**DRAFT GUIDANCE NOTE**

**IMPLEMENTATION OF**

**ENVIRONMENTAL ASSESSMENT
FOR UNDP PROJECTS**

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# Acronyms

**EA:** Environmental Assessment

**EIA:** Environmental Impact Assessment

**EMP:** Environmental Management Plan

**MDGs:** Millennium Development Goals

**PAC:** Project Advisory Committee

**POPP:** UNDP Programme and Operations Policies and Procedures

**PPP:** Policy, Plan or Programme

**SEA:** Strategic Environmental Assessment

**UNCTs:** United Nations Country Teams

**UNDP:** United Nations Development Programme

# Introduction

Mainstreaming environment into UNDP programmes and projects is a dynamic, continuous process and is an integral part of the management cycles. A good environmental assessment and management system not only strengthens environmental performance but also promotes improved and sustainable development outcomes. As stated in the UNDP Programme and Operations Policies and Procedures (POPP) “*Environmental sustainability, including climate change resilience, is fundamental to the achievement of development outcomes including the MDGs and must be systematically mainstreamed into UNDP’s Programme and Project Management cycles. Opportunities to strengthen environmental sustainability and climate resiliency of programming need to be identified and realized. Potential adverse impacts and risks need to be avoided or minimized, where possible, and mitigated if not*”.[[1]](#footnote-1)

At the project level, UNDP implements this policy through the application of a [Quality Programming Checklist](http://content.undp.org/go/prescriptive/Project-Management---Prescriptive-Content-Documents/download/?d_id=1360377)[[2]](#footnote-2) and an environmental screening procedure [proposed] to determine whether or not further environmental assessment (EA) is required prior to project approval. This guidance note applies to those projects that require further EA.

**EA is defined as a** planning process to evaluate the environmental and social impacts of a proposed policy, plan, programme or project to ensure these considerations are factored into decision-making, design and execution. Environmental impacts include the physical, biological and social interactions surrounding a specific activity, such as a project, and thus EA addresses both impacts *from* and *to* a proposed activity. An EA identifies ways for preventing, minimizing, mitigating, or compensating for adverse consequences and for enhancing positive ones. EA is known to be a cost-effective means of addressing environmental impacts (i.e. applying principles of good planning as opposed to a more costly approach of addressing impacts and risks during implementation).

EA is a flexible approach that varies in breadth, depth and type of analysis depending on the specificities of the proposal. Typically, EA is known as [Environmental Impact Assessment (EIA](#EIAGlossary)) at the level of discrete projects, or [Strategic Environmental Assessment (SEA](#SEAGlossary)) at the level of strategic actions such as policies, plans and programmes (PPPs).

UNDP “projects” vary considerably, and include both discrete, spatially-bound activities (e.g. physical interventions and infrastructure projects) as well as “programmatic” projects, examples of which include:

* thematic projects (e.g. a global water governance project or a sustainable land management capacity building project);
* regional projects (e.g. a regional climate change adaptation project); and
* sectoral projects (e.g. support for the development of renewable energy in a country);

It is clear then that EA at the “project level” within UNDP can consist of EIA for discrete projects, and SEA for programmatic projects. The scoping process outlined in Section 3 will identify the most appropriate scope and type of EA to be conducted. Sections 3 and 4 will make it clear how EA of programmatic projects should vary from EA of discrete projects.

This guidance note aims to support UNDP Project Developers in developing Terms of Reference (ToRs) for EAs. In cases where EAs have already been produced by national governments or donor partners, or where such EAs are in preparation, this note aims to provide guidance that would allow UNDP Project Developers to appraise the adequacy of the EAs.

It is structured as follows:

* **Section 2** outlines key elements related to the implementation of EA.
* **Section 3** provides guidance on scoping the EA.
* **Section 3** provides guidance on conducting an EA study.
* **Annex A** is a glossary that clarifies key technical terms used in the note[[3]](#footnote-3).
* **Annex B** is a diagram summarizing the screening procedure and outlining the related documents to submit to the Project Advisory Committee (PAC).

This guidance note supplements the [Guidance note on the implementation of environmental screening for UNDP projects (to be hyperlinked)] and targets projects with potentially significant adverse [environmental impacts](#EnvironmentalImpactsGlossary). It will be adapted and revised based on experience and lessons learned from its implementation. Therefore, please share your experiences, recommendations and questions with [*through Teamworks*].

Additional guidance and resources on EA are available [here](http://content.undp.org/go/practices/energyandenvironment/docs/?src=energy&bbp.11.pane=0&bbp.70.row=1597931.f&bbp.16.pane=0&bbp.v=1597931&bbp.e=s&bbp.s=23&bbp.9.pane=0&bbp.10.pane=0&page_to_display=0&doc_id=1607915&bbp.12.pane=0&bbp.151.ps=10&bbp.23.state=).

# Implementing environmental assessment (ea)

This section outlines components that are important to take into account when implementing an EA. These components are related to the process of EA (Section 2.1), roles and accountability (Section 2.2), the integration of EA into UNDP’s Project Management Cycle (Section 2.3), and resource implications for funding the EA (Section 2.4).

## Key elements of EA

As described previously, EA is a flexible approach and will vary in form depending on what is being assessed. When focused on discrete projects, EA tends to concentrate on identifying, predicting, and evaluating impacts that could potentially emanate from developments that have an easily identifiable “footprint”. In these cases, the focus tends to be on the spatial extent of impacts, over a known period of time.

When focused on programmatic projects it is often more difficult for EA to pinpoint spatial impacts. In these cases, strategic environmental assessment attempts to determine the impacts of programmatic projects on broader environmental objectives and priorities.

Regardless of the project type, there remain some key objectives that must be addressed in any EA. These include the need to:

* Ensure environmental and related social impacts (direct and indirect) are identified, evaluated and addressed.
* Engage stakeholders in the process of identifying, evaluating and addressing potential impacts.
* Anticipate and avoid, minimize or offset significant adverse impacts.
* Promote development that is environmentally sustainable and climate resilient.
* Ensure environmental and climate change components are factored into project design and execution.

In general, the scope of an EA will be commensurate with the type and scale of the proposed project and the nature and extent of its likely [environmental impacts](#EnvironmentalImpactsGlossary). For discrete projects, it should include an examination of technically and financially feasible alternatives to the source of adverse environmental impacts, and documentation of the rationale for selecting the particular course of action proposed. For programmatic projects, EA should examine the key environmental trends, opportunities, and constraints that may affect or be affected by strategic actions, and should take into account environmental objectives and indicators that are relevant to the proposed project.

The EA and associated environmental management measures should comply with applicable environmental laws and regulations of the jurisdictions in which the project operates, including obligations under international laws.

Taking into account the relevant findings of the EA and the results of consultations with project stakeholders, environmental management elements should be integrated into the project (often articulated in an [Environmental Management Plan - EMP)](#EMPGlossary). Environmental management elements include mitigation, performance improvement and monitoring measures addressing the identified environmental impacts. Measures addressing adverse impacts should favor avoidance and prevention over minimization or mitigation, wherever technically and financially feasible. The project, or the EMP, should ensure that there is sufficient capacity (including financial and human resources and technical capacity) to implement these measures. Recognizing the dynamic nature of the project management cycle, the EMP should be responsive to changes in project circumstances, unforeseen events, and the results of monitoring.

To ensure quality, the EA should be appraised against the following criteria:

* The EA meets its terms of reference, both procedurally and substantively;
* The EA provides a satisfactory evaluation of the proposed project;
* The EA contains the information required for decision-making;
* The EA describes specific mitigation, monitoring and capacity development measures;
* The EA assesses the capacity of the institutions responsible for implementing environmental management; and,
* The EA assesses the adequacy of the cost of and financing arrangements for environmental management implementation.

## Roles and ACCOUNTABILITY

Because environmental screening and assessment are included in UNDP’s policies and procedures for project management it falls within UNDP’s accountability framework (refer to the [Accountability Platform](http://practices.undp.org/management/accountability/index.cfm) and the POPP for additional information). Implementation of EA will require participation of various actors within UNDP. Expected roles and responsibilities of the key actors to be involved are as follows:

* + **Resident Representative[[4]](#footnote-4):** accountable to the Administrator through the relevant Regional Bureau Director for ensuring that potential adverse environmental impacts of a proposed project are addressed (through environmental screening and assessment) prior to project approval. Any divergence between the recommendations of the PAC and the decision of the Resident Representative should be recorded on file. There are some exceptions to this, which include support to an infrastructure project where the final authorization responsibility lies with the Regional Bureau Director[[5]](#footnote-5).
	+ **PAC members:** participate in PAC meetings and ensure that an EA has been conducted (when required). The CO Environmental Focal Point will be included in the PAC to help appraise the project and, if needed, answer questions related to the project’s environment components.
	+ **Project Developer:** responsible for making sure that recommendations of the EA and the EMP, if required, are integrated into the Project Document and project implementation, and for ensuring the quality of the EA by signing off on the EA appraisal before the project documents are submitted to the PAC.
	+ **CO Environmental Focal Point:** support the Project Developer in different tasks related to the EA as needed. For example he/she may help develop TORs for EAs and conduct oversight and quality assurance when needed (e.g. appraise the EA report and sign off appraisal before submittal to the PAC[[6]](#footnote-6)). When relevant, the environment focal point should also support the development and implementation of an environmental monitoring and mitigation strategy for the entire project life cycle, in cooperation with the Project Developer.
	+ **Regional Bureaux**: [to be completed]
	+ **Regional Service Centers**: [to be completed]
	+ **Headquarters:** Regional Environmental Focal Points and EEG Headquarters will provide technical back-stopping support when appropriate. EEG will also provide advisory and overall knowledge sharing support and lead the development of training and orientation sessions.

## Ea in the Project Management cycle

A clearly defined project (as elaborated in a draft project document) is necessary prior to scoping and planning an EA. **Therefore, when required, an EA is completed during the “Defining a Project” stage of UNDP’s project management cycle (prior to the PAC).** However, the Project Developer should think about the environmental considerations of the project earlier in the management cycle (at “Justifying a Project” stage). The screening template included in the Guidance note on theimplementation of environmental screening for UNDP projects **(to be hyperlinked)** is a useful tool that the Project Developer could use to address environmental considerations of project at the earliest stages of conceptualization and development.

When [EA](#EAGlossary) is required, it must become an integral part of the project management cycle - from the design stages through project completion and evaluation. The following table outlines some of the key EA considerations that need to be taken into account for the relevant stages of UNDP’s Project Management Cycle, i.e. defining a project, initiating a project, running a project and closing a project.

**Table 1: Integration of EA in the relevant stages of the Project Management Cycle**

| **Relevant stages of the Project Management Cycle** | **EA considerations**  |
| --- | --- |
| **Defining a project** | * ***Complete an EA (when required) and appraise to ensure quality***.
* ***Integrate findings and recommendations*** of the EA report[[7]](#footnote-7) (including the EMP), and results of the stakeholders engagement process into the Project Document and budget. Document identified environmental risks in the project Risk Log.
* ***Submit the complete EA (including the EMP) to the PAC***. Integrate recommendations of the EA into the Draft Project Document and attach the full EA to the Draft Project Document for submittal (see **Annex B** for more details regarding the documents to be submitted to the PAC (or refer to the Guidance note on the implementation of environmental screening for UNDP projects, **to be hyperlinked,** Section 2.2).
 |
| **Initiating a project** | * ***Integrate EA (including EMP) Recommendations and Stakeholder Engagement Plan, into Final Project Implementation Arrangements and Management Organizational Structure.*** Develop clear arrangements regarding environmental capacity development, project budgeting and financing, communications and management commitment.
* ***Incorporate Environmental Mitigation and Monitoring Measures into Project Procurement Plan.*** Incorporateenvironmental provisions as terms and conditions of project legal and institutional arrangements in which procurement is carried out. These terms and conditions will relate to requirements for:
* Environmental mitigation, remediation and enhancement measures;
* Environmental monitoring measures and auditing requirements (periodic and exit audits);
* Complying with applicable laws and regulations;
* Environmentally responsible, sustainable or green procurement;
* Stakeholder engagement (public disclosure and consultation); and,
* Communications and reporting (internal and external reporting).
* ***Structure legal agreements with contractors to ensure that they comply with all of the project-specific environmental mitigation and monitoring measures:***
* Directly link payments to contractors for successful implementation of the EMP;
* Subject contractor performance guarantees to collection for failure to implement the EMP;
* Include environmental performance criteria in the definition of “Project Completion”;
* Provide rights and/or remedies for UNDP in the event that a contractor fails to implement the EMP requirements.

Finalize Project Procurement Plan based on UNDP’s Green Procurement Guidelines. For more information, refer to UNDP’s Practice Guides on [Environmental Procurement](http://www.undp.org/procurement/documents/UNDP-SP-Practice-Guide-v2.pdf) and [Environmental Specifications](http://www.undp.org/procurement/documents/UNDP-practice-guide-2.pdf).* ***Integrate environmental monitoring requirements into the overall Project Monitoring Framework and Project Monitoring Schedule Plan.***
* ***Integrate EMP implementation costs into the overall project funding arrangements and Project Budget.*** Ensure that there is sufficient funding to implement the EMP effectively and in a timely manner. Specifically, include EMP implementation needs for environmental equipment, supplies and services in the budget and specify cost -recovery means.
 |
| **Running a project** | * ***Implement Environmental Monitoring and Mitigation Measures.*** Implement monitoring and mitigation provisions incorporated in the Project Plans and the Project Document.For discrete projects, conduct periodic site visit audits to review environmental risks and impacts. Reviewproject environmental performance as reported in environmental monitoring reports and, where relevant, plan and implement performance improvement requirements or opportunities.If changed project circumstances result in adverse environmental impacts, the Project Manager will work to address them. Update the Risk Log to reflect results of the environmental risk monitoring.

If the project fails to comply with its environmental commitments, the Project Manager will work to bring it back into compliance to the extent feasible. If compliance cannot be readily reestablished, the Project Manager will exercise the appropriate remedies, including, but not limited to, ceasing operations until a plan for compliance can be identified.* ***Conduct Evaluation, Management and Communication.*** Evaluateenvironmental monitoring results; implement corrective actions as needed; and submit reports to communicate those results, decisions and actions.
 |
| **Closing a project** | ***Integrate EA (including EMP) Results into Final Project Review Report and Final Financial Report.*** Collect, organize and present in the Final Project Reports results regarding the implementation and effectiveness of all environmental mitigation, monitoring, evaluation, management, communication and capacity development measures conducted during the project and final expenditures. |

## Funding the EA

Because EA is a planning process to inform project design and execution, it is completed prior to final project approval. However, an EA process clearly requires resources to be completed. For example, discrete project EAs typically cost between 0.1-1.0%[[8]](#footnote-8) of overall project costs. In this regard, the following three possibilities have been identified as the most likely options for funding an EA process:

* Funded and Led by External Partner: EA is led and funded by an external partner (i.e. Implementing Partner and/or through co-financing). Based on feedback received during the consultation process for this proposal, it is assumed that this will be the most common scenario (a majority of UNDP projects are categorized as nationally implemented-NIMs). In these cases, the EA will be completed prior to finalization of the Project Document. The environmental management recommendations of the EA will then be integrated into the Project Document and budget.
* Coordinated by UNDP and Project-Borne Funding: In certain cases, UNDP will need to advance funds to cover the costs of the EA before the final Project Document is approved. Budget to cover the costs of the EA can be requested as part of the “Initiation Plan” funding during a pre-PAC. However, upon completion of the EA, a second PAC will need to be held to appraise the revised Project Document (based on outcomes of the EA). The Initiation Plan costs would then be built into the project budget. In rare cases where the scope of the EA is anticipated to be significant due to the nature of anticipated environmental impacts, it may be necessary to include the EA as the first phase of the project to ensure adequate time and resources. However, in such a case a project revision and second PAC would be required after the first phase of the project (the EA) was completed.
* Cost-Sharing: In cases where an EA could cover several related projects, its costs could be shared across various projects either as part of the Initiation Plan or part of the project budget. In such cases, UNDP’s role in conducting the EA (i.e. oversight and quality assurance) would vary.

# SCOPING AND PLANNING THE EA

The scoping process will identify the issues to focus on, methods of data collection and analysis to use and the type, content and organization of the final EA report. EA scope is commensurate with the type and scale of the proposed project and the nature and extent of the likely environmental impacts. Scoping will also vary slightly depending on whether the project is discrete or programmatic. If the project is complex, an external expert may be retained to lead the scoping process.

The following steps will be undertaken as part of EA scoping:

***Step 1. Determine Data Availability for EA.*** The EA should build on an adequate understanding of relevant baseline biophysical dimensions, ecosystems conditions, and other environment-related issues. Determine if there is sufficient data available to conduct an EA and, if the data are insufficient, plan for and undertake efforts to fill the identified data gaps.

***Step 2. Identify Potential Alternatives.*** Identify project alternatives to aid in making decisions among real options, as early as possible in the project design and EA processes.

Potential  [change](#CCglossary) climate change impacts on baseline biophysical, ecosystems and other environment related issues should be considered. Consider all types of alternatives, including: alternative project locations, timing, scales, intensities, designs, operational processes, organizational setups, or alternative ways of dealing with environmental impacts. For programmatic projects, this will involve considering alternative options at the level of proposed development objectives and priorities. Confine the scope of alternatives evaluated to those that are appropriate to the project definition/design stage. Also limit the alternatives considered to those that are cost-effective, technically feasible and financially feasible.

***Step 3. Determine the Spatial and Temporal Focus*.** For projects involving physical interventions, identify those components of the environment likely to be significantly affected by the project based on past documented experience; project location in relation to topography, water courses, settlement areas and land use; the potential likely geographic and temporal extent, severity and reversibility of the impacts; and the measurements or thresholds to be used to assess significance. Collectively apply these data to define the boundaries of the assessment so that they address how far in distance and time the environmental impacts will be studied. For projects that do not involve physical interventions, a more standardized approach may be applied, e.g. a table of standard boundaries for a particular kind of activities (which may need to be adjusted for project-specific conditions). All projects need to identify potential [transboundary environmental impacts](#TransboundaryImpactsGlossary) (including impacts on international waterways or on transboundary river basins, airsheds and ecosystems) and identify potential global environmental impacts (e.g. [greenhouse gas](#GHGGlossary) emissions and ozone depletion).

***Step 4. Identify Environmental Impacts.*** Identify likely [environmental impacts](#EnvironmentalImpactsGlossary), considering the type, location, sensitivity and scale of the proposed project. Consider the nature and magnitude of environmental impacts, including positive and negative, reversible and irreversible, direct and indirect, past/ongoing and future, short- and long-term, on-site and off-site, third party and supply chain, [cumulative](#CumulativeImpactsGlossary), and synergistic impacts.

Perform this analysis for all components and phases of the proposed project, regardless of what project phase(s) UNDP plans to intervene in, or support. For discrete projects with physical interventions, this includes project pre-construction, construction, operation and closure. Determine if the ecological balance of natural systems, protected or fragile areas, or sites of social importance could be impaired or improved, including under likely conditions of [climate change](#CCglossary). Determine if increases in consumption, waste, [pollution](#PollutionGlossary) or health problems will result from the proposed project. Evaluate possible long-term impacts, including indirect or secondary effects of induced unplanned growth and development.

***Step 5. Identify/Refine Environmental Sustainability Outcomes and Measures.*** Identify or refine environmental sustainability outcomes and targets applicable to the proposed project, referring to the [UNDP Quality Programming Checklist](http://content.undp.org/go/prescriptive/Project-Management---Prescriptive-Content-Documents/download/?d_id=1360377), international conventions, and relevant national and local laws and regulations. Make a preliminary determination of whether the proposed project can meet the appropriate environmental sustainability outcomes and, if not, what needs to be modified in the project design and/or what reasonable period of time after project closure will be needed to produce the desired outcomes.

***Step 6. Preliminarily Identify Potentially Applicable Environmental Mitigation, Monitoring and Capacity Development Measures to be Included in the EMP.*** In the case of unavoidable adverse environmental impacts, identify potential environmental mitigation and monitoring measures. Determine if there is sufficient capacity within the responsible organizations or institutions for implementing such measures. If not, determine if it will be possible to develop the appropriate capacity and, if so, at what cost and in what timeframe.

***Step 7. Identify Stakeholders and Conduct Initial Consultation.*** Identify the project stakeholders who will be affected directly or indirectly, positively or negatively by the project, including local communities, NGOs and individual citizens, especially those who are disadvantaged or of vulnerable status. This status may stem from an individual’s or group’s:

* Race, color, culture, sex, language;
* Religion;
* Political or other opinion;
* National or social origin, property, birth or other status;
* Sickness, physical or mental disability;
* Poverty or economic disadvantage;
* Dependence on unique natural resources.

Where groups are identified as disadvantaged or vulnerable, the project will include differentiated measures so that adverse impacts do not fall disproportionately on them and they are not disadvantaged in sharing development benefits and opportunities.

For all project stakeholders, including indigenous peoples *(*see [*UNDP’s Policy of Engagement with Indigenous Peoples*](http://www.undp.org/partners/cso/indigenous/docs/ipp_policy_english.doc)*)* determine the likely effect of the proposed project on each stakeholder group and identify their likely position relative to the proposed project. Determine how are they organized, especially relative to project-related issues, and who their legitimate representatives are. Determine how they typically participate and communicate in public decision-making processes.

Conduct an initial consultation with the identified stakeholders to obtain stakeholder input to the EA Scoping and Planning process.

***Step 8. Determine EA Scope.*** Based on the results of the previous scoping steps and initial stakeholder consultation, determine the key environmental issues relating to the proposed project and the scope of the EA. Identify the project component and/or phase that can be mostly affected by or pose the most serious adverse environmental impacts. Identify the data needed to fully evaluate those issues and the types of EA instruments and methodologies that will be most appropriate. Outline the EA content and organization. Set the type, scope and extent of EA appropriate to the nature and scale of the proposed project and commensurate with the level of its likely environmental risks and impacts. For example, discrete projects likely to produce limited impacts that are few in number, generally site-specific, largely reversible, and readily addressed through mitigation measures will require an EA with limited scope; an indicative list of such project types includes:

* Small-scale infrastructure projects: power transmission and distribution networks and rural electrification; mini-hydropower (run of river with no major water impoundments) or micro-hydropower projects; small-scale clean fuel fired thermal power plants, renewable energy (other than hydropower), energy efficiency and energy conservation; small town water supply and sanitation; road rehabilitation, maintenance and upgrading; telecommunications.
* Health care delivery, education (with limited expansion of existing schools/buildings), repair/rehabilitation of buildings when [hazardous materials](#HazardousMatGlossary) might be encountered (e.g., asbestos, stored pesticides).
* Small-scale irrigation, drainage, agricultural and rural development projects, rural water supply and sanitation, watershed management and rehabilitation, and small-scale agro-industries, tourism (small-scale developments).

All projects must also comply with applicable national and local environmental laws and regulations of the host country relating to EA requirements.

***Step 9. Prepare Terms of Reference and Selection Criteria for EA Preparer.***Identify the types of specialists needed to conduct the EA. Depending on the scope of the EA and nature of the potential adverse impacts, consider retaining an EA consultant who is independent and objective with respect to the proposed project. Outline the criteria for selecting the EA preparer. Prepare the Terms of Reference for the EA preparer. If the proposed project is related to potentially significant adverse environmental impacts that are diverse, irreversible, or unprecedented, consider forming an Independent Advisory Panel to oversee the EA process. Determine the budget and schedule adequate for preparing the EA, including data collection and analysis, report preparation, and implementation of the associated public disclosure, stakeholder consultation and independent advisory panel processes.

Additional guidance on preparing TOR for an EA is available in [A Common Framework for Environmental Assessment, A Good Practice Note](http://content.undp.org/go/bdp/eeg/Environmental-Mainstreaming/download/?d_id=1542655), Multilateral Financial Institutions Working Group on Environment, 2005 (pp. 13-14).

***Step 10. Develop Stakeholder Engagement Plan.*** Prepare a detailed plan and schedule of the public information sharing and stakeholder consultation processes capable of providing the project stakeholders with the needed project-related information and consultation opportunities that will address their specific issues in ways corresponding to how they are organized, participate and communicate. Project stakeholders will be engaged in this planning process to communicate and confirm the plan, methods, schedule and reporting, as well as the capacity development needed for them to participate effectively.

Project stakeholder engagement is an ongoing process involving the disclosure of information to and consultation with project stakeholders. When project stakeholders may be affected by risks or adverse impacts from a proposed project, a plan for stakeholder engagement will be developed that will build and maintain over time a constructive relationship with project stakeholders. The nature and frequency of the engagement will reflect the project’s vulnerability and risks to and adverse impacts on the affected communities, et al. The Stakeholder Engagement Plan will include provisions for the following minimum requirements:

* *Information Disclosure.*Consistent with UNDP’s [Information Disclosure Policy](http://www.undp.org/idp/), relevant information on the proposed project will be disclosed to help affected communities and other stakeholders understand the risks, impacts and opportunities of the proposed project. The EA document, including the EMP, will be publicly disclosed. If project stakeholders may be affected by risks or adverse impacts, they will be provided with access to information on the purpose, nature and scale of the project, the duration of proposed project activities, and any risks to and potential impacts on such stakeholders. Such disclosure will occur early in the EA process and on an ongoing basis.
* *Consultation.*The consultation process will provide the stakeholders with opportunities to express their views at all points in the project decision-making process on matters that affect them directly and allows the project team to consider and respond to them. Topics the stakeholders will be able to express their views on will include, but are not be limited to:
* Environmental risks and impacts, both adverse and positive;
* Proposed mitigation measures;
* Sharing of development benefits and opportunities;
* Implementation issues.

An effective consultation process will:

* Be free of external manipulation, interference, coercion, and intimidation;
* Be inclusive, but also culturally appropriate and tailored to the language preferences and decision-making processes of each identified stakeholder group, including disadvantaged or vulnerable groups;
* Be based on prior and timely disclosure of accessible, understandable, relevant and adequate information, including draft documents and plans;
* Begin early in the EA process, continue iteratively throughout the project life cycle, and be adjusted as risks and impacts arise;
* Address environmental risks and adverse impacts, and the proposed measures and actions to address these;
* Be documented, in particular, the measures taken to avoid or minimize risks to and adverse impacts on the project stakeholders.

*Grievance Mechanism.*A grievance mechanism will be established to receive and facilitate resolution of the stakeholders’ concerns and grievances about the project’s environmental performance. The grievance mechanism will be appropriate to the potential adverse impacts of the project. It will address concerns promptly, using an understandable and transparent process that is culturally appropriate and readily accessible to all stakeholders at no cost and without retribution. The grievance mechanism will not impede access to judicial or administrative remedies. Affected communities will be informed about the mechanism as part of the stakeholder engagement process.

# the ea process FOLLOWING SCOPING

The section provides additional guidance for undertaking the full EA process.

As mentioned previously, EA can be applied to discrete projects (e.g. physical interventions, infrastructure projects, projects bound to a specific territory or site such as irrigation channels, roads) or to programmatic projects such as thematic, sectoral, or regional projects.

The EA process that is outlined below is now standard international practice, especially for discrete projects, and there are various guidance manuals and tools already available that can be referred to (additional resources can be found **here**). Assessment of the environmental impacts of programmatic projects can follow the much same steps, although strategic-level actions and decision making processes are much more influenced by political factors than by technical criteria. The EA stages outlined below are designed primarily for dealing with discrete projects. Where necessary, however, specific advice is provided for programmatic projects. Additional guidance on environmental assessment for strategic initiatives can be found in the [OECD-DAC Guidance on SEA (*Applying SEA: Good Practice Guidance for Development Co-operation*](http://www.oecd.org/dataoecd/4/21/37353858.pdf).

It should also be noted that many countries now have legal frameworks in place for EA, and these must be adhered to. Therefore, this section briefly summarizes the key elements of an EA process to assist Project Developers in the development of Terms of Reference and quality assurance/appraisal when required. The elements are summarized in Table 2 and elaborated further in Sections 4.1 to 4.3.

**Table 2: Summary of the EA Process Following Scoping**

| **Stages** | **Steps/main tasks within each stage** |
| --- | --- |
| **Stage 1: Conducting an EA study****Key components:** Based on a clearer definition of the project to be implemented, consolidate and collect all the data/information that will be needed to carry out the assessment. Then proceed to the assessment per se (compare project alternatives and assess impacts). Report the results of the assessment. | Further Detail and Define the Proposed Project. |
| Develop baseline environmental information |
| Review policy, legal/regulatory and institutional framework |
| Examine project alternatives and revise project design |
| Analyze and evaluate impacts |
| Prepare an EA report |
| **Stage 2: Preparing an environmental management plan****Key components:** Based on relevant findings of the EA and the results of consultations with the project stakeholders, define measures that will be needed to, *inter alia*: mitigate the expected impacts of the project, monitor impacts and mitigation options/measures, build capacities, and communicate results of the EMP. | Define environmental impact mitigation actions/measures |
| Detail environmental monitoring to be conducted during project implementation |
| Develop a plan to assess and build capacity to implement the EMP and other project environmental components |
| Develop a plan to communicate progress with implementation and effectiveness of the EMP |
| **Stage 3: Appraising the EA** **Key components:** Appraise EA to ensure that it provides sufficient quality information to allow for PAC decision making.  | Assess the quality and completeness of the EA, as well as the institutional capacities for implementing it. Ensure cost of, and financing arrangements for EMP implementation, are adequate. |

## sTAGE 1: Conducting an EA

***Step 1. Further Detail and Define the Proposed Project.*** The EA must be based on a well-defined project.

**For discrete projects,** and based on the Draft Project Document, the project should be further detailed to include, where relevant:

* The geographic, ecological, social and temporal context of the proposed project, including any offsite investments that may be required (e.g., dedicated pipelines, access roads, power plants, water supply, housing, and raw material and product storage facilities);
* Project location, site, and design (e.g. technology/process, facilities design, construction, operation and maintenance, and decommissioning or closure); and
* Indication of worker and community health and safety and social issues, and whether relevant additional assessments or plans are needed, e.g. resettlement plans or indigenous peoples development plans; Map showing the project site, project’s area of influence (as determined earlier under “Scoping and Planning an EA”−Section 3.1, step 8), and sensitive environmental and social features.

**For programmatic projects,** and based on the Draft Project Document, the project will be further detailed to include, where relevant:

* The geographic, ecological, social and temporal context of the proposed project;
* Clarification and confirmation of the specific goals and objectives of the EA in relation to the objectives of the programmatic project (with partners and stakeholders);
* A determination as to whether the objectives of the programmatic project are in line with existing (environmental or other) objectives of country/region/sector authorities;
* Setting appropriate decision criteria from these objectives, and the broader development agendas of the parties; and
* Setting definite and realistic timescales.

***Step 2. Develop Baseline Environmental Information.*** The current and projected environmental baseline data must be presented for the project’s area of influence.

**For discrete projects** this should include:

* Descriptions of the relevant existing physical, biological and socio-economic conditions;
* Evaluation of any changes anticipated in these conditions before the project commences, as well as any trends in or projections of data over time after the project commences that are anticipated independently of the project, including current and proposed development activities located in the project area but not directly connected to the project; and,
* Estimation of the reliability of the information sources used and the quality of the information available, including its accuracy, precision, completeness, representativeness, etc.

**For programmatic projects**, particular attention should be paid to important ecological systems and services, their resilience and vulnerability, and significance for human well-being. Collecting baseline data should also involve analysing baseline trends and should aim to:

* Describe the current situation and past trends (overall trend and key concerns) for environmental issues identified during the scoping stage;
* Outline the likely future evolution of these trends if the proposed programmatic project is not implemented;
* Identify any constrains and opportunities that these trends pose for the respective programmatic project;
* Provide a basis for future monitoring of the actual effects (both positive and negative) of the project. This in turn will allow unintended consequences of the programmatic project to be identified and managed, and will provide baseline data for future iterations of the project; and,
* Document any serious lack of information.

The baseline data should reflect the objectives and indicators identified in the ‘scoping report’. For spatial plans, the baseline can usefully include the stock of natural assets including sensitive areas, critical habitats, and valued ecosystem components. For sector plans, the baseline will depend on the main type of environmental impacts anticipated, and appropriate indicators can be selected (e.g. emissions-based air quality indicators for energy and transport strategies).

***Step 3. Review Policy, Legal/Regulatory and Institutional Framework.*** Review the legal and permitting requirements, as well as environmental performance standards or benchmarks from:

* UNDP’s environmental policies and procedures;
* Environmental policies and procedures of UNDP’s Implementing Partners or co-financiers for the proposed project;
* Applicable laws and regulations of the local and national jurisdictions in which the proposed project will operate.

Assess the adequacy of the identified applicable policy, legal/regulatory and institutional framework relative to implementing and sustaining the proposed project, especially the proposed mitigation, monitoring and institutional responsibilities.

***Step 4. Examine Project Alternatives and Revise Project Design.*** Systematically review and compare feasible project alternatives identified during scoping and initial public consultation and select the preferred or most environmentally sound and benign option(s) for achieving the objectives of the proposed project. Consider all types of investment, siting and technical alternatives, including:

* Project site locations;
* Timing;
* Scales;
* Intensities;
* Technologies/processes;
* Facilities designs;
* Construction;
* Operation and maintenance;
* Organizational setups;
* Ways of dealing with environmental impacts.

**For programmatic projects**, consideration should be given to alternative options at the level of proposed development objectives and priorities.

Alternatives selected for consideration will be those that:

* Are appropriate to the project definition/design stage;
* Are cost-effective, technically feasible and financially feasible.

Evaluate each alternative for the following:

* Potential environmental impacts (see step 5 below);
* Feasibility of mitigating the environmental impacts;
* Capital and recurrent costs of mitigation measures;
* Suitability of mitigation measures under local conditions; and,
* Institutional, training, and monitoring requirements of mitigation measures.

Based on the alternatives analysis conducted above, it will be determined what, if any, modifications will be made to the project design to improve the environmental sustainability of the proposed project. For example, an EA for a programmatic projects, may recommend orientation or conditions for elaboration of future activities/implementation measures that need to be included in the project..

***Step 5. Analyze and Evaluate Impacts.*** Review and refine the list of potential risks and impacts identified during [Scoping and Planning an EA](#_Scoping_and_Planning).

This step of the EA should consider the type, location, sensitivity and scale of the proposed project, analyze all of the likely and relevant environmental, social and other related effects, including potential impacts on the:

* Biological environment;
* Physical environment;
* Socio-economic conditions;
* Physical-cultural resources;
* Worker health and safety;
* Community health and safety.

This step should also review and refine the project’s spatial and temporal area of influence established during “Scoping and Planning an EA” (Section 3). Impacts and risks must be analyzed in the context of the area of influence.

The spatial scope of potential impacts will encompass:

* The primary project site(s) and related facilities that the UNDP and its Implementing Partners develop or control, such as power transmission corridors, pipelines, canals, tunnels, relocation and access roads, borrow and disposal areas, construction camps;
* Associated facilities that are not funded or financed as part of the proposed project (funding or financing may be provided separately by the Implementing Partners or by third parties including multilateral financing institutions), and whose viability and existence depend exclusively on the project but whose goods or services are essential for the successful operation of the project;
* Areas potentially impacted by [cumulative impacts](#CumulativeImpactsGlossary) from further planned development of the project, any existing project or condition, and other project-related developments that are realistically defined at the time the EA is undertaken;
* Areas potentially affected by impacts from unplanned but predictable developments caused by the project that may occur later or at a different location; the area of influence does not include potential impacts that would occur without the project or independently of the project;
* [Transboundary impacts](#TransboundaryImpactsGlossary), such as [pollution](#PollutionGlossary) of international waterways or transboundary river basins, airsheds and ecosystems;
* Global environmental impacts, e.g. [greenhouse gas](#GHGGlossary) emissions, ozone depletion, loss of biodiversity and desertification.

The temporal scope of potential impacts will encompass:

* Future anticipated or projected short-term impacts, e.g. increases in consumption, waste, [pollution](#PollutionGlossary) or health problems resulting from the proposed project;
* Future anticipated or projected long-term impacts, e.g. indirect or secondary effects of induced unplanned growth and development;
* Present or baseline pollution of the proposed project site or facilities, e.g. soil and ground water pollution originating from past disposal of or contamination with [hazardous substances or wastes](#HazardousWasteGlossary).

Impacts must also be analyzed for the key phases of a proposed project’s life cycle e.g., for a typical infrastructure project, preconstruction, construction, operations, and decommissioning or closure impacts will need to be analyzed.

The organizational scope of potential impacts will include UNDP and the Implementing Partner as well as the:

* Role and capacity of third party organizations, e.g. governments, construction contractors and suppliers (with whom the proposed project or Implementing Partner has a substantial involvement), or an operator of an associated facility (to the extent the Project Developer’s control or influence over these organizations);
* Supply chain organizations (where the resource utilized by the proposed project is ecologically sensitive, or where low labor cost is a factor in the competitiveness of the item supplied).

Use the following parameters to further characterize and quantify the potential environmental impacts: positive and negative, direct and indirect (primary and secondary), [cumulative](#CumulativeImpactsGlossary) and synergistic, and reversible and irreversible.

Determine whether the proposed project will meet the environmental sustainability outcomes specified for the project and determine what reasonable period of time will be needed. For impacts that cannot be fully mitigated, determine the relative importance and acceptability of the residual impact (e.g., additional resources needed).

In addition,for programmatic projects, while the Step 4 focuses on project objectives or priorities, this step focuses on programmatic project implementation measures.

This step aims to:

* assess the positive and negative impacts of proposed programmatic projects on relevant environmental issues and objectives identified during scoping;
* recommend changes to the formulation of the proposed measures for implementing the programmatic project and/or propose additional measures to prevent, reduce and/or offset significant negative effects on the environment. Measures to enhance positive opportunities of planned development should also be considered (e.g. achievement of MDGs and other development challenges); and
* Outline and record key risks, uncertainties and methodological limitations (e.g. lack of data) faced in the assessment of proposed implementation measures.

The purpose is to identify ‘win-win’ solutions where multiple, mutually reinforcing gains can strengthen the economic base, provide equitable conditions for all, and protect and enhance environmental sustainability.

***Step 6. Prepare an Environmental Assessment Report.*** An EA Report will be prepared to provide an adequate, accurate and impartial evaluation and presentation of the issues and conclusions of the EA. This report, which is usually technical, must be presented in an understandable format and in an appropriate language(s). Short summaries and graphic presentations will often be required to facilitate reading and understanding. Moreover, a non-technical summary – that can be understood by different stakeholders – should be included to facilitate and encourage comments.

## sTAGE 2: Preparing an Environmental Management Plan

Taking into account the relevant findings of the EA and the results of consultation with the project stakeholders, an [Environmental Management Plan (EMP)](#EMPGlossary) will be prepared. The EMP will be part of the EA and will be integrated into the overall Project Monitoring Framework and Monitoring Schedule Plan.

The EMP consists of a set of mitigation, monitoring and institutional measures, including policies, procedures and practices – as well as the actions needed to implement these measures –to achieve the desired environmental sustainability outcomes. The EMP will include EA follow-up measures including: (1) monitoring of baseline, compliance and impacts; (2) evaluation of conformance with standards, predictions, expectations and environmental performance; (3) management decisions and actions in response to issues arising from monitoring and evaluation; and (4) communicating EA follow-up results to stakeholders to provide feedback on project, EA and EMP implementation performance. (Refer to the [*IAIA EIA Follow-Up International Best Practice Principles*](http://www.google.com/url?sa=t&source=web&ct=res&cd=2&url=http%3A%2F%2Fwww.iaia.org%2Fmodx%2Fassets%2Ffiles%2FSP6.pdf&ei=Rp90Scr1LqGbtwfviPDgCA&usg=AFQjCNESO7pdGarHCUFum_CbzK2oSovE9Q&sig2=mhTUxBJJoywYT9p6wIlQ_g) *for more details*).

An EMP may apply broadly across UNDP and Implementing Partner organizations for project implementation, or it may apply to specific sites, facilities, or activities relating to the proposed project. The EMP may range from a brief description of routine mitigation and monitoring measures to a series of specific plans including, for example, Resettlement Action Plans, Biodiversity Action Plans, [Hazardous Materials](#HazardousMatGlossary) Management Plans, Emergency Preparedness and Response Plans, Community Health and Safety Plans, and Indigenous Peoples Development Plans (see [*UNDP’s Policy of Engagement with Indigenous Peoples*](http://www.undp.org/partners/cso/indigenous/docs/ipp_policy_english.doc)).The level of detail and complexity of an EMP and priority of the identified measures and actions will be commensurate with the proposed project’s risks and impacts.

The EMP will define desired environmental management outcomes and specify environmental indicators, targets, or acceptance (threshold) criteria to track EMP implementation and effectiveness. It will also provide estimates of the human and financial resources required for implementation and identify organizational structure and processes for implementation.

Recognizing the dynamic nature of the project development and implementation process, the implementation of an EMP will be responsive to changes in project circumstances, unforeseen events, and the results of monitoring.

An EMP will consist of separate sections on:

1. Environmental impacts mitigation;
2. Environmental sustainability monitoring;
3. Capacity development;
4. Communication;
5. Implementation action plan.

*Environmental impact mitigation.* The EMP will include environmental impact mitigation actions, in accordance with the following, listed in descending order of preference:

* Avoid, prevent or eliminate environmental risks and adverse impacts, wherever technically and financially feasible (as defined under Scoping and Planning an EA); for proposed projects involving existing facilities, remediation may need to be undertaken instead of, or in addition to, mitigation;
* Where it is not technically or financially feasible to avoid, prevent or eliminate risks and impacts, identify measures and actions to mitigate, minimize or reduce impacts so that the project operates in compliance with applicable national and local environmental laws and regulations, complies with UNDP’s environmental policies and procedures, or achieves acceptable levels of impacts otherwise defined and agreed;
* Where it is not technically or financially feasible to mitigate, minimize or reduce risks and impacts, identify measures to offset them by enhancing the proposed project’s positive environmental impacts or by providing other environmental benefits to the project;
* Where avoidance, mitigation and offset measures are not technically or financially feasible, identify compensatory measures to balance the residual adverse impacts.

The EMP will describe each mitigation measure, including the type of impact and environmental parameter(s) to which it relates, the location and frequency, timing or conditions under which the measure is required (e.g., continuously or in the event of contingencies), and provide technical details on the mitigation technology, process, equipment, design and operating procedures, as appropriate. Potential environmental impacts of these measures will be estimated. Linkages with other mitigation plans (e.g., for involuntary resettlement, indigenous peoples, or cultural property) required for the proposed project will be identified.

*Environmental sustainability monitoring.* The EMP will detail the environmental monitoring to be conducted during project implementation to:

* Provide information about actual versus predicted environmental impacts;
* Measure the effectiveness and evaluate the success of mitigation, remediation and enhancement measures;
* Evaluate compliance with applicable national, local, UNDP and other international environmental policies laws, regulations, performance standards, policies and procedures;
* Allow corrective action to be taken when needed.

Specifically, the EMP will detail the:

* Mitigation measure being monitored;
* Parameters to be measured;
* Sampling and analytical or other monitoring methods to be used, including equipment, staff, procedures and detection limits (where appropriate);
* Sampling or monitoring locations;
* Frequency or timing of measurements;
* Definition of thresholds that will signal the need for corrective actions.

In addition to recording information, to track performance and establishing relevant operational controls, the monitoring plan will require the use of dynamic mechanisms, such as inspections and audits, where relevant, to verify compliance and progress toward the desired outcomes.

For projects with significant impacts that are diverse, irreversible, or unprecedented, the plan will require the retaining of qualified and experienced external experts to verify monitoring information.

Evaluation, reporting and management of monitoring measures will also be specified in the EMP. This will include required documentation and reporting of monitoring results and provisions for adjusting and amending the EMP (e.g. incorporating corrective actions) in accordance with monitoring experience and feedback.

*Capacity development.*The EMP will detail a plan to assess and develop as necessary the capacity to implement the EMP and other project environmental components (see UNDP policies and procedures on [Selecting an Implementing Partner](http://content.undp.org/go/userguide/results/ppm-overview/implementing-partner/)). Determine if there is sufficient capacity within the responsible organizations or institutions for implementing the EMP. If not, determine if it will be possible to develop the appropriate capacity and, if so, at what cost and in what timeframe.

The capacity development section of the EMP will:

* Recommend management arrangements for the project, including structure, roles, responsibilities, and authorities;
* Designate specific environmental personnel, including management representative(s), with well defined and clearly communicated lines of responsibility and authority;
* Require sufficient oversight and human and financial resources be provided on an ongoing basis to achieve effective and continuous environmental performance throughout the life of the proposed project.

If needed, the capacity development section of the EMP will outline a training program for UNDP staff, Implementing Partner staff, and contractors with direct responsibility for activities relevant to the proposed project’s environmental performance so that they have the knowledge and skills necessary to perform their work, including current knowledge of the host country’s regulatory requirements and the applicable requirements of UNDP environmental policies and procedures. Training will also address the methods required to perform the specific actions and measures of the EMP in a competent and efficient manner. The training program will have the following components:

* Identification of training needs for relevant personnel;
* Development of a training plan to address defined needs;
* Verification of training programs to ensure consistency with organizational requirements;
* Training of target personnel;
* Documentation of training received;
* Evaluation of training received.

*Communication.*The EMP will be disclosed to the project stakeholders. The EMP will include a section that outlines a plan to communicate progress with implementation and effectiveness of the EMP on issues that involve ongoing risk to or impacts on the project stakeholders, and on issues that the consultation process or grievance mechanism has identified as of concern to those stakeholders. If EMP report review and evaluation result in material changes in, or additions to, the mitigation, monitoring or capacity development measures or actions described in the EMP on issues of concern to the stakeholders, the updated measures or actions will also be disclosed. These reports will be in a format accessible to the stakeholders. The frequency of these reports will be proportional to the concerns of the stakeholders but not less than annually.

## sTAGE 3: Appraising the EA

The purpose of Section 3, and Section 4.1 and Section 4.2, is to provide information that will enable UNDP Project Developers to direct EA studies (usually undertaken by external specialists), and appraise EA documentation completed by national governments or donor partners.

The EA report (including the EMP) will be submitted to the PAC as part of the project approval process. At the desk review stage, the Project Developer, with assistance from the Environmental Focal Point, needs to appraise (and sign off on) the EA and EMP to ensure that they provide enough quality advice to enable the PAC to make informed decisions.

Appraisal should ensure that the EA work:

* Meets its terms of reference, both procedurally and substantively;
* Provides a satisfactory evaluation of the proposed project;
* Contains the information required for decision-making;
* Describes specific mitigation, monitoring and capacity development measures;
* Assesses the capacity of the institutions responsible for implementing the EMP;
* Assesses the adequacy of the cost of and financing arrangements for EMP implementation.

An appraisal reporting format is attached as Annex X.

# ANNEX A: GLOSSARY

**Climate Change.** Any change in climate over time, whether due to natural variability or because of human activity (IPCC 2001 in APF 2005).

**Climate Change Adaptation.** Changing existing policies and practices and adopting new policies and practices so as to secure Millennium Development Goals in the face of climate change and its associated impacts (UNDP unpublished, 2006).

**Climate Change Mitigation** is an intervention to reduce or limit anthropogenic emissions of [greenhouse gases](#GHGGlossary) by sources, the removal of [greenhouse gases](#GHGGlossary) by enhancing sinks or protection of reservoirs, to reduce the rate and magnitude of climate change.

**Cumulative impacts** are impacts resulting from an accumulation of effects from numerous activities or from a combination of effects from one activity. Cumulativeimpacts are defined by the [*United Nations University, EIA course module*](http://eia.unu.edu/wiki/index.php/Definitions#C) as impacts on the environment which result from the incremental impact of an action when added to other past, present or reasonably foreseeable actions regardless of what agency or person undertakes such actions. Cumulative impacts can result from individually minor but collectively significant actions taking place over a period of time.

**Environmental Assessment** is a planning process to evaluate the environmental and related social impacts of a proposed policy, plan, programme or project to ensure these considerations are factored into decision-making, design and execution. An EA identifies ways for preventing, minimizing, mitigating, or compensating for adverse consequences and for enhancing positive ones. EA varies in breadth, depth and type of analysis depending on the specificities of the proposal. Typically, EA takes the form of an EIA at the project-level and strategic environmental analyses (e.g. SEA, country environmental analysis, sectoral assessment) at the policy, plan and programme levels.

Environmental Impacts are any effect (negative or positive) *to* and/or *from* environmental conditions (physical, biological and social interactions) surrounding a specific activity, such as a project.

**Environmental Impact Assessment (EIA)** is one form of EA which focuses on the environmental impacts of proposed discrete projects. EIA is the process through which potential environmental impacts of a proposed project are assessed and analyzed and measures to address these impacts are incorporated into the project management cycle.

**Environmental Mainstreaming.** The integration of environmental considerations into UNDP’s policies, programming and operations to ensure the coherence and sustainability of our mission and practices. Mainstreaming systematically takes into consideration environmental issues as early as possible in the decision-making process where decisions can best benefit from environmental opportunities and avoid negative impacts on the environment. In this way, mainstreaming can help align policies, programmes and operations with the long-term requirements of sustainable development, help modernise development policy content and procedures, and promote a pro-active approach rather than responding to impacts as they unfold. (SOURCE: Adapted from the [UNDP Environmental Mainstreaming Strategy](http://www.google.com/url?sa=t&source=web&ct=res&cd=1&url=http%3A%2F%2Fwww.undp.org%2Ffssd%2Fdocs%2Fenvmainstrat.doc&ei=VKJ0Sd-wGY-ctwezprjxCA&usg=AFQjCNG3hScOYsKpPqATlWf4CkC11sYYvA&sig2=e7aRw7Vn-CHuPSeMjTLEAw), 2004)

**Environmental Management Plan (EMP).** Mechanisms to incorporate into the project recommendations to prevent, avoid, reduce, mitigate, eliminate, or compensate for any adverse impacts of the selected alternative. This includes schedule, assignment of responsibility and budgets for the environmental impact management measures. (SOURCE: Adapted from MFI Common Framework for EA)

**Environmental Screening.** The process to determine whether or not a proposed project requires an EA.

**Greenhouse Gases.** GHGs include the six gases that form part of the Kyoto Protocol to the United Nations Framework Convention on Climate Change: carbon dioxide (C02); methane (CH4); nitrous oxide (N2O); hydrofluorocarbons (HFCs); perfluorocarbons (PFCs); and sulfur hexafluoride (SF6), as well as hydrochlorofluorocarbons (HCFCs). GHG emissions include both direct emissions from facilities owned or controlled inside the physical project boundary and indirect emissions associated with off-site production of power or transport used or purchased for use by the project will be quantified. (SOURCE: Adapted from IFC Performance Standard 3)

**Hazardous Materials.** Chemicals substances subject to international bans or phase-outs due to their high toxicity to living organisms, environmental persistence, potential for bioaccumulation, or potential for depletion of the ozone layer that should be avoided and the use of less hazardous substitutes considered. (SOURCE: Adapted from IFC Performance Standard 3)

**Hazardous Waste** is usually a solid waste that poses substantial or potential threats to public health or the environment and generally exhibits one or more of these characteristics: ignitable (i.e., [flammable](http://en.wikipedia.org/wiki/Flammable)), [oxidizing](http://en.wikipedia.org/wiki/Oxidizing), [corrosive](http://en.wikipedia.org/wiki/Corrosive), [toxic](http://en.wikipedia.org/wiki/Toxic), [radioactive](http://en.wikipedia.org/wiki/Radioactive), and that has the potential to cause, or significantly contribute to an increase in mortality (death) or an increase in serious irreversible, or incapacitating reversible illness; or pose a substantial present or potential hazard to human health or the environment when improperly treated, stored, transported, or disposed of, or otherwise managed. (SOURCE: Adapted from US EPA definition in Resource Conservation and Recovery Act)

**Pollution** is both hazardous and nonhazardous pollutants in the solid, liquid, or gaseous forms, and is intended to include nuisance odors, noise, vibration, radiation, electromagnetic energy, and the creation of potential visual impacts including light.

**Strategic Environmental Assessment (SEA).** SEA refers to a range of analytical and participatory approaches that aim to integrate environmental considerations into policies, plans and programmes and evaluate the inter linkages with economic and social considerations. SEA can be described as a family of approaches which use a variety of tools, rather than a single, fixed and prescriptive approach. This can be thought as a continuum of increasing integration: at one end of the continuum, the principle aim is to integrate environment, alongside economic and social concerns, into strategic decision making; at the other end, the emphasis is on the full integration of the environmental, social and economic factors into a holistic sustainability assessment. (SOURCE: Adapted from OECD DAC SEA Guidance).

**Transboundary impacts**: Any impact (not exclusively of a global nature) within an area under the jurisdiction of a Party caused by a proposed activity, the physical origin of which is situated wholly or in part within the area under the jurisdiction of another Party. (SOURCE: [*UNECE Convention on environmental impact assessment in a transboundary context*](http://www.unece.org/env/eia/documents/legaltexts/conventiontextenglish.pdf))

# Annex b: overview of the ENVIRONMENTAL screening procedure



1. This policy is consistent with the [2009 Common Country Assessment and UN Development Assistance Framework Guidelines](http://www.undg.org/index.cfm?P=226#s2) which include environmental sustainability as one of the five principles to be applied in the country level programming and interventions of UN Country Teams (UNCTs). [↑](#footnote-ref-1)
2. There are plans to update and revise the current [Quality Programming Checklist](http://content.undp.org/go/prescriptive/Project-Management---Prescriptive-Content-Documents/download/?d_id=1360377). Environment and climate change elements of the checklist will be further strengthened at that time. [↑](#footnote-ref-2)
3. For ease of reference, the words of the text that appear in the glossary are hyperlinked throughout the text. [↑](#footnote-ref-3)
4. Or in the case of countries with no country office (e.g. Cyprus), the Programme Manager(s) [↑](#footnote-ref-4)
5. Elaborated further in the POPP. [↑](#footnote-ref-5)
6. If an Independent Advisory Panel has been established to oversee the EA, this group will also be involved in the EA appraisal. Section 3, Step 9 further outlines the entry point for Independent Advisory Panels. [↑](#footnote-ref-6)
7. These recommendations could cover a large range of measures including revising/implementing mitigation options, or modifying the design of the project. [↑](#footnote-ref-7)
8. Estimate is based on international experience in EIA and consultation with Country Offices. [↑](#footnote-ref-8)