

## Preferred Option Evaluation Proforma template (Feb 2009)

### Instructions for completing the Proforma

To ensure robustness and credibility of the proforma, referencing **must** be accurate, i.e. refer to date of report being referenced, title, page and paragraph/respondent reference no. where relevant.

Where a comment or reference is common to all options, it can be summarised in the Key Findings/Evidence cell. Where a comment/reference is unique to a particular option, it should be summarised in the cell of that particular option.

Issue ...	Key findings/evidence (also instructions for completing proforma).	OPTION ...	OPTION ...	OPTION ...	OPTION .... etc
<b>Consistency (PPS 12: Test of National Policy)</b>					
1. Does the option generally conform with National Policy?	<p><i>The core strategy should not repeat or reformulate national policy. If options do not accord with national policy however, a clear and convincing reason, based on local circumstances, must be set out to justify the departure.</i></p> <p><i>This was checked at I&amp;O Stage however check for any changes to national policy since revised I&amp;O were prepared, check for justification of any departure from national policy. Check options do not just repeat or reformulate national policy. Reference any documentation of compliance with national policy/justification of departure, e.g. evidence from SA, response to I&amp;O consultation or OTD (reference report/record of consultation)</i></p>				
<b>Deliverability (PPS 12: Test of Effectiveness)</b>					
2. Does the option	<i>The core strategy should not repeat or</i>				

Issue ...	Key findings/evidence (also instructions for completing proforma).	OPTION ...	OPTION ...	OPTION ...	OPTION ... etc
generally conform with the RSS?	<p><i>reformulate regional policy.</i>  <i>If RSS is not generally complied with, a clear and convincing reason, based on local circumstances, must be set out to justify the departure.</i>            Check options do not just repeat or reformulate regional policy.            Reference any documentation of general conformity with regional policy/justification of departure, e.g. evidence from SA, response to I&amp;O consultation or OTD (reference report/record of consultation)</p>				
3. Are you able to identify who will deliver the option and when?	<p><i>Are delivery partners identified?</i>  <i>Are timescales identified?</i>            Reference any documentation of delivery partners/timescales, e.g. record outcome of OTD meetings</p>				
4. Do key delivery partners (i.e. identified in Q3 support the option?	<p>Reference any documentation of support/non-support, e.g. record outcome of OTD meetings, reference I &amp; O representations (report/record of consultation/response).</p>				
5. Is the option consistent with the approach of neighbouring authorities where cross boundaries issues are relevant?	<p>Reference any documentation of cross boundary issue consistency/inconsistency, e.g. record outcome of OTD meetings with neighbouring authorities, reference relevant supporting technical studies which cover cross boundary issues e.g. climate change, transport, flooding, health etc.</p>				

Issue ...	Key findings/evidence (also instructions for completing proforma).	OPTION ...	OPTION ...	OPTION ...	OPTION ... etc
6. Are resources an issue, or is there any evidence that the option cannot be delivered?	Reference any documentation of resource availability/unavailability, e.g. record outcome of OTD meetings, reference I&O representations (report/record of consultation/response).responses to I&O, reference relevant supporting technical studies				
7. Is there any evidence the option cannot be delivered within the plan period?	Reference any documentation of time constraints for implementation, e.g. record outcome of OTD meetings, reference relevant supporting technical studies				
8. Taking into account the answers to Q3-7, is there an unacceptable risk that the option will not be implemented for one reason or another (what might go critically wrong with this option)? Risk levels – High, Med, Low.	Reference any documentation of risk assessment, e.g. record outcome of OTD meetings, reference I&O responses (report/record of consultation/response), reference relevant supporting technical studies, SA. Document risk according to whether it is of High, Medium, or Low Probability. (Potential mitigation measures are dealt with in Q9).				

**Flexibility (PPS 12: Test of Effectiveness)**

Issue ...	Key findings/evidence (also instructions for completing proforma).	OPTION ...	OPTION ...	OPTION ...	OPTION ... etc
9. Is the option deliverable under changing circumstances? (eg change in legislation, national or regional policy, economic change, socio-cultural change, climate change etc). Consider how such changes might affect the issue.	<p><i>Have alternative strategies been prepared to handle any identified uncertainty (contingency options)? what would trigger their use? (ie identify possible mitigation).</i></p> <p>Reference any documentation of risk assessment, eg record OTD meetings, relevant supporting technical studies, SA.</p>				
<b>Monitoring (PPS 12: Test of Effectiveness)</b>					
10. Are clear targets able to be identified?	Reference any documentation of targets, e.g. reference relevant supporting technical studies, SA baseline data, AMR, Waste Strategy, refer back to targets which relate to the CS objectives.				
11. Can you measure and monitor outcomes?	Reference any documentation of monitoring frameworks, e.g. reference relevant supporting technical studies, SA baseline data, AMR, Waste Strategy, refer back to CS targets.				
<b>HRA (The Habitats Regulation Test)</b>					
12. Does the option generate an adverse effect on the integrity of a European site or European offshore marine site?	Reference any documentation of adverse effects, e.g. reference findings of HRA/AA, SA				
13. Can adequate mitigation measures be put in place to address significant effects?	Reference any documentation of mitigation measures, e.g. reference findings of HRA/AA, SA				

Issue ...	Key findings/evidence (also instructions for completing proforma).	OPTION ...	OPTION ...	OPTION ...	OPTION .... etc
<b>SA/SEA (The Sustainability Appraisal Test)</b>					
14. Do the outcomes of SA/SEA suggest the option is sustainable?	Reference any documentation of key evidence of sustainability. Where SA/SEA comments apply to all options, they can be summarised/referenced in this cell. Where mitigation is needed, please note this against the relevant option.				
<b>Community Engagement Test (evidence of participation – the Justifiable Test (robust and credible evidence base))</b>					
15. Do the responses to Issues and Options Consultation suggest the option is supported?	Reference any documentation of key evidence for or against the option from I&O responses. Where there are large numbers of responses, it may be useful just to document specific consultation bodies and document the no. of general consultation bodies/other consultees which supported or rejected the option.				
16. Do the responses to the Options Testing Dialogue Meetings suggest the option is supported?	Reference any documentation of key evidence for or against the option from OTD meetings				
<b>Research findings (evidence of fact finding – the Justifiable Test (robust and credible evidence base))</b>					
17. Do the findings of Technical Studies/Research support the option? (include relevant studies to the issue being considered, not all studies will be relevant)	Reference any documentation of key evidence for or against the option from research/technical studies (reference specific technical studies/reports)				
Overall Assessment					

Issue ...	Key findings/evidence (also instructions for completing proforma).	OPTION ...	OPTION ...	OPTION ...	OPTION ... etc
<b>CONCLUSION</b>	Record overall conclusions of the soundness tests for each option (i.e. meets test (green) fails test (red) not known/more information needed (amber). If necessary, record key points explaining your choice in each option cell. Any general comments pertinent to all options can be recorded in this cell.	Shade cell green, red or amber			
<b>Consistency:</b>		Shade cell green, red or amber			
<b>Deliverability:</b>		Shade cell green, red or amber			
<b>Flexibility:</b>		Shade cell green, red or amber			
<b>Monitoring:</b>		Shade cell green, red or amber			
<b>HRA:</b>		Shade cell green, red or amber			
<b>SA:</b>		Shade cell green, red or amber			
<b>Community Engagement:</b>		Shade cell green, red or amber			
<b>Research:</b>		Shade cell			

Issue ...	Key findings/evidence (also instructions for completing proforma).	OPTION ...	OPTION ...	OPTION ...	OPTION ... etc
		green, red or amber			
<b>Record Preferred option</b>	<p>Document final conclusions as to the preferred option. Document any key points which differentiate this option (i.e. why it was chosen above the others) under the relevant tests of soundness:</p> <p>Consistency:            Deliverability:            Flexibility:            Monitoring:            HRA:            SA:            Community Engagement:            Research:</p>	Final Option selected – cell shaded green,			