

1 SEA Capacity Building -- Case Study of the Development of Core Training  
2 Materials & Training of Local Trainers

3 **Yunnan Environmentally Sustainable Development Capacity Building Project**

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9 **Abstract:** Swedish International Development Agency (SIDA) funded, Yunnan Environmentally  
10 Sustainable Development Capacity Building Project (hereafter as the Project) is implemented  
11 jointly by Yunnan Provincial Environmental Protection Bureau(YEPB), Appraisal Centre for  
12 Environmental Engineering of MOEP(ACEE), Appraisal Centre of Environmental Engineering of  
13 YEPB(YEAC),and Ramboll Natura AB, with the aim to “improve the capacity of Yunnan  
14 provincial and local Environmental Protection Bureaus (EPBs) to fulfill their roles in conducting  
15 SEA and EIA in good collaboration with other stakeholders”. This Paper introduces the  
16 background and outputs of the Project, especially the development of SEA core training materials  
17 (CTM) and the Training of Local Trainers (LTs). Since the beginning of project implementation  
18 phase in Feb. 2007, an excellent LTs team consisted of 30 people was formed to draft the CTM  
19 through five training workshops under the technical assistance from international consultants (ICs).  
20 Three pilot test trainings have been delivered to different target groups by LTs in the first half of  
21 2008, in order to gain practical training experience based on and further improve the CTM, and to  
22 test LTs’ training skills. Besides, pilot SEA case study of Dali urban development master Plan and  
23 development of a NGOs-Government communication platform are also the highlighted outputs by  
24 the project.

25 **Keywords:** capacity building, strategic environmental assessment

26  
27 **1. Introduction**

28 SEA is an iterative decision-support tool that helps planners and decision-makers to  
29 assess the environmental, social and economic effects of proposed Policy, Plan or  
30 Programme (PPP or 3P's) initiatives and its alternatives as early as possible in the  
31 planning process (Therivel *et al.*1992). Since the middle of 1990s, there has been a  
32 rapid progress of SEA in both developing and developed countries (Dalal-Clayton B  
33 and Salder2005). 30 years ago China established the EIA system and now it is one of  
34 the countries in the world where SEA research and practice are active performed.  
35 Particularly, SEA has become an official administrative practice after the EIA law  
36 went into effect from Sep. 1<sup>st</sup>, 2003 in China (CHE *et al*, 2002; BAO *et al*, 2004; ZHU  
37 *et al*, 2007) .

38 Yunnan province is located at the southwest of China bordering to Laos, Myanmar  
39 and Vietnam. It is one of the places in the world owning abundant natural resources  
40 and biodiversity. Since 2002, SEA has been implemented and practiced on various  
41 plans in Yunnan, such as river basin hydropower development plans, industrial park

42 development plans and urban development plans. In order to strengthen the capacity  
43 of the Yunnan EPB system and government line agencies to implement SEA  
44 requirement and promote sustainable development, the Project (2007-2009) is  
45 successfully implemented by joint efforts under the support from SIDA.

46 This paper summaries the experiences and outputs of the Project during the first year  
47 of implementation from the perspective of LTs, which mainly includes CTM  
48 development, training to LTs, research on pilot SEA case and buildup communication  
49 platform between local environmental NGOs and YEPB.

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## 51 **2. Background of Yunnan Environmentally Sustainable Development Capacity** 52 **Building Project**

53 Yunnan Environmentally Sustainable Development Capacity Building Project is  
54 funded by Sida, and implemented by a Project team that consists of the Yunnan  
55 Provincial Environmental Protection Bureau (YEPB), Appraisal Centre for  
56 Environmental Engineering of MOEP(ACEE), and Ramboll Natura AB, an  
57 international consulting firm. Further authorized by YEPB, Appraisal Centre of  
58 Environmental Engineering of YEPB(YEAC) takes the responsibility of organizing  
59 LTs to participate in the Project workshops and to accomplish draft of CTM, to  
60 develop the training capacity of LTs and to implement SEA pilot; Yunnan Society for  
61 Environmental Science (YSES) is responsible to carry out SEA capacity building for  
62 local Environmental NGOs and colleges, and to establish the platform for  
63 communication on environmental issues between NGOs and YEPB.

64 There are four key Project objectives proposed at very beginning as following: (1) To  
65 strengthen the capacity of the Yunnan EPB system and government line agencies to  
66 implement the SEA and EIA requirements to promote sustainable development; (2)  
67 To strengthen the capacity of selected NGOs and other Yunnan stakeholders to be  
68 meaningfully involved in SEA and EIA; (3) To strengthen the professional capacity of  
69 SEA and EIA practitioners; (4) To strengthen dialogue and collaboration between  
70 environmental authorities and NGOs in regard to environmental issues.

71 After the Project implementation in 2007 and based on the existing conditions in  
72 Yunnan, the objectives core has been adjusted to focus only on SEA capacity  
73 building.

74 Three main components have been designed for the Project: (1)Development of SEA  
75 Core Training Materials and Training of Local Trainers who will be able to provide  
76 SEA trainings to EPBs, government line agencies, NGOs and SEA practitioners in  
77 Yunnan in near future; (2) Development of a NGOs-Government platform and  
78 professional network for dialogue and communication on environmental issues, in  
79 order to identify and improve NGOs' role and contributions to SEA and EIA  
80 processes; (3) Planning and carrying out a Pilot Case SEA in Yunnan, in order to gain

81 practical SEA experience in the province and to use the practical experience for  
82 capacity building and learning.  
83 The Project lasts for three years during 2007–2009. After the first year  
84 implementation in 2007, the Project has achieved the following targets defined in the  
85 Project Logic Framework: (1) A relative stable team of LTs have been established; (2)  
86 The first draft of CTM have been finished; and (3) Three small-scale SEA pilot test  
87 trainings have been delivered to EPB system at Yunnan provincial and Kunming  
88 Municipal level; SEA technical practitioners and environmental NGOs in Yunnan.  
89 Meanwhile, the pilot SEA case study and the NGOs-Government platform for  
90 dialogue and communication are still carrying on according to Project Plans.

91

### 92 **3. Training of Local Trainers**

93 After a year's effort and five SEA capacity building training workshops, a relatively  
94 stable LTs team including 30 members has been set up. The LTs mainly come from  
95 EPB system, the professional environmental assessment consulting firms and research  
96 institutions, such as YEPB, YEAC, YSES, Yunnan Institute of Environmental  
97 Science, Yunnan University, Kunming University of Science and Technology and so  
98 on. The LTs team is made up by environmental management professionals, planners,  
99 EIA/SEA practitioners, teachers and NGO representatives, who participate in the  
100 Project activities voluntarily and bears good professional background and practical  
101 experience in EIA/SEA. LTs are not only the training targets for SEA capacity  
102 building in the Project but more importantly, will become the main force to deliver the  
103 follow-up training for SEA capacity building in Yunnan after the completion of the  
104 Project.

105 A series of SEA topic workshops have been delivered by international consultants  
106 from Ramboll Natura and Chinese national SEA experts to improve the LTs'  
107 knowledge and capacity in SEA. E.g. Mr. Jiri Dusik introduced the international  
108 development trend and cases and technologies of SEA practices; Mrs. Peggy Lerman  
109 presented a thematic workshop on SEA Review; Mrs. Carolyn Knight presented the  
110 information about public participation in SEA in foreign countries and Dr. Bao  
111 Cunkuan and Dr. Liu Yi introduced domestic SEA analysis cases. In this way LTs  
112 could touch to SEA development trend, existing situation and challenges, analytical  
113 approach and the review criteria systematically.

114 In order to enhance LTs training skills to be prepared for future training tasks,  
115 diversified training techniques such as panel discussion, corner game, polar debate,  
116 life boat, case work and so on have been introduced by ICs, esp. Mrs. Anna Olson  
117 through SEA workshops. The interactive training method is obviously different from  
118 the traditional unilateral teaching method in China, which stimulates LTs' interests  
119 and initiatives to participate in the training sessions deeply, and let LTs feel and  
120 experience the training effect in such a different way. ICs have also summarized how

121 to use these training techniques in details for LTs. Up to now LTs have made a big  
122 progress in application of various training skills and techniques, which have been  
123 tested by the three pilot SEA training workshops delivered by LTs themselves in the  
124 beginning of 2008, and shows that LTs are able to design and deliver primary SEA  
125 trainings skillfully and independently.

126

#### 127 **4. Development of Core Training Materials**

128 An important output of the Project is to develop a set of SEA Core Training Materials  
129 reflecting the practical conditions and tailored to the pragmatic needs of SEA training  
130 in Yunnan province. Thus, from the very beginning of the Project, CTM has been  
131 defined as a dynamic, open and continuously updated SEA resource package.

132 From the first SEA capacity building workshop, LTs began to work on the first draft  
133 of CTM under the technical guidance from ICs. Four topics have been agreed on  
134 building up CTM: (1) Introduction to SEA; (2) Linking SEA to the process of Plans  
135 and Programmes; (3) Analytical approaches to SEA; and (4) Public participation in  
136 SEA. LTs select the topics and form into four CTM working groups voluntarily, and  
137 communicate with their target groups, collect data, analyze and compile information  
138 for CTM by themselves. A senior local expert has been designated to coach each of  
139 the working groups. And since the third workshop the LTs working groups are  
140 required to present their progress in draft the contents under the topics. After the  
141 workshops, ICs will meet with each group specifically to provide further technical  
142 guidance and relevant information.

143 With the great efforts from LTs, local experts and ICs in nearly one year, the first  
144 CTM draft has been compiled by the end of 2007, which includes the SEA concepts,  
145 SEA theory and development trend, recommendations of general SEA analysis tools,  
146 and the brief introduction of Chinese national Planning EIAs cases, especially those in  
147 Yunnan Province.

148 In Jan. and Mar. 2008, three pilot test trainings targeting on EPB systems, NGOs and  
149 EIA/SEA practitioners have been delivered by LTs, with a purpose to test the effect of  
150 CTM and LTs training skills. In 2008 CTM will be further revised and improved  
151 according to the lessons and experiences learned from the test trainings. A new topic  
152 of SEA Review will be added to CTM to satisfy the EIA/SEA administration needs  
153 from EPB systems reflected from the test trainings.

154

#### 155 **5. Pilot SEA Case Study—SEA of Dali Urban Development Master Planning**

156 Dali urban development master planning has been chosen as the pilot SEA case by the  
157 Project to help the LTs understand SEA process and provide the practical experiences  
158 and guidance for similar SEA in Yunnan province in the future. The pilot SEA work is  
159 organized and implemented by YEAC, and a pilot SEA working team has been set up  
160 by mostly LTs. ICs and National Consultants from ACEE will provide technical

161 support. Since Nov., 2007, the pilot SEA working team has been engaged in field  
162 investigation and scoping of the SEA.

163 The outstanding characteristic of the Dali pilot SEA case study is that LTs will try to  
164 explore how to integrate SEA with the Dali urban master planning elaboration process,  
165 and how to secure public participation in SEA.

166 Different to the many other plan EIAs in China, the Dali pilot SEA case study will  
167 follow the principle of early intervention of SEA into planning, which means that  
168 SEA and the planning process will be carried out in parallel as much as possible. With  
169 strong support from the Dali Municipality government, YEAC has set up the  
170 communication and coordination mechanism with the planning institute, and made a  
171 substantial progress on information sharing, coordination and discussion by certain  
172 phases.

173 In order to fully play the role of public participation in Dali pilot SEA, a consultation  
174 committee has been established by delegates from government line agencies, NGOs,  
175 experts in fields of urban planning, EIA, and biodiversity conservation. Four special  
176 consultation workshops have been held to identify the key environmental issues and  
177 scoping for Dali pilot SEA. Public participation at various levels will also be taken at  
178 the key stage of this pilot SEA case.

179

## 180 **6. Development of a NGOs-Government Communication Platform**

181 In order to improve the NGOs' participation in SEA in Yunnan, the Project has  
182 contacted with many local environmental NGOs who are interested in SEA through  
183 YSES, by holding the SEA capacity building workshops with NGOs delegates,  
184 particularly focus on public participation approach. According to the Project work  
185 plan, the NGO component is working on drafting a Public Participation Technical  
186 Guidance for NGOs to meaningfully involve in SEA/EIA; and a special website will  
187 be built as a platform for dialogue and communication on environmental issues  
188 between NGOs and YEPB.

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## 190 **7. Final remarks**

191 The above mentioned is the main achievements made by the Project in Yunnan, China.  
192 This case shows us that SEA capacity building project should attach high importance  
193 to and play a key role of the local professionals to produce the great impact and  
194 ownership.

195 In this Project, LTs team is made of by SEA/EIA professionals from EIA consulting  
196 firms, institutes and universities who are interested in becoming a SEA trainer for  
197 Yunnan. They were trained through participating in a series of SEA topic workshops  
198 and the case study of Dali pilot SEA case to improve their theory and practical  
199 experiences of SEA. Training techniques and skills have also been provided to LTs to  
200 ensure the effectiveness and efficiency of future SEA training program delivered by

201 themselves in Yunnan.  
202 Additionally, although there were successful cases about the SEA training material in  
203 China, such as the long-distance SEA training courses by World Bank (World Bank  
204 website), CTM development in the Project is still a beneficial try for LTs to group  
205 work with ICs and local experts, and compile a set of CTM that reflect the real local  
206 situation and meet with the real SEA training demands.

207 The Project has been implemented for only one year with a good beginning. Our LTs  
208 are eager to obtain further support and guidance from ICs on SEA case analysis and  
209 practice, and improve our understandings on the analysis tools of SEA. We hope that  
210 the Project outcome will provide a good example for developing countries to improve  
211 their SEA capacity buildings.

212

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