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Process advice on SEA for the Manila Bay Sustainable Development Master Plan

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Advisory Report by the NCEA

Title	Process advice on SEA for the Manila Bay Sustainable Development Master Plan
To	Philippine National Economic and Development Authority
Attn	Assistant Secretary Roderick Planta
Request by	Secretary of Socio-economic Planning Ernesto Pernia
Date	4 th December 2018
From	The Netherlands Commission for Environmental Assessment
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1. Overview

1.1 Summary

The Philippine National Economic and Development Authority (NEDA) has the lead in an ongoing planning process for a Manila Bay Sustainable Development Master Plan (MBSDMP). Secretary Pernia of Socioeconomic Planning of NEDA has requested that the Netherlands Commission for Environmental Assessment (NCEA) provide advice on the application of strategic environmental assessment (SEA) to this plan.

NEDA is interested in applying SEA, because it represents international good practice, and can contribute to more sustainable and inclusive planning. However, NEDA would first like to better understand how SEA can be operationalised for the MBSDMP before deciding how to move forward. Specifically, NEDA has requested that the NCEA “propose a working approach for the integration and operationalisation of SEA into the MBSDMP, i.e., to identify how SEA application relates to resource commitments and planning timelines as currently agreed for the formulation of the MBSDMP.”

This advisory report presents the NCEA’s conclusions on whether, and how, to apply SEA to the MBSDMP. In sum, the NCEA notes that the MBSDMP already contains elements that are also specific to SEA. In particular: the MBSDMP aims to integrate selected sustainable development concerns, and to consult stakeholders throughout its preparation. Nonetheless, an SEA could add value to the process. SEA can play an important role in rendering decision-making more transparent and accountable. SEA can help to ensure that environmental and social impacts are carefully considered and debated, before decision options are chosen. Also, SEA methodologies can be usefully applied when designing decision alternatives, when engaging stakeholders, and when developing mechanism for plan implementation and monitoring. Consequently, the NCEA recommends commencing with an SEA for the MBSDMP. This SEA should not be undertaken in parallel to the MBSDMP process but be carefully integrated into it. The SEA should build on the work that is already ongoing and start as soon as possible to avoid missing opportunities.

This advisory report presents more detailed recommendations on how the SEA for the MBSDMP could be undertaken. These recommendations focus on the process, rather than the content of the SEA. The actual scope of the SEA is determined by the nature of the decisions to be undertaken within the MBSDMP. At this stage, these decisions, and the mechanisms by which the plan will be implemented, are not yet clearly defined.

1.2 Reading guide

In this advisory report the NCEA presents her advice on SEA application to the MBSDMP. In this chapter (Chapter 1) you will find working approach followed to develop this advice, and the SEA context in the Philippines. Chapter 2 presents an analysis of the MBSDMP process from an SEA perspective: What is already there? What could SEA add? Chapter 3 sets out a series of more detailed recommendations for undertaking an SEA for the MBSDMP. In the annexes we present additional guidance material that can be used in such as SEA.

1.3 Working approach

NEDA formally requested that the NCEA advice on SEA for the MBSDMP in a letter dated September 4th, 2018 (see Annex 2). To provide the requested advice the NCEA put together a working group of experts, representing the disciplines and experience considered necessary to prepare the advice. The working group consists of Ms Tanya van Gool (chair), Mr Martin Smutný (SEA practitioner), Ms Tanya Burdett (stakeholder engagement expert), Mr Elmer Mercado (environmental planner), and Ms Bobbi Schijf (technical secretary).

As part of the advisory process, the working group convened in Manila between 5 and 9 November. During this week the NCEA working group met with a selection of key parties involved in, or affected by, the MBSDMP. The focus was on government agencies, but the NCEA also met with a few civil society actors. An overview of the meetings undertaken is presented in Annex 1. The NCEA acknowledges that the selection of actors consulted is not representative of the full range of actors affected by the MBSDMP. However, we note that the NCEA's advice will be provided to the Technical Committee of the MBSDMP, as well as published on our website. This will allow a much wider range of parties to engage in the discussion on SEA application to the MBSDMP.

As this concerns an SEA process advice, the main purpose of the mission of the NCEA was to come to an understanding of the planning process. On this basis the NCEA can then advise on SEA application tailored to the MBSDMP. Note that the NCEA's advice does not constitute a quality review of the MBSDMP planning approach, nor a review of the MBSDMP outputs produced so far.

Prior to the visit to Manila, the NCEA working group consulted the documented results of the situation analysis phase of the MBSDMP, specifically:

- MBSDMP Atlas;
- MBSDMP SAR Cover report;
- MBSDMP Focal theme reports;
- MBSDMP Progress reporting documents.

As there is no regulatory framework for SEA in the Philippines, the key references for this advice have been drawn from international good practice. In particular, the NCEA considered as relevant benchmarks:

- OECD DAC guidelines for good practice SEA in international co-operation, 2006. See Box 1 for a definition of SEA according to this reference.
- UNECE SEA Protocol resource manual, 2012.
- UNECE Maastricht Recommendations on Promoting Effective Public Participation in Decision-making in Environmental Matters prepared under the Aarhus Convention, 2015.

The NCEA also looked at the Philippine Integrated Water Resources Management Planning Guidelines 2016, as the design of the planning process is based on this IWRM approach.

Box 1: Definition of SEA

Strategic environmental assessment (SEA) can be defined as a range of “analytical and participatory approaches that aim to integrate environmental considerations into policies, plans, and programmes and evaluate the interlinkages with economic and social considerations” (OECD, 2006). It is a tool to:

- Structure public and government debate in the preparation of policies, plans and programmes;
- Feed this debate through a robust assessment of the environmental and, where needed, social and economic consequences;
- Ensure that the results of assessment and debate are taken into account during decision making and implementation.

The NCEA notes that the term environment should be interpreted broadly here, to include elements such as health.

1.4 SEA context in the Philippines

At present there is no legal framework for SEA for policies, plans and programmes in the Philippines. The existing legal framework for environmental assessment (EA) under the Philippine Environmental Impact Statement System (or Presidential Decree 1586) applies to projects. The regulatory framework does provide for a ‘programmatic’ EIA that can be utilised for a cluster of projects (such as an industrial estate), but this provision is rarely used.

Over the last 10 years, several legislative proposals on SEA have been presented to the Philippine Congress, but these are yet to be approved and transformed into law. At the same time there is growing interest on the adoption of a SEA policy in the Philippines. Several attempts to ‘pilot’ SEA at regional and municipal plans have been made, largely funded by bilateral and multi-lateral partners such as GIZ, WB and ADB. For example, an SEA application for regional land use planning in Zamboanga, Mindanao, is currently ongoing as part of the Dutch government-funded Shared Resources Joint Solutions Programme. Executing agencies such as the Department of Environment and Natural Resources (DENR) as well as NEDA are also pursuing policies to adopt SEA. DENR (Biodiversity Management Bureau) has developed Guidance for Biodiversity-focused SEA, for instance.

2. Analysis of the MBSDMP from an SEA perspective

2.1 Description of the MBSDMP process

For an SEA to be effective, it needs to be tailored to the planning process that it is intended to support. The NCEA working group has made effort to understand the MBSDMP process in order to determine if and how SEA could be applied. In this chapter the NCEA first describes how we understand the MBSDMP, and then reflects on this process from an SEA perspective.

A few relevant details of the MBSDMP:

- The NEDA is in the lead for this planning process. Within the Philippine government context, NEDA is the cabinet-level agency responsible for economic development and planning. It is headed by the President of the Philippines, who is the chairman of the NEDA board. The board is further composed of the Secretary of Socioeconomic Planning as Vice-Chairperson, and the following members: The Executive Secretary, the Cabinet Secretary, the Secretary of Finance and the Secretary of Budget and Management¹.
- The steering committee of the MBSDMP is the NEDA Board Committee on Infrastructure – Technical Board (INFRACOM–TB).
- A technical committee has been set up to advise on the process. It is composed of a very wide range of stakeholders (including representatives from national agencies such as the Mandamus agencies; local government authorities; representatives from the affected Bay areas as well as representatives from the Dutch Government). This committee meets every few months (during so-called feedback weeks). Preceding the plenary meeting, meetings may take place in working groups.
- In the MBSDMP process, NEDA is supported by two teams of experts (Philippine and Dutch), working together closely.
- The entire process is intended to take 30 months, to be completed July 2020.
- The inception phase consisted of the first quarter of 2018, completed in April.
- This was followed by the Situation Analysis, completed in September 2018 with the delivery of a series of reports and an atlas. However, the expert team will continually update the atlas (and possibly the theme reports as well).
- MBSDMP is now in the strategy building phase, which is to last until March 2019.

The MBSDMP process does not constitute a revision of an existing plan with a specified topical and geographical scope and timeline; it is a new type of plan in this setting. It is IWRM-based, and as such it is a water-oriented plan. However, the developments goals that have been set by NEDA for this plan are much broader. These six goals are outlined in the box below and have served as the guiding principle for the MDSBMP so far. Both expertise and stakeholder engagement has been organised around these topics. In the course of the MBSDMP these goals will also be developed into an assessment framework. Scorecards are currently being developed with indicators for each goal.

¹ NEDA website, <http://www.neda.gov.ph/functions-and-organizations>, accessed November 2018.

MBSDMP development goals:

- inclusive growth,
- ecosystem protection,
- climate change adaptation,
- disaster risk reduction,
- water quality improvement, and
- upgrading informal settlements.

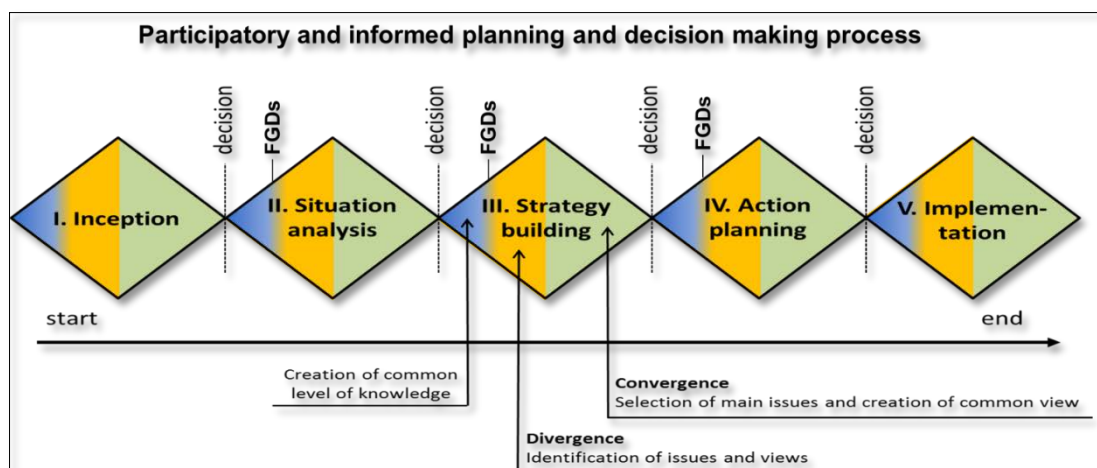
It was explained to the NCEA that the MBSDMP is intended to support the Mandamus order of the Supreme Court (2008) instructing 13 national government agencies to “address the continuing degradation of the water quality of the Bay and reduce its adverse impacts on fishery, health, recreation and the health of the ecosystem. Poor water quality poses a risk to the health of people. It also adversely affects the health of the ecosystem.” (Situation Atlas).

The Situation Analysis further states that while the “*traditional plans for Coastal Management and Development assume public financing, the MBSDMP approach aims to make use of solicited private sector investments to achieve strategic management and development goals [...]. The inclusive master plan will ensure that private sector investments contribute financially, technically and institutionally to agreed development goals, including improved living conditions in informal settlements. The master planning activities will include mechanisms for issuing, granting and monitoring concessions for private investments in and around Manila Bay.*”

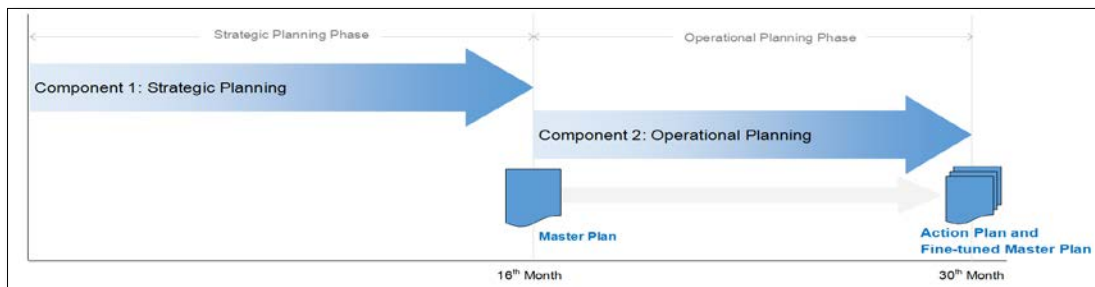
The MBSDMP process has been separated into specific planning stages, each with concrete planning outcomes. Box 2 shows the general IWRM planning process that serves as a model for the MBSDMP. Whereby stage IV – action planning – in this case should deliver first a masterplan, followed by an action plan (see Box 3). This adds up to 3 levels of decision-making:

- Strategy building,
- Master planning,
- Action plan/operational planning.

The MBSDMP inception report explains that the strategy building phase includes selection and assessment not only of preferred strategies, but also of associated programmes, activities and projects (PAPs). Throughout master planning and action planning the operational components needed to implement priority PAPs are to be further developed, namely; financing mechanism, responsibilities and accountabilities, and M&E system.



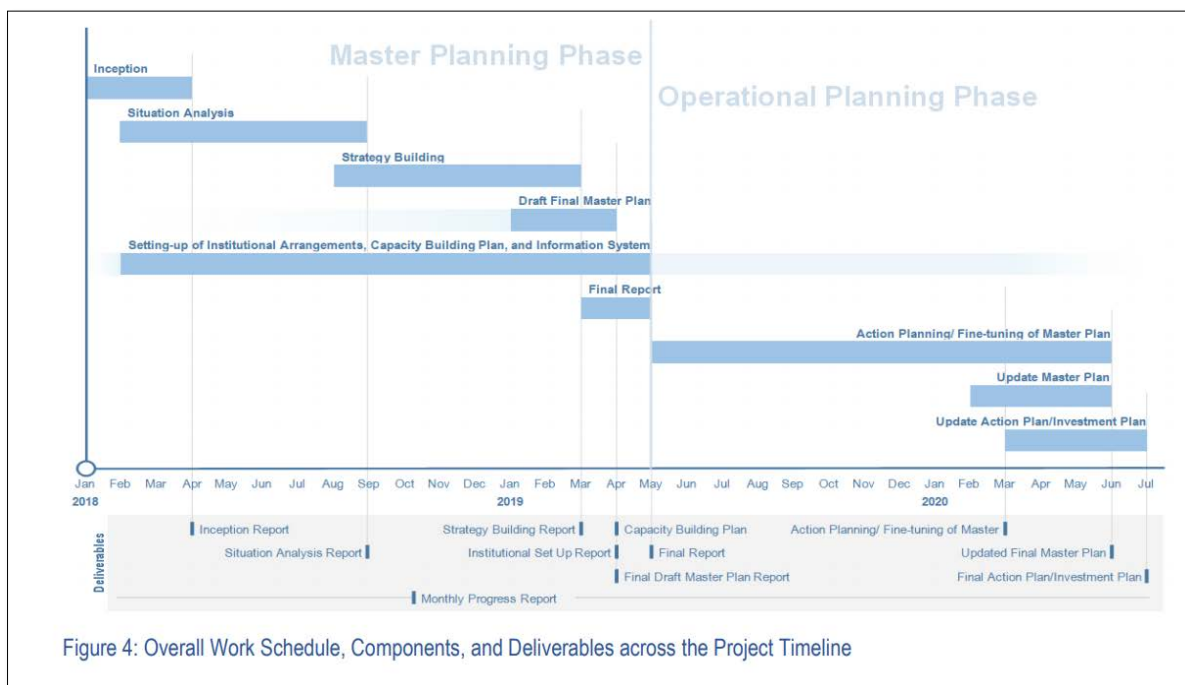
Source: MBSDMP presentation material



Source: MBSDMP presentation material

Box 4 shows the MBSDMP deliverables timetable set for the work of the experts supporting NEDA in the planning process. This shows that the strategies are supposed to be ready in March of 2019, and the draft masterplan very shortly after, in April 2019. The operational planning phase (resulting in the action plan) has been given more time and is to result in a draft action plan in March 2020. This plan then leads to a final action plan and updated master plan in May/June of 2020.

While the MBSDMP planning process is characterised by distinct decision-making phases, the NCEA understands that the development of the information base for this decision-making, the engagement of stakeholders, and the development of capacity are intended to be continuous. The information base established in the situation analysis is captured in the theme reports and the Atlas. It has been explained that the Atlas will in fact be regularly updated. In addition, a series of models will be developed in the course of the MBSDMP that will support decision-making throughout planning and during implementation.



Source: MBSDMP Inception report

Similarly, the situation analysis phase has been utilised to map relevant stakeholders, to inform them on the process, and to collect their inputs. A more detailed stakeholder engagement plan is now being

developed by the expert team supporting NEDA. Capacity development, especially for NEDA is planned throughout.

2.2 Reflection on MBSDMP and potential for SEA added value

Expanding the MBSDMP assessment framework to include impacts

The goal of SEA is to enable the integration of environmental and social considerations into planning. In the case of the MBSDMP, a range of environmental and social considerations are already clearly in view. This is evidenced by the 6 (sustainable) development goals established for the plan, as well as from the atlas and reports prepared in the Situation Analysis phase. These describe the current trends, key issues and concerns on topics such as habitat degradation, access to services and climate risk vulnerability.

In the course of the MBSDMP decision options will be developed to address the issues identified. These options will be evaluated against a framework of criteria developed for each of the 6 (sustainable) development goals, as described in 2.1. The MDSBMP documents do not yet set out an approach for assessing the impacts of the decision options under consideration. And because the MBSDMP is looking to maximise gain on the planning objectives, there could be a risk that certain environmental and social opportunities and impacts drop out of view, especially those that are not already integral to one of the planning goals. For example, in the area of air quality and health impacts. Here SEA can add value. Especially in identifying impacts, identifying who would be subject to those impacts, and facilitating exploration on how these impacts can be managed. These insights can be added to the debate on decision options that will take place within the MDSBMP process.

Strengthening stakeholder engagement

The NCEA draws a similar conclusion concerning stakeholder engagement. The plans for the MDSBMP process already include widespread stakeholder engagement. SEA does not need to introduce this element to the planning process but can be applied to strengthen it.

Up until this point, the MBSDMP engagement has concentrated on informing a wide range of stakeholders on the planning process, collecting their input through a combination of one-to-one meetings, interviews, stakeholder forums and meetings of the Technical Committee Working Group. The MBSDMP expert team supporting NEDA is currently developing a more detailed stakeholder engagement plan for the next planning stages.

SEA methodologies and case experience can be used to inform this stakeholder engagement. For the MBSDMP an SEA can be particularly useful in:

- Bringing important stakeholders into view. On the basis of impacts identified, but also on the basis of institutional responsibilities for the management of environmental and social issues in the implementation of the masterplan (e.g. division of responsibility between local government, line departments, state/provincial and national/central governments).
- Ensuring that feedback mechanisms are built into reporting processes at each master planning stage, especially to account for how the results of assessment and consultation on environmental and social issues have influenced decision outcomes.

Accountability and credibility

SEA can also be applied to enhance accountability and credibility of the MBSDMP. These will be important characteristics for the plan, as several of the stakeholders that the NCEA met in the course of its visit expressed frustration with lack of transparency in planning in general. Often, people do not feel informed on the logic behind planning decisions. SEA can play a role in rendering decision-making more transparent and accountable. For example, through providing more specific insight into tradeoff between options. But also because good practice SEA includes publicly reporting back to stakeholders on how input on impacts was used in decision-making.

The public nature of SEA reports, combined with the possibility of independent quality review, likewise significantly helps to lend credibility to the information basis for decision-making, and by extension to the decisions taken. This is relevant, because it appears that there are crucial disagreements amongst parties on cause-effect relationships within the Manila Bay area. For example, there is ongoing debate on whether or not reclamations exacerbate flooding. Agreed, and independently verified, understanding of such cause-effect relationships, will help focus the discussion on the planning options and improve trust in the planning outcomes.

Strengthening MBSDMP follow-up

The MBSDMP is intended to set the framework for other plans, programmes and projects. Much will depend on how well the environmental and social issues identified at the master planning stage are addressed at the subsequent planning levels, and at the project level. An SEA for the MBSDMP can help strengthen such follow up.

For EIA at the project level, the SEA can develop detailed recommendations on baseline information and models to be used, as well as impacts and mitigation measures that need to be developed. Recommendations could include would include instructions for key indicators to use for environmental and ecological conditions or levels e.g. air and water quality, coastal and marine biodiversity, carbon footprint, congestion and density limits, etc. This way an SEA at the masterplanning level can serve both to improve and streamline EIA practice. Producing EIAs that provide a better basis for decision making on regulatory permitting and clearance².

SEA for the MBSDMP can also identify the agenda for SEA for any subsequent planning, if there is an interest to apply SEA at these planning levels. SEA implementation arrangements for follow-up by agencies such as DENR, PRA, LLDA, MMDA, Department of Health (DOH), Department of Public Works and Highways (DPWH) can be explored. This would require of 'hands-on' training and orientation on SEA follow up with key technical planning staff of the implementing agencies and key NGO/CSO partners.

For implementing LGUs, local SEA reviews of their existing comprehensive land use (CLUPs) and comprehensive development plans (CDPs) maybe conducted as part of the updating and enhancing of these LGU plans based on the aspired environmental conditions and relevant results indicators adopted in the MBSDMP. It is understood that LGUs shall play an important role in the approval of the MBSDMP as well as in the identification of implementation programmes, projects and activities (PAPs).

² By national agencies such as the DENR, Philippine Reclamation Authority (PRA), Metro Manila Development Authority (MMDA), and Laguna Lake Development Authority (LLDA); building permits, zoning and locational clearances by provincial, city and municipal LGUs for intended projects and activities in the Manila Bay and its catchment areas.

Local LGU alliances, such as the 8 Northern coastal LGU alliance in Bulacan and Pampanga, or national unions of local officials such as League of Provinces or Cities, can also pursue SEA for implementation plans and programmes in their areas. Especially for plans that address common environmental issues or concerns such as flooding, solid waste management, septage and drainage, ecosystem-wide management or rehabilitation, waste water or river water quality management.

Decision making in the MBSDMP is not yet clearly defined

However, the NCEA cannot yet provide very concrete advice on how follow-up can be addressed in the SEA for the MBSDMP. That is because the types of decisions to be made in the MBSDMP, and the mechanisms by which the plan will be implemented, are not yet clearly defined. This has become clear from the documents received, as well as the meetings undertaken, The NCEA notes that the expectations on these decisions seem to differ greatly amongst key actors that were consulted. In one discussion the MBSDMP was characterised as a more general set of planning objectives that would guide the efforts of a range of governmental agencies in the Manila Bay. Others expect the plan to encompass specific flood protection measures or direct the next round of infrastructural expenditures in the Manila Bay area by NEDA itself. The expectation that the MBSDMP will tackle reclamation development in the Manila Bay is widely held. In practically every meeting that the NCEA held during the mission to Manila, concern was raised over this development. People are looking towards the MBSDMP to set a concrete framework for reclamations in the Bay, defining how many reclamations may take place, where and under what conditions.

The NCEA recognises that the openness regarding the types of decisions to be made within the framework of the MBSDMP may be intentional at this stage. The first steps in the MBSDMP process seem to aim at facilitating joint problem recognition and agenda setting. However, clarity on the decision scope is needed in order to focus activities such as impact assessment and stakeholder engagement. It will be important to zoom in on the decision outcomes in the next planning steps. And also to clarify what is considered a given for this process, and what is still open for debate: the “negotiable” and “non-negotiable” elements of the strategies, masterplan and subsequent action planning stages.

Once it is clearer what kind of solutions are to be addressed in the MBSDBMP, it will also be more obvious to stakeholders how the plan affects them. In particular, governmental agencies will be better able to understand how the plan affects their mandate and engage accordingly. The current openness in decision making has implications for SEA planning as well. The NCEA’s advice now mostly provides recommendations for SEA process. It would be premature to give concrete advice as to SEA content. The types of impacts and measures that the SEA can explore will depend on the decision options under consideration. At the same time, the fact that the decision scope is open, means that SEA methodologies and case experience can be helpful in further defining decision options. See for example the Guidance on Developing and Assessing alternatives in SEA, developed by the Irish EPA³.

³ Developing and Assessing Alternatives in Strategic Environmental Assessment, http://www.epa.ie/pubs/advice/ea/SEA-Alternatives-157-Published_web.pdf

3. Recommendations for SEA for the MBSDMP

The previous chapter has concluded that SEA can add value to the MBSDMP. In this chapter the NCEA gives recommendations on how SEA can be integrated into the process now underway. We first describe where to start. We then set out the generic good practice activities in SEA and go through a step-by-step consideration of where these would fit with the MSDBMP process. Finally, we reflect on implications of SEA for MBSDMP timelines, capacities, resources and institutional arrangements.

3.1 Where to start?

Ideally, the decision on whether or not to do an SEA takes place at the very beginning of a planning process. If an SEA is decided on, SEA steps can then be fully synchronised and integrated into every planning step. SEA considerations can influence the identification of stakeholders, the formulation of environmental and social objectives for the planning process, baseline information gathering, and the choice of alternative planning options to investigate (see under stage A and B in Box 5).

In the case of the MBSDMP, however, the discussion on the application of SEA is taking place at the end of the MBSDMP situation analysis phase. A number of key activities have already been undertaken, specifically:

- Delineation of problems and objectives for the plan; i.e. the 6 sustainable development themes.
- Analysis of existing policies.
- Stakeholder identification and first engagement.
- Collection and presentation of baseline information.

The NCEA is of the opinion that there is not much benefit to be gained from revisiting these stages. In fact, the Situation Atlas and the theme reports provide a comprehensive basis on which the SEA can build. Therefore, the NCEA recommends that the SEA is started as soon as possible, and that the SEA process is designed to inform ongoing and future planning activities in the MBSDMP.

As a start, the NCEA would suggest that NEDA mobilises the existing SEA knowledge within its own organisation (for example, within ANRES) but also amongst colleagues at agencies such as DENR, to establish an SEA working group. This working group could then develop the more detailed approach outlined in the rest of this chapter, into an internal proposal for further action and approval. See further paragraph 3.4 on capacity needed for the SEA.

3.2 Three rounds of SEA to match the MBSDMP stages

In Box 5 the stages and more detailed steps of a good practice SEA are described⁴. These have served as a starting point for the NCEA in developing the outline of an SEA approach for the MBSDMP.

⁴ From the NCEA Key sheet Strategic environmental assessment (July 2017), based on the OECD DAC 2006 publication “Applying Strategic Environmental Assessment, Good Practice Guidance for Development Co-operation.”

However, the series of good practice steps below assumes a mostly linear planning process, that results in one concrete policy or plan. The MBSDMP is a multi-staged decision process, with different planning outcomes. Therefore, the NCEA suggest that the SEA process is undertaken in three 'rounds' of scoping, assessment and formulation of recommendation. One 'round' to support each of the three MBSDMP planning levels (strategies, masterplan, action plan). Neither is it logical to identify stakeholders and issues for SEA, or develop baseline data, without recognising the MBSDMP work that is already taking place. That means that the content of each SEA 'round' will need to take this work as starting point and identify what needs to be added in order to ensure full consideration of environmental and social impacts.

Box 5: 'Good practice' sequence of steps in an SEA process

A. Establishing the context for SEA

- Screening: decide on the need and role of SEA.
- Identify the stakeholders and plan their involvement.
- Develop, with the stakeholders, a shared vision on the key (environmental) problems, objectives and alternatives for the policy or plan.

B. Implementing SEA

- Scope the content for the SEA, including a look at synergies or conflict with existing policy objectives.
- Collect baseline data.
- Assess alternatives.
- Identify how to use opportunities/mitigate impacts.
- Assure quality through independent review and public involvement of draft reports.
- Document results and make these available.

C. Informing and influencing decision-making

- Organise dialogue among stakeholders on SEA results and make recommendations for decision-making.
- Justify the (political) choices that have been made in the finally adopted policy or plan.

D. Monitoring and evaluation

- Monitor the implementation of the adopted policy or plan and alignment with the SEA.
- Evaluate the alignment of the SEA with the outcomes of the policy or plan.

A crucial step in any SEA – and in any EIA for that matter – is scoping (in the Box above under Stage B). This is where it is decided what needs to be addressed in the SEA and how. Whereby it just as important to scope issues *out* as it is to scope issues *in* (see for an example the Box below). For the MBSDMP, the NCEA suggest that a scoping exercise can to be undertaken at each planning level. At the start of each SEA 'round'. This exercise serves to identify the relevant issues and impacts that are important to consider during the upcoming planning step, *in addition to those that are already addressed in the MBSDMP*. What these issues and impacts are, will depend on the decision options that are under discussion. To help with scoping, a reference list of relevant environmental and social issues can be developed. On the basis of this list, a simple matrix can be used to outline likely environmental and social impacts for that SEA 'round'. See Annex 3 for an example of a format.

Case example: Scoping in SEA for update of Thames River Basin Management Plan (England) resulted in excluding air quality and light pollution from further assessment as issues not related to the Plan, while suggesting to consider also likely impacts to unprotected heritage features (in addition to protected ones), and limiting analysis of likely impacts on biodiversity only to the sites of international and national importance (i.e. excluding local wildlife sites).

Source: Environment Agency, Thames River Basin District Environment Report, 2014

Based on the issues identified in scoping in each SEA ‘round’, the baseline information and assessment framework of the MBSDMP can be revisited, to see if any additions need to be made. Following that, the impacts of the decision options can be assessed, and recommendations made. This may range from quantitative analysis of likely spatial impacts of specific actions to sensitive habitats/ecosystems, to qualitative evaluation to check if a proposed strategy can be considered as relevant for National Appropriate Mitigation Actions to reduce GHG emissions. The detail of the assessment will depend on the detail of the decision options (strategies, master planning alternatives, etc). It is important to address a long-term perspective in this impacts analysis, in keeping with the MBSDMP implementation time horizon to 2040.

Case example: The SEA for the operational programme “Enterprise and Innovations 2007–2014 of the Czech Republic proposed 18 specific environmental and health criteria to be considered when evaluating and selecting individual projects to be funded under the programme. The Ministry of Industry and Trade, which was responsible for drafting and implementing the programme, adopted the criteria it considered most relevant to the projects eligible for funding under the programme (emissions of air pollutants, emissions of GHG, use of alternative energy resources, and energy efficiency). Although not all SEA criteria were integrated into the programme selection process, the SEA helped the ministry improve the environmental and health ‘performance’ of the programme by selecting those projects that could satisfy the carefully chosen SEA criteria.

Source: UNECE, Protocol on Strategic Environmental Assessment: Facts and Benefits, 2016

This approach would also mean revisiting the stakeholder engagement plan for the MBSDMP during each SEA ‘round’. Stakeholder engagement may need to be expanded to involve new target groups such as those particularly vulnerable to impacts cause by a specific decision option. Or engagement may need to focus on particular governmental agencies that will have a role in the management of impacts associated with a certain decision option (See the Hubei Road SEA case below⁵). There is a wide array of good practice sources that the MBSDMP stakeholder engagement can draw on. In Annex 5 we refer to several, some of which are specifically related to SEA, others are more broadly applicable.

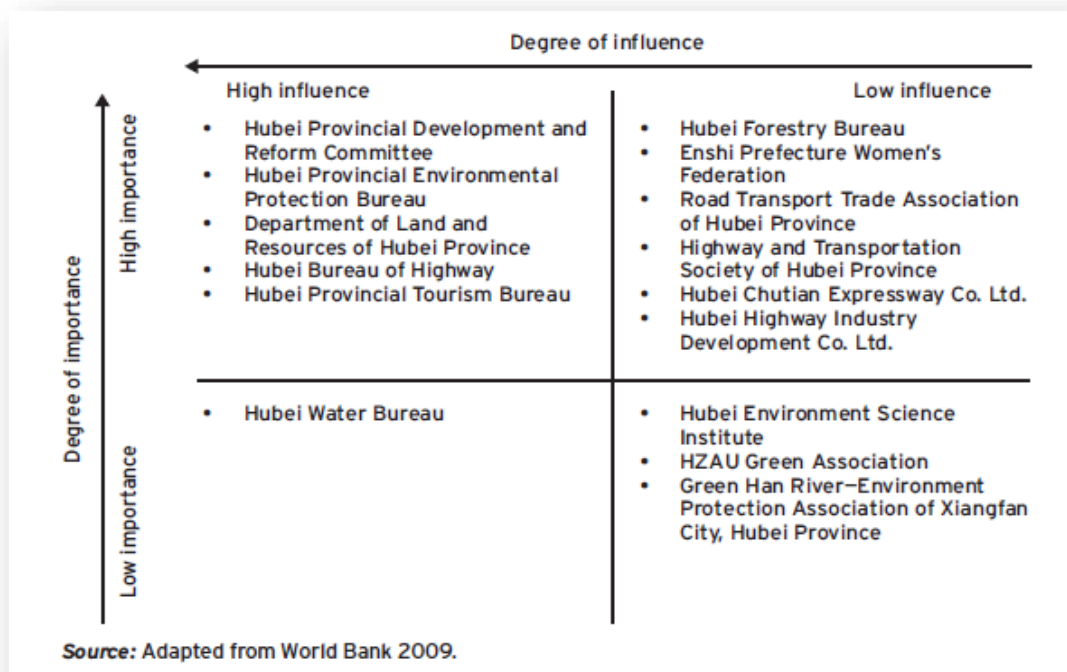
Each SEA round will need to produce a concrete set of recommendations for the decision-making that is to take place at that MBSDMP stage (strategies, masterplan, action plan). These may be incorporated into the planning outcomes, and implementation arrangements. However, to make sure that the SEA work is visible, the NCEA recommends that the SEA assessment and recommendation are reported in separate reports or chapters. See Annex 4 for a possible format. We also suggest that feedback is provided at each stage to explain how these recommendations have been included in decisions taken that stage.

⁵ World Bank, et al, Environmental Assessment in Policy and Sector Reform, 2011.

Case example: The SEA of the Master Plan of the Orhei town (Moldova) helped the Master Plan development team to identify major environmental problems, obtain new environmental data and prepare environment-related maps. These maps combined business data and development options with locations and borders of natural areas, river basins and nature protection zones, as well as air and water pollution data. This information considerably enhanced the environmental chapter of the Master Plan. The SEA also helped to improve road schemes and justify the introduction of proper waste management schemes and indicated places where waste management facilities cannot be located.

Source: UNECE, *Protocol on Strategic Environmental Assessment: Facts and Benefits*, 2016

Case example: Stakeholder mapping for the Hubei Road Transport SEA

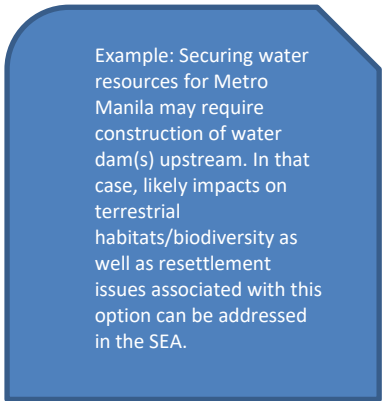


The NCEA suggest that stakeholders will be informed of SEA results through different mechanisms appropriate to the different target audiences. In this, the SEA activities can either follow the stakeholder engagement plan of the MBSDMP, or dissemination can be planned separately as needed. We note here that any SEA Report or Statements (on how the SEA process has had an effect on decisions) are only one part of this process. Good practice and previous studies have highlighted the need to, wherever possible, disseminate outputs and outcomes widely and in different formats. Including through the media. This helps to reinforce learnings and increase transparency and accountability in the decision-making process⁶. Ultimately, this will aid stakeholder ownership, buy-in and contribution to implementation activities that may require their mobilisation and input.

⁶ World Bank, University of Gothenburg, Swedish University of Agricultural Sciences, & Assessment, 2011

3.3 MBSDMP and SEA activities step-by-step

In the table below, we outline the steps in the MBSDMP in the left-hand column. We describe complementary SEA activities that can be undertaken during each MBSDMP step in the right-hand column. In the blue boxes we provide examples to illustrate the SEA activities.

Planning stage and activities in MBSDMP	Complementary SEA activities
Inception	
Mobilise expertise, and detailed planning of the process	
Situation Analysis	
Establish baseline and BAU: (Atlas and 6 theme reports, cover report)	<p>These MBSDMP steps have already taken place, but outcomes may be updated to reflect new information, as needed, depending on the results of the SEA activities below.</p>
Stakeholder involvement Identify stakeholders, inform stakeholders, collect information	
Assessment framework (scorecards, based on 6 themes)	
MP Strategy development and high potential PAPs	
Develop alternative strategies 	<ul style="list-style-type: none"> • SEA scoping exercise to identify key environmental and social impacts (both positive and negative) of the strategies being considered. Starting point are the Atlas and Situation Assessment reports. • This can help focus the MBSDMP strategy search, i.e. strategies with potential problematic impacts can be dropped, while strategies that present environmental or social opportunities may be prioritised. • Scoping can be carried out to a large extent as an internal exercise of the MBSDMP team with verification of the scoping conclusions through stakeholders' consultations.⁷

⁷ SEA Protocol Resource Manual lists 'Collective expert judgements, which can determine – based on personal experience and case comparisons – possible impacts that should be considered in SEA methods available for scoping.

<p>Identification and assessment of key strategies</p> <p>Example: If transport infrastructure development is to be addressed in the MP, likely impacts on e.g. air, terrestrial habitats, or livelihood can be considered when designing a transport strategy under the MP.</p> <p>Example: If the decision on the transport strategy includes routing of specific transport infrastructure, locations with critical air quality should be taken as a priority to decrease transport intensity in these areas.</p>	<ul style="list-style-type: none"> Based on the first round of SEA scoping, revisit the stakeholder engagement plan to 1) see if any new stakeholders have some into view through SEA scoping, 2) if particular strategies might be needed toward particular stakeholders in relation to the management of impact identified. Consider, for example, organisations with specific environmental responsibilities which could include DENR, Department of Health, etc. Revisit baseline (Atlas, SAR reports, etc) to see if additional baseline info is needed in light of impact assessment. Impact assessment & alternative comparison: assess likely impacts of the key strategies on environmental and social issues identified in the scoping step above. Assess these separately, or integrate key impacts into the assessment framework and scorecards. Based on the impacts analysis, prepare recommendations for optimising strategies to avoid or minimise likely impacts identified.
<p>Assessment & selection of high potential PAPs</p> <p>Example: Decision on location of waste water treatment plan should take into account likely impacts on ecosystems from discharge of treated water.</p>	<ul style="list-style-type: none"> Similar to the approach for strategies above: Scoping and impact assessment. Also, revisiting baseline and stakeholder engagement, Develop additional environmental and social criteria for PAP selection as needed, of the basis of the impact assessment. These criteria can be added to the other criteria developed in the MBSDMP for PAPs. Develop recommendations for EIAs for specific PAPs.
<p>Select a preferred strategy</p>	<ul style="list-style-type: none"> Integrate results of impact assessment carried out in previous steps into stakeholder dialogue on strategy options.
<p>Validation and finalisation of draft strategy building report</p>	<ul style="list-style-type: none"> Report on the SEA findings within (or together with) the draft strategy building report (scoping matrix and evaluation of strategies/PAPs can be attached as annexes). Also report back if/how these findings have been considered in the selection of strategies and PAPs. The reporting back should provide feedback on stakeholder's inputs related to SEA findings i.e. if/how opinions and suggestions raised in previous steps have been integrated into the draft strategy.
<p>Master planning</p>	
<p>Draft final master plan</p>	<ul style="list-style-type: none"> It is not fully clear what this stage of the MBSDMP entails. Activities to undertake here would be similar to those under the strategy stage above but tailored to the decisions to be made in the masterplan. SEA recommendations can include concrete measures for management of identified issues, as well as strengthening of institutional arrangement to manage identified impacts, and here also recommendations for EIAs for specific projects

<p>Setting up institutional arrangements, capacity building and information system</p> <div data-bbox="252 360 715 689" style="background-color: #4F81BD; color: white; padding: 10px; border-radius: 10px;"> <p>Example: An SEA related monitoring scheme may include:</p> <ul style="list-style-type: none"> • Indicators to monitor changes in environmental issues identified; • Institutional arrangements to monitor these changes, and to take actions in case of unforeseen adverse environmental impacts • Means to ensure public availability of environmental monitoring results. </div>	<ul style="list-style-type: none"> • Incorporate any SEA recommendations developed in earlier SEA activities concerning the institutional arrangements, and monitoring and management of specific environmental and social issues identified. • Consider if institutional arrangements, capacity and information systems are optimised for future SEA and EIA applications. Make recommendations where relevant.
<p>Final master plan</p>	<ul style="list-style-type: none"> • Report on the SEA findings within (or together with) the master plan. • Also report back if/how these findings have been considered in the decision-making on the masterplan. • Include feedback on stakeholders' inputs related to SEA findings.
<p>Action planning</p>	
<p>Action/investment planning and fine-tuning masterplan</p> <div data-bbox="240 1167 715 1509" style="background-color: #4F81BD; color: white; padding: 10px; border-radius: 10px;"> <p>Example: If the Action plan will directly decide about specific actions/investments, then such decision(s) can be informed directly by environmental and social impacts identified by SEA. If the Action plan aims to be a more general framework for such decisions, the environmental criteria and recommendations on EIA for specific actions should be a priority.</p> </div>	<ul style="list-style-type: none"> • Undertake scoping to see if it is necessary to update the previous SEA work, as well as the baseline and stakeholder engagement in light of new issues and impacts related to this planning stage. • Assessing likely impacts of specific actions. Likely, the planning of actions/investments will call for more detailed description of the likely impacts and relevant mitigation measures than the previous steps. • Develop additional environmental and social criteria for selecting/granting investment on the basis of the impact assessment. The criteria can be added to the other criteria developed in the course of the MBSDMP. • Develop recommendations for EIAs for specific actions.
<p>Update masterplan and finalise action/investment planning</p>	<ul style="list-style-type: none"> • Integrating SEA findings and results in the Master Plan and Action/Investment Planning. • Updating or prepare a new summary of SEA outputs. • Informing stakeholders about SEA findings and results and how these have been considered in the Master Plan and Action/Investment Planning.
<p>Implementation</p> <div data-bbox="252 1783 715 2033" style="background-color: #4F81BD; color: white; padding: 10px; border-radius: 10px;"> <p>Example: Reporting on SEA follow-up can be built into MBSDMP products that provide information to key stakeholders on how environmental and social priorities are being achieved. Can be integrated into the general continuation of the multi-stakeholder dialogue established.</p> </div>	<p>SEA follow-up in accordance with the SEA recommendations, where possible integrated into MBSDMP implementation arrangements. Could include:</p> <ul style="list-style-type: none"> • Oversight over SEA and EIA applications to implementation plans and projects. • Monitoring and management arrangements. • Public reporting on implementation.

3.4 Timeline, capacity, resources and institutional arrangement

Timeline

Given that the SEA activities suggested can build on the MBSDMP work, the NCEA believes that these activities should be possible within the total timeframe available for the MBSDMP. However, the NCEA does recommend shifting the timeline to allow more time for the strategy building phase, at the expense of the action planning phase. We note here that the time allowed for strategy building phase (including first assessment of PAPs) is quite tight. The deadline for the Strategy Building Report indicated the workplan is 10th March 2019.

It will be a challenge to get the SEA process started and be able to undertake a first round of scoping and assessment within that time. Assuming that resources and expertise for the SEA can be mobilised by the end of December 2018, that would mean that the first SEA recommendations on impacts and mitigation need to be realised in approximately 2 months. This seems to be too short a deadline.

The NCEA would suggest reconsidering the deadline for submitting the Strategy Building Report, to provide at least 3 months for executing the first SEA round. This shift need not affect the duration of the entire MBSDMP preparation. By the estimation of the NCEA, it is possible to reduce the time allocated for the operational planning phase, to benefit of the strategy building phase, while keeping the final deadline as is. However, if such a shift in the timeline is not possible, it is recommended to concentrate the first SEA activities on the strategies, and to address the PAPs during the master planning or action planning stage.

Capacity and resources needed

There is a large pool of experts available for the MBSDMP. Including expertise on stakeholder engagement, and on environmental and social issues. The SEA can also draw on relevant knowledge and experience available at agencies such as DENR. Moreover, the extensive stakeholders' consultation that is planned should allow for verification of SEA conclusions. Consequently, the NCEA suggests that external inputs needed to carry out SEA-related tasks can be modest. These would mainly provide methodological support and guidance on SEA process, as well as selected additional topical expertise (as identified in the course of the SEA process).

Based on experience with SEA in the European context, the NCEA would suggest that the SEA of the MBSDMP should require between 50–100 working days of these external inputs⁸ including (i) approx. 30–40 working days for methodological support, facilitation of the SEA process, and preparation of written SEA inputs to the MBDSP, and (ii) up to 60–70 working days to cover environmental and social issues identified in scoping. This last estimate would need to be revisited once it is clear which issues the SEA should address, in addition to those that are already addressed in the MBSDMP process. By our

⁸ The UNECE publication 'Protocol on SEA: Facts and benefits' (2016) provides that "*According to a study of SEA in the European Union, the costs for carrying out SEAs vary between 5 and 10 per cent of the planning cost, and are marginal in comparison with the costs of the implementation of plans or programmes (i.e., financing all activities and projects proposed by the planning document). When SEA can be done without expensive modelling or other complex data processing tools, these costs are mostly associated with fees for SEA practitioners employed in many countries by planning authorities to conduct the SEA procedure. Experience has shown that small municipal SEAs can be carried out in as little as 30 working days. Medium-scale SEAs require 50–100 working days, while * more complex large-scale SEAs require between 150 and 300 working days depending on the amount of information to be processed.*"

estimation, about 10–15 working days are needed per issue to compile baseline information, assess the likely impacts, and formulate recommendations.

Institutional arrangement for the SEA process

In accordance with good SEA practice, the primary responsibility to ensure SEA is carried out, belongs to the planning authority. As this is the authority that should be making use of the SEA results in planning decisions. In this case, the lead authority is NEDA. NEDA has the mandate to make key decisions on the MBSDMP, including decisions on how to address any SEA recommendations.

NEDA can take the lead in setting up an SEA working group that will be responsible for the SEA process. The NCEA recommends that this working group:

- Appoints a working group co-ordinator.
- Incorporates NEDA staff with SEA knowledge (the ANRES department has experts trained in SEA).
- Incorporates staff from relevant other institutions with SEA knowledge, such as DENR.
- Ensures good co-ordination with the MBSDMP. One way to achieve this would be by bringing experts from the MSDBMP team onto the SEA working group.

The working group could also consider inviting members of organisations that have relevant knowledge for the SEA process, such as the Department of Health, Department of Public Works and Highway, the Metro Manila Development Authority and Laguna Lake Development Authority. It would be useful if colleagues from such institutions extensively participate in SEA, as these may provide important inputs on the key environmental and social issues, likely impacts, and relevant mitigation measures. Their involvement also helps to create awareness and commitment for the SEA outcomes.

The NCEA is of the opinion that, in principle, the MBSDMP SEA can be carried out by the SEA working group, with support of one or two SEA experts. The role of these experts would be to facilitate scoping discussions and summarise the results. Then, based on the key environmental and social issues identified in the scoping, additional topical experts – if needed – can be involved.

Aside from this dedicated SEA working group, the NCEA suggests that the SEA can make use of the institutional structure set up for the MBSDMP process. For example, SEA conclusions can be shared with the Technical Committee for verification, together with concrete planning outputs. Similarly, SEA recommendations can be put before the INFRACOM for endorsement.

Annex 1: Meeting overview mission NCEA

- NEDA – Social and Other Public Infrastructure Division (SOPID) and Agriculture, Natural Resources and Environment staff (ANRES)
- Experts from the Dutch Expert Team and Local Consulting Team supporting NEDA in the MBSDMP process
- DENR – Environmental Management Bureau (EMB), Policy and Planning Service (PPS), and Reclamation and Regulations Office
- Laguna Lake Development Authority
- Manila Bay Co-ordinating Office
- Metro Manila Development Agency
- Philippine Reclamation Authority
- Alliance of Northern Municipalities, including site visit to Hagonoy, Bulacan.
- League of Cities
- Wetlands International
- Kalikasan
- Netherlands Embassy

Annex 2: Request letter from NEDA



REPUBLIC OF THE PHILIPPINES

NATIONAL ECONOMIC AND DEVELOPMENT AUTHORITY

04 September 2018

MR. KEES LINSE

Chairman

Netherlands Commission for Environmental Assessment (NCEA)

Arthur van Schendelstraat 760

3511 MK Utrecht

The Netherlands

Dear **Chairman Linse**:

Early this year, the Philippines and the Netherlands formally started its partnership towards the formulation of the Manila Bay Sustainable Development Master Plan (MBSDMP). The MBSDMP aims to provide a comprehensive and supporting institutional framework for the sustainable development of the entire Manila Bay area, i.e., coastal and catchment areas. It is envisioned to guide future decisions on programs/projects (e.g., coastal protection works, solid waste and water resources management, transport, reclamation activities) to be undertaken within the Bay area.

As part of our governments' cooperation for the sustainable development of Manila Bay, representatives from NCEA conducted an exploratory meeting with our office to discuss the possible application of Strategic Environmental Assessment (SEA) to the masterplan. During the meeting, it was discussed that SEA utilizes a range of analytical and participatory approaches that aim to integrate environmental considerations into policies, plans and programs and evaluate the interlinkages with economic and social considerations. We deem that the principles of SEA are aligned with the objectives of the MBSDMP, and its application will be greatly beneficial to the undertaking.

In this regard, NEDA would like to invite the NCEA to propose a working approach for the integration and operationalization of SEA into the MBSDMP, i.e., to identify how SEA application relates to resource commitments and planning timelines as currently agreed for the formulation of the MBSDMP. We deem that further exploration is necessary to determine how SEA can be best operationalized. On the basis of this further exploration moving forward, a more detailed proposal for SEA application to the MBSDMP can be developed, and subsequently endorsed by the relevant parties.

Thank you and we look forward to working with your esteemed office.

Very truly yours,



ERNESTO M. PERNIA
Secretary of Socioeconomic Planning

cc: Ambassador Marion Derckx, Embassy of the Netherlands in the Philippines

NEDA sa Pasig, 12 Saint Josemaría Escrivá Drive, Ortigas Center, Pasig City 1605
P.O. Box 419, Greenhills • Tels. 631-0945 to 68
www.neda.gov.ph

Annex 3: Suggestion scoping matrix MBSDMP

MBSDMP strategies regarding ecosystem protection	Environmental and social issues						Comments
	Air quality	Land and soil	Livelihood	
Strategy 1	-	0	-				<ul style="list-style-type: none"> • The key environmental and social concerns related to a given strategy and details on the likely impacts (e.g. specific locations/habitats that may be affected, which 'elements' of the strategy can cause likely impacts) • Preliminary indication of possible mitigation measures (e.g. adjustments of the strategy) • Indication of any need for further data/information • Identification of specific stakeholders which may be affected/concerned
Strategy 2	+	+/-	?				
Strategy 3							
...							
...							

Legend:

- + There may be positive impacts of the Strategy to a given issue
- There may be adverse impacts of the Strategy to a given issue
- 0 No impacts
- +/- There may be both positive and adverse impacts of the Strategy to a given issue depending on specific actions under the Strategy and the way it is implemented
- ? Possibility and/or the nature of likely impacts cannot be determined due to a lack of information about planned actions and/or lack of data/information regarding a given issue

Annex 4: Example of an SEA reporting format

Example of a reporting format on implementation of MBSDMP SEA recommendations and mitigation measures.

SEA recommendation/mitigation measure	Responsible institution	Status of implementation	Results	Actions to be further implemented
<i>Recommendations/measure as proposed by SEA</i>	<i>Institution responsible for implementing a given measure</i>	<i>What has been done in current reporting period</i>	<i>Success stories, problems and challenges regarding efficient implementation, recommendations for adjustments of the measures</i>	<i>What needs to be done in next reporting period</i>
Example: Apply SEA for urban development plan for area XYZ	MMDA	Preparation of urban plan has been initiated in June 2021, the tender for SEA is prepared and should be launched in October 2021	Decision on SEA has been taken and relevant budget allocated as a part of the budget for urban plan preparation	Integration of SEA results in the urban plan
...

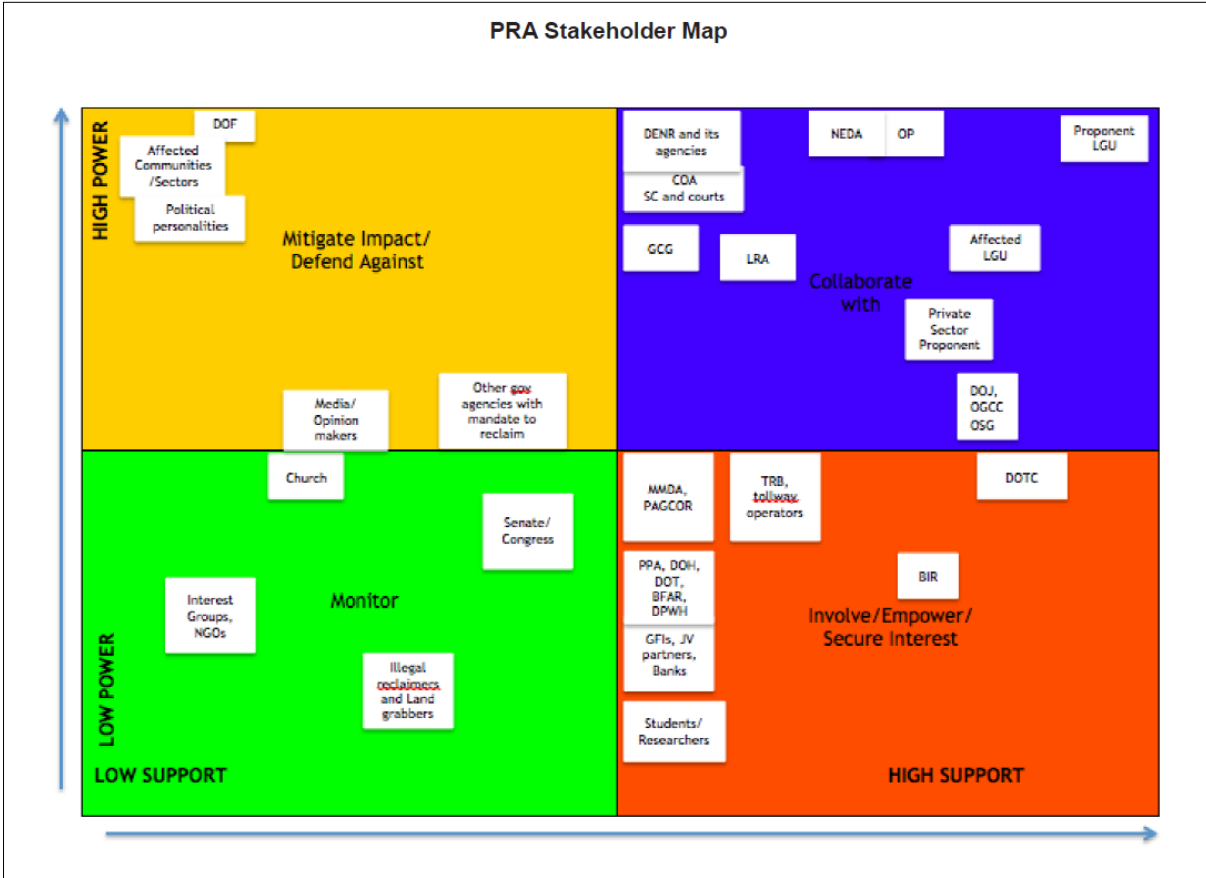
Annex 5: Stakeholder engagement guidance

The MBSDMP team is currently developing a stakeholder engagement plan. This Annex provides guidance on how to approach stakeholder engagement that may be used in that effort. Note that this guidance is not exclusively SEA-specific. It draws on general good practice principles that apply within SEA, but also more generally.

The stakeholder engagement plan will need to identify the relevant stakeholder groups to be engaged. In Chapter 3, some suggestions are given for reflecting on the selection of stakeholders from an SEA perspective. It includes an example of a stakeholder map from an SEA case in China. Below we are including, for reference, the Stakeholder Map taken from the Stakeholder Engagement and Management Plan of the Philippines Reclamation Authority⁹. It provides a useful reference document already in the public domain which the MBSDMP team might readily build on and adapt.

One key recommendation with the use of any such stakeholder mapping tools is to be clear that a 'low' level of potential interest, influence or 'power' does not minimise the importance of those issues and/or stakeholders, though it may be a key factor in determining the level of effort the team plans for with those stakeholders, the nature of engagement and communications activities and the nature of such activities. Also, stakeholder mapping may need continual review based on the nature of issues being explored and the stage of decision making reached.

⁹ Year unknown, downloaded from: http://www.pea.gov.ph/images/pr_images/pdf/SEMP_Website.pdf in November 2018.



In this annex, an example of a template for stakeholder engagement planning is included. Such a can help to clarify and focus the engagement activities at each master planning stage. It can help to ensure that both engagement and communications approaches are aligned with overall master planning processes, and that evaluation of effectiveness is built in for continual review, lessons learned and adaptation of approach for subsequent stages. It will be important that the stakeholder engagement plan clarifies the level of engagement for each stakeholder group and decision-making stage, as appropriate.

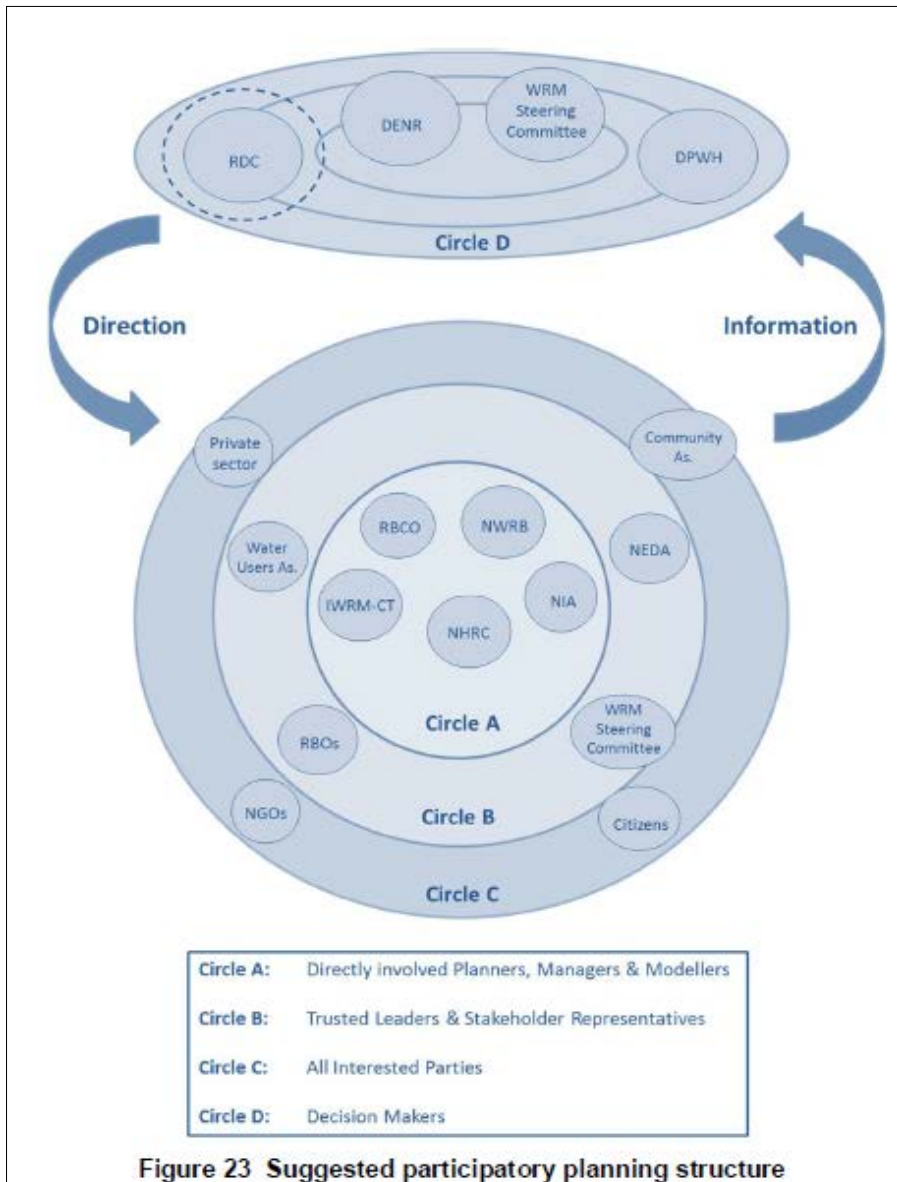


Figure 23 Suggested participatory planning structure

Source: Republic of the Philippines Department of Public Works and Highways, World Bank (April 2016) Philippines: Integrated Water Resources Management Planning Guidelines – The World Bank Office, Manila

Additionally, it could be useful to clearly set out in the engagement plan the decision options likely to be explored in next stages, and capacity for ‘Circle B’ and ‘Circle C’ stakeholders as per diagram above from IWRM guidance below to influence any outcomes or decisions taken. The detailed engagement plan might usefully set out key messages and expectations where those contributions may be limited to ‘inform’ or ‘consult’ level on the IAP2 spectrum (which broadly map to the ‘information’, ‘consultation’, and ‘discussion’ levels on the IWRM engagement scale).

Decision/issue statement	Decision-makers	Key risks	Mitigation measures	Key messages / proof points	Overall level of engagement
<i>e.g. Prepare a MBSDMP to guide decision-makers in assessment / approval of plans / activities / projects (PAP) for implementation in Manila Bay, consistent with national / regional / local priority policies including management and development plans</i>	<i>Institution responsible for implementing a given measure</i>	e.g. Stakeholders feel process is too rushed to contribute meaningfully, including NGOs and local communities, some alternatives not explored in depth and comparatively	<i>Set out mitigation strategies to deal with both communications and engagement risks</i>	<i>Clarify key messages for both the MDSMP and the SEA process, and level of influence likely for each stage and stakeholder group</i>	<i>e.g. inform, consult, involve, collaborate, empower</i>
Decision steps	In / out of scope (negotiables/ non-negotiables)	Public participation and/or Communications objectives (and level of engagement)	Possible techniques	Key audiences:	Evaluation mechanisms for stage / technique
MP Strategy development and high potential PAPs <ul style="list-style-type: none"> • Develop alternative strategies • Identify and assess key strategies • Assess and select high potential PAPs • Select preferred strategy • Validation and finalisation 	Negotiables e.g. approach, detail to be covered, stakeholders to be engaged; Non-negotiables e.g. horizontal proposals/ approvals	e.g. establish an approach to engagement with all stakeholders to develop ownership of the MBSDMP and its implementation	e.g. one-to-one engagement with key stakeholders, targeted workshops on themes and to explore potential impacts, interviews with LGU alliances etc.	Tailored as per technique and level of detail	e.g. representativeness of engagement, clarification of negotiables and stakeholder understanding of areas of potential influence, frequency / intensity of engagement, degree of satisfaction/ interest, sentiment
Master planning <ul style="list-style-type: none"> • Draft final MP 					Could also include evaluation

<ul style="list-style-type: none"> • Set up institutional arrangements etc. • Final master plan 					indicators for e.g. outcomes e.g. changes in knowledge, lessons learned, unexpected outcomes, ideas from stakeholders etc.
Action planning <ul style="list-style-type: none"> • Action/investment planning and fine-tuning • Update master plan and finalise action / investment planning • Implementation and monitoring 		

