

XXX

6 July 2009

Dear XXX

**REQUEST UNDER THE FREEDOM OF INFORMATION ACT 2000  
FOI REQUEST FOI09/004**

I am writing regarding your request for information received on 2 June 2009 and our subsequent conversation of 8 June to clarify your request.

In your request you asked:

1. For a copy of HS2's Invitation to Tender: Specification for Appraisal of Sustainability of HS2.

I confirm that HS2 holds the requested information and a copy of the information is enclosed.

The enclosed document supplied to you has been produced by government officials and is Crown Copyright. You can find details on the arrangements for re-using Crown Copyright on the Office of Public Sector Information website at: <http://www.opsi.gov.uk/click-use/index.htm>.

If you are unhappy with the way we have handled your request or with the decisions made in relation to your request, you may complain by writing to HS2 at the above address. Please see attached details of HS2's complaints procedure and your right to complain to the Information Commissioner.

Please remember to quote the reference number above in any future communications.

Yours sincerely,

XXX

## **Your right to complain to HS2 Ltd and the Information Commissioner**

You have the right to complain within two calendar months of the date of this letter about the way in which your request for information was handled and/or about the decision not to disclose all or part of the information requested.

Your complaint will be acknowledged and you will be advised of a target date by which to expect a response. Initially your complaint will be re-considered by the official who dealt with your request for information. If, after careful consideration, that official decides that his/her decision was correct, your complaint will automatically be referred to a senior independent official who will conduct a further review. You will be advised of the outcome of your complaint and if a decision is taken to disclose information originally withheld this will be done as soon as possible.

If you are not content with the outcome of the internal review, you have the right to apply directly to the Information Commissioner for a decision. The Information Commissioner can be contacted at:

Information Commissioner's Office  
Wycliffe House  
Water Lane  
Wilmslow  
Cheshire  
SK9 5AF



High Speed Two

**Specification for Appraisal of Sustainability of  
HS2**

April 2009



## **Introduction**

The purpose of High Speed Two (HS2) is to consider the case for new high speed services from London to the West Midlands.

In particular HS2 objectives are the development of proposals for a new railway line from London to the West Midlands, and potentially beyond to Greater Manchester, West Yorkshire, the North East and Scotland. HS2 will do this through a review of broad “corridors”, and where possible in enough detail to enable the options to be narrowed down to a preferred route. This will culminate in a report to the Secretary of State for Transport by end of December 2009 outlining potential route(s) for a new line between London and the West Midlands, issues raised and explored for any extension further north, accompanied by appropriate environmental, social and economic assessments.

This specification seeks proposals from Framework consultants to undertake an appraisal of sustainability to accompany the report to Department for Transport (DfT) Ministers by the end of the year.

For the purposes of this document, the term Consultant refers to the company responding to this tender.

## **Background**

The formation of the HS2 company was part of the Government announcement on transport investment on 15 January 2009. The “Transport Infrastructure Decisions” set of documents includes plans for road and rail infrastructure, carbon dioxide emissions from transport and decisions on adding capacity at Heathrow airport. The documents are available on the DfT website.

From this set of documents, the report “Britain’s Transport Infrastructure: High Speed Two” (January 2009) sets out the background to the formation of the company and on high speed rail.

The High Speed Two remit is “to consider and to provide advice to the Government on the costs and benefits of:

- A proposed route with any options as appropriate;



- Options for a Heathrow International interchange station on the Great Western main line with an interchange also with Crossrail;
- Options for access to central London and the other cities served;
- Options for linking with HS1 and the existing rail network, including the potential for services to continental Europe;
- Financing and constructing proposals.

The company will report formally on these issues by the end of 2009, and the Government will assess the options for the new lines thereafter. A decision to proceed would involve an initial public consultation on the proposed route or route options.

There will be a number of options and combinations that will need to be considered at the outset and refined to a manageable number, although it will be important that all reasonable options have been addressed and reasons for not taking them forward recorded. The exact locations of preferred stations and connections still need to be defined before route options can be generated to join these up. The route option work will need to look at environmental impacts at a high level i.e. key issues such as proximity to homes, noise impacts, effect on existing urban settlements etc. Costs will need to be included in the appraisal work wherever possible including mitigation measures. Some background work has already been undertaken by DfT although the appraisal will take this forward in the required format.

#### The Planning Act 2008, National Policy Statements and Appraisal of Sustainability

The Planning Act 2008 introduces a new system for considering Nationally Significant Infrastructure Projects (NSIPs). Further details on the Planning Act are available at <http://www.communities.gov.uk/planningandbuilding/planning/planningpolicyimplementation/reformplanningsystem/planningbill/>

Decisions on applications to build such infrastructure will be taken by a new independent Infrastructure Planning Commission (IPC). National Policy Statements (NPSs) written by Government Departments will set out the framework on which the IPC will base its decisions. The Act requires the drafts of these NPSs to be subject to an Appraisal of Sustainability (AoS), public consultation, and Parliamentary scrutiny before they are formally designated as NPSs. DfT is currently producing an NPS on National Networks, which will cover the Strategic Road Network, the rail network and rail freight interchange. The first National Networks NPS will cover the Planning Period 2010-14 and beyond. It will sit above, and be consistent with, existing transport policy documents.



Government is committed to ensuring that objectives in relation to sustainable development are central to consideration of future infrastructure needs. The Planning Act 2008 includes a duty on Ministers to ensure that NPS are drawn up with the objective of contributing to the achievement of sustainable development. NPS will need to explain how they have integrated strategic economic, social and environmental policy objectives, including the Government's climate change commitments, to deliver sustainable development.

HS2 should be included in the National Networks NPS under the new Planning Act 2008 arrangements – therefore the appraisal work for HS2 should be undertaken with this in mind. However, approval of the eventual HS2 project could be either through the IPC or alternatively through a hybrid bill. The approach will be refined throughout the year and on the basis of the report to Ministers by end 2009.

Depending on the timing of consultation on the proposed National Networks NPS, the HS2 documentation and accompanying Appraisal of Sustainability Report will need to either contribute directly to the proposed NPS, or to any proposed revisions to the NPS. A process of appraisal similar to that adopted for the National Networks NPS will need to be undertaken by the consultant.

Decisions on individual schemes within the context of IPC decision making and the National Networks NPS are likely to use the New Approach to Transport Appraisal (NATA), the analytical framework used to appraise the economic, environmental and social aspects of all transport proposals that require Department for Transport funding or approval. The appraisal of sustainability for HS2 therefore needs to be undertaken in accordance with relevant DfT environment appraisal requirements, and should be WebTAG compliant (i.e DfT transport appraisal guidance), details of which can be found at:

[http://www.dft.gov.uk/webtag/webdocuments/3\\_Expert/3\\_Environment\\_Objective/index.htm](http://www.dft.gov.uk/webtag/webdocuments/3_Expert/3_Environment_Objective/index.htm)

[http://www.dft.gov.uk/webtag/webdocuments/2\\_Project\\_Manager/11\\_SEA/index.htm](http://www.dft.gov.uk/webtag/webdocuments/2_Project_Manager/11_SEA/index.htm)

### **Objectives**

For the consultant to prepare and produce a full Appraisal of Sustainability Report of the HS2 proposals to accompany the report to Ministers by the end of 2009. This should be in a form suitable for public consultation although may need some refinement following Ministerial review

### **Outputs/deliverables**

The outputs are a report on the appraisal of sustainability on the HS2 options, and comment on the appropriate means of taking the proposals forward should Ministers decide to proceed with the preferred option(s).



In particular, for the sustainability appraisal workstream it will include:

- Identification and mapping of constraints in a confirmed 'Scoping Report' – May, and to be concluded by early August 2009
- High level environmental and planning assessment – by end June 2009
- Environmental and planning assessment during refinement of options – by early September 2009
- Prepare outline assessment of preferred options, as part of Appraisal of Sustainability Report – draft by end October, final by end November 2009

## **Scope**

### Appraisal of Sustainability

The AoS will include an appraisal framework within which decisions on the relative sustainability of different HS2 options can be made. Its main purpose is to provide HS2, DfT Ministers, consultees and other stakeholders with manageable information on the wider effects of HS2 and capture progress towards sustainability.

The interpretation of AoS remains flexible to ensure that the wider effects of future development are reflected in appropriate appraisal methodologies which can influence the design and the outcomes of the HS2. The applicability of the European Strategic Environmental Assessment Directive (Directive 2001/42/EC) to HS2 will be kept under review, and as mentioned above the approach must comply with NATA and WebTAG.

The AoS will involve five basic stages (see Annex 1 and 2), and will need to be an iterative process of information collection, contributing to the development of realistic alternatives, identifying sustainability effects, developing mitigation measures and recommending revisions to the HS2 proposals in the light of predicted effects. Proposals are sought for Stages A-D of the appraisal process, although Stage D costs may be indicative only based on the need for Ministers to review any appraisal reporting alongside the report issued by December 2009, and a possible subsequent review of this report for public consultation. It will be important to identify an end-point where further iterations of the AoS and HS2 are unlikely to bring further significant improvements in predicting the effects. Monitoring proposals should also be considered early and confirmed in any published documents including the AoS Report to accompany public consultation on the options following Ministerial clearance.

Work will mostly be undertaken directly for and with the HS2 environmental assessment manager or other colleagues in HS2. There may occasionally also be a need to liaise with other stakeholders or their consultants. However,



HS2 would not expect the contractor to manage press and communications issues, which should be directed to the HS2 Stakeholder Manager and/or HS2 press office.

### Habitats Regulations Assessment

The requirement for HRA for certain land use plans is outlined in Article 6(3) and 6(4) of the EU Habitats Directive, as transposed into the amended UK Habitats Regulations<sup>1</sup>

The consultant will provide an initial assessment of the HS2 proposals and options, and any proposals affecting Internationally Designated Nature Conservation Sites, including in combination effects. This consideration will ascertain whether these policies and locational proposals are likely to have a significant effect on the integrity of these sites and will inform HS2 and DfT, as the Competent Authority, about any possible mitigation and compensatory measures and/or alternative policies or proposals that could avoid an adverse affect on the integrity of these sites.

The assessment should set out a clear methodology that records the process through which the HRA has influenced the HS2 proposals and preferred route. It should aim to reach a conclusion about the potential impacts on the European and internationally designated sites (including boundary sites).

There should be a separately identifiable report covering the screening and the Appropriate Assessment if undertaken.

During the HRA it is expected that the consultant, in conjunction with HS2, will consult Natural England and the Environment Agency on the methodology proposed and will have regard to any representations made by them.

### Other appraisals

The need for other appraisals should be kept under review by the consultant, particularly where these are required or likely to be required by EU Directives. Tenderers are encouraged to set out in their proposals how other appraisals such as equalities impact assessment, and subsequent project-level appraisal such as environmental impact assessment may be addressed through the appraisal work. An outline of how this might be done is attached as Annex 3.

There are four main workstreams with HS2, each with a number of components (Business Case, Design and Operational Strategy, Environment and Planning Strategy, Stakeholder Strategy). There will be 5 main location based workstreams, each with a number of component parts: West Midlands;

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<sup>1</sup> Conservation (Natural Habitats, &c) (Amendment) (England and Wales) Regulations 2007 which inserts a new Part IVA into the 1994 Regulations and, which came into force on 21 August 2007



London access and terminals (including connection with HS1); Heathrow Interchange; Line of Route (including options for an intermediate station); Maintenance and stabling. Other deliverables will be relevant to the sustainability work including a blight management and safeguarding strategy and consultation and engagement strategy. The consultant is expected to work closely with all workstreams wherever appropriate and possible, particularly other consultants engaged in the engineering, design and operational strategy. This may include utilising HS2 office space from time to time – proposals should set out their intention in this regard. The Environmental Assessment Manager will facilitate this.

### Tender Evaluation

Each tender received will be evaluated against the groups of criteria with weighting as below:

compliance with specification of requirements, how well the proposal addresses the objectives, and the level of understanding of the issues demonstrated - <b>10%</b>	the robustness of the proposed project management and quality control arrangements – <b>10%</b>
the relevant experience of the team with a particular focus on rail infrastructure and sustainability appraisal expertise (references to be provided where available) – <b>30%</b>	the ability to deliver independent, high quality and user friendly outputs – <b>10%</b>
capacity of the team to undertake the work within the desired timescale, and to deliver a well executed project – <b>15%</b>	Innovative approaches that comply with the above criteria – <b>10%</b>
value for money – <b>15%</b>	

### Skills & Experience Required

The team undertaking the work will be required to demonstrate:

- an established and successful track-record in Sustainability Appraisal, SEA, EIA, and related environmental expertise, particularly in relation to transport programmes or projects, with rail experience an advantage
- expertise in transport economics and the process and methodologies of economic impact assessments especially NATA
- an in depth knowledge and understanding of current transport policies and an appreciation of cross cutting policies which will affect the HS2 and AoS process including DaSTS
- expertise in transport and rail network planning and engineering
- the ability to manage cost-efficient projects at the highest level of national strategic planning within tight timeframes



- experience in handling commercially and politically sensitive material
- ability to develop effective working relationships with DfT colleagues, its agencies (such as HS2) and external stakeholders
- ability to communicate effectively orally and in written reports, including skills in describing technical processes and assessments in a non-technical way

It is essential that bidders address the above points clearly within their tenders.

### **Approach**

The approach to the appraisal work is set out in Annex 1 (in broad terms, how the appraisal of sustainability relates to the HS2 programme), Annex 2 (detailed steps involved in the appraisal of sustainability) and Annex 3 (how the appraisal of sustainability may be undertaken in conjunction with other appraisals including Habitats Regulations Assessment as appropriate and Equalities Impact Assessment).

All proposals should include:

- details of the proposed approach including potential problems, proposed solutions and justification
- a schedule of work including the number of days allowed for each member of the team at each stage
- details of the team including specific skills and relevant experience (including a maximum 2 page CV per team member)
- an organisation chart of the team
- details of the roles and responsibilities of each team member in relation to the proposed methodology and project management
- details of any sub-contract proposal.

### **Key dates**

The HS2 Programme is divided into 5 main phases:

- January to end April 2009 – defining the project and long list of options
- May to end June 2009 – refining and shortlisting options
- July to end September 2009 – testing and assessing options
- October to November 2009 – finalising options
- During December 2009 – finalising and delivering the report

Key 'Gate Reviews' will take place within these dates to firstly review the defined process (end April 2009); refine the process (end June 2009); conclude on the assessment process and final suite of options (end September 2009); and final business case assessment and signoff for presentation to Ministers (end November 2009).



The successful tenderer is expected to be in a position to commence work by mid May 2009, and to complete the contract in December 2009 (noting that some revisions may be necessary to the Appraisal of Sustainability Report following Ministerial review, into early 2010), with key milestones in June (scoping consultation), preparation of a draft Appraisal of Sustainability report by October 2009, with a final version by end of November to accompany the report to Ministers.

An inception meeting will be held with the Environmental Assessment Manager to develop and present methodology, and agree the scope of the work.

### **Cost**

All proposals should set out **detailed project costs as follows:**

- staff (indicating the number of person days per task required from each staff member and their daily rate)
- costs for each aspect of the appraisal including any fieldwork and analysis or modelling
- meetings with the project team
- report writing
- travel and subsistence
- any other costs (please specify including purchase of commercial data) (Note - costs should be provided exclusive of VAT and research agencies should state whether VAT will be charged)
- proposed invoice dates and amounts linked to proposed outputs.

A firm price is required for all of the above. But a tenderer can if desired seek a variable element to reflect the numbers of options requiring assessment prior to the stage of finalising the preferred options. If so a reasonable minimum number of options should be included in the fixed price and a scale stated for additional work that would then need to be agreed in advance of the extra work being undertaken. Payment will only be made on successful delivery of the goods and services.

The contractor should submit invoices monthly in arrears to:

XXXX

HS2 – Head of Corporate Services  
3<sup>rd</sup> Floor, 55 Victoria Street  
London SW1H 0EU  
T: 020 7944 XXXX E: XXXX

with a copy sent to the Environmental Assessment Manager, XXXX, by email at the same time to: XXXX



## **Procurement Arrangements**

The work is invited under the DfT framework “DfT engineering and operations framework, Lots 1 and 4, Rail Infrastructure Engineering Consultancies and Professional and Technical Interim Managers”, although it should be noted that the contract will be directly with HS2.

HS2’s standard terms and conditions, rather than the framework terms and conditions shall apply. Copies of these terms and conditions can be supplied if required.

3 hard and 1 soft copy of responses shall be submitted by 12.00pm on 1 May 2009, addressed to:

XXXX  
HS2 – Head of Corporate Services  
3<sup>rd</sup> Floor, 55 Victoria Street  
London SW1H 0EU  
T: 020 7944 XXXX E: XXXX

XXXX, Head of Corporate Services for HS2, can be contacted if further clarification regarding the administrative arrangements is required.

Delivery of the agreed work will be monitored on a weekly (or more regular) basis by telephone and email discussions with the HS2 team, with meetings at HS2 offices as necessary. The Consultant should nominate a project manager who should act as a single point of contact with responsibility for the effective delivery of all aspects of the service of this contract.

HS2 may also establish a steering group, in which case the Consultant will be required to meet with the group to discuss the scope and coverage of the appraisal, agree the issues and questions to focus upon and to present interim and final findings.

The Consultant is expected to provide regular reports against progress to inform the fortnightly HS2 Programme Board meetings, and monthly HS2 Board meetings, including any issues arising on risks, timing or key areas of impact.

## **Contract management arrangements**

Delivery of the agreed work will be monitored on a weekly (or more regular) basis by telephone and email discussions with the Environmental Assessment Manager, with meetings at HS2 offices as necessary. The consultant should nominate a project manager who should act as a single point of contact with



responsibility for the effective delivery of all aspects of the service of this contract.

HS2 may also establish a steering group, in which case the contractor will be required to meet with the group to discuss the scope and coverage of the appraisal, agree the issues and questions to focus upon and to present interim and final findings.

The consultant is expected to provide regular reports against progress to inform the fortnightly HS2 Programme Board meetings, and monthly HS2 Board meetings, including any issues arising on risks, timing or key areas of impact.

### **End of contract**

At the end of this contract:

1. If a new contract is let to a new contractor, the contractor for this specification will undertake to provide to the new contractor:
  - All HS2 and DfT-owned models, data, documentation, results and analysis in electronic form, and details of all consultations undertaken with stakeholders.
  - Sufficient guidance on the appraisal system to permit the new contractor to begin work.
  
2. If a new contract is not let, and HS2 chooses to undertake subsequent appraisal functions internally, the contractor for this specification will undertake to provide HS2 with the same materials as set out above.

### **Technical contact**

Technical questions can be directed to:

XXXX  
Environmental Assessment Manager  
HS2, 3<sup>rd</sup> Floor, 55 Victoria Street  
London SW1H 0EU  
T: 020 7944 XXXX  
XXXX



## Other work

A parallel work stream to provide professional engineering services to HS2 is being progressed. This work seeks responses from the same companies as this remit, using the same framework contract.

Although being commissioned as separate contracts, any company who wishes to bid for both items of work should recognise the other work stream and identify how the interfaces between the packages will be managed.

## References and other information

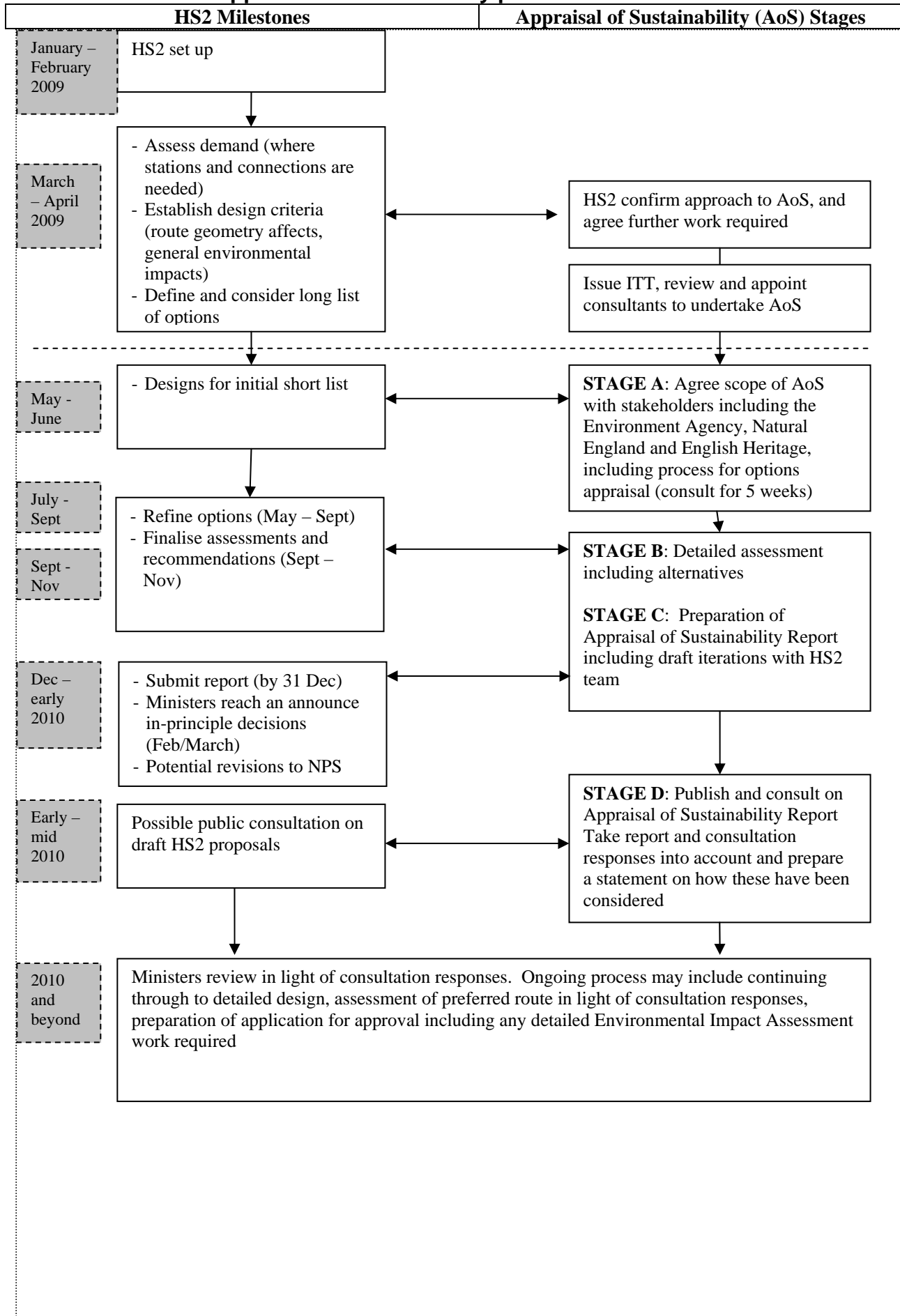
Information on the HS2 proposals can be found at the DfT website at: <http://www.dft.gov.uk/pgr/rail/pi/highspeedtwo/>  
<http://www.dft.gov.uk/pgr/rail/researchtech/research/newline/>  
<http://www.dft.gov.uk/pgr/rail/researchtech/research/atkinshighspeed/>

or alternatively through Wikipedia at: [http://en.wikipedia.org/wiki/High-speed\\_rail\\_in\\_the\\_United\\_Kingdom#High\\_Speed\\_Two](http://en.wikipedia.org/wiki/High-speed_rail_in_the_United_Kingdom#High_Speed_Two) This includes relevant background reports such as the Eddington Transport Study (2006), the Greengauge 21 Study (2007), Government White Paper: Delivering a Sustainable Railway (2007), Atkins feasibility studies and reports on high-speed rail (2004 and 2008) and various other studies.

Information on environmental and sustainability appraisal of national/high level plans, programmes and policies (as potentially relevant to the appraisal of HS2) is available in various other publications including WebTAG (as referenced above) and:

- <http://greenbook.treasury.gov.uk/> Treasury Green Book recommendations for assessing Environmental impacts – The effects on the environment should be considered, including air and water quality, land use, noise pollution, and waste production, recycling and disposal. Further guidance is available from [ODPM](#), [Defra](#) and [DfT](#).
- <http://www.communities.gov.uk/publications/planningandbuilding/practicalguidesea> ODPM 2005 *A Practical Guide to the Strategic Environmental Assessment Directive*
- [http://bre.berr.gov.uk/regulation/ria/ia\\_guidance/specific\\_impact\\_tests.asp](http://bre.berr.gov.uk/regulation/ria/ia_guidance/specific_impact_tests.asp) BERR Impact Assessment Guidance, particularly Specific Impact Tests and the Impact Assessment Toolkit <http://bre.berr.gov.uk/regulation/ria/toolkit/> and associated links to other impact assessment regimes including Defra EIA guidance (<http://www.defra.gov.uk/corporate/regulat/impact-assessment/envguide/index.htm>) and Race, Disability and Gender Impact Assessments

# Annex 1 - HS2 and appraisal of sustainability process



## Annex 2 – Detailed of HS2 and appraisal of sustainability process

HS2 Stage	Stage and Description	Possible approach for AoS of HS2 (to be worked up by tenderers with reference to WebTAG as appropriate)
Designs for initial options, refine options	<b>Stage A:</b> Setting the context and objectives, establishing the baseline and deciding on the <b>scope</b>	
	A1 – Identify other relevant policies, plans, programmes sustainability objectives	<ul style="list-style-type: none"> <li>• Review established international and national policies, plans and programmes to establish a list of sustainability objectives appropriate to the scale and scope of the HS2 proposals, using, if appropriate, a shared baseline with the related National Networks NPS</li> <li>• Use existing data to inform decisions</li> <li>• Keep this under review for subsequent appraisal work</li> </ul>
	A2 – Collect baseline information	<ul style="list-style-type: none"> <li>• Focus on information and appropriate level of detail to the HS2 proposals</li> <li>• Data may be incomplete – be open about uncertainties</li> </ul>
	A3 – Identify key sustainability issues	<ul style="list-style-type: none"> <li>• Identify trends as well as the current situation (future baseline or evolution of the environment in the absence of the HS2 proposals)</li> </ul>
	A4 – Develop objectives, indicators and targets (as relevant) and the AoS Framework	<ul style="list-style-type: none"> <li>• Consider existing sustainability commitments and indicators (e.g. Defra wellbeing indicator set, National Indicator Set for local authorities), and other considerations such as:               <ul style="list-style-type: none"> <li>○ CO2 and other greenhouse gas emissions, energy use</li> <li>○ Emissions to/pollution of air, water, soil, noise quality etc.</li> <li>○ Water: availability and demand</li> <li>○ Land availability, demand, pressures, constraints, effects on regeneration proposals etc.</li> <li>○ Demographic, social and health data / trends</li> </ul> </li> <li>• Develop a draft AoS framework – a list of sustainability objectives and indicators against which the draft HS2 proposals will be assessed, building on the work already undertaken by the HS2 team up to May</li> </ul>
A5 – Consult on the scope of the AoS	<ul style="list-style-type: none"> <li>• Confirm approach to public consultation.</li> <li>• Consult with SEA Consultation Bodies (5-week period in June), possibly through a Scoping Workshop for these and other key stakeholders.</li> </ul>	
Options refinement, assessments and recommendations (Sept – Nov)	<b>Stage B:</b> Developing and refining alternatives and <b>assessing effects</b>	
	B1 – Test the HS2 proposals	<ul style="list-style-type: none"> <li>• Focus on outcomes, and meeting the objective of ‘promoting</li> </ul>

	<p>objectives against the AoS Framework</p> <p>B2 – Develop the HS2 strategic alternatives</p> <p>B3 – Predict the effects of the HS2, including alternatives</p> <p>B4 – Evaluate the effects of the HS2, including alternatives</p> <p>B5 – Consider ways of mitigating adverse effects and maximising beneficial effects</p> <p>B6 – Propose measures to monitor the significant effects of implementing HS2</p>	<p>sustainable development’ in conjunction with HS2 objectives</p> <ul style="list-style-type: none"> <li>Propose reasonable alternatives to delivery of the HS2 objectives, and deal with issues/problems identified at the scoping stage</li> <li>Predict changes to baseline / trends from HS2 proposals, including reasonable alternatives where appropriate</li> <li>Ensure assessment is robust and evidence based</li> <li>Stimulate communication and coordination of input between public sector bodies and other stakeholders with an interest - ensure continual engagement with key stakeholders on certain issues throughout the assessment process</li> </ul>
	<b>Stage C: Preparing the Appraisal of Sustainability Report</b>	
<p>Submit report (by 31 Dec)</p> <p>Ministers reach an announce in-principle decisions (Feb/March)</p> <p>Potential revisions to HS2 proposals</p>	<p>C1 – Prepare the AoS Report</p>	<ul style="list-style-type: none"> <li>Keep the AoS Report succinct and focused on key issues. Present supporting technical information in annexes or on linked websites, and utilise tools such as those set out in WebTAG, Defra’s ‘Stretching the Web’, as appropriate</li> <li>Prepare a Non-Technical Summary</li> </ul>
<p>Consultation on the draft HS2 proposals</p>	<b>Stage D: Consulting</b> on the draft HS2 proposals and the AoS Report - <b>BROAD ESTIMATES TO BE INCLUDED IN PROPOSALS</b>	
	<p>D1 – Consult on the draft HS2 proposals and AoS Report</p>	<p>Develop in conjunction with proposals for public consultation / participation.</p>
	<p>D2 – Assess significant changes</p>	<p>Ensure consultation and engagement with the public and Consultation Bodies as appropriate.</p>
<p>Processes for approval of HS2 proposals to be confirmed</p>	<p>D3 – Make decisions and provide information</p>	<p>Prepare and issue the AoS Statement including information on how the appraisal and consultees’ opinions have been taken into account in deciding the final form of the HS2 proposals, and measures to be undertaken to monitor any significant sustainability effects, to inform the next tier of appraisal.</p>
<p>Ongoing maintenance and review of</p>	<b>Stage E: Monitoring</b> the significant effects of implementing the HS2 (in accordance with established	

HS2 proposals as required

processes) **NOT A PART OF THIS CONTRACT**

## Annex 3 – Overview of Appraisal Processes and Potential Synergies in Staging

<p><b>A1:</b> Identify other relevant policies, plans, programmes and sustainability objectives</p> <p><b>A2:</b> Collate baseline information</p> <p><b>A3:</b> Identify key sustainability issues</p> <p><b>A4:</b> Develop objectives, indicators and targets (as relevant) and the AoS Framework</p> <p><b>A5:</b> Consult on the scope of the AoS</p>	<p>The Treasury Green Book makes various recommendations on assessment and options appraisal – see text below this table.</p> <p>The GB suggests in setting objectives for IA, these should be stated so that it is clear that proposals are intended to achieve, e.g. Public Service Agreements...there is usually a hierarchy....Targets should be SMART (specific, measurable, achievable, relevant and time-bound)</p>	<p>DH HIA guidance poses 3 questions in consider potential for health impacts:</p> <ol style="list-style-type: none"> <li>1. Will your policy have a significant impact on human health by virtue of its effects on the following wider determinants of health?</li> <li>2. Will there be a significant impact on any of the following lifestyle related variables?</li> <li>3. Is there likely to be a significant demand on any of the following health and social care services?</li> </ol> <p>If the answer is 'yes' to 2 or more of these questions, a full health impact assessment is required.</p>	<p>Undertake the 10 step process for Initial Screening</p> <ol style="list-style-type: none"> <li>1. <u>Context step 1</u> - Identify scope of change from existing to new</li> <li>2. <u>Context step 2</u> - Identify screening team &amp; Senior Responsible Owner ultimately responsible for the EqIA</li> <li>3. <u>Context step 3</u> - Describe the HS2 proposals – aims, objectives, project or policy, projected outcomes, who the main beneficiaries might be and those potentially negatively affected</li> <li>4. <u>Relevance and strategic thinking</u> – consider equality duties, needs of different groups, departmental equality and diversity priorities, advantages and disadvantages. Can the policy be modified to meet these needs without compromising overall effectiveness?</li> <li>5. <u>Assessment of risks and opportunities</u> – identify “known evidence”;</li> <li>6. consider in light of equality duties on race, disability, gender;</li> <li>7. identify key risks and opportunities for each;</li> <li>8. consider scale and likelihood</li> <li>9. Decision – need for full assessment? If not, state case in screening documentation</li> <li>10. Clarify relevance of policy to equality / human rights &amp; identify evidence required for full assessment</li> </ol>	<p><u>Stage 1 – Screening</u></p> <ul style="list-style-type: none"> <li>• Describe the potential to impact upon European Protected Sites and Species (Natura 2000 Network) either alone or in combination with other plans and projects</li> <li>• Determine whether the aim / objectives are likely to have a significant effect on the Natura 2000 Network</li> <li>• Prepare a Habitats Regulations Screening Report (HRA)</li> <li>• Consult with Natural England, Countryside Council for Wales, the Dept of the Environment’s Environment and Heritage Service and Scottish Natural Heritage as appropriate</li> <li>• Consult with Environment Agency and other relevant stakeholders</li> <li>• Assess whether significant effect with regard to a site’s conservation objectives is likely or cannot be discounted</li> </ul>
	<p>Five basic steps involved in Impact Assessment include:</p> <ol style="list-style-type: none"> <li>1. <u>Development</u> – Identification of options;</li> </ol>	<p>Tasks would then include:</p> <ul style="list-style-type: none"> <li>• Collate key health objectives relevant to the HS2 proposals</li> <li>• Identify vulnerable groups</li> <li>• Identify Health organisations relevant to the scale and/or nature of HS2 (i.e. Dept for Health or a regional health board)</li> <li>• Health organisations involved in objective setting and Workshop</li> <li>• Consult Health stakeholder for opinion on scope of AoS</li> </ul>		

<p><b>B1:</b> Test the HS2 objectives against the AoS Framework</p> <p><b>B2:</b> Develop the HS2 strategic alternatives</p> <p><b>B3:</b> Predict the effects of the draft HS2 including alternatives</p> <p><b>B4:</b> Consider ways of mitigating adverse effects and maximising beneficial effects</p> <p><b>B5:</b> Propose measures to monitor the significant effects of implementing the HS2</p>	<p>2. <u>Options</u> – Testing of options through pre-consultation</p>	<ul style="list-style-type: none"> <li>• Include health organisations in assessing HS2 against AoS Framework</li> <li>• Suggest relevant measures to mitigate negative effects and maximise opportunities for health gain</li> <li>• Include health data for monitoring effects</li> </ul>	<p>Undertake the 10 step process for Full Assessment</p> <ol style="list-style-type: none"> <li>1. <u>Context step 1</u> – re-identify scope of change from existing to new policy</li> <li>2. <u>Context step 2</u> – identify team</li> <li>3. <u>Context step 3</u> – identify scope</li> <li>4. <u>Evidence and Insights step 1</u> – relevant research, consultation and engagement, disaggregate findings by equality groups</li> <li>5. <u>Evidence and Insights step 2</u> – analyse and interpret evidence, record insights</li> <li>6. <u>Evidence and Insights step 3</u> – summarise assessment, set out positive &amp; negative impacts</li> <li>7. <u>Follow through step 1</u> – describe how success of policy and equality aspects will be monitored and kept under review</li> <li>8. <u>Follow through step 2</u> – create an action plan for changes resulting from the EqIA, mitigating actions, handling strategy, opportunities to promote equality, responsibility and timescale</li> <li>9. <u>Follow through step 3</u> – Identify possible actions e.g. policy changes, filling data gaps, regulation, guidance, communication</li> <li>10. <u>Sign Off</u> – formal agreement to the assessment at senior level (director or deputy director), published together with the Action Plan</li> </ol>	<p><u>Stage 2 – Appropriate Assessment</u></p> <ul style="list-style-type: none"> <li>• Determine Qualifying Feature(s), conservation objectives and trends at affected sites</li> <li>• Identify factors that support the integrity of each affected site</li> <li>• Analyse projects that could contribute to ‘in combination’ effects.</li> <li>• Undertake Appropriate Assessment – consider impact on integrity of N2K sites with respect to their conservation objectives.</li> <li>• Propose mitigation measures to reduce or avoid adverse effects likely to arise as a result of implementation</li> <li>• Reappraise impact of mitigation measures as appropriate</li> </ul>
<p><b>C1:</b> Prepare the AoS Report</p>	<p>Prepare IA report, referring to AoS components, and HIA, EqIA and other appraisals as appropriate</p> <p>Senior Economist sign-off</p>	<ul style="list-style-type: none"> <li>• Health input to preparing the report: focus on outcomes from assessment of population and health objectives</li> <li>• Report information within “Population &amp; Human Health”</li> </ul>	<ul style="list-style-type: none"> <li>• Equality input incorporated to AoS Report preparation with reference to target groups</li> </ul>	<p><u>Stage 3 – If AA conclusion is, despite mitigation, impacts are still adverse (or cannot be concluded otherwise)</u></p> <ul style="list-style-type: none"> <li>• Consider feasible alternative solutions at national level, and, if none can be found</li> <li>• Identify imperative reasons of overriding public interest (IROPI)</li> <li>• Secure compensation measures to offset the negative effects of the HS2 so that the overall ecological coherence of the N2K network is maintained.</li> </ul> <p>• Prepare a report of the AA findings including assessment of alternative solutions and assessment where no alternative solutions remain and where adverse impacts remain (IROPI)</p>

		chapter within the AoS		
	Ministerial sign-off that, on basis of available evidence, the IA represents a reasonable view of likely costs, benefits and impact of the leading options			
<b>D1:</b> Consult on the Draft HS2 proposals and accompanying AoS Report	Final proposal, including Ministerial sign-off that they have read the IA and are satisfied that it represents a fair and reasonable view of expected costs, benefits and impact of the policy, and benefits justify the costs	<ul style="list-style-type: none"> <li>Input to AoS Report revisions as appropriate</li> </ul>	<ul style="list-style-type: none"> <li>Publish EqlA as part of or alongside AoS Report</li> <li>Contribute to wider consultation</li> <li>Input to AoS Report revisions as appropriate</li> </ul>	<ul style="list-style-type: none"> <li>Submit AA to Natural England, Countryside Council for Wales, the Dept of the Environment's Environment and Heritage Service and Scottish Natural Heritage</li> <li>Review changes for significance of effect on Natura 2000 Network</li> <li>Publish AA Statement as a stand alone document within the consultation pack</li> </ul>
<b>D2:</b> Assess significant changes/ update AoS Report as required	3. <u>Consultation</u> – Refinement of options, publication for consultation and comment			
<b>D3:</b> Make decisions and provide information	4. <u>Final proposal</u> – focus on costs and benefits of preferred option (the 'proposal'); publication alongside final document			
<b>E1:</b> Finalise aims and methods for monitoring	5. <u>Implementation &amp; Review</u> - final revisions; publication (only if required due to changes during Parliamentary process)	<ul style="list-style-type: none"> <li>Monitor health impacts of HS2</li> </ul>	<ul style="list-style-type: none"> <li>Monitoring equality aspects of HS2</li> </ul>	<ul style="list-style-type: none"> <li>Integrate AA recommendations into the management of European Sites, if required.</li> </ul>
<b>E2:</b> Respond to adverse effects				

## **HS2: Clarification of the Appraisal of Sustainability Brief**

Question 1 - The number of alternatives for each package of options from London to the West Midlands and then to the north of the West Midlands and other links to the existing rail network (outlined on Page 3 of the tender document) that we would be expected to assess and the scale of the existing analysis for each?

*Response - Tenderers should refer to the exchange of letters between Lord Adonis, Minister of State for Transport, and Sir David Rowlands, Chairman High Speed Two, covering Objectives and remit for HS2. This can be found at <http://www.hs2.org.uk/> This states the report submitted to Ministers at the end of 2009 will need to be at route or corridor level detail for London to West Midlands, and at a "broad corridor" level for potential development beyond West Midlands, considering in particular Greater Manchester, West Yorkshire, the North East and Scotland.*

*As the ITT suggests the programme at the moment involves considering a long list of options, and at the time of appointment we will be starting to shortlist, review and refine options (expected to be around 50). These are mainly focussed on the London to West Midlands route, with up to 10 options for stations at either end, around half a dozen options for the approach into the West Midlands and London, and same for possible interchanges, parkways, intermediate stations and line of route.*

*The subsequent detailed review - July to September - will be of around 10-12 options (a few options on route and for each station, intermediate stations, and interchanges including Heathrow).*

*The scale of analysis should be sufficient to meet the requirements of the SEA Directive, incorporated within the wider appraisal of sustainability, with a view to completing the NATA Appraisal Summary Table in as much detail as possible up to end of September, and refining and undertaking more detailed review from September to November.*

*This means that high level options such as HS2, no HS2 or business as usual, and a new classic line rather than HS2 should also be set out in the appraisal of sustainability work. Consideration may need to be given to other technical (speed variation) or location options (e.g. width and number of tracks) as well.*

*Tenderers should note the WebTAG guidance on Major Scheme Appraisal and Rail Appraisal available at:*

*[http://www.dft.gov.uk/webtag/webdocuments/doc\\_index.htm](http://www.dft.gov.uk/webtag/webdocuments/doc_index.htm)*

Question 2 - Whether a complete NATA assessment (including economic, safety etc in addition to the environmental aspects) is required for each option?

*Response - As above, this will be undertaken in two parts. See also attached pro forma for the NATA Appraisal Summary Tables to be completed for the December report. Presentation of this material will need to be informed by and in turn inform the Appraisal of Sustainability Report. Tenderers should note that the analysis and economics team within HS2 will be covering all 'economic' objectives, and some environmental (namely Greenhouse Gases) and Safety (namely Accidents) sub-objectives, with input from the environmental consultants on the latter. The rest of the NATA objectives and sub-objectives*

*will be the responsibility of the environmental consultant. In some cases only qualitative material will be available. These topics overlap with but are not fully consistent with those set out in the SEA Directive, therefore reference should be made to WebTAG 2.11 as appropriate and the SEA Practical Guide (ODPM, 2005).*

Question 3 - Whether the objective of the study is to rank a single preferred route alignment between London and West Midlands to a defined limit of deviation set by the HS2 team?

*Response - Refer to the exchange of letters as mentioned above, which set out the objectives for a new line including passenger capacity, speed, land use and development, freight, modal shift from car and air.*

*In terms of route alignment between London and West Midlands the HS2 team will define a minimum trace width for operational purposes. Engineering and environment consultants working together will then need to make an assessment of what extra land may be required e.g. for cuttings, embankments and major mitigation works. How precise this needs to be will vary according to the nature of the route section e.g. more precise where an existing alignment of some form is being utilised or where there is a critical pinch point. Full limits of deviation to support an approval process are beyond the scope of this study and would be produced at detailed design stage.*

Question 4 - Please confirm that economic and transport planning are to be part of the appraisal skill sets as identified in the brief. Are these skills to enable delivery of NATA for each option or provide other outputs such as in an interface role or are these skill sets need to work up the transport, economic and safety cases of all options London to West Midlands and West Midlands to the North?

*Response - We expect that whilst the HS2 Analysis and Economics team, and consultants engaged to undertake the demand modelling will be responsible for specific economic considerations (as set out in NATA, i.e. Public Accounts, Transport Economic Efficiency, Reliability, Wider Economic Impacts), the Environmental consultants will have the staff and resources available to understand and input into this work as appropriate. The same applies for the requirement to illustrate team expertise in transport and rail network planning and engineering - other teams within HS2 are leading on this work but the environmental consultancy needs to display previous experience in this area to ensure an adequate understanding of the issues. See also response to Question 2.*

Question 5 - Section on 'Approach' - why does it mention 'optional and only in exceptional circumstances'? And what is the purpose of listing other appraisals for example EqIA, HIA, Habitats Regulations Assessment and Appropriate Assessment?

*Response - The first paragraph in this section deals with other appraisals, which should be borne in mind when tenderers are submitting bids. Please disregard the 'optional and only in exceptional circumstances' reference. These appraisals may not necessarily be required for the HS2 work but may be required at higher levels (for instance, for National Policy Statements) or for subsequent levels of assessment of the HS2 proposals (e.g. full Appropriate Assessment under the Habitats Regulations). We would expect the successful tenderer to be able to input into both higher level work and to explore many of the issues typically*

*covered in these appraisals including impacts on population and human health, equalities issues etc.*

*The list of matters which all proposals should include (e.g. details of proposal approach, a schedule of work etc.) should be provided in each tender submitted.*

Question 6 - As the Scoping Report is to be issued within 2 weeks of appointment, please confirm what materials have already been prepared?

*Response - A certain amount of work has already been undertaken and is published in the documents set out in the ITT or on the DfT or HS2 website. Most recently the New Line Capacity Study, published on the DfT website on 3 April 2009, provides some of the high level policy appraisal work which will be useful in the scoping stage. These reports are available at:*

*<http://www.dft.gov.uk/pgr/rail/researchtech/research/newline/>*

*Additional material may be available from the draft Scoping Report prepared for the National Networks National Policy Statement, and will be made available to the successful tenderer.*

*We are also setting out some parameters for consideration of alternatives, and will discuss these at the inception meeting with the successful tenderer.*

*Tenderers should set out what information they already hold, access to GIS and other background experience which may inform this process.*

Question 7 - Please confirm whether the high level environmental and planning assessment deliverable for the end of July is a report on the scoping consultation or whether it has some other role?

*Response - We envisage that the scoping report submitted to the SEA Consultation Bodies for comment in early June will be revised and a report reflecting the comments of these stakeholders will be submitted to HS2 to coincide with the conclusion of the Gate 2 review of process and refinement of options (due for end June 2009) or shortly thereafter.*

*High level environmental assessment input will continue throughout this process and be concluded in July, as the programme moves towards testing and assessing the short list of options.*

Question 8 - Whether you can disclose an indicative budget for the appraisal works so we can appreciate the level of input that is being sought. A firm price may be difficult to provide on the basis of the above questions

*Response - We are not able to provide an indicative budget. We would expect that the clarification provided above will enable tenderers to more fully scope their proposals, providing a firm price but with a variable element where necessary to reflect the range in potential options, combination of options and liaison with other members of the HS2 team. In these cases daily rates should be submitted and an indication provided of potential cost.*

As a final note to prospective tenderers, please note that we will be undertaking the evaluation of tenders week beginning 4<sup>th</sup> May 2009, with a view to holding any required interviews week beginning 11<sup>th</sup> May 2009, and possible appointment by mid May. Please consider these dates and availability of key team members for interview on 11-13<sup>th</sup> May at least for the environmental consultancy.

# Appraisal Summary Table

Option		Description	Problems	Present Value of Costs to Public Accounts £m
OBJECTIVE	SUB-OBJECTIVE	QUALITATIVE IMPACTS	QUANTITATIVE ASSESSMENT	ASSESSMENT
ENVIRONMENT	Noise			net population win / lose NPV £m
	Local Air Quality			Concs wtd for exposure
	Greenhouse Gases			tonnes of CO <sub>2</sub>
	Landscape			Score
	Townscape			Score
	Heritage of Historic Resources			Score
	Biodiversity			Score
	Water Environment			Score
	Physical Fitness			Score
	Journey Ambience			Score
SAFETY	Accidents			PVB £m
	Security			Score
ECONOMY	Public Accounts		Central Govt PVC, Local Govt PVC	PVC £m
	Transport Economic Efficiency: Business Users & Transport Providers		Users PVB, Transport Providers PVB, Other PVB	PVB £m
	Transport Economic Efficiency: Consumers		Users PVB	PVB £m
	Reliability			Score
	Wider Economic Impacts			Score
ACCESSIBILITY	Option values			PVB £m
	Severance			Score
	Access to the Transport System			Score
INTEGRATION	Transport Interchange			Score
	Land-Use Policy			Score
	Other Government Policies			Score