

## INITIAL ENVIRONMENTAL EXAMINATION (IEE)

### PROJECT/ACTIVITY DATA:

Country/region:

Activity Name:

Begin Date:

End Date:

Life of Project Amount:

IEE Prepared by:

Date:

IEE Amendment/Supplemental (Y/N) \_\_\_\_\_

If "yes", tacking number & date of original IEE \_\_\_\_\_

### ENVIRONMENTAL ACTION RECOMMENDED: (Place X where applicable)

Categorical Exclusion:	[ ]	Deferral:	[ ]
Positive Determination:	[ ]	Negative Determination:	[ ]
With conditions:	[ ]	Exemption:	[ ]

### **Purpose and Scope**

*What does the IEE cover; is it an amendment (supplemental), and if so, why (additional funding, expansion of geographic scope, extension of time)? What other Threshold Decisions cover the activity or SO, if any? See USAID Environmental Procedures §216.3(a)(1) Preparation of the Initial Environmental Examination for further guidance.*

### **Suggested language:**

The purpose of this document, in accordance with Title 22, Code of Federal Regulations, Part 216 (22CFR216), is to provide a preliminary review of the reasonably foreseeable effects on the environment, as well as recommended Threshold Decisions, for the activities detailed below. This document provides a brief statement of the factual basis for a Threshold Decision as to whether an Environmental Assessment or an Environmental Impact Statement is required for the activities managed under the scope of this document.

The review of activities under review are recommended for... identify summary of threshold decisions.

### **Background and Description of Activities**

*Describe why the activity is desired and appropriate, with some relevant context.*

*Outline the key activities proposed for funding. This can be copied or edited from the procurement document or similar. A current activity description should be provided, paraphrasing and shortening as much as needed.*

## **Country Information**

*Include country, geographic, ecosystem or environmental information (baseline information) that is appropriate. This should briefly assess the current physical/biological environment that might be affected by the activity. It should draw on the Country Strategy, Tropical Forest/Biodiversity (FAA 118/119) Country Analysis, etc.*

*Be selective in the environmental information you provide, as it should be specific to the activity being proposed – more information is not necessarily better.*

*This section should also include information on the host country, including policies for environmental assessments and the sector affected. This section should also include a description of consultations that were held with the host government on mitigation measures of potential impacts. While public participation and hearings are not mandatory for IEEs, they are good practice in those cases where there are potential environmental issues need to be addressed.*

## **Evaluation of environmental impact potential**

*This section of the IEE is intended to define all potential environmental impacts of the activity or project. Impacts can be direct, indirect, or cumulative. They can also be beneficial or negative. Some impacts will happen only during certain phases of the project (design, construction, operations/maintenance, closure). Sector environmental guidelines and previous Environmental Assessments are good resources in gathering information for this section. The following link is to the sector guidelines:*

<http://www.usaidgems.org/sectorGuidelines.htm>

### **Suggested language:**

While development activities are intended to provide benefits for targeted recipients, when managed ineffectively they may cause adverse impacts that can offset or eliminate these intended benefits. Impacts can be direct, indirect, or cumulative. They can also be beneficial or negative. The USAID Sector environmental guidelines are good resources in finding more information on potential impacts for various sectors.

The following link is to all sector guidelines: <http://www.usaidgems.org/sectorGuidelines.htm>

The following are summaries of potential environmental impacts for respective sector(s) that are related to the scope of this IEE.

## **Recommended Threshold Decisions**

- **Justification for Categorical Exclusion Request**

*Justify the categorical exclusion with citation to the appropriate language from Reg. 216, especially 22 CFR 216.2(c)...*

**Suggested language:**

The activities described justify Categorical Exclusions, pursuant to 22 CFR §216.2(c)(1) and (2), for which an Initial Environmental Examination, or an Environmental Assessment are not required because the actions do not have an effect on the natural or physical environment.

Specifically, as currently planned, activities fall into the following classes of action:

- (a) education, technical assistance and training (216.2(c)(2)(i));
- (b) analyses, studies, and workshops (216.2(c)(2)(iii));
- (c) document and information transfer (216.2(c)(2)(v)); and
- (d) activities that will develop the capability of recipient countries to engage in development planning (216.2(c)(2)(xiv)).

As currently planned, the categorical excluded interventions will not directly affect the environment.

**- Negative Determination with Conditions**

*For each proposed activity or major component, recommend whether a specific intervention included in the activity should receive Negative Determination without conditions (no impacts), Negative Determination with Conditions (minor impacts, or significant impacts avoid through application of established guidelines), Positive Determination (significant impacts, an Environmental Assessment is necessary), or Deferral (activity is not developed enough to recommend a determination).*

*Activities that typically have a Negative Determination with Conditions (predictable and minor impacts) include:*

- *Construction or rehabilitation of small-scale infrastructure (schools, health clinics, etc.)*
- *Housing reconstruction for less than 100 people, etc.),*
- *Water and sanitation systems for population of less than approximately 5,000,*
- *Irrigation systems for less than 100 ha, and*
- *Rural road improvement of limited extension.*

*Activities which typically have a Positive Determination (they may cause significant adverse environmental impacts) and require an Environmental Assessment include*

- *Irrigation (>100 ha) or water management projects (including dams)*
- *Leveling of land for agriculture*
- *Drainage projects*
- *Construction of new roads or improvement of extensive road network*
- *Sewage and potable water projects for populations over approximately 5,000*

- *Logging activities, and*
- *Large scale agriculture activities*

### **Suggested language:**

The following classes of activities are recommended for a Negative Determination with Conditions threshold determination. When implemented ineffectively they may cause adverse impacts that can offset or eliminate the intended benefits. Mitigating environmental impacts with these activities requires a participatory approach to activity/program design and management. Strong technical design of the projects is also critical. The following are specific conditions to mitigate the potential negative impacts for respective actions.

Can include table here

### **Monitoring and Evaluation**

*Recommend what is to be done to avoid, minimize, eliminate or compensate for environmental impacts for activities that have Conditions. For these activities (where there are expected environmental consequences), appropriate environmental monitoring and impact indicators should be incorporated in the activity's monitoring and evaluation plan. The mitigation and monitoring measures must be budgeted for in the design of the activity –*

*Environmental Review Form can be used if the Mission wants to screen activities.*

*For activities with a Positive Determination, a Scoping Statement for the Environmental Assessment can be annexed or submitted at a later date for BEO approval. Activity implementation cannot begin without an approved Environmental Assessment.*

### **Suggested Language:**

In addition to the specific conditions enumerated in the Negative with Conditions section, the threshold determinations recommended are contingent on full implementation of the following general monitoring and implementation requirements:

1. **Environmental compliance actions and results in USAID solicitations and awards.** The Contract/Agreement Officer shall include language and reference to this IEE in appropriate solicitations and awards. Suggested language for use in solicitation and awards can be found at the following link: <http://www.usaid.gov/ads/policy/200/204sac>
2. **Implementing Partner (IP) Briefings on Environmental Compliance Responsibilities.** The Contract/Agreement Officer Representative (C/AOR) shall provide the IP with a copy of this IEE; the IP shall be briefed on their environmental compliance responsibilities by their C/AOR. During this briefing, the IEE conditions applicable to the IP's activities will be identified.
3. **Development of Environmental Mitigation and Monitoring Plan (EMMP).** For activities that are subject to one or more conditions set out in the "Recommended Threshold Decision" section of this IEE, the IP shall develop and provide an EMMP for USAID C/AOR review and approval,

documenting how their project will implement and verify all IEE conditions that apply to their activities.

The EMMP shall also identify how the IP shall assure that IEE conditions that apply to activities supported under subcontracts and sub-grants are implemented. (In the case of large sub-grants or subcontracts, the IP may elect to require the sub-grantee/subcontractor to develop their own EMMP.)

4. **Integration and implementation of EMMP.** The IP shall integrate the EMMP into their project work plan and budgets, implement the EMMP, and report on its implementation as an element of regular project performance reporting.

The IP shall assure that sub-contractors and sub-grantees integrate implementation of IEE conditions, where applicable, into their own project work plans and budgets and report on their implementation as an element of sub-contract or grant performance reporting.

5. **Integration of environmental compliance responsibilities in sub-contracts and grant agreements.** The IP shall assure that sub-contracts and sub-grant agreements reference and require compliance with relevant elements of the IEE and any attendant conditions.
6. **Assurance of sub-grantee and sub-contractor capacity and compliance.** The IP shall assure that sub-grantees and subcontractors have the capability to implement the relevant requirements of this IEE. The IP shall, as and if appropriate, provide training to sub-grantees and subcontractors in their environmental compliance responsibilities and in environmentally sound design and management (ESDM) of their activities.
7. **Implementing Team monitoring responsibility.** As required by ADS 204.3.4, USAID will actively monitor and evaluate whether there are new or unforeseen consequences arising during implementation that were not identified and reviewed in accordance with 22 CFR 216. USAID shall also monitor the need for additional review. If additional activities not described in this document are added to this program, an amended environmental examination must be prepared and approved.
8. **New or modified activities.** As part of its initial Work Plan, and all Annual Work Plans thereafter, the IP, in collaboration with their C/AOR, shall review all planned and ongoing activities to determine if they are within the scope of this IEE.

If any IP activities are planned that would be outside the scope of this IEE, an amendment to this IEE addressing these activities shall be prepared for USAID review and approval. No such new activities shall be undertaken prior to formal approval of this amendment.

Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID. This includes activities that were previously within the scope of the IEE, but were substantively modified in such a way that they move outside of the scope.

9. **Compliance with Host Country Requirements.** Nothing in this IEE substitutes for or supersedes IP, sub-grantee and subcontractor responsibility for compliance with all applicable host country laws and regulations for all host countries in which activities will be conducted under the USAID activity.

The IP, sub-grantees and subcontractor must comply with each host country's environmental regulations unless otherwise directed in writing by USAID. However, in case of conflict between host country and USAID regulations, the latter shall govern.

## **Revisions and Limitations**

### **Suggested language:**

If during implementation, project activities are considered outside of those described in this document, an amendment shall be submitted. Pursuant to 22CFR216.3(a)(9), if new activities are added and/or information becomes available which indicates that activities to be funded by the Program might be “major” and the Program’s effect “significant,” this determination will be reviewed and revised by USAID or the Implementing Partner, in collaboration with the Contracting Officer’s Representative of the project, and submitted to the Mission Environmental Officer and Bureau Environmental Officer for approval and, if appropriate, an environmental assessment will be prepared.