

GUIDELINES FOR ENVIRONMENTAL ASSESSMENTS FOR UN-HABITAT ACTIVITIES







Environmental Assessments (EA) have been of global concern over

the last three decades. Their overall purpose is to minimize potentially adverse impacts that development projects might have on the environment and to enhance the overall quality of the projects. International, as well as national legal instruments, increasingly require EA to be integrated into socio-economic development programmes. However, critical issues still remain: the scope of the impacts to be assessed, projects to be covered and availability of information to the public and their participation in the process.

The transformed UN-HABITAT, in responding to its mandates, commitments and challenges of implementing the Habitat Agenda, has for the first time introduced the *Guidelines for Environment Assessment Requirements in UN-HABITAT Activities*, exclusively for its projects.

The Guidelines have been developed to assist Agency's staff, consultants, partners and all those involved with UN-HABITAT programming to ensure that EA considerations are integrated into the UN-HABITAT project and programme cycle management. They address key areas including UN-HABITAT's stand on EA; procedural issues related to EA requirements; how and when to carry out the EA; appropriate levels of EA and what they are expected to achieve; monitoring and evaluation of the implementation of the EA recommendations; and the overall integration of EA in UN-HABITAT programming.

These Guidelines have been prepared drawing from UN-HABITAT's field experience, existing environmental management and assessment tools as well as a variety of guide sources including those of other United Nations and donor agencies, such as CIDA, SIDA, DFID, IFAD, the World Bank, etc. They are flexible to be applied to the entire range of the UN-HABITAT projects.

Our thanks are extended to many individuals who contributed to these guidelines. Specifically, I would like to thank the team that was tasked to develop the guidelines. It includes the consultant, Ms. Anjali Saini, staff members of UN-HABITA Mr. Ole Lyse, Mr. Mohammed El-Sioufi, Mr. Kibe Muigai, Mr. André Dzikus, Ms. Lorna Wadeyua, Mr. Martin Barugahare who coordinated and led the team; and Ms. Sandra Bos of UNEP. Thanks also to Ms. Mary Oyiolo for Secretarial assistance and to ISS for assistance with printing. I am also grateful to CIDA for their constructive comments that helped to improve the guidelines.

UN-HABITAT welcomes views, comments and suggestions on the guidelines. We shall continue to update them based on the feedback and as we use them in the field. The Guidelines have been adopted by UN-HABITAT. Let us use them.

Anna Kajumulo Tibaijuka Under Secretary-General and Executive Director UN-HABITAT Nairobi, September 2004

ACRONYMS AND ABBREVIATIONS

ADB	Asian Development Bank			
CEMIS	Community Based Environmental Management Systems			
CIDA	Canadian International Development Agency			
DFID	Department for International Development			
EA	Environmental Assessments			
EC	The European Commission			
EIA	Environmental Impact Assessment			
EPM	Environmental Planning and Management			
EMP	Environmental Management Plan			
IAP	Interested and Affected Parties			
IFAD	International Fund for Agricultural Development			
IUCN-EARO	The World Conservation Union Eastern Africa Regional Office			
LFA	Logical Framework Approach			
NGO	Non-Governmental Organizations			
PRC	Project Review Committee			
SCP	Sustainable Cities Programme			
SEA	Strategic Environmental Assessment			
SIDA	Swedish International Development Agency			
TOR	Terms of Reference			
UMP	Urban Management Programme			
UNDP	United Nations Development Programme			
UNEP	United Nations Environment Programme			
UN-ESCAP	United Nations Economic and Social Commission for Asia and			
	the Pacific			
UN-HABITAT	United Nations Human Settlements Programme			

UNHCR United Nations High Commissioner for Refugees

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Chapter One

1.0 INTRODUCTION

The United Nations Human Settlements Programme (UN-HABITAT) is the UN system-wide focal point for human settlements issues. UN-HABITAT is also tasked with coordinating and monitoring global progress in the implementation of the Habitat Agenda.¹ The two key goals of the Habitat Agenda are the provision of "Adequate Shelter for All" and the development of "Sustainable Human Settlements". Paragraph 137h of the Habitat Agenda specifically mandates governments and partners to undertake environmental assessments (EA) for development plans and projects² that may significantly affect the quality of the environment.

The "Declaration on Cities and Other Human Settlements in the New Millennium", which is the United Nations General Assembly Resolution S-25/2 (2001), reaffirmed that the Istanbul Declaration³ and the Habitat Agenda will remain the basic framework for sustainable human settlements development in the years to come. Additionally, target 11 of the Millennium Development Goal 7 on *Ensuring Environmental Sustainability*, specifically gives UN-HABITAT the responsibility to achieve significant improvement in the lives of at least 100 million slum dwellers by 2020.

The outcomes of the World Summit on Sustainable Development (WSSD) held in 2002 (also known as the Johannesburg Declaration on Sustainable Development), have references to the work of UN-HABITAT in poverty eradication, protecting and managing the natural resource base of economic and social development and institutional framework for sustainable development. Paragraphs 6 and 7 of the outcomes further commit UN-HABITAT to contribute to halving the number of people without sustainable access to safe drinking water and sanitation by 2015.

The response of UN-HABITAT to its mandates and commitments described above, as well as the challenges of implementing the Habitat Agenda, must be understood in the context of a revitalized UN-HABITAT. The transformed UN-HABITAT has established strategies to prioritize sustainable urbanization activities and to address problems stemming from massive urban growth. Integrating EA in UN-HABITAT projects will ensure that development activities under consideration are environmentally sustainable.

¹ The Habitat Agenda is the main political document that came out of the Habitat II conference in Istanbul in June 1996. Adopted by 171 countries, it contains over 100 commitments and 600 recommendations on human settlements issues.

² For the purpose of these Guidelines, the term "project" will be used to mean programmes and projects.

³ The Istanbul Declaration on Human Settlements of 1996 is a reaffirmation of the Habitat Agenda agreed separately at the Habitat II conference. It notably reaffirms the commitment of world governments to better standards of living in larger freedom for all humankind.

Although UN-HABITAT has accumulated experience in assessing the environmental impacts of its projects, its EA have, to a great extent, been steered by general guidelines developed by UN-HABITAT partners and by other UN agencies. Whilst these "borrowed" tools have provided a sound basis for EA, a revitalized UN-HABITAT requires its own specific guidelines.

It is against this background that for the first time, UN-HABITAT *Guidelines for Environmental Assessment Requirements for UN-HABITAT Activities* (the Guidelines) have been designed. They draw from UN-HABITAT's field experiences, existing environmental management and assessment tools, a variety of sources, including other UN agencies, donor and multilateral agencies such as CIDA, SIDA, DFID, the ADB and the World Bank. The Guidelines are developed as a long-term strategy to support proper planning and management of UN-HABITAT projects.

Although the Guidelines are not a reference manual to carry out EAs, they provide fundamental information about why and how EA are applied in UN-HABITAT programmes/projects. They are designed to facilitate EA process: From planning stage, design, implementation, monitoring and evaluation and sharing of results. They also offer understanding of the UN-HABITAT stand on EA. The emphasis is brought to the value EA offer and their potential for benefiting UN-HABITAT policies, programmes/projects, strategies and practices.

The Guidelines are divided into five chapters. Chapter 1 considers the purpose, conceptual framework for EA at UN-HABITAT, environmentdevelopment relationships in human settlements, importance of socioeconomic impacts in EA, Local-Global Environmental Linkages, advocating global commitments on EA and procedural issues relating to EA Requirements including timing, institutional arrangements, implementation issues relating to EA and integration of EA into the overall programme/project cycle. Chapter 2 provides an overview and essential elements in EA processes and techniques; Chapter 3 considers stakeholder participation and gender considerations in the EA process. Chapter 4 describes monitoring and evaluating recommendations on EA and reporting on them. Chapter 5 links the existing array of UN-HABITAT tools to various stages in the process. The appendices provide guidance such as checklists, report formats and additional resources on EA.

1.1 PURPOSE OF THE EA GUIDELINES

The present Guidelines have been formulated to assist all those involved with UN-HABITAT programming to:

• Ensure that EA considerations are integrated into UN-HABITAT project and programme cycle management.

- Ascertain that potential environmental consequences are foreseen and addressed early in all UN-HABITAT projects, so that the results can influence project design and provide support to decision-makers.
- Improve future project performance, by analyzing how the environment has been affected by implemented projects and lessons learnt fed into future project design.
- To comply with commitments under multilateral environmental agreements and to be consistent with best practices in sustainable development.

1.2 CONCEPTUAL FRAMEWORK FOR EA AT UN-HABITAT

The "environment" includes all aspects of the living and non-living world around us and the goods and services it provides. It encompasses the built environment, the natural environment, the social environment, the cultural environment and all natural resources, including air, land and water. The environment therefore provides sustenance to humanity and is the foundation for social and economic development. EA by its very nature must thus include the direct and indirect effects that a project may have.

As UN-HABITAT is a results-oriented and accountable agency, EA will be a key and intergral element in its programs/projects. They will be strategically applied as an integral work during project planning and designs, implementation, monitoring and evaluation, and its reporting.

Although some projects will not require formal EA under the guidelines, virtually all projects would benefit from environmental analysis which identifies environmental linkages and opportunities to advance the objectives of environmental conventions (e.g., desertification, climate change etc.), even when no direct "impacts" are anticipated by the projects primary activities.

Operationally, EA shall be undertaken:

- Throughout the project cycle, beginning as early as possible in the concept design phase;
- With clear reference to the requirements for project authorization and follow-up, including impact management;
- Consistent with the application of "best practicable" science and mitigation technology;
- In accordance with established procedures and project specific terms of reference;
- To provide meaningful public consultation with communities, groups and parties directly affected by, or with an interest in, the project and/or its environmental impacts.

The dimensions of conceptual framework for EA in UN-HABITAT are briefly outlined below.

1.2.1 Environment/Development Relationships in Human Settlements

Over the past two decades, the concept of sustainable development has shaped new approaches in the management of human settlements. This has contributed to a stronger awareness of environment-development relationships and a recognition that environmental degradation has largely been caused by inappropriate development policies and ineffective planning and management. The approaches are centered on three key pillars briefly summarized below:

- Sustainability of human settlements is fundamental to social and economic development. Human settlements are the essential engines of economic and social enhancement through job provision, population growth, provision of housing and services, and generation of the majority of a country's Gross National Product.
- Environmental degradation obstructs the development contribution of human settlements. Environmental degradation affects human health and well-being and directly impedes socio-economic development by imposing extra risks and costs on business, industry, households and public services.
- Environmental degradation is not inevitable. For sustainable development, the fundamental challenge is in urban governance learning how to plan better and more effectively manage the process of urban development, including better environmental management.

Since environmental problems relating to human settlements are complex, it is crucial for UN-HABITAT projects that there is a clear understanding of the two-way relationship between environment and development in human settlements projects summarized by the three key pillars above. Consequently, EA must therefore help guide decision-making to achieve the best possible balance between environmental impacts, on the one hand, and the kinds of impacts that are acceptable, on the other, given development needs.

1.2.2 The Importance of Social and Economic Impacts in EA

The 1996 Habitat II Conference drew the world's attention to the massive demographic shift of people to urban areas. In the 1950s, the number of

people living in urban areas was 750 million.⁴ By 2015, some 4 billion people will live in cities (53% of the world population).⁵

As the poor, marginalized groups, especially women and children, are disproportionately affected by environmental degradation, greater effort is necessary to promote more equitable access to urban and environmental services, along with more engagement and inclusiveness in governance, and enhanced employment opportunities. New and positive initiatives towards development should always have a fundamental question: *will the initiative or project foster or impede environmental sustainability?* (CIDA, 1995). Any project that is developed should be justified by being socially desirable, economically viable and environmentally sustainable.

It is critical for UN-HABITAT project managers to ensure that EA places emphasis on both environmental and socio-economic impacts. To be effective, EA processes will require not only scientific and technical integrity, but also a high level of stakeholder participation throughout the project cycle. In addition to direct environmental impacts of a project, there are other equally substantial impacts and consequences in respect of the social and economic environment of the people directly affected by development projects.

1.2.3 Cumulative, Interactive and Indirect Environmental Impacts

Ecosystems are complex and a project's impacts on the environment within an ecosystem may also be multifaceted. In addition to the direct environmental impacts of a project, it will also be important to consider:

Cumulative and interactive environmental impacts: These are impacts that are likely to result from the project in combination with other projects or activities that have been or will be carried out. To accurately predict the impacts of the proposed project, the other projects in the area that may have an effect on the same environmental components should be taken into account.

Indirect environmental impacts: These are impacts on the environment which are not a direct result of the project and are often produced away from the project or as a result of a complex pathway. For example, an emergency settlement may cause deforestation due to the demand for timber and fuel. This in turn would affect water and fuel availability and have an indirect impact on girls' education due to increased times spent in collecting water and fuel.

Impacts of the environment on a project: These will form part of the risk assessment of a project, and are an important dimension to EA that is

⁴ United Nations Population Division 1998, as cited in UNEP, GEO 2000, p.11.

⁵ United Nations (2000) World Urbanization Prospectus.

sometimes overlooked. Examples include severe weather conditions which may pose threats to infrastructure due to flooding or landslides and receding water tables which could cause a threat to health and agriculture.

Transboundary and intergenerational environmental impacts: These are adverse impacts that are likely to occur across state or international boundaries (for example, air pollution, or water pollution in rivers and lakes) and impacts that are transmitted from one generation to the next.

Environmental consequences of potential malfunctions or accidents: These also form part of a risk assessment of a project, in which the likelihood of the accident occurring is weighed against the significance of the environmental consequence in order to make decisions about appropriate mitigation measures.

1.2.4 Local - Global Environmental Linkages

The impact of urban areas on the environment gets stronger due to increasing urbanization and this affects national, regional and global environment levels. Besides, there is a mutual impact between rural and urban areas. Parallel to the growing impact, local authorities and their residents play a stronger role in addressing national, regional and global environment issues.

Many local issues have an equivalent impact at the global level, e.g., local air pollution from transport and industry contributes to national and global air pollution; land-based impact on eco-systems and marine environment; valuable ecosystems and wetlands surrounding urban areas. It is important that local authorities become more aware of the crucial role they play in global urban environmental issues and their contribution to both the problems and the solutions. There is a strong need for support programmes such as UNEP, UN-HABITAT, etc., to address and link global-regional-local issues and support local authorities to develop mechanisms to deal with local to global environmental issues.

1.2.5 Advocating Global Commitments on EA

EA development can be traced from the establishment of EIA in the domestic law of the United States under the 1972 Environmental Protection Act. Since then, the concept of Sustainable Development has been a driving force in promoting the use of EA, the principles of which have been developed and advocated through a number of international agreements. As a result, EA has increasingly been adopted in national legislation in many countries around the world. Some of the international agreements, which were significant milestones in EA development, are:

- The U.N. Conference on the Human Environment, 1972: the first global meeting on the environment, focussing primarily on human aspects of environmental issues.
- The Cocoyoc Declaration, 1974: addressed fundamental human needs within the limits of environmental carrying capacity.
- The UNEP Principles of Conduct, 1978: proposed that "states should make an environmental impact assessment before engaging in any activity with respect to a shared resource which may create a risk of significantly affecting the environment of another state or states sharing that resource".
- The World Conservation Strategy, 1980: launched the concept of sustainable development, and stressed the importance of integrating environmental protection and conservation values into development processes.
- The Experts Group on Environmental Law of the World Commission on Environment and Development, 1986: identified environmental impact assessment as a principle of international law.
- The World Commission on Environment and Development (WCED), also known as The Brundtland Commission, 1987: produced the now almost universally quoted definition of sustainable development
- The European Council Directive (85/337/EEC), 1987: Assessment of the effects of certain Public and Private Projects on the environment
- The **Fourth Lomé** Convention, 1989: the first Development Convention to incorporate the lessons of the Brundtland Commission.⁶
- References to EA in Agenda 21, 1992: makes references to EA by calling on countries assess the environmental suitability of infrastructure in human settlements to ensure that relevant decisions are preceded by environmental impact assessments and also take into account the costs of any ecological consequences.
- The Second United Nations World Conference on Human Settlements (Habitat II), Istanbul 1996: acknowledged the direct and vital contribution that productive and sustainable cities can make to social and economic advancement in its global agenda for co-operation.

As an agency committed to environmental sustainability, UN-HABITAT is compelled not only to apply EA to inform and guide its operational projects and policies, but also to advocate best practices in sustainable development and EA to all other project partners.

1.3 PROCEDURAL ISSUES RELATING TO EA

Success in performing EA depends on the right approach, competence and qualified assessors to ensure that the results are accurate, useful and workable. Good EA will not only depend on what is recommended but also on

⁶ Article 4 of the **Lomé** Convention states that "development shall be based on sustainable balance between its economic objectives, the rational management of the environment and the enhancement of natural and human resources".

how the recommendations were arrived at. It will also depend on the involvement and participation of the stakeholders throughout the EA.

When determining how the EA is to be carried out, three critical issues, among others, should be taken into account: (i) Optimizing results and recommendations from the EA, (ii) ensuring participation of stakeholders in EA, and (iii) defining the results to be achieved.

1.3.1 Timing

- The duration of an EA will vary from case to case according to the size and scope of the project, its potential effects on the environment and the legislative requirements of the country where the EA is being carried out.
- However, environmental issues and EA activities should be initiated as early as possible in the project planning cycle and an interactive approach should be adopted as much as possible.

1.3.2 Institutional Arrangements

- UN-HABITAT will ensure that necessary EA are carried out and integrated into the UN-HABITAT project cycle (see Figure 1), and that projects are monitored and evaluated for compliance to EA recommendations.
- Resources will be allocated within project budgets to ensure appropriate EA are conducted. Depending on the nature of the project, and institutions involved the resources can either be mobilized from the partners involved.
- The staff and management of UN-HABITAT shall be responsible for mainstreaming environmental considerations within all UN-HABITAT projects. For all projects above US\$100,000, the Project Review Committee (PRC) of UN-HABITAT will subject the project to additional environmental peer review before decision is made on whether or not a project can proceed given the likelihood of significant residual environmental effects (after mitigation measures). See details in Glossary.
- Project Managers will ensure that any EA undertaken for a UN-HABITAT project is appropriate and in compliance with existing national legislation in the partner country and/or other development agencies or donors, as appropriate.
- UN-HABITAT will encourage partners to develop, improve and implement their own EAs and determine appropriate tools and mechanisms for undertaking them. UN-HABITAT will help strengthen technical capacity to carry out EA-related functions, in case of need.

- UN-HABITAT will allocate resources within project budgets for EA, either from within UN-HABITAT or its partners, depending on the nature of the project and the institutions involved. In cases where donors insist on a specific format (as is the case with the EC and some others like UNDP), the project document should fulfill their requirements.
- UN-HABITAT will ensure that these Guidelines, any additional tools for EA and case studies of EA best practices, will be dynamic, updated and streamlined based on lessons learnt.

1.4 IMPLEMENTATION ISSUES

The UN-HABITAT Programme Review Committee (PRC) will be responsible for ensuring that EA are in accordance with Agency's priorities. The EA will be planned and carried out in response to management's needs. The **Environmental Section**, in **Urban Development Branch** at UN-HABITAT shall be responsible for developing Terms of Reference and institutional implementation plan for the EA. Roles and responsibilities for UN-HABITAT staff and management will be defined together with accountabilities and lines of reporting. This is to ensure that senior managers, project officers and environmental specialists know their roles and responsibilities and that compliance can be objectively verified.

The final decision to proceed with EA will be the responsibility of the sponsor for the specific project in the context of UN-HABITAT's mandate and priorities.

1.5 PREPARING TERMS OF REFERENCE

UN-HABITAT environmental specialist will prepare TORs once the decision is made to proceed with EA. The TORs will offer substantive overview of EA. They will be prepared in collaboration with parties involved and approved by the PRC. TORs will guide the Environment assessor to prepare the work plan.

More specifically TORs will address:

- Why the EA is to be carried out and what is expected to be achieved
- The issues to be addressed
- Scope and focus
- Resources available
- Stakeholder involvement
- Accountability and responsibilities
- Deliverables expected
- Scheduling and time frames
- Expertise required to carry out the EA

1.6 SELECTION OF EA ASSESSOR OR TEAM

The TOR will provide the foundation for selecting the EA assessor or the team. For those EA that will not be done by UN-HABITAT staff, the selection of candidates will be through the established contracting process that identifies the best candidate(s) suited to deliver results in accordance with the Agency's expectations.

UN-HABITAT is committed to using process that provides transparency, fairness and equal opportunities. Criteria for judging competitive proposals should be established during the planning stage. Credible selection would be based on a strategic assessment of the candidate or team's capabilities to deliver the results, their professional qualifications and experience, leadership, and knowledge of EA policies, principles and practices.

1.7 GENERAL ISSUES RELATING TO IMPLEMENTATION OF EA

- When a decision is taken that EA should be carried out, UN-HABITAT environmental specialists will help with screenings, preparation of TORs and review of EA reports and providing recommendations
- The level and scope of EA must be appropriate according to the nature of the project and on the potential and anticipated impacts of the project on the environment (see Section 2.1 on *Environmental Screening* for more details).
- Baseline data collection, EA methodologies/techniques and recommendations for mitigation measures will focus on the availability of: general planning data, capacity and expertise available locally, and coordination efforts with different agencies and national institutions. EA process may be applied to different situations and circumstances within which UN-HABITAT and its partners operate.
- Public participation is an integral part of EA. In most cases, a country's policy and legal framework on the environment should have provisions relating to the rights of citizens to be consulted in environmental decision-making processes and their access to environmental information. Where this is not the case, UN-HABITAT will encourage its partners to strengthen public participation in decision-making processes for human settlements projects.
- Environmental cost-benefit analysis should be included wherever possible or appropriate in an EA. This is important because an economic analysis and valuation of environmental impacts and proposals for mitigation measures can then be integrated into the main economic and financial analyses of a project. It is then possible to weigh up the project's costs and benefits and the advantages and disadvantages of different project alternatives or scenarios for decision-making.

1.8 PREPARING EA REPORTS

The primary objective of EA reports is to inform UN-HABITAT management on the results of the EA. The report should therefore give a comprehensive response to UN-HABITAT's expectations as set out in the TOR and EA work plan. (For the key elements that should be reflected and the format in the EA Report see Appendix seven).

The EA report should contain a cost-benefit analysis of the alternatives focusing on the relevant environmental costs (impacts, mitigation measures, etc.) and benefits of each alternative.

1.9 INTEGRATION OF EA INTO THE UN-HABITAT PROJECT CYCLE

Figure 1 below shows how EA integrates into the six phases of the UN-HABITAT Project Cycle, namely (a) Programming, (b) Project Identification and Design, (c) Formulation, (d) Project Approval, (e) Project Implementation, and (f) Project Evaluation. It is necessary that EA is carried out giving full consideration to environmental and social requirements in all the phases.

The end product of EA is a report that provides decision-makers with information regarding the important findings, environmental impacts, alternatives, environmental cost-benefit analysis of the alternatives, mitigation measures and recommendations. Depending on the nature and scope of the project, conclusions of the EA will be included in the project logical framework of the Project Document⁷ to be submitted to the PRC for approval. Where a detailed report is necessary, it will be presented separately as an annex. Appropriate indicators will be built into the project design to enable monitoring and evaluation of the environmental aspects when implementing approved projects.

⁷ Refer to the UN-HABITAT Manual for Project and Programme Cycle Management for details about logical framework analysis and for the Project Document format.



Chapter Two

2.0 THE ENVIRONMENTAL ASSESSMENT PROCESS

Environmental Assessment is a systematic way of evaluating the environmental effects of a project. A well designed EA enhances project planning since it enables project managers to anticipate and avoid environmental problems which could cause delays to the project or severely offset any intended project benefits. By asking questions during project planning, potential adverse effects can be identified right at the beginning of the planning process and the most environmentally suitable alternatives can be considered as the process is continued. (CIDA, 1997). Introducing EA at an early stage of the project planning process enables projects to be designed in such a way that they contribute to sustainable development.

There is no fixed inventory of environmental issues to be examined in any EA. Consequently, the UN-HABITAT procedure relies on screening to determine the need for, and the level of, the EA, scoping for the key issues and also coordination and consultation with interested and affected parties (IAPs) at an early stage, to ensure that all significant environmental issues are covered.

The EA Process essentially involves the following steps:

- **Initial screening:** determines the need for, and appropriate type and extent of EA.
- **Preliminary environmental assessment:** identifies key environmental issues/components of a project and determines whether detailed EA is required. This is analogous to "environmental scoping".
- Environmental impact assessment: detailed assessment of potential environmental impacts of a project.
- **Review of environmental assessment and decision-making:** reviews and integrates EA recommendations into the project logical framework of the Project Document, ready for decision-making.
- **Monitoring and evaluation:** monitors the real effects of the project on the environment and evaluates success of EA recommendations/mitigation measures during implementation.
- **Post project evaluation:** evaluates environmental lessons learned for feedback into future project design.

These steps are explained in more detail in the sections that follow. Figure 2 is a generalized EA process flow chart, modified from UNEP's Environmental Impact Assessment Training Manual (UNEP, 2002).



Figure 2: Generalized EA Process Flow Chart modified from UNEP's EIA Training Manual 2002

2.1 ENVIRONMENTAL SCREENING

The EA process begins with environmental screening at the time of project identification in the UN-HABITAT project cycle. This is the step that will help project managers decide very early on project planning, whether further EA is warranted and what type and extent of assessment will be required. Where a project is found to have no direct environmental impacts requiring further EA, screening identifies any relevant environmental issues or linkages that should be incorporated into the project design (see Box 1).

Screening is important because environmental impacts in human settlements projects can range in scale from the pollution in a single borehole in a rural area, to poor urban air quality in a big city.

Screening also ensures that:

- All projects are consistent with relevant environmental policies at institutional, national and international levels. For example, screening should identify if there is national legislation with which a project needs to comply and any linkages to international environmental agreements. International or UN-HABITAT best practices should also be taken into account.⁸ See Appendix 1.
- The level of assessment suits the nature and scale of the project, thus preventing valuable resources from being applied to the environmental analysis of projects with minor or negligible impacts.
- Gaps in a potential project are identified or environmental *opportunities* are highlighted.

2.1.1 The Screening Procedure

The procedure for screening involves: (a) using project screening lists to decide whether the project requires EA; and/or (b) referring to checklists to try and identify the potential environmental impacts of a project and their likely significance.⁹ It should be noted that these are not straight-jackets and that screening should also be based on professional judgement and the availability of information at the time of project identification.

UN-HABITAT places a high degree of emphasis on stakeholder participation in project planning. Whilst the methods described above for screening may work for some types of UN-HABITAT projects, the nature of a project will determine the need for and level of stakeholder involvement at the screening stage.

⁸ See Appendix 1 on general project identification and design checklist.

⁹ See Appendix 2 for project screening lists and Appendix 3 for environmental impact identification checklists.

2.1.2 Determining the Level of EA

The outcome from screening classifies a project into one of three main categories, which signal the appropriate level of EA for the project:

Category 1: No environmental assessment is required for the project as it is unlikely to have significant environmental impacts. Examples include capacity building and most human resource projects. However, there may be some environmental components that should be incorporated into the project (see Box 1). A note should be made in the Project Document to this effect and staff responsibility should be allocated for any follow-up actions that are required in the project cycle.

Category 2: A preliminary environmental assessment is required for the project as there is either not enough information or there are enough environmental concerns to warrant analysis. An example of this type of project is the small-scale rehabilitation of an urban or rural water supply.

Category 3: A detailed environmental assessment is required for the project as it is likely to have diverse and significant environmental impacts because of its type, scale or other relevant characteristics. Examples of this type of project include major physical improvement or investment programmes such as large scale slum upgrading.

Box 1: Environmental considerations in projects that do not require environmental assessment

- Even if it is found that a project does not need environmental assessment, virtually all projects will benefit from an environmental analysis that identifies pertinent environmental linkages and opportunities to advance the objectives of sustainable development, even when no direct environmental impacts are anticipated by the project's primary activities. Here are some examples:
- In emergency situations, a simple checklist could be built up based on past experience of environmental problems that have developed in emergency water supplies. This checklist could be integrated into a rapid response system for the next time an emergency water supply needs to be installed in a disaster situation.
- A project that does not include some, even if simple, means of monitoring or reporting for environmental impact, may not be able to feedback any field experiences into future project design. For example, a small-scale project to upgrade sanitation facilities in a slum area may cause ground water pollution because it did not take into account the soil type and its percolation properties. If the project was successful in other ways, this kind of information could be fed back into a simple design checklist for future replication.
- Although technical advice on policy or capacity building projects does not require EA, it should nevertheless include environmental considerations. Examples include training local authority leaders on environmental governance, or policy strengthening to include EA in city planning.

2.1.3 Output from EA Screening

The key output from screening is a brief report (annotated outline in Appendix 4) to be incorporated into the Project Document. The report should include a summary of basic information about the project, environmental issues identified, key stakeholders identified and consulted, and next steps based upon the categorisation of the project.

For a **Category 1** project, the report will consist of a brief statement and justification as to why no EA is required.

For a **Category 2** project, the UN-HABITAT Project Manager will prepare or assist the project partner to prepare Terms of Reference (TOR) for the PEA based upon the issues indicated in the screening report. The TOR should include the following elements: project description, environmental issues to be addressed, schedule and reporting requirements and expertise required.

For a **Category 3** project, the UN-HABITAT Project Manager will prepare or assist the project partner to prepare a TOR for the detailed EA. Appendix 6 outlines main elements for TOR for category 3 projects.

2.2 SELECTING APPROPRIATE EA TECHNIQUES

There are a number of techniques that can be used in carrying out EA. Table 1 below summarises the techniques described in more detail in this section, and indicates when it is appropriate to apply a particular technique.

Technique	Applicability	Section Reference
Preliminary Environmental Assessment	 Category 2 projects "Scoping" stage for Category 3 projects Typical projects include rehabilitation, maintenance, upgrading of existing infrastructure 	Section 2.2.1 and Appendix 3
Environmental Impact Assessment	 Category 3 projects Typical projects include large development or infrastructure projects 	Section 2.2.2 and Appendix 3
Strategic Environmental Assessment	 Used for assessing proposed policies, plans and programmes 	Section 2.2.3a
Rapid Environmental Assessment	Used where little environmental baseline information is available/ conventional EA methodologies difficult	Section 2.2.3b
Environmental Profiling	 "Scoping" stage for city development planning and other types of planning projects 	Section 2.2.3c
Environmental Management Systems	 "Scoping" and environmental monitoring for city development planning and other types of planning projects 	Section 2.2.3d
Environmental Auditing	 Used for assessing existing projects if no form of EA originally carried out Used to monitor projects under implementation 	Section 2.2.3e

Table 1: EA Techniques and Applicability

2.2.1 Preliminary Environmental Assessment (Category 2 Projects)

This is the initial EA to review the potential environmental and social impacts of the proposed project. The assessment tends to narrow the study to a few key specific environmental and social concerns, and to identify whether these require further detailed assessment or whether the specified mitigation measures will be enough.

The essential functions of PEA are to:

- Explain the environmental and legal framework within which the EA is carried out;
- Describe the proposed project, its geographical, ecological and social context and examine alternatives;
- Analyse stakeholders and develop methods for their participation in the assessment;
- Assess relevant baseline data and address public concerns;
- Identify and assess likely positive and negative impacts;

- Identify and assess cumulative and/or interactive environmental effects that are likely to result;
- Recommend measures for mitigating adverse effects and enhancing potential benefits;
- Develop environmental management plans (including monitoring);
- Ascertain the need for further detailed assessment;
- Prepare Terms of Reference if further EA is required. (See Section 2.2.2).

The output from a PEA is a summary report (annotated outline in Appendix 5) which may either indicate the need for further specialist input or recommend mitigation measures for incorporation into the project cycle.

There are multitudes of UN-HABITAT tools that are available for use both in preliminary and more detailed EA (see Section 4). In addition, the checklists in Appendix 3 may be used to identify and assess environmental concerns and benefits of a project.

Box 2: A preliminary environmental assessment can be made by reviewing and answering the following questions:

- What are the project proposal's probable positive and negative effects on the environment? Are they presented clearly?
- Does the project proposal represent a good alternative to achieve the stipulated goals? Are there other alternative ways of reaching the goals which are better from an environmental point of view?
- Is it likely that the project will make a positive contribution to environmentally sustainable development? If so, has this positive contribution been improved?
- Is there a risk that the project will have negative effects on the environment or cause possible environmental hazards? If so, has the project been designed to minimise these effects? Can the proposals for measures to protect the environment be further improved? How?
- Does the project's use of natural resources cause observable depletion of any environmental resources? In what other ways does the project affect the quantity and quality of environmental resources?
- If there is a lack of clarity with respect to the environmental effects and their overall impact, does the project proposal follow the precautionary approach?¹⁰
- Are the project's potential environmental effects so negative that it should not be implemented?

(SIDA, 1998, and SCP Source Book Series Volume 1, 1999)

¹⁰ Principle 15 of the Rio Declaration: "In order to protect the environment, the precautionary approach shall be widely applied by States according to their capabilities. Where there are threats of serious or irreversible damage, lack of full scientific certainty shall not be used as a reason for postponing cost-effective measures to prevent environmental degradation".

2.2.2 Environmental Impact Assessment (Category 3 Projects)

EIA involves detailed studies on ecological, sociological and physical environments, including an assessment of potential alternatives to the project. Such a full-scale study is expensive, and could take one or more years to carry out. Hence, EIA is used mainly for major development projects.¹¹ Figure 3 summarises a typical EIA process and include:

- Scoping the key environmental issues;
- Collecting comprehensive environmental baseline information and data from various sources;
- Analysing environmental and social impacts using detailed and specialised methodologies;
- Identifying and assessing cumulative and/or interactive environmental effects that are likely to result;
- Properly identifying project alternatives and carrying out environmental cost-benefit analyses of each alternative;
- Designing environmental and social mitigation measures;
- Developing a comprehensive environmental and social management plan;
- Developing an effective monitoring programme, including indicators to evaluate successful implementation of mitigation measures;
- Developing a post-project evaluation programme.

For UN-HABITAT activities, typical project proposals likely to require full_scale EIA are large-scale projects dealing with:

- Exploitation of natural resources;
- Basic infrastructure projects e.g., construction of roads;
- Industrial activities;
- Hazardous waste management and disposal activities;
- Agricultural practices;
- Transportation;
- Water supply and waste water collection, treatment and disposal.

The most important phase in EIA is the scoping process. This is analogous to PEA described in Section 2.2.1. The main difference between scoping and PEA is that for many projects a PEA is sufficient to address the project's environmental concerns and specify appropriate mitigation measures. Where there are additional significant environmental concerns that need to be addressed in more detail, the PEA process becomes known as scoping.

¹¹ A sense of pragmatism is required in making a decision on this. Issues to consider include the level of environmental expertise available locally and financial resources available. For example, if projects proposed for rural water development with a project cycles of 1-2 years fall into this category, it may be advisable to abandon them. (IUCN-EARO, 1997)

During scoping, there are three key areas that need to be considered:

- The component of a project that should be subjected to EA. This sometimes includes upstream or downstream activities that are not even part of the proposal itself;
- Environmental issues arising from the project that should be narrowed down into key areas requiring detailed and specialised assessment;
- The concerns of Interested and Affected Parties (IAPs) usually facilitated through public consultation.

Through consideration of the above, the scope for a detailed EIA is established, including definition of the specialist studies required. Scoping enables the TOR for a detailed EIA to be developed. See Appendix 6.

The detailed EIA results in a comprehensive report (annotated outline in Appendix 6) which provides decision makers with recommendations on important environmental issues, impacts of various alternatives, project design modifications, environmental mitigation measures and a detailed environmental management plan. These are then incorporated into the project's detailed design and formulation as specified in the UN-HABITAT Manual for Project and Programme Cycle Management (2003).

Figure 3: Typical Environmental Impact Assessment Process (adapted from DFID, 2003)



2.3 Other Approaches to Environmental Assessment

2.3.1 Strategic Environmental Assessment

Strategic environmental assessment (SEA) is a technique for evaluating the environmental consequences of proposed policies, plans and programmes at a more strategic level than EIA. For example, whilst EIA might deal with a single large electrical infrastructure installation project, SEA would address environmental issues of a policy or plan directed at the whole energy sector and would also include the environmental costs and benefits of policy choices. SEA is an evolving approach and does not have such a defined methodology.¹²

Box 3: Some examples where SEA may be used for UN-HABITAT include:

- Macro policy initiatives initiatives without discrete project based outputs, such as poverty reduction strategies.
- Integrated projects.
- Sectoral support programmes, e.g., water resources, waste management, transport planning, energy.
- Urban or industrial development plans, regional development plans, catchment management.
- Programmes with numerous small-scale developments or community projects where individual appraisal would not be cost effective - here an SEA could highlight generic environmental issues and provide mitigation measures to apply across the whole programme.
- Situations where the effect of individual developments may be limited, but could be significant when considered together (cumulative impacts) the development concerned should be considered with other existing or proposed activities in the same sector, region or catchment (induced development).

Adapted from DFID, 2003

2.3.2 Rapid Environmental Assessment

The Rapid Urban Environmental Assessment methodology was developed by UN-HABITAT in conjunction with the World Bank and UNDP. It is a practical approach for quickly assessing the state of the urban environment. The methodology consists of a set of tools that are low cost, quick, locally managed and participatory, and which can be adapted to feed into the EA process, particularly the screening and scoping stages (UNDP/UNCHS/World Bank UMP, 1994).

Rapid environmental assessment is appropriate in situations where there is little environmental baseline information available and where conventional EA methodologies may be difficult. It is also appropriate in conflict or disaster situations. For example, UNHCR has developed a set of guidelines specially adapted to ensure a rapid assessment for emergency response interventions (UNHCR, 1996).

¹² There are only a few published guidelines and references (EC, 2001; World Bank, 1991). The EC, World Bank and UNEP websites regularly update their information on SEA (see Appendix 8).

2.3.3 Environmental Profiling

Environmental Profiling is an approach, which has been developed by the Sustainable Cities Programme (SCP) of UN-HABITAT and UNEP. It brings together information about a city's development sectors and activities, its environmental resources and hazards, and its management systems. This information is then consolidated in a way that is made relevant and understandable to urban managers, policy makers and stakeholders, in order to provide a firm basis for participation in environmental decision_making.

Although the methodology is targeted at planning a city's development activities, it can be readily modified for relevance to other types of planning projects, and is appropriate for scoping environmental issues at the commencement of an EA. (UN-HABITAT, UNEP SCP Source Book Series: Volume 1, 1999).

2.3.4 Environmental Management Information Systems (EMIS)

An EMIS complements environmental profiling by the gathering of relevant information to support participatory urban environmental planning and management. The information is analyzed and stored in archives, databases and maps. It is designed to be highly focused, easily updated and issueoriented and is therefore ideal for use in preliminary and detailed EA and for environmental monitoring.

UN-HABITAT Monitoring Systems Branch, Geographic Information Systems (GIS), software uses geography and computer-generated maps as an interface for integrating and accessing massive amounts of location-based information. GIS helps in the collection, management, analysis and use of information in formulating more effective urban policies. By providing decision-makers with reliable and accurate information, GIS enables city managers to prioritize issues and channel attention to the most neglected urban areas and thus compliment other initiatives that aim at improving city planning, governance and promoting environmental management.

The Sustainable Cities Programme of UN-HABITAT and UNEP has developed two specific tools on building EMIS. The first is based on experiences in numerous city applications. Again, although the approach is targeted at a city's development activities, it can readily be modified to be relevant to other types of planning projects (UN-HABITAT, UNEP SCP Source Book Series: Volume 7. Building an Environmental Management Information System, 1999). The second tool is the Guide for Community Based Environmental Management Information Systems (CEMIS, 2001). CEMIS is specifically targeted towards low-income housing areas and living and working conditions of the majority of marginalized people in large cities.

2.3.5 Environmental Auditing

An environmental audit is a way of assessing an existing project to determine the environmental impacts, if no form of EA was carried out on the project prior to its implementation. Criteria for performing the audit may be built up from such indicators as environmental quality standards that the project must meet.

Environmental auditing can also be used on projects under implementation to determine whether environmental mitigation measures, specified during the EA, have been carried out to the appropriate standard. In this case, environmental auditing is a way of monitoring the project (see section 2.4.2).

2.4 Review of Environmental Assessment

There are two components related to the review of EA. First, review procedures as stipulated by legislation and regulations in the partner country; and second, review by UN-HABITAT as part of its project approval process (see approval of project document in the UN-HABITAT Manual for Project and Programme Cycle Management, 2003). See Box 4 on EA review questions:

Box 4: EA review questions

The following questions may be used to review an EA to ensure that it is satisfactory and meets legal requirements:

- Is the report well structured and sufficiently clear?
- Has the assessment taken into account all relevant factors and issues?
- Has the assessment considered significant positive and negative effects on the environment including associated health, social and economic effects?
- Does the assessment provide a clear picture of the size, scope and significance of the environmental effects?
- Can the analytical methods and results be considered satisfactory? Is the assessment detailed enough?
- Are the proposed mitigation measures adequate?
- Are there specific proposals for measures to eliminate or minimise negative environmental effects (and where necessary, measures for environmental conflict resolution)?
- Does the assessment provide guidance for positive contributions to environmentally sustainable development within the framework of the objectives of the project?
- Has the assessment considered alternatives to the project or alternative project designs?
- Have public concerns been given due consideration?
- Have stakeholders been given sufficient information and the opportunity to participate in and exert an influence on the process?
- Is the report well structured and sufficiently clear to be consulted by the public?
- Is the proposed follow-up programme appropriate?
- Have the necessary arrangements been made with the appropriate institutions to guarantee implementation of the planned mitigation and follow-up measures?
- Are the sources of information reliable?
- Are assumptions and uncertainties explicitly mentioned?
- Does the assessment need to be supplemented in any way?
- Do the environmental effects of the project mean that the project, despite possible remedial actions, should not be implemented?

Adapted from SIDA, 1998 and CIDA, 1997

Chapter Three

3.0 ENVIRONMENTAL ASPECTS IN THE IMPLEMENTATION, MONITORING AND EVALUATION OF PROJECTS.

An EA must include plans for implementation of mitigation measures and for monitoring and evaluation. These plans are then included in the final project design, and built into the project's logical framework, workplans and time and resource budgets. Very often, this is also known as an Environmental Management Plan (EMP) for the project.

3.1 Implementation of mitigation measures

The EMP outlines the mitigation, monitoring, and institutional measures to be taken during project implementation to control adverse environmental impacts and the actions needed to implement the agreed measures. The following aspects shall also be addressed in EMPs.

- Environmental performance monitoring shall be designed to ensure that mitigation measures are implemented. Remedial measures are undertaken if mitigation measures are inadequate or impacts have been underestimated within the EA report.
- Responsibilities of implementing mitigation measures and monitoring shall be clearly defined and arrangements for coordination, consultation and participation between various actors shall be well spelt out.
- The implementation schedule shall specify timing, frequency and duration of mitigation measures and shall also show links with the overall project implementation plan.
- EMPs shall be dynamic, flexible and subject to periodic review.

3.2 Monitoring projects

Monitoring of the real effects of the project on the environment is important in order to ensure: (a) that the impacts do not exceed legal standards or guidelines, (b) to check the implementation of mitigation measures as described in the environmental management plan, and (c) to provide early warning of potential damage to the environment. Key indicators should be selected for baseline, impact and compliance monitoring and used to predict unforeseen effects, collect data and establish trends. Communities as beneficiaries, should guide and assist with the implementation of monitoring programmes. The main tasks to be performed for monitoring are:

- Select the monitoring team.
- Schedule various functions and operational activities.
- Detail responsibilities of the monitoring team.
- Adopt monitoring methodologies and key indicators for monitoring.

- Prepare budget.
- Maintain close cooperation among the monitoring team.
- Analyse and evaluate the monitored data.
- Prepare evaluation reports for performance compliance.

The monitoring programme should clearly indicate the linkages between impacts identified in the EA report, indicators to be measured, methods to be used and thresholds that will signal the need for corrective actions.

Further guidance on monitoring is available from the UN-HABITAT Monitoring and Evaluation Guide (2003).

3.3 Evaluation of projects

Evaluation of the positive and negative impacts of the project on the environment can be made both during project implementation or after project completion, in order to learn from the experience gained.

The priority of evaluations is the delivery of credible, useful results that reflect the assessment of performance. Evaluation reports present results derived through the distillation of what was learned from information collected and analysed.

The objectives are: (a) to determine whether the proposed measures served their intended functions, (b) to examine the efficiency, applicability and success of mitigation measures, and (c) to evaluate the effectiveness of the EA in predicting the impacts of the project. To enhance impartiality, the evaluation should be undertaken by independent evaluators considered not to have a stake in the project. Lessons learned should feed back into future project design, and into further development, refining, and streamlining of EA procedures for UN-HABITAT projects. The main tasks in evaluation include:

- Preparation of a checklist of items/parameters to be evaluated for compliance.
- Prepare TORs.
- Estimate resources required.
- Select the evaluation team.
- Prepare the work plan.
- Decide on key information collection/evaluation methods.
- Encourage public participation.
- Compile and analyse monitored data.

Further guidance on monitoring and evaluations is available in the UN-HABITAT Monitoring and Evaluation Guide (2003).

Evaluators objectively assess the performance and the lessons learned. Conclusions should be supported by evidence. The presentation of information should be in a logical form so that the reader is able to link points made in performance assessment, recommendations and lessons learnt with evidence from data collected and analysis.

3.4 Evaluation Reports

Criteria for evaluation: Evaluation reports describe the object of evaluation, and as such cover aspects of:

- Accountability for the Evaluation;
- Intentionality;
- Impartiality and Credibility;
- Independence;
- Quality of the Evaluation;
- Competencies of the Evaluators;
- Participation;
- Evaluation Ethics;
- Dissemination; and
- Application.

Table 2: Checklist for assessing the quality of Evaluation Report.

As regards this criterion,	Unacceptable	Acceptable	Good	Excellent
the evaluation report is:				
1. Definitions: Does the				
evaluation include definitions of				
terms for which there are risks				
of misunderstanding?				
2: Accountability for the				
Evaluation: Is it clear under				
what legislative authority the				
evaluation is being undertaken,				
and which office is accountable				
for the work?				
3: Intentionality (Meeting				
needs): Does the evaluation				
deal adequately with requests				
for information from the agency				
or other relevant				
stakeholder(s), and is it in line				
with the specifications?				
4: Impartiality and				
Credibility: Are the results				
logical and justified by the				
analysis of the data and by				
interpretations based on				
carefully presented explanatory				
hypothesis? Are the findings				
balanced showing both				
achievements and challenges?				

the evaluation report is:	As regards this criterion,	Unacceptable	Acceptable	Good	Excellent
5: Independence: Are the evaluators independent of the object of evaluation? Have they hd prior involvement with the design, planning or managing the the object of the evaluation? c 6: Cuality of the Evaluation: Relevant Scope: Have the rationale for the object of the evaluation, its results and interactions with other policles and unexpected results been studied? Is the report 'true' to the TOR? Appropriate Methodology: Is the design of the evaluation adequate and suitable for providing the results required (within time limits) to answer the main evaluation questions? Have all the relevant stakeholders been identified and gender and human rights aspects considered in the design? cesign? Reliable data: Are the primary and secondary data collected or selected suitable? Are they sufficiently reliable in primary and secondary data collected or selected suitable? Are they sufficiently reliable in light of the expected use? Is evidence of triangulation geastalished rules, and is It complete and appropriate for answering the evaluation	the evaluation report is:				
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As regards this criterion,	Unacceptable	Acceptable	Good	Excellent
the evaluation report is:				
Evaluators : Are the Evaluators				
competent, and did they				
conduct the evaluation in a				
professional manner – in line				
with the UN Norms and				
standards?				
8: Participation: Was				
stakeholders' participation				
adequate?				
9: Evaluation Ethics: Was				
the design, planning, and				
conduct of the evaluation done				
in an ethical manner?				
10: Dissemination: Does the				
report make reference/nignlight				
dissemination options?				
TI: Application (Clarity):				
Does the report describe the				
context and goals of the object				
or the evaluation, and also the				
organization and results in Such				
a way that the information				
in an ethical manner? 10: Dissemination : Does the report make reference/highlight dissemination options? 11: Application (Clarity) : Does the report describe the context and goals of the object of the evaluation, and also the organization and results in such a way that the information provided is easily understood?				

3.5 Suggested Structure of an Evaluation Report

Title page and opening pages

Title page to include:

- Name of programme/project to be evaluated;
- Date of the evaluation report;
- Location of programme/project;
- Evaluators;
- Commissioning organization;

Acronyms (page 2).

Table of contents (page 3) to include:

- Chapters and sub-headings;
- List of tables;
- List of figures;
- List of annexes.

Executive Summary

The Executive Summary should contain, in not more than four pages:

- Context of the evaluation;
- Purpose and scope;
- Brief description of the methodology (rationale for choice of methodology; data sources used; data collection and analysis methods used; major limitations);
- Main findings;
- Conclusions;
- Recommendations;
- Lessons learned.

Introduction

The Introduction should contain, in not more than one page:

- Purpose of the report;
- Scope of the programme/project;
- Scope of the evaluation;
- Structure of the report.

Programme/project description

The programme/project description should cover:

- Economic, social and cultural dimensions of the object to be evaluated;
- Stakeholders;
- Issues to be addressed;
- Linkages to other objects;
- References to relevant documents and mandates;
- What results were expected to be achieved;
- Other information (phases, timeline, budgets, etc.).

Evaluation profile

The evaluation profile should cover, in not more than three pages:

- Reason for carrying out the evaluation;
- Design of the evaluation/justification of the methodology used;
- Description of methodology:
 - Data sources used;
 - Data collection and analysis methods used;
 - Major limitations;
- Evaluation team;
- Performance expectations (indicators);
- Participation/stakeholders' contribution;
- Specifics for addressing evaluation questions;
- Mention of evaluation work plan.

Evaluation findings
The evaluation findings should include:

- Answers to evaluation issues arrived at by analysis of data with the evidence;
- Findings regarding resources used;
- Findings about outputs;
- Findings about outcomes and impact where possible;
- Progress compared with initial plans (achievements/challenges);
- Findings on unintended effects.

Conclusions

Conclusions should:

- Add value to the findings (sum of findings = conclusions);
- Focus on issues of significance related to key questions of performance relative to the expectations.

Recommendations

Recommendations should:

- Contain suggestions to improve future performance;
- Be supported by evidence and findings;
- Be adequate in terms of the TOR;
- Facilitate implementation.

Lessons learned

Lessons learned should:

- Replicate/upscale;
- Prevent mistakes;
- Contribute to general knowledge.

<u>Annexes</u>

Annexes should contain:

- TOR;
- List of persons interviewed;
- List of important documentation;
- Evaluation work plan;
- Data collection instruments;
- List of abbreviations.

Chapter 4

4.0 STAKEHOLDER PARTICIPATION AND GENDER CONSIDERATIONS IN THE EA PROCESS

4.1 STAKEHOLDERS PARTICIPATION

Stakeholders, also known as Interested and Affected Parties (IAPs), are people, groups or entities that have a role and interest in the objectives and implementation of a project. They include the local community; project field implement activities; project managers staff who who oversee implementation; donors and other decision-makers who decide the course of action related to the project; and supporters, critics and other persons who influence the project environment. They share information and knowledge, and may contribute to the project so as to enhance the success of the project and ultimately their own interests. Stakeholder participation is an integral part of the EA process.

UN-HABITAT has developed comprehensive tools in planning, managing and building stakeholder involvement throughout all phases of a project cycle. The tools have been extensively field-tested and applied, and are readily adaptable to integrating stakeholder participation in EA. [See Section 4 and UN-HABITAT CD-ROM (2001) on Tools to Support Participatory Urban Decision-Making]

4.2 INTERGRETING GENDER ISSUES IN EA

UN-HABITAT's Gender Policy, 2002 states that all UN-HABITAT interventions should have the following objectives:

- To promote women's equal rights and women's empowerment internationally within the area of human settlements development;
- To support governments, NGOs and other partners in capacity building and development in order to mainstream gender equality in human settlements development;
- To mainstream a gender perspective in human settlements development.

Integrating gender issues shall be part of UN-HABITAT programme project cycle and in EA. UN-HABITAT resources available in support of these objectives include the UN-HABITAT Gender Policy Document, Volume 8 of the EPM Sourcebook Series Integrating Gender Responsiveness in Environmental Planning and Management, the UN-HABITAT Manual for Project and Programme Cycle Management (2003) and the UN-HABITAT Monitoring and Evaluation Guide (2003).

4.3 GENDER GUIDELINES IN EA

Projects must have specific indicators from the very beginning of the EA process. These indicators should be used to monitor and evaluate progress by incorporating a gender-perspective within the project. Important considerations are:

- Were both women and men involved in the EA process during planning of the project itself? Were both women and men part of the team implementing the EA and the project?
- How many women and how many men? Does this situation differ from the one that existed at the beginning of the project?
- Does the EA process (in all stages of the project cycle) take into account the needs and roles of women as well as men?
- How many women hold leadership positions within the project?
- Do the TORs for the consultants for EA include a gender perspective?
- Does the project have a built-in clause which ensures that an equitable number of women and men are included among project staff, beneficiaries, consultants and participants?
- How does the project ensure gender specific and socially inclusive analysis?
- Who benefits directly by this project in terms of age, socio-economic situation and gender?

4.4 GENDER EQUALITY CHECKLIST IN PREPARING TOR FOR EA

- Is the gender equality integrated throughout the TORs for EA?
- Are stakeholders described by sex and socio-economic groups?
- Are EA issues clearly focused and prioritized based on the input of men and women stakeholders?
- Do TORs address specific questions for assessing gender quality results and will achievement of the projects improve the lives of women and men?
- Is responsibility for the assessment of gender equality clearly spelt out?
- Are gender equality expectations in evaluation deliverables clear?
- Are time and resources allocated to gender issues?
- Does the team for EA have the capacity to integrate gender equality concerns into evaluation findings, conclusions and recommendations?
- Is there any one on the EA team with gender expertise?

- Does the process of EA participatory process provide for equitable participation of both women and men?
- Have gender-sensitive indicators been developed to measure results at all levels of EA?
- Do data sources support the collection of sex-disaggregated data?
- Are recommendations related to GE geared towards decision-making?
- Are lessons related to gender equality strategically applicable to other development initiatives?

Chapter Five

5.0 UN-HABITAT ENVIRONMENTAL TOOLS AND GUIDELINES

UN-HABITAT has developed an array of tools and guidelines on environmental aspects of projects, policies and planning. These have been widely used in routinely designing and implementing human settlements projects in an environmentally sound manner and in introducing environmental planning and management.

There are also a number of issue based UN-HABITAT tools (manuals, handbooks, guidelines and checklists), which deal with specific needs. These can be used when an EA points to particular issues, which need to be addressed. An example of this is the *Handbook on Air Quality Management*.

The following matrix relates to the UN-HABITAT tools to steps in the EA. Whilst the tools have diverse origins, a large proportion of them are compatible and complementary, and reflect the fact that diverse user needs cannot be met by a single approach but through application of different tools. With time, additional tools, which are developed by UN-HABITAT, should be added to the matrix.

Step One	Activities	UN-HABITAT Tool	Application in EA process
Environmental Screening (Project Identification) ¹³	Review of project concept to determine	Project screening	Identification of a project's EA
		lists for EA (Appendix 2)	requirements.
		Environmental	Identification of potential level of EA
	type of EA	Checklists (Appendix	required.
	required	3)	
		UNDP/UNCHS/UMP,	Rapid assessment of the existing
		Environmental	similar methodology of rapid and
		Assessment Vols. 1	participatory rural appraisal. (can
		ά Z	steps).
		UNCHS (Habitat),	Preliminary identification of potential
		Environmental	project
		Considerations in	
		Settlements	
		Development Planning, Vols, 1& 2.	

Table 3: UN-HABITAT Tools showing steps in the EA Process

¹³ N.B.: Items in brackets signify the corresponding step in the UN-HABITAT project cycle,

STEP TWO			
Environmental Assessment (EA)(Project Design, Formulation and Appraisal)	Scoping - defining and establishing boundaries of environmental concerns.	SCP Sourcebook 1, 1999: Preparing the SCP Environmental Profile	Identification and clarification of environmental issues: Involvement of relevant stakeholders: Prioritisation of environmental issues to be addressed.
		SCP Sourcebook 2, 1999: Organizing, conducting & Reporting an SCP City Consultation	Building a meaningful and effective stakeholder participation mechanism in the EA process. Vol. 1.
		SCP Sourcebook 3, 1999: Establishing and Supporting a Working Group Process	Building a meaningful and effective stakeholder participation mechanism in the EA process. Vol. 2.
		UNDP/UNCHS/UMP, 1994: Rapid Urban Environmental Assessment Vols. 1 & 2	Rapid assessment of the existing state of the urban environment with a similar methodology to rapid and participatory rural appraisal. (Can be used at both screening and EA steps).
		SCP Sourcebook 6, 2001: Urban Air Quality Management Handbook and Toolkit	Handbook and toolkit to help build an air quality profile, clarify types and sources of pollution, assist in prioritisation and strategy formulation for mitigation measures.
		SCP Sourcebook 8, 2000: Integrating Gender Responsiveness in Environmental Planning & Management	Mainstreaming gender in environmental planning and management. Includes data collection, stakeholder involvement, strategy formulation and decision-making, action planning and resource mobilisation, institutionalisation and measuring progress.
		SCP Sourcebook 7, 2000; Building an Environmental Management Information System	Management information systems to support urban environmental management and planning. (Can be used from establishing environmental baseline through to continual monitoring)

		SCP Sourcebook 4, 1999: Formulating Issue-Specific Strategies and Action Plans	Stakeholder participation in the formulation of mitigation measures and strategies for implementation.
		Other Specific Guidelines (See Appendix 5)	 Guidelines and standards on specific environmental issues, e.g., Guidelines for Planning of Rural Settlements and Infrastructure; Appropriate Infrastructure Services, Standards and Technologies for Upgrading Slums and Squatter Areas and Rural Settlements.
Step THREE			
Review of Environmental Assessment (Project Approval)	Review of EA	UN-HABITAT, 2003: Manual for Project and Programme Cycle Management	Criteria to be included in review and approval procedures of UN- HABITAT's PRC. EAs carried out as national/donor specific requirements will be reviewed based on procedures defined by national legislation of particular donor.
Step Four			
Implementation (Project Implementation)	Project Implementati on	UN-SCP. Sourcebook 5: 1999; Institutionalising the Environmental Planning and Management Process	Long-term process for ensuring capacities in environmental planning and management are sustained and strengthened for duration of project and beyond.
		SCP Sourcebook 6, 2001: Building Environmental Management Information System	Management information systems to support urban environmental management and planning (Can be used at both screening and EA steps.)
		CEMIS 2001: The Guide for Community Based Environmental Management Information Systems	Development of Management Information Systems, targeted at community level and low-income housing areas, living and working conditions of majority of marginalized people in large cities
Stop Five		UNCHS (Habitat), UNEP-IETC, 1997: The Councillor as Guardian of the Environment, Training for elected Leadership.	Training and capacity building tool for local government officials.

Monitoring and	Monitoring	SCP Sourcebook 9,	Assessment and Monitoring of
Evaluation	and	2001: Measuring	improvements in decision-making
(Project	Evaluation	progress in environ-	processes related to urban
Evaluation)		mental planning and	environmental planning and
		management	management.
		UN-HABITAT,	Guidance on tools and approaches
		Monitoring and	for monitoring progress and
		Evaluation Guide	assessment of performance.
		(2003)	

GENERAL PROJECT IDENTIFICATION & DESIGN CHECKLIST

UN-HABITAT's activities relate to the Habitat Agenda, the Istanbul Declaration and the Millennium Development Goals. They are implemented at the international, regional, national, city, settlement and community levels across the broad programme areas directed by the 2003 Strategic Vision. UN-HABITAT works directly with the governments and other UN-HABITAT partners in implementing its activities. Project identification and design should, therefore, involve UN-HABITAT staff, key stakeholders, prospective donors and consultants from specialized sections. The following is a general checklist for the identification and design of UN-HABITAT projects:

- 1. Is the project clearly related to the Habitat Agenda and the Habitat II (Istanbul) National Plan of Action?
- 2. How does the project relate to the Habitat II strategic objectives of networking, partnership (private-public, local-central, etc.), enablement (public policy), capacity-building, knowledge building, decentralization and participation?
- 3. Which institutional objectives does the project document address?
- 4. How is the project related to the objectives of a subprogramme or programme cluster as reflected in the work programme of UN-HABITAT?
- 5. Are the strategic variables (point of entry, beneficiaries, partners, technologies, time frame) clearly defined?
- 6. Is the project related to the global campaigns for urban governance and/or secure tenure?
- 7. Is the project related to the Millennium Development Goals?
- 8. Have the direct beneficiaries been clearly identified? Were they involved in the project design? Are the objectives relevant to their concerns, priorities and needs? Have the needs, concerns and role of special groups (youth, elderly, vulnerable groups, etc.) been adequately covered?
- 9. Does planning of the project have a gender dimension? Does the project (in both the planning and implementation stages) take into account the needs and roles of women as well as men, and in what ways?
- 10. Have environmental concerns been assessed? Will the project be environmentally sustainable?

- 11. Have all strengths and weaknesses of the institutional environment in which the project will be operating been considered? Are there any other important factors which may significantly affect project success?
- 12. Has the feasibility of the project or programme been considered at the divisional level from the following perspectives:
 - The availability of resources/inputs/management fees/overheads.
 - Activities and outputs expressed in verifiable and quantifiable terms and realistically lead to the achievement of the objectives.
 - Appropriate performance indicators incorporated to measure the extent to which objectives will be achieved.
 - Evaluation activities and related funding been included in the project document.
 - Appropriateness of benchmarks, monitoring, reporting and evaluation mechanisms.
 - Measures considered to ensure the sustainability of the project.
- 13. Can project activities make use of Best Practices knowledge, expertise and experience, especially of best and good practices from the region and sub-region where the project is located?
- 14. Has sufficient attention been given to replicability possibilities and to awareness-raising and public outreach activities? Has sufficient funding for outreach activities been included in the project document?
- 15. What are the implications of the project with regard to the involvement and participation of partners?
- 16. Have potential areas of co-operation with donors and other programmes active in the same sector or sub-sector, been fully considered?
- 17. What will be the follow-up to the project in the next biennium and have specific provisions been made in the project/programme design to ensure post-project sustainability?
- 18. Does the project have clear development potential and is it likely to attract public and private investment, especially in its future expansion?
- 19. How have performance indicators been incorporated in the project as per the Habitat Performance Indicators Framework, which includes:
- <u>Policy indicators</u> relating to the overall development objective of the project or programme and the overall mission of UN-HABITAT, which is to promote policy reforms consistent with UN agendas and the plans of action;
- <u>Capacity-building indicators</u> focusing on the impact of services which are intended to build capacities and the degree of success in meeting the strategic objectives of the Habitat Agenda (enablement, decentralisation, partnership and networking);

- <u>Knowledge-building indicators</u> which measure project or programme contribution and service to knowledge in a particular field for the benefit of immediate partners as well as on shelter and human settlements in general;
- <u>Input indicators</u>, which measure UN-HABITAT's organizational efficiency in providing required inputs and services under each project and programme and serve as internal delivery indicators.
- 20. Have lessons learned from projects with similar objectives been incorporated, particularly lessons learned from the evaluations of projects and programmes in the same country and/or region? Has there been a search for such lessons?

PROJECT SCREENING LISTS FOR POTENTIAL LEVEL OF EA

These screening lists have been developed by adapting the screening lists of UN-HABITAT partner agencies (e.g., the World Bank, EC, SIDA, CIDA, and other donor agencies) together with a review of current UN-HABITAT activities. They shall be further developed over time.

The purpose of these lists is to exemplify, not to delineate. They should be used for guidance rather than applied as a straight-jacket.

PROJECTS THAT DO NOT REQUIRE EA (CATEGORY 1 PROJECTS)

It is important for the project manager to bear in mind, before classifying a category 1 project, that there are potential environmental issues which may not immediately spring to mind. Examples include the location or site of a project near a sensitive area (conservation area, watershed), or the disposal of wastes from a new health clinic.

The following examples are projects that are likely to have negligible or no environmental impacts and EA may not be required:

- Small scale community-based urban service projects, e.g., rehabilitation of a single borehole or latrine (n.b. new boreholes, wells or latrines would require environmental assessment)
- Small buildings under 100 square meters in area
- Training, skills and capacity building
- Tools and guidelines development
- Studies, including evaluations
- Technical support for: project design, policy formulation, environmental conflict resolution, governance issues, savings and credit schemes to support shelter initiatives
- Institutional capacity building and anchoring at government/local level
- Consultative processes and advisory services
- Urban poverty assessments, poverty reduction planning
- Other advisory services
- Best practices publications, information exchange, conferences and seminars
- Knowledge management, publication of policy papers and reports, casebooks and case studies
- Monitoring and assessing the progress in the implementation of Habitat Agenda and the Millennium Development Goals
- Study tours and exchanges
- Networking, e.g., World Urban Forum, Safer Cities Co-ordination Committee.

PROJECTS THAT REQUIRE PEA (CATEGORY 2 PROJECTS)

Typically, projects which involve rehabilitation, maintenance or upgrading of existing infrastructure rather than new construction tend to fall under this category.

Whilst the type of project may be similar to those that require full environmental assessment, the main difference is in the *scale* of the project small – to - medium-scale projects would most likely fall under this category. A level of professional judgement will be required. The following will be under Category 2.

Urban Planning, Land Use, Environmental Management, Disaster Management

• Technical assistance for planning, e.g., urban development plans, environmental action plans, land use plans, flood; shelter; Implementation of Local Agenda 21.

Water, Sanitation and Infrastructure

Rural and urban water supply and sanitation

- Urban, rural and community water supply and sanitation
- Sewerage systems
- Installations for the disposal of sewerage sludge
- Watershed projects

Transport

- Upgrading/rehabilitation of rural roads
- Upgrading/rehabilitation of bridges

Energy

- Renewable energy (other than hydroelectric dams)
- Mini-hydro

Waste Disposal

- Small-scale waste management infrastructure
- Recycling plants
- Installations for the disposal of domestic refuse

Social infrastructure and services

- Slum upgrading
- Construction and rehabilitation of social infrastructure, e.g., schools, markets, health centres, public buildings, social and civic buildings
- Rehabilitation and reconstruction in cities, e.g., city clean-ups, rehabilitation of buildings, development of serviced plots (roads, drainage systems, water, electricity supply), new resettlement sites
- Rehabilitation of buildings with historical/cultural significance
- Tourism development

Secure Tenure and Shelter

- Housing and commercial projects
- Low cost housing delivery
- Rehabilitation of housing and shelter, e.g., in emergency, war-affected and post-conflict situations

PROJECTS THAT REQUIRE AN EIA CATEGORY 3 PROJECTS

Projects that fall under this category tend to be large-scale infrastructure projects which have one or more of the following significant environmental impacts:

- direct pollutant discharges that are large enough to cause pollution and degradation of land, air or water;
- large-scale physical disturbances to a site or surrounding (e.g., erosion);
- extraction, consumption or conversion of substantial amounts of forest and other natural resources;
- measurable modification of the hydrological cycle;
- hazardous materials;
- involuntary displacement of people and other significant social disturbances (World Bank, 1991).

Urban Planning, Land use, Environmental Management, Disaster Management

- Technical support for:
 - Planning, e.g., urban development plans, environmental action plans, land use plans, flood, earthquake and disaster management, shelter
 - Implementation of Local Agenda 21

Water, Sanitation and Infrastructure

Rural and urban water supply and sanitation

- Canalisation and flood-relief works
- Dams and reservoirs
- Wastewater treatment plants
- Land drainage, irrigation and flood control
- River basin development

Waste Disposal

- Large-scale waste management infrastructure
- Waste disposal installations for the incineration, chemical treatment or land fill of toxic, hazardous and dangerous wastes
- Installations for the disposal of industrial wastes

Transport

- Major urban roads
- New and upgraded motorways/express roads
- Rural road programmes

- Oil and gas pipelines and installations
- Rail infrastructure
- Elevated and underground railways and suspended lines used mainly for passenger transport
- Inland waterways
- Airports with a basic runway length of 2,100m or more
- Ports and harbour development

Energy

- Thermal power stations and other combustion installations with a heat output of 300MW or more
- Hydroelectric power

Social Infrastructure and Services

- Slum upgrading
- Construction and rehabilitation of social infrastructure, e.g., schools, markets, health centres, public buildings, social and civic buildings
- Rehabilitation and reconstruction in cities, e.g., city clean-ups, rehabilitation of buildings, development of serviced plots (roads, drainage systems, water, electricity supply), new resettlement sites
- Rehabilitation of buildings with historical/cultural significance
- NB: Scale of Project determines whether PEA or EIA is required.

Secure Tenure and Shelter

- Hospital and education facilities
- Housing and commercial projects
- Low cost housing delivery
- Reclamation and new land development
- Industrial estates
- Resettlement schemes
- Rehabilitation of housing and shelter, e.g., in emergency, war-affected and post-conflict situations
- Land clearance and levelling

ENVIRONMENTAL IMPACT IDENTIFICATION CHECKLISTS

These checklists have been developed by adapting the checklists of UN-HABITAT partner agencies (World Bank, EC, SIDA, CIDA and other donor agencies). Where it is not clear what scale and type of assessment a project should go through, answers to these questions will highlight key areas and help guide the decision, and to scope potential environmental issues.

Impacts on Land, Water and Air

Will the project:

- Pollute surface water or ground water, soil or air? (consider both chemical and organic pollution).
- Have an effect on land areas, which are sensitive to erosion, or drying up?
- Contribute to increasing the salinity of the soil or areas becoming flooded or waterlogged?
- Cause land degradation as a result of forestry activities; building activities (including road construction); mining activities; other mechanical impacts; or overgrazing and movements of livestock?
- Cause an increase/decrease in the availability of surface water or ground water, locally or regionally?
- Lead to greater surface run-off and less infiltration?
- Lead to increased or decreased carbon dioxide from fossil fuels, methane or other greenhouse gases?
- Lead to increased or decreased discharges of ozone-depleting substances?
- Develop systems which adequately manage sludge, nutritive salts or other waste products? (e.g., hospital, building, organic wastes, latrines, compost systems, etc).
- Divert water from natural watercourses so that the availability of water downstream of the diversion considerably decreases?
- Have a negative effect on water quality?
- Result in the risk of accidents, which can have consequences for people and the environment in the surrounding area?
- Require the acquisition or conversion of significant areas of land? (e.g., for reservoirs, treatment works, etc.).
- Require large-scale construction activities?

Impacts on Biological Diversity

Will the project:

- Exploit or substantially change important or sensitive ecosystems?
- Reduce the natural biodiversity through threatening plant or animal species?
- Discourage the local sustainable use of wild and cultivated biodiversity, local animal and plant breeding and the development of knowledge of local biodiversity?
- Contribute to the introduction of new species in areas where they do not belong naturally?
- Result in a greater risk that plant and animal diseases are spread to cultivated or wild species?
- Result in a greater risk of the spread of transgenic organisms or genes from such organisms?
- Increase the risk of depleting fish stocks?
- Prevent migratory fish from reaching their reproduction areas?
- Facilitate access to areas with important or sensitive ecosystems, which were previously inaccessible, resulting in threats to biodiversity and management conflicts?

Impacts on People

Will the project:

- Results in a greater risk that diseases such as bilharzia, malaria or other water-borne diseases; or other negative effects on people's health, are spread as a result of pollution, poor quality building materials, poor sanitary conditions or the building of slums?
- Impair the living conditions of the population?
- Make it more difficult for the local population to use natural resources inside or outside the project area?
- Increase conflicts in respect of the use or tenure of the land, water or natural resources?
- Damage archaeological relics, places or areas of religious, cultural or historic value, or make considerable changes to areas of great beauty?
- Result in migration of people out of or into the project area?
- Introduce an incompatible culture to the existing population?
- Require the resettlement or compensation of local people?
- Significantly affect land values adjacent to the project site?
- Cause people to significantly alter the method by which they earn their livelihood?
- Lead to an unequal provision of amenities and services in favour of new settlers over the host population?
- Include, where appropriate, training programmes in environmental hygiene and environmentally-related diseases?
- Include both men and women in education and training programmes?

- Take factors which affect the environment into consideration in connection with the building of health stations, clinics or hospitals? (e.g., medical waste, sewage disposal. etc.)
- Take up work safety issues in a satisfactory way?

Chemical Effects of the Project

Will the project:

- Use chemicals which are not biodegradable or potentially polluting (for example, in building, carpentry etc.)?
- Use measures to reduce/control the use of chemicals as far as possible?
- Expose large areas to chemicals?
- Result in an increased risk that chemicals are unintentionally spread, by air, water or via food chains through use of chemicals, poor storage conditions, or inadequate facilities for the destruction of waste products?
- Provide adequate training and protective equipment to personnel handling chemicals?
- Result in acute and/or long-term health hazards for personnel who handle chemicals or for the population in the area?
- Have plans/routines for the safe handling of infected materials from hospitals and clinics?

SPECIAL CHECKLIST FOR HUMANITARIAN ASSISTANCE PROJECTS

The following questions (adapted from SIDA, 1997), have been compiled with special reference to programmes of disaster relief and other forms of humanitarian assistance.

Procurement and Logistics

- Have the project's transportation needs been planned as efficiently as possible?
- Can transport needs be reduced?
- Have measures been planned for environmentally satisfactory procurement?

Settlements

- Is there basic environmental data (e.g. soils, availability of ground and surface water, fauna, flora and ecosystems) in the areas being considered for refugee camps?
- In the selection of the sites for refugee camps, have attempts been made to minimize the effects on areas sensitive to erosion or drying up, and the effects on important or sensitive ecosystems?
- Will the recommended building materials have a minimum effect on the environment?
- Can the building materials be recycled or destroyed/deposited in an environmentally satisfactory way?

Water and Sanitation

- Have measures been planned which adequately manage sewage, sludge, nutritive salts, or other waste products?
- Is there a risk that refugee camps will pollute surface or ground water?
- Is there a risk that the use of water by the refugee camp will lead to a reduction in the availability of surface or ground water?
- Is there a risk that the activities of the refugee camp will lead to greater surface run-off and less infiltration?
- Are there plans for chemical and biological controls and checks of drinking water?
- Are there plans for taking care of hazardous waste products?
- Are there plans for managing levels of airborne particles (road dust, dust from wind erosion, etc.)?

Food

- Is the food culturally acceptable?
- Is food selected in such a way that the use of energy for transport, packing, handling and cooking is minimized?
- Are packaging materials recycled?
- Is left-over food recycled in hygienic composting systems?

Energy

- Are energy saving stoves and cooking equipment in use?
- Is grain ground in an energy-saving way?
- Is fuel-wood provided in a sustainable way?
- Are renewable sources of energy such as solar energy and wind energy being used?

Forestry, Agriculture, Livestock

- Are there plans for long-term sustainable forestry in the refugee areas?
- Is sustainable agricultural production encouraged or negatively affected in the area?
- Can the project diminish the local population's access to natural resources inside or outside the project area?
- Can the project lead to conflicts in respect of the present use or tenure of the land, and are there plans to minimize such conflicts and preparedness for conflict resolution?

Chemical effects

Will the project:

- Use chemicals which are difficult to break down?
- Expose large areas to chemicals?
- Result in an increased risk that chemicals are unintentionally spread, for example, by air, water or via food chains, through use of the chemicals, poor storage conditions, or inadequate facilities for the destruction of waste products?
- Result in acute and/or long-term health hazards for personnel who handle chemicals or for the population in the area?

• Provide adequate training and protective equipment to personnel handling chemicals?

People, Social Services, Education

- Are there plans to minimize the risk that diseases or other negative effects on people's health are spread?
- Can the selection of the site of refugee camps damage archaeological relics, cultural monuments or places/areas of religious, cultural or historic value?
- Is the knowledge of the environment possessed by refugees or the local population adequately used in planning processes?
- Is the use of participatory methods ensured for the planning process, with special attention given to the needs of vulnerable groups?
- Are there plans for education and training and involvement in local environmental issues?

SCREENING REPORT FORMAT

The following is the recommended format. It may be adjusted to suit the project type and other requirements. The report should be as short, clear and precise as possible, and ideally should not take up more than a page.

A. Basic Information about the Project

This section will include the project title, project cost, duration, country, lead project manager, officer responsible for environmental screening and a brief description of project.

B. Screening

This section will summarise information about the project's potential impacts, and recommend whether or not the project will require EA, and what level of EA will be necessary. The section will include:

- Environmental issues identified (refer to screening lists and environmental impacts checklists).
- Key stakeholders identified and consulted.
- Next steps (indicate whether no assessment, PEA or EIA required, allocate responsibility and indicate time-frame).

PRELIMINARY ENVIRONMENTAL ASSESSMENT REPORT FORMAT

Adapted from Environmental Assessment Requirements of the Asian Development Bank (ADB, 1998 and 2003).

Introduction

1. This section should include the following:

- Purpose of the project, including (a) identification of the project and project proponent; (b) brief description of the nature, size and location; and its importance:- and (c) any other important information.
- (ii) Extent of the PEA: scope of study, person or agency performing the study.

B. Description of the Project

Furnish sufficient details to give a brief but clear picture of the following:

- (i) Type of project
- (ii) Need for project
- (iii) Location
- (iv) Target groups and stakeholders
- (v) Size or magnitude of operation
- (vi) Proposed schedule for implementation
- (vii) Detailed description of the project.

C. Description of the Environment

Furnish sufficient information to give a brief but clear picture of the existing environmental resources including the following:

- (i) *Physical resources* (topography, soils, climate, surface water, ground water, geology/seismology).
- (ii) *Ecological resources* (fisheries, aquatic biology, wildlife, forests, rare or endangered species).
- (iii) Human and economic development (including but not limited to): population and communities (numbers, locations, composition, employment, infrastructural facilities, e.g., water supply, sewerage, flood control, drainage, etc.); institutions; transportation including roads, ports harbours, etc.; land use planning, including dedicated area uses; power sources and transmission; agricultural other and natural resource development.

(iv) *Quality of life values* including socio-economic value, public health, recreational resources and development, aesthetic values, archaeological or historical sites and cultural values.

D. Potential Environmental Impacts and Mitigation Measures

This section should identify environmental impacts and mitigation measures, including:

- (i) Environmental problems due to project location.
- (ii) Environmental problems related to design.
- (iii) Environmental problems associated with construction stage.
- (iv) Environmental problems resulting from project operations
- (v) Potential cumulative, interactive, transboundary, and intergenerational environmental effects.
- (vi) Potential environmental enhancement measures.

E. Institutional Requirements and Environmental Monitoring Programmes

This section will describe the institutional capacity, the monitoring programme and submission of progress reports.

F. Findings and Recommendations

This section will include an evaluation of the screening process and recommendations will be provided on whether significant impacts exist thus necessitating further detailed study. If there is no need for further study, this PEA becomes the completed EA for the project. If it is found that further EA is needed, then this section of the report will include a brief TOR for further EA.

G. Conclusions

7. This section will discuss the result of the PEA and justification, if any, for additional study or EIA. If the preliminary assessment is sufficient for the project, then this becomes the completed environmental assessment.

APPENDIX 6 TERMS OF REFERENCE FOR EA

The EIA specialist will require Terms of Reference (TOR) to define what specialised EA work will be required for a project. The TORs for a detailed EIA should be built up from the results of scoping and include the following elements:

1. INTRODUCTION AND PROJECT BACKGROUND

- Introduce the project and the most critical environmental issues.
- State clearly the objectives of the assessment and the relationship of the results to project planning, design, implementation and follow-up.
- Summarize the rationale for detailed EIA work on the UN-HABITAT project.
- Summarize the legal, policy and procedural bases for environmental assessment in the partner country and any additional donor/partner requirements.

2. PROJECT DESCRIPTION

- Describe the project in terms of location, layout, size, capacity, inputs (e.g., land, raw materials, energy, labour, etc.) and outputs (e.g., infrastructure, air and water emissions, etc.).
- List all project partners and identify their roles.
- List the project stakeholders who have been identified and describe how they have been involved in the EIA process to date.
- Describe how the project would ensure gender specific and socially inclusive analysis.
- Summarize the institutional capacity of the partner country with respect to environmental assessment.
- Identify project alternatives for the assessment to include, where appropriate, alternative project types, the zero project option, alternative sites, plans and designs.

3. SCOPE AND FOCUS OF THE EIA

- Summarize the results of scoping and identify the specialist studies required for the EIA.
- Specify the scope and focus of the EIA including issues to be addressed, alternatives to be considered, mitigation measures and the analysis of social and environmental impacts.
- Show how information received from stakeholders has been used to limit the scope of the environmental issues, which need to be addressed by the detailed EIA.
- Provide information about baseline data collected so far and identify any data gaps.
- Identify the expertise required and specify methodologies to be used (or invite methodology statements from the bidding consultants).

- Provide any additional information about the environmental concerns to be addressed (e.g., the consideration of cumulative, interactive and transboundary impacts).
- Provide any additional information about the methodologies to be used by the specialist studies (e.g., mechanisms for additional stakeholder participation, predictive quantitative models, sampling and testing, and economic and social valuations).

4. REPORTING REQUIREMENTS

- The report format should conform to the legal requirements of the partner country and/or conditions of the lead partner. See Appendix Seven for UN-HABITAT standard report formats.
- State the need for the EIA to produce a detailed environmental management plan, to include mitigation of predicted impacts, training programmes, monitoring of environmental and social variables, sampling plans and cost and human resource requirements.
- State the requirement for any interim and draft reports and the required process and time_frame for review of the reports both as required by national legislation in the partner country and as a requirement of the UN-HABITAT project approval process.
- State the number of copies of each report required and to whom the reports must be delivered.

5. ORGANIZATION OF THE EIA STUDY

- Provide details about the assessment team, overall approach, organization of the specialist studies, required schedule/time frame, budget and requirements for independent review.
- Specify the qualifications required by the assessment team, including the need for their recognition/registration with any appropriate professional bodies and/or Government agencies.
- Identify requirements for involvement of partner country personnel.
- Identify UN-HABITAT personnel with whom the consultant team should liaise.

6. CONSULTANT PROPOSAL

- Specify the need for the consultant team to submit technical and financial proposals.
- Specify information that the technical proposal needs to include, e.g., proposed study strategy, methodology statements, detailed work plans, study team members, time schedules, expected outputs.
- Specify the bases for the financial proposals, e.g., daily fee rates, field subsistence rates, reimbursable expenses and specialised equipment costs. Specify the deliverables required, including work plans, interim, draft, final and summary reports.

ENVIRONMENTAL IMPACT ASSESSMENT REPORT FORMAT

Adapted from Environmental Assessment Requirements of the Asian Development Bank (ADB, 1998 and 2003).

A. Introduction

This section should include the following:

- Purpose of the report, including (a) identification of the project and its proponent, (b) brief description of the nature, size and location of the project and its importance, and (c) any other important information;
- (ii) Stage of project preparation (i.e., pre-feasibility study, feasibility study, detailed engineering design preparation);
- (iii) Extent of the EA study, including the scope of the study and persons/expertise or agency performing the study; and
- (iv) Brief outline of the contents of the report, including any special techniques or methods used for identifying issues, assessing impacts, and designing environmental protection measures.

B. Description of the Project

The project should be described in terms of its basic activities, location, layout, and schedule (in terms of the project cycle). This section of the EIA report should provide sufficient details on the following:

- (i) Type of project.
- (ii) Need for project.
- (iii) Location.
- (iv) Target groups and stakeholders.
- (v) Size or magnitude of operation including any associated activities required by or for the project.
- (vi) Proposed schedule for approval and implementation.
- (vii) Detailed description of the project.

C. Description of the Environment

This section contains a description of the study area to provide a clear picture of the existing environmental resources and values within which the impacts must be considered. Methodologies used to gather information, including data sources, should also be briefly described. The baseline environmental information should include:

(i) Physical resources, e.g.:

- Atmosphere
- topography and soils
- surface water

- groundwater
- geology/seismology.
- (ii) Ecological Resources, e.g.:
 - fisheries
 - aquatic biology
 - wildlife
 - forests
 - rare or endangered species
 - protected areas
 - coastal resources.

(iii) Economic Development, e.g.:

- industries
- infrastructure facilities
- transportation
- land use
- power sources and transmission
- agricultural development, mineral development, and tourism facilities.

(iv) Social and Cultural Resources, e.g.:

- population and communities
- health facilities
- education facilities
- socio-economic conditions
- physical or cultural heritage
- current use of lands and resources for traditional purposes
- structures or sites that are of historical, archaeological, paleontological, or architectural significance.

D. Alternatives

The consideration of alternatives is one of the more proactive sides of environmental assessment. This calls for the systematic comparison of feasible alternatives for the proposed project site, technology, and operational alternatives. Alternatives should be compared in terms of their potential environmental impacts, capital and recurrent costs, suitability under local conditions and institutional, training and monitoring requirements. For each alternative, the environmental costs and benefits should be quantified to the extent possible, economic values should be attached where feasible, and the basis for the selected alternative should be stated.

One alternative that should also receive attention is the "zero" alternative. In some cases, this may be the only alternative to the project that can be realistically considered.

E. Anticipated Environmental Impacts and Mitigation Measures

Review Characteristics of Each Environmental Impact. This section will evaluate the project's expected impacts (in as quantified terms as possible) on each resource. Direct, indirect and cumulative effects should be considered, together with the area of influence. Opportunities for enhancing natural environmental values should be explored.

Mitigating Adverse Effects. For each significant adverse environmental impact, the report will carefully explain how the project plan/design minimizes the adverse effects, includes provision for offsetting or compensating of adverse effects and provides for positive enhancement of benefits or environmental quality. Where substantial cost of mitigation measures is involved, alternative measures and costs will be explored.

Irreversible and Irretrievable Impacts. The EIA report will identify the extent to which the proposed project would irreversibly curtail the potential uses of the environment.

Temporary Effects During Project Construction. The construction phase of the project involves special environmental impacts which will be terminated on completion of construction. These should be separately discussed together with proposed remedial measures.

F. Economic Assessment

This section may be drawn from the economic analysis conducted as part of the project feasibility study. It should include the following elements:

(i) costs and benefits of environmental impacts;

(ii) costs, benefits, and cost-effectiveness of mitigation measures; and(iii) discussion of impacts that have not been expressed in monetary values, in quantitative terms where possible.

G. Environmental Management Plan (EMP)

The EMP describes how the mitigation and other measures to enhance the benefits of environmental protection, or to manage the state of environmental resources affected, will be implemented. It explains how the measures will be managed, who will implement them, and when and where they will be implemented. These are then included in the detailed project design logical framework, as described in the UN-HABITAT Manual for Project and Programme Cycle Management. The following elements should be described in the EMP:

- (i) implementation of mitigation measures during project design;
- (ii) implementation of mitigation measures by contractors and how
- impacts prevention will be incorporated in the materials procurement;
- (iii) social development programme;

- (iv) contingency response plan for natural or other disasters and project contingencies; and
- (v) environmental management, mitigation and monitoring costs.

The EMP should also include an environmental monitoring plan, which describes the monitoring activities required to ensure that adverse environmental impacts will be minimized. The environmental monitoring plan will cover selected parameters to indicate the level of environmental impacts. It also describes how, when, and where the monitoring activities will be undertaken; who will carry them out; and who should receive the monitoring report.

The present capacity of the executing agency to implement the EMP should be described and implementation costs clearly identified.

H. Public Consultation and Information Disclosure

This section will describe the process undertaken to involve the public in project design and recommended measures for continuing public participation; summarize major comments received from beneficiaries, local officials, community leaders, NGOs, and others, and describe how these comments were addressed; list milestones in public involvement and recipients of the report and other project-related documents; describe compliance with relevant regulatory requirements for public participation; summarize public opinion on the proposed project; and describe other related materials or activities (e.g., press releases, notifications) as part of the effort to gain public participation.

I. Conclusions

The EA report will present the conclusions of the study including:

- (i) gains which justify project implementation;
- (ii) stakeholders involved and affected by the project;

(iii) explanation of how adverse effects could be minimized or offset, and compensated to make these impacts acceptable;

- (iv) explanation of use of any irreplaceable resources; and
- (v) provisions for follow-up surveillance and monitoring.

J. Summary EA Report

This is the executive summary of the EA report. It describes the critical facts and significant findings of the EA report, and their resolutions in sufficient detail. The reader should be able to understand the importance of the issues and scope, and the appropriateness of the approach taken to resolve them. The summary report should be presented clearly and concisely as a standalone document for submission to the Project Review Committee and disclosure to the public. The summary report should not be more than 10 -15 pages long.

Outline of the Summary EIA Report

A. Introduction

This section will include the purpose of the report, extent of the EA study and brief description of any special techniques or methods used.

B. Description of the Project

This section will include the type of and need for the project, its location, size or magnitude of operation and proposed schedule for implementation.

C. Description of the Environment

This section will include the physical and ecological resources, human and economic development and quality of life values in the area affected by the project. Where available, environmental standards will be used as the baseline for comparative purposes.

D. Alternatives

For each alternative, a summary of the probable adverse impacts and its relation to the project, and other alternatives will be discussed to determine whether the project minimizes the environmental impact over all other alternatives and is within acceptable environmental impact limits. In most cases, environmental impacts "with" and "without" project alternatives should be examined.

E. Anticipated Environmental Impacts and Mitigation Measures Environmental impacts, both direct and indirect, on different environmental resources or values due to project location as related to design, during construction and regular operation will be discussed and mitigation, offsetting or enhancement measures will be recommended.

F. Economic Assessment

This section will include: (a) costs and benefits of environmental impacts; (b) costs, benefits and cost effectiveness of mitigation measures; and (c) for environmental impacts that have not been expressed in monetary values, a discussion of such impacts in quantitative terms. This information should be integrated into the overall economic analysis of the project.

G. Environmental Management Plan

The EMP will describe the impacts to be mitigated and activities to implement the mitigation measures, including how, when, and where they will be implemented. The environmental monitoring plan will describe the impacts to be monitored and when and where monitoring activities will be carried out, and who will carry them out.

H. Public Consultation and Disclosure

This section will describe, the process undertaken to involve the public in project design and recommended measures, for continuing public participation; summarize major comments received from stakeholders, and describe how these comments were addressed; list milestones in public

involvement; list recipients of this document and other project related documents; describe compliance with relevant regulatory requirements for public participation; and summarize other related materials or activities, such as press releases and notifications.

I. Conclusions

This section will describe the gains which justify implementation of the project; explain how significant adverse environmental impacts will be mitigated or offset and compensated for; explain/justify use of any irreplaceable resources and; describe follow-up surveillance and monitoring.

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Useful Web Resources

European Union: <u>http://europa.eu.int/comm/environment/</u>

United Nations Environment Programme (UNEP): www.unep.org

United Nations Human Settlements Programme (UN-HABITAT): <u>www.un-habitat.org</u>

World Bank: www.worldbank.org/environment

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GLOSSARY

<u>GLOSSARY</u>

Activities: Actions in the context of programming, which are both necessary and sufficient, through which inputs (financial, human, technical and material resources) are mobilised to produce specific outputs or contribute to the outcome. Activities may also be referred to as "development interventions".

Baseline Data: Data that describe the situation to be addressed by a programme or project and that serve as the starting point for measuring the performance of that programme or project. A baseline study would be the analysis describing the environment prior to the project, which is used to determine the results and accomplishments of a project, and which serves as an important reference for monitoring and evaluation.

Best Practices: Planning and/or operational practices that have proven successful in particular circumstances. Best practices are used to demonstrate what works and what does not and they accumulate and apply knowledge about how and why they work in different situations and contexts. See also "Lesson learned".

Checklist: List of environmental issues to be referred to for identification of environmental impacts.

Cumulative Impacts: The impacts that are likely to result from a project in combination with other projects or activities that have been or will be carried out. To accurately predict the impacts of the proposed project, the other projects in the area that may have an effect on the same environmental components must be taken into account.

Effect: Intended or unintended change resulting directly or indirectly from a development intervention.

Environment: The environment includes all aspects of the living and nonliving world around us, and the goods and services it provides. It encompasses the built environment, the natural environment, the social environment, the cultural environment, and all natural resources, including air, land and water. The environment, therefore, provides sustenance to humanity and is the foundation for social and economic development.

Environmental Assessment: A systematic examination conducted to determine whether or not a project will have any negative impacts on the environment.
Environmental Auditing: A systematic and documented process of auditing an existing project or programme to determine whether specified environmental activities have been undertaken to an appropriate standard.

Environmental Impact Assessment: The European Commission defines EIA as "the identification, description and assessment of the direct and indirect effects of a project on: human beings, fauna and flora, soil, water, air, climate and the landscape, the interaction of these factors, and on material assets and the cultural heritage". (Directive 85/337/EEC).

Environmental Management Plan: An environmental management plan allocates resources, assigns responsibility and defines ongoing monitoring and evaluation of practices, procedures and processes.

Initial Screening: The initial step in the process of determining the likely environmental opportunities and risks of a project and the steps needed to address them.

Indirect environmental impacts: these are impacts on the environment which are not a direct result of the project and are often produced away from the project or as a result of a complex pathway.

Interactive Environmental Impact: A process by which a change in the condition of one component of the environment causes a change in another.

Interested and Affected Parties: See "Stakeholders".

Intergenerational Environmental Impact: The transmission of an environmental impact from one generation to the next.

Lesson learned: Learning from experience that is applicable to a generic situation rather than to a specific circumstance.

Logical Framework Approach (LFA or "logframe"): A methodology that logically relates the main elements in programme and project design and helps ensure that the intervention is likely to achieve measurable results.

Mitigation Measures: Actions which reduce, avoid or offset potential adverse environmental consequences of a project.

Monitoring: A continuing function that uses systematic collection of data on specified indicators to provide managers and main stakeholders with regular feedback and early indications of progress or lack thereof in achievement of intended results.

Participation: A process through which stakeholders' influence and share control over development initiatives and decisions on resources that affect them.

Programme: A programme is a less clearly bound entity than a project, but can be defined in relation to a project as a less specified and commonly, more comprehensive, long-term or diverse intervention, which can include many projects, many geographical areas/cities, etc.

Project: A project can be defined as a planned, non-routine intervention for achieving one or more objectives, encompassing a set of interrelated activities which are undertaken during a specified period of time, using limited human, financial and physical resources.

Project Review Committee: The Project Review Committee (PRC) is an inhouse peer review committee, who gives comments and feedback to the branch/unit responsible for the project or programme. The PRC consists of Senior Managers and some staff members in UN-HABITAT responsible for key issues such as evaluation, press and media, etc. It has an appointed Chair and a Secretary.

Residual Environmental Impact: An adverse predicted environmental impact that remains after mitigation measures have been applied.

Scoping/Preliminary Environmental Assessment: Scoping limits the focus of an environmental assessment to ensure that it concentrates on key areas for decision-making purposes. The scoping process is also used to help set terms of reference for any further or detailed environmental assessment required.

Stakeholders: People, groups or entities that have a role and interest in the objectives and implementation of a programme or project. They include the community whose situation the project wishes to change; project field staff who implement activities; project and programme managers who oversee implementation; donors and other decision_makers who decide the course of action related to the programme; and supporters, critics and other persons who influence the project environment.

Strategic Environmental Assessment: A process for analysing the environmental consequences of proposed policies, plans, programmes and other strategic actions, in order to ensure that they are addressed at the earliest stages of decision-making.

Sustainable Development: The 1987 World Commission on Environment and Development (WCED) defines this as meeting the needs of the current generation without undermining the ability of future generations to meet their own needs.

Sustainable Urbanisation: A dynamic, multidimensional process covering environmental as well as social, economic and political-institutional sustainability. It embraces relationships between all human settlements, from small urban centres to metropolises, and between towns and cities and their surrounding rural areas. **Terms of Reference:** Definition of the work that must be carried out by the environmental assessment team. It recalls the background to the work and specifies the scope of the assessment. It sums up available knowledge and outlines an assessment method and describes the distribution of the work, schedule and the responsibilities among the team. It specifies the qualifications required from the candidate, teams or individuals as well as the criteria to be used to select an assessment team.

Transboundary Environmental Impact: This refers to an adverse environmental impact that is likely to occur across state or international boundaries.

Workplan: An annual or multi-year summary of tasks, time-frames and responsibilities. It is also used as a monitoring tool to ensure the production on output and progress towards outcomes.