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# Guidance on EIA

## Scoping

June 2001



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# Guidance on EIA

## *Scoping*

June 2001

**Environmental Resources Management**  
Norloch House, 36 King's Stables Road,  
Edinburgh EH1 2EU  
Telephone 0131 478 6000  
Facsimile 0131 478 3636  
Email [post@ermuk.com](mailto:post@ermuk.com)  
<http://www.ermuk.com>

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# PREFACE TO EU GUIDANCE ON EIA

Environmental Impact Assessment (EIA) is a key instrument of European Union environmental policy. Since passage of the first EIA Directive in 1985 (Directive 85/337/EEC) both the law and the practice of EIA have evolved. An amending Directive was published in 1997 (Directive 97/11/EC) and the European Commission is now pleased to publish three guidance documents reflecting current EU legislation and the current state of good practice. These documents concern three specific stages in the EIA process:

- [Screening](#)
- [Scoping](#)
- [EIS Review](#).

The aim of the guidance is to provide practical help to those involved in these stages in the EIA process, drawing upon experience from around Europe and worldwide. By following the [Screening](#) and [Scoping](#) Guidance it is hoped that better decisions will be made on the need for EIA and on the terms of reference for the studies that are required, thus starting the EIA process off on a better footing. The [EIS Review](#) guidance aims to help developers and their consultants prepare better quality Environmental Impact Statements and competent authorities and other interested parties to review them more effectively, so that the best possible information is made available for decision making.

The guidance is designed principally for use by competent authorities, developers and EIA practitioners in the European Union Member States and Accession Countries. It is hoped that it will also be of interest to academics and other organisations who participate in EIA training and education and to practitioners from around the world.

The guidance has been designed to be useful across Europe and it cannot reflect all the specific requirements and practice of EIA in different countries. It also cannot substitute for Member State guidance on EIA which should always be referred to first. It should also **always** be read in conjunction with the Directives and with national or local EIA legislation, as detailed legal requirements vary throughout the Member States and Accession Countries.

The guidance has been prepared by Environmental Resources Management (ERM) under a research contract with the Directorate General for Environment of the European Commission. Those who participated in the study are listed overleaf.

Key terms used in the guidance are explained in a [Glossary](#).

Copies of the guidance documents can be requested from Directorate General Environment of the European Commission at <http://europa.eu.int/comm/environment/eia/eia-support.htm>

<b>Principal Authors:</b>	Karen Raymond and Andrew Coates (ERM)
<b>EC Project Manager:</b>	Marc Vanderhaegen (ENV B4 European Commission, DG Environment)
<b>European Commission Steering Group:</b>	<p>Jim Burns (Department of the Environment, Transport and the Regions, UK)</p> <p>Gert Johansen (Ministry of Environment and Energy , Denmark)</p> <p>Emilio Herranz (Ministerio de Medio Ambiente, Spain)</p> <p>Ros Coverley (W S Atkins, UK)</p> <p>Alessandro Colombo (Joint Research Centre, European Commission)</p> <p>Alain Bozet (Ministere de la Region Wallone, DGRNE – Administration de L'Environment, Belgium)</p> <p>Seppo Martikainen ( ENV R4, European Commission, DG Environment)</p> <p>Rupert Willis (ENV A1, European Commission, DG Environment)</p> <p>Fotios Papoulias (ENV B2, European Commission, DG Environment)</p> <p>Jan de Mulder (Ministry of Flanders AMINAL – Environment Administration, Belgium)</p> <p>Francesco La Camera (Ministero dell'Ambiente, Italy)</p> <p>José Luis Salazar (European Environment Agency)</p>
<b>Expert Panel:</b>	<p>Rob Verheem (Private Consultant, Netherlands)</p> <p>Prof Maria do Rosario Partidario (Faculdade de Ciencias e Tecnologia Universidade Nova de Lisboa, Portugal)</p> <p>Thierry Clement (Breche &amp; Oreade, France)</p> <p>Peter Brokking (Department of Infrastructure and Planning, Royal Institute of Technology, Sweden)</p> <p>Petra Winkler (Institute for Regional Studies and Spatial Planning, Austria)</p> <p>Prof Constantinos Cassios (EIA Centre Department of Geography and Regional Planning, National Technical University of Athens, Greece)</p>
<b>Research Team:</b>	<p>Dr Norbert Raschke (Germany)</p> <p>Catherine Sibley (UK)</p> <p>Rui Pimenta (Portugal)</p> <p>Wim Van Breusegem (Belgium)</p>

# GLOSSARY OF TERMS

Term	Explanation
Accession Countries	Countries which are seeking to become Members States of the European Union.
Competent Authority (CA)	Those which the Member States designate as responsible for performing the duties arising from the Directive.
Developer	The applicant for authorisation for a private Project or the public authority which initiates a Project.
Development Consent	The decision of the Competent Authority or Authorities which entitles the Developer to proceed with the Project.
Effect/Impact	Any change in the physical, natural or cultural environment brought about by a development Project. Effect and Impact are used interchangeably.
EIA Team	The team which carries out the Environmental Studies and prepares the Environmental information for submission to the Competent Authority
Environmental Impact Assessment (EIA)	A term used in this document to describe the procedure which fulfils the assessment requirements of Directive 97/11/EC.
Environmental Impact Statement (EIS)	In many but not all EIA Regimes, the Environmental Information provided by the Developer to the Competent Authority is presented in the form of an Environmental Impact Statement. This is a document or documents containing the Environmental Information required under Article 5 of Directive 85/337/EEC as amended by Directive 97/11/EC. The abbreviation EIS is used in the guidance to cover both Environmental Impact Statements and other formats in which environmental information is provided.
Environmental Information	The information provided by a Developer to a Competent Authority on <i>inter alia</i> the Project and its environmental effects. The requirements for this information are set out in Article 5 and Annex IV of the Directive (see Environmental Impact Assessment).
Environmental Studies	The surveys and investigations carried out by the Developer and the EIA Team in order to prepare the Environmental Information for submission to the Competent Authority.
Exclusion List	A list of thresholds and criteria for specified categories of projects defining those projects for which EIA is not required because they are considered to be unlikely to have significant effects on the environment. An exclusive list may be over-ridden by other requirements e.g. that EIA is required for projects in certain locations.
Impact	see Effect.
Mandatory List	A list of thresholds and criteria for specified categories of projects defining those projects for which EIA is always required because they are considered to be likely to have significant effects on the environment.
Negative list	See Exclusion List
Positive List	See Mandatory List
Project	The execution of construction works or of other installations or schemes and other interventions in the natural surroundings and landscape including those involving the extraction of mineral resources.
Review	The process of establishing whether an EIS is adequate for the Competent Authority to use it to inform the decision on Development Consent. It is important to note that the decision will usually involve consideration of other information in addition to the environmental information, but the aim of review is to check that the environmental information is adequate.
Screening	The process by which a decision is taken on whether or not EIA is required for a particular Project.
Scoping	The process of identifying the content and extent of the Environmental Information to be submitted to the Competent Authority under the EIA procedure.

## FOREWORD TO THE GUIDANCE ON SCOPING

This guidance document is about Scoping in Environmental Impact Assessment (EIA). It is one of a series of three guidance documents on EIA published by the Commission. The others are concerned with [Screening in EIA](#) and [EIS Review](#).

Scoping is the process of determining the content and extent of the matters which should be covered in the environmental information to be submitted to a competent authority for projects which are subject to EIA.

A five year review of implementation of Directive 85/337/EEC undertaken for The Commission in 1997 recommended the introduction of scoping as one of the means of strengthening the role of EIA in achieving environmental protection. The five year review can be found at <http://europa.eu.int/comm/environment/eia/eia-studies-and-report/5years.pdf>.

Following the recommendation of the Five Year Review, scoping was introduced in Directive 97/11/EC. Scoping is not made mandatory by the 1997 directive but all Member States which do not have scoping in their EIA procedure are required to introduce, as a minimum, a voluntary scoping stage. The minimum requirement is that competent authorities must provide a Scoping Opinion if requested by a developer. The Scoping Opinion should identify the content and extent of the information to be elaborated and supplied by the developer to the competent authority.

The Directive also allows Member States to make scoping a mandatory part of their EIA procedure.

This document comprises two main parts (B and C) and refers to a number of supporting checklists and appendices.

- Part A of the guidance document describes the scoping requirements of the European Council (EC) Directives on EIA (85/337/EEC as amended by 97/11/EC) and reviews the different ways in which these have been implemented in the Member States. It should **always** be read in conjunction with the Directive, and with national or local legislation and guidance on EIA, as detailed legal requirements vary throughout the Member States. A review of Member State requirements for scoping as they were in August 1999 can be found in a report prepared during the preparation of the guidance. This can be downloaded at <http://europa.eu.int/comm/environment/eia/eia-studies-and-reports/study1.htm>.
- Part B offers practical advice on scoping, including consultations during scoping, and provides some tools to help in the process.

Key terms used in the guidance are explained in the [Glossary](#).

Further copies of this guidance document can be requested from the Directorate General Environment of the European Commission (*contact* <http://www.europa.eu.int/comm/environment/eia/eia-support.htm>).

The guidance is designed principally for use by competent authorities, developers and EIA practitioners in the European Union (EU) Member States and Accession

Countries. It is also hoped that it will be of interest to academics and other organisations who participate in EIA training and education and to practitioners from around the world.

## PART A SCOPING IN EIA

### A1 Environmental Impact Assessment (EIA) and Scoping

EIA is a procedure required under the terms of European Union Directives 85/337/EEC and 97/11/EC on assessment of the effects of certain public and private projects on the environment. Article 2 of the Directive requires that *“Member States shall adopt all measures necessary to ensure that, before consent is given, projects likely to have significant effects on the environment by virtue, inter alia, of their nature, size or location are made subject to a requirement for development consent and an assessment with regard to their effects.”* Article 8 then requires that *“The results of consultations and information gathered pursuant to [the EIA procedure] must be taken into consideration in the development consent procedure”*.

These requirements are elaborated further in the Directive and in the EIA systems introduced in each Member State. Member State EIA procedures vary considerably in their details but the practical stages in most systems are generally those illustrated in [Figure 1](#). The highlighted steps in [Figure 1](#) are governed by the terms of the Directive. The other steps are good practice in EIA and have been adopted in some EIA regimes in some Member States, but not in all.

Scoping is an early stage in the process and is designed to ensure that the environmental studies provide all the relevant information on:

- the impacts of the project, in particular focusing on the most important impacts;
- the alternatives to the project;
- any other matters to be included.

The findings of scoping define the “scope” of the environmental information to be submitted to the competent authority and the terms of reference for the environmental studies to be undertaken to compile that information.

### A2 The Scoping Requirements of Directives 85/337/EEC and 97/11/EC

The scoping provisions of the Directives are contained in Article 5(2) of Directive 97/11/EC. This requires Member States to implement a procedure whereby, at a minimum, developers can ask competent authorities for advice on the information to be submitted under the EIA procedure. This advice is given in a Scoping Opinion.

Article 5(2) requires that *“Member States shall take the necessary measures to ensure that, if the developer so requests before submitting an application for development consent, the competent authority shall give an opinion on the information to be supplied by the developer in accordance with paragraph 1 [Article 5(1)]. The competent authority shall consult the developer and authorities referred to in Article 6(1) before it gives its opinion. The fact that the authority has given an opinion under this paragraph shall not preclude it from subsequently requiring the developer to submit further information.”*

**Figure 1 The Environmental Impact Assessment (EIA) Process**

KEY STAGES	NOTES
<b>Project Preparation</b>	The developer prepares the proposals for the project
<b>Notification to Competent Authority</b>	In some MS there is a requirement for the developer to notify the CA in advance of the application for development consent. The developer may also do this voluntarily and informally.
<b>Screening</b>	The CA makes a decision on whether EIA is required. This may happen when the CA receives notification of the intention to make a development consent application, or the developer may make an application for a Screening Opinion. The Screening decision must be recorded and made public. (See the guidance on <a href="#">Screening in EIA</a> ) (Article 4).
<b>Scoping</b>	The Directive provides that developers may request a Scoping Opinion from the CA. The Scoping Opinion will identify the matters to be covered in the environmental information. It may also cover other aspects of the EIA process (see the guidance on <a href="#">Scoping in EIA</a> ). In preparing the opinion the CA must consult the environmental authorities (Article 5(2)). In some MS Scoping is mandatory.
<b>Environmental Studies</b>	The developer carries out studies to collect and prepare the environmental information required by Article 5 of the Directive (see <a href="#">Appendix A</a> ).
<b>Submission of Environmental Information to Competent Authority</b>	The developer submits the environmental information to the CA together with the application for development consent. If an application for an Annex I or II project is made without environmental information the CA must screen the project to determine whether EIA is required (see above). (Articles 5(1) and 5(3)). In most MS the environmental information is presented in the form of an Environmental Impact Statement (EIS).
<b>Review of Adequacy of the Environmental Information</b>	In some MS there is a formal requirement for independent review of the adequacy of the environmental information before it is considered by the CA. In other MS the CA is responsible for determining whether the information is adequate. The guidance on <a href="#">EIS Review</a> is designed to assist at this stage. The developer may be required to provide further information if the submitted information is deemed to be inadequate.
<b>Consultation with Statutory Environmental Authorities, Other Interested Parties and the Public</b>	The environmental information must be made available to authorities with environmental responsibilities and to other interested organisations and the general public for review. They must be given an opportunity to comment on the project and its environmental effects before a decision is made on development consent. If transboundary effects are likely to be significant other affected MS must be consulted (Articles 6 and 7).
<b>Consideration of the Environmental Information by the Competent Authority before making Development Consent Decision</b>	The environmental information and the results of consultations must be considered by the CA in reaching its decision on the application for development consent (Article 8).
<b>Announcement of Decision</b>	The decision must be made available to the public including the reasons for it and a description of the measures that will be required to mitigate adverse environmental effects (Article 9).
<b>Post-Decision Monitoring if Project is Granted Consent</b>	There may be a requirement to monitor the effects of the project once it is implemented.
<p>The highlighted steps must be followed in all Member States under Directives 85/337/EC and 97/11/EC. Scoping is not mandatory under the Directive but Member States must establish a voluntary procedure by which developers can request a Scoping Opinion from the CA if they wish. The steps which are not highlighted form part of good practice in EIA and have been formalised in some Member States but not in all. Consultations with environmental authorities and other interested parties may be required during some of these additional steps in some Member States.</p> <p>Abbreviations CA = Competent Authority; MS = Member State.</p>	

In giving a Scoping Opinion, competent authorities will have to have regard to the requirements of the Directive regarding the information to be provided by the developer.

- Article 5(1) requires that “...*Member States shall adopt the necessary measures to ensure that the developer supplies in an appropriate form the information specified in Annex IV in so much as:*

- (a) the Member States consider that the information is relevant to a given stage of the consent procedure and to the specific characteristics of a particular project or type of project and of the environmental features likely to be affected;*
- (b) the Member States consider that a developer may reasonably be required to compile this information having regard inter alia to current knowledge and methods of assessment.”*

Annex IV is presented in [Appendix A](#).

- Article 5(3) then requires that “*the information which is to be provided by the developer in accordance with Paragraph 1 [Article 5(1)] shall include at least:*
  - *a description of the project comprising information on the site, design and size of the project,*
  - *a description of the measures envisaged in order to avoid, reduce and, if possible, remedy significant adverse effects,*
  - *the data required to identify and assess the main effects which the project is likely to have on the environment,*
  - *an outline of the main alternatives studied by the developer and an indication of the main reasons for his choice, taking into account the environmental effects,*
  - *a non-technical summary of the information mentioned in the previous indents”.*

The authorities who must be consulted during scoping, in accordance with Article 6(1), are those “*which are likely to be concerned by the project by reason of their specific environmental responsibilities*”. The Directive allows Member States to “*...designate the authorities to be consulted, either in general terms or on a case-by-case basis.*”

Article 5 (2) of the Directive also allows Member States to make scoping mandatory. It states that “*Member States may require the competent authorities to give such an opinion, irrespective of whether the developer so requests.*”

## **A3 Implementation of Scoping In the EU**

Scoping has been implemented in widely different ways around the European Union.

### **A3.1 Mandatory and Voluntary Scoping Systems**

A few Member States have made scoping mandatory as provided by the final part of Article 5(2). Two types of mandatory system have been adopted.

- Scoping is undertaken by the developer or the developer's EIA Team. A draft Scoping Report is prepared and circulated amongst consultees before it is finalised and issued as the agreed terms of reference for the EIA. The consultees may be just the environmental authorities or may include other interested parties and the general public.
- Scoping is undertaken by the competent authority or by an independent body such as an EIA Commission or a panel of EIA experts on behalf of the competent authority. The competent authority will then issue a Scoping Opinion to the developer which forms the terms of reference for the EIA. Prior to finalising the Scoping Opinion, the competent authority will consult the environmental authorities and may consult other interested parties and the general public.

In most Member States, however, where scoping has been introduced since the 1997 Directive, a non-mandatory procedure has been adopted. In these regimes the legislation requires competent authorities to provide a Scoping Opinion only if one is requested by the developer. The provision of a Scoping Opinion does not preclude the competent authority from subsequently requiring the developer to submit further information if the competent authority considers that it is necessary.

In some Member States, a developer may request a Scoping Opinion from the competent authority at the same time as requesting a Screening decision. Such an approach can speed up the EIA process by reducing the need for a second round of consultations.

### **A3.2 Scoping Reports and Opinions**

The format and detail of Scoping Reports and Opinions varies and in those Member States where the procedure is new, practice is still developing. However, in principle, a Scoping Report or Opinion should identify the content and extent of the information to be provided by the developer to the competent authority. In particular, Scoping Reports and Opinions will always identify the types of environmental impacts to be investigated and reported in the environmental information. They may also cover:

- alternatives which should be considered;
- baseline surveys and investigations which should be carried out;
- methods and criteria to be used for prediction and evaluation of effects;
- mitigation measures which should be considered;
- organisations to be consulted during the environmental studies;
- the structure, content and length of the environmental information (or EIS).

### **A3.3 Scoping Consultations**

All Member State scoping procedures involve some measure of consultation. In more developed systems consultation is extended widely to all interested parties including the general public. It may include publication of draft Scoping Reports for comment and even public hearings. In others, consultation is less extensive and focuses on seeking the views of relevant environmental authorities in accordance with the requirements of Article 6(1) of Directive 97/11/EC.

## PART B PRACTICAL GUIDANCE ON SCOPING

### B1 Introduction

This part of the document gives practical guidance on scoping covering:

- scoping procedures, that is arrangements for provision of information, preparation of Scoping Reports or Opinions, and consultations;
- scoping methods, that is methods for identifying the impacts to be considered in an EIA.

### B2 Use of the Guidance

The practical guidance is designed primarily for use by competent authorities, developers, EIA Teams and consultees who may be involved in scoping either under a mandatory scoping system or when scoping is undertaken voluntarily. There are various situations in which these groups may use the guidance.

#### **Competent Authorities**

- Competent authorities may be involved in scoping either as participants in a mandatory scoping process or in response to a request for a Scoping Opinion from a developer. Their role may be to actually undertake the scoping and issue the Scoping Opinion to the developer or to comment on and agree a Scoping Report prepared by the developer.
- The competent authority may undertake scoping on its own or it may be advised by an independent body such as an EIA Commission.

#### **Developers and EIA Teams**

- Like competent authorities, developers may be involved in scoping either as part of a mandatory scoping system or voluntarily by requesting a Scoping Opinion from the competent authority. In this role they may either prepare a draft Scoping Report for comment by the competent authority and consultees or they may just provide information to the competent authority for the authority to carry out scoping.
- However, good practice also requires that scoping should be an integral part of any EIA. Developers and their EIA Teams should undertake scoping at an early stage to ensure that the environmental studies address all the relevant issues, irrespective of any legal requirement to undertake scoping.

#### **Consultees**

- The Directive requires competent authorities to seek advice from relevant environmental authorities prior to giving a Scoping Opinion. In many cases other interested parties and the general public are also given an opportunity to comment. Consultees will therefore be involved in commenting on issues to be addressed in EIA.
- When scoping is carried out by a developer or an EIA Team, either under a legally established system or as part of good practice in EIA, environmental authorities and other interested parties and the public should also be consulted. The value of public participation in the scoping process is increasingly being recognised by competent authorities and other participants in the EIA process within Member States. Early consultation with interested parties can be very valuable in avoiding later delays if new issues emerge from consultation only after the EIS is submitted.

Whichever organisation is undertaking scoping, it is important that the people involved :

- have sufficient information about the project and the area which will be affected to allow them to identify potential impacts and possible alternatives;
- understand the relevant legislation and its implications for the project and the environmental studies;

- understand the decision making process so that the issues which can be considered by the decision maker are taken into account.

Effective scoping will involve the competent authority and the developer in a dialogue about the project and the issues it raises. This will be supplemented by consultations with relevant statutory and non-statutory organisations and the general public, and a visit to the site and its surroundings will always be invaluable.

It is also important to remember that although scoping can be considered as a discrete stage in the EIA process which ends with issue of the terms of reference for the EIA, the activity of scoping should continue throughout, so that the scope of work can be amended in the light of new issues and new information. The scope of an EIA must be flexible enough to allow new issues which emerge during the course of the environmental studies, or as a result of design changes or through consultations, to be incorporated. It is important to remember that the Directive allows competent authorities to request additional information at a later stage in the EIA process, even if this information was not requested by them when they issued a formal Scoping Opinion. Keeping the EIA scope under review is therefore important in avoiding delays caused by such requests.

Whether undertaken as part of a legal process or as good practice in EIA scoping brings a number of benefits.

#### **The Benefits of Scoping**

- It helps ensure that the environmental information used for decision making provides a comprehensive picture of the important effects of the project, including issues of particular concern to affected groups and individuals.
- It helps focus resources on the important issues for decision-making and avoids wasted effort on issues of little relevance.
- It helps ensure that the environmental information provides a balanced view and is not burdened with irrelevant information.
- It stimulates early consultation between the developer and the competent authority, and with environmental authorities, other interested parties and the public, about the project and its environmental impacts.
- It helps effective planning, management and resourcing of the environmental studies.
- It should identify alternatives to the proposed project and mitigating measures which ought to be considered by the developer.
- It can identify other legislation or regulatory controls which may be relevant to the project and provide opportunities for the necessary assessment work for different control systems to be undertaken in parallel, thereby avoiding duplication of effort and costs for all concerned.
- It reduces the risk of delays caused by requests for further information after submission of the development consent application and the environmental information.
- It reduces the risk of disagreement about impact assessment methods (baseline surveys, predictive methods and evaluation criteria) after submission of the environmental information

## **B3 Scoping Procedures**

The specific procedures to be followed when carrying out scoping under the terms of EIA legislation vary between Member States and between different EIA regimes within Member States. As outlined in A3 there are two basic legislative models in which the scoping activity is undertaken either by the competent authority or by the developer.

It must also be remembered, however, that even where scoping is not legally required it is still good practice and developers should always include a scoping stage in their work programme for EIA.

### **B3.1 Scoping by the Competent Authority**

When scoping is led by the competent authority the process typically involves the following stages.

1. The developer is required to provide information to the competent authority about the project and its location.
2. The competent authority consults with environmental authorities and possibly with other interested organisations and the general public to identify issues of concern.
3. The competent authority issues a Scoping Opinion to the developer.

### **B3.2 Scoping by the Developer**

When scoping is led by the developer the process usually involves the following stages.

1. The developer prepares a draft Scoping Report and submits this to the competent authority for review and/or approval. The developer may consult with environmental authorities, other interested parties and/or the general public during drafting of the Report or this may be done later by the competent authority.
2. The competent authority consults with other environmental authorities and possibly with non-statutory bodies and the general public for their views on the proposed scope.
3. A finalised Scoping Report is agreed.

This process will apply whether scoping is carried out under a legal requirement or as an integral part of good practice in EIA.

## **B4 Scoping Information and Outputs**

### **B4.1 Information for Scoping**

To allow a competent authority to provide a Scoping Opinion, the developer will have to provide the competent authority with some information on the project. The [Checklist of Information Needed for Scoping](#) presented at the end of this section identifies the types of information which are likely to be needed. The list is the same as the list for screening (see Guidance on [Screening](#)) except that at the scoping stage more detail is likely to be needed. This may involve some preliminary data collection and field work. As much information as is possible at the time should always be provided. Where the developer has already sought a screening decision from the competent authority, some of the information will already have been provided.

### **B4.2 Scoping Outputs**

The purpose of scoping is to identify the matters which should be covered in the environmental information submitted by the developer to a competent authority and, in particular to identify the matters which are of most importance so that these can be addressed in most detail. Scoping should ensure that all the relevant issues are identified and addressed in an appropriate manner in the environmental studies.

Scoping is therefore primarily focused on identifying the impacts to be assessed and which of these are most important, but it may also address some or all of the following matters:

- the types of alternative which ought to be considered;
- the baseline studies which are required to characterise the existing environment;
- any special requirements for baseline studies regarding their geographical extent or timing e.g. because of seasonal changes in fauna and flora;
- the level of detail of investigations required;
- the methods to be used to predict the magnitude of environmental effects;
- the criteria against which the significance of effects should be evaluated;
- the types of mitigation to be considered;
- any further consultations to be carried out during the environmental studies;
- the structure, content and length of the environmental information (or EIS);
- the membership and management of the EIA Team;
- the workplan and resourcing for the environmental studies.

This will define the scope of the environmental information to be submitted and provide the terms of reference for the environmental studies.

## **B5 Scoping Consultations**

In all forms of scoping, consultation with environmental authorities, other interested parties and the public forms an important part of the process. Consultations will help ensure that all the impacts, issues, concerns, alternatives and mitigation which interested parties believe should be considered in the EIA are addressed.

The importance of consultation at this and other stages in EIA has increased with EU signature of the Aarhus Convention on Access to Information, Public Participation in Decision Making and Access to Justice in Environmental Matters.

### **B5.1 Who to Consult**

The [Consultations Checklist](#) presented at the end of this section identifies types of organisations which may usefully be consulted in EIA. It is not a comprehensive list and EIA teams should always consider what types of local or national organisations it might be appropriate to consult for a particular EIA. It can be useful for those regularly involved in EIA to keep a list of consultees for reference.

### **B5.2 How to Consult**

Successful scoping consultations may be facilitated by a range of means including:

- initial announcements about the scoping process in local or national newspapers;
- posting notices announcing the scoping process at the site, in the neighbouring area and at the offices of local authorities;
- preparing a leaflet or brochure about the project giving brief details of what is proposed with a plan or map, describing the EIA process and the purpose of scoping, and inviting comments;
- distributing letters or questionnaires to potentially interested organisations and nearby residents requesting information and comment on the proposals (this is often a good starting point for scoping if the number of interested people and organisations is large);

- telephone discussions or meetings with key organisations, groups or individuals;
- articles in newspapers, on radio or on television;
- public meetings (it may be helpful to invite an independent person to chair public meetings);
- public exhibitions (an exhibition may be preferable to a public meeting as people who are nervous about standing up and speaking at a public meeting may feel more comfortable speaking to someone on a one-to-one basis at an exhibition; meetings can also be dominated by a few vocal attendees and not allow the full range of issues or even the most important issues to be expressed);
- a Scoping Workshop at which participants work together through a structured programme to identify matters to be addressed by the EIA process (this can be particularly helpful if the issues are complex and there are several groups interested in the proposals; an independent facilitator can be useful in ensuring workshops are successful);
- establishing an expert or community based Scoping Group who will continue to oversee the environmental studies throughout the process (this can be useful for projects where the issues are complex or where the project is at an early stage in the planning process and the significance of issues is unclear);
- publishing a draft Scoping Report for review and comment before completing the process.

In most EIAs a range of different approaches can be used to suit the different types of organisations and individuals involved and the degree of interest in the project.

#### **Typical Good Practice in Scoping Consultations**

An effective consultation process in scoping typically will follow a number of steps.

1. Identify a list of organisations and individuals who are interested in the project and update this as the project develops.
2. Contact each consultee to request their help in scoping.
3. Send them information about the project in the form of an attractive leaflet or brochure. Give contact details for information and comment.
4. Make the leaflet widely available in local centres (libraries, town halls, post offices); possibly provide a copy to every household and business in the area.
5. Collate and analyse all responses and take them into account in planning the environmental studies.
6. Write back to each respondent thanking them for their help and explaining how their comments have been addressed.
7. If appropriate arrange to telephone or meet them in person to discuss the issues they raise.
8. If there is considerable local interest consider holding a public exhibition (in a hall or a mobile caravan) or a community meeting at which the project will be presented and staff will be on hand to answer questions.
9. If there are several groups with a common interest consider setting up a special forum for them to meet you at intervals
10. If the EIA process is lengthy issue a regular newsletter to keep consultees up to date with what is happening.
11. Always record the views expressed in consultations in the EIS.

All participants in scoping should be invited to comment on the project design, on its potential environmental impacts and their mitigation, and on any alternatives which they consider should be investigated. Consultees are also an invaluable source of local knowledge and it is useful to ask them about any information they have on the local area, and on any special local issues.

### **B5.3 Essentials for Effective Consultation**

Whichever method of consultation is employed it is important to:

- provide enough information about the project for consultees to understand what is proposed and identify potential issues;
- make clear to participants that the scoping process is about hearing and understanding their views not about selling the project;
- provide sufficient time for consultees to respond to requests for views and information;
- reassure consultees that any views which they express at the scoping stage will not preclude them from making further comments and possibly objecting at a later stage in the EIA process;
- ensure that the views expressed are taken into account, and are seen to be taken into account, in planning the environmental studies and preparing the EIS, and that an explanation is provided if recommendations are not followed.

An effective way of ensuring participants understand how their views have been addressed is to summarise the results of the scoping process in the EIS.

### **B5.4 Constraints on Scoping Consultation**

For some particularly sensitive and confidential projects, or those for which wide consultation may result in a loss of competitive advantage, it may be necessary to restrict the range of consultations to the competent authority and the statutory environmental consultees. This will not be permissible in EIA regimes where prior notification and scoping are mandatory stages in the EIA process and would not generally be considered to be good practice. However where it is an option, non-statutory organisations and other interested parties, including the public, should be invited to comment as early as possible in the later stages of the assessment.

## **B6 Scoping Tools**

When a competent authority or a developer undertakes scoping there are three key questions to be answered.

- What effects could this project have on the environment?
- Which of these effects are likely to be significant and therefore need particular attention in the environmental studies?
- Which alternatives and mitigating measures ought to be considered in developing the proposals for the project?

Many different techniques have been developed to help with scoping but most use as their basic tools, checklists and matrices to provide a systematic way of thinking through the potential interactions between a project and its environment.

Three checklists are provided here to help with scoping.

- A [Scoping Checklist](#) which is in two parts. The first part provides a detailed list of characteristics of projects which could give rise to significant effects on the environment. The second part provides a list of characteristics of project environments which could be susceptible to significant adverse effects.

- A [Checklist of Criteria for Evaluating the Significance of Environmental Effects](#). This provides a list of factors to be considered in deciding whether or not an impact is likely to be significant. This is the same as the checklist used for screening.
- A [Checklist on Alternatives and Mitigation Measures](#) which can to be considered in scoping.

## B6.1 Identifying Significant Effects

Environmental effects can be characterised as interactions between some feature of the project and some feature of the surrounding environment. The [Scoping Checklist](#) is designed to help identify such interactions.

The first part of the [Scoping Checklist](#) provides a list of possible project characteristics which could give rise to environmental effects. The user is prompted to first consider whether the project is expected to involve any of the activities or features listed in the checklist and to answer with one of four responses in Column 2:

- yes - if the activity is likely to occur;
- no - if the activity is not expected to occur;
- ? - if it is uncertain whether the activity will occur or not.

If the answer to any question is “Yes”, the user then considers which characteristics of the surrounding environment could be affected by that activity. The second part of the [Scoping Checklist](#) is designed to help the user think through this stage. The results are entered in Column 3 of the first part creating a list of all the potential effects of the project.

The environmental information provided to competent authorities must address **all** of these effects, but resources are usually limited and it is therefore important that the environmental studies and the information focus on those issues that are important for decision-making on the particular project and are not burdened with irrelevant detail on insignificant issues.

Identifying what is important at the scoping stage can, however, be difficult as it requires decisions to be made about what is likely to be significant before any detailed environmental studies have been undertaken. The [Checklist of Criteria for Evaluating the Significance of Environmental Effects](#) is designed to help address this question. For each potential environmental interaction identified in Column 3 of the [Scoping Checklist](#) the user is invited to consider the factors listed in the [Checklist of Criteria for Evaluating the Significance of Environmental Effects](#) to decide whether and how significant the effect is likely to be.

The results are entered in the final column of the [Scoping Checklist](#) and provide a list of significant issues which should be considered in detail in the environmental studies and reported in the EIS. The EIS should also identify the issues which were identified as not significant and explain the reasons.

## B6.2 Identifying Possible Alternatives and Mitigation

Article 5(3) of the EIA Directive requires the developer to include in the environmental information “... *an outline of the main alternatives studied by the*

*developer and an indication of the main reasons for his choice, taking into account the environmental effects” and “a description of the measures envisaged in order to avoid, reduce and, if possible, remedy significant adverse effects”.*

Some Member States have made consideration of alternatives a mandatory requirement for EIA whilst others leave it to the developer to decide if alternatives are relevant to their project. It is, however, widely accepted good practice to consider alternatives during project planning, to examine their environmental impacts in deciding which alternative to choose and to report the appraisal of alternatives in the EIS.

Alternatives are essentially, different ways in which the developer can feasibly meet the project's objectives, for example by carrying out a different type of action, choosing an alternative location or adopting a different technology or design for the project. At the more detailed level, alternatives merge into mitigating measures where specific changes are made to the project design or to methods of construction or operation to avoid, reduce or remedy environmental effects. All EIA systems also require developers to consider mitigation (*ie* measures to avoid, reduce and remedy significant adverse effects).

Alternatives and mitigation therefore cover a spectrum ranging from a high level to very detailed aspects of project design. As an example they might range from:

- different strategies e.g. to manage demand or reduce losses rather than develop a new resource;
- different sites or routes for all or part of the project;
- different technologies and raw materials e.g. construction of a combined cycle gas turbine power plant rather than a coal fired power station;
- altered layouts or designs e.g. locating noisy activities away from sensitive receptors or replacing one large stack for gaseous emissions with two smaller ones;
- environmental measures incorporated into the project design e.g. construction of an ecoduct to ensure safe passage of wildlife across a motorway rather than establishment of compensatory habitat.

The “No Project” alternative must also be considered as the baseline against which the environmental effects of the project should be considered. This may include changes from the present day situation as a result of other developments taking place in the vicinity and changes in environmental conditions.

The [Checklist on Alternatives and Mitigation](#) at the end of this section provides a useful list to consider when thinking about the different types of alternatives and mitigation which a developer should consider.

# CHECKLIST OF INFORMATION NEEDED FOR SCOPING

The types of information which may be useful for scoping are listed below. It is similar to that which is needed for screening but in more detail. At the scoping stage it may be necessary to carry out specific studies to help determine what the significant impacts of the project are likely to be. These might involve data collection and analysis, field studies and consultations. The aim is not to undertake the full EIA studies but to obtain sufficient information to allow a reasonable plan to be drawn up for those studies. The details of the information which can be requested will be set out in Member State legislation and guidance.

It is important to remember that this information can only be requested if the developer can reasonably be expected to have it at the stage in the development of the project that has been reached. Where there are gaps and uncertainties these will be identified and taken into account.

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## Information for Scoping

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### 1. Contact Details of the Developer

- Name of the company.
  - Main postal address, telephone, fax and e-mail details for the company.
  - Name of the main contact person and direct postal address, telephone, fax and e-mail details.
- 

### 2. Characteristics of the Project

- Brief description of the proposed project.
  - Reasons for proposing the project.
  - A plan showing the boundary of the development including any land required temporarily during construction.
  - The physical form of the development (layout, buildings, other structures, construction materials, etc).
  - Description of the main processes including size, capacity, throughput, input and output.
  - Any new access arrangements or changes to existing road layout.
  - A work programme for construction, operation and commissioning phases, and restoration and after-use where appropriate.
  - Construction methods.
  - Resources used in construction and operation (materials, waster, energy, etc.)
  - The relationship with other existing/planned projects.
  - Information about alternatives are being considered.
  - Information about mitigating measures which are being considered
  - Other activities which may be required as a consequence of the project (eg new roads, extraction of aggregate, provision of new water supply, generation or transmission of power, increased housing and sewage disposal).
  - Details of any other permits required for the project.
- 

### 3. Location of the Project

- Maps and photographs showing the location of the project relative to surrounding physical, natural and man-made features
  - Existing land-uses on and adjacent to the site and any future planned land uses
  - Zoning or land-use policies
  - Protected areas or features
  - Sensitive areas
  - Details of any alternative locations which have been considered
- 

### 4. Characteristics of the Potential Impact

A brief description of the likely impacts of the project considering the following factors:

- Impacts on people, human health, fauna and flora, soils, land use, material assets, water quality and hydrology, air quality, climate, noise and vibration, the landscape and visual environment, historic and cultural heritage resources, and the interactions between them.
  - Nature of the impacts (*i.e.* direct, indirect, secondary, cumulative, short, medium and long-term, permanent and temporary, positive and negative).
  - Extent of the impact (geographical area, size of the affected population/habitat/species).
  - Magnitude and complexity of the impact.
  - Probability of the impact.
  - Duration, frequency and reversibility of the impact.
  - Mitigation incorporated into the project design to reduce, avoid or offset significant adverse impacts.
  - Transfrontier nature of the impact.
-

# CONSULTATIONS CHECKLIST

There are three main groups of organisations and individuals who it may be appropriate to consult during scoping. These are:

- environmental authorities
- other interested organisations
- the general public.

Types of organisations to be included in these three groups are listed below.

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## Checklist of Consultees for Scoping

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### 1. Environmental Authorities

- regional and local authorities
- authorities responsible for pollution control including water, waste, soil, noise and air pollution
- authorities responsible for protection of nature, cultural heritage and the landscape
- health and safety authorities
- land use control, spatial planning and zoning authorities
- authorities in neighbouring countries where transfrontier impacts may be an issue

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### 2. Other Interested Parties

- local, national and international environmental and social interest groups
- sectoral government departments responsible for agriculture, energy, forestry, fisheries, etc whose interests may be affected
- international and transfrontier agencies whose interests may be affected eg cross-border river basin commissions
- local employers' and business associations such as Chambers of Commerce, trade associations, etc
- employees' organisations such as trades unions
- groups representing users of the environment, eg farmers, fishermen, walkers, anglers, tourists, local wildlife groups
- research institutes, universities and other centres of expertise
- the general public

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### 3. The General Public

- landowners and residents
  - general members of the local and wider public
  - elected representatives and community figures such as religious leaders or teachers;
  - local community groups, residents groups, etc;
-

# SCOPING CHECKLIST

## Instructions

This checklist is designed to help users identify the likely significant environmental effects of proposed projects during scoping. It is to be used in conjunction with the [Checklist of Criteria for Evaluating the Significance of Impacts](#). There are two stages:

- first, identifying the potential impacts of projects;
- second selecting those which are likely to be significant and therefore require most attention in the assessment.

A useful way of identifying the potential impacts of a project is to identify all the activities or sources of impact that could arise from construction, operation or decommissioning of the project, and to consider these alongside the characteristics of the project environment that could be affected, to identify where there could be interactions between them. The two parts of the [Scoping Checklist](#) have been developed to assist in this process.

Start with the checklist of questions set out below. Complete Column 2 by answering:

- yes - if the activity is likely to occur during implementation of the project;
- no - if it is not expected to occur;
- ? - if it is uncertain at this stage whether it will occur or not.

For each activity for which the answer in Column 2 is “Yes” or “?”, refer to the second part of the [Scoping Checklist](#) which lists characteristics of the project environment which could be affected, and identify any which could be affected by that activity. Information will be needed about the surrounding environment in order to complete this stage. Note the characteristics of the project environment that could be affected, and the nature of the potential effects in Column 3.

Finally, use [Checklist of Criteria for Evaluating the Significance of Impacts](#) to help complete Column 4. This will identify those impacts which are expected to be significant. The questions are designed so that a “yes” answer will point towards a significant impact. It is often difficult to decide what is or is not significant but a useful simple check is to ask whether the effect is one that is of sufficient importance that it ought to be considered and have an influence on the development consent decision. As much information as possible about the degree of significance should be included in Column 4 as a guide for planning the environmental studies.

Some examples illustrating how to use the checklist are given below.

No.	Questions to be considered in Scoping	Yes/ No/ ?	Which Characteristics of the Project Environment could be affected?	Is the effect likely to be significant? Why?
<b>1. Will the project involve any actions during construction, operation or decommissioning which would create changes in the locality as a result of the nature, scale, form or purpose of the new development?</b>				
1.6	Demolition works?	yes	Will require demolition of 2 historic buildings	Yes - Buildings are nationally designated
1.11	Dredging?	yes	Will involve dredging of canal to create new waterfront	No - Canal is regularly dredged anyway
<b>2. Will the project use any natural resources, especially any resources which are non-renewable or in short supply?</b>				
2.4	Aggregates?	Yes	Creation of development platform will use large amount of imported material – soil and aggregate. Indirect effect at extraction sites which are in greenfield area	Yes – major change in environment at extraction sites. Impact on large numbers of people nearby. Will place major strain on local supplies

**3. Will the project involve use, storage, transport, handling or production of substances or materials which could be harmful to human health or the environment or raise concerns about actual or perceived risks to human health?**

3.4	Are there especially vulnerable groups of people who could be affected by the project eg hospital patients, the elderly?	Yes	Project location is adjacent to regional hospital and long term care centre. Potential for significant noise and other disturbance during construction	Yes - Hospital environment may become much noisier over one year construction period.
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**4. Will the project produce solid wastes during construction or operation or decommissioning?**

4.2	Municipal waste (household and or commercial wastes)?	Yes	New population will generate household and other wastes	No- there is ample local waste management capacity
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**5. Will the project release pollutants or any hazardous, toxic or noxious substances to air?**

5.5	Dust or odours from handling of materials including construction materials, sewage and waste?	yes	Earth moving during construction could be dusty in dry climate and affect neighbouring habitats and residents	Yes - Habitat is internationally protected and vulnerable to dust deposition. Condition of hospital patients could be worsened by exposure to dust
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**6. Will the project cause noise and vibration or release of light, heat energy or electromagnetic radiation?**

6.5	From construction or operational traffic?	yes	Heavy traffic flows for import of material during construction affecting residents and hospital	Yes – noise levels already elevated by traffic and industry
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**7. Will the project lead to risks of contamination of land or water from releases of pollutants onto the ground or into sewers, surface waters, groundwater, coastal waters or the sea?**

7.2	From discharge of sewage or other effluents (whether treated or untreated) to water or the land?	Yes	Increase in municipal sewage flows from new residents	Possibly – depends on requirement for new treatment facilities
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**8. Is there a risk of accidents during construction or operation of the project which could affect human health or the environment?**

8.4	Could the project be affected by natural disasters causing environmental damage (eg floods, earthquakes, landslip, etc)?	yes	Development is within floodplain	Yes – Government policy cautions against development in areas susceptible to flooding
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**9. Will the project result in social changes?**

9.1	Changes in population size, age, structure, social groups etc?	yes	New population of 10,000 will increase number in immediate area from 5,000 to 15,000 and change character from rural to urban environment. Will affect existing community, cultural identity and economic conditions and introduce differential housing conditions	Yes – local community is small scale and well-established with strong community institutions and identity
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When using this [Scoping Checklist](#) it is important to remember that **secondary and higher order effects** can occur as a result of a **primary interaction** between a project activity and the project environment. So for example, a change in site run-off can affect the hydrology of a watercourse; this can subsequently affect water quality and the ecology of the watercourse; and this can then affect fishing and other uses of the water. Where a primary effect is identified the user should always think about whether secondary or further effects on other aspects of the environment could arise as a result.

Users should also remember that effects can occur not only **permanently** and over the **long term** but also **temporarily**, for example just during construction, commissioning or decommissioning or just during certain phases of project operation, or that may occur only **intermittently**, for example during certain periods of activity or times of year or as **a result of abnormal events** affecting the project (accidents, freak weather conditions, earthquakes, etc.).

The Directive also requires EIA to consider effects that could arise **indirectly** from the project, for example as a result of other development which takes place as a consequence of the project e.g. to provide access, power or water supplies, sewage treatment or waste disposal, or to house or provide jobs for people attracted to the area by the project. It also requires consideration of **cumulative effects** that could arise from a combination of the project's effects with those of other existing or planned developments in the surrounding area. Further guidance is available from the Commission in "Guidelines for the Assessment of Indirect and Cumulative Impacts as well as Impact Interactions". This document can be viewed at <http://europa.eu.int/comm/environment/eia/eia-studies-and-reports/guidel.pdf>.

A convenient way of thinking about this checklist is to visualise the two parts as the vertical and horizontal axes of a virtual matrix. The lists are too long to be practically presented as a real matrix and even if they could be the individual cells in the matrix would be too small to contain any useful information about the nature or significance of the effects, but the concept is a useful one when thinking about scoping.

Further instructions for using the second part of the checklist are given at the beginning of the [Checklist of Criteria for Evaluating the Significance of Impacts](#).

## PART 1 OF THE SCOPING CHECKLIST: QUESTIONS ON PROJECT CHARACTERISTICS

No.	Questions to be considered in Scoping	Yes/No/?	Which Characteristics of the Project Environment could be affected and how?	Is the effect likely to be significant? Why?
<b>1. Will construction, operation or decommissioning of the Project involve actions which will cause physical changes in the locality (topography, land use, changes in waterbodies, etc)?</b>				
1.1	Permanent or temporary change in land use, landcover or topography including increases in intensity of land use?			
1.2	Clearance of existing land, vegetation and buildings?			
1.3	Creation of new land uses?			
1.4	Pre-construction investigations eg boreholes, soil testing?			
1.5	Construction works?			
1.6	Demolition works?			
1.7	Temporary sites used for construction works or housing of construction workers?			
1.8	Above ground buildings, structures or earthworks including linear structures, cut and fill or excavations?			
1.9	Underground works including mining or tunnelling?			
1.10	Reclamation works?			
1.11	Dredging?			
1.12	Coastal structures eg seawalls, piers?			
1.13	Offshore structures?			
1.14	Production and manufacturing processes?			
1.15	Facilities for storage of goods or materials?			
1.16	Facilities for treatment or disposal of solid wastes or liquid effluents?			

No.	Questions to be considered in Scoping	Yes/No/?	Which Characteristics of the Project Environment could be affected and how?	Is the effect likely to be significant? Why?
1.17	Facilities for long term housing of operational workers?			
1.18	New road, rail or sea traffic during construction or operation?			
1.19	New road, rail, air, waterborne or other transport infrastructure including new or altered routes and stations, ports, airports etc?			
1.20	Closure or diversion of existing transport routes or infrastructure leading to changes in traffic movements?			
1.21	New or diverted transmission lines or pipelines?			
1.22	Impoundment, damming, culverting, realignment or other changes to the hydrology of watercourses or aquifers?			
1.23	Stream crossings?			
1.24	Abstraction or transfers of water from ground or surface waters?			
1.25	Changes in waterbodies or the land surface affecting drainage or run-off?			
1.26	Transport of personnel or materials for construction, operation or decommissioning?			
1.27	Long term dismantling or decommissioning or restoration works?			
1.28	Ongoing activity during decommissioning which could have an impact on the environment?			
1.29	Influx of people to an area in either temporarily or permanently?			
1.30	Introduction of alien species?			
1.31	Loss of native species or genetic diversity?			
1.32	Any other actions?			
<b>2. Will construction or operation of the Project use natural resources such as land, water, materials or energy, especially any resources which are non-renewable or in short supply?</b>				
2.1	Land especially undeveloped or agricultural land?			
2.2	Water?			

No.	Questions to be considered in Scoping	Yes/No/?	Which Characteristics of the Project Environment could be affected and how?	Is the effect likely to be significant? Why?
2.3	Minerals?			
2.4	Aggregates?			
2.5	Forests and timber?			
2.6	Energy including electricity and fuels?			
2.7	Any other resources?			

**3. Will the Project involve use, storage, transport, handling or production of substances or materials which could be harmful to human health or the environment or raise concerns about actual or perceived risks to human health?**

3.1	Will the project involve use of substances or materials which are hazardous or toxic to human health or the environment (flora, fauna, water supplies)?			
3.2	Will the project result in changes in occurrence of disease or affect disease vectors (eg insect or water borne diseases)?			
3.3	Will the project affect the welfare of people eg by changing living conditions?			
3.4	Are there especially vulnerable groups of people who could be affected by the project eg hospital patients, the elderly?			
3.5	Any other causes?			

**4. Will the Project produce solid wastes during construction or operation or decommissioning?**

4.1	Spoil, overburden or mine wastes?			
4.2	Municipal waste (household and or commercial wastes)?			
4.3	Hazardous or toxic wastes (including radioactive wastes)?			
4.4	Other industrial process wastes?			
4.5	Surplus product?			
4.6	Sewage sludge or other sludges from effluent treatment?			
4.7	Construction or demolition wastes?			

No.	Questions to be considered in Scoping	Yes/No/?	Which Characteristics of the Project Environment could be affected and how?	Is the effect likely to be significant? Why?
4.8	Redundant machinery or equipment?			
4.9	Contaminated soils or other material?			
4.10	Agricultural wastes?			
4.11	Any other solid wastes?			
<b>5. Will the Project release pollutants or any hazardous, toxic or noxious substances to air?</b>				
5.1	Emissions from combustion of fossil fuels from stationary or mobile sources?			
5.2	Emissions from production processes?			
5.3	Emissions from materials handling including storage or transport?			
5.4	Emissions from construction activities including plant and equipment?			
5.5	Dust or odours from handling of materials including construction materials, sewage and waste?			
5.6	Emissions from incineration of waste?			
5.7	Emissions from burning of waste in open air (eg slash material, construction debris)?			
5.8	Emissions from any other sources?			
<b>6. Will the Project cause noise and vibration or release of light, heat energy or electromagnetic radiation?</b>				
6.1	From operation of equipment eg engines, ventilation plant, crushers?			
6.2	From industrial or similar processes?			
6.3	From construction or demolition?			
6.4	From blasting or piling?			
6.5	From construction or operational traffic?			

No.	Questions to be considered in Scoping	Yes/No/?	Which Characteristics of the Project Environment could be affected and how?	Is the effect likely to be significant? Why?
6.6	From lighting or cooling systems?			
6.7	From sources of electromagnetic radiation (consider effects on nearby sensitive equipment as well as people)?			
6.8	From any other sources?			
<b>7. Will the Project lead to risks of contamination of land or water from releases of pollutants onto the ground or into sewers, surface waters, groundwater, coastal waters or the sea?</b>				
7.1	From handling, storage, use or spillage of hazardous or toxic materials?			
7.2	From discharge of sewage or other effluents (whether treated or untreated) to water or the land?			
7.3	By deposition of pollutants emitted to air, onto the land or into water?			
7.4	From any other sources?			
7.5	Is there a risk of long term build up of pollutants in the environment from these sources?			
<b>8. Will there be any risk of accidents during construction or operation of the Project which could affect human health or the environment?</b>				
8.1	From explosions, spillages, fires etc from storage, handling, use or production of hazardous or toxic substances?			
8.2	From events beyond the limits of normal environmental protection eg failure of pollution control systems?			
8.3	From any other causes?			
8.4	Could the project be affected by natural disasters causing environmental damage (eg floods, earthquakes, landslip, etc)?			
<b>9. Will the Project result in social changes, for example, in demography, traditional lifestyles, employment?</b>				
9.1	Changes in population size, age, structure, social groups etc?			
9.2	By resettlement of people or demolition of homes or communities or community facilities eg schools, hospitals, social facilities?			
9.3	Through in-migration of new residents or creation of new communities?			
9.4	By placing increased demands on local facilities or services eg housing, education, health?			

No.	Questions to be considered in Scoping	Yes/No/?	Which Characteristics of the Project Environment could be affected and how?	Is the effect likely to be significant? Why?
9.5	By creating jobs during construction or operation or causing the loss of jobs with effects on unemployment and the economy?			
9.6	Any other causes?			
<b>Question - Are there any other factors which should be considered such as consequential development which could lead to environmental effects or the potential for cumulative impacts with other existing or planned activities in the locality?</b>				
9.1	Will the project lead to pressure for consequential development which could have significant impact on the environment eg more housing, new roads, new supporting industries or utilities, etc?			
9.2	Will the project lead to development of supporting facilities, ancillary development or development stimulated by the project which could have impact on the environment eg: <ul style="list-style-type: none"> <li>• supporting infrastructure (roads, power supply, waste or waste water treatment, etc)</li> <li>• housing development</li> <li>• extractive industries</li> <li>• supply industries</li> <li>• other?</li> </ul>			
9.3	Will the project lead to after-use of the site which could have an impact on the environment?			
9.4	Will the project set a precedent for later developments?			
9.5	Will the project have cumulative effects due to proximity to other existing or planned projects with similar effects?			

## PART 2 OF THE SCOPING CHECKLIST: CHARACTERISTICS OF THE PROJECT ENVIRONMENT

For each project characteristic identified in Part consider whether any of the following environmental components could be affected.

<p><b>Question - Are there features of the local environment on or around the Project location which could be affected by the Project?</b></p> <ul style="list-style-type: none"> <li>• Areas which are protected under international or national or local legislation for their ecological, landscape, cultural or other value, which could be affected by the project?</li> <li>• Other areas which are important or sensitive for reasons of their ecology e.g. <ul style="list-style-type: none"> <li>• Wetlands,</li> <li>• Watercourses or other waterbodies,</li> <li>• the coastal zone,</li> <li>• mountains,</li> <li>• forests or woodlands</li> </ul> </li> <li>• Areas used by protected, important or sensitive species of fauna or flora e.g. for breeding, nesting, foraging, resting, overwintering, migration, which could be affected by the project?</li> <li>• Inland, coastal, marine or underground waters?</li> <li>• Areas or features of high landscape or scenic value?</li> <li>• Routes or facilities used by the public for access to recreation or other facilities?</li> <li>• Transport routes which are susceptible to congestion or which cause environmental problems?</li> <li>• Areas or features of historic or cultural importance?</li> </ul>
<p><b>Question - Is the Project in a location where it is likely to be highly visible to many people?</b></p>
<p><b>Question - Is the Project located in a previously undeveloped area where there will be loss of greenfield land?</b></p>
<p><b>Question - Are there existing land uses on or around the Project location which could be affected by the Project? For example:</b></p> <ul style="list-style-type: none"> <li>• Homes, gardens, other private property,</li> <li>• Industry,</li> <li>• Commerce,</li> <li>• Recreation,</li> <li>• public open space,</li> <li>• community facilities,</li> <li>• agriculture,</li> <li>• forestry,</li> <li>• tourism,</li> <li>• mining or quarrying</li> </ul>
<p><b>Question - Are there any plans for future land uses on or around the location which could be affected by the Project?</b></p>
<p><b>Question - Are there any areas on or around the location which are densely populated or built-up, which could be affected by the Project?</b></p>
<p><b>Question - Are there any areas on or around the location which are occupied by sensitive land uses which could be affected by the Project?</b></p> <ul style="list-style-type: none"> <li>• hospitals,</li> <li>• schools,</li> <li>• places of worship,</li> <li>• community facilities</li> </ul>
<p><b>Question - Are there any areas on or around the location which contain important, high quality or scarce resources which could be affected by the Project? For example:</b></p> <ul style="list-style-type: none"> <li>• groundwater resources,</li> <li>• surface waters,</li> <li>• forestry,</li> <li>• agriculture,</li> <li>• fisheries,</li> <li>• tourism,</li> <li>• minerals.</li> </ul>
<p><b>Question - Are there any areas on or around the location of the Project which are already subject to pollution or environmental damage e.g. where existing legal environmental standards are exceeded, which could be affected by the project?</b></p>

**Question - Is the Project location susceptible to earthquakes, subsidence, landslides, erosion, flooding or extreme or adverse climatic conditions e.g. temperature inversions, fogs, severe winds, which could cause the project to present environmental problems?**

**Question - Is the Project likely to affect the physical condition of any environmental media?**

- The atmospheric environment including microclimate and local and larger scale climatic conditions?
- Water - eg quantities, flows or levels of rivers, lakes, groundwater. Estuaries, coastal waters or the sea?
- Soils - eg quantities, depths, humidity, stability or erodibility of soils?
- Geological and ground conditions?

**Question - Are releases from the Project likely to have effects on the quality of any environmental media?**

- Local air quality?
- Global air quality including climate change and ozone depletion
- Water quality – rivers, lakes, groundwater. Estuaries, coastal waters or the sea?
- Nutrient status and eutrophication of waters?
- Acidification of soils or waters?
- Soils
- Noise?
- Temperature, light or electromagnetic radiation including electrical interference?
- Productivity of natural or agricultural systems?

**Question - Is the Project likely to affect the availability or scarcity of any resources either locally or globally?**

- Fossil fuels?
- Water?
- Minerals and aggregates?
- Timber?
- Other non-renewable resources?
- Infrastructure capacity in the locality - water, sewerage, power generation and transmission, telecommunications, waste disposal roads, rail?

**Question - Is the Project likely to affect human or community health or welfare?**

- The quality or toxicity of air, water, foodstuffs and other products consumed by humans?
- Morbidity or mortality of individuals, communities or populations by exposure to pollution?
- Occurrence or distribution of disease vectors including insects?
- Vulnerability of individuals, communities or populations to disease?
- Individuals' sense of personal security?
- Community cohesion and identity?
- Cultural identity and associations?
- Minority rights?
- Housing conditions?
- Employment and quality of employment?
- Economic conditions?
- Social institutions?

# CHECKLIST OF CRITERIA FOR EVALUATING THE SIGNIFICANCE OF IMPACTS

## Instructions for Scoping

This checklist is designed to help users decide whether or not an impact is likely to be significant and is to be used in conjunction with the [Scoping Checklist](#).

The [Scoping Checklist](#) provides a list of questions to help identify where there is the potential for interactions between a project and its environment. This checklist is designed to help decide whether those interactions - effects - are likely to be significant.

Those responsible for scoping often find difficulties in defining what is “significant”. A useful simple check is to ask whether the effect is one that ought to be considered and to have an influence on the development consent decision. At the early stages of a project there is likely to be little information on which to base this decision but the following list of questions may be helpful.

The questions to be asked are the same as in [Screening](#) but at the Scoping stage it is important to provide as much information as possible on why the effect is considered likely to be significant, rather than a simple “yes/no” answer.

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### Questions to be Considered

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1. Will there be a large change in environmental conditions?
  2. Will new features be out-of-scale with the existing environment?
  3. Will the effect be unusual in the area or particularly complex?
  4. Will the effect extend over a large area?
  5. Will there be any potential for transfrontier impact?
  6. Will many people be affected?
  7. Will many receptors of other types (fauna and flora, businesses, facilities) be affected?
  8. Will valuable or scarce features or resources be affected?
  9. Is there a risk that environmental standards will be breached?
  10. Is there a risk that protected sites, areas, features will be affected?
  11. Is there a high probability of the effect occurring?
  12. Will the effect continue for a long time?
  13. Will the effect be permanent rather than temporary?
  14. Will the impact be continuous rather than intermittent?
  15. If it is intermittent will it be frequent rather than rare?
  16. Will the impact be irreversible?
  17. Will it be difficult to avoid, or reduce or repair or compensate for the effect?
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# CHECKLIST OF POTENTIAL ALTERNATIVES AND MITIGATION MEASURES

One aim of Scoping is to identify alternatives and mitigation measures which it may be appropriate for the developer to consider in finalising the project proposals.

The following checklist provides examples of the types of alternatives and measures which may be available and which could reduce the environmental impact of the project.

The EU Directives do not require developers to consider alternatives in EIA but it is generally considered to be good practice to give some consideration to whether there are any feasible alternatives to a project which ought to be considered. If any alternatives are considered the Directives require the developer to describe them in the EIS and to explain their reasons for choosing the proposed project.

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## **Types of Alternatives and Mitigating Measures to be Considered**

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- Measures to manage demand for goods or services
  - Measures to conserve or reduce wastage of resources
  - Different approaches to meeting demand
  - Locations or routes
  - Processes or technologies
  - Working methods
  - Site plans and layouts
  - Design of structures
  - Types and sources of materials
  - Product specifications
  - Timetable for construction, operation and decommissioning including any phasing of the project
  - Start and finish dates
  - Size of the site or facility
  - Level of production
  - Responsibilities for implementation
  - Pollution controls
  - Waste disposal arrangements including recycling, recovery, reuse and final disposal
  - Access arrangements and routes for traffic to and from the site
  - Ancillary facilities
  - Management methods and systems
  - Environmental management responsibilities and procedures
  - Employment and staff training
  - Monitoring and contingency plans
  - Decommissioning arrangements, site restoration and after-use
  - Do Nothing or Do Minimum
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## APPENDIX A

### ENVIRONMENTAL INFORMATION REQUIREMENTS SET OUT IN ANNEX IV OF DIRECTIVE 97/11/EC

Article 5(1) of Directive 97/11/EC requires the Developer to provide to the Competent Authority the information set out below in so much as the information is relevant to the given stage of the consent procedure and to the specific characteristics of the project and of the environmental features likely to be affected, and the developer may reasonably be required to compile the information having regard *inter alia* to current knowledge and methods of assessment.

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#### Environmental Information Requirements for EIA

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1. Description of the project, including in particular:
    - a description of the physical characteristics of the whole project and the land-use requirements during the construction and operational phases,
    - a description of the main characteristics of the production processes, for instance, nature and quantity of the materials used,
    - an estimate, by type and quantity, of expected residues and emissions (water, air and soil pollution, noise, vibration, light, heat, radiation, etc.) resulting from the operation of the proposed project.
  2. An outline of the main alternatives studied by the developer and an indication of the main reasons for this choice, taking into account the environmental effects.
  3. A description of the aspects of the environment likely to be significantly affected by the proposed project, including, in particular, population, fauna, flora, soil, water, air, climatic factors, material assets, including the architectural and archaeological heritage, landscape and the inter-relationship between the above factors.
  4. A description of the likely significant effects of the proposed project on the environment resulting from:
    - the existence of the project,
    - the use of natural resources,
    - the emission of pollutants, the creation of nuisances and the elimination of waste,and the description by the developer of the forecasting methods used to assess the effects on the environment.
  5. A description of the measures envisaged to prevent, reduce and where possible offset any significant adverse effects on the environment
  6. A non-technical summary of the information provided under the above headings.
  7. An indication of any difficulties (technical deficiencies or lack of know-how) encountered by the developer in compiling the required information.
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