



INDICATOR BASED

# METHODOLOGY

FOR

## LOCAL AGENDA 21 EVALUATION

**Integra Consulting Services s.r.o.**

Pobřežní 18/16

186 00 Prague 8

phone: +420 234 134 236

[www.integranet.cz](http://www.integranet.cz)

**Healthy Cities of the Czech Republic**

Šrobárova 48

100 42 Prague 10

phone: +420 602 500 639

[www.ZdravaMesta.cz](http://www.ZdravaMesta.cz)

[www.HealthyCities.cz](http://www.HealthyCities.cz)

December 2011



**místní Agenda 21**



This Methodology was prepared by Mgr. Martin Smutný (Integra Consulting s.r.o.), Ing. Petr Švec (Národní síť zdravých měst - National Healthy Cities Network), Mgr. Michal Musil (Integra Consulting Services s.r.o.), Mgr. Jitka Boušková (Národní síť zdravých měst - National Healthy Cities Network), and Ing. arch. Marie Petrová (Ministry of Environment), in cooperation with an expert working group having the following members (in alphabetical order):

PaedDr. Tomáš Hák, Ph.D. (Centrum pro otázky životního prostředí Univerzity Karlovy - Charles University Environment Centre)

RNDr. Svatava Janoušková, Ph.D. (Centrum pro otázky životního prostředí Univerzity Karlovy - Charles University Environment Centre)

Ing. Jiří Jedlička (Centrum dopravního výzkumu, v.v.i. - Transport Research Centre)

Ing. Jiří Krist (Ekotoxa s.r.o.)

Doc. RNDr. Pavel Nováček, CSc. (Palacký University, Olomouc)

Ing. Martin Pělucha, Ph.D. (University of Economics, Prague)

Ing. Milan Půček, MBA, PhD. (independent expert)

MUDr. Eva Rychlíková (independent expert)

Ing. arch. Martin Říha (independent expert)

Marta Smolíková (ProCulture/Otevřená společnost o.p.s. - ProCulture/Open Society)

Ing. Miroslav Šafařík, Ph.D. (Porsenna o.p.s.)

## **TABLE OF CONTENTS**

<b>1</b>	<b>INTRODUCTION</b>	<b>4</b>
1.1	QUALITY ASSESSMENT OF LA21	4
1.2	PURPOSE OF THE METHODOLOGY FOR ASSESSMENT OF CATEGORY A OF LA21	4
1.3	METHODOLOGY STRUCTURE AND CONTENTS	5
1.4	ASSESSED SUSTAINABLE DEVELOPMENT TOPICS IN CATEGORY A OF LA21	5
<b>2</b>	<b>BASIC INFORMATION ON THE ASSESSMENT</b>	<b>6</b>
2.1	MAIN ASSESSMENT PRINCIPLES	6
2.2	OBJECTIVE, PROCEDURE AND PARTICIPANTS OF THE ASSESSMENT	9
<b>3</b>	<b>COORDINATION AND PROCESS APPROACH TO THE ASSESSMENT</b>	<b>10</b>
3.1	OVERALL ASSESSMENT COORDINATION	10
3.2	ROLE OF AN APPLICANT	11
3.3	ROLE OF AN OPPONENT TEAM	11
3.4	GENERAL TIME SCHEDULE OF THE ASSESSMENT	11
3.5	SCHEME OF THE ASSESSMENT PROCEDURE	13
<b>4</b>	<b>ASSESSMENT STEPS</b>	<b>14</b>
4.1	STEP 1: ASSESSMENT INITIATION AND PREPARATION OF A SUSTAINABLE DEVELOPMENT AUDIT	14
4.2	STEP 2: OPPONENT EXAMINATION OF THE SUSTAINABLE DEVELOPMENT AUDIT	19
4.3	STEP 3: FINAL POSITION OF THE OPPONENT TEAM	21
<b>5</b>	<b>ANNEXES</b>	<b>24</b>
5.1	ANNEX NO. 1: FORM FOR AUDIT OF SUSTAINABLE DEVELOPMENT AREAS	24
5.2	ANNEX NO. 2: ASSESSMENT FORM FOR OPPONENT EXAMINATION OF A SUSTAINABLE DEVELOPMENT AUDIT	27

## **1 INTRODUCTION**

### **1.1 QUALITY ASSESSMENT OF LA21**

Quality assessment of Local Agenda 21 (LA21) is a set of processes necessary for transparent assessment of the course of action of municipalities in the Czech Republic within the framework of implementation of the Local Agenda 21. Working Group for Local Agenda 21 at the Government Council for Sustainable Development (hereinafter also "WG LA21") guarantees regular quality assessment and defines principles according to which the overall quality assessment of LA 21 is to be carried out in the Czech Republic. This concerns detailed development of LA 21 Criteria approved by the Government Council for Sustainable Development. Procedures and results of the assessment are monitored using the LA21 Database, publicly accessible via the internet. This Methodology is a continuation of the Principles of LA21 Assessment, approved by the WG LA21.

### **1.2 PURPOSE OF THE METHODOLOGY FOR ASSESSMENT OF CATEGORY A OF LA21**

The Methodology has been drawn up with the aim to provide a methodical basis for assessment of Category A in implementation of Local Agenda 21 in the Czech Republic. According to the proposed Methodology, there shall proceed municipalities and other responsible entities applying for Category A of LA21, and expert assessors.

The process of assessment of Category A of LA 21 should help in systematization of monitoring of the state and development of sustainable development (hereinafter also "SD") on local level in the conditions of the Czech Republic. Municipalities, regions, and, optionally, further applicants, receiving Category A of LA21 should be comparable with high-quality municipalities and regions abroad, from the sustainable development point of view.<sup>1</sup>

---

<sup>1</sup> By high-quality municipalities and regions from the sustainable development point of view, there are meant municipalities and regions internationally acknowledged as developing in accordance with the sustainable development principles, i.e., the ones which are appreciated in competitions, or which committed themselves to international commitments (for example, Aalborg Commitments, LivCom Awards, etc.), which form part of international networks (for example, ICLEI, etc.).

### 1.3 METHODOLOGY STRUCTURE AND CONTENTS

The Methodology is being divided into three main parts:

- Basic information on the assessment;
- Process approach to the assessment (i.e., responsibilities of the applicant, roles of the applicant and the opponent team etc.);
- Steps of the actual assessment, with description of methods and tools for preparation of the assessment.

An annex to the Methodology, incorporated at the end of the document, is a form for drawing up an audit of the individual sustainable development topics on local level, and a form for drawing up an opponent position by an external expert. A part of the Methodology is formed also by two separate technical annexes, containing an overview of leading questions and indicators for preparation of the Sustainable Development Audit. Further separate annexes, for example, illustrative selection of outputs of pilot assessment carried out in May to October 2011, within the framework of the A-test project, are available on web pages of LA 21.<sup>2</sup>

### 1.4 ASSESSED SUSTAINABLE DEVELOPMENT TOPICS<sup>3</sup> IN CATEGORY A OF LA21

1. Administration of public affairs and territorial development;
2. High-quality environment;
3. Sustainable consumption and production;
4. Transport and mobility;
5. Health of the inhabitants;
6. Local economy and enterprising;
7. Education;
8. Culture and local traditions;
9. Social environment in the municipality;
10. Global responsibility.

---

<sup>2</sup> <http://www.mistniagenda21.cz>

<sup>3</sup> This summary of sustainable development topics is based on international Aalborg commitments, and has been adapted for the needs of assessment of Category A of LA21. More information on Aalborg commitments may be found at <http://www.aalborgplus10.dk/>, the Czech version is available at <http://www.mistniagenda21.cz>

## 2 BASIC INFORMATION ON THE ASSESSMENT

### 2.1 MAIN ASSESSMENT PRINCIPLES

Category A of LA21 shall be awarded to the applicants which prove, on the basis of the assessment, that the municipality development is in accordance with sustainable development principles, and that improving of the situation in the individual sustainable development topics is taking place<sup>4</sup>, or, respectively, that situation has not worsened in sustainable development areas where satisfactory state was achieved already.

Within the framework of the assessment, there will be analysed ten sustainable development topics<sup>5</sup>. The key basic document for the assessment shall be the so-called Sustainable Development Audit, where the municipality applying for awarding Category A of LA21 shall prove its positive development in accordance with sustainable development principles, using the indicators proposed by this Methodology (or, optionally, other adequate proofs). Objectivity of the Audit will be ensured by an opponent team of experts on the national level, who will propose a position for the WG LA21, recommending awarding or non-awarding of Category A.

For the purposes of the Audit, each of the ten sustainable development topics is further structured into areas, for which the Methodology prepares sets of the so-called leading questions for preparation of description of the situation in the municipality (overview of the leading questions is presented in a separate Technical Annex No. 1), and indicators, by means of which the claims given in the Audit may be proved (overview of standard indicators is presented in a separate Technical Annex No. 2).

The Methodology introduces two indicator categories: so-called key, and supplementary, ones. The key indicators should be always used when preparing the Audit, incorporation of the supplementary indicators into the Audit represents a

---

<sup>4</sup> Just the assessment whether, and to what extent, improving of the individual sustainable development areas is taking place, is the subject of the assessment of Category A of LA21 (see below). Within the framework of Category A of LA21, for example, institutional support for LA21, process steps etc., are not primarily assessed any more - these aspects form subject-matter of assessment within the framework of awarding lower categories of LA21.

<sup>5</sup> Definition of the sustainable development topics is based on international Aalborg commitments, and has been adapted for the needs of assessment of Category A of LA21. More information on Aalborg commitments may be found at <http://www.aalborgplus10.dk/>, the Czech version is available at <http://www.mistniagenda21.cz>

recommended standard. However, use of the indicators should be regarded as a means, not as an aim which is an end in itself. Thus, in justified cases, the applicant (municipality) may replace a standard indicator by another one, or, optionally, by another form of proof, proving objectively the claims stated in the Audit. Nevertheless, in such a case, timely consultation with the appointed expert opponent, who shall consider expert acceptability of the proposed alternative proof, is necessary.

Final assessment carried out by expert opponents is based on partial assessments of the individual sustainable development topics, wherein the assessment statement for the individual topics may be: **complies without conditions, complies with conditions, does not comply.**

The Category A is further internally sub-divided according to the achieved progress towards sustainable development, by means of asterisk symbols (\*).

- For achieving the minimum level of Category A (i.e., A\*), it is necessary to achieve the assessment "complies without conditions" for topic No. 1 - Administration of public affairs, and the assessment "does not comply" in at most one of the topics.
- The highest level of Category A (i.e., A\*\*\*\*\*) will be achieved by a municipality with the assessment "complies without conditions" in all the ten sustainable development topics.
- Further, there applies to all the levels of Category A that the applicant for Category A must prove excellent results (i.e., top results within the framework of the Czech Republic) in at least one area within the framework of any sustainable development topic, in implementation of sustainable development principles in practice.

The resulting assessment will be formulated by an opponent team of experts on the national level. The nature of the assessment is the result of a dialogue between the applicant (municipality), and the opponent experts, on the individual topics. The methodology does not introduce explicit (quantitative) standards, namely the list of target (or limit) values of the individual indicators, however, they may be set ad hoc in the course of assessment of the individual areas within the framework of the sustainable development topics. In doing so, there has to be taken into consideration a broader context of the situation in the other municipalities in the Czech Republic and/or abroad, in order that the situation in the individual topics



(measured by the indicators, or proved in another way) in the case of Category A municipalities correspond to the best practice achievable in the national conditions, and comparable with advanced foreign countries. The basic accepted philosophy of the system of Category A assessment (corresponding also to the assessment approach in lower categories of LA21 assessment) is gradual increase of the demands, meaning that the demands of the criteria gradually increase as the individual good practice approaches and corresponding improvements of local situation become a standard in the case of increasing number of municipalities.

### **Summary of the main principles**

- Situation and trends within the framework of the individual sustainable development topics shall be assessed.
- The applicant (municipality) shall submit the Sustainable Development Audit, summarising proofs of sustainable development quality, that shall be subjected to expert opponent examination.
- Standard proofs shall be the so-called key and supplementary indicators set by the Methodology. In justified cases (after agreement with the opponent), the individual indicators may be replaced by another way of proof.
- Indicators and procedures, which are not available from public sources and the determination of which for this purpose would be too demanding from financial point of view, shall not be used as the key ones.
- The Methodology does not set specific target (or limit) values for the individual indicators. The Assessment shall take into consideration the broader context (local conditions, and situation in comparable municipalities), wherein the appointed opponent expert is responsible for its expert credibility.
- Within the Category A, the quality of progress of the municipalities towards sustainable development is graded by means of asterisk symbols (from the lowest A\* up to A\*\*\*\*\*).
- In the long-term perspective, the demands of the conditions for awarding Category A shall increase, as the good practice standards become more common, and the situation in the individual sustainable development topics improves, in comparable municipalities and regions in the Czech Republic, as well as abroad.

## **2.2**     *OBJECTIVE, PROCEDURE AND PARTICIPANTS OF THE ASSESSMENT*

The methodical procedure described in the following parts of the Methodology may be characterised as follows:

- The objective of the assessment system is creation of a standardised procedure for sustainable development assessment on local/regional level, enabling monitoring and comparing quality of development of municipalities, in complex perspective, as well as in partial areas, in the long term. The assessment may be also regarded as investigation of the municipality contribution to priorities and objectives of the Strategic Framework for Sustainable Development of the Czech Republic.
- The assessment shall be carried out by the applicant (municipality, region, or another applying entity), and an opponent expert team. An inseparable part of the assessment is communication and continuous consultations between the applicant and the opponent team (opponent team at the WG LA21 - see below).
- The assessment procedure must be open to participation of all relevant partners. The feedback concerning the detailed assessment of the key sustainable development areas, and the final position, then proceeds in a participative way, i.e., with participation of all the relevant partners ("on-site inspection" by the WG LA21).

### **3 COORDINATION AND PROCESS APPROACH TO THE ASSESSMENT**

#### **3.1 OVERALL ASSESSMENT COORDINATION**

*The description of functions of the assessment process participants, described below, is based on the currently valid Principles of LA21 Assessment, published on LA21 web pages<sup>6</sup>.*

##### **Working Group for LA21**

The guarantor of the assessment process is the Working Group for LA21 of the Government Council for Sustainable Development. The result of the assessment process (namely the Sustainable Development Audit and the opponent opinion) will be subject to discussion within the framework of the WG LA21, that will decide on awarding (or, optionally, non-awarding) Category A to the applicant in question. The WG LA21 also approves members of the opponent team (i.e., the head of the opponent team and its members) for assessment of the applicant in question.

The WG LA 21 also makes a decision in the case that the opponent team and the applicant do not reach an agreement in the course of the individual assessment stages.

##### **Supervisor**

Secretary of the WG LA21, or a person authorised by him/her, coordinating procedures during assessment and approval of Category A of LA21 (and, similarly, also the other categories).

##### **Opponent Team**

The opponent team of experts participates in the assessment process of Category A - in particular, it draws up the opponent opinion concerning assessment of the sustainable development areas, and the final position. The role of the opponent team is described below in more detail.

Initially, the WG LA21 approves a head of the opponent team, who, subsequently, informs the WG LA21 on the members of the team according to the sustainable development topics.

---

<sup>6</sup>[www.mistniagenda21.cz](http://www.mistniagenda21.cz)

### ***Administrator***

A person authorised to carry out a basic check of documents, routine operations, and data administration within the framework of the LA21 database. He/she is responsible for continuous communication with the municipalities on issues connected with the database operation.

### ***3.2 ROLE OF AN APPLICANT***

An applicant for Category A of LA21 (hereinafter "the applicant") is responsible for drawing up a Sustainable Development Audit (step 1 of the assessment), and, further, for communication with the individual participants of the assessment (WG LA21, opponent team), and for participation of relevant partners in the whole course of the assessment. The applicant is obliged to communicate with the opponent team, and to provide it with available data and information necessary for the opponent team's work.

### ***3.3 ROLE OF AN OPPONENT TEAM***

The aim of the opponent team's work is to ensure objectivity of assessment of the situation and sustainable development in the municipality or region in question, and, thus, to provide the WG LA21 with a basis for decision on awarding Category A. The opponent team shall be formed by a corresponding number of experts for the individual assessments, i.e., usually, one responsible expert shall be assigned for each sustainable development topic.

The opponent team shall draw up an opponent opinion to the Sustainable Development Audit, and propose the final position. Simultaneously, the experts of the opponent team shall consult the situation concerning the individual sustainable development topics with the applicant, and provide support and recommendations to the applicant for preparation of the final Sustainable Development Audit. Conclusions of the assessment, and the final position, are subjected to discussion and debate on site (in the municipality in question), and within the WG LA21.

### ***3.4 GENERAL TIME SCHEDULE OF THE ASSESSMENT***

The assessment of Category A of LA21 shall be carried out once a year (defence of Category A shall be carried out once in three years). The assessment is initiated by an application of the application for Category A. The time schedule of the assessment in the year in question is as follows:

*(Note: The individual terms may be changed in accordance with the currently valid Principles and Rules for LA21 Assessment, published on the web pages of LA21.<sup>7</sup>)*

- The applicant for Category A applies on the administrator's invitation always **by January 31**;
- In the course of February, the Working Group for LA21 appoints the opponent team;
- **By February 28**, the applicant submits the drawn up Sustainable Development Audit (see below, step 1 of the assessment);
- **From March 1 to August 31**, there are carried out consultations of the opponent team experts and representatives of the applicant, and necessary completions of the Sustainable Development Audit (see below, step 2 of the assessment);
- The opponent team submits the final position to the supervisor always **by September 25** (i.e., step 3 of the assessment, see below);
- The supervisor sends the final position of the opponent team to the applicant **by October 1**;
- The on-site inspection, including discussion on the results of the Sustainable Development Audit is carried out always **by November 15**;
- The defence is carried out always **by December 15**.

Defence of Category A is carried out once in three years. In the interim period, defence of Category B must be carried out each year. A part of defence of Category A is monitoring of progress by means of sustainability assessment according to the defined indicators. However, monitoring of sustainable development shall be carried out continuously in the municipality in question.

---

<sup>7</sup> <http://www.mistniagenda21.cz>

3.5 SCHEME OF THE ASSESSMENT PROCEDURE

Assessment stage	Responsibilities and activities		
	Applicant	Opponent team	Supervisor
<b>Step 1: Assessment initiation and preparation of the Sustainable Development Audit</b>	<ul style="list-style-type: none"> <li>• Application of the applicant <b>(always by January 31)</b></li> <li>• Drawing up a Sustainable Development Audit and its submission to the administrator <b>(always by February 28)</b></li> </ul>		<ul style="list-style-type: none"> <li>• Sending the Audit to the opponent team</li> </ul>
<b>Step 2: Completion of the Sustainable Development Audit and preparation of the opponent position</b>	<ul style="list-style-type: none"> <li>• Communication with the opponent team, and, optionally, provision of supplementary data and information</li> <li>• Completion of the Audit according to the comments of the opponent team <b>(always by September 30)</b></li> </ul>	<ul style="list-style-type: none"> <li>• Communication with the applicant</li> <li>• Formulating comments and requirements on completion of the Audit</li> <li>• Cooperation on preparing final version of the Sustainable Development Audit</li> <li>• Preparation of the opponent position and discussion on it with the applicant</li> <li>• Participation in discussions with the relevant partners</li> </ul>	
<b>Step 3: Final position</b>	<ul style="list-style-type: none"> <li>• Communication with the opponent team, and, optionally, provision of supplementary data and information</li> </ul>	<ul style="list-style-type: none"> <li>• Drawing up the final position and its submission to the supervisor <b>(always by September 25)</b></li> </ul>	<ul style="list-style-type: none"> <li>• Distribution of the final position to the applicant and further assessment participants <b>(by October 1)</b></li> <li>• Coordination of the further procedure (on-site inspection, etc.)</li> </ul>

## **4 ASSESSMENT STEPS**

### **4.1 STEP 1: ASSESSMENT INITIATION AND PREPARATION OF A SUSTAINABLE DEVELOPMENT AUDIT**

#### **Objective**

The Sustainable Development Audit shall contain description of the development up to now, and the current state, in the individual sustainable development topics and areas. The objective of this stage is also determination of the overall procedure and process of the assessment, including participation of the public, and, in particular, determination of topics and areas (if any) that have to be described in more detail, or further proved, in order to enable giving an objective statement concerning the state and development of sustainable development, within the framework of the Audit.

#### **Purpose**

The Sustainable Development Audit is a complex document providing information on sustainable development. It represents a sustainable development inventory, prepared by the applicant, based on the description of the current situation and long-term trends in the individual sustainable development topics and areas. The descriptions and partial claims are proved by indicators, or other verifiable proofs. It is necessary to ensure participation of not only the own capacities of the applicant (body), but also of the other relevant partners, including the public, in preparation of the Audit, in a suitable way.

To ensure efficient carrying out of the whole assessment process, it is desirable to define the procedure and process of the Audit preparation and of further steps in the beginning already, in order that the individual relevant partners have the possibility to plan their participation in the assessment sufficiently in advance. It is also necessary to provide room for comments of the opponent team concerning the Audit contents.

#### **Procedure**

The Sustainable Development Audit is drawn up by the applicant. The main part of the Audit is description of the development up to now, and of current state, in the

individual sustainable development topics and areas - their overview is given in Table No. 1 below<sup>8</sup>.

*Table No. 1: Overview of topics and areas investigated in the Sustainable Development Audit*

<b>Sustainable development topics</b>	<b>Sustainable development areas</b>
<b>1. Administration of public affairs and territorial development</b>	1.1 Management within administration and development - level of adjustment and interconnection of processes and documents (to do proper things properly; it includes purposeful progress of the public administration towards sustainable development)
	1.2 Management within administration and development - effective and efficient carrying out of actions, activities, implementation of plans (to do things properly; systematic management procedure for solving weaknesses of sustainable development)
	1.3 Management within administration and development - communication and partnership on the LA21 principles (to communicate properly)
	1.4 Satisfaction of the inhabitants with the quality of life
	1.5 Development of sensible functional use and spatial structure of the territory, and, optionally, also of polyfunctional use of buildings, redevelopment and development areas during use of city centres for housing purposes
	1.6 Sustainable design and construction, support of high-quality architecture and building technologies
	1.7 Regeneration and reuse of unused or improperly used land and buildings, favouring brownfield areas to "greenfield" development
	1.8 Regeneration of older flats, public and technical facilities, and public space
<b>2. High-quality environment</b>	2.1 Water quality, water conservation, and more efficient use of water
	2.2 Support and increase of ecological stability of the landscape, and of biological diversity, on the administrative territory of the municipality, increase of care for delimited natural areas and green areas
	2.3 Soil quality, protection of ecologically productive land, support of sustainable agriculture and forestry
	2.4 Air quality
<b>3. Sustainable consumption and production</b>	3.1 Sustainable consumption of the city
	3.2 Waste management
	3.3 Energy saving
	3.4 Sustainable construction
<b>4. Transport and mobility</b>	4.1 Reduction of the necessity to use individual car transport, and support of alternative modes of transport
	4.2 Support of public transport, and other modes of alternative transport (pedestrian, bicycle)
	4.3 Low-emission vehicles
	4.4 Road transport safety
	4.5 Reduction of transport impacts on the environment and health of the inhabitants

<sup>8</sup> This overview of the sustainable development topics and areas is based on the Aalborg commitments, and has been adapted for the needs of assessment of Category A of LA21. More information on Aalborg commitments may be found at <http://www.aalborgplus10.dk/>, the Czech version is available at [http://www.cenia.cz/web/www/web-pub2.nsf/\\$pid/MZPMSFHUXKF/\\$FILE/Aalborgske\\_zavazky.pdf](http://www.cenia.cz/web/www/web-pub2.nsf/$pid/MZPMSFHUXKF/$FILE/Aalborgske_zavazky.pdf).



<b>Sustainable development topics</b>	<b>Sustainable development areas</b>
<b>5. Health of the inhabitants</b>	5.1 Integration of health points of view into planning and decision-making. (In which way the city conceptually supports the health area)
	5.2 Support of health and prevention of illnesses
	5.3 Health of the inhabitants
<b>6. Local economy and enterprising</b>	6.1 Stimulation and support of local employment, and creation of new enterprises and companies, with maintaining the sustainable development principles
	6.2 Cooperation with local enterprises and companies with the purpose to support exchange of experiences from good enterprising practice
	6.3 Sustainable local tourism
<b>7. Education</b>	7.1 Implementation and support of education for sustainable development in schools and educational facilities established by the municipality, or, optionally, by another promoter
	7.2 Support of NGOs and other institutions providing informal education in the sustainable development field
	7.3 Creation of a programme for education and public education of local inhabitants (all target groups) in the sustainable development area, and its implementation
	7.4 Leisure activities promoting healthy lifestyle, taking into account preservation of high-quality environment
<b>8. Culture and local traditions</b>	8.1 General quality of the city approach to culture
	8.2 Approach to historical cultural heritage (quality of care for both movable and immovable, material and immaterial, heritage on the city territory)
	8.3 Cultural and art activities (actions), responding to needs and initiatives of the inhabitants
	8.4 Attractiveness and appearance of the city
<b>9. Social environment in the municipality</b>	9.1 Creation and implementation of programmes for poverty prevention and reduction
	9.2 Ensuring equal access to public services and reduction of social inequalities
	9.3 Ensuring high-quality and socially integrated housing and living conditions
	9.4 Improving security and safety, and crime prevention in the municipality
<b>10. Global responsibility</b>	10.1 International cooperation of cities and municipalities
	10.2 Increasing awareness on global connections (including climate change)
	10.3 Approach of the city to climate change mitigation

For drawing up the Audit, it is recommended to use a form prepared within the framework of the Methodology, the structure of which is given in Annex No. 1, at the end of this document.

The applicant shall provide information concerning the individual sustainable development areas, enabling to objectively assess importance of the area in question for the municipality or region, development up to now, and (un)satisfactory state of the current situation. The Methodology provides the so-called leading questions for the individual sustainable development areas, to which the Audit should provide

responses. The overview of leading questions for the individual sustainable development topics is given in a separate Technical Annex No. 1.

When drawing up the Audit of the individual topics, or, respectively, the partial sustainable development areas, the applicant presents description of the state and development of relevant phenomena, wherein it proves its claims by proofs. Indicators are the basic type of proof. Their overview is presented in a separate Technical Annex No. 2. The indicators are separated into the so-called key, and supplementary, ones. The key indicators should be always used when drawing up the Audit, incorporation of the supplementary indicators into the Audit represents a recommended standard.

Use of the indicators should be regarded as a means for documenting the development and state of partial phenomena forming content of the individual sustainable development topics, or areas, respectively, not as an aim which is an end in itself. Thus, in justified cases, the applicant (municipality) may replace an indicator recommended by the Methodology by another one, or, optionally, by another form of proof, proving objectively the claims stated in the Audit. Nevertheless, in such a case, timely consultation with the appointed expert opponent, who shall consider expert acceptability of the proposed alternative proof, is necessary.

It is obvious that sustainable development topics and areas, and related problems, differ in the individual municipalities and regions - somewhere, problems may be connected with local economy or transport situation, elsewhere with insufficient cultural activities, and, in other places, with environmental quality. Thus, the assessment (as well as the subsequent opponent opinion) should focus on the sustainable development areas that are problematic, for some reasons (i.e., situation in the municipality or region is not in accordance with good practice in this area, or it is below the average of the Czech Republic, etc.). It means that, in practice, the extents and scopes of the Audits of the individual applicants may be slightly different, and the level of detail in the case of the individual topics and areas may differ, depending on the depth of analysis necessary for objective assessment of the situation concerning the sustainable development topic in question.

Subsequently, on the basis of information presented in the Audit, the applicant shall carry out a self-assessment, the results of which shall be also stated in the Audit form (see Annex No. 1 at the end of this document). The self-assessment is formed by

substantiated assessment statements for the individual areas<sup>9</sup>. Verbally-numerical assessment shall be utilised, using the following scale:

- +2:** very positive development, i.e., significant improvement of the situation took place
- +1:** positive development, i.e., improvement of the situation took place
- 0:** stagnation, no development took place, the situation neither improved nor worsened
- 1:** negative development, i.e., worsening of the situation took place
- 2:** very negative development, i.e., significant worsening of the situation took place

The assessment stated above shall be supplemented by verbal comment, stating main reasons for giving the respective assessment.

This verbally-numerical assessment represents summary of the applicant's opinion concerning the development and current state in the given area as a whole (thus, it does not reflect solely the development of the specific indicator(s) used in the relevant part of the Audit).

#### ***An example of the self-assessment***

Overall assessment:                    +1

*Comment: The available data show that the situation in the area in question has been improving since 2003, and, thus - in spite of the temporary worsening of the state in 2007 and 2008, caused by exceptionally unfavourable climatic conditions - it may be stated that the overall development has been positive. The city is markedly above the national, as well as regional, average.*

The applicant submits the drawn up Audit table, including the assessment statements concerning the individual areas, to the supervisor.

#### ***Output***

The output of this step is the Sustainable Development Audit, giving the applicant's opinion on the overall development of sustainable development in the municipality or region, with emphasis on the problematic areas, and, simultaneously, documenting

---

<sup>9</sup> The self-assessment is carried out in summary for the individual areas within the framework of the sustainable development topics. If necessary (or if the applicant wants so), it is possible to assess, in the same way, also the state and development of the individual partial phenomena (measured by the indicators) within the area. In any case, it is recommendable to consult the method of the assessment with the expert opponents.

this opinion by relevant data and information (key and supplementary indicators, or, optionally, after coming to an agreement with the expert opponent, other suitable proofs). Thus, it concerns self-assessment of the applicant.

#### 4.2 STEP 2: OPPONENT EXAMINATION OF THE SUSTAINABLE DEVELOPMENT AUDIT

##### **Objective**

The objective of this stage is to verify the Audit conclusions, and to help in preparing its final version, in order that its conclusions could serve as a reliable basis for decision-making on awarding Category A. This stage may also result in that the assessment process is stopped, and the opponent team recommends to the applicant, or the WG LA21, respectively, that it submits the application for Category A of LA21 in subsequent years.

##### **Procedure**

The opponent team assesses completeness and objectivity of the information stated in the Sustainable Development Audit. It also assesses whether the Audit covers all the areas defined by the Methodology, and whether it uses the key and the supplementary indicators adequately. During its assessment, the opponent team focuses, in particular, on identification of weak points, where the assessment will have to be completed in order to enable correct assessment statement. Further, the opponent team focuses (among other things) on comparison of the situations in the individual areas in the administrative territory of the applicant with the generally acknowledged good practice, with the overall state in the Czech Republic, or, respectively, with the situation in the places that may be regarded as examples of excellent state in the sustainable development area in question. Further, the opponent team states for which sustainable development areas limit values may be set (i.e., for example, legislative limits, values determined by conceptual documents on the national, regional, or municipal level, national or regional averages, etc.) for further assessment. The opponent team asks the applicant to complete the data or make them more precise, etc. On request, the applicant provides the opponent team with relevant own conceptual documents and expert basic documents that could serve as a source of information, or, directly, as proofs of claims stated in the Audit.

Concerning the ten individual sustainable development topics, the opponent team prepares proposals of positions and recommendations. They will be subjected to discussion with the applicant. Interaction of the applicant and the opponent team,

including expert discussion on the individual areas within the sustainable development topics, not only serves to ensure formal and material correctness of the Sustainable Development Audit, but it should also help in generating proposals of measures improving situations in specific sustainable development aspects in the municipality in question. These proposals may be subsequently included into the summary opponent position (for example, as conditions for awarding Category A).

### **Output**

The formal output of the opponent team is a set of opponent positions concerning the ten individual sustainable development topics. Partial positions contain evaluation of formal and material level of the Audit, and assessment of the state of the individual sustainable development areas from the point of view of the opponent, and end by an assessment statement that may have one of the following forms:

**- Satisfactory state of the topic concerning sustainable development - without conditions**

*(with supplementary comment in the case that the applicant may be regarded as excellent or, in the context of the Czech Republic, exceptional, concerning the sustainable development topic in question)*

**- Satisfactory state of the topic concerning sustainable development - with conditions**

*(with supplementary comment concerning the given condition that has to be met in the future in order to meet "A" LA21)*

**- Unsatisfactory state of the topic concerning sustainable development**

*(with supplementary comment whether, according to the assessment of the expert, the municipality shows sufficient activity in order to improve the state)*

The assessment statement is of summarising nature, and does not reflect mechanically the summary of numerical values assigned to the individual areas (-2, -1, 0 ...) which represent only an informative guideline. The Methodology does not set quantitative criteria for the form of the final statement (for example, how many areas within the framework of the topic may be assessed -2 in order that the final statement could be "Satisfactory ..." etc.).

A protocol for drawing up a partial opponent position is annexed in Annex No. 2 at the end of this document.

When drawing up the assessment, the opponent team may request supplementary data and information from the applicant. A proposal of the assessment, drawn up by the opponent team, is subjected to discussion with the applicant. The discussion serves, in particular, to clarification of the reasons of possible unsatisfactory development or problematic state, i.e., the following items may be discussed:

- Why improvement / worsening of the situation took place.
- Which steps were taken by the municipality in order to improve the situation, or to prevent worsening the situation.

#### 4.3 STEP 3: FINAL POSITION OF THE OPPONENT TEAM

##### **Objective**

An objective of this step is to provide an expert basis for decision of the WG LA21 on awarding Category A of LA21, i.e., to summarise the up-to-now assessment outputs, and, on their basis, to determine whether the municipality or region overall heads towards sustainable development or not.

##### **Purpose**

It is obvious that development in the individual key sustainable development areas may be (and, with a high likeliness, will be) different - the municipality/region may achieve improvements, for example, in the area of transport, but, on the contrary, significant loss of green areas may take place. The assessment makes an effort to compare development in the individual areas, and to take into account possibilities of the applicant to influence this development.

##### **Procedure**

On the basis of the Sustainable Development Audit, opponent positions concerning the individual sustainable development topics, and conclusions from discussions with the applicant and other partners, the opponent team draws up a resulting summary position, i.e., assessment statement, whether the opponent team recommends, or does not recommend, that the WG LA21 awards the applicant Category A.

The following is regarded as the **minimum conditions necessary for advancement into Category A:**

- Achieving the assessment "complies without conditions" for topic No. 1 - Administration of public affairs and territorial development;
- Simultaneously, the applicant achieved the assessment "does not comply" in at most one topic of the remaining nine ones;
- Simultaneously, the applicant is able, in at least one area within any sustainable development topic, to prove excellent results exceeding the level common in the Czech Republic (an example of best practice, etc.) in implementation of sustainable development principles on local level.

The criterion of obtaining the assessment "complies without conditions" for topic No. 1 - Administration of public affairs and territorial development - is based on the precondition that quality of administration of public affairs and territorial development creates a framework for systematic approach to application of sustainable development principles in all the other topics.

Depending on the results of the partial opponent assessments (taking into account the above-mentioned minimum criteria for obtaining Category A), the opponent team prepares a summary position, comprising the final assessment statement. This position is a basis for decision-making of the WG LA21 on awarding or non-awarding Category A.

The Category A is further internally sub-divided according to the achieved progress towards sustainable development, by means of asterisk symbols (\*). For achieving the minimum level of Category A (i.e., A\*), it is necessary to achieve perfect assessment for topic No. 1 - Administration of public affairs, and the assessment "does not comply" in at most one of the topics. The highest level of Category A (i.e., A\*\*\*\*\*) will be achieved by a municipality with the assessment "complies without conditions" in all the ten sustainable development topics. Further, in all the levels of Category A, there is maintained the condition that the municipality has to prove excellent, and, within the framework of the Czech Republic, top results in any area, in implementation of sustainable development principles at local level in practice.

Table No. 2: Overview of qualification criteria for achieving the individual levels of Category A

Level	Topic No. 1 with assessment "complies without conditions"	Number of further topics with assessment "complies without conditions"	Maximum number of topics with assessment "does not comply"
A*	yes	0	1
A**	yes	2	0
A***	yes	4	0
A****	yes	6	0
A*****	yes	9	0

### Output

The output of this step is a final position of the opponent team which is a basis for decision-making on awarding Category A of LA21. Depending on the results of the partial opponent assessments (taking into account the above-mentioned minimum criteria for obtaining Category A), the opponent team prepares a summary position comprising a final assessment statement which is a basis for decision-making of the WG LA21 on awarding or non-awarding Category A, and on the achieved level within Category A, respectively.

This final statement may have two forms:

The applicant

- **meets**
- **does not meet**

the criteria of Category A.

The final position may include conditions and recommendations for the further period, formulated on the basis of the partial assessment outputs. The position is a complex output, based on the consensus of the whole opponent team.

The position shall contain a brief explanatory report that shall also include information on the extent and way of consultations with relevant partners, on the basis of information provided by the applicant.





## 5 ANNEXES

### 5.1 **Annex No. 1:** Form for Audit of Sustainable Development Areas

#### **Form for analysis of trends and state in the individual sustainable development topics and areas (Sustainable Development Audit)**

*Description of situation and trends, providing response to the leading questions concerning the individual areas. Where possible, prove the claims by data and indicators. There is also important to identify uncertainties and missing data. Where possible, the text should reflect the items stated below:*

##### **In the part Brief description of development up to now, and of the current state**

- *May the current situation be classified as good or bad? State this, including brief justification.*
- *If the situation is not good, state in which way the existing problems are reacted on (for example, in the city strategic documents, budget, grant system, etc.)*
- *What has been the trend up to now (improving / worsening, stabile, irregular)?*
- *Is it possible to clearly identify the main factors influencing the trend (i.e., for example, in the case of high traffic intensity, this may be insufficient road infrastructure, unsatisfactory network of the city public transport, etc.)? If so, state them.*
- *Does the area concern the whole territory within the competence of the applicant, or only some specific parts of the territory (specify)?*
- *Does the area concern the whole population living in the territory, or only some social groups (specify)?*
- *It is purposeful to attach important data, tables, and, optionally, graphs, etc., proving claims on the situation and development trends, in the form of annexes, or, optionally, exact references to concrete sources (available to national experts).*

##### **In the part Indicators**

- *State which indicators from the standard set contained in the Methodology were used when formulating the description of development and the current state, and, optionally, by what other relevant proofs the description of development and the current state is supported.*
- *State either data on the indicator values directly, or references to unambiguous information sources by which the stated claims may be proved.*

**In the part Assessment statement and supplementary information**

- *Present the assessment statements concerning the individual sustainable development areas, according to the principles set by the Methodology.*
- *State possible notes and supplementary information.*

Note: The description of the situation may be presented through completing the table below or through simple text structured, for the each area, into the main parts corresponding to the table columns:

- *Brief description of development up to now, and of the current state*
- *Indicators*
- *Assessment statement*
- *(Supplementary information)*
- *(Annexes)*

**Topic: ...**

Leading questions	Brief description of development up to now <sup>10</sup> , and of the current state	Indicators By what data the claims are supported (which indicators from the set recommended by the Methodology were used)	Assessment statement and supporting information
Area: ...			
...	... ....		
Area:			

<sup>10</sup> The description of the development up to now should focus on the period from introduction of LA21 in the municipality up to the present.

5.2 **Annex No. 2:** ASSESSMENT FORM FOR OPPONENT EXAMINATION  
OF A SUSTAINABLE DEVELOPMENT AUDIT

**ASSESSMENT FORM**

*(To be completed by an opponent expert)*

Topic: ....

**1) Formal assessment of the audit**

1.a) Do exist comments and suggestions concerning the Audit clarity and comprehensibility?

*YES/NO (if the answer is "yes", please, describe)*

1.b) Is the Audit complete, does it present responses to all the leading questions?

*YES/NO (if the answer is "no", please, describe)*

1.c) Does the Audit use the obligatory and recommended indicators?

*YES/NO (in the case that the answer is "no", was a satisfactory justification provided / were other adequate proofs used for the self-assessment? Please, describe, in which areas (if any) there were used other self-assessments / indicators.)*

**2) Assessment of the state of the monitored sustainable development areas**

**Audit recapitulation:**

*Next to the city self-assessment, state your own numerical assessment and brief justification (especially in the case of differences in the assessment).*

Area	City self-assessment	Expert assessment
	+2	+2
	+1	0

**Overall assessment**

*Describe briefly in points according to the following table:*

<p>INNER CONDITIONS</p> <p><b>Strengths</b></p> <ul style="list-style-type: none"> <li>-</li> <li>-</li> <li>-</li> <li>-</li> </ul>	<p>INNER CONDITIONS</p> <p><b>Weaknesses</b></p> <ul style="list-style-type: none"> <li>-</li> <li>-</li> <li>-</li> <li>-</li> </ul>
<p>OUTER CONDITIONS</p> <p><b>Opportunities</b></p> <ul style="list-style-type: none"> <li>-</li> <li>-</li> <li>-</li> <li>-</li> </ul>	<p>OUTER CONDITIONS</p> <p><b>Threats</b></p> <ul style="list-style-type: none"> <li>-</li> <li>-</li> <li>-</li> <li>-</li> </ul>

**Conclusions for the municipality - recommendations and suggestions of the assessor:**

*(Briefly state the main conclusions and recommendations. In the case of higher than standard state in some area, for example in comparison with the other applicants, state this fact.)*

**3) Assessment statement (select from the given variants):**

- Satisfactory state of the topic concerning sustainable development - without comments

- Satisfactory state of the topic concerning sustainable development - with comments (describe)

- Unsatisfactory state of the topic concerning sustainable development (substantiate briefly)

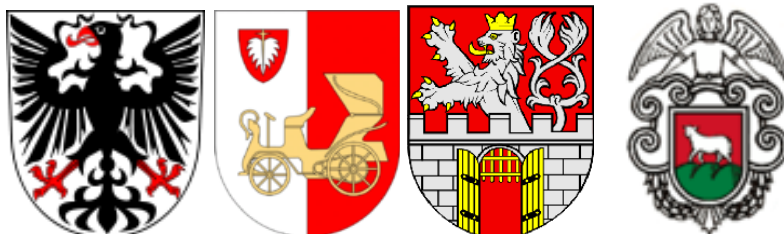
The Methodology for Assessment of Category "A" of LA21 was created in 2010 - 11 under the leadership of **Integra Consulting Services, s.r.o.**, in cooperation with **Národní síť Zdravých měst ČR (National Healthy Cities Network of the Czech Republic)**, **opponent team experts** stated in the beginning of this document, **Working Group for LA21** at the Government Council for Sustainable Development, and, in particular, in cooperation with pilot cities **Chrudim, Kopřivnice, Litoměřice** and **Vsetín**, which actively participated in the Methodology testing in practice.

Many thanks to all the participants for their strenuous work.



HEALTHY CITIES, TOWNS, REGIONS  
CZECH REPUBLIC

The pilot Cities of Chrudim, Kopřivnice, Litomerice and Vsetín



místní Agenda 21

The Methodology was created within the framework of the project of the National Healthy Cities Network of the Czech Republic (NHCN CR) entitled "A-test", with financial contribution of the Revolving Fund of the Ministry of Environment.

The NHCN CR is responsible for the contents of this document, and it cannot be regarded as the opinion of the Ministry of Environment.

---

Ministerstvo životního prostředí