



A *step-by-step* guide to  
RSDF sustainability appraisal

**YORKSHIRE  
AND  
HUMBER  
ASSEMBLY**  
*Voice of the region*

# Foreword

Sustainable development requires that economic, social and environmental considerations should part of every choice and decision. The sustainability appraisal is a tool to help this and ensure a consistent approach is used across the region.

In principle it is a simple process; the proposed activity and possible different options for undertaking the activity are evaluated against the 15 aims in the Regional Sustainable Development Framework (RSDF). The results of this indicate whether and how the activity contributes to the 15 aims and importantly how the activity can be improved to be more sustainable.

Undertaking an appraisal is a learning process; the more we do, the better we get until eventually we will no longer need to undertake the process because it will be second nature to integrate sustainability from the start. However, there is still a long way to go for us to reach that position.

For a start we need to use sustainability appraisals more often. We need to apply them to all regional level policies, plans and major projects. There are also opportunities to use sustainability appraisals to integrate sustainability into local policies and projects. In particular, Local Strategic Partnerships and Community Plans have a duty to promote sustainable development but do not yet have clear guidance or framework on how to do this. The RSDF sustainability appraisal provides a tool that Local Strategic Partnerships can use to help them build sustainability into local policies and projects.

This manual is designed to be a 'how to' guide to sustainability appraisals, in particular the appraisal method adopted in the RSDF. It sets out the steps for undertaking an appraisal and gives guidance as well as practical examples. It should provide a straightforward approach to sustainability appraisals that enables people and organisations that are not experts in sustainable development to start taking account of the issues involved.

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# The purpose of this manual

Sustainability appraisals can be used in the development of policies, programmes and projects to improve their contribution to sustainable development.

This manual has been designed for use by anyone undertaking sustainability appraisals in Yorkshire and the Humber. It is also useful for those evaluating or using the results of sustainability appraisals.

It is a **step-by-step** guide on how to undertake sustainability appraisals using the Regional Sustainable Development Framework (RSDF) method. Using the appraisal method given in the manual will help to ensure that the social, economic and environmental implications of activities have been considered. It should give rise to more integrated, sustainable and transparent decision-making.

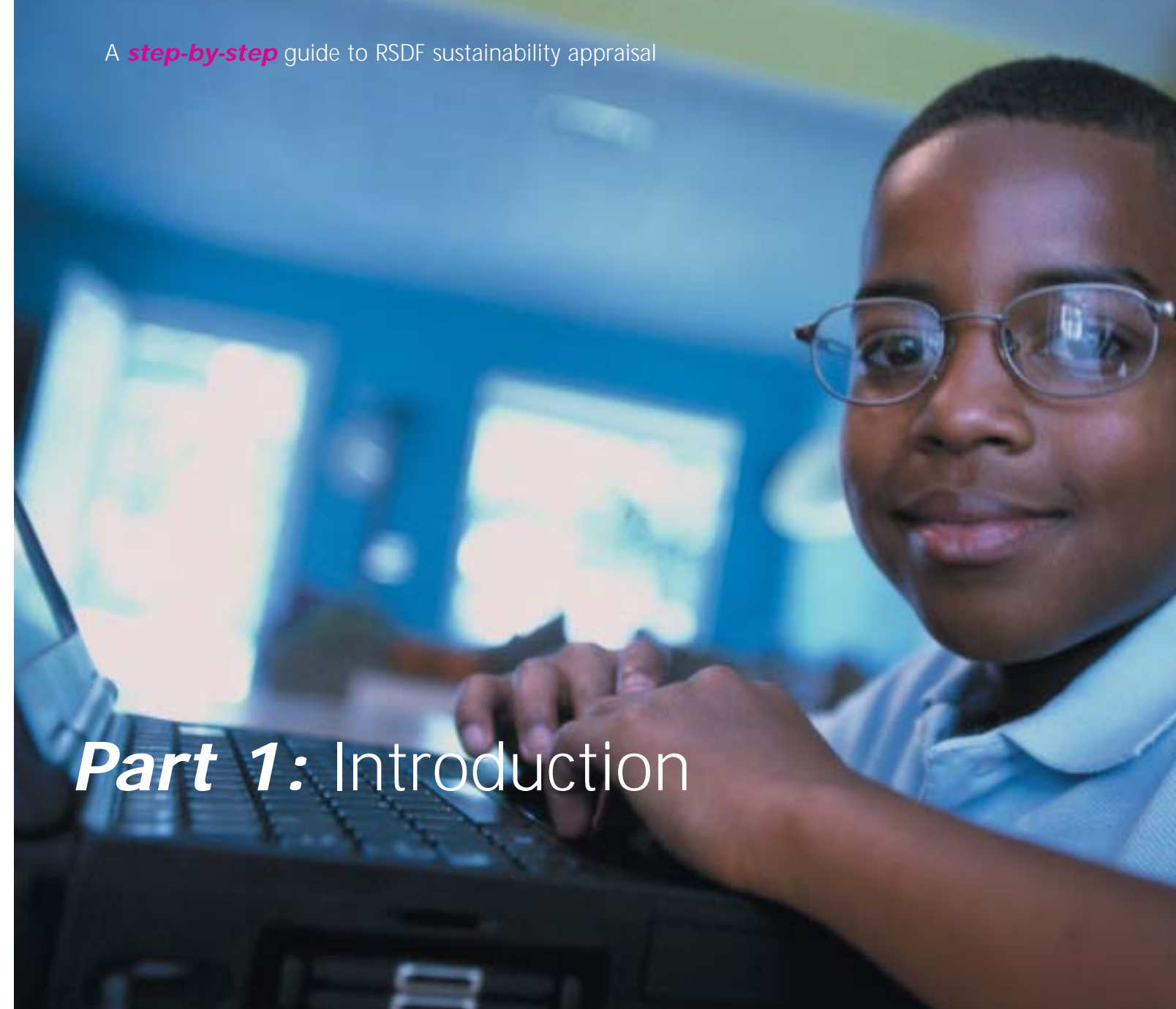
# How to use this manual

This manual has been divided up into 4 parts outlined below.

## Overview

	<b>Part 1. Background to sustainable development/Yorkshire and the Humber</b> Outlines the case for sustainability appraisals in Y&H.
	<b>Part 2. Sustainability appraisal process</b> Provides an overview of the process and the key stages involved.
	<b>Part 3. The sustainability appraisal process explained</b> For appraisers: Provides a detailed explanation of how to apply the methodology and what to do with the results.
	<b>Part 4. Further guidance for appraisers</b> Gives useful guidance to the appraiser and addresses common questions and pitfalls.

A **step-by-step** guide to RSDF sustainability appraisal



# Part 1: Introduction

## 1.1 What is sustainable development?

Sustainable development or sustainability means finding a way to improve quality of life for people today and in the future by breaking the link between economic growth and environmental damage and social exclusion. It means developing our economy in ways that minimise pollution, protect natural habitats, use resources efficiently and tackle social inequalities to ensure that people, in this region and elsewhere, do not suffer as a consequence of our economic growth and are able to enjoy the benefits of it.

In a sustainable region we would have thriving cities, towns and villages with strong economies, good access to services, attractive and safe surroundings and a healthy community. Resources would be used more productively with much less waste. To make sustainable development happen needs integrated economic, social and environmental objectives and consideration of the longer-term impacts of decisions.

UK Government has defined four integrated objectives to deliver sustainable development:

1. Social progress which recognises the needs of everyone.
2. Effective protection of the environment.
3. Prudent use of natural resources.
4. Maintenance of high and stable levels of economic growth and employment.

## 1.2 Sustainable development in Yorkshire and The Humber

Sustainable development cannot be achieved by a single organisation or activity acting in isolation, it needs to be integrated into every policy, plan, project and taken into account in every decision. The Regional Sustainable Development Framework (RSDF) has been developed to help this happen.

The Framework was prepared, after extensive consultation, by representatives from a wide range of regional partners and co-ordinated by the Region's Sustainability Commission. It was adopted and endorsed by the Regional Chamber on 16th November 2000. An updated version of the RSDF, called Building the Benefits, was produced in 2003. A copy of this is available to download at the following web address:

<http://www.rayh.gov.uk/rapolicy/susdev.asp>

The RSDF has **15 aims** for sustainable development in Yorkshire and the Humber. It is unlikely that any plan or activity will work towards all 15 at once, but the RSDF seeks to ensure that in working towards one aim, others are not compromised.

The RSDF comprises 15 aims (Appendix 1). These have been agreed throughout the region by a wide and extensive range of key consultees and reflect the economic, social and environmental aspects of sustainable development. These are summarised in Box 1 below.

Box 1: The 15 aims for sustainable development in Yorkshire and the Humber.

1. Good quality employment opportunities available to everyone.
2. Conditions which enable business success, economic growth and investment.
3. Education and training opportunities which build the skills and capacity of the population.
4. Conditions and services which engender good health.
5. Safety and security for people and property.
6. Vibrant communities which participate in decision making.
7. Culture, leisure & recreation opportunities available to all.
8. Local needs met locally.
9. A transport network which maximises access whilst minimising detrimental impacts.
10. A quality built environment and efficient land use patterns that make good use of derelict sites, minimise travel, and promote balanced development.
11. Quality housing available to everyone.
12. A bio-diverse and attractive natural environment.
13. Minimal pollution levels.

14. Minimal greenhouse gas emissions and a managed response to the effects of climate change.

15. Prudent and efficient use of energy and natural resources and minimal production of waste.

Each of the 15 aims has a number of objectives that explains in more detail the purpose of the aim. The purpose of these is to define and give further guidance on each aim (refer to **Appendix 1**).

In addition there are a further **4 cross cutting themes (Box 4)** which underpin all of the aims. These are an important test of how well proposals are grounded within the principles of sustainable development.

Box 2: The 4 cross cutting themes

I. Social inclusion and equity across all sectors.

II. A partnership and participative approach.

III. Geographic adaptation to meet the needs of rural and urban communities.

IV. Creativity, innovation and appropriate use of technology.

## 1.3 Sustainability appraisal in Yorkshire and the Humber

Sustainability appraisals are tools that assist and improve the process of policy, project and programme development by assessing how well they meet a set of agreed indicators and targets. The appraisal results highlight the likely contribution to be made to sustainable development and indicate where improvements can be made to maximise the economic, social, and environmental gains. When looking at a specific proposal, a sustainability appraisal will help to:

- **Assess** and **compare** alternative **options**.
- **Mitigate** the potential **negative** impacts.
- **Enhance positive**/beneficial impacts that contribute to sustainable development.
- **Demonstrate** the overall **contribution** achieved by an activity across sustainability aims.

In Yorkshire and Humber the 15 sustainable development aims and cross-cutting themes provide the framework for the RSDF sustainability appraisal. Yorkshire and Humber Assembly is promoting the use of this tool in the development of all policies, projects and programmes in the region to ensure not only that sustainable development is embedded in the decision making but that there is consistency and integration between policies, programmes and plans.

## **Part 2:** Applying the RSDF methodology - the basic stages

There are 4 stages involved in sustainability appraisal of any activity. These are illustrated in **Figure 2** overleaf.

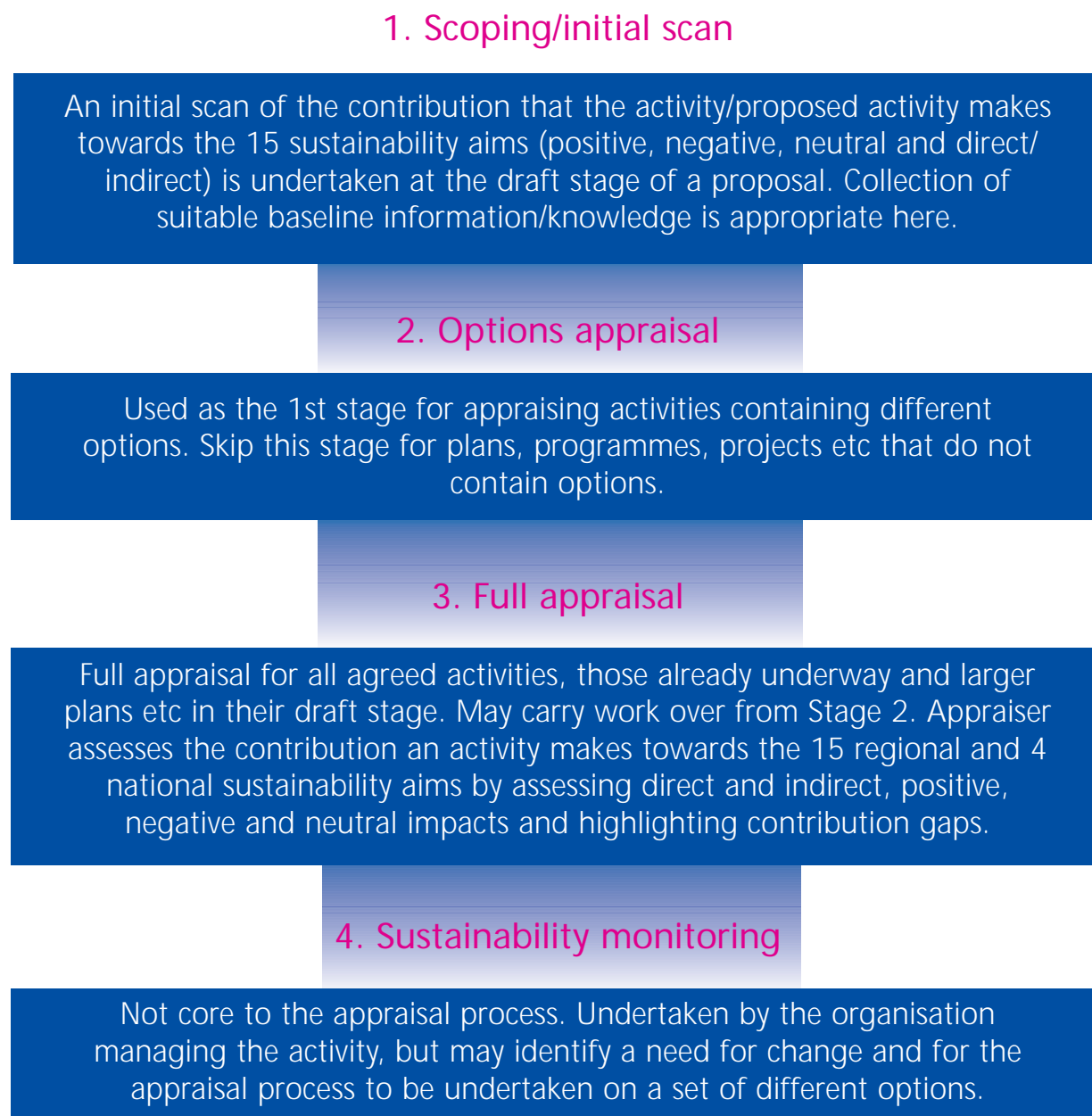
The **initial scoping** exercise provides an early opportunity to assess whether an idea or draft proposal is viable in sustainable development terms. This is followed by identifying a series of options for delivery.

The **options appraisal** stage is to assess the impact of different approaches to identify the most sustainable option.

The **full appraisal** is undertaken once a proposal has been agreed. The results of this help to refine the proposal and maximise the contribution towards sustainable development.

It is important then to **monitor the impact** of a proposal at implementation stage to ensure that the anticipated gains are in fact realised. Where the anticipated gains are not realised or when unexpected adverse effects are experienced, further mitigation measures may be required.

Figure 2: The basic stages of sustainable development appraisal



## Part 3: The appraisal process explained

This section gives a **step-by-step** guide to undertaking a sustainability appraisal. The appraiser should use this section in conjunction with Section 4 of this manual, which provides technical guidance, attempts to answer key questions that may arise and gives helpful examples.

### Stage 1. Scoping/initial scan

The initial scoping provides an opportunity to gain an overview of the potential contribution that the proposed activity could make to sustainable development. The appraiser should utilise the blank **matrix** given in **Appendix 2**. This incorporates the **15 aims and objectives of the RSDF (see section 1.2 Box 1)** and the **4 cross-cutting themes (see section 1.2 Box 2)**. The initial **scoping** exercise should be undertaken at the earliest opportunity ideally when **beginning** to plan an activity. For policies and programmes this exercise should ideally be undertaken at the **draft stage** to assess whether the broad objectives are compatible with sustainable development aims. This involves an initial **scan** of the 15 sustainability aims, objectives and cross-cutting themes. The results of the appraisal will inform the next stage of the process. It is important that the matrix is not simply regarded as a **checklist** - it should be used as a tool to help record the results of the appraisal, consider new options and potential improvements.

A **step-by-step** guide to undertaking Stage 1 of the appraisal process is given overleaf.



**Stage 3. Full appraisal.**

Full appraisals are undertaken:

- At the draft stage for activities such as plans and programmes to allow the sponsor the opportunity to reflect the results in the final outcome.
- When the preferred option has finally been agreed.
- Where activities have been read through (Stage 1) and are ready for appraising.
- When an activity is already underway, but requires appraising to ensure that the expected outcomes are being realised (not the ideal situation).

It is recommended that plans and programmes are appraised on a **section by section** or **policy by policy** basis, using a separate matrix for each section or policy. This will enable the information to be broken down into more manageable parts and highlight any areas of conflict/contradiction that can be debated further by the appraiser or appraisal team.

The methodology for undertaking a **full appraisal** is given below:

**Step 1**, Establish appraisal team (for guidance on this see section 4.2 on page 19).

**Step 2**, A blank matrix is required (**Appendix 2**). For policies, programmes and complex projects, a blank matrix should be used for each element (theme, aim, section etc).

**Step 3**, Complete the **scoping** process outlined in Stage 1 for each theme and complete the **IMPACT** column.

**Step 4**

Comment on the nature of the impact (i.e. how it meets the regional sustainability aims) completing the **COMMENT ON IMPACT** column in the matrix (**Figure 8**). This is a good opportunity for the appraiser(s) to fully justify their choice of impact. **Section 4** of the manual provides further guidance and examples to assist in this stage. **Insufficient information** to assess the impact should also be recorded in the matrix as simply that. A ? could also be put in the **IMPACT** column.

**Step 5**

Now complete the **POTENTIAL IMPROVEMENTS** column in the matrix. This involves addressing any **mitigation measures** and will require the appraiser to **recommend improvements** that can be made to enhance the impact and **maximise** any positive impacts. This may require technical/detailed knowledge of the subject. **For further guidance on recommending mitigation/improvement measures, refer to Section 4.7.**

Figure 2

Title of Activity & Status:			
Objective/Activity:			
SUSTAINABLE DEVELOPMENT AIM	IMPACT	COMMENT ON IMPACT	POTENTIAL IMPROVEMENTS
<b>1. Good quality employment opportunities for all</b> <ul style="list-style-type: none"> <li>• Will it provide employment opportunities for local people?</li> <li>• Will it promote or support equal employment opportunities?</li> <li>• Will it promote healthy working lives (including health and safety at work, work-life/home-life balance, healthy workplace policies and access to occupational health)?</li> <li>• Will it offer employment opportunities to disadvantaged groups (including people with mental health problems, disabilities and people from black and ethnic minority groups)?</li> <li>• Will it ensure employment opportunities are accessible by public transport?</li> </ul>		Advice and support services can help to improve business competitiveness and highlight opportunities for growth. This will help to generate better quality jobs in the long term.	
<b>2. Conditions for business success, economic growth and investment</b> <ul style="list-style-type: none"> <li>• Will it support the voluntary sector and /or promote volunteering?</li> <li>• Will it maximise local skills?</li> <li>• Will it encourage investment?</li> <li>• Will it enhance competitiveness through advice, mentoring and/or support?</li> <li>• Will it set up and support local and regional supply chains?</li> <li>• Will it increase investment in plant, machinery and R&amp;D?</li> <li>• Will it support community-based businesses and/or support local self-help schemes e.g. credit unions?</li> </ul>			
<b>3. Education &amp; training to build skills and capacity</b> <ul style="list-style-type: none"> <li>• Will it promote lifelong learning and widening participation in lifelong learning activities?</li> <li>• Will it provide appropriate on-the-job training?</li> <li>• Will it improve levels of basic skills and/or information/communication technology (ICT)?</li> <li>• Will it support the voluntary sector and /or promote volunteering?</li> <li>• Will it ascertain skills/skills training gaps and/or promote specialised training for areas in transition?</li> <li>• Will it build the confidence, self-esteem and capacity of individuals?</li> <li>• Will it provide and promote sustainable development education?</li> </ul>			

Step 4

Step 5

## Step 6

Choose some indicators where possible and appropriate to assist in monitoring the impact of proposals. When making recommendations in the **POTENTIAL IMPROVEMENTS** column, indicators can be chosen where **positive** or **negative** impacts are expected, and incorporated into the overall recommendations. This will enable the organisation responsible for managing the activity to **monitor** progress towards a particular sustainability aim. This will also help them to see whether the expected results are occurring and if not to take appropriate action. It is also useful to choose indicators where the impact is **unknown** when assessed against some of the aims and objectives in the matrix, so that mitigation measures can be introduced if the activity is found to impact negatively in this area at a later date. For **further information** and guidance on the use of indicators please refer to **Section 4.5**.

## Step 7

It is sensible here to produce a summary report to accompany the matrix or matrices. (For a sample proforma turn to **Appendix 3**). This will need to incorporate all of the recommendations/mitigation measures and the overall results of the appraisal. The report is useful for bringing together appraisals of larger documents such as plan. This is also the opportunity for the appraiser to request further information from the sponsor on how they intend to address certain issues, and what possible indicators they may use to monitor progress.

### Stage 4. Sustainability monitoring

Following implementation of the activity, it is important that relevant data is collected (refer to **Section 4.4.**) to monitor the contribution the activity is making towards each of the 15 aims.

It is useful for appraisers to have some knowledge of this stage as the organisation managing the process may identify a **need for change**, (e.g. if the indicators show that the expected results are not occurring, or if unexpected negative impacts are occurring and mitigation measures have not been developed). Here further options may need to be developed and appraised.

### What the final appraisal should look like

A worked through example of a sustainability appraisal undertaken on the Yorkshire and Humber Regional Waste Strategy is given in **Appendix 4**. The final appraisal should be presented as a summary report (**see Appendix 3 for the form**) which is accompanied by the detailed matrix (it is recommended that this is put within an Appendix). For activities such as larger plans, there are likely to be more matrices and summaries associated with each of the appraisal and subsequent **feedback** stages. It is important that the documentation from each stage of the appraisal process is kept together and collated at the end to form a clear **audit trail** of the decision process.

## Part 4: Further guidance for appraisers

### 4.1 Introduction

This section should be used in conjunction with **Section 3** when working through the appraisal process. It gives more detail behind the appraisal technique and attempts to answer key questions.

### 4.2 Who should be undertaking the appraisal and when?

The appraisal process should ideally be independent. This is achieved by having an independent person, (most appropriate for smaller projects) or an appraisal team where the project is complex or where appraisal of a policy and programme is required. Independence requires the appraisal to be carried out by people who have not been involved in the project/plan development process. This could mean using external consultants, using other staff who are not directly involved or using independent auditors to audit the work of in-house staff or consultants. The appraisal team although independent, should also have some knowledge of the activity being considered (including geographical) and a sound broad knowledge of sustainable development principles. It is also important for the team to be made up of a broad range of specialists, and where there is only one appraiser, for them to have access to this knowledge. A team based approach (at least two people) is the most appropriate way forward. The benefits of which are:

- it ensures a consistent approach is applied to the process, reduces the risk of subjectivity and bias;
- it gives the opportunity to debate and agree on mitigation measures/recommendations and discuss any contentious issues during a round table debate (ideally with the sponsor); and
- it brings together a wide range of skills and knowledge

Ongoing dialogue between the appraisers and the sponsor is also essential.

Selection of a multi-disciplined appraisal team/appraiser at the very beginning of activity development is vital for all to benefit from the process. This will enable the outcome of the appraisal to be incorporated into each stage of activity development.

### 4.3 How long does an appraisal take to complete?

There is no general rule of thumb for completion times for appraisals. It is generally based upon the scale of the activity being appraised and the availability of information. When appraising a set of policies or sections of a plan, it can take several days, yet a single project may take half a day to appraise.

### 4.4 Impacts

When completing the matrix and full appraisal report the appraisal team needs to give detailed consideration to the impacts recorded:

- **Nature of impact:** The appraiser needs to consider whether the impact recorded is moving away from, or contributing towards the achievement of one or more of the 15 aims. There are no strict guidelines for this, but the nature of impact could be recorded as negative (moving away from achieving an aim) or positive (moving towards achieving an aim). Where no direct impact is assumed, then the appraiser can also record that the impact is neutral. Insufficient information to assess this should also be recorded and the sponsor organisation requested to supply additional information or clarification. The appraiser can choose how to complete the **IMPACT** column in the matrix. Letters, symbols, shading or numbers can be used, although as this is **not a scoring or ranking** exercise. It is the **COMMENT ON IMPACT** column that is most useful here and this should be used to identify who or what is likely to experience the impact.
- **Scale of impact:** The appraiser should also assess the scale (or strength) of impact likely to be generated. Consider whether the impact will be direct (i.e. the implementation of an activity will directly cause an impact to occur) or indirect (i.e. the knock-on effects caused by the implementation of an activity). These are more difficult to predict and control.
- **Time-scale of effect:** The appraiser also needs to assess whether the impact will occur in the short or long term.
- **Geography:** It may also be necessary for the appraiser to identify any cross boundary effects, including rural and urban differences.

Assessing impacts is a common sense approach that is reliant upon the professional experience of the appraisers. As well as a good overall knowledge of sustainable development and some specific technical skills, impact assessment is also heavily reliant upon the team having sound regional/local and baseline (social, environmental and economic) knowledge on which to base their judgements.

### 4.5 Choosing Indicators

Sustainability appraisals are currently still **qualitative** in their nature, however are increasingly moving towards more **quantitative** assessments as data becomes more reliable and available. The use of quantifiable **indicators** and suitable **base line** information (where appropriate and available) is an effective and objective means of assessing and measuring progress towards sustainable development over time.

#### 4.5.1 Why use indicators?

Indicators should be chosen where positive or negative impacts of an activity are expected. This will enable the organisation managing the activity to check that the anticipated results are occurring. Action can then be taken when expected positive results are not occurring or when any mitigation measures are not reducing negative impacts. Indicators should also be chosen for aims and objectives where the impact is unknown- this may enable mitigation measures to be introduced later should the impact be found to be negative.

The group managing the activity should ideally choose indicators relevant to each of the 15 aims from the

outset. These should be relevant to the proposed activity and include any relevant baseline data. In the absence of this, the appraiser may be able to recommend suitable indicators or may require the managing organisation to research this further.

#### 4.5.2 Sources of Indicators

Using indicators means that progress towards sustainable development can be consistently monitored against an agreed baseline. It is beyond the scope of this manual to provide an exhaustive list of indicators relevant to all activities and therefore the choice is left to the applicant or managing organisation.

A good starting point here is to look at the indicators and targets that are already being developed in Yorkshire and the Humber and the headline indicators in the RSDF Update 2003- 2005.

Consideration should also be given to the local sustainability indicators identified in the local authorities Local Agenda 21 Plan or Community Plan and health inequality indicators. The National Indicators can be found in 'Quality of Life Counts'. It is important to note that the indicators need to be relevant to the activity and that they are **measurable** (either **qualitatively** or **quantitatively**) by the organisation managing the activity or be easily obtainable by them. Baseline data against which indicators can be measured is obtainable from data held by Yorkshire and Humber Assembly, local authorities, Yorkshire Forward (the Regional Development Agency), Government Office for Yorkshire and the Humber and the Public Health Observatory.

### 4.6 Using the outputs from the appraisal

The outputs from the appraisal are not used to pass or fail a certain activity. When undertaken properly the methodology outlined in this handbook serves as a systematic tool to ensure that a programme, policy, or project becomes as sustainable as possible. The RSDF appraisal process explained in this manual facilitates transparent decision making and gives rise to a clear audit trail.

In summary therefore, the outputs are most useful for:

- Ensuring that balanced and informed decisions are made.
- Assisting with the overall decision making process through the evaluation of options.
- Providing a transparent and clear record of the decision making process using one, or a set of clear matrices and summary reports.
- Ensuring continuous improvement throughout the process.

#### 4.6.1 Reporting the Results

A clear way of presenting the results from carrying out the full sustainability appraisal is as an overall summary report, combined with commentary on the results of each stage. The matrix (or matrices) should be included as Appendices. This will ensure that others can easily follow the appraisal process and understand how conclusions and recommendations have been reached.

### 4.7 Case Study

A case study of a real sustainability appraisal is provided in appendix 4. The case study is the appraisal that was undertaken during 2003 on the Draft Regional Waste Strategy, 'Let's take it from the Tip'. The case study includes an introduction to the appraisal, a completed appraisal matrix and a summary.

## Appendix 1: The RSDf checklist

### Sustainable Development Aims and Associated Objectives

#### 1 Good quality employment opportunities available to all

- Will it provide employment opportunities for local people?
- Will it promote or support equal employment opportunities?
- Will it promote healthy working lives (including health and safety at work, work-life/home-life balance, healthy workplace policies and access to occupational health)?
- Will it offer employment opportunities to disadvantaged groups (including people with mental health problems, disabilities and people from black and ethnic minority groups)?
- Will it ensure employment opportunities are accessible by public transport?

#### 2 Conditions which enable business success, economic growth and investment

- Will it support the voluntary sector and /or promote volunteering?
- Will it maximise local skills?
- Will it encourage investment?
- Will it enhance competitiveness through advice, mentoring and/or support?
- Will it set up and support local and regional supply chains?
- Will it increase investment in plant, machinery and R&D?
- Will it support community-based businesses and/or support local self-help schemes e.g. credit unions?

#### 3 Education and training opportunities which build the skills and capacity of the population

- Will it promote lifelong learning and widening participation in lifelong learning activities?
- Will it provide appropriate on-the-job training?
- Will it improve levels of basic skills and/or information/communication technology (ICT)?
- Will it support the voluntary sector and /or promote volunteering?
- Will it ascertain skills/skills training gaps and/or promote specialised training for areas in transition?
- Will it build the confidence, self-esteem and capacity of individuals?
- Will it provide and promote sustainable development education?

#### 4 Conditions and services which engender good health. If health impacts are a significant result of the activity, consider a health impact assessment.

- Will it improve equitable access to health service (pay particular attention to groups of people most excluded and in highest need)?
- Will it improve the quality and integration of health services?
- Will it promote positive health and prevent ill-health?
- Will it address health inequalities (address the gap between those with worst health and those with better health)?

#### 5 Safety and security for people and property

- Will it reduce crime through design measures?
- Will it address the causes of crime and/or reduce crime through intervention?
- Will it prevent re-offending?
- Will it provide crime and safety advice?
- Will it reduce fear of crime?
- Will it reduce causes of accidents (including measures to reduce road accidents such as speed restrictions and traffic calming)?

#### 6 Vibrant communities which participate in decision making

- Will it build social and community capital, capacity and confidence?
- Will it increase community participation in activities and/or in the democratic process?
- Where appropriate, will it devolve decision-making to communities?
- Will it support civic engagement?
- Will it encourage supportive personal and community networks?
- Will it improve and increase community facilities?

#### 7 Culture, leisure and recreation activities available to all

- Will it increase provision of culture, leisure and recreation (CLR) activities/venues?
- Will it increase non-car-based access to CLR activities?
- Will it increase participation in CLR activities by tourists and local people?
- Will it provide support for CLR providers and/or creative industries?
- Will it preserve, promote and enhance regional culture and heritage?
- Will it improve access and affordability of CLR facilities which engender health, quality of life and learning?

#### 8 Local needs met locally

- Will it provide direct support for local traders and suppliers through advice, information and training?
- Will it support the formation, maintenance and use of local and regional supply chains for goods and services?
- Will it ensure that essential services (e.g. health services and shops) and resources to serve communities are within reasonable non-car based travelling distance?
- Will it provide appropriate housing for local needs?
- Will it support the vibrancy of city, town and village centres?
- Will it investigate information/communication technology (ICT) links to connect geographically remote and disadvantaged groups to services and resources?
- Will it support and encourage sharing of information/resources and co-operative ways of working?

#### 9 A transport network which maximises access whilst minimising detrimental impacts. If transport impacts are a significant result of the activity, consider a transport impact assessment

- Will it reduce the need to travel by increasing access to key resources and services by means other than the car (e.g. by improving public transport)?
- Will it provide/improve/promote information about alternatives to car-based transport?
- Will it support less use as well as more efficient use of cars (e.g. car sharing)?
- Will it improve access to opportunities and facilities for all groups?
- Will it make the transport/environment attractive to non-car users (e.g. pedestrians and cyclists)?
- Will it improve the environmental performance of vehicles?
- Will it encourage freight transfer from road to rail and water?
- Will it encourage employers to develop green travel plans for staff travel to/from work and at work?

#### 10 A quality built environment and efficient land use patterns that make good use of derelict sites, minimise travel and promote balanced development

- Will it promote the development of communities with accessible services, employment, shops and leisure facilities?
- Will it improve the resource efficiency of buildings (water, energy, density, use of existing buildings, designing for a longer lifespan)?
- Will it prevent inappropriate development in flood plains?
- Will it increase the use of sustainable urban drainage (which reduces run-off and improves water quality)?
- Will it increase safety and security in buildings and developments?
- Will it ensure new developments provide essential services accessible without use of a car and are accessible by public transport?
- Will it ensure new design is well designed and appropriate to its setting?
- Will it support local distinctiveness?

## 11 Quality housing available to everyone

- Will it make housing available to people in need (taking into account requirements of location, size, type and affordability)?
- Will it enable people to obtain and maintain tenancies?
- Will it improve the quality of housing stock (increase safety and security, reduce unfit housing, improve accessibility for people with disabilities)?
- Will it improve the energy efficiency and insulation in housing to reduce fuel poverty and ill-health?
- Will it increase use of sustainable design and sustainable building materials in construction?
- Will it reduce the number of empty and difficult to let properties?

## 12 A bio-diverse and attractive natural environment. If environmental impacts are a significant result of the activity consider an environmental impact assessment

- Will it protect and enhance existing priority habitats and species and provide for appropriate long term management of wildlife habitats?
- Will it protect and enhance individual features such as hedgerows, drystone walls, ponds and trees?
- Will it increase understanding of ways to create new environmental assets and restore wildlife habitats?
- Will it make use of opportunities wherever possible to enhance the environment as part of other initiatives?
- Will it increase the quality and quantity of woodland cover in appropriate locations using native species?
- Will it protect and enhance the region's rivers, estuary and coastal waters?
- Will it promote, educate and raise awareness of the enjoyment and benefits of the natural environment and biodiversity and promote access to wildlife on appropriate sites?

## 13 Minimal pollution levels if environmental impacts are a significant result of the activity consider an environmental impact assessment

- Will it clean up contaminated land?
- Will it reduce air, water, land, noise and light pollution from current activities and the potential for such pollution?
- Will it raise awareness about pollution and its effects?
- Will it provide support, advice and encouragement for the business sector to reduce pollution?
- Will it promote innovative and less harmful uses of potential pollutants?
- Will it include measures and research to identify and reduce pollution?
- Will it reduce the risk of pollution incidents and environmental accidents?

## 14 Minimal greenhouse gas emissions and a managed response to the effects of climate change If environmental impacts are a significant result of the activity consider an environmental impact assessment

- Will it reduce greenhouse gas emissions from transport?
- Will it reduce methane emissions from agriculture, landfills and past and present mining activities?
- Will it reduce greenhouse gas emissions from domestic, commercial and industrial sources?
- Will it increase energy efficiency in all sectors?
- Will it research and monitor the likely effects of climate change and provide evidence and advice on the predicted consequences for affected areas and sectors?
- Will it plan and implement adaptation measures for the likely effects of climate change?
- Will it increase the amount of energy from renewable sources that is generated and consumed in the region?
- Will it reduce risk from flooding?

## 15 Prudent and efficient use of energy and natural resources with minimal production of waste

- Will it increase efficiency in water, energy and raw material use?
- Will it develop renewable energy/resources?
- Will it make efficient use of land (appropriate density, protect good agricultural land, use brownfield land in preference to Greenfield sites)?
- Will it increase prevention, re-use, recovery and recycling of waste?
- Will it increase awareness and provide information on resource efficiency and waste?
- Will it reduce use of non-renewable resources?

## (i) Social inclusion and equity across all sectors

- Does the activity consider different ways to overcome barriers to communication and participation?
- Does the activity address the needs of disadvantaged and minority groups?
- Does the activity address the needs of older and younger people?
- Does the activity address the needs of disabled people?
- Does the activity promote religious and racial understanding and address racism and other forms of discrimination?
- Is the activity likely to cause increased tension or distrust between communities?
- Does the activity reduce health inequalities?

## (ii) A partnership and participative approach

- Does the planning of the activity involve working in partnership and involve affected groups?
- Does the activity enable less well-resourced groups to take part?
- Does the activity take steps to consult and involve "difficult to reach" groups?
- Does the management of the activity involve stakeholders?

## (iii) Geographic adaptation to the needs of rural and urban communities

- Does the activity take into account the varying needs and circumstances of the different types of rural and urban communities?

## (iv) Creativity, innovation and the appropriate use of technology

- Does the activity take steps to increase innovation?
- Does the activity take steps to use technology appropriately?

## Appendix 2: The RSDF sustainability appraisal matrix

(Impact: (TO BE USED AS A GUIDE ONLY) Positive: YY, Y, y, Neutral: O, Negative: n, N, NN)

Title of Activity & Status:			
Objective/Activity:			
SUSTAINABLE DEVELOPMENT AIM	IMPACT	COMMENT ON IMPACT	POTENTIAL IMPROVEMENTS
<p>1. Good quality employment opportunities available to all</p> <ul style="list-style-type: none"> <li>Will it provide employment opportunities for local people?</li> <li>Will it promote or support equal employment opportunities?</li> <li>Will it promote healthy working lives (including health and safety at work, work-life/home-life balance, healthy workplace policies and access to occupational health)?</li> <li>Will it offer employment opportunities to disadvantaged groups (including people with mental health problems, disabilities and people from black and ethnic minority groups)?</li> <li>Will it ensure employment opportunities are accessible by public transport?</li> </ul>			
<p>2. Conditions for business success, economic growth and investment</p> <ul style="list-style-type: none"> <li>Will it support the voluntary sector and /or promote volunteering?</li> <li>Will it maximise local skills?</li> <li>Will it encourage investment?</li> <li>Will it enhance competitiveness through advice, mentoring and/or support?</li> <li>Will it set up and support local and regional supply chains?</li> <li>Will it increase investment in plant, machinery and R&amp;D?</li> <li>Will it support community-based businesses and/or support local self-help schemes e.g. credit unions?</li> </ul>			
<p>3. Education &amp; training opportunities which build the skills and capacity of the population</p> <ul style="list-style-type: none"> <li>Will it promote lifelong learning and widening participation in lifelong learning activities?</li> <li>Will it provide appropriate on-the-job training?</li> <li>Will it improve levels of basic skills and/or information/communication technology (ICT)?</li> <li>Will it support the voluntary sector and /or promote volunteering?</li> <li>Will it ascertain skills/skills training gaps and/or promote specialised training for areas in transition?</li> <li>Will it build the confidence, self-esteem and capacity of individuals?</li> <li>Will it provide and promote sustainable development education?</li> </ul>			

Title of Activity & Status:			
Objective/Activity:			
SUSTAINABLE DEVELOPMENT AIM	IMPACT	COMMENT ON IMPACT	POTENTIAL IMPROVEMENTS
<p>4. Conditions and services to engender good health. If health impacts are a significant result of the activity, consider a health impact assessment</p> <ul style="list-style-type: none"> <li>Will it improve equitable access to health service (pay particularly attention to groups of people most excluded and in highest need)?</li> <li>Will it improve the quality and integration of health services?</li> <li>Will it promote positive health and prevent ill-health?</li> <li>Will it address health inequalities (address the gap between those with worst health and those with better health)?</li> </ul>			
<p>5. Safety and security for people and property</p> <ul style="list-style-type: none"> <li>Will it reduce crime through design measures?</li> <li>Will it address the causes of crime and/or reduce crime through intervention?</li> <li>Will it prevent re-offending?</li> <li>Will it provide crime and safety advice?</li> <li>Will it reduce fear of crime?</li> <li>Will it reduce causes of accidents (including measures to reduce road accidents such as speed restrictions and traffic calming)?</li> </ul>			
<p>6. Vibrant communities which participate in decision making</p> <ul style="list-style-type: none"> <li>Will it build social and community capital, capacity and confidence?</li> <li>Will it increase community participation in activities and/or in the democratic process?</li> <li>Where appropriate, will it devolve decision-making to communities?</li> <li>Will it support civic engagement?</li> <li>Will it encourage supportive personal and community networks?</li> <li>Will it improve and increase community facilities?</li> </ul>			
<p>7. Culture, leisure and recreation activities to all</p> <ul style="list-style-type: none"> <li>Will it increase provision of culture, leisure and recreation (CLR) activities/venues?</li> <li>Will it increase non-car-based access to CLR activities?</li> <li>Will it increase participation in CLR activities by tourists and local people?</li> <li>Will it provide support for CLR providers and/or creative industries?</li> <li>Will it preserve, promote and enhance regional culture and heritage?</li> <li>Will it improve access and affordability of CLR facilities which engender health, quality of life and learning?</li> </ul>			

Title of Activity & Status:			
Objective/Activity:			
SUSTAINABLE DEVELOPMENT AIM	IMPACT	COMMENT ON IMPACT	POTENTIAL IMPROVEMENTS
<p>8. Local needs met locally</p> <ul style="list-style-type: none"> <li>● Will it provide direct support for local traders and suppliers through advice, information and training?</li> <li>● Will it support the formation, maintenance and use of local and regional supply chains for goods and services?</li> <li>● Will it ensure that essential services (e.g. health services and shops) and resources to serve communities are within reasonable non-car based travelling distance?</li> <li>● Will it provide appropriate housing for local needs?</li> <li>● Will it support the vibrancy of city, town and village centres?</li> <li>● Will it investigate information/communication technology (ICT) links to connect geographically remote and disadvantaged groups to services and resources?</li> <li>● Will it support and encourage sharing of information/resources and co-operative ways of working?</li> </ul>			
<p>9. A transport network which maximises access whilst minimising detrimental impacts. If transport impacts are a significant result of the activity, consider a transport impact assessment</p> <ul style="list-style-type: none"> <li>● Will it reduce the need to travel by increasing access to key resources and services by means other than the car (e.g. by improving public transport)?</li> <li>● Will it provide/improve/promote information about alternatives to car-based transport?</li> <li>● Will it support less use as well as more efficient use of cars (e.g. car sharing)?</li> <li>● Will it improve access to opportunities and facilities for all groups?</li> <li>● Will it make the transport/environment attractive to non-car users (e.g. pedestrians and cyclists)?</li> <li>● Will it improve the environmental performance of vehicles?</li> <li>● Will it encourage freight transfer from road to rail and water?</li> <li>● Will it encourage employers to develop green travel plans for staff travel to/from work and at work?</li> </ul>			

Title of Activity & Status:			
Objective/Activity:			
SUSTAINABLE DEVELOPMENT AIM	IMPACT	COMMENT ON IMPACT	POTENTIAL IMPROVEMENTS
<p>10. A quality built environment and efficient land use patterns, that make good use of derelict sites, minimise travel and promote balanced development</p> <ul style="list-style-type: none"> <li>● Will it promote the development of communities with accessible services, employment, shops and leisure facilities?</li> <li>● Will it improve the resource efficiency of buildings (water, energy, density, use of existing buildings, designing for a longer lifespan)?</li> <li>● Will it prevent inappropriate development in flood plains?</li> <li>● Will it increase the use of sustainable urban drainage (which reduces run-off and improves water quality)?</li> <li>● Will it increase safety and security in buildings and developments?</li> <li>● Will it ensure new developments provide essential services accessible without use of a car and are accessible by public transport?</li> <li>● Will it ensure new design is well designed and appropriate to its setting?</li> <li>● Will it support local distinctiveness</li> </ul>			
<p>11. Quality housing available to everyone</p> <ul style="list-style-type: none"> <li>● Will it make housing available to people in need (taking into account requirements of location, size, type and affordability)?</li> <li>● Will it enable people to obtain and maintain tenancies?</li> <li>● Will it improve the quality of housing stock (increase safety and security, reduce unfit housing, improve accessibility for people with disabilities)?</li> <li>● Will it improve the energy efficiency and insulation in housing to reduce fuel poverty and ill-health?</li> <li>● Will it increase use of sustainable design and sustainable building materials in construction?</li> <li>● Will it reduce the number of empty and difficult to let properties?</li> </ul>			
<p>12. Bio-diverse and attractive natural environment. If environmental impacts are a significant result of the activity consider an environmental impact assessment</p> <ul style="list-style-type: none"> <li>● Will it protect and enhance existing priority habitats and species and provide for appropriate long term management of wildlife habitats?</li> <li>● Will it protect and enhance individual features such as hedgerows, drystone walls, ponds and trees?</li> <li>● Will it increase understanding of ways to create new environmental assets and restore wildlife habitats?</li> <li>● Will it make use of opportunities wherever possible to enhance the environment as part of other initiatives?</li> <li>● Will it increase the quality and quantity of woodland cover in appropriate locations using native species?</li> <li>● Will it protect and enhance the region's rivers, estuary and coastal waters?</li> <li>● Will it promote, educate and raise awareness of the enjoyment and benefits of the natural environment and biodiversity and promote access to wildlife on appropriate sites?</li> </ul>			

Title of Activity & Status:			
Objective/Activity:			
SUSTAINABLE DEVELOPMENT AIM	IMPACT	COMMENT ON IMPACT	POTENTIAL IMPROVEMENTS
<p>13. Minimal pollution levels if environmental impacts are a significant result of the activity consider an environmental impact assessment</p> <ul style="list-style-type: none"> <li>● Will it clean up contaminated land?</li> <li>● Will it reduce air, water, land, noise and light pollution from current activities and the potential for such pollution?</li> <li>● Will it raise awareness about pollution and its effects?</li> <li>● Will it provide support, advice and encouragement for the business sector to reduce pollution?</li> <li>● Will it promote innovative and less harmful uses of potential pollutants?</li> <li>● Will it include measures and research to identify and reduce pollution?</li> <li>● Will it reduce the risk of pollution incidents and environmental accidents?</li> </ul>			
<p>14. Minimise greenhouse gas emissions and a managed response to the effects of climate change. If environmental impacts are a significant result of the activity consider an environmental impact assessment</p> <ul style="list-style-type: none"> <li>● Will it reduce greenhouse gas emissions from transport?</li> <li>● Will it reduce methane emissions from agriculture, landfills and past and present mining activities?</li> <li>● Will it reduce greenhouse gas emissions from domestic, commercial and industrial sources?</li> <li>● Will it increase energy efficiency in all sectors?</li> <li>● Will it research and monitor the likely effects of climate change and provide evidence and advice on the predicted consequences for affected areas and sectors?</li> <li>● Will it plan and implement adaptation measures for the likely effects of climate change?</li> <li>● Will it increase the amount of energy from renewable sources that is generated and consumed in the region?</li> <li>● Will it reduce risk from flooding?</li> </ul>			
<p>15. Prudent and efficient use of energy and natural resources with minimal production of waste</p> <ul style="list-style-type: none"> <li>● Will it increase efficiency in water, energy and raw material use?</li> <li>● Will it develop renewable energy/resources?</li> <li>● Will it make efficient use of land (appropriate density, protect good agricultural land, use brownfield land in preference to Greenfield sites)?</li> <li>● Will it increase prevention, re-use, recovery and recycling of waste?</li> <li>● Will it increase awareness and provide information on resource efficiency and waste?</li> <li>● Will it reduce use of non-renewable resources?</li> </ul>			

Title of Activity & Status:			
Objective/Activity:			
SUSTAINABLE DEVELOPMENT AIM	IMPACT	COMMENT ON IMPACT	POTENTIAL IMPROVEMENTS
<p>(i) Social inclusion and equity across all sectors</p> <ul style="list-style-type: none"> <li>● Does the activity consider different ways to overcome barriers to communication and participation?</li> <li>● Does the activity address the needs of disadvantaged and minority groups?</li> <li>● Does the activity address the needs of older and younger people?</li> <li>● Does the activity address the needs of disabled people?</li> <li>● Does the activity promote religious and racial understanding and address racism and other forms of discrimination?</li> <li>● Is the activity likely to cause increased tension or distrust between communities?</li> <li>● Does the activity reduce health inequalities?</li> </ul>			
<p>(ii) A partnership and participative approach</p> <ul style="list-style-type: none"> <li>● Does the planning of the activity involve working in partnership and involve affected groups?</li> <li>● Does the activity enable less well-resourced groups to take part?</li> <li>● Does the activity take steps to consult and involve "difficult to reach" groups?</li> <li>● Does the management of the activity involve stakeholders?</li> </ul>			
<p>(iii) Geographic adaptation to the needs of rural and urban communities</p> <ul style="list-style-type: none"> <li>● Does the activity take into account the varying needs and circumstances of the different types of rural and urban communities?</li> </ul>			
<p>(iv) Creativity, innovation and the appropriate use of technology</p> <ul style="list-style-type: none"> <li>● Does the activity take steps to increase innovation?</li> <li>● Does the activity take steps to use technology appropriately?</li> </ul>			

## Appendix 3: Appraisal summary report proforma

### Appraisal summary report

Name of Project: Name/Organisation of Appraiser:  Date of Appraisal Submission: Project Leader:
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Summary of Proposed Activity:

Aims of the RSDF that are/should be particularly relevant to the project and expected current impact

RSDF Aims	Relevant (tick all appropriate)	Expected current impact (YY, Y, y, O, n, N, NN <sup>1</sup> ) USE AS A GUIDE ONLY
Good employment opportunities available to everyone		
Conditions which enable business success, economic growth and investment		
Education and training opportunities which build the skills and capacity of the population		
Conditions and services which engender good health		
Safety and security for people and property		
Vibrant communities which participate in local decision making		
Culture, leisure and recreation opportunities available to all		
Local needs met locally		
A transport network which maximises access whilst minimising detrimental effects		
A quality built environment and efficient land use patters that make good use of derelict sites, minimise travel, and promote balanced development		
Quality housing available to everyone		
A biodiverse and quality natural environment		
Minimise pollution levels		
Minimise greenhouse gas emissions and a managed response to the effects of climate change		
Prudent and efficient se of energy and natural resources and minimal production of waste		
(i) Social inclusion and equity across all sectors		
(ii) Partnership and participative approach		
(iii) Geog adaptation to urban and rural		
(iv) Creativity, innovation and appropriate use of technology		

<sup>1</sup>YY = highly positive, Y = positive, y= weakly positive, O = neutral, n = weakly negative, N = negative, NN = highly negative.

### Key Conclusions

(Appraiser should highlight key messages from the sustainability appraisal and any **missed opportunities** to maximise integrated social, environmental and economic gain).

### Suggested Improvements

**Sources of Assistance/Advice** (e.g. choice of indicators and relevant bodies to consult).

**Recommendations** (e.g. what the outputs should be used for).

## Appendix 4:

### Case Study: Draft Regional Waste Strategy, 'Let's Take it from the Tip'

Let's take it from the tip is the first waste strategy for the Yorkshire and Humber Region. The purpose of the strategy is to create a framework that supports local authorities, businesses, communities, families and individuals to develop sustainable waste management systems.

The development of the waste strategy was co-ordinated by the Yorkshire and Humber Assembly, overseen by a steering group from a range of organisations such as local authorities, the Environment agency and waste management and environmental groups. The strategy presents 4 objectives, an action plan and regional planning policies to establish more sustainable waste management practices.

This case study illustrates a real sustainability appraisal. It is based on the sustainability appraisal of the 2003 Draft Regional Waste Strategy that was undertaken for the Yorkshire and Humber assembly by ENTEC consultants. This appraisal evaluated the strategy by considering each of the 4 objectives and associated actions in turn. The case study looks in detail at the appraisal used on one of the objectives of the strategy and its associated actions. The objective selected is Objective 3: Increase the re-use, recycling and composting of waste. A summary of the results is included (below) as well as completed matrices.

#### Summary of Appraisal Results for Objective 3 and the associated actions

- This Objective significantly moves towards the sustainable development aim in the RSDf of 'local needs met locally' for the reason that local initiatives such as furniture re-use schemes are encouraged. Re-use, recycling and composting of waste also moves towards 'prudent and efficient use of energy and natural resources with minimal production of waste', although experience elsewhere indicates that it would be feasible to set much higher targets
- It is recommended that a target and a set of actions should be developed in relation to commercial and industrial waste. As with Objective 2, the difficulty in monitoring the re-use, recycling and composting of commercial and industrial waste is recognised therefore it may be beneficial to implement a 'process target' that measures action undertaken rather than outcomes.
- It is recommended that the Action 2 (Collate and disseminate regular review on best practice) should clarify to whom the best practice information will be disseminated.

Yorkshire and Humber Regional Waste Strategy - Lets take it from the tip			POTENTIAL IMPROVEMENTS
Title of Activity & Status:	Objective 3: Increase the re-use, recycle and composting of waste		
Objective/Activity:	IMPACT	COMMENT ON IMPACT	
<b>SUSTAINABLE DEVELOPMENT AIM</b>			
1. Good quality employment opportunities for all	Y	Increasing re-use and recycling is likely to create new employment opportunities in collection of items, repair or reprocessing and marketing	
2. Conditions for business success, economic growth and investment	Y	Re-using and recycling wastes, especially in businesses, could reduce waste management costs	
3. Education & training to build skills and capacity	O		
4. Conditions and services to engender good health	Y/N	There is an uncertainty to this as all waste processing facilities can have potentially negative health impacts. This issue should be addressed through appropriate use of BPEO assessments.	
5. Safety and security	O		
6. Vibrant communities making decisions	Y	Increasing opportunities for residents to take in part in recycling schemes and encouraging/supporting greater community and voluntary involvement will contribute to this objective	
7. Culture, leisure and recreation for all	O		
8. Local needs met locally	YY	Increasing opportunities for residents to take in part in recycling schemes and encouraging/supporting greater community and voluntary involvement will contribute to this objective	
9. Transport network to max access and min negative impacts	Y/N	There is uncertainty on this objective as increasing kerbside collections and providing more reprocessing facilities could result in more transportation of waste.	The strategy needs to set out commitment to the proximity principle to ensure that waste is managed as close to its source as possible. This is also an issue that should be addressed through BPEO assessments.
10. Quality built environment. Efficient land use patterns, use derelict sites, minimise travel, promote balanced development	O		

Title of Activity & Status:				
Objective/Activity:				
SUSTAINABLE DEVELOPMENT AIM	IMPACT	COMMENT ON IMPACT	POTENTIAL IMPROVEMENTS	
11. Quality housing available to all	O			
12. Bio-diverse and attractive environment	Y/N	The impact on this objective will depend on the location and nature of the facilities used to achieve increased re-use and recycling	The Planning Policies in the strategy emphasise the need to identify appropriate locations for new waste management facilities	
13. Minimal pollution levels	Y/N	The impact on this objective will depend on the location and nature of the facilities used to achieve increased re-use and recycling	This is also an issue that should be addressed through BPEO assessments and this should be emphasised in the strategy	
14. Minimise "green house gas" emissions and managed response to climate change effects	Y/N	The impact on this objective will depend on the location and nature of the facilities used to achieve increased re-use and recycling	This is also an issue that should be addressed through BPEO assessments and this should be emphasised in the strategy	
15. Prudent, efficient use of energy, natural resources, minimal waste production	Y	Increasing re-use and recycling will improve resource efficiency but the targets proposed in the draft strategy could be higher and include targets for commercial and industrial waste	Good practice from other parts of the UK and Europe shows that much higher rates of re-use and recycling can be achieved for municipal and it would be feasible to set higher targets for the region. In addition, despite the problems of inadequate data for commercial and industrial waste more action and some targets relating to these actions could be included.	
(i) Social inclusion and equity across all sectors	Y/N	Through improving recycling services and more community involvement in re-use and recycling schemes there are opportunities for social inclusion. However, there is a risk to achieve municipal waste recycling targets local authorities may target particular communities thereby exclude others from taking part.	This issue should be highlighted in the strategy	
(ii) A partnership and participative approach	Y	The strategy demonstrates a partnership approach		
(iii) Geographic adaptation to the needs of rural and urban communities	Y/N	The strategy identifies the need to provide local sustainable solutions to waste management but this issue could be explored further. Relates to cross-cutting theme	This issue should be highlighted in the strategy	
(iv) Creativity, innovation and the appropriate use of technology	Y			

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