### Welcome to

"Integrating biodiversity considerations into plans, programmes and policies"

by Susie Brownlie



### To cover

- Introduction
- NBSAPs and Impact Assessment EIA and SEA
- Why SEA
- Approaches to SEA
- When SEA
- Key ingredients of SEA
- Making SEA easier
- Conclusion

# Introduction – sustainable development, poverty reduction and biodiversity

# Sustainable development is linked to – and largely dependent on - the conservation of biodiversity

The CBD aims for the conservation of biological diversity, sustainable use and fair sharing of benefits from living resources...



#### **WARNING BELLS....**

Over the past 50 years, humans have converted and modified natural ecosystems more rapidly and over larger areas than in any comparable period of human history. These changes have been driven by the rapidly growing demands for food, freshwater, timber, fibre, fuel. They have contributed to substantial net gains in human wellbeing and economic development. However, they have resulted in substantial and largely irreversible loss of biodiversity and degradation in ecosystems and their services. *Millennium Ecosystem Assessment 2005* 

During the course of this century the resilience of many ecosystems is likely to be exceeded by an unprecedented combination of <u>change in climate and in other global change drivers</u> such as land-use change, pollution and over-exploitation of resources. *IPCC 2007* 

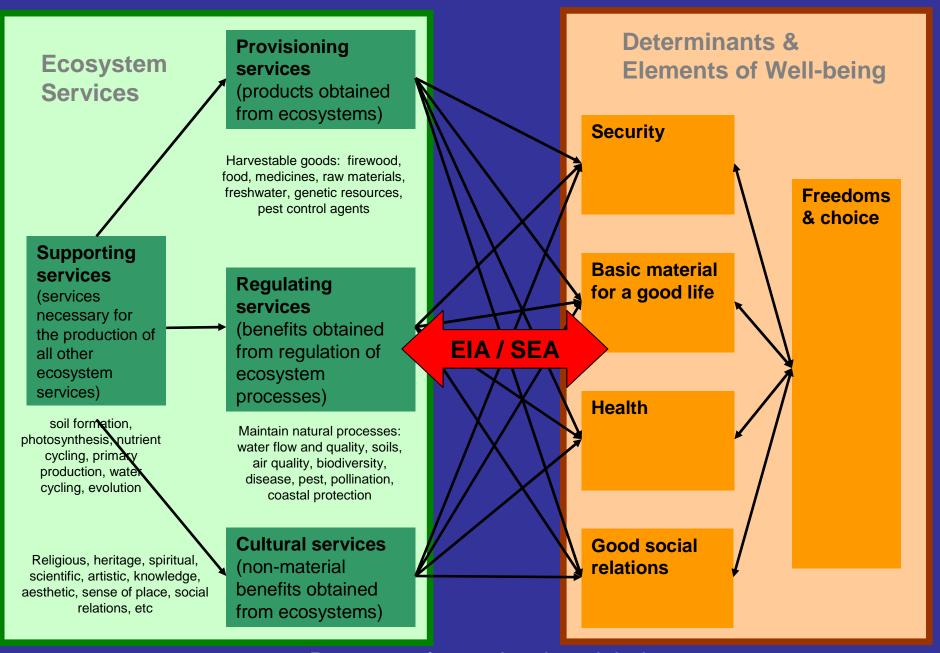
Without the conservation and sustainable use of biodiversity, we will not achieve the <u>Millennium Development Goals</u>. The conservation and sustainable use of biodiversity is an essential element of any strategy to adapt to climate change. Biodiversity plays a critical role in providing livelihood security for people, health and wellbeing.

Biodiversity loss continues because current policies, planning and economic systems do not incorporate the values of biodiversity effectively, and many current policies are not fully implemented.



Land and natural habitat degradation and poverty are mutually reinforcing, but politically invisible and largely ignored. *Global Environmental Outlook 4*, 2007

#### Millennium Assessment – is biodiversity a 'green' issue?



Present to future, local to global

# Three main areas of impact

Impact on 'pattern' or composition and structure



Impact on 'process' or function

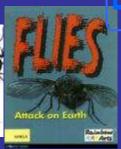


Impact on ecosystem services and thus on humans









Ecosystems don't stick to property or municipal or even national boundaries...

# Biodiversity, ecosystem services and human wellbeing: an example





### Lake Victoria: introduction of Nile perch

Fishing in the Lake supported the local economy and provided food for local communities. Indigenous fish are small, sun-dried, mainly by local women.

In the 1960s it was decided to introduce the Nile perch, a large fish, to boost this fishing industry and improve wellbeing of local communities.



What were the benefits?

- ✓ An increase in the Lake fishery to four times that in the 1960s and 1970s.
- ✓ Development of a commercial industry for the Nile perch that created 2400 jobs



Export of about 400 tonnes of fresh fish to Europe and Asia earned almost US\$5 billion in taxes in 2000/1.

JK Turpie and H van Zyl (2002)

### Lake Victoria: introduction of Nile perch



What are the costs?



- x Nile perch is a predator, indigenous fish mainly graze algae.
- x The extinction of about 200-300 indigenous species.
- x Increased nutrient enhancement with loss of algal grazers.
- Overfishing, degradation threatens the Nile perch industry: since 2001 catch dropped by 75%, a dozen commercial fish processing plants threatened with closure
- Outbreaks of exotic water plants choking the Lake, preventing movement of ferries and boats, blocking water extraction pipes
- Women who rely on ferries for transport to sell craft there and back in 1
   day now take 2 days to get to market by bus at 10 times the fare



# NBSAPs and Impact Assessment – EIA and SEA

"The requirement to integrate consideration of the conservation and sustainable use of biological resources into national decision-making, and mainstream issues across all sectors of the national economy and policymaking framework, are the complex challenges at the heart of the Convention"

## Article 14 of the CBD – impact

#### assessment and minimizing adverse impacts

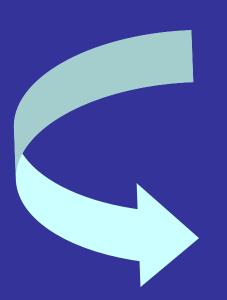
#### Introduce appropriate

- procedures requiring EIA of proposed projects that are likely to have significant adverse effects on biological diversity
- arrangements to ensure that the environmental consequences of programmes and policies that are likely to have significant adverse impacts on biological diversity are duly taken into account

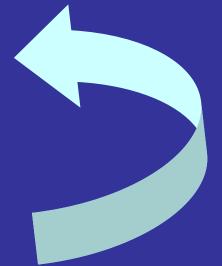


# NBSAPs and Impact Assessment

#### **NBSAP**



- Objectives for biodiversity conservation
- Stocktaking
- Actions, priorities
- Responsibilities, timing



#### Impact assessment

is a key <u>mainstreaming</u> tool to ensure biodiversity is taken into account in policies, plans, programmes, strategies...

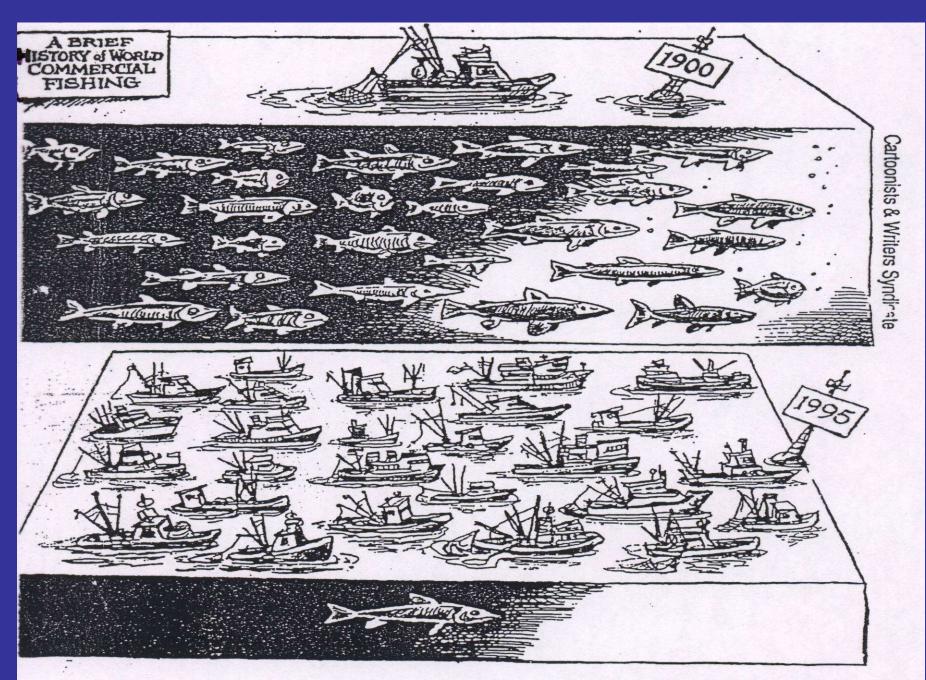
# Impact assessment is a key tool to 'mainstream' environment into policy formulation, planning and decision-making but

- It's mainly applied at project level (EIA), not at a strategic level (SEA)
- Often EIA operates in a strategic vacuum...
- And EIA has many shortcomings



### Project-level EIA: what shortcomings?

- Can't take *cumulative* or *bigger picture impacts* into account good at detail and narrow focus but piecemeal, fragmented
- Looks at impacts i.r.t. what's here now, not in relation to where we want to be in future
- Asks limited questions...'what effect will this have'...not 'what would be best here, or how best could we solve this problem
- Is reactive so often doesn't look at all reasonable and feasible alternatives but tends to focus on The Proposal
- Seldom makes the connections: people's dependencies on the natural environment and ecosystem services
- Trade-offs frequently made without clear 'rules' economics the winner in the short term, biodiversity the loser forever.



# The need for SEA rather than EIA: an example





## The need for SEA rather than EIA





# COP 8 Decision VIII/28 Curitiba, 20 - 31 March 2006

#### Strategic environmental assessment

- Endorses the draft guidance on biodiversity-inclusive strategic environmental assessment contained in annex II to the note by the Executive Secretary on voluntary guidelines on biodiversity-inclusive impact assessment (<u>UNEP/CBD/COP/8/27/Add.2</u>);
- 11. *Invites* other multilateral environmental agreements to take note of the draft guidance on biodiversity-inclusive strategic environmental assessment and to consider its application within their respective mandates

etc.

# Why SEA

# If we want to reach 'sustainability', we need to know which way to go...

'Would you tell me, please, which way I ought to go from here?'

'That depends on where you want to get to,' said the Cat.

'I don't much care where' said Alice.

'Then it doesn't matter which way you go,' said the Cat.

'So long as I get *somewhere*,' Alice added as an explanation.

Oh, you're sure to do that,' said the Cat...



# 4 simple, strategic questions wrt moving towards sustainability

• Where do we want to get to? Vision, objectives, sustainability criteria and outcomes... including biodiversity, ecosystem services



- How best can we get there?

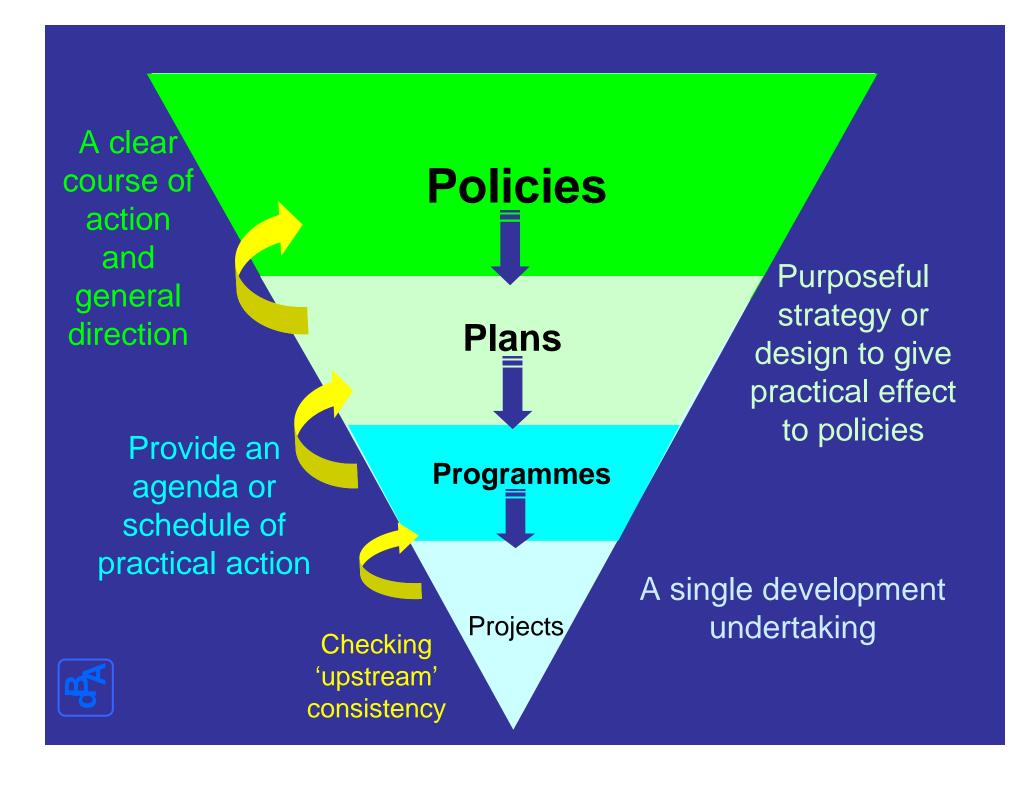
  Alternatives
- How and when should we check that we're on the right track? Monitoring, evaluation
- What changes should we make if we've strayed? Adaptation, corrective action

## SEA characteristics

- Focus on sustainability: 'where do we want to get to' i.t.o. a chosen level of environmental quality (e.g. biodiversity or ecosystem service)
- Proactive in a way that gives direction to future development... so, not 'what would be the impact of this action, but rather:
  - 'what would be the most appropriate or best use of this area / these resources?'
  - 'what would be the best way to meet this need or solve this problem?'
  - 'how best could we develop this sector?'
- Can create a framework to guide development and provide criteria against which impacts and benefits can be measured...
  - enables cumulative impacts to be assessed
  - creates parameters for 'downstream' evaluation of development proposals
- Allows wider range of alternatives to be explored early on when flexibility is greatest... 'how best to get there?'
- Is seen more as a 'process' than a 'product', so there is far less emphasis on producing a detailed written report!



Can 'infiltrate' existing policy / planning tools and processes, no need to create new ones...



#### EIA and SEA

Aims to integrate sustainability

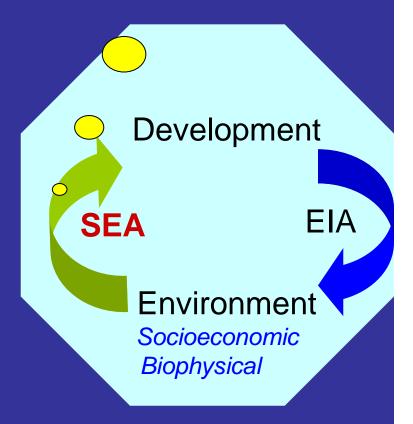
**Policies** 

SEA - impact assessment on policies, plans and programmes

Plans, programmes

Projects

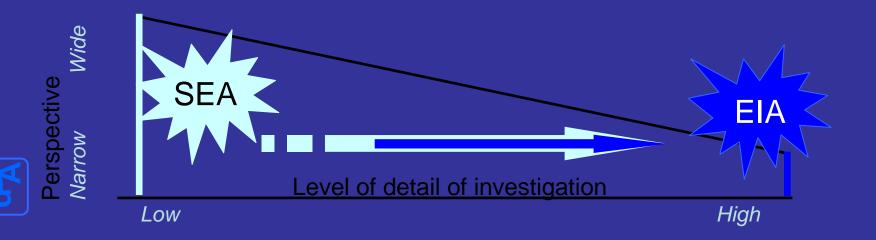
EIA - impact assessment on projects





#### SEA versus EIA

- ✓ SEA and EIA are both useful
- ✓ SEA is **best** for dealing with impacts on landscapes or a geographic area, or of a sector ...it's more efficient in providing a good development framework!
- ✓ SEA is proactive; EIA tends to be reactive.



# Why SEA?

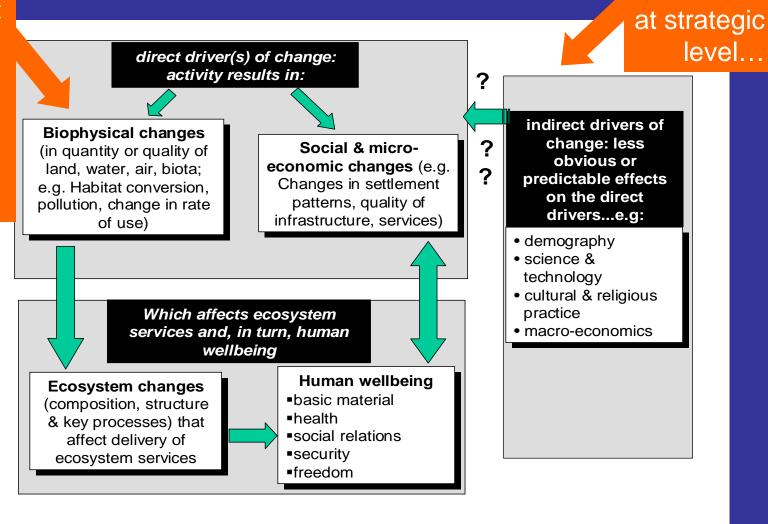
To look after biodiversity and important ecosystem services effectively, we need to:

- 1. be more <u>proactive</u> and bring biodiversity considerations and evaluation criteria 'up front' to shape future direction and courses of action
- 2. engage at a <u>strategic level</u> in planning and setting limits to the way we impact on, use, manage, give access to, and distribute benefits from, biodiversity and ecosystem services
- 3. use tools that can <u>integrate across</u> areas, regions, sectors rather than tools that minimize impacts of isolated projects

# When SEA?

Impact assessment - direct and indirect drivers 'driven' of change

Often 'driven'
by land use /
development
policies and
plans, which
then inform
and
'legitimize'
projects





Often

influential

# Priorities for mainstreaming biodiversity

 Regional, national and provincial sustainability or development frameworks or plans

2. Poverty reduction strategy programmes

 Policies that have major implications for natural resources



## When to call for or insist on SEA

- 1. International or protected *status*, *trans-boundary* effects
- 2. Known *important* or *priority* areas for biodiversity or ecosystem services direct or indirect effects could be significant
- 3. High levels of *dependency on biodiversity or ecosystem services* for livelihoods, health, etc. ... 'poverty hotspots'
- 4. Impacts of particular proposal/s would be significant in a particular landscape/ area (e.g. deforestation, land reclamation, multiple mining ventures, resettlement, etc.)
- 5. Areas where *trends show accelerated or continuing land / habitat degradation* with deterioration in important ecosystem services (e.g. cultivation, pollution, etc)
- 6. Where proposed PPP could have *major 'downstream' implications* e.g. expansion of a sector, or stimulation of growth in a particular geographic area, with big changes in consumption or production, intensity of use, conversion of land, in a sector or geographic area (e.g. international trade agreements, biofuel policy, etc.)



Where EIA is too narrow in scope to address major issues or strategic concerns!

## e.g. International / trans-boundary

## Okavango River:

- Angola, Namibia, Botswana
- Okavango Swamps is the world's largest Ramsar site
- Competing demands include: bulk water supply to distant cities, ecotourism, irrigation agriculture, hydropower, biodiversity protection, conservation, rural subsistence livelihoods, artisanal fishing, cattle grazing etc

Several project-level EIAs have been done, but all fail to address the cumulative and incremental effects of each development





# e.g. EIA missing important strategic considerations SEA for transport options in Mozambique

- EIA for rail upgrade to port, Maputo, to transport materials to / from inland heavy minerals mine
- 2. EIA for alternative transport facility haul road to the coast plus private jetty ...sensitive coastal lakes, dunes, poor communities reliant on local natural resources, fisheries, water resources.
- 3. Government called for an SEA to look at strategic alternatives rather than isolated EIAs – for a more holistic assessment that might benefit country as a whole.
- 4. Upgrade of a railway line would transport mining and agric. products, also improve conditions for local population and ecotourism.
- 5. On the basis of the SEA, decided that road can be used as temporary measure, longer term alternative infrastructure plan with a North-South connection has to be developed.



# To check consistency in policies...(e.g. Ghana) Policy direction - compatible or conflict? $(\checkmark = compatible, \times = conflict)$

Energy	Energy		Water		Mining		Agriculture	
			X					
				X				
Water							<b>✓</b>	
	<b>√</b>	X						
Mining								X
Agriculture								
			X	<b>✓</b>				



# Approaches to SEA

# SEA – different approaches

- 'EIA-based' or 'parallel'…assessment when policy/ plan/ programme close to completion little room to move, reactive!
- 'Integrated' with the policy-making or planning process...not rigid but adapted to fit existing processes, done as an integral part of that process.
- 'Sustainability framework' / 'SEA leading'... not done for any one particular policy, plan or programme, but works proactively to set a framework against which to assess any future proposals: objectives/ targets, limits of acceptable change/ management, monitoring and indicators, etc.
- 'Sustainability assessment'...uses specific generic and case/context specific criteria, and trade-off rules



# Different sustainability criteria into which biodiversity can slot. e.g. Ghana poverty-environment linkages: PRSP SEA –

#### Livelihoods

Access to water, land, timber, wildlife, non-timber forest products

#### Vulnerability

- Droughts, bushfires, floods, land degradation

#### Health

Water quantity and quality, sanitation, air quality, medicinal plants

#### Institutional support

Adherence to democratic principles and human rights, access to information



#### Looking at SEA<sup>[1]</sup>: Ghana's PRSP- SEA approach

The objective of this exercise: To evaluate effects of proposed policies on sustainable development objectives

Dimension of sustainable development (e.g.)	\$	Safegua	s	Safeguard health				Minimize vulnerability						Maintain ecosystem health		Ensure institutional capability	Protect cultural heritage	Promote economic vitality		
Environmental component  Policy Strategies	Access to water	Access to land	Access to living resources	Access to food	Access to fuel	Water quality	Air quality	Sanitation	Access to medicinal plants	Drought	Social/political conflict	Fire	Floods	Land degradation	Epidemics	Conservation of biodiversity	Conservation of catchment & and wetlands	Capacity to deliver	Protection of known cultural resources	Economic efficiency
	Ri	ghts, acc		, and b		from				Inte	grity of	ecosys	stem se	ervices						

Scoring: + likely to be positive, - likely to be negative, 0 likely to be neutral, ? don't know

# Sustainability assessment uses 8 generic sustainability criteria

- Integrity of socio-ecological systems
- Livelihood sufficiency and opportunity
- Equity within the current generation
- Equity between this generation and future generations
- Efficiency in use of resources and energy; doing more with less
- Democracy, good governance building understanding, capacity, commitment
- Precaution and adaptation
- Immediate and long term integration





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# Using explicit, defensible and transparent trade-off rules

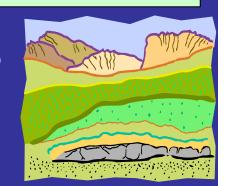


- Look for maximum net gains
- Those who propose to trade-off capital are responsible for 'proving' their case [else shouldn't make tradeoffs!]
- Avoid all significant -ve effects
- Protect the future (don't displace negative effects to future generations)
- Provide explicit justification for tradeoffs
- Use an open, transparent process

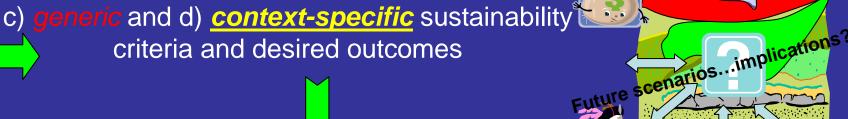


### e.g. Sustainability Assessment as an integral part of land use / spatial planning

What's the best use of an area? What's the best way to meet a need? How best to solve a problem



a) opportunities and constraints, b) alternatives







or close alternatives with mutually reinforcing benefits





Land use satisfies sustainability criteria?	Alt. A	Alt. B	Alt. C									
[++] Fully +; [+/-] Net benefits, some losses; [?-] Net benefits not assured, may be significant damages/risks; [] Net losses, significant risks and damages												
Integrity, resilience of socio-ecol. systems? e.g. avoid pollution to ensure supply of fresh water to users												
Conditional on, or only if?												
<b>Social &amp; livelihood sustainability?</b> e.g. access to harvestable goods, prioritize cultivation of locally adapted crops												
Conditional on, or only if?												
Equity within & between generations? e.g. benefits to vulnerable communities; conserve ecosystem diversity												
Conditional on, or only if?												
Efficiency of resource & energy use? e.g. promote use of local resources, use energy and water-efficient installations												
Conditional on, or only if?												
<b>Democracy &amp; good governance?</b> e.g. capacity to implement and manage effectively, participation by key stakeholders												
Conditional on, or only if?												
<b>Precaution &amp; adaptation?</b> e.g. consensus about, and confidence in, viability of proposals, predicted impacts												

### Key ingredients in SEA

#### Essential ingredients in the SEA process

- 1. Involving all the right people and getting formal commitment to the process and its outcomes
  - establish a forum at the start of the SEA, with key authorities and stakeholders, to steer SEA
  - regional and relevant country representatives including biodiversity
  - competent national authorities including biodiversity
  - potentially affected parties: local communities, poor, vulnerable parties
- 2. Deciding on a 'vision', with explicit goals, objectives, desired outcomes and/or targets including those related to conserving biodiversity, important ecosystem services, natural capital
- 3. Choosing explicit sustainability criteria against which to evaluate options including those related to conserving
  - biodiversity
  - important ecosystem services on which communities depend
  - equity within and between generations



#### Essential ingredients in the SEA process

- 4. Determining the best, appropriate time and space boundaries
- 5. Identifying The Big Issues, opportunities & resource constraints, dependencies and vulnerabilities, priorities...

  Who relies on which ecosystem services for lives, livelihoods, as a poverty buffer? What must be safeguarded to conserve biodiversity pattern and process? NB to recognize the inter-dependencies of social and ecological systems. e.g. key 'drivers' of the local economy might be dependent on biodiversity or ecosystem services (e.g. fisheries reliant on healthy water bodies
- 6. Ensuring that the proposed activity is consistent with higher level instruments (e.g. protocols, policies, plans, programmes, strategies)
  - E.g. NBSAP, other biodiversity and natural resource conservation plans, etc.
- 7. Thinking about trends and likely future scenarios...climate change, energy pressures, changes in natural hazards, etc

#### Essential ingredients in the SEA process

- 8. Involving the right specialists and ensuring links across disciplines (e.g. biodiversity / ecosystem services, social and economic factors)
- 9. Identifying and evaluating alternatives that seek to
  - 1. satisfy sustainability criteria, particularly w.r.t. conserving biodiversity and important ecosystem services that support lives, livelihoods, AND
  - 2. provide opportunities for mutually reinforcing sustainability gains
  - 3. work towards resilience of communities and associated ecosystems.
- 10. Considering the full spectrum of environmental costs and benefits
- 11. Weighing up trade-offs explicitly...being transparent wrt choices
- 12. Taking uncertainties, gaps in knowledge or information into account...precaution (penalty for guessing wrong, irreplaceable loss, substitutes? etc...)
- 13. Providing a robust framework for 'downstream' development...what can and can't happen where, to what extent, to what 'limits of acceptable change'
  - 4. Doing, checking using appropriate indicators, learning, adapting.

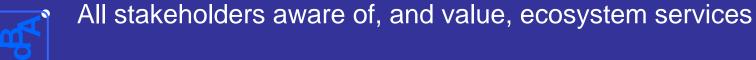
## Who's responsible for doing and paying for the SEA?

- 1. Generally, government authorities commission an SEA for a particular geographical area and/or sector.
- 2. In some instances large private sector companies (eg mining) might commission an SEA.
- 3. SEA is often carried out by private consultants, with input from key stakeholders... it is essential that the government authority buys into the SEA and accepts its outcome
- 4. SEA doesn't need to be HUGE and EXPENSIVE! Effective scoping (id of The Big Issues) NB

# Making mainstreaming of biodiversity into SEA easier, to support NBSAP...



- The right legal, policy and decision-making framework:
  - Law or policy recognizes value of biodiversity in SD
  - Law or policy provides for, or enables, SEA practice
  - Triggers for SEA w.r.t. biodiversity clear and accepted
- Having a <u>respected</u> environmental ministry, agency or authority, with <u>capacity</u> to ensure effective engagement in policy-making, planning
- Good <u>co-operative</u> governance across sectors, interests
- Explicit sustainability objectives, decision-making criteria and tradeoff criteria
- Good information to feed into SEAs on:
  - Spatial distribution of threatened ecosystems and species
  - Areas that deliver important ecosystem services
  - Species with medicinal, agricultural or other economic significance
  - Full economic value of important ecosystem services
  - Social, heritage and cultural values of species or ecosystems
- Good idea of trends recent and future (e.g. climate change)



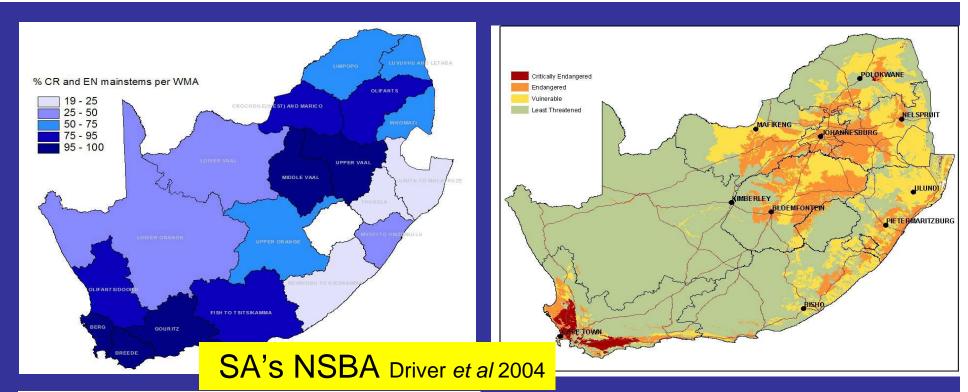


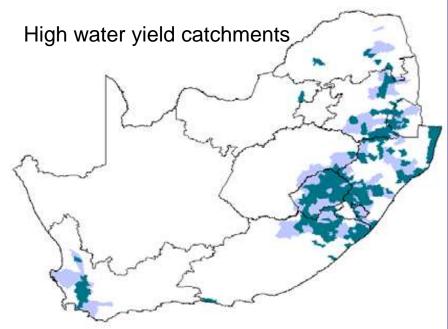
# Having the right information: Systematic Conservation Planning at landscape or ecosystem scale, ideal for informing SEA

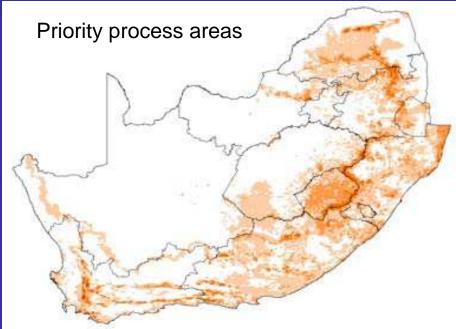
- To:
  - Ensure that biodiversity pattern and processes are protected.
  - Focus conservation effort, locate development
- It:
  - synthesises spatial data
  - looks at options to meet conservation targets
  - determines the best options, allowing areas to be prioritised
  - enables priorities to be incorporated and respected in spatial development plans / frameworks.

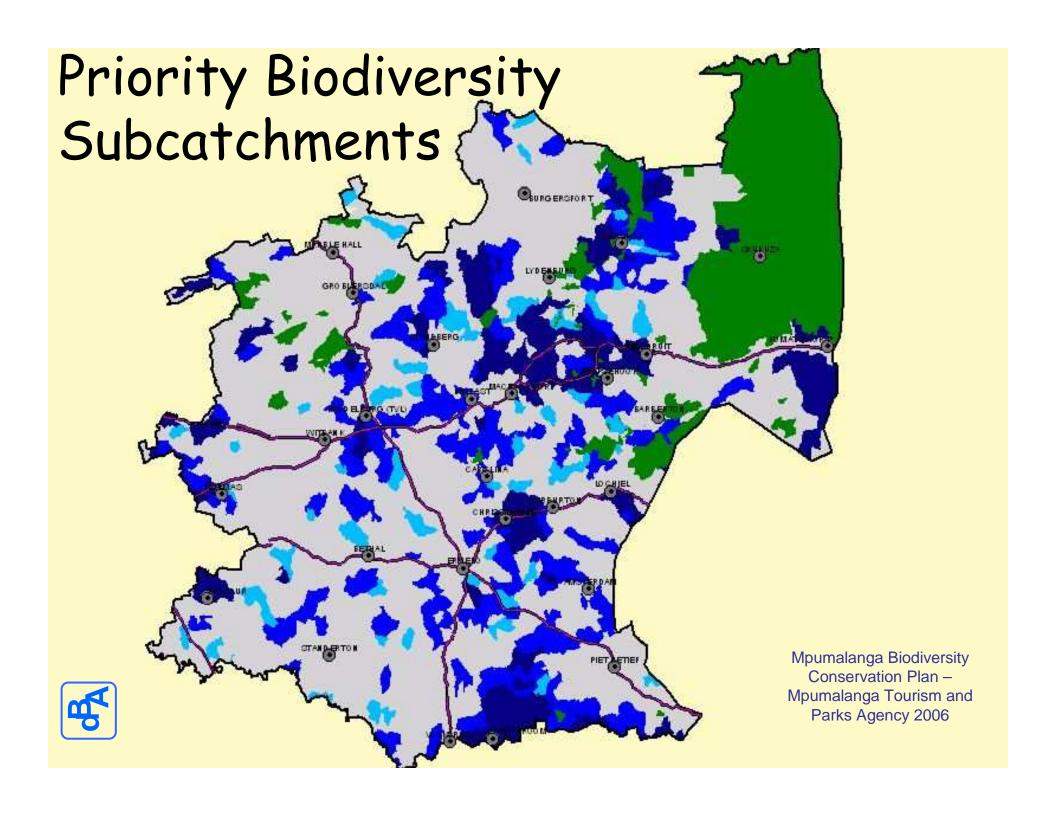
Can be done at different spatial scales and levels of detail.



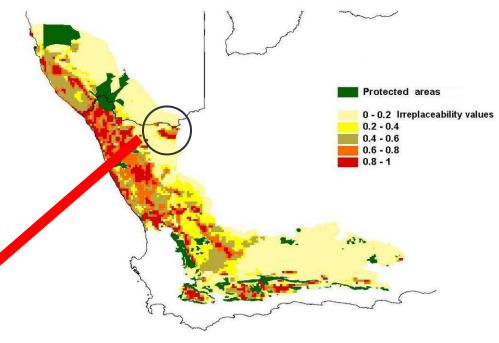


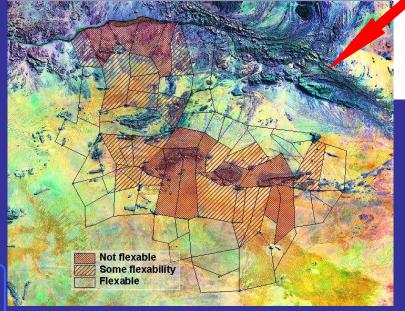






#### e.g. Bushmanland mining proposal, Succulent Karoo

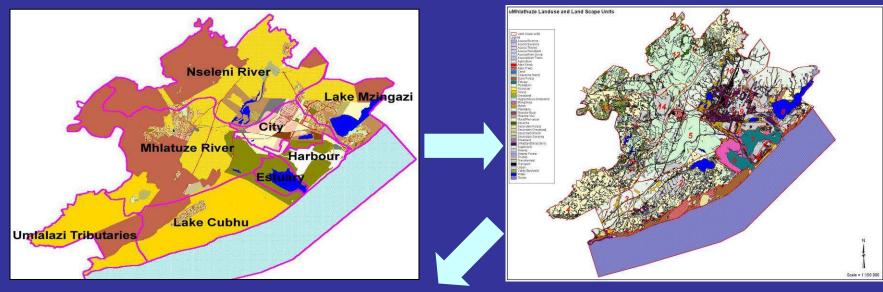


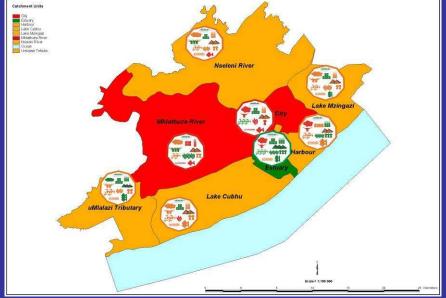


Emphasizes the importance of having relevant landscape-scale information on biodiversity priorities at national to local scales...



#### Useful information on ecosystem services strategic catchment planning





Symbols for air quality, water quality, water quantity, biodiversity, soil erosion, flood risk, recreation, soil productivity, natural products, etc.

Colour of symbol indicates condition / status: green good, red poor / not sustainable

From Case Study, Jordan et al (2005) in SAIEA (2006).



### Conclusion

- Create an enabling legal and policy context for SEA
- Call for / insist on SEA when appropriate
- Integrate SEA into existing planning and decisionmaking...use it proactively to direct future development / resource use
- Connect people and biodiversity at strategic levels use the language of sustainable development
- Buy-in to, and commitment to outcome of, SEA from all key stakeholders is essential
- Clear decision and tradeoff criteria are necessary



### Thank you!

### Discussion and groupwork

### Group exercises of 15 minutes each, plus 5 minutes presentation time per group...

Group 1. Proposed biodiesel policy

Group 2. Deciding on the 'best use' of the Wotamess area





### Group 1: Effect of proposed policy on NBSAP

#### Divide into groups

- 1. The energy ministry is close to finalizing a policy to stimulate the biofuels industry, encouraging landowners to switch to growing biofuels and expand areas under agriculture to this end. The ministry is offering tax relief and other incentives.
- 2. As the environment ministry and responsible for ensuring implementation of your NBSAP, consider the potential direct, indirect and cumulative effects of this policy on its objectives. Refer to the MA framework, or you can draw simple 'impact pathways' to illustrate your concerns.
- 3. Formulate clear recommendations to the energy ministry.
- 4. Each group to present findings...and to consider 'what if' there was no engagement at this policy-formulation level?



### Group 2: SEA on geographical area / small catchment

#### Divide into groups

- 1. Wotamess District is thought to contain valuable minerals.

  Mining companies are eyeing the area. Study the 'map' to determine the 'best use' for that area, taking the NBSAP into account.
  - Come up with context-specific sustainability criteria that you feel could reflect local priorities / vision for the Wotamess area. You can draw on the Ghana PRSP matrix provided, and generic sustainability criteria, if useful
  - Take into account opportunities, constraints
  - Provide a framework to guide future development, with sustainability parameters.
- 2. Each group to present findings, considering what development and what problems might have arisen in the absence of a plan for the area.

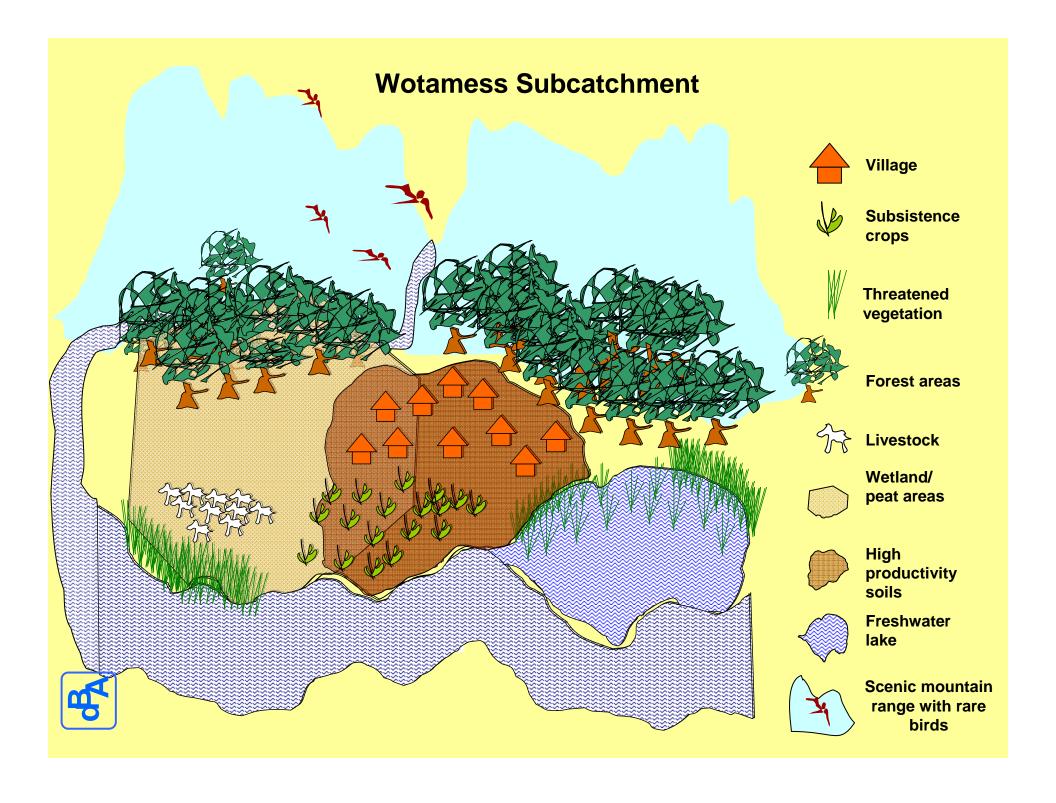




#### Wotamess's NBSAP

- Conserve and manage biodiversity to ensure sustainable and equitable benefits to the people of Wotamess now and in future
- Wellbeing, health and livelihoods of Wotamess people are enhanced through sound conservation and management of biodiversity
- Partnerships between govt, local communities, private sector promote effective conservation of biodiversity
- A network of protected areas conserves representative biodiversity of national or global importance
- Capacity is built to manage biodiversity effectively





#### Looking at SEA<sup>[1]</sup>: Ghana's PRSP- SEA approach

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Environmental component	Access to water	Access to land	Access to living resources	Access to food	Access to fuel	Water quality	Air quality	Sanitation	Access to medicinal plants	Drought	Social/political conflict	Fire	Floods	Land degradation	Epidemics	Conservation of biodiversity	Conservation of catchment & and wetlands	Capacity to deliver	Protection of known cultural resources	Economic efficiency
	Rig	ghts, acc		, and b versity		trom		Integrity of ecosystem services												

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### Discussion and way forward

- General discussion
  - Your experience of SEA
  - What works best, and why?
  - What doesn't work, and why? The main obstacles?
  - How to make SEA more effective in mainstreaming biodiversity?
- The way forward w.r.t SEAs and NBSAPs?