



Environmental impact assessment

GUIDELINES FOR FAO FIELD PROJECTS



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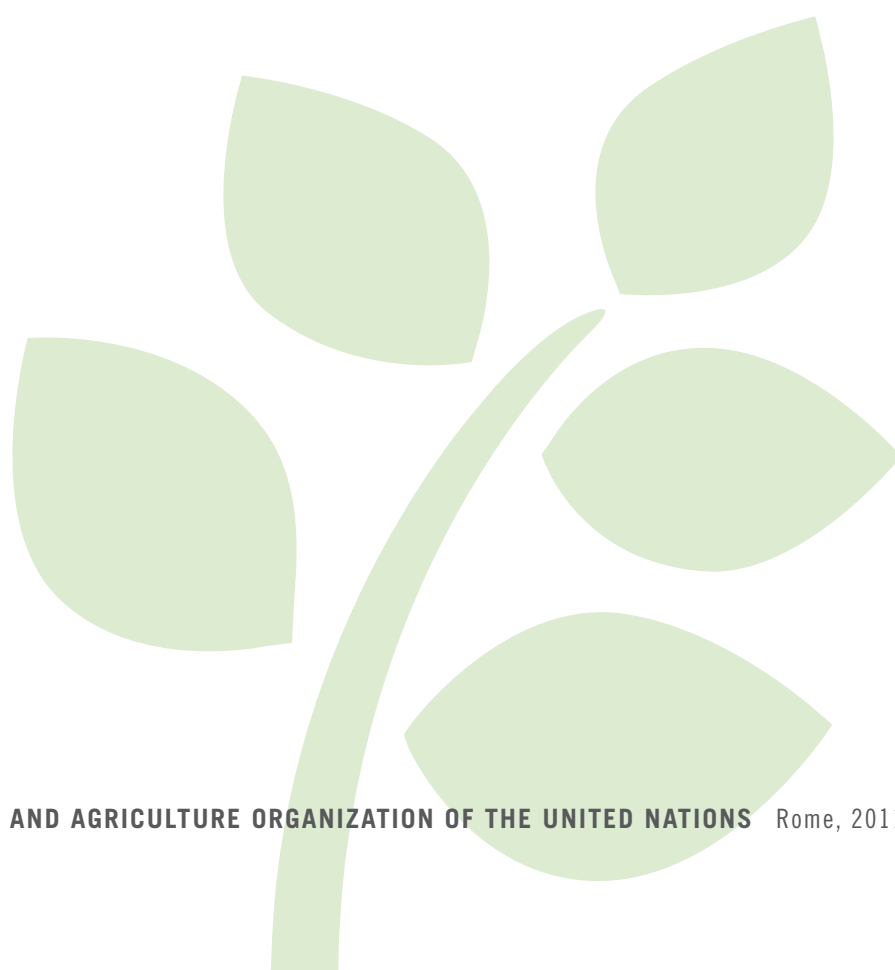


table of CONTENTS

ACRONYMS	III	ANNEX 2: SAMPLE FORMS	27
		Environmental and Social Review Form	27
ACKNOWLEDGEMENTS	IV	Environmental Screening for Category A & B projects	28
		Scoping for Category A projects	31
CHAPTER 1: INTRODUCTION	1		
1.1 Purpose	1	ANNEX 3: BASIC POLICY REQUIREMENTS FOR FIELD PROJECTS	32
1.2 Operational context	2	3.1 Agriculture	32
1.3 Policy context	2	3.2 Biodiversity	33
		3.3 Fisheries and aquaculture	33
CHAPTER 2: THE EIA PROCESS	4	3.4 Forestry	34
2.1 Overview	4	3.5 Livestock and animal husbandry	34
2.2 Environmental Categories	4	3.6 Fertilizers	35
2.3 Steps of the EIA Process in FAO	9	3.7 Pesticides	35
2.4 Roles and responsibilities	13	3.8 Water development	36
2.5 EIA in FAO's project cycle	14	3.9 Socio-economic dimensions	37
		3.10 Gender considerations	38
CHAPTER 3: EIA REPORTS	17	ANNEX 4: ENVIRONMENTAL REVIEW IN THE FAO PROJECT CYCLE	39
3.1 Category A projects (significant impacts)	17		
3.2 Category B projects (less significant impacts)	17	ANNEX 5: OUTLINE FOR THE CATEGORY A EIA REPORT	41
3.3 Category C projects (minimal or no adverse impacts)	18		
SOURCES AND LINKS	19	ANNEX 6: AN INITIAL CAPACITY ASSESSMENT AS PART OF ENVIRONMENTAL SCOPING (if required)	43
ANNEX 1: GOVERNING PRINCIPLES	21		
		AMENDMENTS TO THE GUIDELINES	44

Acronyms

BH	Budget holder
CD	Capacity Development
CBD	Convention on Biological Diversity
EA	Environmental Analysis
EIA	Environmental Impact Assessment
EIA-TF	Environmental Impact Assessment Task Force
EMP	Environmental Management Plan
ES	Economic and Social Development Department
ESRF	Environmental and Social Review Form
FAO	Food and Agriculture Organization of the United Nations
FAOR	FAO Representative
FBO	Farmer-Based Organization
IER	Initial Environmental Review
IPNS	Integrated Plan Nutrition System
IPP	Indigenous Peoples Plan
IPPC	Plant Protection Convention
ITR	Interdisciplinary Technical Review
LTO	Lead Technical Officer
LTU	Lead Technical Unit
M&E	Monitoring and Evaluation
MDT	Multi-disciplinary team (FAO Regional/Subregional representations)
NRC	Environment, Climate Change and Bioenergy Division
OEKC	Knowledge and Capacity for Development
PAC	Project Appraisal Committee
PCR	Polymerase Chain Reaction
PPRC	Programme and Project Review Committee
PTF	Project Task Force
RBM	Results-Based Management
SPD	Standard Project Document
TCDM	Field Programme Coordination and Results-Based Monitoring
WOCAT	World Overview of Conservation Approaches and Technologies



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The resulting draft EIA Guidelines were brought to the attention of the Deputy-Director General for Operations (DDG-O) and senior managers of the Technical Cooperation (TC) and Natural Resources Management and Environment (NR) Departments. Based on their feedback, this revised version was produced under the aegis of Alemneh Dejene (NR) and Diego Recalde (TC).

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CHAPTER 1

INTRODUCTION

1.1 PURPOSE

This publication provides guidelines for all FAO units (headquarters departments and offices, as well as decentralized offices) to undertake environmental impact assessments (EIA) of field projects. The use of these guidelines apply to all FAO field projects and activities¹, as further specified in the sections below, requiring implications to be fully considered early in the planning process (and all the more so prior to taking final decisions) so as to avoid significant negative impacts of environmental or associated social nature.

EIA is a tool for decision-makers to identify potential environmental impacts of proposed projects, to evaluate alternative approaches, and to design and incorporate appropriate prevention, mitigation, management and monitoring measures. Environmental impact assessment cannot be divorced from social impact of the project, hence the latter is considered as a key dimension of the EIA process. Examples of these close interactions can be found in the context of land tenure and rights, rural livelihoods, and traditional practices. EIA is also expected to help ensuring protection, maintenance and rehabilitation of natural habitats and their functions in the context of FAO's field projects and policy dialogue with countries.

Environmental Assessment may be quite complex, especially if applying to broad policies and large sector programmes. Nevertheless most FAO projects may not require a fully-fledged EIA and may be reviewed with limited analytical effort. Still, they will need to undergo the screening procedures described under the present guidelines. Where significant potential negative impacts or areas of serious public concern are foreseen, a more detailed EIA will need to be prepared, including full technical justifications and public exposure.

The present publication covers:

- guidance to FAO staff on the application of EIA to field projects;
- procedures to be used in formulating and screening projects;
- FAO's standards for related documenting and reporting formats;
- roles and responsibilities in conducting EIA to ensure effective implementation.

¹ Excluding Telefood and FAO projects with budgets under US\$100 000.

1.2 OPERATIONAL CONTEXT

Environmental and related social implications of project actions should be considered as early as possible in the FAO project cycle. The EIA procedures contemplate a self-assessment process followed by an independent review of the documentation by the **Project Appraisal Committee (PAC)**. In monitoring compliance with the present guidelines, the PAC assures the quality of the EIAs. As the main project formulator, the **Lead Technical Officer (LTO)** in the applicable department/division/unit takes action to ensure that environmental and social impacts of all proposed projects/activities are investigated and more generally that they reflect best practices, lessons learned, and other available technical knowledge.

The EIA shall address both positive and negative potential environmental impacts of the given project, any related social implications, as well as eventual transboundary effects. EIA evaluates a project's potential environmental and social risks and impacts in its area of influence. The FAO EIA procedures do not substitute for specific environmental assessment requirements that countries/ resource partners may request to be met. Should a project be subject to such external procedures, the latter may be adhered to, so long as they involve levels of analysis that are similar to, or more stringent than those of FAO. The decision whether these mandatory external procedures are adequate will be made by the EIA Task Force.

1.3 POLICY CONTEXT

Objectives

The EIA guidelines are consistent with FAO's Vision, Goals and Strategic Objectives, as set out in the FAO Strategic Framework 2010–2019, adopted by the Conference in November, 2009. In effect, environmental protection and sustainability principles permeate most of the approved Strategic Objectives of the Organization. While not cast in stone and subject to modification over time, for ease of reference the current Strategic Objectives are reproduced in the following Box 1. This firm anchoring in corporate policy tenets of sustainability and environmental protection is certainly a positive characteristic of FAO's project portfolio.

Governing principles

Building on these corporate Strategic Objectives and the practical experience FAO has gained over the years in managing field operations in agriculture and rural development, fisheries, forestry, and natural resources management, the EIA process is also to be consistent with a number of principles, as described in Annex 1.

BOX 1. FAO'S VISION, GOALS, AND STRATEGIC OBJECTIVES

Vision

FAO's vision is of a world free of hunger and malnutrition where food and agriculture contribute to improving the living standards of all, especially the poorest, in an economically, socially and environmentally sustainable manner.

Global Goals of Members

To foster the achievement of this vision and of the Millennium Development Goals, FAO will promote the continuing contribution of food and sustainable agriculture to the attainment of these three global goals:

- a) Reduction of the absolute number of people suffering from hunger, progressively ensuring a world in which all people at all times have sufficient safe and nutritious food that meets their dietary needs and food preferences for an active and healthy life.
- b) Elimination of poverty and the driving forward of economic and social progress for all with increased food production, enhanced rural development and sustainable livelihoods.
- c) Sustainable management and utilization of natural resources, including land, water, air, climate and genetic resources, for the benefit of present and future generations.

Strategic Objectives

- A. Sustainable intensification of crop production.
- B. Increased sustainable livestock production.
- C. Sustainable management and use of fisheries and aquaculture resources.
- D. Improved quality and safety of food at all stages of the food chain.
- E. Sustainable management of forests and trees.
- F. Sustainable management of land, water and genetic resources and improved responses to global environmental challenges affecting food and agriculture.
- G. Enabling environment for markets to improve livelihoods and rural development.
- H. Improved food security and better nutrition.
- I. Improved preparedness for, and effective response to, food and agricultural threats and emergencies.
- K. Gender equity in access to resources, goods, services and decision-making in the rural areas.
- L. Increased and more effective public and private investment in agriculture and rural development.

Source: FAO's Strategic Framework 2010–2019

CHAPTER 2

THE EIA PROCESS



2.1 OPERATIONAL CONTEXT

The present EIA guidelines seek to institutionalize a systematic review process in FAO's project cycle. In practice, this means that the Lead Technical Officer (LTO), whether in headquarters, a regional or sub regional office, or a country representation, will ensure that each project is subjected to an **initial environmental review (IER)**. This will determine the potential positive and negative environmental and social impacts that may arise from project implementation. EIA guidelines will be applied at regional/ sectoral level if project is likely to have regional or sectoral impacts, particularly in case of cumulative impacts. This responsibility rests with the initiating unit and cannot be delegated, although relevant advice and information may be obtained from other sources.

Based on this **initial environmental review**, the next step is for the LTO to select an **environmental category** for the project, depending on the nature and severity of the identified potential environmental and social impacts. The chosen category will dictate whether any **additional environmental and/or social analysis or impact assessment** will be required before project approval and implementation. Any additional work of this nature necessarily entails a phase of **public consultation** during preparation and **public disclosure** of the assessment documentation, particularly for **Category A** projects. This is further explained in section 2.3 below.

The PAC will formally revise the application of EIA procedures to ensure quality and consistency across the organization. The PAC will need to endorse the category assigned to each project, and clear any analysis or EIA documentation prepared. Meanwhile, the LTO will be responsible for implementation of **any actions or measures** recommended in the environmental analysis or the EIA. The LTO will also carry out **monitoring and evaluation (M&E) activities of project impacts**, and pay attention to the **development of adequate capacity** in local institutions to ensure long-term environmental and social sustainability.

2.2 ENVIRONMENTAL CATEGORIES

FAO's work and mandates including environmental activities are highly specialized and count with a wide base of internal expertise and global standards and policies which normally are agreed with member countries. FAO's well-known normative work is also closely related to the EIA best practices.

Based on the of the project or activity, the selection of the **environmental category** is predicated on the nature and severity of potential environmental and social impacts. As indicated in **Table 1** below, there are three environmental categories for field operations, labeled A, B and C.

The category assigned to a project or activity will determine whether additional environmental or social analyses will be required. These analyses should normally aim at about the same level of detail as other project preparation studies.

It should be highlighted that FAO does not support projects that involve significant

conversion/modification or degradation of critical natural habitats, including those habitats that are: legally protected, officially proposed for protection, identified by authoritative sources for their high conservation value, or so recognized (i.e. private properties), as well as projects that may cause an involuntary resettlement of populations.

Table 1. Environmental categories for FAO field projects

Environmental Category	Environmental and Social Impacts	Environmental Analysis or Assessment Required
Category A	Significant, or irreversible adverse impacts	Mandatory environmental impact assessment
Category B	Less significant adverse impacts that may be easily prevented or mitigated	Environmental analysis to identify more precisely potential negative impacts
Category C²	Minimal or no adverse impacts	No further environmental and/ or social analysis or assessment required

The three environmental categories are explained in more detail below.

Category A

Category A projects may involve significant, cumulative or even potentially irreversible negative environmental impacts or risks. Typically, such projects may include planned interventions that may change existing land and/or water uses, open up new lands, disturb natural habitat needed for maintaining biodiversity, involve significant expansion of industry, introduce water impoundment schemes, promote the use of agrochemicals, or require the acquisition of land and/or resettlement of local populations. Initially classified Category B projects may be “upgraded” to Category A in the event that impacts or the

ability to mitigate them are unknown, thus requiring further study and a detailed assessment.

The significant negative effects may extend to the social arena and beyond the boundaries of the project site. Such projects automatically require an EIA so as to ensure that the negative impacts are properly analyzed and that stakeholders are consulted. The EIA also assesses feasible alternatives (including a “without project” scenario), and makes recommendations to prevent, minimize or mitigate adverse impacts. Analysis of alternatives includes assessment of recurrent costs, suitability, training and monitoring requirements. Supportive tools commonly include interactive matrices, map overlays, checklists, and participatory

² Most FAO projects will fall under Category C.

appraisal. The LTO may rely on internal expertise (i.e. technical support from other FAO units) or external independent advice for this purpose.

At a minimum, Category A projects require a site visit by an independent qualified environmental and social assessment expert or a team of such experts, as independent advisory panels – required only for highly risky projects – during EIA preparation and implementation. In the context of the EIA, an **environmental management plan** (EMP) must be produced, describing the proposed mitigation measures and preventive actions to be taken during the various phases of the project life and to ensure that risks are effectively mitigated and/or reduced to acceptable levels. The EMP will also specify the environmental or social monitoring arrangements during project implementation (which may result in further adaptive management measures being applied) and any capacity development necessary to support these measures. Participatory plans will be also elaborated in order to ensure an inclusive approach of all affected groups.

Moreover in the context of the EIA an **Indigenous Peoples Plan (IPP)** will be formulated and monitored by qualified professionals in consultation with stakeholders and the communities. The draft IPP will be disclosed in timely manner, before appraisal formally begins. The mentioned plan must include specific measures in order to monitor the benefits/risks affecting the indigenous peoples and to create specific mitigation actions, culturally appropriate benefits/compensation, and includes grievance, M&E and budget arrangements. Full consideration will be given to options preferred by the affected indigenous peoples in the provision of benefits and design of the mentioned mitigation measures.

In reacting to the EIA presented for a Category A project, the PAC may recommend non-approval of the project, or alternative measures to prevent, reduce or mitigate risks.

An indicative list of projects that would normally be assigned to Category A is provided in Box 2. This list may be periodically updated based on experience or specific geographic requirements. It is worth re-emphasizing that, based on experience, only a small share of FAO's projects would normally be assigned to Category A.

BOX 2. INDICATIVE LIST OF TYPES OF PROJECTS UNDER CATEGORY A

1. Large-scale agro-industry projects³; shifts to intensive production technologies.
2. Large-scale land reclamation.
3. Provision of high levels of external inputs (fertilizers, pesticides, etc).
4. Large-scale afforestation/reforestation, including logging operations, use of mangroves and wetlands.
5. Forest industry operations, such as sawmills and pulp and paper mills.

³ The present document considers as medium-scale projects those with budgets in the US\$500 000–2 000 000 range and as large-scale projects those with budget higher than US\$2 000 000.

6. Water impoundments, drainage or irrigation schemes of medium and large scale, including groundwater development.
7. Reclamation and new land development, including land leveling for agriculture, and large scale resettlement.
8. Large-scale livestock husbandry, including pastoral and industrial operations, such as feed lots.
9. River basin development projects.
10. Commercial fisheries development; large scale aquaculture/mariculture.
11. New introductions of non-native species, including plants, insects, and animals, including GMO.
12. Large agricultural mechanization programmes.
13. Land resettlement schemes (planned and unplanned).
14. Large scale coastal development projects.
15. Resettlement of local populations.
16. Projects that may have potentially significant adverse impacts on physical cultural resources (as defined in Annex 1).

Category B

Category B projects should not entail significant (or potentially irreversible) negative environmental (and associated social) impacts, but may still have adverse effects which can be mitigated with suitable preventive actions. Category B projects do not require a full EIA but will **require further deepening of environmental or social considerations**, depending on the expected magnitude of risks. In many cases, the analysis would aim at gathering additional information in sufficient detail so as to be able to discuss concretely how risks could be addressed and minimized (and possibly eliminated) in the project design. Attention must be paid also to appropriate monitoring requirements during project implementation. The scope of analytical work may vary from a detailed study of a specific project component to routine checks to ensure that the project design conforms to FAO's governing principles (see Annex 1).

An indicative list of projects that would normally be assigned to Category B is given in Box 3. Like the previous Category A list, it may be periodically updated based on experience or specific geographic requirements. In some cases, if a project initially identified as Category B is related to a particularly fragile or sensitive ecosystem, if the ability to mitigate potential impacts cannot be readily assessed or if the effects may be unknown or unacceptable, further analysis will be required and the project may be re-assigned to Category A, involving a greater level of analytical effort.

Should an emergency project fall in the "B" category, specific justification could be provided to support request for a waiver of the environmental analysis process. It is fully understood that decision to waive the process should be based on very compelling arguments (i.e. "life-saving") and independently evaluated by the EIA Task Force. This is an exceptional procedure.

BOX 3. INDICATIVE LIST OF TYPES OF PROJECTS UNDER CATEGORY B

1. Agro-industry projects of small and medium scale.
2. Water impoundment, irrigation and drainage schemes of small scale.
3. Small and medium-scale agricultural and animal husbandry production schemes which involve the use of “exogenous” technology and/or inputs (i.e. cultivation or animal husbandry techniques, agricultural or post-harvest machinery, disease and pest control, seeds, fertilizer, and tools that are not commonly used/traded in the project area).
4. Watershed management or rehabilitation, river basin management planning, international water management, and agreements for medium-size projects.
5. Range and pasture management and livestock management, including waste control and livestock health aspects.
6. Small and medium-size aquaculture, including small and medium-scale industrial and artisanal fisheries.
7. Limited bioenergy projects.
8. Climate change adaptation projects.
9. Small and medium-size plantations for bioenergy or pulp or other agricultural use.
10. Reforestation/afforestation.
11. Forest industry development including industrial and community uses.
12. Introduction of genetically modified organisms.
13. Small and medium-size road construction, maintenance and rehabilitation.
14. Significant changes in plant and animal gene pool.
15. Land use changes affecting biodiversity.
16. Projects that may have potentially minor adverse impacts on physical cultural resources (as defined in Annex 1).

Category C

Category C projects should have minimal or no potential negative environmental (or social) impacts, either individually or cumulatively. They should not be controversial in terms of the interests of key stakeholders. As such, they **do not require further analysis or impact assessment**.

Ranking under Category C is to be certified by the LTO who can proceed to final design and implementation phases.

An indicative list of projects for Category C is provided in Box 4, which will also be periodically updated, based on experience.

BOX 4. INDICATIVE LIST OF TYPES OF PROJECTS UNDER CATEGORY C

1. Natural resource assessments and monitoring.
2. Environmental and sustainable development analysis.
3. Monitoring and evaluation exercises.
4. Desk studies, workshops, meetings.
5. Scientific research and field surveys. (However, certain field research activities which may involve agrochemicals and biotechnologies may be classified as Category B.)
6. Research and extension in agriculture, forestry and fisheries.
7. Remote sensing and geospatial analysis.
8. Capacity development, communication and outreach programmes, including training.
9. Minor construction activities and maintenance of installations.
10. Institutional development, including norms and standards.
11. Health and education programmes.
12. Micro-credit programmes/projects.
13. Support to the development of income-generating activities at household or Farmer-Based Organization (FBO) level (i.e. small-scale “cottage industries”).
14. Distribution – to vulnerable or disaster-affected households – of agricultural inputs (seeds, fertilizer, tools, small livestock) that are already known by the target groups and which are available locally.

2.3 STEPS OF THE EIA PROCESS IN FAO

There may be cases where onward funding will occur in a project (i.e. financial resources that pass directly to a third party to implement activities still to be defined in detail). In such cases, the onward funding will be subject to the same procedures that would normally be applied during the assessment and implementation phase. Significant impacts and proposed preventive actions and mitigation measures should be identified. In cases where sufficient information is not available, provision should be made to review the proposed uses of the onward funding when it is eventually defined.

Considerable literature exists on environmental assessment, with a wide range of terminologies. In the context of FAO’s field work, it may be useful to see the EIA process in terms of three, relatively straightforward steps.

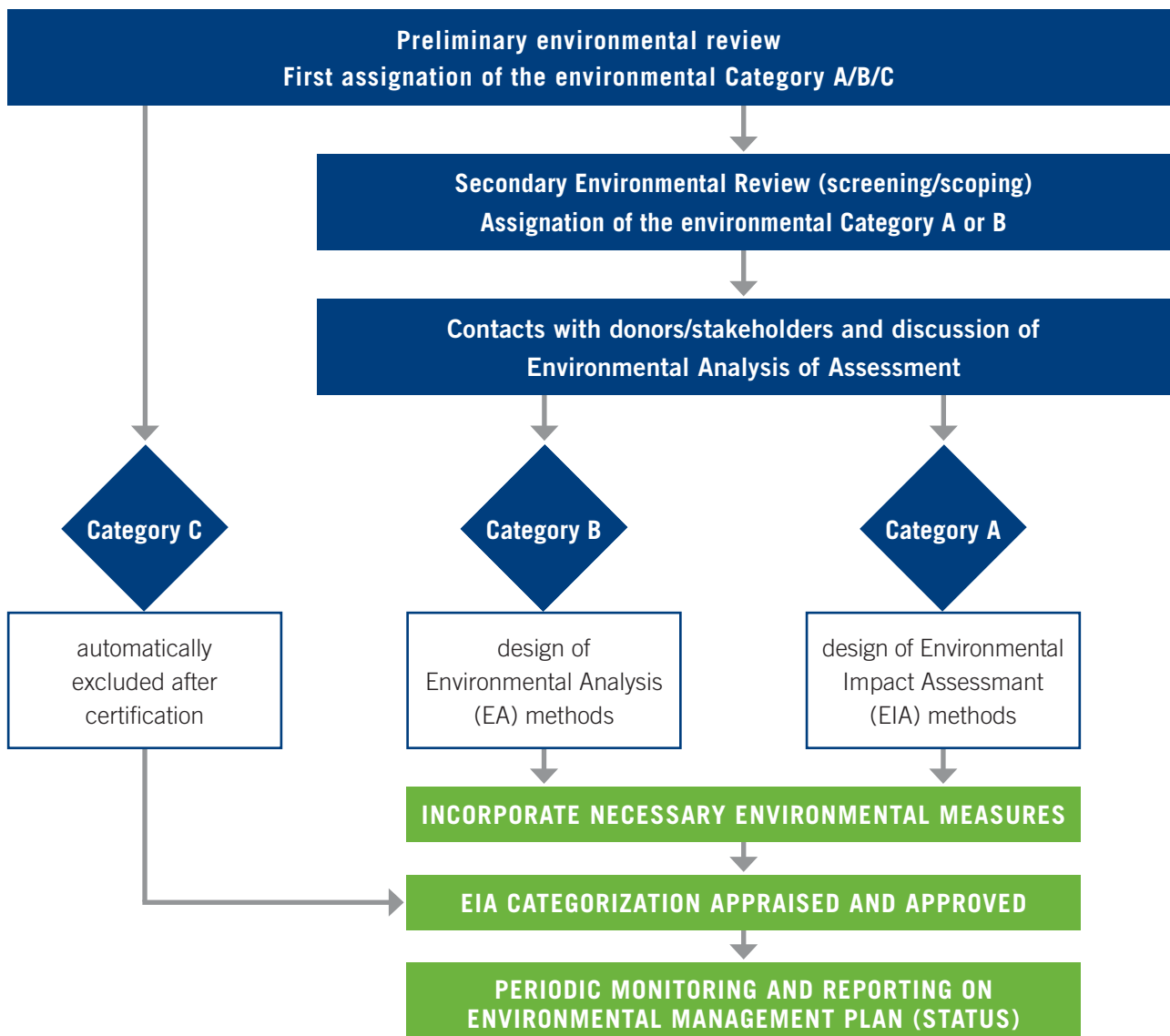
The EA process begins with the initial **environmental review** conducted through a “Decision Tree” approach, which will allow exempting **Category C** from further analysis. It is followed by a more thorough **environmental screening** to identify whether the project falls under **Category A** or **B**, while the third step is

called **environmental scoping**, defining the nature of any further **environmental analysis** or fully-fledged **EIA** to be performed. The three steps are depicted in **Figure 1**, and explained in further detail below.

Step 1: The **initial environmental review (IER)** takes place as early as possible when a project concept or proposal is identified. The environmental review step allows for **Category C** projects to be identified and excluded at this stage. The project proposal

should, however, be sufficiently developed to identify an initial list of environmental and social issues, potential negative impacts and key stakeholders. The initial environmental **review** greatly facilitates the further project planning process. The results of the review are documented in the **Environmental and Social Review Form (ESRF)**. This must be reviewed and approved by the PAC before the project can proceed to financing and implementation. The standard format for the **ESRF** is provided in Annex 2.

Figure 1. Overview of the EIA process



Step 2: Environmental screening is the systematic assessment and documentation of the potential environmental and socioeconomic impacts (negative but also positive) of a proposed **Category A** or **B** project. This should in effect determine if the project is to fall under **Category A** or **B**, hence whether to carry out further **environmental** analysis or an EIA, and at what level of effort.

Positive/ negative outcomes can be identified by using the checklists on *basic policy requirements for field projects* contained in Annex 3. Negative environmental factors which may affect the project outcome should be adequately described. Both direct impacts and indirect impacts will be addressed, as well as relevant trans-boundary issues, or any onward funding that may be planned. These basic requirements will aid the LTO in screening the project under consideration for environmental and social impacts of potential concern and ultimately in determining the environmental category to assign to the project.

The checklist is organized by main sector or discipline pertinent to FAO's mandate, e.g. agriculture, biodiversity, fisheries and aquaculture, forestry, livestock and animal husbandry, fertilizers, pesticides, water development, socio-economic dimensions and gender. FAO will employ the EIA procedures to ensure adherence to relevant international environmental treaties and agreements.

The screening process can lead to a variety of outcomes, as illustrated below:

- Negative effects are identified but can be prevented or mitigated using known best practices and design features which conform to existing legislation and regulations. The project is rated as **Category B**, and is further reviewed by

the LTO in the field office or in headquarters, who proceeds with the design of prevention, mitigation and monitoring measures identified and recorded.

- Potentially adverse effects are not fully known. Hence, the project needs further study until a decision can be made. It may be assigned to **Category B** and an environmental analysis will be prepared. The same will apply to cases where the local ability to avoid or mitigate significant negative effects is yet unknown.
- Potential adverse impacts are significant, according to criteria developed by FAO, other international organizations or national authorities themselves. The project is to be assigned to **Category A** and an EIA will be prepared. The same will apply to known cases of significant public concern about negative environmental effects.
- The project falls *a priori* under Category A as determined from the list above and will undergo an EIA.
- The project entails potentially adverse environmental risks and impacts that are considered unacceptable. The project needs to be significantly modified and re-screened. Failing satisfactory options for preventing or mitigating negative impacts, the project may be abandoned.

It is important to highlight that projects under the categories A and B require field work and resources that must be clearly specified and included in the budget by project formulators.

Step 3: Environmental scoping applies to both **Category A** and **B** projects. It seeks to determine the most important issues, problems, and

alternatives that should be addressed in any further environmental analysis or in an EIA, and additional environmental and social analyses may be recommended. Scoping will include an initial identification of the environmental policies, laws, and regulations (particularly with respect to EIA) of the country in which the project will be implemented and with which the project must comply. It will also include an initial review of capacity issues concerning the prevention and mitigation of environmental impacts for individuals (in communities, professional associations and organizations, policy makers, etc), for organizations (government departments, NGOs, private sector, etc) and as regards an enabling environment (policies, laws, regulations, incentives, partnerships, etc).

Scoping helps identifying possible modifications to the project design and deciding on the type of further analysis that may be required. It reduces delays by starting communication early in project planning, involving stakeholders, and pinpointing issues warranting further study (See the environmental scoping section for Category A projects, in Annex 2).

Capacity Development (CD) of country or (sub) regional stakeholders should be addressed during this scoping phase and fully reviewed for Category A projects as part of the EMP. CD is to support preventive actions and mitigation measures. For initial capacity assessment, Annex 6 provides helpful indicative questions. For a fuller assessment, see OEKC's web site: http://intranet.fao.org/fao_communications/idwg_on_capacity_development/capacity_development_tools).

As examples, capacities may need strengthening in local government and NGOs to implement preventive actions and mitigation measures. The CD assessment may call for specific training, mentoring, networking and policy seminars to be considered and planned for. The targeting process should include, depending on the context: (a) government institutions involved in project oversight and delivery, (b) local non-governmental organizations or other civil society organizations involved in project activities, and (c) project beneficiaries themselves.

2.4 ROLES AND RESPONSIBILITIES

Table 2. Roles and Responsibilities for EIA within the project cycle

Actors	Roles	Responsibilities (EIA)
LTU	<ul style="list-style-type: none"> • It can be at service, unit or group level, in a subregional or regional office, or at headquarters. • It is part of the Project Task Force. • It is the FAO unit immediately responsible for the technical direction of a project and for the technical quality and relevance of the project results. 	<p>Nominate the Lead Technical Officer (LTO).</p>
LTO	<ul style="list-style-type: none"> • He/She is part of the Project Task Force. • He/She serves as decision-maker in the initiating department/division/unit and ensures that the environmental and social impacts of all proposed projects/activities are considered. 	<p>Undertake EA process, which includes, as appropriate:</p> <ul style="list-style-type: none"> • engage project stakeholders and beneficiaries including indigenous people and vulnerable groups in analysis and decision-making; • ensure the initial project environmental review; • select an environmental category; • conduct project screening/scoping; • prepare the EIA/EMP/IPP; • factor in and allocate the necessary resources for EIA related processes as appropriate; • ensure the implementation of any actions or measures recommended in the environmental analysis or the EIA; • development adequate capacity in local institutions; • undertake the monitoring and evaluation of project impacts; • ensure EIA public disclosure.
PAC	<p>It oversees EIA process to ensure quality and consistency across the organization.</p>	<ul style="list-style-type: none"> • Approve the environmental category assigned to each project; • clear any analysis or EIA documentation prepared before project approval and implementation.

2.5 EIA IN FAO'S PROJECT CYCLE

(see also Annexes 4 and 5)

[The Field Programme Coordination and Results-Based Monitoring (TCDM) unit is presently in the process of reviewing and updating, according to Results Based Management (RBM) principles, the FAO Project Cycle standard format which is formally based on the Field Programme Circular FPC/2003/04. This process is being developed in order to ensure a clear Accountability and Quality Assurance Framework for FAO's Field Programme under the new Strategic Framework and in the context of FAO and UN Reform. New steps have been identified in order to integrate

the current project cycle's structure and to align FAO procedures to international best practices.]

The updated FAO's project cycle consist of six phases from conception to completion. These phases are: 1) Identification; 2) Formulation; 3) Appraisal and Approval; 4) Implementation and Monitoring; 5) Evaluation; and 6) Closure.

As shown in Annex 5, the EIA process implies a course of action to match as appropriate the standard project cycle phases, as follows:

Project Cycle	EIA Steps
1. Project Identification	Preliminary environmental review and classification
2. Project Formulation	EIA formulation
3. Project Appraisal and Approval	Environmental technical review clearance Final
4. Project Implementation and Monitoring	Monitoring effectiveness of mitigation measures and reporting on the Environmental Management Plan
5. Project Closure	Final report/ Lessons learned
6. Project Evaluation	Post-evaluation of project environmental impact

This integration of key elements of the EIA process with the standard project cycle phases is further explained below.

Appraisal and Approval

During this phase of the project cycle, the Project Appraisal Committee (PAC, former PPRC) will review the EIA classification given by the project

formulator. Should the PAC have any questions or comments on the proposed classification, the Chairperson of the Project Task Force (usually the prospective Budget Holder) will be asked to provide clarifications, based on consultation with the project formulator, Lead Technical Officer and other members of the Project Task Force as appropriate. In rare cases, they may be asked to

ensure that the classification be reassessed. To this end, a specific question related to EIA has been included in the *Appraisal Checklist*⁴.

Monitoring and Evaluation

Environmental monitoring during project implementation will provide information on the environmental impacts of the project and the effectiveness of mitigation measures. This will permit evaluation of the success of mitigation and allow corrective action to be taken when needed. For this, the EMP will identify monitoring objectives and specify the type of monitoring to be employed.

Specifically, the monitoring section of the EMP will set out: (i) specific monitoring measures, including the parameters to be measured and methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions; and (ii) monitoring and reporting procedures to ensure early detection of conditions that necessitate mitigation and furnish information on the progress and results of the mitigation.

Reclassification of Projects

As mentioned in previous sections, the classification of a project may need to be changed as circumstances dictate. For instance, if there is a major modification to project design or a new activity is added, then a change in category (either upwards or downwards) may be warranted. It is also possible that new information arrives since initial project identification work. For example, a Category A project may be reclassified as Category B if components with significant environmental impacts are eliminated. On the other hand, a Category B project may shift to Category A if

new information reveals that an activity may have significant adverse environmental impacts. All envisaged changes that imply Category A status would require an EIA and those leading to Category B status would only require an environmental analysis as described above.

“Upward” reclassification (e.g. B to A; or C to B) may carry some costs, as additional resources may be needed for environmental assessments. Furthermore, the original project implementation schedule may be delayed, especially if assessment activities have to be undertaken after project implementation has started.

Participatory Consultations

As early as possible in the project formulation process, LTOs will make every effort to engage project stakeholders and beneficiaries including indigenous people and vulnerable groups in analysis and decision-making with respect to potential project environmental and social impacts. For all **Category A** and **B** projects, the LTO – or more formally the lead technical unit (LTU) – will consult project-affected groups and relevant local NGOs, take account of their comments in the environmental analysis and EIA reports, and more generally in project design and implementation. Stakeholders’ participation including indigenous people and vulnerable groups will be ensured in designing, implementing, and monitoring avoidance and mitigation measures and compensation/benefits including establishing appropriate and accessible grievance mechanisms.

For **Category A** projects, the LTU should consult these groups at least twice: (i) shortly after the environmental screening and before the terms of reference for the EIA are finalized; and (ii) once a draft EIA report is prepared. In addition, the

⁴ The appraisal checklist is a comprehensive document of specific quality criteria and standards which guides and structures PAC’s comments.

LTU should consult with such groups throughout project implementation as necessary to address EIA-related issues that affect them.

Requirements for Public Disclosure

During the formulation process, the LTO will arrange for timely provision of information on potential environmental and social impacts as well as of draft EA/EIA (including EMP and IPP) to stakeholders and beneficiaries – with particular attention to indigenous peoples and vulnerable groups – in a language and format to be accessible and understandable. This consultation will be governed by the “free, prior and informed consent principle”⁵. Once the pertinent documentation has been completed

(i.e. the environmental analysis for **Category B** projects, the environmental impact assessment for **Category A** projects), the LTO will ensure that it is made available to the public, both within the country where the project is located (e.g. on a project recipient website) and within FAO (e.g. on the headquarters, regional, or sub regional website). The LTO will ensure stakeholders involvement and public disclosure of relevant documentation during all the phases of the project and EIA Cycle.

Resources

The LTO will factor in, and allocate the necessary resources for EIA related processes as appropriate.

⁵ http://www.un.org/esa/socdev/unpfii/documents/workshop_FPIC_tamang.doc

CHAPTER 3

EIA REPORTS

3.1 CATEGORY A PROJECTS (significant impacts)

Category A projects by definition require a **field visit**, an **environmental impact assessment** and an **environmental management plan**. The reports are normally expected to cover:

- applicable national environmental management policies, regulations, and requirements, including those for environmental impact assessment, with which the project must comply;
- baseline conditions of project site including size of project area;
- description of biophysical and social environment;
- identification of local populations to be impacted directly and/or indirectly by project activities;
- analysis of likely project impacts on the biophysical/social environment;
- residual impacts and measures to mitigate them;
- environmental management plan for preventive actions and mitigation measures required, including any recommended environmental monitoring and any capacity development necessary to ensure sustainability;
- indigenous Peoples Plan.

Suggested outlines for Category A EIA and EMP reports are provided in Annex 6.

3.2 CATEGORY B PROJECTS (less significant impacts)

Category B projects require **environmental analysis** of specific negative impacts, including their expected magnitude, also specifying how these findings are to be addressed in the project design. The scope of analysis may vary from a detailed study of a specific project component to routine checks to ensure the project design conforms to FAO's governing principles. The following aspects will be taken into account:

- government focal point approval;
- national environmental management policies, regulations, and requirements, including those for environmental impact assessment;
- evidence that communities agree upon project ideas;
- specific elements of the project not conforming to environmental, social and sustainable development considerations;
- analysis of environmental and sustainability issues using simple or readily available tools such as sector policy and planning review, stakeholder analysis, agro-ecosystem analysis, and rapid rural appraisal;

- probability of impacts: high, medium, low;
- significance of impacts: high, medium, low;
- likely affected population: category (poor, rural, urban, etc.), social system (indigenous) geographical distribution, etc.;
- natural resources likely to be affected: water, soils, forests, coastal ecosystems, etc.;
- economic effects: change in level of income, employment, etc.;
- preventive actions and mitigation measures: project readjustment, institutional measures, other alternatives; and
- environmental Management Plan (if necessary).

3.3 CATEGORY C PROJECTS (minimal or no adverse impacts)

Specific environmentally related reports are not necessary.



SOURCES AND LINKS

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LINKS

Asian Development Bank: <http://www.bicusa.org/en/issue.33.aspx>

Canadian Environmental Assessment Agency: www.ceaa-acee.gc.ca

Food and Agriculture Organization of the UN: <http://www.fao.org/corp/topics/en>

Inter-American Development Bank: http://www.iadb.org/aboutus/pi/OP_703.cfm

International Finance Corporation: <http://www.ifc.org/ifcext/sustainability.nsf/content/envsocstandards>

International Fund for Agricultural Development: <http://www.ifad.org>

Swedish International Development Agency: http://www.sida.se/sida/jsp/sida.jsp?d=804&language=en_US

World Bank: <http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/ENVIRONMENT/EXTENVASS/0,,contentMDK:20282864~pagePK:148956~piPK:216618~theSitePK:407988,00.html>

United Nations Environment Programme, Nairobi (UNEP): <http://www.unep.org>

United Nations Framework Convention on Climate Change (UNFCCC): <http://unfccc.int>

UN Gateway to Climate Change: <http://www.un.org/wcm/content/site/climatechange/gateway>

Convention on Biological Diversity (CBD): <http://www.cbd.int>

Convention on Long-Range Transboundary Air Pollution: <http://www.unece.org/env/lrtap>

Global Environment Facility (GEF): <http://www.thegef.org/gef>

Linkages by International Institute for Sustainable Development (IISD): <http://www.iisd.ca>

IPCC Data Distribution Centre: <http://www.ipcc-data.org>

IPCC National Greenhouse Gas Inventories Programme: <http://www.ipcc-nggip.iges.or.jp>

The Ozone Secretariat, UNEP: <http://ozone.unep.org>

United Nations Convention to Combat Desertification: <http://www.unccd.int>



ANNEX 1

GOVERNING PRINCIPLES

The EIA process and procedures outlined above are to ensure that FAO's field operations adhere to the following governing principles (based on key sectors and disciplines, as communicated by the pertinent FAO technical units):

- **Protected areas, natural habitats, critical ecosystems.** FAO will neither finance nor execute projects related to infrastructure or other types of physical investment involving land use, water space in or around designated protected areas, critical natural habitats or ecosystems. This includes lands and land uses important to indigenous and other ethnic groups, as well as marine protected areas and areas that are relevant to the reproduction of aquatic species in any category of conservation.

In making determinations with respect to projects in or around the areas mentioned above, FAO will employ a precautionary approach in order to ensure adequate protection of these areas. As mentioned above, FAO does not support projects involving the significant conversion of critical natural habitats including forests, or that will contravene applicable international environmental agreements. Wherever feasible, preference must be given to projects dealing with lands already converted. Where projects can adversely affect non-critical habitats, FAO will support them only if viable alternatives are not available, and if appropriate conservation

and mitigation measures, including those required to maintain ecological services provided by these habitats, are in place. The project will have to include mitigation measures that minimize habitat loss and establish and/or maintain an ecologically similar protected area.

Projects should be screened as early as possible for potential impacts on health and quality of important ecosystems (e.g. forests, wetlands, biodiversity hotspots, etc.), and on the rights and welfare of the people who depend on them. As appropriate, the prospects for new markets and marketing arrangements will be evaluated.

Furthermore it should be ensured that forest restoration projects maintain or enhance biodiversity and ecosystem functionality and that all plantation projects are environmentally appropriate, socially beneficial and economically viable.

Critical natural habitats include those natural habitats that are either legally protected or officially proposed for protection, or unprotected but of known high conservation value, or that are essential for the conservation of rare, vulnerable or endangered species. Such sites may include areas recognized by traditional local communities; areas designated for conservation of biodiversity.

Significant conversion is the severe diminution of the integrity of a critical or natural habitat caused by significant long term change in land or water use.

Degradation is the modification of a critical or other natural habitat that reduces the habitat's ability to maintain viable populations of its native species, resulting from natural processes, land or water uses or other human activities, and habitation patterns such as land contamination, soil erosion and the destruction of the vegetation cover.

- **Land tenure issues.** Most agriculture and natural resource management projects involve some changes in land use or the building of new infrastructure. Land tenure, by defining access and security of rights to land and other natural resources, affects how farmers decide to use the land, who has the right and the incentives to invest in land improvements and, sometimes, who will benefit from improvements in land productivity, or who may lose from changes in land use and land access. Projects will have to address the land tenure and land administration dimensions of the changes that they may provoke, including issues of security of land tenure and land access, compensation, land administration or land governance. This should be done in accordance with principles of responsible land governance (N.B. in preparation by FAO and partner organizations) and recognized good practices in land tenure and land administration.
- **Management of biological diversity for food and agriculture.** The conservation and sustainable use of biodiversity for food and agriculture is a core aspect of FAO's work. In undertaking the EIA, special attention needs to be paid to agricultural, fisheries and forestry practices that could have an impact on

biodiversity for food and agriculture as well as the ecosystem functions this biodiversity provides – both on- and off-site.

- **Plant genetic resources.** It should be recalled that several international instruments of relevance to plant biodiversity and genetic resources operate under the aegis of FAO and projects should be consistent with this broader normative role. For instance, the International Plant Protection Convention (IPPC) is the international framework that provides tools to protect plant resources from pests and diseases (including weeds). Other international instruments related to plant genetic resources for food and agriculture are the International Treaty on Plant Genetic Resources for Food and Agriculture and the Global Plan of Action on Sustainable Utilization of Plant Genetic Resources for Food and Agriculture.
- **Genetic resources in livestock production systems.** The Global Plan of Action for Animal Genetic Resources, endorsed by the FAO Conference through Resolution 12/2007, was welcomed by the Convention on Biological Diversity (CBD) as the internationally agreed framework for the sustainable use, development and conservation of animal genetic resources for food and agriculture, and provisions for implementation and financing.

The flow of livestock genetic material between countries for agricultural purposes is mainly regulated by animal health standards and takes little if any account of possible impacts on genetic diversity. To reduce unintended harm to local breeds, genetic impact assessments prior to granting permission for the import of new exotic livestock breeds should be conducted. FAO is working on descriptors for the production environment including the description of breeds and the

management requirements for them to perform at their genetic potential. This will facilitate meaningful comparisons and evaluation of breed performance, and will inform interventions related to the management of animal genetic resources. Transparent descriptions of breed phenotypes and their performance in production environments will reduce the spread of imported breeds into unsuitable environments, thereby lowering economic losses to producers and reducing harm to local breed diversity.

- **Management of agricultural chemicals, pesticides.** All pesticide-related work of FAO must be in compliance with the International Code of Conduct on the Distribution and Use of Pesticides, and include reference to relevant FPCs in cases of pesticide provision in FAO projects. In addition reference should be made to the requirements and adherence to:

- the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides;
- the Stockholm Convention on Persistent Organic Pollutants;
- the ILO Convention 184 on Safety and Health in Agriculture;
- the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal;
- the International Maritime Dangerous Goods Code for cases of pesticide disposal;
- other regional or national conventions and regulations which may apply such as the Bamako Convention.

<http://www.fao.org/waicent/faoinfo/agricult/agp/AGPP/Pesticid/Disposal/en/103194/index.html>

- **Management and use of fisheries and aquaculture resources.** The use and management of fisheries and aquaculture resources will adhere to the FAO Code of Conduct for Responsible Fisheries (CCRF)⁶. The CCRF has recognized both the potential for significant growth in aquaculture as well as the potential of aquaculture practices to cause environmental and social impacts. In its General Principle No. 6.19, the CCRF calls for: *6.19 States should consider aquaculture, including culture-based fisheries, as a means to promote diversification of income and diet. In so doing, States should ensure that resources are used responsibly and adverse impacts on the environment and on local communities are minimized.* More specifically, the CCRF, in its Articles 9.1.2 and 9.1.5, calls for environmental impacts assessment and monitoring in relation to aquaculture (FAO 2009).
- **Management of forests and trees.** The application of recognized, credible forest certification schemes or the use of the Voluntary Guidelines on Planted Forests (and an equivalent document for indigenous forests) should be considered as functionally equivalent to an EIA. If such policy frameworks are considered and implemented within a project, the scope and intent of an EIA are very likely to have been satisfied. Consequently, projects could refer to the observance of principles 9, 10 and 11 of the Voluntary Guidelines on Planted Forests (which would suffice also for indigenous forests) or the observance of the principles of a recognized certification scheme:
 - Principle 9: Maintenance and Conservation of Environmental Services. Planted forest development will result in changes to the

⁶ FAO. 1995. Code of Conduct for Responsible Fisheries. Rome, FAO. 41 p. (available at <ftp://ftp.fao.org/docrep/fao/005/v9878e/v9878e00.pdf>).

provision of ecosystem services such as air, water, soils and landscapes, thus planning, management, utilization and monitoring mechanisms must be adopted to encourage positive impacts.

- Principle 10: Conservation of Biological Diversity. Planners and managers must incorporate maintenance and conservation of biological diversity as fundamental in their planning, management, utilization and monitoring of planted forest development.
- Principle 11: Maintenance of Forest Health and Productivity. In order to reduce the environmental risk, incidence and impact of abiotic and biotic damaging agents and to maintain and improve planted forest health and productivity, policy makers, planners, managers, scientists and academics must work together to derive appropriate and consistent policies, laws, plans, management practices, monitoring systems, response options, education, training and research.
- Principle 12: A Landscape Approach. As planted forests interact and impact upon the local land-uses and environment, landscape approaches must be adopted to ensure that upstream and downstream impacts are planned, managed and monitored within acceptable environmental standards.

FAO will not finance large-scale clearing of land, unless it relates to an emergency operation approved by donor agencies and recipient governments.

- **Management of natural resources.** Sustainable management of natural resources requires attention to a number of pertinent

international conventions and agreements, and should include:

- protecting biodiversity;
- combating desertification and land degradation;
- addressing the emerging environmental challenges, notably climate change,
- protecting wetlands;
- conserving forests and other resources;
- attending to the social issues and the rights of indigenous peoples (FAO adheres to the provisions set in the 2007 UN Declaration on the Rights of Indigenous Peoples and the ILO Convention 169 on Indigenous and Tribal Peoples).

In addition, there are international and national policies to promote the conservation and sustainable management of natural resources, with specific references to environmentally sustainable practices for biological diversity and protected area management, fisheries, range resources, forest resources, wetlands, and water resources. National policies often recognize the importance of local people and their place in the good governance of natural resources. The link between hunger and food insecure areas and natural resources degradation has been underscored in many initiatives, notably the Millennium Development Hunger Task Force. Even further, the link has been documented between indigenous peoples' territories and the world's most concentrated centres of biodiversity. As well, the link between indigenous peoples and high poverty levels has been described⁷. The EIA has broad potential to change most destructive practices affecting lands, water, forests, and biodiversity, and improving wellbeing and livelihood of the poor.

⁷ The "Biological 17" – the 17 nations that are home to more than two-thirds of the world's biological resources – represents also the traditional territories of most of its indigenous peoples (UNHCHR, www.unhcr.ch/html/racism/indileaflet10.doc).

- **Management of land degradation.** With respect to land degradation, FAO has developed guidelines for environmental assessment of land degradation, its status, causes and impact under the Land Degradation Assessment in Drylands (LADA) project at global, (sub) national and local scale. These manuals and results for LADA countries (Argentina, China, Cuba, Senegal, South Africa and Tunisia) are available from the LADA Web site: <http://www.fao.org/nr/lada>. Guidelines for the assessment of sustainable management techniques and approaches have been developed by WOCAT in close cooperation with FAO and are available at: <http://www.wocat.net>.
- **Management of climate change impacts.** Climate change is having a profound impact on croplands, pastures and forests and marine resources. Hence, there is an urgent need and responsibility to link climate change, development and environmental policies. FAO's work covers a broad spectrum of activities that range from local to global and from immediate actions to long-term strategies to mitigate greenhouse gases in the agriculture and forestry sector. In addition, it is necessary to test project strategies in terms of their climate resilience. The EIA procedures have potential for carrying out such testing. In an EIA, climate change impacts on field projects may be addressed through **mitigation** of greenhouse gas production from the project, and through **adaptation** of the project/activity to present and future conditions. Furthermore an assessment on the practices promoted by the project that could increase the vulnerability to climate change instead of building resilience (incorrect adaptation to climate change) should be also taken into account. The EIA can also help investigate whether adaptation to climate change is or should be a significant factor in the design of the field project in question.
- **Involuntary resettlement.** FAO will not finance or execute projects that involve physical relocation, acquisition of land, or any loss of land or other assets resulting in: (i) relocation or loss of shelter; (ii) loss of assets or access to assets; (iii) loss of income sources or means of livelihood, whether or not the affected people must move to another location; or iv) loss of well-being due to dislocation from cultural or traditional areas and practices (relevant particularly for indigenous populations). Involuntary resettlement is included in Category A projects as a potentially adverse social impact that would require further assessment/prevention/mitigation through the EIA process.
- **Cultural property.** FAO will avoid projects that may have adverse impacts on or limit access to physical cultural resources, defined as movable or immovable objects, sites, structures, groups of structures, natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance. Physical cultural resources may be located in urban or rural settings, and may be above ground, underground, or underwater. In order to ensure that FAO projects/programmes will preserve physical cultural resources (when existing in the project area) and to avoid their destruction or damage, simple procedures should be followed by the project formulator. They apply only to projects involving civil works in new

areas such as the construction of dams and rural roads in located in areas which have not yet been used before and they include a pre-approved management and conservation approach for materials that may be discovered during project implementation. The Lead Technical Officer should:

- I. Verify (on the web) the provisions of the normative framework, which is usually under the oversight of a national institution responsible for protection of historical and archaeological sites; this includes obtaining existing information (usually through the aforementioned national institution's website or through a local university department specialist) about the project area, to find out whether there is a high probability of it existence of archaeological, paleontological, or other culturally significant sites in the areas proposed for construction.
- II. In cases where there is a high chance of PCR, the bidding documents and contract for the civil works have to refer to the need to include recover "chance findings" in line with the national procedures and rules. The contractor usually should hire an expert (e.g. archaeologist or palaeontologist) and recover "chance findings" in line with the national procedures and rules.

Non-physical cultural resources such as traditional knowledge, cultural expressions, traditional management systems, etc. should also be considered, especially when the project affects indigenous peoples, whose notion of development and well-being is intrinsically tied to respect for and continuation of their particular living environment.

- **Gender equity.** FAO has placed gender equity in access to resources, goods, services and decision-making among its key strategic objectives. By creating social relations in which neither of the sexes suffers discrimination, gender equity aims at improving gender relations and gender roles, and achieving gender equality. The project should use gender analysis (the study of the different roles of women and men in order to understand what they do, what resources they have, and what their needs and priorities are) to understand how different members participate in and are affected by the project in order to avoid costly errors of the past and to ensure that the project is effective, efficient and equitable.
- **Indigenous People.** FAO will avoid – or, when avoidance is not feasible, minimize, mitigate, or compensate for such effect – projects that may have adverse impacts on national, local, tribal or indigenous peoples. FAO acknowledges indigenous peoples rights over land and other natural resources:
 - "Rights over land and other natural resources (water, forests, rangeland etc.) are of particular importance to indigenous peoples as they feel a spiritual attachment to their ancestral origins and commonly depend on natural resources for survival." (FAO policy on indigenous and tribal peoples).
 - "Rights over land, territory and related natural resources are of fundamental importance to many indigenous peoples since these resources constitute the basis of their economic livelihoods and the source of their spiritual, cultural and social identities." (FAO policy on indigenous and tribal peoples).

ANNEX 2

SAMPLE FORMS

Instructions: The following checklists should be completed as appropriate.

If the analyst is unable to determine the potential impacts, efforts should be made to acquire additional information and to visit the project location. If the project is determined to have an effect (checked “yes”) the proposal will

be subject to further environmental analysis.

Copies of environmental review reports are to be attached together with decision documents and a description of the public consultation.

For **Category C** projects, only the Environmental and Social Review Form (ESRF) needs to be completed.

ENVIRONMENTAL AND SOCIAL REVIEW FORM

PROJECT NAME:

Project description: (approximately 500 words or less)

CERTIFICATION

Project Category C	Yes	No
I affirm that I have performed an environmental review of this project and certify that the project conforms to the pre-approved list of projects excluded from environmental assessment and that the project will have minimal or no adverse environmental or social impacts. No further analysis is required.		

Title, name and signature of project leader:

Date:

For **Category A** and **B** projects, screening and scoping is needed.

ENVIRONMENTAL SCREENING FOR CATEGORY A & B PROJECTS

Would the project, if implemented:	Yes	No	Unable to determine
1. Have significant adverse impacts on public health or safety?			
2. Have significant or controversial environmental effects on biophysical resources such as land, water, soil, biodiversity?			
3. Have adverse impacts on unique characteristics, such as wilderness, natural rivers, aquifers, prime farmlands, wetlands, floodplains, or ecologically significant areas?			
4. Have adverse impacts on traditional practices or agricultural systems in the area?			
5. Have highly uncertain and potentially significant environmental and social impacts with unique or unknown risks?			
6. Establish a precedent for future action or represent a decision in principle about future actions with potentially significant environmental and social impacts?			
7. Set in motion or contribute to a progressive accumulation of significant environmental and social impacts?			
8. Have adverse impacts (direct or indirect) on natural habitats such as wetlands, mangroves, tropical forests?			
9. Have adverse impacts on important national or international species (listed or proposed) or on critical species habitats?			
10. Have adverse impacts on local or indigenous populations residing in the area of interest?			

Would the project, if implemented:	Yes	No	Unable to determine
11. Contribute to introduction, continued existence, or spread of non-native invasive species or promote the introduction, growth or expansion of the range of non-native invasive species?			
12. Threaten national, local, tribal or indigenous peoples' requirements for use of natural resources or protection of the environment?			
13. Trigger or exacerbate unresolved land tenure conflicts concerning rights or alternative uses of natural resources?			
14. Have a disproportionate, significant adverse effect on low-income or disadvantaged populations?			
15. Restrict access to traditional or ceremonial sites or adversely affect the physical integrity of such religious sacred sites?			
16. Have adverse impacts on natural resources or properties of historic or cultural significance?			
17. Lead to significant impacts indicated by a national, district or local community group?			
18. Have the potential to be controversial because of stakeholder disagreement?			
19. Encourage migration or other population shifts?			
20. Increase the workload of local communities or subgroups within the communities?			
21. Work in opposition with ongoing socio-economic development goals or efforts?			
22. Require Capacity Development of affected or involved individuals and organizations? Require Capacity Development to review and update of policies, laws, regulations, or to develop partnerships?			

Please answer the following questions:

1. Are the personnel preparing this form familiar with the site?
2. Are the personnel familiar with the populations living in or near the site?
3. List the name of those who have conducted or will conduct site visits and the dates (*N.B. If a Category B rating is made and no site visit is expected, then please explain*):

Yes

No

Yes

No

CERTIFICATION

Project Category A or B	Yes	No
I affirm the completion of an analysis of the potential environmental and social impacts for this project and certify it to be in Category B . The analysis included information to assess the potential negative and positive impacts and is addressed in the project design through appropriate prevention or mitigation measures. (Attach documentation).		
I affirm the completion of an analysis of the potential environmental impacts and have determined this project should be classified as Category A . (Attach documentation).		

Title, name and signature of project leader:

Date:

SCOPING FOR CATEGORY A PROJECTS

1. Please describe how you evaluated possible environmental and social impacts. Meeting logs may be attached or fill out the following table:

Environmental impact evaluation process	Key events	Participants	Location

2. Briefly describe consultation and coordination undertaken with government agencies, other stakeholders, and project beneficiaries, with special attention to indigenous peoples, women and targeted groups. Describe how it has been reflected in this project.

Agency, NGO, civil society, private sector consultations	Date	Participants	Location

CERTIFICATION

Project Category A	Yes	No
I affirm the completion of a site visit and am familiar with the specifics of the project. The project team has consulted with affected agencies, other stakeholders, and project beneficiaries. The basic policy requirements for field projects have been addressed. (Attach documentation).		
I affirm the completion of an environmental assessment, including an environmental management plan, as required. (Attach documentation).		

Title, name and signature of project leader:

Date:

ANNEX 3

BASIC POLICY REQUIREMENTS FOR FIELD PROJECTS



3.1 AGRICULTURE

The project is likely to:

- Be formulated with a good understanding of the local biophysical and socio-economical and socio-cultural environment.
- Use sustainable agricultural practices/approaches/technologies.
- Promote the sustainable management and use of biological processes (as agricultural inputs).
- Follow the ecosystem approach for sustainable agriculture production and management.
- Contribute to protection or conservation of significant areas of land.
- Conserve genetic resources/diversity, especially agricultural genetic resources/diversity.
- Promote a balanced production system between crops and livestock.
- Reduce top-soil losses from erosion and the reduction in soil fertility/soil life.
- Induce conservation and efficient use of water.
- Reduce misuse of agrochemicals, contributing to a reduction of toxic substances in soil and water.
- Introduce techniques for plant nutrition (e.g. IPNS) and plant protection (e.g. IPM).
- Induce low energy consumption technologies or promote bioenergy sources.
- Involve use of purchased inputs for greater productivity.
- Benefit or involve targeted groups (landless farmers, women's groups, indigenous peoples), taking into consideration farmers' rights, as appropriate.
- Consider the free, prior and informed consent of local stakeholders.
- Increase agro-processing capacity.
- Protect critical ecosystems or reduce pressure on protected areas.
- Secure conservation, sound husbandry of land resources.
- Maintain current land management practices.
- Promote awareness on the need for mitigation of greenhouse gases and adaptation to climate change.
- Recognize climate change trends together with opportunities for mitigation and adaptation.
- Be formulated within the framework of national or local sustainable development plans.
- Be compatible with principles and obligations of international agricultural conventions (e.g. IT-PGRFA, IPPC).
- Avoid changes in water quality and supply downstream of the project area.

Links: <http://www.fao.org/ag/ca>

3.2 BIODIVERSITY

The project is likely to:

- Be formulated with a good understanding of biologically diverse production systems.
- Integrate the conservation and sustainable use of biodiversity into projects activities.
- Take into account multiple values (social, economic, agricultural, medicinal, etc.) of biodiversity and its components.
- Identify measures, such as agricultural practices, training, and institutional capacity development to conserve and sustainably use biological diversity.
- Take into account farmers' traditional rights related to diversification, breeding and conservation of genetic resources and local land races.
- Be compatible with principles and obligations of Convention on Biological Diversity and other international environmental agreements (e.g. CITES, Ramsar IT-PGRFA, IPPC).
- Maintain the habitats unchanged and avoid the extraction of biotic and abiotic resources.
- Be far from a critical habitat.
- Avoid the release of chemical substances or the introduction of biologically modified organisms.
- Avoid the use of alien species/varieties/breeds for livestock, crop, aquaculture or fishery restocking.
- Avoid the erosion of local genetic resources, varieties, and species; the degradation of natural and agrosystems, and/or the diminishment of ecosystem functions.

Links: <http://www.fao.org/nr/biodiv/biodiv-home/en>

3.3 FISHERIES AND AQUACULTURE

The project is likely to:

- Follow the ecosystem approach to fisheries and aquaculture, thus adhering to the CCRF.
- Preserve aquatic ecosystems and protect the quantity and quality of fisheries resources, including genetic resources.
- Preserve traditional patterns of resource use or strengthen subsistence and cash economies.
- Avoid dumping of fish processing wastes in water bodies.
- Avoid the depletion of other fishery stocks or wild populations.
- Avoid negative impacts on aquatic habitats such as coral reefs, sea-grass beds, mangrove, and wetlands.
- Reduce incidental captures (particularly non-target or protected species).
- Protect artisanal fisheries from conflicts with commercial fishing vessels and their gears.
- Protect small-scale farmers and local communities.
- Encourage sustainable exploitation of spawning and nursery areas in inshore areas.
- Be planned in coordination with river basin development or integrated coastal management initiatives.
- Ensure evaluation and responsible use of non-native and non-adapted fish and aquatic species according to FAO guidelines.
- Create favourable habitats for water-related diseases vectors.
- Ensure safe use of compounds such as pesticides and antibiotics.
- Monitor ecological changes in coastal and inland waters.

Links: <http://www.fao.org/fishery/topic/2013/en>

3.4 FORESTRY

The project is likely to:

- Avoid overexploitation or other undesirable environment or social impacts.
- Protect unstable slopes or fragile riparian or coastal vegetation.
- Avoid the increase of soil erosion, loss of organic matter, nutrient leaching or change in soil ecology.
- Favorably impact groundwater recharge, runoff water and water quality, including sediment loads that affect aquatic life.
- Avoid conversion of significant areas of the forest to unsuitable land uses.
- Avoid the inhibition of forest regeneration or the promotion of undesirable vegetation types.
- Protect natural habitats of protected species, including impacts on wildlife.
- Protect endemic species or other biodiversity.
- Avoid the establishment of new roads that improve forest access.
- Avoid the establishment of new roads that obstruct the integrity of forest life.
- Protect the culture and traditional livelihoods of indigenous people/forest dwellers.
- Preserve the sources of income for local population (fuel woods, wildlife, habitats...).
- Preserve the recreational or tourist value of the forest and related resources.
- Avoid conflicts in local land tenure systems.
- Avoid the introduction of new species or new technologies for which local knowledge is limited.
- Decrease reliance on non-renewable sources of energy.
- Be compatible with national and international laws, commitments, treaties and agreements.

Links: <http://www.fao.org/forestry/guidelines/en>

3.5 LIVESTOCK AND ANIMAL HUSBANDRY

The project is likely to:

- Maintain forested areas and protect wild-life (particularly for tsetse fly eradication).
- Avoid competing land uses or affect prevailing land rights.
- Preserve local environment, in particular, as regards disease prevention and habitat impacts.
- Avoid stocking rates exceeding the livestock carrying capacity of land and rangeland degradation.
- Avoid the dissociation of animal husbandry from mixed farming.
- Preserve the loss of traditional practices that conform with sustainable management practices.
- Avoid the introduction of new livestock types that do not fit with local farming systems.
- Avoid losses of animal genetic resources.
- Take into account rotational grazing systems or combined animal husbandry.
- Preserve hilly areas or limit soil erosion and compaction problems, such as near waterways.
- Avoid untested strains of forage plants.
- Avoid unsustainable manure management practices that can result in soil and water contamination.

- Avoid risk of disease transmission to other animal species, wildlife and to humans.
- Avoid greenhouse gas emissions from the animal food chain.
- Avoid risk of disease transmission through poor quarantine and trans-boundary movements.
- Be compatible with principles and obligations of international agricultural conventions (e.g. CBD, UN-CCD, Global Plan of Action for Animal Genetic Resources)?

Links: <http://www.fao.org/ag/againfo/resources/en/publications.html>
<http://www.fao.org/ag/againfo/programmes/en/A5.html>
<http://www.fao.org/ag/againfo/themes/en/Environment.html>

3.6 FERTILIZERS

The project is likely to:

- Encourage integrated plant nutrition systems by combining mineral fertilizers with organic inputs such as farm yard or green manure.
- Increase the efficiency of fertilizer use while limiting environmental pollution.
- Limit fertilizer applications to maximum effective rates taking into account the predominant cropping system, soil conditions, and other intensification factors.
- Protect areas or critical aquifers or water bodies (aquifers, sources of freshwater for urban centers).
- Promote use of biological nitrogen fixation or other processes that might reduce fertilizer requirements.
- Be planned with prior consultation with farmers, indigenous peoples or other local populations.
- Create planned environmental benefits as a result of its cumulative effects with other projects.
- Encourage crop rotations that recycle nutrients in crop by-products (e.g. straw, haulms), particularly from legumes.
- Avoid a shift in cropping pattern as a result of fertilizer introduction.
- Avoid the accumulation of excess nutrients in soils, causing the leaching of nutrients into groundwater, and excessive nutrient loading of water surface bodies and wetlands.
- Avoid significant changes in land use and water extraction patterns.

Links: <http://www.fao.org/ag/agl/agll/ipnis/index.asp>
<http://www.fao.org/agriculture/crops/core-themes/theme/spi/plantnutrition/en>

3.7 PESTICIDES

The project is likely to:

- Be within provisions of the Rotterdam Convention and national or trans-boundary pest control strategies.
- Apply integrated pest management (IPM) techniques and best practices, including use of biological methods, timing of crop sowing, use of pest-resistant varieties etc.
- Apply best practice guidelines and standards for safe use and disposal of used pesticides containers and outdated stocks⁸.

⁸ Specific guidelines under the code of conduct, regarding equipment, use and good practices are reported below.

- Protect surface and ground water quality, livestock, human health, fish stock, aquatic habitat and wildlife, in particular where run-off is likely to occur.
- Promote natural enemies of pests and avoid an increase in pest incidence or creation of new pests.
- Take into account beneficial soil micro-organisms and enhance micro-zoo genetic populations.
- Ensure conditions by which the application of pesticides is well targeted.
- Limit the intense application of systemic chemical pesticides.
- Limit handling of chemicals by inexperienced farmers.
- Require involvement or strengthening of extension services consultation of affected farmers.
- Be designed with prior consultation and participation of affected populations.
- Decrease reliance on non-renewable sources of energy.
- Create planned environmental benefits as a result of its cumulative effects with other projects.
- Require disposal of obsolete pesticides.

Links: <http://www.fao.org/agriculture/crops/core-themes/theme/pests/pm/en>
<http://www.fao.org/waicent/faoinfo/agricult/agp/agpp/pesticid/disposal/en/103194/index.html>
<http://www.fao.org/docrep/006/ad487e/ad487e00.htm>
<http://www.fao.org/docrep/006/Y2765E/Y2765E00.HTM>
<http://www.fao.org/docrep/006/Y2753E/Y2753E00.HTM>
<http://www.fao.org/docrep/006/Y2757E/Y2757E00.HTM>
<http://www.fao.org/docrep/007/y5774e/y5774e00.htm>
<http://www.fao.org/docrep/006/Y2752E/Y2752E00.HTM>
<http://www.fao.org/docrep/006/Y2751E/Y2751E00.HTM>
<http://www.fao.org/docrep/006/Y2683E/Y2683E00.HTM>
<http://www.fao.org/docrep/006/Y2685E/Y2685E00.HTM>
<http://www.fao.org/docrep/006/Y2686E/Y2686E00.HTM>
<http://www.fao.org/docrep/006/Y2767E/Y2767E00.HTM>
<http://www.fao.org/docrep/006/Y2766E/Y2766E00.HTM>

3.8 WATER DEVELOPMENT

The project is likely to:

- Reflect provisions of internationally recognized best practices and national or transboundary water management plans.
- Preserve habitat for wildlife or fisheries.
- Ensure timely extraction of trees in impoundments, avoid proliferation of water weeds, and protect riparian vegetation.
- Avoid flooding of land suitable for agriculture or create adverse effects in human settlements.
- Protect watersheds and water quality within or adjacent to the project area.
- Avoid changes in water quality and supply downstream of the project area.
- Maintain the location existing populations, community facilities, and housing.

- Maintain supply of, or demand for, energy and mechanical parts.
- Propose self reliant operation and maintenance systems.
- Avoid land tenure disputes, water right conflicts or changes in water pricing.
- Protect archaeological sites, structures of historic significance and landscape value.
- Limit erosion in watershed area and in intakes, waterways and reservoirs.
- Reduce downstream flow, impairing aquatic life or endangering wetland supply of water.
- Avoid water-borne disease hazards or health hazards to local or downstream populations.
- Be designed with prior consultation and participation of affected populations.
- Avoid a shift in cropping patterns, or a shift from low-input to high-input farming practices.
- Provide flood warning and protection and avoidance of flood hazards.
- Involve or strengthen extension services consultation of affected farmers.
- Avoid or maintain soil salinity or land subsidence.
- Preserve surface water hydrology, surface water quality, or water resources adjacent to project area.
- Protect commercial fisheries or aquaculture.

Links: http://www.fao.org/nr/water/topics_quality.html

3.9 SOCIO-ECONOMIC DIMENSIONS

The project is likely to:

- Contribute to alleviating poverty for a significant portion of the rural poor population.
- Create stable employment or generate new income in agriculture, forestry or fisheries.
- Create opportunities for payments for environmental services such as carbon storage.
- Facilitate participation, including women, in decision-making that directly or indirectly affects them.
- Enhance food security in terms of self-reliance and self-sufficiency.
- Ensure rural equity, gender equity, and inter-generational equity.
- Be designed and implemented with prior consultation, consent and participation of affected populations.
- Introduce new and/or adapted technologies that are environmentally, economically and socially sound.
- Introduce preventive measures that reduce degradation of natural resources, protect natural ecosystems and biodiversity, and reduce human risk.
- Not establish new institutional mechanisms (policy, legislation, regulations, and institutions).
- Increase local and national understanding and knowledge of sustainable development processes.
- Develop new models of sustainable management.
- Improve local management and technical capabilities.
- Catalyze formation of self-reliant local groups.
- Build upon experience of settlers in particular ecosystems, farming activities or technologies.
- Provide for training, extension and economic incentives to aid settlers in new environments and economic settings.
- Consider land rights schemes and existing systems of land use rights.

- Include participation of people affected by decision-making process.
- Diversify and expand productive activities, supply of inputs, markets and self-sufficiency.
- Reflect understanding of benefits of natural systems and potential conflicts with local population.
- Benefit or involve indigenous peoples (ILO convention No. 169) and FAO policy on indigenous people <http://www.fao.org/economic/esw/esw-home/esw-indigenous-peoples/en>.

3.10 GENDER CONSIDERATIONS

The project is likely to:

- Create opportunities for the empowerment of women.
- Promote women's participation in decision-making and ensure that women benefit from the project along with men.
- Safeguard the rights and needs of vulnerable or marginalized populations, including women, youth, the elderly or disabled.
- Contribute to the equal distribution of resources (land, labour, fertilizer, credit, technology, extension, markets) between men and women.
- Draw on the distinct knowledge and skills of men and women.
- Take into account the different vulnerabilities of men and women, due to differences in access to resources and different constraints.
- Target both men's and women's roles and tasks (such as in what animals they rear or which crops they grow) so that both men and women are included.
- Identify any gender biases in institutions regarding who should receive technology, information and extension services and ensure that both men and women are supported.
- Account for the differential impacts of migration on men and women.

Links: <http://www.fao.org/sd/Seaga/downloads/En/projecten.pdf>
<ftp://ftp.fao.org/docrep/fao/012/i1240e/i1240e00.pdf>
http://www.fao.org/sd/2001/PE0602a_en.htm
<http://worldbank.org/genderinag>
<ftp://ftp.fao.org/docrep/fao/012/i1243e/i1243e00.pdf>

ANNEX 4

ENVIRONMENTAL REVIEW IN FAO PROJECT CYCLE

PROJECT CYCLE PHASES

IDENTIFICATION PHASE

- Identification of the idea
- Preparation, assessment and endorsement Concept Note
- Formalization of relations with donors project level

FORMULATION PHASE

Analysis

- Problem analysis
- Results analysis
- Stakeholders analysis
- Strategy analysis

Planning

- SPD
(Results Matrix, Risks Matrix, Workplan and Budget, Results-Based Monitoring, etc.)

EIA STEPS

Environmental Review (A,B,C)

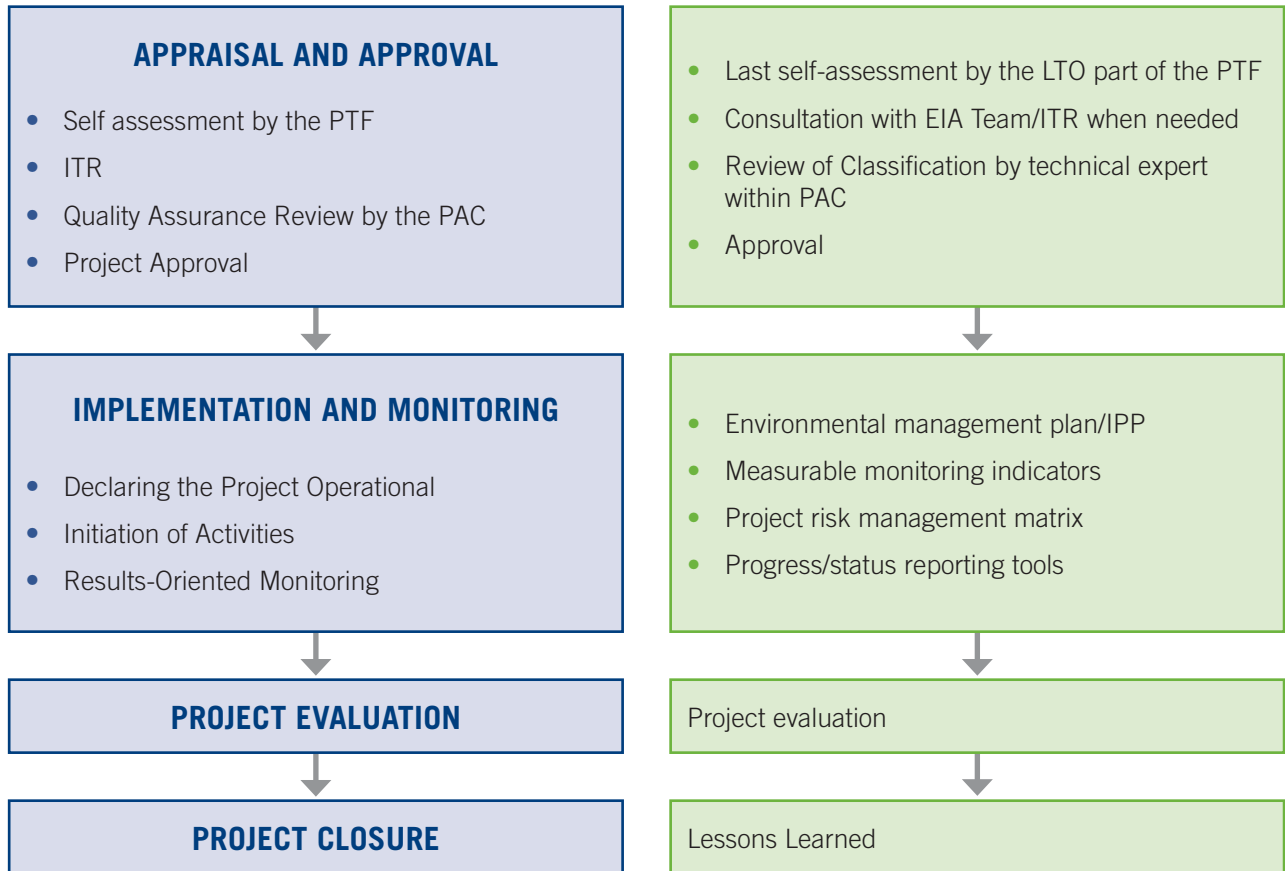
- Sectoral checklists, Technical background documents,
- Environmental and Social Review Form
- Donors' and stakeholders' comments included in the ESRF
- Endorsement of environmental review

Environmental Screening and Scoping (A,B)

- Environmental Screening Form
- Donors consultation

- Environmental Impact Assessment methods (A)
- Environmental Analysis methods (B)
- Identification of mitigation measures
- EIA reports
- Public Disclosure "free prior and informed consent"
- Stakeholders consultation

- Environmental management plan
- Indigenous Peoples Plan
- Establishment of environmental baselines
- Mitigation measures and CD requirements
- Measurable monitoring indicators
- Project risk management matrix includes EIA risks
- Prepare standard and guiding documents for SPD
- EIA – attachment to SPD





ANNEX 5

OUTLINE FOR CATEGORY A REPORT

PROJECT TITLE:

LOCATION (country, district):

PROJECT TEAM (leader, members):

PROJECT LOCATION:

PROJECT DESCRIPTION:

PURPOSE:

COST/BUDGET:

AGENCIES INVOLVED (domestic and international):

APPLICABLE NATIONAL ENVIRONMENTAL MANAGEMENT/ASSESSMENT POLICIES, REGULATIONS, REQUIREMENTS:

WORK PLAN:

WORK SCHEDULE:

SITE DESCRIPTION (incl. biophysical and social baseline conditions):

SITE RECONNAISSANCE (maps, photos, plans):

DATA, INFORMATION SOURCES (published and grey literature):

DATA, INFORMATION CONSTRAINTS:

CONSULTATIONS (individuals, groups, agencies):

PROJECT EFFECTS OR IMPACTS (primary, secondary, tertiary):

PROJECT ALTERNATIVES CONSIDERED:

IMPACT PREVENTIVE ACTIONS:

IMPACT MITIGATION MEASURES:

ENVIRONMENTAL MANAGEMENT PLAN:

MONITORING AND EVALUATION REQUIREMENTS:

CAPACITY DEVELOPMENT NEEDS:

PREPARED BY: (Lead technical officer, name and title)

Submission date:

Reviewed by: (Other technical officer if relevant, name and title)

Completion date:

Endorsed by: (Director, lead technical unit, name and title)

Environmental management plan

The environmental management plan (EMP) includes the mitigation, monitoring, and institutional measures to be taken during project implementation in order to prevent, minimize, or eliminate adverse environmental and social impacts. The EMP is part of, and costed in project design, and will include the following:

- **Mitigation:** Feasible and cost-effective measures to address significant adverse environmental impacts. Specifically, the EMP identifies and summarizes all anticipated significant adverse environmental impacts and describes each mitigation measure and the conditions under which it is required.
- **Monitoring:** Monitoring of the environmental impacts during project implementation and of the effectiveness of mitigation measures.
- **Capacity Development:** The assessment of CD requirements should be a country-led process with participation of stakeholders involved in, or affected by the potential environmental impact. The sustainability of the mitigation

and adaptation measures should be fully considered in the assessment. The following dimensions should be assessed:

- enabling environment including for the formulation and implementation of policies, processes, laws, regulations, incentives and partnerships;
- capacities of organizations such as government agencies, NGOs, civil society, communities, and private sector;
- capacities of individuals in communities, of research organizations and policy-makers.
- **Implementation Schedule and Cost Estimates:** i.e. for mitigation, monitoring, and capacity development measures that must be carried out as part of the project, including capital and recurrent cost estimates and sources of funds for implementation.
- **Integration of EMP with Project:** For the EMP to be executed effectively, it must be integrated into the project's overall planning, design, budget, and implementation.

ANNEX 6

INITIAL CAPACITY ASSESSMENT AS PART OF ENVIRONMENTAL SCOPING

(if required)

Individuals

1. Are technical capacities adequate for individuals (in communities, civil society, government and private sector)? If not, what are the key gaps in capacities?
2. Are functional capacities adequate in policy formulation and implementation, in the formation of partnerships, in the management of information and knowledge and in programme implementation? If not, what are the key gaps in capacities?

Organizations

3. Are changes needed to ensure adequate organizational motivation in the mitigation of environmental impact? If so, what are the changes?
4. Are there sufficient capacities to ensure that organizations have adequate strategic and management functions? If not, what are needed?
5. Are the institutional or inter-institutional mechanisms in place to foster information sharing? If not, what is most needed?
6. Is knowledge sufficient in financial management, human resources management, planning and M&E? If not, what is most needed?
7. Are there adequate capacities in relevant organizations to incorporate gender issues? If not, what is needed?
8. Does the relevant Ministry /department have a programme for staff training to improve skills? If not, what is needed?

Enabling Policy

9. Are there sufficient capacities to formulate, review and revise policies and strategies? If not, what is needed?
10. Is there adequate policy commitment? If not, how can this be addressed?
11. Is there an adequate economic framework and sufficient national budget allocations? If not, how can this be addressed?
12. Is there adequate governance and power structures relative to the potential environmental impact? If not, how can this be addressed?
13. Does national legislation enable adequate access of information and knowledge? If not, how can this be addressed?
14. Are there sufficient policy analysis tools and capacity development to formulate the necessary environmental policies and programmes? If not, how can this be addressed?

AMENDMENTS TO THE GUIDELINES



The present *Environmental Impact Assessment Guidelines for FAO Field Projects* have been elaborated by an Inter-Departmental Working Group (IDWG) under the chair of the Technical Cooperation Department, specifically, the Field Programme Coordination and Results-Based Monitoring unit (TCDM). Any substantial changes to this version, in particular as may ensure alignment to future corporate decisions on policies/procedures, should be elaborated by TCDM in consultation with the EIA Task Force.



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