

2.0 Methodology

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This section provides detailed information concerning the approach and methods used to obtain the results. Explanation and rationale for the main decisions made during the project are also set out here.

2.1 Summary of Research Brief

The methodology was developed in response to the research objectives which were:

- ii) To establish baseline information relating to current landscape legislation, policy and other activities for the protection, management and planning of landscape within the UK with respect to obligations under the ELC;
- iii) To develop a methodology and protocol to monitor and assess changes in legislation, policy and other activities and investigate the feasibility of assessing direct landscape change as a result of the ELC:

2.2. Overall approach to methodology development, scope and basis for research

The research was undertaken primarily as a desk-based review, using sampling methods as appropriate to test the outcomes at various stages of the project. The facilities of the Universities of Newcastle, Sheffield and Manchester were used and samples were agreed with the Steering Group in advance.

The focus was on legislation, policy, guidance, advice and similar 'other activities' at the national level within the devolved administrations of the UK.

The project was understood to be highly analytical and developmental in nature and, although some literature research was required, this was clearly focussed on the practical needs of developing the baseline and monitoring framework.

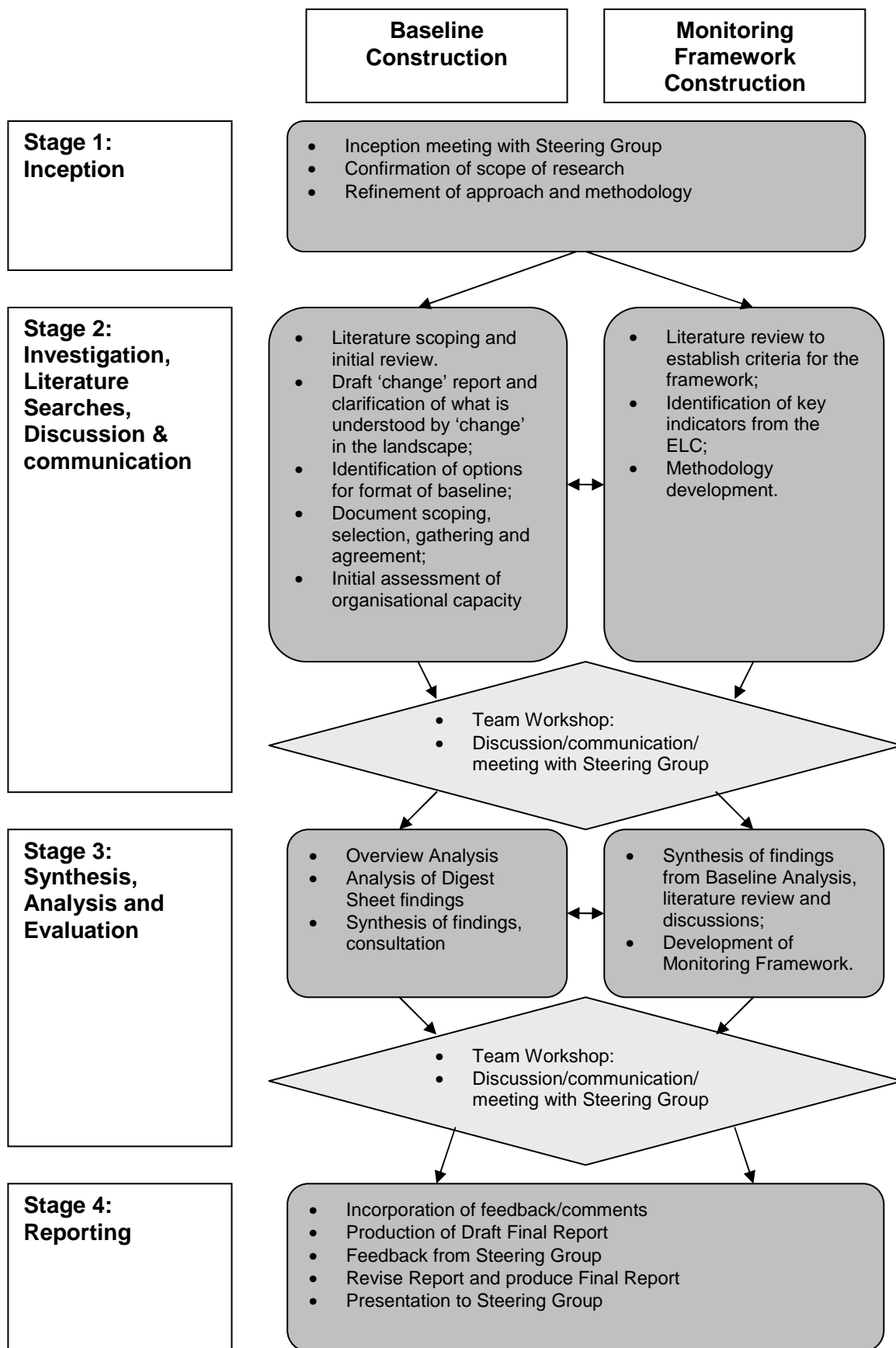
The development of the project methodology and methods was based on a collaborative and communicative approach within and between the Research team, the Steering Group members and other individuals within the Steering Group organisations. This reflects the principles behind the ELC and the need to develop new and innovative implementation tools in response to rapidly changing circumstances in institutions and within the landscape itself. It also indicates the changing conceptions and perceptions of the landscape and the way rights and responsibilities relating to landscapes are evolving to include collaborative learning between stakeholders and professionals. The development of the methodology, and in particular the digest system, relied heavily on understandings gained by research team members and Steering Group members following involvement in a project carried out for Natural England in 2008 (see

Roe, *et al*, 2008). In addition literature that was particularly useful related to sustainability appraisal, policy analysis, implementation theory, impact assessment and government guidance relating to monitoring (see Chapter 5 Reference list for sources of information).

This project was primarily based on a content analysis methodology. Content analysis is sometimes referred to as *textual analysis* where recorded human communications are studied to identify, in an objective and systematic way, the characteristics of the statements and inferences within the texts involved. Content analysis allows researchers to study a large amount of textual information and identify its properties, often using keyword searches and the identification of themes. It is commonly used as a tool for measurement of success in documents and programmes by helping to determine objectives or meanings in documents. Although the current analysis was based on a qualitative approach which focuses on the intentionality within the documents, some simple calculations are also provided of the numbers of documents and basic percentages relating to the categories assessed. However this study is not based on any kind of statistical analysis, and the figures set out in the analysis should not be taken as such; these figures are simply used to aid the analysis of the content.

The main project stages are set out in Figure 2.1. The research was based on qualitative approach to the analysis of policy content within the four devolved administrations. Since these administrations have different institutions and governance regimes with regard to relevant policies, it was not appropriate or useful to use comparative analysis between the administrations. However limited comparison was used to identify issues within sectors and to provide indications of exemplars of good practice. Landscape change analysis was carried out primarily in response to the literature indicating present theoretical approaches and present professional practice. Policy analysis was therefore carried out in relation to the indicators derived from the ELC Principles and Articles. The detail of the methods is set out in the following sections. The key methodological issues and identification of methods are set out below.

Figure 2.1 Project Stages



2.2.1. Overall Resources and Literature Review

A literature review was carried to:

- Provide background and contextual information, particularly in relation to the objective, interpretation and implementation of the ELC;
- Develop all parts of the methodology;
- Provide data for the Landscape Change Analysis;
- Provide contextual information for the Overview Analysis;
- Inform the development of the digest sheet and guidance notes for completion;
- Develop the rationale for and the form of the Monitoring Framework.

A full list of reference material can be found in Chapter 5.0 of this report (References and Document List. This literature was accessed in the normal way through digital databases and library facilities. Including advanced searches using web-based engines to penetrate the grey literature, much of which is in the form of policy documents and reports. Key references were the ELC text itself and the Council of Europe (2009) *Guidelines for the Implementation of the European Landscape Convention*, CEP-CDPATEP (2009) 2E (Strasbourg, Council of Europe). Steering Group members were an invaluable source of information concerning relevant literature and policy documents.

2.2.2. Consultation and discussion

Discussion of findings at key stages with the Steering Group members and others within their organisations was an important part of the development of the project. The three main Steering Group meetings were not simply information exchange sessions, but acted as discussion and development sessions in relation to the set tasks with summary records of the meetings produced by the Project Administrator, University of Newcastle. In addition to communication by telephone and email the Research Team had two workshop style meetings, in addition to the four Steering Group meetings. The initial Steering Group Meeting was particularly important in defining the scope of the project because of the unevenness of information available in relation to the devolved administrations. A consultation plan was agreed with the Steering Group at the first meeting.

2.2.3. Team Approach and responsibilities

A number of overlapping tasks were identified which allowed team members to work consistently throughout the project period, to enable exchange of information as the different tasks developed and to allow for the development of the methodology (see Figure 2.1 and Table 2.1).

Table 2.1 Team Responsibilities

Staff	Project Role	Project Responsibility Summary
Maggie Roe	PI/Project Director	Overall Responsibility for submission of all the project outputs; Overall co-ordination and management of the project; participant at all team workshops/meetings and all four Steering Group meetings.
Paul Selman	Co-Investigator	Primary responsibility for research relating to the Change Analysis, Overview Assessment; Co-investigator and advisor on all other parts of the project; participant at all team workshops/meetings and all four Steering Group meetings.
Carys Jones	Co-Investigator	Co-investigator on Overview Analysis; Investigator on Organisation Capacity Analysis; advisor and participant at team workshops/meetings and two Steering Group meetings.
Carys Swanwick	Co-Investigator	Development and Advisory input, advice on quality assurance of final outputs.
Ian Mell	Research Assistant	Researcher and Assistant for the whole project; Assistant to Maggie Roe in internal project reviews and document preparation; participant at team workshops/meetings and key Steering Group meetings.
Kim McCartney	Administrative Support/Secretarial	Primarily to take Minutes of the four Steering Group Meetings and to provide administrative support in financial and secretarial matters.

2.2.4. Quality Assurance

There is an increasing demand in publicly funded projects for organisations involved in research to be accountable for their work and to ensure the quality of that work and that the efficiency of their working is of the highest standard. The *Treasury Green Book* (2003, 3rd edition 2004) provided useful guidance on this as did the *Impact Assessment Guidance and Toolkit* (2008) project in relation to guidance, evidence base, external scrutiny, measurement of benefits and costs.

Clear responsibilities and standard quality assurance procedures were followed according to the research practice set out by Newcastle University. Such procedures cover risk assessment, appropriate insurance, and ethical approach to working and quality control. One of the specific roles of the Project Advisor (Carys Swanwick) was to comment on the quality of the outputs. A quality assurance plan was devised and agreed at the first meeting with the Steering Group.

2.2.5 Study limitations

This study was established to examine guidance and policy documents at the UK national and devolved administration level. It did not extend to an examination of implementation of the ELC at the local level; as such a study would require additional methods to gain particular understandings of what is occurring on the ground relating to local guidance and initiatives.

This study was based on a sampling approach using documents in the public realm. The number of documents that could be examined was limited by the time and finances available to researchers. However, this study provides a useful contribution to the picture of implementation of the ELC in the UK and can be seen as one of a number of initiatives at UK level and at devolved administration level to examine implementation in depth. The report is intended to help inform policy-makers, not provide policy itself.

2.3. Building the Baseline

Although it was originally conceived that the baseline could be built from a review of existing research, sectoral and policy reviews it emerged that this could not provide a consistent baseline for the UK since existing research and documentation varied across the devolved administrations in terms of focus and completeness. As the project methodology developed, it was also clear that new survey work of policy documents was needed in order to complete the digest sheet and provide up-to-date information to be used in all the analyses carried out.

2.3.1 Baseline Components

The components of the baseline are set out in Figure 2.2. Although Parts 1-3 are identified as separate sections, there is considerable crossover between them and work on these sections was carried out in parallel so the development of each section informed the other. The methodology for each Part is set out below.

Figure 2.2

Baseline Information & Analysis

1. Landscape Change

Summary review and analysis of the links between theories of landscape change, measurements of change and emphasis given to types of change.

- Current understandings of 'change' in the landscape
- Relevance of landscape change to ELC implementation
- Issues relating to change monitoring tools and indicators
- Identification of new ways in which change is conceptualised, understood, theorised, approached,

2. Sectoral Policy & Tools Overview *

Overview of UK policy/legal framework: analysis for sectors and relevant tools for ELC implementation

- UK Planning overview policy
- Devolved Administration policy/guidance/assessment relating to Sectors
 - a) Agriculture
 - b) Planning
 - c) Climate Change
 - d) Housing
 - e) Biodiversity & Nature Conservation
 - f) Transport
 - g) Minerals
 - h) Energy
 - i) Water, Marine & Aquaculture
 - j) Forestry
- Identification of the existing policy/legal framework relating to sectors
- Assessment of policy sufficiency overall and potential gaps
- Identification of key tools useful for ELC implementation

3. Policy Content Review

Detailed analysis of key policy documents in the devolved administrations related to ELC indicators.

- UK Planning overview policy
- Devolved Administration policy/guidance/assessment relating to Sectors
 - a) Agriculture
 - b) Planning
 - c) Climate Change
 - d) Housing
 - e) Biodiversity & Nature Conservation
 - f) Transport
 - g) Minerals
 - h) Energy
 - i) Water & Marine
 - j) Forestry
 - k) Historic Environment
 - l) Rural Development
- Detailed Analysis of policy content in relation to Principles and Articles of the ELC.
- Digest summary recording system

4. Baseline Summary

Summary identification of Key issues and characteristics of the baseline.

Summary of additional useful information.

**Note that Historic Environment and Rural Development are examined within the sectors (a)-(j) where relevant and not treated as separate sectors for the purpose of this overview analysis.*

2.3.2 Selection of Documents

A number of fundamental points were agreed in relation to the documentation surveyed and these therefore were the criteria for selection:

- The compilation of the list was carried out as a result of initial suggestions based on a response to the brief from Defra. This list was then discussed and the final list agreed with the Steering Group (see section 5.0 References and Document List).
- Documents surveyed were therefore those that represented *current policy and practice* in line with the project brief.
- Sectors were selected on the basis that these were of key importance in relation to landscape change and ELC implementation. It was understood that the future monitoring process may require some alteration in the sector selection and this likelihood is built into the monitoring framework review process.
- Sectors were examined in order to understand the relationship to both the 'spirit' of the ELC (Sectoral Policy and Tools Overview Analysis) and the 'letter' of the ELC (Policy Content Review). This reflects the Convention which sets out principles in the Preamble and Article 5 and then the detailed actions in Article 6.
- The selection of documents for survey was made in response for the need for a reasonable balance between devolved administrative areas, between sectors identified for examination and in order to achieve the objectives of the study. It was agreed that not all possible documents from all possible sectors could be examined, not would this necessarily be desirable to create a baseline for the purposes of monitoring ELC implementation.
- All documents that would be used to create the Baseline had to be within the public realm, i.e. freely and easily available through the Internet. The policy documents used in creating Parts 2 and 3 of the Baseline had to be in digital format; the majority were in Portable Document Format (PDF) format. PDF format was used as it is recognised as a standard global digital format that allows for easy information capture and sharing.
- No draft or consultative documents were used since these were likely to change.

2.3.3 Methodology for the Landscape Change Analysis

(a) Sources and Approach

This analysis was carried through a review of policy documents and a limited selection supporting relevant literature. The analysis aims to identify thinking, methods and tools in relation to the assessment of landscape change in policy and on the ground. Information from this analysis then also feeds into the development of the monitoring process overall and into the approach (as well as the content) of Parts 2 and 3 of the baseline. This analysis provides background as to the approach taken in Parts 2 and 3 which are designed to identify where change is occurring but do not provide a judgement on the change or a value of the change.

(b) Basis for the analysis

Important issues that were examined during the landscape change analysis were:

- Key overall conceptual approaches to change that influence policy and practice including the framing of landscape change in policy and practice;
- Issues relating to landscape change that influence monitoring of the ELC and the monitoring framework;
- Issues related to the expression of change by sectors;
- The datasets available to assess change in the landscape;
- The key tools used to identify landscape change on the ground and the usefulness of such tools;
- The strengths, weaknesses and potentials in landscape change analysis

The datasets with potential value for establishing a landscape baseline and monitoring process in terms of actual landscape change were considered in relation to the following questions:

- Does the dataset comprise information on landscape, land use or land cover?
- Are the mapped landscape units associated with landscape quality objectives (i.e. an indication of the desirable direction of change)?
- Are the data available at regular time-series intervals?
- Are the data available on a UK basis?

The various sources were then explored through websites and published outputs from surveys.

The analysis was presented as a short textual summary with supporting identified within the text and listed in the overall Reference List (see Chapter 5 of this report).

2.3.4 Methodology for the Sectoral Policy & Tools Overview Analysis

(a) Introduction

Although the approach to the overview analysis was as systematic and objective as possible, there were many occasions on which judgement had to be exercised, notably in instances where reference to landscape was implicit rather than explicit, and where policy has the potential, perhaps unrealised, to take landscape-related action. Further, in order to make the volume of analysis manageable, judgements had to be made regarding the extent to which a summary statement sufficed to reflect the general situation in the devolved administrations or whether a more differentiated account was necessary.

The intention of this analysis was to provide sectoral overviews, to provide a broad indication of the sufficiency of policy overall, and an indication of potential gaps. It also allowed the opportunity to identify and discuss the key tools relating to sectors that are useful for ELC implementation.

Whereas the digest sheets provide a baseline against which specific innovations can be measured, the output from the overview section is a more interpretive baseline against which progress will need to be inferred. As a baseline it is intended to help future policy-makers:

- Make the implicit more explicit;
- Address apparent gaps;
- Improve the evidence base on policy delivery and achievement;
- Learn from instances of good practice.

(b) Data Collection

The basis for document selection was predominantly the Digest. This was supplemented by Internet searches and guidance from the Advisory Group which led to the inclusion of a small number of additional documents. Further, we had identified certain non-policy documents as relevant to the exercise, notably sustainability appraisals, both the generic guidance and actual SAs at national level (e.g. SAs of rural development programmes).

Each document was read in order to make an initial identification of direct and indirect references to landscape. A degree of subjectivity entered here, as in some cases virtually every statement in a document could have some landscape implication (e.g. a forestry strategy) and so was interpreted very selectively, whereas in other documents there was virtually no allusion even to a broad definition of landscape, and so the analysis needed to involve a degree of imagination. Despite these differences, a common sense approach to document analysis was generally fairly self-evident. It is important to recognise that each sector uses its own 'language' and has its own discourse. So the primary consideration and reference was to the text of the Convention itself and the definitions provided. It was important to consider whether the language used reflected the intent of the Convention (either implicitly or explicitly) or what could be described as the *discourse of the Convention*.

(c) Analysis

Having made a general appraisal of the documents, the highlighted sections were re-visited in order to evaluate them in relation to the key Articles of the ELC. Some of the Articles were found to be consistently generic or else marginal to or outside the scope of the overview and are picked up in the Digest survey, namely:

(Article 6D) *What aspects relate to landscape quality objectives – “for a specific landscape, the formulation by the competent public authorities of the aspirations of the public with regard to the landscape features of their surroundings”?*

Comment – at present, landscape quality objectives do not feature strongly in the policy documentation. The main opportunity for landscape quality objectives appeared to be in relation to policy-proofing through SA. The same observation could have been made in relation to each sector, and so relating this Article to each document would presently be unproductive.

(Article 5a) *What aspects entail the recognition of landscapes in law...?*

Comment – there are so few references to landscape in primary legislation that it was not helpful to analyse documents against this criterion.

(Article 5c) *What aspects entail procedures for the participation of the general public, local and regional authorities, and other parties with an interest in the definition and implementation of landscape policies?*

Comment – participation, consultation and stakeholder engagement procedures are practised in a relatively small and consistent number of ways across sectors. The main opportunities in practice for consultees to influence landscape policy are (a) via consultations on draft policy documents, (b) through the plan-making system and (b) where Landscape Character Assessments are conducted locally and include an element of public engagement. Nothing would have been gained practically in testing each document against this Article.

(Article 5d) *How is landscape integrated into regional and town planning policies and in its cultural, environmental, agricultural, social and economic policies, as well as in any other policies with possible direct or indirect impact on landscape?*

Comment – this Article is addressed generally through the sectoral review, and through integrative procedures such as spatial planning at devolved administration, regional and local levels and policy sustainability appraisal nationally. Nothing was added by applying it to individual documents.

Consequently, all these Articles were addressed synoptically at the end of the overview, based on a generalised commentary.

Some Articles were felt to fall outside the range of the Overview. Although they were initially considered (e.g. provisions for training in the Rural Development Programmes), possible references to these Articles were so infrequent and tenuous that they were eventually excluded. These Articles comprised:

(Article 6A & 6B; 7 & 8) *Articles relating to awareness raising, training and education, international programmes, mutual assistance and information exchange.*

Comment – it was considered that the Overview should concentrate on landscape change on the ground, and that the influence of the above factors was felt to be too indirect to be attributable to policy or material change. In practice, there were very few allusions to these aspects in the documents we studied.

(Article 6C & 6E) *Articles relating to identification and assessment, and implementation.*

Comment – once more, these are so generic that little explicit reference was found in the documents. References to LCA tended to be picked up in relation to the ELC definition of landscape “as an area...”, as LCA / National Character Areas was invariably the key way of reflecting area-based landscape perception.

(Article 9) – Transfrontier landscapes

Comment – given the strong parallels between approaches in the home countries, this was not found to be a significant issue, even in Northern Ireland. It would not have been productive to apply it to the document analysis.

The framework for document analysis developed somewhat heuristically, with scrutiny eventually being based on a core set of themes from the Articles. Evidence was therefore particularly collected in terms of the following:

- *ELC definition of landscape: “an area as perceived by people, whose character is the result of action and interaction of natural and/ or human features”.*
- *What aspects comprise: “general principles, strategies and guidelines that permit the taking of specific measures aimed at the protection, management and planning of landscapes”?*
- *What aspects involve protection, i.e. actions to conserve and maintain the significant or characteristic features of a landscape, justified by its heritage value derived from its natural configuration and/ or from human activity?*
- *What aspects involve management, i.e. action, from a perspective of sustainable development, to ensure the regular upkeep of a landscape, so as to guide and harmonise changes...?*
- *What aspects involve planning, i.e. strong forward-looking action to enhance, restore or create landscapes?*

Once statements had been highlighted for their sympathy with the above Articles, they were considered in relation to the strength, clarity and currency of the wording. Again, this involves a degree of judgement and subjectivity. To begin with, a more objective attempt was made to describe the content but this (a) effectively duplicated the work undertaken in the Digest and (b) became impossibly lengthy, repetitious and exhaustive. Therefore, the purpose of the Overview began to diverge from the Digest to give an overall flavour of the coverage of landscape within the sector and its level of sympathy with the ELC.

Capture of information about each home country was also an important element in the method, although to treat each case with absolute equality would again have been extremely lengthy and repetitious. Consequently, the treatment of a topic within each country has been acknowledged, but normally there has been a general synopsis of the collective coverage, with attention being drawn to pertinent departures from the general situation – i.e. where there is an apparent omission or innovation within one country. Again on a semi-subjective basis, examples of good practice within countries have been noted.

Whilst some of the data capture and analysis may at times appear to be subjective, in practice the assessment of the situation was relatively straightforward to make, and was based more on common sense than value judgement. As noted above, an absolutely even-handed and exhaustive approach would have resulted in an unwieldy document, whereas the intention was to supplement the systematic and quantifiable Digests with a synoptic Overview providing a general assessment of the current situation.

The final step of the Overview has been to summarise key findings in tables which give a rapid indication of areas where there is general sympathy with the ELC, areas where there appears to be scope for reinforcement, and illustrations of current good practice.

2.3.5 Methodology for completion of the Policy Content Review

(a) Summary

Information from each document/source examined was recorded on an *Evaluation Form*. This Form records the results of an assessment of the extent to which a document (policy, guidance, assessment, overview) reflects the European Landscape Convention (ELC) through responses to a series of descriptive and evaluative summary questions. The primary purpose of the Form was to record the baseline situation and thereafter aid monitoring and thereby understand changes within policy, guidance, assessment or overview documents in relation to the baseline study. The

methodology for completion of the Form and the Form itself was designed to be as concise as possible while providing enough detail to allow for thorough analysis and be a useful future reference. The compiled evaluation forms were designed to provide a digest of retrievable information (see Appendix 6.1). This method of recording also allowed for cross referencing in the analysis. Thus evaluative information from the 117 documents audited is recorded in a concise, retrievable and transparent manner and allowed for a number of different analyses to be carried out.

Table 2.2: Summary Information Relating to Documents Examined

Administration	Sector														Total
	Agriculture	Planning	Biodiversity	Climate Change	Energy	Forestry	Historic Environment	Housing	Minerals	Rural Development	Transport	Marine & Water	Tourism & Recreation/Leisure	Architecture	
England	3	18				1	1	1	1	1		1	1		28
Northern Ireland		16	1	1	1	2		1		1	1	2	1		27
Scotland	1	18	1	1	**	1	1	1	*	2	2	1	1	1	31
Wales		15	1		1	1	1	1	1	1	1	1	1		25
UK National			1	2	2						1				6
Total	4	67	4	4	4	5	3	4	2	5	5	5	4	1	117

*covered under SPP4

** covered under SPP6

The documents were examined for evidence of the specific points set out in Articles 5 and 6 of the Convention. In some cases the documents were examined more than once since they had relevance for more than one part of the analysis e.g.SPP4 was examined in terms of both the Planning and Minerals sector. The criteria for evaluation were represented by a series of questions posed to the investigator of each relevant document. These were set out as simply as possible on the Evaluation Form as predominantly 'Yes/No' type questions; or provision of a five-point Likert-type item¹ in two cases (Questions 12 & 13 to provide a rating of how well the ELC is used) where a more detailed grading was felt more appropriate. Replies require that evidence is provided to substantiate each answer and then provision is made to expand on the answer in a summary or evaluation section. This allowed for some simple quantitative analysis of the data as well as the in-depth qualitative analysis.

The following sections describe the methodology used to complete the Evaluation.

The evaluation of new policies may also be carried out using the Form (see Appendix 6.3) which forms part of the Monitoring Framework (see Chapter 4). It was recognised that the evaluator of the form requires knowledge of the ELC text and the implementation objectives. Although one researcher acted as the primary evaluator in this research, a sample of the documents were also tested by the Primary Investigator and scrutinised by other Team Members and Steering Group members.

The Form was developed in four main sections that provide an overall picture of response to the objectives of the ELC and more detailed information concerning the key indicators set out in Articles 5 & 6:

¹ Likert scaling is a commonly used survey scaling method often used in psychometric research measuring responses to statements. It is usually a five-level scale and there are many variations used. Each question is termed an 'item' (see Uebersax, 2006).

In Section 1 basic information about the document being assessed was recorded. An assessment of overall compliance with the ELC was made and where links could be seen between the main principles, themes or ideas of the Convention and its use within a document. Information relating to each document/source examined was recorded on a separate sheet and each document/digest sheet was numbered sequentially.

In Section 2 information that could be used as to identify headline indicators was recorded.

In Section 3 detailed key indicators were used to evaluate the relationship to Articles 5 and 6 of the ELC.

In Section 4 summary and evaluation information was provided that can be used to develop targets for monitoring implementation.

The following sets out in more detail the questions and explanatory notes that were devised in order to aid completion of the Evaluation Forms. This has then been developed into guidance relating to the Monitoring Framework (see Appendix 6.3). The question numbers relate to those on the Evaluation Forms (see Appendix 6.3).

(b) Evaluation Form Completion: Detailed Information

Section 1 Document Information

Question 1: The full title and/or web address of the strategy, plan, or programme document under evaluation was provided.

Question 2: The focus of the document was noted (policy/guidance/assessment/overview). Only one category was entered so that clear end tabulations and assessments could be made. Where two or more categories were possible the most appropriate was chosen i.e. if a document discussed policy and guidance for implementation a judgement was made as to which was the most appropriate and most relevant.

Question 3: The main authors of the document were noted and any other partners named as co-authors. The devolved administration was identified.

Question 4: The sector(s) the document focuses on was identified.

Question 5: The year of publication was noted and if the document was a revision, the year of the revision release and not the year of original publication was noted. The reporting cycle of the document was noted here or information relating to likely cycle of revision.

Question 6: A short description/synopsis of the document was made which outlined the main purpose of the document and the ideas, principles or themes discussed in the document. An overview of the arguments, guidance or assessments being made was noted so that another reader could understand the main points being made. An indication was made as to the length and complexity of the document.

Section 2: Headline Indicators and Evaluation

Question 7: Any specific mention of the ELC was noted.

Question 8: If the ELC was referred to then an indication was given as to the way it was mentioned and to what extent the main principles, ideas, or themes of the ELC were discussed. Reference was made here to the main principles, ideas and themes of the ELC which are set out in general terms in the *preamble*, particularly holistic and scale issues, cross-disciplinary thinking, natural-cultural links, identity, well-being and quality of life, outstanding and everyday landscapes, quality and diversity of landscapes.

Question 9a: It was noted whether the term landscape was used in the document. There are many definitions of landscape and such definitions are used flexibly with other or 'proxy' terms being commonly used in policy and practice. A 'proxy' can be understood as an intentional substitution, so a proxy term would indicate an intention to reflect what is understood as 'landscape' by the ELC. 'Landscape' is a term that is used to indicate a combination of human and natural factors. The UK has identified that there is no legal definition of 'landscape' in UK law. In relevant laws the references to landscape are via proxies such as 'natural beauty and amenities', and the 'use of the outdoors'. The ELC provides a concise definition of landscape in Article 1 and it is this definition which was used as a constant reference in answering the questions 9-11:

"Landscape" means an area, as perceived by people, whose character is the result of the action and interaction of natural and/or human factors' (Article 1)

In addition T-FLOR (2007) 8 interprets the ELC use of 'landscape' as implied 'head-on and in a comprehensive way, the theme of the quality of the surroundings where a population lives' and that this is a 'precondition for individual and social well-being', for 'sustainable development and as a resource conducive to economic activity' (p.6). Thus the term indicates multi-faceted meanings relating to social, economic, cultural and natural factors.

If the landscape was referred to by proxies then such information was recorded under Question 11a and a 'No' was recorded under 9a. If the term was used only as a title or label, then this should again be recorded as a 'No' under 9a and an explanatory note provided to that effect under question 10b.

Question 9b: Short reference (sections/page numbers) was made to where in the document the term landscape is used to provide easy reference for future investigation.

Question 10a: It was noted whether the term 'landscape' was used in a way that is consistent with the objectives of the ELC. The key issues that were considered were:

- (a) Whether the use of the term was consistent with the definition provided in Article 1 (see 9a above).
- (b) Whether the landscape was considered holistically as a result of and reflecting ecological, cultural, historical, social and economic processes.
- (c) Whether all landscapes were considered regardless of condition or character (natural, rural, urban, peri-urban, land, inland water, marine areas, outstanding and protected, everyday or degraded).
- (d) Whether the protection, management and planning of the landscape was promoted
- (e) Whether sustainable development was mentioned.

A judgement was made as to whether the spirit of the ELC and definition of the term 'landscape' was reflected in the document generally rather than the detail of points (a)-(e) above.

Question 10b: Evidence of how the term landscape was used was provided; whether it was simply used within a title or reference to other documents etc. or whether it was used in a way that is consistent with the objectives of the ELC.

Question 11a: If the ELC was not explicitly mentioned and the term landscape was not used, the assessor looked for proxy terms or thinking that reflected ELC values. Proxies for 'landscape' may be used in a holistic sense (as implied by the ELC) or in a partial or vague way. Explanation of the nuances of how the terms are used were expanded upon in 11b and were clarified further through the sections following which examined how the documents relate to the key indicators of Articles 5 & 6. Language use is important to consider because of the way it reflects understandings and knowledge. The issue of language use is complex, but the key point is whether the language reflects the intent of the ELC. Where the ELC is referred to explicitly using the term 'landscape' it was recorded in questions 8, 9 and 10 above. Where the ELC intent was referred to using proxy terms (i.e. an implicit

understanding of the ELC is provided) then the terms were recorded here and an explanation provided in 11b. The opportunity for recording further points in relation to terminology, language use and reflection of ELC intent in the following questions 12-15.

Question 11b: Information on how the terms were used were recorded as brief notes indicating the explicit interpretations of the ELC but also any subtle or implicit use of ELC ideas, principles or themes through terms that substitute for 'landscape'. It was important to identify specifically where terms used refer to *landscape* issues or thinking as set out in the ELC. Proxies were noted to show the variation in language used to discuss ELC thinking.

Questions 11a & 11b asked the assessor to examine whether the main principles of the ELC were being used despite the ELC not being mentioned explicitly. The use of proxy terms in addition to landscape to portray the principles of the ELC sense was recorded.

Question 12: The general extent of the reflection of ELC principles or themes was recorded using a scale 1-5 defined in Table 2.3 below (1 =very poor; 5=very good). This was a subjective assessment based on the responses to questions 7-11.

Table 2.3 Definitions relating to Question 12

1 =	The ELC is not mentioned; none or few of the principles or themes are reflected either in the language or the intention of the document.
2 =	ELC is not mentioned; there is only a very weak link provided to the principles or themes of the ELC within the document; reference to landscape is predominantly or primarily through proxies.
3 =	The ELC may be mentioned; there is evidence of some link provided to the principles or themes of the ELC within the document; some reference to landscape is made.
4 =	The ELC is mentioned either through direct language or through the intention of the document which sets out a strong link to the principles or themes of the ELC. Proxies may be used.
5 =	The ELC is mentioned directly; the principles and themes are very well reflected generally.

Question 13: An assessment of *how well* the ELC principles or themes were reflected was recorded using a scale 1-5 defined in Table 2.4 below. This was a subjective assessment based on the responses to questions 7-11.

Table 2.4 Definitions relating to Question 13:

1 =	There is no link to the ELC principles or themes.
2 =	There is very limited link made to the principles or themes of the ELC.
3 =	The majority of the principles/themes of the ELC are discussed/used.
4 =	The principles/themes of the ELC are used well; the document reflects most of the thinking set out in the ELC.
5 =	Direct links are made to the principles/themes of the ELC and all the ELC thinking is referenced.

Question 14: A short evaluation of the ELC (principles, themes, ideas) in this document was provided. This was a subjective assessment based on the responses to questions 7-11. This question provided opportunity to give a more in-depth explanation relating to Questions 13 and 14; particularly strong links to the thinking of the ELC were highlighted and conversely any particularly weak areas were identified. This was a qualitative evaluation.

Question 15: Any further opportunities for the use of ELC (principles, themes, ideas) or landscape related language were identified. This provided the opportunity for key areas to be identified for improvement in the general relationship with the ELC principles, themes and ideas.

Section 3: Detailed Key Indicators and Evaluation

Question 16: Relationship to Article 5. The numbering here relates to sections a; b; and c of Article 5.

Question 16a: Evidence of a provision for public participation in landscape decision-making was recorded with reference to specific sections/paragraphs in the document. This included reference to the type of provision or specific tools mentioned.

Question 16b: Evidence of integrated thinking (cross-sectoral/cross levels) was recorded with specific reference to sections in the document. The kind of integrated thinking identified was in the approach to landscape assessment, planning, management etc. through reference made to other documents/instruments, tools and approaches, organisations, communities to be consulted or worked alongside etc. In particular evidence of policy to work across levels and with other sectors was looked for which showed that there was an understanding of the holistic nature of landscape thinking set out in the ELC, particularly in relation to landscape change. Particularly important was evidence of 'joined-up' thinking relating to landscape assessment, planning, management, design.

Question 16c: Evidence of whether rights and responsibilities to landscape were implied in the document was recorded. Landscape protection, management and planning entails rights and responsibilities for everyone. This issue of rights and responsibilities has been explored in the literature and is embedded within various other Council of Europe Conventions (e.g. The Faro Convention (CoE, 2005); see *Chapter 1*). Following this thinking, landscape is regarded as both a 'source' and a 'resource' in relation to the exercise of freedoms and entails both public and private (or individual) rights and responsibilities the dimensions of which include the right to participation in decision-making and education regarding landscape. Legal recognition (including protection) and reference to landscape in the legal system implies rights and responsibilities for the public, institutions and organisations towards their physical surroundings. Reference was made to what kinds of rights/responsibilities are indicated and who holds/should hold such rights/responsibilities. Since participation entails rights and responsibilities this question was closely linked to Question 16a. Short reference was given to where evidence was found in the document.

Question 17: A summary evaluation was provided on relationship to Article 5 reflected in each document.

Question 18: The relationship to Article 6 was recorded here.

Question 18a (ELC Article 6A): Evidence of awareness-raising activities was recorded. This refers to activities relating to the general public, private organisations and public authorities and may include:

- (a) a range of activities which aims to develop an understanding or improved understanding of the nature of landscape (as set out in the ELC; see notes above under Question 10a)
- (b) the role of the individual or organisation in achieving the objectives (as set out in the Articles of the ELC, in particular in action defined in Article 6d Landscape Quality Objectives - see *Question 18h*);
- (c) raising awareness of the existence, nature and implications of landscape change.

This question refers to activities relating to a wide audience. It is based on the aim of building more integrated and multidisciplinary thinking relating to landscape within the whole community (public, professional, policy-makers etc.). It should therefore be interpreted broadly. It does not, for example, refer simply to professional training within a particular sector.

- (d) describe or name actual programme details that aim to build awareness.

Question 18b (ELC Article 6Ba,b,c): Evidence that the organisation promotes training & education related to landscape was recorded. This question was interpreted as broadly as possible. Evidence was noted relating to a range of possible training and education that could be promoted in the document, including:

- Specialist training and education in landscape appraisal and operations;
- Multidisciplinary training and awareness for professionals and groups;

- School and university programmes relevant to landscape protection, management, planning and understanding.

Evidence provided indicated the understanding that it is important to improve knowledge capital relating to landscape at every level including policy and decision-makers and within communities. Communities and stakeholders should be given opportunities to express that knowledge and visions for future landscapes within the decision-making system in a way that is appropriate and which facilitates exchange of views. This is particularly important in small communities where outside experts, professionals, policy-makers and politicians may be regarded with some suspicion. If CPD was mentioned then it was recorded here.

Question 18c (ELC Article 6Ca(i)): Provision for landscape identification was recorded. 'Identification' here is seen as being part of a process of recording, description, analysing/assessment and interpretation of all aspects of the landscape to provide landscape knowledge linked to the development of landscape quality objectives. It is not simply recording or mapping landscape elements or features.

Question 18d (ELC Article 6Ca(ii)): Evidence for the provision for landscape characterisation was noted here. 'Landscape characterisation' here indicates an analytical process that provides an understanding of how the character of the landscape has developed as a result of the action of natural and/or human factors. It includes an assessment of the quality/condition of the landscape and the past and present processes, pressures and risks affecting landscape change. As with Question 18c, landscape characterisation is seen as part of a process for providing landscape knowledge.

Question 18e (ELC Article 6Ca(iii)): Evidence of landscape change monitoring was noted. Change monitoring may take a variety of forms appropriate to the landscape or part of the landscape being monitored. Monitoring frequency should respond to the speed of observed and recorded change. The establishment of standard databases recording change is encouraged. Any mention of landscape change monitoring provision, tools or procedures was be noted.

Question 18f (ELC Article 6Cb): Evidence of landscape assessment was recorded. 'Landscape assessment' here refers to standard landscape assessment methods taking into account the values of the local community and stakeholders.

Question 18g (ELC Article 6c2): Evidence of working across sectors to share experience/methodologies etc. was recorded here. Policy integration and cross-sectoral working is a key objective of the ELC. Sharing experience and working together is seen as an important part of building landscape knowledge and awareness across sectors and between all stakeholders (public, professionals, policy-makers etc.) Evidence of the promotion or planning for cross-sectoral working is particularly important in relation to policy integration. Statements relating to cross-sectoral working and/or policy integration was recorded here.

Question 18h (ELC Article 6d) Evidence of the definition of landscape quality objectives was recorded. Article 1 and Article 6d set out the importance of identifying landscape quality objectives that reflect the *'aspirations of the public with regard to the landscape features of their surroundings'*. In addition *'Each party undertakes to define landscape quality objectives for the landscapes identified and assessed after public consultation.....'*. The objectives should constitute the preliminary guidelines for drawing up the measures to be taken to protect, manage and plan landscapes and manage them over time. Landscape quality objectives were recorded where reference was made to the identification of:

- measures for the protection, conservation and upkeep of existing landscapes and landscape features;
- measures to improve landscape quality, or at least not bring about a decline
- measures relating to the development of a management plan to implement landscape quality objectives;

- (d) measures to evaluate the effects on landscape quality of new planning or development schemes including issues relating to the financial and technical provisions for such schemes;
- (e) measures to include stakeholder/community consultation to develop (a)-(d) above to ensure the aspirations of the public as mediated by the public are part of the landscape management and development processes.

Question 18i (ELC Article 6e): Evidence of the provision for protection, management, or planning of landscape. Although some instruments may *mention* landscape issues, they may not provide for implementation of landscape dimensions through protection, management and/or planning mechanisms, tools or procedures as set out in the ELC. This recorded specific provision to take action with regard to conserving and/or enhancing future landscapes and landscape quality.

Article 12 of the ELC sets out that the *'Convention shall not prejudice stricter provisions concerning landscape protection, management and planning contained in other existing or future binding national or international instruments'*. Where there is reference made to other relevant policies rather than specific provision for landscape protection, management or planning, this was noted in the explanatory text.

Question 19: A summary and evaluation on the relationship to Article 6 was recorded.

Section 4: Summary for Positive Outcome Development

Question 20: A summary and evaluation of key opportunities for improved implementation and conformity with the ELC was provided here. An important part of monitoring processes is to identify key opportunities for improvement. Therefore under this section reference was made to both Sections 2 and 3 to describe and evaluate where key opportunities lie for further implementation and conformity with the ELC related to the document under examination.

(d) Basis for the analysis of the Digest System

Analysis was carried out using the digest sheets and re-referring to original documents for clarification where necessary. The analysis examined the documents in relation to the overall research questions.

Following discussion with the Steering Group, the analysis was carried out in relation to:

- UK policy overall
- UK planning policy
- UK sectoral policy analysis
- Planning policy in each devolved administration
- Sectoral policy in each devolved administration (without planning policy)
- Each indicator (relating to the Articles of the ELC) relating to each sector/planning policy, each devolved administration, the UK overall.

The Digest sheets provided two types of data: Yes/No responses which were then recorded within an overall spreadsheet table; qualitative, descriptive and evaluative information that allowed for greater depth of understanding of the content. Since this second type of information already was generally analytical as well as descriptive in content, it helped to explain the Yes/No judgements and the reasons behind these judgements. Analytical narrative could then be constructed in relation to the baseline 'snapshot' of information. Both types of information used together allowed for an assessment of the direction of travel in relation to policies overall, plus identification of opportunities and gaps.

Analysis of the spreadsheets and digest sheets was set out in Tables and evaluative text to provide concise information and conclusions. The digest system allowed for various types of analysis to be carried out, but analysis was predominantly carried out in relation to the creation of a clear Baseline for future monitoring purposes.

2.3.6 Methodology for Organisational Capacity Analysis

Following discussion with the Steering Group the capacity analysis of the key organisations involved in the implementation of the ELC represented by the Steering Group was undertaken through distribution of a short questionnaire through the members of the Steering Group. The questionnaire was designed for completion by the key person(s) in the organisations in terms of implementation of the ELC. The questions were grouped around key themes:

- Personnel involved in implementation of the ELC;
- Linkages established both within and external to the organisation;
- Guidance used by staff in implementing the ELC;
- Training activities undertaken and planned through both internal and external provision;
- Initiatives undertaken and planned for promoting the implementation of the ELC;
- Tools used in monitoring and measuring landscape change; and
- Any other issues of relevance.

The questions therefore sought to establish current commitment to implementation of the ELC (e.g. staffing, linkages with other organisations), resources available (e.g. staff time input, knowledge of landscape issues, training), work currently being undertaken on the implementation of the ELC (e.g. specific initiatives and tools used), and any other issues that respondents wished to raise.

Responses were received covering the four countries from Defra, Natural England, English Heritage, Scottish Government (Rural Directorate), Scottish Natural Heritage, Historic Scotland, Countryside Council for Wales, and Department of the Environment Northern Ireland (Northern Ireland Environment Agency).

The responses were analysed around the key themes, both to draw out the main trends and provide examples of how the organisations are responding to the ELC implementation process. The findings thus provide a current baseline of capacity, and indicators of potential ability to deliver the proposed monitoring framework. The results of the analysis can be found in section 4 and analysis tables in Appendix 6.2.

2.4. Creating the Monitoring Framework

The Monitoring Framework was established through:

- review of the literature relating to implementation, monitoring and monitoring frameworks generally;
- review of literature relating to the ELC implementation;
- development from the methodology used in creating the baseline;
- identification of the stages, processes required, links into other activities and implementation procedures etc. through examination of Council of Europe and other documents relating to the UK ELC Implementation Monitoring Group, the devolved administrations and previous research;
- discussion within the Research Team and with the Steering Group.

Draft stages of the Framework were discussed at Steering Group Meetings and a full draft of the Final Report containing the proposed Framework was circulated to the Steering Group.

It was agreed that the framework should be as concise and provided in an easy-to-follow step-by-step format with tables and explanatory diagrams wherever possible and reference to sections of the report and Appendices to reduce text.