

15  
16  
14  
KH-12-01-001-EN-N

## Environment themes



European Commission

General

Water

Land

Air

Industry

Waste

Nature

Urban

Funding

Law

Economics

**Assessment**

Nuclear issues

Risks

Education

# Guidance on EIA

## Screening

June 2001



OFFICE FOR OFFICIAL PUBLICATIONS  
OF THE EUROPEAN COMMUNITIES

L-2985 Luxembourg

ISBN 92-894-1334-4



9 789289 413343

See our publications catalogue at:  
<http://europa.eu.int/comm/environment/pubs/home.htm>

A great deal of additional information on the European Union is available on the Internet.  
It can be accessed through the Europa server (<http://europa.eu.int>).

Cataloguing data can be found at the end of this publication.

Luxembourg: Office for Official Publications of the European Communities, 2001

ISBN 92-894-1334-4

© European Communities, 2001

Reproduction is authorised provided the source is acknowledged.

# Guidance on EIA *Screening*

June 2001

**Environmental Resources Management**  
Norloch House, 36 King's Stables Road,  
Edinburgh EH1 2EU  
Telephone 0131 478 6000  
Facsimile 0131 478 3636  
Email [post@ermuk.com](mailto:post@ermuk.com)  
<http://www.ermuk.com>

## CONTENTS

PREFACE TO EU GUIDANCE ON EIA

FOREWORD TO THE GUIDANCE ON SCREENING

### PART A SCREENING IN EIA

A1 Environmental Impact Assessment (EIA) and Screening

A2 The Screening Requirements of Directives 85/337/EEC and 97/11/EC

A3 Implementation of Screening in the EU

A3.1 Approaches to Screening

A3.2 Habitats Directive Assessments

A3.3 Initiating the Screening Process

A3.4 Recording the Screening Decision

### PART B PRACTICAL GUIDANCE ON SCREENING

B1 Introduction

B2 Use of the Guidance

B3 The Steps in Screening

B3.1 Step 1 - Is the Project an Annex I or II Project?

B3.2 Step 2 - Is the Project on a Mandatory List Requiring EIA?

B3.3 Step 3 - Is the Project on an Exclusion List Exempting it from EIA?

B3.4 Step 4 - Case-by-Case Consideration: Is the Project Likely to have Significant Effects on the Environment?

B3.4.1 Further Guidance on Case-by-Case Screening

B3.4.2 Project Information required for Case-by-Case Screening

B3.4.3 Consultations during Case-by-Case Screening

B3.5 Step 5 - Recording and Publicising the Screening Decision

B4 Case-by-Case Screening Tools

B4.1 The Checklists

B4.2 Interpreting the Results

B4.3 Using the Checklists as a Record and Preparing Project Specific Checklists

CHECKLIST OF INFORMATION NEEDED FOR SCREENING

SCREENING CHECKLIST

CHECKLIST OF CRITERIA FOR EVALUATING THE SIGNIFICANCE OF ENVIRONMENTAL EFFECTS

Appendix A PROJECTS LISTED IN ANNEX I OF DIRECTIVE 97/11/EC

Appendix B PROJECTS LISTED IN ANNEX II OF DIRECTIVE 97/11/EC

Appendix C ANNEX III SCREENING SELECTION CRITERIA

Appendix D ENVIRONMENTAL INFORMATION REQUIREMENTS SET OUT IN ANNEX IV OF DIRECTIVE 97/11/EC

# PREFACE TO EU GUIDANCE ON EIA

Environmental Impact Assessment (EIA) is a key instrument of European Union environmental policy. Since passage of the first EIA Directive in 1985 (Directive 85/337/EEC) both the law and the practice of EIA have evolved. An amending Directive was published in 1997 (Directive 97/11/EC) and the European Commission is now pleased to publish three guidance documents reflecting current EU legislation and the current state of good practice. These documents concern three specific stages in the EIA process:

- [Screening](#)
- [Scoping](#)
- [EIS Review](#).

The aim of the guidance is to provide practical help to those involved in these stages in the EIA process, drawing upon experience from around Europe and worldwide. By following the [Screening](#) and [Scoping](#) Guidance it is hoped that better decisions will be made on the need for EIA and on the terms of reference for the studies that are required, thus starting the EIA process off on a better footing. The [EIS Review](#) guidance aims to help developers and their consultants prepare better quality Environmental Impact Statements and competent authorities and other interested parties to review them more effectively, so that the best possible information is made available for decision making.

The guidance is designed principally for use by competent authorities, developers and EIA practitioners in the European Union Member States and Accession Countries. It is hoped that it will also be of interest to academics and other organisations who participate in EIA training and education and to practitioners from around the world.

The guidance has been designed to be useful across Europe and it cannot reflect all the specific requirements and practice of EIA in different countries. It also cannot substitute for Member State guidance on EIA which should always be referred to first. It should also **always** be read in conjunction with the Directives and with national or local EIA legislation, as detailed legal requirements vary throughout the Member States and Accession Countries.

The guidance has been prepared by Environmental Resources Management (ERM) under a research contract with the Directorate General for Environment of the European Commission. Those who participated in the study are listed overleaf.

Key terms used in the guidance are explained in a [Glossary](#).

Copies of the guidance documents can be requested from Directorate General Environment of the European Commission at <http://www.europa.eu.int/comm/environment/eia/eia-support.htm>

<b>Principal Authors:</b>	Karen Raymond and Andrew Coates (ERM)
<b>EC Project Manager:</b>	Marc Vanderhaegen (ENV B4 European Commission, DG Environment)
<b>European Commission Steering Group:</b>	<p>Jim Burns (Department of the Environment, Transport and the Regions, UK)</p> <p>Gert Johansen (Ministry of Environment and Energy , Denmark)</p> <p>Emilio Herranz (Ministerio de Medio Ambiente, Spain)</p> <p>Ros Coverley (W S Atkins, UK)</p> <p>Alessandro Colombo (Joint Research Centre, European Commission)</p> <p>Alain Bozet (Ministere de la Region Wallone, DGRNE – Administration de L'Environnement, Belgium)</p> <p>Seppo Martikainen ( ENV R4, European Commission, DG Environment)</p> <p>Rupert Willis (ENV A1, European Commission, DG Environment)</p> <p>Fotios Papoulias (ENV B2, European Commission, DG Environment)</p> <p>Jan de Mulder (Ministry of Flanders AMINAL - Environment Administration, Belgium)</p> <p>Francesco La Camera (Ministero dell'Ambiente, Italy)</p> <p>José Luis Salazar (European Environment Agency)</p>
<b>Expert Panel:</b>	<p>Rob Verheem (Private Consultant, Netherlands)</p> <p>Prof Maria do Rosario Partidario (Faculdade de Ciencias e Tecnologia Universidade Nova de Lisboa, Portugal)</p> <p>Thierry Clement (Breche &amp; Oreade, France)</p> <p>Peter Brokking (Department of Infrastructure and Planning, Royal Institute of Technology, Sweden)</p> <p>Petra Winkler (Institute for Regional Studies and Spatial Planning, Austria)</p> <p>Prof Constantinos Cassios (EIA Centre Department of Geography and Regional Planning, National Technical University of Athens, Greece)</p>
<b>Research Team:</b>	<p>Dr Norbert Raschke (Germany)</p> <p>Catherine Sibley (UK)</p> <p>Rui Pimenta (Portugal)</p> <p>Wim Van Breusegem (Belgium)</p>

## GLOSSARY OF TERMS

Term	Explanation
Accession Countries	Countries which are seeking to become Members States of the European Union.
Competent Authority (CA)	Those which the Member States designate as responsible for performing the duties arising from the Directive.
Developer	The applicant for authorisation for a private Project or the public authority which initiates a Project.
Development Consent	The decision of the Competent Authority or Authorities which entitles the Developer to proceed with the Project.
Effect/Impact	Any change in the physical, natural or cultural environment brought about by a development Project. Effect and Impact are used interchangeably.
EIA Team	The team which carries out the Environmental Studies and prepares the Environmental information for submission to the Competent Authority
Environmental Impact Assessment (EIA)	A term used in this document to describe the procedure which fulfils the assessment requirements of Directive 97/11/EC.
Environmental Impact Statement (EIS)	In many but not all EIA Regimes, the Environmental Information provided by the Developer to the Competent Authority is presented in the form of an Environmental Impact Statement. This is a document or documents containing the Environmental Information required under Article 5 of Directive 85/337/EEC as amended by Directive 97/11/EC. The abbreviation EIS is used in the guidance in which environmental information is provided.
Environmental Information	The information provided by a Developer to a Competent Authority on <i>inter alia</i> the Project and its environmental effects. The requirements for this information are set out in Article 5 and Annex IV of the Directive (see Environmental Impact Assessment).
Environmental Studies	The surveys and investigations carried out by the Developer and the EIA Team in order to prepare the Environmental Information for submission to the Competent Authority.
Exclusion List	A list of thresholds and criteria for specified categories of projects defining those projects for which EIA is not required because they are considered to be unlikely to have significant effects on the environment. An exclusive list may be over-ridden by other requirements e.g. that EIA is required for projects in certain locations.
Impact	see Effect.
Mandatory List	A list of thresholds and criteria for specified categories of projects defining those projects for which EIA is always required because they are considered to be likely to have significant effects on the environment.
Negative list	See Exclusion List
Positive List	See Mandatory List
Project	The execution of construction works or of other installations or schemes and other interventions in the natural surroundings and landscape including those involving the extraction of mineral resources.
Review	The process of establishing whether an EIS is adequate for the Competent Authority to use it to inform the decision on Development Consent. It is important to note that the decision will usually involve consideration of other information in addition to the environmental information, but the aim of review is to check that the environmental information is adequate.
Screening	The process by which a decision is taken on whether or not EIA is required for a particular Project.
Scoping	The process of identifying the content and extent of the Environmental Information to be submitted to the Competent Authority under the EIA procedure.

## FOREWORD TO THE GUIDANCE ON SCREENING

This guidance document is about Screening in Environmental Impact Assessment (EIA). It is one in a series of three guidance documents on EIA published by the European Commission. The other two are concerned with [Scoping in EIA](#) and [EIS Review](#).

Screening is the process of determining whether or not EIA is required for a particular project.

A five year review of implementation of Directive 85/337/EEC, undertaken for The Commission in 1997, indicated that the application of EIA to projects of different types was very variable across the Member States. This finding was one factor influencing an amendment to the Directive introduced in Directive 97/11/EC which requires screening of projects which may be subject to EIA. The five year review can be found at <http://www.europa.eu.int/comm/environment/eia/eia-studies-and-report/5years.pdf>.

This guidance document comprises two main parts (Parts A and B) and supporting checklists and appendices.

- Part A of the guidance document describes the screening requirements of the European Council (EC) Directives on EIA (85/337/EEC as amended by 97/11/EC) and discusses how these have been transposed into Member State Legislation. It should **always** be read in conjunction with the Directives and with national or local legislation and guidance on EIA, as detailed legal requirements vary throughout the Member States. A review of Member State requirements for screening as they were in August 1999 can be found in a report prepared during the preparation of this guidance. This can be downloaded at <http://www.europa.eu.int/comm/environment/eia/eia-studies-and-reports/study1.htm>.
- Part B of the guidance offers practical advice on screening, describing the steps to be followed in determining whether EIA is required, and providing some tools to help in the process.

Key terms used in this guidance are defined in the [Glossary](#).

Further copies of this guidance document can be requested from the Directorate General Environment of the European Commission (*contact* <http://www.europa.eu.int/comm/environment/eia/eia-support.htm>).

The guidance is designed principally for use by competent authorities, developers and EIA practitioners in the European Union (EU) Member States and Accession Countries. It is also hoped that it will be of interest to academics and other organisations who participate in EIA training and education and to practitioners from around the world.



## **PART A SCREENING IN EIA**

### **A1 Environmental Impact Assessment (EIA) and Screening**

EIA is a procedure required under the terms of European Union Directives 85/337/EEC and 97/11/EC on assessment of the effects of certain public and private projects on the environment. Article 2 of the Directives requires that *“Member States shall adopt all measures necessary to ensure that, before consent is given, projects likely to have significant effects on the environment by virtue, inter alia, of their nature, size or location are made subject to a requirement for development consent and an assessment with regard to their effects.”* Article 8 then requires that *“The results of consultations and information gathered pursuant to [the EIA procedure] must be taken into consideration in the development consent procedure”*.

These requirements are elaborated further in the Directive and in the EIA systems introduced in each Member State. Member State EIA procedures vary considerably in their details but the practical stages in most systems are generally those illustrated in [Figure 1](#). The highlighted steps in [Figure 1](#) are governed by the terms of the Directive. The other steps are part of good practice in EIA and some have been adopted in some Member States, but not in all.

Screening is the first stage in the process required by the Directive, when a decision is made on whether or not EIA is required.

### **A2 The Screening Requirements of Directives 85/337/EEC and 97/11/EC**

The requirements for screening are contained in Article 4 of Directive 97/11/EC.

Article 4(1) requires that *“...projects listed in Annex I shall be made subject to an assessment...”*. EIA is therefore mandatory for the categories of projects listed in Annex I and Member States’ legislation must provide for this. The Annex I list is presented in [Appendix A](#). It defines about 21 categories of projects for which EIA is mandatory. Screening of these projects must lead to a “yes” decision that EIA is required.

Article 4(2) requires that for *“...projects listed in Annex II, the Member States shall determine through*

*(a) a case-by-case examination, or*

*(b) thresholds and criteria set by the Member State*

*whether the project shall be made subject to an assessment.....Member States may decide to apply both procedures referred to in (a) and (b)”*

**Figure 1 The Environmental Impact Assessment (EIA) Process**

KEY STAGES	NOTES
<b>Project Preparation</b>	The developer prepares the proposals for the project
<b>Notification to Competent Authority</b>	In some MS there is a requirement for the developer to notify the CA in advance of the application for development consent. The developer may also do this voluntarily and informally.
<b>Screening</b>	The CA makes a decision on whether EIA is required. This may happen when the CA receives notification of the intention to make a development consent application, or the developer may make an application for a Screening Opinion. The Screening decision must be recorded and made public. (See the guidance on <a href="#">Screening in EIA</a> ) (Article 4).
<b>Scoping</b>	The Directive provides that developers may request a Scoping Opinion from the CA. The Scoping Opinion will identify the matters to be covered in the environmental information. It may also cover other aspects of the EIA process (see the guidance on <a href="#">Scoping in EIA</a> ). In preparing the opinion the CA must consult the environmental authorities (Article 5(2)). In some MS Scoping is mandatory.
<b>Environmental Studies</b>	The developer carries out studies to collect and prepare the environmental information required by Article 5 of the Directive (see <a href="#">Appendix D</a> ).
<b>Submission of Environmental Information to Competent Authority</b>	The developer submits the environmental information to the CA together with the application for development consent. If an application for an Annex I or II project is made without environmental information the CA must screen the project to determine whether EIA is required (see above). (Articles 5(1) and 5(3)). In most MS the environmental information is presented in the form of an Environmental Impact Statement (EIS).
<b>Review of Adequacy of the Environmental Information</b>	In some MS there is a formal requirement for independent review of the adequacy of the environmental information before it is considered by the CA. In other MS the CA is responsible for determining whether the Information is adequate. The guidance on <a href="#">EIS Review</a> is designed to assist at this stage. The developer may be required to provide further information if the submitted information is deemed to be inadequate.
<b>Consultation with Statutory Environmental Authorities, Other Interested Parties and the Public</b>	The environmental information must be made available to authorities with environmental responsibilities and to other interested organisations and the general public for review. They must be given an opportunity to comment on the project and its environmental effects before a decision is made on development consent. If transboundary effects are likely to be significant other affected MS must be consulted (Articles 6 and 7).
<b>Consideration of the Environmental Information by the Competent Authority before making Development Consent Decision</b>	The environmental information and the results of consultations must be considered by the CA in reaching its decision on the application for development consent (Article 8).
<b>Announcement of Decision</b>	The decision must be made available to the public including the reasons for it and a description of the measures that will be required to mitigate adverse environmental effects (Article 9).
<b>Post-Decision Monitoring if Project is Granted Consent</b>	There may be a requirement to monitor the effects of the project once it is implemented.
<p>The highlighted steps must be followed in all Member States under Directives 85/337/EC and 97/11/EC. Scoping is not mandatory under the Directive but Member States must establish a voluntary procedure by which developers can request a Scoping Opinion from the CA if they wish. The steps which are not highlighted form part of good practice in EIA and have been formalised in some Member States but not in all. Consultations with environmental authorities and other interested parties may be required during some of these additional steps in some Member States.</p> <p>Abbreviations CA = Competent Authority; MS = Member State.</p>	

The Annex II list is provided in [Appendix B](#). It defines about 80 categories of projects for which EIA is required if significant effects on the environment are likely to occur.

For Annex II projects Article 4(3) requires that “*When a case-by-case examination is carried out or thresholds or criteria are set..... the relevant selection criteria set out in Annex III shall be taken into account*”. These require competent authorities to consider the sensitivity of project locations and potential impacts, as well as the characteristics of projects, in deciding whether EIA is needed.

The full Annex III criteria are set out in [Appendix C](#).

Finally Article 4(4) requires that “*Member States shall ensure that the determination made by the competent authority.....is available to the public.*” Screening decisions must therefore be made public.

## **A3 Implementation of Screening In the EU**

### **A3.1 Approaches to Screening**

The following approaches to screening have been adopted in Member States:

- In all Member States EIA must be carried out for project categories listed in Annex I (see [Appendix A](#)) of Directive 97/11/EC. Such projects are identified on mandatory lists of projects always requiring EIA.
- Some Member States have also included some Annex II projects (see [Appendix B](#)) in their mandatory lists by setting statutory thresholds and criteria for these projects above which EIA is always required. This is in accordance with Article 4(2)(b). Directive 97/11/EC requires Member States to consider the Annex III selection criteria (see [Appendix C](#)) in setting these thresholds and criteria.
- In some cases, Member States have also established “exclusion” or “negative” lists specifying thresholds and criteria below which EIA is never required or below which a simplified EIA procedure applies. There may be exceptions to the negative thresholds, for example for projects in defined sensitive locations. Such exceptions will apply in the case of Habitats Directive assessments (see below). The use of exclusion lists, defining thresholds below which EIA is never required, is very limited in the EU Member States (see <http://www.europa.eu.int/comm/environment/eia/eia-studies-and-reports/study1.htm>).
- If a project is not on a mandatory or exclusion list, it must be considered on a case-by-case basis by the competent authority, to determine whether the project is likely to have significant effects on the environment. In some Member States most projects are included on either mandatory or exclusion lists so case-by-case screening is rarely required. In others, case-by-case screening is the normal approach for most projects. The Directive requires the criteria in Annex III (see [Appendix C](#)) to be considered by the competent authority in reaching case-by-case screening decisions. Many Member States provide non-statutory guidance for this, for example on project characteristics, thresholds, locations etc., which mean the project could have significant effects and therefore require EIA. This guidance is available for developers, competent authorities and others to help in making decisions on the need for EIA.

### **A3.2 Habitats Directive Assessments**

A specific additional requirement for environmental assessment arises under Article 6(3) of the Habitats Directive (92/43/EEC). Member States must implement legislation requiring an assessment to be made of any project which is likely to have significant effects on a Natura 2000 site (a Special Protection Area (SPA) designated under Directive 79/409/EEC or a Special Area of Conservation (SAC) designated under Directive 92/43/EEC). In many cases this assessment can be achieved through the EIA procedure implemented under Directives 85/337/EEC and 97/11/EEC, but in some cases, for example, where the project does not fall under either Annex I or Annex II, a separate procedure is needed. Special guidance on these requirements is available from Directorate General Environment of the European Commission at <http://www.europa.eu.int/comm/environment/pubs/home.htm>

### **A3.3 Initiating the Screening Process**

The procedures by which screening is initiated also differ between Member States:

- In some, developers are required to notify the competent authority in advance of making an application for development consent for any Annex I or II project. The competent authority must then make an explicit and formal screening decision and advise the developer and the public whether EIA is required.
- In others, there is no requirement for advance notification of development consent applications. Developers may either submit environmental information voluntarily with their development consent application, or submit an application without environmental information, in which case the competent authority must consider the application and make a formal screening decision on whether EIA is needed. In the latter case the consent application will usually be put on hold until the information is received.
- In these Member States there are usually provisions which allow developers to apply to competent authorities for a screening decision or opinion in advance of making an application. In such cases the competent authority must make a formal screening decision on whether EIA is needed when such a request is received.

### **A3.4 Recording the Screening Decision**

Formal screening decisions can therefore be made in three circumstances:

- when a notification of intention to apply for development consent is received by a competent authority;
- when a competent authority receives an application for development consent for an Annex I or II project without any environmental information;
- and when a developer applies to a competent authority for a screening decision.

In each of these cases the competent authority must keep a record of the decision and the reasons for it and make the decision available to the public.

There are, thus, a variety of different approaches to screening amongst the Member States. All are based upon the Annex I and II lists and the Annex III criteria, but developers, EIA practitioners and competent authorities will need to refer to

individual Member State's legislation and guidance to identify the particular requirements which apply.

In each case the vital point to remember is that EIA is required **when a project is likely to have significant effects on the environment**. The next part of the guidance provides practical advice to participants in the EIA process on how to determine whether this is the case.

## PART B PRACTICAL GUIDANCE ON SCREENING

### B1 Introduction

This part of the document provides practical guidance on how to undertake screening in accordance with the requirements of Directive 97/11/EC i.e. how to decide whether EIA is required for a particular project or type of project.

It is important at this stage to distinguish between screening and scoping, although some overlap can occur.

#### Screening and Scoping

- **Screening** is that part of the EIA process which determines whether an EIA is required for a particular project.
- **Scoping** is the activity of deciding on matters to be investigated as part of the EIA, once a decision has been taken that an EIA is required (i.e. once a screening decision has been made).

#### Potential Overlaps between Screening and Scoping

- Information which is used in making a screening decision may subsequently be used at the scoping stage.
- In some regimes a preliminary assessment is undertaken to assist in the screening decision. If a decision is made that EIA is required, the information from the preliminary assessment may also be used for scoping.

Guidance on scoping is provided in a separate guidance document entitled [Scoping in EIA](#).

### B2 Use of the Guidance

This guidance is designed primarily for use by competent authorities, developers, EIA practitioners and EIA consultees, including statutory organisations, non-governmental organisations (NGOs) and the public. There are various situations in which these groups may use the guidance.

#### Developers

- A developer may decide voluntarily to undertake EIA without a formal screening decision from the competent authority. This decision may be taken based on the developer's own screening, advice from independent EIA practitioners, or as a matter of policy. Developers will be guided by EIA legislation and Member State guidance in reaching a decision on whether or not to volunteer to undertake EIA but increasingly organisations are establishing policies regarding EIA of their new developments to guide these decisions. Volunteering to undertake EIA can save time and costs later in the process as the development consent application could be delayed by the lack of EIA.
- In some regimes, where a developer is uncertain about the need for EIA and would not normally undertake one as standard practice, they **may** request a formal screening decision from the competent authority. It is the responsibility of the developer to provide the competent authority with sufficient information on the project to allow them to make a decision. It is helpful to seek the views of competent authorities early so that environmental studies can be carried out as an integral part of the project development process. In this way environmental considerations can be factored into the project design from the beginning minimising both environmental impact and cost.

#### Competent Authorities

- Where advance notice of a development consent application or a request for a screening decision is made by a developer, the competent authority **must** consider the need for EIA for the project, **must** keep a record of the screening decision and the reasons for it, and **must** make it available to the public.

- If an application for development consent for an Annex I project is made without the environmental information required by the Directive, the competent authority **must** require the EIA procedure to be completed. If an Annex II project application is received without the environmental information the authority **must** consider the need for EIA, record the screening decision and the reasons for it, and make it available to the public. The screening may be done by reference to legal requirements or on a case-by-case basis depending on the procedures in place in the particular Member State.

#### **EIA Practitioners**

- EIA practitioners will often be asked to advise developers or competent authorities on the need for EIA for a particular project to help them in making screening decisions.

#### **EIA Consultees**

- Competent authorities and developers also often seek advice from statutory consultees, non-governmental organisations and the public on the need for EIA at the screening stage. The value of wide participation in the screening process in avoiding later argument and delay, is increasingly being recognised by competent authorities, other governmental organisations and developers within Member States.

## **B3 The Steps in Screening**

A number of steps will be involved in deciding whether EIA is required for a project. These are illustrated in [Figure 2](#) and guidance on each is given below. The process will proceed through these steps until a decision is made on whether or not EIA is required. If a decision can be made at an early stage then the process can stop and the later steps will not be required. In all cases however, when a formal screening decision is made Step 5: Recording and Publicising the screening Decision must be completed.

### **B3.1 Step 1 - Is the Project an Annex I or II Project?**

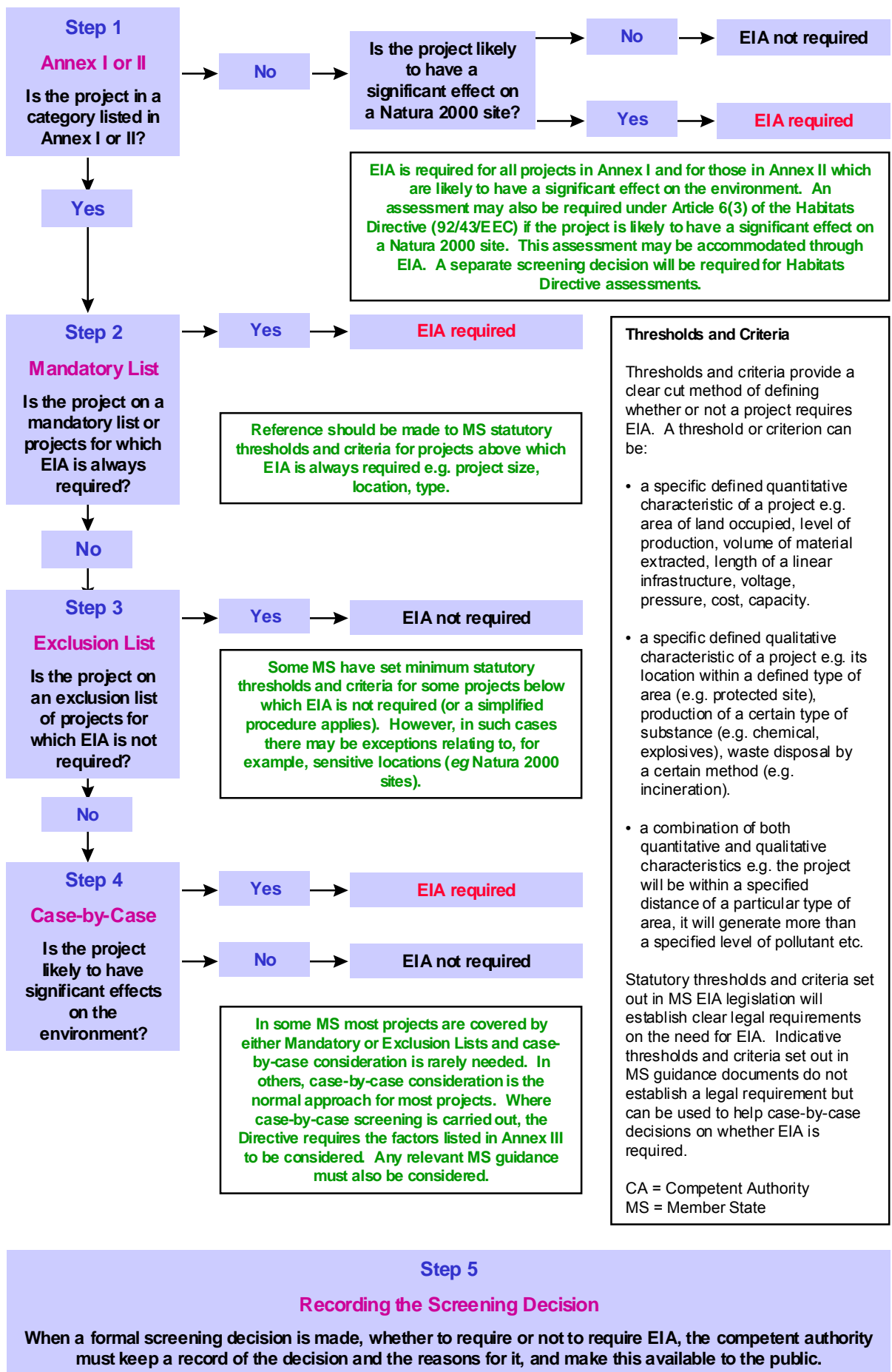
The first step in screening is to determine whether the project is listed in either Annex I or Annex II of Directive 97/11/EC (see [Appendix A](#) and [Appendix B](#)) or any equivalent Member State lists. It should be noted that some Member States have extended the requirements for EIA to project types which are not in the Annex I or II lists and it is therefore important to refer to Member State legislation.

In summary, if a project is not of a type listed in Annex I or II or any equivalent Member State lists, EIA is not required, unless a Habitats Directive assessment is required (see A3.2 above).

### **B3.2 Step 2 - Is the Project on a Mandatory List Requiring EIA?**

The second task is to determine whether there is a mandatory requirement for EIA for the project under Member State legislation. An EIA will be required if the project is listed in Annex I, or if it meets or exceeds any relevant thresholds or criteria set out in Member State legislation. These will be set out in mandatory or positive lists of project types and might relate to, for example, project size, type or location.

**Figure 2 The Steps in Screening**





All Member States have transposed Annex I into their legislation and some have included some Annex II projects in their mandatory lists as well, setting thresholds or criteria for these Annex II projects above which EIA is always required.

In summary, if a project is on a mandatory list then EIA **will be** required.

Where the project is funded by a donor agency, e.g. a national aid agency or a multi-lateral agency such as the European Bank for Reconstruction and Development, it will also be necessary to check their procedures to determine whether EIA is required.

### **B3.3 Step 3 - Is the Project on an Exclusion List Exempting it from EIA?**

If no decision can be made after Step 2 the third step will be to check whether there is any legal exemption for the project. Some Member States have introduced minimum thresholds or criteria, for example based on project size, below which EIA is never required. These are set out in exclusion or negative lists of projects. If a project is on an exclusion list EIA will not be required.

Member States' legislation may provide for exceptions to exclusion lists if the project is in a specified sensitive location. Such an exception would apply if the project was likely to have significant effects on a Natura 2000 site (see above). Member State legislation must also be checked to determine any other locations defined as sensitive in which an exclusion list would not apply.

### **B3.4 Step 4 - Case-by-Case Consideration: Is the Project Likely to have Significant Effects on the Environment?**

Mandatory and exclusion lists are designed to simplify the process by identifying thresholds and criteria defining projects which are always or are never considered likely to have significant effects on the environment.

If a project is not on a mandatory or exclusion list a screening decision must be made on a case-by-case basis. Some Member States use case-by-case screening for all Annex II projects. Others use a mixture of thresholds and criteria and case-by-case screening, and some use case-by-case screening only rarely. Practice in this area has changed as a consequence of Directive 97/11/EC so that Member States which used only statutory thresholds and criteria now use at least some case-by-case screening.

In undertaking case-by-case screening, the factors listed in Annex III of the Directive (see [Appendix C](#)) must be considered, along with any Member State guidance. Such guidance may refer to indicative thresholds and criteria.

In summary, where it is decided that a project is likely to have significant effects on the environment through a case-by-case examination, then EIA will be required.

### **B3.4.1 Further Guidance on Case-by-Case Screening**

To assist EIA participants in applying the Annex III criteria to case-by-case screening, some useful tools are presented in Section B4 of this document. These are intended to be of assistance where there is no Member State guidance or where the need for EIA is still not clear. They are designed to help answer the question “Is this project is likely to have significant effects on the environment?”.

It is important to emphasise that use of these tools is not intended to require special studies. The tools are intended to be used quickly by people with the qualifications and experience typically found in competent authorities, and using the information which is readily available about the project and its environment.

### **B3.4.2 Project Information required for Case-by-Case Screening**

Case-by-case examination of projects will usually require some information on the project to be provided by the developer to the competent authority. A checklist of information which may be useful for screening is presented in [Checklist of Information Needed for Screening](#) at the end of Section B4.

### **B3.4.3 Consultations during Case-by-Case Screening**

Dialogue between the developer and the competent authority will also always be of assistance to the competent authority in making a screening decision and competent authorities may also find it useful to consult with and take advice from a number of other organisations including:

- authorities with a statutory responsibility for environmental matters (*eg* pollution control, nature protection, cultural heritage, water, waste *etc*);
- other interested parties, including the public, to help identify any local concerns about the project;
- experts such as EIA practitioners or members of academic or research institutions;
- other competent authorities who have made decisions on similar projects in the Member State.

## **B3.5 Step 5 - Recording and Publicising the Screening Decision**

Where a formal screening decision has been made by a competent authority, the screening decision must be recorded and made available to the public.

In most regimes there will be provisions within the national legislation for the developer to appeal against screening decisions. Reference should be made to Member State legislation for guidance on appeal procedures.

## **B4 Case-by-Case Screening Tools**

### **B4.1 The Checklists**

Annex III of the Directive sets out the criteria which must be considered in screening. To help EIA participants apply these criteria in case-by-case screening, two checklists have been prepared to support and help the process of deciding whether or not a project is likely to have significant effects on the environment. These are located at the end of this section.

- The first [Screening Checklist](#) provides a list of questions about the project and its environment which users can use to help answer the question “Is this project likely to have a significant effect on the environment?” Instructions on how to use the checklist are given at the beginning together with some examples of how to complete the checklist.
- The second checklist is a [Checklist of Criteria for Evaluating the Significance of Environmental Effects](#). This is designed to be used alongside the [Screening Checklist](#) as described in the introduction.

Again, it is important to emphasise that use of the checklists is not intended to require special studies. They are intended to be used quickly by people with the qualifications and experience typically found in competent authorities, and using the information which is readily available about the project and its environment. The user should run quickly through the questions and if the answer is “don’t know” record this and take it into account as an uncertainty which might point towards a decision that EIA is required.

### **B4.2 Interpreting the Results**

There is no specific rule that can be used to decide whether the results of using the [Screening Checklist](#) should lead to a positive or negative screening decision (i.e. that EIA is or is not required). In theory if there is one “Yes” answer to the question is it likely to result in a significant effect, EIA may be required, however, as a general principle, the greater the number of “Yes” answers and the greater the significance of the effects identified, the more likely it is that EIA is required. “?” answers, indicating uncertainty about the occurrence or significance of effects, should also point towards a positive screening decision (i.e. that EIA is required) because the EIA process will help to clarify the uncertainty.

### **B4.3 Using the Checklists as a Record and Preparing Project Specific Checklists**

The [Screening Checklist](#) is designed to be applicable to all types of projects. It will be of particular use to competent authorities who must record the reasons for their screening decisions, as the completed forms will provide a written record of the factors that have been considered.

Developers and competent authorities who deal with only certain types of projects may find it helpful to prepare shortened versions of the checklists focussing on only relevant questions.

# CHECKLIST OF INFORMATION NEEDED FOR SCREENING

In considering whether a project requires EIA some information about the project will be required. The types of information which may be useful are listed below. Where a formal screening decision is made by the competent authority the developer may be required to provide some or all of this information to the Authority. The details of the information which can be requested will be set out in Member State legislation and guidance.

It is important to remember that this information can only be requested if the developer can reasonably be expected to have it at the stage in the development of the project that has been reached. If Screening is being carried out early in the project's life only some of this information will be available. Where there are gaps and uncertainties these will be identified and taken into account.

---

## Information for Screening and Scoping

---

### 1. Contact Details of the Developer

- Name of the company.
- Main postal address, telephone, fax and e-mail details for the company.
- Name of the main contact person and direct postal address, telephone, fax and e-mail details.

---

### 2. Characteristics of the Project

- Brief description of the proposed project.
- Reasons for proposing the project.
- A plan showing the boundary of the development including any land required temporarily during construction.
- The physical form of the development (layout, buildings, other structures, construction materials, etc).
- Description of the main processes including size, capacity, throughput, input and output.
- Any new access arrangements or changes to existing road layout.
- A work programme for construction, operation and commissioning phases, and restoration and after-use where appropriate.
- Construction methods.
- Resources used in construction and operation (materials, water, energy, etc.)
- The relationship with other existing/planned projects.
- Information about alternatives being considered?
- Information about mitigating measures being considered.
- Other activities which may be required as a consequence of the project (eg new roads, extraction of aggregate, provision of new water supply, generation or transmission of power, increased housing and sewage disposal).
- Details of any other permits required for the project.

---

### 3. Location of the Project

- Maps and photographs showing the location of the project relative to surrounding physical, natural and man-made features.
- Existing land-uses on and adjacent to the site and any future planned land uses.
- Zoning or land-use policies.
- Protected areas or features.
- Sensitive areas.
- Details of any alternative locations which have been considered.

---

### 4. Characteristics of the Potential Impact

A brief description of the likely impacts of the project considering the following factors:

- Impacts on people, human health, fauna and flora, soils, land use, material assets, water quality and hydrology, air quality, climate, noise and vibration, the landscape and visual environment, historic and cultural heritage resources, and the interactions between them.
  - Nature of the impacts (*i.e.* direct, indirect, secondary, cumulative, short, medium and long-term, permanent and temporary, positive and negative).
  - Extent of the impact (geographical area, size of the affected population/habitat/species).
  - Magnitude and complexity of the impact.
  - Probability of the impact.
  - Duration, frequency and reversibility of the impact.
  - Mitigation incorporated into the project design to reduce, avoid or offset significant adverse impacts.
  - Transfrontier nature of the impact.
- 

## SCREENING CHECKLIST

## Instructions

This checklist is designed to help users decide whether EIA is required based on the characteristics of a project and its environment.

Start by providing a brief description of the project.

Then using available information about the project answer each question in Column 2:

- Yes - if the answer is yes
- No - if the answer is no
- ? - if the answer is don't know

If you are not sure what might be important use the more detailed lists of questions in the [Scoping Guidance](#) to help answer the question.

Briefly describe the relevant characteristic of the project or its environment and then consider whether any effect that is likely to result is likely to be significant and enter the response in Column 3 with a note of the reasons why. Use the next [Checklist on Criteria for Evaluating Significance](#) to help answer the question "Is this likely to result in a significant effect?".

Some examples illustrating how to use the checklist are given below.

Questions to be Considered For further guidance on factors to be considered see the more detailed questions listed in the <a href="#">Scoping Guidance</a>	Yes / No / ? . Briefly describe	Is this likely to result in a significant effect? Yes/No/? - Why?
<b>Brief Project Description:</b> Development of 500 houses adjacent to an existing rural settlement at ABCville.		
<b>1. Will construction, operation or decommissioning of the Project involve actions which will cause physical changes in the locality (topography, land use, changes in waterbodies, etc)?</b>	Yes. The project will involve development of a large site currently in agricultural use and crossed by a small river.	Yes. Loss of agricultural land and diversion of river
<b>3. Will the Project involve use, storage, transport, handling or production of substances or materials which could be harmful to human health or the environment or raise concerns about actual or perceived risks to human health?</b>	No except in the small amounts typically used by householders	No
<b>4. Will the Project produce solid wastes during construction or operation or decommissioning?</b>	Yes. Construction will require excavation of a small hill and transport and disposal or re-use of a large quantity of spoil.	Yes. Transport could have significant impact on neighbouring village
<b>9. Will the Project result in social changes, for example, in demography, traditional lifestyles, employment?</b>	No. The existing village was mainly built in the 1950s.	No
<b>10. Are there any other factors which should be considered such as consequential development which could lead to environmental effects or the potential for cumulative impacts with other existing or planned activities in the locality?</b>	Yes. The project will require extension of the village sewage works which is already overloaded.	Yes. There is not much space to extend the works and it already causes odour problems in the village
<b>19. Are there any areas or features of historic or cultural importance on or around the location which could be affected by the project?</b>	? No information available about the area	? requires further investigation

## THE SCREENING CHECKLIST

Questions to be Considered For further guidance on factors to be considered see the more detailed questions listed in the <a href="#">Scoping Guidance</a>	Yes / No / ? . Briefly describe	Is this likely to result in a significant effect? Yes/No/? – Why?
<b>Brief Project Description:</b>		
1. Will construction, operation or decommissioning of the Project involve actions which will cause physical changes in the locality (topography, land use, changes in waterbodies, etc)?		
2. Will construction or operation of the Project use natural resources such as land, water, materials or energy, especially any resources which are non-renewable or in short supply?		
3. Will the Project involve use, storage, transport, handling or production of substances or materials which could be harmful to human health or the environment or raise concerns about actual or perceived risks to human health?		
4. Will the Project produce solid wastes during construction or operation or decommissioning?		
5. Will the Project release pollutants or any hazardous, toxic or noxious substances to air?		
6. Will the Project cause noise and vibration or release of light, heat energy or electromagnetic radiation?		
7. Will the Project lead to risks of contamination of land or water from releases of pollutants onto the ground or into surface waters, groundwater, coastal waters or the sea?		
8. Will there be any risk of accidents during construction or operation of the Project which could affect human health or the environment?		
9. Will the Project result in social changes, for example, in demography, traditional lifestyles, employment?		
10. Are there any other factors which should be considered such as consequential development which could lead to environmental effects or the potential for cumulative impacts with other existing or planned activities in the locality?		
11. Are there any areas on or around the location which are protected under international or national or local legislation for their ecological, landscape, cultural or other value, which could be affected by the project?		

<b>Questions to be Considered</b> For further guidance on factors to be considered see the more detailed questions listed in the <a href="#">Scoping Guidance</a>	<b>Yes / No / ? . Briefly describe</b>	<b>Is this likely to result in a significant effect? Yes/No/? – Why?</b>
<b>12. Are there any other areas on or around the location which are important or sensitive for reasons of their ecology e.g. wetlands, watercourses or other waterbodies, the coastal zone, mountains, forests or woodlands, which could be affected by the project?</b>		
<b>13. Are there any areas on or around the location which are used by protected, important or sensitive species of fauna or flora e.g. for breeding, nesting, foraging, resting, overwintering, migration, which could be affected by the project?</b>		
<b>14. Are there any inland, coastal, marine or underground waters on or around the location which could be affected by the project?</b>		
<b>15. Are there any areas or features of high landscape or scenic value on or around the location which could be affected by the project?</b>		
<b>16. Are there any routes or facilities on or around the location which are used by the public for access to recreation or other facilities, which could be affected by the project?</b>		
<b>17. Are there any transport routes on or around the location which are susceptible to congestion or which cause environmental problems, which could be affected by the project?</b>		
<b>18. Is the project in a location where it is likely to be highly visible to many people?</b>		
<b>19. Are there any areas or features of historic or cultural importance on or around the location which could be affected by the project?</b>		
<b>20. Is the project located in a previously undeveloped area where there will be loss of greenfield land?</b>		
<b>21. Are there existing land uses on or around the location e.g. homes, gardens, other private property, industry, commerce, recreation, public open space, community facilities, agriculture, forestry, tourism, mining or quarrying which could be affected by the project?</b>		
<b>22. Are there any plans for future land uses on or around the location which could be affected by the project?</b>		
<b>23. Are there any areas on or around the location which are densely populated or built-up, which could be affected by the project?</b>		

<b>Questions to be Considered</b> For further guidance on factors to be considered see the more detailed questions listed in the <a href="#">Scoping Guidance</a>	<b>Yes / No / ? . Briefly describe</b>	<b>Is this likely to result in a significant effect? Yes/No/? – Why?</b>
<b>24. Are there any areas on or around the location which are occupied by sensitive land uses e.g. hospitals, schools, places of worship, community facilities, which could be affected by the project?</b>		
<b>25. Are there any areas on or around the location which contain important, high quality or scarce resources e.g. groundwater, surface waters, forestry, agriculture, fisheries, tourism, minerals, which could be affected by the project?</b>		
<b>26. Are there any areas on or around the location which are already subject to pollution or environmental damage e.g. where existing legal environmental standards are exceeded, which could be affected by the project?</b>		
<b>27. Is the project location susceptible to earthquakes, subsidence, landslides, erosion, flooding or extreme or adverse climatic conditions e.g. temperature inversions, fogs, severe winds, which could cause the project to present environmental problems?</b>		

Summary of features of project and of its location indicating the need for EIA





# CHECKLIST OF CRITERIA FOR EVALUATING THE SIGNIFICANCE OF ENVIRONMENTAL EFFECTS

## Instructions for Screening

This checklist is designed to help users decide whether EIA is required based on the characteristics of the likely impacts of the project. It is to be used in case-by-case screening in conjunction with the [Screening Checklist](#).

The [Screening Checklist](#) provides a list of questions to help identify where there is the potential for interactions between a project and its environment. This checklist is designed to help decide whether those interactions - effects - are likely to be significant.

Those responsible for making screening decisions often find difficulties in defining what is "significant". A useful simple check is to ask whether the effect is one that ought to be considered and to have an influence on the development consent decision. At the early stage of Screening there is likely to be little information on which to base this decision but the following list of questions may be helpful.

These questions can be asked for each "Yes" answer in the [Screening Checklist](#) and the conclusion and the reasons for it noted in the checklist. The questions are designed so that a "Yes" answer will generally point towards the need for EIA and a "No" answer to EIA not being required.

---

### Questions to be Considered

---

1. Will there be a large change in environmental conditions?
  2. Will new features be out-of-scale with the existing environment?
  3. Will the effect be unusual in the area or particularly complex?
  4. Will the effect extend over a large area?
  5. Will there be any potential for transfrontier impact?
  6. Will many people be affected?
  7. Will many receptors of other types (fauna and flora, businesses, facilities) be affected?
  8. Will valuable or scarce features or resources be affected?
  9. Is there a risk that environmental standards will be breached?
  10. Is there a risk that protected sites, areas, features will be affected?
  11. Is there a high probability of the effect occurring?
  12. Will the effect continue for a long time?
  13. Will the effect be permanent rather than temporary?
  14. Will the impact be continuous rather than intermittent?
  15. If it is intermittent will it be frequent rather than rare?
  16. Will the impact be irreversible?
  17. Will it be difficult to avoid, or reduce or repair or compensate for the effect?
-

# APPENDIX A

## PROJECTS LISTED IN ANNEX I OF DIRECTIVE 97/11/EC

Article 4(1) of Directive 97/11/EC requires that the following types of projects must be subject to EIA.

---

### Annex I Projects

---

1. Crude-oil refineries (excluding undertakings manufacturing only lubricants from crude oil) and installations for the gasification and liquefaction of 500 tonnes or more of coal or bituminous shale per day.
2. Thermal power stations and other combustion installations with a heat output of 300 megawatts or more, and nuclear power stations and other nuclear reactors including the dismantling or decommissioning of such power stations or reactors (\*) (except research installations for the production and conversion of fissionable and fertile materials, whose maximum power does not exceed 1 kilowatt continuous thermal load).
3. (a) Installations for the reprocessing of irradiated nuclear fuel  
(b) Installations designed:
  - for the production or enrichment of nuclear fuel,
  - for the processing of irradiated nuclear fuel or high-level radioactive waste,
  - for the final disposal of irradiated nuclear fuel,
  - solely for the final disposal of radioactive waste,
  - solely for the storage (planned for more than 10 years) of irradiated nuclear fuels or radioactive waste in a different site than the production site.
4. (a) Integrated works for the initial smelting of cast-iron and steel  
(b) Installations for the production of non-ferrous crude metals from ore, concentrates or secondary raw materials by metallurgical, chemical or electrolytic processes.
5. Installations for the extraction of asbestos and for the processing and transformation of asbestos and products containing asbestos: for asbestos-cement products, with an annual production of more than 20 000 tonnes of finished products, for friction material, with an annual production of more than 50 tonnes of finished products, and for other uses of asbestos, utilization of more than 200 tonnes per year.
6. Integrated chemical installations, i.e. those installations for the manufacture on an industrial scale of substances using chemical conversion processes, in which several units are juxtaposed and are functionally linked to one another and which are:
  - (i) for the production of basic organic chemicals;
  - (ii) for the production of basic inorganic chemicals;
  - (iii) for the production of phosphorous-, nitrogen- or potassium-based fertilizers (simple or compound fertilizers);
  - (iv) for the production of basic plant health products and of biocides;
  - (v) for the production of basic pharmaceutical products using a chemical or biological process;
  - (vi) for the production of explosives.
7. (a) Construction of lines for long-distance railway traffic and of airports (1) with a basic runway length of 2 100 m or more;  
(b) Construction of motorways and express roads (2);  
(c) Construction of a new road of four or more lanes, or realignment and/or widening of an existing road of two lanes or less so as to provide four or more lanes, where such new road, or realigned and/or widened section of road would be 10 km or more in a continuous length.
8. (a) Inland waterways and ports for inland-waterway traffic which permit the passage of vessels of over 1 350 tonnes;  
(b) Trading ports, piers for loading and unloading connected to land and outside ports (excluding ferry piers) which can take vessels of over 1 350 tonnes.
9. Waste disposal installations for the incineration, chemical treatment as defined in Annex IIA to Directive 75/442/EEC (3) under heading D9, or landfill of hazardous waste (i.e. waste to

which Directive 91/689/EEC (4) applies).

10. Waste disposal installations for the incineration or chemical treatment as defined in Annex IIA to Directive 75/442/EEC under heading D9 of non-hazardous waste with a capacity exceeding 100 tonnes per day.
  11. Groundwater abstraction or artificial groundwater recharge schemes where the annual volume of water abstracted or recharged is equivalent to or exceeds 10 million cubic metres.
  12. (a) Works for the transfer of water resources between river basins where this transfer aims at preventing possible shortages of water and where the amount of water transferred exceeds 100 million cubic metres/year;  
(b) In all other cases, works for the transfer of water resources between river basins where the multi-annual average flow of the basin of abstraction exceeds 2 000 million cubic metres/year and where the amount of water transferred exceeds 5 % of this flow.  
In both cases transfers of piped drinking water are excluded.
  13. Waste water treatment plants with a capacity exceeding 150 000 population equivalent as defined in Article 2 point (6) of Directive 91/271/EEC (5).
  14. Extraction of petroleum and natural gas for commercial purposes where the amount extracted exceeds 500 tonnes/day in the case of petroleum and 500 000 m<sup>3</sup>/day in the case of gas.
  15. Dams and other installations designed for the holding back or permanent storage of water, where a new or additional amount of water held back or stored exceeds 10 million cubic metres.
  16. Pipelines for the transport of gas, oil or chemicals with a diameter of more than 800 mm and a length of more than 40 km.
  17. Installations for the intensive rearing of poultry or pigs with more than:
    - (a) 85 000 places for broilers, 60 000 places for hens;
    - (b) 3 000 places for production pigs (over 30 kg); or
    - (c) 900 places for sows.
  18. Industrial plants for the
    - (a) production of pulp from timber or similar fibrous materials;
    - (b) production of paper and board with a production capacity exceeding 200 tonnes per day.
  19. Quarries and open-cast mining where the surface of the site exceeds 25 hectares, or peat extraction, where the surface of the site exceeds 150 hectares.
  20. Construction of overhead electrical power lines with a voltage of 220 kV or more and a length of more than 15 km.
  21. Installations for storage of petroleum, petrochemical, or chemical products with a capacity of 200 000 tonnes or more.
-

## **APPENDIX B**

### **PROJECTS LISTED IN ANNEX II OF DIRECTIVE 97/11/EC**

Article 4(2) of Directive 97/11/EC requires that the following types of projects must be subject to EIA if it is determined, either by case-by-case examination or on the basis of thresholds and criteria set by the Member State, that they are likely to have significant effects on the environment.

---

#### Annex II Projects

---

##### 1. Agriculture, silviculture and aquaculture

- (a) Projects for the restructuring of rural land holdings;
- (b) Projects for the use of uncultivated land or semi-natural areas for intensive agricultural purposes;
- (c) Water management projects for agriculture, including irrigation and land drainage projects;
- (d) Initial afforestation and deforestation for the purposes of conversion to another type of land use;
- (e) Intensive livestock installations (projects not included in Annex I);
- (f) Intensive fish farming;
- (g) Reclamation of land from the sea.

##### 2. Extractive industry

- (a) Quarries, open-cast mining and peat extraction (projects not included in Annex I);
- (b) Underground mining;
- (c) Extraction of minerals by marine or fluvial dredging;
- (d) Deep drillings, in particular:
  - geothermal drilling,
  - drilling for the storage of nuclear waste material,
  - drilling for water supplies,with the exception of drillings for investigating the stability of the soil;
- (e) Surface industrial installations for the extraction of coal, petroleum, natural gas and ores, as well as bituminous shale.

##### 3. Energy industry

- (a) Industrial installations for the production of electricity, steam and hot water (projects not included in Annex I);
- (b) Industrial installations for carrying gas, steam and hot water; transmission of electrical energy by overhead cables (projects not included in Annex I);
- (c) Surface storage of natural gas;
- (d) Underground storage of combustible gases;
- (e) Surface storage of fossil fuels;
- (f) Industrial briquetting of coal and lignite;
- (g) Installations for the processing and storage of radioactive waste (unless included in Annex I);
- (h) Installations for hydroelectric energy production;
- (i) Installations for the harnessing of wind power for energy production (wind farms).

##### 4. Production and processing of metals

- (a) Installations for the production of pig iron or steel (primary or secondary fusion) including continuous casting;
  - (b) Installations for the processing of ferrous metals:
    - (i) hot-rolling mills;
    - (ii) smithies with hammers;
    - (iii) application of protective fused metal coats;
  - (c) Ferrous metal foundries;
  - (d) Installations for the smelting, including the alloyage, of non-ferrous metals, excluding precious metals, including recovered products (refining, foundry casting, etc.);
  - (e) Installations for surface treatment of metals and plastic materials using an electrolytic or chemical process;
  - (f) Manufacture and assembly of motor vehicles and manufacture of motor-vehicle engines;
  - (g) Shipyards;
  - (h) Installations for the construction and repair of aircraft;
  - (i) Manufacture of railway equipment;
  - (j) Swaging by explosives;
  - (k) Installations for the roasting and sintering of metallic ores.
-

---

5. Mineral industry

- (a) Coke ovens (dry coal distillation);
- (b) Installations for the manufacture of cement;
- (c) Installations for the production of asbestos and the manufacture of asbestos-products (projects not included in Annex I);
- (d) Installations for the manufacture of glass including glass fibre;
- (e) Installations for smelting mineral substances including the production of mineral fibres;
- (f) Manufacture of ceramic products by burning, in particular roofing tiles, bricks, refractory bricks, tiles, stoneware or porcelain.

6. Chemical industry (Projects not included in Annex I)

- (a) Treatment of intermediate products and production of chemicals;
- (b) Production of pesticides and pharmaceutical products, paint and varnishes, elastomers and peroxides;
- (c) Storage facilities for petroleum, petrochemical and chemical products.

7. Food industry

- (a) Manufacture of vegetable and animal oils and fats;
- (b) Packing and canning of animal and vegetable products;
- (c) Manufacture of dairy products;
- (d) Brewing and malting;
- (e) Confectionery and syrup manufacture;
- (f) Installations for the slaughter of animals;
- (g) Industrial starch manufacturing installations;
- (h) Fish-meal and fish-oil factories;
- (i) Sugar factories.

8. Textile, leather, wood and paper industries

- (a) Industrial plants for the production of paper and board (projects not included in Annex I);
- (b) Plants for the pretreatment (operations such as washing, bleaching, mercerization) or dyeing of fibres or textiles;
- (c) Plants for the tanning of hides and skins;
- (d) Cellulose-processing and production installations.

9. Rubber industry - Manufacture and treatment of elastomer-based products.

10. Infrastructure projects

- (a) Industrial estate development projects;
- (b) Urban development projects, including the construction of shopping centres and car parks;
- (c) Construction of railways and intermodal transshipment facilities, and of intermodal terminals (projects not included in Annex I);
- (d) Construction of airfields (projects not included in Annex I);
- (e) Construction of roads, harbours and port installations, including fishing harbours (projects not included in Annex I);
- (f) Inland-waterway construction not included in Annex I, canalisation and flood-relief works;
- (g) Dams and other installations designed to hold water or store it on a long-term basis (projects not included in Annex I);
- (h) Tramways, elevated and underground railways, suspended lines or similar lines of a particular type, used exclusively or mainly for passenger transport;
- (i) Oil and gas pipeline installations (projects not included in Annex I);
- (j) Installations of long-distance aqueducts;
- (k) Coastal work to combat erosion and maritime works capable of altering the coast through the construction, for example, of dykes, moles, jetties and other sea defence works, excluding the maintenance and reconstruction of such works;
- (l) Groundwater abstraction and artificial groundwater recharge schemes not included in Annex I;
- (m) Works for the transfer of water resources between river basins not included in Annex I.

11. Other projects

- (a) Permanent racing and test tracks for motorised vehicles;
- (b) Installations for the disposal of waste (projects not included in Annex I);
- (c) Waste-water treatment plants (projects not included in Annex I);
- (d) Sludge-deposition sites;
- (e) Storage of scrap iron, including scrap vehicles;
- (f) Test benches for engines, turbines or reactors;
- (g) Installations for the manufacture of artificial mineral fibres;
- (h) Installations for the recovery or destruction of explosive substances;
- (i) Knackers' yards.

12. Tourism and leisure

- (a) Ski-runs, ski-lifts and cable-cars and associated developments;
-

- 
- (b) Marinas;
  - (c) Holiday villages and hotel complexes outside urban areas and associated developments;
  - (d) Permanent camp sites and caravan sites;
  - (e) Theme parks.

13. Any change or extension of projects listed in Annex I or Annex II, already authorised, executed or in the process of being executed, which may have significant adverse effects on the environment;  
Projects in Annex I, undertaken exclusively or mainly for the development and testing of new methods or products and not used for more than two years
-

# APPENDIX C

## ANNEX III SCREENING SELECTION CRITERIA

Article 4(3) of Directive 97/11/EC requires that Competent Authorities must take into account the selection criteria set out in Annex III of the Directive when making screening decisions on a case-by-case basis and when setting thresholds and criteria for projects requiring EIA.

---

### 1. Characteristics of Projects

The characteristics of projects must be considered having regard, in particular, to:

- the size of the project,
- the cumulation with other projects,
- the use of natural resources,
- the production of waste,
- pollution and nuisances,
- the risk of accidents, having regard in particular to substances or technologies used.

### 2. Location of Projects

The environmental sensitivity of geographical areas likely to be affected by projects must be considered, having regard, in particular, to:

- the existing land use,
- the relative abundance, quality and regenerative capacity of natural resources in the area,
- the absorption capacity of the natural environment, paying particular attention to the following areas:
  - wetlands;
  - coastal zones;
  - mountain and forest areas;
  - nature reserves and parks;
  - areas classified or protected under Member States' legislation;
  - special protection areas designated by Member States pursuant to Directive 79/409/EEC and 92/43/EEC;
  - areas in which the environmental quality standards laid down in Community legislation have already been exceeded;
  - densely populated areas;
  - landscapes of historical, cultural or archaeological significance.

### 3. Characteristics of the Potential Impact

The potential significant effects of projects must be considered in relation to criteria set out under 1 and 2 above, and having regard in particular to:

- the extent of the impact (geographical area and size of the affected population),
  - the transfrontier nature of the impact,
  - the magnitude and complexity of the impact,
  - the probability of the impact,
  - the duration, frequency and reversibility of the impact.
-

## **APPENDIX D**

# **ENVIRONMENTAL INFORMATION REQUIREMENTS SET OUT IN ANNEX IV OF DIRECTIVE 97/11/EC**

Article 5(1) of Directive 97/11/EC requires the Developer to provide to the Competent Authority the information set out below in so much as the information is relevant to the given stage of the consent procedure and to the specific characteristics of the project and of the environmental features likely to be affected, and the developer may reasonably be required to compile the information having regard *inter alia* to current knowledge and methods of assessment.

---

### Environmental Information Requirements for EIA

---

1. Description of the project, including in particular:
    - a description of the physical characteristics of the whole project and the land-use requirements during the construction and operational phases,
    - a description of the main characteristics of the production processes, for instance, nature and quantity of the materials used,
    - an estimate, by type and quantity, of expected residues and emissions (water, air and soil pollution, noise, vibration, light, heat, radiation, etc.) resulting from the operation of the proposed project.
  2. An outline of the main alternatives studied by the developer and an indication of the main reasons for this choice, taking into account the environmental effects.
  3. A description of the aspects of the environment likely to be significantly affected by the proposed project, including, in particular, population, fauna, flora, soil, water, air, climatic factors, material assets, including the architectural and archaeological heritage, landscape and the inter-relationship between the above factors.
  4. A description of the likely significant effects of the proposed project on the environment resulting from:
    - the existence of the project,
    - the use of natural resources,
    - the emission of pollutants, the creation of nuisances and the elimination of waste,and the description by the developer of the forecasting methods used to assess the effects on the environment.
  5. A description of the measures envisaged to prevent, reduce and where possible offset any significant adverse effects on the environment.
  6. A non-technical summary of the information provided under the above headings.
  7. An indication of any difficulties (technical deficiencies or lack of know-how) encountered by the developer in compiling the required information.
-