

- We describe the output of a collaborative modelling project to develop tools to estimate the potential effects of wave and tidal stream marine renewable energy (MRE) developments on the marine environment.
- Realistic generic tidal stream and wave MRE devices that could be used by scientists without access to the technical details available to developers are described.
- Results show largely localised sea bed effects at the level of the currently proposed MRE developments in our study area.
- Large scale three-dimensional modelling is critical to understand and quantify the direct, indirect and cumulative effects of MRE extraction.
- Such understanding is necessary to comply with marine planning and environmental impact assessment regulations and thus achieve Good Environmental Status in European waters.

**Large scale three-dimensional modelling for wave and tidal energy resource and environmental impact: methodologies for quantifying acceptable thresholds for sustainable exploitation**

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1 **1 Introduction**

2

3 **1.1 Background**

4

5 In the context of increasing societal concerns about the effect of traditional energy sources  
6 based on the combustion of fossil fuels on the earth's climate, Marine Renewable Energy  
7 (MRE) is a relatively new sector showing considerable promise, particularly in highly  
8 populated areas of northern Europe where other (e.g. some terrestrial) renewable energy  
9 sources have either fulfilled their potential or are likely to encounter significant challenges  
10 as a result of lack of free/available resource, environmental or socio-economic impact, etc.

11

12 The MRE sector comprises a number of different technologies (see Magagna and Uihlein,  
13 2015). In order of degree of readiness, these include offshore wind, tidal energy, wave  
14 energy and a few emerging technologies such as salinity gradient and thermal energy  
15 conversion. The latter have been piloted already (in some cases, for quite some time) but  
16 their current technology readiness level (see review by Magagna and Uihlein, 2015) suggests  
17 that they are still some way off becoming commercially viable.

18

19 Offshore wind is the most mature offshore MRE sub-sector, building upon the widespread  
20 deployment of onshore wind farms. By 2015, offshore wind had reached a generating  
21 capacity of >5 GW in United Kingdom waters. Across Europe, the total adds up to >10 GW  
22 and some 700 MW in the rest of the world (source: Offshore Wind Factsheet 2015;  
23 <http://www.renewableuk.com/en/publications/index.cfm/offshore-wind-factsheet>). The  
24 potential effects of offshore wind farms on the physical environment are relatively straight-  
25 forward to measure and model. The main effects on the physical environment relate to the  
26 effect of energy extraction on the wind field, which reduces e.g. the amount of energy  
27 available to mix the water column, and the physical effect of the turbine support structures  
28 on the flow and wave fields. Their main direct biological effect during the operational phase  
29 is their potential interaction with birds, although other effects have been proposed (e.g.  
30 support structures can serve as artificial reefs for native or invasive species). Some  
31 construction methods produce levels of underwater noise that can be of concern regarding  
32 marine mammals and, potentially, fish.

33

34 The tidal MRE sector includes a number of different technologies that exploit tides to  
35 generate electricity. They include tidal stream devices, where turbines placed within the  
36 tidal stream exploit the kinetic energy of the tidal flow to generate electricity, and dam-like  
37 structures with turbines, such tidal lagoons and barrages (closed dams) or turbines in open  
38 dams perpendicular to the tidal flow. Most Tidal Energy Converters (TECs), e.g. for tidal  
39 stream developments, are typically horizontal axis bladed turbines (although other designs  
40 exist) and therefore share some similarities with wind turbines. However, TECs are yet to  
41 reach the required level of technical maturity for routine large scale commercial  
42 deployment, although they show promise, particularly in areas where the resource is most  
43 abundant, such as parts of the coastal waters west and north of Scotland (The Scottish  
44 Government, 2013).

45

46 Wave energy converters (WECs), in contrast to TECs, are diverse in design, although they all  
47 share the same source of energy to generate power: the combined wind seas and ocean-

48 swells as they approach coastal areas, where their potential for exploitation is currently  
49 concentrated (for economic reasons). The lack of convergence towards a preferred design  
50 has been identified as an obstacle to the commercial development of the waves sub-sector  
51 and poses some practical challenges when it comes to investigate its potential  
52 environmental impact.

53

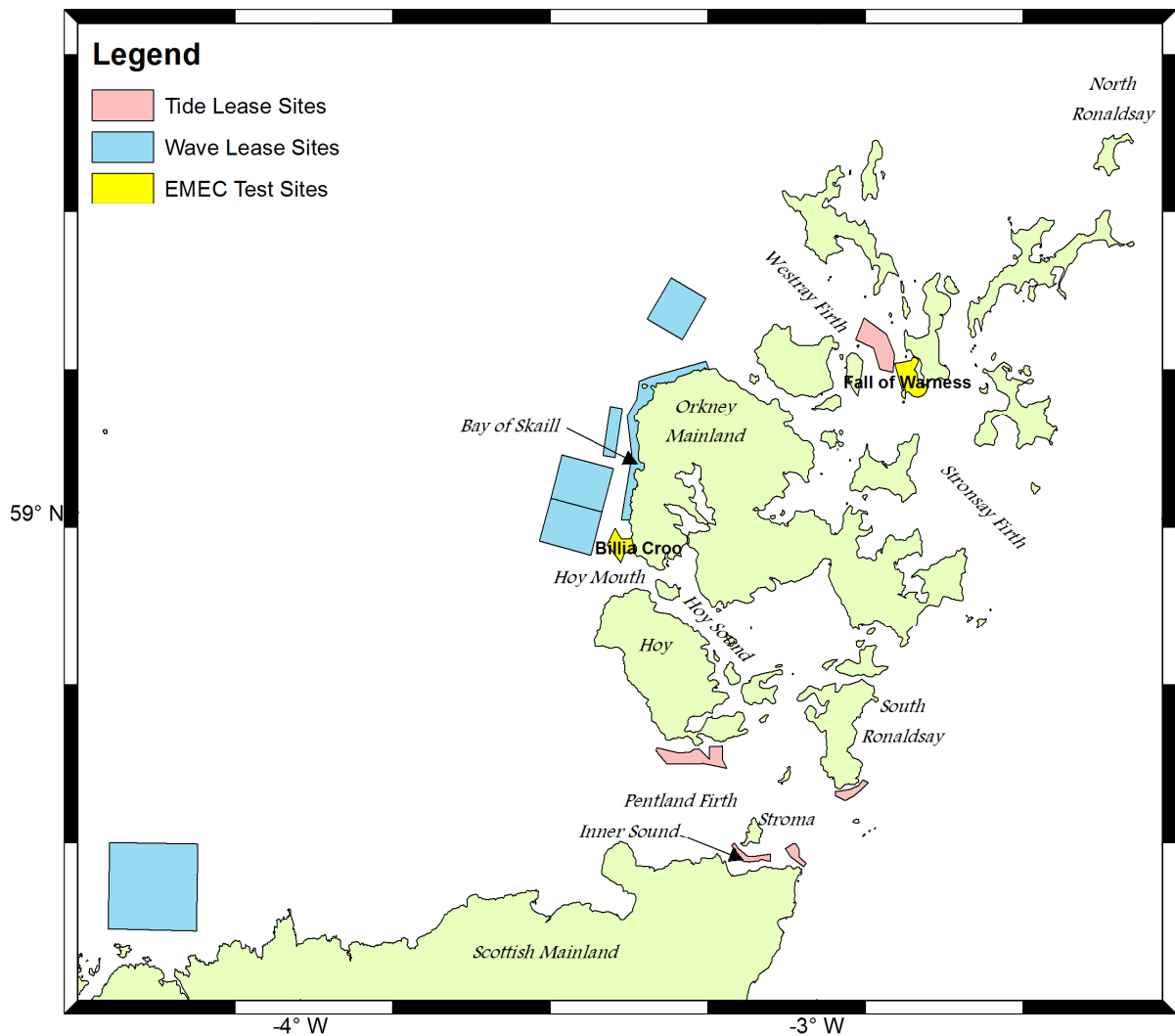
54

## 55 **1.2 Study area**

56

57 The main geographic focus of this work is the Pentland Firth and Orkney Waters (PFOW)  
58 area (Fig. 1), comprising waters around the Orkney Islands off the north Scottish coast and  
59 the 10-12 km wide channel (the Pentland Firth) that separates this archipelago from the  
60 Scottish mainland. The Pentland Firth is significantly deeper than the bays and channels  
61 among the islands, which are generally less than 25 m and rarely exceed 40 m. Depths in  
62 the main Pentland Firth channel typically reach 60-80 m and even >90m on the western  
63 side. The Inner Sound, south of the Island of Stroma in the Pentland Firth, is somewhat  
64 shallower (ca. 35 m). The  $M_2$  tide that propagates clockwise around the British Isles results  
65 in an approximately 2 h phase difference between the west and east ends of the Pentland  
66 Firth and sets up a hydraulic gradient that generates strong tidal currents which can reach 5  
67  $m s^{-1}$ . Tidal currents are also forced around headlands and through other channels within  
68 the Orkney Islands, where spring flows can exceed  $3.5 m s^{-1}$ . The amount of extractable  
69 tidal stream power in the area has been the subject of a number of studies with wide-  
70 ranging estimates. For the Pentland Firth, the higher limit has been estimated as 4.2 GW  
71 averaged over the spring-neap cycle (Draper *et al.*, 2014) but more recent work reports a  
72 more realistic scenario of around 1.5 GW (O'Hara Murray and Gallego, submitted).

73



74  
 75 Figure 1: Map showing the Pentland Firth and Orkney Waters area and the location of the  
 76 wave and tidal stream MRE development sites considered in the project.

77  
 78 The wave regime in PFOW is dominated by Atlantic swells and the influence of low pressure  
 79 systems that travel primarily from west to east across the North Atlantic. Therefore, wave  
 80 conditions are most severe in the exposed coastal areas to the west. The seasonal range of  
 81 average wave resource in the area has been estimated between <10 (summer) and 50 kW  
 82 (winter, top range of the estimate) (Neill *et al.*, 2014).

83  
 84 The PFOW area is rich in geological features, coastal landscapes and seascapes that  
 85 collectively support diverse habitats and species, many of which are considered rare and/or  
 86 vulnerable. There are four designated Special Areas of Conservation (SAC; European Union  
 87 designation) in Orkney and three SACs on the adjacent north coast of the Scottish mainland,  
 88 for the protection of marine and coastal habitats. Another 29 sites (some with marine  
 89 elements) have been designed as Sites of Special Scientific Interest (SSSI; national  
 90 designation) and three nature conservation Marine Protected Areas (MPA) were formally  
 91 designated in the area in 2014 (Pilot Pentland Firth and Orkney Waters Working Group,  
 92 2016).

93

94 The marine environment also has great social and economic importance for the Orkney  
95 Islands and adjacent areas of the north of Scotland. Fishing is a long-established industry in the  
96 area, targeting a wide range of pelagic (herring, mackerel), demersal (including cod, haddock,  
97 whiting, saithe, monkfish) and shellfish (including prawn, *Nephrops*, lobster, brown and velvet crab,  
98 whelk and scallop) species. The Scottish Sea Fisheries Statistics 2015 (The Scottish Government,  
99 2016) indicates that there were 132 Scottish based active fishing vessels in the Orkney area and a  
100 further 93 in the adjacent north Scottish mainland area of Scrabster (all vessel sizes). The combined  
101 value of landings in 2015 by Scottish based vessels in the area was in excess of £39M. Fishing is an  
102 integral part of coastal and island communities as a source of employment and as an  
103 important link to maintaining associated services, thus contributing to community  
104 sustainability. The PFOW area is utilised by a variety of other vessels with various cargoes,  
105 passenger ferries and recreation. Aquaculture is also relatively important, although  
106 aquaculture sites have so far been located largely in sheltered waters of no primary interest  
107 for MRE exploitation. The marine and coastal area in the PFOW supports a wide range of  
108 activities associated with recreation, sport, leisure and tourism that make a significant  
109 contribution to the local economy and the sustainability of remote communities. Many of  
110 these activities are based on the wildlife, the scenery or are water-based, and rely on a  
111 clean, safe and diverse marine environment. Key interactions are expected to take place  
112 between the MRE sector and the fishing industry, shipping and navigation and the natural  
113 environment, and to be key elements of environmental impact assessments and the  
114 licensing/consenting process. There may be interactions with other sectors but these are  
115 anticipated to be minor.

116

### 117 **1.3 Legislative framework**

118

119 The Scottish Government has set a target of a largely decarbonised electricity generation  
120 sector by 2030, with a renewable electricity target of 100% of the Scottish consumption  
121 equivalent by 2020. MRE developments in Scottish waters are subject to licensing  
122 conditions. Part Four of the Marine (Scotland) Act 2010 gives Scottish Ministers  
123 responsibility for licensing activities within inshore Scottish waters (up to 12 nm), as well as  
124 for offshore waters (12-200 nm) under the Marine and Coastal Access Act 2009 for non-  
125 reserved activities such as MRE developments. Developers in Scotland need to apply for  
126 licences or consents under a number of regulations which include the Electricity Act (S36)  
127 1989, the Coast Protection Act 1949 and the Food and Environment Protection Act 1985.  
128 The licensing landscape in Scotland has been simplified recently to provide a largely one-  
129 stop-shop that allows simultaneous application for the relevant consents. In addition to a  
130 marine licence, a project will require approvals or consents from other authorities such as  
131 The Crown Estate, a landed estate under The Crown Estate Act 1961, which leases the  
132 seabed within the UK 12 nm limit and the rights to non-fossil-fuel natural resources on the  
133 UK continental shelf.

134

135 Although the specific details will vary between countries, most applicable national  
136 environmental legislation in Europe is directly transposed from European Union legislation  
137 and it is often similar to other international legislation, commonly based on international  
138 conventions, so the information we present here will be of wider applicability beyond the  
139 Scottish context. The primary instrument for monitoring and managing the quality of  
140 Scotland's coastal waters out to 3 nm from the coast is based on the European Union (EU)  
141 Water Framework Directive (WFD; EC (2000)). The PFOW area is largely classified as 'good'

142 status under the WFD. The waters on the eastern portion of the Pentland Firth are of ‘high’  
143 status, as well as several “transitional waters” in the PFOW area (Pilot Pentland Firth and  
144 Orkney Waters Working Group (2016)).

145

146 The Marine Strategy Framework Directive (MSFD; EC (2008)) is the piece of European  
147 legislation which establishes a common framework and objectives for the prevention,  
148 protection and conservation of the marine environment against damaging human activities  
149 beyond the spatial domain of the WFD. EU countries must assess the environmental status  
150 of their marine waters and set environmental targets, develop monitoring networks,  
151 prepare programmes of measures and set specific objectives towards reaching a “Good  
152 Environmental Status (GES)” by 2020. The MSFD sets out, in its Annex I, eleven qualitative  
153 Descriptors of GES. The main Descriptors that may be directly impacted by MRE  
154 developments are D6 (“The sea floor integrity ensures functioning of the ecosystem”), D11  
155 (“Introduction of energy (including underwater noise) does not adversely affect the  
156 ecosystem”) and, in particular, D7 (“Permanent alteration of hydrographical conditions does  
157 not adversely affect the ecosystem”). Hydrographical conditions play a critical role in the  
158 dynamics of marine ecosystems, particularly in coastal areas, and can be altered by human  
159 activities. One of the main pressures on D7 explicitly identified refers to MRE installations  
160 ([http://ec.europa.eu/environment/marine/good-environmental-status/descriptor-](http://ec.europa.eu/environment/marine/good-environmental-status/descriptor-7/index_en.htm)  
161 [7/index\\_en.htm](http://ec.europa.eu/environment/marine/good-environmental-status/descriptor-7/index_en.htm)).

162

163 In practice, experience has shown that the dominant pieces of environmental legislation  
164 influencing licensing/consenting of MRE developments are Council Directive 92/43/EEC (the  
165 “Habitats Directive”, (EC, 1992)) and Directive 2009/147/EC (the “Birds Directive” (EC,  
166 2009)). The Habitats Directive aims to promote the maintenance of biodiversity, protecting  
167 a wide range of rare, threatened or endemic animal and plant species and some 200 rare  
168 and characteristic habitat types, taking account of economic, social, cultural and regional  
169 requirements. The Birds Directive aims to protect all of the 500 wild bird species naturally  
170 occurring in the European Union and, through national legislation, it establishes a network  
171 of Special Protection Areas (SPAs) that include all the most suitable territories for these  
172 species. In Scotland, there are a number of coastal SPAs protecting the breeding sites of,  
173 particularly, migratory seabirds species that visit Scotland during the breeding season. In  
174 parallel, Special Areas of Conservation (SACs) are established under the Habitats Directive to  
175 protect habitats and species of conservation value. In marine systems, these include  
176 distinctive habitats such as sandbanks, sea caves and cliffs etc., and key species such as  
177 bottlenose dolphin and seal species. SPAs and SACs are included in the Natura 2000  
178 ecological network set up under the Habitats Directive.

179

180 The potential impact of wave or tidal stream Marine Energy Converters (MECs) has been  
181 discussed in the scientific literature. Pelc and Fujita (2002) considered wave devices to be  
182 relatively environmentally benign and tidal stream turbines to be the most environmentally  
183 friendly tidal power option. A review of the ecological impact of MRE (Gill, 2005) showed  
184 that, despite a growth in publications on renewable energy, only a fraction at the time (<1%;  
185 none on coastal ecology) considered its potential environmental risks. Theoretical risks of  
186 the extensive subsurface structures introduced by MRE into the coastal environment  
187 outlined by Gill (2005) identified changes to water circulation and to the transport and  
188 deposition of sediment, noise and vibration during the construction and operational phases,

189 changes to the electrical and electromagnetic fields, and degradation and/or removal of  
190 habitats. Gill (2005) also warned against an undue focus on rare species of high intrinsic  
191 appeal to the detriment of impacts on the ecosystem structure, processes and key  
192 functional species. The effects of near- and far-field changes to the flow and wave fields,  
193 and sedimentation patterns have been identified by subsequent publications (e.g. Shields *et al.*  
194 *et al.*, 2011) including specifically in the Pentland Firth area (Shields *et al.*, 2009). These effects  
195 are not just negative: a number of potentially beneficial effects has also been proposed  
196 (Inger *et al.*, 2009), such as the creation of artificial reefs, *de-facto* marine protected areas  
197 and fish aggregation devices. Interactions between positive and negative effects, as well as  
198 cumulative effects (Inger *et al.*, 2009) requiring a different scale of management actions  
199 (Boehlert and Gill, 2010). Shields *et al.* (2011) identified the PFOW area as a particular case  
200 study to provide essential industry standards and environmental guidelines of worldwide  
201 applicability. However, because of the relative lack of empirical data on how marine  
202 habitats and wildlife will interact with wave and tidal stream MECs and their distinct nature  
203 relative to other forms of marine developments, understanding their potential  
204 environmental impact is particularly challenging and important. Smaller-scale demonstrator  
205 devices have been studied in depth but there is a clear need to monitor carefully the  
206 quantitative and qualitative nature of the effects of early commercial-scale developments  
207 against the natural baseline. Environmental impact assessment procedures are covered by  
208 European legislation such as Directives 2011/92/EU (the “Environmental Impact  
209 Assessment, EIA” Directive) and 2001/42/EC (the “Strategic Environmental Assessment,  
210 SEA” Directive) and their relevant national transposition (in Scotland, the Environmental  
211 Assessment (Scotland) Act 2005), to ensure that the potential environmental implications  
212 are taken into account before plans and projects are formally adopted and  
213 licences/consents are granted. Where a project has the potential to have a significant effect  
214 on a Natura site, a Habitats Regulation Appraisal (HRA) is required under the Habitats  
215 Directive. This process progresses from qualitative assessment to a more detailed  
216 Appropriate Assessment (AA). Projects can only be consented if the AA concludes that the  
217 development will not affect the integrity of the relevant protected (Natura 2000) sites.

218  
219 This paper summarises the output of a collaborative modelling project (the TeraWatt  
220 project; Side *et al.* (this issue)). In the absence of comprehensive observational data,  
221 modelling projects like the present one are fundamental to estimate the potential effects of  
222 MRE developments on the physical environment and, consequently, on the marine  
223 ecosystem. This paper draws on the project outputs and presents potential methodologies  
224 for quantifying acceptable thresholds for sustainable MRE exploitation within the context of  
225 the existing planning, regulatory and environmental legislative framework. In the following  
226 sections, we describe the modelling methodologies to represent the hydrodynamics and the  
227 implementation of energy extraction, and their effect on the physical environment, followed  
228 by a description of the regulatory framework in Scotland and a discussion on the  
229 acceptability criteria for sustainable exploitation.

230

231

## 232 **2 Modelling methodologies: hydrodynamics and energy extraction**

233

### 234 **2.1 Data**

235



236 In order to develop three dimensional hydrodynamic and spectral wave models, a number  
237 of datasets was required for model initialisation, forcing, calibration and validation. In  
238 addition, seabed sediment data were needed for sediment transport modelling. A  
239 comprehensive description of the data used in the project is presented by O’Hara Murray  
240 and Gallego (this issue) and O’Hara Murray (2015) so only a summary will be presented  
241 here.

242  
243 Bathymetry data are needed at the appropriate resolution for the model grids (typically  
244 below 100 m). The bathymetric dataset used in the study (The Crown Estate, 2012) was  
245 derived from a variety of high resolution sources interpolated to a regular 20 m horizontal  
246 grid. Much of the underlying data were UK Hydrographic Office (UKHO) survey data, with  
247 gaps filled from the Digital Elevation Model (DEM) (Astrium OceanWise, 2011).

248  
249 Bed sediment distribution data, including particle size and particle size distribution data,  
250 were obtained from the British Geological Survey (BGS) Web Map Services  
251 (<http://www.bgs.ac.uk/GeoIndex/offshore.htm>). At specific sediment dynamics modelling  
252 sites, such as the Bay of Skail, targeted survey work was carried out within the project, such  
253 as beach profiles (Fairley *et al.*, this issue) or site-specific datasets were identified (Inner  
254 Sound: MeyGen (2012) and Marine Scotland Science multibeam echosounder data ground-  
255 truthed by video trawls).

256  
257 The main sets of data on currents used in the project consisted of 3 moored ADCP 30-day  
258 deployments in the Pentland Firth collected by Gardline Marine Sciences for the Maritime  
259 and Coastguard Agency (MCA) and 4 vessel-mounted ADCP (VMADCP) transects along its  
260 boundaries, as well as moored ADCP data purchased from the European Marine Energy  
261 Centre (EMEC) at their Fall of Warness site, a short moored ADCP deployment in Stronsay  
262 Firth, and two VMADCP surveys across the Hoy Mouth and Hoy Sound (see Fig. 2 in O’Hara  
263 Murray and Gallego (this issue) for the location of these surveys).

264  
265 Waves data were obtained from WaveNet, the Cefas-operated Datawell Directional  
266 Waverider buoy network (<https://www.cefas.co.uk/cefas-data-hub/wavenet>), as well as  
267 Waverider data purchased from EMEC’s Billia Croo site and data from a Waverider buoy  
268 deployed off Bragar (west coast of the Isle of Lewis, Scotland; Vögler and Venugopal (2012)).

269  
270 Tidal boundary forcing used the output of the barotropic Oregon State University Tidal  
271 Prediction Software (OTPS; Egbert *et al.*, 2010) and the DHI Global Tidal Model Database  
272 (Cheng and Andersen, 2010). Wind forcing data for waves modelling were obtained from  
273 the European Centre for Medium Range Weather Forecast (ECMWF) ERA-40 re-analysis  
274 dataset.

275  
276

## 277 **2.2 Numerical models – flow**

278  
279 Following consultation with MRE project developers, it was clear that the industry places  
280 considerably greater confidence in what are perceived to be tried-and-tested commercial  
281 models in preference to others generally employed by the academic community in research  
282 contexts. The project team was advised that, in order to engage fully with the renewables

283 industry, we would need to use models they would trust and be familiar with. Therefore,  
284 MIKE3 (Danish Hydraulic Institute, DHI) and Delft3D-Flow (Deltares) were selected for tidal  
285 modelling, and MIKE21 SW (DHI) for waves modelling.

286

287 MIKE3 is a free-surface hydrostatic model that uses a cell-centred finite volume method to  
288 solve the three-dimensional incompressible Reynolds-averaged Navier-Stokes equations,  
289 with the Boussinesq approximation and a  $k-\epsilon$  turbulence closure scheme in the vertical and  
290 the Smagorinsky horizontal eddy viscosity formulation. In the vertical, we used sigma  
291 coordinates and, in the horizontal, triangular elements allowing for an unstructured grid  
292 that provides enhanced flexibility to represent complex geometries (e.g. coastline and  
293 bathymetric features) in areas where more detail is required, with greater computational  
294 efficiency. A description of the MIKE3 implementation in our study area is given by  
295 Waldman *et al.* (this issue) but, briefly, a model domain was set up covering the whole of  
296 the Orkney Islands, the Pentland Firth and adjacent waters off the north and northeastern  
297 Scottish mainland, with a horizontal resolution that varied between 4000 and 50-200 m (in  
298 high tidal velocity areas) and 10 equidistant vertical sigma layers. The flow model was  
299 calibrated against the 3 moored ADCP current profile datasets referred to above.

300

301 Delft3D-Flow is a finite difference hydrostatic model that solves the three-dimensional  
302 incompressible Reynolds-averaged Navier-Stokes equations, with the Boussinesq  
303 assumptions. We chose a sigma vertical coordinate system and the model's rectangular  
304 (structured) staggered Arakawa-C grid in the horizontal. To achieve the degree of horizontal  
305 resolution required in the focus area while covering a wide enough domain to minimise  
306 boundary effects, within computational constraints, two grids of different resolution were  
307 bi-directionally coupled: a coarser resolution (1 x 1 km) grid in 2-dimensions covering an  
308 area slightly larger than the full MIKE3 domain and a higher resolution (200 x 200 m), 3-  
309 dimensional (10 sigma layers), grid covering the Pentland Firth and the Orkney Islands (see  
310 Waldman *et al.*, this issue). The turbulence closure scheme selected was the same as for the  
311 MIKE3 model ( $k-\epsilon$ ). The outer domain model was calibrated against water level data and  
312 the inner domain model against the Fall of Warness ADCP dataset, using the 3 moored  
313 Pentland Firth ADCP datasets for validation.

314

315 The two flow models predicted very similar relative changes in all parameters of interest  
316 over their spatial domain. Depth-averaged current speeds showed very similar absolute  
317 values but both models had been calibrated against this variable. This was achieved by  
318 using different values for bed resistance (Waldman *et al.*, this issue). Bed resistance is often  
319 used as a tuning parameter and is therefore not necessarily representative of the actual  
320 seabed resistance. It also influences the modelled vertical velocity profiles and,  
321 consequently, parameters of relevance to sediment transport and ecological processes such  
322 as bottom velocity and near-bed stress. However, in our study, relative changes (spatially  
323 and as a result of energy extraction) in these variables are more important than absolute  
324 values (Waldman *et al.*, this issue), so the relative similarities between the two flow models  
325 are reassuring.

326

327

### 328 **2.3 Numerical models – waves**

329

330 We used MIKE21 SW for wave modelling. This is an unstructured grid, finite volume,  
331 spectral wind-wave model that simulates the growth, decay and transformation of wind-  
332 generated waves and swell. The model offers two alternative formulations: fully spectral or  
333 a directional decoupled parametric formulation. The fully spectral version incorporates  
334 wave growth due to wind effects, non-linear wave-wave interactions, dissipation due to  
335 bottom friction, white-capping and wave breaking, effect of time-varying depth and  
336 bathymetric effects on wave refraction and shoaling, and wave-current interactions. The  
337 model domain used in this project spanned the whole of the North Atlantic (Venugopal and  
338 Nimalidinne, 2015). The model resolution was coarser in the open North Atlantic (element  
339 area approx. 2.5 km<sup>2</sup>) and finer in the Pentland Firth and Orkney waters, and in the Hebrides  
340 and northwest Scotland (approx. 1700 m<sup>2</sup>). The detailed model setup is described in  
341 Venugopal and Nimalidinne (2015) and Venugopal *et al.* (this issue). The model was  
342 calibrated for significant wave height, peak wave period and peak wave direction against  
343 four Waverider data locations from the WaveNet network and the Isle of Lewis Waverider  
344 dataset, and successfully validated against three 2010 datasets, as described by Venugopal  
345 *et al.* (this issue).

346

#### 347 **2.4 Simulating tidal stream MECs**

348

349 One of the objectives of the project was to characterise sufficiently realistic generic devices  
350 for tidal stream and wave MECs that could be used by scientists without access to the  
351 technical details of such devices available to MRE developers. The characteristics of these  
352 devices were developed from information in the public domain, including that provided in  
353 licence applications, and was substantiated by consultation with developers. The most  
354 common design at present for tidal stream converters is a horizontal axis turbine and this  
355 was the device we aimed to represent in the models. Single 1.0-1.5 MW capacity rated tidal  
356 turbines were characterised by monopiles with a single 20 m diameter rotor, cut-in/cut-out  
357 speeds of 1 and 4 m s<sup>-1</sup>, respectively, 2.5 m s<sup>-1</sup> rated speed and current speed-dependent  
358 thrust coefficient (Baston *et al.*, 2015). The types of wave energy devices likely to be  
359 deployed in PFOW were more variable than tidal stream devices and so three broad device  
360 types were used, representing those currently under consideration by developers; (i) a 750  
361 kW wave attenuator, a floating device oriented in parallel to the direction of wave  
362 propagation, which captures energy from the relative motion between two sections of the  
363 device as the wave passes; (ii) a 2.5 MW wave point absorber, a fully- or partially-  
364 submerged device that captures energy from the heave motion of the waves; and (iii) a 1  
365 MW oscillating wave surge converter or terminator, where a buoyant hinged flap attached  
366 to the seabed moves backwards and forwards, pushing hydraulic pistons to drive a turbine.

367

368 With the exception of experimental demonstrator devices, commercial-scale MRE  
369 developments will consist of arrays of individual devices. The sites with agreement for  
370 lease for MRE developments were used as initial general target areas for the location of  
371 arrays of devices. Their precise exact positioning within these areas will be based on a  
372 number of factors: 1) the availability of the resource; 2) potential interference between  
373 devices; 3) water depth; and 4) seabed suitability, in terms of substrate and/or relief. Most  
374 of these constraints will influence the location of all types of devices (tidal stream and  
375 waves) and designs, although their relative importance will differ.

376

377 Based on licence application documentation, two types of tidal stream turbines were  
378 considered: i) a 1 MW single axis turbine with a 20 m diameter rotor; and ii) a 2 MW device  
379 with two horizontal axis turbines with 20 m diameter rotors and a hub-to-hub spacing of 30  
380 m. Their layout within an array assumed a constant across- and downstream spacing,  
381 aligned to the main direction of the flow and with staggered (offset) rows which takes  
382 advantage of the expected flow acceleration around individual devices (e.g. see Rao *et al.*,  
383 2016). Individual devices were also located within each general area on the basis of a)  
384 number of devices as a function of the licensed total capacity of each development; b) main  
385 current direction; c) distribution of the tidal resource within the development area; and d)  
386 water depth ( $\geq 27.5$  m below mean sea level, to ensure that the turbine blades would be  
387 constantly submerged). O’Hara Murray and Gallego (this issue) provide greater detail of the  
388 array design process and present the final layout of the hypothetical arrays in the licensed  
389 sites used in the energy extraction simulations.

390

391

## 392 **2.5 Simulating wave MECs**

393

394 In the case of WEC arrays, there were fewer constraints on where many of the types of  
395 devices could be placed so the general principle was to space out individual devices to  
396 occupy the whole of the licensed areas, giving consideration to the necessary operational  
397 depths for each device type. Four out of six wave development project sites within the  
398 PFOW stated that they intended to use the wave attenuator device. The number and  
399 spacing of attenuators in staggered rows was based on information provided by developers  
400 in their licence applications, the intended electricity generating capacity of each site and any  
401 spatial constraints. The one development planning to use point absorber devices required a  
402 550 m (cross-stream) and 600 m (downstream) staggered design over the full development  
403 site, while the oscillating wave surge converters planned for one development were spaced  
404 by 45 m (71 m centre-to-centre, as they are 26 m wide), which is within the spacing window  
405 reported in the licensing documentation. The appropriate number to achieve the intended  
406 energy generating capacity was spaced out along the 12.5 m depth contour, which is within  
407 their operational target depth range of 10-15 m. See O’Hara Murray and Gallego (this issue)  
408 for full details.

409

410 Tidal stream arrays were implemented in the MIKE3 model of the study area (Waldman *et al.*  
411 *et al.*, this issue) using the “Turbine” facility within the software, parameterising the device as  
412 a sub-grid scale process using an actuator disk model with a user-defined thrust coefficient  
413 (Baston *et al.*, 2015). Turbine parameters and locations, as defined above, were input into  
414 the model while supporting structures (2.5 m diameter cylindrical monopiles between the  
415 seabed and hub height) were also represented using the built-in “Pier” facility. There was  
416 no equivalent facility to model turbines in Delft3D and we were advised against customising  
417 the standard software, e.g. to parameterise the devices as momentum sinks, so tidal stream  
418 turbines were parameterised within the standard code as porous plates. Waldman *et al.*  
419 (this issue) detail how this was implemented in the model and the limitations of the  
420 approach in terms of e.g. vertical positioning, constant thrust coefficient and fixed  
421 orientation.

422

423 WECs were implemented in the MIKE21 SW model for only 3 of the proposed development  
424 sites, two with wave attenuators and one with an oscillating wave surge converter. The  
425 model has no built-in facility to simulate WECs and so the arrays were represented by sub-  
426 grid scale parameterisation (Venugopal *et al.*, this issue). In a separate numerical modelling  
427 exercise, the WAMIT model ([www.wamit.com](http://www.wamit.com)) was run to provide values of wave energy  
428 transmission factors (energy absorption, reflection and transmission characteristics) which  
429 were input into MIKE21 SW. WEC arrays were represented as a line structure where energy  
430 transmission is characterised by the energy balance equation. MIKE21 SW can then be used  
431 to model wave propagation over the model domain, incorporating the effect of wave energy  
432 extraction. Some of the simplifying assumptions made in this approach require further work  
433 to fully estimate the sensitivity of the results to the frequency-dependent behaviour and  
434 dynamic response characteristics of the absorption, transmission and reflection coefficients.  
435

436

437

### 3 Modelling methodologies: physical environmental effects

438

#### 3.1 Tidal stream modelling

439

440

441 Both MIKE3 and Delft3D produced similar results on the effect of tidal stream arrays on  
442 depth-averaged current speeds, showing decreased velocities in tidal streams in line with  
443 the arrays and increased velocities to either side, as flow is partly diverted around the array  
444 (Waldman *et al.*, this issue). These effects were particularly evident in the Inner Sound  
445 development, where the flow is constrained by coastline on both sides (Fig. 4 of O'Hara  
446 Murray and Gallego, this issue) and the turbines occupy a high proportion of the total water  
447 depth. The relative effects of tidal energy extraction on bed stress were similar between  
448 the two models. The results showed decreases of bed stress of 45% and increases of up to  
449 100% in some areas (Waldman *et al.*, this issue). However, some spatial differences  
450 between the models were observed. These are believed to be the effect of differences in  
451 the computational grid, which result in small differences in the exact locations of simulated  
452 eddies which may affect individual devices in slightly different ways (Waldman *et al.*, this  
453 issue).  
454

455

456 At the time this work was carried out, MIKE3 provided a superior capability to represent the  
457 type of tidal stream device under consideration, as the limitations of the approach  
458 implemented in Delft3D resulted in a constant thrust coefficient, fixed orientation and  
459 spatially variable vertical position of the devices (Waldman *et al.*, this issue). An error in the  
460 calculation of turbine thrust in a high resolution model, of the type identified by Kramer *et al.*  
461 (2014), was noted and a correction implemented (Waldman *et al.*, 2015). A similar  
462 correction has been incorporated into the latest version of MIKE.

463

464 The observed spatial differences in model results demonstrate the importance of validating  
465 model output with field data in order to achieve the level of detail required for the precise  
466 positioning of individual devices in any given area. Our results also underline the  
467 importance of developing means of characterising bed resistance (empirically or  
468 theoretically) instead of using it as a tuning parameter. Used as such, the use of the models  
469 to obtain absolute values for variables of relevance to sediment transport and benthic  
470 ecological processes such as bottom velocity and near-bed stress is limited. It is also critical

470 to obtain good quality velocity data (relatively rare in these operationally difficult areas  
471 outside a commercially sensitive context) for model validation outside the calibration  
472 areas/periods, in order to test the predictive power of these models. The quadratic  
473 relationship between velocity and bed stress implies that increases in velocity have greater  
474 effects on bed stress than decreases in velocity and, consequently, in some circumstances  
475 the greatest environmental impact may not be caused by TECs slowing down the flow but  
476 the increased velocities resulting from flow deflection (Waldman *et al.*, this issue).

477

478

### 479 **3.2 Waves modelling**

480

481 The extraction of wave energy by WEC arrays resulted in a clear reduction in incident wave  
482 height behind the arrays, with the greatest effect clearly in the area immediately behind. At  
483 the point of maximum impact (immediately behind the array, close to the coastline), a large  
484 decrease relative to average conditions was observed: approximately 1 m difference from  
485 annual mean baseline conditions (Venugopal *et al.*, this issue). The effect is reduced with  
486 increased distance as a result of diffracted wave energy penetrating into the lee of the array  
487 from the sides. For the proposed array off the Bay of Skail, the results of Venugopal *et al.*,  
488 (this issue) suggested that reduced wave height and (relatively less affected) wave period  
489 and direction may result in relatively minor changes to sediments and coastal morphology  
490 (beach erosion). An important finding of these simulations was the potential cumulative  
491 effect of multiple developments. This is dependent on array layout and number of  
492 developments (Venugopal *et al.*, this issue) and needs to be studied both in the near- and  
493 far-field. In the present work we generally constrained the spatial domain of our models to  
494 investigate potential effects in our focal area (PFOW). Far-field effects can be significant in  
495 some scenarios (e.g. van der Molen *et al.*, 2015) and are being currently investigated by  
496 project partners in a follow-up project.

497

### 498 **3.3 Seabed sediment modelling**

499

500 Fairley *et al.* (this issue) simulated the effect of MRE extraction on sediment processes  
501 (bedload sediment transport and morphological change) in two case study areas within the  
502 area of interest: the largest beach on the west coast of Mainland Orkney (the Bay of Skail)  
503 and the Inner Sound of the Pentland Firth. The Bay of Skail is close to proposed wave  
504 developments (Brough Head, West Orkney and Marwick Head). The Brough Head  
505 development site includes the Bay of Skail within the area but the indicative device layout  
506 available to us shows the nearest WEC devices > 1 km from the bay. There is a proposed  
507 development in the Inner Sound which, being constrained by Stroma and the Scottish  
508 Mainland and using the criteria applied by O'Hara Murray and Gallego (this issue), would  
509 occupy a significant proportion of the channel.

510

511 The Bay of Skail is an important recreational asset and protects the Skara Brae Neolithic  
512 village, which is part of a UNESCO World Heritage Site. Modelling for this site was carried  
513 out using MIKE3, fully coupled with a spectral wave model and the non-cohesive sediment  
514 transport module of the modelling suite (Fairley *et al.*, this issue) and validated against the  
515 only field data available on the site (5 beach profile transects), in the absence of concurrent  
516 waves and current profile data. Differences between the baseline scenario and that with

517 wave energy extraction were observed, in the context of relatively lower confidence in the  
518 modelling output, due to the lack of calibration data and the unavoidable use of default  
519 model parameters as a result. These differences were greatest (approx. 0.5 m) on the  
520 southernmost transects and are of the magnitude of the changes measured in the field.  
521 These results need further investigation, particularly given the location of the Skara Brae  
522 archaeological site on the south end of the bay. Other valuable lessons derived from the  
523 exercise include the need for a longer period of field measurements that capture a range of  
524 conditions; the data used in this project were acquired over a low wave energy period when  
525 most sediment transport would have been dominated by swash zone transport (not  
526 generally well represented in numerical models), plus it is not possible to evaluate the  
527 model's suitability under high energy conditions. Also, in practical terms, this work  
528 highlighted the heavy computational requirements of the type of simulations needed to  
529 adequately model seabed morphology beyond the short term. For consent applications,  
530 where longer term predictions may be required, the accuracy of three-dimensional  
531 modelling may need to be sacrificed in favour of computationally cheaper two-dimensional  
532 models (Fairley *et al.*, this issue).

533  
534 To study the effect of tidal stream energy extraction on sediment dynamics in the Pentland  
535 Firth, two commercial models were used. Delft3D with D-Morphology was used to study  
536 the morphodynamic sediment environment in the Inner Sound and its results showed that  
537 the currently observed sandbank dynamics are largely maintained by tidal flow asymmetries  
538 in magnitude and direction (Fairley *et al.*, this issue). MIKE3D was used to investigate the  
539 effect of tidal stream energy extraction on the sandbanks in the wider Pentland Firth (see  
540 Fig. 6 of Fairley *et al.*, 2015). An anti-clockwise persistent eddy around the eastern  
541 sandbank in the Inner Sound, with minimal transport over the crest, was shown in the  
542 baseline simulations and explained the persistence of the feature. Energy extraction  
543 resulted in the reduction of the eddy and the displacement of its centre, with a directional  
544 flow over the crest of the bank. The magnitude of these changes was similar to the  
545 simulated baseline temporal variability, suggesting that energy extraction in the Inner Sound  
546 may affect the sediment dynamics in these subtidal banks (Fairley *et al.*, this issue).  
547 However, considerable uncertainty remains. For example, the predicted natural variability  
548 in some other features such as a sandwave field to the west of Stroma is very high and,  
549 intuitively, inconsistent with their perceived permanency. At present, it is not possible to  
550 rule out model shortcomings, real sandwave variability or the combined effect of waves (not  
551 modelled here) and tide. Therefore, Fairley *et al.*, (this issue) concluded that, in some cases  
552 such as the persistent eddy-influenced sandbanks, a relatively data-light modelling  
553 approach, using default model settings, may be adequate to assess the impact of energy  
554 extraction. In other areas of mobile sediments like the sandwave fields, additional field data  
555 may be required to gain further confidence in the model results. Sediment transport  
556 modelling is computationally complex and expensive, and the acquisition of suitable field  
557 data is challenging and costly in these operationally and conceptually difficult environments.  
558 Therefore, it may be more realistic and efficient to focus detailed efforts on areas where  
559 high-risk receptors are present, using a more generic, pragmatic approach elsewhere, as  
560 illustrated by our work.

561

### 562 **3.4 Suspended particulate material modelling**

563

564 Another example of a generic modelling approach to study the potential effects of wave and  
565 tidal energy extraction was presented by Heath *et al.* (this issue). A one-dimensional model  
566 was developed to investigate suspended particulate material (SPM) dynamics. SPM  
567 characterises the light environment in the water column and is therefore critical for many  
568 ecological processes, and it has been postulated that hydrodynamic changes to the marine  
569 environment as a result of MRE extraction have the potential to affect SPM dynamics.  
570 Numerical simulation modelling of SPM dynamics is a particularly challenging task, as  
571 discussed by Heath *et al.* (this issue), but the parsimonious approach they developed was  
572 sufficient to capture the observed natural temporal variability (seasonal, tidal, sub-tidal and  
573 storm events), although high turbidity extremes were not fully replicated, probably due to  
574 the nature of the forcing flow data (purely tidal, excluding wind and surge effects). The  
575 extraction of wave and tidal energy of the magnitude expected of a large scale tidal or wave  
576 array resulted in a reduction of water column turbidity within measurable detection  
577 variability levels. With the caveat that this may need to be qualified by the likely non-linear  
578 relationship between the energy extraction by MRE devices and wave or current variability,  
579 Heath *et al.* (this issue) concluded that detectable levels of change in turbidity would require  
580 some 50% attenuation of current speed, something unlikely beyond the immediate vicinity  
581 of devices at current scales of development, where processes not represented in the model  
582 are likely to dominate.

583

584

#### 585 **4 Regulatory framework and acceptability criteria for sustainable exploitation**

586

587 As outlined in the Introduction, the regulatory framework for MRE developments we  
588 describe in this paper will be of general applicability beyond the Scottish context due to its  
589 foundation in European and other international legislation, although aspects may vary  
590 through differences in details of the transposition of those regulations into national  
591 legislation.

592

593 In Scottish waters, activities covered by the Marine (Scotland) Act 2010 with the potential to  
594 have a significant effect on the environment, local communities and other users need to  
595 undergo a pre-application consultation (Marine Scotland, 2015), to inform all potentially  
596 interested parties. MRE developments with a total area exceeding 10,000 m<sup>2</sup> fall within this  
597 category. Not all licensable projects require an EIA as part of their application. Whether an  
598 EIA must be undertaken for the provision of the Environmental Statement (ES) which  
599 reports the findings of the EIA is dependent on whether the project features within Annex I  
600 (mandatory EIA) or Annex II (EIA only necessary if the project exceeds certain limits or  
601 thresholds) of the European Commission EIA Directive. MRE projects are likely to fall within  
602 Annex II and the decision about EIA requirement will be made during the “EIA Screening”  
603 stage (Marine Scotland, 2015). However, a statutory EIA is generally required. The next  
604 stage in the process is termed “EIA Scoping” and involves preparing a preliminary analysis of  
605 impact (Scoping Report) based on existing information, allowing the opportunity to identify  
606 any issues that need further exploration or inclusion in the EIA. This occurs through formal  
607 response to the Scoping Report from the consenting authority. These preliminary steps  
608 define the structure and scope of the EIA and its reporting document, the ES. The EIA must  
609 (BSI, 2015) i) describe the project; ii) outline the main alternative methods (e.g. pile  
610 foundation types, construction methodologies, etc.) and the reasons for choosing any given



611 one; iii) describe in detail the environmental (physical, biological and human) baseline  
612 regarding any aspects that could potentially be affected and the methodology used to  
613 characterise it; and iv) present any mitigation measures that will be put in place to prevent,  
614 reduce and offset adverse environmental effects, and how these will be monitored. Once  
615 the impact pathways and receptor sensitivities have been established, receptor vulnerability  
616 is evaluated. Both beneficial and adverse impacts are assessed on a scale of negligible to  
617 major. Moderate or major adverse impacts require some form of impact reduction or  
618 mitigation measure. EIA regulations specify that cumulative effects need to be accounted  
619 for within an EIA. Guidance on the assessment of cumulative effects is available on EC  
620 (2001).

621  
622 If a proposed development has the potential to have a significant impact on a Natura site,  
623 an HRA needs to be carried out. This is a consenting procedure that states that the  
624 competent authority (normally the licensing/consenting authority) needs to carry out an  
625 Appropriate Assessment (AA) of the plan or project. The AA needs to address whether the  
626 integrity of the Natura site is likely to be adversely affected, considering closely the nature  
627 conservation objectives of the site, based on, and supported by, evidence that is capable of  
628 standing up to scientific scrutiny.

629  
630 On a broader scale, under the MSFD, EU Member States are required to undertake an  
631 initial assessment of the state of their seas (Article 8), determine a set of characteristics for  
632 GES (Article 9), and establish relevant targets (Article 10), based on the 11 descriptors set  
633 out in Annex I, the elements set out in Annex III (characteristics, pressures and impacts), and  
634 a series of relevant Descriptors defined in the Commission Decision on criteria and  
635 methodological standards for Good Environmental Status (EC, 2010). Regarding D7,  
636 changes in the tidal regime, sediment transport, currents and wave action are explicitly  
637 mentioned.

638  
639 The reporting scale for MSFD does not apply to small scale, near-field effects (although  
640 those may fall under other environmental legislation, as discussed above) but rather those  
641 that may “affect marine ecosystems at a broader scale” (EC, 2010). Two D7 criteria are  
642 defined: 7.1, spatial characterisation of permanent alterations; and 7.2, impact of  
643 permanent hydrographical changes, with their respective indicators (7.1.1: Extent of area  
644 affected by permanent alterations; 7.2.1: Spatial extent of habitats affected by the  
645 permanent alteration; 7.2.2: Changes in habitats, in particular the functions provided, due  
646 to altered hydrographical conditions). At the time of writing, no standard methodology has  
647 been defined for assessment of GES for this Descriptor. Due to the nature of this descriptor  
648 and its current state of development, D7 is not a quantitative descriptor at present and it is  
649 not possible to define objective thresholds for its GES indicators.

650  
651 A review of the Commission Decision for D7 (Stolk *et al.*, 2015), recommended the use of  
652 models to quantify the effects from permanent alterations to the hydrographic regime.  
653 Modelling, applying a common methodology, should be used to reduce uncertainties in the  
654 assessment of impacts. In order to understand the effect of D7-related impacts on other  
655 descriptors such as D1 (“Biodiversity is maintained”) and D6 (“The sea floor integrity ensures  
656 functioning of the ecosystem”), as well, additional research is needed on habitat modelling,  
657 pressure mapping and cumulative impacts, along with monitoring of potentially affected

658 areas (Stolk *et al.*, 2015). Models used within methodologies such as EIA, SEA, HRA and  
659 marine spatial planning will contribute to evaluating and assessing the extent and the  
660 cumulative aspects of impacts from MRE activities. The quantitative assessment of indirect,  
661 combined and cumulative effects would still benefit from the development of suitable  
662 quantitative methods and tools, which would be the next logical step from the work  
663 presented here, although some advances have already been made (e.g. the TRaC-MImAS  
664 tool assessing potential hydromorphological alterations in WFD “transitional and coastal  
665 (TraC)”waters; UKTAG (2013). See Appendix A).

666  
667 MRE developments also need to be compatible with their general planning context. In  
668 Scotland, the marine planning framework is made up of the National Marine Plan (adopted  
669 in March 2015 with the publication of the Strategic Environmental Assessment Post-  
670 Adoption Statement), the ongoing roll-out of the Regional Marine Plans for the identified 11  
671 Scottish Marine Regions and sectoral plans such as those prepared for offshore renewable  
672 energy (wind, wave and tidal). Marine spatial planning, particularly at the broader  
673 geographical level, makes use of instruments such as The Crown Estate’s MaRS (Marine  
674 Resource System), a GIS-based tool with hundreds of spatial datasets that allow spatial  
675 analyses to identify areas of opportunity and potential constraint for development (e.g. by  
676 MRE projects) by weighing combinations of technical constraints, sensitivities, competing  
677 interests and other uses of the marine environment.

678  
679 Current experience indicates that establishing compliance with the need to protect Natura  
680 2000 sites is the key environmental element in determining whether licences/consent for  
681 development should be granted. It is clear that changes to the hydrodynamic environment  
682 from the current scale of development of MRE projects and those conceivable over the next  
683 few years (such as the scenarios considered in the *Terawatt* project) should be measurable.  
684 However, it is unlikely that they will be sufficient to cause projects to be rejected through  
685 failure to meet WFD requirements (see Appendix A), or to lead to permanent hydrographic  
686 changes of a magnitude that would cause failure to attain GES under Descriptor 7 of the  
687 MSFD. It is much less clear whether we can be confident that this scale of development  
688 does not have the potential to adversely affect the integrity of Natura 2000 sites. We have  
689 demonstrated that changes in the tidal current speeds resulting from MRE developments  
690 are sufficient to cause alterations to sediment dynamics in some locations. Impact  
691 assessments, therefore, will need to take account of the potential for impacts on protected  
692 sites that rely on sediment characteristics. These include sites such as designated  
693 sandbanks, or sites designated for the protection of benthic species with particular  
694 substrate requirements.

695  
696 Similarly, our understanding of the feeding ecology of a range of protected species,  
697 including marine mammals and seabirds, is indicating that species have particular preferred  
698 feeding habitats, characterised by factors such as current speed, turbulence and primary  
699 production rates (Waggitt *et al.*, 2016a, 2016b), influenced by the presence/absence of  
700 oceanographic fronts. There will be an increasing need to take account of the changes to  
701 the physical environment in assessments of effects on foraging success and efficiency, and  
702 consequences for reproductive success, mortality rates and the dynamics of protected  
703 populations associated with Natura 2000 sites.

704

705 We can predict that there will be a continuing and intensifying need for specific quantitative  
706 information on the individual and cumulative effects of MRE developments on the physical  
707 and biological aspects of the marine environment. The EIA and, where appropriate, HRA  
708 processes that underpin the planning and legislative framework will remain reliant on best  
709 current science, together with qualitative judgement and expert opinion. We believe that  
710 work such as that presented here makes a critical contribution to filling the existing gaps  
711 and reducing the uncertainties in impact assessments.

712

713

## 714 **5 Conclusions, further work and recommendations**

715

716 This paper summarises the output of a collaborative modelling project to estimate the  
717 potential effects of MRE developments on the marine environment.

718

719 At the basis of all modelling work lies the most appropriate and best quality data. Here,  
720 various datasets for model initialisation, forcing, calibration and validation were compiled.  
721 Most of these data will be freely available to developers, academia and regulators (O’Hara  
722 Murray and Gallego, this issue) and will facilitate a common data framework for EIA  
723 modelling.

724

725 Two commercially-developed numerical modelling suites were used primarily in this work,  
726 following industry advice. The two flow models used produced a similar description of the  
727 hydrodynamics of the study area and predicted very consistent relative changes to the  
728 physical environment as a result of tidal energy extraction. However, bed resistance was  
729 used as a tuning parameter for model calibration in both models and that influenced  
730 velocity profiles and derived parameters of relevance to sediment dynamics and ecological  
731 processes. Our results underline the importance of developing means of characterising bed  
732 resistance adequately (empirically or theoretically) to circumvent this limitation. Our work  
733 also highlighted the need for the appropriate facilities to characterise MRE devices within  
734 the software suites, as technical approximations required in their absence can bring about  
735 their own errors and inaccuracies. It could be argued that the most up to date non-  
736 commercial models often favoured by the academic community may allow greater flexibility  
737 and, eventually, provide more powerful and accurate modelling tools. However, open and  
738 comprehensive cross-validation against commercial software will be required in order to  
739 gain the confidence of industry and regulators.

740

741 The project succeeded in characterising sufficiently realistic generic devices for tidal stream  
742 and wave MECs that could be used by scientists without access to the technical details  
743 available to MRE developers. This was easier in the case of TECs than WECs, largely due to  
744 the lack of design convergence of the latter, but also due to the technical limitations of the  
745 modelling software used, which forced us to represent WEC arrays by sub-grid scale  
746 parameterisation. We have high confidence in the way the tidal arrays were represented in  
747 the models (in particular in MIKE3) and also the wave arrays but further work will be  
748 desirable for the latter to fully estimate the sensitivity of the results to the frequency-  
749 dependent behaviour and dynamic response characteristics implemented in the model.

750

751 The model results showed localised sea bed effects at the level of the proposed MRE  
752 developments in the PFOW area, with large-scale effects on water column characteristics  
753 such as the turbidity field unlikely. Tidal stream developments decreased velocities in line  
754 with the arrays and increased velocities to either side, as flow is diverted, more noticeably in  
755 sites where the flow is particularly constrained by coastline. Sea bed dynamics (e.g. sand  
756 banks and sand wave fields) in the Pentland Firth are maintained by the characteristics of  
757 the flow. The results of simulations with energy extraction suggested that hydrological  
758 changes may affect the sediment dynamics of these subtidal features, although observed  
759 differences between the models demonstrate the importance of model validation with field  
760 data in order to achieve the level of accuracy required for array positioning for commercially  
761 viable and sustainable exploitation. The extraction of wave energy by arrays of WECs also  
762 suggested localised effects behind the developments but reduced with increased distance.  
763 Tentative results (pending further validation) at specific sites (e.g. Bay of Skail) suggest  
764 potential localised effects on coastal morphology that require further investigation. A  
765 recommendation from sediment modelling was to focus this computationally-intensive and  
766 potentially expensive (in terms of difficulty and cost of field data acquisition) work on areas  
767 where high-risk receptors are identified, applying a more generic approach elsewhere.

768

769 In the current absence of quantitative targets, the achievement of Good Environmental  
770 Status in European waters regarding the more directly relevant Descriptors to MRE  
771 developments (D6, D11 and, in particular, D7) is currently heavily reliant on the adequacy of  
772 the marine planning and EIA (including HRA, where appropriate) framework. To that effect,  
773 large scale three-dimensional modelling is critical for being able to understand and quantify  
774 the direct, indirect and cumulative effects of MRE extraction. We are confident that the  
775 methodologies presented here and future work incorporating other environmental (e.g.  
776 climate change) factors and the downstream effect of physical changes on the marine  
777 ecosystem will make a critical contribution to this process.

778

779

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781

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787

788

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972 Orkney Waters.



973 **Appendix A:** *Example of an assessment of the potential hydromorphological alterations in*  
974 *WFD transitional and coastal waters of the Pentland Firth by TEC arrays using the TRaC-*  
975 *MImAS tool*

976

977 The Transitional and Coastal Water Morphological Impact Assessment System (TRaC-  
978 MImAS; UKTAG (2013)) was developed as a risk based regulatory decision-support tool.  
979 TRaC-MImAS is designed to help regulators determine whether new projects likely to alter  
980 hydromorphological features could risk the ecological objectives of the Water Framework  
981 Directive (WFD).

982

983 The tool uses a concept of capacity and assumes that new projects “consume” that capacity,  
984 causing a degradation of ecological conditions. The tool uses simplified area/footprints to  
985 measure the change in capacity for WFD water-bodies and provides a guide to regulators.  
986 Expert advice would always be sought for larger or more complex projects.

987

988 In this exercise, two TRaC-MImAS assessments were carried out for the water-bodies  
989 covering the Pentland Firth: one for the water-body named "Dunnet Head to Duncansby  
990 Head" (including the Ness of Duncansby and Inner Sound proposed developments, as shown  
991 in Fig. 1 of O’Hara Murray and Gallego (this issue)) and another for the water body "Old  
992 Head to Tor Ness" (including the Brough Ness and Brims developments). These water-  
993 bodies contained 500 and 300 devices respectively.

994

995 The assessment would be initially conducted at a small scale (Stage 1) over an area of 0.5  
996 km<sup>2</sup>. This would involve plotting out the assessment area, calculating intertidal and subtidal  
997 areas and building a baseline of existing modifications to the area in question. Any  
998 modification, such as piers and shoreline reinforcement, must be included. Due to the size  
999 of the tidal arrays under consideration, this stage was not applicable and a full water-body  
1000 assessment was conducted (Stage 2). This involves building a baseline at the whole water-  
1001 body scale.

1002

1003 The intertidal area is plotted and that total is removed from the total water-body area to  
1004 provide the subtidal value. All existing structures are mapped and added to the assessment  
1005 baseline. These are categorised under various types of obstructions or modifications. In  
1006 most cases a simple area is calculated for structures but in more complex scenarios  
1007 footprint rules are used. Once the baseline has been calculated the new project is then  
1008 added and any change in the water-body status is recorded. The tool presents changes as a  
1009 deterioration from the baseline status through categories that range from High, through  
1010 Good, Moderate, Poor and Bad. Any change in category would provide an indication to the  
1011 regulator that a given project should be reviewed further and, if necessary, expert guidance  
1012 should be requested.

1013

1014 For both assessments conducted in this exercise, a footprint rule was required to provide an  
1015 area for the tidal devices. This footprint was based on the spacing between devices. The  
1016 devices here were aligned in rows, but each row was sufficiently spaced from each other  
1017 that overlap was not a factor. A perimeter was drawn around the devices using the spacing  
1018 between each device (45 m) as a guide. It is acknowledged in the TRaC-MImAS technical

1019 guidance that this footprint overestimates the actual footprint in order to include the  
1020 downcurrent effects of the devices.

1021

1022 In the Dunnet Head to Duncansby Head assessment, 500 devices were placed in 52 rows  
1023 with three individual devices each. The total footprint for these devices was 2.24 km<sup>2</sup>. The  
1024 total subtidal area for the water-body was 175.85 km<sup>2</sup>. The footprint would be 1.2% of the  
1025 subtidal area. This was input to the tool under the category "Tidal Devices (high impact)".  
1026 This addition did not cause the capacity to degrade into a new classification. In a real  
1027 scenario, the ensuing advice to the regulator would be that there would be no objection to  
1028 this project.

1029

1030 In the Old Head to Tor Ness assessment, 300 devices were placed in 71 rows. Following the  
1031 above footprint rules, the footprint for these devices was 1.5 km<sup>2</sup>. The total subtidal area  
1032 for the water-body was 195.10 km<sup>2</sup>. The footprint would be 0.7% of the subtidal area. As  
1033 above, this was input to the tool under the category "Tidal Devices (high impact)". The  
1034 addition did not cause the capacity to degrade into a new classification. As with the previous  
1035 assessment, this did not result in a change in capacity category and the same advice would  
1036 be provided to the regulator.

1037

1038 Both scenarios were applied in relatively unmodified water-bodies (High status). Several  
1039 piers and jetties were present along the coastline but no major modification has taken place  
1040 in these areas. A High classification water body degrades to a Good classification at 5%  
1041 capacity, which was quite far from the assessed impact of these developments. However,  
1042 although the assessments indicated that no degradation would take place, it should be  
1043 noted that the TRaC-MImAS tool has not been tested thoroughly for tidal devices and, in  
1044 this situation, expert advice would still be sought and appropriate Environmental Impact  
1045 Assessments based on measurements and the type of modelling carried out in this project  
1046 would be required in support of licence applications.

1047

1048 In addition, TRaC-MImAS is not designed to assess the effect of floating devices. This means  
1049 that projects such as marine farms, some pontoons and, crucially, floating WECs could not  
1050 be assessed with this tool. An assessment could still be conducted using the same footprint  
1051 rules as for tidal devices but any decisions would be deferred to expert advice.