

# SWIM and Horizon 2020 Support Mechanism

Working for a Sustainable Mediterranean, Caring for our Future

## STRATEGIC ENVIRONMENTAL ASSESSMENT (SEA) AS AN INSTRUMENT FOR ENVIRONMENTAL MAINSTREAMING IN WATER PLANNING AND POLICY

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**REG-11**

**“Good water governance, focusing on regulatory aspects and the design, monitoring and enforcement of policies”** 2-3 October, Brussels, Belgium

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# Hello!

- Introduction
- SEA aims and structure
- European SEA Directive
- SEA Toolkit
- Case studies



# 1. Aims and Structure

*The history of developing SEA,  
definition, comparison to EIA, key  
elements, benefits*

# History of SEA Development

## SEA

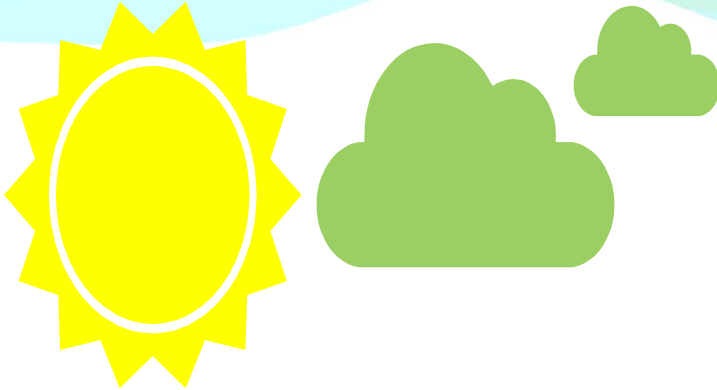
**1970s:** Environmental movement's new strategic approach in development

**1989:** The term was coined in the UK

**2000:** UN MDG #7 on environmental sustainability

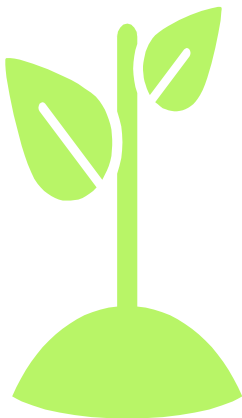
**2002:** Johannesburg Plan of Implementation at the World Summit on Sustainable Development

**2005:** Paris Declaration on Aid Effectiveness guidance



# Encompassing definition of SEA

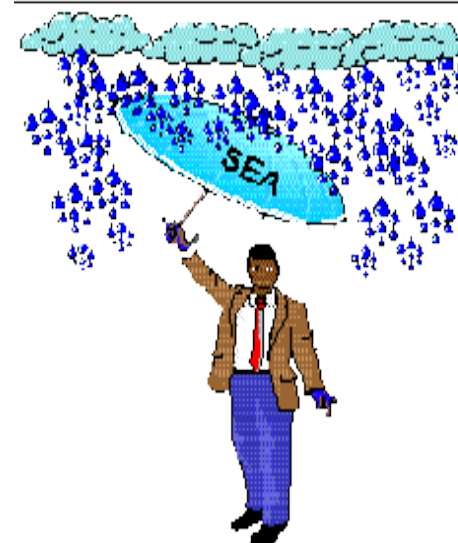
*A range of "analytical and participatory approaches that aim to integrate environmental considerations into policies, plans and programmes and evaluate the inter linkages with economic and social considerations"*



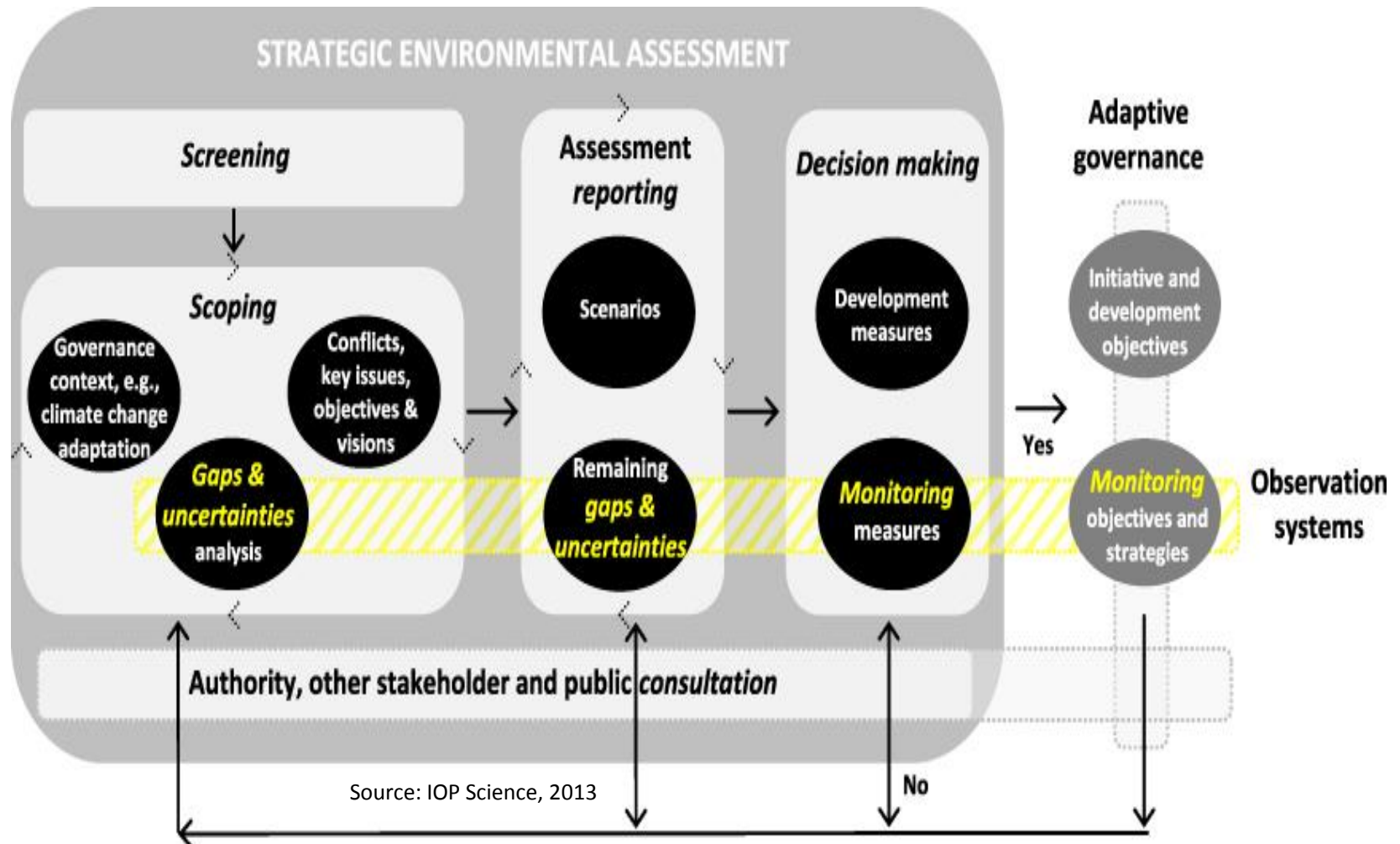
OECD Definition

# Forms of Environmental Assessment Instruments

<i>Environmental Impact Assessment (EIA)</i>	<i>Strategic Environmental Analysis (SEA)</i>
Reactive – aimed at mitigation/reduction	Proactive – aimed at prevention (prediction)
Used at later stages of decision making (programming level)	Used at earlier stages of decision making (policy, design and planning level)
Identifies and measures specific impacts on the environment - specific	Addresses broader issues of Sustainable Development (social+economic +environmental)
Technical level	Higher political level (multi-stakeholder)



# Key Elements of SEA





# Benefits

## Sustainability

Operationalizes sustainability & poverty reduction principles & objectives in the context of the UN SDGs & nationally

## Efficiency

Design/implementation of better projects where project-level assessment is not required, attentive to cumulative effects, preventing costly mistakes

## Knowledge

Enhances the information base for policymaking, planning & programme development + identifying new opportunities

## Transparency

Guarantees more effective public participation at the strategic level for better governance, improves analysis of broad public purposes/alternatives

## Proactivity

Strengthens consideration of fundamental issues, better risk management and harm prevention

## Holistic

Establishes a more comprehensive overall system of sustainability at all levels across all sectors & potential impacts of reforms





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# 2. European SEA Directive

*Processes of SEA guidance, objective  
of 2001 Directive, aims, and  
procedures*

# SEA EU Guidance Process

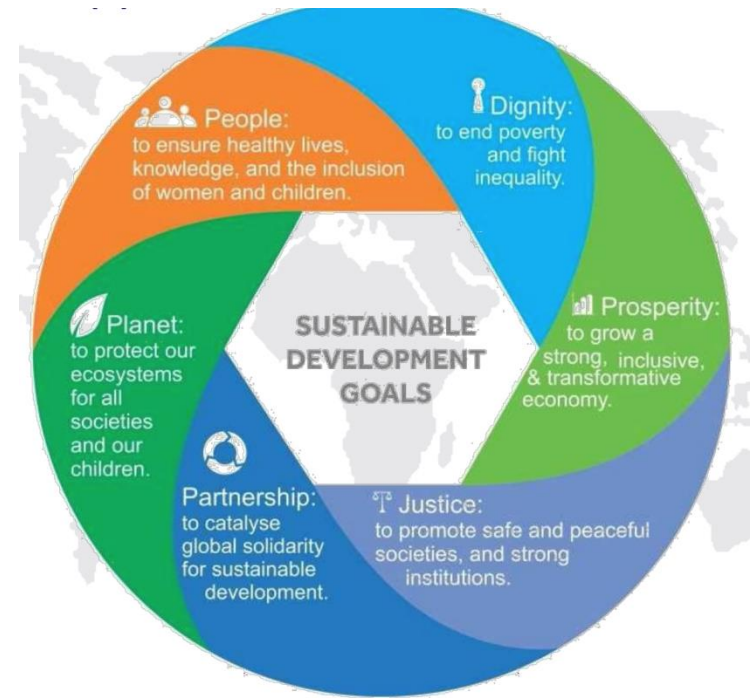
**UNECE  
Convention on  
Environmental  
Impact  
Assessment in a  
Transboundary  
Context (Espoo  
Convention,  
1991)**

**Directive  
2001/42/EC on  
the assessment  
of the effects of  
certain plans and  
programmes on  
the environment  
(SEA Directive)**

**Protocol on Strategic  
Environmental Assessment to the  
Convention on Environmental  
Impact Assessment in a  
Transboundary Context (SEA  
Protocol, Kyiv 2003)**

# Objective of Directive

*"provide for a high level of protection of the environment and to contribute to the integration of environmental considerations into the preparation and adoption of plans and programmes with a view to promoting sustainable development ..."*  
(Article 1).



# Aims of Directive

- Applies to a wide range of public plans and programmes such as energy, transport, and agriculture, but it does not mention policies

## Mandatory for:

- Plans/Programmes prepared for agriculture, forestry, fisheries, energy, industry, transport, waste, water management, tourism, telecommunications, town/country planning or land use
- Framework for future development consent of projects listed in the EIA Directive
- Projects determined to require an assessment under the Habitats Directive



# SEA EU Procedures

Which Plans should be subject to SEA?

**SCREENING**

← Environmental Authorities consultation required

What issues should be addressed within the Environmental Report?

**SCOPING**

← Obligatory to determine content to be covered in the SEA report

Preparing the Environmental Report and the Draft Plan

**DOCUMENTATION**

← to be submitted to a competent authority

Getting the views of Designated Bodies and the Public

**CONSULTATION**

Issuing the Final Plan on the basis of inputs from the consultation step

**DECISION MAKING**

Monitoring the environmental effects of the final Plan

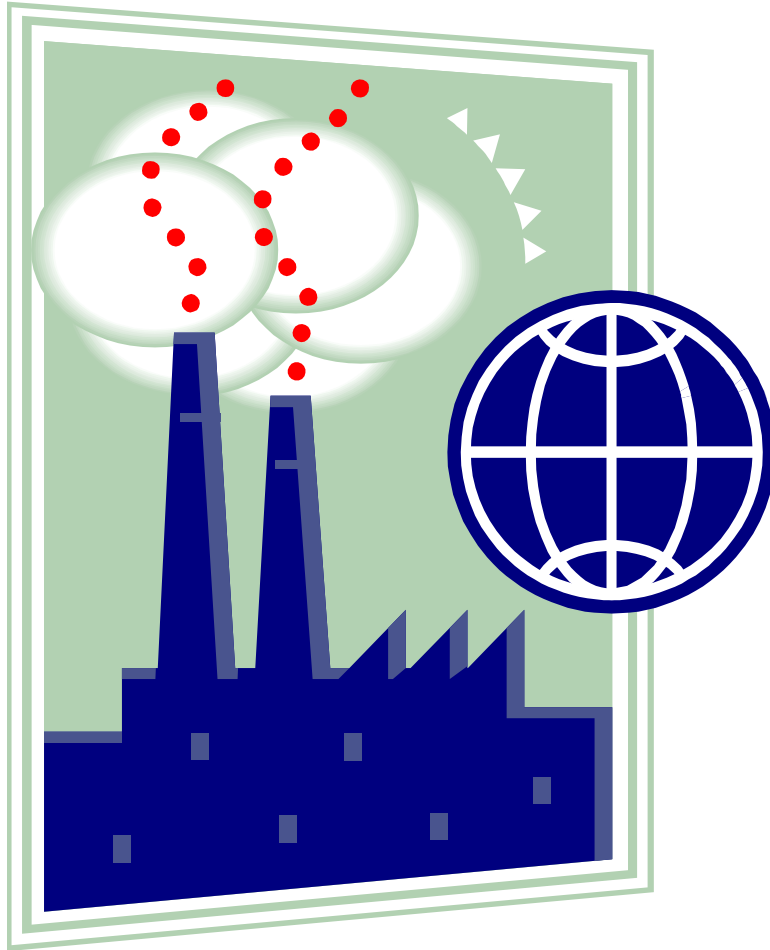
**MONITORING**

# 3. SEA Toolkit





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# 1. Identify Environmental Priorities!

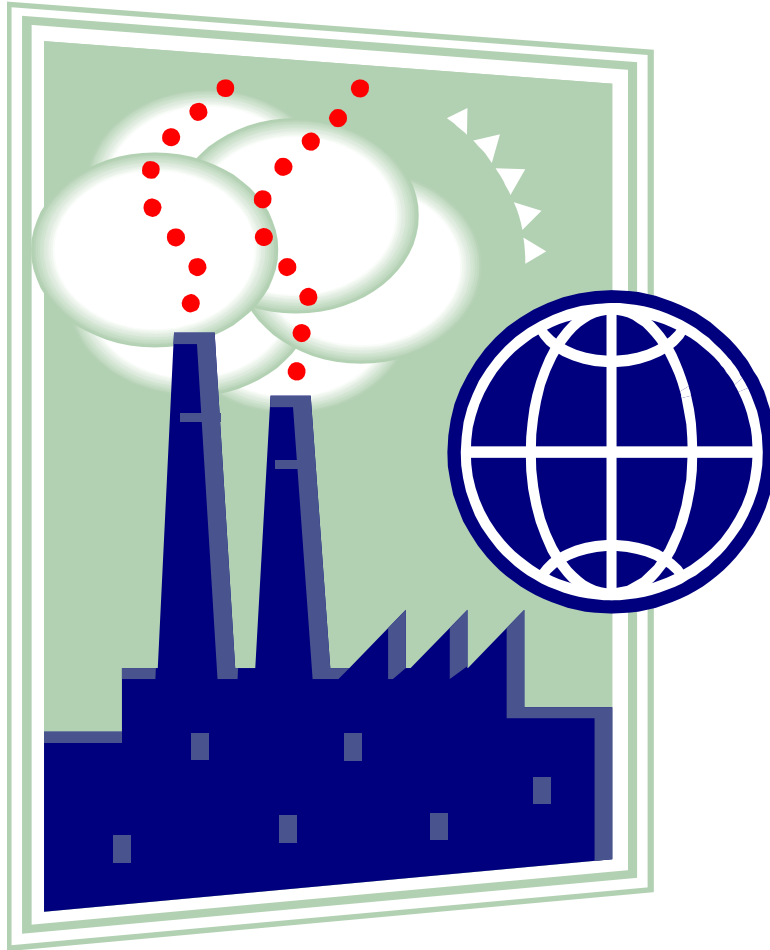


Map key environmental issues that will be affected by the policy and their interrelationship with economic and social priority issues (such as poverty alleviation) + examine pre-existing private sector projects and operating standards.





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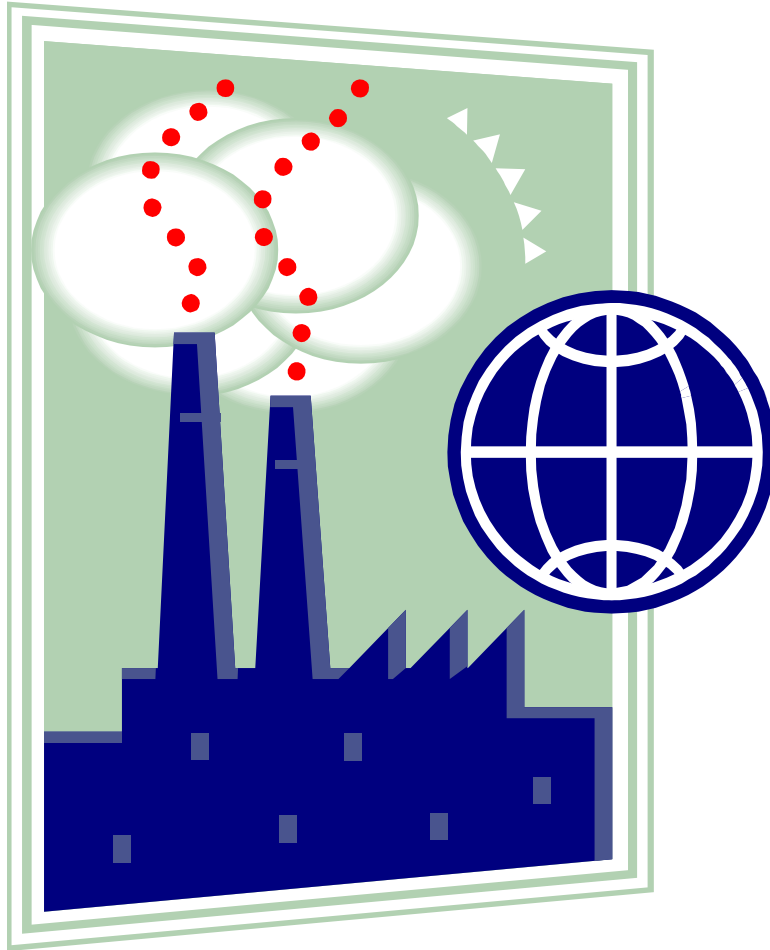


## 2. Do a stakeholder Analysis!

Assess who benefits from or adversely affected by both the current situation and the potential development project by analysing vested interests, power asymmetries, and impediments to collective action.



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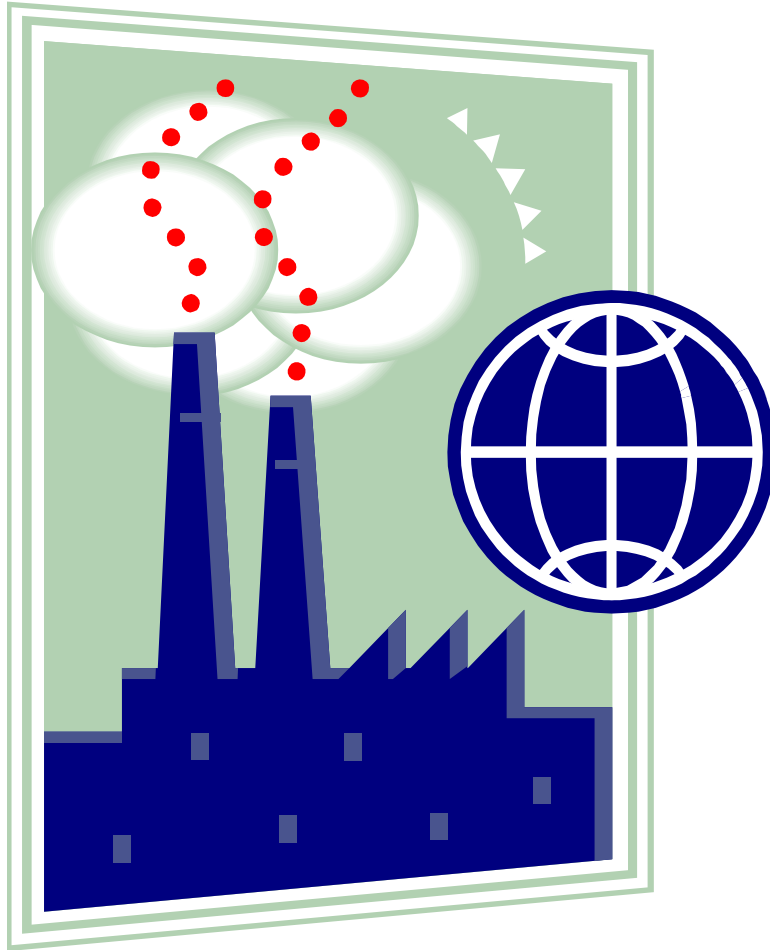


### 3. Run a gaps Assessment! ☹️

Assess your institutional and capacity gaps, and what can the potential stakeholder responses may be.

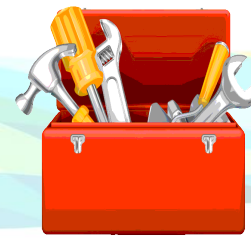


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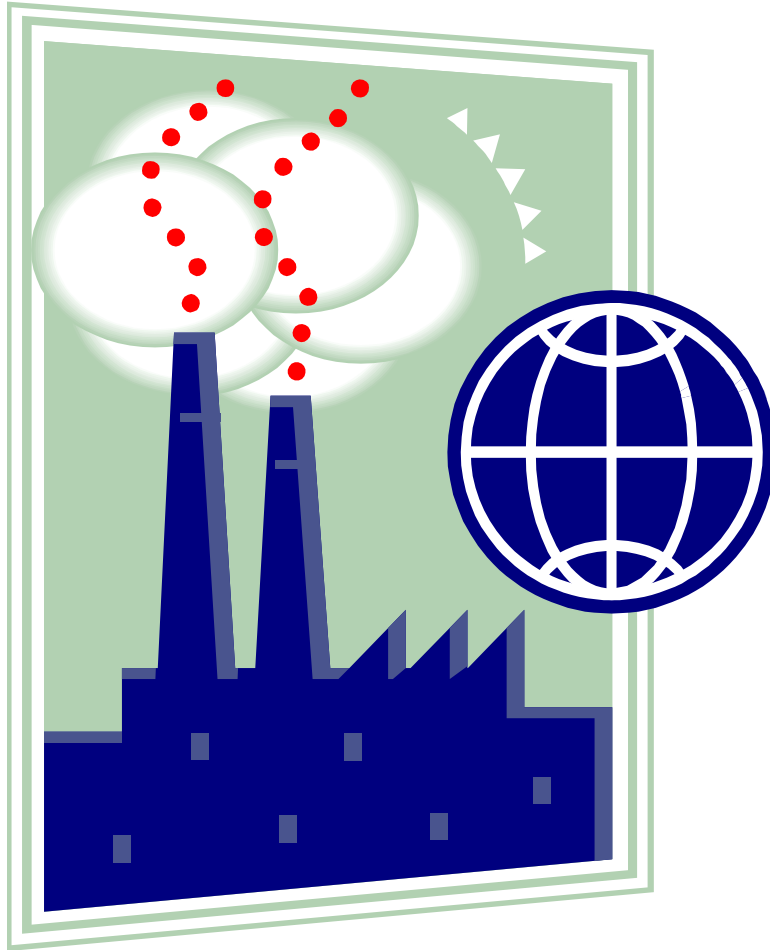


## 4. Prepare Recommendations!

Answer to those gaps – best if sorted into three categories, short term (1–2 years), medium term (3–5 years), and long term (greater than 5 years), and include monitoring indicators.



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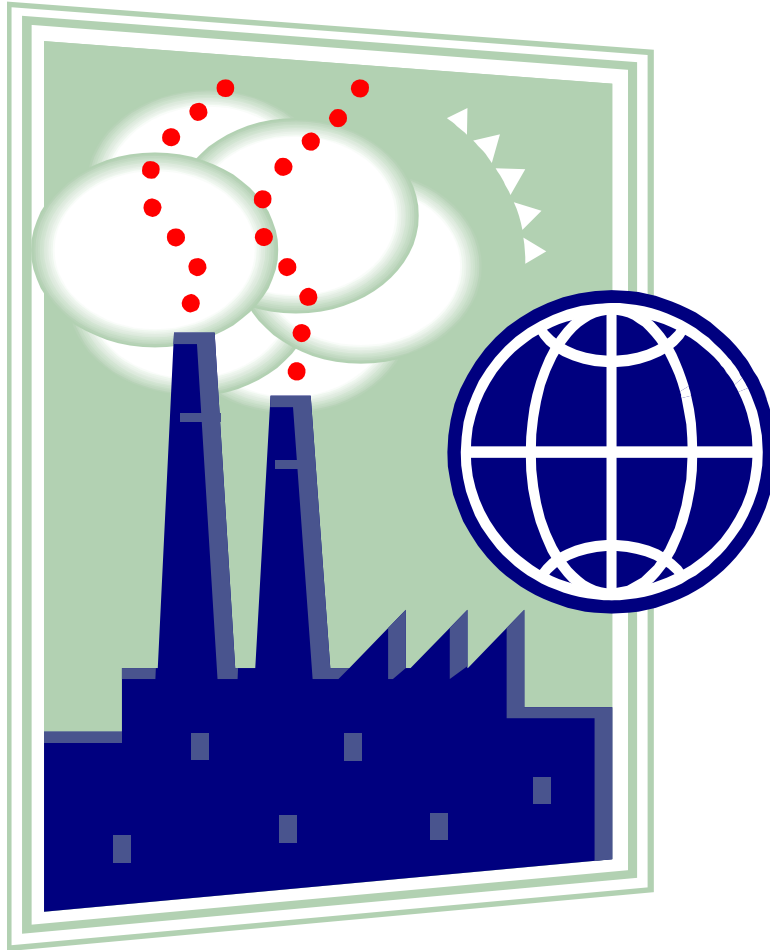
## 5. Do a Political Economy Assessment of Proposed Results!

Analyse those recommendations' impact on the socioeconomic and political environment.

CYCLE (2):



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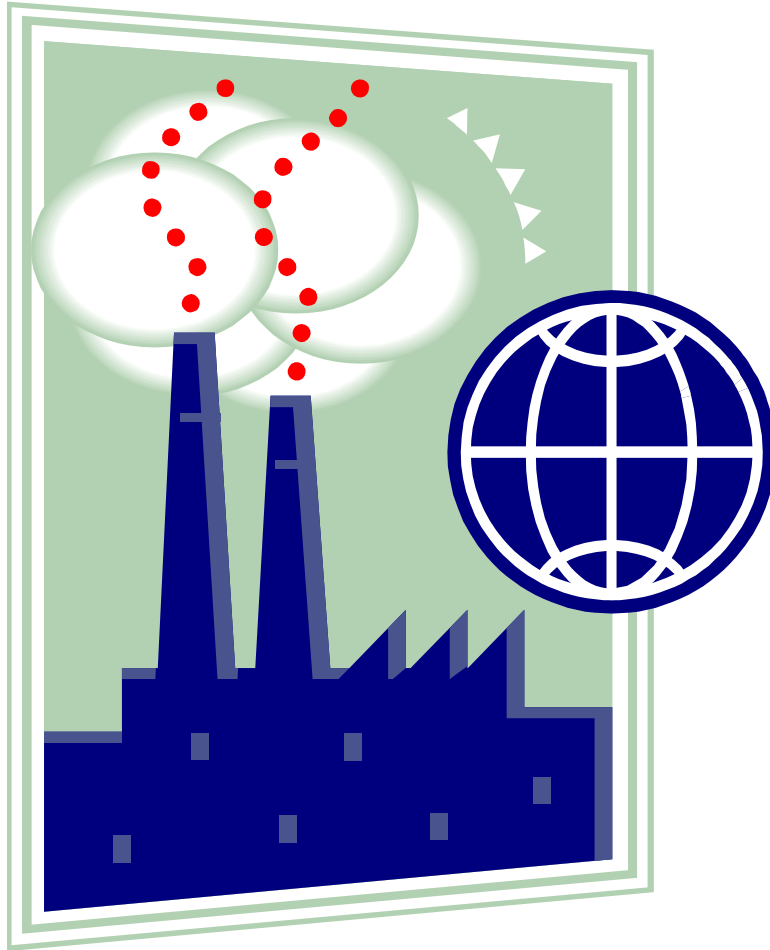


## 6. Do a Stakeholder and Political Economy Analysis!

Understand in detail power differentials, cultural factors, etcetera, that can affect the quality or contribution of public participation.



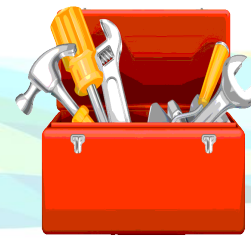
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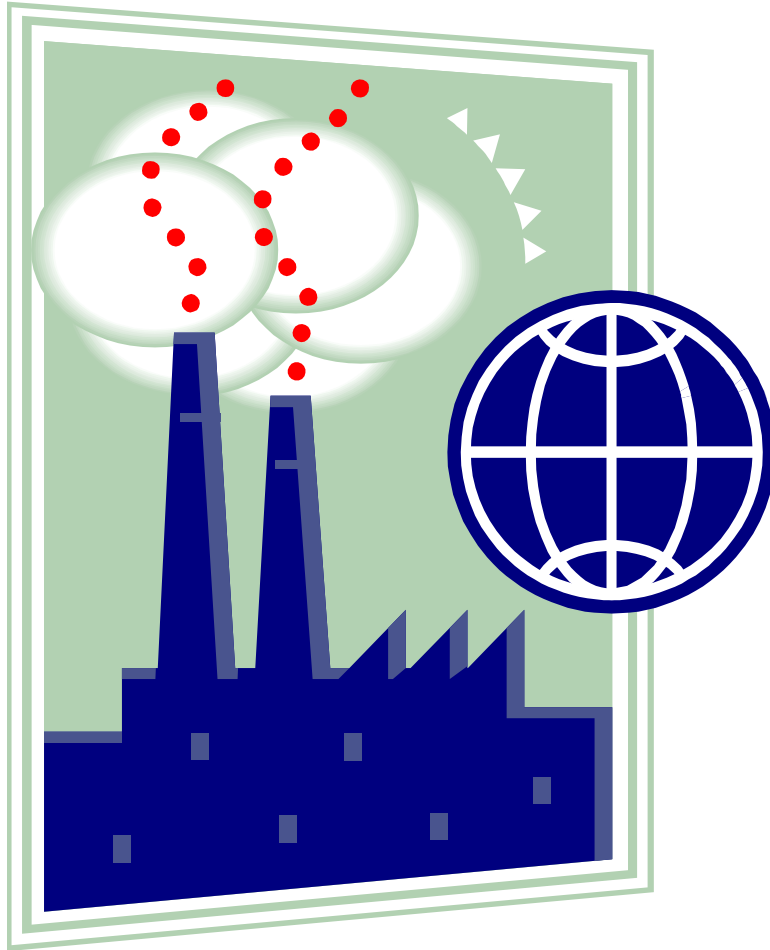
## 7. Select Public Participation Mechanisms!



Address potential mechanisms (workshops, surveys, focus groups ethnographic field research) for dialogue, wary of political and cultural constraints and bias, and welcoming for vulnerable stakeholders.



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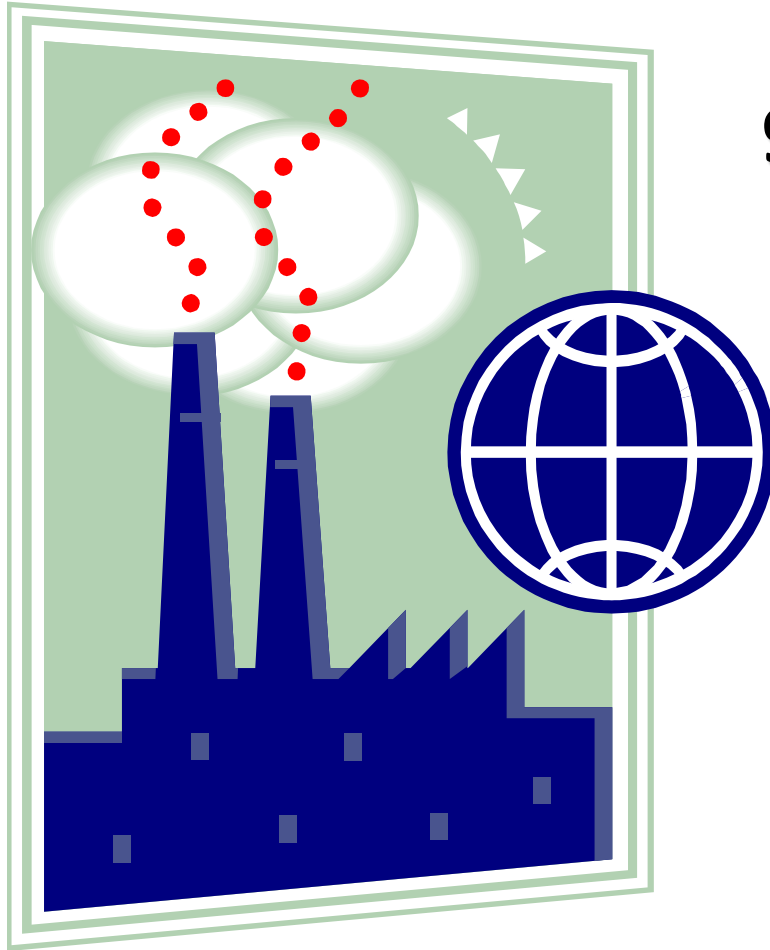
## 8. Adapt Dialogue to the Complexity of Decision Making!

Interpret and prioritize results from the dialogue discussions to fit your goals. Consider all stakeholder opinions as valid and adapted as needed to the context of the project.



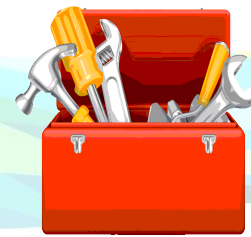


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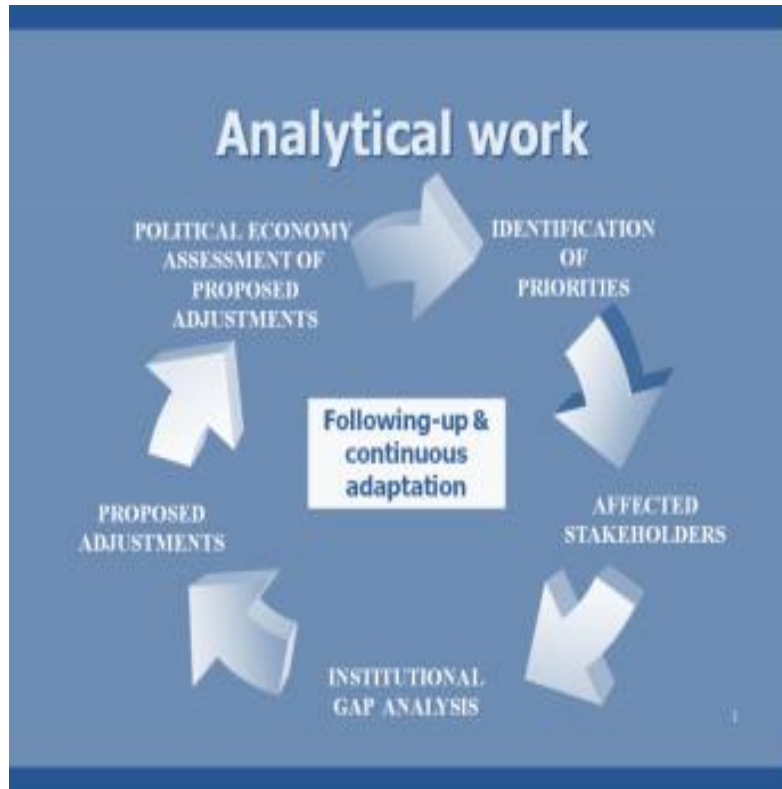
## 9. Engage Stakeholders in Follow-Up and Implementation!

keep the dialogue open! After policy/project decisions are made, stakeholders must be informed comprehensively for reasoning, and voice their opinions on the decisions. Keep understanding the risks with them.

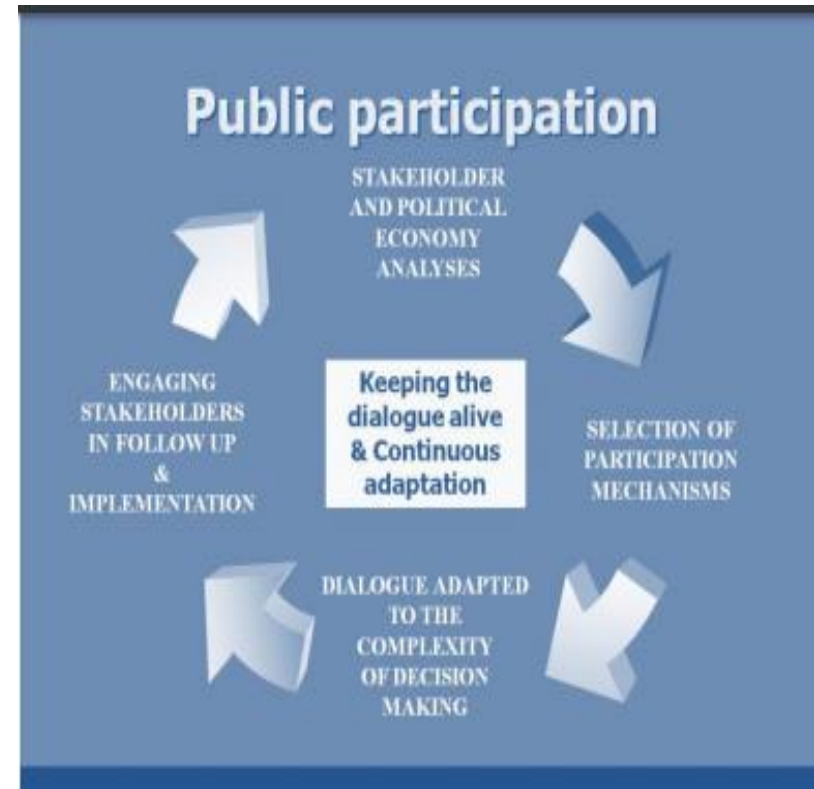


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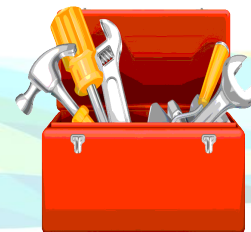
# To Wrap Up...



Cycle (1)



Cycle (2)



## Box 2. Getting the support of stakeholders to the policy-SEA process

- SEA is linked to economic growth, social development and/or poverty alleviation imperatives
- Stakeholders select SEA priorities, validate the institutional analysis and endorse the SEA recommendations
- SEA Action Plan involves stakeholders in following-up and monitoring

Public Sector	Civil Society	Private Sector
<ul style="list-style-type: none"> <li>• Sector/sub national authorities led the SEA process</li> <li>• An intersectoral committee to steer the SEA process is effectively (not formally) established</li> </ul>	<ul style="list-style-type: none"> <li>• SEA's objectives, phases, intermediate outputs and expected outcomes are known and agreed in advance</li> </ul>	
	<ul style="list-style-type: none"> <li>• SEA public participation plan is agreed early on in the process</li> </ul>	<ul style="list-style-type: none"> <li>• A framework for local/regional sustainable development is facilitated by the SEA involving local communities, the private sector and national and subnational governments</li> </ul>

*Source:* Own elaboration based on a review of a number of SEAs undertaken or supported by the World Bank.

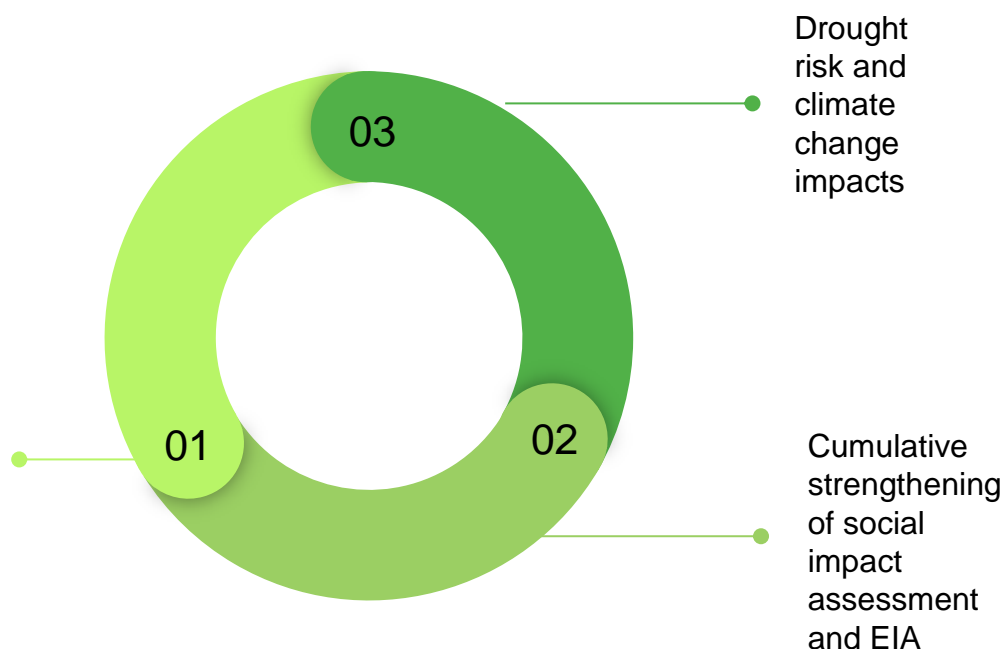


# 4. Case Studies

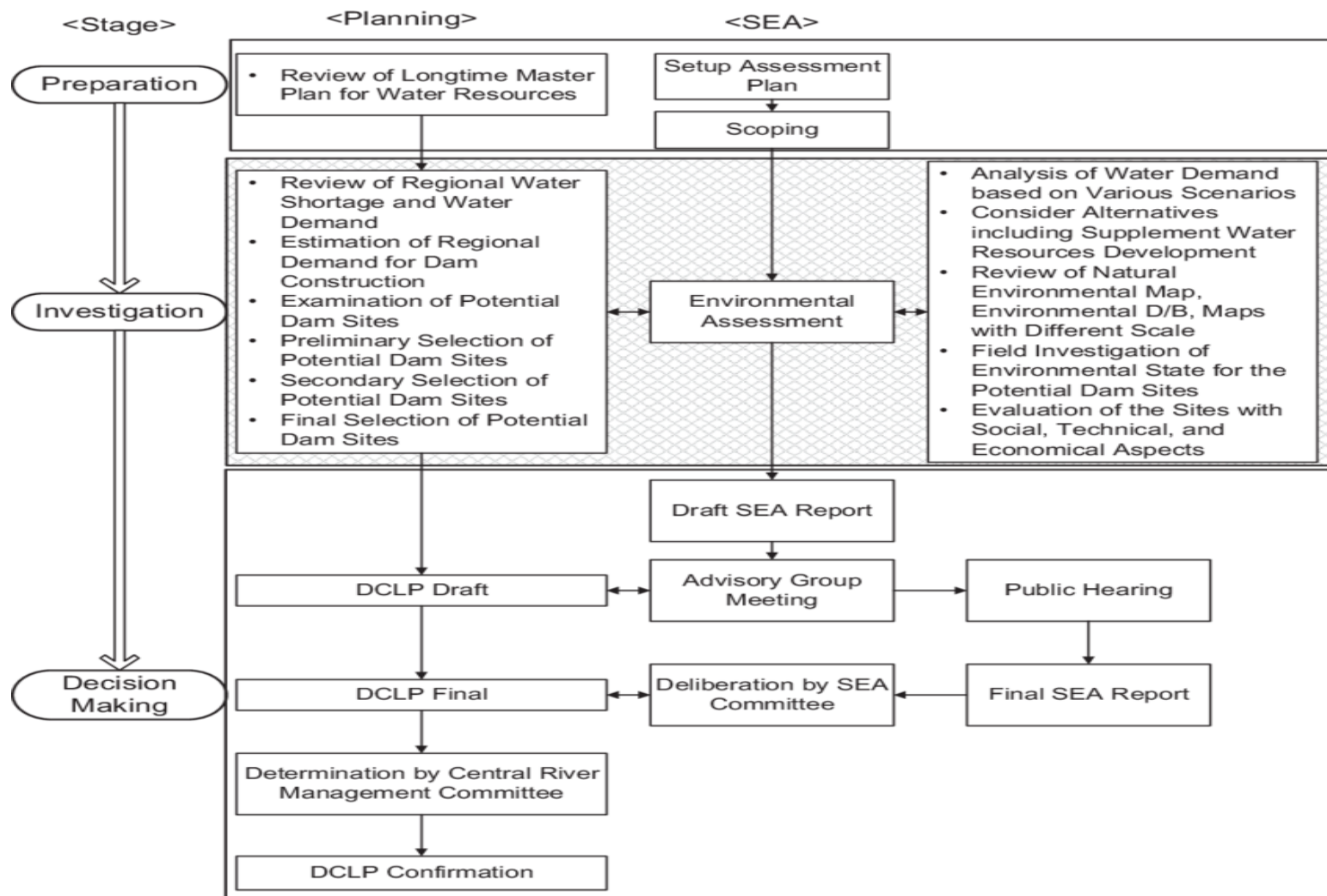
*1<sup>st</sup> is SEA in programme planning in  
East Africa, 2<sup>nd</sup> is SEA in project  
planning in South Korea, 3<sup>rd</sup> is SEA in  
policy-making in Nepal*

A map of East Africa showing major cities, lakes, and rivers. Major cities marked with stars include Kampala, Kigali, Nairobi, and Bujujumbura. Other cities shown include Juba, Mongalla, Nimule, Eldoret, Kisumu, Masaka, Entebbe, Kigoma, Tabora, Singinda, Arusha, and Shinyanga. Large lakes include Lake Albert, Lake Edward, Lake Kivu, Lake Tanganyika, Lake Kyoga, Lake Victoria, and Lake Turkana. Rivers shown include the Nile, Semliki R., Albert Nile, and Ruwidi R. The Owen Falls Dam is also indicated.

Bujagali  
Falls  
Hydropower  
Project



# South Korea's Long-Term Plan for Dam Construction (LPDC)





# Nepal's 25-year Water Plan

- Development of hydropower
- Better irrigation
- Water-induced Disaster Risk Management
- Designing drinking water programmes
- Addressing Biodiversity Aspects





# Group Discussion

- Is SEA implemented in your country at any level?  
If Yes, how it is effective?
- What are the most important SEA tools to your institution, and how do/can you use them?
- How do you think can SEA benefit your country/institution programmes and/or plans?
- What are the challenges to make SEA operational in your country/institution? how did/do you handle them?
- What is your experience in applying the EU SEA Directive (if applicable)?





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Thank you for your attention.

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