

#### WORKED EXAMPLES

### Example 1

One of the water uses requiring authorisation in terms of the National Water Act, 36 of 1998 (NWA) is the taking of water from a water resource (unless the water use in question is permissible as a continuation of an existing lawful water use or in terms of a general authorisation). By way of an example, in the case of a large scale property development (such as a golf course), a water use licence will be needed if water for the development is to be abstracted from a water resource (e.g. groundwater via boreholes), rather than being obtained from the water services provider. Thus, in order to proceed, this development will require a water use licence and an environmental authorisation.

How should these two application procedures be managed?

Neither NEMA nor the NWA specifies that a water use licence must be obtained before the environmental authorisation or vice versa. The decision-maker under the NWA will focus his or her decision on what effect the abstraction will have on the water resource or on other users. However, he or she must also apply the principles set out in section 2 of NEMA when making the decision. While it is not necessary for the decision-maker under the NWA to wait for environmental authorisation to be issued, all the environmental information generated by the EIA process must be available and considered prior to making the NWA decision. In practice, usually the environmental authorisation is granted subject to the Applicant obtaining a water use licence from DWA. From the competent authority's point of view, however, it would be beneficial for all of the information relevant to the water use application to be available, as this will be of assistance when consulting the DWA. Furthermore, such information will be beneficial to the competent authority in determining whether water availability represents a significant issue from an environmental impact point of view or not. As noted elsewhere in this guideline the two authorities do not need to make the same decision. Each authority must apply its own mind consider the potential impacts on the environment from their own perspective.

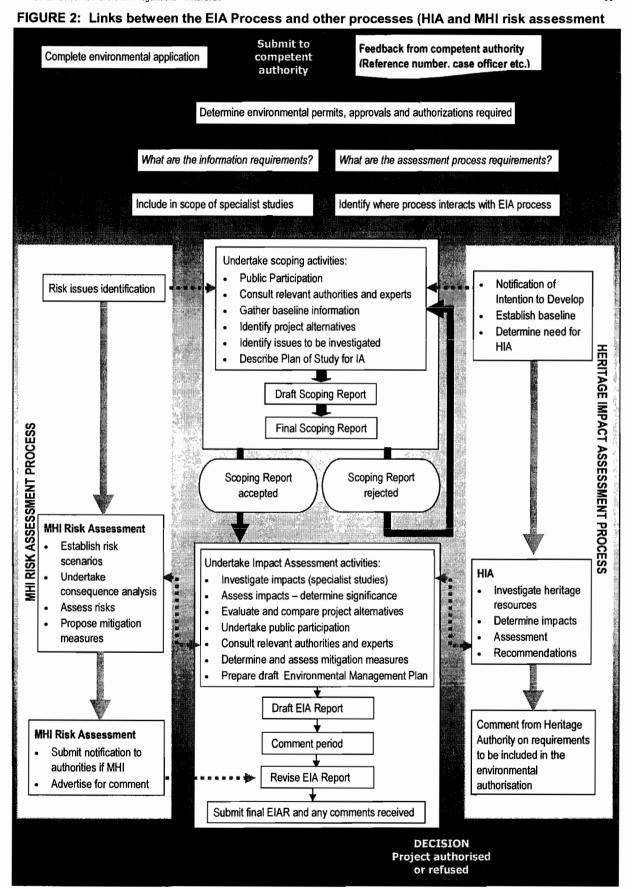
#### Example 2

Another example of parallel processes relates to the Development Facilitation Act, 67 of 1995 (DFA) procedure. The DFA Tribunal may approve a development application, but no construction can commence until an environmental authorisation has been obtained. The DFA Regulations contain their own provisions for environmental evaluation, but they merely incorporate the EIA regulations - they require that a scoping report is prepared in accordance with DEA's own EIA requirements, so the process is the same. Although it is not essential, it is advisable to obtain an environmental approval before approaching the DFA Tribunal.

the Applicant waits for the land to be rezoned before he or she appoints an EAP to undertake the EIA process there will unnecessary delays. This is due to the fact that most authorities involved in land use decisions require the EIA process to be complete to enable them to take these factors into account in their decision-making process. From an EIA perspective, information from the rezoning application can be useful in gaining insight into whether the proposed project is aligned with spatial plans for the area and whether it is appropriate in the context of surrounding land uses. Furthermore, if the rezoning application is lodged when the EIA process commences, this will allow a streamlined approach in respect of the public consultation process required for the rezoning and environmental applications.

Of particular relevance in terms of co-ordination of the information requirements of various authorities are those circumstances where a Heritage Impact Assessment (HIA) or a Major Hazard Installation (MHI) Risk Assessment required. These investigations would thus be treated as specialist studies within the EIA. The relationship between the process and the HIA and MHI risk assessment, respectively, is shown in Figure 2.

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Section 38 of the NHRA lists various categories of development for which heritage input is required. In addition, NEMA requires that an investigation, assessment and evaluation of the impact of any proposed listed or specified activity on any national estate referred to in section 3(2) of the NHRA, be included in an environmental application, excluding the national estate contemplated in section 3(2)(i)(vi) and (vii) of that Act.<sup>71</sup> Where heritage issues are relevant it must be borne in mind that the need for a HIA in terms of section 38 of the NHRA is only one consideration. It may also be necessary to obtain a permit from the relevant heritage resources authority under certain circumstances, for example, if any change to a national or provincial heritage resource<sup>72</sup> or to any heritage objects<sup>73</sup> or a structure older than 60 years,<sup>74</sup> is envisaged.

Whether heritage resources will be an issue requiring investigation or not, will be determined by the location of the project, namely whether there are any heritage resources on the site or its surroundings that could be affected by the development. It must be noted that this could include visual impact issues. For example, if a road which includes bridges is to be constructed and there are important historical buildings in the vicinity of the bridges, the visual impact of these structures in the context of the historical buildings will require investigation. Similarly, if electricity transmission lines will traverse a cultural or scenic landscape, the visual and sense of place impacts will require consideration.

Any person wishing to undertake a category of development listed in section 38 of the NHRA must at the very earliest stages of initiating such a development notify the responsible heritage resources authority and furnish it with details regarding location, nature and extent of the proposed development. The heritage resources authority will determine whether an HIA is required on the basis of the information provided in Notification of Intent to Develop (NID).

A MHI (Major Hazard Installation) risk assessment will always be required if there is a likelihood that any facility within the



### IMPORTANT POINTS TO REMEMBER

- Heritage Impact Assessment: The need for a HIA is not only determined by
  the type of development being proposed and whether this is listed in section
  38(8) of the NHRA. Heritage resources could arise as an issue in respect of
  any type of development, which means that a specialist study on heritage
  issues (i.e. a HIA) will be needed. Thus, a HIA may be required for any of the
  development sectors that are covered in this guideline.
- MHI Risk Assessment: Typically one would consider a MHI risk assessment to be associated with industrial projects. In the context of this sector guideline, a MHI risk assessment may be required for most energy sector developments. Agri-industry is another sector where a MHI risk assessment may be a necessary study (e.g. use of ammonia for cooling purposes). It must be borne in mind, however, that a MHI risk assessment may be required for any development where dangerous goods would be used and/or stored. For example, a large-scale property development where there will be storage of diesel (e.g. for refuelling vehicles; for use in a stand-by generator) or liquid petroleum gas for restaurants may require a MHI risk assessment depending on the location of the project and the volumes of the dangerous good involved.

development could pose a major hazard. Although this is not specifically defined in a quantitative way in the MHI Regulations (GNR 692 of 30 July 2001), a MHI is described as being any installation or quantity of substance "which may pose a risk that could affect the health and safety of employees and the public" Whilst this definition is general in nature, the typical practice in South Africa is to

NEMA Section 24(4)(b)(iii). The national estate referred to in the relevant section of NHRA comprises objects of scientific or technological interest (section 3(2)(i)(vi); and (in terms of section 3(2)(i)(vi)) - books, records, documents, photographic positives and negatives, graphic, film or video material or sound recordings, excluding those that are public records as defined in section 1(xiv) of the National Archives of South Africa Act, 1996 (Act No. 43 of 1996).

<sup>72</sup> NHRA section 27(18) 73 NHRA section 32(13)

<sup>74</sup> NHRA section 34(1)

<sup>75</sup> Regulation 2(1)

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use international standards (usually those applied in the UK) to determine if a facility classifies as a MHI or not. In the case of the categories of projects that are covered in this guideline it is important not to assume that a development (e.g. a social infrastructure project or large-scale property development) that would not ordinarily be associated with the notion of a MHI, does not have any facilities that could prove to be a MHI (e.g. fuel storage). In terms of linear development, a MHI risk assessment is likely to be necessary where a dangerous good is to be conveyed in a pipeline.

Important points to note for projects where a MHI risk assessment is required are as follows:

- Whilst the MHI Regulations do not make provision for an approval or permit to be issued, if a facility is shown to be a MHI, it must be registered as such with the national and provincial Department of Labour, as well as the municipality (Fire Department or Disaster Management).
- The Department of Labour (typically the division that deals with Health & Safety matters) would be a commenting authority that would need to be registered as an I&AP. The municipal fire department or disaster management department must also be registered as an I&AP.
- The MHI risk assessment must be conducted by a Department of Labour Approved Inspection Authority (AIA). Since the occupational health and safety legislation requires that an AIA be used for various investigations, the Department's approval will specify the category of work for which a particular organisation or person has been approved. This means that care must be taken by the Applicant to ensure that a correctly approved party is appointed to undertake the MHI risk assessment.
- If, on the basis of the risk assessment, a facility is classed as a MHI, this fact must be communicated to any person that could be affected by the facility.76 Typically this involves advertising the MHI, once the risk assessment has been completed. It is possible to dovetail this advert with that being undertaken for the EIA process, depending on the circumstances. For example, it has been decided to place an advert in the press announcing the availability of the Draft EIAR, it should also be possible to advertise the availability of the MHI risk assessment since this study would be included in the Draft EIAR as a specialist study.
- The comment period in respect of the MHI Risk Assessment is not specified in the MHI Regulations. A comment period of 60 days is typically applied in respect of the MHI Risk Assessment. This is the result of 60 days being the period given for health and safety structures within the organisation (e.g. health and safety committee) to comment on the arrangements made for the undertaking of the risk assessment.

## 4.2.2 Dealing with the question of exemptions

There is no provision in NEMA for exemption from the EIA Regulations in their entirety. Section 24M of NEMA provides for exemption from any provision in the Act except section 24(4)(a). Section 24(4) deals with the requirements for investigating, assessing and communicating potential impacts or consequences of activities on the environment. Some of these requirements are set out in section 24(4)(a) and other in section 24(4)(b). Thus, application can be made for exemption from any provision in section 24(4)(b), which includes the requirement to consider alternatives. Such exemption can be granted by the Minister, MEC or the Minister of Minerals and Energy. 77 In NEMA

<sup>&</sup>lt;sup>76</sup> MHI Regulations – Regulation 5(8).

Section 24M(2) – Note the Minister of Minerals and Energy's power to grant exemptions is limited to the provisions in section 24(4)(b) of NEMA.

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the Minister of Minerals and Energy is defined as that Minister who is responsible for the implementation of environmental matters in relation to mining). The general objectives of Integrated Environmental Management in NEMA include the consideration of alternatives.<sup>78</sup> Thus, the competent authority is likely, in most instances, to be reluctant to grant an exemption in this regard. An exemption cannot be granted from providing a BAR or an EIAR, as NEMA specifies that potential impacts on the environment of listed or specified activities must be considered, investigated, assessed <u>and reported on</u> to the competent authority or the Minister of Minerals and Energy, as the case may be.<sup>79</sup>

The EIA regulations do allow for exemptions (Regulation 51), but this is only applicable to provisions within the regulations themselves. An exemption could, therefore, be obtained from having complete to specific steps in the Basic Assessment or the Scoping and EIA process. Probably the most common area where an exemption could be considered with regard to public participation requirements. For example, it would make sense to apply for exemption from



#### DEBUNKING THE MYTHS

THE MYTH: Applying for exemption will result in a shorter, faster process.

THE REALITY: The Applicant (via the EAP) is required to provide a motivation for exemption. This will generally involve the collection and analysis of information. Sufficient information needs to be provided to the decision-maker as the competent authority is required to apply his/her mind to an exemption application as rigorously as would be the case for any other type of decision. Exemptions also require public participation. Exemption decisions are appealable and if granted prior to the decision to refuse or grant environmental authorisation will result in the application for environmental authorisation being delayed. No timeframes are provided for deciding on exemption applications. Given all of these factors an exemption from certain provisions of the EIA regulations may not always result in a shorter or faster process.

putting up a site notice as required in terms of Regulation 56(2)(a) where the location is remote, neighbours are situated far away from the site and/or the volume of passing traffic is extremely low (i.e. the chances of an I&AP seeing the notice is extremely low).

Although it may seem reasonable, in the example given, to apply for exemption from Regulation 56(2)(a), consideration must be given to alternative and more appropriate methods of reaching I&APs (e.g. notices on Community Notice Boards). In motivating for exemption from any public participation requirement, the EAP must show that other options have been considered or provide adequate proof that it is appropriate in the circumstances to undertake fewer activities than the EIA regulations specify. In doing so, certainty that the rights of I&APs will not be negatively affected must be provided, since the EIA regulations specify that an exemption may not be granted if the rights of any I&APs are likely to adversely affected.<sup>80</sup>

The EIA Regulations give the competent authority a wide discretion to grant or refuse applications for exemptions. An exemption may only be granted if:

- the exemption is unlikely to have a significant detrimental impact on the environment;
- the provision cannot be implemented in practice in the case in question; or
- the exemption is unlikely to adversely affect the rights of I&APs.

In addition, the decision to grant an exemption falls within the PAJA definition of an administrative action. PAJA provides numerous grounds on which administrative action may be reviewed by a

<sup>78</sup> Section 23.

<sup>&</sup>lt;sup>79</sup> Section 24(1)

<sup>80</sup> Regulation 51(2).

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court,81 and thus competent authorities deciding applications for exemptions must take these into account: These grounds include that:

- · the competent authority was biased or reasonably suspected to be biased;
- he or she took into account irrelevant considerations or failed to consider relevant ones or was influenced by an error of law:
- the decision was not rationally connected to the purpose for which it was taken (e.g. to the exemption provision in the EIA regulations, the information before the competent authority or to the reasons given for it by the competent authority);82 and
- the decision was unreasonable, arbitrary or capricious, procedurally unfair, or taken for an ulterior purpose.

Applying for an exemption should be approached with caution, particularly for projects that fall within the scope of Listing Notice 2 (GN R 387). As a "rule of thumb" exemption from provisions in the EIA regulations in respect of development proposals that require Scoping and EIA is highly unlikely to be approved by the competent authority. The reason for this is that such projects can generally be expected to be significant in scale, with a wide range of environmental concerns.

#### 4.3 Fulfilling responsibilities that apply to organs of state

In this section the potential role of organs of state in applications for authorisations is described and examples provided to assist in explaining these roles. It is necessary to distinguish between the three different roles organs of state may play during an EIA process for authorisations: that of competent authority, Applicant or commenting authority. The role of other organs of state that must issue authorisations under other legislation before the project can proceed is discussed in Section 4.2.1. Where applicable, these organs of state must be registered as commenting authorities by the EAP for the purposes of the EIA process.

This section should be read in conjunction with the legal matrix (Annex B) that has been compiled that lists the legal requirements of NEMA and the regulations and describes the specific considerations for the non-linear development category (i.e. large scale property development, social infrastructure, energy and agri-industry) as well as for the linear development category.

82 Section 6(2)(f)(ii)(aa) of PAJA.

<sup>81</sup> Section 6 of PAJA.

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TABLE 5: Role and responsibilities of organs of state in the EIA process

#### APPLICABLE CIRCUMSTANCES RESPONSIBILITIES **EXAMPLE** ROLE: Organ of state as competent authority (decision-maker) Listing Notices identify the competent authority for Ensure NEMA section 24(4) minimum requirements have been satisfied DEA will be the competent authority for all ESKOM energy each activity. In most cases the provincial generation and transmission projects, independent electricity Take into account and apply NEMA section 2 principles department is the competent authority except in the producers and co-generation projects and the provincial Consider all the criteria prescribed in NEMA section 24(O) following circumstances where the National department is the commenting authority. · Consult with other State Departments Minister must be the competent authority: DEA will be the competent authority for a large-scale property · Comply with prescribed timeframes failing which notify the MEC development that is located on the shores of a RAMSAR The activity has implications for national · Take into account relevant national and provincial guidelines environmental policy or international wetland84, which is also a National Park. It is important that Determine if there is adequate information to make a decision commitments or relations: DEA take cognisance of the provincial environmental · Take comments from other organs of state into account department's input and in particular the opinion of the The activity will take place in an area identified Assess the submission in terms of relevant legislation, policies, plans, provincial conservation agency. in terms of sections 24(c)(2)(b) of NEMA in strategies, and guidelines with a view to upholding the principles of Apply principles of cooperative governance under chapter 3 of certain circumstances: sustainability the Constitution where permissions from different organs of The applicant is a national department; Offer advice to the Applicant and the EAP throughout the process state are required. The applicant is a provincial department Ensure consistency in communication with the EAP and/or the Applicant responsible for environmental affairs; Where information or processes necessary for EIA are Take decisions that are reasonable and fair and that advance sustainability substantially similar to those required by legislation other than . The applicant is a statutory body (excluding a · Provide reasons or rationale for the decision, including how the NEMA the EIA Regulations, in terms of Regulation 6, a written municipality) performing an exclusive principles have been applied agreement must be entered into with the other organ(s) of competence of national government; or state concerned, so that the processes are co-ordinated. Where the activity will take place in a national proclaimed protected area or another conservation area under the control of a national authority.83

<sup>83</sup> Section 24C of NEMA.

A RAMSAR wetland is a site designated by the Conference of the Contracting Parties to the Convention on Wetlands of International Importance, especially as Waterfowl Habitat (the Ramsar Convention) for inclusion on the List of Wetlands of International Importance because it meets one or more of the Ramsar criteria.

APPLICABLE CIRCUMSTANCES	RESPONSIBILITIES	EXAMPLE
ROLE: Organ of state as Applicant		
Organ of state wishes to undertake a Listed Activity.	Comply with Regulations (as any other applicant)     Comply with NEMA section 2 principles	Provincial agriculture department emerging farmer project CASP (Comprehensive Agricultural Support Programme) Provincial low cost housing project on property over 20ha The precautionary principle must be taken into account: The Department of Housing for example has undertaken a site identification initiative (of sites for which environmental authorisation was not granted) and this must be factored into strategic planning for future projects
ROLE: Organ of state as Commenting Author	prity.	
Authorities will be called upon to comment on an application which includes aspects that fall within their mandate	Comment on application within prescribed timeframes     Apply NEMA section 2 principles     Identify technical requirements to be addressed in assessment     Provide relevant baseline information on site and local environment     Participate in the process in a constructive and responsible manner     Provide clear and relevant input within the legislated timeframes     Provide relevant policies, plans, guidelines and any applicable norms and standards     Liaise with other government departments (co-operative governance) and with the competent authority regarding concerns     If an approving or permitting authority in respect of some aspect of the application, liaise with the competent authority around the decision-making process (e.g. share views)	DWA should be consulted for large-scale development on land where there are water resources.     Provincial conservation agencies must be consulted regarding potential for biodiversity loss and impacts on biodiversity.

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# 4.4 Making use of guidelines in the EIA process

In terms of Regulation 73, the Minister may by notice in the Government Gazette issue national Guidelines on the implementation of the EIA regulations. The MEC may also by notice in the official Gazette of the province issue provincial guidelines in relation to applications in respect of which the MEC is the competent authority. The status of such guidelines is that they are "not binding but must be taken into account when preparing, submitting, processing or considering any application." Therefore, applicants, EAPs and competent authorities must all be aware of relevant guidelines published under regulations 73 or 74. Guidelines that may be relevant to applications for environmental authorisations are listed in Table 5.

Provincial guidelines must be consistent with national guidelines that are issued in terms of regulation 73. Prior to issuing guidelines, the Minister or MEC must publish draft guidelines in the relevant Gazette for public comment. 86 Consideration should also be given to draft guidelines if they



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- Guidelines are not legally binding but if they are relevant to the decision being made they must be considered by EAPs and the Applicant.
- Decision-makers should take account of guidelines when applying their minds to a decision.

are relevant, but the EIA regulations do not require that these be taken into account.

86 Regulation 76.

<sup>&</sup>lt;sup>85</sup> Regulation 75.

TABLE 6: List of useful policies and guidelines

NAME OF DOCUMENT	BRIEF DESCRIPTION	WHEN TO USE	WHERE TO FIND
EIA Guidelines: NEMA EIA Reg	julations (Department of Environmental Affairs – formerly the Departr	nent of Environmental Affairs & Tourism)	State of the state
General Guide to the EIA Regulations (Guideline 3)	Provides an overview of the requirements of the Regulations.	Confirming or clarifying the requirements of the EIA Regulations.	Contact DEA: (012) 310 - 3911
Public participation (Guideline 4)	Describes the requirements for the PPP.	<ul> <li>Planning the PPP for Scoping and EIA.</li> <li>Reviewing the PPP by the facilitator and/or EAP on an ongoing basis to identify the need for adjustments.</li> </ul>	Contact DEA: (012) 310 - 3911
Assessment of alternatives and impacts (Guideline 5)	Includes the legal requirements for identifying and assessing alternatives, an overview of the range of alternatives that may be considered and a summary of the role of considering alternatives.	<ul> <li>Identifying alternatives and determining the approach to their evaluation.</li> <li>Identifying impacts and determining the approach to their assessment and evaluation.</li> </ul>	Contact DEA: (012) 310 - 3911
IEM Information Series (Depart	ment of Environmental Affairs – formerly the Department of Environm	ental Affairs & Tourism)	
Screening (No .1)87	Provides an overview of the screening process and clarifies the purpose and definition of screening	Determining the need for an application under the EIA Regulations.	http://www.deat.gov.za
Scoping (No. 2)88	Clarifies the purpose of scoping and explains the scoping process	Conducting the Scoping process.	http://www.deat.gov.za
Stakeholder engagement (No. 3)89	<ul> <li>Describes the requirements for PPP.</li> <li>Provides guidance on the level of public participation required.</li> </ul>	<ul> <li>Planning the PPP for Scoping and EIA.</li> <li>Reviewing the PPP by the facilitator and/or EAP on an ongoing basis to identify the need for adjustments.</li> </ul>	http://www.deat.gov.za
Specialist studies (No. 4)90	<ul> <li>Describes how to identify the need for specialist studies and how to determine the required scope of work.</li> <li>Provides guidance applicable to the EAP and the specialist</li> </ul>	<ul> <li>Formulating the Plan of Study for EIA in the Scoping Report (Regulation 29(j)).</li> <li>Developing the ToR to be provided to specialists.</li> </ul>	http://www.deat.gov.za
Impact significance (No. 5)91	Describes how to identify impacts and methods for determining the significance of impacts.	Determining the impact assessment methodology / ies to be applied.     Undertaking the assessment of impact significance.	http://www.deat.gov.za

<sup>&</sup>lt;sup>87</sup> DEAT (2002): Screening, Integrated Environmental Management, Information Series 1, Department of Environmental Affairs, Pretoria <sup>88</sup> DEAT (2002): Scoping, Integrated Environmental Management, Information Series 2, Department of Environmental Affairs, Pretona

<sup>89</sup> DEAT (2002): Stakeholder Engagement, Integrated Environmental Management, Information Series 3, Department of Environmental Affairs, Pretoria

DEAT (2002): Specialist Studies, Integrated Environmental Management, Information Series 4, Department of Environmental Affairs, Pretoria

<sup>&</sup>lt;sup>91</sup> DEAT (2002): Impact Significance, Integrated Environmental Management, Information Series 5, Department of Environmental Affairs, Pretoria

NAME OF DOCUMENT	BRIEF DESCRIPTION	WHEN TO USE	WHERE TO FIND
EM Information Series (Depart	ment of Environmental Affairs – formerly the Department of Environme	ental Affairs & Tourism)	
Ecological risk assessment (No.6) <sup>92</sup>	Defines Ecological Risk Assessment     Provides a framework for Ecological Risk Assessment and its use within an EIA process	<ul> <li>Determining the ToR for specialist biodiversity studies where ecological, conservation or biodiversity issues have been identified in the scoping process.</li> <li>Developing the methodology for assessing biodiversity impacts.</li> </ul>	http://www.deat.gov.za
Cumulative effects assessment (No. 7)93	Explains the principles of cumulative effects assessment     Describes approaches to incorporating the evaluation of cumulative impacts into the EIA process.	<ul> <li>Developing a methodology or approach for cumulative impact assessment, which is to be included in the Plan of Study for EIA.</li> <li>Reporting on cumulative impacts in the EIR (Regulation 32 (k)).</li> </ul>	http://www.deat.gov.za
Cost Benefit Analysis (No. 8)94	Provides an introduction to Cost Benefit Analysis     Explains the types and applications of Cost Benefit Analysis	<ul> <li>Evaluating or assessing project alternatives such as technology options or design options.</li> <li>Reviewing of the economic specialist report by the EAP to determine its adequacy.</li> </ul>	http://www.deat.gov.za
Life Cycle Assessment (No. 9)95	Provides an introduction to Life Cycle Assessment     Explains the types and applications of Life Cycle Assessment	Determining the methodology to be applied for assessing alternatives – this approach is most often applied/used for industrial projects.	http://www.deat.gov.za
Strategic Environmental Assessment (No 10) — superseded by the Guideline on SEA published in 200796	Defines Strategic Environmental Assessment (SEA) and its purpose     Describes the SEA process and links between SEA and EIA	Where an SEA has been completed in the area where development subject of an EIA is being proposed:     Collating baseline information     Scoping of issues and alternatives     Determining the scope of work for the impact assessment	http://www.deat.gov.za
Criteria for Determining Alternatives in EIA (No. 11)97	Identifies and describes the different types of alternatives     Describes how to identify alternatives and how to deal with the "no go" alternative.	Determining or identifying alternatives to be investigated in the EIA.	http://www.deat.gov.za

<sup>92</sup> DEAT (2002): Ecological Risk Assessment, Integrated Environmental Management, Information Series 6, Department of Environmental Affairs, Pretoria

<sup>93</sup> DEAT (2004): Cumulative Effects Assessment, Integrated Environmental Management, Information Series 7, Department of Environmental Affairs, Pretoria

DEAT (2004): Cost Benefit Analysis, Integrated Environmental Management, Information Series 8, Department of Environmental Affairs, Pretoria

DEAT (2004): Life Cycle Assessment, Integrated Environmental Management, Information Series 9, Department of Environmental Affairs & Tourism, Pretoria

DEAT (2007): Strategic Environmental Assessment Guideline, Integrated Environmental Guideline Series 4, Department of Environmental Affairs & Tourism, Pretoria

<sup>97</sup> DEAT (2004): Criteria for Determining Alternatives in EIA, Integrated Environmental Management, Information Series 11, Department of Environmental Affairs & Tourism, Pretoria

<sup>98</sup> DEAT (2004): Environmental Management Plans, Integrated Environmental Management, Information Series 12, Department of Environmental Affairs & Tourism, Pretoria

<sup>&</sup>lt;sup>99</sup> DEAT (2004): Review in EIA, Integrated Environmental Management, Information Series 12, Department of Environmental Affairs & Tourism, Pretoria. Note that number 13 in this series deals with Environmental Auditing and is thus not directly relevant to the EIA process.

DEAT (2004): Environmental Impact Reporting, Integrated Environmental Management, Information Series 15, Department of Environmental Affairs & Tourism, Pretoria

NAME OF DOCUMENT	BRIEF DESCRIPTION	WHEN TO USE	WHERE TO FIND
Draft Guidelines: NEMA EIA R	egulations - Guidelines and Information Document Series (Department	of Environmental Affairs and Development Planning - W	Cape)
Guideline on Appeals	<ul> <li>Focuses on appeal applications, the processing of appeals, the appeal panel and the validity of appeals.</li> <li>Provides guidance on minimum legal requirements for appeal applications and public participation related to appeals.</li> </ul>	<ul> <li>Compiling information for the submission of an appeal.</li> <li>Determining if there are adequate grounds to lodge an appeal.</li> </ul>	http://www.capegateway.gov.za
Guideline on Public Participation	Describes the requirements for the procedure for the PPP.     Sets out when such process should be conducted and provides guidance on the level of public participation required.	<ul> <li>Planning of the PPP for Scoping and EIA by the facilitator and/or EAP.</li> <li>Reviewing the PPP by the facilitator and/or EAP on an ongoing basis to identify the need for adjustments.</li> </ul>	http://www.capegateway.gov.za
Guideline on Transitional Arrangements	Provides guidance to parties involved in applications submitted under the ECA that were still pending when the NEMA EIA Regulations were implemented.  Also provides clarity to parties involved in decisions taken in terms of the ECA regulations that were still in force when the NEMA EIA regulations came into effect.	<ul> <li>Dealing with applications received or decisions taken under the ECA. This guideline must be read in conjunction with NEMA and the EIA regulations under NEMA.</li> </ul>	http://www.capegateway.gov.za
Guideline on Need and Desirability	Explains the concept of need and desirability in terms of the general meaning, in which need refers to time and desirability to place     Provides a basis for addressing need and desirability as individual concepts through using the questions set out in this guideline	<ul> <li>Describing need and desirability of the proposed activity and alternatives (BAR, Scoping Report, EIAR)</li> <li>Evaluating and making decisions on applications (by the competent authority)</li> </ul>	http://www.capegateway.gov.za
Guidelines for Specialist Invol	vement in EIA Processes (Department of Environmental Affairs and De	velopment Planning – W Cape)	
Guidelines for determining the Scope of Specialist involvement in EIA Processes <sup>101</sup>	Sets out an approach to determining the need for, timing, role and scope of specialist involvement during the different stages.     A best practice approach is adopted that encourages early and appropriate specialist involvement in the EIA process.	<ul> <li>Formulating the Plan of Study for EIA in the Scoping Report.</li> <li>Developing the ToR to be provided to specialists.</li> <li>Determining the need for specialist comments or statements for the BAR.</li> </ul>	http://www.capegateway.gov.za
Guidelines for determining the Scope of Specialist involvement n EIA Processes102	<ul> <li>Sets out an approach to determining the need for, timing, role and scope of specialist involvement during the different stages.</li> <li>A best practice approach is adopted that encourages early and</li> </ul>	<ul> <li>Formulating the Plan of Study for EIA in the Scoping Report.</li> <li>Developing the ToR to be provided to specialists.</li> </ul>	http://www.capegateway.gov.za

Münster, F. 2005. Guideline for determining the scope of specialist involvement in EIA processes: Edition 1. CSIR Report No ENV-S-C 2005 053 A. Republic of South Africa, Provincial Government of the Western Cape, Department of Environmental Affairs & Development Planning, Cape Town.

Münster, F. 2005. Guideline for determining the scope of specialist involvement in EIA processes: Edition 1. CSIR Report No ENV-S-C 2005 053 A. Republic of South Africa,

Provincial Government of the Western Cape, Department of Environmental Affairs & Development Planning, Cape Town.

NAME OF DOCUMENT	BRIEF DESCRIPTION	WHEN TO USE WHERE TO FIND
	appropriate specialist involvement in the EIA process.	Determining the need for specialist comments or statements for the BAR.
NAME OF DOCUMENT	BRIEF DESCRIPTION	WHEN TO USE WHERE TO FIND
Guidelines for Specialist Involv	ement in EIA Processes (Department of Environmental Affairs and D	evelopment Planning – W Cape)
Guidelines for determining the Scope of Specialist involvement in EIA Processes <sup>103</sup>	<ul> <li>Sets out an approach to determining the need for, timing, role and scope of specialist involvement during the different stages.</li> <li>A best practice approach is adopted that encourages early and appropriate specialist involvement in the EIA process.</li> </ul>	Formulating the Plan of Study for EIA in the Scoping Report.     Developing the ToR to be provided to specialists.     Determining the need for specialist comments or statements for the BAR.
Guideline for involving Biodiversity Specialists in EIA Processes <sup>104</sup>	<ul> <li>Identifies the main triggers and key issues that require specialist input on biodiversity.</li> <li>Covers the range of possible inputs of biodiversity specialists.</li> <li>Focuses on the role of the EIA practitioner in planning the specialist input and on the issues to be considered in the finalisation of the Terms of Reference (ToR).</li> </ul>	Developing ToR for the biodiversity specialist, where scoping has shown that biodiversity, nature conservation and /or ecological issues require investigation.      Reviewing of the reports provided by biodiversity specialist by the EAP.  http://www.capegateway.gov.za
Guideline for involving Hydrogeologists in EIA Processes <sup>105</sup>	Lists considerations to be taken into account when drawing up ToR for hydro-geological specialists and when reviewing specialist hydro-geological input.	Developing ToR for the hydro-geological specialist study, where scoping has determined that groundwater issues require investigation.     Reviewing of the hydro-geological specialist report by the EAP to determine if it is adequate.  http://www.capegateway.gov.za
Guideline for involving Heritage Specialists in EIA Processes <sup>106</sup>	<ul> <li>Focuses on when heritage specialist input is required, which aspects need to be addressed by the specialist and the criteria to be used to evaluate the adequacy of the input.</li> <li>Emphasises that heritage specialist input needs to occur at the earliest possible stage in the project cycle.</li> </ul>	Developing ToR for the heritage specialist study, where scoping has determined that heritage issues require investigation.     Reviewing of the heritage specialist report by the EAP to determine if it is adequate.

<sup>103</sup> Münster, F. 2005. Guideline for determining the scope of specialist involvement in EIA processes: Edition 1. CSIR Report No ENV-S-C 2005 053 A. Republic of South Africa, Provincial Government of the Western Cape, Department of Environmental Affairs & Development Planning, Cape Town.

Brownlie, S. 2005. Guideline for involving biodiversity specialists in EIA processes: Edition 1. CSIR Report No ENV-S-C 2005 053 C. Republic of South Africa, Provincial Government of the Western Cape, Department of Environmental Affairs & Development Planning, Cape Town.

<sup>105</sup> Saayman, I. 2005. Guideline for involving hydrogeologists in EIA processes: Edition 1. CSIR Report No ENV-S-C 2005 053 D. Republic of South Africa, Provincial Government of the Western Cape, Department of Environmental Affairs & Development Planning, Cape Town.

Winter, S. & Baumann, N. 2005. Guideline for involving heritage specialists in EIA processes: Edition 1. CSIR Report No ENV-S-C 2005 053 E. Republic of South Africa, Provincial Government of the Western Cape, Department of Environmental Affairs & Development Planning, Cape Town.

NAME OF DOCUMENT	BRIEF DESCRIPTION	s .	WHEN TO USE	WHERE TO FIND
		<b>—</b> •	Determining the need for specialist comments or	
l i			statements for the BAR.	

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Guidelines for Specialist Involv	rement in EIA Processes (Department of Environmental Affairs and D	evelopment Planning – W Cape)	(3 (1 m (3) 1 m (3 m (4) 1 m (
Guideline for involving Visual and Aesthetic Specialists in EIA Processes <sup>107</sup>	Defines the visual and aesthetic components of the environment and deals with typical factors that trigger the need for specialist visual input to a particular project. Deals with the choice of an appropriate visual specialist and the preparation of the ToR.	<ul> <li>Developing ToR for the visual specialist where scoping has shown that visual issues require investigation.</li> <li>Reviewing of the reports provided by the visual specialist by the EAP.</li> <li>Determining the need for specialist comments or statements for the BAR.</li> </ul>	http://www.capegateway.gov.za
Guideline for involving Economists in EIA Processes <sup>108</sup>	Addresses the issues of when economic inputs are required, which aspects must be addressed by the economic specialist and the specific criteria against which economic input can be measured.	Developing ToR for the economic specialist, where scoping has shown that economic issues require investigation. Reviewing of the reports provided the economic specialist by the EAP. Determining the need for specialist comments or statements for the BAR.	http://www.capegateway.gov.za
Guideline for the Review of Specialist Input in EIA Processes <sup>109</sup>	Identifies triggers that determine when review should take place, and who should undertake the review.     Presents criteria that support the review process in determining whether or not the input meets the minimum requirements and is reasonable, objective and professionally discernible.     Identifies triggers for the review of specialist input by different reviewers.     Provides review criteria for the overall quality assurance of the specialist input.	Reviewing the adequacy of specialist reports by the EAP.	http://www.capegateway.gov.za

Oberholzer, B. 2005. Guideline for involving visual & aesthetic specialists in EIA processes: Edition 1. CSIR Report No ENV-S-C 2005 053 F. Republic of South Africa, Provincial Government of the Western Cape, Department of Environmental Affairs & Development Planning, Cape Town.

<sup>108</sup> Van Zyl, H.W., de Wit, M.P. & Leiman, A. 2005. Guideline for involving economists in EIA processes: Edition 1. CSIR Report No ENV-S-C 2005 053 G. Republic of South Africa, Provincial Government of the Western Cape, Department of Environmental Affairs & Development Planning, Cape Town.

<sup>109</sup> Keatimilwe, K. and Ashton, P.J. 2005. Guideline for the review of specialist input in EIA processes: Edition 1. CSIR Report No ENV-S-C 2005 053 B. Republic of South Africa, Provincial Government of the Western Cape, Department of Environmental Affairs & Development Planning, Cape Town.

NAME OF DOCUMENT	BRIEF DESCRIPTION	WHEN TO USE	WHERE TO FIND
DWAF Water Use Authorisation	: External Guidelines		and the state of t
External Guideline: Generic Water Use Authorisation Application Process	Provides an overview of the water uses, contact details of relevant officials, details of the information required during the licence application process and the process leading to the issuing of an authorisation.	<ul> <li>Identifying whether an activity involves a water use licence.</li> <li>Applying for a water use licence.</li> <li>Planning the steps in the environmental authorisation process and co-ordinating this with the timing of other licensing applications.</li> </ul>	http://www.dwaf.gov.za/Documents
External Guideline: Section 21(c) and (i) Water Use Authorisation Application Process (Impeding or Diverting the Flow of Water in a Water Course, and/or Altering the Bed, Banks, Course or Characteristics of a Water Course)	<ul> <li>Provides information on activities that may be covered under section 21(c) and (i) water uses and authorisations that may be applicable.</li> <li>Describes the authorisation process, the role of the applicant and the information and procedural requirements during decision-making.</li> </ul>	<ul> <li>Identifying whether an activity involves a Section 21 (c) or (i) water use.</li> <li>Determining what steps to take when applying for a licence.</li> <li>Incorporating the information the authorities will need in the application.</li> <li>Ensuring that the correct application procedure is followed.</li> </ul>	http://www.dwaf.gov.za/Documents
External Guideline: Section 21(d) Water Use Authorisation Application Process (Stream Flow Reduction Activities)	<ul> <li>Describes the water use authorisation procedure that applies to the regulation of stream flow reduction activities.</li> <li>Sets out the legislative framework and the steps that must be followed, the information that is required, the obligations of the various role-players and the technical assistance that is available to the applicant.</li> </ul>	<ul> <li>Identifying whether an activity involves a Section 21 (d) water use.</li> <li>Determining what procedural steps need to be taken in a licence application.</li> <li>Checking that each role player has carried out its own obligations and responsibilities.</li> <li>Ensuring that the licence application accurately reflects the technical specifications it requires.</li> </ul>	http://www.dwaf.gov.za/Documents
DWAF Water Use Authorisation	n: Internal Guidelines		
Internal Guideline: Generic Water Use Authorisation Application Process	<ul> <li>Provides information to department officials on available guidelines and other tools to be used during the process of assessing a water use authorisation application.</li> </ul>	<ul> <li>Evaluating applications.</li> <li>Making decisions on applications.</li> </ul>	DWAF (Telephone no: 0800 200 200)
Internal Guideline: Section 21(a) and (b) Water Use Authorisation Application Process (Taking and/or Storing Water)	Focuses on applications for the taking of surface water and groundwater, and storing of water as well as the taking of water which has been removed from underground but not discharged to a water resource, or disposed of.	<ul> <li>Checking whether a water use activity requires a licence.</li> <li>Evaluating applications.</li> <li>Making decisions on applications.</li> </ul>	DWAF (Telephone no: 0800 200 200)

NAME OF DOCUMENT	BRIEF DESCRIPTION	WHEN TO USE	WHERE TO FIND
DWAF Water Use Authorisation	ı: Internal Guidelines		
Internal Guideline: Section 21(c) and (i) Water Use Authorisation Application Process (Impeding or Diverting the Flow of Water in a Water Course, and/or Altering the Bed, Banks, Course or Characteristics of a Water Course)	Assists DWAF's Primary Responsible Officers (PROs) to compile and evaluate the different information requirements for each type of authorisation and to accurately assess section 21(c) and (i) water use licence applications.     Is a useful tool to PROs in the determination of the potential risk to the environment of the proposed activity.	<ul> <li>Checking whether a water use activity requires a licence</li> <li>Evaluating applications</li> <li>Making decisions on applications</li> </ul>	DWAF (Telephone no: 0800 200 200)
Internal Guideline: Section 21(e), (f), (g), (h), (j) Water Use Authorisation Application Process (Waste Discharge Related)	Outlines the procedures to be followed in applying for an authorisation, the analyses required at the different stages of the authorisation process and the evaluation methodology to be undertaken for an issuance of a water use authorisation.	<ul> <li>Checking whether a water use activity requires a licence</li> <li>Evaluating applications</li> <li>Determining the preferred methodology</li> <li>Making decisions on applications</li> </ul>	DWAF (Telephone no: 0800 200 200)
Other Guidelines			
Guideline on the Application of the EIA Regulations to Structures associated with Communication Networks (Western Cape Department of Environment and Cultural Affairs and Sport: Environmental Management Directorate, EIA Guidelines Series, September 2001)	Guides the directorate in its decision making role with regards to applications relating to structures associated with communication networks.     Sets out the application process and explains the tasks that the developer needs to fulfil.     Lists the decision-making criteria describing issues that will be considered by the directorate.     Identifies an authorisation criterion which details the minimum requirements that the directorate will apply in the conditions of approval.	<ul> <li>Compiling information for an application that involves communication structures.</li> <li>Scoping of issues and assessing impacts that require investigation for projects involving communication structures.</li> <li>Making decisions on applications</li> </ul>	http://www.capegateway.gov.za
Provincial Urban Edge Guideline (Western Cape Department of Environmental Affairs and Development Planning, December 2005)	Establishes a consistent approach in dealing with urban growth, infill and consolidation along the urban edge in the Westem Cape.     Addresses development applications that cause amendments of the urban edge or that involve development outside the edge, affect an edge management area or abutt the urban edge.	Determining environmental objectives that should be applied in the impact assessment (significance criteria).	http://www.capegateway.gov.za

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Other Guidelines	त्र विश्वपुर्वे के क्षेत्र के के के के के किए किए किए किए किए किए कि किए के किए के किए		
Guidelines for Resort Developments in the Western Cape (Department of Environmental Affairs and Development Planning, December 2005)	<ul> <li>Focuses on considerations that should be taken into account in assuring the sustainability of the relevant area through the development of appropriate resort facilities.</li> <li>Gives attention to the criteria relevant to evaluate resort applications.</li> </ul>	Municipalities in considering resort applications.     Applicants in compiling and submitting applications.	http://www.capegateway.gov.za
Guidelines for Development on Mountains, Hills and Ridges of the Western Cape (Western Cape Department of Environment and Cultural Affaires and Sport, April 2002)	Sets out the framework for decision-making in respect of development in mountainous areas, hills and ridges.     Details the way in which the Environmental Management Directorate evaluates development proposals on mountains, hills or ridges.	Officials in making decisions about development on mountains, hills or ridges.     Applicants in compiling development proposals.	http://www.capegateway.gov.za
Guidelines for Golf Courses, Golf Estates, Polo Fields and Polo Estates in the Western Cape (Department of Environmental Affairs and Development Planning, December 2005)	<ul> <li>Provides clarity into the application and assessment process by clarifying the requirements for golf courses, golf estates, polo fields and polo estates as well as the design considerations.</li> <li>Informs decision-making with respect to golf courses, golf estates, polo fields and polo estates in all spheres of government.</li> </ul>	Decision-makers when dealing with applications for golf courses, golf estates, polo fields and polo estates and other developments of similar scale or complexity.     Applicants in formulating development proposals.     Consultants in undertaking the studies required for an EIA application.	http://www.capegateway.gov.za
Gauteng Mast Construction Guidelines (Gauteng Provincial Government: Department of Agriculture, Conservation and Environment)	Lists the factors to be considered in avoiding sensitive visual elements in the construction of masts.  Encourages the sharing of masts and identifies appropriate instances for sharing.	Compiling information for an application that involves the construction of masts.     Scoping of issues and assessing impacts that require investigation for projects involving mast construction.	http://www.qdace.gpq.gov.za
Ridges Guidelines, Gauteng Provincial Government Department of Agriculture, Conservation and Environment, September 2001 – as reviewed and updated in January 2004 and April 2006	Provides guidance for development on ridges and the use of ridges.	<ul> <li>Developing ToR for specialists studies.</li> <li>Developing the scope of work for the Impact Assessment.</li> <li>Determining the need for specialist comments or statements for the BAR.</li> </ul>	http://www.gdace.gpg.gov.za

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Other Guidelines			
Red List Plant Species Guidelines (Gauteng Provincial Government Department of Agriculture, Conservation and Environment, June 2006)	Applicable to any development, construction or actions that may result in the ecological degradation or destruction of an area supporting a population of a red list plant species.  Lists the basic rules of conservation applicable to such populations and sets out a buffer zone width for urban and rural areas.	<ul> <li>Developing ToR for specialists studies</li> <li>Developing the scope of work for the Impact Assessment.</li> <li>Determining the need for specialist comments or statements for the BAR.</li> </ul>	http://www.qdace.qpg.gov.za
DWAF: Practical Field Procedure for Identification and Delineation of Wetlands and Riparian Areas (First Edition, September 2005)	Describes field indicators and methods to determine whether an area is a wetland or riparian area.  Summarises delineation procedure for wetlands and riparian areas.	Determining the boundaries of wetlands and riparian areas.	http://www.dwaf.gov.za/Documents
Capenature's Requirements and Recommendations with the Respect to Applications for Environmental, Mining, Agriculture, Water and Planning-Related Authorisations. <sup>110</sup>	Outlines CapeNature's minimum requirements with respect to the consideration, investigation and reporting on the biodiversity aspects of proposed changes by any development application that requires comment from CapeNature.      Requires a precautionary and risk-averse approach be adopted towards projects which may result in substantial detrimental impacts on biodiversity and requires applicants to demonstrate how proposed activities will comply with particular NEMA principles.      Sets out the format of reports to be submitted and the guidelines and biodiversity plans that must inform the assessment.	When any development application requires comment from CapeNature.	CapeNature Scientific Services: landuse@capenature.co.za

<sup>&</sup>lt;sup>110</sup> Ralston S and Williams Q, CapeNature's Requirements and Recommendations with the Respect to Applications for Environmental, Mining, Agriculture, Water and Planning-Related Authorisations.