

## **INTERIM ADVICE NOTE 125/15**

### **Environmental Assessment Update**

#### **Summary**

This IAN introduces new guidance in order to facilitate more effective and efficient, Environmental Assessments for highways. It is for use by Highways England or those undertaking work on behalf of the Highways England

#### **Instructions for Use**

This IAN is supplementary guidance and should be read in conjunction with DMRB Vol 11 Sections 1 & 2 & 3 and replaces IAN125/08

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## 1. Introduction

The key objectives of good environment assessment as set out in DMRB Volume 11 Section 2 Part 1 are to:

- Facilitate good design in order to minimise environmental impacts. This means that in particular, assessments should support the minimisation of significant environmental effects by firstly amending the design to avoid and then reduce or compensate or off setting those that remain
- Help decision makers understand the effects from a project and allow these to be taken into account through the consenting process.

The emphasis on significant effects in particular comes from the European Union (EU) Directive 85/337/EEC on EIA (Article 1) (as amended) and is enacted through the transposing Regulations (SIs). It is therefore crucial all effort is focused on identifying potential significant effects and using the process of project design to avoid, prevent or reduce these where possible to non-significant levels.

Whilst DMRB Vol 11 Section 2 Part 1 1.3 stresses the need for assessments to be “*Fit for purpose and appropriate to the potential for the project to cause significant environmental effects*”, it is recognised that the outputs from the environmental assessment process have become more extensive over the years reflecting the increasing complexities of environmental legislation. This has resulted in assessments becoming unwieldy and unfocused, making it difficult for decision makers to understand the key issues. The EU has published *Directive 2014/52/EU* to amend the EIA Directive with the explicit aim of making environmental impact assessments (EIAs) more proportionate and effective.

In the context of the Strategic Highways Company’s (referred to as Highways England’s from this point) business this is particularly important to achieve this objective given the need to speed up the delivery of highway projects. Environmental assessments are recognised as being a large part of the pre-construction phase costs and so, it is crucial that these are undertaken in an effective and efficient way.

Achieving effective and efficient environmental assessments is critical to supporting all type of projects whether they are large complex major projects or smaller simpler schemes.

### 1.1 Purpose and required Actions

The purpose of this Interim Advice Note is to help Highways England and its supply chain ensure that environmental assessments are both effective and efficient. This is achieved by ensuring the focus remains on the core principles set out in EIA Directive and DMRB.

Specifically it:

- Provides advice around the boundaries of environmental impact assessment and distinguishes the core requirements from other assessments driven by other policy and legal requirements.
- Provides advice around decision making and uncertainty within the process by avoiding a “report all” approach.
- Introduces a requirement to form a view about significant effects early in the process (screening assessment).
- Introduces a requirement to scope assessments in order to make assessments more effective and proportionate.
- Provides advice on encouraging stakeholder engagement and consultation where it adds value particularly early on, thus reducing subsequent programme risk.

- Advises that use of Simple and Detailed assessments should be driven by the need to gain a reasonable level of confidence/certainty in predicting significant effects.
- Provides advice on delivering proportionate reporting in order to help decision makers understand the key issues including the use of Summary Tables.

## **1.2 Relationship**

Overall the general procedural guidance is covered by DMRB Vol 11 Sections 1 and 2. The requirements and advice in this Interim Advice Note are supplementary to these except where they amend the original text. The following paragraphs from DMRB Volume 11 Section 2 are no longer applicable following this IAN:

- HA 201/08 General Principles and Guidance of Environmental Impact Assessment: Paragraphs, 2.16 the term “would” is replaced by “may” and , Figure 2.2 is replaced by Figure 1 in this IAN.

## **1.3 Implementation**

This document shall be implemented in accordance with instructions from Highways England. This should be based on a need to implement the requirements forthwith on all projects for the assessment of motorway and all-purpose trunk roads except where the procurement of works has reached a stage at which, in the opinion of the Highways England, its use would result in significant additional expense or delay progress (in which case the decision must be recorded).

## **1.4 Scope**

The requirements and advice contained within this IAN are applicable to all projects types carried out by Highways England. For other projects which may be built on the strategic road network but consented under different regimes such as the Town & Country Planning Act it may be used as required by the relevant competent authority.

This IAN has been developed for Highways England and is not applicable to the Devolved Administrations unless they choose to adopt some or all of the guidance.

## **1.5 Feedback**

Feedback helps to improve the performance of Standards. Comments on this IAN should be sent to [Standards.Enquiries@highwaysengland.co.uk](mailto:Standards.Enquiries@highwaysengland.co.uk)

## 2. Environment Assessment

### 2.1 Improving Practice

Securing effective and efficient environmental assessments requires proportionate processes and appropriate behaviour in decision making.

In terms of behaviour this means:

- Setting out in the right direction by ensuring the early steps (screening and scoping) are undertaken, steering the assessment in the right direction and at the appropriate level. Being open to, and accepting of, a level of uncertainty with an appreciation of the risks and consequences.
- Being open to, appreciate and accept when issues are non-critical to the decision/judgement being taken and by inference focussing only on the critical aspects.
- Being clear on what level of detail is needed for each decision. This includes the recognition that environmental data assembly and analysis may be required for purposes other than the judgement of significance. This includes various aspects of design, the support of licensing, or in support of policy reporting e.g. WEBTAG. The detail involved in these will not usually be relevant to the judgement of significance and these aspects are therefore reported separately.
- Being committed to valuing experience and professional judgement as well as consultation responses.
- Being committed to constantly looking to achieve efficiency in the time taken during the design, assessment and reporting processes by using continuous learning – for example this may involve undertaking tasks at a programme level if projects were broadly the same type, although the reporting would still need to be at the project level.

Implementation of the approach outlined above offers the following benefits:

- Helps early identification of key issues
- Helps to achieve a consistent approach to dealing with key issues.
- Helps to meet key business objectives by including a better appreciation of risks in decision making.
- Helps to deliver Highways England Licence obligations in relation to consultation.
- Helps to ensure time and resource is focused only on key issues.

### 2.2 Setting of Project Objectives

DMRB Volume 11 Section 2 Part 5 advises that projects define project objectives in the early stages of a project. As these objectives are expected to set the framework for the development of the project they could be written with policy compliance in mind eg compliance with the National Policy Statement for National Networks and the National Planning Policy Framework, or to achieve a certain level of impact or effect.

However it is advised, that performance against policy objectives should be separately presented as a planning matter, for the decision maker to consider, rather than being a factor in the judgement of significance, which should always be related to the Annex III factors.

It is possible for projects to set specific design objectives in relation to impact levels. For example a project may decide to set an objective not to have significant adverse effects, or

try to achieve slight beneficial effects. Setting objectives which relate to impact levels is one way of ensuring the design focuses on minimising impacts.

### **2.3 Uncertainty and the Assessment of Significant Effects**

DMRB Vol 11. Section 2 Part 5 refers to the need to recognise and explain uncertainty and validity within the assessment process. This is because any predictive process is characterised by varying degrees of uncertainty. How the receiving environment reacts to project will always be uncertain to an extent. There are unknowns around what other external factors will influence the receiving environment and what happens in the future. The further into the future predictions reach the greater the uncertainty.

Projects should note the following advice:

- It is stressed that the prediction of significant effects does not require absolute certainty. Instead it is more about taking a reasonable view over likelihood.
- Determination of significance is only expected to be made using readily available information. This has been re-emphasized in Directive 52/14 EU following previous court judgements. The introduction of new approaches which require further research (i.e. are not readily available) should only be considered by exception where standing advice does not support the judgement of significance.
- The precautionary principle in environment assessment is widely used to move from a position of unacceptable uncertainty to one where there is sufficient confidence with which to make a decision. However, it still needs to be applied in a reasonable and proportionate way. Many decisions are driven by a “don’t know” culture when in fact a view could be taken accepting a reasonable level of uncertainty. Whilst situations will arise where there is clearly insufficient information leading to unacceptable level of uncertainty critical to the decision; in a number of cases it should be possible to assemble a sufficiently broad data set to form a reasonable judgement. This can utilise experience/professional judgement in recognition of the project context.

The approach set out in the following sections rather than trying to remove uncertainty is designed to ensure that decision makers are provided with an acceptable level of certainty or reasonable confidence, taking into account a reasonable appreciation of the risk or consequences of the decision.

### **2.4 Screening**

The overall objective for projects should be to avoid or minimise significant effects. It follows that the earlier the project considers significant effects the more likely the design process will be able to meet this objective.

The assessment process is illustrated within Annex A, Figure 1.

To support this IAN 125/15 introduces a requirement for projects to take an early view on whether they are likely to generate significant effects. The view should be based on rapid appreciation of the scope of nature/characteristics of the project, its extent and the surrounding environment using the Annex III criteria and thus should not be regarded as a time consuming task. Annex B provides an example of a screening checklist which could be used. It is not expected that any consultation is necessary at this stage. It is also a requirement to ensure this view is recorded and placed on file.

This requirement is applicable to all stages including options and the preferred option. For the preferred option, information from the earlier options assessment could be used to help undertake this requirement.

The results of the screening assessment will influence the scope of the subsequent assessment. The outcomes from the screening assessment should fall into one of the following categories:

- A high degree of confidence that either it is likely there will be an absence of, or low likelihood of significant effects.
- Uncertainty over whether significant effects are likely.
- A high degree of confidence that significant effects are likely.

## **2.5 Scoping**

Depending on the screening category chosen, the next stage would be to scope any subsequent assessment in accordance with DMRB Volume 11 Section 2 Part 4. Annex A Figure 1 sets out an advisory flow diagram to help map out the scoping of the assessment.

Projects are reminded that it is a requirement of scoping exercises to explain why topics or aspects of topics are scoped in or out and explain why the level of assessment has been chosen to examine the issues further.

Projects are reminded that they can seek a scoping opinion from Highways England via its Environmental Advisors, which may help to reduce subsequent changes or amendments.

The focus of the scoping exercise should be to allow enough information to be gathered and analysed to forecast, taking account of cumulative effects. It should also identify how, when and who is proposed to be consulted.

At scoping stage information collected in support of other environmental statutory or policy requirements ideally should be excluded from the scoping report but if included it should be made clear what they are required for; such as protected species info, flood defence applications, Listed Building consent, and Air Quality Compliance Risk assessments.

Projects are reminded that it is a requirement that the findings of scoping exercise are filed, as part of the project files.

## **2.6 Stakeholder Engagement**

DMRB Volume 11 Section 2 Part 4 confirms the desirability to consult stakeholders especially within the scoping phase; however it is important to only engage with stakeholders where they can and do add value and not to consult in a generic unfocused way. For instance where the screening assessment indicates that significant effects are likely or there is enough uncertainty, then it is expected that there would be a need for stakeholder engagement during scoping. It is not expected that stakeholders would need to be consulted at scoping where there is a high degree of confidence that significant effects are unlikely.

This does not mean other forms of consultation may not be needed for non EIA schemes. The need to consult stakeholders including the Consultation Bodies will be driven by other specific requirements to ensure the design is in compliance with various legislation protecting the environment, such as Listed Building Consent, Section 28 WCA consent, Protected Species licensing or AIES, Projects should note that advice required from Statuary Bodies at a pre-application stage is now often charged for.

## 2.7 Interaction between Design & Assessment

DMRB Volume 11 Section 2 Part 1.3 notes that the assessment and design phases are intrinsically linked to help achieve an efficient assessment. Clearly the sooner projects are able to confirm or “fix” the design or its key aspects, the sooner the assessment can be carried out to an acceptable level of confidence.

Simple projects that use common (off the shelf) features to form the main components of a project located in a known location (for example highway verges) should be able to “fix” the key elements, that have a bearing on impact significance of the design fairly quickly. Even for more complex schemes the idea of attempting to fix the design, or the main aspects of it, as early as possible should be aimed for.

This allows the assessment to proceed in parallel whilst further detailed design is carried out. Allowing resources to be focused upon those elements of design and assessment where uncertainty is greatest and the consequences are critical to delivery.

## 2.8 Assessment

DMRB Volume 11 Section 2 Part 1 introduced the concept of simple and detailed levels of assessment, which were to be assigned on a topic by topic basis in order to allocate effort according to:

- The likelihood and significance of effects
- The decision to be taken, level of uncertainty
- The risk and consequences of getting it wrong

Whilst this IAN reconfirms the use of Simple/Detailed assessments, it also provides clearer guidance on when to use the different levels. See Annex A.

In summary it is advised that projects consider how much extra detail and assessment they need to undertake in order to achieve a reasonable level confidence or certainty for the decision. The following examples help to illustrate this:

- For simple projects in a non-sensitive environment, the outputs from a screening checklist type exercise may be enough to confidently predict whether the project is likely to generate significant effects and which effects could be used to support a determination.
- Where the screening assessment concludes that there is low confidence or high uncertainty, then following the precautionary principle further assessment would be necessary to be more conclusive. This could involve a simple level of assessment or a detailed level as required to give enough confidence to the decision.
- Where the screening exercise concludes that it is highly likely significant effects will occur then again the determination could be based on the checklist or possibly a simple assessment is required to confirm this. This is not to say more detailed assessment will not be required to inform mitigation and management activities. Projects should challenge themselves to only undertake the minimum necessary to inform the decision.

Annex A, Figure 1 shows the linkages between risk/certainty and levels of assessment.

## **2.9 Reporting of Environmental Assessments**

As well as the need for the scoping and assessment phases to be efficient and effective, it is also important that the reporting of the phases similarly needs to be focused on the key information needed to support reasonable decision making. The same principles apply whether compiling an Environmental Statement or a non-statutory assessment.

### **2.9.1 Scoping Reports**

Projects should consider whether it adds value to repeat DMRB methodologies. In many cases it would be sufficient for scoping reports to set out that the assessments will be carried out in accordance with the appropriate DMRB methodology.

### **2.9.2 Main Report/Review**

There are two main forms of reporting: an Environmental Statement (now to be retitled Environmental Impact Assessment Report (EIAR) by Directive 52/2014/EU); which reports the assessment of projects with significant effects and an Environmental Study Report (ESR) which is for schemes which do not have significant effects to report, (non EIA schemes).

For both forms of report, EIAR or ESR, an effective and efficiently reported assessment may be characterised by some topics being reported following a detailed assessment, some topics which are reported following a simple level and some topics reported using the outputs from the initial screening assessment.

Projects are reminded that often it is the indirect and cumulative effects which may be more of an issue and that the Directive does require these to be reported together with an appreciation of the level of uncertainty.

Equally, often elements of the design are not fixed at the reporting stage, which clearly increases the levels of uncertainty. However the application of the Rochdale Envelope approach is widely seen as a way of designing/assessing within an area of uncertainty. If this is used it should be explained; however, caution should be taken in avoiding the “worst-case” becoming too extreme.

The following should be considered when compiling the report:

- Can the key facts be readily and quickly understood? Reports should be written with readers and decision takers in mind. Often a third party review can help with focus and consistency. Where large reports are inevitable, for complex projects, it may be useful to consider the use of executive summaries at the beginning of topics.
- Can the bulk of any technical detail be placed in any supporting technical papers as required?
- Is detailed information needed to report significance of effects levels? Using the process of design to reduce and avoid significant affects will often require detailed data collection to inform the design, it may not be necessary to report this level of detail in support of reporting the level of significance.
- Projects should consider how standard reference text could be used in environmental reports, as this can lead to a more consistent style and content of reporting.

## **2.10 Reporting of Mitigation/Ongoing implementation & Commitments**

Although DMRB Volume 11 Section 2 Part 6 sets out to need to report mitigation measures there is often inconsistency in practice over what and how mitigation is reported within the process. Consequently it is not always easy for the decision maker to understand how mitigation has been used and how it links to a specific impacts/effects or commitments. In order to improve this aspect of reporting the following advice is provided in three key areas.

The first is being clear on what mitigation is reported as mitigation can take several forms,

- Mitigation that is included as part of the original concept design, this could include lowering vertical alignment or moving lateral alignment to avoid problems. The reporting of this sort of mitigation is best covered in the general description of the project at the front of the assessment.
- Mitigation that is added to the design to reduce effects such as landscape planting or noise barriers usually takes place on site and can be linked with specific impacts.
- Mitigation that is added to compensate or offset residual effects. It is equally important to report and link these back to specific impacts.
- Where enhancement measures (over and above normal mitigation) are deployed it is important to report these separately.

The last three examples of mitigation are usually reported as part of the mitigation descriptions at the end of sections.

The second key area is to demonstrate how the mitigation is linked to an impact. This allows decision takers to identify how the impact has been avoided or reduced.

The third key area is for the decision taker to understand how such mitigation is to be implemented and managed in the medium to long term as the conclusions about the forecast level of effect depend on this.

All of these requirements can be delivered via the use of a form of tabular description such as the one at Annex C which projects are advised to use.

As part of the need to seek efficient reporting please note that Annex D Figure 2 sets out the requirement to combine the current DMRB Vol 11 Section 3 parts 6, 8 and 9 into one chapter titled People & Communities.

## **3. Withdrawal Conditions**

This IAN will be withdrawn in due course as and when the advice contained within is included within an updated version of DMRB Volume 11 and/or other WwW processes.

#### **4. Contacts**

For queries regarding this IAN please contact

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Exeter  
EX2 7LB

#### **5. References**

Design Manual Roads & Bridges (DMRB) Vol 11. HMSO  
:

## Annex A

### General Approach

The basic premise should be that for the prediction of significant effects assessors should only undertake that level of assessment which would give enough confidence that the prediction is reasonable.

This may mean that for some projects that position could be reached using the rapid screening assessment, for others that may be following a simple or detailed assessment.

However it should be recognised that further detailed assessment may still be necessary in order to secure good design and meet the project's design objectives (see Figure 1 for flow diagram)

### Screening

As Section 2.4 indicates this requirement is to attempt to gain a rapid appreciation of the likelihood for significant effects. The first step is to start gathering preliminary baseline information about the project and the surrounding environment, concentrating on recording constraints and receptors; particularly those sensitive and vulnerable to change. This stage would use readily available information and be a desk exercise.

The next step is to start to form a view about the likelihood for significant effects to occur. It involves using professional judgement factoring in the appropriate aspects of the Annex III criteria. The checklists at Annex B are provided to aid the reporting of this rapid assessment.

It is a requirement of this IAN that this screening assessment shall be recorded and filed should be need to be made subsequently available.

The outcome of this rapid assessment is likely to fall into one of 3 categories:

#### **1. No or Low likelihood of significant effects**

Where there is a high degree of confidence that no significant effects will occur due to either:

- No effects occurring (lack of a source, pathway or receptor), or
- Effects will occur but are not deemed significant.

#### **2. Uncertainty over whether significant effects are likely**

Where it is judged effects are likely; however, there is enough uncertainty as whether they are likely to be significant to warrant further examination.

#### **3. High likelihood of significant effects.**

Where there is a high degree of confidence that effects would be significant. This may be because the receiving environment may already be close to its carrying capacity for change or large scale and permanent effects are thought likely to occur.

### Scoping

The next stage should be to scope the subsequent assessment with regard to the outputs from the rapid screening assessment. DMRB Volume 11 Section 2 Part 4 contains advice on the purpose, timing and consultees for scoping, this advice is still relevant.

### **Simple Assessment**

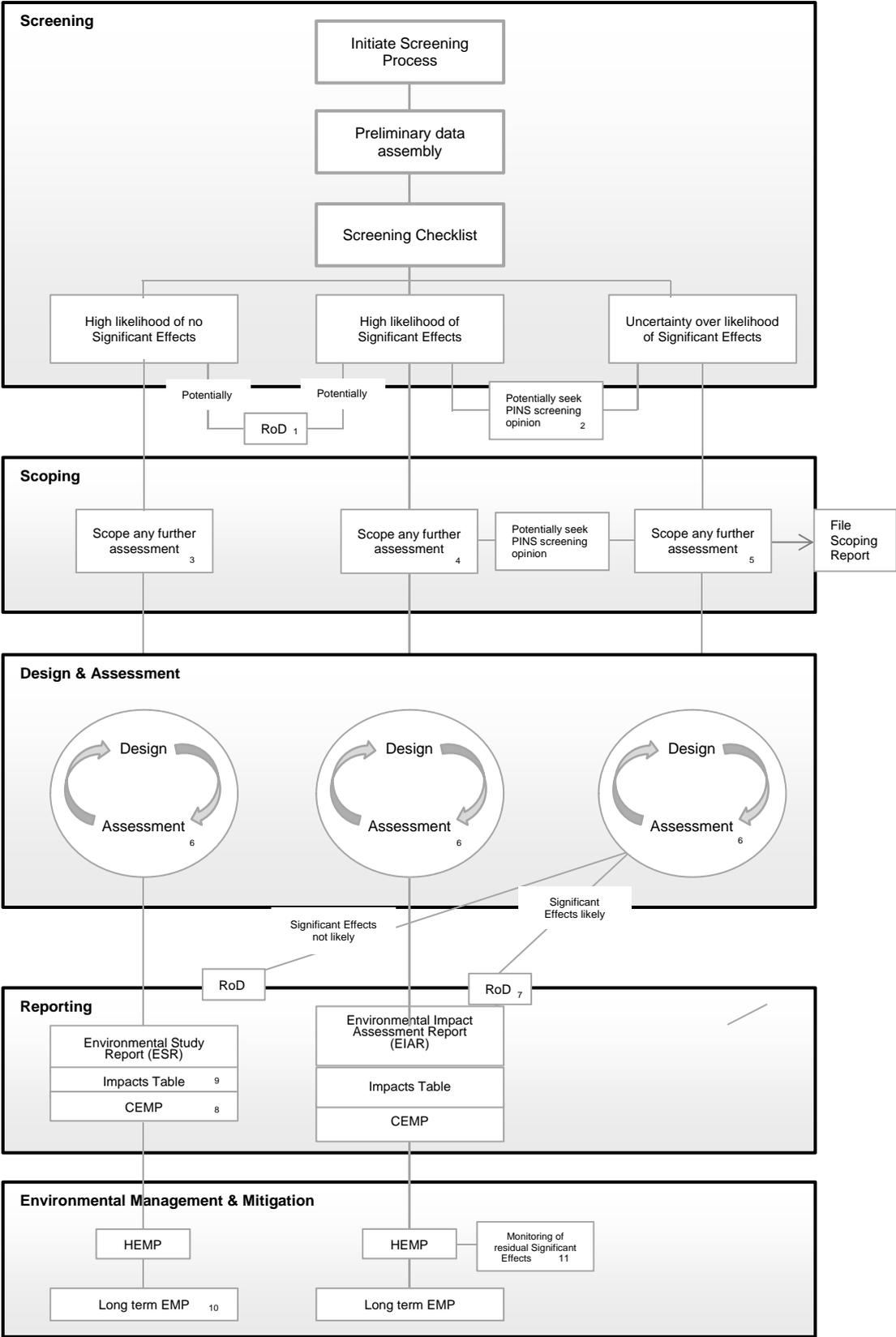
The concept of a simple level of assessment is confirmed to be based around readily available desk based information. This would remain as it is in DMRB, characterised by a desk top exercise which is presented as a non-checklist type, textual evidence plan supported by exception with site survey information.

Figure 1 confirms that this level of assessment could be used to confirm the initial rapid screening assessment where there is uncertainty.

### **Detailed Assessment**

Again this would remain as it is in DMRB and would be characterised by detailed site survey information or modelling as required.

Figure 1: Assessment Lifecycle



## Notes for Figure 1

1. *Where the checklists confirm that there is a reasonable level of confidence that significant effects are unlikely or they are highly likely then an early determination is possible.*
2. *Where the checklist exercise confirms that significant effects are highly likely or where there is uncertainty, projects should consider whether there is merit in additionally seeking a screening opinion from PINS.*
3. *Scoping: The scoping for projects which are unlikely to have significant effects will be designed to facilitate securing good design.*
4. *Scoping ; For schemes that are likely to give rise to significant effects, the scoping should be designed to support further design to reduce/avoid/offset potential significant effects and may require a mixture of assessment levels (simple and detailed). Projects should not assume a detailed assessment is always required.*
5. *Scoping: For schemes where there is uncertainty over the likelihood of significant effects, projects should consider how much information is required to confirm or not significant effects. It should not be assumed a detailed assessment is always required but recognise, further detailed information may be needed to facilitate good design.*
6. *The Design & Assessment cycle should be geared towards avoiding/reducing significant effects. Consideration should be given to using design fixes and design in design out approaches where it is helpful.*
7. *When a project has reached a stage where it has been judged that enough information has been assembled on which to base a determination. Note this could happen at any stage throughout the process.*
8. *To support proportionate reporting projects should consider whether specific products like CEMP/ESR are appropriate, instead generic Method Statements may be better for very small scale projects.*
9. *To support proportionate reporting projects should consider whether specific products like Impact Summary Tables are appropriate, instead generic Method Statements may be better for very small scale projects.*
10. *To support proportionate reporting projects should consider whether specific products like HEMP/EMP are appropriate and that instead more generic EMS processes such as Method statements may be better for very small scale projects.*
11. *Monitoring of Effects is only required for projects with residual significant effects.*

## Annex B Screening Assessment Checklists

Aspects to be Considered	Yes/No/Uncertain? Briefly describe	Using Checklist B is this likely to result in significant effects? Yes/No/Uncertain why?
<b>General</b>		
Will construction, operation of the Project involve actions which will cause changes in the locality, land use, topography, in waterbodies, etc)?		
Will construction or operation of the Project use natural resources such as land, water, materials or energy, especially any resources which are non-renewable or in short supply?		
Is the project location susceptible to earthquakes, subsidence, landslides, erosion, flooding or extreme or adverse climatic conditions e.g. temperature inversions, fogs, severe winds, which could cause further environmental problems?		
<b>Human Health</b>		
Will the Project involve the use, of substances or materials which could be harmful to human health or the environment?		
Will the project introduce any new risk of accidents during construction or operation which could affect human health or the environment?		
<b>Materials</b>		
Will the Project produce wastes during construction or operation or decommissioning?		
<b>Air Quality</b>		
Will the Project release pollutants or any hazardous, toxic or noxious substances to air?		
Are there any areas which are already subject to pollution e.g. where existing legal environmental standards are exceeded, which could be affected by the project?		
<b>Noise</b>		
Is the environment around the project noise sensitive?		
Will the Project cause noise and vibration?		

<b>Aspects to be Considered</b>	<b>Yes/No/Uncertain? Briefly describe</b>	<b>Using Checklist B is this likely to result in significant effects? Yes/No/Uncertain why?</b>
<b>Water Quality</b>		
Will the Project lead to releases of pollutants onto the ground or into surface waters, groundwater?		
Are there any areas characterized by flooding which are affected by the project ?		
Are there any areas which are already subject to pollution e.g. where existing legal environmental standards are exceeded, which could be affected by the project?		
<b>Ecology</b>		
Are there any areas which are protected under international or national or local legislation for their ecological, value, which could be affected by the project?		
Are there any other which are important or sensitive for reasons of their ecology, which could be affected by the project?		
Are there any areas which are used by protected, important or sensitive species of fauna or flora, which could be affected by the project?		
<b>Landscape</b>		
Are there any areas or features of high landscape or scenic value which could be affected by the project?		
Is the project in a location where it is likely to be highly visible to many people?		
<b>Cultural Heritage</b>		
Are there any features of historic or cultural importance that could be affected by the project?		
<b>Soils &amp; Geology</b>		
Are there any areas which contain any sensitive geological sites or valuable soil resources that are likely to be affected by the project?		

<b>Aspects to be Considered</b>	<b>Yes/No/Uncertain? Briefly describe</b>	<b>Using Checklist B is this likely to result in significant effects? Yes/No/Uncertain why?</b>
<b>People &amp; Communities</b>		
Will the Project result in social changes, for example, in demography, traditional lifestyles, employment?		
Are there any routes or facilities on or around the location which are used by the public for access to recreation or other facilities, which could be affected by the project?		
Are there any transport routes on or around the location which are susceptible to congestion or which cause environmental problems, which could be affected by the project?		
Is the project located in a previously undeveloped area where there will be loss of greenfield land?		
Are there existing land uses on or around the location e.g. homes, gardens, other private property, industry, commerce, recreation, public open space, community facilities, agriculture, forestry, tourism, mining or quarrying which could be affected by the project?		
Are there any plans for future land uses on or around the location which could be affected by the project?		
Are there any areas on or around the location which are occupied by sensitive land uses e.g. hospitals, schools, places of worship, community facilities, which could be affected by the project?		
<b>Cumulative Impacts</b>		
Are there any other factors which should be considered which could lead to the potential for cumulative impacts with other existing or planned activities in the locality?		

**SCREENING CHECKLIST B** - The following questions are designed to demonstrate the Annex III criteria have been covered.

<b>Questions to be Considered</b>	<b>Yes/No why briefly describe.</b>
Will there be a large change in environmental conditions?	
Will the features be out of scale with the existing environment?	
Will the effects in the area be unusual or particularly complex?	
Will the effect extend over a large area?	
Will many people be affected?	
Will many other receptors be affected?	
Is there a risk valuable of scarce features or resources could be permanently damaged?	
Is there a risk existing environmental standards will be breached or made worse?	
Is there a risk that the viability of protected or vulnerable /sensitive sites/features/species could be permanently affected?	
Is there a high probability of the effect occurring?	
Will the effect continue for a long time?	
Will the effect be continuous or intermittent?	
If intermittent will it be frequent or rare?	
Will the effect be permanent or temporary? I.e. irreversible?	
Will it be difficult to mitigate i.e. avoid or reduce or compensate for the effect?	

**Annex C**  
**Example of Summary Table**

Environmental Aspect	Significant effects at screening? (Y/N/U)	Scoping		Key Initial Mitigation built into the design	Description of predicted effects	Assessment				Post-Consent Matters / Operational Responsibilities
		Key points	Consultation outcomes			Mitigation		Description of any residual effects		
						Proposed	Mechanism / Stage	Construction	Operation	
<i>Air quality</i>										
<i>Noise and Vibration</i>										
<i>Ecology and Nature Conservation</i>										
<i>Water and Drainage</i>										
<i>Landscape</i>										
<i>Geology and Soils</i>										
<i>Cultural Heritage</i>										
<i>Materials and Waste</i>										
<i>People and Communities</i>										

The table provided here is an example pro forma. Projects may not need to use all columns and so may wish to amend to suit their needs. It is expected; however, that all environmental assessment reports will contain a summary presented in this way.

The purpose of the summary table is to capture the 'story' of the environmental assessment process in a clear format for decision makers to understand quickly. The summary table must present: the key issues at each stage of the environmental assessment, the decisions made regarding 'designing-out' significant effects, and an account of mitigation requirements and responsibilities.

## Notes for Guidance

To facilitate the completion of this table, the following notes are provided (specific to table headings):

- **Significant at screening**  
Judgement on whether a project is likely to have a significant effect on the environment should be made by the rapid screening assessment and recorded here simply as a 'Y' (Yes) or a 'N' (No) or U (uncertain).
- **Scoping**
  - Key Points – state the highlights only; i.e. specific baseline conditions of notable interest (for example route adjacent to SSSI or proximity of route to sensitive receptors), and what type of full assessments were identified as being required at the assessment stage.
  - Consultation Outcomes – Key feedback items from consultation should be recorded here.
- **Key initial mitigation built into the design**  
This aims to capture early design decisions that effectively form the first step in environmental impact mitigation by 'designing-out' features that were considered likely to result in a significant environmental effect (for example slackened embankments to reduce the landscape/visual effect, or, alteration to road alignment to reduce minimise impact of residential receptors).
- **Assessment**
  - Description of effects - a brief explanation of the effects (any that are predicted to be significant) and whether they are direct, indirect or cumulative. Highlights only for example noise generated by increased traffic flows will impact on nearby sensitive receptors.
  - Mitigation – state what is proposed to reduce effects (for example noise bunds, ecological method statements, landscape planting), and how the mitigation will be implemented (for example incorporated into design and construction, through a CEMP, or landscaping post-construction).
  - Description of any residual effects – list the all key effects, not just significant (mitigation should result in less than significant effects only) that are likely to remain after the proposed mitigation has been implemented, for both the construction and operation stages of the project (for example minor adverse effects in relation to noise, moderate adverse effects in respect to visual etc).
- **Post-Consent Matters / Operational Responsibilities**  
State how, once the project is constructed the remaining / on-going environmental effects will be managed. This includes describing how they will be managed via the EMP process; ensuring requirements are translated into tender/contract documentation and which parties will be responsible for implementing the various requirements. It is important to record any specific Actions or Commitments (such are those recorded in REAC) here that need to be identified so they are not lost in the future.

## Appendix D

Figure 2  
Diagram explaining the new structure of DMRB Vol 11 (within the shaded area)

