

IAIA07 TC3

Strategic Environmental Assessment in development cooperation: A practice-orientated training focussing on transport programmes and poverty reduction strategy papers

Section 1 – Basic information

(a) Course title

Strategic Environmental Assessment in development cooperation: A practice-orientated training for policy-makers, administration officials, consultants and NGO representatives

(b) Level

Intermediate

(c) Prerequisites for participants

A moderate level of knowledge of EIA concepts and practices

(d) Language of delivery

English

(e) Duration

Due to interactive case work based on the Harvard Business School methodology the training requires two days

(f) Minimum and maximum number of participants

Minimum number of participants:
10 Maximum number of
participants: 25

(g) Trainers

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Section 2 – Course description

(a) Summary of purpose, content, and learning outcomes

Approaches to Strategic Environmental Assessment (SEA) offer a promising methodology to promote and to improve planning processes in general and the integration of environmental aspects into policies, plans and programs in particular. SEA has been introduced as an obligatory instrument in many industrialized countries and there is rapidly growing interest in the tool by developing countries, reinforced by the Paris Declaration 2005 in which donors and partner countries agreed upon harmonisation and alignment both in general and in specific instruments such as SEA.

The training has been developed by the German Technical Cooperation and is based on both practical perennial experiences with impact assessment tools in development co-operation and the “Good Practice Guidance on Applying SEA in Development Co-operation”, the official guidance of the OECD Development Assistance Committee.

Learning objectives: The overall purpose of this training is to introduce participants to the concept of SEA and to train them how to apply it in their daily work. At the conclusion of the SEA training participants will have learned:

1. 1. How to link SEA and decision-making to improve outcomes of planning processes.
2. 2. How to choose and design the adequate analytical approach to SEA within a specific context
3. 3. How to facilitate and manage effective stakeholder participation in SEA
4. 4. How to organise the management and monitoring for the implementation of policies, plans and programs.
5. 5. How do manage SEA efficiently within budgetary and time constraints.

The training is practice-oriented and uses an innovative, interactive and effective teaching methodology. Core elements are Harvard Business School based case-works in groups, simulations and short conceptual inputs as well as action learning elements. While using different materials participants of the training will design and apply an SEA either to a transport programme or a poverty reduction strategy paper in the fictive country of “Ganama”.

(b) Detailed description of the course structure and content

Structure and content

The SEA background of this training is based on both practical perennial experiences with impact assessment tools within development co-operation and the OECD Good Practice Guidance on applying SEA. The overall objective of the training is to introduce participants to the concept of SEA and to train them how to apply it in their daily work. The training will reinforce and develop capacities of the participants from countries in which there is a high demand for the instrument SEA due to legal requirements, international obligations and interest in improved decision-making.

Throughout the training either a case on a transport infrastructure development programme or on a poverty reduction strategy will be used as examples for policies, plans and programmes to which an SEA could be applied. Furthermore, the participants of IAIA07 SEA training are provided with several factsheets which gives background information about the fictive country Ganama in which the planning takes place.

Participants will learn how to perform SEA in the fictive country Ganama corresponding to six principal modules ("sessions"):

1. 1. Introduction to SEA
2. 2. Linking SEA and decision-making for improved outcomes
3. 3. Choosing and designing adequate analytical approaches to SEA
4. 4. Facilitation and Management of stakeholder participation.
5. 5. Management and monitoring for implementation of policies, plans and programs
6. 6. Efficient Managemet of SEA within budgetary and time constraints

Chronologicly, the participants will follow the SEA steps of the OECD Guidance on SEA without pretending that blueprint solution for SEA exist.

1. 1. *Establishing the context for the SEA* (Screening, setting objectives, identifying Stakeholders)
2. 2. *Implementing the SEA* (Scoping in dialogue with stakeholders, collecting baseline data, identifying alternatives, identifying how to enhance opportunities and mitigate impacts, quality assurance, reporting)
3. 3. *Informing and influencing decision-making* (Making recommendations in dialogue with stakeholders)
4. 4. *Monitoring and evaluation* (monitoring decisions taken on the policies, plans and programmes (PPP), monitoring and implementation, evaluation of both SEA and the PPP).

Methodology:

The training employs innovative methods by intensively exploiting oppourtunities for action learning and group work. Being based on the case

work methodology of the Harvard Business School the training focuses on practical approaches to SEA. This methodology allows discussions on locally appropriate SEA approaches (based on insights brought forward by the participants). Furthermore, conclusions will be formulated through joint debate rather than providing 'ready-made' teaching messages.

The sessions are based on

- Short introductory lecture and brief descriptions of core elements of SEA (sheets, short texts)
- Individual reading and preparation (some background reading will be sent to the participants in prior to the IAIA conference; during the 2 days training individual reading sessions of 5x10 minutes will be provided).
- Case work in groups of 4-6 people
- Wrap-up sessions to formulate conclusions
- Facilitated debate on "how does this relate to our context? "
- Action learning elements/exercises

The modular approach ("sessions") enables the two trainers to adjust the course contents to particular needs of the IAIA07 participants. Depending on these needs and experiences some modules may be presented very briefly whereas other ones may provide detailed debates. Not least these case works and discussions give participants a multitude of thinking tools and instruments to work with in practice. The trainers will not explain the message of the cases. The participants will be guided through questions and therefore are encouraged to find them out by themselves.

The following 3 pages provide an outline of the SEA training for the IAIA07 in Korea including information about the training elements, methodology and guiding questions. The didactical core elements are the "Case Works 1-8" in which the working groups discuss and prepare the different steps of an SEA related to the fictive country "Ganama" and its fictive transport programme or poverty reduction strategy.

Outline of the SEA training of the German Technical Cooperation at IAIA07:

Training Element	Type of Element	Guiding Questions for the cases	Material/Input
Individual preparation of participants			General outline of case
Opening Ceremony			
Self introduction of participants: Paired interviews with question: What is your expectation in respect to potentials of SEA; what is your	Exercise		Sheets for participants

expectation in respect to course.			
Introduction to Course and methodology	Lecture		Flipchart with agenda
M.1 Introduction to SEA	Lecture		Slides, handout for participants incl. flow charts
Corner game	Exercise		
M.2 Link PPP and SEA, design appropriate strategy for SEA	Lecture		Slides
	Case Work 1	<ul style="list-style-type: none"> • At what steps of the PPP d-m, implementation and revision are which interventions to be envisaged? • What are the main open decisions for PPP? • What should be the specific goals of the SEA? • Who should generally be involved in the SEA? • At what levels should the SEA be performed? • Who should be consulted when outlining SEA/what are most important stakeholders? 	Fact sheet for the case work 1 <ul style="list-style-type: none"> o Steps of the PPP elaboration (or envisaged structure of the PPP) o Key actors (and structure of the planning team) and key stakeholders o Timeline (time pressure) o Official expectations for the SEA
	Wrap-up		Slides
M.3 Use adequate analytical approaches			Background reading on analytical techniques
M.3.1 Determine the right issues and scope of the assessment	Lecture		Slides, handout
Group Juggle	Exercise		Box with balls and chicken
	Case Work 2	<ul style="list-style-type: none"> • What are most relevant sectors of PPP? • What are main environmental/SD issues and objectives to be considered? • What are the temporary and geographical boundaries of SEA? <p>(optional: group role play of simulating a scoping workshop incl. expert input OR individual work with checklists)</p>	Fact sheet for the case work 2 <ul style="list-style-type: none"> o Long list of official env./SD objectives o Long list of various env./SD indicators o Optional: checklist with env. impacts of projects
Frames	Exercise		Sheets of paper
	Wrap-up		Slides
M.3.2 Analyse the baseline	Lecture		Slides, handout
Paper Fold	Exercise		Serviettes

	Case Work 3	<ul style="list-style-type: none"> • How would you describe trends for particular issues? • Which strength, weaknesses, opportunities and threats may result from the data? 	<p>Fact sheet for the case work 3</p> <ul style="list-style-type: none"> ◦ Sheet asking participants to analyze trends in 2-3 env. selected issues relevant to the case ◦ one standard issue ◦ one issue should deal with currently important <p>and still growing env. problem which will however rapidly decline in near future because</p> <ul style="list-style-type: none"> the pressure causing it will decrease (this tendency should not be clearly visible from superficial analysis) ◦ one issue should deal with currently not very significant but rapidly growing env. pressure which will cause significant problems in the next 5-10 years
	Wrap up	<ul style="list-style-type: none"> ◦ Which data are required for SEA? ◦ Do you see sources for these data? ◦ What would you do if there are none? 	Slides
M 3.3 Assess proposed development objectives and their alternatives	Introduction		Slides, handout
Secret Code	Exercise		Flip-chart
	Case Work 4	<ul style="list-style-type: none"> • What are the main synergies/conflicts between selected PPP objectives/policies and relevant environmental objectives/policies? 	<p>Fact sheet for the case work 4</p> <ul style="list-style-type: none"> ◦ 2-3 development goals/ priorities that should be assessed (one with major visible env. effects, the one with minor but still significant hidden effects on large scale and one with positive effects which still can be enhanced) ◦ Optional: blank matrices or maps
	Wrap up		
M.3.4 Assess proposed actions and their alternatives	Introduction		Slides
	Case Work 5	<ul style="list-style-type: none"> • What are the expected impacts of proposed actions and alternatives? • Which improvements through relevant alternatives and mitigation measures could be achieved? 	<p>Fact sheet for the case work 5</p> <ul style="list-style-type: none"> ◦ 2-3 specific development interventions that should be assessed (one with major visible env. effects, the one with minor but still significant hidden effects on large scale and one with positive effects which still can be enhanced) ◦ Optional: blank matrices or maps (one with major visible env. effects, the one with minor but still significant hidden effects)
Survival game to illustrate Delphi Method	Exercise		Prepared list of items
	Wrap-up		Slides
M 3.5 Assess cumulative impacts	Introduction		Slides, handout
	Case Work 6	<ul style="list-style-type: none"> • How would you describe cumulative impacts for selected measures? • How would you manage them? 	<p>Fact sheet for the case work 6</p> <ul style="list-style-type: none"> ◦ Either 5 specific activities that impact one env. parameter or ◦ Blank checklists or overlay maps
	Wrap-up		Slides
M.3.6 Link SEA and EIA	Group Discussion	<ul style="list-style-type: none"> • Can you define the scope of following EIA and SEA? 	

M.4 Use effective means of participation	Introduction		Slides, handout
Stakeholder negotiation	Lecture	•	Slides
Monologue/Dialogue	Exercise	•	Flip-chart, postcard with drawing
	Wrap-up		Slides
M.5 Ensure reflection of SEA results in decision-making as well as sufficient management and monitoring system for implementation	Lecture and group debate	• What most important obstacles for due consideration of environmental issues in PPP implementation do exist? • How would you address them?	Slides, handout
	Case Work 7	• What are the pros and cons of integrated/separate SEA? • How would you ensure effective communication between SEA experts and planners and decision makers?	
	Wrap-up	•	Slides
M.6 Manage SEA effectively within budgetary and time constraints	Lecture		Slides, handout
	Case Work 8	• Group Work on drafting ToR for SEA and structure for SEA report • Which support measures should be envisaged? • How to adjust the SEA concept to available resources?	Fact sheet for the case work 8 o Blank ToR
	Wrap-up		Slides
Wrap up and critical evaluation of lessons learned			
Revisiting critical issues for an effective SEA practice	Debate		
How to ensure that these issues are implemented in practice?	Debate		
Did your perception on SEA of the beginning change? Fulfillment of participant's expectation	Group reflection		
	Individual ranking of the course		Flip charts
Letter to myself	Exercise		Sheets of paper, envelopes
Closing ceremony			

(c) Description of the materials

The SEA training is based on the case work methodology of the Harvard Business School. It is composed - on a modular basis - of a number of case work sessions. Participants will receive some of the materials (the overall context of the fictive country "Ganama") prior to the the training. The other materials will be provided in a printed version and on CDRom. Throughout the training participants will receive the following materials:

- . • Case study: the overall context of the fictive country "Ganama"
- . • Map of Ganama
- . • Either case study 1: Poverty Reduction Strategy for Ganama or
case study 2: Transport Infrastructure Programme for Ganama
- Additional fact sheets according to the learning objectives which
guides the participants through the case works/sessions: – Introduction to SEA –
Linking SEA and decision-making for improved outcomes – Choosing and
designing adequate analytical approaches to SEA – Facilitation and
Management of stakeholder participation. – Management and monitoring for
implementation of policies, plans and
 programs
- Efficient Managemet of SEA within budgetary and time constraints

- . • List of references and internet resources on SEA
- . • Power Point Presentation of the trainers
- . • "Good Practice Guidance on Applying SEA in Development
Co-operation", the offical guidance of the OECD Development Assistance
Committee
- . • Certificate of the GTZ

Abstract of the fact sheet “Linking PPP and SEA”

Case 1: Poverty Strategy Reduction Paper in Ganama

Case Work 1: Linking SEA and decision-making, design appropriate strategy for SEA

Current situation

The Government of Ganama decided in May 2005 to launch the revision of the Poverty Reduction Strategy Paper (PRSP 2003-2005) and to carry out an SEA integrated into the revision so that environmental issues could be mainstreamed in the revised version. The Government of Ganama announced that the revision process of the PRSP will follow certain objectives:

- The database of the planning should be updated and adjusted to recent developments.
- The whole PRSP should be stronger focused on the sectors of most relevance for poverty reduction.
- Sustainable development will be an issue to be considered throughout the PRSP in an integrative way. The whole set of Millennium Development Goals (MDGs) has to be taken into account in a more consistent way. This includes the mainstreaming of environment (MDG 7) but also gender equality (MDG 3). MDG achievement has to be made more effective.

(...)

In a group discussion with your SEA team colleagues you should elaborate the following issues:

- Design a map of the PRSP revision process how you would expect it taking into consideration the process of the first PRSP elaboration and your general knowledge on planning and decision-making in Ganama.
- Indicate in the map at what steps which interventions and considerations have to be ensured.
- Draft a stakeholders' analysis using the chart of exhibit 5 based on your existing knowledge.
- Specifically indicate who should be involved into the SEA process in which way?

(d) Provisions for post-conference follow-up

First of all, GTZ offers to discuss with participants the design of SEA approaches in which they are involved prior and during a period of 6 months after the training (via Email). Secondly, participants will be part of the GTZ SEA community which means that they have access to all relevant training materials which will be available on the OECD SEA taskteam website (www.seataskteam.net). This website will include other case works such as land use planning and socio-economic development plans. The platform is open for discussion on further adaption of training materials which allows permanent improvement of our concept.

Section 3 Trainers

CURRICULUM VITAE

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 E: harald.lossack@gtz.de
Nationality: German
Languages: German (mother tongue)
 Portuguese
 English
 Spanish
Formation: M.A. in Sociology, Political Sciences and Economy
 University of Bonn e Free University of Berlin
 Germany (1983)
Principal areas of professional activities: Institutional and organizational assessment, political advisory, regional planing, natural resource management, monitoring and evaluation, sustainability indicators, environmental policy, strategies for sustainable development, environmental fidcal reform and financing instruments, governance and natural resources, strategic environmental assessment

Professional activities and experience:

1984 – 1986 Consultant of *IVU - Gesellschaft für Informationsverarbeitung, Verkehrsberatung und angewandte Unternehmensforschung mbH, Berlin*; Urban transport planning, urban environmental management;
1986 Visiting Professor, Institute of Sociology, Free University of Berlin;
1986 Consultant of *Carl-Duisberg-Gesellschaft*, today InWEnt
1987 Consultant of *GRI - Gesellschaft für Rechnersysteme und Informationsverarbeitung mbH, Berlin*;
1987 Short term consultant for *GTZ* in the Capverdian Islands, elaboration of urban and regional planning studies;
1988 - 1992 Long term consultant for *German Development Service (DED)* with Brazilian NGO FASE - Federação de Órgãos para Assistência Social e Educacional, Rio de Janeiro, training and assessment of trade unions and urban social movements in the Metroplitan Region of Rio de Janeiro, Brazil;
1988 Consultant for *GTZ* in Salvador da Bahia, Brazil, institutional analysis and feasability studies;
1991 - 1995 Sector Coordinator (Social Service and Financing Instruments) of *DED* in Brazil;

1992	Special Consultant of DED in the preparation of the ECO 92 (United Nations Conference on Environment and Development - UNCED);
1995 – 2006	Senior Professional of <i>Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) GmbH – German Technical Cooperation</i>
1995 – 2000	Senior Advisor of GTZ in the <i>Subprogramme of Demonstration Projects - PDA</i> within the <i>Pilot Programme for the Conservation of Tropical Rain Forests in Brazil</i> , Ministry for the Environment, Brasilia, Brazil
2000 - 2003	Coordinator of the German Technical Cooperation within the <i>Pilot Programme for the Conservation of Tropical Rain Forests in Brazil</i> , Ministry for the Environment, Brasilia, Brazil Senior Advisor of GTZ of the <i>AMA – Project for Monitoring and Analysis of the Pilot Programme</i> , Ministry for the Environment, Brasilia, Brazil;
2002	Interim Director of the Division for Latin America at headquarters of GTZ in Eschborn, Germany
2003 - 2006	Project Manager of <i>Rioplus – Environmental Policy and Promotion of Strategies for Sustainable Development</i> , Bonn, Germany
2005/2006	Director of the GTZ-Office in Bonn, Germany

Bonn, 21.08.2006

Harald Lossack

Curriculum Vitae

Personal data	
Full name	Axel Johannes Olearius
Company	(GTZ) GmbH - Deutsche Gesellschaft für Technische Zusammenarbeit Deutsche Gesellschaft für Technische Zusammenarbeit German Technical Cooperation
Contact	Tulpenfeld 2, 53113 Bonn, Germany T: +49 228 985 3328; F: +49 228 984 7018; E: Axel.Olearius@gtz.de
Nationality	German
Education	
10/1998-10/2003	Studies in Political Science and Environmental Management at the <i>Free University of Berlin</i> ; Diplom-Politologe (Master equivalent)
09/2002-02/2003	International Relations and Psychology at the <i>University of Bath</i> (England)
05/2001-10/2002	<i>German League for Natur (DNR)</i> in cooperation with the <i>Institute for Environmental Communication, University of Lüneburg</i> : 18-month study and training program "Kurs Zukunftspiloten" for leaders of the Environmental movement
09/1999-02/2000	International Relations at the <i>Institut des Sciences Politiques</i> (IEP) in Aix-en-Provence (France)
Professional activities	
Since 2005	German Technical Cooperation, GTZ GmbH, Germany: Since 2004 trainer for the GTZ in Germany, Benin, Tunisia, Morocco on <ul style="list-style-type: none"> ➤ Strategic Environmental Assessment ➤ Negotiation skills according to the Harvard methodology ➤ Incentives for Sustainable Development and Good Governance ➤ Key competences of sustainable development <u>Principal areas of activities</u> : Strategic Environmental Assessments within development co-operation, Governance and management of natural resources, economic analysis of ecosystem services, environmental fiscal reform and financing instruments.
2003-2005	German Technical Cooperation, GTZ GmbH, Morocco: Advisor to the Program for Environmental Protection and Management of the bilateral cooperation between Germany and the Moroccan Ministry of Environmental Affairs <u>Principal areas of activities</u> : Private public partnerships with environmental benefits; advisor to a group of inspectors for the implementation of environmental norms; industrial environmental management systems; creation of cleaner production centre; monitoring and evaluation of program activities.
02/2002-12/2002	Research project at the <i>Free University of Berlin</i> , supported by the <i>Heinz-Schwarzkopf-Stiftung Foundation</i> : Diffusion of environmental norms during the EU enlargement - the cases of Poland and Romania.
09/2001-01/2002	<i>Potsdam Institute for Climate Impact Research (PIK)</i> : Assistant in the Global-Governance-project and coordinator of the "Berlin Conference 2001 on the Human Dimensions of Global Environmental Change"; Berlin
04/2000- 07/2000	<i>Dr. Reinhard Loske</i> , Member of Parliament and spokesman of the Green Party for environmental policy: Assistant in the parliamentary office; Berlin
Language skills	
German:	mother tongue
English:	excellent
French:	excellent
Spanish:	good