of UK's Foreign and Commonwealth Office through British Embassy in Ukraine.

The aim of this paper is to describe process of this evaluation in form of a case study, including participatory elements and the multi-stakeholder approach applied to involve different stakeholders: NGOs, regional energy inspections, industrial energy managers and regional and local governmental energy officers, to highlight data collection and analysis, communication of findings and recommendations of the evaluation.

[24] Governance models in evaluation: Lessons learned from rural development evaluations in Italy

Cristiano SIMONA[1], Luigi CUNA[2]
[1]Italian National Institute of research in agricultural economies, Italy, cristiano(at)inea.it
[2]IFAD, Italy

In the Programming period 2007-2013 of Rural Development Policy of the European Union, National and Regional **Rural Development Programmes** (RDPs) are implemented in favor of the rural areas. In this programmes, the managing authorities are responsible for the undertaking of **on-going evaluations**. This reflects a more strategic approach to the rural development programming consisting in an increasing importance attached to the ownership at local/implementation level of the effects deriving from rural development policies. Managing authorities faced the novelty and the complexity of this task. They were required to set up evaluation systems, put in place the resources required for managing an evaluation processes and identify instruments for ensuring that evaluation results are used in policy making.

In Italy, different **governance** models for managing the on-going evaluations have been adopted by the Managing Authorities of the Programmes. This paper analyses two evaluation governance model adopted by the authorities managing the EU-funded National/Regional Rural Development programs. The first is the more recent structured model in which a steering group is set up to coordinate evaluation activities and ensuring interface with key learning stakeholders. The second represents the traditional unstructured approach where no institutional basis is provided for evaluation knowledge exchange and management.

The purpose of the paper is to assess the extent to which the different governance models contribute to building an evaluation culture in the concerned institutions, to improve transparency and accountability of the various **stakeholders** as well as increasing the likelihood that evaluation results and recommendations are used for policy making. The two models are reviewed against the well-documented evaluation management practices of the International Fund for Agriculture Development, especially the use of the Core Learning Partnership, and other international standards, where applicable.

[25] Stakeholder Participation in the Development and Use of Sustainability Impact Assessment Tools for European Land Use Policies

David EDWARDS, Jake MORRIS, Paul TABBUSH
Forest Research, United Kingdom, david.edwards(at)forestry.gsi.gov.uk

In recognition of the multifunctional nature of European land use, the European Commission has funded a series of applied research projects to develop decision support systems (DSS) that seek to improve the evidence of the impacts of policies on the provision of multiple ecosystem services. Typically, these projects focus on the delivery of complex, computer-based models that can forecast the impacts of a range of future scenarios on a suite of quantitative sustainability indicators.

In this paper we reflect upon the experience of stakeholder engagement work carried out over the last six years to support the development and use of sustainability impact assessment tools within several EU funded research projects, in particular SENSOR(1), EFORWOOD(2), Northern TOSIA(3), and MOTIVE(4). We explore some of the successes, challenges and tensions involved when bringing stakeholders together with model-based tools and systems, and trying to

embed these systems within decision-making processes. We also set out some of the methodological innovations that have worked well and which, we feel, would be of particular interest to other conference delegates.

The paper starts out by addressing the instrumental and ethical rationales driving the design and implementation of participatory research within the projects. We consider the limited uptake of DSS within the environmental sector, and argue that the causes of this problem often lie in the quality of interactions with potential end users and other key stakeholders at different stages in the development of DSS.

We characterise different approaches to stakeholder engagement in DSS development projects, and then focus on the strengths and weaknesses of an integrated approach that can bridge the gap between end users and researchers. Such an approach has an action research orientation: flexible, emergent, and conducive to collaborative learning within project teams working towards shared goals. The approach also has elements of 'agile' software development processes commonly used by the private sector, but which are rarely acknowledged in the context of EU impact assessment tools. We also consider the advantages of embedding DSS development within a real time policymaking process.

We then turn to participation in the use of DSS, and the advantages of and scope for embedding tools more fully within the impact assessment procedure by using them as platforms for deliberation among stakeholders using common sources of data, assumptions and model outputs.

Finally we introduce the Framework for Participatory Impact Assessment (FOPIA), which was developed as part of SENSOR. The method combines participatory impact assessment and multi-criteria analysis of policy options, and facilitates discussion around the expert judgement of key stakeholders at a range of spatial scales. FOPIA has generated interest within the EU Commission both as a stand alone tool and as a means to supplement and/or validate the outputs of models, and there are plans to demonstrate its use in conjunction with the sustainability impact assessment tool developed by SENSOR to assess impacts of EU agricultural policies.

Notes

(1) Sustainability Impact Assessment: Tools for Environmental Social and Economic Effects of Multifunctional Land Use in European Regions: http://www.sensor-ip.org

(2) Sustainability Impact Assessment of the Forestry-Wood Chain: http://www.eforwood.com

(3) Assessing Sustainability of Forest-Based Activities in Rural Areas of the Northern Periphery: http://www.northerntosia.org

(4) Models for Adaptive Forest Management: http://www.motive-project.net

[26] Participatory and governance issues: Does SD evaluation strengthen transparency and participations? Action 21 Plan in Gironde

Benoît SIMON[1], Julie CHABAUD[2], Sébastien KEIFF[2]
[1]Planète Publique, France, simon(at)planetepublique.fr
[2]Conseil Général de la Gironde, France

In France, very few local Agenda21 have been formally evaluated by an external evaluator. The Agenda 21 of the General Council of Gironde is one of these rare ex post evaluation including a strong participatory approach for which we would like to present the method and main results.

On December 5th, 2008 the General council of Gironde (CG33) has publicly presented the general assessment of the first action plan of

the Action 21 of Gironde (2007-2008). Then, a strategic and participatory evaluation opened to all the inhabitants of the Gironde was launched. This initiative has been accompanied by a consulting company "Planète Publique".

Several methods of stakeholders involvement were mobilized for this evaluation as to get the most objective vision of the effectiveness of the first action plan and to prepare the second (adopted on march 2010).

To insure an effective dialogue, several specific tools have been used, each one being able to address each category of actors. Combining several tools allows then to touch each of the different public as to cover the widest possible spectrum of the population. It allows to get at stronger conclusions by cross-checking insights.

The purpose of this paper will be to describe what has been done for the evaluation of the Action 21 plan of Gironde, and to display the relevance to combine the following participatory tools:

– individual interviews: used to collect in a deepened way the point of view of the actors (elected representatives, employees, partners). About sixty interviews were driven on the whole evaluation;

– "classic" public meetings: aimed at a rather committed public, close to the public debate (associations, elected representatives, inhabitants already strongly invested in the local life and citizens): six meetings were organized from all over the Gironde territory;

– An Internet consultation: aimed at a population of inclusive, connected and generally rather young people it allowed a wide cover even if often socially rather homogeneous. It has also been addressed to the employees of the institution;

– A sample group of citizens so called "The Panel": on the basis of a random recruitment, this mechanism, which could be compared with a "miniature" conference of citizens, allowed to fetch public more remote from the public debate. 15 inhabitants of Gironde worked during 3 weekends on the theme of the "responsible consumption";

– case studies: they served to deepen and to refine elements put in evidence by means of the other tools by examining in detail an action or a policy of a program. Here, four case studies had been led. Three actions: social clause in public purchase , responsible events, SD network of Gironde; the fourth case study analyzed the implication of the stakeholders in the process of the Action 21 of Gironde.

We will conclude by discussing the benefits and shortcomings of this participatory evaluation method and presenting some recommendations for future local A21 evaluations.

D.3 – SD EVALUATION IN NATIONAL POLICIES **ROOM: *PRÉAU***

Chair: Markus Hametner - Vienna University of Economics and Business Administration

[27] Sustainable Development Evaluations in Poland

Bryla PAWEL
University of Lodz, Poland, pbryla(at)operamail.com

The proposed contribution addresses the Brussels 2010 conference key topic a) SD evaluation in the policy-making process.

The paper aims to examine the extent to which the sustainable development perspective is integrated into Polish major evaluation projects. It will also try to identify the methodological challenges related to the SD evaluation procedures in Poland. The paper will overview these issues on the basis of a complete database of evaluation reports concerning EU structural funds implementation in Poland (quantitative part of the study) as well as selected evaluation reports and expert opinions commissioned by the Polish Ministry for Regional Development (qualitative part of the study).

Despite an enormous progress in the development of the evaluation culture in Poland since our accession into the EU, the integration of the SD perspective seems still insufficient. In a database of all evaluation projects concerning the structural funds implementation in Poland, there are 404 records (version downloaded in May 2010). Each record concerns a separate evaluation project. There is a link to each report, which may be downloaded. We consider this as an important tool of transparency and a considerable improvement in the policy-making processes. Secondly, there is an indication whether this is an ex ante, ongoing or ex post evaluation. There are also data on the programme to which a given evaluation applies, time horizon, year of the study, commissioning and executing institutions. However, the most interesting to us is the classification according to the predominant context of the study. This point includes the following categories: regional and territorial development, good governance, human resources development, impact of the National Cohesion Strategy on socio-economic development, innovativeness of the economy, environment, development and modernization of infrastructure. It is worth noting that the term ‘sustainable development’ is missing in this catalogue of evaluation perspectives.

The National Evaluation Unit situated in the Polish Ministry for Regional Development identified the following challenges facing the evaluation process in Poland: providing arguments for the discussion on the future shape of the cohesion policy; making use of the evaluation tool in the process of preparation and implementation of national policies not related to the EU; the coordination of the cohesion policy evaluation with the Common Agricultural Policy evaluation processes; a stronger connection between evaluation and programme management; the use of evaluations to allocate the reserve of execution; dissemination of evaluations at a lower level of governance, including at the project level; a rapid development of the potential to commission and absorb evaluations at the regional level; further developments in the methodology of evaluation studies; the use of meta-evaluations to provide a comprehensive assessment of the cohesion policy implementation; carrying out of ex post evaluations for the former programming period; evaluation of issues related to territorial cohesion; more active

participation of academic circles in the growing market for evaluation services; a wider use of evaluation results. Therefore, this list of challenges also lacks the term 'sustainable development'.

[28] Sustainable development evaluations in turkey: what lessons can be taken from the eu practice?

Aysun OZEN, Gül ÖZEROL
Universiteit of Twente, Netherlands, aysunozen(at)gmail.com / g.ozerol(at)utwente.nl

Sustainable development (SD) evaluations are among the crucial tools for the operationalisation of SD. Independent of the type of sustainability intervention, be it a policy, programme or project, evaluations convey valuable information to policy- and decision-makers at all levels regarding the core elements of SD and facilitate policy integration by guiding sectoral policies towards SD.

When the practice of SD evaluations in the European Union (EU) context is examined, it can be argued that the added-value and importance of SD evaluations are acknowledged to a large extent. SD evaluations are incorporated into the policy- and decision-making processes at different levels through various mechanisms, including EU and national sustainable development strategies (NSDS) with priorities and sustainability indicators, as well as EU legislation such as regulations and communications. It can be questioned whether the desirable levels are achieved at the EU level in terms of employing and utilising SD evaluations. Nevertheless, when it comes to the status of the EU candidate counties, they have a much longer road to cover about the practice of SD evaluations. Ensuring that candidate countries acquire and demonstrate the capacity for SD evaluation practice is essential.

Being one of the EU candidate countries, Turkey has to fulfil many requirements during the accession process and the situation is not different within the context of SD evaluations. Turkey does not have a NSDS yet, although there are ongoing efforts to prepare a NSDS and to develop a national SD indicator set. As with all other candidate countries, monitoring and evaluating the policies, programmes and projects within the framework of SD is also critical in order to justify and assess the efficiency and effectiveness regarding the allocation and utilisation of resources. Furthermore, the improvement of the monitoring and evaluation capacity of all relevant stakeholders, including public agencies, research organisations and private sector, is essential.

This paper aims at exploring and comparing the current status of SD evaluation practices in Turkey and in the EU, and proposing recommendations for improvement. The methods adopted in order to reach this aim are the review of national and international documentation and examination of major SD-related programmes and projects at the national level. Regarding the recommendations for improvement, particular focus is on the type of the NSDS and SD indicator set that can both fit the national context and meet EU requirements. Furthermore, the major steps, which can be taken to fill the gap between the current SD evaluation practice and the EU standards, are identified and discussed. Recommendations drawn from the Turkey case can also be relevant for other EU candidate countries.

[29] Sustainable development integration in Latvia's environmental policy

Janis BRIZGA
University of Latvia, Latvia, janis(at)zb-zeme.lv

Policy integration has been part of political and academic discussion for decades. However little has been achieved in practice. Policy integration assessments in the environmental field have always been focusing on environmental policy integration in sectoral policies as part of the sustainable development integrated approach. But this paper is looking at sustainable development integration in Latvia's environmental policy itself, focusing on assessment and analysis of normative, organizational and procedural policy integration instruments. This paper is prepared on the bases of study done as part of the project "Environmental communication instruments for environmental policy integration" which is run by REC-Latvia and University of Latvia under the programme "Environmental policy integration program in Latvia" funded by EEA Financial Mechanism. Study is based on the desk research on academic literature, policy documents and regulations as well as other materials in Latvia and in-depth interviews and focussgroups, which were structured along the lines of a focused conversation or discussion in order to cover the ground relevant to the research questions. The paper concludes that there are no formal policy integration process in place and main integration barriers are lack of integration procedures and conflicting interests of stakeholder. Existing consultative structures are mostly focussing on environmental sector and expert involvement and not integrating social perspective. There is also minimal inter ministerial cooperation to integrate social-economical aspects into environmental policy. It suggests that more attention should be paid to sustainability assessment in environmental planning and normative development as well as open consultative structures for extensive stakeholder involvement from different fields.

[30] Integrated Sustainability Assessment - case study for the Brazilian ethanol context

Tadeu Fabrício MALHEIROS, Carla Grigoletto DUARTE, Heitor Luiz DA COSTA COUTINHO, Ana Paula TURETTA
Universidade de São Paulo, Brazil, tmalheiros(at)usp.br

Concerns about the intensive use of non-renewable energy and its global impacts, including the issue of greenhouse gases emission, are at the focus of discussions on environment and development in recent decades. In the world energy market, liquids remain the world's largest energy source, given their importance in the transportation and industrial end-use sectors. World use of liquids and other petroleum represented 86.1 million barrels per day in 2007. In this context, Brazil plays an important role in the energy area, in view of its high potential as a renewable energy producer, especially bio-energy, as such the ethanol produced from sugarcane. Ethanol production in the 2007/2008 harvest exceeded 22 billion liters. In 2009 Brazil exported 3.3 billion liters of ethanol, and in 2008, 5.2 billion gallons. Brazil exports to countries like USA, Japan, Jamaica, Nigeria, South Korea, Sweden, Netherlands, Costa Rica, El Salvador and Mexico. Therefore, there is an important business opportunity for the Brazilian ethanol in the world market. The Brazilian government and companies, then, are focusing efforts to present the good side of the ethanol for these potential importing countries, and the results were a sudden great increase in the volume of ethanol sold, once exports were virtually zero in 2000. Considering the potential expansion of land occupied by sugarcane as a result of increasing global

demands for biofuel, there are significant concerns of national and international society - the consumers of ethanol - about the balance of direct and indirect impacts from the current model of Brazilian production of sugar cane and ethanol. Social impacts derived from some of the traditional sugarcane crops have been described in literature, including the employment of cheap manpower and very stressful working conditions. Likewise, monoculture and intensive land uses inevitably lead to environmental impacts. The institutional capacity, in terms of socio-environmental management, to confront these negative impacts in a highly complex political and socioeconomic environment still needs to be assessed. Therefore, this article aims at presenting the preliminary results of the applied research project "The sweet and bitter sides of the sugarcane: an integrated sustainability assessment for the Brazilian ethanol context". The paper will then bring a contextual analysis of ethanol in Brazil, addressing impacts, potentialities and weaknesses of the current model and will present the progress of the sector in building sustainability. Several actions of government and private sector are currently focused at the evaluation process, such as certification and indicators. Also, it will be addressed the experience of Brazil in the implementation of an extension of the SENSOR project - Sustainability Impact Assessment: Tools for Environmental, Social and Economic Effects of Multifunctional Land Use, under the coordination of EMBRAPA, in partnership with Alterra/Wageningen, ZALF and other institutions in Europe. Thus, from this framework of sustainability assessment systems, some highlights will be drawn in the perspective for the development and use of tools for integrated sustainability assessment in the context of the Brazilian ethanol.

[31] Is Norway prepared for an evaluation of their sustainable tourism policy initiative, or do they only think they are?

Anethe SANDVE, Linda STROMEI
University of Stavanger, Norway, anethe.sandve(at)uis.no

The concept of sustainability attracts great scholarly interest as well as widespread political backing. Over the last years there has also been an increased awareness of the relationship between tourism and the issues of sustainability. This direction was primarily catalysed by the environmentalism in the 1980s, the United Nations Stockholm Conference of 1987, the subsequent United Nations World Congress on the Environment and Development held in Rio de Janeiro, more known as the Earth Summit of 1992 and the 2002 Rio World Summit on Sustainable Development (Rio +10). However, Agenda 21, the policy product that came from the Earth Summit did not include tourism in its sectoral studies, and thus a separate Tourism Agenda 21 was produced subsequently by the industry itself. Rio +10 did then include tourism and following summits produced internationally agreed documents that were delivered at Rio +10.

The global tourism industry increases by 4 per cent each year, making it the fastest growing industry in the world. The number of travelers worldwide is expected to double within 2020. The Norwegian government has acknowledged how tourism represents immense opportunities and expressed how they want to make sure that Norway gets its share of the global increase in tourism. The Government Declaration of October 2005 announced tourism as one of five areas where Norway has distinct opportunities. Additionally the political support for sustainable tourism in Norway is strong. This is exemplified i.e. with ‘Norway as a sustainable tourism destination’, being one of the three main goals stated in Norwegian tourism strategy (2007). A sustainable tourism industry is additionally defined as one of seven

working areas in the strategy and it is emphasised how it is a clearly defined goal for the government to help develop and promote Norway as a sustainable tourism destination. Thus ten initiatives to help advance a sustainable Norwegian tourism industry are listed.

This policy paper (in progress) undertakes an evaluation of national tourism policy/ strategy in Norway, examining the various national strategies and policies in terms of sustainable tourism. It focuses on the role of national and regional agencies and how their contributions promote progress towards sustainability in the tourism sector.

Secondary data from relevant governmental bodies (the departments of agriculture, fisheries, environment, transport and commerce) of Norway provides the framework for analysing current policy status, and is the starting point for synthesizing these data to inform and propose the role of municipalities and regions in advancing sustainable development for the tourism sector. Review of multiple departments in required due to the absence of one single body responsible for sustainable tourism policies. Information regarding policy implementation and triangulation of data will include various stakeholders' input.

D.4 - THEORETICAL DISCUSSIONS: NEW SD EVALUATION TOOLS AND METHODS — ROOM: *PRIGOGINE*

Chair: Jean-Philippe Waaub - Université du Québec à Montréal

[32] Sustainable development and sinusoidal discounting

Marco SPRINGMANN
University of Leeds, United Kingdom, marco.springmann(at)gmail.com

A central method in impact assessment procedures is cost-benefit analysis: a project's benefits and costs are assessed in monetary terms and weighted against each other to determine the project's overall desirability. Future costs and benefits are discounted to their present values to enable their comparison and to account for consumption time preferences and possible alternative returns to investments. The standard practice in cost-benefit analysis is to use a constant rate of discount and a time scale of up to 30 years.

The integration of sustainability criteria in project appraisals makes it necessary to consider long-term impacts on the environment, society and the economy. While the assessment of long-term costs and benefits constitutes a useful structuring device for impact assessments, the use of discounting on such time scales is problematic. For example, standard discounting with a 10 percent discount rate discounts costs and benefits accruing after 30 years by 95 percent and more. Thus, long-term sustainability objectives are not accounted for and incompatible with such an approach.

Recent advances in discounting have argued for the use of declining discount rates to account for economic uncertainty about the future, behavioural evidence of personal time preference and sustainability criteria. Following those arguments, UK's HM Treasury makes use of a declining discount scheme in its policy and project appraisals since 2003. However, there are two main problems with such an approach. The short-term discount schedule can be at odds with market indicators (which are frequently used for deriving discount rates for public projects) and the long-term schedule still tends to zero.

This can lead to unsustainable and economically incongruent decision-making.

This paper analyses a novel discount approach whose discount schedule follows a sinusoidal form with peaks on generational time scales and a standard schedule in the short term. This sinusoidal discount scheme is compatible with market signals (and market-derived discount rates) when they are valid, i.e. on short to medium time scales, but incorporates concerns for sustainability and intergenerational equity through the higher valuation of costs and benefits accruing in the long term, i.e. when economic uncertainty prohibits the derivation of a definite discount schedule.

The application of this sinusoidal discount scheme to projects with long-term costs and benefits is illustrated and a method for deriving a long-term cost-benefit indicator is discussed in terms of aiding decision-making which incorporates concerns for sustainable development and intergenerational equity. The areas for which the use of the sinusoidal discount scheme is exemplified include the cost-benefit analysis of nuclear waste disposal, integrated assessment of the costs of climate change and forest management appraisals. Policy implications are discussed in terms of economic long-term provisions and sustainable management practices.

[33] Strategic Environmental Assessment: from consumer behavior to spatial planning

Valentina CASTELLANI, Serenella SALA

University of Milano Bicocca, Italy, v.castellani1(at)campus.unimib.it

Strategic Environmental Assessment has been introduced by EU legislation recognizing that spatial planning processes need to be supported by the evaluation of medium and long term effects of policies, plans or programs under investigation. For this reason, SEA is usually performed trough a set of indicators able to assess the environmental condition of the area under investigation and to develop scenarios to predict future evolution of the situation according to the modification foreseen.

Nevertheless, in order to be really useful, spatial planning should consider the limits of the resources available in the area and to include in the evaluation not only the issues that can be directly managed by the planner (e.g. the public authority), but also other factors affecting the local condition, such as consumption patterns of the local community and the relationships between local and global systems.

Trying to pursue this objective, the present work presents an attempt to perform SEA integrating the evaluation made through a set of indicators (which results are compared with local limits) with other sustainability assessment methodologies. The analysis combines indicators with the Ecological Footprint assessment of citizens' consumption and a CO_2 balance of the area.

The Ecological Footprint assessment, and its comparison with local Biocapacity, helps to understand if the level of consumption of the local community exceeds the limits of natural resources of the area (in a perspective of self-sustainment at the local scale) or if there is an overshoot between the footprint and the biocapacity, i.e. if the local consumption the cause of excessive land use in other areas.

The evaluation of CO_2 balance is aimed to focus the attention on the climate issue (which is relevant both at the local and the global scale), in order to highlight disequilibrium between direct and indirect emissions of local activities and the uptake capacity of the area. This evaluation can help to identify the role of spatial planning choices in determining the sustainability of the entire system.

The case study presented in this paper is the implementation of this approach in the Strategic Environmental Assessment of a spatial planning plan of four municipalities in Northern Italy.

[34] Tools for assessing the SD impact of New technology

Karel MULDER
Delft University of Technology, Netherlands, K.F.Mulder(at)tudelft.nl

SD is the challenge of our century. It is not a technological problem that can easily be fixed in the standard method of engineering design. Clearly changes at the level of societal systems and organization are required. But new technologies will play a role in SD, and given the tremendous difficulties in implementing societal change processes, decision makers sometimes hope that engineers come up with a quick technological fix.

However, the hope for a simple technological fix is rather naïve. Substituting technologies almost never occurs. New technology will contribute to SD, but will also affect culture and organization of society. In order to avoid solving one problem by creating another, the effects, side effects and higher order effects should be screened and evaluated. These attempts have in the past been made as "Technology Assessment". But this is not sufficient. As various impacts of new technology are qualitatively new, and are developing in direct relation with new social practices, they confront us with unknown dilemmas. The articulations of SD that we currently use might change over time. As a result we cannot claim to have a final judgment regarding SD of a new technology. However, we must use our SD impact analysis to enrich public debate as without our critical analysis and debates, decision-making, will be determined by the hypes of the day. This paper will discuss tot two tools to assess the impact of a new technology and its SD implications. It will then discuss how results can be used to create productive stakeholder workshops.

[35] Sustainability assessment using Life Cycle approach and monetisation

Elisabeth VAN OVERBEKE, Simon STANDAERT, Bernard DE CAEVEL
RDC Environnement, Belgium, elisabeth.vanoverbeke(at)rdcenvironnement.be

RDC-Environment has developed a methodology based on life cycle thinking and monetisation to evaluate in a quantitative way the environmental, social and economic impacts of a product, service or policy.

Integrating the three pillars of sustainable development takes place through the concept of well-being, depending on the quality of environmental, social and economic aspects. In the methodology developed, the change in well-being is the sum of the following three elements:

– the loss of years of life or of quality of life related to environmental damage or to the activity preventing the environmental damage;
– the increase in quality of life related to net job creations as well as the change in quality of life related to working conditions;
– the increase in quality of life related to available income adjusted for distributional effects.

The well-being is expressed in euro, using monetisation This involves assigning a monetary value to the final effects. A similar meaning is hence given to the monetised results obtained for the three pillars, which allows real additivity and substitutability of the different effects.

The assessed changes in well-being correspond to the aspects taken into account in a decision making process. The economic and social aspects are attached to a geographical area defined by the zone of influence of the

decision maker. Conversely, environmental aspects are taken into account globally, considering that environment has no borders and that agents feel concerned with the global quality of the environment.

The methodology consists first in identifying, using a life cycle approach, the "elementary flows" being either environmental, social or economic. For example, these elements correspond respectively to emissions, hours of training or wage changes. Chains of effects are then determined for associating to each type of impact an amount of final effects. The way to establish the chain of effects is very important. Care must be taken to model the actual consequences of an activity, in particular by examining whether the damage is suffered (and therefore directly translated into the final effects) or whether an action is taken to repair the damage.

Furthermore, case studies conducted in the field of waste management are presented. Carried out mainly at the regional scale in Belgium and in France, these studies compare the effects of different waste management scenarios in terms of sustainable performance. It finally analyses how this assessment method can help the decision making process.

[36] Success or failure of sustainable transition policies. A framework for evaluation and assesssment of policies in complex systems

Albert FABER[1], Floortje ALKEMADE[2], Marko HEKKERT[2]

[1]Netherlands Environmental Assessment Agency, Netherlands, albert.faber(at)pbl.nl

[2]Utrecht University, Netherlands

Since 2001, Dutch transition policy has been in place to govern long-term environmental policy for sustainable system innovation. It is presently well institutionalized in the national system of environmental governance (Smith and Kern, 2009). Dutch environmental policy is subject to regular monitoring and evaluation, focusing on the assessment of effective target meeting and cost-effectiveness (Kruitwagen *et al.*, 2009). The neoclassical environmental innovation framework is not suitable for the articulation of long term environmental policy and the analysis of transition policy (Nill and Kemp, 2009, Van den Bergh *et al.*, 2007), and the development of a practical and conceptually sound policy evaluation tool for transition policies is a task that remains to be resolved. Given the inherently long-term system's perspective and dynamic character of transition policy, which distinguishes fundamentally from other policy fields, a key challenge is how to assess the effectiveness and value of transition policies in place. It cannot be evaluated in traditional terms of effectiveness or efficiency, as the policy goal is generally too far away and the pathway too inclusive of other effects to be able to credibly pinpoint the relevant costs and benefits.

This paper aims to contribute to the development of an evaluation tool for transition policies. In order to develop a useful and analytically sound transition policy evaluation framework, it needs to be recognized that transitions are fundamental changes of socio-technical regimes to more sustainable configurations of complex systems, and that transition policies are therefore fundamentally different in scope from 'regular' policy fields. Our transition policy evaluation framework distinguishes regime change to be a function of two inter-related factors in a quasi-evolutionary model:

1. the *articulation of selection pressures* towards a particular direction, and

2. coordination of the *adaptive capacity* to facilitate regime transformations.

The governance of transitions can be organised through the intervention in these two realms (Smith *et al.*, 2005). The articulation of selection processes involves a coherent *orientation* and an explicit *translation* to policy

processes. Examples are the support of niches of novel socio-technical configurations, measures to support expansion in the regime, measures which promote technological or resource diversity, measures to promote civic debate, measures to harness landscape changes (including environmental policy integration) and measures to create informed debate. Adaptive capacity involves interference in the capacity to absorb shocks while maintaining function (Gunderson and Holling, 2002, Walker and Salt, 2006). The coordination of adaptive capacity is a function of the resources that are made available, and the extent to which responses to pressures are coordinated. Examples lie in the contribution to functions that contribute to the reproduction and susstainability of innovation systems (Hekkert *et al.*, 2007).

An evaluation framework of transition policy recognizes the articulation of selection pressures and the coordination of adaptive capacity as the key factors for the governance of transitions. Our paper will elaborate such a framework and present a preliminary application on distributed electricity generation.

Posters sessions E 17:30-18:30

The idea of the Flash presentations is based on the Pecha Kucha concept, which is the Japanese term for the sound of conversation. The original idea, arisen in design and architecture sphere, is that each presenter is allowed 20 images, each shown for 20 seconds. No more, no less.

Here, participants will have maximum 5 slides and 3 minutes to present their work. As it is not possible to present the whole research and results in such a short time, flash presentations are a creative way to attract public to the 'traditional' poster session on Friday 19th November.

E.1 – Flash presentations (1-9) Room: *Nouvel Auditorium*

Chair: Tom Bauler - Université Libre de Bruxelles

1. Multilevel Assessment of the Progression towards a "Culture of Sustainable Consumption" in Educational Organizations

Daniel FISCHER[1], Malte NACHREINER[2]

[1]Leuphana University Lueneburg, Germany, daniel.fischer(at)uni.leuphana.de

[2]Hochschule Fresenius - University of applied sciences, Germany, nachreiner(at)hs-fresenius.de

2. Challenges, demand for and perceptions of sustainable tourism certification

Aine CONAGHAN

Institute of Technology Sligo, Ireland, aineconaghan(at)gmail.com

3. Effective management of multi-stakeholders in sustainable development projects? The case of the SLaM project
Emmanuel DUGAN
Soil Research Institute, Ghana, emmdugan(at)gmail.com

4. Managing evaluation in the New EU member states: scope and significance
Jaroslav DVORAK
Vytautas Magnus University, Lithuania, j.dvorak(at)pmdf.vdu.lt

5. Evaluating participaction in brownfields' redevelopment - Case of Croatia
Irena DOKIC
The Institute of Economics, Croatia, idokic(at)eizg.hr

6. Evaluating strategies for the planning of sustainable energy systems at regional/local level
Filipa CARLOS
Universidade Porto, Portugal, pds07004(at)fe.up.pt

7. Evaluation of sustainable water use in Ukraine and EU
Yuliya VYSTAVNA
Kharkov National Academy of Municipal Economy, Ukraine, vystavna(at)ukr.net

8. Evaluation of the development programme in a remotely located district
Yogendra KAYASTHA
Humla Development Initiative, Nepal, yogi.kayastha(at)gmail.com

9. Evaluating the success of impact compensation pool in state of North Rhine-Westphalia, Germany
Muhammad HUSNAIN
Technical University of Berlin, Germany, husnain(at)mailbox.TU-Berlin.de

E.2 – Flash presentations (10-19) Room: *Espace Baudouin*

Chair: Michal Sedlacko - Vienna University of Economics and Business Administration

10. Sustainable development evaluation and public engagement in science and technology: convergence and divergence
Diana SMITH
Dublin City University, Ireland, diana.smith25(at)mail.dcu.ie

11. Networking to meet future needs: urban recreational areas
Kathrin RÖDERER
Medical University of Vienna, Austria, kathrin.roederer(at)gmx.de

12. 3rd Party Evaluation of Forestry Resources: An Evident from Mountainous Area of Pakistan
Abdul HAMID
National Engineering Services Pakistan (Pvt.) Limited, Pakistan, hamid_pps(at)yahoo.com

13. A qualitative research for sustainability applications in wellness tourism and a model proposal: afyon province case study

Naci POLAT
University of Dumlupinar, Turkey, polatn2002(at)yahoo.de

14. Sustainable develoment indicators for Fair Trade

Quentin LEROY
Walloon agricultural research center, Belgium, q.leroy(at)cra.wallonie.be

15. The role of organizational culture and advice relationships in learning for sustainability in local governments: A study on Hungarian municipalities

Csaba PUSZTAI
Central European University, Hungary, csaba.pusztai(at)chello.hu

16. Environmental information as a challenge to the successful implementation of Environmnetal Impact assessments: the case of Greece

Jason PAPATHANASIOU[1]**, Dimitra MANOU**[2]
[1]University of Macedonia, Greece, jasonp(at)uom.gr
[2]Aristotle University of Thessaloniki, Greece, dimj(at)law.auth.gr

17. Evaluation of the involvement of industrial sites' actors and territorial governance

Anaïs GUERIN CHAPEL
Université de Rennes, France, anais.guerinchapel(at)gmail.com

18. Comparing strategies for Strategic Environmental Assessment of land use plans among Italian regions

Marika FERRARI
University of Trento, Italy, ferrarim(at)ing.unitn.it

19. Monitoring the contribution of FP7-funded research to sustainable development

Markus HAMETNER
Vienna University of Economics and Business Administration, Austria, markus.hametner@wu.ac.at

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THE CHALLENGE FOR RESEARCH: NETWORKING AND CAPACITY-BUILDING IN THE FUTURE

08:30	Registration and poster installation	*Hall Dupréel*
09:00	**F.1 – Refining tools for evaluation** 37. Foresight researches in creation of regional innovation policy for sustainable development - evaluation practices in Podkarpacie Province in Poland 38. Sustainable Development in Russia: Audit versus Political Pressure 39. Collaborative decision process and impact assessment instruments for a strategy of sustainable urban development: example in a French rural territory 40. Adapting analytical methods for the choice of environmental policy instruments 41. Impact assessment tools in planning for sustainable development of culturally significant urban areas	Parallel sessions F Room: *Dupréel*
	F.2 – Indicators for SD evaluation 42. Sustainable development indicators for Industrial Ecology: Methodology proposals and first results 43. Assessing sustainability in regional planning: the role of indicators in measuring the impact of development 44. Comparative study of SEA experiences between EU and China: from the perspective of indicators using 45. The limits of indicators in public policy evaluation: The case of e-waste 46. Sustainability Assessment and Sustainability Indicators: Conceptual Linkages and Theoretical Clarifications	Room: *Conseil d'Administration*
	F.3 – SD evaluation and rural development 47. Evaluating Sustainability of Rural Development Projects in Context of National Policy for Sustainable Development - application of quasi-experimental approaches in realities of Ukraine 48. SD evaluation as a tool for strengthening the EU good governance 49. Multi-scale integrated approaches for evaluating development strategies' sustainability in rural areas. Case studies from Europe (Italy) and China 50. Evaluating Sustainability of Community Development Projects in Ukraine 51. The organization of the on-going evaluation of rural development policy in Italy	Room: *Baugniet*
	F.4 – Workshop: systemic evaluation	Room: *Janne*
10:30	Coffee break Poster presentations in the hall	*Hall Dupréel*
11:00	**EVALUATING SUSTAINABLE DEVELOPMENT - COMMUNITIES, ACHIEVEMENTS AND STILL A LOT OF CHALLENGES** **André MARTINUZZI**, Easy-Eco Network Coordinator, Vienna University of Economics and Business Administration	Plenary session G Room: *Dupréel*

11:45	Round Table discussion **EVALUATION RESEARCH AND PRACTICE: SOME PROSPECTS** Moderated by: **Ursula KOPP**, Easy-Eco, Vienna University of Economics and Business Administration **Nicole DEWANDRE**, DG Research, European Commission **Marina FISCHER-KOWALSKI**, Universität Klagenfurt, AT **Clive GEORGE**, University of Manchester, UK **Sandor KEREKES**, University of Budapest, HU **Wolfgang MEYER**, University of Saarland, DE **Karolina MIKOVA**, Partners for Democratic Change, SK **Miranda SCHREURS**, Freie Universität Berlin, DE **Daniel WACHTER**, Federal Office for Spatial Development, CH **Thomas WIDMER**, Universität Zürich, CH
13:00	Closing Words and Farewell **Tom BAULER**, EASY-ECO Conference Chair, Université Libre de Bruxelles
13:15	Lunch and departure
15:00	EASY-ECO partners meeting

Plenary session

Plenary session G

11:00 – 11:45

Room: *Dupréel*

Evaluating Sustainable Development – Communities, Achievements and still a lot of Challenges

André MARTINUZZI,
Vienna University of Economics and Business Administration, Switzerland

Chair: Usula Kopp - Vienna University of Economics and Business Administration

Andre Martinuzzi *(Dr.) is head of the Research Institute for Managing Sustainability (www.sustainability.eu) and associate professor at the Vienna University of Economics and Business (www.WU.ac.at). He studied business administration, has a doctoral degree in general management and a postdoctoral lecture qualification (venia docendi) in Environmental Management and Sustainable Development Policy. His main areas of research are evaluation research, sustainable development policies, corporate sustainability and knowledge brokerage. During the last years, he has co-ordinated projects in the 5th, 6th and 7th EU Framework Programme, has conducted tendered research projects on behalf of six different EU DGs, Eurostat, the UN Development Programme and for several national ministries. He designed and implemented an internet-based monitoring system for the 7th EU Framework Programme (www.FP7-4-SD.eu), developed tools for the sustainable consumption and production knowledge hub (www.scp-knowledge.eu) and currenlty leads a work package in the IMPACT project (www.csr-impact.eu), dealing with impact measurement and performance analysis of CSR. Starting in 2011, he will co-ordinate the project "RESPONDER" on linking research and policy making for managing the contradictions of sustainable consumption and economic growth, which is also funded by the 7th EU Framework Programme.*

Parallel sessions

Parallel sessions F 09:00 – 10:30

F.1 – REFINING TOOLS FOR EVALUATION ROOM: *DUPRÉEL*

Chair: Anneke von Raggomby – Ecologic

[37] Foresight researches in creation of regional innovation policy for sustainable development - evaluation practices in Podkarpacie Province in Poland

Bozydar ZIOLKOWSKI
Rzeszów University of Technology, Poland, erudyta2(at)wp.pl

Because of the major role of sustainable development in the socio-economic sphere the eco-innovations should be selected as priorities in regional policy. During identification of mentioned priorities as well as research and commercial development (R&D) directions the foresight researches can be successful methods. The foresight instrument allows engaging representatives (practitioners and theoreticians) from many environments (governmental, research, industrial) to jointly discuss on and next create the future situation of a region. The effects of such foresight approach can be successfully implemented by means of regional innovation systems.

Foresight gives occasion for creating, testing and than integrating sustainable development (SD) evaluation methodology with various assessment procedures used on regional level. This can be achieved by utilizing foresight outcomes in the regional innovation strategies. When iterating foresight exercises (combined with incorporated SD assessment) it is a chance to constantly implement the sustainable development results into the regional innovation system. Simultaneously there is a need to design and integrate SD evaluation with existing methodologies. It should be a vision for the future and a serious challenge for municipalities and regions in adopting and advancing SD evaluation practice.

The main aim of this article is presenting the results as well as methodology of foresight researches for Podkarpacie Province in Poland. The foresight project was realized between the years 2006-2008 within The Sectoral Operational Programme „Improvement of the Competitiveness of Enterprises, years 2004-2006", to strengthen co-operation between R&D sphere and the economy.

By virtue of the title attributed to foresight project („Priority technologies for sustainable development of Podkarpacie Province") the purpose of these researches was creation of such kind of methodology which would allow identifying eco-innovative technologies as well as key development directions in the regional policy for the R&D sector.

Foresight is an instrument for initializing the process aimed at construction of new model for the inter- and intra- regional policy. Most of the European countries used foresight since a long time because it guarantied better effectiveness in decision-making of regional municipalities.

In the article there was presented how to use the foresight to support the process of

identification (by consensus among key stakeholders) of optimal objectives as well as instruments for regional policy.

The presented article is a source of good practices and first collected experience from Podkarpacie Province on how to apply foresight and SD assessment (or evaluation) for supporting actors in the process of regional decision-making.

The empirically verified in Podkarpacie Province foresight methodology is significant example of instrument that encompasses many research methods and stimulates defining of objectives on sustainable development. The adopted approach allowed identifying seven key regional sectors and in every of them at least one technology which deserves priority supporting in the future innovation policy in region as well as there were constructed numerous analyses and scenarios.

The conducted researches generated a research material oriented to sustainability at sub-national level and would be especially useful during the process of updating Regional Innovation Strategy for Podkarpacie Province.

[38] Sustainable Development in Russia: Independent Evaluation versus Political Pressure

Ksenia GERASIMOVA
University of Cambridge, United Kingdom, klg37(at)cam.ac.uk

The paper is a case study, centred at the work of WWF in Russia in advocating for sustainable development and introducing independent evaluation into forest management control. The brief review of current approaches and actors involved reveals serious gaps in the current Russia official approach towards sustainable development. Despite the official shift towards sustainable development (Concept of Transition to Sustainable Development, 1996) and certain legislative activity, the legislative basis for environmental protection in the country has been weakened and became less transparent in recent years, according to experts (WWF, 2007). For example, it is lack of norms that leads most company to contribute to pollution and irresponsible use of resources, escaping punishment, in forest sector. While private sector, companies are often perceived as part of the problem, the actual review of the situation, made by environmental NGOs, such as WWF, can dismiss the existing myths about irresponsible and carefree Russian companies, showing a different reality where many Russian companies take concrete measures to reduce negative effects on environment, such as voluntary forest certification, and that often ecology subject is a part of political pressure. On the contrary, the introduction of clear indicators, independent evaluation can minimize such speculations and can help to decrease number of illegal production. For that WWF Russia has become a strategic partner with World Bank and the European Union in the promotion of sustainable forestry management (SFM) under the program of the ENPI FLEG (Forest Law Enforcement and Governance under the European Neighbourhood Policy Initiative).

[39] Collaborative decision process and impact assessment instruments for a strategy of sustainable urban development: example in a French rural territory

Pierre-Henri BOMBENGER, Jean-Philippe WAAUB
Université du Québec à Montréal, Canada, bombenger.pierre-henri(at)courrier.uqam.ca

This communication presents the Sustainable Assessment Planning System (SAPS) approach, which runs from 2007 to 2010 on the territory of the Regional Natural Park of Ballons des Vosges (France). This applied research project analyses how the SAPS tool and decision process, based on social and environmental impact assessment, can help sharing goals towards sustainability and influence the processes of spatial planning.

The Park is characterized by a strong urban dynamic: since a decade, five square meters of agricultural land is urbanized every minute, aspect of construction is becoming trite, biological corridors are disrupted. In preparation for the third Charter period 2010-2022, the park councillors chose to make sustainable rural planning one of the major challenges of the new project.

In three municipalities, researchers and planners develop and test the socio-technical system of decision support SAPS to assist local councillors in developing their local town plan (LTP). This method is designed as a sustainable development evaluation tool for decision support and as an arena of negotiation between multiple stakeholders with diverse interests.

Initially, nearly 250 local councillors set policy objectives of rural planning for the new Charter in terms of very broad principles. At the same time, these guidelines should be specific to the village's context and respond to global issues of sustainable development. On the basis of this political project, the experimental approach continues. In March 2009, three villages start testing the approach SAPS by building their LTP. In this second phase, the objective is to effectively translate the apparent consensus around the general concepts of Charter in the political and municipal-zoning plan opposable to builders. In this phase, conflicts appear between landowners and the strongest opposition in the definition of the rights to build.

Experimentation SAPS relies on an integrated decision support system for a multicriteria territorial assessment of town evolution. The scenarios of urban development are discussed during the preparation of local plan. They cover the definition of the location, type and size of new establishments primarily residential. Experimentation SAPS finds its place in the usual procedural framework for the improvement of a town plan: a development partnership between the local councillors, public institutions (Regional Natural Park, local State services, Chamber of Agriculture, etc.) and town-planning consultants. SAPS tool is based on three integrated modules: (I) a GIS module of territorial knowledge aiming at greater involvement of non-specialized stakeholders around the negotiation table; (II) a 3D territorial simulation module helping politicians among others to look to the future developments; and (III) a territorial multicriteria assessment module based on eleven sustainability criteria proposed by researchers and validated with stakeholders.

The tool allows a co-production of information, representations and finally the involvement of stakeholders. Seeking flexibility, better mutual understanding and useful knowledge shared in the negotiation, the SAPS approach provide enhanced local planning efficiency and quality. It also focuses particularly on accountability and personal mutual learning in the understanding of the territory and its future. Through this mediation by impact assessment tool, stakeholders develop a new standard for local sustainability of urban planning.

[40] Adapting analytical methods for the choice of environmental policy instruments

Sachin Kumar BADKAS
Maastricht University, Netherlands, sachin.badkas(at)maastrichtuniversity.nl

No amount of effort can show a particular policy option to be indubitably better than all the others on the table and for everyone at the table. That is truer in the environmental sector and truer now than ever before. The number of policy instruments both in practice and on the theoretical shelf is rising. The forms of analyses for evaluating them have themselves grown in number. Ex-ante choice of instruments is perhaps the most problematic stage in the policy process. Nevertheless, the thrust on ex-ante analysis is growing with Regulatory Impact Assessment (RIA) at the centre of political vogue and legal interest. RIA is now mandated in most jurisdictions including the EU. The European context is a case in point, as analysts are faced with a befuddling choice of policy instruments to transpose directives concurrently applied in EU member states.

Pioneering environmental policy needs pioneering analytical techniques. There is a clear need to bridge Europe's lead in environmental policy with America's head start in professional policy analysis. In the realm of environmental policy, almost all analysis is primarily economic, usually in the guise of Cost Benefit Analysis (CBA). Despite definitive guidelines, its use has been subject to exhaustive commentary or criticism, much of it specific to the environmental sector. Yet, critics have often stopped there. That is, they have stopped short of giving viable, saleable alternatives.

This research explores the analogous adoption of technique from Life Cycle Analysis (LCA) to modify and study a choice framework based the practice of CBA and Cost Effectiveness Analysis (CEA). CEA deals with units of objectives for policy instruments and LCA is particularly adept at defining complex functional units for product comparisons. The new method is a form of CEA with an emphasis on developing multiple units of comparison and studying the effect of the choice of the unit on the instrument choice. The other objective is to enable a disaggregated comparison of costs of environmental policy instruments by categories and in a well-defined frame of reference. This paper presents a 'proof of concept' design of the proposed method, including application to a hypothetical case.

The modified cost-intensive method aims to facilitate the construction of comparative equivalence for disparate instruments while expanding the taxonomy of costs considered. The following distinct advantages are envisioned: benchmarking costs categories across jurisdictions and instruments; critical institutional design of implementation; and insights into interaction between costs of concurrent policies. In summation, these goals should pave the way to more efficient and more informed policy choice and design and to policy that is easier to sell.

[41] Impact assessment tools in planning for sustainable development of culturally significant urban areas

Tatiana V. VAKHITOVA
University of Cambridge, United Kingdom, tvv21(at)cam.ac.uk

Cultural heritage has diverse values and therefore necessitates the participation of different stakeholders, such as heritage experts, city planners, architects, and local community groups in the urban planning process. The PhD research project considers the assumption that impact assessment tools, such as environmental or social impact assessments, which are used to facilitate decision-makers in their choice of a more sustainable alternative, provide a useful participation-based framework and finds that the way diverse heritage values are introduced in assessment practice is not adequate. The project focuses on this problem by analyzing the process of identification and communication of cultural heritage values in the example of World Heritage (WH) sites with officially identified Outstanding Universal Value (OUV).

The research project is designed to respond to identified problem field. The ultimate aim of the research is to facilitate the planning decision-making process in culturally significant urban areas, based on the values and knowledge of the local community, by encouraging informed participation of key stakeholders. The research sets out, firstly, to, provide evidence for structuring of cultural heritage values in a framework for use by planners and developers; secondly, to develop recommendations on the design of the impact assessment process for culturally significant urban areas; and thirdly, to identify international cases of best practice as a valuable benchmark for both city planners and developers to use in strategic planning for conservation and development.

The methodology includes both quantitative and qualitative approaches: case studies and surveys' analyses. Data collected through interviews and through desk-based research will be compared with those collected through surveys. Part of the research methodology includes several seminars with focus groups from academia and practice to collect their feedback on research methodology and initial assumptions.

Chosen case studies will comprise WH sites in the UK. In particular, the research will focus on sites over which UNESCO has expressed concern regarding existing/potential negative impacts of developments on OUV. Statistics show that in 2007 40% of WH sites reported potential negative impacts of urban development and regeneration projects on OUV. Hence the research will contribute to an understanding of the reasons underlying this negative trend.

The PhD research also contributes to an international research project "OUV of WH Cities and Sustainability". This is a collaboration work with UNESCO WH Centre and Eindhoven University of Technology in Holland. The findings will be used in a web- based tool, which maps the OUV assessment process, and thus leads to increased transparency and sustainability in planning decision-making practices of WH sites worldwide.

This conference paper will present the background for the research in progress. First of all, the Built Cultural Heritage will be described as a complex social phenomenon in the context of Sustainable Development. Secondly, the paper will demonstrate the basis for identified research questions by presenting the concepts of: 'Values – Centered' and 'Active' conservation. Thirdly, it will uncover aspects, specific to WH sites' regulations and management, and fourthly, it will outline stages for the upcoming research. Finally, it will provide initial findings from the pilot field work and dedicated seminars.

F.2 – INDICATORS FOR SD EVALUATION **ROOM: *CONSEIL D'ADMINISTRATION***

Chair: Beatriz Izquierdo - University of the Basque Country

[42] Sustainable development indicators for Industrial Ecology: Methodology proposals and first results

Muriel MAILLEFERT, Irene ADAMIDES, Cyril DECOUZON
University of Lille, France, muriel.maillefert014(at)orange.fr

Industrial Ecology (IE) aims at minimising energy and material flows of industrial processes. Initially, IE was thought as an analogy between industrial and natural systems. In the latter, energy and material flows are cycled so that the system tends to become self-sufficient. Over the last thirty years, numerous experiments have been lead around the world, the most famous being Kalundborg symbiosis. France was a slow starter but some territories have undertaken larger scale projects and thus, appear as the country's leaders in the field of applied IE (Aube and Dunkerque).

IE synergies are not limited to intercompany flows; they may be undertaken on larger scales, e.g. territory. The stakes are then different, especially in terms of Sustainable Development (SD) since IE applications promote more sustainable forms of development on industrial zones or territories. Nevertheless, sustainability takes different forms depending on what is at stake (weak or strong sustainability, application fields of sustainability criteria, measure of sustainability…).

Regarding environmental issues, evaluations may be specific (e.g. assessment of an externality) or general (e.g. measure of biodiversity). In the economic field, main interest of companies and territories, both approaches represent important, but often partially grasped, stakes for the project's orientation. Therefore, the choice of relevant evaluation fields (economic, environment, society) and methodologies (quantitative, qualitative, monetary or non monetary…) is a strategic one.

We here offer evaluation tools for SD applied to local IE experiments. They are build to guide the decision making process but may be used in a more general manner to assess territorial approaches to SD. We start with a review of all SD indicators. Numerous have been submitted by European, national and local organisms (Eurostat, DATAR…). Among them, some may be applied directly or adapted to IE while others are constructed ex-nihilo.

Most approaches are based on the three pillars of SD (environment, economy and society) and generate non-transversal and specialised indicators. They offer a static representation of the approach. Since none of the indicators reviewed refers to, for example, coordination modes, this construction of indicators becomes necessary. Indeed, we think that grasping this dynamic dimension is fundamental to understanding why experiments fail or succeed. Thus, we offer a two-step methodology for the construction of indicators that originates at the actors' level, their network and coordination processes.

Firstly, we suggest testing the general feasibility of an IE experiment using a logical pattern of project organisation that takes into account the different dimensions of IE (techniques, economic, environment, risks). Secondly, we classify indicators into four themes: material and energy flows, functioning mode of the industrial area, environmental integration and territorial development. Some indicators refer to the company scale when others to a larger scope. We suggest that users

will eventually choose among those indicators depending on the objectives of collective action or, even better, that all stakeholders of the project will construct together a set of indicators.

During this experimental phase of indicators construction, we suggest that indicators will be tested on different territories and on potential and/or more advanced synergies.

[43] Assessing sustainability in regional planning: the role of indicators in measuring the impact of development

Adrienn BURUZS, Miklós BULLA
[1]Széchenyi István University, Hungary, buruzs(at)sze.hu

The widespread acceptance of the utility of EIA in improving the quality of decisions about proposed projects has led to active consideration of, and growing practice in, strategic environmental assessment (SEA). On the other hand, indicators perform many functions: they can lead to better decisions and more effective actions by simplifying, clarifying and making aggregated information available.

In the present paper we focus on monitoring methods on regional and local level with the means of EIA and SEA. We give a definition of the region in the terms of developments; a definition of regional development and regional sustainability. We review the evaluation methods of the impacts of interrelated activities (e.g. the process of planning, design, and operation) and give an introduction to indicators measuring the sustainability of developments.

The classification of and requirements for indicators are also brought into focus of this paper. The results from pilot project as lessons learned are demonstrated. We also demonstrate the risk and limitations of monitoring through indicators.

Finally, in the conclusion we give a proposal to set up requirements in order to develop indicators for sustainable regional developments.

[44] Comparative study of SEA experiences between EU and China: from the perspective of indicators using

Jingjing GAO
Aalborg University, Denmark, jingjing(at)plan.aau.dk

Strategic Environmental Assessment (SEA) has been a useful tool in achieving sustainable development. It evaluates the environmental consequences of proposed policy, plan or program (PPP) to ensure they are fully included at the earliest stage of decision-making. Indicators are useful in those evaluation activities by which the complex impacts and relationships arising from the development can be measured and presented more simply. Designing indicators for evaluation raises question concerns general public participation, experts' consultation and decision making. One of the questions is how inclusive the system will be in relation to environmental, economic and social indicators. Another one is how to find the appropriate aggregation level for indicators using. This paper takes comparative study of the international experience in SEA between European countries and China, focusing on SEA's different performance influenced by the ways using indicators. Do they use indicator or not when doing an assessment? How do they use them? Are indicators opportunities or limitations in an evaluation process, and are they positive or negative in providing information to decision making? From the

perspective of implementation theory, the paper analyzes the whole process of a development activity from the input to the outcome and output. By documentary study of e.g. national SEA legislation and guidance, the paper values the different requirements related to indicators using in SEA by the national SEA system. Then SEA statements/reports are selected and interviews with the SEA practitioners are conducted to look into the technical part in designing and using indicators in SEA process. Finally it explores the indicators role in influencing the SEA's effectiveness, by assessing the final effect of the SEA reflected through both the output e.g. SEA Statements/ Reports and the outcome e.g. the actually change in both environmental and democracy in the reality, in both a direct and indirect way (Stoeglehner, G., Brown, L. and Kørnøv, L. B, 2009).

[45] The limits of indicators in public policy evaluation: The case of e-waste

Cédric GOSSART
Telecom Business School, France, Cedric.Gossart(at)telecom-em.eu

In this paper we present the results of a project funded by the StEP initiative of the United Nations University in Bonn aiming to comparatively evaluate the performance of e-waste policies in four European countries (Belgium, The Netherlands, France, and Switzerland). The topic of e-waste is getting more and more attention from researchers and politicians given the magnitude of the problems at stake. However, it is a yet under-investigated field of research in social sciences, especially in public policy analysis. European countries are providing good case study material since the EU is an early mover when it comes to address the e-waste problem, notably with the WEEE directive (Waste of Electrical and Electronic Equipment). Since the e-waste problem is global, many other countries are looking forward to knowing more about the lessons learned by the old continent when trying to solve the e-waste problem. In order to better understand what these lessons may look like, e-waste policies need to be evaluated. Since they are relatively recent, tools and instruments to do so are lacking. We propose to fill this knowledge gap by building a methodology to compare e-waste policies in different countries. This has required collecting a wide range of indicators used in the four case study countries to monitor e-waste issues, and to analyse the extent to which the data these indicators have allowed to collect can be compared across countries. Results suggest that there is an important discrepancy in the way e-waste policies are implemented in Europe, which makes it difficult to find indicators that can be used as such to carry out cross-country comparisons of e-waste policies. This has led the StEP consortium to launch a new project seeking to model e-waste flows and policy performance, in order to produce data that can be used to compare e-waste policies. Finally, given the difficulties encountered to evaluate e-waste policies by using indicators, we suggest to carry out a subjective evaluation of these factors. This method has already been used elsewhere (e.g. by the OECD) and requires asking relevant stakeholders such as producers, recyclers, or government authorities to rank the factors which in their opinion are most conducive to *best* e-waste policies.

[46] Sustainability Assessment and Sustainability Indicators: Conceptual Linkages and Theoretical Clarifications

Jean HUGE[1], Tom WAAS[1], Aviel VERBRUGGEN[2]
[1]Vrije Universiteit Brussel, Belgium, Jean.Huge(at)vub.ac.be / tom.waas(at)vub.ac.be
[2]University of Antwerp, Belgium, aviel.verbruggen(at)ua.ac.be

Sustainability Assessment (SA) and Sustainability Indicators (SI) are essential concepts and instruments to move towards a (more) sustainable society and are used in many fields of applications and for varying purposes. While both concepts are inherently interwoven they are often discussed separately or only implicitly linked.

In this paper we discuss both concepts and propose a coherent logical framework that connects SA and SI and that builds on the literature and research experiences. The framework aims not only to be useful for a theoretical understanding but also for practice. We also pay attention to the various roles and applications of SA and SI in the societal transition towards sustainable development.

F.3 – SD EVALUATION AND RURAL DEVELOPMENT **ROOM: *BAUGNIET***

Chair: Wolgang Meyer - University of Saarland

[47] Evaluating Sustainability of Rural Development Projects in Context of National Policy for Sustainable Development - application of quasi-experimental approaches in realities of Ukraine

Yuriy NESTEROV[1], Vladyslav KARPENKO[2]
[1]University of Arkansas, Ukraine, YNesterov(at)gmail.com
[2]National Academy of Public Administration of Ukraine, Ukraine

The article discusses advantages and disadvantages of several quasi-experimental approaches to evaluation of sustainability of rural development projects in Ukraine. The analysis is exemplified by the program logic model employed by Heifer International, which includes a unique passing on the gift mechanism (POG). Local obstacles and difficulties are broadly discussed, whereas the positive role of access to state of the art evaluation expertise through global nonprofits, like Heifer International, is underlined in this respect. Against this general background, the sustainability-related aspects of impact evaluation are emphasized. The findings of the study are intended to establish a link between the local rural development initiatives and the process of shaping national rural sustainability policies in Ukraine.

The socio-economic development of village communities has typically a top priority status in rural development initiatives, but sustainability considerations are crucial to ensuring durability of the impact. Therefore the authors propose ways to mainstream the sustainability considerations into both formative and summative evaluations, particularly as they concern the intervention's contribution to the Millennium Development Goals (MDG). The sustainable development principles are applied as interpreted in Ukrainian and EU strategic documents and legal acts, which are analyzed to define some of the evaluation criteria. In addition to the

non-profit initiated interventions, the authors discuss aspects of country-led participatory sustainability evaluations of the rural development initiatives run by national governments.

Drawing on the extensive experience of rural development nonprofits in Ukraine, the authors conclude with a draft theoretical model for quasi-experimental formative evaluation of rural development projects within the national government and in the non-profit world. Being the first attempt to adjust the global experience of sustainability evaluation to Ukrainian realities, the article helps to pave the way for future development of the national sustainability evaluation procedures. Sustainability evaluation is anticipated by the authors to become the integral element of evidence-based formulation of rural development policies in Ukraine.

[48] SD evaluation as a tool for strengthening the EU good governance

Barbara WIELICZKO
Institute for Agricultural and Food Economics, Poland, wieliczko(at)ierigz.waw.pl

In 2001 the European Commission presented a document untitled "*European Governance. A White Paper"*[(1)]. In this report it described principles of good governance that are pivotal to achieving high standards in the EU public management. There were five good governance principles named: openness, participation, accountability, effectiveness and coherence. As the evaluation process of the EU co-financed programmes is supposed to play a vital role in the EU policy implementation it should also comply with the good governance principles. However, as an analysis of the EU rural development policy evaluation system[(2)] showed, it does not fulfil these principles and thus it is not an effective tool to improve the quality of the policy and EU governance. The rural development policy is a perfect example of the policy that requires a sustainable development approach as it combines economic, social and environmental issues of the EU development and cohesion processes. Therefore, a well designed and carefully conducted evaluation process is an indispensable tool for achieving EU general aims.

The SD evaluation approach is a perfect solution to the shortcomings of the currently used evaluation system. This approach offers a wider perspective for the evaluation of a complex and multilevel policy instruments. The SD evaluation is the right response to a critical question of how to strengthen transparency and participation of the EU policy and its evaluation system. The EU policy urgently needs a more participatory approach throughout the whole policy process. The philosophy of sustainable development evaluation can bring fresh light to the issues of rural development. The only solution to the problem of how to invigorate rural areas and set in motion their growth potential and support activities towards protection of the environmental endowment and their amenities is to apply the sustainable development concept and build social consensus on the idea of a holistic approach towards rural areas as territory most predestined to be a model of the practical implementation of the SD concept. The SD evaluation is also a key factor in enhancing the effectiveness and coherence of the EU policy. The critical opinions on the current evaluation system show a pressing need for a profound reform not only of the structure and tools of the evaluation but also the whole approach towards the evaluation and its role in policy cycle and the EU governance.

The debate on the new programming period that is about to come in a decisive phase can create a great opportunity for introducing new proposals of designing the whole evaluation system. Therefore the proponents of SD concept should become more active in presenting their opinions on the benefits of this

approach in all spheres of the EU activity where it could be successfully implemented. The evaluation is just one of such areas.

Notes

(1) Commission of the European Communities (2001), *European governance. A White Paper*. COM(2001) 428 final. Brussels, 25.07.2001.

(2) B. Wieliczko (2009), The analysis of the EU Policy towards rural areas. PhD thesis prepared at the Institute for Agricultural and Food Economics – National Research Institute, Warsaw.

[49] Multi-scale integrated approaches for evaluating development strategies' sustainability in rural areas. Case studies from Europe and China

Giuseppina SICILIANO
University IUAV of Venice, Italy, giuseppina.siciliano(at)gmail.com

The objective of this paper is twofold: (1) to investigate the synergies arising from the implementation of multi-scale and multi-criteria approaches in the evaluation of development policies' sustainability in rural areas; (2) to explore the trade-offs of rural development strategies in two case studies located in Europe and China. The paper argues that multi-criteria and multi-scale approaches can provide a useful framework with which to structure an integrated analysis of development policies in order to assess their effectiveness in achieving sustainability goals.

The analysis is performed by selecting and evaluating multidimensional criteria, which represent the main goals of development policies in the areas of study (increasing the income per capita, reducing the human pressure on the environment, improving the social condition of the rural population). Moreover, multi-scale analysis is performed to define boundary conditions and trade-offs for future local development.

The first case study refers to a rural area of Italy and deals with the analysis of the effectiveness of the Common Agricultural Policy (CAP) to support sustainable agriculture at the farm level. The second case study refers to a rural area of China and deals with the evaluation of development-induced urbanization strategies at the household and village levels. The method used refers to Participatory Multi-Criteria Evaluation (Munda, 2004, 2008) and multi-scale approaches (Giampietro, 2003; Millennium Ecosystem Assessment, 2005). The use of the two methodologies is needed to capture both the multidimensional and multi-scale aspects of the rural development policies analysed and to generate several sets of "view-dependent" representations of rural systems that are useful for trade-off assessments to support decision-making processes.

The paper also offers a comparison of the main strategies of Europe and China in achieving sustainability goals in rural areas.

[50] Evaluating Sustainability of Community Development Projects in Ukraine

Dzvinka KACHUR, P ZAMOSTYAN, Y PRADHANANGH
National University of Kyiv-Mohyla academy, Ukraine, dzvina(at)hotmail.com

The paper describes differences in the sustainable community development evaluation techniques of UNDP and EU-UNDP (the UNDP Chornobyl Recovery and Development Programme and Community-Based Approach to Local Development

Programme) programmes in Ukraine and compares results of evaluation with the results of general population survey(210 respondents) on sustainability.

Since mid 90-th UNDP is implementing community development programmes in Ukraine targeting enhancement of communities' sustainability. One of the first programmes launched was UNDP Chornobyl Recovery and Development Programme implemented with the support of different donors. Within the programme over 260 community initiatives were implemented. Indicators for projects evaluations included indicators in social, economic and environmental areas.

In 2007 based on positive experience of community development initiatives in Ukraine European Commission in cooperation with UNDP launched The Community Based Approach to Local Development Project (CBA) - an all-Ukrainian initiative aiming sustainable community development. European Commission as a donor has also set up sustainability evaluation criteria for the project implementation. The evaluation criteria approved by CBA correspond with EU set of sustainability criteria. As result, the methodology of the community development process and evaluation technique has been changed.

The paper analyses gaps and efficiency of evaluation techniques of sustainable community projects in the districts of Northen Rivne region of Ukraine.

[51] The organization of the on-going evaluation of rural development policy in Italy

Simona CRISTIANO[1], Vincenzo FUCILLI [2]

[1]Italian National Institute of research in agricultural economies, Italy, cristiano(at)inea.it

[2]University of Bari, Italy, v.fucilli(at)agr.uniba.it

The planning and implementation of interventions for rural areas delineated by the Community regulatory framework, to foster a sustainable rural development, is based on a design priority declined by Community Strategic Plans and National Rural and / or Regional Development Programmes (RDPs). The current regulation introduces a more strategic approach to rural development by establishing three main objectives and the reorganization of sub-goals and objectives of the measures compared to the previous programming cycle. The RDPs, therefore, represent the single programming documents in which an organic, systematic and uniform policy will be adopted for the sustainable development of rural areas co-financed by the European Agricultural Fund for Rural Development (EAFRD).

The more strategic emphasis on the approach given to the rural development policy has also resulted in substantial changes in the system of evaluation and monitoring: "The approach to monitoring and evaluation for the period 2007-2013 is based on them arrangements in the last periods, but will be implemented in a more systematic manner and adapted to a number of new requirements in the RD regulation (European Commission, 2006, p. 5). The main changes consist in strengthening the strategic monitoring and evaluation and their allegiance, the ability to aggregate products, results and impacts of interventions at EU level and especially in organizing the ongoing evaluation (on-going) which is carried out continuously during the implementation of the RDPs, regardless of their specific status of implementation. Thus, the evaluation is for this planning cycle (and more than in the past) an essential tool to positively influence the management processes of the Rural Development Program, helping to improve their efficiency and effectiveness in achieving sustainable rural development.

Innovations and complexity of evaluations of RPDs and the emerging responsibilities of the Managing Authorities (MAs) on the evaluative processes need the definition of structures able to better manage processes and foster use of results.

The Managing Authorities of RDPs, since 2008, have initiated the activities necessary to achieve the complex processes of evaluation of rural development policy 2007-2013 under Community rules, by establishing evaluative plans, identifying specific evaluative questions, proper procedures for the holding of (independent) evaluation services and the establishment of structures that will "govern" the evaluation process.

The paper, after having outlined the broad principles and approaches that govern the evaluation of rural development policy, offers an analysis of the state of implementing the on-going evaluation in Italy, of the choices made by the MA for the holding of (independent) evaluation services, the professionalism required, the expected products (including those aimed at improving the communication of assessment results), the financial resources deployed, the specific evaluative questions and / or thematic evaluations, predictions on interaction between on-going evaluation and evaluation of other territorial policies, the structures designed to support and guarantee the quality of on-going evaluation of the RDP. The paper also proposes some insights in order to better reflect and consolidate the processes of rural development programmes evaluation and offers two case studies following the strategies for case selection suggested by Flyvbjerg (2006).

F.4 – WORKSHOP: SYSTEMIC EVALUATION — ROOM: *JANNE*

Chair: Michal Sedlacko- Vienna University of Economics and Business Administration

Ursula KOPP[1], Michal SEDLACKO[1], Petri UUSIKYLÄ[2], Chris HIGH[3], Gusztav NEMETH[4]

[1]University of Vienna, Austria, ursula.kopp(at)wu.ac.at / michal.sedlacko(at)wu.ac.at

[2]Net Effect, Finland, petri.uusikyla(at)neteffect.fi

[3]Open University, United Kingdom

[4]Hungarian Academy of Sciences, Hungary, nemes(at)policy.hu

The focus of the seminar is on theory-based evaluation, constellation analysis, SSM and rich pictures in the context of actor-oriented evaluation of the sustainability of public programs, as well as exploration of their potential linkages to other methods such as multi-criteria analysis and its participatory variants. The format consists of 3 short inputs and subsequent discussion.

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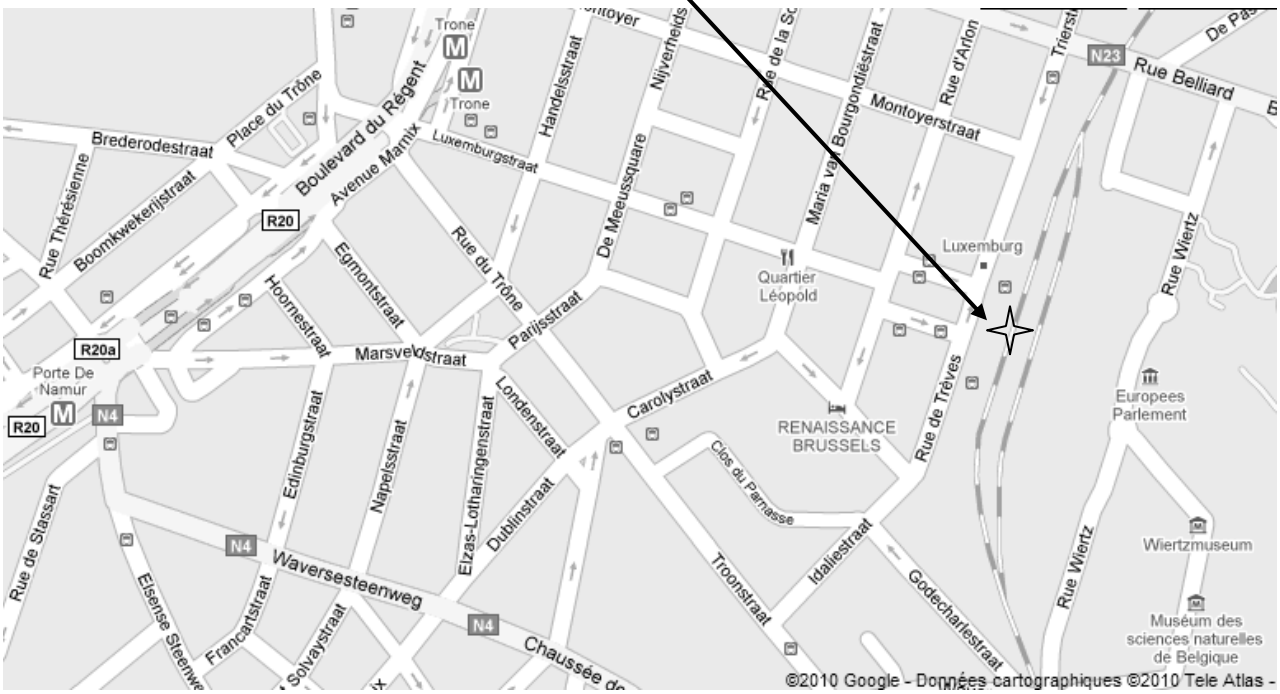

Wednesday 17 November 2010

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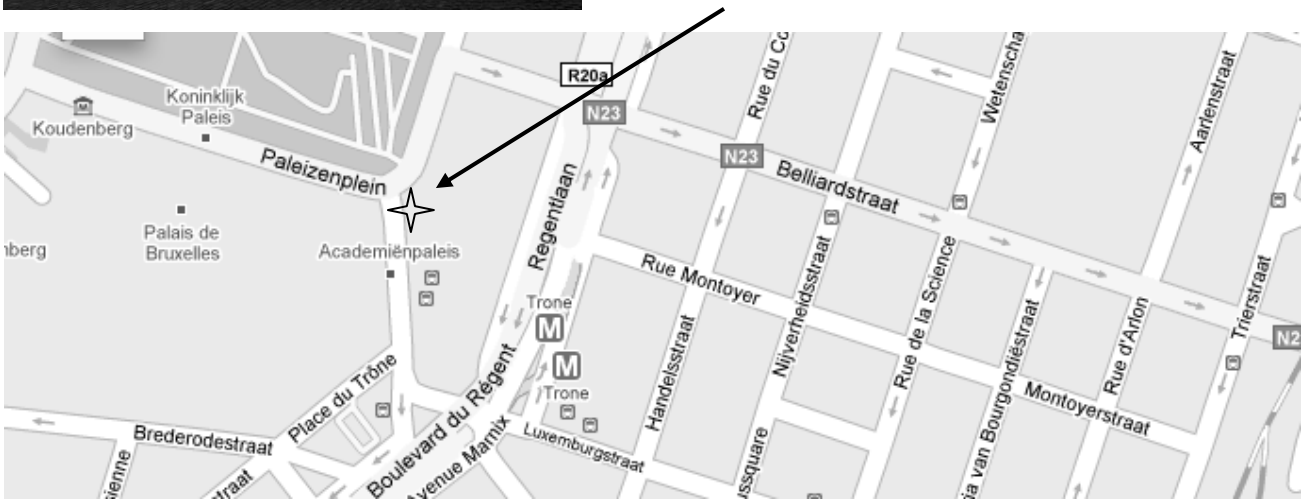

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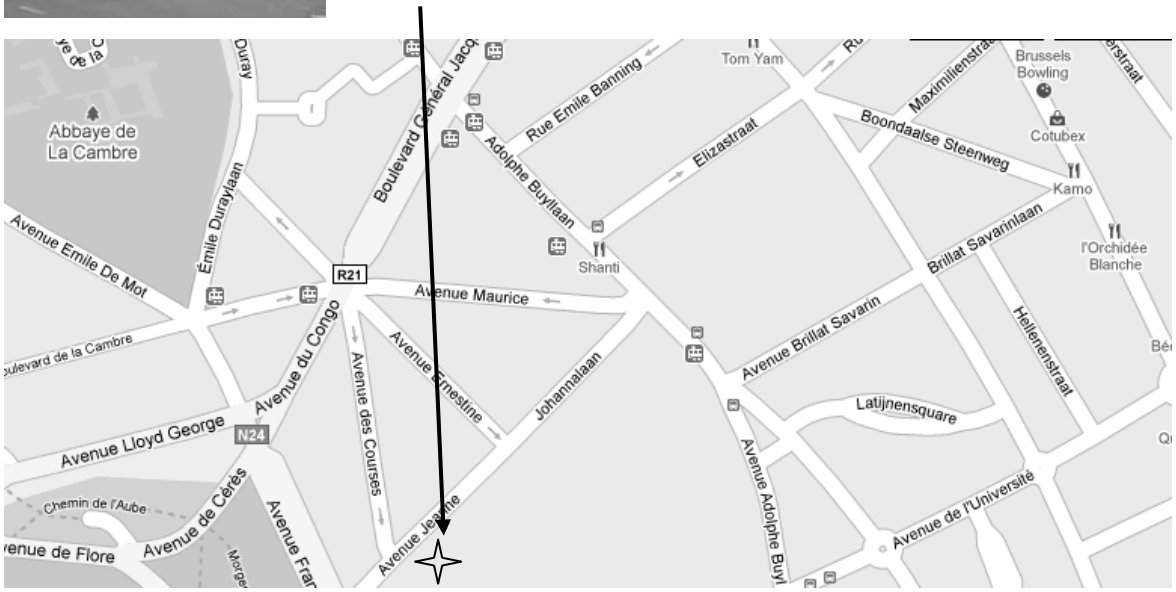
Avenue Jeanne / Johannalaan 44
1050 Bruxelles / Brussel



Access by public transport:

From HOTEL CITADINES TOISON D'OR:

Go to **LOUISE** / **LOUIZA** tram stop.
Take **tram 94** direction **HERRMANN-DEBROUX**.
Stop at **JEANNE** / **JOHANNA**.
Walk to Avenue Jeanne / Johannalaan.
Trip length: about 30 minutes.

From HOTEL CENTRALE:

Go to **GARE CENTRALE** / **CENTRAAL STATION** bus stop.
Take **bus 71** direction **DELTA**.
Stop at **JEANNE** / **JOHANNA**.
Walk to Avenue Jeanne / Johannalaan.
Trip length: about 30 minutes.

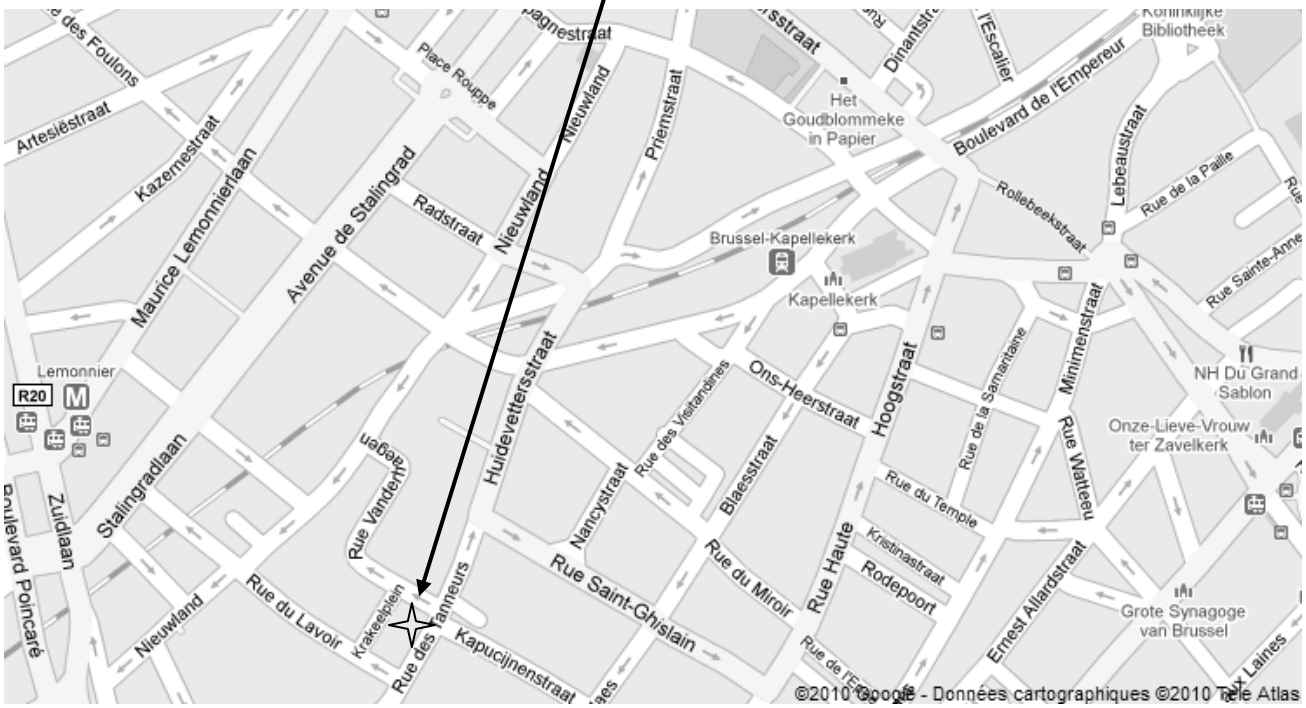
From HOTEL VILLA ROYALE:

Go to **GILLON** tram stop.
Take **tram 94** direction **HERRMANN-DEBROUX**.
Stop at **JEANNE** / **JOHANNA**.
Walk to Avenue Jeanne / Johannalaan.
Trip length: about 45 minutes.

CONFERENCE DINNER

Thursday 18 November 2010 – 19:30

Address:
Les Ateliers des Tanneurs
Rue des Tanneurs / Huidevettersstraat 58-62
1000 Brussels



From Palais des Académies, the students crew will wait for you at 18:50 to guide you to the conference dinner venue.

From Hotel Citadines Toison d'Or and Hotel Centrale, walking is the simplest way to reach the restaurant (see on foot access infra).

Access by public transport:
From PALAIS DES ACADÉMIES:

Go to **DUCALE** / **HERTOG** bus stop.
Take **bus 27** direction **GARE DU MIDI** / **ZUIDSTATION**.
Stop at **JEU DE BALLE** / **VOSSENPLEIN**.
Trip length: about 20 minutes.

From HOTEL CITADINES TOISON D'OR:

Go to **LOUISE** / **LOUIZA** tram stop.
Take **tram 94** direction **HERRMANN-DEBROUX** or
tram 92 direction **GARE DE SCHAERBEEK** / **SCHAARBEEK STATION**.
Stop at **PETIT SABLON** / **KLEINE ZAVEL**.
Take **bus 27** direction **GARE DU MIDI** / **ZUIDSTATION**.
Stop at **JEU DE BALLE** / **VOSSENPLEIN**.
Trip length: about 30 minutes.

From HOTEL CENTRALE:

Go to **GARE CENTRALE** / **CENTRAAL STATION** bus stop.
Take **bus 71** direction **DELTA** or
bus 38 direction **HÉROS** / **HELDEN**.
Stop at **ROYALE** / **KONING**.
Take **bus 27** direction **GARE DU MIDI** / **ZUIDSTATION**.
Stop at **JEU DE BALLE** / **VOSSENPLEIN**.
Trip length: about 30 minutes.

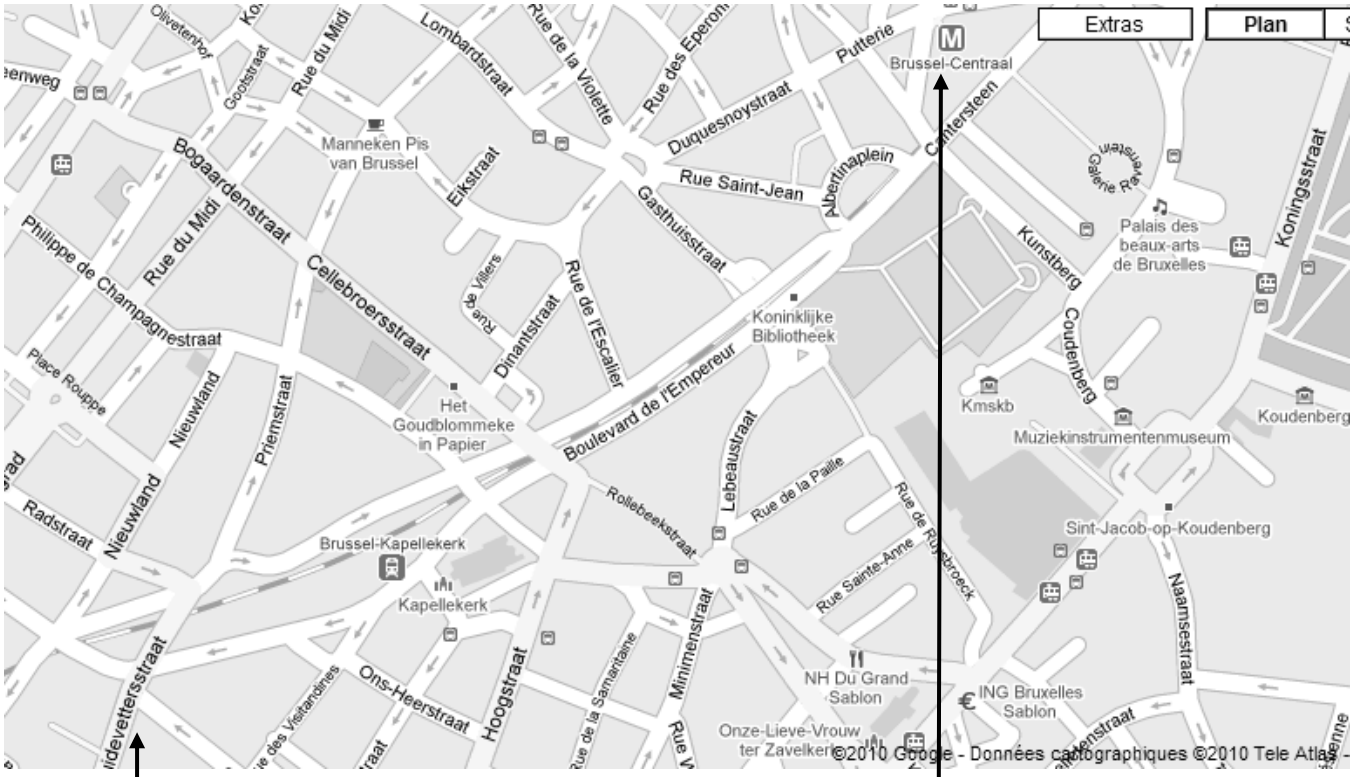
From HOTEL VILLA ROYALE:

Go to **GILLON** tram stop.
Take **tram 94** direction **HERRMANN-DEBROUX** or
tram 92 direction **GARE DE SCHAERBEEK** / **SCHAARBEEK STATION**.
Stop at **PETIT SABLON** / **KLEINE ZAVEL**.
Take **bus 27** direction **GARE DU MIDI** / **ZUIDSTATION**.
Stop at **JEU DE BALLE** / **VOSSENPLEIN**.
Trip length: about 30 minutes.

Access on foot:

From HOTEL CITADINES TOISON D'OR:
Trip length: about 20 minutes.

From HOTEL CENTRALE:
Trip length: about 20 minutes.



Arrival: Rue des Tanneurs 58-62

Departure

GRANT HOLDERS

REIMBURSEMENT INFORMATION FOR TRAVEL COSTS

Following instructions previously given (e-mail 30-09-2010), you should have prepared both the *"reimbursement travel"* and *"bank details"* documents, along with:

– original proofs of payments (invoices and/or documents delivered by the travel agency or by air/train company in case of online booking),

– outward original journey ticket(s) (boarding pass, train ticket,…).

Please gather all these documents in envelope/file marked with "Grant holders travel cost reimbursement" and your full name.

Remember that only proven travel costs will be reimbursed.

Someone will be available at the registration desk (during the three days of conference) to collect envelopes and help you if necessary.

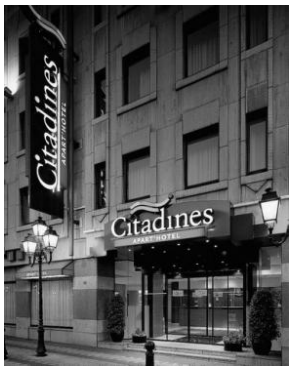
Return original journey tickets must be sent by post before **30-11-2010**. Do not forget to indicate your full name.

Please address them to:
Valentine van Gameren
ULB - IGEAT (cp130/02)
50, avenue FD Roosevelt B
B - 1050 Brussels
Belgium

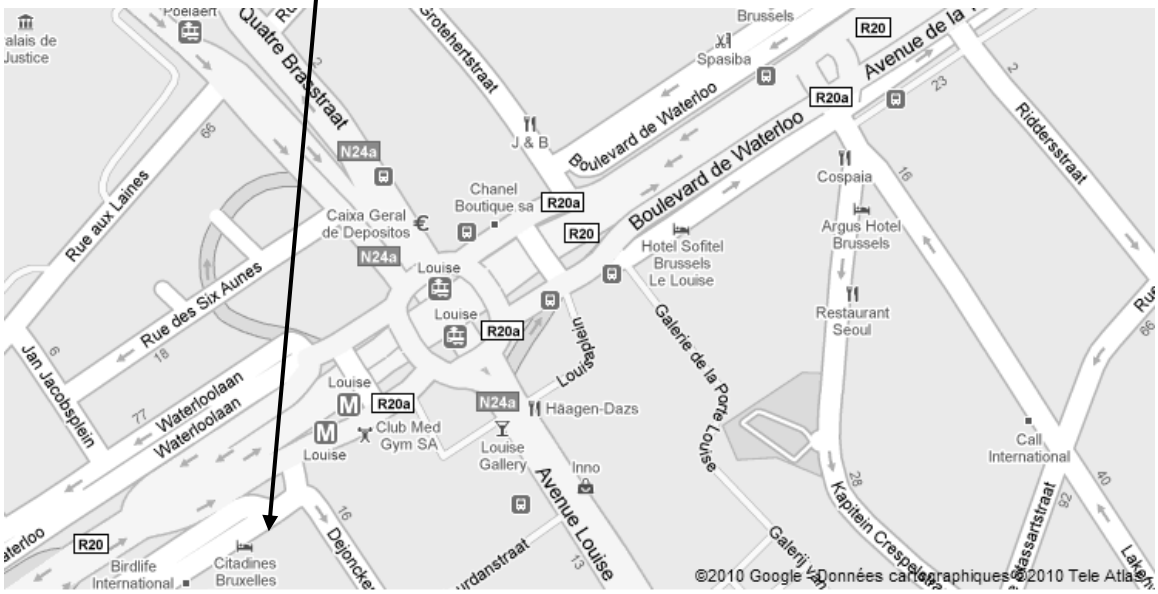
We provide this information in order to ease the procedure with the EU Commission and speed up the reimbursement process.

Thank you for your cooperation.

HÔTEL CITADINES TOISON D'OR



Address:
Hôtel Citadines Toison d'Or
Avenue de la Toison d'Or / Gulden Vlieslaan 61-63
1060 Bruxelles / Brussel



Access by public transport:
From BRUSSELS NATIONAL AIRPORT:

Go to **BRUSSELS AIRPORT** bus stop.
Take **bus 12** direction **BRUSSELS CITY** or
bus 21 direction **DUCALE** / **HERTOG**.
Stop at **BRUSSELS CITY - LUXEMBOURG / LUXEMBURG**.
Walk the street Rue du Luxembourg / Luxemburgstraat down to Trône / Troon.
From **TRÔNE** / **TROON** metro station:
Take **metro 2** direction **SIMONIS (LÉOPOLD II)** or
metro 6 direction **ROI BAUDOIN / KONING BOUDEWIJN**.
Stop at **LOUISE** / **LOUIZA**.
Walk to Avenue de la Toison d'Or / Gulden-Vlieslaan.
Trip length: about 1 hour.

From MIDI STATION:

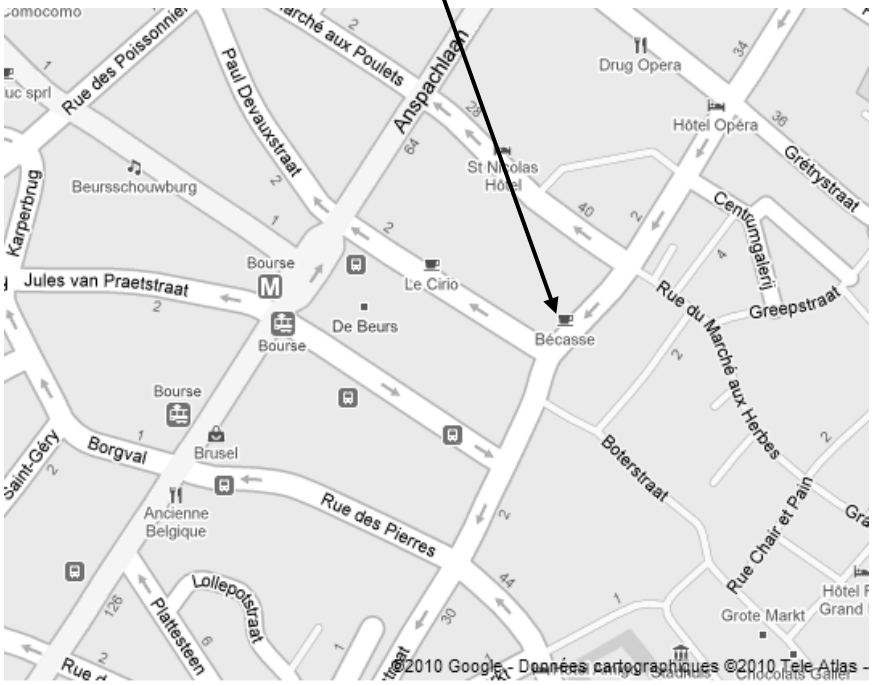
Go to **GARE DU MIDI** / **ZUIDSTATION** metro stop.
Take **metro 2 or 6** direction **SIMONIS (ELISABETH)**.
Stop at **LOUISE** / **LOUIZA**.
Walk to Avenue de la Toison d'Or / Gulden-Vlieslaan.
Trip length: about 10 minutes.

WELCOME DINNER

17 November 2010 – 20:00

At the end of the first day, we welcome all grant holders in a typical Brussels brewery. We will be waiting for you at 19:30 at the closing cocktail of the EU Parliament to go to the restaurant together.

Address:
A la Bécasse
Rue de Tabora / Taborastraat 11
1000 Bruxelles / Brussel



Access by public transport:
From EUROPEAN PARLIAMENT:

Go to **LUXEMBOURG / LUXEMBURG** bus stop.
Take **bus 95** direction **BOURSE** / **BEURS**.
Stop at **BOURSE** / **BEURS**.
Trip length: about 20 minutes.

NOTES