



Introduction

This document has been prepared by Entec UK Ltd and UK CEED to identify ways in which the IAT can be used in the different stages of developing and implementing policies and projects within England’s Northwest. The first section discusses generic uses, whilst the second considers its use within formal Northwest Development Agency (NWDA) processes. Both are structured in terms of the five generic stages of policy or project development that are identified in Figure 1 – concept; design; approval; implementation; and evaluation. It should be noted that the IAT is not just a tool for NWDA applications, but can be used to understand the positive and negative issues within a project relating to sustainability.

	Generic Uses	NWDA Uses
concept	<ul style="list-style-type: none"> Highlighting sustainability issues and knowledge gaps Creating common understanding Identifying actual areas 	<ul style="list-style-type: none"> Highlighting sustainability issues and knowledge gaps Creating common understanding Identifying actual areas
design	<ul style="list-style-type: none"> Detailed evidence of thinking and migration/improvement actions Information via links 	<ul style="list-style-type: none"> Cross referenced supporting material for D&A form
approval	<ul style="list-style-type: none"> Supporting information on issues/ target 	<ul style="list-style-type: none"> Supporting information on issues/ target
implementation	<ul style="list-style-type: none"> Summary information on issues/ targets 	<ul style="list-style-type: none"> Summary information on issues/ targets
evaluation	<ul style="list-style-type: none"> Baseline record of thinking/ objectives for comparison 	<ul style="list-style-type: none"> Baseline information as input to project evaluation audit

1. Generic Uses

Two uses of the IAT which are relevant to all five stages are a) as a time efficient means of structuring and recording discussion, and b) as a simple means of collating relevant information for easy access. This is particularly the case when it is used on a regular basis, as people become familiar with it so that it provides a common 'language' to structure discussion.

1.1 Generic Use in the Concept Stage

This is obviously a relatively fluid stage, whose key requirements with regard to sustainability often include setting the boundaries of what is relevant; gathering and assessing necessary information; identifying key issues which need to be addressed; and creating collective agreement amongst key decision-makers and stakeholders on objectives, preferred approaches etc. The toolkit can provide a time efficient method of assisting these tasks by clarifying what sustainability is and ensuring that all aspects are considered to at least some degree, highlighting gaps in individual and team knowledge, and directing attention to critical topics (generally those classified as red or amber in the assessment). Some means of achieving this include:

Getting team members to privately answer the level 1 questions, and then participate in a collective discussion of answers – typically, this will quickly highlight differences of opinion which might otherwise have been hidden for some time;

Assigning a 'lead' role for each theme and getting those individuals to answer the relevant questions as the basis for team discussion;

As a checklist for relevant information sources, e.g. by systematically going through the links to further information; and

As a means of recording key sustainability-related assumptions, decisions etc for retrieval at a later stage of the project.

These uses can often be assisted by having people record their individual responses, opinions etc. within the improvement or mitigation text boxes, or the notepad area. If in the former, this will obviously need to be edited into a single version if a final PDF report is being generated. However, the notepad content is not contained within the PDF output and so can be left as is if a record of discussions might be useful.

1.2 Generic Use in the Design Stage

The toolkit provides a streamlined method of ensuring that sustainability benefits are maximised, and sustainability weaknesses, addressed, during this crucial stage of fleshing out the initial concept and moving to a detailed output for approval. It also provides a systematic means of collating and recording information about the actions that have taken in response, and the reasons for them. This, of course, could be very important in evidencing that sustainability issues have been addressed, and in providing evidence of thinking and commitments at the time as background to any future judgements as to success or failure.

The library function of the toolkit can also be very important at this stage, providing an easy means of checking that key policy and regulatory requirements have been met.

1.3 Generic Use in the Approval Stage

The IAT report is generally likely to be supporting material to an application document in this stage.

1.4 Generic Use in the Implementation Stage

The main function of the toolkit, and related reports, in this stage is likely to be as a single point reminder of what needs to be achieved. If well managed, the report from earlier stages can be gone through quickly, by either an individual or a team, in order to ensure that all relevant points have been covered.

1.5 Generic Use in the Evaluation Stage

As with implementation, the toolkit can provide a useful single point source of information on the intentions and key measures of the policy or project, and thereby enable final outcomes to be measured against them. This can be very important in the event of any problems, as the IAT content may provide clues as to why these have occurred.

2. NWDA Specific Use

Table 1 summarises the main NWDA sustainability-related documents and requirements which are of relevance to construction projects. The following sections describe how these relate to the IAT.

2.1 IAT Use in the NWDA Concept Stage

Applicants have a choice of which sustainability appraisal approach to use. However, in most cases, this is likely to be the IAT. (The Checklist for Developers is likely to be phased out in future as it is largely covered by BREEAM). The IAT at this stage is about assisting the project developers to understand the projects environmental & social impacts, statutory, NWDA and other funders' requirements. It should also be used to identify future requirements which, although not currently mandatory, it would be sensible to take account of, e.g. Government targets for carbon reduction. The specific aims of IAT use in this stage are to:

Develop awareness amongst key project staff, and stakeholders, about the importance of sustainability and what it means in practice;

Identify relevant sustainability issues (including the less obvious ones which might be overlooked without some hard thinking) and ensuring that they are fully understood and addressed;

Highlight sustainability weaknesses so that attention can be directed to their mitigation; and

Highlight sustainability strengths (which may often be in unanticipated ways) so that attention can be directed to their maximisation, and effective marketing.

The full IAT which results at the end of the concept stage will be submitted to the NWDA. However, these will not always be checked in detail as the main way that the outcomes will be taken into account will be through a summary of the results in the main NWDA forms listed in Table 1. Hence, not all information needs to be contained within the IAT itself – it is sensible to cross reference to other documents wherever possible. For example, many of the issues related to building will be covered if the project is seeking a high level of BREEAM accreditation.

Although the full IAT may not be read in its entirety at this stage, it could be accessed as a reference document for later stages, e.g. in the final evaluation stage, especially if the project's sustainability targets are not achieved.

If a project has undertaken an extensive sustainability appraisal then the need to undertake the IAT may not be required, although this should be agreed with the NWDA's CCT manager very early on in the development of the project.

2.2 IAT Use in the NWDA Development and Appraisal (Design)

Stage

The NWDA Development and Appraisal (D & A) Form requires a summary of sustainability issues, through the series of sub-questions within question 33. The IAT's role here is as supporting material, so it should be cross referenced from the D & A as appropriate. If the project is a large one, the IAT should also be updated to take into account developments in other key areas such as BREEAM or the Sustainable Procurement Plan.

2.3 Use in the NWDA Legal (Approval) Stage

As with the previous stage, the IAT acts as a supporting document.

2.4 Use in the NWDA Monitoring (Implementation) Stage

The IAT is only likely to be of relevance in this stage if outcomes are diverging from targets, and it is important to understand the reasons why. This may involve checking some of the original assumptions and thinking for the project.

2.5 Use in the NWDA Evaluation Stage

Evaluation is generally undertaken by external consultants and they may well wish to study the submitted IAT report(s) to provide background on key assumptions, targets etc. In the event of problems, the IAT report(s) could be a key document in establishing whether the project team undertook a sufficiently thorough analysis of sustainability issues.

Table 1 – Main NWDA Sustainability Processes/Requirements Relevant to IAT Use for Construction Projects

	Concept	Development & Appraisal (Design)	Legal (Approval)	Monitoring (Implementation)	Exit & Evaluation
Key NWDA Document	<p>Sustainability Appraisal</p> <p>An assessment based on either the Integrated Appraisal Toolkit OR Checklist for Developers</p>	<p>Development & Appraisal Form (DNA)</p> <p>Q33 – Sustainability positives and negatives; 3 post IAT improvement/mitigation actions</p> <p>Cross reference to other documents/resources (including IAT)</p>	<p>Monitoring and Evaluation Report</p> <p>Agreed actions/targets for project</p> <p>Cross reference to other documents/resources (including IAT)</p>	<p>Progress Monitoring Report</p> <p>Ongoing outcomes against key actions/targets (self-assessed)</p>	<p>Final Evaluation Report</p> <p>Final outcomes against key actions/targets, with evidence (externally verified)</p>
Other Requirements	<p>NWDA's Sustainable Buildings Policy</p> <p>Mandatory for construction projects over £500,000</p> <p>Proposed targets of BREEAM Excellent for new, Very Good for refurb + 10 other KPI's (when relevant)</p>	<p>NWDA's Sustainable Buildings Policy</p> <p>Projected BREEAM score</p> <p>Complete the carbon calculator or detail when it will be done</p> <p>Targets for delivering the Carbon, Waste & Water KPI's & details of delivering other KPI's</p> <p>Green Travel & Sustainable Procurement Plan</p>	<p>NWDA's Sustainable Buildings Policy</p> <p>Identification of key KPIs, with milestones</p> <p>Agreement to monitor carbon impacts. KPI's included in the Monitoring & Evaluation plan</p> <p>Green Travel & Sustainable Procurement Plan</p>	<p>NWDA's Sustainable Buildings Policy</p> <p>Delivery of KPI's within the Building Policy</p> <p>Report carbon impacts</p> <p>Green Travel & Sustainable Procurement Plan</p> <p>Delivery of actions</p>	<p>NWDA's Sustainable Buildings Policy</p> <p>BRE certification</p> <p>Evidence of delivering KPI's</p> <p>Completion of carbon calculator to report final CO₂ figure</p> <p>Green Travel & Sustainable Procurement Plan</p> <p>Outcomes from delivery</p>