TOPICS TO BE ADDRESSED	BASIC REQUIREMENTS	PROCEDURAL CONSIDERATIONS	OPERATIONAL CONSIDERATIONS	PROJECT STAGES

A FRAMEWORK TERMS OF REFERENCE FOR ENVIRONMENTAL ASSESSMENT OF DEVELOPMENT ASSISTANCE PROJECTS

(From OECD/DAC, (1994) Towards Coherence in Environmental Assessment — Results of the Project on Coherence of Environmental Assessment for International Bi-lateral Aid. Canada)

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A. INTRODUCTION				
1. BACKGROUND	*Introduce the project and the most critical environmental issues involved.*	Briefly review the events leading up to the conduct of the assessment.	List the main participants in the assessment process.	Concept (i) Pre-feasibility (s) Feasibility (s)
B. CONTEXT				
2. THE PROBLEM	*Summarise the basic developmental issue or problem being addressed by the proposed activity, i.e., pollution, flooding, drought, erosion, energy shortage, poor health, depressed economy, etc.*	Characterise the issue or problem in its broader national context, i.e., historical perspective, root causes, implications for development, and prior attempts at resolution.	As they become available, use results from the environmental assessment to refine the problem statement.	Concept (i) Pre-feasibility (s) Feasibility (s)
3. PROPOSED SOLUTION	*Summarise the way in which the proposed activity is expected to resolve the issue, or solve or alleviate the problem, with the emphasis on sustainability.*	Describe the critical requirements for the proposed activity to be successful in the long-term, and identify the major risks and benefits involved.	Identify the technical or operational aspects of the project that are most problematic in terms of achieving sustainability.	Concept (i) Pre-feasibility (s) Feasibility (s)
4. CO-OPERATION AMONG JURISDICTIONS	*Summarise the agreement or arrangements between the donor(s) and the recipient country under which the environmental assessment is being conducted.*	Describe the sharing of roles and responsibilities, emphasising the lead role to be played by the recipient country in the conduct of the assessment.	Provide a brief overview of other relevant past cooperative efforts between the donor and the recipient country, including strategies for capacity development.	Concept (i) Pre-feasibility (s) Feasibility (s)
5. OBJECTIVES OF THE ASSESSMENT	*State clearly the objectives of the assessment and the relationship of the results to project planning, design, implementation and follow-up.*	For donor and recipient country, highlight critical points in the decision making process linking environmental assessment and project execution.	Note those aspects and outcomes of the project which are considered most likely to be affected by the results of the assessment.	Pre-feasiblity (s) Feasibility (s)

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C. INSTITUTIONAL SETTING				
6. LEGAL/POLICY BASE	*Summarise the legal, policy and procedural bases for environmental assessments in the recipient country and the donor agency.*	Identify potential areas of conflict or disagreement and describe how these have been, or can be, overcome.	Ensure agreement on sensitive issues, such as pollution standards, criteria for impact evaluation, relocation and compensation.	Concept (i) Pre-feasibility (s) Feasibility (s)

Key **s** – if stage occurs concurrently with assessment **i** – information sources for the assessm
r – influenced by results of assessment

7. INSTITUTIONAL CAPACITY	*Summarise and provide an appraisal of the strengths and limitations of the recipient country in the various fields of environmental protection and management.*	Assess capacity and past experience of institutions in managing domestic and foreign assistance projects; identify capacity building needs (including training).	Focus on key aspects, including the number and competency of staff, size of operational budgets and availability of appropriate technology and equipment.	Concept (i) Pre-feasibility (s) Feasibility (s)
D. ALTERNATIVES				
8. ALTERNATIVES TO THE PROJECT				
(a) Policy Interventions	*Assess the potential for achieving the basic developmental objective by interventions at the policy level.*	Evaluate options such as using economic instruments, controlling supply and demand, and encouraging reuse/recycling.	Identify key potential constraints, such as lack of expertise, and inefficient administrative systems.	Concept (i) Pre-feasibility (s) Feasibility (s)
(b) Other Projects	*Assess the potential for achieving the basic developmental objective by implementing other projects which are substantively different than the one proposed.*	Assess reasonable options, such as alternative sources (for energy projects), alternative modes (for transportation projects) and alternative practices (for agricultural projects).	Identify key constraints, such as the inadequacies of existing infrastructure, time limitations and a lack of financial resources.	Concept (i) Pre-feasibility (s) Feasibility (s)
9. ALTERNATIVES WITHIN THE PROJECT	*Evaluate potential alternatives for key aspects of the proposed project, i.e., options for siting, waste management, energy conservation and pollution control technologies.*	Assess the potential to implement such alternatives, depending upon the specifics of the project and the design options available.	Identify the most reasonable alternatives and incorporate them into the detailed analysis of environmental impacts.	Prefeasibility (s) Feasibility (s)

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E. INSTITUTIONAL AND PUBLIC INVOLVEMENT				
10. INSTITUTIONAL COOPERATION	*Show clearly how the proposed project conforms with the overall development strategy and priorities of the recipient country.*	Describe the manner and extent to which other government institutions in the recipient county were consulted or participated in the assessment.	Describe the procedures u to gain access to informat held by other agencies, an what extent they were successful.	Pre-feasibility (Feasibility (s)
11. PUBLIC INVOLVEMENT	*Show how affected groups and NGOs in the recipient country, and interested publics in the donor country, were given the opportunity to participate in the assessment process.*	Explain the manner in which information was distributed to, and received from, members of the public, and how that information was used in project planning.	Describe efforts at public scoping, and explain how results were used to focus assessment on critical issu particularly in regard to collection and interpretati of data.	Pre-feasibility (Feasibility (s)

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F. REQUIRED INFORMATION AND DATA				
12. DESCRIPTION OF PROJECT	*Describe the project (design life, location, layout, size, capacity, activities) inputs (land, raw materials, energy) and outputs (products, by-products, emissions).*	Identify indirect impacts arising from induced changes in land use or ownership and from utilisation of local natural resources as raw material for the project.	Identify and quantify sources of impacts, i.e., emissions, effluents, waste products and noise, with particular emphasis on toxic materials.	Pre-feasibility (s) Feasibility (s)
13. DESCRIPTION OF ENVIRONMENT	*Identify study boundaries which can provide baseline data on relevant (as determined from scoping results) physical, ecological, economic, social, cultural and demographic conditions within those boundaries.*	Clearly show how information received from the general public through a scoping process was used to limit and focus baseline studies on the important issues.	Identify and quantify receptors of impacts, i.e., components of ecological systems at risk, vulnerable human groups (and sub-groups) and valued resources.	Pre-feasibility (s) Feasibility (s)
14. INFORMATION QUALITY	*Assess the quality of all information, identify data gaps, and summarise the limitations placed on the assessment from such deficiencies.*	Recommend measures to ensure that important data bases of reliable quality will be established and maintained for future projects.	Where appropriate and feasible, design the monitoring plan for the proposed project to fill the identified data gaps.	Pre-feasibility (s) Feasibility (s) Monitoring and Evaluation (r)

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G. ANALYSIS OF IMPACTS				
15. POSITIVE IMPACTS	*Predict how the lives of the affected people will be improved and any enhancement of natural systems resulting from project implementation.*	Focus on values determined through scoping, i.e., traditional economy, improved health, better living conditions, conservation of local ecosystems.	Use quantitative analysis where possible; take account of past trends and experience with similar projects.	Pre-feasibility (s) Feasibility (s)
16. NEGATIVE IMPACTS				
(a) Natural Resources	*Predict any significant reduction in the quality of air, water and soil or loss of biodiversity.*	Emphasise threats to the integrity of ecosystems that could affect economic or social sustainability.	Use predictive qualitative models where possible, to avoid vague predictions.	Pre-feasibility (s) Feasibility (s) Design and Engineering (r)
(b) Human Resources	*Evaluate the risk of significant deterioration in the health or well-being of the affected people.*	Use the results of public consultation to focus the analysis on locally important concerns and issues.	Undertake an economic and social valuation of the predicted environmental impacts.	Pre-feasibility (s) Feasibility (s) Design and Engineering (r)
(c) Relocation and Compensation	*Evaluate plans for involuntary relocation and describe measures taken to minimise the number of relocates.*	Assess the success of previous relocation programmes and recommend changes in current plans accordingly.	Evaluate the fairness and equity of criteria for determining compensation, and identify required changes.	Pre-feasibility (s) Feasibility (s) Design and Engineering (r)
(d) Cumulative Impacts	*Evaluate the incremental contribution to the long-term degradation of local natural and social systems.*	Compare the severity of cumulative impacts with those from other previous development activities.	Review past trends and compare current quality indicators to estimated or perceived thresholds.	Pre-feasibility (s) Feasibility (s) Design and Engineering (r)
(e) Trans-Boundary Impacts	*Evaluate the potential for neighbouring countries to be impacted and the potential effects on the global commons.*	Identify the most likely sources of extra-territorial impacts and describe how such impacts will be kept to a minimum.	Focus on any far-field effects of pollution, and impacts on species or ecosystems of global importance.	Pre-feasibility (s) Feasibility (s) Design and Engineering (r)
(f) Impact Significance	*Define the meaning of the term "significant" and assess the significance of the expected impacts.*	Where possible, determine thresholds that reflect local environmental and socio-economic values.	State the environmental quality standards to be applied in the assessment.	Pre-feasibility (s) Feasibility (s)
H. MITIGATION AND MONITORING				
17. ENVIRONMENT MANAGEMENT PLAN	*Provide a detailed plan covering mitigation of predicted impacts, management of residual effects, relocation and compensation schemes, decommissioning, and training programmes.*	Allocate roles and responsibilities and show how the Management Plan is expected to influence project final design, operation and eventual decommissioning.	Present mitigation plans in sufficient detail that they can be incorporated into the criteria for project design, operation and shutdown.	Design and Engineering (r) Monitoring and Evaluation (r)

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18. ENVIRONMENT MONITORING PLAN	*Provide a comprehensive and detailed plan covering the environmental and social variables to be monitored, the location and timing of sampling and the use to be made of monitoring data.*	Clearly state the institutions(s) responsible for the monitoring plan and how the resulting information will influence the operation of the project.	Provide sufficient guidance (and training where necessary) on sampling protocols and analytical standards to ensure the generation of reliable data.	Monitoring and Evaluation (r)
I. CONCLUSIONS AND RECOMMENDATIONS				
19. PROJECT DECISIONS	*Indicate the extent to which the proposed project conforms with the general principles of sustainable development.*	Show how the project has been modified to make it more sustainable and explain the shortcomings that remain.	Compare the proposed project with reasonable alternatives, in terms of benefits and environmental impacts.	Feasibility (s)
20. TECHNICAL MATTERS	*Summarise the design and operational changes that are considered critical to improving the environmental acceptability of the project.*	Note any legal, policy, procedural or administrative impediments to achieving the required changes to the project.	Note any engineering constraints or risks to achieving the necessary technical changes.	Feasibility (s)
21. NON-TECHNICAL SUMMARY	*Summarise, in non-technical terms, the key findings and recommendations of the assessment, including the main economic benefits, significant environmental effects and proposed mitigation measures.*	Summarise any changes required to in-place management systems to ensure that the project is designed and operated in accordance with the recommendations of the environmental assessment.	Highlight the technical and procedural aspects of the assessment that pose the greatest risk to the successful completion and operation of the project, and the recommended strategies to circumvent these.	Feasibility (s)

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Sample Terms of Reference (ToR) for Environmental Assessment

Introduction: state the purpose of the terms of reference.

Background information: briefly describe the need for, objectives of and major components of the proposal.

Objectives: summarise the scope of the EIA and timing in relation to project preparation, design, and approval.

EIA requirements: identify the regulations and guidelines governing the conduct of the EIA and/or specify the content of its report.

Study area: outline the time, space and jurisdictional boundaries of the study.

Scope of work: identify the tasks to be carried out, information deficiencies to be addressed, studies to be carried out, methodologies etc.

Task 1. Description of the proposed project: provide a brief description of the relevant parts of the project, using maps (at appropriate scale) where necessary.

Task 2. Description of the environment: assemble, evaluate and present baseline data on the relevant environmental characteristics of the study area. Include information on any changes anticipated before the project commences.

Task 3. Legislative and regulatory considerations: describe the pertinent regulations and standards governing environmental quality, health and safety, protection of sensitive areas, protection of endangered species, siting, land use control, etc.

Task 4. Determination of the potential impacts of the proposed project: distinguish between significant positive and negative impacts, direct and indirect impacts, and immediate and long-term impacts. Identify impacts that are unavoidable or irreversible. Wherever possible, describe impacts quantitatively, in terms of environmental costs and benefits.

Task 5. Analysis of alternatives to the proposed project: describe alternatives that were examined in the course of developing the proposed project and identify other alternatives which would achieve the same objective.

Task 6. Development of management plan to mitigate negative impacts: recommend feasible and cost-effective measures to prevent or reduce significant negative impacts to acceptable levels and describe the actions necessary to implement them.

Task 7. Identification of institutional needs to implement environmental assessment recommendations: review the authority and capability of institutions at local, provincial/regional, and national levels.

Recommend steps to strengthen or expand them so that the management and monitoring plans in the environmental assessment can be implemented.

Task 8. Development of a monitoring plan: prepare a detailed plan to monitor the implementation of mitigation measures and the impacts of the project during construction and operation.

Task 9. Public/NGO participation and inter-agency co-ordination: describe how the arrangements for obtaining the views of local NGOs and affected groups, and in keeping records of meetings and other activities, communications, and comments and their deposition.

EIA report: keep it concise and limited to significant environmental issues. The main text should focus on findings, conclusions and recommended actions, supported by summaries of the data collected and citations for any references used.

Source: adapted from World Bank 1991