

ACTION PROGRAMME FOR BIOLOGICAL DIVERSITY AND IMPACT ASSESSMENT

1. WHAT IS BEING PROPOSED

This action programme has been initiated by the Biodiversity & Ecology Section of IAIA. The programme has been extensively discussed in the biodiversity stream at the IAIA meeting in Hong Kong (June 2000).

A number of international developments provide the rationale behind the action programme. As these developments more or less point into the same direction, the time seems right to formulate one coherent action programme based upon these developments. Furthermore, a number of planned activities for the year 2002 provides a rather unique stage that may significantly enhance the integration of biological diversity issues in impact assessment.

Rationale:

- The Convention on Biological Diversity (CBD) stresses the importance of Impact Assessment as a tool to avoid or minimise the significant adverse effect that proposed projects, programmes or policies may have on biological diversity, and its equitable sustainable use.
- Conference of Parties (COP) IV of CBD has requested the preparation of guidelines to incorporate biodiversity in IA.
- Ramsar STRP requested guidance on IA tools for support to the wise use principle.
- Although IA processes provide suitable tools to address biodiversity issues, IA policy and practise at present fails to incorporate considerations of biodiversity.
- Active debate is required between the biological diversity assessment community and IA practitioners to develop biodiversity indicators and evaluation criteria, which are applicable in decision making.

Goal and objectives of the action programme

Based on discussions held in the IAIA Biodiversity & Ecology Section, the following overall goal of the action programme has been formulated:

- **Strengthen the role of biodiversity in Impact Assessment** (including Environmental Impact Assessment and Strategic Environmental Assessment) so that Impact Assessment can become an effective instrument in addressing issues related to biological diversity in decision making.

The CBD notion of conservation AND equitable use of biological diversity is an important point of reference. Conservation of biological diversity is not a goal in itself, but should be put in a perspective of sustainable and equitable use, including intergenerational equity.

In the action programme the overall goal is translated into four objectives:

1. Provide a framework of thinking and guiding principles on how to integrate biological diversity considerations in impact assessment. This framework provides the much needed communication tool for the biodiversity, impact assessment, and decision makers communities in order to develop country (or sector-) specific guidelines on the subject.
2. Take note of the lessons to be learnt from existing experiences. People have been working on the issue, so the first important thing is to systematically inventory this information, and translate this information into do's and don't for the action programme.
3. Build international support for the initiative and create useful linkages. For example the links between CBD, in particular on article 14, and other conventions with relevance to biological diversity need to be explored, contacts need to be established, and activities may be harmonised. Active linking to existing expert networks has to guarantee broad based input and support.

4. Assist countries in developing their own mechanism for the integration of biodiversity in its impact assessment legislation and procedures, and simultaneously build the necessary capacity to develop and implement these guidelines. The development of tools and instruments always has to be considered in relation to implementation capacity and capacity development needs.

Proposed activities

The activities are divided into two phases; in the present proposal activities under the first phase 1 have been elaborated into some detail. These activities are grouped into five clusters of activities:

- **Cluster 1:** Production of a framework to integrate biological diversity in IA. This framework should be the starting point for the development of country specific guidelines. The framework should ideally be based on the outcome of cluster 2. It provides the much needed communication tool for the biodiversity-, impact assessment- and decision makers communities in order to develop in-country mechanism on the subject (e.g. guidelines, procedures, etc.).
- **Cluster 2:** Analysis of lessons learned by preparing case studies, representing a wide variety of practises of (about 20) countries from all over the world, and assessing existing guidelines applied by countries and international organisations, in order to identify shortcomings and opportunities.
- **Cluster 3:** Linking with relevant global conventions. Assessment and translating of the implications of EIA issues addressed in the international Conventions (CBD, Ramsar, Climate change, Desertification, ...) The result will be used for the set up of the general framework and preparation of country specific guidelines (e.g. national EIA legislation).
- **Cluster 4:** Communication and capacity development. Parallel to these above mentioned activities, build international support for the initiative and enhance communication between the IA practitioners, biodiversity community, environmental community and decision-makers in order to foster necessary linkages and provide necessary inputs. For example the links between CBD, in particular article 14 and other conventions with relevance to biological diversity needs to be explored, contacts need to be established and activities may be harmonised. Active linking to existing expert networks has to be guaranteed broad based input and support.
- **Cluster 5:** Assist countries to develop their own mechanisms. This activity will be started in phase 1 with the identification of interested countries and production of proposals for funding. The implementation of these programmes is planned as one of the main activities of phase 2.

Phase 2

- Develop in-country mechanisms for the integration of biodiversity in its impact assessment legislation and procedures, and simultaneously build the necessary capacity to develop and implement these guidelines. These mechanisms should be developed on basis of collaboration with key stakeholders in a number of interested countries that can act a pilots. The development of tools and instruments always has to be considered in relation to implementation capacity and capacity development needs.
- Initiate or strengthen capacity development activities in the pilot countries as an add-on to the drafting of guidelines.
- Design planning and decision-making frameworks, required to apply EIA and SEA effectively.
- Dissemination of information through e.g. resource kits and CBD clearing house mechanism.

2. WHO IS INVOLVED

The action programme will be carried out by the International Association for Impact Assessment (IAIA). Apart from the obvious reporting requirements of the involved donors, reporting on the programme will be done to the secretariat of the CBD.

The IAIA will commission the work to:

Project secretariat: The Netherlands Commission for EIA is willing to host the project secretariat. This project secretariat will be responsible for communication between members of the project team, IAIA, CBD, donors, etc. on substance matters. A staff member of the EIA Commission, also member of the IAIA Biodiversity and Ecology section, will act as project coordinator at the project secretariat and liaise with IAIA Headquarters, provided that additional funds become available for the replacement of this staff member.

Financial matters will be dealt within each contract between donor and IAIA Headquarters / Project Secretariat in accordance with the spirit of the IAIA Guidelines for Projects and Initiatives and Policy Note #1. The project secretariat and IAIA Headquarters will work in mutual and timely cooperation on all contracts and reports produced under the project. Operationally, this means that contracts are signed and finances maintained in Headquarters, but that requests for disbursement of funds and initiation/negotiation of contracts with donors/individuals would be handled by the project secretariat. The project secretariat will prepare substantive reports, see that the contractual obligations are met, manage the flow of expenditures (i.e., submit requests for payment to Headquarters along with proper documentation) and assure that project expenses are within budget. Financial reports to the donor will be IAIA Headquarter responsibility.

Although the programme is split up into different contracts (and inevitable will be further split up) between different donors and clients, the programme is designed to stay as coherent as possible.

Putting the action programme under the IAIA umbrella and having members of its Biodiversity and Ecology Section doing all of the work provides a best as possible guarantee for coherence. Furthermore, the project secretariat will take all necessary steps to keep different project activities in line with the overall action programme. The project secretariat will report bi-annually to the IAIA board, prior to board meetings. The IAIA board will thus be able to assess progress and consistency of the work.

Project team: The activities will be carried out by staff members of consultancy firms and organisations, who are a member of the Biodiversity and Ecology Section of IAIA. Three section members have been named as contact persons in section 10.

At the moment of writing it is not possible to exactly identify persons that will implement the programme, since this depends on the activities for which funds will be found and on requirements made by donors, such as geographical focus of activities, or an obligation for tied assistance (i.e. money has to be spent on consultants from the donor country).

The policy for the identification of suitable candidates for the project team will be that for each newly funded activity a request for candidates will be put on one of the IAIA list serves (NEWS and / or BIODIV&ECOLOGY). IAIA members can be found around the globe; it will not be too difficult to identify suitable candidates. (At the Hong Kong and Cartagena conferences a number of section members have already indicated to be interested in pushing this initiative in their own countries; a number of potential candidates thus have already been identified).

Review/liason group: A number of high level representatives of the biodiversity and IA communities, and from decision-makers from different countries will be invited to provide input and comments on the work of the team. The yearly IAIA conference provides the best venue for this review group to convene in a special session and discuss progress. The project secretariat will take the initiative for the programming and organisation of such meetings.

Expert network: the activities under cluster 4 are aimed at mobilising as much as possible the available world-wide networks of practitioners and policy makers. These network will be consulted on

specific issues. Examples of existing networks are the IUCN specialist groups, IAIA sections, BioNet, etc.

3. TIME SCHEDULE

See annex 1.

4. RESOURCES

Detailed overview of activities and budget requirements for activities under phase 1 (budget requirements in Euros (€)).

Cluster 1: Production of a framework to integrate biological diversity in IA (p.m. items already funded)

	unit price (Euro)	no. of units	budget
1.1: Collection of material and writing of an outline of the framework			p.m.
1.2: Framework discussed and adapted with review group			p.m.
1.3: Framework presented and discussed at IAIA 2001 and CBD SBSTA			p.m.
1.4: Finalisation of framework			p.m.
1.5: Presentation of final framework at IAIA 2002 (The Hague), and possibly CBD-COP 2002			p.m.
1.6: Extension of the framework towards strategic level assessment	700	30	21,000
Subtotal cluster 1			€ 21,000

Cluster 2: Analysis of lessons learned.

2.1: Writing of national case studies (10 cases funded; 10 additional cases to be funded):

	unit price	no. of units	budget
2.1.1: drafting of framework questionnaire by project team (working days)	700	10	7,000
2.1.2: writing of local cases + limited national seminar of experts (funding needed for 7 cases); contracted either to a local agency or consultancy, or to be carried out by the project team.			
- working days	700	10 x 7	49,000
- local seminar	4,500	1 x 7	31,500
2.1.3: drafting of lessons learnt discussion document in collaboration with BSP project (working days)	700	15	10,500
Subtotal 2.1			€ 98,000

2.2: Existing non-national guidelines and their use (development agencies)

	unit price	no. of units	budget
2.2.1: Inventory of guidelines; concentrate on generally agreed upon procedures or contradictory approaches and results	700	15	10,500

2.2.2: Interviews / questionnaire by telephone / e-mail	700	5	3,500
2.2.3: Draft chapter on non-national guidelines to discussion document.	700	5	3,500
Subtotal 1.2			€ 17,500

2.3: Organising a workshop with representatives of outstanding cases at IALA

	unit price	no. of units	budget
2.3.1: Preparatory work; drafting programme etc. (working days)	700	10	7,000
2.3.2: Visit to conference venue:			
- working days facilitators (2)	700	14	9,800
- DSA facilitators	150	12	1,800
- Travel	1800	2	3,600
Invited participants (10 on project budget)			
- Travel	1,800	10	18,000
- DSA (10 participants x 6 nights)	150	60	9,000
2.3.3: Production of proceedings and summary report (working days)	700	5	3,500
Subtotal 2.3			€ 52,700

Cluster 3: Linking with relevant global conventions

	unit price	no. of units	budget
3.1: Study of relevant documents (working days)	700	20	14,000
3.2: Visits to convention secretariat or interviews by telephone (Montreal: CBD, Geneva: Ramsar, Bonn: desertification & climate change; etc.)			
- working days	700	15	10,500
- DSA	180	15	2,700
- travel	2,300	1	2,300
3.3: Writing of discussion paper, aimed at finding common ground between the conventions, biological diversity and impact assessment, identifying practical co-operation themes and arrangements.	700	10	7,000
Subtotal cluster 3			€ 35,500

Cluster 4: Communication and capacity development

N.B: Not yet elaborated; IUCN has a limited Swiss-funded activity on this subject.

Cluster 5: Production of proposals for the development of country specific guidelines

N.B.1: only phase 1 activities; the actual implementation under phase two requires significant additional budget per country.

N.B.2: Ghana and The Netherlands have indicated their interest to join the initiative and possess funding for in-country development of guidelines, based on the general framework.

	unit price	no. of units	budget
5.1: draft criteria for country selection	700	5	3,500

5.2: identify countries (continuous activity)			p.m.
5.3: produce proposals (identification mission) for two additional countries (2 persons)			
- working days 2 x (7 abroad + 3 NL)	700	2 x 2 x 10	28,000
- travel	1,800	2 x 2	7,200
- DSA	160	2 x 6 x 2	3,840
Subtotal cluster 5:			€ 42,500

5. DONORS

To avoid an inactivity gap in time the Netherlands Ministry of Foreign Affairs has indicated to be willing to fund an initial phase, preceding a full-fledged action programme with a multiple donor approach. The initial phase has to guarantee a continued process of discussions and exchange of information, for example at the yearly IAIA meeting. The most important output of this phase will be an integration framework that will serve as a basis for the development of country specific guidelines (cluster 1 activity).

A UNDP/UNEP/GEF sponsored study has started under the Biodiversity Planning Support Programme (BSP), addressing the third cluster of activities. The study aims at analysing 10 national case studies on the integration of biodiversity into environmental assessment at national level. A world-wide call for relevant case studies has produced over 20 valuable cases that deserve further analysis. Dr. Treweek of KOMEX consultants is presently carrying out these studies. One of the case studies will be provided by the Netherlands EIA Commission that in 1999, after a detailed analysis of current practises, has tried to develop guidelines to address biodiversity considerations in a consistent manner. An unsatisfactory outcome of this exercise has led to an experimental programme, based on a learning-by-doing approach; this programme started October 2000 and will provide relevant input into the implementation of the action programme.

At a recent inter-ministerial meeting it was decided that the Netherlands Ministry of Nature Conservation would also look for further funds for the action programme. It is hoped to have more news on this shortly. The Netherlands Ministry of Foreign Affairs, the Ministry of Nature Conservation and the Ministry of Environment have expressed their concern that other donors should join in, in order not to create a "Dutch show". For shared ownership it is important that other countries step in; the IAIA network is considered to be an important forum to obtain this international support.

The executive director of the Ghanaian Environmental Protection Agency has submitted a letter stating that EPA has reserved funds in it's 5 year EIA Capacity Development Programme (Netherlands funded) for the development of country specific guidelines on biological diversity and EIA. He stressed the value of linking this EPA activity to the action programme.

6. ENVISAGED OUTPUTS AND PRESENTATION OF RESULTS

Expected outputs of cluster 1:

- A framework of thinking providing guiding principles on how to integrate biological diversity considerations in existing impact assessment legislation, procedures and practise, including a practical format of how to develop country specific guidelines, based on this framework.
- During the first phase of the programme attention will be focussed on project-level impact assessment. Towards the end of the first phase, ideas and proposals will be formulated to address the more complex question on how to integrate biological diversity considerations in strategic environmental assessment procedures.

Expected outputs of cluster 2:

- An annotated bibliography of useful references, contacts and websites containing information useful to the process of integrating biodiversity into environmental assessment;
- A report containing the results of the assessment of existing guidelines.
- A report containing up to 20 national case studies on the process of integrating biodiversity into environmental assessment;
- A discussion document for the workshop with a review of the existing situation with respect to the integration of biodiversity into environmental assessment.
- A summary report of the proceeding of the workshop;
- A synthesis report integrating all of the above suitable for publication, including best practice guidance for the integration of biodiversity into environmental assessment;

Expected outputs of cluster 3:

- Working relation established with the convention secretariats.
- Inventory of issues (i) on which the conventions can contribute to the action programme, and (ii) issues on which the action programme can assist the implementation of the conventions.
- Discussion document to be used as input for the formulation of the integration framework.

Expected outputs of cluster 4:

- Active communication between expert networks from the biological diversity community, impact assessment community and policy and decision-makers. Enhanced understanding of each others argument with respect to biodiversity and impact assessment.
- Active discussion on the outputs of the action programme in the professional community, through the active facilitation of Internet based discussion groups.
- Wide-spread accessibility to all the outputs of the action programme.
- In the second phase: the development of implementation capacity in countries that participate as a pilot for the development of country specific guidelines.

Expected output of cluster 5:

- Criteria to select pilot countries that will be supported in the development of country specific guidelines. Criteria may relate to the availability and type of EIA legislation, state of advancement with respect to implementation of legislation, implementation capacity or on-going capacity development efforts in place, economic development level, geographic and/or climatological location, importance of in-country biodiversity and/or necessity to develop guidelines given the present level of threat.
- List of interested, suitable countries for pilot activities in phase 2. The identification of countries is a permanent point of attention for all involved persons. Some countries may express the needs to develop these guidelines at forums such as IAIA or the IUCN assemblies; others may be actively invited to participate.
- Proposal(s) for (co-)funding of the process to develop country specific guidelines.

7. COPYRIGHT AND INTELLECTUAL PROPERTY RIGHTS

When the project moves from initiative to real project, these matters have to be sorted out. Obviously, the documents and products that result from this action programme should be considered as common property and distributed freely and as broadly as possible.

8. BENEFITS AND BENEFICIARIES

The main beneficiaries will be:

- The **impact assessment community** by having clearly defined guidance on how to deal with biological diversity in IA, and how knowledge of biological diversity experts can be used.
- The **biological diversity experts community** by having a communication tool describing how their knowledge can and should be included in IA procedures by the IA experts.
- **Countries** that seriously want to improve on their IA practise with respect to biological diversity.
- **Convention on Biological Diversity** and other biodiversity related conventions for getting relevant input in order to respond to requests from their conferences of parties.
- **Biological diversity itself** hopefully will benefit from a better representation of its interest in IA procedures, in order to lead to informed decision making for a more sustainable future.

9. WHY SHOULD IAIA ENDORSE THE ACTIVITY

This action programme has been initiated by the section ecology and biodiversity of IAIA, meeting at IAIA in Hong Kong, June 2000. The initiative group consisted of Jo Treweek, Andrea Bagri, Roel Sloomweg, and Arend Kolhoff. This action programme is supported by the participants of the biodiversity and IA workshop. The Annual General Meeting at Cartagena endorsed the work of the section, including the initiative for this action programme.

10. CONTACT PERSONS

A. Kolhoff , Netherlands Commission for EIA, P.O. Box 2345, 3500 GH Utrecht, The Netherlands
Tel: +31-(0)30-2347604 ; e-mail: akolhoff@eia.nl.

R.Sloomweg, SevS Consultancy, Juffermansstraat 5, 2341 JH Oegstgeest, The Netherlands
Tel: +31-(0)71-5283858, e-mail: mvrs@xs4all.nl

Jo Treweek, Chancery Cottage, Kentisbeare, Cullompton, Devon UK
Tel +44 (0)1884 266525, e-mail: jo@treweek.fsnet.co.uk

11. OTHER PERTINENT INFORMATION

The information above is retrieved from a 32 page document which is available from the contact persons above.

The reader has to take notice of the fact that the document has been produced about a year ago, and that circumstances have since changed. This document should not be considered as being the final project document that will be submitted to a donor for funding. Moreover, it is a document describing the overall objectives and planned activities of the action programme, from which donors can decide what they would like to support.

For each donor a separate proposal will be drawn from the overall action programme and adjusted to its specific requirements.

12. STATEMENT OF AGREEMENT WITH IAIA CONDITIONS

The contact persons mentioned under section 10 of this document have taken notice on the conditions of IAIA's endorsement and reporting requirements as outlined in the "*Guidelines for Approval of Internal IAIA Initiatives and Projects*".

We accept and agree that

- approval as an initiative is seen as the first step in gaining approval as an IAIA project;
- public statements outside of IAIA need to be approved by the IAIA board (after acceptance as an IAIA initiative);
- IAIA project status permits external publicising and promotion as a fully approved IAIA activity, including the right to use the IAIA logo;
- 6 months progress reports need to be submitted to the board;
- the board may in some circumstance need to develop a specific MoU to protect IAIA's interests;
- applications for external funding need to be approved by the Executive Office and the IAIA Treasurer, and that any grants will be directed to the IAIA bank account in Fargo ND, USA, and managed by the Executive Office.

For the time being we cannot make any statement on the ownership of publications that emanate from the project activities and whether these should be subjected to the Chair of the IAIA Publications Committee. This may depend on donor specific requirements and the use of documents in the public domain. For example, the documents should be available through the clearing house mechanism of the Convention on Biological Diversity. Documents emanating from this project may also serve as a basis for the drafting of texts by the CBD, which after formal acceptance by the Conference of Parties will become official CBD texts.

Annex 1: Action Programme time frame
 (Please note that activities from cluster 1 and 2 have been funded, and are proceeding according to the schedule; implementation of the other items depends on further funding of the action programme. The time schedule will in some cases be obsolete).

quarter	2003					
	3rd	4th	1st	2nd	3rd	4th
I: Integration framework collection of material writing detailed outline of framework: project level discussion with review group presentation at IAIA 2001 first draft document submission to SBTTA 7 submission to CBD COP 2002 final document (project level) develop framework for strategic level II: Lessons learned national case studies existing guidelines workshop final report III: Linking with global conventions establish contact visits + interview plus analysis of material discussion document IV: Communication and capacity development creation / reviving of networks launch of IAIA ecology and biodiv section dissemination of results capacity development linked to country programmes V: Country specific guidelines define criteria for pilot countries identify interested countries prepare proposals start country process: project level country process: strategic level	■	■	■	■	■	■
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Annex 2: Organisational structure of the Action Programme for Biological Diversity and Impact Assessment

