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**PROGRAMMATIC INITIAL ENVIRONMENTAL EXAMINATION (PIEE)
FOR OFFICE OF DEVELOPMENT PARTNERS (ODP) DEVELOPMENT
GRANTS PROGRAM (DGP)**

PROGRAM/ACTIVITY DATA:

Title of Program: Development Grants Program

Country/Region: Global

Implementing Partner (if designated): US PVO's and Local NGO's

Funding Period: FY 2008-2013

Life of Activity Funding: \$ 37.197 million (FY08), \$40 million (FY09), TBD (out-years)

IEE Prepared by: Office of Development Partners

Date: March 30, 2009

IEE Amendment (Y/N): If "Yes," Date of Original IEE:
No

ENVIRONMENTAL ACTION RECOMMENDED: (Place X where applicable)

Categorical Exclusion: **Negative Determination:** **with Conditions**
Positive Determination: **Deferral:**

SUMMARY OF FINDINGS

The purpose of this document is to review the overall activities that will be undertaken by the Office of Development Partners (ODP) Development Grant Partners (DGP) Award and provide threshold determinations of environmental impact and conditions for mitigation. This program-wide DGP Programmatic Initial Environmental Examination will be supplemented by a Supplemental Initial Environmental Examination (SIEE) for each country, which may represent several individual Associate Awards. Final review and decision for the SIEEs will be the responsibility of the ODP Bureau Environmental Officer.

The purpose of DGP is to provide small grants to U.S. and indigenous nongovernmental organizations in order to support new grant-making activity involving both U.S. PVOs and indigenous NGOs who have, to date, had limited opportunities to work with USAID in supporting development activities. DGP is an annual program, with three-year life of project activities.

The DGP currently includes programs in the follow six (6) areas: WOMEN'S EMPOWERMENT, MICROENTERPRISE, WATER, DAIRY, DEMOCRACY AND GOVERNANCE, and ENVIRONMENT.

THRESHOLD ENVIRONMENTAL DETERMINATIONS

The overall environmental determination for the DGP Award is a **Negative Determination with Conditions**. However, various classes of activities have been grouped into two different determinations.

A **Categorical Exclusion** is recommended for the activity classes¹ listed below which could be implemented under one of the six program areas. These fall under the following citations from Title 22 of the Code of Federal Regulations, Regulation 216 (22 CFR 216), subparagraph 2(c)(2) as classes of activities that do not require an initial environmental examination:

- (i) Activities involving education, training, technical assistance or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.);
- (ii) Activities involving controlled experimentation exclusively for the purpose of research and field evaluation and carefully monitored;
- (iii) Activities involving analyses, studies, academic or research workshops and meetings;
- (v) Activities involving document and information transfers;
- (xiv) Studies, projects or programs intended to develop the capability of recipient countries and organizations to engage in development planning.

Pursuant to 22 CFR 216.3(a)(2)(iii), a **Negative Determination with Conditions** is recommended for any DGP activities that have potential for negative impact on the environment in the following categories: WOMEN'S EMPOWERMENT, MICROENTERPRISE, WATER, DAIRY and ENVIRONMENT. (Would include DG activities if contain rehabilitation of infrastructure.)

This examination does not cover pesticides, including their procurement, use, transport, storage or disposal. Any pesticide activity considered under this program would necessitate the preparation of a Pesticide Evaluation Report and Safer Use Action Plan (PERSUAP), in accordance with USAID guidance and fulfilling all analytical elements required by 22CFR216.3(b), USAID's Pesticide Procedures. Contact ODP Bureau Environmental Officer.

MONITORING AND REPORTING REQUIREMENTS:

1. **Supplemental IEE Requirements.** For each Associate Award under the DGP containing activities classified as a **Negative Determination with Conditions** as described herein, this Programmatic Initial Environmental Examination (PIEE) will be supplemented by Supplemental Environmental Examinations (SIEE). Using the PIEE as a template, the SIEE will be a streamlined document describing the specific country context, activities and environmental mitigation measures (using the annual Environmental Mitigation and Monitoring Report (EMMR) in ATTACHMENT 1) to be implemented under the award. This SIEE must be cleared by the Mission Environmental Officer and Bureau Environmental Officer prior to the start of activities.
2. **Reporting.** Award implementing partners will complete an annual Environmental Mitigation and Monitoring Report (EMMR) as in ATTACHMENT 1 for all activities classified as a **Negative Determination with Conditions** as described herein, unless

¹ Unless the nature of the technical assistance or training involves activities that could impact the biophysical or human environment such as construction, safe pesticide use, medical waste disposal.

specified otherwise. This reporting should be incorporated into pertinent Performance Monitoring and Evaluation Plans and annual work plans.

- a. The implementers' periodic reports to USAID will include a brief update on mitigation and monitoring measures being implemented, results of environmental monitoring, and any other major modifications/revisions in the development activities, and mitigation and monitoring procedures.
 - b. The Contracting Officer's Technical Representative will compile the reports into an overall DGP report for the ODP Bureau Environmental Officer (BEO) so the results can be included in the Operational Plan reporting process to Congress.
3. **Oversight.** The COTR and on-site managers of activities under this Award in consultation with Mission Environmental Officers will undertake field visits and consultations with implementing partners to jointly assess the environmental impacts of ongoing activities, and associated mitigation and monitoring conditions.
4. **Contracting Requirements.** USAID mission procurements should include consideration of the offeror's ability to perform the mandatory environmental compliance requirements as envisioned under the DGP Award. The Contract/Grant Officer (CO) shall include required environmental compliance and reporting language into each implementation instrument, and ensure that appropriate resources (budget), qualified staff, equipment, and reporting procedures are dedicated to this portion of the project.
5. **Amendments.** The COTR, in consultation with the mission activity managers and implementing partners, Mission Environmental Officers (MEO), Regional Environmental Advisors (REA, where available), and/or Bureau Environmental Officers (BEO) as appropriate, will actively monitor and evaluate whether environmental consequences unforeseen under activities covered by this PIEE arise during implementation, and modify or end activities as appropriate. If additional activities are added at the Award level that are not described in this document, an amended PIEE must be prepared and cleared by the ODP Bureau Environmental Officer.
6. **Sub-grants.** Any grants or fund transfers from the implementing partners to other organizations must incorporate provisions stipulating:
 - a) the completion of an annual environmental monitoring report, and
 - b) that activities to be undertaken will be within the scope of the environmental determinations and recommendations of this PIEE and the associated SIEE. This includes assurance that any mitigating measures required for those activities be followed.
7. **Host Country Laws.** Implementation will in all cases adhere to applicable host country environmental laws and policies.
8. When conducting meetings, conferences, training consider green procurement concepts to eliminate, reduce, or recycle waste as summarized in the "**Green Meeting**" checklist as noted in ATTACHMENT 2.
9. In **E&E/CAR** countries, a site-specific Mitigation and Monitoring plan needs to be approved by the MEO in consultation with the E&E BEO before being implemented. The form required, the Environmental Review (ER) Checklist and Leopold Matrix, is attached as ATTACHMENT 3.

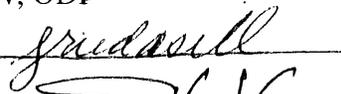
APPROVAL OF ENVIRONMENTAL ACTION RECOMMENDED:

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Karen D. Turner, Director, ODP

Date: 4/6/09

PVC Division Chief: 
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Date: 4/1/09

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Date: 4/2/09

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Date: 4/1/09

Approved:

Disapproved:

Filename: ODP DGP IEE_ FY0813.doc

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Clearance Page: Initial Environment Examination (IEE) for the Development Grant
Program: FY 2008-FY 2013

EClesceri/DCHA	<u>signed</u>	Date <u>4/01/09</u>
ALiskov/ODP/PVC	<u>signed</u>	Date <u>4/01/09</u>
JRudasill/ODP/PSP	<u>signed</u>	Date <u>4/01/09</u>
RKotval/GC	<u>signed</u>	Date <u>4/06/09</u>
KTurner/ODP	<u>signed</u>	Date <u>4/06/09</u>

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PROGRAMMATIC INITIAL ENVIRONMENTAL EXAMINATION (PIEE) FOR OFFICE OF DEVELOPMENT PARTNERS (ODP) DEVELOPMENT GRANTS PROGRAM (DGP)

SECTION 1: Background and Project Description

Purpose and Scope of PIEE

The purpose of this document is to review the overall activities that will be undertaken by the Office of Development Partners (ODP) Development Grant Partners (DGP) Award and provide threshold determinations of environmental impact and conditions for mitigation. This program-wide DGP Programmatic Initial Environmental Examination will be supplemented by a Supplemental Initial Environmental Examination (SIEE) for each country, which may represent several individual Associate Awards.

The SIEE will be a streamlined document describing the specific country context and the specific activities that will be implemented under the country awards, and refer back to the conditions of this PIEE. These SIEEs will be prepared by the activity manager in the operating unit and submitted to the Mission Director, the Mission Environmental Officer, and Regional Environmental Officer for field approval. Final review and decision for the SIEEs will be the responsibility of the ODP Bureau Environmental Officer.

SECTION 1: Overview of USAID DGP program

The purpose of DGP is a direct response to an earmark contained in Section 674 of the State, Foreign Assistance Appropriations Act of 2008 (H.R. 2764). The legislation establishes within USAID the development grants program to provide small grants to U.S. and indigenous nongovernmental organizations for specified purposes under the Foreign Assistance Act of 1961. The DGP Award provides small grants to U.S. and indigenous nongovernmental organizations in order to support new grant-making activity involving both U.S. PVOs and indigenous NGOs who have, to date, had limited opportunities to work with USAID in supporting development activities. DGP is an annual program, with three-year life of project activities. It is funded at \$37.5 million to Office of Development Partners' Division of Private and Voluntary Cooperation (ODP/PVC) and \$12.5 million for the Global Health Bureau in FY 2008. The DGP is funded at \$40 million in FY 2009 for ODP/PVC only. The DGP will be comprised of approximately 80% Mission funding through field support and Modified Acquisition & Assistance Request Documents (MAARDS) and 20% core program support funding.

The DGP currently programs in the following SIX (6) sectoral areas:

1. WOMEN'S EMPOWERMENT
2. MICROENTERPRISE
3. WATER

4. DAIRY
5. DEMOCRACY AND GOVERNANCE: CIVIL SOCIETY CAPACTIY FOR DEMOCRATIC PROCESSES
6. ENVIRONMENT

1. WOMEN'S EMPOWERMENT

Throughout the developing world, women are vital economic, social, and political actors. Research on gender and development over several decades has established conclusively that empowering women profoundly impacts countries' socioeconomic progress. Additionally, development effectiveness has been directly linked to recognizing and addressing the gender related issues that are holding back progress in developing countries. USAID's commitment to the full inclusion of women dates back to 1973, when the United States Congress passed the "Percy Amendment" requiring that particular attention is paid to integrating women into national economies to improve their status and assist the overall development effort. Women's empowerment refers to the expansion of women's ability to make independent strategic life choices where this ability was previously denied. This includes decisions related to individual and family well being, girl child and family health, nutrition, education, and individual and family economic welfare. It also extends to social and political participation in decision making forums within and beyond the household and the community. Despite the overwhelming evidence and support of women's empowerment, women's ability to make decisions for themselves and their families continues to be severely limited. Proposals to support women's empowerment will be considered in the following areas:

1. Technical/Vocational Training
2. Entrepreneurship Development
3. Equal Economic Rights for Women
4. Property Rights for Poor Women

Among responsive proposals in this area might be those that:

- Develop strategies to improve awareness of gender-equitable land policy, law and enforcement of equitable property rights, including training of legislators, lawyers and administrators
- Advocate support for women's inheritance and related property rights and the enforcement of laws that protect women's rights
- Target micro-credit, agricultural, artisan and other extension and training that support or expand women's production from land, timber, forest products, fish, pasture, water and other natural resources based on usufruct rights Offer legal aid services and/or training of paralegals to assist women and children with asset-related dispute resolution as well as in legal cases to protect property rights
- Advocate support for reform of legislation governing property and usufruct rights for women, including closing the divide between customary and statutory law

2. MICROENTERPRISE

In this era of globalization, generating economic growth in developing countries while reducing poverty is a fundamental development challenge. To ensure that the contribution of microenterprises to key subsectors and national economies is maximized, and to ensure that the poor are not left out of market development, micro and small enterprises (MSEs) need access to finance, business services, and improved inputs; they also need a conducive enabling environment that facilitates rather than inhibits their participation in markets.

Microfinance and microenterprise development is a cross-cutting issue. A microenterprise is a very small enterprise owned and operated by poor people, usually in the informal sector. For USAID program purposes, the term is restricted to enterprises with 10 or fewer workers, including the microentrepreneur and any unpaid family workers. Throughout the developing world, millions of poor families derive an important share of their income from microenterprise activities.

To help these poor families gain access to economic opportunity, USAID supports three types of activities: (1) microfinance, to improve access to financial services tailored to the needs of poor households, including credit, deposit services, insurance, and remittance and payment services; (2) efforts to reduce regulatory, policy and administrative barriers that limit the opportunities of micro- and small firms; and (3) enterprise development, to improve productivity and market potential for microenterprises.

Activities exclusively devoted to microfinance and microenterprise development are reported under three Program Elements under Economic Growth Program Area 4.7 (Economic Opportunity), each linked to one of the three types of activities described above: 4.7.1, Inclusive Financial Markets; 4.7.2, Policy Environment for Micro and Small Enterprises; and 4.7.3, Strengthen Microenterprise Productivity. However, activities in any foreign assistance objective can also contribute to microfinance or microenterprise development, to the extent that they promote one or more of the outcomes summarized here.

USAID's integrated approach to microfinance and microenterprise development supports inclusive financial markets, policy reform, and enterprise development, including producers, their organizations, and agriculture related microenterprises, to help households build assets, grow their businesses, improve household security, and participate in the economy on better terms, thus promoting economic growth with poverty reduction.

Indicators

Economic Opportunity

Inclusive Financial Markets

- Number of clients at USG-assisted microfinance institutions
- Number of microfinance institutions supported by USG financial or technical assistance
- Percent of portfolio outstanding of USG assisted microfinance institutions held as poverty loans
- Percent of USG-assisted microfinance institutions that have reached financial sustainability

- Percent of USG-assisted microfinance institutions that have reached operational sustainability
- Total savings deposits held by USG-assisted microfinance institutions

Policy Environment for Micro and Small Enterprises

- Number of proposed improvements in laws and regulations affecting the operations of micro enterprises drafted with USG assistance

Microenterprise Productivity

- Number of microenterprises participating in USG assisted value chains
- Number of microenterprises receiving business development services from USG assisted sources
- Total number of microenterprises receiving finance from participating firms in a USG assisted value chain
- Amount of private financing mobilized with a DCA guarantee

3. WATER

The purpose of this earmark is to increase sustainable access to safe drinking water and sanitation and improve hygiene. Eligible activities must have a stated intent to address these goals as a primary or secondary objective, and demonstrate that intent through objectively verifiable indicators linked to these goals. For example, an activity may provide water and sanitation facilities at elementary schools, with the primary objective of ensuring attendance and the secondary objective of extending access to water and sanitation.

This earmark fits within the broader context of U.S. international water sector programming which includes a wide range of activities beyond the focus area of water supply, sanitation and hygiene. Water is a cross-cutting issue in the U.S. Foreign Assistance Framework with activities under all five program objectives. These overall program objectives are Peace and Security; Governing Justly & Democratically; Investing in People; Economic Growth; and Humanitarian Assistance. The overall U.S. government water portfolio embraces a broad spectrum of water sector interventions that are critical to protecting human health and responding to humanitarian crises; promoting broad-based and sustainable economic growth; enhancing environmental and national security; and developing public participatory processes that improve transparency and accountability in providing a resource essential to people's lives and livelihoods. These activities are components of a comprehensive strategy to address the world's water challenges in an integrated and sustainable way.

This earmark is focused on a specifically defined subset of interventions linked to water supply, sanitation and hygiene within this broader context. The following guidance is provided on application of the water earmark by Missions and Operating Units. Information on how eligible activities relate to the Foreign Assistance framework and funding accounts is also presented.

Activities eligible for allocation or attribution to this earmark must meet all of the following conditions:

An activity must state as a primary or secondary objective increased access to drinking water supply or sanitation services, better quality of those services, and/or hygiene promotion. The objective may correspond to either direct or indirect support as defined in Categories I-IV below, but it must make explicit the linkage to drinking water supply, sanitation or hygiene outcomes.

- Activities must identify objectively verifiable indicators and targets that track progress towards the identified drinking water supply, sanitation, and/or hygiene objective. To the extent possible, the use of common indicators from the Foreign Assistance and Coordination Tracking System (FACTS) is encouraged. Common indicators for two of the most common categories of water and sanitation programs are included below. Internet links are shown below for other types of assistance which also incorporate water and sanitation. For those interventions that do not lend themselves to the standardized FACTS indicators, activity managers may also develop customized indicators to track progress.
- In programs that include both earmark eligible and non-eligible activities, funding may be attributed to the earmark only in proportion to the activity's support of the earmark definitions provided here.

Earmark funds may be used for activities that have primary and direct goals of increasing access to improved drinking water supply and sanitation services; enhancing the quality of those services; and/or improving hygiene conditions. Funds targeted to interventions in this category are 100% attributable to the earmark.

A proportion of earmark funds may be used to support management of water and associated natural resources, and/or water management related to productive water uses only to the extent that these programs support the primary activities related to access to drinking water supply or sanitation services, and/or hygiene promotion. For example, if an activity meant to reduce erosion and improve stream water quality by reforesting a watershed will lead to cleaner raw water being available for an existing urban water system drawing its water from the stream being improved, a proportion of the reforestation activity might be attributable. Specific objectives related to water supply, sanitation and hygiene must be identified for these activities, and objectively verifiable indicators identified to monitor progress against those objectives.

Indicators:

Water Supply and Sanitation

- Number of people in target areas with access to improved drinking water supply as a result of USG assistance.
- Number of people in target areas with access to improved sanitation facilities as a result of USG assistance.

Maternal and Child Health

- Liters of drinking water disinfected with USG-supported point-of-use treatment products

4. DAIRY

Smallholder livestock is a major rural occupation in much of the developing world and, when organized for the benefit of producers, can result in increased and regular incomes for households otherwise dependent on seasonal crop income or labor. Successful smallholder dairying depends primarily on a remunerative market that encourages producer investment in improved productivity. Critical supporting services include genetic improvement, feed, veterinary care and appropriate husbandry practices. In many instances, collective action through cooperatives or producer associations, enables smallholder dairy producers to successfully produce, procure, process and market milk and milk products.

Dairy cuts across functional objectives and includes activities that assist small dairy producers, processors and service providers to maximize their abilities to increase milk yields; produce higher quality and value-added dairy products; educate consumers; and increase cash incomes to small farmers, especially women who are the primary caretakers of dairy animals; macrodairy development (production, processing, marketing); and cooperative or producer association building.

Indicators:

Agricultural Sector Productivity

- Number of new technologies or management practices under research as a result of USG assistance
- Number of new technologies or management practices under field testing as a result of USG assistance
- Number of new technologies or management practices made available for transfer as a result of USG assistance.
- Number of additional hectares under improved technologies or management practices as a result of USG assistance
- Number of additional surveillance and/or control systems in place for agricultural threats (biological or environmental) as a result of USG assistance
- Number of vulnerable households benefiting directly from USG interventions
- Number of producer organizations, water users associations, trade and business associations and community-based organizations (CBOs) receiving USG assistance
- Number of agriculture-related firms benefiting directly from USG supported interventions
- Number of public-private partnerships formed as a result of USG assistance
- Number of individuals who have received USG supported short-term agricultural sector productivity training
- Number of individuals who have received USG supported long term agricultural sector productivity training
- Percent change in value of intra-regional exports of targeted agricultural commodities as a result of USG assistance
- Percent change in value of international exports of targeted agricultural commodities as a result of USG assistance

- Amount of private financing mobilized with a DCA guarantee
- Percent change in value of purchases from smallholders or targeted commodities as a result of USG assistance
- Number of women's organizations/associations assisted as a result of USG supported interventions
- Number of farmers, processors and others who have adopted new technologies or management practices as a result of USG assistance

5. DEMOCRACY AND GOVERNANCE: CIVIL SOCIETY CAPACITY FOR DEMOCRATIC PROCESSES

Civil Society encompasses media, civil society organizations, advocacy groups, associations and non-governmental organizations serving the needs and interests of the public through which citizens can freely organize, advocate, and communicate with their government and with each other; strengthen a democratic political culture that values citizen and civic engagement, tolerance, and respect for human rights; empower citizens to participate in decision-making on matters affecting them; and mobilize constituencies to advocate for political reform, good governance, and strengthened democratic institutions and processes.

Civil society often provides the only viable opening for restructuring power and formulating a democratic social contract. Increasing citizen participation in the policy formulation process is a key role for civil society. It includes:

- Representing the interests of citizens
- Articulating citizen interests to decision makers
- Influencing policy decisions based on represented interests
- Exercising oversight to ensure government and citizen compliance with adopted policies\

Civil society organizations need institutional capacity and an understanding of appropriate procedures, as well as access to relevant information, to carry out these functions, especially in countries where government will and capacity for reform are weak. Civil society organizations often need to strengthen their institutional and financial structures to achieve their purposes. This may mean introducing democratic features to their management; strengthening administrative procedures such as strategic planning, monitoring, and evaluation systems; and complying with auditing standards. In addition, improved fundraising techniques are necessary to diversify and stabilize the financial base of the civil society sector and ensure its sustainability. Among responsive proposals in this area might be those that:

- Engage constituencies in support of advocacy for policy change, political reform, and transparent and accountable governance.
- Identify and take corrective action to address barriers that prevent civil society from exercising the right to freedom of association and advocating on behalf of their constituents.
- Improve the organizational capacity and financial viability of civil society organizations.

- Expand the civic education in the formal education sector to enhance a political culture of tolerance and civic participation.
- Enhance the free flow of information through the training of journalists, enhancing the use of new information technologies in the media sector, improvements in the management media outlets, and increasing the independence and financial viability of the media sector.

6. ENVIRONMENT

Economic growth is promoted through proper management of natural resources and the environment, including promotion and deployment of clean energy. Climate change and clean energy activities concentrate on reducing greenhouse gas emissions and increasing adaptive capacity to climate change in developing countries. The Agency's strategy has been to incorporate climate change considerations into development projects to provide climate related benefits while also meeting development objectives in the energy and water sectors, urban areas, forest conservation, agriculture, and disaster assistance.

The 2008 Foreign Appropriations Act contains the following language: Bill sec. 664(b) page 176: Of the funds appropriated by this Act, not less than \$195 million shall be made available to support clean energy and other climate change programs in developing countries, of which not less than \$125 million should be made available to directly promote and deploy energy conservation, energy efficiency, and renewable and clean energy technologies with an emphasis on small hydro, solar and wind energy, and of which the balance should be made available to directly: (1) reduce greenhouse gas emissions; (2) increase carbon sequestration activities; and (3) support climate change mitigation and adaptation programs.

The overarching climate change criteria are:

1. The program or activity explicitly seeks climate change-related outcomes, such as reduced greenhouse gas emissions, increased carbon sequestration, and support for mitigation and adaptation programs, ideally in the form of a GCC objective.
2. The program or activity is monitoring its impact on addressing climate change using one or more GCC indicators, ideally USAID's common GCC Indicators (below). Programs should estimate emissions reduced or sequestered if applicable.
3. Activities that "support adaptation programs" should have conducted a climate vulnerability and adaptation analysis and be addressing needs identified through that analysis. USAID's Adaptation Guidance Manual provides information on what is involved in this analysis.
Link: http://www.usaid.gov/our_work/environment/climate/index.html.

Clean Energy Definition: This Key Issue cuts across all Functional Objectives and meets a Congressional Earmark. It deals with activities that directly promote and deploy energy conservation, energy efficiency, and renewable and clean energy technologies. Activities may include policy, legal, regulatory, and commercial reforms that are prerequisites to clean energy investment; improving the operational and commercial performance of public and private sector institutions, including utilities; piloting innovative business models, financing approaches, and

public-private partnerships with businesses, entrepreneurs, and NGOs to support clean energy applications; and reducing the environmental impact of energy production and use.

Link:http://www.usaid.gov/our_work/economic_growth_and_trade/energy/index.html

Indicators

A set of common climate change and clean energy indicators has been approved by the USAID Administrator for use in target setting and reporting program results. The indicators were designed to capture aspects of climate change and clean energy which will have enduring value. The climate change and clean energy indicators are below.

Indicators

Modern Energy Services

- Number of people with increased access to modern energy services as a result of USG assistance
- Capacity constructed or rehabilitated as a result of USG assistance
- Energy saved as a result of USG assistance
- Quantity of greenhouse gas emissions, measured in metric tons CO₂ equivalent, reduced or sequestered as a result of USG assistance in energy, industry, urban, and/or transport sectors

Natural Resources and Biodiversity

- Quantity of greenhouse gas emissions, measured in metric tons of CO₂ equivalent, reduced or sequestered as a result of USG assistance in natural resources management, agriculture, and/or biodiversity sectors

Clean Productive Environment

- Quantity of greenhouse gas emissions, measured in metric tons CO₂ equivalent, reduced or sequestered as a result of USG assistance
- Dollars saved from prevention, mitigation or reduction of pollution, including greenhouse gasses, as a result of USG assistance
- Number of technologies and methodologies developed or tested for broad dissemination
- Number of laws, policies, agreements or regulations addressing climate change proposed, adopted, or implemented as a result of USG assistance
- Number of people with increased adaptive capacity to cope with impacts of climate variability and change as a result of USG assistance
- Number of people receiving USG supported training in global climate change including Framework Convention on Climate Change, greenhouse gas inventories, mitigation, and adaptation analysis

Among responsive proposals in this area might be those that:

- Assistance for energy sector reform, energy policy assistance and improvement of investment environments to provide foundation for creation of low carbon energy future;
- Development of national action plans for a low carbon energy future, including analysis of energy efficiency, renewable and solar technologies; institutions, regulations, protection of intellectual property rights and patents to foster innovation; development, deployment and diffusion of low-carbon technologies; and consideration of integrated

environmental strategies that achieve multiple benefits such as improved air quality and reduced health impacts;

- Leverage and improve access to increasingly funding for low-carbon energy, including private and public sector resources and initiatives, in partner countries;
- Assistance to improve efficiency in the production, transmission, distribution, use of energy;
- Assistance in developing and deploying large-scale, small-scale and distributed renewable energy technologies, including wind, solar, small-hydro, geothermal, and advanced biomass systems and in the more efficient use of traditional biomass fuels in households;
- Innovative approaches to mitigate unforeseen negative impacts of application of solar and renewable energy technologies
- Expanding efforts to meet the energy needs of the rural poor through appropriate cost effective and low-carbon technologies.

SECTION 2: Country and Environmental Information

It is anticipated that activities under DGP may take place in any of the USAID mission countries or in countries covered by USAID Regional missions under each of the USAID Regional Bureaus. Many of the countries that are beset by chronic poverty and/or intermittent shocks, where illiteracy, malnutrition, centralized land tenure rights, and weak governance structures almost uniformly ensure a great potential for an unattended disease vector webs and an over-exploited natural resource base.

Applicable country and environmental policies and procedures will be detailed for each Award at the country-wide Supplemental Initial Environmental Examination level that before implementation of activities.

SECTION 3: Evaluation of Environmental Impact

The DGP currently programs in the following six (6) areas:

1. WOMEN'S EMPOWERMENT
2. MICROENTERPRISE
3. WATER (PAUL SIMON WATER FOR THE POOR EARMARK)
4. DAIRY
5. DEMOCRACY AND GOVERNANCE: CIVIL SOCIETY CAPACTIY FOR DEMOCRATIC PROCESSES
6. ENVIRONMENT

I. DGP Activities with No Negative Environmental Impact

Many DGP activities under the six (6) program areas above such as *technical assistance, information, education, communication, training, research, community mobilization, planning, management, and outreach activities* will have no potential for environmental impact.

If, however, the topic of these activities is one that inherently affects the environment, such as training in testing that involves use and disposal of medical waste, for example, then the condition is that the training should include information on safe disposal of the sharps and biological samples generated from this testing.

If training involves the safer use of pesticides –without procurement and/or use of pesticides- a Pesticide Evaluation Report and Safer Use Action Plan (PERSUAP) is still required. The PERSUAP process ensures that the training program incorporate components itemized in 22 CFR 216.3 (b) “Pesticide Procedures”. The PERSUAP provides pesticides-specific information such as but not limited to acute and toxicological hazards, compatibility with target and non-target organisms, and effectiveness of non-pesticide control methods as part of an integrated pest management approach.

II. DGP Activities with Potential for Negative Environmental Impact

Of the six (6) program areas, certain activities (summarized and detailed below) have the potential to directly or indirectly affect the environment, if not properly mitigated.

Summarized:

1. WOMEN’S EMPOWERMENT including micro-credit, agricultural, artisan training to increase natural resource-based production
 - ❖ Potential for environmental impact, small and medium livelihood building
2. MICROENTERPRISE
 - ❖ Potential for environmental impact, small and medium livelihood building
3. WATER
 - ❖ Potential for environmental impact in water, sanitation and hygiene promotion
4. DAIRY
 - ❖ Potential for environmental impact for livestock wellness promotion and fodder management
5. DEMOCRACY AND GOVERNANCE: CIVIL SOCIETY CAPACITY FOR DEMOCRATIC PROCESSES
 - ❖ No potential for environmental impact, unless infrastructure rehabilitation
6. ENVIRONMENT
 - ❖ Potential for environmental impact due to over-exploitation of resources, poor management

Detailed:

1. WOMEN'S EMPOWERMENT

See environmental impact described under Microenterprise for micro-credit, agricultural, artisan and other extension and training to support or expand women's production from land, timber, forest products, fish, pasture, water and other natural resources.

2. MICROENTERPRISE

Types of Adverse Environmental Impacts of Micro and Small Enterprises (MSEs)

Depending upon their individual characteristics, MSEs can have quite a variety of environmental problems. Here are some of the most common and significant ones:

- **Chemical and hazardous waste.** Production processes may use chemicals such as acids and metals. These chemicals may be toxic, explosive or otherwise hazardous, and require considerable care in their use and disposal. If chemicals are used carelessly, or if their wastes are not disposed of properly, they can seriously pollute the air and contaminate soil, groundwater and surface water. All these can cause serious health problems for adults, children and livestock.
- **Air pollution.** Air pollutants—such as chemicals, dust or smoke—can be created by burning fuel (such as wood, charcoal, gasoline or oil), by evaporation of chemicals such as solvents, or from by-products of a production process. Air pollutants can cause or exacerbate respiratory illnesses such as asthma, and can damage both near and distant environments when they are deposited in the soil or water supply. Pollution from rock dust can lead to silicosis, a sometimes fatal “digging disease” with long-term effects on lungs and breathing.
- **Water pollution.** Chemicals used in production processes may be present in the firm's wastewater. If untreated wastewater is released into the environment, the chemicals can contaminate community water sources and poison irrigated crops.
- **Soil erosion.** Mining, land-clearing or digging can leave an area vulnerable to soil erosion, leading to damaging landslides or floods. Over time, soil erosion can greatly reduce the replenishing of local aquifers, leading to dangerous water shortages.
- **Natural resource depletion.** Fuel wood use creates deforestation, which degrades arable lands. Excessive or wasteful extraction of water from surface and groundwater sources can deplete water sources for future production or community use. Too much groundwater use may also lower the water table and lead to irreversible land sinking; in coastal areas, it may allow salt water to contaminate groundwater bodies. Overall, waste in production processes frequently results in higher costs for energy, water and raw materials for the entire community.

- **Solid waste/garbage.** Inefficient production techniques reduce productivity and create excessive solid waste. Even if such waste is not toxic or otherwise hazardous, it is unsightly and can lead to more serious problems if not disposed of properly. For instance, waste from food processing may attract disease-carrying rodents and insects, and it can contaminate water supplies if washed away by rain. In urban areas, solid waste may also take up valuable space. Burning solid waste can cause air pollution, as noted above.
- **Odor.** Waste from MSEs' production processes can have a strong odor that can damage the quality of life nearby. Odors may also reduce or destroy community support for further production or expansion.
- **Noise.** Production can involve equipment that is very noisy or causes strong vibrations. This can affect workers' hearing and health, as well as that of the local community. This may also work against the enterprise's ability to expand production in the future.
- **Health and safety risks.** One of the most immediate and significant adverse impacts of MSEs can be on the health of workers and of family members who live on the premises, particularly when the affected persons are already weakened by conditions such as HIV/AIDS. For example, touching or breathing hazardous chemicals can cause poisoning, skin irritations, burns or lung disease—including conditions that may not become apparent for years. Excessive heat caused by operating machinery in poorly ventilated areas is also hazardous to workers' health. Poor maintenance and housekeeping can increase the risk of fires and accidents.

Reference for this section is USAID Environmental Guidelines for Small-Scale Activities in Africa http://www.encapafrika.org/EGSSAA/mse_introduction.pdf.

3. WATER (Paul Simon Water for the Poor Earmark)

Water supply, sanitation and hygiene are closely related. Good sanitation and hygiene practices are essential to preventing contamination of water resources. At the same time, good hygiene practices and sanitation facilities provide few health benefits if the water resource remains contaminated. Therefore, water supply and sanitation projects and hygiene promotion should be viewed as interdependent activities. *Implementing them at the same time leads to the greatest health benefit and is considered a best practice in the sector.*

- Maternal and Child Health - Liters of drinking water disinfected with USG-supported point-of-use treatment products

Some potential environmental impacts are possible with these interventions, and will depend on the local circumstances, including:

Water Supply

- Improper siting of facilities that damages or destroys natural ecosystems (within wetlands, protected areas, or other sensitive habitats, etc.)
- Depletion or degradation of local or downstream freshwater resources (surface and groundwater)
- Creation of stagnant (standing) water near water points that could create breeding opportunities for water-borne disease vectors
- Natural or human-caused biological or chemical contamination of water sources (surface and groundwater), causing increased human health risks, including high arsenic or other mineral/chemical levels
- Poor management of water points and/or poor design of pipes leading to leakage and contamination of water with fecal matter, solid waste, etc.

Sanitation

- Increased human health risks from contamination of surface water, groundwater, soil, and food by human waste and disease pathogens
- Degradation of surface and groundwater quality and land habitats due to inappropriate siting or construction of latrines or wastewater collection systems, or release of human waste from sanitation facilities
- Defecation around locked or unusable latrines or other sanitation facilities, potentially contaminating surface water and/or shallow groundwater sources, adversely affecting both human and ecosystem health
- Damage to the aesthetics of the sanitation facility site (visual, smell, etc.)

Reference for this section is Environmental Guidelines for Small-Scale Activities in Africa <http://www.encapafrika.org/egssaa.htm>.

4. DAIRY

Properly managed, dairy livestock production can enhance land and water quality, biodiversity, and social and economic well-being. However, when improperly managed, livestock production may cause significant economic, social and environmental damage. As described in the Livestock Production chapter of the USAID Bureau for Africa's Environmental Guidelines for Small Scale Activities in Africa (EGSSAA), following are the types of environmental problems often associated with livestock production:

- Land degradation due to increased erosion
- Habitat damage and reduced biodiversity
- Harm to vegetation due to overgrazing
- Contamination of drinking water sources

The processing of milk presents potential sources of unhygienic conditions and waste streams discharge onto land and surface waters. Livestock product processing can also have negative impacts on the environment. Leather processing, for example, is a particularly problematic activity associated with livestock production, as described in EGSSAA "Chapter 4.3 Leather Processing: Cleaner Production Fact Sheet and Resource Guide." Environmental problems

commonly associated with leather processing include the introduction of toxic chemicals into the environment through the waste stream, use of large quantities of water, worker health hazards, odor, and overproduction and inappropriate management of waste.

Cattle promotion may involve the use of systemic or topical anti-parasitic medications. Anti-parasitics that are systemic (orally or by injection, e.g., de-wormers) are not considered a "pesticide." If anti-parasitic application is topical (e.g., dermal application such as tick treatment by bath dipping), then this type of anti-parasitic would be regulated as a pesticide and would not be able to be procured and/or used without complying with 22 CFR 216.3. A topical application permits potential open introduction and contamination to surrounding surface or ground waters, etc. Contact your ODP Bureau Environmental Officer or Mission Environmental Officer for details.

Reference: USAID Environmental Guidelines for Small-Scale Activities in Africa on Livestock. http://www.encapafrica.org/EGSSAA/Word_English/livestock.doc.

5. DEMOCRACY AND GOVERNANCE: (If Rehabilitation of Infrastructure)

It is expected that there will be no environmental impact of activities implemented under the Democracy and Governance program area. However, it is possible that future programming based in the field that fall under the Democracy and Governance may have components that include infrastructure or other activities that could have a biophysical impact on the environment. Such activities include but are not limited to infrastructure such as the construction or rehabilitation of buildings, water or sanitation systems, road/sidewalk/pathways.

Repair and rehabilitation of private homes/institutions may cause environmental impacts at both the construction and operational phase. An example of an environmental impact associated with the construction phase is the filling of a wetland or to use as a project site, risks associated with use of lead-based paints, asbestos shingles; and proper handling of construction wastes. Impacts to be avoided include those related to the sourcing of construction materials for housing such as unsustainable extraction of wood resources for timber or water for brick making. Public health impacts associated with the spread of HIV/AIDS and other communicable diseases are often associated with bringing in outside workers and construction camps.

Potential environmental impacts at the operational phase of an infrastructure rehabilitation activity include proliferation of unmanaged solid and sanitation wastes generated during normal operation of the home or facility. Standing water from potable water points or clothes washing areas may become sources of contaminated water and disease-bearing insects. Rehabilitation of facilities that may displace untenured residents or reduce farmers, nomads land or market space should be minimized.

6. ENVIRONMENT

These “Environmental” activities may include biodiversity support, climate change adaptation, carbon sequestration, and clean energy activities concentrate on reducing greenhouse gas emissions and increasing adaptive capacity to climate change in developing countries.

Potential Impacts of Biomass Energy include deforestation, lost economic productivity, damage to health from smoke inhalation.

Deforestation. While such factors as agricultural expansion and increases in human population are the major underlying causes of deforestation, consumption of wood for fuel is also a significant factor. Population increases will raise the pressure on biomass resources.

Fuelwood and charcoal production has increased significantly during the last two decades and is projected to continue growing. The demand for charcoal and fuelwood by urban populations is a major contributor to deforestation, particularly in arid and semi-arid regions. The deforestation in turn is driving down agricultural productivity (e.g., loss of soil from increased erosion, destruction of watersheds) and biodiversity (e.g., loss of wildlife habitat and species diversity). Unsustainable extraction of fuelwood also contributes to the greenhouse effect by releasing stored carbon and reducing the region’s capacity to sequester carbon.

Great distances often separate the location of biomass energy and consumers. As forests fall, the distance widens, raising the price of charcoal and fuelwood. Also, as householders, especially women and children, walk longer distance to find fuelwood, they lose time for other productive activities, including school.

Land tenure complicates the problem further. Ownership of resources, including tenure over trees and forest lands, remains vested in the state, a holdover from centralized colonial control over resources. In others, individual farmers and communities may be unaware of recent laws devolving ownership to them. These conditions can discourage the planting of trees and the sustainable use of fuelwood.

Health impacts. In addition to environmental impacts, the burning of wood, charcoal and other biomass in poorly ventilated houses or areas exposes users to high levels of smoke. Continuous exposure of this type can seriously damage human health, particularly that of women and children, who often spend much time indoors and are therefore exposed for longer periods.

Reference: Environmental Guidelines for Small-Scale Activities in Africa on energy issues
http://www.encapfrica.org/EGSSAA/Word_English/energy.doc

SECTION 4: Recommended Determinations and Mitigation Conditions for Implementation

Based on the analysis presented in Section 3, this PIEE recommends threshold decisions and conditions for implementation of DGP activities. USAID/ODP acknowledges that the environmental screening and review procedures described here do not substitute for the host country's own environmental laws and policies.

I. Recommended Determinations:

The overall threshold determination for DGP is a **Negative Determination, with conditions**. However, various classes of activities have been grouped into two different determinations. The conditions for implementation of the activities follow in Table 3.

A **Categorical Exclusion** is recommended for the activities presented in Table 1 in Section 3 of this document, because no environmental impacts are expected as a result of these activities. These fall under the following citations from Title 22 of the Code of Federal Regulations, Regulation 216 (22 CFR 216), subparagraph 2(c)(2) as classes of activities that do not require an initial environmental examination:

- (i) Activities involving education, training, technical assistance or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.);
- (ii) Activities involving controlled experimentation exclusively for the purpose of research and field evaluation and carefully monitored;
- (iii) Activities involving analyses, studies, academic or research workshops and meetings;
- (v) Activities involving document and information transfers;
- (xiv) Studies, projects or programs intended to develop the capability of recipient countries and organizations to engage in development planning.

Pursuant to 22 CFR216.3(a)(2)(iii), a **Negative Determination with Conditions** is recommended for any DGP activities that have potential for negative impact on the environment in the following categories:

II. Mitigation Conditions for Implementation

1. WOMEN'S EMPOWERMENT

Refer to mitigation conditions for Microenterprise below.

2. MICROENTERPRISE

Some of the possible impacts of micro-credit and small and medium business development might include the following, depending on the specific activities carried out under the APS. As an illustrative example, brickmaking has been selected to showcase the possible negative impacts on the environment, such as:

Chemical and hazardous waste creation, air pollution, water pollution, soil erosion, natural resource depletion, solid waste creation or in increase in garbage, noxious odors, disruptive noise, and increased health and safety risks.

In order to address these possible negative impacts, the following cleaner production approaches should be employed:

- **Good Housekeeping** – Preventing leaks and spills, instituting preventive maintenance schedules, regularly checking equipment.
- **Input Substitution** – Substituting one or more less expensive, less dangerous, or more efficient input material for an existing input material.
- **Better Process Control** – Changing working procedures to increase throughput, reduce waste, and/or improve product quality.
- **Energy Efficiency** Making changes in any aspect of business operations to reduce energy consumption.

3. WATER (Paul Simon Water for the Poor Earmark)

Experience has shown that water and sanitation activities are most effective and sustainable when they adopt a participatory approach that (1) acts in response to genuine demand, (2) builds capacity for operation and maintenance and sharing of costs, (3) involves community members directly in all key decisions, (4) cultivates a sense of communal ownership of the project, and (5) uses appropriate technology that can be maintained at the village level. Also important are educational and participatory efforts to change behavioral practices. Consider the impacts over conflict over water use rights when developing a new water point or significantly improving the accessibility, reliability, and quality of a water point.

- Regardless of the specific technologies adopted for latrine or water supply projects, however, it is necessary to conduct hygiene education, leading to changes in behavior, to reduce water- and sanitation-related diseases.
- In descending order of priority, the most important changes in hygiene behaviors are typically
 - Safe disposal of feces (especially those of young children);
 - Proper hand washing at appropriate times; and
 - Safe source selection, transport, storage and use of water

Water Points:

- **Calculate yield and extraction rates** in relation to other area water uses in order to avoid depleting the resource or damaging aquatic ecosystems or communities down stream/down gradient.
- **Assess water quality** to determine if water is safe to drink and to establish a baseline so that any future degradation can be detected. At minimum arsenic and

fecal coliform tests should be conducted. USAID requires testing for arsenic for all USAID-funded water supply projects, as there is currently no way to determine which locations may contain natural arsenic deposits. (For international water quality standards on virtually any parameter, see *WHO Guidelines for Drinking-Water Quality*, 3rd edition, (2006), http://www.who.int/water_sanitation_health/en/).

- **Minimize contamination of water**, e.g., establishing separate wells for animal and human use.
- **Maintain periodic testing**. Ongoing testing is the only way to determine if a water supply is or has become contaminated (other than by observing dramatic and sustained increases in water-borne disease). For simple and inexpensive fecal coliform and *E. coli* measurements refer to <http://www.microbiologylabs.com/>.

Household Latrines:

- **Construction** will be supervised by qualified in-house sanitation manager.
- **Host-country public health service** should be involved to ensure proper sanitation measures are taken as per the national water and sanitation regulations.
- **Latrines will be constructed** no less than 5 meters from the house and no less than 10 meters from water sources.
- **Training to avoid** water accumulation and disease vectors should accompany every project.
- Each sanitation system should consider the **grey water** management methods.
- **Latrines will be individual and constructed at household** levels, group latrines tend to not be as efficiently and sustainably managed.
- **Training in use and maintenance** of latrines should be developed for all families participants in these activities.

Water quality testing is essential for determining that the water from a constructed water source is safe to drink and to determine a baseline so that any future degradation can be detected. Microbiological contamination of improved wells can often be prevented by aquifer protection measures and proper well design and maintenance. For example, wells for human consumption are readily contaminated when additionally used for livestock watering. Water management committee must ensure that separate wells are used for human and animal consumption. Simple and cost-effective sample kits for *E. coli* and fecal coliforms are available through a variety of manufacturers (e.g., Idexx Colilert or Coliscan Easygel).

Among the water quality tests which must be performed are tests for the presence of arsenic. Any USAID-supported activity engaged in the provision of potable water must adhere to Guidance Cable State 98 108651, which requires arsenic testing. That 1998 cable also anticipates “practical guidelines on sampling and testing for arsenic” that were then under development. The EGAT Bureau completed these guidelines, and the Africa Bureau has packaged them in a document titled, “Guidelines for Determining the Arsenic Content of Ground Water in USAID-Sponsored Well Programs in Sub-Saharan Africa.” The SO team must assure that the standards and testing procedures described in this guideline document are followed for potable water.

Initial water quality testing is the responsibility of the program to assure, but the program should also set in place capacities and responsibilities to provide reasonable assurance that ongoing water quality

monitoring occurs. The standards for initial and ongoing testing -- types of contaminants for which testing should be conducted, testing methods, testing frequency, and issues such as public access to results should follow any applicable USAID guidance, as well as local laws, regulations and policies."

References: Both water supply and sanitation activities should be conducted in a manner consistent with the good design and implementation practices described in *EGSSAA Chapter 16: Water Supply and Sanitation*. The Team and implementing partners should closely examine this chapter, as it provides a thorough discussion of program design and implementation issues that can help avoid numerous preventable problems. Another useful reference to consult for good water and sanitation design and implementation principles is the document, "Guidelines for the Development of Small Scale Rural Water Supply and Sanitation Projects in East Africa," by Catholic Relief Services and USAID (Title II), August, 2005. For a compendium of humanitarian assistance expertise in 1) Hygiene Promotion, 2) Water Supply, 3) Excreta Disposal, 4) Vector Control, 5) Solid Waste Management and 6) Drainage, consult the Sphere Handbook (2004): Humanitarian Charter and Minimum Standards in Disaster Response, Chapter 2: Minimum Standards in Water Supply, Sanitation and Hygiene Promotion.

4. DAIRY

The SO team shall work with implementing partners to assure that the livestock production activities are designed and implemented in such a way as to avoid potential harmful impacts as much as possible. The USAID Environmental Guidelines for Small-Scale Activities in Africa on Livestock chapter http://www.encapafrica.org/EGSSAA/Word_English/livestock.doc table titled, *Mitigation and Monitoring Issues Environmental Mitigation and Monitoring Issues for Livestock Projects* shall be used as guides in the design. Implementing partners should monitor for and report on adverse impacts, particularly land and habitat degradation.

USAID recommends an Integrated Pest Management approach to reduce the reliance on the anti-parasitics or anti-biotics more generally.

If any de-wormers are desired to be used, de-wormers for cows that are selected should also be used as part of an IPM plan where improved water and feed hygiene will play a major role in ensuring fewer worm instars gain access to the cow, with the following elements:

- * The water for cows will have to be clean, and drinking troughs kept clean and raised off the ground to avoid contamination.
- * The feed given to the animals will need to be clean and kept off the ground to avoid contamination with worm eggs or larvae.
- * There will be restricted animal movement to deny them access to rivers and streams which are potential collection points for liver flukes.
- * The cattle structures will have to be roofed to provide dry floor which is not conducive for worm proliferation.
- * Antibiotics will be used in conjunction with vaccines where possible and available so that lesser amounts of the antibiotic are used (e.g., use of Anthrax vaccine rather than treating the affected animals with antibiotics).

* Disposal of dead carcasses and clinical waste (pass from abscesses, mastitis milk, retained placentas, needles and syringes) will have to be strictly controlled to help reduce the spread and multiplication of the disease causing agents.

* The animals will also have to be restricted in movement so they do not contract diseases from non dairy free grazing traditional animals which if allowed would require increased use of these drugs.

The farmers are being assisted in improving pasture and paddocks to help restrict cattle movements to natural grasslands that harbor ticks and other blood borne parasite hosts. There is also awareness regarding the need for farmers to understand product label information so that these chemicals are put to their best use.

5. DEMOCRACY AND GOVERNANCE: CIVIL SOCIETY CAPACITY FOR DEMOCRATIC PROCESSES

Mitigation measures for Rehabilitation of Infrastructure:

- **Carefully choose a site** that is not used by local residents; a habitat for key ecosystems, animals or plants; and/or an important scenic, archeological or cultural/historical features. Avoid sites that are steeply sloped, heavily wooded, prone to flooding.
- **If minor leveling of land**, then design infrastructure will ensure least impact, e.g., Minimize disturbance of native flora during construction, use erosion control measures such as hay bales, gabion, etc.
- **Include planning for operational needs** of users of the infrastructure such as water supply, sanitation, roads, fencing, solid waste minimization and management.
- **If medical waste is generated**, include hand-washing facilities, waste storage rooms, incinerators, spaces for encapsulation, and a plastic/clay-lined pit for safe burial.
- The proper disposal of **construction debris** and **no use of toxic materials** (lead paint, lead or asbestos-containing materials or other toxic/hazardous materials). Any potentially toxic materials used in refurbishment or construction should be properly stored to avoid accidental ingestion by children and animals or contamination of drinking water.

- The choice of **construction materials** will not result in the overexploitation of natural materials (e.g., timber felling, sand mining) from local ecosystems. The gap between the short-term private profitability and the long-term environmental costs must be considered.
- Do not use **invasive species** for landscaping, for example, the evergreen and fast-growing shrub *Prosopis juliflora* or mesquite has been known to blocking waterways in dryland regions where mesquite persists exacerbating floods by blocking watercourses and diverting floodwater into villages and cities.

6. ENVIRONMENT

Given the wide range of potential activities under this program area, the SIEE will necessitate a more thorough analysis and identification of mitigation measures.

As an example for environmentally sound design and management of clean energy programs it is essential to:

- ❖ Find or complete local energy analysis
- ❖ Survey existing public incentive programs
- ❖ Get local input
- ❖ Assess community's long-term energy aspirations
- ❖ List beneficiaries
- ❖ Figure costs to transport fuel
- ❖ Examine socioeconomic incentives and obstacles

For example, Community-based Forestry Resource Management for Carbon Sequestration

1. **Reforestation projects** can often take advantage of the lower opportunity costs of off-season labor and marginal lands. The most serious challenges for small-scale reforestation programs are (1) finding appropriate site/species matches, (2) ensuring that farmers perform required maintenance, and (3) protecting the saplings from grazing animals and fire. Any NRM activity, including tree planting, needs to be seen as an economic activity that is productive for the farmer. The distribution of free tree seedlings is not endorsed.

- ❖ In many parts of the world, women—particularly as gatherers of fuelwood—play a predominant role in the traditional use of forest resources. Forming a women's forestry committee, or similar local organizations, is often fundamental to ensuring the representation and participation of the entire community.

2. Farmer Managed Natural Regeneration

The following study in Niger assessed the impact of Farmer Managed Natural Regeneration (FMNR) efforts on local livelihoods, and aimed to assess what motivates farmers to protect and manage trees. Refer to the study report "Niger: Etude de la régénération naturelle assistée dans la région de Zinder (Niger): Une première exploration d'un phénomène spectaculaire", located at: http://www.frameweb.org/ev_en.php?ID=17529_201&ID2=DO_TOPIC and in English at http://www.frameweb.org/ev_en.php?ID=14310_201&ID2=DO_COMMUNITY. This study

shows that 3 million hectares of eroded, unproductive land has been reclaimed since the mid 1980s by farmers and projects using soil and water conservation and other natural resource management techniques.

Reference: http://www.encapafrika.org/EGSSAA/Word_English/forestry.doc

Section 5: Monitoring and Reporting

1. **Supplemental IEE Requirements.** For each Associate Award under the DGP containing activities classified as a **Negative Determination with Conditions** as described herein, this Programmatic Initial Environmental Examination (PIEE) will be supplemented by Supplemental Environmental Examinations (SIEE). Using the PIEE as a template, the SIEE will be a streamlined document describing the specific country context, activities and environmental mitigation measures (using the annual Environmental Mitigation and Monitoring Report (EMMR) in ATTACHMENT 1) to be implemented under the award. This SIEE must be cleared by the Mission Environmental Officer and Bureau Environmental Officer prior to the start of activities.
2. **Reporting.** Award implementing partners will complete an annual Environmental Mitigation and Monitoring Report (EMMR) as in ATTACHMENT 1 for all activities classified as a **Negative Determination with Conditions** as described herein, unless specified otherwise. This reporting should be incorporated into pertinent Performance Monitoring and Evaluation Plans and annual work plans.
 - a. The implementers' periodic reports to USAID will include a brief update on mitigation and monitoring measures being implemented, results of environmental monitoring, and any other major modifications/revisions in the development activities, and mitigation and monitoring procedures.
 - b. The COTR will compile these reports into an overall DGP report for the ODP Bureau Environmental Officer (BEO) so that the results can be included in the Operational Plan (OP) reporting process to Congress.
3. **Oversight.** The COTR and on-site managers of activities under this Award in consultation with Mission Environmental Officers will undertake field visits and consultations with implementing partners to jointly assess the environmental impacts of ongoing activities, and associated mitigation and monitoring conditions.
4. **Contracting Requirements.** USAID mission procurements should include consideration of the offeror's ability to perform the mandatory environmental compliance requirements as envisioned under the DGP Award. The Contract/Grant Officer (CO) shall include required environmental compliance and reporting language into each implementation instrument, and ensure that appropriate resources (budget), qualified staff, equipment, and reporting procedures are dedicated to this portion of the project.
5. **Amendments.** The COTR, in consultation with the mission activity managers and implementing partners, Mission Environmental Officers (MEO), Regional Environmental Advisors (REA, where available), and/or Bureau Environmental Officers (BEO) as appropriate, will actively monitor and evaluate whether environmental consequences

unforeseen under activities covered by this PIEE arise during implementation, and modify or end activities as appropriate. If additional activities are added at the Award level that are not described in this document, an amended PIEE must be prepared and cleared by the ODP Bureau Environmental Officer.

6. **Sub-grants.** Any grants or fund transfers from the implementing partners to other organizations must incorporate provisions stipulating:
 - c) the completion of an annual environmental monitoring report, and
 - d) that activities to be undertaken will be within the scope of the environmental determinations and recommendations of this PIEE and the associated SIEE. This includes assurance that any mitigating measures required for those activities be followed.
7. **Host Country Laws.** Implementation will in all cases adhere to applicable host country environmental laws and policies.
8. When conducting meetings, conferences, training consider green procurement concepts to eliminate, reduce, or recycle waste as summarized in the “**Green Meeting**” checklist as noted in ATTACHMENT 2.
9. In **E&E/CAR** countries, a site-specific Mitigation and Monitoring plan needs to be approved by the MEO in consultation with the E&E BEO before being implemented. The form required, the Environmental Review (ER) Checklist and Leopold Matrix, is attached as ATTACHMENT 3.

ATTACHMENT 1

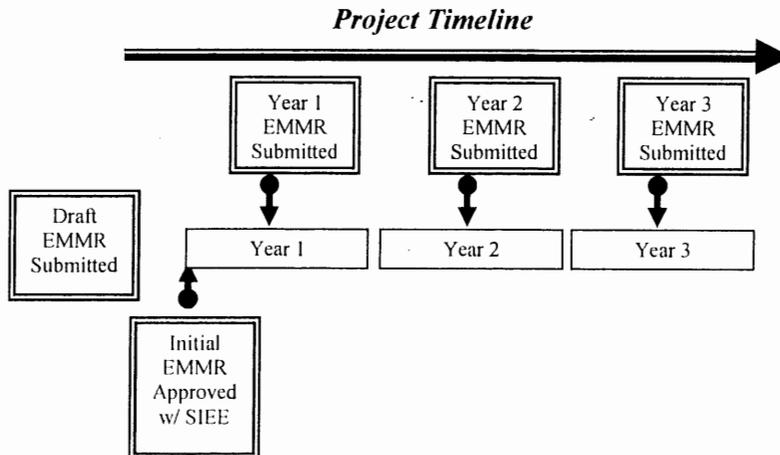
Environmental Mitigation and Monitoring Reports (EMMR)

Operating Units for Awards will use an annual Environmental Mitigation and Monitoring Reports (EMMR) to ensure programmatic compliance with 22 CFR 216 and ADS 204.5.4 by documenting that the conditions specified in this PIEE and its associated SIEE have been met for all activities carried out under DGP. **The initial EMMR including sections 1 and 2 will be included in the country-wide SIEE –for each award if multiple per country-- for clearance by the Mission Environmental Officer and the ODP Bureau Environmental Officer (Figure 1). Subsequent annual EMMRs need only be cleared by the mission activity manager and Mission Environmental Officer.** The EMMR must be completed by each organization carrying out activities under a DGP award.

The EMMR consists of 3 parts:

1. The Environmental Screening Form
2. The Mitigation Plan for specific environmental threats carried out by the implementer,
3. The Reporting Form

Figure 1. Timeline of Reporting Requirement for EMMR



Attachment 1: Environmental Monitoring and Mitigation Report (EMMR)

EMMR Part 1 of 3: Environmental Screening Form

Name of Prime Implementing Organization: _____

Name of Sub-awardee Organization (if this EMMR is for a sub): _____

Geographic location of USAID-funded activities (Province, District): _____

Date of Screening: _____

Funding Period for this award: FY____ - FY____

Current FY Resource Levels: FY_____

This report prepared by: Name: _____ Date: _____

Date of Previous EMMR for this organization: _____ (if any)

Indicate which activities your organization is implementing, If Yes, then Proceed to “EMMR Part 2 of 3 Mitigation Plan”.

Key Elements of Program/Activities Implemented		Yes	No
1	Rehabilitation/Construction of Infrastructure, including Landscaping	?	?
2	Environment	?	?
3	Micro-credit Institutions	?	?
4	Other activities that are not covered by the above categories	?	?
5			
6			



USAID
FROM THE AMERICAN PEOPLE

DGP
Environmental Monitoring and Mitigation Report (EMMR)

EMMR Part 2 of 3: Mitigation Plan

Specify Monitoring Responsible Party, Indicator and Monitoring Method for all those activities specified in “EMMR Part 1 of 2: Environmental Screening Form”.

Category of Activity from Section 5 of DGP PIEE	Describe specific environmental threats of your organization’s activities (based on analysis in Section 3 of DGP PIEE)	Description of Mitigation Measures for these activities as required in Section 5 of DGP PIEE	Responsible Party	Monitoring Indicator	Monitoring Method	Frequency of Monitoring
To be completed at SIEE level, illustrative examples included below.	To be completed at SIEE level, illustrative examples included below.	To be completed at SIEE level, illustrative examples included below.	To be completed at SIEE level, illustrative examples included below.	To be completed at SIEE level, illustrative examples included below.	To be completed at SIEE level, illustrative examples included below.	To be completed at SIEE level, illustrative examples included below.
1. Rehabilitation and/or construction of infrastructure, including landscaping	Damage to ecosystems; Sedimentation of streams and surface water; Contamination of water supplies Social impacts Spread of disease Damage to aesthetics of area	Limit access to the site; Design any to create least impact; Minimize disturbance of native flora during construction; Remove, without destroying, large plants and ground cover where possible; Replant recovered plants and other flora from local ecosystem after construction; Set back any infrastructure as far as possible from the water body/wetland and minimize the amount of wetland destroyed by infrastructure footprint or construction; Design facility and apply construction practices that minimize risk, e.g., use hay bales to control erosion during construction; Avoid destroying rare or unique species;	USAID Mission for performance review, Partner M&E Specialist on an annual basis, Technical		Review of materials and activity design	Annual

Category of Activity from Section 5 of DGP PIEE	Describe specific environmental threats of your organization's activities (based on analysis in Section 3 of DGP PIEE)	Description of Mitigation Measures for these activities as required in Section 5 of DGP PIEE	Responsible Party	Monitoring Indicator	Monitoring Method	Frequency of Monitoring
		Consult with local populations about current use of forest and preferences for preservation; Avoid constructing sanitation or other facilities that will use and store harmful materials at flood-prone sites; Test seasonal water quality and examine historical water quality and quantity data before building facility; Incorporate siting, design and operation and maintenance practices that minimize environmental impacts; Do not site in wetland or next to stream, river, lake or well; Do not site up-gradient from potable water sources such as wells, if possible; Do not site where water table is high or underlying geology makes contamination of groundwater likely; Incorporate design features, education/social marketing programs, construction and operation and maintenance practices; Identify the most environmentally sound source of materials within budget and procure if possible.	specialist in area of interest on a quarterly basis (all included in program budget and implementation plan)			
2. Environment (Natural Resources Management, Climate Change)	Destruction of aquatic life; Concentration of pollution in surface water sources; Salt water intrusion; Poorer quality water, with associated health problems; Increase in vector-borne diseases; Contamination of standing water with fecal matter, solid waste, etc., leading to health problems; Soil erosion/sedimentation ; Alteration of ecosystem structure & function and loss of biodiversity; Arsenic poisoning; Mercury poisoning; Water-related	Survey for, and avoid, wetlands, estuaries or other ecologically sensitive sites in the project area; Identify nearby areas that contain endangered species and get professional assessment of species' sensitivity to construction at site; Use riprap (cobbled stone), gravel or concrete as needed to prevent erosion of drainage structures; Monitor and keep drains and soakways clear ; Use fencing or equivalent that will keep live stock from grazing uphill or up gradient of the water supply improvement; Monitor water levels.	USAID Mission for performance review, Partner M&E Specialist on an annual basis, Technical specialist in area of interest on a quarterly basis (all included in		Review of materials and activity design	Annual

Category of Activity from Section 5 of DGP PIEE	Describe specific environmental threats of your organization's activities (based on analysis in Section 3 of DGP PIEE)	Description of Mitigation Measures for these activities as required in Section 5 of DGP PIEE	Responsible Party	Monitoring Indicator	Monitoring Method	Frequency of Monitoring
	infectious diseases		program budget and implementation plan)			
3. Micro-credit institutions	Brick and/or tile Production can deplete local sources of fuelwood; It can also create clay pits or "borrow" areas, which, if improperly managed, can become safety hazards; They may also accumulate rainwater and become habitat for mosquitoes; Soil erosion.	Consider planting fast-growing tree species that can be coppiced easily, such as <i>Leucaena</i> or <i>Albizia</i> , to maintain a source of fuel; Tree planting also helps to prevent soil erosion, reduce siltation of water bodies and maintain soil fertility. If trees are planted, make sure it is clear who owns them to encourage better long-term management.	USAID Mission for performance review, Partner M&E Specialist on an annual basis, Technical specialist in area of interest on a quarterly basis (all included in program budget and implementation plan)		Review of materials and activity design	Annual

DGP
Environmental Monitoring and Mitigation Report (EMMR)

EMMR part 3 of 3: Reporting form

List each Mitigation Measure from column 3 in the EMMR Mitigation Plan (EMMR Part 2 of 3)	Status of Mitigative Measures	List any outstanding issues relating to required conditions	Remarks

Certification

I certify the completeness and the accuracy of the Environmental Monitoring and Mitigation Report (EMMR) compliance monitoring plan for DGP PROGRAM (DGP) described above (and covered by the DGP PIEE and associated SIEE) for which I am responsible:

Signature

Date

Print Name

Organization

BELOW THIS LINE FOR USAID USE ONLY

USAID Mission or Central Bureau Clearance of EMMR:

Cognizant Technical Officer: _____ Date: _____

Mission Environmental Officer: _____ Date: _____

Regional Environmental Advisor: _____ Date: _____

Note: if clearance is denied, comments must be provided to applicant

ATTACHMENT 2: Green Meetings Checklist

Green Meeting Planning Checklist: Setting Environmental Priorities

In this checklist, environmentally aware meetings and events are those planned in such a way as to eliminate, reduce, or recycle waste. While focusing on municipal solid waste, this checklist also touches on other environmental concerns. It is intended to heighten the environmental consciousness of event planners and demonstrate the advantages of conducting environmentally aware events.

Consider the following as you select your environmental priorities:

Preventing and Reducing Waste

- Focus on reducing waste, given limited in-country recycling facilities
- Use double-sided printing, recycled content -where available- for promotional materials and handouts.
- Avoid mass distribution of handouts. Allow attendees to request copies or provide digital copies via CD, thumb drive, or website.
- Provide reusable name badges.
- Purchase large volume plastic bottles of water to dispense into glasses at each table, instead of individual sized plastic bottles
- Other actions: _____

Recycling and Managing Waste

- Where facilities exist, collect paper and recyclable beverage containers in meeting areas.
- Collect cardboard and paper in exhibit areas.
- Collect cardboard, beverage containers, steel cans, and plastics in food vending areas.
- Separate out organic waste for composting, Provide composting guidelines for conference venues
- If reusables are not used, encourage use of recyclable beverage containers.
- Other actions: _____

Conserving Energy and Reducing Traffic

- Seek naturally lighted meeting and exhibit spaces.
- Provide shuttle service from hotels to the event site.
- Choose meeting sites that have on-site housing
- Other actions: _____

Contracting Food Service and Lodging

- Plan food service needs carefully to avoid unnecessary waste.
- Consider use of durable food service items instead of disposables.
- Donate excess food to charitable organizations, including planning ahead via SOW/contract with the conference venue to ensure this happens.
- Work with hotel on non-replacement of linens, soaps, etc.

- Other actions: _____

Buying Environmentally Aware Products

- Use recycled paper for promotional materials and handouts, where available.
- Consider selling or providing refillable containers for beverages.
- Provide reusable containers for handouts or samples (pocket or file folders, cloth bags).
- Where reusable items are not feasible, select products that are made from recovered materials and that also can be recycled.
- Other actions: _____

Educating Participants and Exhibitors

- Request the use of recycled and recyclable handouts or giveaways.
- Request that unused items be collected for use at another event.
- Encourage participants to recycle materials at the event.
- Reward participation by communicating environmental savings achieved.
- Other actions: _____

(Checklist adopted from the US EPA guidance "*It's Easy Being Green! A Guide To Planning And Conducting Environmentally Aware Meetings And Events*", EPA530-K-96-002, September 1996, <http://www.greenbiz.com/files/document/O16F2392.pdf>)

ATTACHMENT 3: For E&E/CAR COUNTRIES

ENVIRONMENTAL REVIEW & ASSESSMENT CHECKLIST (ER Checklist)

The purpose of this *Environmental Review and Assessment Checklist (ER Checklist)* is to determine whether the proposed action (scope of work) encompasses the potential for environmental pollution or concern and, if so, to determine the scope and extent of additional environmental evaluation, mitigation, and monitoring necessary to fulfill federal U.S. environmental requirements. The *ER Checklist* is intended to be used in conjunction with the Leopold Matrix by the Cognizant Technical Officer (CTO) to ensure that environmental consequences are taken into account by USAID and the host country.

Date of Review:

DCN of triggering IEE:

Name of reviewer: *(must be qualified environmental professional approved by the E&E and CAR/BEO)*

Name of Project/Activity:

Type of Project/Activity:

Location: *(Attach a location map as well as site photos in color)*

Project/Activity Description: *(Provide sufficient description and details for environmental impact analysis)*

Baseline Environmental Conditions: *(Provide site specific environmental conditions due to onsite & offsite sources details for impact analysis)*

A. CHECKLIST FOR ENVIRONMENTAL CONSEQUENCES: Check appropriate column as Yes (Y), Maybe (M), No (N) or Beneficial (B). Briefly explain Y, M and B checks in next Section, "Explanations". A "Y" response does not necessarily indicate a significant effect, but rather an issue that requires focused consideration.

Y. M. N or B

- 1. Earth Resources**
 - a. grading, trenching, or excavation in cubic meters or hectare _____
 - b. geologic hazards (faults, landslides, liquefaction, un-engineered fill, etc.) _____
 - c. contaminated soils or ground water on the site _____
 - d. offsite overburden/waste disposal or borrow pits required in cubic meters or tons _____
 - e. loss of high-quality farmlands in hectares _____

- 2. Agricultural and Agrochemical**
 - a. impacts of inputs such as seeds and fertilizers _____
 - b. impact of production process on human health and environment _____
 - c. other adverse impacts _____

- 3. Industries**
 - a. impacts of run-off and run-on water _____
 - b. impact of farming such as intensification or extensification _____
 - c. impact of other factors _____

- 4. Air Quality**
 - a. substantial increase in onsite air pollutant emissions (construction/operation) _____
 - b. violation of applicable air pollutant emissions or ambient concentration standards _____
 - c. substantial increase in vehicle traffic during construction or operation _____
 - d. Demolition or blasting for construction _____
 - e. substantial increase in odor during construction or operation _____
 - f. substantial alteration of microclimate _____

- 5. Water Resources and Quality**
 - a. river, stream or lake onsite or within 30 meters of construction _____
 - b. withdrawals from or discharges to surface or ground water _____
 - c. excavation or placing of fill, removing gravel from, a river, stream or lake _____
 - d. onsite storage of liquid fuels or hazardous materials in bulk quantities _____

- 6. Cultural Resources**
 - a. prehistoric, historic, or paleontological resources within 30 meters of construction _____
 - b. site/facility with unique cultural or ethnic values _____

- 7. Biological Resources**
 - a. vegetation removal or construction in wetlands or riparian areas in hectare _____
 - b. use of pesticides/rodenticides, insecticides, or herbicides in hectare _____
 - c. Construction in or adjacent to a designated wildlife refuge _____

- 8. Planning and Land Use**
 - a. potential conflict with adjacent land uses _____
 - b. non-compliance with existing codes, plans, permits or design factors _____
 - c. construction in national park or designated recreational area _____
 - d. create substantially annoying source of light or glare _____

- e. relocation of >10 individuals for +6 months _____
- f. interrupt necessary utility or municipal service > 10 individuals for +6 months _____
- g. substantial loss of inefficient use of mineral or non-renewable resources _____
- h. increase existing noise levels >5 decibels for +3 months _____

9. Traffic, Transportation and Circulation

- a. increase vehicle trips >20% or cause substantial congestion _____
- b. design features cause or contribute to safety hazards _____
- c. inadequate access or emergency access for anticipated volume of people or traffic _____

10. Hazards

- a. substantially increase risk of fire, explosion, or hazardous chemical release _____
- b. bulk quantities of hazardous materials or fuels stored on site +3 months _____
- c. create or substantially contribute to human health hazard _____

11. Other Issues (to be used for categories not captured under 1 through 10 above)

- a. Substantial adverse impact _____
- b. Adverse impact _____
- c. Minimal impact _____

B. EXPLANATION OF ENVIRONMENTAL CONSEQUENCES: explain Y, M and B responses

C. RECOMMENDED ACTION (Highlight Appropriate Action):

1. The project has no potential for substantial adverse environmental effects. No further environmental review is required.
2. The project has little potential for substantial adverse environmental effects; however the recommended mitigation measures will be developed and incorporated in the project design and/or construction, operation and maintenance phases. No further environmental review is required.
3. The project has substantial but mitigatable adverse environmental effects and required measures to mitigate environmental effects. Mitigation and Monitoring (M&M) Plan must be developed and approved by the BEO and/or REO prior to implementation. M&M Plan is to be attached to the Scope of Work.
4. The project has potentially substantial adverse environmental effects, but requires more analysis to form a conclusion. **A Scoping Statement must be prepared and be submitted to the BEO for approval. Following BEO approval an Environmental Assessment (EA) will be conducted. Project may not be implemented until the BEO approves the final EA.**
5. The project has potentially substantial adverse environmental effects, and revisions to the project design or location or the development of new alternatives is required.
6. The project has substantial and unmitigable adverse environmental effects. Mitigation is insufficient to eliminate these effects and alternatives are not feasible. The project is not recommended for funding.

D. IDENTIFIED SIGNIFICANT ENVIRONMENTAL IMPACTS (including **physical, biological and social**), if any: (Use ER tools such as **Leopold Matrix** to identify significant environmental impacts)

E. RECOMMENDED MITIGATION MEASURES (includes **Public Participation** in case of all types of community and infrastructure projects):

F. RECOMMENDED MONITORING MEASURES (if any):

APPROVAL:

USAID/CAR Mission Director: _____ Date: _____

USAID/ Project COTR: _____ Date: _____
(Nina Kavetskaya)

USAID/ MEO: _____ Date: _____
(Nina Kavetskaya)

COPY TO²:

Acting CAR and E&E Bureau Environmental Officer: _____ Date:

Mohammad Latif

² MEO may approve RECOMMENDED ACTION 1, 2, 5, and 6 in consultation with the BEO. RECOMMENDED ACTION 3 & 4 require BEO approval.