Issue Date:	September 22, 2016
Deadline for Question/Clarifications:	October 10, 2016
Closing Date:	November 14, 2016
Closing Time:	10:00 AM Chisinau time

Subject: Notice of Funding Opportunity
Number: RFA-117-16-000004
Program Title: Media Enabling Democracy, Inclusion and Accountability in Moldova (MEDIA-M)

Ladies/Gentlemen:

The United States Agency for International Development (USAID) is seeking applications for a cooperative agreement from qualified U.S. organizations to fund a program entitled Media Enabling Democracy, Inclusion and Accountability in Moldova. Eligibility for this award is addressed under Section C of this NFO for eligibility requirements.

Subject to the availability of funds an award will be made to that responsible applicant(s) whose application(s) best meets the objectives of this funding opportunity and the selection criteria contained herein. While one award is anticipated as a result of this notice of funding opportunity (NFO), USAID reserves the right to fund any or none of the applications submitted.

For the purposes of this NFO the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer". Eligible organizations interested in submitting an application are encouraged to read this funding opportunity thoroughly to understand the type of program sought, application submission requirements and evaluation process.

To be eligible for award, the applicant must provide all information as required in this NFO and meet eligibility standards in Section C of this NFO. This funding opportunity is posted on www.grants.gov, and may be amended. Potential applicants should regularly check the website to ensure they have the latest information pertaining to this notice of funding opportunity. Applicants will need to have available or download Adobe program to their

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computers in order to view and save the Adobe forms properly. It is the responsibility of the applicant to ensure that the entire NFO has been received from the internet in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion process. If you have difficulty registering on www.grants.gov or accessing the NFO, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via email at support@grants.gov for technical assistance.

The successful Applicant will be responsible for ensuring the achievement of the program objectives. Please read each section of the NFO.

Please send any questions to the point(s) of contact identified in section D. The deadline for questions is shown above. Responses to questions received prior to the deadline will be furnished to all potential applicants through an amendment to this notice posted to www.grants.gov.

Issuance of this notice of funding opportunity does not constitute an award commitment on the part of the Government nor does it commit the Government to pay for any costs incurred in preparation or submission of comments/suggestions or an application. Applications are submitted at the risk of the applicant. All preparation and submission costs are at the applicant's expense.

Thank you for your interest in USAID programs.

Sincerely,

Michael Rossman
Agreement Officer

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SECTION A: PROGRAM DESCRIPTION

Media Enabling Democracy, Inclusion and Accountability in Moldova (MEDIA-M)

A.1 EXECUTIVE SUMMARY

MEDIA-M: Media Enabling Democracy, Inclusion and Accountability in Moldova (MEDIA-M) is a five-year activity (MEDIA-M or Activity hereafter) that aims to promote the development of an independent, professional media that gives citizens access to a variety of perspectives, and to create a media sector that is more resilient to political and financial pressures. By focusing on the supply of and demand for objective information, this Activity will strengthen the ability of independent media to fulfill its role as a watchdog over the government and serve as a space for citizens to engage in public policy dialogue. Moreover, the Activity's focus on the legal enabling environment will reinforce existing protections for freedom of speech, facilitate better implementation of laws, and advocate for media sector regulation in accordance with international norms.

The Activity is expected to lead to an increased number of independent media producing quality content across a variety of traditional and digital platforms in rural and urban areas, and create a more informed citizenry that understands the value of fact-based, credible journalism. MEDIA-M also aims to improve the capacity of local media support organizations to engender reform efforts in the media sector and participate as equal partners in their country's democratic development. These objectives will be achieved, in part, through coalition building within Moldova, as well as exchanging best practices with counterparts in the Europe/Eurasia region and creating peer-to-peer partnerships. In addition, the Activity will focus on indigenizing media development efforts in Moldova and will build the capacity of a number of media support organizations to serve as independent implementers in the future.

More specifically, the Activity will focus on three programmatic and one cross-cutting objective, as follows:

1. Support independent media and production and dissemination of alternative content through grants and needs-based technical assistance (50%)[1]
2. Build consumer understanding of and demand for independent, reliable, and high quality news and information through targeted media literacy activities (25%)
3. Improve the enabling legal and regulatory environment for independent media by strengthening the capacity of media support organizations (15%)
4. Cross-cutting objective: Nurture organizational capacity of local media institutions for transition to direct local awards (10%)

USAID/Moldova will provide up to $6,350,000, subject to availability of funds, for this Activity. From the total amount, at least $350,000 will be allocated for election-related activities, as detailed under Objectives 1 and 2.

By assisting independent media and cultivating civic leaders and citizens to play a more active

[1] The percentage breakdowns are illustrative only and can be adjusted based on the Applicant's' approach.

role in informing public policy and monitoring government actions, this Activity contributes toward the USAID/Moldova Country Development Cooperation Strategy (CDCS) Development Objective 1, “More effective and accountable democratic governance” and directly falls under Sub-Intermediate Result 1.1.1“More effective and sustainable civil society,” which in turn supports the Strategy’s overarching goal of “[a] better governed Moldova with improved living standards for its citizens.”

A.2 DEVELOPMENT CONTEXT

Closing Space for Media Independence: Press freedom in Moldova began to improve in 2009, after parliamentary elections led to a change in government, removing President Vladimir Voronin and the Party of Communists of the Republic of Moldova (PCRM) from power. Freedom House changed the country’s status in its press freedom index from “Not Free” to “Partly Free” to reflect a range of policies enacted by the new government, including a Law on Freedom of Expression that strengthened the protection of sources, prohibited censorship, allowed criticism of state officials, and ended criminal defamation entirely. With the launch of new private broadcast media outlets and professionalization of management at the state broadcaster, media pluralism improved and political control over content decreased.

By 2014, however, the gains made in the media sector stagnated, and it became apparent that outlets were being used to advance the business or political interests of their owners rather than objectively report the news. Professionalism and objectivity remained low, and the lack of transparency legislation made it difficult to prove bias and argue against concentration of ownership. In 2015, Moldova experienced profound political instability—beginning and ending the year without sitting governments. The disappearance of at least $1 billion from the banking system and the subsequent investigation that implicated the country’s top politicians revealed the deep level of corruption and poor governance in the country, and the state’s dependence on a few oligarchs.

The media sector has both reinforced and been affected by this instability, and 2015 marked a downgrading across international rankings. According to Freedom House, while media retained its status as “Partly Free,” it slipped four places in the rankings. Reporters without Borders downgraded Moldova 16 positions compared with previous years. IREX’s Media Sustainability Index noted that while legal norms protecting freedom of expression had improved in recent years, professionalism, editorial independence, media literacy, and ownership concentration remained significant challenges to achieving sustainability.

Despite the greater availability of news sources, particularly with the growth of digital media, the quality of professional reporting has shown little improvement. And while professional codes of conduct are in line with international standards, journalists often comply with the editorial policies of the owners, resulting in biased, shallow coverage of political events. Compounding this problem is an educational system that emphasizes theoretical knowledge over practical application for aspiring reporters, along with financially strapped outlets that not only lack access to databases and resources for their employees, but provide low wages. As a result, journalists often are missing the technical skills and sector-specific experience to report effectively or critically on public interest issues. Particularly in regions outside of Chisinau, journalists are unable or unwilling to pursue investigative or in-depth reporting, which would more firmly establish their role as society's watchdogs.

Among consumers, television is the main source of information, especially outside of the capital, with 67% of respondents using it as their preferred source followed by Internet/websites at 26% and radio at 6%, according to a 2015 study by the Institute of Marketing, Analysis and Surveys (IMAS). While print media struggle with declining circulations, Internet penetration and readership of online media, including of political portals, is rapidly increasing, and access is inexpensive. In spite of this, the IMAS survey found that only 11% of the population considered itself to be very informed, while 48% considered itself poorly informed or not informed at all. Like in many countries that lack a well-developed independent media sector, the general public has a low level of media literacy and does not actively demand more professional, objective, or explanatory reporting.

Against this backdrop of a low supply of and low demand for professional, objective reporting is an enabling environment that creates an uneven playing field for independent media. This includes an opaque advertising market, lack of concentration of ownership laws, political influence over the licensing and regulatory authorities, and unreliable audience measurement figures. Moreover, the volatility of the media market means that news outlets fail to run as businesses operating under general market economy principles, and instead serve as vehicles for ideological manipulation or as tools for applying political pressure.

In 2015, in line with the amendments made to the Audiovisual Code, broadcasters were required to declare their owners, revealing that the de facto head of the Democratic Party of Moldova (DPM), Vladimir Plahotniuc, owns at least six national TV stations—Publika TV, Prime TV, Canal 2, Canal 3, CTC Moldova and Super TV—and three radio stations—Publika FM, Muz FM, MaestroFM. Television continues to have the largest share of the advertising market, an area that is also controlled by Plahotniuc, whose Casa Media Group earns about 70% of sales.

The economic crisis of 2008 and recent economic downturn in the region have had an impact on the underdeveloped advertising market. According to the Association of Advertising Agencies of Moldova, the market has shrunk by at least 30% over the past three years. While advertisers use data from the AGB Nielsen Media Research, the data is considered to be unreliable and manipulated, as noted in several press watchdog reports. Moreover, the license for AGB Nielsen is held by a company owned by Plahotniuc.

At the national level, media-support organizations are active and influential, and they are trying to address the imbalances in the enabling environment. An October 2015 forum organized by the Press Council, which included media support organizations, journalists, and media managers, identified several specific challenges related to media legislation, including the need for a new broadcasting code, a new advertising law, reforms in the law on government assistance to periodicals, and limits to media concentration, among others.

Development Challenge: Moldova has yet to establish a fully independent media that serves the public interest, while citizens continue to be susceptible to internal and external media manipulation. Contributing to these challenges is a sector that is generally captured by the ruling political and economic elite, lacks a diversity of viewpoints among mainstream outlets, is often unresponsive to citizens' information needs at the national level, and continues to operate under poor professional skills and standards. While media freedom has advanced since 2009, in particular, events over the past year demonstrate that there is real danger of regression, especially in the run-up to the digital switchover in 2017.

Balanced against these shortcomings are opportunities on which democracy advocates can build. The national public broadcaster, Moldova 1, commands a significant audience share and has the potential to serve as a balanced and objective competitor to the most watched television stations; yet it is subject to politicized oversight, and struggles with inefficient operating principles, including an unsustainable staffing plan. At the same time, alternative independent voices at the regional and national levels have become trusted and pertinent sources of information, but remain hampered by limited technical and professional resources and a weak advertising market. In Chisinau, investigative journalists serve as a dedicated and vital check on fraud, waste, and abuse, while their regional counterparts lack the skills and tools to collaborate as strong partners that can amplify their efforts. According to the Open Data Index, Moldova has moved up 21 places since last year, however, proper implementation of the Freedom of Information law remains inconsistent. Finally, many fundamental laws exist to protect press freedom, but are poorly enacted or remain in draft form; and special interests have taken advantage of gaps in the legal enabling environment. Moreover, while civil society and media support organizations have the capacity to contribute to and monitor legal developments, they lack the ability to speak with a strong, united voice to gain support and, more importantly, operate in a political environment that is devoid of will for genuine reform.

Thus, the activity's key development aim is to focus on three main areas of the media sector, as outlined in greater detail below: **the supply side—**providing direct assistance to media outlets by giving support for the tools, as they deem necessary, to improve professionalism, address financial viability, and understand/engage with audiences better; **the demand side—**contributing to citizens' understanding of the role of media in a democracy, to learn how to think critically in order to identify information manipulation, and to expect higher standards from their media; and **the general enabling environment—**preventing further backsliding, while outlining how to reverse regression and move forward with new legislation; and supporting local capacity to inform policy/laws, act as an advocate for change, and serve as a watchdog. This focus will lead to a more sustainable media sector that is less vulnerable to political and financial pressure, and is supported by a more informed, engaged society and committed civil society organizations (CSOs) that represent a strong, united front to protecting freedom of speech.

A.3 ACTIVITY GOAL AND OBJECTIVES

a. Activity Goal

The overall goal of the Activity is to promote the development of an independent, professional media that provides citizens with access to a diversity of perspectives, and to reduce the media sector's vulnerability to political and financial interests. The goal will be achieved through a comprehensive, three-pronged approach that will support independent media and alternative content, build consumer demand for independent and high quality news and information, and improve the enabling legal and regulatory environment for independent media.

It is hypothesized that IF: (1) existing and emerging independent media outlets expand their operations and outreach, (2) the general public is sensitized to media manipulations (internal and external misinformation), and (3) there is a strong and committed coalition to monitor and improve the enabling environment for independent media; THEN the Moldovans will have improved access to a diversity of opinion and alternative sources of news to make informed choices and engage in the country's future democratic consolidation.

The Activity will address the fundamental challenges in Moldova's media enabling environment and provide instrumental support for independent media coverage of democratic and economic reforms. It will also seek to enhance the organizational capacity of key independent media outlets so they can increase their reach and impact—especially in rural areas, while strengthening their editorial and financial independence. Along with media literacy efforts to empower citizens (especially youth and senior populations) to discern fact from misinformation, the Activity will also facilitate closer ties between independent media and civil society organizations to consistently follow up on issues disclosed and raised by media and perform their role as watchdogs. This will form the foundation for a more demanding and engaged society capable of holding the authorities and public institutions accountable.

b. Linkages to USAID's Strategic Framework, CDCS and other Applicable USAID Policies and Strategies

The Activity supports the USAID/Moldova Country Development Cooperation Strategy (CDCS) Development Objective 1, "More effective and accountable democratic governance" and directly contributes to Sub-Intermediate Result 1.1.1"More effective and sustainable civil society," which in turn supports the Strategy's overarching goal of "[a] better governed Moldova with improved living standards for its citizens."

This framework supports a comprehensive approach to strengthening the effectiveness and accountability of democratic governance in Moldova. A key development objective is to assist citizens, civil society and independent media become more active in government decision making and oversight. To this end, this Activity will strengthen the capacity of independent media to act as a watchdog over the government and serve as a conduit for citizens to engage in public policy dialogue.

The Activity also contributes to the broader USAID Strategy on Democracy, Human Rights and Governance. It is closely linked with Sub-Objective 1.1 "Promote politically engaged and informed citizenries, active civil society organizations, organized labor, independent and open media, and representative political parties" and Sub-Objective 1.2 "Support the ability of civil society and independent and open media to provide oversight and an informed critique of government."

A.4 DETAILED PROGRAM DESCRIPTION

The Activity will operate according to the following Results Framework (See Annex 1 for complete Results Framework) and Operating Principles described in Section V. The underlying approach, expected results, illustrative activities, and indicators are summarized under each Objective below.

Goal: Promote the development of an independent, professional media that provides citizens with access to a diversity of perspectives, and reduce the media sector's vulnerability to political and financial interests.

Objective 1: Support independent media and production and dissemination of alternative content through grants and needs-based technical assistance.

Objective 2: Build consumer understanding of and demand for independent, reliable and high quality news and information through targeted media literacy activities.

Objective 3: Improve the enabling legal and regulatory environment for independent media by strengthening the capacity of media support organizations.

Cross-Cutting Objective: Nurture organizational capacity of local media institutions for transition to direct local awards

Objective 1: Support independent media and production and dissemination of alternative content through grants and needs-based technical assistance.

The aim of this Objective is to ensure that the public has access to a wide range of objective, unbiased news and information from independent traditional and digital media. The activity will promote a diversity of views and news sources, while strengthening the capacity of professional media through technical assistance identified by participating outlets.
Interventions under this Objective will include a targeted grants pool for independent media outlets to support the production and dissemination of alternative content and to address critical Moldovan issues, including investigative reporting and coverage of democratic and economic reforms, anti-corruption measures, EU integration, decentralization, elections and political processes, justice sector reform, and other public interest issues. The Activity prioritizes reaching out to both Romanian- and Russian-speaking populations.

<u>Targeted Assistance:</u>
It is anticipated that a limited number of independent media outlets receive targeted long-term support through grants and concurrent tailored capacity building assistance under this Objective.

No less than $800,000 will be allocated for grants to targeted media outlets during the course of the five-year Activity. Grants will be open to Russian- and Romanian-language TV and radio outlets, print, and Internet-based publications. While the main purpose of the grants is to support production and dissemination of content, assistance will be contingent upon the recipient outlets' consent and commitment to receive tailored capacity building assistance aims to bring up-to-date and strengthen their production, editorial, managerial and/or financial capacity.

The program should take a needs-based approach with beneficiaries to outline and address capacity gaps and measure progress over time. Such assistance can range from reporting skills (including investigative reporting, data-driven journalism, and fact-checking), ethics and professional codes of conduct, and new tools and multi-media formats for improved coverage to audience engagement, media management, business plan development, and digital security, among other areas. While classroom instruction will be appropriate for some topics, it is anticipated that the bulk of the capacity building assistance under this Objective will be in the form of onsite direct consulting services with the engagement of long-term experts. Alongside in-house and tailored mentoring, where appropriate, invited experts will provide trainings that will also be open to individual journalists and outlets that are not receiving funding under the aforementioned grants.

Applicants are expected to describe the approach to selecting target independent media, including a preliminary suggested list of target media, and provision of needs-based technical assistance. The successful Applicant will identify the final list of target media and present it for USAID's approval within 60 days of the award. While this approach entails long-term assistance, a certain level of flexibility should be incorporated to allow for changes among the main cohort throughout the course of the Activity.

<u>Small-Scale Support for Emerging Opportunities:</u>

In addition to targeted assistance, it is anticipated that the Activity will incorporate a competitive small-grants pool to support emerging and innovative initiatives to expand production and access to independent news and information. Grants will be open to TV and radio outlets, print and Internet-based publications, social media platforms, and citizen blogger sites, as well as for partnerships between online news outlets and citizen blogger sites. Up to $300,000 will be allocated for small-scale grants during the course of the Activity.

<u>Political Processes and Elections-Related Coverage:</u>

The Activity will have a dedicated approach to expanding and improving coverage of political processes in the run-up to, during, and after national and local elections. Interventions will help ensure that citizens receive balanced information on policy issues, with particular attention to political competition, governance, political corruption, party and election financing, and exposing internal and external misinformation. These will include a focus on increasing the production of content that has a positive impact on and political engagement of women and national minorities. Assistance will also facilitate collaboration between media outlets and civil society organizations to create coalitions on election reporting. No less than $350,000 of the total Activity funds shall be allocated for election-related interventions, including sub-grants described above under Objective 1 and election-related monitoring activities, as outlined below under Objective 2.

<u>Local Impact:</u>
In order to expand availability of and access to independent and credible information to broader audiences outside of Chisinau, the Activity prioritizes working with regional media outlets, regional information hubs, and traditional and new media professionals and citizen journalists from these areas. This also includes efforts aimed at building and/or expanding the regional presence of Chisinau-based outlets. Special attention should be made to explore digital opportunities for establishing convergent and multi-media platforms for better chances for regional (print) media to survive and expand their audiences.

Expected Results, Illustrative Activities and Indicators Assistance under Objective 1 is expected to lead to the following results:

- Increased number of independent media outlets with improved managerial and financial capacity.
- Expanded access to diverse sources of professional, objective news, especially for rural areas.
- Reporting quality and ethical standards of journalism of targeted beneficiaries are improved and institutionalized.
- Increased and improved use of creative multi-media formats for disseminating news and information.
- Expanded content sharing among independent media outlets, freelance journalists, CSOs, and citizen contributors, and improved cross-regional news coverage.
- Increased quantity and improved quality of election campaign coverage to provide balanced information on policy issues, information on the electoral process, and candidates' platforms.

Interventions under Objective 1 shall include, but are not limited to, the following illustrative activities:

- **Targeted and competitive sub-grant pools:** Provide grant and needs-based technical assistance (as outlined below) for independent media to support the production of news content across multiple formats (TV, print, radio, Internet, social media networks) and explore new program/content formats, such as political satire. Content will focus on economic, social, and political issues that promote transparency and accountability and encourage civic participation in addressing key governance challenges and public interest.
- **Needs-based technical assistance:** Develop sustainable, creative and practical skills-building mechanisms (such as in-house mentoring and coaching) to improve the professional and management capacity of journalists and outlets. Based on identified needs of target outlets, such areas could include but not be limited to innovative storytelling formats, mobile applications, data journalism and visualization, digital revenue models, audience-engaging, fact-checking skills and practices, business development plans, digital security practices, media law, fundamental professional training for new reporters, ethics and professional codes of conduct, and niche reporting skills. Collaboration with existing capacity building institutions, such as the Center for Independent Journalism, is strongly encouraged.
- **Investigative journalism:** Strengthen outlets' and journalists' ability to fulfill their watchdog role, expose corruption and abuse, and hold political and financial actors accountable. Improve skills in data-driven journalism, fact-checking, legal reviews, and

creative data presentation formats. Facilitate media outlets' interaction with advocacy CSOs to enhance the role of CSOs in following up on issues raised through investigative reporting.

- **Digital convergence:** Promote the development of digital media skills, new technologies and resources, and convergence of traditional and new media. This could include data visualization skills, audience engagement, multi-media content and application development, and social media tools. Digital technology best practices should be particularly considered in the context of potential sustainability solutions for regional print media.
- **Regional media and cross-regional information sharing:** Improve ability of local media to produce local news and facilitate cross-regional information sharing, especially between media outlets and CSOs. This could also entail support to Chisinau-based independent media to expand their regional reach and partnership with traditional and citizen journalists from the regions.
- **Elections coverage:** Strengthen the media sector's skills in elections reporting, including understanding of election laws, using polling and opinion data, tracking social media messaging by candidates, covering public debates, investigating campaign finance, and fact-checking candidates' statements. Assistance should also focus on increased/improved coverage of female candidates and public policy issues that affect women, marginalized groups, and vulnerable populations. Coordination with CSOs, election monitors, and donor-funded political processes projects is critical.

Illustrative Indicators:

- Number of non-state outlets assisted by USG ("F" standard indicator)
- Number of supported media outlets with improved levels of sustainability (scored and disaggregated by editorial independence, newsroom technical capacity, and financial viability)
- Percentage of own revenue generated by supported media outlets (disaggregated by revenue source)
- Audience figures/website analytics for supported media outlets
- Quality of coverage of reform issues at local and national levels
- Number of supported outlets employing new, creative news formats
- Percentage/number of cross-outlet news programming by targeted media outlets (percentage of cross-promotion of content)
- Number of supported media outlets using ICTs and digital platforms for greater citizen engagement and outreach
- Number of news products produced by assisted media outlets (disaggregated by reform area)

Objective 2: Build consumer understanding of and demand for independent, reliable, and high quality news and information through targeted media literacy activities.

The goal of this Objective is to improve the ability of citizens to seek, evaluate, use, and create information more effectively. The activity will promote better media education on the part of the public through targeted media literacy interventions, improved media monitoring mechanisms, and increased information and analysis on the media sector itself. Assistance should include information exchanges on best practices with similar efforts by counterparts in the region.

Interventions will include an information literacy program that aims to give the public the tools to be active citizens so they can better understand the role of information in a democracy and pressure their government to be more transparent and accountable. Sub-activities should help people understand the value of balanced news, analyze the accuracy of information (such as the STOPFALS! campaign), and demand better access to independent, objective information across all platforms. These interventions can target all age groups and approaches, both formal and informal, but should focus in particular on youth and older citizens.

The Objective will also focus on improving current media monitoring and media critique efforts. Monitoring efforts will include awareness-raising measures, including multi-media information products like articles and videos, as well as more in-depth assessments, like community debates and media-on-media critiques. These interventions can cover any topic, but must also include monitoring and assessment of election reporting. Such monitoring efforts will be part of the $350,000 funding threshold for election-related interventions. The target audiences under this sub-component will be the general public, government and civic actors, private sector representatives, international watchdog organizations, media workers (journalists, editors, publishers), and CSOs. To inform media literacy interventions, Applicants are strongly encouraged to commission regular public surveys (at least a baseline, mid-point, and end-of-project) to assess audience behavior, media and news/information consumption habits, and the level of media literacy among the general public.

Expected Results, Illustrative Activities and Indicators Assistance under Objective 2 is expected to lead to the following results:

- Improved ability of audiences to recognize media misinformation and evaluate news for bias and accuracy, especially among young and elderly populations.
- Enhanced ability of citizens across all media platforms to consume, create, and share independent, objective news and information.
- Improved data and methodologies to monitor the media sector.
- Expanded access among watchdog organizations, media workers, and consumers to information on media professionalism, independence, and enabling environment.
- Increased use of self-regulatory and other feedback mechanisms for citizens to report ethical violations.

Interventions under Objective 2 shall include, but are not limited to, the following illustrative activities:

- **Media literacy education:** Develop/strengthen existing public education initiatives to improve the public's understanding of the role of impartial media in democracies. Improve citizens' knowledge of the current media landscape in Moldova and the influence of political and financial actors on it, while educating consumers on the effect of digital and social media on information production and consumption. Help build public demand for better watchdog journalism, including in-depth and investigative reporting. These efforts can focus on all age groups, but should pay particular attention to youth and senior citizen populations. Interventions should also incorporate "learning by doing" approaches, such as citizen media production. Collaboration with existing media literacy efforts by implementers, organizations, and state institutions is strongly encouraged.
- **Media monitoring:** Improve the capacity of CSOs to effectively monitor media for misinformation, bias, censorship, and conflicts of interest. Ensure that monitoring data

and techniques meet strict methodological standards for objectivity. Assistance will include expertise, access to information resources, and support for innovative tools to package the data in accessible, interesting, and user-friendly formats. As noted, the target audiences under this sub-component will be the general public, government and civic actors, international watchdog organizations, media workers (journalists, editors, publishers), and CSOs. Interventions should be coordinated with Mediacritica.md.

- **Elections coverage:** Strengthen the media sector's skills in monitoring elections reporting by major media outlets, including exposing unbalanced/uneven coverage of candidates, spotting paid news coverage, using polling and opinion data accurately, and fact-checking outlets' and candidates' assertions.

Illustrative Indicators:

- Number of people reached through the Activity-assisted media literacy efforts
- Public perception and news consumption data
- Number of voluntary subscribers/viewers/readers of platforms providing critical analysis of media
- Number of citations of Moldovan CSOs' media monitoring data in the Moldovan and Western press
- Number of CSO initiatives to follow up on issues raised through reporting by supported media
- Number of citizen reports of ethical violations among reporters/outlets

Objective 3: Improve the enabling legal and regulatory environment for independent media by strengthening the capacity of media support organizations.

The purpose of this Objective is to strengthen the ability of indigenous supporting institutions to conduct high quality research, advocate for improvement in the operating environment for independent media, and monitor legislative and policy developments. Focusing on these areas, the interventions under this objective will address key challenges in the legal and regulatory framework, such as implementation of existing legislation, improving regulation and oversight mechanisms, monitoring the digitalization process, advocating for decreased concentration of media ownership and advertising markets, and, as appropriate, following up on action items in the Media Forum roadmap. Assistance should include sharing best practices and experiences from other countries, organizing sector-wide workshops and forums, and coordinating with existing USAID activities.

The Objective's sub-activities will focus on strengthening local capacity to create high quality analyses on media and freedom of speech for watchdog institutions, advocacy organizations, reform-minded political actors, and media workers. This strengthened capacity should, in turn, form the base for an improved ability among media and CSOs to engage with political leaders and provide input on new or amended legislation; where necessary, author legislative drafts and advocate for legislative changes or prevent policies eroding press freedom; and monitor overall progress.

Expected Results, Illustrative Activities and Indicators Assistance under Objective 3 is expected to lead to the following results:

- A clear understanding among media support organizations on a common media reform agenda to promote media independence and pluralism, and prevent initiatives that curtail freedom of expression.
- Increased access by CSOs and media freedom advocates to reliable, timely research on freedom of expression issues.
- Strengthened self-regulation and increased adherence to ethical norms and professional standards by the Moldovan media community.
- Improved media regulation climate as a result of collective and public advocacy and policy/legislative input by media support organizations.

Interventions under Objective 3 shall include, but are not limited to, the following illustrative activities:

- **Monitoring:** Strengthen the capacity of local actors to monitor relevant draft or newly adopted legislation and regulation to provide timely, relevant, high-quality analyses of the enabling environment. Support should include outreach to the general public, for example, through the creation of special task forces comprising investigative media outlets and CSOs to follow-up on media-related laws and policies.
- **Advocacy actions:** Support engagement by media experts and CSOs regarding adoption, amendment, enforcement, and implementation of media-focused laws and policies. This can include promoting special advocacy and watchdog efforts/task forces to pursue specific legislative initiatives, such as limits on concentration of media ownership, transparency in advertising, public oversight of the digital switchover and multiplex ownership and licensing process, updates to the freedom of information to reflect new technologies, closing gaps in the law on de-statization of print media, and revisions in the broadcasting code, among others. When possible, advocacy actions could include strategic litigation. To this end, assistance should also focus on improving media CSOs' ability to prioritize and be more strategic in their advocacy and lobbying efforts.
- **Coalition-building:** Improve coalition-building skills of domestic CSOs and media associations to form more effective partnerships with each other and with reform-minded government officials, parliamentarians, and, when appropriate, public regulation bodies. Special attention should be made to strengthening the relationship of media associations and support organizations with their constituents, i.e., media outlets. Assistance will also include building and/or strengthening linkages and networks between Moldovan organizations and their international counterparts to address issues of common concern and increase pressure for reform.
- **Education and awareness campaigns:** Increase the quality and speed of education and awareness-raising efforts by advocacy CSOs. Advocacy efforts need to go beyond press releases, press conference, and official letters to government bodies to include more highly visible public campaigns, participatory debates, and community organization.
- **Oversight mechanisms:** Promote improvements in regulation and oversight mechanisms. This includes stronger promotion and better enforcement of self-regulation entities and professional codes of conduct, as well as reforms among regulatory bodies (including the Broadcasting Coordinating Council and the Audio-Visual Council) related to their composition, independence, and accountability.

Illustrative Indicators:

- Number of USG-assisted media-sector civil society organizations and/or institutions that serve to strengthen the independent media or journalists ("F" standard indicator)
- Number of civil society organizations receiving USG assistance engaged in advocacy interventions ("F" standard indicator)
- IREX Media Sustainability Score for Supporting Institutions
- Level of capacity of media support institutions and related coalitions to advocate as a united front on behalf of the sector
- Number of positive modifications to enabling legislation/regulations for media drafted with USG assistance
- Number of cases resolved in compliance with decisions of self-regulatory mechanisms
- Level of awareness among journalists and news outlets of self-regulation mechanisms
- Number of policy changes and/or government and/or civil society actions consistent with input from USG-assisted media support organizations

Cross-Cutting Objective: Nurture Organizational Capacity of Local Media Institutions for Transition to Direct Local Awards

In line with USAID's efforts to increase assistance to and through local organizations, a major focus for this Activity is to indigenize media development efforts in Moldova. To this end, as a cross-cutting objective, the Activity aims to strengthen Moldova's leading media support organizations and to develop their technical and organizational capacity to implement USAID and other donor assistance directly.

Therefore, in addition to addressing programmatic objectives, Applicants will propose a strategy that aims to comprehensively develop local capacity in major programmatic directions and prepare selected organizations targeted under Objective 3 to receive direct awards from USAID or other donors in the future. The strategy will include clear benchmarks and criteria for determining support for eligible local organizations. Such support will consist of focused and intensive consulting services and technical assistance that can include but not be limited to the following key organizational areas: governance, administration, human resources management, financial management, organizational management, program management, project performance management, monitoring and evaluation efforts, and leadership and team dynamics.

It is expected that the during the first three years of the Activity, the Recipient will work with a select number of well-established indigenous media support organizations, targeted under Objective 3, and develop their capacity to assume a leading role in continuing media development efforts in key areas of importance for the sector. The recipient will grow the skills of these partners towards sustainability, i.e. the ability to more effectively achieve programmatic impact and results, as well as the ability to continually solicit and receive funding from other donors, both domestic and international.

The following is an illustrative list of criteria for the prime recipient to identify and recommend a sub-recipient for a direct transition award:

- Democratic management structures and practices;
- Institutionalized strategic planning and program development;
- Financial and program accountability, including compliance with international audit requirements;
- Capacity to fundraise, including mobilizing public and private resources;

- Enhanced cooperation with the media industry and systematic engagement of the constituents (media outlets);
- Capacity to serve as a mentor/leader to other CSOs working the same area and ability to lead cooperation among them;
- Capacity to provide services and administer grants to other local organizations, as appropriate;
- Effective public relations skills and capacity to influence media policy through effective advocacy, monitoring, and lobbying techniques and practices; and
- Sustainability/Business Plan which will include:
    - Identified market for future services (non-profit or profit, as appropriate)
    - Plan for attracting potential clients and promoting their services
    - Plan for diversification of funding sources; and
    - Strategic plan for long-term organizational development.

The Recipient will develop an organizational capacity assessment methodology, modeled based on USAID's Organizational Capacity Assessment (OCA) Tool, to track these and other indicators. Baseline, specific action items and targets for these and other indicators for local capacity development will be included in and reported as part of the monitoring and evaluation plan, as applicable.
By the end of the third year, the recipient will formally assess whether the capacity of local media organizations primed for transition awards has reached a sufficient level. Subsequently, the recipient will make a recommendation to USAID on the readiness of up to three organizations to transition. USAID will then choose to conduct a Non-U.S. Organization Pre-Award Survey (NUPAS) to make a responsibility determination of subject organizations to be considered for a direct grant. Subject to availability of funds, should a direct transition award(s) be made during the life of the current Activity, the Recipient will continue mentoring and coaching the transitioning organization(s). This may entail revision of funding and responsibilities for the prime award for the activities of the transition award recipient(s).

A.5 OPERATING PRINCIPLES AND CROSS-CUTTING ISSUES

Gender Considerations and Women Empowerment: According to USAID/Moldova's 2011 Gender Assessment, although Moldova is not perceived as an oppressively patriarchal culture, there are still relatively strong gender roles that shape women's ability to participate equally in governance, the economy and society. Women are under-represented at all levels of government, as well as decision-making bodies in the private sector. In the civil society sector, they are mainly represented in organizations addressing social assistance and disability issues.

The Assessment points out that media reinforces this gender dynamic and conveys different messages about men and women, including that women are less likely to be experts or thought-leaders. Although the majority of journalists in Moldova are female, women are much scarcer in decision-making positions. It is not typical of female journalists to write editorials, provide political analysis or commentary. A gender review of media with nationwide coverage undertaken by the Association of Independent Press showed that only 20 percent of the analyzed articles presented men and women in a balanced manner. While not blatantly discriminatory, the media provides an unbalanced presentation of women and men, and the coverage of women's rights and the principle of equal opportunity is almost totally lacking. The use of sexist, degrading and stereotyped images of women in advertising is widespread.

This Activity should fully reflect USAID's commitment to advance gender equality and pursue gender as a key development challenge. This entails a gender sensitive approach to implementation and content production, taking into consideration underlying gender dynamic in the country. Applicants should describe how gender bias will be addressed and mitigated throughout the proposed activities, including but not limited to: raising gender consciousness of media managers and practitioners in how they shape and present news, information, and analysis to recognize and avoid the use of sexist or stereotypical representations of women in all forms of media; improving women's portrayal in media and their role in decision-making, including those in the political arena, and featuring women as expert commentators; and publicly recognizing and highlighting best examples of gender aware and gender-sensitive reporting in the media. In accordance with USAID's Gender Equality and Female Empowerment Policy, the Activity will continuously monitor gender implications and opportunities, and, where appropriate and feasible, collect data disaggregated by sex. The Activity should also be in line with and support Moldova's forthcoming National Program on Ensuring Gender Equality and its associated National Action Plan.

Inclusion of Vulnerable Groups: The inclusion of ethnic minorities, LGBTI, persons with disabilities, youth, and the elderly remains a challenge for Moldova's democratic development. Certain minorities and vulnerable groups are either absent from media coverage or are portrayed in a biased and stereotypical manner. USAID's policies on Persons with Disabilities, LGBTI, and Youth, as well as international best practices on inclusive development, shall be mainstreamed throughout the Activity. Applicants should address their approach to increasing the awareness, outreach, inclusion and representation of minorities, LGBTI, people with disabilities and other disenfranchised groups in Activity interventions. In particular, the planned switchover to digital broadcasting can create the risk poor, elderly and rural viewers being cut off from their primary news sources if they cannot afford digital converters after the switchover is made. In this context, proposed interventions – especially media literacy efforts under Objective 2 – should target those populations and pay special attention to raising their awareness of and access to alternative sources of news and information, while sensitizing them to the issues of media manipulation and misinformation.

Innovation and Integration of Information and Communication Technologies (ICTs): Where appropriate, the proposed interventions are expected to capitalize on innovative approaches and the use of ICTs and new media tools to foster production of and access to independent and reliable news, as well as to make media literacy efforts more effective. As part of needs-based technical assistance, Applicants are encouraged to pay special attention to the use of ICTs and digital platforms to enhance the participating media outlets' production quality and versatility, audience engagement, and marketability for advertising.

International linkages: Media support CSOs work with their counterparts in the region, but are not always able to do so in a comprehensive, sustained way. When organizations do not or cannot communicate on common challenges, they are forced to undertake the same learning curve in isolation. Under assistance to media support organizations, Applicants should include building and/or strengthening networks and partnerships between Moldovan organizations and their international colleagues to share lessons learned, facilitate cross-fertilization of ideas, address issues of common concern, and increase pressure for reform.

Sustainability: Sustainability is a core part of the U.S. global development policy and USAID's reform agenda. The Applicant's approach to sustainability of the proposed interventions is, therefore, a key consideration for USAID. The Activity is expected to build the institutional capacity of independent media and media support organizations, to foster partnerships and to introduce tools and mechanisms in a manner that these will continue to develop beyond the timeframes and scope of this Activity.

To ensure long-term sustainability, USAID will support interventions that build on existing opportunities and support a select group of local independent media that are committed to investing in and receiving tailored assistance to improve their editorial, managerial and financial capabilities. Furthermore, USAID will support the enhancement of the professionalism within the journalism community based on a needs-based approach through a range of coaching, mentoring and on-the-job skills development, targeting stakeholders whose involvement will be critical for maintaining development gains. To further sustain the outcomes of this Activity and foster local ownership, USAID will provide focused and intensive technical assistance to up to three media support organizations to become potentially direct recipients and implementers of U.S. Government assistance programs.

While full financial sustainability of target outlets is an ambitious and an unrealistic goal, the Activity will explore different models for greater financial sustainability for beneficiary media outlets. Ultimately, this Activity will lead to a number of more sustainable media outlets that are less vulnerable to political and financial pressure and are supported by a more informed, engaged society and committed CSOs that represent a strong, united front to protecting freedom of speech.

A.6 GEOGRAPHIC AND LANGUAGE FOCI

Given the nature of media reach, the Activity will be performed nationally, but it will focus at enhancing the quality and access to news and information to citizens at the local level, while facilitating coverage of reform issues at the local and national levels. Lack of reliable and in-depth information on issues that directly impact people's everyday life is most acute in rural areas of Moldova. Increasing access to information about national and local issues for average citizens, particularly those outside Chisinau, will be vital. In particular, as decentralization and other democratic reforms are implemented in the country, independent and reliable information must be effectively communicated at the local level in order for these populations to engage. Likewise, populations from these areas need to have the means to include their voices in the challenges they face at the national level. Therefore, this Activity prioritizes working with regional media outlets, regional information hubs, and traditional and new media professionals and citizen journalists from these areas, as well as efforts aimed at building and/or expanding the regional engagement of Chisinau-based outlets.

The interventions under this Activity should target the Moldovan population at large. To this end, the Activity will target Russian-language media outlets and Russian-speaking populations, along with Romanian-language media and Romanian-speaking populations. To the extent possible, efforts should be made to increase the availability of media outlets that produce bilingual news and content.

A.7 COORDINATION WITH KEY STAKEHOLDERS AND OTHER IMPLEMENTERS

USAID/Moldova highly prioritizes coordination of development interventions and expects Applicants to demonstrate the commitment, capacity and mechanisms to proactively coordinate efforts with key efforts in media development and media literacy and with other relevant international stakeholders, including, but not limited to, projects supported by the Delegation of the European Union to Moldova, the Council of Europe, the Organization of Security and Cooperation in Europe, the Soros Foundation-Moldova, the European Endowment for Democracy, the National Endowment for Democracy, as well as other U.S. Government programs (Democracy Commission Grants, U.S. Department of State's Bureau of Democracy, Human Rights, and Labor). Coordination efforts should also include local stakeholders, such as the Association for Independent Press, the Center for Independent Journalism, the Press Council, RISE Moldova, and the Association of Independent TV Journalists, among others.

In addition, the Activity is expected to coordinate with current and forthcoming USAID-supported activities focusing on democratic and economic reforms in order to draw sector-specific knowledge and expertise, to amplify the democratic and economic reforms pursued by these projects through media coverage, and to leverage civil society partners' advocacy skills in pursuing media sector specific policy/legislative changes. These include but are not limited to the following current and forthcoming USAID/Moldova Activities:

- The <u>Moldova Partnerships for Sustainable Civil Society Project</u> (FHI Development 360 LLC), which aims to improve the capacity of civil society to represent citizens; interests, influence policymaking and sustain the sector's democratic role for the futures.
- <u>Novateca – the Global Libraries Program in Moldova</u> (IREX), which is designed to increase opportunities for wide scale public access to information and communication technologies through the existing public library network.
- <u>Organized Crime and Corruption Reporting Project</u> (International Center for Journalists) – designed to support, network, and strengthen the capacity of experienced regional investigative journalists and associated organizations across Europe and Eurasia's USAID Mission presence countries.
- <u>New Justice Activity</u> (forthcoming, TBD), which aims to increase citizen demand for effective justice and to foster a more capable and professional justice sector.
- <u>Political Processes Program</u> (forthcoming, TBD), which is aimed at fairer and more transparent political competition in Moldova, with political actors more representative of and accountable to citizens.
- <u>Local Governance</u> program (forthcoming) will advance the decentralization reform, while building the capacity of local governments to meet new authorities and responsibilities, including increasing local revenues, improving local services and working with citizens on more participatory, transparent, and accountable local governments.

- ICT Excellence Center Project (Information Technology and Communications Association), a public private partnership that supports the establishment of the Center, preparation of qualified staff, and expansion of the Center's education, training and entrepreneurship development activities.
- Competitiveness Enhancement through Workforce Development and Innovation (Chemonics International), which supports Moldova's efforts to promote a strong, diverse and export-oriented economy by improving competitiveness and efficiency in the following industries: Information and Communication Technology, wine production and export clustered with the tourism sector, and light industry.
- Western NIS Enterprise Fund, a regional private equity fund investing in small and medium-sized companies to build competitive market leaders that attract additional private capital to Moldova. In particular, the Impact Investing Program focuses on supporting private enterprises to achieve significant social impact by providing accessible capital, coaching and mentoring.

A.8 MONITORING, EVALUATION AND LEARNING

Applicants will submit a proposed Monitoring & Evaluation (M&E) Plan to rigorously and credibly document the Activity's effectiveness and to learn from accomplished work and results. This entails identifying indicators and targets that correspond to and measure the Activity's interventions and different levels of results (goal, objectives, expected outcomes, and outputs), identifying means of verification, frequency of data collection, as well as establishing baseline measurements and targets to assess the performance of proposed interventions. The Plan will elaborate the methods and assessment tools the Applicant will use for collecting, monitoring, analyzing, reporting and maintain the data. The Applicants should use a mix of custom and standard indicators from the Standard Foreign Assistance Master Indicator List. All people-level indicators must be disaggregated by sex and age. At a minimum, the Plan shall track the following standard "F" and custom indicators that contribute to the Mission's Results Framework:

- Number of non-state outlets assisted by USG ("F" standard indicator);
- Number of supported media outlets with improved levels of sustainability (scored and disaggregated by editorial independence, newsroom technical capacity, and financial viability);
- Number of people reached through the Activity-assisted media literacy efforts;
- Number of USG-assisted media-sector civil society organizations and/or institutions that serve to strengthen the independent media or journalists ("F" standard indicator);
- Number of civil society organizations receiving USG assistance engaged in advocacy interventions ("F" standard indicator); and
- Number of policy changes and/or government and/or civil society actions consistent with input from USG-assisted media support organizations.

Significant attention is required to ensure that baseline data are collected early in the project lifespan and can be replicated toward the conclusion of implementation to assess progress toward results. To the extent possible, the M&E Plan will include methods to track the changes in the media outlets receiving needs-based technical assistance that can be attributed to the Activity as opposed to some other change in conditions, as well as methods, approaches, and tools for a commissioned study on regular assessments of audience behavior, news and information consumption habits, and level of media literacy. The Plan should also ensure that journalists, media literacy participants, and other beneficiaries are monitored beyond specific interventions to ensure capacity building and educational activities lead to concrete outcomes. As appropriate, the M&E methodology should also include tools for tracking progress of the organizational capacity building of media support organizations identified for transition grants under this Activity.

Given changing dynamics and factors in the media sector, Applicants will develop and use flexible monitoring tools to guide decisions on adjustments throughout the life of the Activity. Monitoring will be an ongoing, collaborative process with the participation of the implementing partner(s), USAID, and local stakeholders. In addition to data collection and reporting indicators, the M&E Plan should identify other assessment, evaluations or learning products that will be used to assess the effectiveness of activities and progress towards results. All costs associated with the implementation of the M&E should be reflected in the cost application.

External Evaluation **–** USAID is planning to conduct a mid-term external performance evaluation of this Activity to evaluate: (1) the relevance of the activity vis-à-vis USAID/Moldova’s strategic priorities; (2) the relevance of the approach in the current Moldovan context; and (3) the performance of the implementer. Continuation of the Activity beyond the third year will be informed by and contingent upon the findings of the evaluation.

Annex 1: MEDIA-M RESULTS FRAMEWORK

Goal: Promote the development of an independent, professional media that provides citizens with access to a diversity of perspectives, and reduce the media sector's vulnerability to political and financial interests.

Objective 1: Support independent media and production and dissemination of alternative content through grants and needs-based technical assistance.

Expected Results:

1.1 Increased number of independent media outlets with improved managerial and financial capacity.

1.2 Expanded access to diverse sources of professional, objective news, especially for rural areas.

1.3 Reporting quality and ethical standards of journalism of targeted beneficiaries are improved and institutionalized.

1.4 Increased and improved use of creative multi-media formats for disseminating news and information.

1.5 Expanded content sharing among independent media outlets, freelance journalists, CSOs, and citizen contributors, and improved cross-regional news coverage.

1.6 Increased quantity and improved quality of election campaign coverage to provide balanced information on policy issues, information on the electoral process, and candidates' platforms.

Objective 2: Build consumer understanding of and demand for independent, reliable and high quality news and information through targeted media literacy activities.

Expected Results:

2.1 Improved ability of audiences to recognize media misinformation and evaluate news for bias and accuracy, especially among young and elderly populations.

2.2 Enhanced ability of citizens across all media platforms to consume, create, and share independent, objective news and information.

2.3 Improved data and methodologies to monitor the media sector.

2.4 Expanded access among watchdog organizations, media workers, and consumers to information on media professionalism, independence, and enabling environment.

2.5 Increased use of self-regulatory and other feedback mechanisms for citizens to report ethical violations.

Objective 3: Improve the enabling legal and regulatory environment for independent media by strengthening the capacity of media support organizations.

Expected Results:

3.1 A clear understanding among media support organizations on a common media reform agenda to promote media independence and pluralism, and prevent initiatives that curtail freedom of expression.

3.2 Increased access by CSOs and media freedom advocates to reliable, timely research on freedom of expression issues.

3.3 Strengthened self-regulation and increased adherence to ethical norms and professional standards by the Moldovan media community.

3.4 Improved media regulation climate as a result of collective and public advocacy and policy/legislative input by media support organizations.

Cross-Cutting Objective: Nurture organizational capacity of local media institutions for transition to direct local awards

Media Enabling Democracy, Inclusion and Accountability in Moldova (MEDIA-M) Log Frame

Narrative Summary	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
Activity Goal: Promote the development of an independent, professional media that provides citizens with access to a diversity of perspectives, and reduce the media sector's vulnerability to political and financial interests.	• **IREX Media Sustainability Score for Moldova (proxy)** • **Freedom House Freedom of the Press Index score for Moldova (proxy)**	• **IREX E&E MSI Annual Report** • **Freedom House Annual Report**	**Restrictions freedom of expression and freedom of information do not increase Productive cooperation with key stakeholders**
<u>Objective 1</u>: Support independent media and production and dissemination of alternative content through grants and needs-based technical assistance <u>Expected Results:</u> 1.1 Increased number of independent media outlets with improved managerial and financial capacity. 1.2 Expanded access to diverse sources of professional, objective news, especially for rural areas. 1.3 Reporting quality and ethical standards of journalism of targeted beneficiaries are improved and institutionalized. 1.4 Increased and improved use of creative multi-media formats for disseminating news and information. 1.5 Expanded content sharing among independent media outlets, freelance journalists, CSOs, and citizen contributors, and improved cross-regional news coverage. 1.6 Increased quantity and improved quality of election campaign coverage to provide balanced information on policy issues, information on the electoral process, and candidates' platforms.	1. 0 Number of non-state outlets assisted by USG ("F" standard indicator) 1.1 Number of supported media outlets with improved levels of sustainability (scored and disaggregated by editorial independence, newsroom technical capacity, and financial viability) 1.1. Percentage of own revenue generated by supported media outlets (disaggregated by revenue source) 1.2 Audience figures/website analytics (including bounce rates) for supported media outlets 1.3/1.6 Quality score of coverage of reform issues at local and national levels 1.4 Number of supported outlets employing new, created news formats 1.4 Percentage/number of cross-outlet news programming by targeted media outlets (percentage of cross-promotion of content) 1.5 Number of supported media outlets using ICTs and digital platforms for greater citizen engagement and outreach 1.2/1.6 Number of news products produced by target media (disaggregated by reform area)	• Implementing partner data • Audience research data • Content analysis • Capacity scorecards	

<u>Inputs (Activities/Resources):</u>

- Long-term grant support to a select number of independent media (grant pool estimated at $800,000)
- Needs-based technical assistance to the recipients of the long-term grant support to strengthen a range of technical, managerial and financial capacities for sustainability
- Small-scale support for emerging opportunities (grant pool estimated at $300,000)
- Thematic and cross-cutting foci of the grant and technical support:
    - Content – democratic reforms, anti-corruption, EU integration, decentralization, justice sector, political processes and elections coverage*.
    - Approaches – Investigative journalism; digital convergence; local impact with emphasis on regional media and cross-regional information sharing, inclusive language coverage reaching both Russian- and Romanian-speaking populations

Narrative Summary	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
* Political processes and elections coverage – will count towards the $350,000 of total Activity funds to be allocated for elections-related activities under Objectives 1 and 2.			

<u>Objective 2</u>: **Build consumer understanding of and demand for independent, reliable, and high quality news and information through targeted media literacy activities** <u>Expected Results:</u> 2.1 Improved ability of audiences to recognize media misinformation and evaluate news for bias and accuracy, especially among young and elderly populations. 2.2 Enhanced ability of citizens across all media platforms to consume, create, and share independent, objective news and information. 2.3 Improved data and methodologies to monitor the media sector. 2.4 Expanded access among watchdog organizations, media workers, and consumers to information on media professionalism, independence, and enabling environment. 2.5 Increased use of self-regulatory and other feedback mechanisms for citizens to report ethical violations.	2.0 Number of people reached through the Activity-assisted media literacy efforts 2.1/2.2 Public perception and news consumption data index (gathered at least three times during the project) 2.2 Number of voluntary subscribers/viewers/ readers of platforms providing critical analysis of media 2.3 Number of initiatives/platforms for media Monitoring that meet Activity-assigned quality standards 2.4 Number of citations of Moldovan CSOs' media monitoring data in the Moldovan and Western press 2.4 Number of CSO initiatives to follow up on issues raised through reporting by supported media 2.5 Number of citizen reports of ethical violations among reporters/outlets	• Implementing partner data • Activity-commissioned study (baseline, mid-project, end-of-project, could be a combination of public survey and focus groups) • Pre- and post- assessments among media literacy trainees • Annual reports of self-regulation bodies	
<u>Inputs (Activities/Resources):</u> • A range of public education initiatives to enhance media literacy among the general population, with a special focus on youth and senior citizens. • Technical assistance and grants to CSOs to effectively monitor media for misinformation, bias, censorship, and conflicts of interest. • Technical assistance and grants CSOs to monitor elections reporting and exposing misinformation.* * Elections coverage monitoring – will count towards the $350,000 of total Activity funds to be allocated for elections-related activities under Objectives 1 and 2.			
<u>Objective 3:</u> **Improve the enabling legal and regulatory environment for independent media by strengthening the capacity of media support organizations** <u>Expected Results:</u> 3.1 A clear understanding among media support organizations on a common media reform agenda	3.0 Number of USG-assisted media-sector civil society organizations and/or institutions that serve to strengthen the independent media or journalists ("F" standard indicator) 3.0 Number of civil society organizations receiving USG assistance engaged in advocacy interventions ("F" standard indicator) 3.0 IREX Media Sustainability Score for Supporting Institutions	• IREX, E&E MSI Annual Report • Implementing partner data • Capacity assessment scorecard • Annual reports of self-regulation bodies	

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<td>to promote media independence and pluralism, and prevent initiatives that curtail freedom of expression.
3.2 Increased access by CSOs and media freedom advocates to reliable, timely research on freedom of expression issues.
3.3 Strengthened self-regulation and increased adherence to ethical norms and professional standards by the Moldovan media community.
3.4 Improved media regulation climate as a result of collective and public advocacy and policy/legislative input by media support organizations.</td>
<td>3.1 Level of capacity of media support institutions and related coalitions to advocate as a united front on behalf of the sector
3.2/3.4 Number of policy changes and/or government and/or civil society actions consistent with input from USG-assisted media support organizations
3.3 Number of cases resolved in compliance with decisions of self-regulatory mechanisms
3.3 Level of awareness among journalists and news outlets of self-regulation mechanisms
3.4 Number of positive modifications to enabling legislation/regulations for media drafted with USG assistance</td>
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<td colspan="4"><u>Inputs (Activities/Resources):</u>
• Grants and technical assistance to strengthen the capacity of media support organizations to engage in monitoring and advocacy actions regarding adoption, amendment, enforcement, and implementation of media-focused laws and policies, and where necessary, authoring new legislative drafts.
• Technical assistance to enhance coalition building and implement effective education and awareness campaigns.
• Foster strengthened relationships/partnerships with international counterparts to share lessons learned and increase solidarity on promoting reforms.
• Promote improvements in regulation and oversight mechanisms, including better enforcement of self-regulation entities, adherence to professional codes of conduct, and reforms related to formal regulatory bodies (related to their composition, independence, and accountability).</td>
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<td>Cross-Cutting Objective: Nurture organizational capacity of local media institutions for transition to direct local awards

<u>Expected Results:</u>
Strengthened organizational capacity of up to 3 media support organizations to be considered for a direct transition award.</td>
<td>Number of organizations assessed ready for a direct transition award</td>
<td>• Implementing partner data
• Organizational capacity assessment scores
• USAID's NUPAS findings</td>
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<td colspan="4"><u>Inputs (Activities/Resources):</u>
• Technical assistance to media support organizations targeted through Objective 3 to develop indigenous capacity (technical and organizational) to take a leading role in continuing media development efforts.</td>
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SECTION B: FEDERAL AWARD INFORMATION

B.1 ESTIMATE OF FUNDS AVAILABLE AND NUMBER OF AWARDS CONTEMPLATED

Subject to funding availability, USAID intends to provide $6,350,000 in total USAID funding over a five (5) years period. The ceiling for this program is $6,350,000. Actual funding amounts are subject to availability of funds.

USAID intends to award one (1) Cooperative Agreement pursuant to this notice of funding opportunity.

USAID reserves the right to fund any one or none of the applications submitted.

B.2 START DATE AND PERIOD OF PERFORMANCE FOR FEDERAL AWARDS

The period of performance anticipated herein is five (5) years. The estimated start date will be upon the signature of the award, on or about.

B.3 SUBSTANTIAL INVOLVEMENT

Substantial involvement under this award shall include the following:

- Review and approval of the Recipient's Annual Implementation Plans (Work Plans), including the M&E Plan. Any significant changes to the approved Implementation Plan or the M&E will require additional approval of the Agreement Officer's Representative (AOR);
- Review and approval of key personnel and any key personnel changes by the AOR;
- Approval of all sub-awards, including their extensions, prior to award and participation in preparation of solicitation documents including the topics, program descriptions, match requirements, selection criteria and funding levels for applications, by the AOR; and
- Agency and Recipient collaboration or join participation.

B.4 TITLE TO PROPERTY

Property title under the resultant agreement shall vest with the recipient.

B.5 AUTHORIZED GEOGRAPHIC CODE

The geographic code for this program is 937 and 110.

SECTION C: ELIGIBILITY INFORMATION

C.1 ELIGIBLE APPLICANTS

USAID is seeking applications from U.S. organizations for funding to support the program entitled "Media Enabling Democracy, Inclusion and Accountability in Moldova" project.

While for-profit firms may participate, pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments such as cooperative agreements. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the LWA Cooperative Agreement.

USAID welcomes applications from organizations which have not previously received financial assistance from USAID.

Applicants must have established financial management, monitoring and evaluation processes, internal control systems, and policies and procedures that comply with established U.S. Government standards, laws, and regulations. The successful applicant(s) will be subject to a responsibility determination assessment (Pre-award Survey) by the Agreement Officer (AO).

The Recipient must be a responsible entity. The AO may determine a pre-award survey is required to conduct an examination that will determine whether the prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills – or ability to obtain them – in order to achieve the objectives of the program and comply with the terms and conditions of the award.

C.2 COST SHARING OR MATCHING

USAID has established a minimum of 10% of the total proposed budget as a cost-share from non-U.S. Government funding for the recipient of the award. Such funds may be mobilized from the recipient, other multilateral, bilateral, and foundation donors, host governments; and local organizations, communities and private businesses that contribute financially and in-kind to implementation of activities at the country level. For guidance on cost sharing in grants and cooperative agreements see ADS 303.3.10.

SECTION D: APPLICATION AND SUBMISSION INFORMATION

D.1 AGENCY POINT OF CONTACT

Armen Yeghiazarian
Senior Acquisition and Assistance Specialist
Office of Acquisition and Assistance
USAID/Armenia and Moldova
1 American Avenue
Yerevan 0082 Armenia
Tel: 37410 49-43-64
Email: ayeghiazarian@usaid.gov

Questions and Answers:

All questions regarding this NFO should be submitted in writing to by email addressed to Armen Yeghiazarian, Senior Acquisition and Assistance Specialist, at ayeghiazarian@usaid.gov and copy to Narine Sarkisian, Acquisition and Assistance Specialist, at nsarkisian@usaid.gov with subject line: "Media Enabling Democracy, Inclusion and Accountability in Moldova (MEDIA-M), RFA-117-16-000004". The deadline for submission of questions/clarifications is shown on the cover page.

Questions regarding this NFO should be submitted by e-mail no later than October 10, 2016 to provide sufficient time to address the questions and incorporate the questions and answers as an amendment to this solicitation. Any information given to a prospective Applicant concerning this NFO will be furnished promptly to all other prospective Applicants as an amendment to this NFO, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective Applicant.

D.2 CONTENT AND FORM OF APPLICATION SUBMISSION

Applicants are expected to review, understand, and comply with all aspects of the NFO.

Preparation of Applications:

Each Applicant shall furnish the information required by this NFO. Applications shall be submitted in two separate parts: (a) Technical Application, and (b) Cost/Business Application.

Any erasures or other changes to the application must be initiated by the person signing the application. Applications signed by an agent on behalf of the Applicant shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purpose, should mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed – in whole or in part – for any purpose other than to evaluate this application. If, however, a grant is awarded to this Applicant as a result of – or in connection with – the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets {insert sheet numbers} and, mark each sheet of data it wished to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

Applicants should retain for their records one (1) copy of the application and all enclosures which accompany it.

D.3 APPLICATION SUBMISSION PROCEDURES

It is the Applicant's responsibility to ensure that all necessary documentation is complete and received on time.

Applications must be submitted in electronic form. Hard copies are not required but may be submitted in addition to electronic copies. Applications must be submitted to the attention of Armen Yeghiazarian, Senior Acquisition and Assistance Specialist, at ayeghiazarian@usaid.gov and copy to Narine Sarkisian, Acquisition and Assistance Specialist, USAID/Armenia at nsarkisian@usaid.gov.

For an application sent by multiple emails, please indicate in the subject line of the email whether the email relates to the technical or cost application, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. "No. 1 of 4", etc.). For example, if your cost application is being sent in two emails, the first email should have a subject line which says: "[organization name], Cost Application, Part 1 of 2". The total size of each e-mail attachment should not exceed 3 MBs.

Our preference is that the technical application and the cost application be submitted as single email attachments, e.g. that you consolidate the various parts of a technical application into a single document before sending them. If this is not possible, please provide instructions on how to collate the attachments. USAID will not be responsible for errors in compiling electronic applications if no instructions are provided or are unclear. The application received by the submission deadline will be reviewed for responsiveness to the NFO and the application format. No addition or modifications will be accepted after the submission date.

After you have sent your application electronically, immediately check your own email to confirm that the attachments you intended to send were indeed sent. If you discover an error in your transmission, please send the material again and note in the subject line of the email or indicate in the file name if submitted via grants.gov that it is a "corrected" submission. Do not send the same email more than once unless there has been a change, and if so, please note that it is a "corrected" email.

The receipt of application will be confirmed within two days. If not, please contact Armen Yeghiazarian at ayeghiazarian@usaid.gov

D.4 TECHNICAL APPLICATION FORMAT

Technical Application Content and Format

The technical application will be the most important factor for consideration in selection for award of the proposed Cooperative Agreement. The applications should demonstrate the applicant's capabilities and expertise with respect to achieving the objectives of this program. Technical applications should take into account requirements of the program and merit review criteria found in this RFA.

The Technical Application should be in English in MS Word format and in PDF, single spaced, utilizing Times New Roman 12-font size. The technical application should **not exceed 25 pages**. The cover page, dividers, table of contents, acronyms list, and annexes are not included in the page limit of 25 pages. Annexes do not have page limitations; however, number of pages should be reasonable and include only minimum of necessary information.

Cover Page

The cover page should include the following information:

- USAID RFA Number;
- Activity Title;
- Name of the organization(s) submitting the application;
- Point of contact with the authority to negotiate and sign on behalf of the Applicant, including the name (both typed and his/her signature), title or position with the organization/institution, address, telephone and fax numbers and e-mail address;
- Any proposed sub-grantees (or implementing partners) listed separately.

Executive Summary

This section shall summarize the key elements of the Applicant’s technical application, including, but not limited to, the technical approach and core activities that will lead to anticipated results and stated objectives.

Technical Approach

The successful applicant will employ a combination of types of activities, including technical assistance, training, facilitations, and grants. Illustrative activities are described in the Program Description. Please use clear logic describing the links between the situation analysis, program objectives, methods and anticipated results. The narrative should be brief, concise and provide a clear description of what the Applicant proposes to do, where, why, when, how and by whom.

The section will:

- Describe the specific development context; include relevant background information and an analysis of the problem; present the challenges, opportunities and risks in the proposed area of intervention, as well as the feasibility and appropriateness of the proposed approach in the Moldovan context;
- Describe how the proposed approach will contribute to USAID/Moldova objectives and priorities as described in the USAID/Moldova CDCS and the RFA;
- Outline the types of activities that will be undertaken and discuss the anticipated changes that should result from the proposed methods/activities and how they are expected to achieve and sustain the objectives outlined in the RFA. Considerable focus should be placed on:
    - The description of the approach to and criteria for selecting target independent media, including a preliminary suggested list of target media, and provision of needs-based technical assistance;
    - The description of the approach to developing the organizational capacity of local partners identified for potential transition awards, including but not limited to a list of criteria proposed to identify and recommend a sub-recipient for a direct transition award, as well as a proposed methodology and milestones for capacity development and assessment.
- Proposed life of project implementation plan (in matrix format) that outlines the timeline for phasing of interventions and outlines inputs, outputs, and outcomes per year that are realistic and achievable within the proposed budget and timeframe and reflect a grasp of the necessary steps to ensure efficient, effective execution of the proposed approach.

Operating Principles and Cross-Cutting Issues

The section will describe specific approaches and methodologies that will be used in a substantive and integrated manner to address the operating principles and cross-cutting issues outlined in the *Operating Principles and Cross-Cutting Issues* Section of the RFA, describe the geographic and language foci of the interventions, and provide illustrative ways of how this Activity will enhance coordination among key stakeholders and other USAID projects to leverage results.

Management Approach and Staffing Plan

This section will include the Applicant's plan for management of the proposed activity, including a description of any management systems in place, organizational structure, respective roles and responsibilities of the Applicant. Describe any teaming arrangement, partnership, consortium or coalition arrangements between applicant and partner organizations.

Also, this section will identify the Applicant's key personnel positions for this activity, as well as include an organigram outlining the roles and responsibilities of all staff involved. Position descriptions (including roles and responsibilities), relevant experience and academic and professional qualifications shall be provided for all key personnel.

Applicants should also include a two to three page curriculum vita as an appendix for each identified key personnel.

Monitoring and Evaluation Plan

This section will include an illustrative monitoring and evaluation (M&E) plan. The M&E Plan shall contain project objectives and intermediate and final results, suggested performance indicators of activity progress and success, annual targets, data management methods (sources, frequency of and responsibility for data collection and reporting, including a plan for collecting baseline and follow-on data), and references to staff responsible for monitoring, data collection and analysis.

Annexes

Items such as key personnel resumes, case studies, table summarizing qualifications of proposed personnel, will not be counted against the page limitation. Please note that if annexes contain information that relates to the technical application, they will not be scored (e.g. placing elements of technical understanding and proposed approaches in an annex is unacceptable).

D.5 COST APPLICATION FORMAT

The Applicant must sign and submit the cost application standard form number SF-424 and SF-424A. Standard Forms can be accessed electronically at www.grants.gov .

The Cost or Business application is to be submitted under a separate cover from the Technical application. The Cost/Business application is also to be submitted in Microsoft Excel 2010. The Applicant is requested to submit a budget broken down by program years with an accompanying detailed budget narrative in Word 2010 format which provides in detail the total costs for implementation of the program as further detailed below.

Certain documents are required to be submitted by an Applicant in order for the Agreement officer to make a determination of responsibility. However, it is USAID policy not to burden Applicants with undue reporting requirements if that information is readily available through other sources. There is no page limit on the Cost Application. However, unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this NFO is not desired. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

If the Applicant has established a consortium or another legal relationship among its partners, the Cost/Business application must include a copy of the legal relationship between the parties. The agreement should include a full discussion of the relationship between the Applicant and Sub-Applicant(s) including identification of the Applicant with whom USAID will work with for purposes of Agreement administration, identity of the Applicant which will have accounting responsibility, how Agreement effort will be allocated and the express agreement of the principals thereto to be held jointly and severely liable for the acts or omissions of the other.

Guidance: An extensive cost analysis will be performed for the apparently successful Applicant. Budget information required from the apparently successful Applicant should be in enough detail to determine the proposed cost for the Applicant's program to be allocable, allowable and reasonable. The following sample language assumes the cost information will be submitted with the initial application. However, the AO could modify the amount of initial information that is needed for submission to determine the successful Applicant and restructure NFO language to get the more detailed information from only the successful Applicant.

The following sections describe the documentation that the Applicants must submit to USAID prior to award. While there is no page limit for this portion, Applicants are encouraged to be as concise as possible, but still provide the necessary details to address the following:

1. The budget must have an accompanying detailed budget narrative and justification that provides in detail the total program amount for implementation of the program your organization is proposing. The budget narrative should provide information regarding the basis of estimate for each line item, including reference to sources used to substantiate the cost estimate (e.g. organization's policy, payroll document, and vendor quotes, etc.).

2. A budget for each program year with an accompanying detailed budget narrative which provides in detail the total costs for implementation of the program. The budget must be submitted using Standard Form 424 which can be downloaded from the following web site at: http://apply07.grants.gov/apply/FormLinks?family=15

3. A breakdown of all costs associated with the program according to the costs of, if applicable, headquarters, regional and/or country offices.

4. Applicants who intend to utilize contractors or sub-awardees should indicate the extent intended and a complete cost breakdown. Extensive contracts/agreement financial plans should follow the same cost format as submitted by the primary Applicant. A breakdown of all costs according to each partner organization, contract or sub-awardee involved in the

program should be provided.

Pursuant to 2 CFR 200 Contract means a legal instrument by which the Applicant purchases property or services needed to carry out the project or program under a resulting award. The term does not include a legal instrument when the substance of the transaction meets the definition of a Federal award or sub-award (see § 200.92 Sub-award), even if the Applicant considers it a contract. The Applicant must describe the work to be performed, the risk borne by the contractor, the contractor's investment, the amount of subcontracting proposed by the contractor, and the quality of its record of past performance for similar work. For-profit contract organizations that work under the award and do not meet the above definition of a sub-awardee are eligible for profit/fee.

The cost/business application should contain the budget categories: as shown on the SF-424A

The budget must also include:

a) Potential contributions of non-USAID or private commercial donors to this program;
b) The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
c) The name (if identified), annual salary, and expected level of effort of each candidate named (or TBD) and charged to the activity. Provide annual salary history information for at least the three most recent years for all identified and proposed long-/short-term key and non-key personnel;
d) All equipment proposed to be purchased;
e) All travel related costs;
f) USAID branding and marking estimated costs;
g) Financial plans for all proposed sub-grants which must have the same format and level of detail as those of the applicant;

Guidance: the Applicant and/or Major Sub-Applicant should also provide the organization’s negotiated indirect cost agreement if it has one. If not the AO should ask for the following reports as a substitute for the NICRA:

- Reviewed financial statements that provide the user with comfort that, based on the accountant’s review, the accountant is not aware of any material modifications that should be made to the financial statements for the statements to be in conformity with the applicable financial reporting framework. During a review engagement, the Accountant obtains limited assurance that there are no material modifications that should be made to the financial statements. Therefore, the objective of a review of the financial statements is to obtain limited assurance that there are no material modifications that should be made to the financial statements. A review does not contemplate obtaining an understanding of the entity’s internal control; assessing fraud risk; testing accounting records; or other procedures ordinarily performed in an audit. The CPA issues a report stating the review was performed in accordance with Statements on Standards for Accounting and Review Services; that management is responsible for the preparation and fair presentation of the financial statements in accordance with the applicable financial reporting framework and for designing, implementing and maintaining internal control relevant to the preparation.
- Audited financial statements that provide the user with the auditor’s opinion that the

financial statements are presented fairly, in all material respects, in conformity with the applicable financial reporting framework. In an audit, the auditor is required by auditing standards generally accepted in the United States of America (GAAS) to obtain an understanding of the entity's internal control and assess fraud risk. The auditor also corroborates the amounts and disclosures included in the financial statements by obtaining audit evidence through inquiry, physical inspection, observation, third-party confirmations, examination, analytical procedures and other procedures. The auditor issues a report that states that the audit was conducted in accordance with GAAS, the financial statements are the responsibility of management, provides an opinion that the financial statements present fairly in all material respects the financial position of the company and the results of operations are in conformity with the applicable financial reporting framework (or issues a qualified opinion if the financial statements are not in conformity with the applicable financial reporting framework. The auditor may also issue a disclaimer of opinion or an adverse opinion if appropriate).

The proposal should not include:

Compiled financial statements shall not be accepted because the Accountant does not obtain or provide any assurance that there are no material modifications that should be made to the financial statements. That is, you have no assurance that the organization is misrepresenting their costs on compiled financial statements which puts the agency at risk. The objective of compiled financial statements is to assist management in presenting financial information in

The Applicant must submit a Negotiated Indirect Cost Rate Agreement NICRA if the organization has such an agreement with an agency or department of the U.S. Government. If no NICRA the Applicant should submit the following:
Reviewed Financial Statements Report: a report issued by a Certified Public Account (CPA) documenting the review of the financial statements was performed in accordance with Statements on Standards for Accounting and Review Services; that management is responsible for the preparation and fair presentation of the financial statements in accordance with the applicable financial reporting framework and for designing, implementing and maintaining internal control relevant to the preparation. The account must also state the he or she is not aware of any material modifications that should be made to the financial statements; or
Audited Financial Statements Report: An auditor issues a report documenting the audit was conducted in accordance with Generally Accepted Auditing Standards (GAAS), the financial statements are the responsibility of management, provides an opinion that the financial statements present fairly in all material respects the financial position of the company and the results of operations are in conformity with the applicable financial reporting framework (or issues a qualified opinion if the financial statements are not in conformity with the applicable financial reporting framework.
Guidance: State clearly whether cost sharing is required for the applicant to be eligible (see 303.3.10), cost sharing is suggested (that is, voluntary) but not required, or cost sharing is not required.

Cost Sharing: It is required that a minimum of 10% of the proposed budget will be generated as a cost-share from non-USAID or private commercial donors to support the proposed program. The cost share may be a combination of cash and in-kind. The Applicant should estimate the amount of cost-sharing resources to be mobilized over the life of the agreement and specify the sources of such resources, and the basis of calculation in the budget narrative. The Applicant should also provide a breakdown of the cost share (financial and in-kind contributions) of all organizations involved in implementing the resulting Cooperative Agreement.

The Applicant must demonstrate ability to raise the match proposed. Actual and/or expected sources and amounts of the cost-share amount from all sources (other donors, community members, businesses, etc.) must be stipulated. Funds received by the Applicant directly from the U.S. Government or USAID intermediaries or foreign governments are not allowable elements of the match but should be identified as sources in the overall budget if they are critical to the program.

Applications should identify all critical sources of support for the program, including private and public cash receipts recorded in the organization’s accounts and in-kind contributions of goods and services and other contributions not recorded in the organization’s accounts but directly supporting its grant program activities.

Criteria for acceptance and allowability for the non-U.S. federal contributions are set forth in 22 CFR 226. (Copies of 22 CFR 226 may be obtained from Internet address http://www.gpo.gov/fdsys/granule/CFR-2012-title22-vol1/CFR-2012-title22-vol1-part226/content-detail.html or http://www.law.cornell.edu/cfr/text/22/226

The business section of the cost/business application should also include:

1. Required assurances, certifications and representations

2. Evidence of responsible the Agreement Officer can use to determine the Applicant
   a. Has adequate financial resources or the ability to obtain such resources as require during the performance of the award;
   b. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the Applicant;
   c. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance;
   d. Has a satisfactory record of integrity and business ethics; and
   e. Is otherwise qualified and eligible to receive a Cooperative Agreement under applicable laws and regulations (e.g., EEO).

3. Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by USAID/Washington's Office of Acquisition and Assistance (M/OAA).

4. Statutory and Regulation Certifications
The Applicant shall complete the certifications in Section IV, B. Required Certifications and sign and date in the signature space provided. The signed and dated printout must then be submitted with the application as an annex to the cost application. Original signed hardcopy of the certifications will be requested from the successful applicant prior to the agreement award.

Potential Request for Additional Documentation

Upon consideration of award or during the negotiations leading to an award, Applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to make an affirmative determination of responsibility. Applicants should not submit the information below with their applications! The information in this section is provided so that Applicants may become familiar with additional documentation that may be requested by the Agreement Officer:

The information submitted should substantiate:
1. Bylaws, constitution, and articles of incorporation, if applicable.
3. Whether the organizational travel, procurement, financial management, accounting manual and personnel policies and procedures, especially regarding salary, promotion, leave, differentials, etc., submitted under this section have been reviewed and approved by any agency of the Federal Government, and if so, provide the name, address, and phone number of the cognizant reviewing official. The Applicant should provide copies of the same.

Required Certifications

1. Required assurances, certifications and representations (see the Annex 1 of this NFO).

2. Potential Request for Additional Documentation
Upon consideration of award or during the negotiations leading to an award, Applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to make an affirmative determination of responsibility.

Data Universal Numbering System (DUNS) Number and System for Award Management (SAM)

Applicants may not submit applications under this RFA without DUNS numbers. All U.S. Government recipients are required to secure a Data Universal Numbering System (DUNS) Number before an award can be made to them. The DUNS is a 9-digit number assigned by Dun and Bradstreet, Inc. (D&B) that uniquely identify the recipient's name and address.

Applicants should register in the System for Award Management (SAM) by vising the following site www.sam.gov and obtain a Data Universal Numbering System (DUNS) Number from Dun and Bradstreet (D&B) by using the online web form (http://fedgov.dnb.com/webform) process, and North Atlantic Treaty Organization (NATO)

CAGE (NCAGE) code.

Or: Applicants can obtain DUNS # during registration in www.sam.gov; for NCAGE code pleas complete the registration at http://www.dlis.dla.mil/Forms/Form_AC135.asp.

Use the NCAGE online form http://www.dlis.dla.mil/Forms/Form_AC135.asp to obtain an NCAGE. In block 2 of the form, select "Other" if your country is not listed. If the form cannot be submitted via internet, or you have any questions about this form or have problems with it, call +9269 9617766 (DSN 661-5757) or send a message to NCAGE@dla.mil.

USAID may not award to an applicant until the applicant has complied with all applicable unique entity identifier and SAM requirements and, if an applicant has not fully complied with the requirements by the time the Federal awarding agency is ready to make a Federal award, the Federal awarding agency may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.

Dun and Bradstreet and SAM.gov Requirements

USAID may not award to an applicant until Applicants have complied with all applicable unique entity identifier and SAM requirements. Applicants are required to:

(i) Be registered in SAM before submitting its application. SAM is streamlining processes, eliminating the need to enter the same data multiple times, and consolidating hosting to make the process of doing business with the government more efficient.;

(ii) Provide a valid DUNS number in its application; and

(iii) Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

It is Applicants' responsibility to ensure that all necessary documentation is complete and received on time.

D.6 FUNDING RESTRICTIONS

USAID policy is not to award profit under assistance instruments. However, all reasonable, allocable and allowable expenses, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost principle under 2 CFR 200 Subpart E. of the Uniform Administrative Requirements may be paid under the anticipated award.

SECTION E: APPLICATION REVIEW INFORMATION

E.1 MERIT REVIEW CRITERIA

A. Technical Application

The criteria set forth below will be used by the technical review panel to evaluate all applications submitted in response to this RFA. All criteria are weighted equally.

1. **Technical Approach:** Extent to which the application sets forth a clear, feasible, and technically sound course of action to achieve the activity objectives and anticipated results in the context of the opportunities and challenges of the media sector in Moldova; including but not limited to a demonstration of how activities respond to the identified needs of strengthening a core of independent media, broader audience reach, expanded media literacy among audiences, a more unified voice on behalf of media support institutions, and well-outlined plans for developing the capacity of local organizations for transition grants;

2. **Operating Principles and Cross-Cutting Issues:** Extent to which the proposed technical approach will meaningfully address the operating principles and cross-cutting issues outlined in the Program Description, particularly gender and women empowerment, vulnerable groups, local impact, broadening audience reach through a focus on Russian-language media, sustainability, and leveraging innovative approaches and digital media for stronger impact; as well as mechanisms identified to ensure strategic and synergetic linkages and coordination with key local stakeholders, other relevant USAID-funded programs, as well as projects funded by other donors and implemented by other international and domestic organizations;

3. **Management Approach and Staffing Plan:** Appropriateness of the composition and organizational structure of the proposed project team, including a clear and effective staffing pattern with roles and responsibilities among different positions adequately delineated, as well as experience, expertise and performance of the key personnel in managing complex development programs, and demonstrated prior experience in working with other technical assistance programs in media development and areas relevant to the proposed activity;

4. **Monitoring and Evaluation Plan:** Clarity and soundness of an illustrative monitoring and evaluation (M&E) plan for expected intermediate and final activity results, including a plan for collecting base-line and follow-on data; suggested indicators of program success; methods to be used for monitoring activities and collecting indicator results, and a mechanism for oversight and verification of monitoring conducted by staff.

Merit Review System

The following adjectival scoring system will be used by the panel to assess each of the technical criteria and sub-criteria and the technical application as a whole:

Outstanding ─ the application exceeds the fullest expectations of the Government. The Applicant has convincingly demonstrated that the evaluation requirements have been analyzed, evaluated, and should result in an outstanding, effective, efficient, and economical performance under the agreement. An assigned rating within "outstanding" indicates that, in terms of the specific factor (or sub factor), the application demonstrates an "outstanding" understanding of the factor, contains essentially no weaknesses, and exceeds the fullest expectations of the Government.

Very Good ─ the application demonstrates a level of effort that fully meets the evaluation's requirements and that this effort has produced, or could produce, results which should prove to be substantially beneficial to the project. The application may or may not have any weaknesses. Fulfilling the definition of "very good" indicates that, in terms of the specific factor (or sub factor), the application demonstrates a level of effort that fully meets the evaluation's requirements and that this effort has produced, or could produce, results which should prove to be substantially beneficial to the project.

Good ─ the application meets the requirements. The application may contain weaknesses and/or significant weaknesses that are correctable but no deficiencies. An assigned rating of "good" indicates that, in terms of the specific factor (or sub factor), the application demonstrates a "good" understanding of the factor. If any weaknesses and/or significant weaknesses are noted, they should not seriously affect the Applicant's performance.

Marginal ─ the application demonstrates a shallow understanding of the requirements and approach and marginally meets the minimum evaluation standard. The application contains weaknesses and/or significant weaknesses and may contain deficiencies. If deficiencies exist, they may be correctable. A rating of "marginal" indicates that, in terms of the specific factor (or sub factor), the application marginally meets the standard for minimal but acceptable performance. The Applicant may complete the assigned tasks; however, there is at least a moderate risk that the Applicant will not be successful.

Unacceptable ─ the application fails to meet a minimum requirement or contains a major deficiency or major deficiencies. The application is incomplete, vague, incompatible, incomprehensible, or incorrect as to be unacceptable. The evaluator feels that the deficiency or deficiencies is/are uncorrectable without a major revision of the application. The assignment of a rating within the bounds of "unacceptable" indicates that in terms of the specific factor (or sub factor) the application fails to meet performance or capability standards. The specific factor to be evaluated contains deficiencies.

B. Cost Application

Review of Proposed Award Budget

USAID will review the apparently successful applicant's budget to ensure that costs, including cost sharing, are in compliance with OMB's and USAID's policies. The recipient must justify in advance the proposed costs for each element of the program. If the recipient expects to earn program income during the award period, the schedule of the award must specifically state how the income will be applied. (The definition of program income is located in 2 CFR 200.80 and income application suggestions can be found in 2 CFR 200.307.)

When reviewing costs, the AO will review the cost breakdown; and evaluate and analyze specific elements of costs for reasonableness and allocability of costs in the budget, and the allowability of the costs under the applicable cost principles.

The review of the proposed budget helps the AO determine:
(1) The extent of the prospective recipient's understanding of the financial aspects of the program and the recipient's ability to perform the grant activities within the amount requested;
(2) Whether the Applicant's plans will achieve the program objectives with reasonable economy and efficiency; and
(3) Any special conditions relating to costs that are in the award.

In addition, the organization must demonstrate adequate financial management capability, to be measured for a responsibility determination.

Cost Sharing

USAID has required cost share of 10 percent of the Award's projected value for the recipient to support the activity. Leveraged non-USAID resources from private firms and institutions (such as equipment, training, level of effort and any in-kind contributions) may be considered part of cost share. Cost sharing may be also demonstrated either through direct funding, beneficiary contributions, in-kind assistance, or a combination thereof. USAID shall make the final determination and assess whether or not the Applicant's cost share contribution (e.g. categories or items) meets the standards set in 2CFR 200. For non-U.S. organizations the proposed contribution must meet the standards set in the Standard Provision "Cost Share". USAID does not apply its source and nationality requirements or the restricted goods provision established in the Standard Provision "USAID Eligibility Rules for Commodities and Services" to cost share contributions.

The cost share proposed by the partner will be evaluated for cost realism. In the award budget, cost share must be expressed as a dollar figure rather than a percentage to assist in monitoring the amount.

E.2 REVIEW AND SELECTION PROCESS

All applications which meet the eligibility and program requirements, and conform to the application preparation and submission instructions will be reviewed and evaluated by a panel of USAID reviewers strictly in accordance with the evaluation criteria set forth in this section.

The budget and budget narrative of all applications under consideration for award will be reviewed for cost realism and reasonableness. After initial review of applications, USAID may conduct written and/or oral discussions with those applicants whose applications remain under consideration for award. The decision to conduct such discussions should not be considered a final decision about which organizations will receive an award, but rather would be part of the evaluation process.

E.3 AWARD CONSIDERATIONS

USAID/Moldova will evaluate applications and make an award based on that application which best would achieve the expected outcomes of the program and offers the greatest overall benefit in response to the requirement.

Although technical evaluation factors are more important than cost, the closer the various technical applications are to one another, the more important cost considerations become. The Agreement Officer may determine that a highly ranked application based on the technical evaluation factors is unreasonable or unrealistic in terms of cost. Award will be made to the applicant whose application offers the best value to the Government. Favorable consideration will be given to applications that include meaningful cost sharing by the applicant. Best value is defined as the expected outcome that, in the Government's estimation, provides the greatest overall benefit in response to the requirement and available funds.

SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

F.1 FEDERAL AWARD NOTICES

Award of the agreement contemplated by this NFO cannot be made until funds have been appropriated, allocated and committed through internal USAID procedures. While USAID anticipates that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for the award. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either a fully executed Agreement or a specific, written authorization from the Agreement Officer.

F.2 ADMINISTRATIVE & NATIONAL POLICY REQUIREMENTS

For U.S. organizations 2 CFR 700, 2 CFR 200, and ADS 303maa, Standard Provisions for U.S. Non-governmental Organizations will apply.

All applicable standard provisions will be attached to the final award document.

F.3 REPORTING REQUIREMENTS

FINANCIAL REPORTING

The Recipient must submit the Federal Financial Form (SF-425) on a quarterly basis via electronic format to the U.S. Department of Health and Human Services (http://www.dpm.psc.gov). The recipient must submit a copy of the FR at the same time to the AOR and the AO.

Electronic copies of the SF-425 can be found at: http://www.whitehouse.gov/omb/grants/standard_forms/ff_report.pdf and http://www.forms.gov/bgfPortal/docDetails.do?dId=15149.

Line item instructions for completing the SF-425 can be found at: http://www.whitehouse.gov/omb/grants/standard_forms/ffr_instructions.pdf.

The Recipient must submit the original and two copies of all final financial reports to USAID/Washington, M/CFO/CMPLOC Unit, the AO, and the AOR. The recipient must submit an electronic version of the final Federal Financial Form (SF-425) to U.S. Department of Health and Human Services in accordance with paragraph (1) above.

PERFORMANCE REPORTING

The successful Applicant will use the standard form Performance Progress Report (SF-PPR) to report performance progress for the program under the award when the program exceeds $100,000 or more per project/grant period.

Annual Work Plans

Within 30 days of the signing of Cooperative Agreement, the Recipient will present the initial work plan to the USAID AOR for review and approval. The AOR will provide written comments on the draft plan within 30 days of receipt and when the plan is finalized, the AOR will provide written approval.

The work plan should include a list of tasks to be completed during the year, grouped under the objective that they seek to support. For each task, the Recipient should: 1) explain in brief its connection to the objective; 2) define the necessary steps to complete the tasks; 3) assign responsibilities for completing those steps; 4) provide any quantitative or qualitative targets; and 5) a timeline for the implementation of the task.

The work plan must include a Monitoring and Evaluation Plan (M&E Plan), which must establish specific results-level and objective level indicators, annual targets, progress benchmarks for the life of the award, and the date by which all baseline data will be established.

Annual work plans for subsequent years are due to the AOR 60 days before the end of the preceding award year. Annual work plans should include all the sections as the initial work plan discussed above. In addition, the subsequent annual work plans shall review the activities of the year that is ending, the activities that were implemented, the results achieved, and problems that existed and how they were resolved. These subsequent annual plans shall propose program adjustments to reflect any lessons learned.

As with the first annual plan, the AOR will review the plan and provide comments and recommendations for changes no later than 30 days after receipt of the draft. The Recipient shall incorporate AOR comments and recommendations into the final version of work plan and submit it for AOR written approval within 15 days. In addition, all substantial changes in the work plan require prior written approval of the AOR.

Monitoring and Evaluation Plan (M&E Plan)

In order to assist in managing project performance, the M&E Plan shall contain project objectives and results, performance indicators, data sources and collection methods, baseline information or a timeline for collecting it, annual targets, and references to staff responsible for data collection and analysis. Performance indicators should be direct, objective, practical, adequate, and useful in managing for results. The M&E Plan data should meet reasonable quality criteria of validity, reliability, timeliness, precision and integrity. All people-level indicators must be disaggregated by sex. M&E Plan data should be based on fiscal year calendar.

The M&E Plan must include the following:

1. List of key project objectives, expected results and project outputs (output is a count of services delivered or items produced) and outcomes as well as brief description of the linkages between the project outputs and its expected results;

2. Definition and detailed description of the performance indicators to be tracked including: unit of measure and disaggregation by sex, as appropriate and feasible; justification/management utility; annual baselines/targets; schedule for data collection; responsibility for data collection and availability of data at USAID; and, detailed plans for data analysis, review and reporting.

Within 30 days after the award is made, the Recipient will submit the Final M&E Plan to USAID together with the Annual Work Plan. The Recipient and USAID will agree upon the final choice of performance indicators useful for timely management decisions and credibly reflecting the actual performance of the project. Recipient should explain how the M&E Plan will be implemented. In designing the M&E Plan, the Recipient should also weigh human and financial resources necessary to implement it.

The M&E Plan is subject to final approval by USAID and is separate from the regular financial and other reports. USAID is required to report on indicators in the Foreign Assistance Framework. USAID reserves the right to propose the Recipient to integrate into the M&E Plan a number of indicators to help USAID measure the immediate program results. At a minimum, the Plan should track the following standard "F" and custom indicators that contribute to the Mission's Results Framework:

- Number of non-state outlets assisted by USG ("F" standard indicator);
- Number of supported media outlets with improved levels of sustainability (scored and disaggregated by editorial independence, newsroom technical capacity, and financial viability);
- Number of people reached through the Activity-assisted media literacy efforts;
- Number of USG-assisted media-sector civil society organizations and/or institutions that serve to strengthen the independent media or journalists ("F" standard indicator);
- Number of civil society organizations receiving USG assistance engaged in advocacy interventions ("F" standard indicator); and
- Number of policy changes and/or government and/or civil society actions consistent with input from USG-assisted media support organizations.

All information collected for the M&E Plan shall be compiled and submitted to USAID with the annual and final reports, as well as based on the frequency of data collection and reporting established in the approved M&E Plan. Additionally, progress in meeting the expected results will be monitored through the USAID annual performance reporting process.

Monthly Activity Schedule

USAID expects the Recipient to submit (electronically) to the AOR by the 23rd calendar day of each month, a calendar of planned events for the upcoming month. USAID will post events on the Mission's events calendar, as appropriate, and use the monthly calendar to plan site visits in a timely manner.

Progress Reports

The Recipient must submit three quarterly and one annual progress reports per year to the AOR, according to the following guidelines.

The recipient must submit quarterly progress reports within 30 days from the end of the reporting period. Submission will follow the U.S. Government (USG) reporting periods beginning October 1. These reports should summarize progress on major activities during the period of performance, indicating any problems encountered and the steps that were taken or will be taken to resolve those issues as appropriate and also include success stories. The recipient should promptly notify the Agreement Officer (AO) and the AOR of any problems, delays, or adverse conditions, which materially impair the recipient's ability to meet the requirements of the Agreement. Reports should also include success stories and other outreach materials that can be utilized by USAID.

Progress reports may be submitted by email and shall contain the following information at a minimum:

1. A brief description of the context and/or enabling environment in which program activities are implemented. This section may include significant political developments and/or relevant events which affect the overall implementation environment.

2. A summary of activities conducted, including a description of progress towards results and relevant trends.

3. A narrative analytical description of overall program progress towards results that reflects and synthesizes achievements of the Recipient and partners, if applicable. This should not be a mere description of activities, but rather a broader analysis that examines the implications of progress made toward each objective, as well as toward the operating principles and cross-cutting issues identified in this RFA. Special emphasis should be made to evaluate and elaborate upon progress toward achieving sustainability of results.

4. Data on all indicators established in the M&E Plan for the award activities. Data should be disaggregated by sex and age, where relevant.

5. Problems encountered, reasons why established goals and targets were not met, if appropriate, and how challenges or problems will be overcome during the next reporting period.

6. A comparison of actual expenditures with budget estimates, including analysis and explanation of cost overruns or high unit costs, cost savings, and any other pertinent information.

7. Priorities for programming during the next reporting period.

The Recipient must submit an annual report for each Fiscal Year. Annual progress reports will also include data collected to measure progress against the M&E Plan. Each annual progress report will take the place of the quarterly report for the previous three-month period, in addition to reporting on the entire past year. The annual report will include progress against annual work plan projections and will cover activities completed during the preceding year. The annual report will provide USAID *annual* data on the agreed upon performance indicators, as well as any additional qualitative results information the Recipient would like to include to demonstrate the results achieved toward the project's objectives during that particular reporting period. This report is due 30 days after the end of the fiscal year.

Final Report

The Recipient is required to submit a final report within 90 calendar days after the estimated completion date of the Award. The Recipient shall submit one copy of a Final Report to the AOR and one copy to the AO. In addition, one copy shall be submitted to Development Experience Clearinghouse:

a) Online (preferred): http://dec.usaid.gov
b) Via mail: Development Experience Clearinghouse, M/CIO/KM, RRB M.01-10, U.S. Agency for International Development, Washington, DC 20523

The Recipient shall submit a draft final report for USAID review 30 days before the award expiration date. USAID will review and comment within 30 days of receipt. The electronic copy of the final performance report shall be submitted no later than 90 calendar days after the end of the Cooperative Agreement. The final performance report will:

- Contain an overall description of the activities under the project during the period of this Cooperative Agreement, and the significance of these activities;
- Describe the methods of assistance used and the pros and cons of these methods;
- Present life-of-project results towards achieving the project objectives and the performance indicators;
- Identify any unmet targets and the reasons for them;
- Elaborate the issues and problems that emerged during program implementation and the lessons learned in dealing with them; and
- Provide comments and recommendations regarding unfinished work and/or future needs and directions for further engagement in the program area, as well as recommendations for what issues no longer require donor assistance.

This report should eliminate politically sensitive or proprietary information. Reports should incorporate as many graphics (maps, photos, charts, etc.) as possible and should include all project and evaluation tools and materials, in annex.

Branding & Marking:

The apparently successful recipient will be required to implement a branding and marking plan proposing co-branding and co-marking for program activities. The Activity is required to adhere to branding policies and marking requirements for grants and cooperative agreements in accordance with ADS 320. This includes visibly displaying the USAID Standard Graphic Identity that clearly communicates assistance is, “From the American people” on all programs, projects, activities, publications, public communications, and commodities provided or supported through USAID assistance awards. ADS 320 requires that, after the evaluation of the applications, the USAID Agreement Officer will request the Apparently Successful Applicant to submit a Branding Strategy and Marking Plan that describes how the program, project, or activity is named and positioned, how it is promoted and communicated to beneficiaries and cooperating country citizens, and identifies all donors and explains how they will be acknowledged. The Branding Strategy will be negotiated and finalized as part of assistance award. ADS 320 may be found at the following website: http://www.usaid.gov/policy/ads/300/320.pdf

Specific communications and promotion measures shall be described in the “Branding Strategy” and “Branding Implementation Plan” and specific marking will be described in the “Marking Plan” for this award. Please also refer to Section VI, Standard Provisions: “Branding Strategy - Assistance (June 2012)” and “Marking Plan- Assistance (June 2012).”

Environmental Compliance:

This activity consists of interventions within the categories listed in paragraph (c)(2) “Categorical Exclusions” and “Positive Determination” recommended per 216.3(a)(2)(iii) of 22 CFR Part 216.

The Initial Environmental Examination (IEE) # DCN: 2016-MOL-005 has determined that the activities under Objective 1.30 –1.34 are categorically excluded from any further environmental review requirements.

Positive impacts may be achieved if environmental/human health issues are advocated and/or addressed under Objective 1.33 Support to independent media and journalists to cover issues of political participation and accountability.

1a) The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID’s activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID’s Automated Directives System (ADS) Parts 201.5.10g and 204 (http://www.usaid.gov/policy/ads/200/), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities.

SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)

See Section D, Paragraph 1. Agency Point of Contact

SECTION H: OTHER INFORMATION

USAID reserves the right to fund any or none of the applications submitted.

ANNEX 1: Certification, Assurances, Other Statements of the Recipient

The Certification, Assurances, Other Statements of the Recipient are available at http://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf

For full application submission, Applicants must submit:

Part I – Certifications and Assurances
Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking
Part III – Participant Certification Narcotics Offenses and Drug Trafficking
Part IV – Other Statements of Recipient

Certifications, Assurances, Other Statements of the Recipient and Solicitation Standard Provisions

NOTE: When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement."

Part I – Certifications and Assurances

1. Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs

Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.

(a) The recipient hereby assures that no person in the United States will, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the Cooperative Agreement for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and must be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

2. Certification Regarding Lobbying

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned must complete and submit Standard Form-LLL, “Disclosure of Lobbying Activities,” in accordance with its instructions.

(3) The undersigned must require that the language of this certification be included in the award documents for all subawards at all tiers (including contracts, subawards, and contracts under grants, loans, and cooperative agreements) and that all subrecipients must certify and disclose accordingly.
This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification will be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

“The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned must complete and submit Standard Form-LLL, “Disclosure Form to Report Lobbying,” in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement will be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure."

3. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206)

USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned must review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants.
If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

4. Certification Regarding Terrorist Financing, Implementing Executive Order 13224

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3. The Certification in the preceding sentence will not be deemed applicable to material support or resources provided by the Recipient pursuant to an authorization contained in one or more applicable licenses issued by the U.S. Treasury's Office of Foreign Assets Control (OFAC).

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which is maintained by OFAC, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the

Taliban, Usama bin Laden, or the Al-Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's Web site: http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm.

c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification -

a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."

(i) "Training" means instruction or teaching designed to impart a specific skill, as opposed to general knowledge.

(ii) "Expert advice or assistance" means advice or assistance derived from scientific, technical, or other specialized knowledge.

b. "Terrorist act" means -

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: http://untreaty.un.org/English/Terrorism.asp); or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.

d. References in this Certification to the provision of material support and resources must not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.
This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it will be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

5. Certification Regarding Trafficking in Persons, Implementing Title XVII of the National Defense Authorization Act for Fiscal Year 2013

Note: This certification must be completed prior to receiving an award if the estimated value of services required to be performed under the award outside the United States exceeds $500,000. This certification must also be submitted annually to the Agreement Officer during the term of the award.

By signing below, the applicant or recipient, as applicable, through its duly designated representative, after having conducted due diligence, hereby certifies the following:

1. The applicant/recipient has implemented a compliance plan to prevent the prohibited activities identified in section (a) of the Mandatory Provision "Trafficking in Persons" and is in compliance with that plan;

2. The application/recipient has implemented procedures to prevent any activities described in section (a) of the Mandatory Provision "Trafficking in Persons" and to monitor, detect, and terminate any contractor, subawardee, employee, or other agent of the applicant/recipient engaging in any activities described in such section; and

3. To the best of the representative's knowledge, neither the applicant/recipient, nor any employee, contractor, or subawardee of the applicant/recipient, nor any agent of the applicant/recipient or of such a contractor or subawardee, is engaged in any of the activities described in section (a) the Mandatory Provision "Trafficking in Persons."

6. Certification of Recipient

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the

Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206), (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224, and (5) the Certification Regarding Trafficking in Persons above.

These certifications and assurances are given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States will have the right to seek judicial enforcement of these assurances. These assurances are binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign these assurances on behalf of the recipient.

Request for Application No. ___________________
Application No. _____________________________
Date of Application __________________________
Name of Recipient ___________________________
Type Name and Title__________________________
Signature____________________________________
Date____

Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

2. I am not and have not been an illicit trafficker in any such drug or controlled substance.

3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: ____________________________

Date: ________________________________

Name: _______________________________

Title/Position: _________________________

Organization: _________________________

Address: _____________________________

Date of Birth: _________________________

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

Part III – Participant Certification Narcotics Offenses and Drug Trafficking

1. I hereby certify that within the last ten years:

a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: ___________________________________

Name: _____________________________________

Date: ______________________________________

Address: ___________________________________

Date of Birth: ______________________________

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

Part IV – Other Statements of Recipient

1. Authorized Individuals

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.

2. Taxpayer Identification Number (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:
TIN: ________________________________

3. Data Universal Numbering System (DUNS) Number

(a) Unless otherwise specified in the solicitation using an applicable exemption, in the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the application.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

(1) Recipient's name.
(2) Recipient's address.
(3) Recipient's telephone number
(4) Line of business.
(5) Chief executive officer/key manager.
(6) Date the organization was started.
(7) Number of people employed by the recipient.
(8) Company affiliation.

(c) Recipients located outside the United States may email Dun and Bradstreet at **globalinfo@dbisma.com** to obtain the location and phone number of the local Dun and Bradstreet Information Services office.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: ____

4. Letter of Credit (LOC) Number

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: ____

5. Procurement Information

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:
$__________________________

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of $5,000 or more per unit.

TYPE/DESCRIPTION (Generic) ____________________________

QUANTITY ____

ESTIMATED UNIT COST ________________________________

(d) Source If the recipient plans to purchase any goods/commodities which are not in accordance with the Standard Provision "USAID Eligibility Rules for Procurement of Commodities and Services," indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located in the cooperating country at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Additionally, "available for purchase" includes "offered for sale at the time of purchase" if the commodity is listed in a vendor's catalog or other statement of inventory, kept as part of the vendor's customary business practices and regularly offered for sale, even if the commodities are not physically on the vendors' shelves or even in the source country at the time of the order. In such cases, the recipient must document that the commodity was listed in the vendor's catalog or other statement of inventory; that the vendor has a regular and customary business practice of selling the commodity through "just in time" or other similar inventory practices; and the recipient did not engage the vendor to list the commodity in its catalog or other statement of inventory just to fulfill the recipient's request for the commodity.

TYPE/DESCRIPTION ______________________________
QUANTITY ______________________________________
ESTIMATED GOODS ______________________________
PROBABLE GOODS ______________________________
PROBABLE (Generic) ______________________________
UNIT COST _____________________________________
SOURCE _______________________________________

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/DESCRIPTION _______________________________
QUANTITY _______________________________________
ESTIMATED ______________________________________
PROBABLE _______________________________________
INTENDED USE (Generic) ___________________________
UNIT COST ______________________________________
SOURCE ____

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in accordance with the Standard Provision "USAID Eligibility Rules for Procurement of Commodities and Services," indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier.
TYPE/DESCRIPTION ______________________________
QUANTITY ______________________________________
ESTIMATED _____________________________________

PROBABLE SUPPLIER ______________________________
NATIONALITY ______________________________________
RATIONALE (Generic) _______________________________
UNIT COST (Non-US Only) ___________________________
FOR NON-US ______________________________________

6. Past Performance References

On a continuation page, please provide past performance information requested in the RFA.

7. Type of Organization
The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as [ ] a corporation incorporated under the laws of the State of, [ ] an individual, [ ] a partnership, [ ] a nongovernmental nonprofit organization, [ ] a state or local governmental organization, [ ] a private college or university, [ ] a public college or university, [ ] an international organization, or [ ] a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as [ ] a corporation organized under the laws of ________________________________ (country), [ ] an individual, [ ] a partnership, [ ] a nongovernmental nonprofit organization, [ ] a nongovernmental educational institution, [ ] a governmental organization, [ ] an international organization, or [ ] a joint venture.

8. Estimated Costs of Communications Products
The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

Annex 2 - IEE

DCN: 2016-MOL-005

US Agency for International Development (USAID)
Ukraine Regional Mission
Initial Environmental Examination (IEE)

Project Data

Project Name:	**Accountability in Moldova (AIM)**	
Assistance Objective:	2. Governing Justly & Democratically	
Program Area:	2.1 Rule of Law; 2.2 Good Governance; 2.3 Political Competition; 2.4 Civil Society	
Country(ies) and/or Operating Unit:	Moldova/US Agency for International Development for Ukraine, Moldova and Belarus	
Originating Office:	Moldova	Date: 09/16/2015
PAD Level IEE: Yes ☒ No☐ Supplemental IEE: Yes☐ No☐ RCE/IEE Amendment: Yes☐ No☐	DCN of Original RCE/IEE: DCN of Amendment(s):	
DCN(s) of All Related EA/IEE/RCE/ER(s):	2014-MOL-007 and 2013-MOL-003; 2012-WNIS-002 and 2012-WNIS-001; 2014-MOL-002 and 2012-MOL-002; 2011-MOL-008; 2014-MOL-008; 2011-MOL-001; 2015-MOL-003, 2014-MOL-009, 2013-MOL-006, 2013-MOL-002, 2010-MOL-005, and 2016-MOL-002	
Implementation Start/End:	LOP: 10/2015-9/2020	
Funding Amount:	LOP Amount for new Activities: up to $85M	
Contract/Award Number (if known):	Multiple and TBD	
IEE Expiration Date (if any): 9/2020	Reporting due dates (if any): Annually, Oct 1	

Recommended Environmental Determination:

Categorical Exclusion:	☒	Positive Determination:	☒
Negative Determination:	☒	Deferral:	☐

Additional Elements:

Conditions:	☒	Local Procurement:	☒
Government to Government:	☒	Donor Co-Funded:	☒
Sustainability Analysis (included):	☒	Climate Change Vulnerability Analysis (included):	☒

1. Background and Project Description

1.1. Purpose and Scope of IEE

This IEE covers the Accountability in Moldova (AIM) project, a Development-Objective (DO) level undertaking linked to the Moldova Country Development Cooperation Strategy (CDCS). Existing Mission activities which fall under this DO are presented below in Table 1 for reference purposes. Terms and conditions of all existing activity-level IEEs remain valid, unless noted in the table.

This IEE covers the new activities anticipated under the AIM project, shown in Table 2, which are assessed for potential environmental impacts and identification of needed mitigation measures. This IEE will be amended (as needed) when new AIM activities, not covered below, are developed and in situations when an update includes an extension of time or a change in the budget. Supplemental IEEs may also be developed for specific projects that have negative determinations or positive determinations with specific mitigation measures.

Table 1: Related IEEs of ongoing activities under the Governing Justly & Democratically DO

IEE/AMD	Activity/ Implementation Period	Threshold/Issues
IEE: 2013-MOL-003 AMD 1: 2014-MOL-007	Moldova Partnerships for Sustainable Civil Society (MPSCS), FY 2013-2018	CE
IEE: 2012-WNIS-002	Strengthening Financial Stability of Media Outlets in Ukraine, Moldova and Georgia using the Experience of V4 Countries, FY 2013-2017	CE
IEE: 2012-WNIS-001 " AMD 1: 2014-WNIS-001 AMD 2: 2014-WNIS-002 AMD 3: 2014-WNIS-003	Emerging Donor Challenge Fund Grants, FY 2014-2017 Estonian digitization EDCF grant, FY 2015-2016 Polish Solidarity Fund Wine and Vine Register Moldova IT Center of Excellence	CE/ND CE ERCs completed late, but no significant impacts CE ERC completed
IEE: 2012-MOL-002 AMD 1: 2014-MOL-002	Novateca – the Global Libraries Program in Moldova, FY 2012-2019	CE
IEE: 2011-MOL-008 AMD 1: 2014-MOL-008	Strengthening Political Accountability and Civic Engagement Program (SPACE), FY 2012-2017; Managing Crisis: Maximizing Transparent Elections Program in Moldova, FY 2014-2016	CE CE
IEE: 2011-MOL-001	Rule of Law Institutional Strengthening Program (ROLISP), FY 2012-2016	CE ***(1 year LOP extension covered under this IEE)***
IEE: 2010-MOL-005 AMD 1: 2013-MOL-002 AMD 2: 2013-MOL-006 AMD 3: 2014-MOL-009, ERC: 2015-MOL-003 ERC: 2016-MOL-002	Local Government Support Project, FY 2011-2016; Telenesti Rehabilitation and Construction of Water Network, Sewage and Water Treatment Plant Project, FY 2014-2016 Procurement of waste collection equipment and special utility equipment	CE/ND Process issues resulted in delays of ERC completion and activity execution

Table 2: New Activities covered under this IEE

AIM Project Objectives and defined activities covered in this PAD IEE	**Objective 1: Increased Citizen Engagement and Oversight in Governmental Decision Making** 1. Civil Society Activity, FY 2020-2024 2. 2-5 Direct Awards to local CSOs, FY 2018-2021 3. Independent Media Activity, FY 2017-2021 4. Peace Corps SPA activity, FY 2015-2020 5. Inclusive & Participatory Parties, FY 2017-2021 6. Democratic Transparency Program, FY 2017-2021 **Objective 2: Justice System is More Transparent and Accountable** 1. Rule of Law Activity, FY 2016-2021 2. Promoting Rule of Law, FY 2016-2020 (local CSO - LRCM) **Objective 3: Local Government is More Responsive** 1. New Local Governance activity, FY 2016-2021 2. New G2G with RDA FARAs	

1.2 Environmental Compliance to Date

There have been some instances of activities moving forward prior to the approval of ERCs/EMMPs. The Mission will implement new procedures to prevent this from occurring, including but not limited to: ensuring IPs are aware of terms and conditions of their awards relevant to the IEE; MEO/Deputy MEO taking part in kickoff meetings and work planning; annual work plans will be reviewed against the terms and conditions of the IEE; and contract terms mandating compliance will be incorporated into all awards.

To avoid any confusion on actions needed to identify/mitigate environmental risks and anticipate/record any environmental impact associated with the AIM project activities, this IEE defines the responsibilities of USAID IPs and require them to work with local counterparts and beneficiaries in assessing impacts and designing adequate mitigation measures.

1.3 Project Purpose

The AIM project goal is “More effective and accountable democratic governance in Moldova.” The project will seek to strengthen intrinsic democratic processes and institutions at the national and local levels (i.e., strengthening civil society unto itself for the critical watchdog and advocacy role it plays in the democratic process). At the same time, through instrumental support for substantive reforms, the AIM project will support the government and people of Moldova to increase citizen participation; reform the justice sector; and decentralize good governance.

1.4 Project Description

AIM has the following component objectives:

Objective 1: Increased Citizen Engagement in Governmental Decision Making

In order to bridge the gap between citizens and the state, particularly at the national level, Objective 1 activities will focus on the following three intermediate results (IRs), which generally correspond to the CDCS Sub-IRs:

IR 1.1 More effective and sustainable civil society (CDCS sub-IR 1.1.1)
IR 1.2 More representative and responsive political processes (CDCS sub-IR 1.1.2)
IR 1.3 National government is more accessible and receptive to citizen engagement in decision-making processes

USAID funds will be used to finance:

- Studies, analyses and research workshops to support transparency of the electoral process, policy development and political party finance reform;
- Strengthening the legal and regulatory framework; expanding linkages between political parties and civic groups; policy development; political party finance reform; electoral administration and reform;
- Support to local public authorities to make investments in their libraries;
- Support to invest in IT equipment in selected public libraries;
- Support to help Moldovan entrepreneurs prepare business plans;

Objective 2: Justice System is More Transparent and Accountable

To promote the rule of law, which is fundamental for Moldova's democratic development, economic growth, EU integration, and long-term peace and stability, Objective 2 activities will focusing on the following two IRs:

IR 2.1 Increased citizen demand for effective justice (CDCS Sub-IR 1.2.1)
IR 2.2 More capable and professional justice system (CDCS Sub-IR 1.2.2)

USAID funds will be used to finance:

- Technical assistance and trainings for: capacity building of key judicial institutions; professional development of judges; civil society monitoring of judicial reform; supporting the Moldovan government in optimizing the judicial map; increasing transparency and access to information on judicial activity; developing capacity of superior council of magistrates (SCM);
- Technical assistance and trainings for: developing an e-filing system for the Moldovan judiciary; upgrading the case management system to modern software; supporting the Prosecutor General office in finalizing the development of an automated criminal information filing system; developing software interoperability between the courts and the prosecutor office' case management systems; optimizing electronic access to judicial decisions;
- Technical assistance and trainings for: strengthening the institutional capacity of select civil society organizations; supporting efforts of civil society organizations working with disadvantaged groups; raising awareness among citizens about legal rights; support to investigative journalists to investigate cases of corruption; support to independent media to cover rule of law and justice sector reforms;
- Technical assistance and trainings for: contributing to the creation of a critical mass among judges that would be interested and committed to reforms; advocating for the fight against high level corruption;

promoting effective implementation of human rights commitments of Moldova; strengthening the institutional capacity of the Legal Resource Center of Moldova (LCRM);

- Monitor the developments in the legislative framework related to judiciary;

Objective 3: Local Government is More Responsive to Citizens' Needs

The AIM project will strive to advance three IRs that reflect local governments' capacity to meet citizens' needs:

IR 3.1 Improved management systems and more participatory processes (CDCS Sub-IR 1.3.1)
IR 3.2 Increased financial viability of public services (CDCS Sub-IR 1.3.2)
IR 3.3 Increased citizen engagement in local government decision-making processes

USAID funds will be used for:

- Technical assistance for policy and legislative reform to advance the decentralization and public administration reform;
- Training and technical assistance on priority issues such as: strategic and urban planning, asset management, efficient citizen participation and public engagement, personnel management, inter-municipal cooperation, and public-private partnerships;
- Training and technical assistance to local authorities focused on financial management; budgeting and local revenue enhancement designed to increase and diversify revenue sources;
- Technical assistance, necessary equipment, and infrastructure development support to the first level local authorities to improve their capacity to plan for, manage and deliver basic public services, including improved administrative and permitting services, water and sanitation, transportation, waste management, and street lighting;
- Technical assistance to support the municipal bonds program through legislative and regulatory changes and possible piloting in one or two larger municipalities;
- Training and technical assistance to support local governments to implement energy efficiency measures in order to decrease the heavy burden of energy costs on local budgets.
- Small scale energy efficiency, waste water treatment systems, solid waste management infrastructure projects will be considered and are planned to be implemented through local or regional development authorities in line with regional and national strategies and plans.

2. Baseline Environmental Information

2.1. Introduction

Moldova has an area of 33,843 square km and a population of 3,559,500 people (2012 estimate). It is located at the intersection of three bio-geographic zones: the Central-European zone, the Euro-Asiatic zone, and the Mediterranean zone. The country has a rich biota relative to its size; however, many species typical for each of these zones are at the limit of their natural range.

Today, natural ecosystems occupy approximately 10 percent of Moldova. A significant proportion of this area is highly degraded. Implementing partners will refer to map of these areas so as to avoid any refurbishments in this area (http://www.fao.org/docrep/ARTICLE/WFC/XII/0908-B1.HTM). Agricultural lands cover 75 percent of the country. Native steppe and steppe associated wet meadows have been systematically converted to cropland and pastures. Forests cover about 10 percent of the country and, moreover, 86 percent are planted forests (Economic Commission for Europe, 1998).
It is anticipated that most AIM project activities will not have a significant effect on the environment; however, select AIM project activities (primarily, Objective 3 activities) may have direct impact on the environment and/or human health. Few others (for example, promotion of specific changes in governmental policies and/or practices) may have indirect impact. Basic potential environmental impacts

are discussed in section 3. In particular, AIM activities may help Moldova promote biodiversity conservation.

USAID/Moldova sponsored a FAA 119 Biodiversity Analysis in September, 2012 in preparation of the CDCS. It was determined that the root causes of biodiversity threats are:

- Lack of viable habitat due to historical agricultural pressures, clearing forests, and/or the degradation of aquatic ecosystems:
- The conversion of forests, steppe, and natural river and wetland systems for agriculture resulted in limited and fragmented habitat. This continues to pose a direct threat to species diversity as well as healthy ecosystem services such as water retention and filtration, soil fertility and stability.
- Soil erosion: Eroded landscapes become increasingly susceptible to further erosion, and create a cycle of increasingly degraded landscapes and waterways.
- Limited Protected areas network: Moldova's current protected areas network (less than two percent of total land area) is far short of the ten percent coverage generally accepted to be necessary to maintain its biological resources.
- Conflict with Transnistria: The breakaway republic does not cooperate with Moldova on governance issues and continues to be a heavy polluter of Moldova's waterways.
  The AIM project can work to not cause harm to two threats mentioned above: USAID IPs will ensure that they are not contributing to soil erosion and encroaching on protected areas. The Transnistria conflict and its defacto "leaders" are well outside USAID's controllable interests and we lament that we can not engage on this. However, USAID/Moldova IPs can work with citizens and the government on the right bank of Moldova on new communication models to gather community opinion or providing the appropriate tax levels to operate municipal services such as public lighting, water and sewage systems, landfills and recycling centers, and electrical services. In addition, AIM may support local environmental CSOs and through its media support may promote environmental awareness.

Environmental degradation, pollution and unsustainable use of natural resources are a significant concern for Moldova's development agenda. The economic, social and health costs of environmental degradation and deteriorated infrastructure are high, while economic growth will further increase pressure on the environment and natural resources.

2.2. Locations Affected and Environmental Context

The locations of future AIM activities working at the local municipal or village level are not known at this time. Selection of project sites will be driven by an application and selection process of local authorities who will apply for assistance.

AIM project activities, which may have direct impact on the environment and/or human health, will be implemented in select locations and their impact will be more accurately assessed by USAID implementing partners, relevant USAID personnel, local authorities and national government (where appropriate) in Environmental Review Checklists (ERCs) or if needed an environmental assessment in accordance with 22CFR216.

Indirect effect of AIM project activities will likely spread across Moldova or large parts of it. Therefore, it is anticipated that USAID implementing partners will encourage the national government and relevant local authorities to assess environmental effects of new policies and practices.

2.3. Description of Applicable Environmental and Natural Resource Legal Requirements Policies, Laws, and Regulations[1]

The GOM has passed over 50 laws and regulations related to environmental protection, provided below. Implementing Partners will be responsible to ensure their activities are in compliance with applicable host country policies, laws, and regulations.

Environmental Legislation -

- Law on Environmental Impact Assessment #86, 2014
- Draft Law on Strategic Environmental Assessment, 2015
- The Law on Waste, 2014
- The Natural Resources Law, 1997 (as amended in 2013)
- The Environmental Protection Law, 1993 (as amended in 2012)
- The Riparian Zones Protection Law, 1995 (as amended in 2012)
- The Protected Areas Law, 1998 (as amended in 2013)
- The Environmental Impact Assessment Law, 1996 (as amended in 2011)
- The Fauna (Animal Kingdom) Law, 1995 (as amended in 2011)
- The Water Law, 2011
- The State Surveillance of Public Health Law, 2009
- The Ecological Network Law 2007 (as amended in 2010)
- The Local Green Areas Law, 1999 (as amended in 2010)
- The Plant Protection Law, 1999 (as amended in 2009)
- The Potable Water Law, 1999 (as amended in 2009)
- The Environmental Pollution Taxes Law, 1998 (as amended in 2008)
- The Biological Security Law, 2001 (as amended in 2007)
- The Air Protection Law, 1997 (as amended in 2007)
- The Flora (Vegetation Kingdom) Law, 2007
- The Red Book Law, 2005 (as amended in 2007)
- The Law on Veterinary and Sanitary Activities, 2007
- The Degraded Land Forestation Law, 2006
- The Law on Fisheries and Conservation of the Aquatic Biological Resources, 2006
- The Hydro-meteorological Activities Law, 1998 (as amended in 2005)
- The Law on Amelioration (through Afforestation) of Degraded Lands, 2000 (as amended in 2004)
- The Forest Code, 1996

Related Legislation -

- The Civil Code, 1996 (as amended in 2013)
- The Access to Information Law, 2000 (as amended in 2012)
- The Law on Industrial Safety of Industrial Dangerous Objects, 2012
- The Earth Bowels Code, 2009 (as amended in 2011)
- The Energy Efficiency Law, 2010
- The Renewable Energy Law, 2007 (as amended in 2010)
- The Radioactive Waste Management Law, 2009
- The Hazardous Substances and Product Management Law, 1997 (as amended in 2007)
- The Monument Protection Law 1993 (as amended in 2007)
- The Settlements Sanitation Concept, 2007
- Energy Strategy through 2020, 2007
- The General Product Safety Law, 2006

[1] Source: United Nations Environmental Performance Review (DRAFT) – Moldova, 2013.

- Law on Leasing, 2005
- The Law on Urban and Territorial Development Principles, 1997
- The Cadaster Law, (1998 and as amended)

National Policies -

- The Waste Management Strategy in 2013-2027 (2013)
- The Soil Fertility Conservation and Improvement Program for 2011-2020 (2011)
- The National Ecological Network Building Program for 2011-2018 (2011)
- National Strategy on Water Resources Development, 2011
- The Ecological Security National Program for 2007-2015 (as amended in 2009)
- Biosafety Action Plan for 2009-2015, 2009
- The Water Supply and Sanitation Strategy for 2008-2025, 2007

Executive Branch Regulations -

- Regulations on Water Pollution Prevention caused by Agricultural Activities, 2013
- The Sanitary Protection Zones of Water Intakes Regulations, 2013
- The Collection, Treatment and Discharge of Used Waters in Sanitation System and/or in Water Bodies Regulations, 2013
- The Solid Biofuels Regulations, 2013
- The Underground Waters Quality Regulations, 2013
- The Regulations on Monitoring of Surface and Underground waters' State, 2013
- The State Water Cadaster Regulations, 2013
- Identification, Delimitation, and Classification of the Water Bodies Methodology, 2013
- The Regulations on Environmental Requirements for Surface Waters, 2013
- Unique window for environmental authorization for special water use Regulation, 2013
- The Regulations on requirements to the discharged used waters in the water basins, 2013
- The Evidence and Reporting of the Used Waters Regulations, 2013
- The Governmental Decision (GD) on Limits of Hydrographic Basins and Subbasins, 2013
- The Drought Management Planning Regulations, 2013
- The Waters Use for Community, Irrigation and Pisciculture Needs Regulations, 2013
- The Management of Flood Risks Regulations, 2013
- Normative acts for implementation of Plants Protection and phyto-sanitary quarantine, 2012
- Flood Protection Embankments Regulations, 2012
- Rules for notification of intercepting a cargo or a pest from abroad that represents imminent phytosanitary risk, 2012
- The Regulations on Recreational Areas near Water Basins, 2002 (as amended in 2010)
- The Polychlorinated Biphenyls Regulation, 2009 (as amended in 2010)
- Technical regulations on soil protection measures within the agriculture practices framework, 2008
- Regulations on Procedures for Establishing a Natural Protected Area, 2002 (as amended in 2006)
- The Regulation on Ecological Audit of the Enterprises, 1998 (as amended in 2006)
- The Instruction on Calculation of Environmental Pollution Payment, 2000 (as amended in 2006)
- The State Ecological Expertise Instructions, 2002 (as amended in 2006)
- Authorization of activities related to use of natural resources and environmental pollution prevention, 2005
- The GD on transportation of dangerous loads and crash consequences liquidation, 1994 (as amended in 2004)
- The Guidance on Assessing the Damage Caused to Soil Resources, 2004
- The Guidance on Assessing the Damage Caused to Atmospheric Air when Managing Production and Household Wastes, 2004
- The Scheme of Localities for Floods Protection, GD#1030, 2000 (as amended in 2003)

- The Methodology for Assessing the Environmental Damage Caused as a Result of Water Law Breach, 2003
- The Wastes Delivery Regulations (2001)
- The Natural and Constructed Protected Areas Regulations, 2000
- The Framework Regulations on National Parks, Natural Monuments, Resource and Biosphere Protected Areas (2000)
- The methodology to estimate the damage caused to environment as a result of underground waters pollution, 1999
- The Integrated Ecological Monitoring System Regulations, 1998
- The Pollution Prevention of Water Bodies Regulations, 1997
- The Ministry of Health Requirements for Potable Waters for Decentralized Supply, Protection of Water Sources, and Arrangement and Maintenance of Wells (#06.6.3.18-96, 1996)
- The GD on Restoration of Degraded Lands (#404, 1994)
- Labor Safety Regulations -
- The Sanitary Regulation to Avoid Risks of Chemicals Presence at Workplace, 2013
- The GD on health safety signs at the work place, 2013
- The GD on Temporary or Mobile Building Sites, 2012
- The GD on Workers Protection from Asbestos Exposure, 2013
- The Technical Regulations on Fire Protection in the Republic of Moldova (RT DSE 1.01-2005)
- The Norms for Labor Protection Measures, 2001

The Republic of Moldova seeks to align its national environmental policy with regional and international best practices and the Law on Environmental Protection confirms that international conventions and agreements take precedence over national legislation if the provisions in the international agreements are more stringent. A National Commission was established by a presidential decree (November, 1996) to oversee the implementation of the provisions of different international agreements. More information on Moldova's international commitments can be found in UNECE Environmental Performance Reviews (http://www.unece.org/fileadmin/DAM/env/epr/epr_studies/Synopsis/ECECEP171_Synopsis.pdf, 2014). Moldova ratified most of the major international biodiversity related agreements as provided below in Table 1.

Table 1: International Treaties and Agreements

International Environmental Agreements to which Moldova is a Party	Date Ratified
Convention on the Conservation of European Wildlife and Natural Habitats (Bern, 1979)	23 June 1993
Convention on EIA in a Transboundary Context (Espoo, 1991)	23 June 1993
Convention on the Protection and Use of Transboundary Watercourses and International Lakes (Helsinki, 1992)	23 June 1993
UN Convention on Biological Diversity (Rio de Janeiro, 1992)	16 March 1995
UN Framework Convention on Climate Change (Rio de Janeiro, 1992)	12 June 1995
UN Convention on Combating Desertification (Paris, 1994)	24 December 1998
Convention on Cooperation for the Protection and Sustainable Use of the Danube River (Sofia, 1994)	17 March 1999
Convention on the Access to Information, Public Participation in Decision Making and Access to Justice in Environmental Matters (Aarhus, 1998)	7 April 1999
Convention on Wetlands of International Importance especially as Waterfowl Habitat (Ramsar, 1971)	14 July 1999
Convention on Conservation of Migratory Species of Wild Fauna (Bonn, 1979), Agreement on Conservation of bats in Europe and Agreement on Conservation of African–Euro-Asian Migratory Water Birds	28 September 2000
Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) (Washington, 1973)	28 September 2000
Convention on European Landscape (Florence, 2000)	12 October 2000
Convention on POPs (Stockholm, 2001)	19 February 2004

Additionally, Moldova signed a number of agreements with other countries in the region to ensure mutual cooperation in the management of natural resources.

2.4. Country Environmental Capacity Analysis

Historically, governmental organizations have played the leading role in biodiversity conservation in Moldova. As the supreme representative body of the people and the sole legislative authority of the State, the Parliament (www.parlament.md) has the role to approve the decisions regarding ratification of or accession to international and regional treaties, approves strategies, concepts and action plans for the most important areas, including biodiversity conservation. The Parliament Commission on Environment and Climate Change is the working body of the Parliament of the Republic of Moldova - most directly related to biodiversity conservation.

The executive branch of the Government of Moldova (GOM) is responsible for the implementation of national and international environmental protection policies. GOM is responsible for implementing programs, strategies, concepts, and action plans adopted by the Parliament. Within the executive branch, there are several central government institutions that directly or indirectly are responsible for protecting and conserving biodiversity. In accordance with the law, the most important ecological issues will be considered by the Supreme Security Council subordinated to the President of the Republic of Moldova. All other important issues will be considered by the State Chancellery, an institution that coordinates the work of other national authorities implementing applicable laws/regulations and monitoring the implementation. The State Chancellery has the Agriculture and Environment Division.

Other primary central government institutions responsible for **biodiversity conservation** in Moldova are: the Ministry of Environment (MOE), Ministry of Agriculture and Food Industry (MAFI), and Agency Moldsilva (Moldova Forest Service). The MOE (www.mediu.gov.md) is the national environmental authority that develops and defines governmental policies related to the environmental protection, rational use of natural resources, waste management, biodiversity conservation and state control of ecological activities. The MOE assesses and monitors biodiversity, manages some protected areas, coordinates research, ensures cross-sectorial cooperation, monitors compliance, and develops reports on the state of the environment in Moldova.

The UNDP is assisting the Government in its efforts towards increasing coherence with the EU acquis and improving compliance with commitments under the main Multilateral Environment Agreements to which Moldova is a party. Priority areas of intervention are climate change adaptation and mitigation, disaster risk management, renewable energy and energy efficiency, biodiversity conservation and chemicals management.

The Aquatic Resources Management Division and the Natural Resources and Biodiversity Division of the MOE are involved in aspects of biodiversity conservation. The Aquatic Resources Management Division is primarily involved in fisheries and water-related issues. The Natural Resources and Biodiversity Division has wider responsibilities and includes two relevant units, the Aquatic, Soil and Underground Resources Unit and the Protected Areas, Biodiversity and Biosafety Unit, which is responsible for protected areas, compliance with international biodiversity treaties, such as the Convention on International Trade in Endangered and Threatened Species (CITES) and the Convention on Biological Diversity and other related activities. The Policy Analysis, Monitoring and Evaluation Division develop and promote environmental and sustainable development policies.

MOE also includes other entities that are directly involved in aspects of environmental management.. The main institutions include:

- National Ecological Fund provides grants to local public authorities, institutions, private companies and NGOs to work on environment improvements in the country.

- State Ecological Inspectorate (www.inseco.gov.md) controls all economic activities related to the use of natural resources and enforces environmental legislation.
- Moldovan Waters (www.apelemoldovei.gov.md) implements state policy in the management of water resources, hydro-melioration, water supply and sewerage.
- Fishery Service (www.sp.gov.md) protects fish resources by the study and restocking of fish species, enforcing fishing laws and ensuring that the fishery legislative framework is followed.

Other subordinated institutions of the MOE that take part in the integrated environmental monitoring are the State Hydrometeorological Service (www.meteo.md), National Agency for Geology and Natural Resources, National Agency for Regulation of Nuclear and Radiological Activities.

The Institute of Ecology and Geography (http://www.ieg.asm.md/) and the Environmental Information Centre of the MOE are responsible for the design and maintenance of key environmental databases, development of environmental action plans and production of 'State of Environment' reports. USAID readily has access to this data.

Moldsilva (www.moldsilva.gov.md) is a Ministerial level agency that manages forestry and game/hunting in the country through the implementation of policies and international treaties on rural development and employment, sustainable forest management and wildlife protection, conservation of biodiversity etc. Moldsilva is structured into 25 regional entities, including sixteen forest enterprise activities, four forestry and hunting enterprises, four state natural reserves and the Forest Research and Management Institute (ICAS). Activities of these entities are enacted through 82 local forest districts.

Academy of Sciences of Moldova (www.asm.md) is the only public science institution in the country and its specialists provide scientific assistance to other public authorities to ensure the scientific basis for biodiversity conservation and protected areas management. The Academy's Division of Life and Natural Sciences has eight institutional members: the Institute of Zoology, the Institute of Microbiology and Biotechnology, the Institute of Ecology and Geography, the Institute of Plant Protection and Ecological Agriculture, the Institute of Genetics and Plant Physiology, the Institute of Chemistry, and the Institute of Physiology and Sanocreatology.

One of the main constraints faced by the MOE is the lack of capacity to develop adequate legislation and to enforce it, including issues related to inadequate financial support, weak biodiversity conservation training programs and low level of staffing for critical functions.

Active environmental NGOs involved in research, planning and management of projects in the areas of environmental management in Moldova are: Ecological Society Biotica, REC Moldova, International Environmental Association of River Keepers Eco-tiras, NGO Bios, etc. These local NGOs have developed the draft *National Wetland Strategy of the Republic of Moldova*, *Guide on the Management Plan for key elements of the ecological network*, draft *Management Plans for Lower Dniester Ramsar site*, draft *Management Plans for Unguri-Holosnita Ramsar site*, etc.

Land ownership and development as well as zoning is the responsibility of local governments. Building codes are the responsibility of Ministry of Regional Development and Construction. The future project will be working with local governments to address governance issues as it relates to asset inventory and management which includes land.

EIA procedures are established by the Law *on Environmental Impact Assessment* #86 from 2014. EIA procedures are applicable to projects that are complex and potentially dangerous (to the environment) and which could lead to significant impact; it aims to prevent and mitigate the project's impact even at the design stage. The EIA should be conducted at an early stage of the project in case new construction, upgrading, reconstruction, modernization, production profile changes, conservation or liquidation of existing enterprises, or new development planning, is expected to be implemented. *EIA review and approval process.* According to the Law on EIA #86 (2014), documentation for projects that may adversely affect environment is subject to examination by the Ministry of Environment. The main goal of this examination is to determine whether the project documentation complies with environmental protection requirements and to check whether all environmental standards/principles are adhered, and the environmental protection measures are addressed. An EIA should be conducted prior to making decisions on planned economic activity, and is compulsory for project and planning documentation with regard to planned economic objectives and activities that affect or may affect environmental conditions and/or envisage use of natural resources, regardless of destination, placement, type of ownership and subordination of these objectives, the amount of capital investments, source of funding and method of execution of construction works.

Environmental permitting and enforcement in the Republic of Moldova are performed by the State Ecological Inspectorate (SEI), which is subordinated to the MOE. The Agency "Moldsilva", a public institution on state policy in forestry and hunting, is in charge of issuing permits on forest related issues. Other governmental agencies such as "Apele Moldovei" Agency, State Services for Public Health, and Agency for Geology and Mineral Resources are also involved in permitting procedure.

According to the *Law on Environmental Protection (1993)*, The SEI performs state control regarding compliance with environmental legislation requirements. The SEI also performs state ecological expertise and issues permits of emissions into the air and for the special use of water. The total staff of SEI is 310 persons, from which 59 work at the national level and 251 are assigned to territorial units, which include four ecological agencies located in Chisinau, Balti, Cahul, and Autonomous Territory of Gagauzia and 32 ecological inspections in districts.

2.5. Sustainability Analysis

The USAID Project Design Sustainability Analysis Tool provides succinct guidance to ensure proposed projects meet Agency sustainability requirements. Applying this tool to the AIM Project, the Design Team concluded the Project is Fully Sustainable; that is, all project results are designed to be sustainable due to significant partner country buy-in, good social soundness, minimal recurrent costs within the fiscal capacities of the host partner, and other factors. This conclusion is based on an analysis of the following project design sustainability factors:

1. There is demonstrable local demand and ownership of project activities, where a broad segment of the community has a stake currently or potentially in ensuring that the activity or service continues after the USAID project ends. USAID will invest in local development opportunities found in Moldova's local civil society, independent media, grassroots political processes, local governments, and key justice sector institutions. Only where strong political will and partner motivation exists will USAID invest in these partners and projects, thereby ensuring their long-term sustainability.
2. USAID will develop the skills and capacity of local stakeholders whose involvement will be critical for maintaining development gains after the project ends through a range of capacity-building activities from training to coaching and mentoring to on-the-job skills development to strategic planning and thinking and, perhaps most importantly, through funding for activities that generate real world experience and learning.
3. USAID will nurture effective institutions – governmental, civil society, and private sector – to analyze, implement, and evaluate activities democratic development. For example,

USAID has been instrumental in developing the Justice Sector Reform Strategy that will now be used to guide future investments in judicial reforms. The exercise of drafting the JSRS was exhaustive, requiring in-depth research and analysis of complex issues and involving multiple stakeholders in the drafting process. This iterative, participatory process ensures greater stakeholder buy-in to the plan, thereby fostering sustainability. The same could be said for the Decentralization Strategy, or for individual strategies in the civil society sector.

4. USAID will ensure that relevant activities or services are gradually tied to sustainable financing models. For example, in the justice sector, USAID will support the Judiciary to more actively engage in the budgeting process to ensure USAID's capital investments are maintained and sustained over the long-run. Local governments are already empowered to collect and keep more local revenues; with USAID technical assistance they will be better able to manage those funds, including being able to procure technical assistance on their own in the future. By working on the civil society enabling legislation, particularly reforms to the tax code, USAID increased private giving to charitable and advocacy groups in Moldova, thereby strengthening their financial viability.
5. The AIM project is investing in government strategies and priorities

2.6. Expectations of IPs relevant to sustainability

It is expected that all AIM implementing partners (IPs) will coordinate their efforts and consider both positive and negative outcomes of their activities (including the possible impact on the environment and human health) at the activity design stage. AIM project IPs will:

(1) Engage all relevant stakeholders in designing and/or implementing USAID-funded interventions;

(2) Promote application of the pertinent best international standards and practices in Moldova;

(3) Advocate for/coordinate international partnerships that may help Moldovan organizations achieve sustainable results;

(4) Use various media and information communication technologies (ICTs) for increasing public awareness of and engagement in USAID-funded/promoted improvements;

(5) Support the enhancement of local capacity to appraise the effects of the proposed improvements at the national, regional, and local levels and, in particular, to conduct life-cycle analysis of products and/or services promoted with USAID funds; and

(6) Promote the green office/building concept in Moldova.

Based on a preliminary analysis of planned AIM activities (listed in tables below), the Mission has identified conditions/mitigation measures (discussed below) that need to be fulfilled/taken by AIM IPs involved in the implementation of the listed activities and promoted among the local stakeholders. Any additional AIM activities (and their anticipated effects) will be discussed with the Mission prior to being funded by the USG. Supplemental IEEs will be submitted for BEO approval for activities modified during implementation to cover activities outside those analyzed below and/or for new activities not covered in this PAD IEE will require supplemental IEEs.

Based on the proposed combination of development activities; sound development practices that will be demonstrated by USAID IPs; ***required additional environmental analysis for activities with a Negative or Positive Determination***; and cooperation with responsible stakeholders, the Mission can reasonably expect that the improvements promoted with USAID funding under the AIM project will be environmentally sustainable. Additional sustainability analyses may be undertaken when new AIM project activities are designed. Any significant findings, conclusions, and recommendations on environmental sustainability of AIM project activities will be reflected in supplemental IEE(s).

2.7. Climate Change Analysis

The majority of the AIM Program activities will have no impact either positive or negative on Climate Change. It can be expected as an outcome of small scale renovations which will employ the use of more energy efficient lighting, HVAC, and heating a small reduction in greenhouse gas emissions may be realized, but the quantities are negligible given the limited number of interventions. Support for potential landfill projects under the G2G FARA will result in creation of a relatively small amount of methane gas. Arguably the improvement to the overall quality of the Moldovan environment resulting from this project outweighs the creation of this amount of GHG emission.

2.8. Consideration of Executive Memorandum on Incorporating Ecosystem Services into Federal Decision Making (M-16-01)

The majority of the AIM Program activities will have no direct affect/impact on ecosystem services, though supporting of improved environmental policies/governance can provide indirect beneficial impacts. Where AIM can provide a direct beneficial impact are those activities which will aim to address the deficient/lacking municipal services, i.e. waste water treatment and waste management whether through technical assistance and capacity building such as awareness raising or through direct support for infrastructure improvement. Any assistance in this regard with the aim to improve upon the status quo will result in a net positive affect for ecosystem services through decreasing pollution of waterways and improvement in environmental esthetics. Examples include: decreasing the amount of untreated effluent from local municipal sewer systems into streams and rivers; supporting the establishment of EU compliant landfills and waste segregation facilities and associated behavioral change campaigns to reduce the amount of illegal dumping and unsanitary landfills which have a greater likelihood of contaminating waterways, ground water, and impact biodiversity.

3. Analysis of Potential Environmental Impact

The illustrative activities under each objective, potential impacts, and recommended threshold decision will be reviewed as activities are further defined and if needed activity specific IEEs will be prepared.

	Illustrative Activities	Potential Impacts
Objective 1: Increased Citizen Engagement in Governmental Decision Making		
New Civil Society Activities		
1.01	Strengthen the legal and regulatory framework to protect and expand civic opportunities for engagement including support for regulatory and legal reforms regarding taxation, registration and management of CSOs and independent media organizations.	No adverse impacts are likely
1.02	Enable CSOs to more effectively represent citizens' interests and concerns to local- and regional-level policymakers; including training and support of CSO advocacy skills - any potential advocacy regarding environmental matters would be restricted to promotion of improved environmental services compliant with host country laws and regulations.	No adverse impacts are likely. Positive impacts may be achieved if environmental/human health issues are advocated and/or addressed.
1.03	Provide enhanced assistance to three sector leads in the areas of constituency engagement, capacity development, and legal and regulatory reform and develop a network of and partnerships among partner CSOs with strengthened governance, financial management, procurement, project management, and fundraising capacity to play a leadership role in the development of Moldova's civil society sector and become trusted recipients of funds from citizens, donors, and other public and private entities.	No adverse impacts are likely

1.04	Provide technical assistance and mentorship to empower CSOs to advocate for and advance legal and regulatory reforms, with a particular focus on the Civil Society Development Strategy for 2012 – 2015 (CS Strategy), thus enabling an environment more conducive to the long-term sustainability of the civil society sector.	No adverse impacts are likely
1.05	Educate citizens through trainings, outreach, and other for a on their rights and responsibilities to organize, monitor government, and advocate for greater transparency in government, accountability for corruption, participation in governance and inclusion of minorities and vulnerable groups.	No adverse impacts are likely. Positive impacts may be achieved if environmental/human health issues are advocated and/or addressed.
1.06	Facilitate communication between CSOs and their constituents, with an emphasis on engaging women, minorities and other vulnerable groups to tackle issues of jobs, corruption, EU integration, and other priorities.	No adverse impacts are likely. Positive impacts may be achieved if environmental/human health issues are advocated and/or addressed.
1.07	Facilitate horizontal (across communities and regions) and vertical (from local to national) networking among CSOs to build coalitions of common cause around issues of jobs, corruption, EU integration and other priorities	No adverse impacts are likely. Positive impacts may be achieved if environmental/human health issues are advocated and/or addressed.
1.08	Support citizens and CSOs to engage in more effective oversight of government officials and processes, gather evidence, and develop policy proposals to strengthen financial controls, checks & balances, accountability, EU integration.	No adverse impacts are likely. Positive impacts may be achieved if environmental/human health issues are advocated and/or addressed.
1.09	Potential for issuance of small grants to refurbish office space or procurement of equipment.	Adverse impacts may be caused by refurbishment of offices.
2-5 Direct Awards to local CSOs or specific watchdog and advocacy efforts in their respective sectors		
1.20	Support local CSOs through grants in the development and implementation of strategic advocacy initiatives based on constituent needs and priorities, with an emphasis on anti-corruption activities. At present no CSO activities involving potential adverse environmental impacts are foreseen.	No adverse impacts are likely. Positive impacts may be achieved if environmental/human health issues are advocated and/or addressed.
1.21	Potential for issuance of small grants to refurbish office space or procurement of equipment.	Adverse impacts may be caused by refurbishment of offices.
Independent Media Activity		
1.30	Support independent media and journalists to cover issues of civil society reform, media independence, anti-corruption and EU integration.	No adverse impacts are likely
1.31	Undertake ongoing media monitoring and produce media pieces to dispel disinformation perpetuated by the Russian media outlets.	No adverse impacts are likely
1.32	Support media literacy through trainings and outreach to empower citizens to discern fact from propaganda in the media.	No adverse impacts are likely
1.33	Support to independent media and journalists to cover issues of political participation and accountability.	No adverse impacts are likely. Positive impacts may be achieved if environmental/human health issues are advocated and/or addressed.
1.34	Support professional development and self-regulation of journalists through TA to increase objective, independent media in Moldova as a counterbalance to propaganda and oligarch-political bias.	No adverse impacts are likely
Peace Corps Small Projects Assistance (SPA)		
1.40	Help expand the English-teaching capacity of Moldovan educators	No adverse impacts are likely

	through trainings, access to teaching tools/resources.	
1.41	Increase awareness through advocacy, training sessions, youth programs about environmental issues, personal hygiene, hazards of smoking, and TB in rural areas.	No adverse impacts are likely. Positive impacts may be achieved if environmental/human health issues are advocated and/or addressed.
1.42	Strengthen community NGOs' and LPAs' staff on research and writing skills, long term planning, leadership and networking skills as well as their organizational capacity, management, and financial sustainability.	No adverse impacts are likely
1.43	Help Moldovan entrepreneurs prepare business plans to expand small businesses.	Business plans may envision activities that have adverse impacts on the environment and/or human health.
1.44	Design websites to promote outreach activities of community businesses.	No adverse impacts are likely
1.45	Teach local youth basic entrepreneurial skills.	No adverse impacts are likely
Inclusive and Participatory Political Parties		
1.50	Grassroots Political Development: capacity building and coaching of mayors, council factions in engagement and policy development process	No adverse impacts are likely. Positive impacts may be achieved if environmental/human health issues are advocated and/or addressed.
1.51	National Professionalization of Politics: capacity building and assistance in SWOT analysis to inform action plans and reforms.	No adverse impacts are likely. Positive impacts may be achieved if environmental/human health issues are advocated and/or addressed.
1.52	Policy Development: training and skills development of politicians and civic representatives to build competencies.	No adverse impacts are likely. Positive impacts may be achieved if environmental/human health issues are advocated and/or addressed.
1.53	Grassroots advocacy: guide citizens groups through trainings, workshops, capacity building to identify and address priority issues with politicians at relevant levels.	No adverse impacts are likely. Positive impacts may be achieved if environmental/human health issues are advocated and/or addressed.
Democratic Transparency Program		
1.60	Political Party Finance Reform: technical assistance to implement and monitor campaign finance reform	No adverse impacts are likely
1.61	Political Process Monitoring and Advocacy: technical assistance in development of approaches for monitoring, advocacy, and public awareness of political processes.	No adverse impacts are likely
1.62	Local political transparency and accountability building: promoting citizen engagement through technical assistance, trainings, and outreach.	No adverse impacts are likely. Positive impacts may be achieved if environmental/human health issues are advocated and/or addressed.
1.63	Electoral administration and reform: technical assistance to support monitoring and advocacy activities	No adverse impacts are likely
1.64	Election observation activities: technical assistance to support election monitoring and support of awareness campaigns	No adverse impacts are likely
Objective 2: Justice System is More Transparent and Accountable		
New Rule of Law Activity		
2.01	Provide technical support to the Moldovan government in optimizing the judicial map through consolidating courts and services.	No adverse impacts are likely
2.02	Increase transparency and access to information on judicial	No adverse impacts are likely. Positive

	activity.	impacts may be achieved if environmental/human health issues are advocated and/or addressed.
2.03	Upgrade the case management system to new and modern software adjusted to the optimization of the judicial map processes.	No adverse impacts are likely
2.04	Develop capacity of Superior council of magistrates (SCM) for improving the legal statistics collection process and analysis.	No adverse impacts are likely
2.05	Develop an e-filing system for the Moldovan judiciary.	No adverse impacts are likely.
2.06	Increase SCM Judicial Inspection capacity to receive, investigate and resolve complaints against judges.	No adverse impacts are likely
2.07	Institutionalize within SCM the process of monitoring performance of judges and 49 courts based on the Integrated Case Management System (ICMS) and audio-recording generated data and work with SCM to initiate disciplinary proceedings when necessary based on performance data.	No adverse impacts are likely
2.08	Build SCM capacity to monitor overall performance of the courts and enforce judicial procedures, including through disciplinary action.	No adverse impacts are likely
2.09	Provide technical assistance and training to enhance judiciary communications with the public and the media.	No adverse impacts are likely
2.10	Support Prosecutor General Office in finalizing the development of an automated criminal information filing system.	No adverse impacts are likely
2.11	Develop software interoperability between the courts and the prosecutor office' case management systems.	No adverse impacts are likely
2.12	Strengthen the institutional capacity of select civil society organizations in monitoring the implementation of the new anti-corruption package of laws.	No adverse impacts are likely
2.13	Enhance civil society capacity to better advocate for justice sector reform through grants and technical assistance.	No adverse impacts are likely
2.14	Support efforts of civil society organizations working with disadvantaged groups including women, children and LGBTI.	No adverse impacts are likely
2.15	Provide technical assistance, training, and awareness campaigns to raise awareness among citizens about legal rights.	No adverse impacts are likely. Positive impacts may be achieved if environmental/human health issues are advocated and/or addressed.
2.16	Support to investigative journalists to investigate cases of corruption.	No adverse impacts are likely
2.17	Support independent media and journalists to cover rule of law and justice sector reforms.	No adverse impacts are likely
2.18	While not currently envisioned, should USAID be requested there may be support provided to refurbish courts and office spaces and procurement of equipment to enhance the outcomes of this activity	Adverse impacts may be caused by refurbishment of courts/offices.

Promoting Rule of Law in Moldova (local award to the Legal Resource Center in Moldova)		
2.21	Monitor the developments in the *legislative framework related to judiciary* and seek to promote amendments to the legislation to ensure judicial accountability and efficiency; react to amendments and legislative initiatives that are contrary to judicial independence, accountability and efficiency.	No adverse impacts are likely
2.22	Through advocacy and technical assistance contribute to the creation of a critical mass among judges that would be interested and committed to reforms and strictly respecting fair trial guarantees.	No adverse impacts are likely
2.23	Provide technical assistance and training to advocate for the fight against high level corruption through monitoring of legislation, building alliances with NGOs to promote further development of the specialized anti-corruption prosecution office with the necessary tools, trainings of judges and prosecutors,	No adverse impacts are likely
2.24	Provide technical assistance for the monitoring of individual cases that were either initiated or that were published in mass-media with no follow up from authorities.	No adverse impacts are likely
2.25	Promote through trainings, advocacy, and workshops effective implementation of human rights commitments of Moldova regarding equality and non-discrimination and implementation of the European Convention on Human Rights (ECHR).	No adverse impacts are likely
2.26	Promote and increase awareness of the ECHR standards through training judges, prosecutors, lawyers and public authorities.	No adverse impacts are likely
2.27	Strengthen institutional capacity of the Legal Resource Center of Moldova (LCRM) through training and tailored technical assistance.	No adverse impacts are likely
Objective 3: Local Government is More Responsive to Citizens' Needs		
New Local Government Program II		
3.01	Training and consultancy to local governments on priority issues related to strategic and urban planning, efficient citizen participation and public engagement, personnel management, local service improvement, and energy efficiency.	No adverse impacts are likely.
3.02	Training and consultancy in all areas related to local governance and transparency, such as financial management, budgeting, revenue enhancement, asset management.	No adverse impacts are likely.
3.03	Consultancy for development of engineering and feasibility studies, environmental impact assessments for various infrastructure projects for local authorities, which ultimately will be submitted by local authorities to national or foreign sources of funding, such as, but not limited to National Regional Development Funds, Energy Efficiency Fund, Ecological Fund, etc.to leverage USAID funds.	No direct adverse impact on the environment. However, an indirect adverse impact on environment and human health may be caused by inadequate analyses of possible impacts of engineering or feasibility studies and/or poor design of mitigation measures.

3.04	Technical assistance for development of necessary legal policies, laws and regulations to advance the decentralization and public administration reform.	No adverse impact on environment.
3.05	Purchase of equipment for communities to improve local service delivery e.g. meters (gas, electric, water), garbage collectors, garbage collection platforms, street lamps, graders, etc. based on identified needs.	Minimal direct adverse impact on the environment. Some adverse impacts on environment and/or human health may be caused by poor analysis of possible impact resulting from poor siting of platforms (impeding traffic during collection, siting new waterways increases the chance of overflow waste entering the waterways, etc), and improper maintenance of equipment/disposal of oil, etc.
3.06	Small-scale infrastructure projects supporting energy efficiency and service improvements in assisted communities. Examples include: building insulation and weatherization, indoor and street lighting, energy saving improvements to heating systems (high efficiency boilers, heating zone regulators, etc.), energy savings to water and waste water systems such as replacement of pumps and meters, repair of water pipes to reduce water loss, residential/small scale combined heat & power (CHO) station, including biomass fuel heating systems, road repairs.	Adverse impacts on environment and/or human health may be caused by poor analysis of possible impacts and/or poor design of mitigation measures included but not limited to improper installation, maintenance, noise and vibration; impact on water and land resulting from improper waste disposal. Some adverse impact may be unavoidable. In addition to reduced GHG emissions, other positive impacts may be achieved if relevant environmental /human health issues are advocated and/or addressed.
New G2G with RDA FARA(s)		
3.10	Donor coordination and consultations on selection of Regional Development Agency projects, specific activities, and location for consideration under G2G	No adverse impacts are likely
3.11	Environmental design review, compliance, and monitoring support services	Enabling step - no direct adverse impacts are likely, though proper planning is essential
3.12	Potential G2G support includes infrastructure projects falling under the following categories: • Water supply distribution/rehabilitation • Aqueduct construction/rehabilitation • Waste Water Treatment Systems (prefabricated) • Sewage collection networks • Closing of existing landfills • Cleaning and decontamination of illegal dumps • Establishment of new waste segregation/sorting and recycling facilities and landfills • Establishment of solid waste management systems	Adverse impacts on environment and/or human health may be caused by poor analysis of possible impacts and/or poor design of mitigation measures. Impact on public health, water, land, air, and biodiversity resulting from improper project construction, operations, and closures. Some adverse impact may be unavoidable.

	Note: All projects are subject and governed by Moldovan EIA standards. All project feasibility studies, designs, and EIAs are supported by GIZ.	

4. Recommended Environmental Actions

4.1 Recommended Mitigation Measures: For activities identified below for which there is a potential for adverse environmental impacts, mitigation measures are provided in the table. Given the lack of specific intervention details s at this time for AIME PAD activities, subsequent review of environmental impacts will be required by implementing partners for approval by the MEO in consultation with the BEO.

Illustrative Activities	Potential Impacts	Mitigation Measures	22 CFR 216 Threshold Decision and Reference
Objective 1: Increased Citizen Engagement in Governmental Decision Making			
New Civil Society Activities			
1.09 Potential for issuance of small grants to refurbish office space or procurement of equipment.	Adverse impacts may be caused by refurbishment of offices.	IP(s) with local counterparts and beneficiaries to accurately assess all site-specific environmental risks using the attached ERC, or a similar tool, and submit their findings and conclusions to the Mission for review to be performed before any planned actions or events, which may adversely affect the human health or the environment, take place. When significant adverse environmental impacts are identified, an IP will be requested to prepare an EMMP using the attached, or similar, template.	Negative determination with conditions is recommended pursuant to 22 CFR 216.3(a)(2)(iii).
2-5 Direct Awards to local CSOs or specific watchdog and advocacy efforts in their respective sectors			
1.21 Potential for issuance of small grants to refurbish office space or procurement of equipment.	Adverse impacts may be caused by refurbishment of offices.	IP(s) with local counterparts and beneficiaries to accurately assess all site-specific environmental risks using the attached ERC, or a similar tool, and submit their findings and conclusions to the Mission for review to be performed before any planned actions or events, which may adversely affect the human health or the environment, take place. When significant adverse environmental impacts are identified, an IP will be requested to prepare an EMMP using the attached, or similar, template.	Negative determination with conditions is recommended pursuant to 22 CFR 216.3(a)(2)(iii).
Peace Corps Small Projects Assistance (SPA)			
1.43 Help Moldovan entrepreneurs prepare business plans to expand small businesses.	Business plans may envision activities that have adverse impacts on the environment and/or human health.	PCV will encourage the assisted businesses perform environmental impact assessment in accordance with Moldovan regulations and prepare mitigation plans (where needed)	Negative determination with conditions is recommended pursuant to 22 CFR 216.3(a)(2)(iii).
Objective 2: Justice System is More Transparent and Accountable			
New Rule of Law Activity			
2.18 While not currently envisioned, should USAID be requested there	Adverse impacts may be caused by refurbishment	IP(s) with local counterparts and beneficiaries to accurately assess all site-specific environmental risks using the attached	Negative determination with conditions is

may be support provided to refurbish courts and office spaces and procurement of equipment to enhance the outcomes of this activity	of courts/offices.	ERC, or a similar tool, and submit their findings and conclusions to the Mission for review to be performed before any planned actions or events, which may adversely affect the human health or the environment, take place. When significant adverse environmental impacts are identified, an IP will be requested to prepare an EMMP using the attached, or similar, template.	recommended pursuant to 22 CFR 216.3(a)(2)(iii).
Objective 3: Local Government is More Responsive to Citizens' Needs			
New Local Government Program II			
3.05 Purchase of equipment for communities to improve local service delivery e.g. meters (gas, electric, water), garbage collectors, garbage collection platforms, street lamps, graders, etc. based on identified needs.	Minimal direct adverse impact on the environment. Some adverse impacts on environment and/or human health may be caused by poor analysis of possible impact resulting from poor siting of platforms (impeding traffic during collection, siting new waterways increases the chance of overflow waste entering the waterways, etc), and improper maintenance of equipment/disposal of oil, etc.	IP(s) with local counterparts and beneficiaries to accurately assess all site-specific environmental risks using the attached ERC, or a similar tool, and submit their findings and conclusions to the Mission for review to be performed before any planned actions or events, which may adversely affect the human health or the environment, take place. When significant adverse environmental impacts are identified, an IP will be requested to prepare an EMMP using the attached, or similar, template.	Negative determination (with conditions) is recommended pursuant to 22 CFR 216.3(a)(2)(iii)
3.06 Small-scale infrastructure projects supporting energy efficiency and service improvements in assisted communities. Examples include: building insulation and weatherization, indoor and street	Adverse impacts on environment and/or human health may be caused by poor analysis of possible impacts and/or poor design of mitigation	IP(s) with local counterparts and beneficiaries to accurately assess all site-specific environmental risks using the attached ERC, or a similar tool, and submit their findings and conclusions to the Mission for review to be performed before any planned actions or events, which may adversely affect the human health or the environment, take place. When significant adverse environmental impacts are identified, an IP will be requested to	Negative determination (with conditions) is recommended pursuant to 22 CFR 216.3(a)(2)(iii) And/Or

lighting, energy saving improvements to heating systems, energy savings to water and waste water systems such as replacement of pumps and meters, repair of water pipes to reduce water loss, combined heat & power (CHO) station, including biomass fuel heating systems, road repairs.	measures included but not limited to improper installation, maintenance, noise and vibration; impact on water and land resulting from improper waste disposal. Some adverse impact may be unavoidable. In addition to reduced GHG emissions, other positive impacts may be achieved if relevant environmental /human health issues are advocated and/or addressed.	prepare an EMMP using the attached, or similar, template. **Installation of CHO will require consultation with the BEO on a case by case basis to determine appropriate environmental review and mitigation needs. Size and scale of proposed CHO systems is critical for proper analysis.**	For installation of CHO, a Positive determination may be recommended pursuant to 22 CFR 216.2(d) based on scale/size.
New G2G with RDA FARA(s)			
3.11 Environmental design review, compliance, and monitoring support services	Enabling step - no direct adverse impacts are likely, though proper planning is essential		Negative determination (with conditions) is recommended pursuant to 22 CFR 216.3(a)(2)(iii)
3.12 Potential G2G support includes infrastructure projects falling under the following categories: • Water supply distribution/rehabilitation • Aqueduct construction/rehabilitation	Adverse impacts on environment and/or human health may be caused by poor analysis of possible impacts and/or poor design of mitigation measures. Impact on public health, water,	Design, Feasibility Studies, and Environmental Impact Statements will be prepared with the support of GIZ and approved by the appropriate Moldovan authorities. Upon selection by USAID which project will be supported through a G2G FARA and prior to the finalization of the Moldovan required EIA (after MOE approval of the initial EIA, in accordance with established procedures, the EMP portion of the EIA is finalized), USAID will, in coordination/consultation	Positive determination is recommended pursuant to 22 CFR 216.2(d)

• Waste Water Treatment Systems (prefabricated) • Sewage collection networks • Closing of existing landfills • Cleaning and decontamination of illegal dumps • Establishment of new waste segregation/sorting and recycling facilities and landfills • Establishment of solid waste management systems Note: All projects are subject and governed by Moldovan EIA standards. All project feasibility studies, designs, and EIAs are supported by GIZ.	land, air, and biodiversity resulting from improper project construction, operations, and closures. Some adverse impact may be unavoidable.	with the BEO undertake its own environmental due diligence of all prepared studies, designs, and assessments. Any deficiencies in the documentation necessary to be in compliance with 22 CFR 216 will be corrected prior to issuance of the FARA and required mitigations measures incorporated for the specified project in the FARA agreement. If needed, a USAID specific EA will be undertaken.	

4.2 Recommended Environmental Determination (specific to new AIM activities):

Categorical Exclusions:

A categorical exclusion is recommended for the following illustrative activities under 22 CFR 216.2(c)(2):

Under §216.2(c)(2)(i) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.):

Objective 1 Activities: 1.02-1.08, 1.20, 1.30-1.34, 1.40-1.45, 1.50, 1.51, 1.53, 1.60-1.64
Objective 2 Activities: 2.01-2.17, 2.22-2.27
Objective 3 Activities: 3.01, 3.02, 3.04, 3.11

Under §216.2(c)(2) (iii) Analyses, studies, academic or research workshops and meetings:

Objective 1 Activities: 1.52, 1.53, 1.70
Objective 2 Activities: 2.15
Objective 3 Activities: 3.03, 3.05, 3.10, 3.11

Under §216.2(c)(2)(v) Document and information transfers:

Objective 1 Activities: 1.01, 1.53, 1.64
Objective 2 Activities: 2.21
Objective 3 Activities: 3.04, 3.10, 3.11

Negative Determination with conditions:

Under §216.3(a)(2)(iii), a negative determination with conditions is recommended for:

Objective 1 Activities: 1.09, 1.21
Objective 2 Activities: 2.18
Objective 3 Activities: 3.03, 3.05, 3.06, 3.11

***Positive Determination*:**

A positive determination may be recommended for CHO systems under Activity 3.06 depending on the size/scale of the proposed units. Prior consultation with the BEO is required. Specific terms and conditions are presented below in Section 4.2.

A positive determination is recommended Objective 3 Activity 3.12 for activities related to select infrastructure projects to be supported under a G2G FARA. Specific terms and conditions are presented below in Section 4.2.

Specific terms and conditions are presented in the table in section 4.1 and below in Section 4.3.

4.2 Terms and Conditions:

For USAID:

- The USAID Agreement Officers (AO) or Contracting Officer (CO) will specify relevant terms and conditions in all award documents.
- AORs/CORs along with the MEO will review the environmental compliance threshold decisions, terms and conditions of this IEE at the time of each Annual Work plan review and advise the BEO if an Amendment is needed.
- AORs/CORs will not approve the start of activities receiving a negative determination without required supplemental reviews (i.e. an ERC/EMMP) approved by the MEO in consultation with the BEO. Annex 4

contains examples of small scale rehabilitation/renovation and water system EMMPs which may serve as a basis for creating site specific EMMPs.

- AORs/CORs will require a section on environmental compliance be submitted with each quarterly report submitted by the IP. This section should be reviewed by the MEO.
- Supplemental IEEs will be developed for any new activities developed under the life of the AIM project not covered in this PAD Level IEE
- If additional interventions are identified through work planning for described activities which do not fit under the threshold determinations identified above in the tables a Supplemental IEE will be required to assess potential impacts of the new interventions.
- If the environmental review required for specific activities results in a finding of a potentially significant adverse impact on the environment, an Environmental Assessment (EA) is required. A Scoping Statement (SS) will be prepared in accordance with 22 CFR 216.3(a)(4) Scope of EA or Impact Statement. The SS must be approved by the BEO prior to initiating the EA. An EA must be prepared in accordance with 22 CRF 216.6, Environmental Assessment, and submitted to the BEO for final approval.
- For activity 3.06, the Mission will consult with the BEO regarding proposed CHO systems to determine the appropriate level of environmental review required.
- For activity 3.12, upon selection by USAID which project will be supported through a G2G FARA and prior to the finalization of the Moldovan required EIA (after MOE approval of the initial EIA, in accordance with established procedures, the EMP portion of the EIA is finalized), USAID will, in coordination/consultation with the BEO undertake its own environmental due diligence of all prepared studies, designs, and assessments. Any deficiencies in the documentation necessary to be in compliance with 22 CFR 216 will be corrected prior to issuance of the FARA and required mitigations measures incorporated for the specified project in the FARA agreement. If needed, a USAID specific EA will be undertaken.

For Implementing Partners:

- IP(s) will provide USAID with evidence that the assisted organizations followed all applicable environmental laws as well as conditions set in this IEE or related environmental compliance documentation (if applicable).
- For all activities involving provision of electronic equipment, efforts will be made to inform and promote end user compliance with Article 50 of the Law on Waste, governing electronic waste.
- For activity 1.43, Peace Corps Volunteers supporting business plan development will encourage the assisted businesses perform environmental impact assessments as required per regulations for specific types of enterprises and prepare mitigation plans (where needed).
- For activity 3.03, IP(s) will work with local counterparts and consultants to assess adverse impact on the environment, health, biodiversity resulting from engineering and feasibility studies. Mitigation measures will be assessed and included in studies to address any potential negative effects in the future infrastructure projects for which these studies will be developed.
- For activity 3.05, IP(s) will work with local counterparts and beneficiaries to select equipment based on local needs and determine potential adverse impact on the environment and relevant mitigation measures. MOUs must be signed by the recipient(s) committing to ensuring regular maintenance of equipment in an environmentally sound manner consistent with local laws and regulations.
- For activity 3.06, IP(s) with local counterparts and beneficiaries to accurately assess all site-specific environmental risks using the attached ERC, or a similar tool, and submit their findings and conclusions to the Mission for review to be performed **before any planned actions or events**, which may adversely affect the human health or the environment, take place. When adverse environmental impacts are identified, an IP will be requested to prepare an EMMP. The EMMP will normally be approved by the COR/AOR and the MEO; however, in instances where the ERC determines the potential for significant adverse impacts, an approval of the BEO will be required. Annex 4 contains examples of small scale rehabilitation/renovation and water system EMMPs which may serve as a basis for creating site specific EMMPs.

- For activity 3.06 involving CHO systems, the IP will inform the Mission of proposed plans, providing specifics for systems and seek BEO guidance prior to undertaking formal reviews.
- For each site-specific activity, the completed EMMP or its revised version, if appropriate, shall be attached to the signed Certification of No Adverse or Significant Effects on the Environment (See Annex 3) and sent by the IP to the COR/AOR for his or her records and copied to the MEO and the BEO. After the IP has finalized its activities at a specific site, the IP shall sign a Record of Compliance with the EMMP (see Annex 4) certifying that the organization met all applicable EMMP conditions and submit it to the COR/AOR.
- IP(s) will include in each quarterly report a section on environmental compliance, attesting to its compliance with this IEE and advising USAID of any difficulties encountered regarding environmental compliance measures.

4.4 USAID Monitoring and Reporting

- The AIM Project Manager with the support of AORs/CORs for individual AIM activities and the MEO, is responsible for monitoring compliance of those AIM activities by means of desktop reviews and site visits.
- AORs/CORs for individual AIM activities, with the support of the MEO, are responsible for monitoring compliance of those activities by means of desktop reviews and site visits.
- If at any time an individual AIM activity is found to be out of compliance with the IEE, the AOR/COR for that activity or AIM Manager or the MEO shall immediately notify the BEO to determine a corrective action plan.
- The BEO or his/her designated representative may conduct site visits or request additional information for compliance monitoring purposes, as necessary.
- If an individual AIM activity is found to pose significant adverse environmental effects that have not been identified and addressed in this IEE or through the ERC/EMMP(s) approved for that activity, a new EMMP shall be developed to include environmental safeguards for such effects.
- A summary report of Mission's compliance relative to this IEE shall be sent to the BEO on an annual basis, normally in connection with preparation of the Mission's annual environmental compliance report required under ADS 203.3.8.5 and 204.3.3.
- The Mission will include an indicator for environmental compliance as part of the AIM project performance monitoring plan.

5. Mandatory Inclusion of Requirements in Solicitations, Awards, Budgets, and Workplans

- Appropriate environmental compliance language, including limitations defined in Section 6, shall be incorporated into solicitations and awards for individual AIM activities and activity budgets shall provide for adequate funding and human resources to comply with requirements of this IEE.
- Solicitations shall include Statements of Work/Program Description with a task(s)/activity(ies) for meeting environmental compliance requirements and appropriate proposal/application evaluation criteria.
- Environmental mitigation and monitoring requirements, when available, shall also be included in solicitations and awards.
- IP(s) shall incorporate conditions set forth in this IEE into their annual work plans. IP(s) shall ensure annual work plans do not prescribe activities that are defined as limitations, as defined in Section 6.
- Where appropriate, IP(s) will include an indicator for environmental compliance as part of the activity performance monitoring plan.
- IPs shall report on environmental compliance requirements as part of their routine activity reporting to USAID.

6. Limitations of the IEE:

This IEE does not cover activities, except as specified (and therefore should changes in scope implicate any of the issues/activities listed below, a BEO-approved amendment shall be required), that:

6.1 Normally have a significant effect on the environment under §216.2(d)(1) [See http://www.usaid.gov/our_work/environment/compliance/regulations.html] (except for Activity: 3.06 & 3.12)

6.2 Support project preparation, project feasibility studies, engineering design for activities listed in §216.2(d)(1) (except for Activities: 3.03, 3.06, and 3.12);

6.3 Affect endangered species;

6.4 Result in wetland or biodiversity degradation or loss;

6.5 Support extractive industries (e.g. mining and quarrying);

6.6 Promote timber harvesting;

6.7 Provide support for regulatory permitting;

6.8 Result in privatization of industrial or infrastructure facilities;

6.9 Lead to new construction of buildings or other structures;

6.10 Assist the procurement (including payment in kind, donations, guarantees of credit) or use (including handling, transport, fuel for transport, storage, mixing, loading, application, cleanup of spray equipment, and disposal) of pesticides or activities involving procurement, transport, use, storage, or disposal of toxic materials and /or pesticides (cover all insecticides, fungicides, rodenticides, etc. covered under the Federal Insecticide, Fungicide, and Rodenticide Act); and

6.11 Procure or use genetically modified organisms.

7. Revisions

Under §216.3(a)(9), if new information becomes available that indicates that activities covered by the IEE might be considered major and their effect significant, or if additional activities are proposed that might be considered major and their adverse effect significant, this environmental threshold decision will be reviewed and, if necessary, revised by the Mission with concurrence by the BEO. It is the responsibility of the COR/AOR and AIM Project Manager to keep the MEO and BEO informed of any new information or changes in any AIM activity that might require revision of this IEE.

8. Recommended Environmental Threshold Decision Clearances:

DCN: 2016-MOL-005

Approval :	E. Jed Barton, Mission Director	2/23/16 Date
Clearance:	John Pennell, Deputy Mission Director	2/22/16 Date
Clearance:	Joel Sandefur, Regional Legal Officer	2/22/16 Date
Clearance:	Brian Fink, Supervisory Program Officer	02/22/2016 Date
Clearance:	Tatiana Kistanova, Mission Environmental Officer	02/16/2016 Date
Drafted :	by e-mail Tim Ong / Stephanie Chetraru	02/09/2016 Date
Concurrence:	Mark Kamiya E&E Bureau Environmental Officer	2/25/2016 Date

Distribution:
IEE File
MEO

DCN: to be assigned by BEU

ENVIRONMENTAL REVIEW CHECKLIST FOR IDENTIFYING POTENTIAL ENVIRONMENTAL IMPACTS OF PROJECT ACTIVITIES AND PROCESSES

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for [Activity Name]

Implemented under: [*Project Name*]

DCN: [*of Parent IEE*]

Prepared by: [*Implementer*]

EE.BEU Standard Form: ERC.v1 (effective date 10/1/2012)

ENVIRONMENTAL REVIEW CHECKLIST FOR IDENTIFYING POTENTIAL ENVIRONMENTAL IMPACTS OF PROJECT ACTIVITIES AND PROCESSES

The Environmental Review Checklist for Identifying Potential Environmental Impacts of Project Activities and Processes (ERC) is intended for use mainly by implementing partners to: assess activity-specific baseline conditions, including applicable environmental requirements; identify potential adverse environmental effects associated with planned activity(s) and processes; and develop environmental mitigation and monitoring plans (EMMPs) that can effectively avoid or adequately minimize the identified effects. This ERC can also be substituted for other ERC versions that may have been attached to project initial environmental examinations (IEE). If implementing partners are in doubt about whether a planned activity requires preparation of an ERC, they should contact their Contracting Officer's Representative (COR)/Agreement Officer's Representative (AOR) for clarification. *(When preparing the checklist, please indicate "not applicable" for items that have no bearing on the activity.)*

A. Activity and Site Information

Project Name: ***(as stated in the triggering IEE)***	
Mission/Country:	
DCN of Triggering IEE:	
Activity/Site Name:	
Type of Activity:	
Name of Reviewer and Summary of Professional Qualifications:	
Date of Review:	

B. Activity Description

1. Activity purpose and need
2. Location of activity
3. Beneficiaries, e.g., size of community, number of school children, etc.
4. Number of employees and annual revenue, if this is a business
5. Implementation timeframe and schedule
6. Detailed description of activity and site, e.g., size of the facility or hectares of land; steps that will be taken to accomplish the activity
7. Existing or planned certifications, e.g., ISO 14001 EMS, ISO 9000, HCCP, SA 8000, Global Gap, Environmental Product Declarations, Eco Flower, EcoLogo, Cradle to Cradle, UL Environment, GREENGUARD, Fair Trade, Green Seal, LEED, or various Forest Certifications
8. Site map, e.g., provide an image from Google Earth of the location
9. Photos of site *(when available)*

C. Activity-Specific Baseline Environmental Conditions

1. Population characteristics
2. Geography
3. Natural resources, e.g., nearby forest/protected areas, ground and surface water resources
4. Current land use
5. Proximity to public facilities, e.g. schools, hospitals, etc.
6. Other relevant description of current environmental conditions in proximity to the activity

D. Legal, Regulatory, and Permitting Requirements

1. National environmental impact assessment requirements for this activity
2. Applicable National or local permits for this activity, responsible party, and schedule for obtaining them:

Permit Type	Responsible party	Schedule
Zoning		
Building/Construction		
Source Material Extraction		
Waste Disposal		
Wastewater		
Storm Water Management		
Air Quality		
Water Use		
Historical or Cultural Preservation		
Wetlands or Water bodies		
Threatened or Endangered Species		
Other		

3. Additional National, European Union, or other international environmental laws, conventions, standards with which the activity might be required to comply
   a. Air emission standards
   b. Water discharge standards
   c. Solid waste disposal or storage regulations
   d. Hazardous waste storage and disposal
   e. Historical or cultural preservation
   f. *Other*

E. Engineering Safety and Integrity *(for Sections E. and F., provide a discussion for any of the listed issues that are likely to have bearing on this activity)*

1. Will the activity be required to adhere to formal engineering designs/plans? Have these been or will they be developed by a qualified engineer?
2. Do designs/plans effectively and comprehensively address:
   a. Management of storm water runoff and its effects?
   b. Reuse, recycling, and disposal of construction debris and by-products?
   c. Energy efficiency and/or preference for renewable energy sources?

d. Pollution prevention and cleaner production measures?
e. Maximum reliance on green building or green land-use approaches?
f. Emergency response planning?
g. Mitigation or avoidance of occupational safety and health hazards?
h. Environmental management of mobilization and de-mobilization?
i. Capacity of the host country recipient organization to sustain the environmental management aspects of the activity after closure and handover?

3. Are there known geological hazards, e.g., faults, landslides, or unstable soil structure, which could affect the activity? If so, how will the project ensure structural integrity?
4. Will the site require grading, trenching, or excavation? Will the activity generate borrow pits? If so, how will these be managed during implementation and closure?
5. Will the activity cause interference with the current drainage systems or conditions? Will it increase the risk of flooding?
6. Will the activity interfere with above- or below-ground utility transmission lines, e.g., communications, water, sewer, or natural gas?
7. Will the activity potentially interfere with vehicle or pedestrian traffic?
8. Does the activity increase the risk of fire, explosion, or hazardous chemical releases?
9. Does the activity require disposal or retrofitting of polychlorinated biphenyl-containing equipment, e.g., transformers or florescent light ballasts?

F. Environment, Health, and Safety Consequences

1. Potential impacts to public health and well-being

a. Will the activity require temporary or permanent property land taking?
b. Will activities require temporary or permanent human resettlement?
c. Will area residents and/or workers be exposed to pesticides, fertilizer, or other toxic substances, e.g., as a result of farming or manufacturing? If so, how will the project:
   i. Ensure that these chemicals do not contaminate ground or surface water?
   ii. Ensure that workers use protective clothing and equipment to prevent exposure?
   iii. Control releases of these substances to air, water, and land?
   iv. Restrict access to the site to reduce the potential for human exposure?
d. Will the activity generate pesticide, chemical, or industrial wastes? Could these wastes potentially contaminate soil, groundwater or surface water?
e. Will chemical containers be stored at the site?
f. Does the activity remove asbestos-containing materials or use of building materials that may contain asbestos, formaldehyde, or other toxic materials? Can the project certify that building materials are non-toxic? If so, how will these wastes be disposed of?

g. Will the activity generate other solid or hazardous wastes such as construction debris, dry or wet cell batteries, florescent tubes, aerosol cans, paint, solvents, etc.? If so, how will this waste be disposed of?
h. Will the activity generate nontoxic, nonhazardous solid wastes (subsequently requiring land resources for disposal)?
i. Will the activity pose the need to handle and dispose of medical wastes? If so, describe measures of ensuring occupational and public health and safety, both onsite and offsite.
j. Does the activity provide a new source of drinking water for a community? If so, how will the project monitor water quality in accordance with health standards?
k. Will the activity potentially disturb soil contaminated with toxic or hazardous materials?
l. Will activities, e.g., construction, refurbishment, demolition, or blasting, result in increased noise or light pollution, which could adversely affect the natural or human environment?

2. **Atmospheric and air quality impacts**
   a. Will the activity result in increased emission of air pollutants from a vent or as fugitive releases, e.g., soot, sulfur dioxide, oxides of nitrogen, volatile organic compounds, methane.
   b. Will the activity involve burning of wood or biomass?
   c. Will the activity install, operate, maintain, or decommission systems containing ozone depleting substances, e.g., freon or other refrigerants?
   d. Will the activity generate an increase in carbon emissions?
   e. Will the activity increase odor and/or noise?
3. **Water quality changes and impacts**
   a. How far is the site located from the nearest river, stream, or lake?
   b. Will the activity disturb wetland, lacustrine, or riparian areas?
   c. What is the depth to groundwater at the site?
   d. Will the activity result in increased ground or surface water extraction? If so, what are the volumes? Permit requirements?
   e. Will the activity discharge domestic or industrial sewage to surface, ground water, or publicly-owned treatment facility?
   f. Does the activity result in increased volumes of storm water run-off and/or is there potential for discharges of potentially contaminated (including suspended solids) storm water?
   g. Will the activity result in the runoff of pesticides, fertilizers, or toxic chemicals into surface water or groundwater?
   h. Will the activity result in discharge of livestock wastes such as manure or blood into surface water?
   i. Does the site require excavation, placing of fill, or substrate removal (e.g., gravel) from a river, stream or lake?
4. **Land use changes and impacts**
   a. Will the activity convert fallow land to agricultural land?
   b. Will the activity convert forest land to agricultural land?

c. Will the activity convert agricultural land to commercial, industrial, or residential uses?
d. Will the activity require onsite storage of liquid fuels or hazardous materials in bulk quantities?
e. Will the activity result in natural resource extraction, e.g., granite, limestone, coal, lignite, oil, or gas?
f. Will the activity alter the viewshed of area residents or others?

5. **Impacts to forestry, biodiversity, protected areas and endangered species**
   a. Is the site located adjacent to a protected area, national park, nature preserve, or wildlife refuge?
   b. Is the site located in or near threatened or endangered (T&E) species habitat? Is there a plan for identifying T&E species during activity implementation? If T&E species are identified during implementation, is there a formal process for halting work, avoiding impacts, and notifying authorities?
   c. Is the site located in a migratory bird flight or other animal migratory pathway?
   d. Will the activity involve harvesting of non-timber forest products, e.g., mushrooms, medicinal and aromatic plants (MAPs), herbs, or woody debris?
   e. Will the activity involve tree removal or logging? If so, please describe.
6. **Historic or cultural resources**
   a. Are there cultural or historic sites located at or near the site? If so, what is the distance from these? What is the plan for avoiding disturbance or notifying authorities?
   b. Are there unique ethnic or traditional cultures or values present in the site? If so, what is the applicable preservation plan?

G. Further Analysis of Recommended Actions *(if the applicable IEE requires the use of ERCs to perform further analysis of recommended actions, then check the appropriate box below. If this analysis is not required, then skip this and proceed with Section H. If required by the IEE, the ERC shall be copied to the Bureau Environmental Officer (BEO)).*

☐ **1. Categorical Exclusion:** The activity is not likely to have an effect on the natural or physical environment. No further environmental review is required.*

☐ **2. Negative Determination with Conditions:** The activity does not have potentially significant adverse environmental, health, or safety effects, but may contribute to minor impacts that can be eliminated or adequately minimized by appropriate mitigation measures. EMMPs shall be developed, approved by the Mission Environmental Officer (MEO) (and the BEO if required by the IEE) prior to beginning the activity, incorporated into workplans, and then implemented. See Sections H and I below.*

☐ **3. Positive Determination:** The activity has potentially significant adverse environmental effects and requires further analysis of alternatives, solicitation of stakeholder input, and incorporation of environmental considerations into activity design. A Scoping Statement must be prepared and be submitted to the BEO for approval. Following BEO approval an Environmental Assessment (EA) will be conducted. The activity may not be implemented until the BEO clears the final EA. For activities related to the procurement, use, or training related to pesticides, a PERUSAP will be prepared for BEO approval.

☐ **4. Activity Cancellation:** The activity poses significant and unmitigable adverse environmental effects. Adequate EMMPs cannot be developed to eliminate these effects and alternatives are not feasible. The project is not recommended for funding.

Note regarding applicability related to Pesticides (**216.2(e): The exemptions of §216.2(b)(l) and the categorical exclusions of §216.2(c)(2) ***such as technical assistance, education, and training are not applicable to assistance for the procurement or use of pesticides.

H. EMMPs *(Using the format provided below, or its equivalent, list the processes that comprise the activity, then for each, identify impacts requiring further consideration, and for each impact describe the mitigation and monitoring measures that will be implemented to avoid or adequately minimize the impacts. All environment, health, and safety impacts requiring further consideration, which were identified in Section F., should be addressed)*

1. Activity-specific environmental mitigation plan (Upon request, the MEO may be able to provide your project with example EMMPs that are specific to your activity.)

	Identified Environmental Impacts	Do the Impacts Require Further Consideration?	Mitigation Measures	Monitoring Indicators
List all the processes that comprise the activity(s)(e.g. asbestos roof removal, installation of toilets, remove and replace flooring) A line should be included for each process.	*A single process may have several potential impacts—provide a separate line for each.*	*For each impact, indícate **Yes** or **No**; if **No**, provide justification, e.g.,: (1) There are no applicable legal requirements including permits or reporting and (2) There is no relevant community concern and (3) Pollution prevention is not feasible or practical and (4) Does not pose a risk because of low severity, frequency, or duration*	*For each impact requiring further consideration, describe the mitigation measures that will avoid or adequately minimize the impact. (If mitigation measures are well-specified in the IEE, quote directly from IEE.)*	*Specify indicators to (1) determine if mitigation is in place and (2) successful.* *For example, visual inspections for seepage around pit latrine; sedimentation at stream crossings, etc.)*

2. Activity-specific monitoring plan

Monitoring Indicators	Monitoring and Reporting Frequency	Responsible Parties	Records Generated
Specify indicators to (1) determine if mitigation is in place and (2) successful (for example, visual inspections for seepage around pit latrine; sedimentation at stream crossings, etc.)	*For example: "Monitor weekly, and report in quarterly reports. If XXX occurs, immediately inform USAID COR/AOR."*	*Separate parties responsible for mitigation from those responsible for reporting, whenever appropriate,*	*If appropriate, describe types of records generated by the mitigation, monitoring, and reporting process.*

I. Certification of No Adverse or Significant Effects on the Environment

I, the undersigned, certify that activity-specific baseline conditions and applicable environmental requirements have been properly assessed; environment, health, and safety impacts requiring further consideration have been comprehensively identified; and that adverse impacts will be effectively avoided or sufficiently minimized by proper implementation of the EMMP(s) in Section G. If new impacts requiring further consideration are identified or new mitigation measures are needed, I will be responsible for notifying the USAID COR/AOR, as soon as practicable. Upon completion of activities, I will submit a ***Record of Compliance with Activity-Specific EMMPs*** using the format provided in ERC Annex 1 or its equivalent.

__________________________________ ________________________

Implementer Project Director/COP *Name* Date

J. Approvals:

__________________________________ ________________________

USAID COR/AOR *Name* Date

__________________________________ ________________________

Mission Environmental Officer *Name* Date

Distribution:

- Project Files
- Bureau Environmental Officer

IEE ANNEX 1 - Environmental Mitigation and Monitoring Plan (EMMP) for [provide name of activity] under DCN: [provide DCN of IEE/EA]
[Several activity-specific examples are provided in ANNEX 4]

Activity	Identified Environmental Aspects or Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring and Reporting Frequency	Party(ies) Responsible
Planning and Design (if applicable)					
Mobilization (if applicable)					
Sourcing of Materials & Equipment (if applicable)					
Rehabilitation works (if applicable)					
Construction Demobilization (if applicable)					
Testing, Operation, and Maintenance (if applicable)					

Prepared by:____ **Date:**________________________________

Cleared by:____ **Date:**________________________________

Approved by:____ **Date:**________________________________

IEE ANNEX 2
Certification of No Adverse or Significant Effects on the Environment
[Template]

The undersigned certifies that all foreseeable significant adverse effects on the environment have been adequately and effectively eliminated or mitigated by the attached Environmental Mitigation and Monitoring Plans **(**EMMPs) to be implemented at [specify site, activity number, DCN]. If new adverse effects or the need for new or improved mitigation measures are identified, I will immediately notify the USAID activity manager/COR/AOR.

[Name], Implementer Project Director/COP: ______________________
Date: __________________

Received by [Name], COR/AOR/Activity Manager: _____________________________
Date: ___________________

IEE ANNEX 3
Record of Compliance with Environmental Mitigation and Monitoring Plans (EMMPs)
[Template]

Subject:	[Site Name/Primary Project Name/IEE DCN Number]
To:	[Name], COR/AOR/Activity Manager
Copy:	[Name], Mission Environmental Office
Date:	

The [name of the implementing organization] has finalized its activities at the [site name/activity number] to [describe activities that were undertaken]. This memorandum is to certify that our organization has met all conditions of the EMMP for this site activity. A summary of the how mitigation and monitoring requirements were met is provided below.

1. Mobilization and Site Preparation
2. Site Activity Implementation Phase
3. Site Closure Phase
4. Site Activity Handover

Sincerely,

____
[Name], Chief of Party
[Name of Implementing Partner Organization]

Approved:

______________________________________ __________________________
[Name], AOR/COR/Activity Manager Date

______________________________________ __________________________
[Name], Mission Environmental Officer Date

Copy to:
Bureau Environmental Officer

ANNEX 4: Example EMMPs

Example Building Rehabilitation Environmental Mitigation and Monitoring Plan Applicable for Existing Facilities with No New Construction and No Asbestos

Activity	Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring & Reporting Frequency	Responsible Party
Building rehabilitation	Solid waste management (Soil & Groundwater Contamination)	• Collect/segregate solid waste, reuse or dispose according to local regulations (in suitable landfills, if available) • Solid waste management plan developed prior to starting activity/operation to include as appropriate proper management of hazardous materials (especially asbestos* & previously stored hazardous items), used or excess supplies or consumables, used batteries, used oils, used fluorescent tubes, hazardous material containers, etc.) • Plan should include adequate employee training on waste management	• Types of solid waste & waste quantity (kg (m3)) • Record review & site inspections • Complaints from nearby residents • Records of required waste permits	At project initiation & then monthly or quarterly	Implementer
	Air Pollution Impacts	• Use low emissions & energy efficient windows & building materials, high efficiency lighting, low emission burners in boilers • Use environmentally acceptable fuels for heating equipment • Replace high greenhouse gas emissions fuels (e.g., coal) with cleaner fuels like natural gas, if possible • Use best available technology for minimizing use/release of ozone depleting substances (ODS) • Use best practices to avoid airborne asbestos	• Concentration of relevant pollutants (mg/m3) • Complaints from nearby residents • Amounts & dates of ODS recovery • Up-to-date certification of ODS handlers	At project initiation & then monthly or quarterly	Implementer

* See EMMP for Asbestos Remediation

Activity	Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring & Reporting Frequency	Responsible Party
		particles*			
	Noise, Traffic Congestion, Odor, & Visual Quality Impacts	• Schedule trucks bringing building materials to minimize local impacts • Provide workers with protective equipment	• Visual • Complaints from users & nearby residents	Quarterly	Implementer
	Socioeconomic Impacts	• Avoid discharges to sensitive ecosystems • Minimize visible smoke & boiler air emissions • Hire local workers • Community public meetings to share mitigation information • Obtain required building alteration permits	• Visual • Number of trained workers • Number of public meetings • Records of required permits	At project initiation & then quarterly	Implementer
	Occupational & Public Health & Safety Impacts	• Establish documented occupation safety procedures & provide regular safety training • Provide workers with protective equipment (e.g., gloves, boots, eyeware) • Adopt fire precautions (e.g., working fire protection equipment, ban on smoking) • Manage construction traffic to protect children & the community • Signs clearly displayed	• Inspection of fire protection equipment • Number of accidents & injuries • Audits safety procedure/training conformance	At project initiation & then quarterly	Implementer
	Resource depletion & indirect impacts from energy & water use	• Use high efficiency heating, cooling, & lighting systems & perform regular maintenance to optimize performance • Implement water conservation & re-use measures whenever appropriate • Use environmentally preferable building materials	• Plans & specifications that address resource depletion reduction for retrofits	At project initiation & then quarterly	Implementer

Environmental Mitigation and Monitoring Plan for Support for rehabilitation of existing facilities with Asbestos Remediation (no new construction) involving any or all of the following: Asbestos Containing Matter (ACM)**;** Asbestos-tiled Roofs; Asbestos with Corrugated Sheetmetal Plates; and Asbestos Insulation

Activity	Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring & Reporting Frequency	Responsible Party
1) Asbestos Containing Material 2) Asbestos-tiled Roofs 3) Asbestos with Corrugated Sheetmetal Plates 4) Asbestos Insulation	Preparing for Asbestos Removal Asbestos Contamination	• Preparing for asbestos removal. Considerations: **<u>A)</u>** Spray amended water (1:200 soap-to-water) to keep asbestos containing material (ACM) damp, but not saturated **<u>B)</u>** Place ACM in disposal bags, do not allow to accumulate on floor) **<u>C)</u>** Use HEPA vacuums & damp cloth wiping to stop fiber migration or fibers becoming airborne, do not use dry sweeping **<u>D)</u>** Use 6 mil polyethylene sheeting as barriers for doors, windows, vents, ACM breakage/cutting	• Inspections • Amounts of ACM (kg) • ACM removal permit (if applicable) • Complaints from nearly residents	Daily or Weekly	Implementer, Requirements shall be specified in contract/grant/ loan agreements
	Asbestos Contamination During Removal	• Asbestos removal procedures. **<u>A)</u>** Removal of ACM panels intact, if possible and place in disposal bags **<u>B)</u>** Removal of ACM screwed-in panels after wetting screw heads. Clean holes with damp (amended water) cloth **<u>C)</u>** Removal of ACM riveted panels. (Describe expected rivet removal steps). Minimize breakage, use amended water • Place ACM & disposable overalls in 6-mil poly bags. Then label and tightly seal bag; wipe outside bag with cloth (amended water); and remove bags for storage in a designated location	• Inspections • Amount of ACM (kg) • Inspections • Complaints from nearby residents	Daily or Weekly	Implementer
	ACM Disposal	• Transport waste ACM & bags of contaminated clothing to disposal site in a covered truck. • Excavate special place in landfill, build	• Inspections • Amount of ACM (kg)	Daily/ Weekly	Implementer

Activity	Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring & Reporting Frequency	Responsible Party
		wooded encasement structure, and bury 1 meter underground • Mark site with permanent warning sign	• Complaints from nearby residents • Final ACM removal & disposal report (details of what was done, any problems or unexpected exposures, lessons learned)		
	Socioeconomic Impacts	• Protect ecosystems in/ near facilities with asbestos • Public meetings with community to share information on asbestos removal, handling & disposal • Avoid asbestos disposal near sensitive ecosystems • Hire local workers • Community public meetings to share mitigation information	• Inspections. • Number of public meetings	Weekly	Implementer
	Public Health & Safety	• Close access to facility during demolition, asbestos removal & transportation for disposal • Written asbestos safety procedures for workers & the public • Provide workers with protective equipment • (e.g., Respirators (negative pressure, P100 equivalent particulate filter, half-face or full-face), gloves, disposable overalls) • Decontamination washing facility to wash workers from head to toe • Signs clearly displayed	• Inspection to insure safety equipment is used IAW manufacturer specifications • Number of accidents & injuries	Daily or Weekly	Implementer

Example Building Rehabilitation Environmental Mitigation and Monitoring Plan Applicable for Existing Facilities with No New Construction and No Asbestos but Involving Delivery of Water and Wastewater Services

Activity	Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring & Reporting Frequency	Responsible Party
1) Building rehabilitation 2) Delivery of water & wastewater services	Unsafe Water Provided Surface & Groundwater Contamination (Soil Contamination)	• Provide clean water for drinking, hand washing & other building needs by: **A)** Doing initial surface/groundwater quality and quantity testing **B)** Using proper groundwater drilling methods (if applicable) **C)** Doing ongoing periodic water quality testing **D)** Employing signs & training to conserve clean water • Install wastewater treatment where needed, e.g.,: **A)** Septic Tanks: Use for domestic sewage; include maintenance/cleaning requirements & install drain fields **B)** Protect drain fields, keep children out • Minimize local impacts from construction materials	• Quantity of water (m3), quality of clean water (pathogens, other biologic & chemical parameters) • Water use /discharge permit obtained (if applicable) • Complaints from users & nearby residents	At project initiation & then monthly or quarterly	Implementer, Requirements shall be specified in contract/grant/ loan agreements
	Solid waste management (Soil & Groundwater Contamination)	• Collect/segregate solid waste, reuse or dispose according to local regulations (in suitable landfills, if available) • Solid waste management plan developed prior to starting activity/operation to include as appropriate proper management of hazardous materials (especially asbestos* & previously stored hazardous items), used or excess supplies or consumables, used batteries, used oils, used fluorescent tubes, hazardous material containers, etc.)	• Types of solid waste & waste quantity (kg (m3)) • Record review & site inspections • Complaints from nearby residents • Records of required waste permits	At project initiation & then monthly or quarterly	Implementer

* See EMMP for Asbestos Remediation

Activity	Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring & Reporting Frequency	Responsible Party
		• Plan should include adequate employee training on waste management			
	Air Pollution Impacts	• Use low emissions & energy efficient windows & building materials, high efficiency lighting, low emission burners in boilers • Use environmentally acceptable fuels for heating equipment • Replace high greenhouse gas emissions fuels (e.g., coal) with cleaner fuels like natural gas, if possible • Use best available technology for minimizing use/release of ozone depleting substances (ODS) • Use best practices to avoid airborne asbestos particles*	• Concentration of relevant pollutants (mg/m3) • Complaints from nearby residents • Amounts & dates of ODS recovery • Up-to-date certification of ODS handlers	At project initiation & then monthly or quarterly	Implementer
	Noise, Traffic Congestion, Odor, & Visual Quality Impacts	• Schedule trucks bringing building materials to minimize local impacts • Provide workers with protective equipment	• Visual • Complaints from users & nearby residents	Quarterly	Implementer
	Socioeconomic Impacts	• Avoid discharges to sensitive ecosystems • Minimize visible smoke & boiler air emissions • Hire local workers • Community public meetings to share mitigation information • Obtain required building alteration permits	• Visual • Number of trained workers • Number of public meetings • Records of required permits	At project initiation & then quarterly	Implementer
	Occupational & Public Health & Safety Impacts	• Establish documented occupation safety procedures & provide regular safety training • Provide workers with protective equipment (e.g., gloves, boots, eyeware) • Adopt fire precautions (e.g., working fire protection equipment, ban on smoking)	• Inspection of fire protection equipment • Number of accidents & injuries	At project initiation & then quarterly	Implementer

Activity	Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring & Reporting Frequency	Responsible Party
		• Manage construction traffic to protect children & the community • Signs clearly displayed	• Audits safety procedure/training conformance		
	Resource depletion & indirect impacts from energy & water use	• Use high efficiency heating, cooling, & lighting systems & perform regular maintenance to optimize performance • Implement water conservation & re-use measures whenever appropriate • Use environmentally preferable building materials	• Plans & specifications that address resource depletion reduction for retrofits	At project initiation & then quarterly	Implementer

Environmental Mitigation and Monitoring Plan Example for Water Supply Rehabilitation and Development Activities

Activity	Identified Environmental Aspects or Impacts	Mitigation measure(s)	Monitoring indicator(s)	Monitoring and Reporting Frequency	Party(ies) responsible
Planning and Design					
Identification and weighing of alternatives	• Over-extraction of ground water • Number of wells • Anticipated pumping rate per well • Proximity to other groundwater users • Projected drawdown cone • Safe yield of aquifer • Identification of nearby pollution sources • Climate change • Impact of irrigation on water supply	• Identify known and potential areas of ecological, archeological, paleontological, historic, religious or cultural significance and ecologically sensitive areas such as high quality forests, wetlands, and other areas of high biodiversity or threatened species along possible rehabilitation routes and potential well-fields • Conduct hydroge0logical study which would include a description of the nature and extent of the aquifer, aquifer testing, modeling to determine extent of drawdown and optimum pumping rates to reduce impact, development of a well field management plan, and development of well head protection program • Conduct a climate change vulnerability study	Natural resource inventory and maps Well and spring survey Groundwater quality Water levels Recharge and discharge areas	At the start of the activity	Implementer
Establishing design standards	• Damage valuable ecosystems and habitats • Damage valuable historic, religious, cultural, and paleontological resources • Change local culture and society • Cause soil erosion • Degrade water quality and/or alter hydrology • Lead to injury, disease, or death of workers, and local residents	• Choose or develop design standards for each rehabilitation activity, e.g., installation of new water mains, erosion control, revegetation, sensitive areas, steep slopes, material extraction, transport and storage, construction camps, waste disposal, etc. • Provide plans to identify and protect sensitive habitats • Develop a storm water and erosion control plan for all projects • Develop mobilization and de-mobilization plans	Conformance with: • Documented design standards • Natural resource protection plan • Stormwater and erosion control plan • Well head protection plan • Mobilization and de-mobilization plans	At the start of the activity	Implementer
Permitting	Construction permits Water rights	• Obtain all required permits		At the start of the activity	Implementer

Activity	Identified Environmental Aspects or Impacts	Mitigation measure(s)	Monitoring indicator(s)	Monitoring and Reporting Frequency	Party(ies) responsible
Water extraction from a well field	• Surpass design extraction rates • Temporary depletion of the local aquifer. • Periodic shortfalls in water supply to the network, leading to service cuts to customers • Well field contamination • Provide water contaminated with nutrients and bacteria from animal waste • Lower the water table effecting nearby users of groundwater. • Affect environmental flow of nearby rivers	• Conduct hydrological study and establish sustainable withdrawal rates from test wells • Test water quality for contaminates and design to treat • Monitor water levels • Evaluated efficiency of well(s) and pump(s) every 5 years • The Municipality should review extraction rates every six months and adjust based on experience to avoid unsustainable extraction rates. • Establish adequate protective zone around well field • Fence well field • In coastal areas, keep withdrawals within safe yield limits to avoid overdrawing, possible salt water intrusion and contamination of the well • Put in place a system for regulating use, such as a local warden or appropriate pricing	• Certification of well driller • Certified water quality test • Treatment design • Completion of needed studies • Well log maintained • Photo documentation	At the start of the activity and at least monthly thereafter or as required by local code	Implementer and Sanitary Epidemiological Supervision Service
Mobilization					
Site preparation and clearance Establishment of staging areas	• Site clearance waste • Dust emissions • Temporary drainage impairment • Noise and traffic nuisance • Soil compaction and contamination • Vegetation loss	• Implement mobilization plans that optimize avoidance of environmental impact • Use designated landfill site for material disposal • Implement measures to minimize drainage impacts • Clearly delineate boundaries and minimize staging area footprints • Minimize disturbance of native flora during construction. Minimize the amount of clearing. Clear small areas for active work one at a time • Avoid use of herbicides. • Where possible, remove large plants and turf without destroying them, and	• Conformance with mobilization plan • Shipping manifests, landfill receipts, photo logs • Number of documented actions • Placement of signs and perimeter markings • Vegetation surveys	At the start of the activity and at least monthly thereafter	Implementer

Activity	Identified Environmental Aspects or Impacts	Mitigation measure(s)	Monitoring indicator(s)	Monitoring and Reporting Frequency	Party(ies) responsible
		preserve them for replanting in temporary nurseries • Move earth and remove vegetation only during dry periods. Store topsoil for respreading. If vegetation must be removed during wet periods, disturb ground only just before actual construction • Install temporary erosion control features when permanent ones will be delayed. Use erosion control measures such as hay bales, berms, straw or fabric barriers • Revegetate with recovered plants and other appropriate local flora immediately after equipment is removed from a section of the site			
Sourcing of Material (if applicable)					
Materials extraction	• Damage aquatic ecosystems through erosion and siltation • Harm terrestrial ecosystems via harvesting of timber or other natural products • Spread vector-borne diseases when stagnant water accumulates in active or abandoned quarries or borrow pits and breeds insect vectors • Take land out of other useful production • The quarry may become a safety hazard	• Develop plans for sourcing materials and identify the most environmentally sound source of materials within budget • Site quarries and gravel pits so that they are not visible to travelers on the roads • Decommission/restore area so it is suitable for sustainable use after extraction is completed • Install drainage structures to direct water away from pit • Implement safety protocols to minimize risks from falling rock or debris, collapsing quarry walls, or accidental falls from cliffs • Discuss with local community the option of retaining quarry pits as water collection ponds for watering cattle, irrigating crops or similar uses. Highlight issues of accidental drowning, disease transmission, and the need to prohibit its use for drinking, bathing, and clothes	Conformance with sourcing plans Photo documentation	At the start of the activity and at least monthly thereafter	Implementer

Activity	Identified Environmental Aspects or Impacts	Mitigation measure(s)	Monitoring indicator(s)	Monitoring and Reporting Frequency	Party(ies) responsible
		washing			
Water Supply System Rehabilitation					
Transport and storage of source materials Distribution construction, rehabilitation Placing/rehabilitating pipes, including trenching	• Odor and particular matter emissions • Soil and water contamination from spills • Siltation and scouring from stormwater discharge • Occupational safety mishaps • Public safety risks • Alternation of drainage leading to soil erosion, water quality degradation, altered hydrology, and damage to valuable ecosystems and habitats • Impacts from removal and disposal of irrigation channel spoil, sediment bushes/trees • Impacts from removal old asbestos pipes • Traffic Congestion	• Implement construction plans and schedule work during appropriate times and weather conditions • Provide worker safety and PPE use training • Use water sprinklers when necessary to reduce dust • Control access to work zones • Plan and implement proper stormwater BMPs, including worker training • Use BMPs for maintenance and storage of equipment • Install drainage structures during construction • Clearly define the type of re-construction, rehabilitation method to be used for each section of the distribution network • DO NOT disturb old asbestos pipes, lay new pipes parallel to existing pipes. See additional guidance below for dealing with ACM • Protect area next to trenching activities. Use construction lines to mark construction zone • Minimize removal of brush/brush cutting • Provide dust control during extraction and disposal of spoil and sediment • Train workers to protect surrounding environment • Remove sediment under bridges by hand • Materials stored onsite, protected from stormwater runoff or wind until transport for spreading or beneficial use/disposal • Minimize use of heavy machinery • Dispose in landfill if no alternate use available	• Conformance with construction, traffic management, and stormwater BMP plans • Percentage of workers and supervisors with up-to-date training records • Photo logs • Number of spills, accidents, safety incidents • Conformance with drainage design • Monitor waste quantity (kg (m3)) • Monitor amounts of waste (tons) • Site inspections • Complaints from nearby farmers or residents	After significant rain events, or at least monthly Visually spot-check for drainage problems Requirements specified in contracts	Implementer

Activity	Identified Environmental Aspects or Impacts	Mitigation measure(s)	Monitoring indicator(s)	Monitoring and Reporting Frequency	Party(ies) responsible
Encountering wetlands	Degrade wetland, damaging the valuable ecosystems and habitats Alter hydrology	• Take special precautions to prevent release or dumping of debris, oil, fuel, sand cement and similar harmful materials • Maintain natural flow patterns of groundwater and near-surface water • Maintain at least a 500 meter separation from identified wetlands.	Hectares of wetland impacts avoided Photo documentation	At the start of the activity and at least quarterly thereafter	Implementer
Encountering asbestos pipes	Earthwork taking place in sites with asbestos pipes currently in operation	• Accurately demarcate location of asbestos pipes and excavate cautiously long the marked area to avoid contact with existing pipes. • In case of unintended unearthing of asbestos pipes, immediately backfill the dug-out area, compact soil, and place warning signs	• Construction logs	Throughout construction	Implementer
Establishing and maintaining construction camp and crew	• Damage local habitat, compact soil and create erosion via building and occupation of construction camp • Contaminate surface water and spread disease via solid waste and feces generated by camp • Spread communicable diseases including tuberculosis, and STDs via construction crew members who come from outside the region • Introduce alcohol or other socially destructive substances via construction crew • Generate trash due to lack of solid waste management • Adversely affect local fauna and flora (especially game and fuelwood) via poaching and collection by construction crews	• Explore off-site accommodation for crew. Avoid wet, muddy sites • Keep camp size to a minimum. Require that crew preserve as much vegetation as possible, e.g., by creating defined foot paths. Define areas of use (with rocks or fencing) • Provide potable water for crew • Provide temporary sanitation on site, • Use local or regional labor, if possible. Provide hygiene and public health training to road crews, including information about transmission of STDs • Collect all solid waste (metal, glass, and burnable materials) from all work and living areas. Dispose of waste in local dump or landfill. • Set guidelines prohibiting the poaching and collection of plants/wood, with meaningful consequences for violation, such as termination of employment. Provide enough food and cooking fuel • Restore site through revegetation using native species	Number incidents of ecological or social impact	At least monthly	Implementer

Activity	Identified Environmental Aspects or Impacts	Mitigation measure(s)	Monitoring indicator(s)	Monitoring and Reporting Frequency	Party(ies) responsible
Implementation of the leakage detection program	• Pollution with waste, construction wastes, sediments of lubricants and oil and damage of plants • Noise, vibration, limited access, traffic discomfort, water supply delay and hazard to the workers' security, pavements and traffic	• Basic proper construction norms and standards applied while the construction	• Construction logs • Complaints from residents	Periodical check	Implementer
Construction Demobilization					
Demobilization cleanup	• Generation of solid and hazardous waste • Loss of habitat or other environmental degradation	• Implement plans for returning the site to the original/or otherwise acceptable condition • Use designated landfill sites for material disposal	• Conformance with demobilization plans • Shipping manifests, landfill receipts, photo logs	At project completion	MEO/COTR and Implementer
Testing, Operation, and Maintenance of Water Supply Systems					
Water Quality Monitoring	• Safety hazards from chlorination processes	• Flush pipes upon completion of works, notifying public • Continuous control of chlorination stations • Training of operators • Installation on chlorine leak detectors • Require protection and emergency response equipment for operators	• Public notice • Training log • Maintenance log • Visual inspection • Water quality testing	At the handover by implementer and monthly (operator)	Implementer and operator and Sanitary Epidemiological Supervision Service
	• Pollution of water sources due to domestic animals, septic fields, industrial operations	• Ensure water source protection zones • Emergency spill plan in place	• Visual inspection	At the handover by implementer and monthly (operator)	Implementer and operator
Water pump maintenance	• Ground and water pollution • Periodic shortfalls in water supply to the network, leading to service cuts to customers	• Proper handling, storage and disposal of fuels and lubricants • Proper disposal of pumps • Promote sustainability through cost recovery	• Visual inspection • Maintenance logs	At the handover by implementer and monthly (operator)	Implementer and operator
Water extraction from a well field	• Surpass design extraction rates • Temporary depletion of the local aquifer. Periodic shortfalls in water supply to the network, leading to service cuts to customers	• Conduct hydrological study and establish sustainable withdrawal rates from test wells • The Municipality should review extraction rates every six months and adjust based on experience to avoid unsustainable extraction rates.	• Certified water quality test • Treatment design • Completion of needed studies • Well log maintained • Photo	At the start of the activity and at least monthly thereafter or as required by local code	Implementer and operator

Activity	Identified Environmental Aspects or Impacts	Mitigation measure(s)	Monitoring indicator(s)	Monitoring and Reporting Frequency	Party(ies) responsible
	• Well field contamination • Provide water contaminated with nutrients and bacteria from animal waste • Create pools of stagnant water • Change groundwater flow • Create saltwater intrusion • Deplete aquifer (groundwater) • Cause land subsidence (impact from many wells)	• Establish adequate protective zone around well field • Maintain fenced well field • Don't let animals graze or be watered up-gradient from wellhead • Monitor and repair leaks from cracked containment structures, broken pipes, faulty valves and similar structures • Include a focus on proper use and maintenance of the improvement as part of the behavior change and education program • Monitor water levels and water quality • Determine potential impacts to nearby groundwater users and be able to replace wells if necessary • Manage irrigation to reduce consumption. • Apply a fair water pricing system that not only promotes the conservation of water but also pays for maintenance of pumps, reticulation systems, and water treatment.	documentation		

The following guidelines will be used to govern contractor requirements to be incorporated into design and construction specifications to minimize and/or contain asbestos fibers when there is the potential to disturb ACM (Asbestos Containing Material):

Asbestos Containing Material (ACM) Operation and Maintenance Procedures: Minimize/contain asbestos fibers when there is the potential to disturb
1. Wet methods (such as applying water to ACM with a low pressure sprayer). 2. Use of mini-enclosures. 3. Use of portable power tools equipped with special local ventilation attachments. 4. Area isolation. 5. Avoidance of certain activities, such as sawing, sanding, and drilling ACM. If in doubt about the possibility of disturbing ACM during maintenance activities, adequate precautions should be taken to minimize fiber release; these will protect workers as well as the building environment. **Wet Cleaning** Proper O&M cleaning will involve the use of wet cleaning or wet-wiping practices to pick up asbestos fibers. Dry sweeping or dusting can result in asbestos fibers being re-suspended into the building's air and therefore should not be used. Once wet cloths, rags, or mops have been used to pick up asbestos fibers, they should be properly discarded as asbestos waste while still wet. They should not be allowed to dry out, because the collected fibers might be released at some later time when disturbed. **HEPA Vacuums** The use of special vacuum cleaners, commonly referred to as HEPA (high efficiency particulate air) vacuums, may be preferable to wet cleaning in certain situations. These vacuums are equipped with filters designed to remove very small particles or fibers, such as asbestos, by filtering those particles from the air passing through the vacuum. Because the exhaust air from an ordinary vacuum cleaner is not filtered sufficiently, it is possible for tiny asbestos fibers to pass through the filter and back into the building air. Special procedures are generally needed to minimize the spread of fibers in the building after asbestos fiber release occurs. It is important for O&M workers to use caution when emptying HEPA vacuums and changing the filters because exposures could result from such activities. Before emptying the HEPA vacuums, workers should move the HEPA vacuum to a physically isolated area of the facility and put on proper personal protective equipment before emptying the dust and debris into properly labeled, sealed, and leak-tight containers for disposal as asbestos-containing waste. When custodial workers are not trained to work with ACM, trained maintenance workers can be used to empty the HEPA vacuums and change their filters.
Worker Personal Protective Equipment
Protective Clothing Most often, protective clothing is disposable and consists of coveralls, a head cover, and foot covers made of a synthetic fabric which does not allow asbestos fibers to pass through. This type of clothing can prevent workers' regular clothing from becoming contaminated with asbestos fibers. **Contaminated clothing should not be taken home to avoid creating a possible risk to the worker's family members.** When in doubt about exposure during a certain work operation, building owners should provide respiratory protection to custodial and maintenance workers. It is important that workers be properly trained in the use, removal, and disposal of protective clothing after use. Not all O&M activities require the use of protective clothing so it is important for the asbestos project manager (APM) to assess this need on a case-by-case basis. OSHA regulations require workers to wear protective clothing whenever they are exposed, or likely to be exposed, to fiber levels above permissible limits (US OSHA), which may be exceeded if ACM pipes are disturbed by workers.

Respiratory Protection
Some O&M tasks may require the use of respirators (reference above chart). The O&M respirator program can be administered by the facility safety and health manager or the asbestos program manager (APM), if properly qualified. As with protective clothing, OSHA regulations require the use of respirators whenever workers are exposed, or likely to be exposed, to fiber levels above OSHA's permissible limits.
Single use, disposable paper dust masks should NOT be used when dealing with asbestos.
The options that should be used include:

- A half or full face-piece, negative pressure, air-purifying respirator with replaceable high-efficiency filters.
- A half or full face-piece powered air purifying respirator (PAPR) with replaceable high-efficiency filters. This has a battery powered pump which assists breathing and provides positive pressure in the face-piece.

Procedures for Asbestos Fiber Release Episodes

Special procedures are generally followed to minimize the spread of fibers in case of a fiber release episode. Depending on the severity of the episode, asbestos abatement consultants and contractors may be helpful in developing a strategy for conducting the cleanup operations. It is important to recognize that different levels of training may be needed for workers involved with fiber release episodes. For instance, the degree of training considered appropriate for dealing with the clean-up of a major release is quite different from the degree of training considered adequate for O&M workers.

Isolate the Area and Alert Site Personnel

In general, for major fiber releases, the area should be isolated by using tents, erecting temporary barriers, and deploying setbacks to restrict airflow as well as access to the site. Signs should be posted as necessary, immediately outside the fiber release site to prevent persons not involved in the cleanup operation from inadvertently entering the area.

Thoroughly Clean and Inspect the Area

The final step should be to employ thorough cleanup procedures to properly control the ACM. Conduct a careful visual inspection and final clearance air monitoring to verify satisfactory cleanup.
Similar procedures can be used for much smaller fiber release events where the amount of ACM is three square or linear feet or less. HEPA vacuuming, wet wiping, and worker protection procedures, as well as wetting ACM wastes and properly placing them in an appropriate leak-tight container (such as a properly labeled, 6 mm thick plastic bag), are examples of some of the procedures that could be used for both major and minor fiber releases.