

## APPENDICES

With the Advisory guidelines for a Strategic  
Environmental Assessment for the Ghana Poverty  
Reduction Strategy

(appendices 1 to 8)

## APPENDIX 1

**Letter from the Royal Netherlands Embassy, Accra, dated June 14 2002 in which the Commission has been asked to assist the Environmental Protection Agency of the Ministry of Environment in Ghana in developing the methodology and guidelines for a Strategic Environmental Assessment for the Ghana Poverty Reduction Strategy.**



Ambassade van het  
Koninkrijk der Nederlanden

Ms. Ineke Steinhauer,  
MER Commissie,  
Postbus 2345,  
3500 GH Utrecht

Embassy of the Netherlands  
Section Development Co-operation  
89, Liberation Road  
P.O. Box 3248  
Accra  
Ghana

Date 14 June 2002  
Our ref. ACC/OS/TD\_ML/281/02  
Page 1/1  
Encl. --  
Re Mission MER-Commissie to Ghana; June 2002  
Cc --

Contact TD/ML (André C. Vermeer)  
Tel. 00 233 21 773644/231991  
Fax 00 233 21 773655  
Email andre.vermeer@minbuza.nl

### TO WHOM IT MAY CONCERN

This is to certify that the Section Development Co-operation of the Royal Netherlands Embassy in Accra, in collaboration with the Ministry of Environment & Science of Ghana, has invited an expert mission consisting of experts in the field of environmental assessment, to visit Ghana in the period 23 – 28 June 2002.

The following persons will participate in the mission;

- Mr. Klaas Jan Beek
- Mrs. Ineke Steinhauer
- Mr. Jan Joost Kessler
- Mr. Jan Herman Koster

The purpose of the mission is; *to provide technical support to the Ministry of Environment & Science of Ghana in developing the methodology and guidelines for a Strategic Environmental Assessment of the Ghana National Poverty Reduction Strategy.*

The officials and authorities concerned are hereby kindly requested to facilitate the mission and provide all assistance required to the members of the mission so as to enable the mission to accomplish its task..

	Ministère de l'Environnement et de la Science OS
Date	14-06-2002
Numéro	067
Objet	049-
Signature	Js/sm/js

A.C. Vermeer,  
1<sup>st</sup> Secretary.



## **APPENDIX 2**

### **OUTLINE PROPOSAL FOR A STRATEGIC ENVIRONMENTAL ASSESSMENT OF THE GHANA POVERTY REDUCTION STRATEGY**

The Government of Ghana published its poverty reduction strategy (the GPRS) for the period 2002-2004 in February 2002. The GPRS will be subject to review and monitoring during this period.

Environmental degradation is referred to within the GPRS as a contributory cause of poverty. References are also made to the need for Environmental Impact Assessments (EIAs) and Audits to ensure that growth arising from the GPRS is environmentally sustainable. Overall however the GPRS treats the environment as sectoral or “add on” issue rather than a cross cutting issue. Consequently the environmental impacts of the policies and strategies for delivering growth and poverty reduction highlighted in the GPRS are not considered or poorly understood. This is problematic for many of the policies will have significant environmental impacts. In some instances lack of focus upon environmental management issues will affect the efficacy of the GPRS to deliver poverty reduction.

Poor environmental quality and management is, in many instances, an important but often neglected factor contributing towards poverty. By ignoring the poverty-environment linkage the poverty reduction goal of the GPRS could be significantly hampered

It is proposed that a Strategic Environmental Assessment of the GPRS is undertaken to assess the environmental risks and opportunities presented by the policies of the GPRS and identify appropriate management/mitigation measures to ensure that sound environmental management contributes towards poverty reduction in Ghana, including a cursory assessment of the institutional capacity needed to implement the identified measures .

*Specifically the SEA will:*

- Assess the potential environmental impacts of the policies of the GPRS
- Identify environmental impacts in terms of positive and negative, direct and indirect, cumulative and assess their significance
- Identify environmental impacts broadly to ensure that wider, poverty related issues such as environmental health are fully assessed
- Relate potential environmental impacts and their management to poverty outcomes
- Identify and prioritise potential management or mitigation measures to ensure that environmental impacts are appropriately managed
- Assist Ministries, Departments and Agencies (MDAs) across Government of Ghana to identify, prioritise and implement appropriate environmental management measures to ensure that their specific poverty reduction targets can be met

- Identify key implementational issues such as decentralisation and their impact upon environmental management
- Through the process of participation increase understanding of poverty-environment linkages so that environment is increasingly mainstreamed across Government and not simply perceived as the responsibility of the Ministry of Environment, Science and Technology.
- Link into related work to develop suitable Poverty-Environment indicators for monitoring and evaluation of the GPRS
- In the light of the shared responsibility as mentioned above; make a cursory assessment of current and needed institutional capacity related to the recommended measures to be taken in the field of environmental management by all institutions to be involved in their implementation

#### *Developing an SEA Methodology*

No blueprint exists for carrying out an SEA. An appropriate methodology must be determined to meet the needs of the users. Consequently it is envisaged that the SEA of the GPRS will be conducted in two phases.

In the first phase the consultants will; liaise widely with key individuals and institutions in Ghana to understand the GPRS process, methodology and players in order to develop an SEA methodology that will meet the needs of the key users and establish a framework under which the SEA will take place.

In phase 2 the methodology will be applied. The consultants undertaking the SEA will bring international expertise in SEA of policies, experience of SEA work in an African context and understanding of both environmental management and institutional context. This phase will also contain a further assessment of the institutional capacity in the environment sector in Ghana, needed for optimal implementation of the GPRS.

#### *Management of the SEA and Contacts*

The SEA process will be managed by the Ministry of Environment-Environmental Protection Agency (EPA) (Jonathan Allotey) and the National Development Planning Commission (Angela Farhat Brown/Winfred Nelson) who will work closely with MDAs across government to ensure their full participation and support of the process.

The EPA has requested the Government of the Netherlands and DfID to provide technical and financial assistance for the execution of the SEA. The partners have agreed to send out this draft proposal with an invitation to supply the EPA with the required technical assistance in the form of a limited assignment to selected expert(s) to carry out the works described.

## APPENDIX 3

### Project Information

**Proposed Activity:** The Ghana Poverty Reduction Strategy (GPRS) grew from a national stakeholder forum called Ghana Vision 2020, which was intended to develop a national consensus on policies and practices for accelerating economic growth within the country. As poverty reduction was considered a high priority within Vision 2020, it formed the basis of a separate, interim strategy (Interim Poverty Reduction Strategy Paper 2000 - 2002) that was submitted to the World Bank and IMF as part of the Country Assistance Strategy negotiations. Concurrently, consultations and studies for the elaboration of the GPRS were launched. The Government of Ghana published its GPRS for the period 2002-2004 in February 2002. The GPRS will be subject to review and monitoring during this period.

Environmental degradation is referred to within the GPRS as a contributory cause of poverty. References are also made to the need for Environmental Impact Assessments (EIAs) and Audits to ensure that growth arising from the GPRS is environmentally sustainable. As a consequence, the GPRS should treat the environment as a cross cutting intersectoral issue rather than a sectoral or "add on" issue. To enable this, the environmental impacts of the policies and strategies for delivering growth and poverty reduction highlighted in the GPRS have to be assessed and considered carefully as many of the policies will have significant environmental impacts. In some instances lack of focus upon environmental management issues will affect the efficacy of the GPRS to deliver poverty reduction.

Poor environmental quality and management is, in many instances, an important factor contributing towards poverty. By recognising the poverty-environment linkage the poverty reduction goal of the GPRS could be significantly strengthened.

A Strategic Environmental Assessment (SEA) of the GPRS will be undertaken to assess the environmental risks and opportunities presented by the GPRS and identify appropriate management/mitigation measures to mainstream environmental management into socio-economic development of Ghana. This will include a cursory assessment of the institutional capacity needed to implement the identified measures.

The Environmental Protection Agency (EPA) of the Ministry of Environment and Science has requested the Governments of the Netherlands and United Kingdom to provide technical and financial assistance for the execution of the SEA.

**Categories:** 41010- Environmental policy and administrative management

**Project numbers:** Netherlands Embassy Accra, Acc/os/td-ml/281/02,  
Commission for EIA 049

**Procedural information:**

Request from the Embassy: 14 June 2002

Visit to Ghana: 24-28 June 2002

Advisory review submitted: 19 July 2002

**Significant details:** The Commission developed a framework for the SEA of the GPRS (see Chapter 2 for a diagram), based upon which advisory guidelines are formulated. This framework illustrates the steps of undertaking the SEA, and how these are inter-related. There are two parallel perspectives of undertaking a SEA:

- SEA as a rational and as much as possible objective **study** to assess environmental impacts of proposed interventions, propose better alternatives if possible, and propose an appropriate institutional framework for environmental management;
- SEA as a participatory **process**, involving other actors and sectoral agencies in the complex field of poverty reduction and sustainable development, aimed at building up mutual understanding, environmental awareness, etc.

The Commission formulates the expected outputs of this SEA as follows:

- **Products:** (i) list of interventions of the GPRS and categorisation according to their environmental impacts, (ii) identification of environmental threshold values and environmental opportunities in relation to the proposed interventions (iii) assessment (impact matrix) of proposed interventions and submission of better alternatives for synergy between environment and poverty reduction, (iv) comparison/ranking of alternative options and guidelines for environmental management and (v) establishment of an environmental monitoring system;
- **Process:** (i) involvement of all actors, sectoral agencies in the complex field of poverty reduction and environment in order to build up mutual understanding and ownership of the results and (ii) timely availability of the results of the SEA in order to influence decision making processes within the GPRS.
- **Institutional arrangements:** assessment of the institutional capacity needed and recommendations on institutional arrangements to implement the products and guide the process.

**Members of the working group:**

Mr. K.J. Beek (chairman)  
Mr. E. Darko-Mensah (Ghana)  
Mrs. D. Johnson (Uganda)  
Mr. J.J. Kessler  
Mr. H.H Koster

**Secretary of the working group:** Mrs. I.A. Steinhauer

## **APPENDIX 4**

### **Programme for Netherlands Commission for environmental Impact Assessment 23-28 June 2002**

#### **Sunday, 23<sup>rd</sup> June 2002**

21.00 pm Briefing by Mr. Evans Darkoh Mensah, local consultant

#### **Monday, 24<sup>th</sup> June 2002**

8:00am - Pick up from Hotel

8:30am - The Royal Netherlands Embassy – Mr. Andre Vermeer

9:30am - Environmental Protection Agency, Mr. Jonathan Allotey, Ms. Christine Owusu Atakora, Mr. Albert Boateng, Mr. Redeemer Kowu, Mr. Daniel Amlalo

11:00am Meet officials of DFID, Ms. Liz Gaere and Mr. Jake Tetteh

1400hrs- Meet with NDPC officials, Ms. Angela Brown Farth and Mr. George Gyan Baffour

1600hrs- Call on Minister for Environment and Science, Prof. Dominique Kwaku Fobih

1700 hrs- Meeting with EPA, Jonathan Allotey, Christine Owusu Atakora

#### **Tuesday, 25<sup>th</sup> June 2002**

9:00am - Pick up from Hotel

9:30am - Meet officials Ministry of Local Government and Rural Development  
Mr. Michael Mensah, Dr. Dela Attipoe, Mr. Peter Hawkins, Mr. Armah

11:00am Meet with officials of Ministry of Food and Agriculture, Mr. Mallem Seidu and Mr. Lambert Abusa

1400hrs- Meeting with officials of Ministry of Trade and Industry, Mr. Kwateng

15.00 hrs- Meeting with officials of Ministry of Roads and Transport, Mr. A.T. Essilfie, Mr. E.A. Akuffo, Mr. D.K. Boakye Yiadom, Mr. G.J. Brocke and others

17.00 hrs- Working group meeting

#### **Wednesday, 26<sup>th</sup> June 2002**

9:00am - Pick up from Hotel

9:30am Meet with Ministry of Health officials, Mr. F.G. Dakpalsah and Ms. Francesca Pobe Hayfird

- 11:00am Meet officials of Ghana Statistical Service, Mr. Baah Wadieh, Mr. Stephen Tetteh Nara, Mr. Nana Akwasi Anao, Ms. Jacqueline Anum, Mr. K.B. Danso Manu
- 12.30 Meet with Minister of Economic Planning and Regional Cooperation, Mr. P. Kwesi Ndoum
- 1400hrs Meet with NGOs: Green Earth Organisation, Mr. John Dadzie Mensah and Friends of the Earth Ghana, Mr. F. Korsah Brown
- 14.00 hrs. Meet with Ministry of Energy, Mr. Emmanuel Antwi-Darkwa and Mr. Wisdom Ahiataku Togobo
- 15.30 hrs. Meet with Mr. Kwame Odame Ababio, Water Resources Commission

**Thursday, 27th June 2002**

- 8.30 hrs Pick up from hotel
- 9.00 hrs Meeting with Ministry of Land and Forests, Mr. William Ajiako
- 10.00 hrs Working group preparing report
- 14.00 hrs Wrap up meeting at EPA Conference, Mr. Odame Ababio, Water Resources Commission, Mr. A.K Kwateng, Ministry of Trades and Industry, Mr. A Boateng, EPA, Mr. Y Amoyaw Osei, EPA, Mr. C. Asare, EPA, Mr. E.O. Nsenkyire, MES, Mr. Jonathan Allotey, EPA, Ms. Christina Owusu Atakora and Ms. Patricia Osei, Ministry of Agriculture
- 16.00 hrs Working group meeting
- 19.00 hrs Dinner with Mr. Andre Vermeer, Netherlands Embassy

**Friday, 28th June 2002**

- 10:00am Wrap-up Meeting with EPA, the Commission and donor community, Elsebeth Tarp (DANIDA, Danish Embassy, Andre Vermeer (Netherlands Embassy), George Lange Adjie (UNICEF), Liz Gaere (DfID), Kurt Komarek (GTZ), Jake Tetteh (DfID)
- 12.30hrs Meeting with EU representative

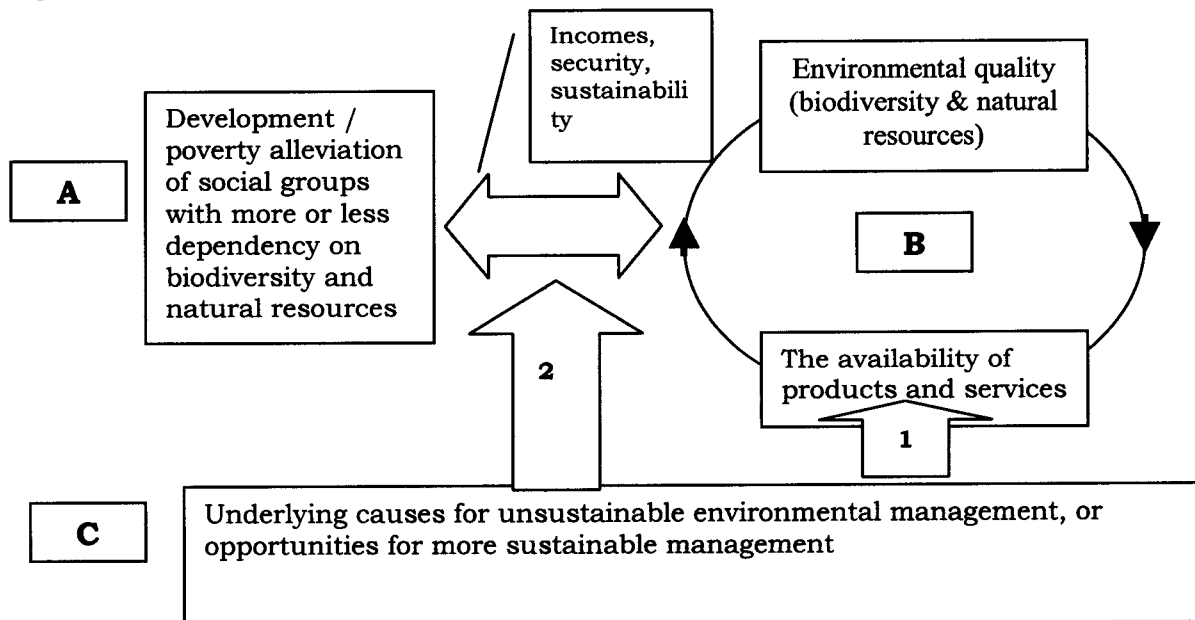


## Appendix 5

### Conceptual framework for poverty-environment linkages

The following scheme presents a conceptual framework clarifying the relations between poverty alleviation and the environment:

- Dimension A: the stakeholders (or livelihoods) depending for their daily life upon environmental values; this is one of the target groups of the GPRS.
- Dimension B: the ecological system (with biodiversity and natural resources) providing goods and services, including those upon which poor livelihoods depend; variation in environmental quality will affect poor livelihoods through variation in the stream of goods and services.
- Dimension C: environmental management and other relevant policies influencing the environment, with their rules, institutions, pressures and responses, at constitutional, management and operational levels, which influence the environment (arrow 1) or the environmental benefits for stakeholders (arrow 2); influences can be negative (causing problems) or positive (enabling, creating opportunities).



In a log-frame these three dimensions can be positioned as follows:

Dimension	Position in log-frame	Expectations
A: Target groups	Goals	Impacts in terms of development and sustainable poverty alleviation: improved incomes, more food, improved access & benefit sharing, increased security, sustainability, health.
B: Environment	Objectives	Effects in terms of more sustainable ecosystem management, better use of natural resources, conservation of biodiversity status
C: Environmental management and other policies	Sub-objectives	Results in terms of more enabling context, reduced pressures or realised opportunities

Under A are included indigenous communities, as well as other social groups, more or less dependent on ecosystems and natural resources. The environment can benefit poor livelihoods in two different ways, through the products and services that it offers:

- Incomes (products) for poor livelihoods, and level of dependency (e.g. forest products, agriculture)
- Security (short-term) and associated (long-term) sustainability for poor livelihoods (e.g. erosion control, water supply from catchment areas, clean air, fertility supply, pest control, ...)

As regards the existing situation under B one might distinguish three scenarios:

1. Relatively intact environmental qualities (carrying capacity). Here the aim is to increase direct benefits for poor livelihoods while maintaining sustainability. In addition, in view of the future, there will be need to develop alternatives in or to reduce dependency on natural resources.
2. More or less degraded environment (reduced carrying capacity). Here there is potential for restoration if this will in the near future lead to improved availability of products and services with benefits for poor livelihoods. This requires a rest period, with benefits to be expected only after some time. So one requires compensation for poor livelihoods dependent on these ecosystems, and/or the development of alternatives.
3. Strongly degraded environment. Here substantial inputs are required to improve the situation.

The second scenario is most common. Options to improve sustainability relate to:

- Improving the quality of B (to generate more products and services for the benefit of A)
- Improving the efficiency of using natural resources (i.e. more benefits for same or less pressure, for instance by improved / appropriate technologies, better markets, increased prices)
- Developing alternatives (sources of income, food, etc.), thus reducing dependency on natural resources
- Compensating for reduced use of natural resources (i.e. influx of capital or goods from external sources)
- Developing uses of natural resources that are sustainable and yet highly profitable
- Increasing the proportion of benefits from the use of natural resources for poor social groups (equity aspect)

Note that apart from material / economic benefits, the relation between B and A includes social, , cultural, spiritual, ... aspects.

The issues under C can be further structured as (a combination of):

- Endogene (local) factors: e.g. cultural, institutional, socio-economic, ...
- Exogene (supralocal) factors: e.g. economic, political, institutional, legislative, ...; at different levels: regional, national, international.

When addressing poverty-environment linkages one will need to demonstrate for the programmes falling under the GPRS:

- How A and B are interrelated for a specific situation and target group/s (horizontal arrow), and how one can simultaneously achieve improvements of situation B and (the relation to) A – see options above
- Which *specific* issues in C constitute priority constraints or opportunities to achieve these improvements (upward arrows 1 and 2)
- How the programme directly addresses these priority constraints and/or opportunities in C (e.g. to develop better access rights, legislation, ... as an essential requirement for an improved management system) – note that in most cases a complex of constraints and/or opportunities within C must be tackled
- How the linkages between A, B and C are monitored (this can be part of a log-frame). Note that impacts (on A) will be difficult to monitor. Thus, result-oriented monitoring will focus at changes within A, effects on B and on the relationship  $B \rightarrow A$ .

Programmes will be strongest which clearly demonstrate how they address the linkages between A, B and C, thus creating synergy within the programmes. Programmes will not address generic issues under A (e.g. developing eco-efficiency standards for a certain sector), but focus at issues under A with a clear and specific relation to B and  $B \rightarrow C$ .

**Example.** Sustainable shrimp farming with clear benefits for local communities, with evidence of effects in terms of improved conservation of some remaining mangrove forests, and/or associated restoration of degraded mangrove forests. Activities focus at analysis of existing successful cases and their replication elsewhere. Activities also include guaranteeing sufficiently high incomes for poverty alleviation. In addition, activities include taking away constraints at national levels (technology development, legislation, land rights, marketing, certification ...) and at developing awareness , transparency and export markets. Where possible local producers will be strengthened to form viable enterprises. Where possible the private sector will be involved to replicate the experiences at a larger scale. Result oriented monitoring should focus at:

- Improved quality of mangrove forests
- Improved benefits from sustainable shrimp farming for poor communities, and assured ownership by local communities of the enterprise
- Increased exports and national or international consumption of sustainably produced shrimps
- Achieved (or improved willingness to achieve) desirable policy changes.

## Appendix 6

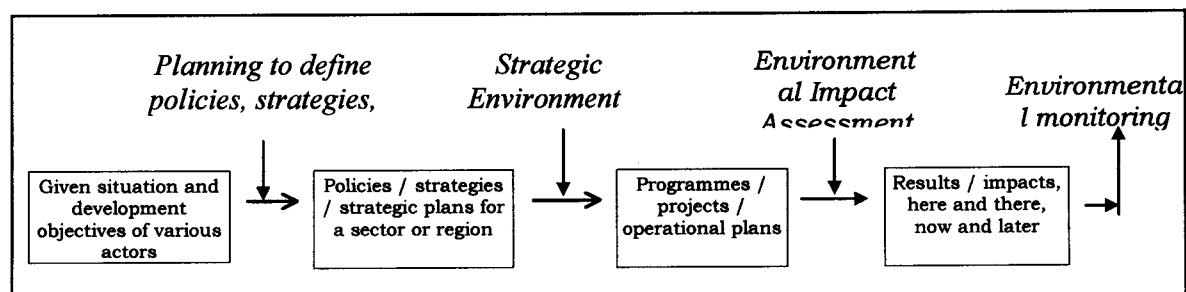
### Introduction on Strategic Environmental Assessment

#### *Objectives and experiences*

Experiences with EIA that have led to the development of Strategic Environmental Assessment can be briefly summarised as the need (Dalal-Clayton and Sadler, 1999):

- To address environmental issues at earlier stages in the policy cycle, hence more proactive
- To advance the principle of sustainability (integration with socio-economic concerns)
- To address cumulative and large-scale impacts and to develop alternatives at strategic levels.

Strategic Environmental Assessment (SEA) can be defined as “a systematic process for evaluating the environmental consequences of proposed policy, plan or programme initiatives to ensure they are properly included and appropriately addressed at the earliest possible stage of decision making, on a par with economic and social considerations” (Thérivel et al., 1994; Sadler & Verheem, 1996). SEA has been designed to address environmental issues at strategic levels (i.e. of policies and strategic plans<sup>1</sup>), that set the basic framework for project identification (Figure 1). SEA can be applied during earlier and more strategic phases in planning and decision making, across sectors and for a longer time perspective than EIA. SEA is applied after the initiator’s strategic objectives (of the plan) have been defined, and the initiator is responsible for its execution. SEA is particularly useful to assess large-scale, long-term, cumulative, synergistic and/or generic impacts, to define strategic alternatives (i.e. of policy choices) rather than project alternatives, and to incorporate sustainability considerations (Nooteboom, 2000). Sustainability and environmental considerations at the strategic level are expected to ‘trickle down’ to the project level by demonstrating the coherence of decisions at higher levels. The use of SEA thus reduces the time and costs needed at the lower assessment level. It also increases the transparency of the whole assessment process for the public and for stakeholders. In addition, SEA is useful for complex strategic plans that consist of several more or less distinct projects or interventions for which separate assessments would not be mandatory, unrealistic or inefficient. A good example would be a multi-sectoral rural development programme, generally with a range of different activities such as bore-hole drilling, infrastructure development, land rehabilitation, rural credit system, etc.. While these activities are not mandatory to EIA, together they can have large-scale and long-term impacts that need to be assessed before the programme is implemented.



**Figure 1: The position of assessment and planning methodologies in the policy cycle**

<sup>1</sup> Policies are broad statements of intent that define and focus the political agenda of a government and initiate a decision cycle. They are given substance and effect in (strategic) plans, programmes and projects, which involve identifying options to achieve policy objectives and setting out how, when and where actions will be carried out (Dalal-Clayton and Sadler, 1999).

The compatibility and efficiency of using SEA alongside EIA results from SEA addressing generic environmental issues at the higher tier of strategic decision making, and providing the focus and scope for refined environmental assessment at the lower tier of projects. This can be further explained by stating that SEA would mainly deal with the questions of why do anything (goals and objectives), while the what (methods and options), where and how questions are dealt with at the EIA level. It is argued that the 'why question' requires a different approach than the other questions (Verheem and Tonk, 2000). The 'why decisions' ask for more abstract, visionary and informal discussions, while the other questions ask for a well-structured approach with formal procedures, arbitration, independent review and safeguards. Impact assessment at the strategic level may have a more 'broadbrush' or qualitative character (Nootboom, 2000). The informal, qualitative assessment might take place early in the process, as an ex-ante or interim assessment of solution strategies.

Early reviews of SEA applications (Sadler & Verheem, 1996; Thérivel and Partidário, 1996) showed that SEA is mainly applied to assess environmental impacts of sectoral plans and programmes, mainly in the sectors of energy, transport and waste management. More recently, SEA has been used to assess the environmental impacts of local or regional development plans at strategic levels (Elling, 2000; Nootboom, 2000). Here use can be made of generic guidelines found in environmental action plans or policies (e.g. on maximum allowable impacts). Based on a review of experiences, Fischer (2001) makes the following distinction of SEA practice:

- Policy SEA: SEA fully integrated into project / policy planning cycle, mainly sectoral applications
- Plan SEA: SEA used for a comparison of spatial alternatives, mainly regional development plans
- Programme SEA: SEA for prioritising projects, e.g. using multi-criteria or cost-benefit analyses.

Fischer (2001) identified the following success factors for SEA application (success defined as concrete influence on policy making and opinions of authorities):

- Full integration of SEA in the procedures of policy / project decision-making process
- Early in decision-making process (the earlier the better)
- Consultation of external bodies / public participation
- Extensive use of explicit methods, both qualitative and quantitative
- Appropriate funding and sufficiently long preparation times.

The relations between SEA (strategic decisions) to EIA (lower tiers) is complicated because at a strategic level there generally is no decision-making system with a formal status. Nootboom (2000) concludes that it is probably best to apply SEA at those levels where the results and alternatives are real options. The review also shows evidence that, as environmental or sustainability considerations become more important, formal decision-making systems may be changed in order to be able to address these issues at strategic levels.

### ***SEA practices***

The earliest practice of SEA dates back about 30 years, with recently an explosion of interest in environmental assessment at strategic levels (Brown and Thérivel, 2000). But there are few applications in developing countries. SEA may be particularly relevant to developing countries, where EIAs have been less successful and there is more need for efficiency given limited resources and capacities available (Dalal-Clayton and Sadler, 1999). The diversity of SEA experiences has lead practitioners to think of SEA as an overarching concept, with an emphasis on the process rather the product (that is, the report). Brown and Thérivel (2000) propose to define SEA as "a process directed at providing a holistic understanding of the environmental and social implications of the proposed project, programme or plan". Given this broad understanding, SEA should be seen as a process in the context of which a family of tools may be applied.

Brown and Thérivel (2000) look at SEA as a creative design tool in the cycle of formulation and reformulation, and as a process, with decision-makers as active participants. A related

challenge is that of integrating SEA into spatial planning processes, with integration of environmental, social and economic issues (Eggenberger and Partidário, 2000). But as SEA moves towards supporting integrated planning and policy making, its very objectives may shift. This includes the question whether a formal, legal or an informal context best serves these SEA objectives. Thus, there is need to develop guidelines that can assist practitioners in selecting an appropriate approach for a given situation and objectives. But in order to do so, more empirical and evaluative research at the interface of SEA and policy making is required (Thissen, 2000).

### ***Generic principles for SEA***

The broad understanding of SEA requires a set of generic principles and goals for applying SEA, which also allows for flexibility in implementing SEA for planning, development and review purposes, adapted to the specific context (Thissen, 2000). Verheem and Tonk (2000) propose SEA generic principles and goals to be achieved (see Box). These clearly reflect that SEA is in principle a method to assess the environmental impacts of existing decisions or designs. The approach of defining generic principles and goals rather than means and process requirements allows for flexibility in designing the SEA process for a specific situation. Important variables are the set objectives of decision making (policy, plan or program) and the contextual characteristics (e.g. extent of normative conflict, agreement on facts, decision culture, formality of procedures etc.). The most recent documentation can be found at the IAIA web site ([www.iaia.org](http://www.iaia.org)): SEA performance criteria (January 2002)

#### ***Box. Proposed generic principles and goals for strategic environmental assessment***

<i>Principle</i>	<i>Goal</i>
Screening	An appropriate environmental assessment is carried out for all strategic decisions with potentially significant (positive or negative) environmental impacts, by the agencies initiating these decisions
Publication	It is clear to all parties affected by the decision how the assessment results are to be taken into account when coming to a decision
Monitoring	Sufficient information on the actual impacts of implementing the decision is gained to judge whether the decision should be amended
Timing	The results of the assessment are available sufficiently early to be used effectively in the preparation of the strategic decision
Environmental scoping	All relevant environmental information is provided, and all irrelevant information is excluded, to judge whether an initiative should go ahead or whether the objectives of the initiative could be achieved in amore environmentally friendly way
Socio-economic scoping	Sufficient information on other factors, including socio-economic considerations, is available, either parallel to, or integrated in, the assessment
Views of the public	Sufficient information is available on the views of the public affected by the strategic decisions early enough to be used effectively in the preparation of the strategic decision
Documentation	The results of the assessment are identifiable, understandable and available to all parties affected by the decision
Quality review	The quality of process and information is safeguarded by an effective review mechanism

**Appendix 7: A possible matrix to present assessment results**

Impact categories		Category	Biodiversity	Land quality	Forest quality	Surface water quantity	Water quality	Aquatic Resources & Ecosystems	Groundwater quantity	Groundwater quality	Urban air quality	Indoor Air quality	Climate Change	Solid Waste	Quality of nature reserves	Quality of wetlands
Example interventions	Sector															
For categories A, B and C see text For impact scoring see legend at end of table																
<b>Main interventions</b>																
Agriculture	1. Increase productivity of the agriculture sub-sectors with around 4 % per annum	A	-	(-)/ (+)	(-)/ (+)	(-)/ (+)	-	-/+	(-)	.					(-)	(-)
	2. Increase added value of agricultural produce	C														
	3. Strengthen security to land rights and - titles	A	(-)	-/+	(-)										(-)	(-)
	4. Improvement of agricultural research and extension	B, D		(+)			(+)		(+)						(+)	(+)

**Legend**

- blank No or insignificant impact likely
- Significant adverse impact likely
- + Significant positive impact likely
- M Impact mitigated by the plan
- (-) Potential negative impact
- (+) Potential positive impact

## **APPENDIX 8**

### **List of key documents**

#### Documents available prior to site visit:

1. Linking poverty reduction and environmental management , policy challenges and opportunities, a contribution to the WSSD, Consultation draft January 2002 (DfID, EU, UNDP and WB)
2. Poverty-Environment Indicators draft, Priya Shyamsundar, Environment Department WB, March 2001
3. Poverty-Environment Indicators (Alicia Herbert, UK)
4. A user's Guide to Poverty and Social Impact Analysis WB, April 2002
5. Key Environmental Indicators , OECD, 36 p. 2001 (only hard copy)
6. DfID, Environment Policy Key Sheet No. 1, Nov. 2001, Poverty and the Environment, What the poor say (only hard copy) 2p.
7. Idem, No. 2, february 2002, Poverty and the Environment: Measuring the links (only hard copy 2p.
8. Assistance with mainstreaming environment into uganda's poverty planning process, (phase 2) report of first mission 4th to 25th december 2000 dr. paul driver (mouchel) & dr. yacobo moyini (ema)
9. Idem, report of second mission 5th-16th february 2001
10. Mainstreaming Environment into Uganda's PEAP & PMA Report of Second Mission, 28 April – 10 May 2000, Paul Driver, Consultant to DFID
11. uganda: review of sustainable agriculture and its benefits to the environment

#### Documents made available during site visit:

- EPA at glance January 2000
  - Ghana Environmental Action Plan (Volume 1), 1989
  - EPA, Strategic Plan 1999-2003
  - National Land Policy, Ministry of Lands and Forestry, Accra, June 1999
  - Environmental Sanitation Policy, Nov. 2001 Ministry of Local Government and Rural development
  - SEA for the Agricultural Subsector Investment Programme, 2000
12. Kessler J.J. (1999). Strategic Environmental Analysis Toolbox. AIDEnvironment and SNV (Netherlands Development Organisation), the Hague, Netherlands Kessler J.J. (2000). Strategic Environmental Analysis (SEAN): a framework to support analysis and planning of sustainable development. Impact Assessment and Project Appraisal 18 (4): 295-307.