Netherlands Commission for Environmental Assessment

# ESY MAPPING

## Leading to a Multi-Annual Capacity Development Programme

## Egypt


15 May 2020

By the NCEA and SAIEA

# ESY Mapping Workshop facilitated by the NCEA & SAIEA

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| **Title** | ESY MAPPING Leading to a Multi-Annual Capacity Development Programme, Egypt |
| **To** | Ministry of Water Resources and Irrigation, Egypt |
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| **Date** | 15 May 2020 |
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# 1. Summary of the conclusions

This summary of the conclusions identifies the main outcome of the ESY Map and describes the link to the multi annual capacity development plan.

The workshop participants identified much to celebrate in ESIA within the water sector in Egypt. Based on the ESY Map it became clear that within the **ESIA process**, steps such as screening, the need for ESMP as part of an ESIA and to a small extent review is clearly stated in Egyptian law and regulations. However, the start of the ESIA process, its scoping, third party review and follow up is weak or not taken care of within the current legislation. Cross cutting issues such as stakeholder engagement, the presence of ESIA professionals and the use friendliness of the legal system scored quiet well by the participants. However, the timelines are definitely unsatisfactory. Based on the outcome the participants decided that for the coming years the MWRI would like to concentrate on the quality of the ESIA's, ESMP's and the follow up. These are aspects that are within their sphere of influence and can lead to an actual improvement on the ground of for decision making. This could be taken up within the joint programme for the coming years. Another concern was (largely from within HEPS), that certain projects do not get screened, even though they should be screened. This is also something that can be looked at more closely in the programme.

With regards to the **enabling conditions** it is clear, as it is in many countries, that there are insufficient funds available and there is very little awareness of ESIA in Egypt and no professional exchange. However, components of the system are in place, there are well educated professionals, a helpdesk exists, and a monitoring of the system also exists. Based on this outcome the participants agreed that for the next few years it would be very realistic to set up a professional exchange mechanism on ESIA within the Country. Educational systems could still be improved, such as including ESIA course in regular engineering courses. There was also a link made between the fact that capacities exist within the country to set-up a certification system of professionals. This could enhance the quality of the ESIA's and its ESMP's (strong wish from the process analysis). A train the trainer method could work well in Egypt and would make a sustainable approach within the multi annual capacity development programme.

During the section on **capacities**, each 'type' of organisation analysed their own capacities. All the departments of the MWRI represented mentioned the need, and the discussion is already ongoing at various stages within the different departments, to set up an environmental section. The NCEA can assist in the institutional development if requested by the MWRI. Based on the ESY Map, but also on the discussions in preparation of the ESY map, it is clear that SPA deals with relatively many ESIA's at the moment and in future. Therefore, direct on-the-job capacity building can be directly effective within this organisation. During each step it is possible to include and see where there would be an interest from the other departments within MWRI to join in. For the multi annual capacity development plan it would be good to set up a capacity development strategy. In order to improve ESIA within the water sector the EEAA plays an important role. Certain aspects that can be improved within the current legislation could also be something that the NCEA could advise the EEAA on during this programme. At the same time there is a desire to improve the quality of the ESIA's and its ESMP's, through for example a certification system of professionals. There are also shortcomings during the reviewing process within EEAA, which could be picked up during the coming years (e.g. include external

reviewing, change review timeframe within legislation etc.). The collaboration between the MWRI and the EEAA could also increase efficiency within the ESIA process.

Based on the outcome of the section on the ESIA **performance**, the participants identified that it is not clear to what extent ESIA influences the performance and decision making. It was clear for everyone that the ESIA process starts too late. It rarely leads to large scale changes as some decisions are already made at an earlier stage. It was also mentioned that the ESIA is often solely done in order to obtain a permit, which is common in many countries. From this point of view there is a strong wish to improve the quality of the ESIA and its ESMP and improve follow-up on these documents. This could be done during on-the-job training and working directly together with the NCEA on how to do this. It was identified that it would be worthwhile carrying out a study on the actual impact of ESIA within the Water sector. This could be taken up in the programme for the coming years. Another way of improving the performance would be to review the ESIA legislation (e.g. include explicit need to announce the start of an ESIA process, make all stages transparent and accessible to the public).

As described in the introduction of the section, **context** is an important factor that influences ESIA performance, but it cannot be changed by the actors within the ESIA system nor by the programme. Even though certain actions from the programme might have an influence on the context in the long run.

# 2. Introduction

## 2.1 Why is ESY Mapping applied in Egypt?

During a meeting of the high-level Egyptian-Dutch Water Panel in the Netherlands in April 2019, the Netherlands Commission for Environmental Assessment (the NCEA) was invited to present knowledge and experience on ESIA and SEA. Soon after, the Ministry of Water Resources and Irrigation (MWRI) invited the NCEA for a needs-assessment visit. During this visit it became clear that one of the needs by the MWRI, is to improve their EIA process in order to improve the quality of their own work, which can also lead to obtaining more bankable projects by foreign investors.

Even though specific needs came up during the needs assessment visit, it also became clear that it would be beneficial to do a systematic analysis of the quality of the national EIA system in Egypt within the water sector. We define the 'EIA system' as: the EIA process, the enabling conditions for EIA in the country, capacities to perform EIA functions, EIA performance and the national context. The ESY Map tool (developed by the NCEA and SAIEA – Southern African Institute for Environmental Assessment) provides an opportunity to systematically analyse each of these aspects of the EIA system. And more importantly, it presents the opportunity to do this jointly with all relevant stakeholders involved. This participative approach allows a shared view on strong and weak points, and where action is most needed. By jointly agreeing which aspects to prioritise over the coming two years, the workshop outcomes provide a clear direction for the multi annual capacity programme, and the scope of the collaboration between MWRI, the NCEA and the Egyptian Environmental Affairs Agency (EEAA).

For more information on the ESY Mapping tool, please read the **Key Sheet ESY Map** and its handouts, included separately in the accompanying email with this report.

The ESY Mapping workshop took place in Cairo at MWRI, of 13-15th January 2020. The workshop was jointly facilitated by the NCEA and SAIEA. The following organisations were represented and participated actively during this workshop:

- Ministry of Water Resources and Irrigation
    - Planning sector (including DG-NL HLWP and ECCADP
    - NWRC – National Water Resources Centre
    - EPADP – Egyptian Public Authority for Drainage Projects
    - SPA – Shore Protection Agency
    - HEPS – Horizontal Expansion and Projects Sector
- Egyptian Environmental Affairs Agency (EEAA)
- Universities
    - Cairo University
    - American University of Cairo
    - Mansoura University
    - Ain Shams University
- Consultants

Representative of the Netherlands Embassy joined the workshop from time to time. For a full list of participants with contact details please consult Annex 1.

## 2.2 Next steps

Based on the outcome of the ESY Map workshop, the NCEA will elaborate a Multi-Annual Capacity Development Programme. This will be shared and discussed with the Netherlands Embassy in Cairo and with representatives of the MWRI (including representatives of the HLWP). The NCEA has its own financial means and additional needs for financing Egyptian input is envisaged by the Netherlands Embassy's Water and Food Programme, which is being finalised at the same time. The NCEA can commit for the next 2,5 years (2020 – 2022), and might be able to extend, whereas the Water and Food Security Programme will entail approximately 5 years. This will be taken into consideration whilst drafting the Multi-Annual Capacity Development Programme. It is expected that financing from the Water and Food security Programme could start in the latter part of 2020, whereas the NCEA can continue its work immediately.

Progress will also be presented at the HLWP and where possible, alignment with other programmes will be sought.

# 3. Results of the ESY Mapping

## 3.1 Section I: ESIA process

### 3.1.1 Introduction

Approximately half of the questions in the ESY Map are focused on the ESIA process, both the steps in that process as well as cross-cutting issues such as stakeholder engagement. During the workshop in Egypt we first covered these topics more generically at the Quick Scan level, and then covered selected topics more elaborately with the help of the Detailed Scan questions. The topics chosen for a more detailed analysis depended on the outcome of the Quick Scan and were agreed with all the participants. During the discussion it was also considered which items would be of interest to improve for the coming years. Therefore, aspects within the ESIA process that might have a low score may also not be chosen as the participants do not believe this can be realistically improved within a few years, given the circumstances and context of Egypt.

The results section below includes two graphs: the first on the ESIA process steps, and the second on the cross-cutting issues. In the graphs we see a single dotted line for those aspects that were evaluated at the Quick Scan level during the workshop. Where the lines splits into two (orange and blue), we looked at that topic in more detail, which generates separate scores for legal requirements (orange) and practice (blue). The results of each aspect of the ESIA process is given below.

### 3.1.2 Results and Discussions

**Screening and start of ESIA procedure**

The very beginning of the ESIA process is characterised by screening (the decision on whether ESIA is needed) and the official start of the procedure. These topics were analysed at the quick-scan level.

The need for screening is set out in the Law and Regulations and elaborated further in the EIA guidelines. There are three screening categories: A: for projects with a minimal impact on the environment; B: for projects which may have a moderate impact on the environment; and C: for those projects which will have a significant impact. The participants scored this as 65/100 because the threshold limits are not very clear and as a result, some projects avoid a full EIA (Figure 1). When a project is screened as category C, an ESIA needs to be carried out, however there is no official announcement of the start of the formal ESIA process.

**Scoping**

Scoping, as a separate formal step of the EIA process is not set out in the law or guidelines, so there is no formal approval stage on the submission of a scoping report. In practice, consultants go to EEAA to agree on the scope of the ESIA in order to avoid surprises, but this is an area which requires further elaboration in both the regulations and guidelines. As a result, the participants scored this step as 25/100.

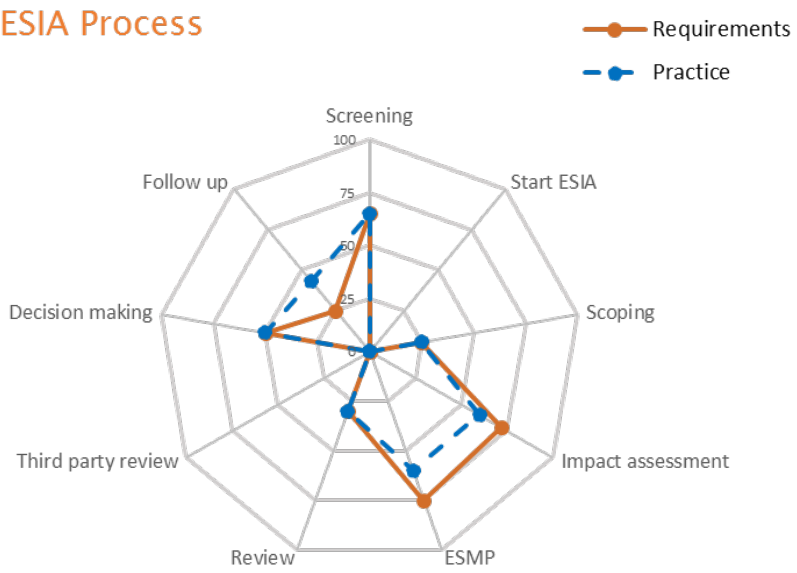


**Figure 1: Results for each step of the ESIA process**

**Impact assessment**

During the Quick Scan stage, the participants gave a score of 50/100 for the Impact Assessment stage of the ESIA. During the discussion it was indicated that there are some problems with both the legal requirements and ESIA practice in the country and so this aspect was also subjected to a Detailed Scan to determine where the key problems lie. However, during the Detailed Scan, it was determined that in fact most issues listed are already covered in the EIA regulations and guidelines, or in other laws such as those dealing with labour and compensation. Nevertheless, it was noted that the regulations do not require consideration of associated facilities, traditional knowledge, suppliers, vulnerable groups and mitigation hierarchy. In addition, the Law No 4/1994 on the Protection of the Environment, as amended by Law No. 09/2009 does not provide a preamble with the basic principles of environmental management such as sustainability, precautionary principle, polluter pays principle et cetera.

The EIA guidelines on the contents of the EIA report are quite clear and inclusive except:

- gender-specific information is not required;
- ESMPs are not required to include/address the mitigation hierarchy, mitigation costings, and demonstrated feasibility;
- identification of gaps in knowledge and assumptions in the EIA findings;
- identification of those responsible for compiling the EIA;
- transboundary impacts (mainly due to the geography of Egypt, where most developments take place internally), therefore not an issue that needs to be dealt with at the moment.

The overall score for ESIA legislation was determined to be 72/100.

In terms of practice, it was reported that 60% of projects in the water sector are financed by international financial agencies and therefore they meet the legal requirements for ESIA, but the rest do not. On this basis, a score of 60/100 was allocated (Figure 1). It was noted that one

of the main reasons for inadequate ESIAs was the lack of an accessible and detailed database for the country (see s. 2.5 for more on this issue), as the database is too general to be useful.

### Environmental and social management plans (ESMPs)

The Quick Scan score for ESMPs was a low 30/100 and therefore this aspect was identified as requiring a Detailed Scan.

The EIA guidelines (which are deemed to part of the legal requirements as they are referred to in the Regulations) require an ESMP to be prepared as part of the ESIA report for all categories of project (A, B and C). The guidelines specify what should be included in the ESMP, but this is not an exhaustive list and falls short of international best practice. The participants gave the legal requirements for ESMPs a score of 75/100. It was felt that in practice, the ESMPs could be improved to be more practical and easier to implement and therefore the score for practice was lower at 60/100 (Figure 1). It was noted that there are challenges in preparing and implementing ESMPs due to a combination of inexperienced consultants and a lack of awareness about environmental management by contractors and the supervising engineers. It was also noted that there is lack of enforcement of the ESMPs.

### Review and third-party review

The review process received a relatively low Quick Scan score of 30/100 due to two main reasons: the ESIAs are not reviewed by the different departments and agencies of MWRI prior to sending the documents to EEAA, and EEAA do not use a standard, formal checklist for report reviews. Without specific training on how to review ESIA reports for staff in both the MWRI and EEAA, it is not surprising that participants felt that this was a weak aspect of the ESIA approval process.

Even though the EEAA can hire consultants to conduct a review of an ESIA report for them (paid by EEAA), there are no specific ToRs for hiring experts which specify the scope and nature of the review to be conducted and the minimum qualifications required. Furthermore, the external consultant's review reports are not made public. This aspect of the law scored zero (Figure 1).

There is no third-party independent review. However, there is a growing trend internationally, to include a provision in the law for environmental authorities to appoint external, independent reviewers to conduct reviews at the proponent's expense for complex or controversial projects. These review reports are also disclosed to stakeholders to promote transparency.

### Decision making and accountability

The Law No 4/1994 on the Protection of the Environment, as amended by Law No. 09/2009, the Executive Regulations of the Law for the Environment, Decree No 338 of 1995, modified by Decree No 1741/2005 and the EIA guidelines specify that decisions on all categories of projects must be made within 30 calendar days. This was generally thought to be far too short for category C projects – forcing EEAA into rushed decisions, but too long for category A applications. In some cases, the EEAA requests more information from the proponent on day 29 to buy some more time. This is clearly an unsatisfactory situation and there was wide agreement that 60 days would be an appropriate time frame for category C project decision making (in line with international best practice). This aspect scored 50/100 in the Quick Scan (Figure 1).

### Follow-up (compliance monitoring and auditing)

This aspect received a score of 25/100 during the Quick Scan and was selected for further examination using the Detailed Scan, where it scored 25/100 for legal requirements and 43/100 for practice (Figure 1).

Much more clarity is required on the roles and responsibilities of the various regulatory authorities when it comes to monitoring compliance during construction and operation of a project. (EEAA is only responsible up to the end of construction; often another agency can be responsible for monitoring compliance during project operation). Such as – the project owner and other stakeholders e.g. line ministries, local authorities and governorates have responsibility as well. It was noted that the EEAA Inspectorate is understaffed.

The ESMP is part of the ESIA and therefore approved at the same time. However, the ESMPs are usually not specific enough to use in the field by the inspectors and are not adequately transferred from the EIA reviewers to inspectors. The requirements of the ESMP need to be set out in a site manual, standard operating procedures or method statements for ease of use on site.

It was observed that there is greater attention to follow up monitoring when the project is funded by one of the larger international financial institutions (IFI). But this is within an organisational arrangement imposed by the IFI, i.e. not within the standard, national operational system.

### Stakeholder engagement and access to information

This aspect received a score of 50/100 in the Quick Scan and delegates identified it as a topic for further consideration in the Detailed Scan, where it scored 54/100 (Figure 2).

Stakeholder consultation is required by law, but as there is no defined scoping stage, the public are not often consulted during this important stage of the ESIA process when preliminary designs are being considered. Although, there are examples, where individual meetings with stakeholders take place during the scoping phase, but this depends more on the person responsible. It was noted that stakeholders are usually consulted too late in the process (i.e. after final designs have been approved) so that their input has little influence over project design. Holding a public hearing at this stage (as required by law) is of little overall value.

Some of the key observations relating to stakeholder engagement were:

- The definition of 'stakeholders' is not clearly defined in the law or guidelines, which means that affected parties are often not consulted.
- The levels of environmental awareness amongst the general public are low and people do not know or understand their rights in terms of the law relating to consultation.
- The public is not given access to the full EIA report.
- There is no requirement in Egyptian law for a formally approved Stakeholder Engagement Plan, which is typically a requirement of international financial institutions.
- Objections by the public to a project have to go through the civil courts which can take a long time and is costly.

- Only the proponent is allowed to appeal a decision by EEAA through the legal ESIA process.

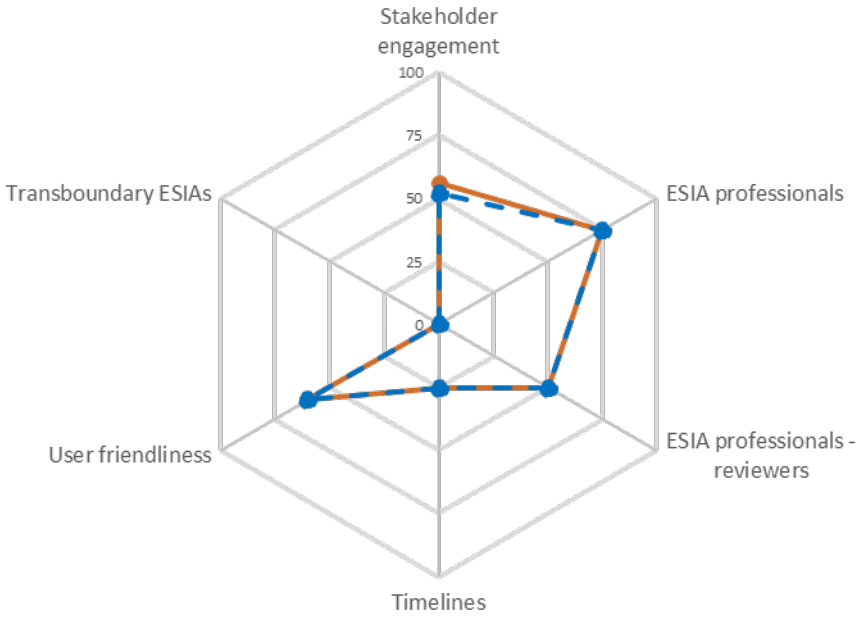


**Figure 2: Scores for cross-cutting issues**

**Environmental Assessment professionals – consultants and reviewers**

The law and regulations require consultants to be certified on the basis of their EIA reports, education, and experience. Applications are screened by a committee in EEAA. Certified practitioners need to renew their licence every 5 years, but at present, there are no mechanisms available to reject licence renewal requests on the basis of consistently poor-quality EIA reports. As a result of this legal requirement, ESIAs are mostly undertaken by appropriately qualified professionals and participants gave this component a score of 75/100.

The system, as set out in the guidelines, is that ESIA reports for category C projects should be reviewed firstly by the competent administrative authority (i.e. MWRI departments and agencies) before being sent to the EEAA for review and approval. The participants agreed that there is little capacity within MWRI to review ESIA reports, but there are qualified personnel in the EEAA. However, EEAA review staff are not required to be certified under a professional certification scheme. In view of these weaknesses, this aspect scored 50/100 (Figure 2).

**ESIA procedural timelines**

The law only contains one procedural time limit and that is for ESIA report review by EEAA. This was originally set at 60 days in the 1994 Act (Law No. 4/1994), but this was reduced to 30 days in the amendment of this law in 2009. As mentioned above, this timeframe is considered to be too short for the review of category C ESIA reports. This aspect thus scored 25/100 (Figure 2).

**User-friendliness**

There was consensus that the legal framework for ESIA in Egypt was working and easy to follow. It thus scored 60/100.

**Transboundary ESIAs**

This is not really an issue in Egypt because very few (if any) projects have a transboundary component because almost all development is far from an international boundary and Egypt lies at the downstream end of the Nile River. The issue was raised when the Suez Canal was widened, and transboundary issues were assessed, but this was not because of the law, which does not mention transboundary procedures.

Egypt has signed some international conventions e.g. the Barcelona Protocol where impacts on the Mediterranean Sea need to be considered in projects which may affect the marine environment.

## 3.2 Section II: Enabling Conditions

### 3.2.1 Introduction

The ESY Map covers a number of enabling conditions that are important to have in place, in order to facilitate good practice ESIA in a country. These conditions are not specific to one step or one actor in the ESIA process but benefit the overall ESIA process and all the actors that play a role in it.

**Results and Discussions**

The enabling conditions for effective ESIA practice in the country were reviewed by the group. Aspects scoring highly included:

- the legal framework;
- the EEAA website and communication system (although this was debated at some length);
- self-monitoring of EIA system operation, resulting in regular reviews and updates of laws, regulations and guidelines;
- some good quality, graduate-level education on environmental management in many universities (Figure 3).

However, the fact that the main aim of the ESIA is often not sufficiently clear at all levels within the government, the lack of adequate financial resources within EEAA to effectively fulfil its mandate, as well as the lack of any form of professional society or association, were all considered to be weaknesses in the enabling environment (Figure 3).

During the discussion it was also noted that the Law No 4 of 1994, which was amended in 2009 (and 2004), is now rather out of date and does not address many emerging issues e.g. climate change, health, resettlement, etc. It is very focussed on pollution (water, air, land), with little on social and health impacts or on the impacts on biodiversity, climate change, resource conservation, etc. This may be due to the fact that the definition of the term 'environment' in Law No 4/1994 is "the biosphere which encompasses living organisms together with the substances it contains and the air, water and soil that surround it, as well as the establishments set up by man". The term 'establishments' is further defined as: industrial facilities, tourist facilities, energy-generation and extractive industries, infrastructure projects and others that may impact the environment. This is a very narrow definition of the term 'environment' and fails to encompass the fact that social and ecological systems are an intrinsic part of the

environment as well. This is rectified to a certain extent in the guidelines, which require the environmental description in an ESIA report to include the project area in terms of "the physical, biological, social and cultural environments." Further elaboration of the social environment is rather narrow and does not include resettlement, health and gender for example.

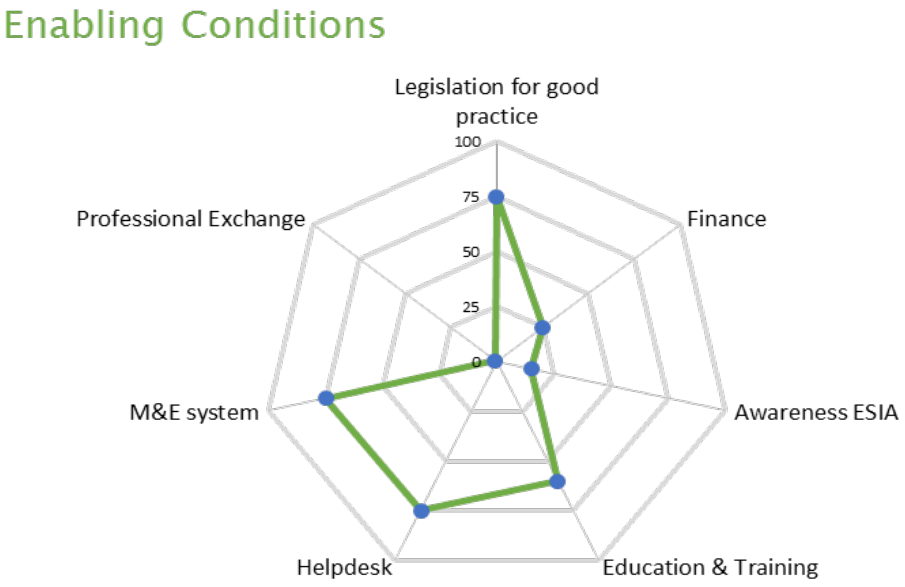


**Figure 3: Scores for enabling conditions**

The average score for Enabling Conditions was 46/100, which reflects some of the issues discussed above.

## 3.3 Section III: Capacities

### 3.3.1 Introduction

Within a given ESIA system, there are a range of actors that have an important role in ESIA practice. The ESY Map looks at the capacity of a country-specific selection of these actors to fulfil the role allocated to them. The actors themselves analyse their own capacity in the workshop, using a set of customised questions on different sub-components of capacity.

### 3.3.2 Results and Discussions

The assessment of capacities was undertaken at the Detailed Scan level by groups comprising each of the main organisations present: EEAA and the individual units/agencies within MWRI i.e. the Shore Protection Agency (SPA), the Horizontal Expansion and Planning Sector (HEPS), the Egyptian Public Authority for Drainage Projects (EPADP) was joined by NWRC. The scores for each government group are shown in Table 1 below and the overall scores are depicted in Figure 4.

**Table 1: Scores for questions on capacities – government organisations**

| Questions relating to: | Max score | EEAA | SPA | HEPS | EDADP NWRC |
|---|---|---|---|---|---|
| Mandate, structure and resources for ESIA | 25 | 15 | 20 | 11 | 10 |
| Management | 25 | 15 | 11 | 16 | 20 |
| Expertise | 25 | 12.5 | 11 | 13 | 15 |
| Maintaining strategic relations | 25 | 15 | 8 | 16 | 15 |
| **Score (out of 100)** | **100** | **57.5** | **50** | **56** | **60** |

Table 1 shows some significant differences in how each of these agencies rate themselves regarding the questions on mandate, management, expertise and maintaining strategic relations, but the total scores for each are similar.

The comments made by each group are summarised in Table 2.

**Table 2: Summary of comments on capacities by each organisation**

| Organisation | Mandate, structure and resources for ESIA | Management | • Expertise | Maintaining strategic relations |
|---|---|---|---|---|
| EEAA | Three weak areas:<br>• Leadership;<br>• No. of staff available;<br>• Information management systems. | There is a vision, but regular planning meetings are not held and encouragement of learning is not good. | • There is no regular training to improve expertise;<br>• Shortage of staff, finance and resources. | • There are no platforms and networks for information exchange;<br>• Sharing of data and information is limited. |
| SPA | An office for managing ESIAs has not yet been established | | There is limited expertise to review ESIAs and no training on review has been received | Little cooperation or active participation in ESIA review or implementation |
| HEPS | • Legal text is enough, but not well applied;<br>• Data sharing is a problem;<br>• There is not enough staff and equipment available. | • Little encouragement for learning and exchange – depends on the manager;<br>• Decision making and communication are adequate;<br>• Could be more coordination meetings and workshops. | Experience is available in other institutions but not in our Department. | • Good cooperation and communications with other ministries;<br>• No active participation in platforms and networks;<br>• Sharing of data: OK when asked by other Ministries, but insufficient in |

| | | | | |
|---|---|---|---|---|
| | | | | sharing with public. |
| EPADP, NWRC | There is a lack of equipment, mandate, guidance, and review checklist. | EPADP/NWRC are involved in all the studies commissioned by WB etc. | | Good relations with other ministries and research institutes. |

Another group was formed by the consultants and academics from various universities, who had a slightly different set of questions relating to capacity compared to the government agencies, as shown in Table 3.

**Table 3: Scores for questions on capacities – consultants and academics**

| Questions relating to: | Max score | Consultants and academics |
|---|---|---|
| Resources for ESIA | 40 | 30 |
| Expertise | 30 | 20 |
| Maintaining strategic relations | 30 | 0 |
| **Score (out of 100)** | **100** | **50** |

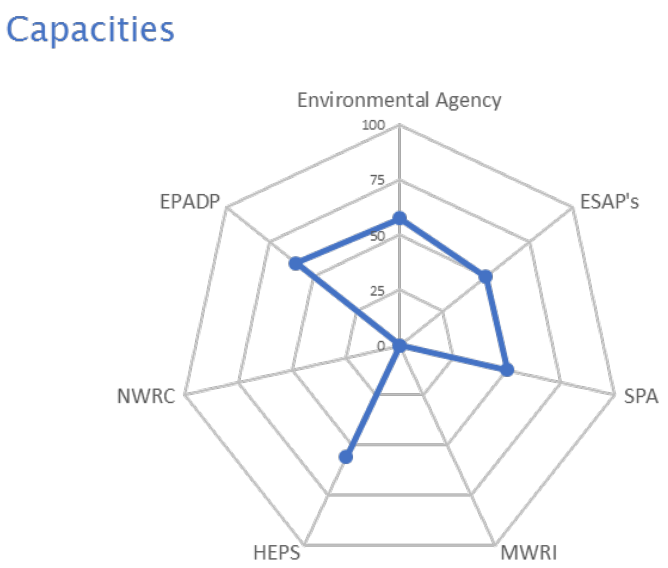


**Figure 4: Results of the group assessments of capacities**

This group commented that there was good experience in the country for undertaking ESIAs, but not enough tertiary level education on ESIA at undergraduate level and an insufficient number of professional training and development courses being offered. The lack of easy access to national data sets and sharing of information through professional platforms were highlighted as key weaknesses.

## 3.4 Section IV: Performance

### 3.4.1 Introduction

The "performance" section of the ESY Map is about the difference that the ESIA is making in project design, decision making and, implementation and operation. Questions are also asked to check whether ESIA's are in fact leading to better projects, and avoidance of negative environmental and social impacts in practice.

### 3.4.2 Results and Discussions

The analysis of ESIA performance in the country was undertaken by the whole group at the Quick Scan level only. The scores for each of the four questions were below 50%, indicating some serious weaknesses regarding the impact and influence of ESIA on project outcomes and decision making.

**Synchronisation of the ESIA with the project life cycle**

It was understood that ESIAs often are conducted too late in the project life cycle – often after the final design has been completed, or that there was little integration of the various ESIA steps in the project life cycle e.g. that scoping should take place during the pre-feasibility stage so that alternatives can be given due consideration and that the public can comment on the proposed project. As a result, this question was given a score of 25/100.

**Do ESIAs influence decision making?**

It was agreed that this only happens on very rare occasions. Only 4 out of 4,000 applications (for all categories of projects) were rejected last year, usually on the basis of the project's proposed location. However, it is important to mention here that the ESIAs that are carried out, do have some influence on decision making. Discussions that take place between the consultants and the project promotor can already influence decision making and also during review and comments. However, little is known about this in terms of quantity of projects impacted. This question scored 25/100.

**Do ESIAs influence outcomes on the ground?**

This scored 50/100, based on the fact that those projects which are funded by international financial institutions e.g. the World Bank, do have better outcomes due to the ESIA than those which are not subjected to the same standards.

**Do ESIAs lead to learning amongst stakeholders involved?**

The participants unanimously agreed that ESIAs rarely lead to learning by the stakeholders, thus a score of 25/100 was assigned to this question.

## 3.5 Section V: Context

### 3.5.1 Introduction

This section of the ESY Map covers contextual factors that influence how effective ESIA can be in a given country. They are different form the enabling conditions in Section II, in that the

contextual factors are generally outside of the ESIA system itself, and often more difficult to change by actors within the ESIA systems.

### 3.5.2 Results and Discussions

This set of questions regarding the national context for ESIA in Egypt was discussed by the entire group at the Quick Scan level. The average score for the set of questions was 49/100.

**Are environmental and social norms and standards in place?**

Yes, and the Executive Regulations (ERs) (which contain the environmental standards) are updated frequently with input from many different Ministries. This aspect scored 100/100 (see Figure 5).

**Is the rule of law sufficient for successful ESIA system implementation?**

The proponent can appeal decisions made by EEAA in terms of the provisions of the Law and Regulations, but other people who want to object to project approval have to resort to the civil courts, which is a very slow and expensive system. This question scored 75/100.

**Is there adequate media coverage of environmental and social issues and ESIA?**

It was generally agreed that media coverage of environmental and social issues is unprofessional and is usually only triggered by a major national or international event e.g. relating to climate change. A score of 25/100 was given for this question (Figure 5).

**Do environment and social issues feature prominently in the national discourse e.g. during election campaigning?**

Yes, especially sanitation and wastewater treatment issues, which feature highly in municipal elections. There is no Green Party as such, but there are some 'green' NGOs in the country, although their profile is rather low. However, as environmental and social issues are seldom covered in the media, there is little national discourse on these matters. This question received a score of 25/100.

**Is there a sufficient and accessible knowledge infrastructure for ESIA?**

This was unanimously rated as poor (20/100). Some of the key challenges relating to data and information access include:

- Having to pay for most data e.g. geological and soil maps.
- Usually confidential.
- 'Ownership' issues.
- It takes a long time to get data even when requested through the correct channels and payment is required.
- University research is published in journals, but the raw data are not available (except through personal contacts). The same can be said for MWRI's annual reports on water quality, for example.
- The government institutes that hold the data do not make it readily available to non-government users, but there is a greater degree of data exchange between ministries.
- People have no idea what databases are available, even if they were accessible.
- Projects being financed by international finance institutions make their information available. However internal information within the country is less easily accessible.

**Is ESIA practice free from corruption and political interference?**

Some projects bypass the ESIA process, with larger government projects having a greater chance of interference. This question received a score of 50/100 (see Figure 5).

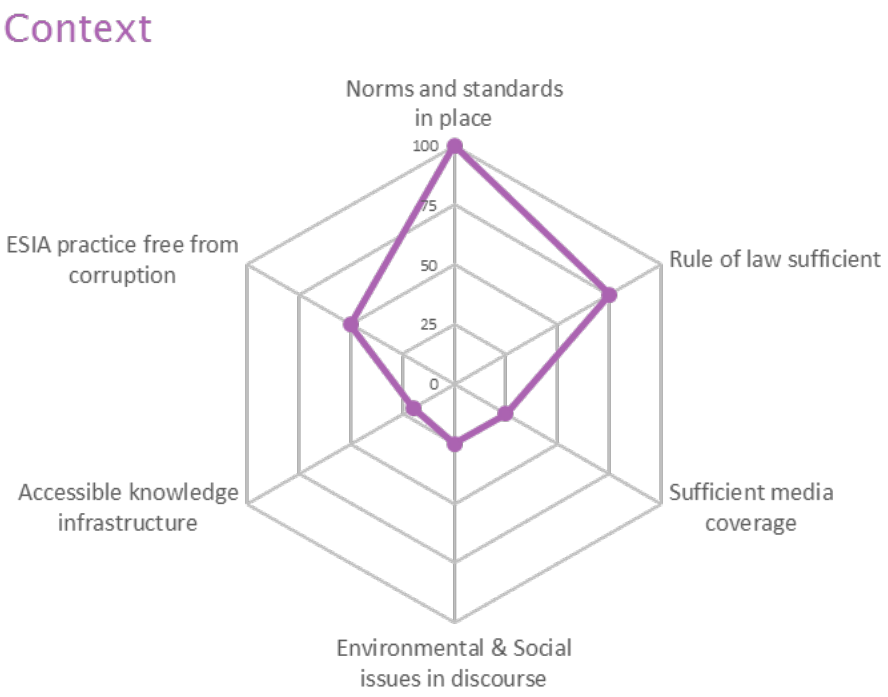


**Figure 5: Scores for questions on ESIA context**

**Prioritising certain aspects from the ESY Mapping Quick Scan**

Based on the Quick Scan a selection of aspects of the EIA system was made that would seem most effective and efficient to focus on for the coming 3-5 years. The following aspects were chosen:

- ESIA process, Impact Assessment (including alternatives and scoping was also part of this)
- ESIA process, ESMP
- ESIA process, follow-up
- ESIA process, stakeholder engagement

The above-mentioned sections within the EIA process are the responsibility and sphere of influence of the participants present at the workshop and focus on these would enhance the collaboration between the various stakeholders. It is realistic to achieve visible changes within the next couple of years.

From day one it was clear that several additional results could definitely have a very quick and positive influence on the EIA process and could be described as 'low-hanging fruit'. These include for example setting up a professional exchange mechanism. This will be dealt with, but there was no need to elaborate in more detail using the detailed question of the Quick Scan.

# 4. Action plans – Basis for multi-annual Capacity Development Programme

During the workshop the various groups drew organograms for the discussion. These are not official organograms and are therefore not presented in this report.

## 4.1 Introduction

On the third day of the workshop, the participants were divided into groups based on the organisations they represented and asked to indicate how many and what kind of category C projects they deal with, before identifying an action plan for their organisation. Unfortunately, the Department of Mechanical and Electrical Engineering of the MWRI was not present but that they do deal with the following category C projects:

- *511 – Hydropower plants* – approximately six large EIAs have been done over the past 5 years and some smaller projects were currently at the planning stage. It was recommended that a meeting should be held with the Department of Mechanical and Electrical Engineering in the near future. There are also several old barrages that are being rehabilitated.

Another stakeholder that was not present was the Holding Company, which is responsible for the provision of drinking water and wastewater treatment. They deal with the following category C projects. These projects are the responsibility of the Ministry of Housing:

- *55 – Wastewater treatment plants including sanitation systems*
- *56 – Public/central construction of water treatment or desalination plants*

It is believed that there are EIA needs here as well and that there are no guidelines for these types of projects.

## 4.2 SPA

The Shore Protection Agency is actively involved in the EIA and SEA process. Based on the list of category C Projects in the EIA guidelines, the following were identified:

- *57 – Establishment of quays* – More than 50 EIAs for small boat harbours (quays and jetties) were dealt with over the past 2 years.
- *67 – Combined marinas* – two EIAs have been done over the past 5 years.
- *68 – Any installation or construction inside the shoreline area or offshore* – about five shore-related EIAs per year.

All projects at SPA fall under category C. The Research and Study Central Department is required to do a technical study after which the consultant is asked to complete the technical

[1] The numbers indicate the numbered activity in the EIA guidelines

study with an EIA. This is then submitted to the EEAA. The Central Department carries out any additional studies identified by EEAA.

There is a real need for synchronisation of the project and EIA life cycles (see s. 2.4 above). They do a full feasibility study first and then start with screening. Scoping and EIA are done at the tendering stage. They tend not to do an ESMP or compliance monitoring. There is no requirement for an operations Environmental Management System (EMS), nor auditing and monitoring of the operations phase. Closure plans are not required.

The group identified a real need for SPA staff who can deal with the ESIA process. They should to be trained in review and project compliance monitoring and be able to elaborate clear ESIA guidelines for coastal zone developments.

Within the Integrated Coastal Zone Management (ICZM) Plan (to be developed and co-funded by the Government of Egypt, Green Climate Fund and the UNDP, several EIAs are expected to be carried out in relation to measures to prevent coastal erosion and a Strategic Environmental Assessment will be carried out during the process of elaborating a long term ICZM plan. The 'coaching' that the NCEA could provide to SPA for the SEA has been discussed separately and will be included in the multi-annual Capacity Development Programme.

At present the SPA does not have an Environmental Department but they have indicated that this is being discussed and proposed at present as an important way forward to improve their work in this field.

Based on the above the SPA identified the following action plan to be included in the programme, see Table 4 below.

**Table 4: Action plan for the Shore Protection Agency**

| | Issue | Action | Who | When | Priority |
|---|---|---|---|---|---|
| 1 | No EIA trained staff | Capacity building needed | SPA | ASAP, over the next 3 years | High |
| 2 | No clear EIA guidelines for coastal developments | Capacity building and Development of EIA guidelines for coastal developments | SPA & EEAA | ASAP, over the next 3 years | High |
| 3 | No trained field officers for compliance monitoring | Capacity building of field staff | SPA | ASAP, over the next 3 years | High |
| 4 | No SEA | Develop SEA, start with ICZM component | SPA & EEAA | Project lifetime | High |

## 4.3 HEPS

The Horizontal Expansion and Projects Department within MWRI deals with EIAs in relation to land expansion. This concerns the following category C projects:

- *39 – Land reclamation projects for more than 2000 feddans or more than 400 feddans in a protected area* (they have received about 2 or 3 EIAs over the past 5 years).

- *63 – Construction of waterways* – Question: is this is dealt with within HEPS and are EIAs carried out?

The group indicated that more projects should have been subjected to EIA but they were not, for reasons not specified here. A clear screening system is lacking. Within HEPS there is no environmental unit but the process to establish one is underway. The HEPS group developed the action plan in table 5.

**Table 5: Action plan for the Horizontal Expansion and Projects Sector**

| | Issue | Action | Who | When | Priority |
|---|---|---|---|---|---|
| 1 | Establish ESIA Unit within HEPS | Currently preparing a proposal (mandate, roles, etc) | Head of Design Department | 2 weeks | Medium |
| | | Approval process | Head of HEPS and IW (??) Department | 6 months | Medium |
| 2 | Impact assessment 'screening' | • Look at project life cycle in relation to EIA<br>• look at scoping in pre-feasibility stage and EIA/ESMP at feasibility project stage | Head of HEPS | | |
| 3 | Capacity building | Training courses on:<br>• Preparing ESIA (train about 2-4 staff members<br>• Preparing feasibility studies for small & medium projects (about 12 staff members)<br>• Preparing TD (technical design or TOR) for Mega projects (6 staff members) | Head of HEPS, staff to be trained from relevant departments and responsible for ESIA, Design department and contract implementation | ASAP | High |

## 4.4 EPADP

The Egyptian Public Authority for Drainage Projects (EPADP) has an environmental unit of approximately 8 people and a regional affairs unit in each governorate. Under the environmental unit there is a quality control department and a monitoring and evaluation department. The EIA guidelines and regulations are available/known. The following category C projects are within their mandate:

- *64 – Large-scale irrigation and drainage projects, dams and barrages* – EPADP indicated that about 2 EIAs were reviewed over the past 5 years.

## 4.5 Environmental assessment practitioners, academics and researchers

During the workshop the various representatives from the universities, research centres and consultants worked together on this action plan. It is important to mention that recently, supported by USAID, centres of excellence have been set up on energy, agriculture and water. This could provide an opportunity to incorporate EIA and SEA learning and research within each of these centres. Setting up a professional network or platform for ESIA professionals in Egypt received a lot of enthusiasm from this group. It was clear for those present that engineering degrees within Egypt are very technical and that the future generation of engineers could benefit from getting more 'socio-ecological engineering' and ESIA types of compulsory courses. The action plan for this group is presented in Table 6.

**Table 6: Action plan of EIA Consultants and Universities**

| | Issue | Action | Who | When | Priority | Comments/discussion |
|---|---|---|---|---|---|---|
| 1 | How to improve data accessibility in the water sector | • Include fees for data<br>• Provided by CAPMAS<br>• for classified data, analysis to be done by the entity (MWRI, Research Institutions | National research Institute and CAPMAS | 2 years | High | It was suggested that a meta data set could be put on EEAA and MWRI websites to advise users which data are available, where and how to obtain it |
| 2 | Inclusion of ESIA courses at undergraduate level, post graduate level (in water sector) | • Stand-alone ESIA/SEA courses<br>• Revise existing courses or add courses | EEAA, MWRI, SPA, University Departments | 6-12 months | High | |
| | | • Integrate E&S aspects in current professional courses. Result will be a more mainstreamed and integrated approach (training the | University Departments | 6-12 months | Medium | |

| | | | | | | |
|---|---|---|---|---|---|---|
| | | academics to do so, train the trainers) | | | | |
| 3 | Professional training & development of courses | • Establish society of ESIA professionals and organise courses through the society | Syndicate of Engineers and Science | | High | There is a strong link with the certification system of consultants registered at EEAA. Create levels of certification and renewal system (every 5 years), with a course that you need to pay for. |
| | | • Develop a diploma in ESIA (local university in cooperation with international university)<br>• Develop courses on-line | Society and universities, supreme council of universities | | Medium - high | It is noted that there are courses available online already, so use them or be inspired by them |
| | | • Set up a Centre of Excellence in Environment/ESIA (see comment, will be taken up in the programme) | | | | Recently separate centres of excellence were set up for water, agriculture and energy. So, there is an opportunity to include environmental /sustainability issues into these existing centres |

| | | | | | | |
|---|---|---|---|---|---|---|
| 4 | Research on EIA effectiveness in the water sector | • Case studies (good and bad)<br>• MSc & PhD degrees, involve researchers from entities to get academic degrees | • MWRI, Universities<br>• Initiated by National research institutions, EEAA | | | |

## 4.6 NWRC

Even though the National Water Research Centre (NWRC) is part of the MWRI, they also play a role as consultant and participated within the Consultants and Academics group for the action plan. Within the Environmental and Climate Research Institute (ECRI) of NWRC there are about eight licensed people in the Environmental Department, plus four more unlicensed staff. The Environmental Department falls under the Environment and Climate Research Institute (ECRI). An EIA unit falls under the Environmental Department which is responsible for monitoring. There is an agreement in place with EEAA to get staff licensed and they carry out EIAs for submission to EEAA. They also appoint private-sector consultants and work with other sectors, not just the water sector, for instance housing.

In addition, there is a climate change department and a department responsible for the implementation of UN conventions, for instance the Barcelona Protocol – both of these fall under the ECRI. They also have an environmental laboratory which submits data to EEAA.

It was remarked that the EIA and project life cycle processes are mostly sequential rather than in parallel. It was recommended by the group that this flow diagram (the synchronisation of the EIA and project life cycle steps) could be included in a protocol to improve procedures.

## 4.7 EEAA

The EEAA is responsible for the EIA process within Egypt. There are many different departments or units (e.g. industry, construction, tourism, etc.). Within the Tourism Unit they deal with more than 100 EIAs per year. This is based on the following category C projects:

- *65 – Tourism developments, tourism centres and resorts*

At present the legislation is being updated and an important improvement for EEAA would be to increase the review period from 30 to 60 calendar days. There is a strong need to improve the start of the EIA process and the follow up. For the follow up, it is emphasised that not only the EEAA should play a role but also other formal governmental organisations e.g. local governments, governorates and line ministries. In order to improve the quality of the EIAs, EEAA is looking at improving its existing certification system for consultants. The EEAA identified the following action plan (Table 7).

Table 7: Action plan Egyptian Environmental Affairs Agency

| | Issue | Action | Who | When | Priority |
|---|---|---|---|---|---|
| 1 | Out of date law, regulations and guidelines | • Accreditation of reviewers<br>• Increase reviewing time from 30 – 60 days<br>• Follow up procedures<br>• Categorisation of penalties according to list of projects | Ministry of Environment, CEO of EEAA during the work committee, different technical departments, stakeholders, parliament approval | 2 years | High |
| | | Update to include stakeholder engagement plan in ESIA, update of screening lists | Head of sector and CEO, (include during execution the technical department, board, CEO to sign | 6 months | High |
| 2 | Administrative process | Reviewing and follow up<br>• developing TORs<br>• change job descriptions<br>• Training scheme<br>• develop checklist for<br>• Reviewing EIA report<br>• Activate follow up Department | HS, training department, HR, teamwork, external expertise | updated | High |
| 3 | Certification of reviewers and consultants | • TOR for selection of external review consultants<br>• Modification of the law<br>• Elaborate the certification procedure<br>• Establish a committee of certification<br>• Internal or external reviewing | Consultant and HS, HR, administrative department, EIA specialist | 6 months | Medium |
| 4 | Inter-ministerial communication | Committee | Stakeholders, CEO | Continuous | High |

# Annex 1: List of Participants

List of Participants for the ESIA Mapping Workshop (13-15 January 2019)

| | Name | Position | Organisation | Email Address |
|---|---|---|---|---|
| 1 | Eng. Walid Hakiki | Planning Sector and EG-NL HLWP | MWRI | walidhakiki@yahoo.com |
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| 23 | Dr. Sayed El Tohamy | SWERI | ARC, MALR | |
| 24 | Dr. Mohamed El Kholy | Prof. at SWERI | ARC, MALR | |

| | Name | Position | Organisation | Email |
|---|---|---|---|---|
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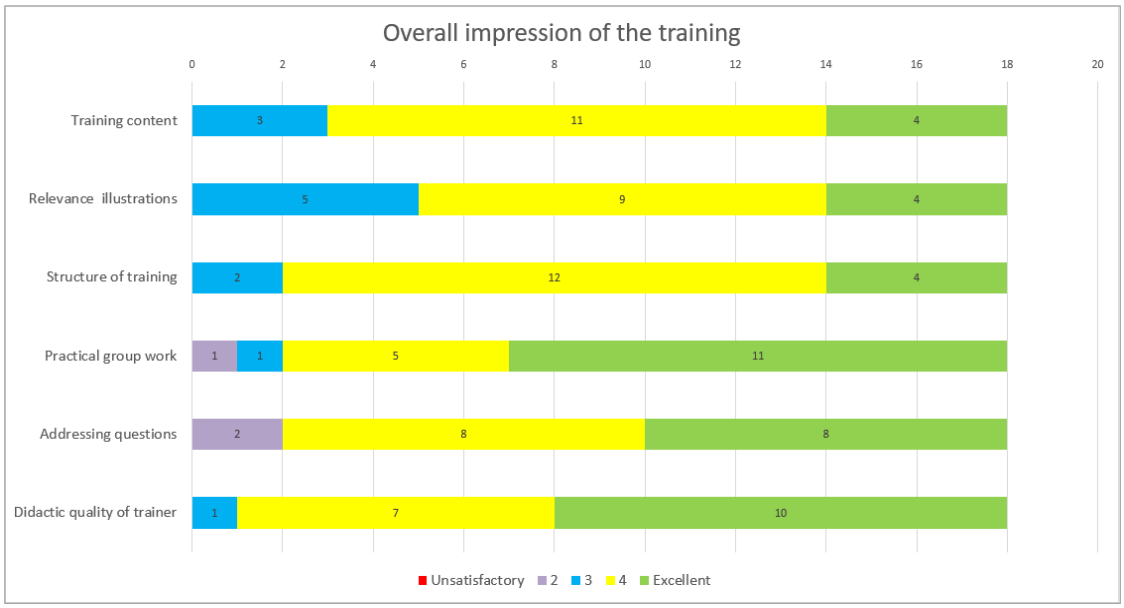
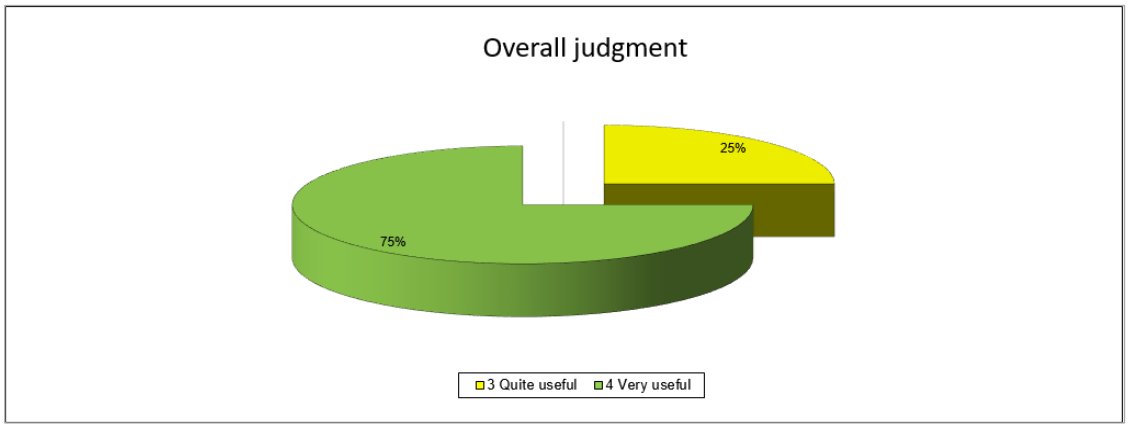
| 28 | Amany salah | GM at EEAA | EEAA, MoE | amany salah@msn.com |

# Annex 2: Evaluation of the workshop

Based on this evaluation we can conclude that the workshop went well and reached the expectations of the participants. 75% of the participants experienced the workshop as 'very useful' and 25% as 'quite useful'. Important conclusion was the need to clearly emphasise the main aim of the workshop (is it training or a working session) and to align the evaluation form as such. This recommendation is useful and the CNEA has already made changes to the evaluation form for a next ESY Map workshop.



# Annex 3: List of Abbreviations & venue

ARC Agricultural Research Center
AUC American University in Cairo
DRI Drainage Research Institute
ECCADP Enhancing Climate Change Adaptation in the North Coast and Nile Delta Regions in Egypt Project
ECRI Environment and Climate Research Institute
EEAA Egyptian Environmental Affairs Agency
EPADP Egyptian Public Authority for Drainage Projects
HEPS Horizontal Expansion and Projects Sector
HLWP High Level Water Panel
MALR Ministry of Agriculture and Land Reclamation
MoE Ministry of Environment
MOIC Ministry of International Cooperation
MWRI Ministry of Water Resources and Irrigation
NCEA Netherlands Commission for Environmental Assessment
NWRC National Water Research Center
PS Planning Sector
SAIEA Southern African Institute for Environmental Assessment
SPA Shore Protection Authority
SWERI Soil, Water and Environment Research Institute

**Venue**

Ministry of Water Resources and Irrigation
Cornich El-Nil, Imbaba, Giza
The Library Meeting Room, 2nd floor

Netherlands Commission for Environmental Assessment

# ESY MAP

A diagnostic tool for assessing the quality of a national Environmental and Social Impact Assessment (ESIA) system.

## Handout Detailed Scan


January 2020

| SECTION I - ESIA PROCESS | | | | |
|---|---|---|---|---|
| Question nr | | How to score | Max score | Score |
| **Screening - requirements** | | | | |
| 1.1 | Is screening a legal requirement?<br><br>If yes go to next question, otherwise **skip to practice** | Yes = 40<br>No = 1 | 40 | |
| 1.2 | What is the quality of the screening step, in terms of requirements? Consider:<br>• Is it clear who is responsible for what?<br>• Is a starting document (or equivalent) required with sufficient information to enable screening?<br>• Are there criteria for the screening decision: activity lists, thresholds, etc.?<br>• Are the criteria sufficient for clear and consistent screening decision-making?<br>• Are the criteria appropriate to be able to differentiate on the environmental and social risk? (i.e. identify high risk)<br>• Is there a specific provision against splitting project into subprojects a to avoid ESIA (Salami tactics) into for example:<br>§ Separated phases of a project;<br>§ Disassociation of linked activities;<br>§ Multiple smaller projects.<br>• Is there a requirement for consultation with other government agencies in screening? (such as the environmental inspectorate, health agency, etc) NB: Broader stakeholder engagement is addressed elsewhere.<br>• Must the final screening decision be justified? Be public? Be published? | | 60 | |
| | **Score** | | 100 | |
| **Screening - practice** | | | | |
| 1.3 | % of projects implemented that were incorrectly screened for example should have been subjected to ESIA but were not; or underwent an ESIA where one was not needed. | 0-20 = 50<br>20-40 = 40<br>40-60 = 30<br>60-80 = 20<br>80+ = 10 | 50 | |
| 1.4 | % of screening decisions where other government agencies were consulted on screening. | 0-20 = 10<br>20-40 = 20<br>40-60 = 30<br>60-80 = 40<br>80+ = 50 | 50 | |
| | **Score** | | 100 | |

| | | | | |
|---|---|---|---|---|
| **Start of the ESIA - requirements** | | | | |
| 2.1 | Is there a clear start to the ESIA procedure in the form of a public announcement (NB: can be the published screening decision)? | Yes = 100<br>No = 1 | 100 | |
| | **Score** | | 100 | |
| **Start of the ESIA - practice** | | | | |
| 2.2. | % of cases where the start of the ESIA was publicly notified | 0-20 = 20<br>20-40 = 40<br>40-60 = 60<br>60-80 = 80<br>80+ = 100 | 100 | |
| | **Score** | | 100 | |
| | | | | |
| **Scoping – requirements** | | | | |
| 3.1 | Is scoping (or equivalent step) a formal step in the ESIA procedure? (Y/N)<br><br>If yes go to next question, **otherwise skip to practice** | Yes = 40<br>No = 1 | 40 | |
| 3.2 | What is the quality of the scoping step in terms of requirements?<br>o Is it clear who is responsible for what?<br>o Is there instruction in the regulation on how to undertake scoping (i.e. methods, such as checklists)?<br>o Do the scoping requirements include consultation with other government agencies? (such as the environmental inspectorate, health agency, etc) (NB: stakeholder engagement is addressed elsewhere.)<br>o Does it include a distinct and verifiable scoping result? Like a scoping document or a ToR?<br>o Is a quality check on this outcome required? How? | | 60 | |

| | | | | |
|---|---|---|---|---|
| | o Must the scoping conclusion (i.e. approved ToR) be justified? Be public? Be published? | | | |
| | **Score** | | **100** | |
| **Scoping - practice** | | | | |
| 3.3 | % of all ESIAs that were scoped | 0-20 = 5<br>20-40 = 10<br>40-60 = 15<br>60-80 = 20<br>80+ = 25 | 25 | |
| 3.4 | % of all ESIAs that included consultation of relevant government agencies in scoping | 0-20 = 5<br>20-40 = 10<br>40-60 = 15<br>60-80 = 20<br>80+ = 25 | 25 | |
| 3.5 | % of all ESIAs where the scoping conclusions were published | 0-20 = 5<br>20-40 = 10<br>40-60 = 15<br>60-80 = 20<br>80+ = 25 | 25 | |
| 3.6 | % of the ESIAs that were scoped well (led to early identification of key issues, alternatives and stakeholders)? | 0-20 = 5<br>20-40 = 10<br>40-60 = 15<br>60-80 = 20<br>80+ = 25 | 25 | |
| | **Score** | | 100 | |
| | | | | |
| **Impact Assessment (incl. alternatives) - requirements** | | | | |
| 4.1 | Does the legislation clearly set out the *principles* for good practice in impact assessment, for example:<br>o The mitigation hierarchy?<br>1) Anticipate & avoid, 2) reduce & minimise, 3) offset and compensate<br>o The assessment will be proportionate to the potential risks and impacts of the project<br>o Including any associated facilities, necessary offsite investment, suppliers? (Or only direct project activity)<br>o Including integrated assessment of all relevant direct, indirect and cumulative environmental and social risks and impacts throughout the project life cycle.<br>o Include both biophysical and social context & impacts of the project? (NB: often depends on the definition of the environment)<br>o Including land use and resettlement?<br>o Including labour conditions (child labour, right to join a union, fair pay, etc – not occupation health and safety)?<br>o Including indigenous/traditional knowledge.<br>o Including whether impacts fall disproportionately on vulnerable or disadvantaged groups. | | 50 | |
| 4.2 | Does the legislation clearly set out a comprehensive list of *content* requirements for the ESIA report, following good practice? For example<br>o Summary<br>o Legal& institutional framework (environmental and social requirements, project's fit with the planning framework)<br>o Project description<br>§ Project rationale/problem analysis<br>§ Project description & context<br>§ Clear map showing location and affected area<br>o Baseline<br>§ Including 'business as usual' or a reference scenario?<br>o Impacts (identification & assessment, both negative and positive opportunities), including:<br>§ People and communities, their health, safety and security.<br>§ Indigenous peoples<br>§ Accidents and disasters<br>§ Occupational health and safety<br>§ Gender<br>§ Cultural heritage (includes tangible and intangible change, built environment and landscape)<br>§ Resource efficiency<br>§ Climate change (adaptation & mitigation) | | 50 | |

| | | | | |
|---|---|---|---|---|
| | § Pollution<br>§ Biodiversity/ecosystem services<br>§ Transboundary<br>o Alternatives (design, technology, location and operation)<br>o Mitigation measures<br>§ Residual effect after mitigation<br>§ Feasibility, cost, capacity<br>o Gaps in knowledge and the implications of these gaps<br>o Appendices:<br>§ Who contributed to the ESIA<br>§ References used including ToR for the ESIA<br>§ Associated reports<br>o Description of stakeholder engagement (such as record of meetings, etc). (NB: Broader stakeholder engagement is addressed elsewhere.) | | | |
| | **Score** | | 100 | |
| **Impact Assessment (incl. alternatives) - Practice** | | | | |
| 4.3 | % of ESIAs that lived up to country requirements | 0-20 = 6<br>20-40 = 12<br>40-60 = 18<br>60-80 = 24<br>80+ = 30 | 30 | |
| 4.4 | % of ESIAs that lived up to good practice | 0-20 = 8<br>20-40 = 16<br>40-60 = 24<br>60-80 = 32<br>80+ = 40 | 40 | |
| 4.5 | % of ESIAs with a good balance between social and biophysical assessment | 0-20 = 4<br>20-40 = 8<br>40-60 = 12<br>60-80 = 16<br>80+ = 20 | 20 | |
| 4.6 | % of ESIAs with a clear link between the assessment and the proposed activity | 0-20 = 2<br>20-40 = 4<br>40-60 = 6<br>60-80 = 8<br>80+ = 10 | 10 | |
| | **Score** | | 100 | |
| | | | | |
| **ESMP - requirements** | | | | |
| 5.1 | o Does the law require an ESMP? | | 25 | |
| 5.2 | o Is the ESMP part of the ESIA, in that it is submitted with the ESIA (or as part of the ESIA), made available for consultation at the same time, etc.? | | 25 | |
| 5.3 | Does the legislation clearly set out a comprehensive list of *content* requirements for the ESMP, following good practice? This could include for example:<br>o Mitigation<br>§ Clear and detailed description of measures (setting out impact, mitigation measure, indicators, responsible persons, timeframe and budget)<br>§ Consistency with other mitigation plans including RAP<br>o Monitoring<br>§ Clear & detailed description of monitoring, including rationale, thresholds for action, who will monitor, frequency, locations, and methodology<br>§ Reporting procedures<br>o Institutional & capacity measures<br>§ Capacities and institutional arrangements needed<br>§ Actions needed to ensure the capacity needed | | 50 | |
| | **Score** | | 100 | |

| | | | | |
|---|---|---|---|---|
| **ESMP - practice** | | | | |
| 5.4 | % of ESMPs that address the key issues of the ESIAs | 0-20 = 10<br>20-40 = 20<br>40-60 = 30<br>60-80 = 40<br>80+ = 50 | 50 | |
| 5.5 | % ESMPs that are actionable and verifiable | 0-20 = 10<br>20-40 = 20<br>40-60 = 30<br>60-80 = 40<br>80+ = 50 | 50 | |
| | **Score** | | 100 | |
| | | | | |
| **Review - requirements** | | | | |
| 6.1 | Does the law set the ***requirements*** for government review, for example:<br>o Is it clear who is responsible? For example, env agency, sectoral agency, intergovernmental panel, or independent body.<br>o Is there instruction in the regulation on how to undertake the review? (methods, criteria or checklist).<br>o Does the review process include a site visit?<br>o Do the review requirements include consultation with other government agencies? (such as the environmental inspectorate, health agency, line ministries, etc)<br>o Does the law require review of the EA process/procedure and content?<br>o Must the review address appropriateness and feasibility of ESMP?<br>o Can the ESIA be rejected if judged inadequate?<br>o Can additional assessment work be required if ESIA is judged insufficient?<br>o Does it include a distinct and verifiable review outcome? Like a review report?<br>o Must the review conclusions be justified? Be public? Be published? | | 100 | |
| | **Score** | | 100 | |
| **Review – practice** | | | | |
| 6.2 | % of ESIAs that are reviewed according to country requirements | 0-20 = 2<br>20-40 = 4<br>40-60 = 6<br>60-80 = 8<br>80+ = 10 | 10 | |
| 6.3 | % of ESIAs where a site visit takes place during review | 0-20 = 2<br>20-40 = 4<br>40-60 = 6<br>60-80 = 8<br>80+ = 10 | 10 | |
| 6.4 | % of ESIAs where government agencies are consulted during review | 0-20 = 2<br>20-40 = 4<br>40-60 = 6<br>60-80 = 8<br>80+ = 10 | 10 | |
| 6.5 | % of ESIAs in which both process and content where reviewed | 0-20 = 2<br>20-40 = 4<br>40-60 = 6<br>60-80 = 8<br>80+ = 10 | 10 | |
| 6.6 | % of ESIAs where the ESMP is reviewed | 0-20 = 2<br>20-40 = 4<br>40-60 = 6<br>60-80 = 8<br>80+ = 10 | 10 | |
| 6.7 | % of ESIAs where reviewers formulated additional conditions | 0-20 = 2<br>20-40 = 4<br>40-60 = 6<br>60-80 = 8<br>80+ = 10 | 10 | |
| 6.8 | % of ESIAs where review conclusions were formally justified and published | 0-20 = 2<br>20-40 = 4<br>40-60 = 6<br>60-80 = 8<br>80+ = 10 | 10 | |

| | | | | |
|---|---|---|---|---|
| 6.9 | % of ESIAs where review contributed to better ESIAs | 0-20 = 4<br>20-40 = 8<br>40-60 = 12<br>60-80 = 16<br>80+ = 20 | 20 | |
| 6.10 | % of ESIAs considered to be of sufficient quality | 0-20 = 2<br>20-40 = 4<br>40-60 = 6<br>60-80 = 8<br>80+ = 10 | 10 | |
| | **Score** | | 100 | |
| | | | | |
| **Third party review - requirements** | | | | |
| 7.1 | Are there provision in the law for the environment agency to have the ESIA and EMP reports reviewed by an third party?<br>o Requirement to mobilise expertise for this third party review (could be consultants, or a team of experts assembled for that purpose by the agency.)<br>o Assurances in place that there is no financial or hierarchical relationship that could influence the review outcomes. (Regardless of whether the third party is at government cost, or at the cost of the proponent)?<br>o Must the third party review conclusions be documented, public, published? | | 100 | |
| | **Score** | | 100 | |
| **Third party review - practice** | | | | |
| 7.2 | % of ESIAs which are subjected to third party review | 0-20 = 10<br>20-40 = 20<br>40-60 = 30<br>60-80 = 40<br>80+ = 50 | 50 | |
| 7.3 | Are the independent review reports made public? | Yes = 50<br>No = 0 | 50 | |
| | **Score** | | 100 | |

| | | | | |
|---|---|---|---|---|
| **Decision making & accountability - requirements** | | | | |
| 8.1 | What is the quality of the requirements for the formal decision on the project? In deciding on quality, consider:<br>o Is it clear who is responsible for this decision (=project approval)?<br>o Are there criteria for this decision? (I.e. meeting environmental and social standards)<br>o Are these criteria sufficient for clear and consistent decision-making?<br>o Do the requirements include consultation with other governmental agencies on the formal decision?<br>o Must the decision be justified in terms of the ESIA (in writing)?<br>o Is there a provision in the law that sets a time limit on the validity of the decision? i.e. the project must commence within a certain timeframe after decision-making, or the permit/licence will lapse.<br>o Must the decision be public/published? | | 100 | |
| | **Score** | | 100 | |
| **Decision making & accountability - practice** | | | | |
| 8.2 | % of ESIAs where the formal decision on the project was made as prescribed by regulation | 0-20 = 2<br>20-40 = 4<br>40-60 = 6<br>60-80 = 8<br>80+ = 10 | 10 | |
| 8.3 | % of ESIAs where other government agencies were consulted | 0-20 = 2<br>20-40 = 4<br>40-60 = 6<br>60-80 = 8<br>80+ = 10 | 10 | |
| 8.4 | % of ESIAs where specific conditions for project implementation were specified in the decision | 0-20 = 2<br>20-40 = 4<br>40-60 = 6<br>60-80 = 8<br>80+ = 10 | 10 | |

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|---|---|---|---|---|
| 8.5 | % of ESIAs where the formal decision was justified (with reference to the ESIA) | 0-20 = 2<br>20-40 = 4<br>40-60 = 6<br>60-80 = 8<br>80+ = 10 | 10 | |
| 8.6 | % of ESIAs where the formal decision was published | 0-20 = 2<br>20-40 = 4<br>40-60 = 6<br>60-80 = 8<br>80+ = 10 | 10 | |
| 8.7 | % of project authorisations where the ESIA conclusions and recommendations were taken into consideration in the issuance of the permit/licence by the relevant government agencies (Ministries Departments Agencies) | 0-20 = 10<br>20-40 = 20<br>40-60 = 30<br>60-80 = 40<br>80+ = 50 | 50 | |
| | **Score** | | 100 | |

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|---|---|---|---|---|
| **Follow up – requirements** | | | | |
| 9.1 | What is the quality of requirements for proponents (private or government) to:<br>o Monitor the impacts (as identified in the ESIA/ESMP)?<br>o Take action when impacts are not as expected (when measures are not working, are insufficient, or when unexpected impacts arise)?<br>o Report on this monitoring and management?<br>o Publish this report?<br>o Regularly adapt the ESMP when circumstances or project changes require it? | | 25 | |
| 9.2 | What is the quality of requirements for the competent authority to:<br>o Check that the project is implemented as approved (including implementation of any measures in the ESMP and/or approval conditions)?<br>o Check on ongoing monitoring, management and reporting?<br>o Undertake inspection site-visits?<br>o Take action when impacts are not as expected or approved (non-compliance)?<br>o Report on this monitoring and management?<br>o Must this reporting be public/published? | | 25 | |
| 9.3 | Are there any requirements for third party involvement?<br>o community monitoring, or<br>o independent expert verification (including through certification schemes)? | | 25 | |
| 9.4 | Are there provisions to put in place a financial commitment for implementation of measures? | | 25 | |
| | **Score** | | 100 | |
| **Follow up - practice** | | | | |
| 9.5 | % of ESIAs where proponents undertake 3 or more of the following activities:<br>o Monitor the impacts (as identified in the ESIA/ESMP)?<br>o Take action when impacts are not as expected (when measures are not working, are insufficient, or when unexpected impacts arise)?<br>o Report on this monitoring and management?<br>o Publish this report? | 0-20 = 3<br>20-40 = 6<br>40-60 = 9<br>60-80 = 12<br>80+ = 16 | 16 | |
| 9.6 | % of ESIAs where government:<br>o Checks that the project is implemented as approved (including implementation of any measures in the ESMP and/or approval conditions)?<br>o Checks on ongoing monitoring, management and reporting?<br>o Undertakes inspection site-visits?<br>o Takes action when impacts are not as expected or not as approved (non-compliance)?<br>o Reports on this monitoring and management?<br>o Publishes this report? | 0-20 = 4<br>20-40 = 8<br>40-60 = 12<br>60-80 = 16<br>80+ = 20 | 20 | |
| 9.7 | % of projects where ESIA/ESMP is incorporated into contractor ToRs, tenders and contracts? | 0-20 = 3<br>20-40 = 6<br>40-60 = 9<br>60-80 = 12<br>80+ = 16 | 16 | |
| 9.8 | % of ESIAs where third parties were involved in follow up | 0-20 = 3<br>20-40 = 6<br>40-60 = 9<br>60-80 = 12<br>80+ = 16 | 16 | |

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|---|---|---|---|---|
| 9.9 | % of ESIAs where financial commitments were put in place | 0-20 = 3<br>20-40 = 6<br>40-60 = 9<br>60-80 = 12<br>80+ = 16 | 16 | |
| 9.10 | % of ESIAs where non-compliance during follow up was rectified? | 0-20 = 3<br>20-40 = 6<br>40-60 = 9<br>60-80 = 12<br>80+ = 16 | 16 | |
| | **Score** | | 100 | |

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|---|---|---|---|---|
| **Stakeholder engagement & access to information - requirements** | | | | |
| 10.1 | Must a stakeholder engagement plan be part of the ESIA process? | | 12 | |
| 10.2 | Is there is a requirement to tailor to the needs of specific groups, which may include indigenous people, disadvantaged and vulnerable? | | 24 | |
| 10.3 | Should specialists assist in stakeholder engagement? | | 12 | |
| 10.4 | Is a project specific grievance mechanism required? | | 12 | |
| 10.5 | Are there any specific provisions to ensure easy access to relevant ESIA documents? (Everyone has a right to view the ESIA; ESIA (draft) reports easily accessible by (e)-mail or internet; associated costs do not hinder access, the information is understandable ) | | 12 | |
| 10.6 | Are there special provisions on the conditions that have to be created that enable engagement? (culturally appropriate, free of manipulation, interference, coercion, discrimination and intimidation) | | 12 | |
| 10.7 | How do you judge the quality of the requirements for stakeholder engagement in the ESIA process? Consider:<br>o Choice of stages in which stakeholder engagement is required: Start/screening, Scoping, Assessment, Review, Decision making, Follow up (i.e. during project implementation)<br>o Is there instruction in the regulation on methods for stakeholder engagement (i.e. public hearing, etc)?<br>o Is there a definition, or are there stakeholder identification criteria, that ensure inclusive stakeholder engagement?<br>o Specific requirements on access to information.<br>o Whether stakeholder input must be recorded (uncensored) and responded to?<br>o Whether the outcome/decision within the ESIA process, and on project approval must be justified in the light of stakeholder input?<br>o On which formal decisions the public can make use of any right to appeal via the administrative appeal option? | | 16 | |
| | **Score** | | 100 | |
| **Stakeholder engagement & access to information – practice** | | | | |
| 10.8 | Does stakeholder engagement take place early enough to influence assessment and project design? | | 10 | |
| 10.9 | % of ESIAs in which project and stakeholder engagement options were announced early | | 10 | |
| 10.10 | % of ESIAs that lived up to country requirements on stakeholder engagement | 0-20 = 2<br>20-40 = 4<br>40-60 = 6<br>60-80 = 8<br>80+ = 10 | 10 | |
| 10.11 | % of ESIAs that can be considered good practice; meaning that:<br>o Stakeholder engagement took place at the right stages throughout the process, and…<br>o ... took place at each of these stages under the right conditions as to:<br>o being all inclusive or restricted to specific stakeholders<br>o being recorded<br>o outcomes being justified in the light of stakeholder input | 0-20 = 2<br>20-40 = 4<br>40-60 = 6<br>60-80 = 8<br>80+ = 10 | 10 | |
| 10.12 | % of ESIAs that delivered on the objectives of good practice stakeholder engagement. Meaning that all stakeholders:<br>o that wanted to be included were included, and…<br>o ..were able to raise the issues & grievances important to them, and…<br>o ...received appropriate response to these. | 0-20 = 2<br>20-40 = 4<br>40-60 = 6<br>60-80 = 8<br>80+ = 10 | 10 | |
| 10.13 | % of ESIAs where stakeholder input improved the ESIA and/or project | 0-20 = 5<br>20-40 = 10<br>40-60 = 15<br>60-80 = 20<br>80+ = 25 | 25 | |

| | | | | |
|---|---|---|---|---|
| 10.14 | % of ESIAs where stakeholder engagement improved the acceptability of the ESIA and/or the project | 0-20 = 5<br>20-40 = 10<br>40-60 = 15<br>60-80 = 20<br>80+ = 25 | 25 | |
| | **Score** | | 100 | |

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|---|---|---|---|---|
| **Environmental and social assessment professionals - requirements** | | | | |
| 11.1 | Is there a requirement for ESIAs to be undertaken by appropriately qualified professionals with relevant experience | | 25 | |
| 11.2 | Is there a requirement stipulating that ESIAs should be undertaken by independent environmental and social assessment professionals (ESAPs)? | | 25 | |
| 11.3 | Is there a mechanism to formally recognise environmental and social assessment practitioners i.e. certification or registration? Y/N (If No, skip question 11.4) | | 25 | |
| 11.4 | What is the quality of the certification or registration system? Consider:<br>o Clearly defined criteria for qualifications, experience and competence?<br>o Professional development requirement?<br>o Does it need to be renewed at regular intervals or is it awarded for life<br>o Each registered professional has to sign a Code of Conduct<br>o A mechanism to ensure poor performance is penalised? (Complaints procedure, for example) | | 25 | |
| | **Score** | | 100 | |
| **Environmental and social assessment professionals – practice** | | | | |
| 11.5 | % of all practising Environmental and Social Assessment Professionals who are registered and certified | 0-20 = 6<br>20-40 = 12<br>40-60 = 18<br>60-80 = 24<br>80+ = 30 | 30 | |
| 11.6 | % of ESIAs undertaken by appropriately qualified professionals | 0-20 = 14<br>20-40 = 28<br>40-60 = 42<br>60-80 = 56<br>80+ = 70 | 70 | |
| | **Score** | 100 | | |

| | | | | |
|---|---|---|---|---|
| **Reviewers – requirements** | | | | |
| 12.1 | Is there a legal requirement for ESIAs to be reviewed by appropriately qualified professionals with relevant experience | | 35 | |
| 12.2 | Is there a mechanism to formally recognise ESIA reviewers i.e. via certification or registration? Y/N | | 35 | |
| 12.3 | What is the quality of the certification or registration system? Consider:<br>o Clearly defined criteria for qualifications, experience and competency?<br>o Does it need to be renewed at regular intervals or is it awarded for life<br>o Each registered professional has to sign a Code of Conduct<br>o A mechanism to ensure poor performance is penalised? (Complaints procedure, for example) | | 30 | |
| | **Score** | | 100 | |
| **Reviewers – practice** | | | | |
| 12.4 | % of ESIA reviewers who are registered and certified | 0-20 = 6<br>20-40 = 12<br>40-60 = 18<br>60-80 = 24<br>80+ = 30 | 30 | |
| 12.5 | % of ESIAs reviewed by appropriately qualified professionals | 0-20 = 14<br>20-40 = 28<br>40-60 = 42<br>60-80 = 56<br>80+ = 70 | 70 | |
| | **Score** | | 100 | |

| | | | | |
|---|---|---|---|---|
| **Timelines requirements & practice** | | | | |
| 13.1 | Suitability of procedural timelines from the perspective of the administrator | | 15 | |
| 13.2 | Suitability of procedural timelines from the perspective of the proponent | | 15 | |
| 13.3 | Suitability of procedural timelines from the perspective of stakeholder engagement | | 15 | |
| 13.4 | Are there provisions for flexibility in timelines (extension possible?) (Y/N) | | 15 | |

| | | | | |
|---|---|---|---|---|
| 13.5 | % of ESIAs in which the procedural timelines are met | 0-20 = 8<br>20-40 = 16<br>40-60 = 24<br>60-80 = 32<br>80+ = 40 | 40 | |
| | **Score** | | 100 | |

| **User friendliness requirements and practice** | | | | |
|---|---|---|---|---|
| 14.1 | Is the administrative burden of the ESIA procedure reasonable ? (number of forms, number of offices to visit in the procedure, etc.) | | 40 | |
| 14.2 | Customer friendliness of the administrating agency (giving updates on processing, give additional advice providing information online) | | 20 | |
| 14.3 | Do the relevant government authorities take an active role in making ESIAs documents (such as the scoping and ESIA report) actively available to public? | | 40 | |
| | **Score** | | 100 | |

| **Transboundary ESIAs requirements** | | | | |
|---|---|---|---|---|
| 15.1 | Are there requirements to ensure that an affected country is notified early on the ESIA process, in case of potential transboundary impacts? | | 25 | |
| 15.2 | Are there requirements to include transboundary impacts in an ESIA/ESMP, where relevant? | | 25 | |
| 15.3 | Are there requirements to engage stakeholders in an affected country in the ESIA process? | | 25 | |
| 15.4 | Are there requirements to notify relevant parties in an affected country on the outcomes of the ESIA process (ESIA report and decision). | | 25 | |
| | **Score** | | 100 | |
| **Transboundary ESIAs – practice** | | | | |
| 15.5 | % of the ESIA cases (with potential transboundary impacts) where the affected country is notified early in the ESIA process? | 0-20 = 5<br>20-40 = 10<br>40-60 = 15<br>60-80 = 20<br>80+ = 25 | 25 | |
| 15.6 | % of the ESIA cases (with potential transboundary impacts) where transboundary impacts are included in the ESIA/ESMP? | 0-20 = 5<br>20-40 = 10<br>40-60 = 15<br>60-80 = 20<br>80+ = 25 | 25 | |
| 15.7 | % of the ESIA cases (with potential transboundary impacts) where stakeholders in an affected country are involved in the ESIA process? | 0-20 = 5<br>20-40 = 10<br>40-60 = 15<br>60-80 = 20<br>80+ = 25 | 25 | |
| 15.8 | % of the ESIA cases (with potential transboundary impacts) where relevant parties in an affected country are notified on the outcomes of the ESIA process (ESIA report and decision). | 0-20 = 5<br>20-40 = 10<br>40-60 = 15<br>60-80 = 20<br>80+ = 25 | 25 | |
| | **Score** | | 100 | |

# NOTES

| SECTION II – ENABLING CONDITIONS | | | | |
|---|---|---|---|---|
| Question nr | | | Max score | Score |
| **Regulatory framework for ESIA** | | | | |
| 16.1 | Is there an act that sets requirements for ESIA? | | 7 | |
| 16.2 | Is the Environmental and/or Social Act complimented by ESIA regulations? | | 8 | |
| 16.3 | Is the ESIA coverage appropriate? | | 8 | |
| 16.4 | How well is ESIA linked with project decision-making? (I.e. for example: timing ESIA versus other project approvals) | | 8 | |
| 16.5 | Does the possibility exist to make a project approval decision at the end of the scoping phase (ESIA light)? | | 7 | |
| 16.6 | Does the regulation make provision for a dedicated agency for ESIA?<br>For example:<br>o Does it exist?<br>o Does it have the right mandate?<br>o Does it effectively coordinate with other agencies? | | 8 | |
| 16.7 | Is there effective decentralisation of the ESIA mandates that enhances ESIA effectiveness? | | 7 | |
| 16.8 | Are there arrangements for co-ordination between agencies in the ESIA process?<br>o Involvement of the environmental and/or social inspectorate?<br>o Involvement of sectoral agencies (for example, infra, water)?<br>o Involvement of topical agencies (for example, health)? | | 8 | |
| 16.9 | Are there any unclear or overlapping competences or mandates in ESIA & related licensing/permitting? | | 8 | |
| 16.10 | Is redress possible?<br>o Administrative appeal option (as part of domestic administrative law)<br>o Judicial appeal option (including possibility for public interest lawsuit) | | 9 | |
| 16.11 | Do penalties exist for non-compliance with the ESIA requirements?<br>o Are there general penalties under environmental, social or other law?<br>o ESIA-specific penalties?<br>o Are penalties sufficient to deter non-compliance? | | 8 | |
| 16.12 | Does guidance exist on the Act and Regulations? Is this guidance widely accessible? | | 7 | |
| 16.13 | Does the Act or regulation specify that the proponent must cover the costs associated with the ESIA, as well as the costs for any remedial action post-decision (Polluter pays principle)? | | 7 | |
| | **Score** | | 100 | |
| **Finance** | | | | |
| 17.1 | Is there sufficient structural financing available to administer the ESIA process, including follow-up (human, technical and physical resources)? | | 40 | |
| 17.2 | Is sufficient budget allocated to undertake ESIA?<br>o Is there earmarked ESIA budget in governmental budgets for projects that are undertaken by government?<br>o Is there earmarked ESIA budget in private sector budgets for projects? | | 40 | |
| 17.3 | Is there a dedicated financing mechanism for-ESIA related fees and costs, such as an Environment Fund? | | 20 | |
| | **Score** | | 100 | |
| **Awareness & Commitment** | | | | |
| 18.1 | Is ESIA given attention in the public domain (media)? | | 20 | |
| 18.2 | Is ESIA on the political agenda and are high level decision-makers personally supportive of the ESIA process? Consider:<br>o Is there a policy to promote ESIA?<br>o Is ESIA ever on cabinet or other agendas for example, Inter-ministerial Committee? | | 40 | |
| 18.3 | Is there sufficient level of public/ professional interest and participation in ESIA related events (seminars, etc)? Consider:<br>o Number of events<br>o Turn-out for events<br>o Quality of discussion at events | | 20 | |
| 18.4 | Is there recognizable, accepted, and effective leadership on ESIA in the country? Consider:<br>o Professional organisation<br>o Mentors/champions | | 20 | |
| | **Score** | | 100 | |

| | | | | |
|---|---|---|---|---|
| **ESIA education and professional training** | | | | |
| | ***NB:***<br>education = tertiary level ESIA teaching at academic institutions<br>training = professional development | | | |
| 19.1 | Is good quality ESIA education available?<br>o ESIA teaching is co-ordinated or under quality control (unified curriculum etc)?<br>o Competent students are delivered? | | 50 | |
| 19.2 | Is good quality professional development training accessible?<br><br>Regularly organized workshops etc. for ESIA professionals to further develop their skills & knowledge (not one-off training) | | 50 | |
| | **Score** | | 100 | |
| **Provision of advice on ESIA procedure & practice (ESIA helpdesk)** | | | | |
| 20.1 | **Helpdesk**<br>o Is the helpdesk itself easily accessible? ? In other words: is there support for people trying to get involved in ESIA?<br>o Is it used?<br>o Does the helpdesk facilitate access to data and information relevant for ESIA practice?<br>o Is it effective in influencing practice? | | 100 | |
| | **Score** | | 100 | |
| **Monitoring of implementation of the ESIA system** | | | | |
| 21.1 | M&E<br>o Are ESIA effectiveness studies being undertaken?<br>o Is there sufficient budget available for monitoring the ESIA system?<br>o Does (public) reporting on progress take place? | | 30 | |
| 21.2 | Is there an accessible database or repository of ESIA reports which is regularly maintained? | | 20 | |
| 21.3 | Does system monitoring lead to improvement efforts of the ESIA system? | | 50 | |
| | **Score** | | 100 | |
| **Enabling professional exchange** | | | | |
| 22.1 | Platform / network of experts<br>o Does a platform/ network exist?<br>o Is there a good level of activity on the platform?<br>o Does the platform / network promote good practice? | | 50 | |
| 22.2 | Are ESIA professionals sharing data and information relevant for ESIA amongst each other? | | 50 | |
| | **Score** | | 100 | |

# SECTION III - CAPACITIES

| Environment agency (i.e. administrative agency for ESIA) | | | | |
|---|---|---|---|---|
| **Mandate, structure and resources** | | | | |
| 23.1 | o Mandate clearly defined in legal texts<br>o Structural financing secured to execute mandate<br>o Organisation has committed and stable leadership<br>o Organisation has clear and functional organisational structure<br>o Offices established, facilities and equipment needed available<br>o Number of staff available sufficient to perform tasks<br>o Information management system exists giving access to information required to perform tasks<br>o Tools/guidance available to support tasks (working procedures, checklists, etc) | | 25 | |
| **Management** | | | | |
| 23.2 | o Vision/Strategy/multi-annual plan exists and informs the work of the organisation<br>o Vision/strategy/planning documents accessible and known<br>o Decisions are taken, communicated and acted upon<br>o Regular planning/ coordination meetings are held<br>o Management encourages exchange and learning<br>o Management anticipates new developments | | 25 | |
| **Expertise** | | | | |
| 23.3 | o Expertise available to perform all ESIA administrative tasks<br>o Staff regularly trained and effort made to maintain expertise for tasks and institutional memory<br>o Approriate finances and mechanisms available to access external expertise if needed (such as for ESIA review)<br>o Finances and mechanisms available to access (external) data bases and sources of information if needed (specifically for ESIA baseline and impact assessment) | | 25 | |
| **Maintaining strategic relations** | | | | |
| 23.4 | o Co-ordination/co-operation with relevant partners takes place<br>o Leadership in ESIA of organisation duly recognised by partners<br>o Platforms/networks/coalitions for exchange (both national and international) identified by organization, and organisation (pro)actively participates in these<br>o Organisation willingly shares data and information<br>o Status of environmental agency in the government hierarchy | | 25 | |
| | **Score** | | 100 | |

| Environmental and social assessment professionals (ESAPs) | | | | |
|---|---|---|---|---|
| **Resources** | | | | |
| 24.1 | o Number of ESAPs available is sufficient to meet the demand for ESIA work<br>o ESAPs have access to data, maps, etc required to undertake ESIA work<br>o There are tools available to support ESIA work (formats, checklists, etc)? | | 40 | |
| **Expertise** | | | | |
| 24.2 | o ESAPs have expertise available to do ESIA work<br>o ESAPs are regularly trained and have opportunity to develop career as a professional in ESIA | | 30 | |
| **Maintaining strategic relations** | | | | |
| 24.3 | o ESAPs work together with CSOs, government agencies, and knowledge institutes in their ESIA work<br>o ESAPs partake in platforms/networks/coalitions for ESIA (if these exist).<br>o ESAPs share data and information to improve ESIA practice, among each other but also with government or other external parties. | | 30 | |
| | **Score** | | 100 | |

| NGOs, CSOs, civil society | | | | |
|---|---|---|---|---|
| **Mandate (Role), structure and resources** | | | | |
| 25.1 | o The role of CSOs in ESIA is clearly defined in legal texts<br>o Structural financing secured for CSOs to execute their role in ESIA practice<br>o CSOs have offices established, facilities and equipment needed available<br>o Number of CSOs active in ESIA is sufficient to fulfill CSO role<br>o CSOs have access to databases, maps, etc required to be involved in ESIAs<br>o There are tools available to support CSOs in their rol in ESIA (formats, checklists, etc)? | | 36 | |
| **Expertise** | | | | |
| 25.2 | o CSOs have expertise needed to perform role in ESIA<br>o CSO staff are trained on ESIA and have opportunity to specialise in ESIA work<br>o Finances and mechanisms are available to CSOs to access external expertise if needed (such as for ESIA review) | | 36 | |
| **Maintaining strategic relations** | | | | |
| 25.3 | o CSOs work together with EAPs, government agencies, and knowledge institutes within ESIA processses<br>o CSOs partake in platforms/networks/coalitions for ESIA (if these exist).<br>o CSOs share data and information to improve ESIA practice, among each other but also with EAPs, government or other external parties. | | 28 | |
| | **Score** | | 100 | |

| Other government agency (with specific role in ESIA) | | | | |
|---|---|---|---|---|
| **Mandate, structure and resources for ESIA** | | | | |
| 26.1 | o Mandates clearly defined in legal texts<br>o Structural financing secured to execute mandate<br>o Staff, facilities and equipment available are sufficient<br>o Information management system exists giving access to information required to perform tasks<br>o Tools/guidance available to support tasks (working procedures, checklists, etc) | | 25 | |
| **Management of ESIA tasks (input, advice, review, comment, implement)** | | | | |
| 26.2 | o Decisions regarding ESIA are taken, communicated and acted upon<br>o Regular coordination meetings are attended<br>o Management encourages exchange and learning | | 25 | |
| **Expertise** | | | | |
| 26.3 | o Expertise available to perform their ESIA tasks<br>o Staff regularly trained and effort made to maintain expertise | | 25 | |
| **Maintaining strategic relations** | | | | |
| 26.4 | o Co-ordination/co-operation with relevant partners takes place<br>o Proactive participation in platforms/networks<br>o Organisation willingly shares data and information | | 25 | |
| | **Score** | | 100 | |

# SECTION IV - ESIA PERFORMANCE

| | **Statistics (background info) to be separately collected from ESIA authority, not used in scoring** | |
|---|---|---|
| a | How many ESIAs procedures started in the past year? | |
| b | How many ESIAs submitted for review in the past year? | |
| c | How many ESIAs rejected outright in the past year? | |
| d | What was the number of ESIAs in the past year where supplementary work was required? | |
| e | What was the number of ESIAs approved in the past year? | |

| | | | | |
|---|---|---|---|---|
| **ESIA's carried out on time** | | | | |
| 28.1 | % of projects for which ESIA is required, but for which no ESIA is carried out. | 0-20 = 50<br>20-40 = 40<br>40-60 = 25<br>60-80 = 10<br>80+ = 0 | 50 | |
| 28.2 | % of projects for which an ESIA is required and undertaken, but the ESIA is done too early (i.e. takes place during the pre-feasibility stage of the project lifecycle when there is not enough project detail to perform an ESIA.) | 0-20 = 25<br>20-40 = 20<br>40-60 = 15<br>60-80 = 10<br>80+ = 0 | 25 | |
| 28.3 | % of projects for which an ESIA is required and undertaken, but the ESIA doesn't take place until after project implementation has started? (i.e. construction already ongoing, ESIA "after the fact") | 0-20 = 25<br>20-40 = 20<br>40-60 = 15<br>60-80 = 10<br>80+ = 0 | 25 | |
| | **Score** | | 100 | |
| **Influence on decision-making** | | | | |
| 29.1 | % of ESIA processes where the project is withdrawn during decision-making because ESIA shows it is unfeasible (from environmental and/or social perspective) | 0-20 = 5<br>20-40 = 10<br>40-60 = 15<br>60-80 = 25<br>80+ = 35 | 35 | |
| 29.2 | % of ESIA processes where the project was redesigned during decision-making due to the ESIA (because of unacceptable environmental or social consequences) | 0-20 = 5<br>20-40 = 10<br>40-60 = 15<br>60-80 = 25<br>80+ = 35 | 35 | |
| 29.3 | % of ESIA processes with an influence on decision-making about the project, other than redesign. I.e. project approval rejected, or more stringent conditions applied. | 0-20 = 5<br>20-40 = 10<br>40-60 = 15<br>60-80 = 20<br>80+ = 30 | 30 | |
| | **Score** | | 100 | |
| **Outcome on the grounds** | | | | |
| 30.1 | % of ESIA processes that influenced project outcomes on the ground? (i.e. environmental or social problems avoided, more sustainable development) | 0-20 = 20<br>20-40 = 40<br>40-60 = 60<br>60-80 = 80<br>80+ = 100 | 100 | |
| | **Score** | | 100 | |

| | | | | |
|---|---|---|---|---|
| **Learning** | | | | |
| 31.1 | % of ESIA processes leading to improved awareness and capacity on amongst stakeholders (including proponent)? | 0-20 = 5<br>20-40 = 10<br>40-60 = 15<br>60-80 = 20<br>80+ = 30 | 30 | |
| 31.2 | % of ESIA processes leading to improved acceptance of the project by stakeholders | 0-20 = 5<br>20-40 = 10<br>40-60 = 15<br>60-80 = 25<br>80+ = 35 | 35 | |
| 31.3 | % of ESIA processes that led to improved co-operation between different govt agencies/departments | 0-20 = 5<br>20-40 = 10<br>40-60 = 15<br>60-80 = 25<br>80+ = 35 | 35 | |
| | **Score** | | 100 | |

# NOTES

| SECTION V - CONTEXT | | | | |
|---|---|---|---|---|
| **Norms & standards** | | | | |
| 32.1 | Are environmental and social norms and standards in place? | Very good = 100<br>Good = 75<br>OK = 50<br>To be improved = 25<br>Bad = 0 | 100 | |
| | **Score** | | | |
| **Judiciary** | | | | |
| 33.1 | Is there an independent judiciary? | Very good = 40<br>Good = 30<br>OK = 20<br>To be improved = 10<br>Bad = 0 | 40 | |
| 33.2 | What is the quality of the judiciary as to environmental and social issues?<br>o Does the judiciary have sufficient expertise in environmental and social issues?<br>o Are there trained environmental and social lawyers?<br>o Is there a dedicated environmental and social judicial mechanism (for example, environmental court)?<br>o Is there a body of environmental and social case law (jurisprudence)?<br>o Does the constitution/legislative framework recognise/enshrine environment and social rights or wellbeing? | | 40 | |
| 33.3 | Do environmental and social issues feature prominently during the national discourse, for example, election campaigning? | | 20 | |
| | **Score** | | 100 | |
| **Media** | | | | |
| 34.1 | o Is there an independent media? (Freedom house indicator, 3 categories: Free, partly free, not free)<br>o Do journalists have sufficient knowledge of environmental and social issues? | | 100 | |
| | **Score** | | 100 | |
| **National discourse** | | | | |
| 35.1 | Do environmental and social issues feature prominently during the national discourse, for example, election campaigning? | | 100 | |
| | **Score** | | 100 | |
| **Baseline data** | | | | |
| 36.1 | o Does baseline data exist in user-friendly format?<br>o Is it possible to readily access baseline data, up to date maps, statistics, etc? | | 100 | |
| | **Score** | | 100 | |
| **Corruption** | | | | |
| 37.1 | % of the cases where there is political interference and/or corruption in ESIA based decision-making | 0-20= 100<br>20-40= 80<br>40-60= 60<br>60-80= 40<br>80+ = 20 | 100 | |
| | **Score** | | 100 | |

# What is ESY MAPPING?

ESY MAP is a diagnostic tool for assessing the quality of a national Environmental and Social Impact Assessment (ESIA) system. Practitioners and stakeholders involved in ESIA in a country jointly apply the tool in an interactive workshop. They analyse ESIA requirements and performance with the help of a standard set of questions. The outcome is a graphical representation of the quality of the current ESIA system. This informs a shared view on strong and weak points, and where action is most needed.

How does it work? At the heart of the ESY MAP is a questionnaire that addresses key elements of the ESIA system. It consists of two levels. There are 37 Quick Scan questions that address the ESIA system more generally. Each of these questions is linked to the second level: a set of 150 detailed questions for more refined analysis. These 150 questions make up the Detailed Scan of the ESIA system. The ESY MAP explores both regulatory requirements and practice.

The 150 Detailed Scan questions are divided over 5 sections:

- ✓ SECTION I – ESIA PROCESS
- ✓ SECTION II – ENABLING CONDITIONS
- ✓ SECTION III – CAPACITIES
- ✓ SECTION IV – ESIA PERFORMANCE
- ✓ SECTION V– CONTEXT

Netherlands Commission for Environmental Assessment

# ESY-MAP

## أداة تشخيصية لتقييم جودة نظام تقييم الأثر البيئي والاجتماعي (ESIA)

## مذكرة المسح التفصيلي


كانون الثاني 2020

| القسم الأول- عملية تقييم الأثر البيئي والاجتماعي | | | | |
|---|---|---|---|---|
| رقم السؤال | | كيفية التقييم | الدرجة العظمى | الدرجة |
| **الغربلة- المتطلبات** | | | | |
| 1.1 | هل إجراء الغربلة شرط قانوني؟<br>إذا كانت الإجابة نعم انتقل إلى السؤال التالي وإذا كانت الإجابة لا **انتقل إلى التطبيق** | نعم= 40<br>لا=1 | 40 | 20 |
| 2.1 | ما هو مستوى جودة خطوة الغربلة، من ناحية المتطلبات؟ مع الأخذ بعين الاعتبار ما يلي:<br>• هل يتم تحديد المسؤولين بوضوح؟<br>• هل المستند المبدئي (أو ما يعادله) مطلوب مع وجود المعلومات الكافية لتمكين الغربلة؟<br>• هل توجد معايير لاتخاذ قرار الغربلة: قوائم الأنشطة، الحدود القصوى، وما إلى ذلك؟<br>• هل المعايير كافية لاتخاذ قرار الغربلة بشكل واضح ومتسق؟<br>• هل المعايير ملائمة لتمكن من تمييز المخاطر البيئية والاجتماعية؟ (أي تحديد المخاطر العالية)<br>• هل يوجد بند محدد يمنع تقسيم المشروع إلى مشاريع فرعية لتجنب تقييم الأثر البيئي والاجتماعي (التكتيكات التجزيئية) والتقسيم على سبيل المثال إلى:<br>§ مراحل منفصلة من المشروع<br>§ الفصل بين الأنشطة المرتبطة ببعضها البعض<br>§ مشروعات متعددة أصغر<br>• هل يوجد متطلب يفرض التشاور مع هيئات حكومية أخرى في الغربلة؟ (مثل إدارة مراقبة البيئة، وهيئة الصحة وما إلى ذلك) ملحوظة: سيتم التعرض إلى إشراك أصحاب المصلحة على نطاق أوسع لاحقًا.<br>• هل ينبغي أن يكون قرار الغربلة النهائي مبررًا؟ يكون علنيًا وعامًا؟ يكون منشورًا؟ | | 60 | 55 |
| | **الدرجة** | | 100 | 75 |
| **الغربلة- التطبيق** | | | | |
| 3.1 | نسبة المشاريع المنفذة التي تم فيها الغربلة على نحو خاطئ، على سبيل المثال: التي كان ينبغي إخضاعها لتقييم الأثر البيئي والاجتماعي ولم يحدث ذلك، أو التي خضعت إلى تقييم الأثر البيئي والاجتماعي دون وجود الحاجة إلى ذلك. | 50 = 20-0<br>40 = 40-20<br>30 = 60-40<br>20 = 80-60<br>10 = +80 | 50 | |
| 4.1 | نسبة قرارات الغربلةالتي تتم فيها استشارة هيئات حكومية أخرى بشأن الغربلة. | 10 = 20-0<br>20 = 40-20<br>30 = 60-40<br>40 = 80-60<br>50 = +80 | 50 | |
| | **الدرجة** | | 100 | 0 |

| **بدء تقييم الأثر البيئي والاجتماعي- المتطلبات** | | | | |
|---|---|---|---|---|
| 1.2 | هل توجد بداية واضحة لعملية تقييم الأثر البيئي والاجتماعي في شكل إعلان عام (ملاحظة: يمكن أن يكون ذلك في صورة قرار الغربلة المنشور)؟ | نعم= 100<br>لا=1 | 100 | |
| | **الدرجة** | | 100 | 0 |

| | | | | |
|---|---|---|---|---|
| **بدء تقييم الأثر البيئي والاجتماعي- التطبيق** | | | | |
| .2.2 | نسبة الحالات التي تم فيها إخطار الجمهور ببدء تقييم الأثر الاجتماعي والبيئي | 20 = 20-0<br>40 = 40-20<br>60 = 60-40<br>80 = 80-60<br>100 = +80 | 100 | |
| | **الدرجة** | | 100 | 0 |

| | | | | |
|---|---|---|---|---|
| **تحديد النطاق- المتطلبات** | | | | |
| 1.3 | هل تحديد النطاق (أو أي خطوة مماثلة) خطوة رسمية ضمن عملية تقييم الأثر البيئي والاجتماعي؟(نعم/ لا)<br>إذا كانت الإجابة نعم انتقل إلى السؤال التالي وإذا كانت الإجابة لا **انتقل إلى التطبيق** | نعم= 40<br>لا=1 | 40 | |
| 2.3 | ما هي جودة خطوة تحديد النطاق، من ناحية المتطلبات؟<br>o هل يتم تحديد المسؤولين بوضوح؟<br>o هل توجد تعليمات في النظام حول كيفية تحديد النطاق (أي الطرق المستخدمة مثل قوائم التحقق)؟<br>o هل تتضمن متطلبات تحديد النطاق استشارة هيئات حكومية أخرى؟ (مثل إدارة مراقبة البيئة، وهيئة الصحة وما إلى ذلك) (ملحوظة: سيتم التعرض إلى إشراك أصحاب المصلحة على نطاق أوسع لاحقًا).<br>o هل تشمل هذه الخطوة نتائج تحديد النطاق المميزة التي يمكن التحقق منها؟ مثل مستند تحديد النطاق أو وثيقة الشؤوط المرجعية؟<br>o هل يتعين إجراء التحقق من جودة هذا الناتج؟ كيف؟ | | 60 | |
| | o هل ينبغي أن تكون النتيجة النهائية لتحديد النطاق (الشروط المرجعية الموافق عليها مثلًا) مبررة؟ تكون علنية وعامة؟ تكون منشورة؟ | | | |
| | **الدرجة** | | **100** | 0 |
| **تحديد النطاق- التطبيق** | | | | |
| 3.3 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي تم فيها تحديد النطاق | 5 = 20-0<br>10 = 40-20<br>15 = 60-40<br>20 = 80-60<br>25 = +80 | 25 | |
| 4.3 | نسبة عمليات تقييم الأثر الاجتماعي والبيئي التي اشتملت على استشارة هيئات حكومية أخرى في عملية تحديد النطاق | 5 = 20-0<br>10 = 40-20<br>15 = 60-40<br>20 = 80-60<br>25 = +80 | 25 | |
| 5.3 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي نشرت النتائج النهائية لتحديد نطاقها للجمهور | 5 = 20-0<br>10 = 40-20<br>15 = 60-40<br>20 = 80-60<br>25 = +80 | 25 | |
| 6.3 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي تم تحديد النطاق لها على نحو جيد (أدى إلى الاكتشاف المبكر للمشكلات الرئيسة، وتحديد البدائل وأصحاب المصلحة)؟ | 5 = 20-0<br>10 = 40-20<br>15 = 60-40<br>20 = 80-60<br>25 = +80 | 25 | |
| | **الدرجة** | | 100 | 0 |

| | | | | |
|---|---|---|---|---|
| **تقييم الأثر (بما في ذلك البدائل)- المتطلبات** | | | | |
| 1.4 | هل يحدد التشريع بوضوح مبادئ الممارسة الجيدة في تقييم الأثر، على سبيل المثال:<br>o التسلسل الهرمي للتخفيف؟<br>1) توقع وتجنب، 2) قلل وضع حدًا، 3) عوّض وجد بديلًا<br>o يكون التقييم متناسبًا مع المخاطر المتوقعة وآثار المشروع<br>o يشمل أي تسهيلات مرتبطة، والاستثمار خارج الموقع الضروري والموردين؟ (أم فقط نشاط المشروع المباشر)<br>o يشمل تقييم متكامل لجميع المخاطر والآثار البيئية والاجتماعية المباشرة وغير المباشرة والتراكمية ذات الصلة طوال دورة حياة المشروع.<br>o يشمل كل من السياق البيوفيزيائي والاجتماعي والآثار المترتبة على المشروع؟ (ملحوظة: يعتمد ذلك عادةً على تعريف البيئة)<br>o يشمل استخدام الأراضي وإعادة التوطين؟<br>o يشمل ظروف العمل (عمالة الأطفال، والحق في الانضمام إلى نقابة، والأجر العادل، وما إلى ذلك - وليس الصحة والسلامة المهنية)؟<br>o يشمل المعرفة بالسكان الأصليين/ والتقاليد.<br>o يشمل ما إذا كانت الآثار المترتبة غير عادلة بالنسبة للفئات الضعيفة أو المحرومة. | | 50 | |
| 2.4 | هل يحدد التشريع بوضوح قائمة شاملة بمتطلبات *المحتوى* لتقرير تقييم الأثر البيئي والاجتماعي، باتباع الممارسات الجيدة؟ على سبيل المثال<br>o الملخص | | 50 | |
| | o الإطار القانوني والمؤسسي (المتطلبات البيئية والاجتماعية، يتوافق المشروع مع إطار التخطيط)<br>o وصف المشروع<br>§ مبررات المشروع / تحليل المشكلة<br>§ وصف وسياق المشروع<br>§ خريطة واضحة توضح الموقع والمنطقة المتأثرة<br>o المستوى الأساسي "المرجعي"<br>§ يشمل سيناريو "نشاط الأعمال المعتاد" أو سيناريو مرجعي؟<br>§ التأثيرات (تحديدها وتقييمها، سواء الفرص السلبية أو الإيجابية)، بما في ذلك:<br>§ الأشخاص والمجتمعات، صحتهم، وسلامتهم وأمنهم.<br>§ السكان الأصليين<br>§ الحوادث والكوارث<br>§ الصحة والسلامة المهنية<br>§ الجنس<br>§ الإرث الثقافي (بما في ذلك التغيير الملموس وغير الملموس، البيئة المبنية والمساحات المزروعة)<br>§ كفاءة الموارد<br>§ تغير المناخ (التكيف وتخفيف الأضرار) | | | |
| | § التلوث<br>§ خدمات التنوع الحيوي/ النظام البيئي<br>§ تجاوز الحدود الجغرافية ( عبر الحدود)<br>o البدائل (التصميم والتقنية والموقع والتشغيل)<br>o إجراءات التخفيف | | | |

| | | | | |
|---|---|---|---|---|
| | § التأثيرات المتبقية بعد التخفيف<br>§ الجدوى والتكلفة والسعة<br>o الفجوات في المعرفة وتأثيرات هذه الفجوات<br>o الملحقات:<br>§ من هم المساهمين في تقييم الأثر البيئي والاجتماعي<br>§ المراجع المستخدمة بما في ذلك كراسة الشروط الخاصة بتقييم الأثر البيئي والاجتماعي<br>§ التقارير المصاحبة<br>o وصف إشراك أصحاب المصلحة (مثل محاضر الاجتماعات وما إلى ذلك) (ملحوظة: سيتم التعرض إلى إشراك أصحاب المصلحة على نطاق أوسع لاحقًا). | | | |
| | **الدرجة** | | 100 | 0 |

| | | | | |
|---|---|---|---|---|
| **تقييم الأثر (بما في ذلك البدائل)- التطبيق** | | | | |
| 3.4 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي لبت متطلبات الدولة | 6 = 20-0<br>12 = 40-20<br>18 = 60-40<br>24 = 80-60<br>30 = +80 | 30 | |
| 4.4 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي ترقى إلى مستوى الممارسة الجيدة | 8 = 20-0<br>16 = 40-20<br>24 = 60-40<br>32 = 80-60<br>40 = +80 | 40 | |
| 5.4 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي حققت توازنًا جيدًا بين التقييم الاجتماعي والبيوفيزيائي | 4 = 20-0<br>8 = 40-20<br>12 = 60-40<br>16 = 80-60<br>20 = +80 | 20 | |

| | | | | |
|---|---|---|---|---|
| 6.4 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي تنطوي على رابط واضح بين التقييم والنشاط المقترح | 2 = 20-0<br>4 = 40-20<br>6 = 60-40<br>8 = 80-60<br>10 = +80 | 10 | |
| | **الدرجة** | | 100 | 0 |

| | | | | |
|---|---|---|---|---|
| **خطة الإدارة البيئية والاجتماعية (ESMP) – المتطلبات** | | | | |
| 1.5 | o هل يفرض القانون خطة إدارة بيئية واجتماعية؟ | | 25 | |
| 2.5 | o هل تعد خطة الإدارة البيئية والاجتماعية جزءًا من تقييم الأثر البيئي والاجتماعي بحيث تقدم مع عملية التقييم (أو كجزء من التقييم)، وتكون متاحة للاستشارات في الوقت ذاته وما إلى ذلك؟ | | 25 | |

| | | | | |
|---|---|---|---|---|
| 3.5 | هل يحدد التشريع بوضوح قائمة شاملة بمتطلبات محتوى خطة الإدارة البيئية والاجتماعية، مع اتباع الممارسات الجيدة؟ يمكن أن يشمل ذلك على سبيل المثال:<br>o التخفيف<br>§ وصف واضح ومفصل للتدابير (تحديد الأثر، وإجراءات التخفيف، والمؤشرات، والأشخاص المسؤولين، والإطار الزمني والميزانية)<br>§ الاتساق مع خطط التخفيف الأخرى بما في ذلك خطة العمل للمصالحة (RAP)<br>o المراقبة<br>§ وصف واضح ومفصل للمراقبة بما في ذلك السبب ، والحدود القصوى ، ومن الذي سيقوم بالمراقبة والتكرار والمواقع والمنهجية<br>§ إجراءات الإبلاغ عن التقارير<br>o التدابير المؤسسية وتدابير القدرات<br>§ التدابير المؤسسية وتدابير القدرات اللازمة<br>§ الإجراءات اللازمة لضمان القدرات اللازمة | | 50 | |
| | **الدرجة** | | 100 | 0 |
| **خطة الإدارة البيئية والاجتماعية (ESMP)- التطبيق** | | | | |
| 4.5 | نسبة خطط الإدارة البيئية والاجتماعية التي تعالج المشكلات الرئيسة المتعلقة بعمليات تقييم الأثر البيئي والاجتماعي | 10 = 20-0<br>20 = 40-20<br>30 = 60-40<br>40 = 80-60<br>50 = +80 | 50 | |
| 5.5 | نسبة خطط الإدارة البيئية والاجتماعية القابلة للتنفيذ والتحقق | 10 = 20-0<br>20 = 40-20<br>30 = 60-40<br>40 = 80-60<br>50 = +80 | 50 | |
| | **الدرجة** | | 100 | 0 |
| **المراجعة- المتطلبات** | | | | |
| 1.6 | هل يحدد القانون ***متطلبات*** المراجعة الحكومية، على سبيل المثال:<br>o هل يتم تحديد المسؤول عن ذلك بوضوح؟ على سبيل المثال: هيئات البيئة، أم الهيئات القطاعية أم الفريق الحكومي الدولي أم جهات مستقلة.<br>o هل توجد تعليمات في النظام حول كيفية تنفيذ المراجعة؟ (أي الطرق أو المعايير أو قائمة التحقق).<br>o هل تشمل عملية المراجعة زيارة الموقع؟<br>o هل تتضمن متطلبات المراجعة استشارة هيئات حكومية أخرى؟ (مثل إدارة مراقبة البيئة، وهيئة الصحة وما إلى ذلك)<br>o هل يفرض القانون مراجعة عمليات/ إجراءات ومحتوى التقييم البيئي؟<br>o هل ينبغي أن تتناول المراجعة ملاءمة وجدوى خطط الإدارة البيئية والاجتماعية؟<br>o هل يمكن أن يتم رفض تقييم الأثر البيئي والاجتماعي إذا ما وجد غير ملائم؟<br>o إذا تم الحكم على تقييم الأثر البيئي والاجتماعي بأنه غير كافٍ، هل يمكن أن يكون هناك المزيد من التقييم مطلوبًا؟<br>o هل تشمل هذه الخطوة نتائج المراجعة المميزة التي يمكن التحقق منها؟ مثل تقرير المراجعة؟<br>o هل ينبغي أن تكون النتيجة النهائية للمراجعة مبررة؟ تكون علنية وعامة؟ تكون منشورة؟ | | 100 | |
| | **الدرجة** | | 100 | 0 |

| | | | | |
|---|---|---|---|---|
| **المراجعة- التطبيق** | | | | |
| 2.6 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي تمت مراجعتها وفقًا لمتطلبات الدولة | 2 = 20-0<br>4 = 40-20<br>6 = 60-40<br>8 = 80-60<br>10 = +80 | 10 | |
| 3.6 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي أجريت فيها زيارة للموقع أثناء المراجعة | 2 = 20-0<br>4 = 40-20<br>6 = 60-40<br>8 = 80-60<br>10 = +80 | 10 | |
| 4.6 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي تمت استشارة هيئات حكومية فيها أثناء المراجعة | 2 = 20-0<br>4 = 40-20<br>6 = 60-40<br>8 = 80-60<br>10 = +80 | 10 | |
| 5.6 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي تمت فيها مراجعة كل من العملية والمحتوى | 2 = 20-0<br>4 = 40-20<br>6 = 60-40<br>8 = 80-60<br>10 = +80 | 10 | |
| 6.6 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي تمت فيها مراجعة خطة الإدارة البيئية والاجتماعية | 2 = 20-0<br>4 = 40-20<br>6 = 60-40<br>8 = 80-60<br>10 = +80 | 10 | |
| 7.6 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي صاغ فيها المراجعون شروطًا إضافية | 2 = 20-0<br>4 = 40-20<br>6 = 60-40<br>8 = 80-60<br>10 = +80 | 10 | |
| 8.6 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي كانت فيها نتائج المراجعة مبررة بشكل رسمي ومعلنة للجمهور | 2 = 20-0<br>4 = 40-20<br>6 = 60-40<br>8 = 80-60<br>10 = +80 | 10 | |
| 9.6 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي ساهمت فيها المراجعة في تحسين تقييمات الأثر البيئي والاجتماعي | 4 = 20-0<br>8 = 40-20<br>12 = 60-40<br>16 = 80-60<br>20 = +80 | 20 | |
| 10.6 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي تعدّ على مستوى مقبول من الجودة | 2 = 20-0<br>4 = 40-20<br>6 = 60-40<br>8 = 80-60<br>10 = +80 | 10 | |
| | الدرجة | | 100 | 0 |

| | | | | |
|---|---|---|---|---|
| **مراجعة الجهات الخارجية- المتطلبات** | | | | |
| 1.7 | هل يوجد نص في القانون يوجب على وكالة البيئة مراجعة تقارير تقييم الأثر البيئي والاجتماعي وخطط الإدارة البيئية والاجتماعية بواسطة جهات خارجية؟<br>o شرط لحشد الخبرات لهذه المراجعة من قبل الجهات الخارجية (يمكن أن يكونوا خبراء استشاريين، أو فريق من الخبراء الذين جمعتهم الوكالة لهذا الغرض).<br>o الضمانات الموضوعة للتأكد من عدم وجود علاقة مالية أو هرمية يمكن أن تؤثر على نتائج المراجعة.<br>(بغض النظر عما إذا كان تعيين الجهة الخارجية على حساب الحكومة أم على حساب المؤيد)؟<br>o هل ينبغي أن تكون النتائج النهائية التي تخرج بها الجهات الخارجية موثقة، علنية، منشورة؟ | | 100 | |
| | **الدرجة** | | 100 | 0 |
| **مراجعة الجهات الخارجية- التطبيق** | | | | |
| 2.7 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي تخضع لمراجعة جهات خارجية | 10 = 20-0<br>20 = 40-20<br>30 = 60-40<br>40 = 80-60<br>50 = +80 | 50 | |
| 3.7 | هل يتم الإعلان عن تقارير المراجعة المستقلة للجمهور؟ | نعم= 50<br>لا=0 | 50 | |
| | **الدرجة** | | 100 | 0 |

| | | | | |
|---|---|---|---|---|
| **اتخاذ القراروالمساءلة - المتطلبات** | | | | |
| 1.8 | ما هو مقدار جودة متطلبات اتخاذ القرار الرسمي بشأن المشروع؟ عند الحكم على الجودة ضع في الاعتبار ما يلي:<br>o هل تم تحديد المسؤول عن هذا القرار (=اعتماد المشروع) بوضوح؟<br>o هل توجد معايير لاتخاذ هذا القرار؟ (أي تلبية المعايير البيئية والاجتماعية)<br>o هل هذه المعايير كافية لاتخاذ قرار بشكل واضح ومتسق؟<br>o هل تتضمن المتطلبات استشارة هيئات حكومية أخرى بشأن القرار الرسمي؟<br>o هل ينبغي أن يكون القرار مبررًا من ناحية الأثر البيئي والاجتماعي (كتابةً)؟<br>o هل يوجد بند في القانون يحدد مهلة زمنية لصلاحية القرار؟ بمعنى أنه يجب أن يبدأ المشروع في غضون إطار زمني معين بعد اتخاذ القرار، وإلا ينتهي الترخيص/ التصريح.<br>o هل ينبغي أن يكون القرار علنيًا/ منشورًا؟ | | 100 | |
| | **الدرجة** | | 100 | 0 |
| **اتخاذ القراروالمساءلة - التطبيق** | | | | |
| 2.8 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي اتخذ فيها القرار الرسمي بصدد المشروع وفقًا لما هو منصوص في الانظمة | 2 = 20-0<br>4 = 40-20<br>6 = 60-40<br>8 = 80-60<br>10 = +80 | 10 | |
| 3.8 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي تمت فيها استشارة هيئات حكومية أخرى | 2 = 20-0<br>4 = 40-20<br>6 = 60-40<br>8 = 80-60<br>10 = +80 | 10 | |
| 4.8 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي حددت فيها شروطًا معينة لتنفيذ المشروع ضمن القرار | 2 = 20-0<br>4 = 40-20<br>6 = 60-40<br>8 = 80-60<br>10 = +80 | 10 | |

| | | | | |
|---|---|---|---|---|
| 5.8 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي كان فيها القرار الرسمي مبررًا (فيما يتعلق بالأثر البيئي والاجتماعي) | 2 = 20-0<br>4 = 40-20<br>6 = 60-40<br>8 = 80-60<br>10 = +80 | 10 | |
| 6.8 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي نشر فيها القرار الرسمي | 2 = 20-0<br>4 = 40-20<br>6 = 60-40<br>8 = 80-60<br>10 = +80 | 10 | |
| 7.8 | النسبة المئوية لتراخيص المشروعات التي تم فيها أخذ استنتاجات وتوصيات تقييم الأثر البيئي والاجتماعي في الاعتبار عند إصدار التصريح / الترخيص من قبل الجهات الحكومية ذات الصلة (الهيئات والدوائر والوزارات) | 10 = 20-0<br>20 = 40-20<br>30 = 60-40<br>40 = 80-60<br>50 = +80 | 50 | |
| | **الدرجة** | | 100 | 0 |

| **المتابعة - المتطلبات** | | | | |
|---|---|---|---|---|
| 1.9 | ما هو مقدار جودة المتطلبات للمؤيدين (القطاع الخاص أو الحكومة) اللازمة لما يلي:<br>o مراقبة التأثيرات (على النحو الموصوف في تقييم الأثر البيئي والاجتماعي/ خطة الإدارة البيئية والاجتماعية)؟<br>o اتخاذ إجراء عندما لا تكون التأثيرات على النحو المتوقع (عندما لا تفيد التدابير أو تكون غير كافية أو عندما تنشأ تأثيرات غير متوقعة)؟<br>o الإبلاغ بتقارير بشأن هذه المراقبة والإدارة؟<br>o نشر هذا التقرير؟ | | 25 | |
| | o تكييف او تحديث خطة الإدارة البيئية والاجتماعية بشكل منتظم عندما يكون ذلك ضروريًا نتيجة تغير الظروف أو المشروع. | | | |
| 2.9 | ما هو مقدار جودة المتطلبات بالنسبة للجهات المختصة لتقوم بما يلي:<br>o التحقق من تنفيذ المشروع على النحو المتفق عليه (بما في ذلك تنفيذ أي تدابير ضمن خطة الإدارة البيئية والاجتماعية و/ أو شروط الموافقة)؟<br>o متابعة المراقبة والإدارة والتقارير المستمرة؟<br>o القيام بزيارات التفتيش للموقع؟<br>o اتخاذ إجراء عندما لا تكون التأثيرات وفق المتوقع أو المتفق عليه (عدم الامتثال)؟<br>o الإبلاغ بتقارير بشأن هذه المراقبة والإدارة؟<br>o هل ينبغي أن تكون هذه التقارير علنية/ منشورة؟ | | 25 | |
| 3.9 | هل توجد متطلبات تفرض تدخل جهات خارجية؟<br>o مراقبة المجتمع<br>o أو اعتماد الخبير المستقل (بما في ذلك تطبيق نظام الاعتماد)؟ | | 25 | |
| 4.9 | هل توجد بنود تفرض وجود التزام مالي لتنفيذ التدابير؟ | | 25 | |
| | **الدرجة** | | 100 | 0 |

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|---|---|---|---|---|
| **المتابعة – التطبيق** | | | | |
| 5.9 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي ينفذ فيها المؤيدون 3 أو أكثر من الأنشطة التالية:<br>o مراقبة التأثيرات (على النحو الموصوف في تقييم الأثر البيئي والاجتماعي/ خطة الإدارة البيئية والاجتماعية)؟<br>o اتخاذ إجراء عندما لا تكون التأثيرات على النحو المتوقع (عندما لا تفيد التدابير أو تكون غير كافية أو عندما تنشأ تأثيرات غير متوقعة)؟<br>o الإبلاغ بتقارير بشأن هذه المراقبة والإدارة؟<br>o نشر هذا التقرير؟ | 3 = 20-0<br>6 = 40-20<br>9 = 60-40<br>12 = 80-60<br>16 = +80 | 16 | |
| 6.9 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي تقوم فيها الحكومة بما يلي:<br>o التحقق من تنفيذ المشروع على النحو المتفق عليه (بما في ذلك تنفيذ أي تدابير ضمن خطة الإدارة البيئية والاجتماعية و/ أو شروط الموافقة)؟<br>o متابعة المراقبة والإدارة والتقارير المستمرة؟<br>o القيام بزيارات الفحص للموقع؟<br>o اتخاذ إجراء عندما لا تكون التأثيرات وفق المتوقع أو المتفق عليه (عدم الامتثال)؟<br>o الإبلاغ بتقارير بشأن هذه المراقبة والإدارة؟<br>o نشر هذا التقرير؟ | 4 = 20-0<br>8 = 40-20<br>12 = 60-40<br>16 = 80-60<br>20 = +80 | 20 | |
| 7.9 | نسبة المشروعات التي يتم فيها تضمين تقييم الأثر البيئي والاجتماعي/ خطة الإدارة البيئية والاجتماعية ضمن كراسة شروط المقاول والمناقصات والعقود | 3 = 20-0<br>6 = 40-20<br>9 = 60-40<br>12 = 80-60<br>16 = +80 | 16 | |
| 8.9 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي اشتركت فيها الجهات الخارجية في عمليات المتابعة | 3 = 20-0<br>6 = 40-20<br>9 = 60-40<br>12 = 80-60<br>16 = +80 | 16 | |
| 9.9 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي فرض فيها وضع التزام مالي | 3 = 20-0<br>6 = 40-20<br>9 = 60-40<br>12 = 80-60<br>16 = +80 | 16 | |
| 10.9 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي تم فيها تصحيح عدم الامتثال الذي اكتشف أثناء المتابعة؟ | 3 = 20-0<br>6 = 40-20<br>9 = 60-40<br>12 = 80-60<br>16 = +80 | 16 | |
| | **الدرجة** | | 100 | 0 |

| | | | | |
|---|---|---|---|---|
| **إشراك أصحاب المصلحة والوصول إلى المعلومات- المتطلبات** | | | | |
| 1.10 | هل ينبغي أن يكون إشراك أصحاب المصلحة جزءًا من عملية تقييم الأثر البيئي والاجتماعي؟ | | 12 | |
| 2.10 | هل هناك اشتراط للتكيف مع احتياجات مجموعات محددة، والتي قد تشمل السكان الأصليين والمحرومين والضعفاء؟ | | 24 | |
| 3.10 | هل ينبغي أن يشارك أخصائي في إشراك أصحاب المصلحة؟ | | 12 | |
| 4.10 | هل هناك حاجة إلى آلية التظلم خاصة بالمشروع؟ | | 12 | |
| 5.10 | هل هناك أي أحكام محددة لضمان سهولة الوصول إلى وثائق تقييم الأثر البيئي والاجتماعي ذات الصلة؟ (للجميع الحق في الاطلاع على تقييم الأثر البيئي والاجتماعي، الوصول بسهولة إلى تقارير التقييم (مسودات) عبر البريد الإلكتروني أو الإنترنت، التكاليف المرتبطة لا تعيق الوصول، المعلومات مفهومة) | | 12 | |

| | | | | |
|---|---|---|---|---|
| 6.10 | هل هناك بنود خاصة في الشروط ينبغي وضعها والتي تتيح المشاركة؟ (مقبولة ثقافيًا، خالية من التلاعب والتدخل والإكراه والتمييز والترهيب) | | 12 | |
| 7.10 | كيف تحكم على جودة متطلبات مشاركة أصحاب المصلحة في عملية تقييم الأثر البيئي والاجتماعي؟ مع الأخذ بعين الاعتبار ما يلي:<br>o اختيار المراحل التي تكون مشاركة أصحاب المصلحة مطلوبة فيها: البدء/ الغربلة، تحديد النطاق، التقييم، المراجعة، اتخاذ القرار، المتابعة (أي أثناء تنفيذ المشروع)<br>o هل هناك تعليمات في النظام بشأن طرق إشراك أصحاب المصلحة (مثل الجلسات العلنية وما إلى ذلك)؟<br>o هل هناك تعريف، أو معايير لتحديد أصحاب المصلحة، بما يضمن مشاركة شاملة من جميع أصحاب المصلحة؟<br>o متطلبات محددة للوصول إلى المعلومات.<br>o ما إذا كانت إفادات أصحاب المصلحة ينبغي تسجيلها (بدون رقابة) والرد عليها؟<br>o هل يجب تبرير النتيجة / القرار في عملية تقييم الأثر البيئي والاجتماعي، والموافقة على المشروع في ضوء مدخلات أصحاب المصلحة؟<br>o ما هي القرارات الرسمية التي يمكن للجمهور الاستفادة منها في ممارسة حق الاستئناف عبر خيار الاستئناف الإداري؟ | | 16 | |
| | **الدرجة** | | 100 | 0 |
| **إشراك أصحاب المصلحة والوصول إلى المعلومات- التطبيق** | | | | |
| 8.10 | هل تتم مشاركة أصحاب المصلحة في وقت مبكر بما فيه الكفاية للتأثير على التقييم وتصميم المشروع؟ | | 10 | |
| 9..10 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي تم فيها الإعلان مبكرًا عن المشروع وخيار إشراك أصحاب المصلحة | | 10 | |
| 10.10 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي لبت متطلبات الدولة من حيث إشراك أصحاب المصلحة | 2 = 20-0<br>4 = 40-20<br>6 = 60-40<br>8 = 80-60<br>10 = +80 | 10 | |
| 11.10 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي يمكن اعتبارها ممارسة جيدة، بمعنى:<br>o تم فيها إشراك أصحاب المصلحة في المراحل الصحيحة على مدار العملية<br>o وتمت المشاركة خلال هذه المراحل في ظل الشروط الصحيحة من ناحية:<br>o أن تكون شاملة للجميع أم مقتصرة على أصحاب مصلحة بعينهم<br>o أن تكون موثقة<br>o أن تكون المخرجات مبررة في ظل مدخلات أصحاب المصلحة | 2 = 20-0<br>4 = 40-20<br>6 = 60-40<br>8 = 80-60<br>10 = +80 | 10 | |
| 12.10 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي حققت أهداف الممارسة الجيدة بإشراك أصحاب المصلحة بمعنى أن يكون جميع أصحاب المصلحة:<br>o الراغبين في المشاركة قد شاركوا<br>o وكانوا قادرين على طرح المشكلات والتظلمات المهمة بالنسبة لهم<br>o وتلقوا الرد المناسب عليها. | 2 = 20-0<br>4 = 40-20<br>6 = 60-40<br>8 = 80-60<br>10 = +80 | 10 | |
| 13.10 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي حسنت فيها مدخلات أصحاب المصلحة من عمليات التقييم و/أو المشروع | 5 = 20-0<br>10 = 40-20<br>15 = 60-40<br>20 = 80-60<br>25 = +80 | 25 | |
| 14.10 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي حسنت فيها مشاركة أصحاب المصلحة من مدى تقبل التقييم و/ أو المشروع | 5 = 20-0<br>10 = 40-20<br>15 = 60-40<br>20 = 80-60<br>25 = +80 | 25 | |
| | **الدرجة** | | 100 | 0 |

| | | | | |
|---|---|---|---|---|
| **خبراء التقييم البيئي والاجتماعي- المتطلبات** | | | | |
| 1.11 | هل يُشترط إجراء تقييم الأثر البيئي والاجتماعي من قبل مهنيين مؤهلين بشكل مناسب ولديهم خبرة ذات صلة | | 25 | |
| 2.11 | هل هناك شرط ينص على أنه ينبغي إجراء تقييم الأثر البيئي والاجتماعي من قبل خبراء مستقلين في التقييم البيئي والاجتماعي؟ | | 25 | |
| 3.11 | هل هناك آلية للاعتراف الرسمي بممارسي التقييم البيئي والاجتماعي، أي الاعتماد أو التسجيل؟ نعم / لا (إذا كانت الإجابة لا، تخطّ السؤال 11.4) | | 25 | |
| 4.11 | ما هي جودة نظام الاعتماد أو التسجيل؟ مع الأخذ بعين الاعتبار ما يلي:<br>o معايير محددة بوضوح فيما يتعلق بالمؤهلات والخبرة والكفاءة؟<br>o متطلبات التطوير المهني؟<br>o هل ينبغي تجديده على فترات منتظمة أم يمنح مدى الحياة<br>o هل ينبغي أن يوقع كل خبير مسجل على مدونة السلوك<br>o آلية ضمان المعاقبة على الأداء السيء (إجراءات الشكاوى، على سبيل المثال) | | 25 | |
| | **الدرجة** | | 100 | 0 |
| **خبراء التقييم البيئي والاجتماعي- التطبيق** | | | | |
| 5.11 | نسبة ممارسي تقييم الأثر البيئي والاجتماعي المسجلين والمعتمدين | 6 = 20-0<br>12 = 40-20<br>18 = 60-40<br>24 = 80-60<br>30 = +80 | 30 | |
| 6.11 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي تنفذ من قبل خبراء مؤهلين على النحو الواجب | 14 = 20-0<br>28 = 40-20<br>42 = 60-40<br>56 = 80-60<br>70 = +80 | 70 | |
| | **الدرجة** | 100 | | 0 |

| | | | | |
|---|---|---|---|---|
| **المراجعون - المتطلبات** | | | | |
| 1.12 | هل يوجد شرط قانوني يلزم مراجعة تقييم الأثر البيئي والاجتماعي من قبل مهنيين مؤهلين بشكل مناسب ولديهم خبرة ذات صلة | | 35 | |
| 2.12 | هل هناك آلية للاعتراف الرسمي بمراجعي تقييم الأثر البيئي والاجتماعي، أي من خلال الاعتماد أو التسجيل؟ نعم/ لا | | 35 | |
| 3.12 | ما هي جودة نظام الاعتماد أو التسجيل؟ مع الأخذ بعين الاعتبار ما يلي:<br>o معايير محددة بوضوح فيما يتعلق بالمؤهلات والخبرة والكفاءة؟<br>o هل ينبغي تجديده على فترات منتظمة أم يمنح مدى الحياة<br>o هل ينبغي أن يوقع كل خبير مسجل على مدونة السلوك<br>o آلية ضمان المعاقبة على الأداء السيء (إجراءات الشكاوى، على سبيل المثال) | | 30 | |
| | **الدرجة** | | 100 | 0 |

| المراجعون - التطبيق | | | | |
|---|---|---|---|---|
| 4.12 | نسبة مراجعي تقييم الأثر البيئي والاجتماعي المسجلين والمعتمدين | 6 = 20-0<br>12 = 40-20<br>18 = 60-40<br>24 = 80-60<br>30 = +80 | 30 | |
| 5.12 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي تراجع من قبل خبراء مؤهلين على النحو الواجب | 14 = 20-0<br>28 = 40-20<br>42 = 60-40<br>56 = 80-60<br>70 = +80 | 70 | |
| | **الدرجة** | | 100 | 0 |

| الجداول الزمنية - المتطلبات والتطبيق | | | | |
|---|---|---|---|---|
| 1.13 | ملاءمة الجداول الزمنية الإجرائية من وجهة نظر المسؤول | | 15 | |
| 2.13 | ملاءمة الجداول الزمنية الإجرائية من وجهة نظر الداعم | | 15 | |
| 3.13 | ملاءمة الجداول الزمنية الإجرائية من حيث إشراك أصحاب المصلحة | | 15 | |
| 4.13 | هل توجد بنود تفرض المرونة في الجداول الزمنية (إمكانية التمديد)؟ نعم/ لا | | 15 | |
| 5.13 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي التزمت بالجداول الزمنية الإجرائية | 8 = 20-0<br>16 = 40-20<br>24 = 60-40<br>32 = 80-60<br>40 = +80 | 40 | |
| | **الدرجة** | | 100 | 0 |

| الملاءمة للمستخدم- المتطلبات والتطبيق | | | | |
|---|---|---|---|---|
| 1.14 | هل العبء الإداري لإجراء تقييم الأثر البيئي والاجتماعي معقول؟ (عدد النماذج، عدد المكاتب التي يتعين زيارتها لإتمام العملية ونحو ذلك) | | 40 | |
| 2.14 | راحة العملاء في الهيئات الإدارية (إعطاء تحديثات حول المعالجة، وتقديم المشورة الإضافية عند تقديم المعلومات عبر الإنترنت) | | 20 | |
| 3.14 | هل تقوم السلطات الحكومية ذات الصلة بدور نشط في إتاحة وثائق تقييم الأثر البيئي والاجتماعي (مثل تقرير النطاق وتقرير تقييم الأثر البيئي والاجتماعي) بشكل فاعل للجمهور؟ | | 40 | |
| | **الدرجة** | | 100 | 0 |

| تجاوز تقييم الأثر البيئي والاجتماعي للحدود الجغر فية - المتطلبات | | | | |
|---|---|---|---|---|
| 1.15 | هل هناك متطلبات تضمن إخطار البلد المتأثر مبكرًا بعملية تقييم الأثر البيئي والاجتماعي، في حالة الآثار المحتمل تجاوزها للحدود؟ | | 25 | |
| 2.15 | هل يشترط إدراج التأثيرات العابرة للحدود في خطة الإدارة البيئية والاجتماعية/ تقييم الأثر البيئي والاجتماعي، عند الاقتضاء؟ | | 25 | |
| 3.15 | هل يشترط إشراك أصحاب المصلحة في بلد متأثر في عملية تقييم الأثر البيئي والاجتماعي؟ | | 25 | |
| 4.15 | هل يشترط إبلاغ الأطراف المعنية في بلد متأثر بنتائج عملية تقييم الأثر البيئي والاجتماعي (تقرير التقييم وقراره). | | 25 | |
| | **الدرجة** | | 100 | 0 |

| | | | | |
|---|---|---|---|---|
| **تجاوز تقييم الأثر البيئي والاجتماعي للحدود الجغر فية – التطبيق** | | | | |
| 5.15 | نسبة حالات تقييم الأثر البيئي والاجتماعي (ذات تأثيرات محتملة عبر الحدود) التي يتم فيها إخطار البلد المتأثر مبكرًا ضمن عملية تقييم الأثر البيئي والاجتماعي؟ | 5 = 20-0<br>10 = 40-20<br>15 = 60-40<br>20 = 80-60<br>25 = +80 | 25 | |
| 6.15 | نسبة حالات تقييم الأثر البيئي والاجتماعي (ذات تأثيرات محتملة عبر الحدود) التي يشتمل فيها التقييم وخطة الإدارة البيئية والاجتماعية على التأثيرات العابرة للحدود؟ | 5 = 20-0<br>10 = 40-20<br>15 = 60-40<br>20 = 80-60<br>25 = +80 | 25 | |
| 7.15 | نسبة حالات تقييم الأثر البيئي والاجتماعي (ذات تأثيرات محتملة عبر الحدود) التي يتم فيها إشراك أصحاب المصلحة في البلد المتأثرة ضمن عملية التقييم؟ | 5 = 20-0<br>10 = 40-20<br>15 = 60-40<br>20 = 80-60<br>25 = +80 | 25 | |
| 8.15 | نسبة حالات تقييم الأثر البيئي والاجتماعي (ذات تأثيرات محتملة عبر الحدود) التي تبلغ فيها الأطراف المعنية في بلد متأثر بنتائج عملية تقييم الأثر البيئي والاجتماعي (تقرير التقييم وقراره). | 5 = 20-0<br>10 = 40-20<br>15 = 60-40<br>20 = 80-60<br>25 = +80 | 25 | |
| | **الدرجة** | | 100 | 0 |

# ملاحظات

## القسم الثاني- شروط التمكين

| رقم السؤال | | | الدرجة العظمى | الدرجة |
|---|---|---|---|---|
| **الإطار التنظيمي لتقييم الأثر البيئي والاجتماعي** | | | | |
| 1.16 | هل يوجد قانون يحدد متطلبات تقييم الأثر البيئي والاجتماعي؟ | | 7 | |
| 2.16 | هل تعدّ انظمة تقييم الأثر البيئي والاجتماعي مكملة للقانون البيئي و/أو الاجتماعي؟ | | 8 | |
| 3.16 | هل تغطية تقييم الأثر البيئي والاجتماعي ملائمة؟ | | 8 | |
| 4.16 | ما مدى ارتباط تقييم الأثر البيئي والاجتماعي بصنع القرار في المشروع؟ (على سبيل المثال: توقيت التقييم مقارنة بالموافقات على المشروع) | | 8 | |
| 5.16 | هل توجد إمكانية لاتخاذ قرار الموافقة على المشروع في نهاية مرحلة تحديد النطاق (في ضوء تقييم الأثر البيئي والاجتماعي)؟ | | 7 | |
| 6.16 | هل يضع النظام قوانين لهيئة مكرسة لتقييم الأثر البيئي والاجتماعي؟<br>على سبيل المثال:<br>o هل هي موجودة؟<br>o هل لديها الصلاحيات المناسبة؟<br>o هل تقوم بالتنسيق بفعالية مع الهيئات الأخرى؟ | | 8 | |
| 7.16 | هل تتوفر لامركزية فعالة للتكليف بتقييم الأثر البيئي والاجتماعي مما يعزز من فعالية التقييم؟ | | 7 | |
| 8.16 | هل توجد ترتيبات للتنسيق بين الهيئات ضمن عملية تقييم الأثر البيئي والاجتماعي؟<br>o إشراك إدارة مراقبة البيئة و/ أو المراقبة الاجتماعية؟<br>o إشراك الهيئات القطاعية (مثل البنية التحتية والمياه)؟<br>o إشراك الهيئات ذات الصلة (مثل الصحة)؟ | | 8 | |
| 9.16 | هل توجد أي اختصاصات غير واضحة أو متداخلة في صلاحيات أو التكليفات بتقييم الأثر البيئي والاجتماعي والتراخيص/ التصاريح ذات الصلة؟ | | 8 | |
| 10.16 | هل التعويضات متاحة؟<br>o خيار الاستئناف الإداري (كجزء من القانون الإداري المطبق محليًا)<br>o خيار الاستئناف القضائي (بما في ذلك إمكانية رفع دعوى المصلحة العامة) | | 9 | |
| 11.16 | هل توجد عقوبات في حالات عدم الامتثال بمتطلبات تقييم الأثر البيئي والاجتماعي؟<br>o هل توجد عقوبات عامة بموجب القانون البيئي أو الاجتماعي أو غير ذلك؟<br>o عقوبات خاصة بتقييم الأثر البيئي والاجتماعي؟<br>o هل العقوبات كافية للردع في حالات عدم الامتثال؟ | | 8 | |
| 12.16 | هل توجد إرشادات حول القانون والانظمة؟ هل الإرشادات مقبولة على نحو واسع؟ | | 7 | |
| 13.16 | هل يلزم القانون أو النظام المؤيد بتغطية التكاليف المرتبطة بتقييم الأثر البيئي والاجتماعي، إلى جانب تكاليف أي إجراء علاجي بعد اتخاذ القرار (مبدأ دفع المتسبب بالتلوث)؟ | | 7 | |
| | **الدرجة** | | 100 | 0 |
| **التمويل** | | | | |
| 1.17 | هل يوجد تمويل هيكلي كاف لإدارة عملية تقييم الأثر البيئي والاجتماعي، بما في ذلك المتابعة (الموارد البشرية والتقنية والمادية)؟ | | 40 | |
| 2.17 | هل تم تخصيص ميزانية كافية لإجراء تقييم الأثر البيئي والاجتماعي؟<br>o هل هناك ميزانية مخصصة لتقييم الأثر البيئي والاجتماعي في الميزانيات الحكومية للمشاريع التي تقوم بها الحكومة؟<br>o هل هناك ميزانية مخصصة لتقييم الأثر البيئي والاجتماعي في ميزانيات القطاع الخاص المكرسة للمشاريع؟ | | 40 | |
| 3.17 | هل هناك آلية تمويل مخصصة للرسوم والتكاليف المرتبطة بتقييم الأثر البيئي والاجتماعي، مثل صندوق البيئة؟ | | 20 | |
| | **الدرجة** | | 100 | 0 |

| | | | | |
|---|---|---|---|---|
| **الوعي والالتزام** | | | | |
| 1.18 | هل يتم الاهتمام بتقييم الأثر البيئي والاجتماعي في المجال العام (وسائل الإعلام)؟ | | 20 | |
| 2.18 | هل تقييم الأثر البيئي والاجتماعي على الأجندة السياسية وهل صانعي القرار رفيعي المستوى يدعمون هذه العملية بشكل شخصي؟<br>مع الأخذ بعين الاعتبار ما يلي:<br>o هل توجد سياسة للترويج لتقييم الأثر البيئي والاجتماعي؟<br>o هل وضع تقييم الأثر البيئي والاجتماعي سابقًا من قبل على أجندة مجلس الوزراء أو جداول الأعمال الأخرى على سبيل المثال، اللجنة الوزارية المشتركة؟ | | 40 | |
| 3.18 | هل هناك مستوى كاف من الاهتمام العام / المهني والمشاركة في الأحداث المتعلقة بتقييم الأثر البيئي والاجتماعي (الندوات وما إلى ذلك)؟ مع الأخذ بعين الاعتبار ما يلي:<br>o عدد الفعاليات<br>o نتائج الفعاليات<br>o نوعية المناقشات في الفعاليات | | 20 | |
| 4.18 | هل هناك قيادة معترف بها وفعالة لتقييم الأثر البيئي والاجتماعي في الدولة؟ مع الأخذ بعين الاعتبار ما يلي:<br>o المؤسسات المهنية<br>o المعلمون والقادة/ الأبطال | | 20 | |
| | **الدرجة** | | 100 | 0 |

| | | | | |
|---|---|---|---|---|
| **التعليم والتدريب المهني المتعلق بتقييم الأثر البيئي والاجتماعي** | | | | |
| | ***ملحوظة:***<br>التعليم = التعليم جامعي المستوى لتقييم الأثر البيئي والاجتماعي في المؤسسات الأكاديمية<br>التدريب = التطوير المهني | | | |
| 1.19 | هل يوجد تعليم جيد فيما يخص تقييم الأثر البيئي والاجتماعي؟<br>o هل تدريس تقييم الأثر البيئي والاجتماعي يتم بالتنسيق مع أو تحت مراقبة الجودة (المناهج الموحدة وما إلى ذلك)؟<br>o تقديم طلاب أكفاء؟ | | 50 | |
| 2.19 | هل يوجد تدريب جيد على التطوير المهني؟<br>ورش العمل تعقد بانتظام وما إلى ذلك لمتخصصي التقييم لتطوير مهاراتهم ومعارفهم (وليس التدريب لمرة واحدة) | | 50 | |
| | **الدرجة** | | 100 | 0 |
| **تقديم المشورة بشأن إجراءات وممارسات تقييم الأثر البيئي والاجتماعي (مكتب مساعدة التقييم)** | | | | |
| 1.20 | **مكتب المساعدة**<br>o هل يسهل الوصول إلى مكتب المساعدة نفسه؟ ؟ بمعنى آخر: هل هناك دعم للأشخاص الذين يحاولون المشاركة في تقييم الأثر البيئي والاجتماعي؟<br>o هل يتم استخدامه؟<br>o هل يسهل مكتب المساعدة الوصول إلى البيانات والمعلومات ذات الصلة بممارسة تقييم الأثر البيئي والاجتماعي؟<br>o هل له دور فعال في التأثير على الممارسة والتطبيق؟ | | 100 | |
| | **الدرجة** | | 100 | 0 |
| **مر قبة تطبيق نظام تقييم الأثر البيئي والاجتماعي** | | | | |
| 1.21 | المراقبة والتقييم<br>o هل يتم إجراء دراسات حول فعالية تقييم الأثر البيئي والاجتماعي؟<br>o هل توجد ميزانية كافية مخصصة لمراقبة نظام تقييم الأثر البيئي والاجتماعي؟<br>o هل يتم إبلاغ الجمهور بتقارير التقدم المحرز؟ | | 30 | |
| 2.21 | هل هناك قاعدة بيانات يمكن الوصول إليها أو مستودع لتقارير تقييم الأثر البيئي والاجتماعي التي يتم الاحتفاظ بها بانتظام؟ | | 20 | |
| 3.21 | هل تؤدي مراقبة النظام إلى تحسين جهود نظام تقييم الأثر البيئي والاجتماعي؟ | | 50 | |
| | **الدرجة** | | 100 | 0 |

| تمكين تبادل الخبراء المهنيين | | | | |
|---|---|---|---|---|
| 1.22 | منصة/ شبكة الخبراء<br>o هل توجد منصة/ شبكة؟<br>o هل يوجد نشاط جيد على هذه المنصة؟<br>o هل تروج المنصة/ الشبكة وتدعم الممارسة الجيدة؟ | | 50 | |
| 2.22 | هل يقوم خبراء تقييم الأثر البيئي والاجتماعي بتبادل البيانات والمعلومات ذات الصلة بالتقييم فيما بينهم؟ | | 50 | |
| | **الدرجة** | | 100 | 0 |

القسم الثالث- القدرات

| | | | | |
|---|---|---|---|---|
| **هيئة البيئة (الهيئة الإدارية المسؤولة عن تقييم الأثر البيئي والاجتماعي)** | | | | |
| **المهمة والهيكل والموارد** | | | | |
| 1.23 | o المهمة محددة بوضوح في النصوص القانونية<br>o التمويل الهيكلي مؤمن لتنفيذ المهام<br>o لدى المؤسسة إدارة ملتزمة ومستقرة<br>o لدى المؤسسة هيكل تنظيمي واضح وفاعل<br>o المكاتب مجهزة والمنشآت والمعدات اللازمة متاحة<br>o عدد الأفراد العاملين كاف لتنفيذ المهام<br>o يوجد نظام لإدارة المعلومات يتيح الوصول إلى المعلومات المطلوبة لأداء المهام<br>o الأدوات / الإرشادات المتوفرة لدعم المهام (إجراءات العمل ، قوائم التحقق، إلخ) | | 25 | |
| **الإدارة** | | | | |
| 2.23 | o توجد رؤية / استراتيجية / خطة متعددة السنوات ترشد عمل المؤسسة<br>o الرؤية / الاستراتيجية / وثائق التخطيط معروفة ويمكن الوصول إليه<br>o يتم اتخاذ القرارات والإبلاغ بها والتصرف بناءً عليها<br>o تعقد اجتماعات التخطيط / التنسيق بانتظام<br>o تشجع الإدارة على التبادل والتعلم<br>o تتوقع الإدارة تطورات جديدة | | 25 | |
| **الخبرات** | | | | |
| 3.23 | o تتوفر الخبرات اللازمة لتنفيذ جميع المهام الإدارية المتعلقة بتقييم الأثر البيئي والاجتماعي<br>o يتم تدريب الموظفين بانتظام وبذل الجهود للحفاظ على الخبرة لتنفيذ المهام والذاكرة المؤسسية<br>o تتوفر الموارد المالية والآليات المناسبة للوصول إلى الخبرة الخارجية إذا لزم الأمر (مثل مراجعة تقييم الأثر البيئي والاجتماعي)<br>o الموارد المالية والآليات متاحة للوصول إلى قواعد البيانات (الخارجية) ومصادر المعلومات إذا لزم الأمر (على وجه التحديد للبيانات المرجعية لتقييم الأثر البيئي والاجتماعي ودراسة الاثر) | | 25 | |
| **الحفاظ على العلاقات الاستراتيجية** | | | | |
| 4.23 | o القيام بالتنسيق / التعاون مع الشركاء ذوي الصلة<br>o القيادة في تقييم الأثر البيئي والاجتماعي للمؤسسة معترف بها حسب الأصول من قبل الشركاء<br>o وجود منصات/ شبكات/ تحالفات للتبادل (على المستوى المحلي والدولي) معرفة من قبل المؤسسة، والتي تشارك المؤسسة فيها بشكل فاعل واستباقي.<br>o تشارك المؤسسة طوعًا البيانات والمعلومات<br>o وضع الهيئات البيئية في التسلسل الهرمي الحكومي | | 25 | |
| | **الدرجة** | | 100 | 0 |
| **خبراء تقييم الأثر البيئي والاجتماعي** | | | | |
| **الموارد** | | | | |
| 1.24 | o عدد خبراء تقييم الأثر البيئي والاجتماعي المتاحين كافٍ لتلبية احتياجات التقييم<br>o لدى خبراء تقييم الأثر البيئي والاجتماعي إمكانية وصول إلى البيانات والخرائط وغير ذلك مما يلزم لتنفيذ تقييم الأثر البيئي والاجتماعي<br>o توجد أدوات متاحة لدعم عمل تقييم الأثر البيئي والاجتماعي (الصيغ، وقوائم التحقق وما إلى ذلك) | | 40 | |
| **الخبرات** | | | | |
| 2.24 | o لدى خبراء تقييم الأثر البيئي والاجتماعي الخبرات اللازمة لتنفيذ التقييم<br>o يتم تدريب خبراء تقييم الأثر البيئي والاجتماعي بصفة دورية وتتاح لهم الفرصة لتطوير مهنتهم كأخصائيين في مجال التقييم | | 30 | |

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|---|---|---|---|---|
| **الحفاظ على العلاقات الاستر ليجية** | | | | |
| 3.24 | o يعمل خبراء تقييم الأثر البيئي والاجتماعي مع منظمات المجتمع المدني والهيئات الحكومية والمؤسسات المعرفية في سياق قيامهم بالتقييم<br>o يشارك خبراء تقييم الأثر البيئي والاجتماعي في المنصات/ الشبكات، التحالفات الخاصة بالتقييم (إن وجدت)<br>o يشارك خبراء تقييم الأثر البيئي والاجتماعي المعلومات والبيانات لتحسين ممارسة التقييم، بين بعضهم البعض ومع الحكومة وغيرها من الأطراف الخارجية أيضًا. | | 30 | |
| | **الدرجة** | | 100 | 0 |
| **المنظمات غير الحكومية ومنظمات المجتمع المدني والمجتمع المدني** | | | | |
| **المهمة (الدور) والهيكل والموارد** | | | | |
| 1.25 | o دور منظمات المجتمع المدني في تقييم الأثر البيئي والاجتماعي محدد بوضوح في النصوص القانونية<br>o التمويل الهيكلي مؤمن لمنظمات المجتمع المدني لتنفيذ دورها في ممارسة تقييم الأثر البيئي والاجتماعي<br>o لدى منظمات المجتمع المدني مكاتب مجهزة ويتاح لها المنشآت والمعدات اللازمة<br>o عدد منظمات المجتمع المدني الفاعلة في تقييم الأثر البيئي والاجتماعي كاف لتلبية دور المنظمات<br>o لدى منظمات المجتمع المدني إمكانية وصول إلى البيانات والخرائط وغير ذلك مما يلزم لتنفيذ تقييم الأثر البيئي والاجتماعي<br>o توجد أدوات متاحة لدعم منظمات المجتمع المدني في قيامها بدورها في تقييم الأثر البيئي والاجتماعي (الصيغ، وقوائم التحقق وما إلى ذلك) | | 36 | |
| **الخبرات** | | | | |
| 2.25 | o تمتلك منظمات المجتمع المدني الخبرات اللازمة للقيام بدورها في تقييم الأثر البيئي والاجتماعي<br>o العاملون في منظمات المجتمع المدني مدربون على القيام بتقييم الأثر البيئي والاجتماعي وتتاح لهم الفرصة في التخصص في هذا المجال<br>o تتوفر الموارد المالية والآليات المناسبة لمنظمات المجتمع المدني للوصول إلى الخبرة الخارجية إذا لزم الأمر (مثل مراجعة تقييم الأثر البيئي والاجتماعي) | | 36 | |
| **الحفاظ على العلاقات الاستر ليجية** | | | | |
| 3.25 | o تعمل منظمات المجتمع المدني مع خبراء تقييم الأثر البيئي والاجتماعي والهيئات الحكومية والمؤسسات المعرفية في سياق قيامهم بالتقييم<br>o تشارك منظمات المجتمع المدني في المنصات/ الشبكات، التحالفات الخاصة بالتقييم (إن وجدت)<br>o تشارك منظمات المجتمع المدني المعلومات والبيانات لتحسين ممارسة التقييم، بين بعضهم البعض ومع الحكومة وغيرها من الأطراف الخارجية أيضًا. | | 28 | |
| | **الدرجة** | | 100 | 0 |
| **الهيئات الحكومية الأخرى (التي لها دور محدد في تقييم الأثر البيئي والاجتماعي)** | | | | |
| **المهمة والهيكل والموارد اللازمة لتقييم الأثر البيئي والاجتماعي** | | | | |
| 1.26 | o المهام محددة بوضوح في النصوص القانونية<br>o التمويل الهيكلي مؤمن لتنفيذ المهام<br>o العاملين والمنشآت والمعدات متاحة وكافية<br>o يوجد نظام لإدارة المعلومات يتيح الوصول إلى المعلومات المطلوبة لأداء المهام<br>o الأدوات / الإرشادات المتوفرة لدعم المهام (إجراءات العمل ، قوائم التحقق، إلخ) | | 25 | |
| **إدارة مهام تقييم الأثر البيئي والاجتماعي (المدخلات والتوصيات والمراجعة والتعليقات والتنفيذ)** | | | | |
| 2.26 | o يتم اتخاذ القرارات المتعلقة بتقييم الأثر البيئي والاجتماعي والإبلاغ بها والتصرف بناءً عليها<br>o يتم حضور اجتماعات التنسيق التي تعقد بانتظام<br>o تشجع الإدارة على التبادل والتعلم | | 25 | |

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| **الخبرات** | | | | |
| 3.26 | o الخبرات متاحة لتنفيذ مهامهم الخاصة بتقييم الأثر البيئي والاجتماعي<br>o يتم تدريب العاملين بانتظام وبذل الجهود للحفاظ على الخبرة | | 25 | |
| **الحفاظ على العلاقات الاستراتيجية** | | | | |
| 4.26 | o القيام بالتنسيق / التعاون مع الشركاء ذوي الصلة<br>o المشاركة الاستباقية في المنصات/ والشبكات<br>o تشارك المؤسسة طوعًا البيانات والمعلومات | | 25 | |
| | **الدرجة** | | 100 | 0 |

# ملاحظات

# القسم الرابع- أداء تقييم الأثر البيئي والاجتماعي

| | | |
|---|---|---|
| | **إحصاءات (خلفية علمية) تجمع بشكل منفصل من هيئة تقييم الأثر البيئي والاجتماعي، ولا تستخدم في وضع الدرجة** | |
| أ | كم عدد عمليات تقييم الأثر البيئي والاجتماعي التي بدئت في العام الماضي؟ | |
| ب | كم عدد عمليات تقييم الأثر البيئي والاجتماعي التي تم مراجعتها في العام الماضي؟ | |
| ج | كم عدد عمليات تقييم الأثر البيئي والاجتماعي التي رفضت في العام الماضي؟ | |
| د | ما هو متوسط عمليات تقييم الأثر البيئي والاجتماعي خلال العام الماضي التي تطلبت عملًا إضافيًا مكملًا؟ | |
| هـ | ما هو متوسط عدد عمليات تقييم الأثر البيئي والاجتماعي المعتمدة خلال العام الماضي؟ | |

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| **تقييمات الأثر البيئي والاجتماعي المنفذة في موعدها** | | | | |
| 1.28 | نسبة المشروعات التي تستدعي تنفيذ تقييم الأثر البيئي والاجتماعي، ورغم ذلك لم يتم تنفيذ التقييم فيها. | 50 = 20-0<br>40 = 40-20<br>25 = 60-40<br>10 = 80-60<br>0 = +80 | 50 | |
| 2.28 | نسبة المشروعات التي استدعت تنفيذ تقييم الأثر البيئي والاجتماعي، وتم القيام به، ولكن في وقت مبكر جدًا (أي تم تنفيذه في مرحلة ما قبل الجدوى من دورة حياة المشروع حيث لم تكن تتوفر تفاصيل كافية عن المشروع لتنفيذ التقييم) | 25 = 20- 0<br>20 = 40-20<br>15 = 60-40<br>10 = 80-60<br>0 = +80 | 25 | |
| 3.28 | نسبة المشروعات التي استدعت تنفيذ تقييم الأثر البيئي والاجتماعي، وتم القيام به، ولكن لم يتم البدء به سوى بعد بداية المشروع؟ (البدء الفعلي في الإنشاء، التقييم "بعد الواقعة") | 25 = 20- 0<br>20 = 40-20<br>15 = 60-40<br>10 = 80-60<br>0 = +80 | 25 | |
| | **الدرجة** | | 100 | 0 |
| **التأثير على صناعة القرار** | | | | |
| 1.29 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي تم فيها سحب المشروع في مرحلة اتخاذ القرار لإظهار التقييم عدم جدوى المشروع (من المنظور البيئي و/ أو الاجتماعي) | 5 = 20-0<br>10 = 40-20<br>15 = 60-40<br>25 = 80-60<br>35 = +80 | 35 | |
| 2.29 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي تمت فيها إعادة تصميم المشروع خلال مرحلة اتخاذ القرار نتيجة التقييم (نتيجة التبعات البيئية أو الاجتماعية غير المتوقعة) | 5 = 20-0<br>10 = 40-20<br>15 = 60-40<br>25 = 80-60<br>35 = +80 | 35 | |
| 3.29 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي كان لها تأثير على صناعة القرار بشأن المشروع، بخلاف إعادة التصميم رفض الموافقة على المشروع أو فرض إجراءات أكثر حزمًا | 5 = 20-0<br>10 = 40-20<br>15 = 60-40<br>20 = 80-60<br>30 = +80 | 30 | |
| | **الدرجة** | | 100 | 0 |
| **النتائج على الأرض** | | | | |

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|---|---|---|---|---|
| 1.30 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي أثرت على نتائج المشروع على الأرض؟ (أي تجنب المشكلات البيئية والاجتماعي، والمزيد من التنمية المستدامة) | 20 = 20-0<br>40 = 40-20<br>60 = 60-40<br>80 = 80-60<br>100 = +80 | 100 | |
| | **الدرجة** | | 100 | 0 |
| **التعلم** | | | | |
| 1.31 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي أدت إلى تحسين الوعي والقدرات بين أصحاب المصلحة (بما فيهم الداعمون) | 5 = 20-0<br>10 = 40-20<br>15 = 60-40<br>20 = 80-60<br>30 = +80 | 30 | |
| 2.31 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي أدت إلى تحسين تقبل المشروع بين أصحاب المصلحة | 5 = 20-0<br>10 = 40-20<br>15 = 60-40<br>25 = 80-60<br>35 = +80 | 35 | |
| 3.31 | نسبة عمليات تقييم الأثر البيئي والاجتماعي التي رفعت مستوى تعاون مختلف الهيئات/ الإدارات الحكومية | 5 = 20-0<br>10 = 40-20<br>15 = 60-40<br>25 = 80-60<br>35 = +80 | 35 | |
| | **الدرجة** | | 100 | 0 |
| الدرجة الكلية القسم الرابع | | | | 0 |

# ملاحظات

| القسم الخامس - السياق | | | | |
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| **الأعراف والمعايير** | | | | |
| 1.32 | هل وضعت الأعراف والمعايير البيئية؟ | جيد جدًا= 100<br>جيد= 75<br>مقبول= 50<br>ينبغي تحسينه= 25<br>سيء= 0 | 100 | |
| | **الدرجة** | | | 0 |
| **القضاء** | | | | |
| 1.33 | هل يوجد قضاء مستقل؟ | جيد جدًا= 40<br>جيد= 30<br>قبول= 20<br>ينبغي تحسينه= 10<br>سيء = 0 | 40 | |
| 2.33 | ما هو مستوى كفاءة القضاء بشأن المشكلات البيئية والاجتماعية؟<br>o هل يتمتع القضاء بالخبرة الكافية للفصل في المشكلات البيئية والاجتماعية؟<br>o هل يوجد محامون مدربون مختصون بالقضايا البيئية والاجتماعية؟<br>o هل توجد آلية قضائية مكرسة للقضايا البيئية والاجتماعية (على سبيل المثال محكمة البيئة)؟<br>o هل توجد هيئة للقضاء البيئي والاجتماعي؟<br>o هل يعترف/ يثري الدستور/ الإطار التشريعي بالحقوق أو السلامة البيئية والاجتماعية؟ | | 40 | |
| 3.33 | هل يأتي الحوار الوطني على ذكر المشكلات البيئية والاجتماعية بشكل بارز، على سبيل المثال خلال الحملات الانتخابية؟ | | 20 | |
| | **الدرجة** | | 100 | 0 |
| **وسائل الإعلام** | | | | |
| 1.34 | o هل يوجد إعلام مستقل؟ (مؤشر حرية المجلس، 3 فئات: حر، حر جزئيًا، غير حر)<br>o هل يتمتع القضاء بالخبرة الكافية للفصل في المشكلات البيئية والاجتماعية؟ | | 100 | |
| | **الدرجة** | | 100 | 0 |
| **الحوار الوطني** | | | | |
| 1.35 | هل يأتي الحوار الوطني على ذكر المشكلات البيئية والاجتماعية بشكل بارز، على سبيل المثال خلال الحملات الانتخابية؟ | | 100 | |
| | **الدرجة** | | 100 | 0 |
| **البيانات المرجعية** | | | | |
| 1.36 | o هل تتوفر البيانات المرجعية في صيغة ملائمة للمستخدم؟<br>o هل يمكن الوصول بسهولة إلى البيانات المرجعية، الخرائط المحدثة، الإحصاءات وما إلى ذلك؟ | | 100 | |
| | **الدرجة** | | 100 | 0 |
| **الفساد** | | | | |
| 1.37 | نسبة الحالات التي يوجد فيها تدخل سياسي و/ أو نتيجة الفساد في اتخاذ القرار المبني على تقييم الأثر البيئي والاجتماعي | 100 =20-0<br>80 =40-20<br>60 =60-40<br>40 =80-60<br>20 = +80 | **100** | |
| | **الدرجة** | | 100 | 0 |

## ما هي ESY MAPPING؟

ESY-MAP هي أداة تشخيصية لتقييم جودة نظام تقييم الأثر البيئي والاجتماعي (ESIA) الوطني. يطبق الممارسون وأصحاب المصلحة المشاركون في التقييم في بلد ما الأداة بشكل مشترك في ورشة عمل تفاعلية. حيث يقومون بتحليل متطلبات وأداء التقييم بالاستعانة بمجموعة قياسية من الأسئلة. وتكون النتائج في صورة تمثيل رسومي لجودة نظام التقييم الحالي. مما يمنح وجهة نظر مشتركة حول نقاط القوى والضعف، والنواحي التي هي بحاجة ماسة لاتخاذ إجراءات بشأنها.

كيف تعمل الأداة؟ إن EASY-MAP بالأساس هي استبيان يتناول العناصر الرئيسية لنظام التقييم. وتتألف من مستويين. تشتمل على 37 سؤالًا من المسح السريع تتناول نظام التقييم بشكل عام. يرتبط كل من هذه الأسئلة بالمستوى الثاني: مجموعة من 150 سؤالًا تفصيليًا لتحليل أدق. تشكل هذه الأسئلة الـ150 المسح التفصيلي لنظام التقييم. تستعرض ESYMAP المتطلبات التنظيمية والممارسة.

أسئلة المسح التفصيلي البالغ عددها 150 سؤالًا مقسمة إلى 5 أقسام:

- ✓ القسم الأول- عملية تقييم الأثر البيئي والاجتماعي
- ✓ القسم الثاني- شروط التمكين
- ✓ القسم الثالث- القدرات
- ✓ القسم الرابع- أداء تقييم الأثر البيئي والاجتماعي
- ✓ القسم الخامس - السياق

Netherlands Commission for Environmental Assessment

# ESY MAP

A diagnostic tool for assessing the quality of a national Environmental and Social Impact Assessment (ESIA) system.

## Handout Quick Scan


January 2020

| Quick Scan | | |
|---|---|---|
| Question n° | Fully = 100 / Mostly = 75 / OK = 50 / Hardly = 25 / No = 0 | Score |

| SECTION I – ESIA PROCESS | | |
|---|---|---|
| 1 | **Screening**<br>Is there a screening mechanism that is effective in practice in ensuring that high risk projects are subjected to an ESIA and low risks projects are not? | |
| 2 | **Start of the ESIA**<br>Is the commencement of the ESIA procedure announced in a manner accessible to all stakeholders? | |
| 3 | **Scoping**<br>Is there a scoping mechanism that is effective in practice in ensuring early identification of key issues, alternatives and stakeholders, and includes consultation? | |
| 4 | **Impact Assessment (incl. alternatives)**<br>Does the ESIA provide sufficient, quality information on environmental and social issues to enable informed decision-making? | |
| 5 | **ESMP**<br>Are the ESMPs actionable, practical and verifiable? | |
| 6 | **Review**<br>Is there an formal mechanism for reviewing ESIAs that is effective in practice in ensuring that the process and content is adequate for informed decision-making? | |
| 7 | **Third party review**<br>Is there a mechanism for third party review that is effective in practice in ensuring that the ESIA is credible to all relevant stakeholders? | |
| 8 | **Decision making & accountability**<br>Is the decision-making process regarding the permitting process (including the ESIA) credible, robust and timely? | |
| 9 | **Follow up**<br>Is there effective management of environmental and social issues in project implementation? | |
| Cross-cutting issues in ESIA process | | |
| 10 | **Stakeholder engagement & access to information**<br>Is there effective stakeholder engagement that ensures stakeholders have sufficient opportunity to influence ESIA processes and decisions? | |
| 11 | **EA professionals**<br>Are ESIAs undertaken by appropriately qualified professionals with relevant experience? | |
| 12 | **EA professionals – reviewers**<br>Are ESIAs reviewed by appropriately qualified professionals with relevant experience? | |
| 13 | **Timelines**<br>Are the ESIA procedural timelines suitable? | |
| 14 | **User friendliness**<br>Are ESIA processes user friendly? | |
| 15 | **Transboundary ESIAs**<br>If a project has potential transboundary impacts, are these considered, and are stakeholders in the affected country or countries engaged in the ESIA? | |

| SECTION II - ENABLING CONDITIONS | | |
|---|---|---|
| 16 | Does the country have ESIA legislation that enables good practice? | |
| 17 | Are there adequate financial resources for ESIA administration? | |
| 18 | Is ESIA a well-known concept in the country? | |
| 19 | Is good quality ESIA education and professional training available in the country? | |
| 20 | Is there an effective helpdesk for ESIA? (Physical or online platform) | |
| 21 | Is there adequate monitoring of the effectiveness of the ESIA system in the country? | |
| 22 | Is a professional exchange platform established and operational? | |

| SECTION III - CAPACITIES | | |
|---|---|---|
| 23 | Does the environment agency have the capacity to fulfill its mandate with regards to the ESIA process? | |
| 24 | Do the ESAPs (environmental and social assessment professionals) have the capacity to undertake ESIAs to the required standard? | |
| 25 | Do the NGOs/CBOs/civil society have the capacity to be meaningfully involved in ESIA processes? | |
| *26* | *Extra row, if needed for additional governmental agency with specific role in ESIA.* | |
| *27* | *Extra row, if needed for additional governmental agency with specific role in ESIA.* | |

| SECTION IV - ESIA PERFORMANCE | | |
|---|---|---|
| 28 | Are ESIAs effectively synchronised with the project life-cycle?<br>*For example, the ESIA started too early or too late.* | |
| 29 | Do ESIAs influence decision making? | |
| 30 | Do ESIAs influence outcomes on the ground? | |
| 31 | Do ESIAs lead to learning amongst stakeholders involved? | |

| SECTION V - CONTEXT | | |
|---|---|---|
| 32 | Are environmental and social norms and standards in place? | |
| 33 | Is rule of law sufficient for successful ESIA system implementation? | |
| 34 | Is there sufficient media coverage of environmental and social issues and ESIA? | |
| 35 | Do environmental and social issues feature prominently in the national discourse, for example election campaigning? | |
| 36 | Is there a sufficient and accessible knowledge infrastructure for ESIA? | |
| 37 | Is ESIA practice free from corruption and political interference? | |

## What is ESY MAPPING?

ESY MAP is a diagnostic tool for assessing the quality of a national Environmental and Social Impact Assessment (ESIA) system. Practitioners and stakeholders involved in ESIA in a country jointly apply the tool in an interactive workshop. They analyse ESIA requirements and performance with the help of a standard set of questions. The outcome is a graphical representation of the quality of the current ESIA system. This informs a shared view on strong and weak points, and where action is most needed.

How does it work? At the heart of the ESY MAP is a questionnaire that addresses key elements of the ESIA system. It consists of two levels. There are 37 Quick Scan questions that address the ESIA system more generally. Each of these questions is linked to the second level: a set of 150 detailed questions for more refined analysis. These 150 questions make up the Detailed Scan of the ESIA system. The ESY MAP explores both regulatory requirements and practice.

The 37 Quick Scan questions are divided over 5 sections:

- ✓ SECTION I – ESIA PROCESS
- ✓ SECTION II – ENABLING CONDITIONS
- ✓ SECTION III – CAPACITIES
- ✓ SECTION IV – ESIA PERFORMANCE
- ✓ SECTION V– CONTEXT

Netherlands Commission for Environmental Assessment

25 years

# ESY MAP

## ا تشخيصية لتقييم جو نظم تقييم الثر البيئي الجتعي )م )ESIAذك لمسح لسيع


كانون الثاني 2020

| المسح السريع | | |
|---|---|---|
| رقم السؤال | في جميع الأحيان= 100/ في معظم الأحيان=75/ أحيانًا=50/ نادرًا= 25/ أبدًا= 0 | الدرجة |

| | | |
|---|---|---|
| القسم الأول- عملية تقييم الأثر البيئي والاجتماعي | | |
| 1 | **الغربلة**<br>هل هناك آلية غربلة فعالة في الممارسة العملية لضمان خضوع المشروعات عالية الخطورة لتقييم الأثر البيئي والاجتماعي (ESIA) وعدم خضوع المشروعات منخفضة المخاطر للتقييم؟ | |
| 2 | **بداية تقييم الأثر البيئي والاجتماعي**<br>هل يتم الإعلان عن بداية عملية تقييم الأثر البيئي والاجتماعي بطريقة سهلة الوصول بالنسبة لأصحاب المصلحة؟ | |
| 3 | **تحديد النطاق**<br>هل هناك آلية فعالة لتحديد النطاق في الممارسة العملية لضمان التحديد المبكر للمشكلات الرئيسية والبدائل وأصحاب المصلحة، والتي تشمل الاستشارات؟ | |
| 4 | **تقييم الأثر (بما في ذلك البدائل)**<br>هل يقدم تقييم الأثر البيئي والاجتماعي معلومات كافية وعالية الجودة حول المشكلات البيئية والاجتماعية لتمكين اتخاذ القرارات المستنيرة؟ | |
| 5 | **خطة الإدارة البيئية والاجتماعية**<br>هل خطط الإدارة البيئية والاجتماعية قابلة للتنفيذ وعملية وقابلة للتحقق؟ | |
| 6 | **المراجعة**<br>هل هناك آلية رسمية لمراجعة تقييم الأثر البيئي والاجتماعي تكون فعالة في الممارسة العملية لضمان أن العملية والمحتوى كافيين لاتخاذ قرارات مستنيرة؟ | |
| 7 | **مراجعة الجهات الخارجية**<br>هل هناك آلية فعالة لمراجعة الجهات الخارجية في الممارسة العملية لضمان ان يكون تقييم الأثر البيئي والاجتماعي ذا مصداقية لجميع أصحاب المصلحة المعنيين؟ | |
| 8 | **اتخاذ القرار والمساءلة**<br>هل عملية صنع القرار فيما يتعلق بعملية التصريح او الموافقة (بما في ذلك تقييم الأثر البيئي والاجتماعي) ذات مصداقية وقوية وتتم في الوقت المناسب؟ | |
| 9 | **المتابعة**<br>هل هناك إدارة فعالة للمشكلات البيئية والاجتماعية في تنفيذ المشروع؟ | |
| المشكلات المتداخلة ضمن عملية تقييم الأثر البيئي والاجتماعي | | |
| 10 | **إشراك أصحاب المصلحة والوصول إلى المعلومات**<br>هل هناك مشاركة فعالة لأصحاب المصلحة تضمن حصول أصحاب المصلحة على فرصة كافية للتأثير على عمليات وقرارات تقييم الأثر البيئي والاجتماعي؟ | |
| 11 | **خبراء التقييم البيئي**<br>هل ينفذ تقييم الأثر البيئي والاجتماعي من قبل مهنيين مؤهلين بشكل مناسب ولديهم خبرة ذات صلة؟ | |
| 12 | **خبراء التقييم البيئي - المراجعون**<br>هل تنفذ مراجعات تقييم الأثر البيئي والاجتماعي من قبل مهنيين مؤهلين بشكل مناسب ولديهم خبرة ذات صلة؟ | |
| 13 | **الجداول الزمنية**<br>هل الجداول الزمنية الإجرائية الخاصة بتقييم الأثر البيئي والاجتماعي مناسبة؟ | |
| 14 | **الملاءمة للمستخدم**<br>هل تقييم الأثر البيئي والاجتماعي ملائم للمستخدم؟ | |
| 15 | **عمليات تقييم الأثر البيئي والاجتماعي عبر الحدود**<br>إذا كان للمشروع آثار محتملة عبر الحدود فهل يتم النظر فيها وهل أصحاب المصلحة في البلد أو البلدان المتأثرة يشاركون في تقييم الأثر البيئي والاجتماعي؟ | |

| القسم الثاني- شروط التمكين | | |
|---|---|---|
| 16 | هل يوجد في الدولة تشريع متعلق بتقييم الأثر البيئي والاجتماعي يتيح الممارسة الجيدة؟ | |
| 17 | هل توجد موارد مالية كافية لإدارة تقييم الأثر البيئي والاجتماعي؟ | |
| 18 | هل تقييم الأثر البيئي والاجتماعي يعد مفهومًا معروفًا في الدولة؟ | |
| 19 | هل يوجد في الدولة تعليم وتدريب مهني متعلق بتقييم الأثر البيئي والاجتماعي على درجة عالية من الجودة؟ | |
| 20 | هل يوجد مكتب مساعدة فعال لتقييم الأثر البيئي والاجتماعي؟ (مكتب مادي أو منصة عبر الإنترنت) | |
| 21 | هل هناك مراقبة كافية لفعالية نظام تقييم الأثر البيئي والاجتماعي في الدولة؟ | |
| 22 | هل توجد منصة عاملة تعنى بتبادل الخبراء؟ | |

| القسم الثالث- القدرات | | |
|---|---|---|
| 23 | هل في وسع وكالة البيئة الوفاء بمهامها فيما يتعلق بعملية تقييم الأثر البيئي والاجتماعي؟ | |
| 24 | هل يتمتع خبراء التقييم البيئي والاجتماعي)بالقدرة على إجراء تقييم الأثر البيئي والاجتماعي وفق المعايير المطلوبة؟ | |
| 25 | هل لدى المنظمات غير الحكومية / منظمات المجتمع المحلي / المجتمع المدني القدرة على المشاركة الفعالة في عمليات تقييم الأثر البيئي والاجتماعي؟ | |
| 26 | دعم احتياطي إضافي، إذا لزم الأمر لوكالة حكومية إضافية ذات دور محدد في عملية التقييم. | |
| *27* | *دعم احتياطي إضافي، إذا لزم الأمر لوكالة حكومية إضافية ذات دور محدد في عملية التقييم.* | |

| القسم الرابع- أداء تقييم الأثر البيئي والاجتماعي | | |
|---|---|---|
| 28 | هل ينفذ تقييم الأثر البيئي والاجتماعي بالتزامن بفعالية مع دورة حياة المشروع؟<br>*على سبيل المثال: بدء تقييم الأثر البيئي والاجتماعي مبكرًا أكثر من اللازم أو متأخرًا أكثر من اللازم.* | |
| 29 | هل يؤثر تقييم الأثر البيئي والاجتماعي على صناعة القرار؟ | |
| 30 | هل يؤثر تقييم الأثر البيئي والاجتماعي على النتائج الفعلية على الأرض؟ | |
| 31 | هل يؤدي تقييم الأثر البيئي والاجتماعي إلى تعلم أصحاب المصلحة المشاركين؟ | |

| القسم الخامس - السياق | | |
|---|---|---|
| 32 | هل وضعت الأعراف والمعايير البيئية؟ | |
| 33 | هل دور القانون كاف لتنفيذ نظام تقييم الأثر البيئي والاجتماعي بنجاح؟ | |
| 34 | هل هناك تغطية إعلامية كافية للقضايا البيئية والاجتماعية وتقييم الأثر البيئي والاجتماعي؟ | |
| 35 | هل يأتي الحوار الوطني على ذكر المشكلات البيئية والاجتماعية بشكل بارز، على سبيل المثال خلال الحملات الانتخابية؟ | |
| 36 | هل هناك بنية تحتية للمعرفة كافية ويمكن الوصول إليها عن تقييم الأثر البيئي والاجتماعي؟ | |
| 37 | هل ممارسة تقييم الأثر البيئي والاجتماعي خالية من الفساد والتدخل السياسي؟ | |

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- ✓ القسم الثاني- شروط التمكين
- ✓ القسم الثالث- القدرات
- ✓ القسم الرابع- أداء تقييم الأثر البيئي والاجتماعي
- ✓ القسم الخامس - السياق