

Interim Advice Note 82 / 06

VOLUME 11

**ENVIRONMENTAL
ASSESSMENT**

SECTION 2:

**PRINCIPLES OF
ENVIRONMENTAL
ASSESSMENT**

PART 6

REPORTING

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1 GENERAL PRINCIPLES OF ENVIRONMENTAL REPORTING

- 1.1 The environmental assessment process can generate many working documents covering subject areas and specific effects. The aim of reporting is to provide decision-makers and the public with an accessible document which reflects the assessment activities, provides clear information on the environmental measures to be implemented by the project and gives due weight to significant impacts. A document may be required to:
- i. Meet internal communication needs and approval processes;
 - ii. Provide the basis for the monitoring and auditing of the performance of environmental measures implemented as part of projects;
 - iii. Provide an audit trail for those implementing decisions;
 - iv. Provide for review by statutory consultees;
 - v. Fulfil statutory obligations of Environmental Assessment Regulations in relation to public participation and publication of an Environmental Statement;
 - vi. Fulfil obligations of access under the Environmental Information Regulations;
 - vii. Fulfil the obligations under the Charter for Transport, Environment and Health (the London Charter¹); and
 - viii. Fulfil obligations of the Highways Agency
- 1.2 Reporting should reflect the importance of the issues being considered. Individual specialist contributions should be edited to present a coherent review of the issues. The interactions between topics should be considered. Environmental reports, including the Environmental Statement, should not be unnecessarily long or detailed.
- 1.3 The environmental information provided in the reports should be:
- i. Unbiased: A factual impartial style should be used, (e.g., both advantages and disadvantages of the alternatives described). If the proposals have effects that are particularly adverse then they should be clearly presented and not hidden away;
 - ii. Easy to read: Clear, non-technical language should be used wherever possible, with the information presented in a logical manner using appropriate images and graphics for illustration; and
 - iii. Quantified and objective: A quantified and objective approach should be adopted, with a distinction being made between fact, assumptions and professional judgement.
- 1.4 Environmental issues are frequently important to the acceptability, or not, of proposed projects. All reports should be prepared with the knowledge that they may be made public. The first impression of a report, particularly an Environmental Statement is of critical importance. If it has the appearance of a rushed, badly co-ordinated report, then this would tend to suggest that the quality of the assessment is of a similar quality. Applying simple rules can improve access to information and readability, e.g., a consistent approach - project descriptions consistently in the same direction, the start to end locations in the project title. Consequently, not only should the assessment process be robust, but also the reporting should be clear to inform the audience, instil confidence and avoid unnecessary delay or costs.

¹ The Third Ministerial Environment and Health Conference held in London in 1999 consisting of delegates from the WHO European Region adopted a charter to which the UK government has signed up to.

- 1.5 Problems encountered in obtaining information and constraints encountered in undertaking assessments should also be identified. The role of professional judgement in assessments should be stated. All environmental reports, and the Environmental Statement in particular, should provide documentation on the data age and sources, method of analysis and reference sources of information. Missing or incomplete references make it difficult for readers to verify information, thereby decreasing the credibility of the report and leading to more work for the authors if verification is demanded at a later time.
- 1.6 In the course of an assessment it is likely that a number of technical reports will be prepared. Where reports originate from surveys, these should be entirely factual and should not provide an assessment of the findings or implications for the proposed project. Any reporting of the assessment should be provided in a separate assessment document or a clearly distinct section of the report perhaps in the case of smaller projects. This aids clarity. By separating factual survey from potentially judgemental assessment, the environmental assessment process and its findings are better understood. Additionally, such factual reports could be used to inform third parties of relevant information if requested.
- 1.7 Technical reports comprising the results of surveys, forecasting, etc., should not be published as a supplementary or supporting volume, e.g., Volume 2 of the Environmental Statement. Instead, the appropriate Project Assessment Report or Environmental Statement should list the factual survey reports and forecasting data, as well as documents providing design specifications. These reports would be on deposit through the statutory and decision-making processes, e.g., at public inquiry, as they may comprise the environmental information, which would be considered. All such reports would be available on request, in paper or electronic form, and may be placed on project Internet sites.
- 1.8 Images, graphics and tables should be understandable by the lay reader. A balance needs to be struck between the presentation of generalised and specific site information in the selection of the mapping scales and information presented. Where a single map can be used to illustrate more than one constraint or impact, without loss of clarity, this should be done. Images and graphics should contain only essential information, with all symbols or abbreviations explained. Again, simple rules benefit everyone: a north point, scale and scale bar should be included; all locations named and referred to in the text should be clearly identified on any maps included. Photomontage and computer generated images should be labelled as being 'for illustration purposes only', or similar, particularly where bridge structures, noise barriers and lighting proposals are being illustrated. Aerial and other photographs should be current, good quality, appropriate, uncluttered and annotated to help inform readers.
- 1.9 The electronic publication of the Environmental Statement, Non-Technical Summary and other supporting documents is encouraged. The electronic publication of non-statutory environmental assessments is also promoted where it is envisaged that such reports could be of general public interest. Where documents are being placed on the Internet, the Highways Agency should ensure that documents are normally presented in a file format in common use by the general public. The font should be at an appropriate size to aid legibility on the screen. Where graphics are being presented on the Internet, particular care should be taken to ensure that plans and illustrations remain legible.

2 ADVICE ON THE SCOPING REPORT

- 2.1 Scoping can be an internal process and an external activity in which stakeholders are engaged in defining the assessment activities. The Scoping Report is the means by which the Designer and Highways Agency can define the environmental assessment for the project and engage statutory environmental bodies and key stakeholders.
- 2.2 The report can introduce the project, the Designer and the Highways Agency and outline which topics should be examined, the study area, baseline data needs, survey and assessment methodologies to be used notably where these differ from SECTION 3 for each topic. The level of assessment the Highways Agency intends to apply for particular topics can be formally recorded. Future actions, consultation and publication strategy and timings and the intended structure and contents of the environmental report or Environmental Statement may all be introduced.
- 2.3 The Scoping Report should be circulated to statutory environmental bodies so that agreement can be reached on scope of the assessment, particularly if an Environmental Statement is required.
- 2.4 The Scoping Report should provide the following:
- i. An introduction to the proposed project and its location, the Designer, the Highways Agency and the purpose of the scoping report (including consultation);
 - ii. The problems (reasons for the project for example, accidents, traffic congestion) and the project objectives;
 - iii. A brief history of the project to date;
 - iv. The alternatives that have been examined and those to be explored where known;
 - v. The anticipated programme and publication events, including the determination and Environmental Statement;
 - vi. For each topic, the study area, the baseline knowledge and value of the environmental resources and receptors; and
 - vii. For each topic, confirmation of the level of assessment, including proposed surveys – this should simply reference DMRB 11 and only be expanded and explained, when proposed survey and assessment methodologies differ from the SECTION 3 advice.
- 2.5 While a Scoping Report may be generated at several points throughout the period of a project's development, the contents should reflect the level of existing knowledge associated with the project and receptors/resources, and the next milestone in the delivery process that the project would reach.
- 2.6 A Scoping Report should normally be prepared for major projects and those that potentially affect features of recognised environmental sensitivity or may have significant effects. For other project types the Scoping Report may provide a means of communicating key issues, and the approach to their environmental assessment, between the Designer and the Highways Agency or with key stakeholders.

3 ADVICE ON THE STAGE 1 AND STAGE 2 ASSESSMENT REPORTS

3.1 Project development work is linked to project planning and reporting stages:

- Stage 1: sufficient assessment to identify the environmental advantages, disadvantages and constraints associated with broadly defined route corridors.
- Stage 2: sufficient assessment to identify the factors and effects to be taken into account in choosing the route options and to identify the environmental advantages, disadvantages and constraints associated with those routes.
- Stage 3: prior to the publication of an Environmental Statement – design and assessment to improve the preferred solution and to report in accordance with the requirements of Section 105A of the Highways Act 1980 (England and Wales) implementing Council Directive 85/337/EEC.

3.2 Project progression through the stages is not automatic. At the conclusion of Stages 1 and 2 the Designer should present to the Highways Agency the Scheme Assessment Report for consideration by the Highways Agency who will notify them of any decision to proceed further with project development work.

3.3 In assessment terms, Stage 1 corresponds to a pre-programme entry assessment. Stage 2 corresponds to pre-public consultation and route option assessment. Stage 3 corresponds to assessment prior to the publication of an Environmental Statement but after the selection of a preferred route. For those schemes where an Environmental Statement is not required, the Stage 3 assessment should still be reported.

Stage 1 Assessment Report

3.4 The function of the environmental information in a Stage 1 Assessment Report is to identify, describe and assess the environmental advantages, disadvantages and constraints associated with particular broadly defined alternatives, as developed by the Designer and agreed with the Highways Agency. Such broad definition will increasingly have taken place at a strategic level in regional plans or studies. The Highways Agency would not normally rework such strategic analysis, but would typically pick up project design and assessment at Stage 2. Advice on the overall content of a Stage 1 Report is given in Scheme Assessment Reporting TD 37 (DMRB 5.1.2).

3.5 Initial scoping work should identify which of the topics discussed in SECTION 3 are potentially an issue and the appropriate level of assessment for this first stage in the design and assessment. Environmental assessment to the appropriate level of detail will generally be possible to report from desktop study alone. Apart from the landscape assessment, only in exceptional cases will a site visit be needed to check on aspects of a desk study. Before a site visit and other information collection activities are undertaken, approval should be sought from the Highways Agency.

3.6 Reporting of each topic should begin with a brief description of the relevant existing and future baseline conditions (i.e., the future without the project) over the corridor/area that may be significantly affected by the proposed project. Mapping all relevant constraints (for example, population centres, historic buildings, or sites of ecological value) should be an early output. The most important constraints should

then be brought together on a single, up to date, large-scale map (the environmental constraints map). Where other aspects of the existing environment could be significantly affected they should also be included.

- 3.7 By overlaying possible corridors/routes on the environmental constraints map an initial assessment of a scheme's potential impact can be made. Advice on assessment for different impacts, typically Simple level assessments, is given in the techniques parts in SECTION 3. The project design at this stage, takes very little account of detailed alignments or mitigation measures. Nevertheless, it should be possible to indicate likely effects in broad terms. Avoidance rather than mitigation is considered at Stage 1. However, broadly defined alternatives may suggest mitigation or enhancement opportunities. Such opportunities should be reported, together with a view on whether they are likely to be effective in remedying the impact, recognising the uncertainty that exists at this stage.
- 3.8 Reporting an overall assessment of the importance of the impact on the baseline environment should be provided highlighting any major problems or benefits. It is important to remember that the Stage 1 Report should be a summary of the results of the assessment of route corridors giving greatest weight to any significant impacts identified.

Stage 2 Assessment Report

- 3.9 The function of the environmental information in the Stage 2 report is to identify, describe and assess the environmental advantages, disadvantages and constraints associated with route options as developed and refined by the Designer in agreement with the Highways Agency. Advice on the overall content of a Stage 2 Scheme Assessment Report is given in TD 37.
- 3.10 Scoping work should identify which of the topics discussed in SECTION 3 are potentially an issue and identify the appropriate level of assessment for this stage in the project design and assessment. The Stage 2 assessment should review and update information relevant to the route options gathered at Stage 1 or from strategic plans or studies. This information should be supplemented by details gathered through site visits and should be brought together where possible on a single up to date, large scale map.
- 3.11 Reporting the environmental assessment to the appropriate level of detail will not generally be possible by a desktop study alone. Certain topics may rely on Simple level assessments others may advance to Detailed level assessment. Site visits will be required. It is important that the gathering of environmental information before the preferred route is announced does not lead to unnecessary anxiety amongst local people and the possible blighting of properties. Before a site visit is undertaken, approval should be sought from the Highways Agency.
- 3.12 Reporting of each topic should begin with a brief description of the relevant existing and future baseline conditions (i.e., the future without the project) over the corridor/area that may be significantly affected by the proposed project. The environmental information describing the assessment of effects should include a reference to the SECTION 3 assessment methodologies used and a brief description of their main features. Fuller descriptions would be appropriate if alternative methodologies were used. Any alternative methodologies used should be agreed with the Highways Agency and clearly define the magnitude and significance criteria. Any difficulties in compiling or assessing information should be reported. An overall

assessment of the importance of the impact on the baseline environment should be provided highlighting any major problems or benefits. The future baseline conditions over the area that may be significantly affected by the possible routes/alignments should be described and be brought together where possible on a single, up to date, large-scale map.

- 3.13 The length and detail of the descriptions of effects reported should reflect their relative importance. Cumulative impacts on a particular resource or receptor should also be noted. Where the Designer has agreed mitigation or enhancement measures with the Highways Agency these should be described and their purpose and effectiveness stated. It is important to remember that the Stage 2 Report should be a summary of the results of the assessment of route options, giving greatest weight to any significant impacts identified.
- 3.14 List those statutory environmental bodies consulted. Where these bodies have expressed their views on the route options "In Confidence" these should not be recorded in the Stage 2 report. This information given in confidence is exempt if the release would "constitute a breach of confidence actionable by that or any other person" (Freedom of Information Act 2000).

Stage 1 and Stage 2 Assessment Report Writing

- 3.15 Stage 1 and 2 Assessment Reports should be focussed, concise and should use non-technical language. The source of any information gathered should be recorded. Where detailed assessments and accompanying surveys have taken place, these need to be referenced and made available, where necessary, since the assessment report could come under close scrutiny. As is appropriate to the knowledge and certainty, Stage 1 and 2 Assessment Reports each should deal with:
- i. **Project and baseline conditions** – description of the project, location, design and size, including maps of all relevant constraints and aspects that could be significantly affected;
 - ii. **Mitigation** – a description of the measures envisaged in order to avoid, reduce and, if possible, remedy significant adverse effects, the type of mitigation purpose and effectiveness as far as possible;
 - iii. **Assessment of effects** – descriptions should reflect the relative importance of the effect. Cumulative effects should be noted along with an overall assessment of the impacts highlighting any major problems or benefits;
 - iv. **Key issues** – should be reported; and
 - v. **Sources of information** – key information should be referenced.

4 ADVICE ON ENVIRONMENTAL STATEMENTS

- 4.1 The function of an Environmental Statement is to give the public and statutory environmental bodies, an opportunity to express an opinion before a project is initiated. The Statement also informs the final decision on whether a development should be allowed to proceed. The aim is to provide an accessible document which reflects the assessment that has been carried out and gives due weight to significant impacts. The process of screening, that informs the decision whether to complete EIA and publish an Environmental Statement, can be found in IAN 79.
- 4.2 An Environmental Statement is the document that should contain information meeting the requirements of the relevant EIA Regulations. Council Directive 85/337/EEC (the Directive) on the assessment of the effects of certain public and private projects on the environment has been transposed, in respect of trunk road projects, into UK law by Section 105A of the Highways Act 1980 in England and Wales. The Environmental Statement should provide a meaningful description of the project, a description of significant environmental effects and the measures to mitigate or enhance those effects and the alternatives considered.
- 4.3 The Environmental Statement will identify, describe and assess in an appropriate manner, in the light of each individual case and in accordance with Articles 4 to 11 of the Directive, the direct and indirect effects of the project on the factors mentioned in Article 3 of the Directive. It will contain the information referred to in Annex III of the Directive to the extent that the Secretary of State or Minister considers: that it is relevant to the specific characteristics of the project and of the environmental features likely to be affected by it; and that (having regard in particular to current knowledge and methods of assessment) the information may reasonably be gathered. Including at least:
- i. A description of the project comprising information on the site, design and size of the project;
 - ii. A description of the measures envisaged in order to avoid, reduce and if possible, remedy significant adverse effects;
 - iii. The data required to identify and assess the main effects which the project would be likely to have on the environment;
 - iv. An outline of the main alternatives studied by the Highways Agency and an indication of the main reasons for the choice, taking into account the environmental effects; and
 - v. A non-technical summary of the information mentioned in paragraphs (i) to (iv) above.
- 4.4 An Environmental Statement should comprise two parts, of different levels of detail:
- i. The Statement - a comprehensive and concise document drawing together all the relevant information about the project;
 - ii. Non-Technical Summary (NTS) – a brief report summarising the principle sections of the Statement in non-technical language, which is readily understandable by members of the public. It should be bound in to the Statement, but also be available as a freestanding document.
- 4.5 The following contents and method should be used in organising the information required in the Environmental Statement. An indicative contents list for Environmental Statements is presented in Table 4.1

Introduction <ul style="list-style-type: none">Identify the projectLegal basis for the Environmental StatementPurpose of the StatementScope and contentPublic participation and comment
The Project <ul style="list-style-type: none">Background to the projectProblems/need and the project objectivesGovernment policies and objectives, plans and SEA statementExisting trunk road conditions and traffic flowLand use setting and land takeConstruction and long term management
Environmental Assessment Methods <ul style="list-style-type: none">ScopingSurveys and predictive techniques, method and constraintsSignificance criteria
Topic (for each) <ul style="list-style-type: none">Baseline conditions value (sensitivity) of resourceRegulatory/policy frameworkDesign and mitigation measuresMagnitude of impacts (change)Significant effectsSummary
Cumulative effects <ul style="list-style-type: none">Links between topics and significant cumulative effects
Alternatives Considered <ul style="list-style-type: none">Alternatives considered in earlier plans or studiesCurrent alternatives examined
Conclusions <ul style="list-style-type: none">Key impactsSummary of mitigation measuresEnvironmental masterplan(s)
Non-technical Summary
References
Glossary

Table 4.1: Indicative Environmental Statement Contents

Introduction

4.6 The introduction to the Statement should provide the following:

- i. The name and main features of the project, together with a map at an appropriate scale showing the project in its regional and local context;
- ii. The legal basis for the Statements noting in England and Wales that "This Environmental Statement is issued in accordance with Council Directive 85/337/EEC as applied by Section 105A of the Highways Act 1980";
- iii. The purpose of the Environmental Statement, and its relationship with the published project. A list of any draft orders with which the Environmental Statement is associated should be included in this section;
- iv. A description of how the Statement is structured and the roles of each part; and
- v. Date of publication and the date by which comments on the Statement should be received, to whom and where they should be sent.

The Project

4.7 The case for the project should be summarised in non-technical terms. This section should begin by briefly describing the existing problem that the project is designed to address relating these to policies and project objectives. A description should be given of any environmental problems on the existing road(s) that would be relieved of traffic by the proposed project. If the present situation is likely to deteriorate in future because of traffic growth, this situation should also be noted, considering the certainty of the outcome and development status of adjacent projects and land use changes. It should refer to a diagram showing the annual average daily traffic figures on the existing road and/or local roads for the current year and the forecast figures without the project for the year in which the project opens and the year with the most traffic in the first fifteen after opening (with different growth forecasts). If appropriate a similar diagram showing peak hour flows should also be included. All figures should be shown on the same diagram for ease of comparison.

4.8 The Environmental Statement should indicate briefly the degree to which Government policies for trunk road building and improvement would be furthered by the project - for example, by referring to accident reduction forecasts, predicted economic benefits or the amount of traffic removed from unsuitable roads. The traffic effects of the proposed project should be described, making reference to diagrams similar to those described above but with the project.

4.9 A brief description should be given of the features that are common along the whole length of the scheme followed by a detailed description of the scheme from one end of the route to the other. It should include the scheme's horizontal alignment in relation to nearby identifiable locations; the vertical alignment (embankment, cutting, false cutting); structures such as bridges, viaducts, crossings, and tunnels; junctions; and lighting, large signs, and gantries. Side roads should usually be included within the description of junctions, unless they are significant in their own right, when it might be more appropriate to give them their own brief description. All significant aspects of the scheme design should be quantified wherever possible.

4.10 Information should also be provided on the existing use of land taken by the scheme, and the future use of land should the scheme be built taking into account the appropriate changes from Certainty of the Outcome and Development Status, as outlined in IAN 81.

- 4.11 The main aspects of the construction and maintenance/management of the scheme should be described, including, where significant, advance works. For the construction period, this should comprise information on the length of the construction period; any land beyond the proposed highway boundary required for construction purposes. Revised SECTION 3 topics such as Materials will cover likely types and approximate quantities of aggregates and the quantity of any surplus material for disposal off-site. The temporary impacts from construction will be addressed by each topic as appropriate.

Environmental Assessment Methods

- 4.12 Inclusion of a section describing methodologies increases the credibility of the assessment. Where the DMRB Volume 11 methodologies are followed, these can be referenced and description kept to a minimum. Where the project justified a unique or novel assessment method, the description should be sufficient to make clear the method to readers. The period during which a survey was conducted should also be noted.
- 4.13 The Statement should include a brief review of the scoping, how the main environmental issues were identified, including significant issues raised by statutory environmental bodies, remembering information given in confidence is exempt if the release would "constitute a breach of confidence actionable by that or any other person" (Freedom of Information Act 2000). Any descriptions used to indicate the magnitude or significance should be defined alongside any difficulties in compiling or assessing information. The data used to estimate the significance of the effects should be clearly described including their source.
- 4.14 There are a number of ways in which the information on baseline features, mitigation and predicted impacts can be presented. One approach treats these as three discrete sections, and includes all of the relevant information under these headings, in turn. A second begins by considering the impacts of a project, which are potentially significant, and looks at each topic individually in terms of the baseline situation, relevant mitigation measures and the predicted impact. A third option covers all of the baseline information together in one section, then considers the proposed mitigation and effects after mitigation for each topic in turn. For a small project with few significant impacts, there is little difference between the three methods. However, for large projects, or ones with a number of significant impacts, the second or third methods should be used. Other approaches include grouping the impacts under human and natural resources. The Highways Agency should make its preferences clear.
- 4.15 Wherever appropriate, the text of the Environmental Statement should reference the relevant survey and specialist reports available from the Highways Agency, which contain the more detailed and technical information. The techniques parts in SECTION 3 indicate the baseline information that should generally be included in the Statement. Relevant statutory and other designations should be referred to within the corresponding section of the baseline description, as should any local authority planning policies, which might be affected by the proposed scheme. Where other aspects of the existing environment could be significantly affected they should also be included.
- 4.16 Within the discussion of how a particular part of the baseline environment is affected, the length and degree of detail reported should relate to the magnitude of the impact

and the significance of the effects. The Environmental Statement plays an important role in the specification of mitigation measures, and providing a public statement of the agreed and committed measures. The significance should be assigned after consideration of the effectiveness of the design and committed mitigation measures in line with Highways Agency's requirements. The assignment of significance before the consideration of the effectiveness of the design and committed mitigation measures should only be undertaken if specifically required by the Highways Agency. If the assessment process has indicated that a scheme would have no significant effect, the Statement should include a brief explanation. Each section should end with an overall assessment of the magnitude and significance of the effect on the baseline environment, highlighting any major problems or benefits.

- 4.17 The individual sections discussing how different aspects of the baseline environment would be affected by the proposed project should refer to the construction of the project and to after it has opened to traffic. In construction, there should be a clear presentation of both temporary and permanent impacts. Cumulative impacts on a particular location or group of people should also be noted (for example, if several houses would experience increases in noise level, and new severance and visual impact). Positive changes enhancing the environment should be covered. The Statement should make clear where management and monitoring activities are to be undertaken to ensure that the approved level of environmental performance is delivered.

Alternatives Considered

- 4.18 Current legislation requires that an Environmental Statement includes an outline of the *main* alternatives studied by the Highways Agency, and that an indication of the *main* reasons for the Highways Agency's choice is to be provided which takes into account the environmental effects. The route options studied by the Highways Agency (for example, those taken to public consultation) should be briefly described, and the reasons for their rejection stated. Where public consultation included only one option, the reasons why others were not put forward should be briefly stated.

QUALITY CONTROL

- 4.19 Weak assessments place the efficient delivery of the project at risk. It is recommended that the Highways Agency should sign-off on the adequacy of draft Environmental Statement using the checklist provided in Table 4.2.

Ref	Topic
A	Does the Environmental Statement provide the following essential information:
A1	Name and address of the Highways Agency?
A2	Name of those responsible for preparing the Statement?
A3	The legal basis for the Statement?
A4	Where copies may be obtained?
A5	Where comments should be sent?
A6	Publication date and closing date for receipt of comments?
A7	A description of the project comprising information on the site, design and size of the project?
A8	A description of the mitigation measures?
A9	Sufficient data in order to identify and assess the main environmental effects?
A10	An outline of the main alternatives studied and an indication of the main reasons for the choice taking into account environmental effects?
A11	A Non-Technical Summary?
B	Project Description
B1	Have project objectives been reported acceptably?
B2	Is the project described in adequate detail but without restricting detail design?
B3	The length of the construction period and land needed for construction purposes?
B4	The main aspects of the construction of the project including, where significant, advance works?
C	Baseline Environment
C1	Is the future Do-Minimum situation adequately described?
C2	Is the study area(s) fair and reasonable?
C3	Is the environmental planning policy context for the area described?
C4	Have relevant statutory and other designations been described?
D	Assessment Method
D1	Are DMRB v11 methods used and specific methods/techniques used described and data limitations identified?
D2	Are data sources properly identified and referenced?
D3	Are the survey periods detailed?
D4	Are the stakeholders involved in the assessment recorded?
D5	Have the results of any public or statutory environmental bodies consultation presented appropriately?
D6	Are uncertainties, assumptions, difficulties and the use of professional judgement made clear?

Table 4.2 Environmental Statement Review Checklist

E	Mitigation, Enhancement and Monitoring
E1	Are mitigation measures certain to be provided?
E2	Are the descriptions of mitigation measures quantified to include the type, location and an indication of their effectiveness as far as possible?
E3	Do the mitigation measures enhance or give rise to other adverse effects?
E4	Have mitigation or enhancement measures by agreement, that are dependent upon the outcome of subsequent negotiations with third parties, been identified?
E5	Are commitments on the scheduling of activities to reduce effects made?
E6	Are commitments for further surveys/investigations/consultations made?
E7	Have restrictions to be placed on contractors been recorded?
E8	Are the environmental commitments sufficiently clear for implementation?
E9	Has a list of mitigation and enhancement measures and monitoring commitments been included or referenced?
F	Forecast Significant Effects
F1	Has the post mitigation magnitude, probability, duration (temporary and permanent), reversibility and significance of effects been detailed?
F2	Are significant adverse and beneficial effects identified and described, with a justification for the 'significance' decision?
F3	Have the interaction of effects and cumulative effects been considered?
F4	Have uncertainties in the design, mitigation or assessment been recognised?
F5	Have the effects been quantified as far as practicable?
G	Alternatives
G1	Have alternatives been assessed equally and in a comparative manner?
G2	Have the reasons been identified for rejecting alternatives taking account of environmental effects?
H	Reporting Style
H1	Does the Statement instil confidence in the assessment process?
H2	Is the Statement readable to the audience for which it is intended?
H3	Do illustrative materials depict sensitive parts of the project and mitigation measures accurately and clearly?
H4	Is the Statement unbiased, balanced, comprehensive and transparent in its logic and presentation?
H5	Is the Non-Technical Summary suitably clear and free from technical jargon?
H6	Does the Non-Technical Summary presentation match the findings of the Statement?

Table 4.2 Environmental Statement Review Checklist (continued)

4.20 In undertaking a review, the Highways Agency should:

- i. Determine whether omissions and/or shortcomings arise in the information provided in the report;
- ii. Where omissions and/or shortcomings arise, determine which are likely to be crucial to the decision-making process; and
- iii. Specify the additional information or actions required to address the situation.

5 ADVICE ON THE NON-TECHNICAL SUMMARY

- 5.1 Production of a Non-Technical Summary (NTS) is a legal requirement for projects requiring an Environmental Statement and could be seen as good practice for projects requiring the production of a non-statutory environmental report. The NTS should highlight the principal findings of the Environmental Statement. The document should be free from technical jargon and abbreviations.
- 5.2 It is important to summarise the introduction to the Statement, and all of the other sections. A brief description of the proposed project should be provided commencing with a description of the main features, followed by a description along the alignment relating to nearby locations. Coverage of the significant structures, junctions, lighting, large signs, and gantries as appropriate should be included. Road names and classifications should be specified in such descriptions.
- 5.3 If possible the NTS should also outline the main aspects of the construction work, for instance the likely duration, any advance works, designated routes and access arrangements. The NTS should only report the baseline situation where it is important to appreciating the significance of the impacts being described. This may include the opening of a new road or other development. The NTS should note that the Statement provides a description of existing baseline and future Do-Minimum conditions. The part of the summary, which assesses significant effects on aspects of the baseline environment, should consider each in turn and should reflect the conclusions of the corresponding sections of the Statement. Measures taken to reduce the impacts should be taken into account and described. Only the key significant effects should be presented.
- 5.4 The NTS should record how the proposals have been developed, briefly describing the main options considered with the major reasons for their rejection, including environmental reasons. The types of alternatives to be reported will depend on the type and scale of project under consideration. Where the project has emerged from a published study or plan that examined alternatives, reference should be made to these and how such documents can be obtained or reviewed.
- 5.5 Images and graphics should be used where appropriate. An important part of the Non-Technical Summary is the environmental constraints map of the project and its surrounding area. As a minimum, this map should show all of the places referred to in the text of the Non-Technical Summary, including major roads and junctions, population centres, and designated areas and buildings.
- 5.6 The length of the NTS will be determined to a great extent by the length and complexity of each individual project. Designers should seek advice on the size and format of the NTS from the Highways Agency.

6 ADVICE ON THE NON-STATUTORY ENVIRONMENTAL REPORT

6.1 The Stage 3 Assessment Report reports the environmental assessment where an Environmental Statement is not published. Stage 3 Assessment Report reports should be focussed, concise and should use non-technical language. The source of any information gathered should be recorded. Where detailed assessments and accompanying surveys have taken place, these need to be referenced and be available, where necessary, since the assessment report could come under close scrutiny.

6.2 There is no prescribed format for these reports although, the following structure is proposed for reporting environmental matters:

- i. **Introduction/Overview:** This should set out the purpose of the report noting those issues that are relevant to the assessment.
- ii. **Project description:** An overview of the proposal paying particular attention to those elements that directly affect its environmental performance, e.g., location, permanent and temporary land take, lighting, provision for non-motorised users and mitigation measures.
- iii. **Regulatory Framework:** Details of relevant regulations, planning policies or designations or codes of practice, and consultation undertaken with statutory environmental bodies.
- iv. **Site and Surroundings:** General description of the site and area likely to be affected by the proposal.
- v. **Environmental Effects:** The following information should be provided for environmental effects:
 - Description of existing conditions and how they might evolve under Do-Minimum;
 - A statement of how the significance of the impact has been determined if methods differ from SECTION 3 advice;
 - The measures to mitigate the environmental impacts;
 - The enhancements and predicted effects.
- vi. **Delivery and Implementation:** Statement of how the project would be delivered and any proposed mitigation to be implemented.