



DCN: Asia 11-131
Signed by BEO on 8/12/11

**ENVIRONMENTAL COMPLIANCE FACESHEET & AMENDMENT #6 TO
THE INITIAL ENVIRONMENTAL EXAMINATION (IEE)**

Objective: Objective 1/ Peace and Security and Objective 2/Governing Justly and Democratically

Program Areas: 1.5 Transnational Crime and 1.6 Conflict Mitigation and Reconciliation
2.1 Rule of Law and Human Rights; 2.2 Good Governance; 2.3 Political Competition and Consensus Building; 2.4 Civil Society

Program Elements: 1.5.3 Trafficking-in-Persons and Migrant Smuggling and 1.6.1 Conflict Mitigation
2.1.3 Justice System; 2.1.4 Human Rights; 2.2.1 Legislative Function and Processes; 2.2.2 Public Sector Executive Function; 2.3.2 Local Government and Decentralization; 2.3.2 Elections and Political Processes; 2.3.3 Political Parties 2.4.1; Civic Participation; 2.4.2 Media Freedom and Freedom of Information

Country/Region: Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan, and Uzbekistan

Funding Period: FY2011 – FY2016 **LOP:** FY2001 – FY2016

Resource Levels/Amount(s): \$68,831,000 **LOP:** \$230,000,000

Statement Prepared by: Ainur Zhamiyeva, Project Management Specialist, Democracy and Conflict Mitigation Office

IEE Amendment? Yes ☒ No ☐ **DCN of Original IEE:** 2001-CAR-002
DCN of AMD 1: 2002-CAR-002
DCN of AMD 2: 2005-CAR-004
DCN of AMD 3: 2008-CAR-002
DCN of AMD 4: Asia 09-154
DCN of AMD 5: Asia 10-113

Environmental Media and/or Human Health Potentially Impacted (check all that apply):

None ☐ Air ☐ Water ☒ Land ☒ Biodiversity ☐ Human health ☒
Other ☐

Environmental Action(s) Recommended (check all that apply):

☒ **Categorical Exclusion(s)**

☒ **Initial Environmental Examination:**

☒ **Negative Determination:** no significant adverse effects expected regarding the proposed activities, which are well defined over life of activity. IEE prepared:

☒ With conditions: no special mitigation measures needed; normal good practices will be used. For the possible limited procurement of commodities, materials and equipment, including electric and electronic equipment (computers, printers, etc.) as described in Table 2, Section II, the proposed action is that the Implementer should provide evidence that equipment is procured from certified retailers; environmental safety and quality certificates conforming with national and/or international standards are available; equipment and materials are used in an environmentally sound and safe manner, properly disposed of, when applicable, at the end of their useful life in a manner consistent with best management practices according to USG, European Union or equivalent standards acceptable to USAID

☒ With conditions (special mitigation measures specified to prevent unintended impact) for activities listed in Table 2, Section III).

Summary of Findings:

This Amendment # 6 to the IEE DCN: 2001-CAR-002 is to modify SO 2.1 IEE so that the IEE reflects the current set of Democracy and Governance (DG) activities in all five Central Asian countries now covered under Objective 1: Peace and Security and Objective 2: Governing Justly and Democratically (GJD). The Amendment #6 duly reflects on the increased level of funding from \$161,169,673 to \$230,000,000; and on the extension of the LOP from 2011 to 2016.

This Amendment fully supersedes Amendments 3, 4, and 5. Because the program activities presented in this Amendment are similar in type, nature and scope to the activities covered under original IEE with Amendments 3, 4, and 5, all earlier approved conditions stay in effect for this Amendment until the time of its expiration or modification.

Table 1 classifies all activities that are proposed under all on-going projects and also any near future project under all Peace and Security and Governing Justly and Democratically Program Elements.

Table 1. Main Types of Peace and Security and Governing Justly and Democratically Activities

Objective1: Peace and Security

Program Area 1.5: Transnational Crime

Program Element	On-going projects under the Program Element.	Types of Activities
1.5.3 Trafficking in Persons and Migrant Smuggling	- Counter Trafficking Program (KZ, UZ, TJ, KG, TK) - Reintegration for survivors of Trafficking (UZ)	Training, Information Campaigns, Repatriation Support Management of Victim Shelters; Management of halfway houses

Program Area 1.6: Conflict Mitigation and Reconciliation

Program Element	On-going projects under the Program Element.	Types of Activities
1.6.1 Conflict Mitigation	- Conflict Mitigation (KG, TJ, UZ) - Conflict Mitigation/ Stabilization (TJ)	Assessment, Information, Training Community development grants for small scale infrastructural projects

Objective 2: Governing Justly and Democratically**Program Area 2.1: Rule of Law and Human Rights**

Program Element	On-going projects under the Program Element.	Types of Activities
2.1.1 Constitutions, Laws and legal Systems	- Governance Strengthening Program (TK) - Rule of Law Program (TK)	Study tours, training, information, conferences
2.1.3 Justice Systems	- Justice System Program (KZ) - Justice Sector Support Program(KG) - Ombudsman and Advocates Support Program(UZ) - Defense Bar Program (UZ)	Study tours, training, information and materials
2.1.4 Human Rights	Human Rights Program (KG, KZ)	Information, training, grants for policy research, and, advocacy

Program Area 2.2: Good Governance

Program Element	On-going projects under the Program Element.	Types of Activities
2.2.1 Legislative Function and Processes; 2.2.2 Public Sector Executive Function	- Governance Program (TK)	Study tours, information, training, conferences, technical assistance, policy papers
2.2.3 Local Government and Decentralization	- Local Governance Program (TJ)	Study tours, training, information, conferences, technical assistance, legislative drafting

		Equipment Small Infrastructure Projects
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Program Area 2.3: Political Competition and Consensus Building

Program Element	On-going projects under the Program Element.	Types of Activities
2.3.2 Elections and Political Processes; 2.3.3 Political Parties	- Support for Democratic Development (KZ) - Monitoring and Observation (Parliamentary Election) (KZ) - Voter Education (Parliamentary Election) (KZ) - Elections and Political Processes Support (KG) - Elections and Political Processes Support (KG, TJ, TK)	Election Related Information, training, technical assistance

Program Area 2.4 Civil Society

Program Element	On-going projects under the Program Element	Types of Activities
2.4.1 Civic Participation	- Civil Society Strengthening Program (KZ) - Civil Society Program (KZ) - Civil Society (UZ) - Civil Society Support (UZ) - Civic Education Program (TJ) - Young Leaders Program (TJ) - Citizen Participation in Governance (TK) - Urban Development (UZ) - Civic Participation Program (UZ) - Legal Support for Civil Society (KZ, KG, TJ, TK, UZ) - Community Initiative Groups (KZ) - Housing Association Program (UZ)	Grants for policy research and , advocacy, training, and technical assistance Grants for community projects
2.4.2 Media Freedom and Freedom of Information	- Media Support Initiative (KZ, KG, TJ, TK, UZ) - Media Program (KZ, KG, TJ, TK, UZ)	Management of Satellite TV Station, production/purchasing of TV content, media advocacy, information and training
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Note: KZ – Kazakhstan, KG - Kyrgyzstan, TJ -Tajikistan, TK –Turkmenistan, UZ - Uzbekistan

It is anticipated that procurement of electronic equipment including computers, electronic devices and small scale construction or minor renovation activities will occur in many of the above described activities.

Table 2 presents results of environmental screening and recommends threshold determinations for main types of activities under all program elements.

Table 2. Environmental Screening of the Objectives 1 and 2 activities

No.	Activities	Effect on Natural or Physical Environment	Threshold Decisions and Reg. 216 actions required
I	All Program activities that don't have an affect on the natural or physical environment. This includes: education, technical assistance, training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.); consultations, participant training, document transfers and information dissemination, analysis, studies, research workshops. Specifically, this might include: Study tours, information transfer, conferences, drafting policy papers; management of Satellite TV Station, production/purchasing of TV content, grants for policy research and advocacy, training, and technical assistance; working with training programs, developing information networks, etc,	No effect	Categorical Exclusion , no actions required
II	All activities regarding which no significant adverse effects are expected. They are implemented with conditions: no special mitigation measures needed; normal good practices will be used. This includes procurement of electric and electronic equipment, commodities and materials.	Insignificant effect	Negative Determination with conditions. The implementer is required to ensure that equipment, commodities (also see ADS 312) and materials are procured from certified retailers; environmental safety and quality certificates conforming with national and/or international standards are available; equipment and materials are used in an environmentally sound and safe manner, properly disposed of when applicable at the end of their useful life in a manner consistent with best management practices according to USG, European Union or equivalent standards.

III	Small-scale activities and procurement of services that normally don't have a significant effect on the environment, such as, for example: Community development grants for small scale infrastructural projects; Installation of a TV station; Selection of shelters and half houses	Potential for a significant adverse effect of one or more activities	Negative Determination with conditions; Positive Determination Environmental Due Diligence in form of Environmental Review and Assessment Checklist (Annex 1) is required to identify environmental effects, develop Environmental manual and Mitigation and Monitoring Plans when applicable, confirm /neglect and mitigate a potentially significant adverse effect. If confirmed, a Scoping Statement (SS) and Environmental Assessment (EA) shall be conducted by the implementer prior to start of activities. SOW/Terms of Reference (TOR) for Scoping Statement and EA Report must be reviewed by MEO and approved by Asia BEO. For references please see Section "Implementer procedures"
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a) Recommended Action: *Categorical Exclusion* (90% of funding)

- a. Pursuant to 22 CFR 216.2(c)(3), the originator of the activities has determined that the majority of activities under all Program Elements consist of types of interventions within the categories listed in paragraph (c)(2), "Categorical Exclusions," of Section 216.2, "Applicability of Procedures," of Title 22 CFR Part 216, "AID Environmental Procedures", and therefore are categorically excluded from any further environmental review requirements. The originator of the proposed action has further determined that the proposed activities are fully within the following classes of actions: Education, technical assistance, or

training programs except to the extent such program includes activities directly affecting the environment (such as construction of facilities, etc.) [22 CFR 216.2(c)(2)(i)];

b. Analyses, studies, academic or research workshops and meetings. [22 CFR 216.2(c)(2)(iii)];

c. Document and information transfers. [22 CFR 216.2(c)(2)(v)];

Studies, projects or programs intended to develop the capability of recipient countries to engage in development planning, except to the extent designed to result in activities directly affecting the environment (such as construction of facilities, etc.) [22 CFR 216.2(c)(2)(xiv)].

b) Recommended Action: *Negative Determination with conditions* (5% of funding).

For the possible limited procurement of equipment, including electric and electronic equipment no special mitigation measures needed; normal good practices will be used. The proposed action required is that the Implementer should provide evidence that equipment is procured from certified retailers; environmental safety and quality certificates conforming with national and/or international standards are available; recipient of the equipment is following all applicable national and international laws to ensure that it's used in an environmentally sound and safe manner, and properly disposed of (when applicable) at the end of their useful life in a manner consistent with best management practices according to USG, European Union or equivalent standards.

In order to provide information on best management practices to the recipient, the implementer will: 1) approach the vendor, who might be an authorized dealer for an equipment producing company regarding their corporate policies on how to collect & where to dispose/recycle certain products and these should be consistent with the aforementioned standards and directives; 2) if a vendor does not have capacity to collect and dispose the equipment, then the implementer will approach relevant national authorities, (i.e. the Ministry of Environment) to seek their guidance on how this can be accomplished in accordance with the law. The implementer is also required to ascertain where the certified waste recycling/processing companies with capacity to deal with certain types of equipment may be found in the country as well.

c) Recommended Action: *Negative Determination with conditions* (5% of funding)

Under program elements 1.5.3, 1.6.1, 2.2.3, 2.2.4 and some others, small-scale infrastructure, small scale construction/and/or rehabilitation activities are likely. For activities under program element 1.5.3, the implementer will need to ensure that the proposed shelter(s) or half-way house (es) meets safety, sanitation and hygiene requirements. All these activities could have a potential for moderate adverse impact on the natural or physical environment. For each type/class of activities the implementer will develop an Environmental Manual (EM) and Framework Environmental Mitigation and Monitoring Plan (FEMMP) when applicable. These EM and FEMMP will then be approved by the MEO, in consultation with the Regional Environmental Advisor for Asia (REA/Asia). The EM and FEMMP will be adapted to a specific site before the activity implementation, and incorporated into the project design. The Standard Conditions List in Annex 3 and Table 2 of this IEE may be used as a guide in developing of the EM and FEMMP.

Implementer Procedures:

- All program activities will seek to raise environmental awareness, promote regional and national environmentally and socially sustainable development, biodiversity conservation, adaptation to climate change, foster the culture of environmental compliance and governance, in accordance with The UNECE Aarhus Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters with reference to it:
<http://www.unece.org/env/pp/welcome.html>
- The Implementer will include environment compliance considerations into all aspects of the program implementation and will promote and train local counterparts on environmental requirements and standards across all of the program's activities. Such proposed activities will be included into annual work plans, and results will be reported in annual reports.
- Each activity should be conducted in a manner consistent with good design and implementation practices described in USAID ***Environmental Guidelines for Small-Scale Activities in Africa***, 2nd edition as provided at:
<http://www.encapafrika.org/egssaa.htm>; ***IFC Environmental, Health and Safety Guidelines*** as provided at:
<http://www.ifc.org/ifcext/sustainability.nsf/Content/EnvironmentalGuidelines>, and the ***World Bank 1999 Pollution Prevention and Abatement Handbook (PPAH)*** as provided at: http://www-wds.worldbank.org/external/default/main?pagePK=64193027&piPK=64187937&theSitePK=523679&menuPK=64187510&searchMenuPK=64187283&siteName=WDS&entityID=000094946_99040905052283 and http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/1999/06/03/000094946_99040905052283/Rendered/PDF/multi0page; and Standard Conditions for Small-Scale Construction, Small-Scale Road Rehabilitation, Small-Scale Water and Wastewater Activities, and Small-Scale Irrigation Projects attached to this IEE.
- The Implementer will use the Environmental Review and Assessment Checklist (EAL) (Annex 1) and Leopold Matrix (Annex 2) as a main reporting document for each activity having an adverse environmental impact.
- Prior to the launch of each activity including small grants, the Implementer will conduct an Environmental Due Diligence (EDD) review as an inherent part of the EAL for each type/class of activities that may have a potential for moderate and high adverse environmental impact (e.g. small-scale construction; small road rehabilitation, rehabilitation of potable and irrigation facilities; etc) to document existing environmental concerns and foreseeable environmental effects resulting from such types of activities. If the EDD results in a finding of potential significant environmental impact, a Scoping Statement (SS) and Environmental Assessment (EA) will be done by the implementer prior to start of activities. Terms of

Reference (TOR) for Scoping Statement and EA Report must be reviewed by MEO and approved by Asia BEO.

- Based on EDD results and mitigation measures from Environmental Guidelines for Small-scale Activities, IFC EHS Guidelines, World Bank PPAH, etc. as referenced above, implementer will develop Environmental Manual (EM) and Framework Environmental Mitigation and Monitoring Plan (FEMMP) for each type/class of expected activities when applicable. EM will establish criteria for *eligibility, selection and screening* against potential environmental risk (low, moderate, and high). EM and FEMMP might be done per implementing partner (IP) or the whole program and then adapted as needed for different IPs. This documentation will then be approved by the MEO, in consultation with the Regional Environmental Advisor for Asia (REA/Asia), incorporated in project design and FEMMP will be adapted to a specific site prior to the activity implementation (EMMP).
- The implementer will have a qualified, MEO-approved environmental impact professional(s) (EIP) who will assess and recommend environmental actions to be taken by the program and will coordinate implementation of mitigation measures, monitoring, and reporting. EIP will conduct environmental reviews and will identify: 1) activity category in consultation with the MEO); 2) potential environmental impacts (based on EAL, EDD, Leopold Matrix, and his/her technical knowledge of the local, U.S., and international environmental standards, guidelines, requirements, and practices; and 3) mitigation and monitoring measures needed. Should EIP lack any special technical knowledge to identify any special environmental impact, the Implementer will consult with a specialist in the relevant area.
- Host country Environmental, Occupational Health and Safety (OHS) and other relevant laws and regulations, standards, norms and best practices for environmental protection and management will be followed in implementing the activities. Implementer will ensure compliance by its staff, subcontractors, and subgrantees with USAID regulations, policies, procedures and acceptable best practice as well as compliance with applicable international environmental obligations.
- For activities categorized as “potential risks” or “definite risks” of adverse environmental impact, the Implementer will be required to obtain a letter from the local or regional office for environmental protection stating that the office: a) has been contacted by the Implementer concerning the project activities; b) will maintain contact with the project; and c) will be aware of the potential environmental impacts of the project to help ensure that no detrimental impact will result from this project.
- For such activities prior to their implementation the Implementer will conduct public consultations and will seek concurrence from the national duly authorized environmental agency on FEMMPs and EMMPs.
- Monitoring will be conducted during the project (beginning with baseline conditions) to determine the environmental impact (positive and/or negative) of project activities. The Implementer shall use only qualified staff for overseeing the mitigation and monitoring work. Monitoring shall occur on an as-needed basis. The Implementer will ensure that the environmental procedures are implemented,

potential impacts mitigated, and indirect and cumulative effects are considered for each activity. If negative environmental impacts are discovered through regular monitoring and evaluation of project activities, immediate actions will be taken to rectify the situation.

Resource Allocation, Training and Reporting requirements:

The contract with the Implementer will include a requirement to follow all recommendations of this IEE. The Implementer will be responsible for training his staff, grantees, subcontractors, and counterparts on the contract's environmental requirements and for ensuring their compliance with these requirements.

Implementer shall have sufficient permanent staff with expertise in an environmental field and compliance and resources to implement and report on the expected scope of environmental compliance work.

The Mission will provide for environmental training for the Implementer(s) EIP(s) by the REA/Asia and/or the USAID/CAR Mission Environmental Officer prior to the start of the activity implementation.

The Implementer will have the following documentation and reporting requirements associated with the environmental compliance:

- Annual Work Plans will have a section on the planned activities related to environmental compliance.
- EM and FEMMP, EALs, EDD reports and EMMPs as described above will be developed by the Implementer and approved by USAID prior to the launch of each activity having an adverse impact on physical and natural environment including small grants.
- Progress Reports will have a section on the status of activities related to environmental compliance and results, including project summaries along with environmental impacts, success or failure of mitigation measures being implemented, results of environmental monitoring, and any major modifications/revisions to the project. If the activities implemented do not have any negative impact on the environment, this should be documented as well.
- For activities having adverse environmental impact, progress reports should include Environmental Review Reports in form of EALs for each activity and affected site (including site specific EMMPs at the outset of the activity and upon activity completion).
- Implementer's annual report will include an annex containing a table indicating the title, date of award, and category of each grant activity, and status of mitigation measures and monitoring results, when applicable.
- Final Report will have a section that will summarize program's activities related to environmental compliance and will describe results, including information on any positive or negative environmental effects of program activities.
- Grant specific Mitigation and Monitoring Reports will be submitted to USAID at the completion of each relevant activity at every affected project site, and not on an annual basis. Reporting will include photographic documentation and site visit

reports which fully document that all proposed mitigation procedures were followed throughout implementation of the subject work including quantification of mitigation. All such reports and documentation will be submitted to the Agreement/ Contracting Officer's Technical Representative (AOTR/COTR) and the Mission Environmental Officer (MEO).

Limitations of the IEE

This IEE does not cover activities involving:

- Assistance for the procurement (including payment in kind, donations, guarantees of credit) or use (including handling, transport, fuel for transport, storage, mixing, loading, application, clean- up of spray equipment, and disposal) of pesticides or activities involving procurement, transport, use, storage, or disposal of toxic materials. Pesticides cover all insecticides, fungicides, rodenticides, etc. covered under FIFRA - 'Federal Insecticide, Fungicide, and Rodenticide Act'. Note that the activities affected cannot go forward until a Pesticide Evaluation Report and Safe Use Action Plan (PERSUAP) is approved by the Bureau Environmental Officer.
- Activities involving support to wood processing, agro-processing, industrial enterprises, and regulatory permitting.
- Procurement or use of genetically modified organisms (GMOs).
- DCA or GDA programs.
- Procurement or use of Asbestos Containing Materials (ACM) (i.e. piping, roofing, etc), Polychlorinated Biphenyls (PCB) or other toxic/hazardous materials prohibited by US EPA as provided at: <http://www.epa.gov/asbestos> and/or under international environmental agreements and conventions, e.g. Stockholm Convention on Persistent Organic Pollutants as provided at: <http://chm.pops.int>.

Any of these actions would require an amendment to the IEE duly approved by the ANE BEO.

Revisions

Pursuant to 22 CFR 216.3(a)(9), if new information becomes available which indicates that activities to be funded by the Project might be "major" and the Program's effect "significant", this determination will be reviewed and revised by the originator of the project and submitted to the Asia Bureau Environmental Officer for approval and, if appropriate, an environmental assessment will be prepared.

USAID APPROVAL OF ENVIRONMENTAL ACTION RECOMMENDED:

Clearance:

Acting Mission Director:

Glenn Anders

Date: _____

DGO Director:

Date: _____

Regional Environmental Advisor
for Asia & OAPA: *David Hoffman*
concurring by e-mail Date: 7/14/ 2011
Andrei Barannik

Mission Environmental Officer: _____ Date: _____
Nina Kavetskaya

Concurrence:
ANE Bureau Environmental Officer : _____ Date: _____
Robert Macleod

Approved: Disapproved:

mitigation. All such reports and documentation will be submitted to the Agreement/ Contracting Officer's Technical Representative (AOTR/COTR) and the Mission Environmental Officer (MEO).

Limitations of the IEE

This IEE does not cover activities involving:

- Assistance for the procurement (including payment in kind, donations, guarantees of credit) or use (including handling, transport, fuel for transport, storage, mixing, loading, application, clean-up of spray equipment, and disposal) of pesticides or activities involving procurement, transport, use, storage, or disposal of toxic materials. Pesticides cover all insecticides, fungicides, rodenticides, etc. covered under FIFRA - 'Federal Insecticide, Fungicide, and Rodenticide Act'. Note that the activities affected cannot go forward until a Pesticide Evaluation Report and Safe Use Action Plan (PERSUAP) is approved by the Bureau Environmental Officer.
- Activities involving support to wood processing, agro-processing, industrial enterprises, and regulatory permitting.
- Procurement or use of genetically modified organisms (GMOs).
- DCA or GDA programs.
- Procurement or use of Asbestos Containing Materials (ACM) (i.e. piping, roofing, etc), Polychlorinated Biphenyls (PCB) or other toxic/hazardous materials prohibited by US EPA as provided at: <http://www.epa.gov/asbestos> and/or under international environmental agreements and conventions, e.g. Stockholm Convention on Persistent Organic Pollutants as provided at: <http://chm.pops.int>.

Any of these actions would require an amendment to the IEE duly approved by the ANE BEO.

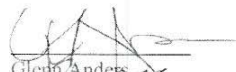
Revisions

Pursuant to 22 CFR 216.5(a)(9), if new information becomes available which indicates that activities to be funded by the Project might be "major" and the Program's effect "significant", this determination will be reviewed and revised by the originator of the project and submitted to the Asia Bureau Environmental Officer for approval and, if appropriate, an environmental assessment will be prepared.

USAID APPROVAL OF ENVIRONMENTAL ACTION RECOMMENDED:

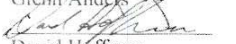
Clearance:

Acting Division Director:


Glenn Anders

Date: 7/20/11

Deputy Director:


David Hoffman

Date: 7/20/11

Regional Environmental Advisor

for Asia & OAPA:

concurred by e-mail
Andrei Barannik

Date: 7/14/2011

Mission Environmental Officer:

Nina Kavetskaya
Nina Kavetskaya

Date: 7/20/2011

Concurrence:

ANE Bureau Environmental Officer:

Robert Macleod
Robert Macleod

Date: 8/17/11

Approved: ☐

Disapproved: ☐

**DISCUSSION ON AMENDMENT NO.6
TO INITIAL ENVIRONMENTAL EXAMINATION (IEE) FOR**

The Amendment No.6 to original IEE (DCN: 201-CAR-002)) dated 2/22/01 is to modify the existing IEE (with amendments 3, 4, and 5 – further “ original IEE”), so to reflect on the increased level of funding *from \$161,169,673 to \$230,000,000*; *and on the extension of the LOP from 2011 to 2016*.

Because the program activities presented in this Amendment are similar in type, nature and scope to the activities covered under original IEE , all conditions of the original IEE stay in effect for this Amendment. USAID/CAR Mission regularly checks the implementer’s work on implementation of activities, and assures that the activities are in full compliance with the original IEE requirements.

Annex 1



ENVIRONMENTAL REVIEW & ASSESSMENT CHECKLIST (ER Checklist)

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

Date of Review:

DCN of triggering IEE:

Name of reviewer: *(must be qualified environmental professional approved by the MEO)*

Name of Project/Activity:

Type of Project/Activity:

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

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

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

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

Y. M. N or B

1. Earth Resources

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

2. Agricultural and Agrochemical

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

3. Industries

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

4. Air Quality

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

5. Water Resources and Quality

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

6. Cultural Resources

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

7. Biological Resources

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

8. Planning and Land Use

- a. potential conflict with adjacent land uses _____
- b. non-compliance with existing codes, plans, permits or design factors _____
- c. construction in national park or designated recreational area _____

- d. create substantially annoying source of light or glare _____
 - e. relocation of >10 individuals for +6 months _____
 - f. interrupt necessary utility or municipal service > 10 individuals for +6 months _____
 - g. substantial loss of inefficient use of mineral or non-renewable resources _____
 - h. increase existing noise levels >5 decibels for +3 months _____
- 9. Traffic, Transportation and Circulation**
- a. increase vehicle trips >20% or cause substantial congestion _____
 - b. design features cause or contribute to safety hazards _____
 - c. inadequate access or emergency access for anticipated volume of people or traffic _____
- 10. Hazards**
- a. substantially increase risk of fire, explosion, or hazardous chemical release _____
 - b. bulk quantities of hazardous materials or fuels stored on site +3 months _____
 - c. create or substantially contribute to human health hazard _____
- 11. Other Issues** (to be used for categories not captured under 1 through 10 above)
- a. Substantial adverse impact _____
 - b. Adverse impact _____
 - c. Minimal impact _____

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

C. RECOMMENDED ACTION (Highlight Appropriate Action):

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

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

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

F. RECOMMENDED MONITORING MEASURES (if any):

APPROVAL:

Implementer Project Director/COP: _____ Date: _____

USAID/ Project C/AOTR: _____ Date: _____

USAID/CAR Mission
Environmental Officer: _____ Date: _____

COPY TO:

ANE Bureau Environmental Officer: _____ Date: _____

Annex 2. Leopold Matrix – Insert Project Type Potential Impacts

Name of Reviewer:

Date:

Environmental component Project Component		PHYSICAL ENVIRONMENT										BIOLOGICAL ENVIRONMENT										SOCIAL ENVIRONMENT									
		Agricultural Land	Soil Erosion	Slope Stability	Energy/Mineral Resources	Surface Water Quantity	Surface Water Quality	Ground Water Quantity	Ground Water Quality	Air Quality	Noise	Aquatic Ecosystems	Wetland Ecosystems	Terrestrial Ecosystems	Endangered Species	Migratory Species	Beneficial Plants	Beneficial Animals	Pest Plants	Pest Animals	Disease Vectors	Public Health	Resource/Land Use	Distribution Systems	Employment	At Risk Population	Migrant Population	Community Stability	Cultural/Religious Values	Tourism/Recreation	Nutrition
PLANNING & DESIGN																															
Construction																															
Operation																															

KEY: Beneficial: O - High; O – Medium; o – Low

Adverse: ■ - High; ■ – Medium; ■ – Low

Annex 3

Standard Conditions for Small-Scale Construction

(May be used as one of the guidance documents to develop site specific Mitigation and Monitoring Plan, i.e., M&M Plan)

Small-scale construction activities occur in association with a wide variety of development projects financed by USAID. Construction activities include demolition; site clearing; soil grading, leveling and compaction; excavation; pipe and equipment installation; and the erection of physical structures. These activities have the potential to result in significant adverse environmental impacts, but most of those impacts can be mitigated down to acceptable levels through the use of good construction management practices.

These standard conditions have been developed by USAID's Europe and Eurasia Bureau to ensure that small-scale construction activities do not result in significant adverse environmental impact. When adherence to these conditions is required as a condition of small-scale construction contracts, no significant adverse environmental impact is presumed to result from activity implementation. Project officers, CTOs, Mission Environmental Officers, Contract Officers and implementing organizations must nonetheless be aware that these standard conditions are generic in nature, and that additional potentially significant adverse environmental impacts may be associated with small-scale construction activities. **It is the responsibility of the individual USAID missions, and/or their implementing contractors and grantees, to monitor construction and to ensure that significant adverse environmental impacts do not result from these programs.**

For the purposes of this guidance, "small-scale" construction activities are defined here as those that cost less than \$100,000 per construction project. Because of the exceptionally diverse physical conditions under which Bureau construction activities take place, and the very broad kinds of construction that take place, the following standard conditions are to be followed "as practicable and appropriate."

Standard Conditions for Small-Scale Construction Projects

- Establish and adhere to construction timetables that minimize disruption to the normal activities of the construction area.
- Coordinate truck and other construction activity to minimize noise, traffic disruption and dust.
- Develop and implement appropriate human health and worker safety measures during construction.
- Post construction timetables and traffic diversion schedules at the project site.
- Where significant environmental impacts may occur, document and photograph pre-construction and post-construction conditions.
- Avoid subsidence and building stabilization problems through proper foundation excavation, fill placement and borrow pit management.
- Fill should avoid pockets of segregated materials, it should use well-graded materials, and it should be compacted to recognized standards.
- Backfill and/or restore borrow areas and quarries before abandonment unless alternative uses for those sites are planned.
- Control runoff into borrow pits.
- Provide temporary sanitation at the construction site.

- Recover and replant topsoil and plants as practicable.
- Set protocols for vehicle maintenance to control contamination by grease, oil and fuels.
- Install temporary erosion control and sediment retention measures when permanent ones either are not feasible or are delayed.
- Avoid pollution of waterways with stockpiled construction materials.
- Cover stockpiled construction materials, as practicable.
- Place solvents, lubricants, oils, and other semi-hazardous and hazardous liquids over a lined area with appropriate secondary containment in order to contain spillage. Test the integrity of bulk storage tanks and drums, and secure valves on oil and fuel supplies.
- Build appropriate containment structures around bulk storage tanks and materials stores to prevent spillage entering watercourses.
- Handle, store, use and process branded materials in accordance with manufacturer's instructions and recommendations.
- Take waste materials to appropriate, designated local disposal areas.
- Avoid the use of cement; paper; board; sealant and glazing formulations; piping; roofing material; or other materials containing asbestos.
- Do not use PCBs in electric transformers.
- Avoid sealant and glazing formulations that use lead as a drying agent.
- Use lead-free paint, primers, varnishes and stains..
- Minimize the use of solvent-based paints, or replace with water-based materials.
- Minimize burning of waste materials.
- Employ techniques to minimize dust and vapor emissions as practicable (e.g., road speed limits, air extraction equipment, scaffolding covers, road spray).
- Recycle wastewater to the extent practicable.
- Build tanks or other separators for silt-laden material prior to allowing significant outflow into watercourses.
- Build collection channels leading to oil and/or silt traps, particularly around areas used for vehicle washing or fuelling.
- Seal or remove abandoned drains to minimize water contamination.
- Segregate waste which can be salvaged, re-used or recycled.
- Introduce measures to control and minimize the volume of waste on site.
- Employ sensitive strategies with regard to trees, watercourses, plant or animal species or habitats, and important historical and archaeological features.
- As practicable, landscape construction sites in a way that is appropriate to local conditions.
- Minimize the disturbance of, and reduce the spread of, ground contaminants.
- Do not build structures in sensitive areas such as wetlands.
- If waste will be buried on site, avoid siting burial pits up-gradient from drinking water sources such as wells. Pits should be lined with impermeable material (e.g., clay or polyethylene).
- If waste will be buried on site, avoid siting waste pits where water tables are high or underlying geology makes contamination of groundwater likely. If no alternative site is available, ensure that pits are lined with impermeable material.
- Provide for the safe disposal of gray water from bathing and washing.

Additional Conditions to Minimize Impact of Parking Facility Construction

- Compact substrate materials appropriately.

- Where applicable, apply sealant at earliest possible time to limit runoff from unsealed asphalt.
- Provide adequate drainage for the surface area to be paved.
- Return unpaved areas to original or improved contours following construction.
- Re-vegetate areas where vegetation was removed or destroyed during construction.
- Provide vegetation strips within parking lot where possible, including shade trees.
- Retain tree(s) along parking facility and adjacent roadsides.

Standard Conditions for Small-Scale Irrigation Projects

USAID's Bureau for Europe and Eurasia finances, directly or indirectly, a range of small-scale irrigation projects. These include, inter alia, maintenance and rehabilitation of irrigation infrastructure, construction of weirs, improved water management, and improved irrigation system operations and management. Small-scale irrigation activities have the potential to result in significant adverse environmental impacts, but most of those impacts can be mitigated down to acceptable levels through the use of good siting, design, construction, operations and maintenance practices.

These standard conditions have been developed by USAID's Bureau for Europe and Eurasia (E&E) to ensure that small-scale irrigation activities financed by the Bureau do not result in significant adverse environmental impact. When adherence to these conditions is required as a condition of project implementation, no significant adverse environmental impact is presumed to result. Project Officers, CTOs, Mission Environmental Officers, Contract Officers and implementing organizations must nonetheless be aware that these standard conditions are generic in nature, and that additional potentially significant adverse environmental impacts may be associated with small-scale irrigation activities. ***It is the responsibility of the individual USAID missions, and/or their implementing contractors and grantees, to monitor irrigation activities and to ensure that significant adverse environmental impacts do not result.***

For the purposes of this guidance, "small-scale irrigation projects" are defined as activities that: (1) cost less than \$100,000 per individual project; (2) do not bring significant areas of currently unirrigated land under irrigation; (3) do not involve the construction of new dams, trunk canals, or river training works; and (4) do not involve rehabilitation of existing dams over fifty feet in height.

Because of the exceptionally diverse physical, biological and social environments in which Bureau irrigation projects take place, and the broad kinds of irrigation activities that are financed, these Standard Conditions are to be followed "as practicable and appropriate."

Standard Conditions for Small-Scale Irrigation Projects

IRRIGATION SYSTEM IMPROVEMENTS

As a general rule, small-scale irrigation projects should be designed to achieve or promote some or all of the following objectives:

- Better water management, including better water use efficiency and lower water losses
- Better water quality
- Lower sediment loading
- Less erosion
- Less waterlogging and soil salinization
- Improved irrigation system operations and maintenance
- Healthier conditions for irrigation workers.

Specific actions that can be used to avoid or reduce adverse environmental impacts on small-scale irrigation projects are as follows:

Water Use Efficiency

- Improve water control through good canal and weir design
- Keep canals, headworks, regulators, modules and water courses free of debris
- Add water storage capacity where water is seasonally scarce
- Improve water depth consistency through improved land leveling
- Ensure the suitability of crops to available water supply
- Monitor groundwater tables when irrigating from groundwater
- Train farmers and system operators in how to improve water use efficiency.

Water Loss

- Use drip irrigation where practicable
- Use piping where practicable, instead of canals
- When using canals, employ design standards that limit evaporative loss
- Design canals that are relatively narrow and deep
- Cover open canals
- Line canals to limit water loss through percolation
- Reduce evapotranspiration by keeping canals clear of vegetation
- Monitor and repair leaks from cracked canal and containment structures, broken pipes, faulty valves and similar infrastructure
- Reduce evaporation on center pivot and sprinkler systems by irrigating at the coolest time of day
- Train farmers and system operators in how to reduce water loss.

Water Quality

- Use design standards that lower sediment loads in irrigation water
- Identify and monitor water quality parameters with adverse crop and human health impacts
- Train farmers and system operators in how to improve water quality.

Erosion

- Use terracing and similar techniques to reduce land surface erosion
- Plan for devices that can protect against scour where water scour potential is an issue (e.g., culverts, drops, chutes, control structures)
- Train farmers on how to reduce land and facility erosion.

Waterlogging and Salinization

- Monitor groundwater levels and salinity
- Use sprinkler or drip irrigation systems where possible
- Improve system drainage
- Train farmers to recognize waterlogging and salinization problems.

Operations and Maintenance

- As a rule, financing for irrigation infrastructure improvements should not be provided unless appropriate operations and maintenance (O&M) provisions are in place.

- Establish an appropriate maintenance schedule for inspection and reporting performance conditions.
- Periodically review system components to verify that they meet the original design criteria for efficient operations and uniform distribution of water.
- Where appropriate, prepare an O&M Manual before the irrigation system starts operations.
- O&M plans should address, *inter alia*, financial and system power issues.

Human Health

- Understand what water-related disease vectors occur in association with the irrigation system, and design system improvements to reduce those vectors
- Don't use irrigation water as a potable water source
- Line canals and ditches
- Cover or pipe water where possible
- Prevent backwaters or slow-moving water where vegetation and disease vectors are more easily established
- Use application rates that avoid generating areas of standing water
- Keep canals and ditches free of weeds, sediment and snails
- Actively control disease vectors
- Train farmers and system operators to recognize and deal with system characteristics with the potential to adversely affect human health.

Other Irrigation System Conditions

- Design canals to maintain appropriate flow velocities
- Plan for access of canals to facilitate cleaning, sediment removal and vector control
- Design appropriate canal crossing structures at appropriate intervals
- Plan for gates at the lower end of canals so they can be flushed to the nearest drain
- Do not use materials containing asbestos on USAID funded projects.
- Replace lead pipes and joints in delivery system.

STANDARD CONSTRUCTION CONDITIONS

- Establish and adhere to construction timetables that minimize disruption to the normal activities of the construction area.
- Post construction timetables and traffic diversion schedules at the project site
- Coordinate truck and other construction activity to minimize noise, traffic disruption and dust
- Where significant environmental impacts may occur, document and photograph pre-construction and post-construction conditions
- Fill should avoid pockets of segregated materials, it should use well-graded materials, and it should be compacted to recognized standards
- Install temporary erosion control and sediment retention measures when permanent ones either are not feasible or are delayed
- Use proper bedding materials for pipes, and backfill appropriately for the pipeline
- Use riprap (cobbled stone), gravel, or concrete as needed to prevent erosion of drainage structures at the outfall according to established standards
- Do not allow animals to drink directly from water sources

- In coastal areas, maintain withdrawals within safe yield limits to avoid salt water intrusion and well contamination
- Ensure that spilled water and rainwater drain to a soakway or equivalent structure.
- Re-vegetate areas damaged during construction. Do not remove erosion control measures until re-vegetation is completed.
- As practicable, landscape construction sites in a way that is appropriate to local conditions.

EXCAVATION AND BORROW PITS

- Use material from the required excavations first, since it produces a fairly durable aggregate for both surface stabilization and erosion control and is very cost effective.
- Place fences around borrow pit excavations, as necessary.
- Ensure excavation is accompanied by well-engineered drainage to control runoff into the pit.
- Develop specific procedures for storing topsoil, and for phased closure and reshaping and restoration of the pit when extraction has been completed. Include plans for segregating gravel and quarry materials by quality and grade for possible future uses. Where appropriate, include reseedling or re-vegetation to reduce soil erosion, prevent gullyling and minimize visual impacts.
- Discuss with local communities the option of retaining quarry pits as water collection ponds to water cattle, irrigate crops or for similar uses. Issues of disease transmission, and prohibiting the use of pit water for human consumption, bathing, and clothes washing, should be highlighted.
- Decommission/restore areas so that they are suitable for sustainable use after extraction is completed.
- Backfill and/or restore borrow areas and quarries before abandonment if alternative uses for those sites are not planned.

MATERIAL STORAGE AND HANDLING

- Identify sites for temporary/permanent storage of excavated material and construction materials.
- Avoid pollution of waterways with stockpiled construction materials.
- Set protocols for vehicle maintenance to control contamination by grease, oil and fuels.
- Build collection channels leading to oil and/or silt traps, particularly around areas used for vehicle washing or fuelling.
- Build appropriate containment structures around bulk storage tanks and materials stores to prevent spillage entering watercourses.
- Build tanks or other separators for silt-laden material prior to allowing significant outflow into watercourses.
- Cover stockpiled construction materials, as practicable.
- Minimize the disturbance of, and reduce the spread of, ground contaminants.
- Handle, store, use and process branded materials in accordance with manufacturer's instructions and recommendations.
- Segregate construction waste that can be salvaged, re-used or recycled.
- Take construction waste materials to appropriate, designated local disposal areas.
- Minimize burning of waste materials.

- If construction waste will be buried on site, avoid siting burial pits up-gradient from drinking water sources such as wells. Pits should be lined with impermeable material (e.g., clay or polyethylene).
- If construction waste will be buried on site, avoid siting waste pits where water tables are high or underlying geology makes contamination of groundwater likely. If no alternative site is available, ensure that pits are lined with impermeable material.

HUMAN HEALTH AND WORKER SAFETY DURING CONSTRUCTION

- Provide workers with appropriate safety equipment.
- Protect workers from injury by flying or falling rock, slope failures and avalanche
- Explore off-site accommodation for crew
- Keep camp sizes to a minimum.
- Provide temporary sanitation on construction sites
- Maintain good first aid capabilities on site.
-

Standard Conditions for Small-Scale Road Rehabilitation and Maintenance Activities

Road rehabilitation and maintenance activities occur in conjunction with a variety of community infrastructure and rural development projects financed by USAID. Road rehabilitation and maintenance activities include excavation; soil grading and leveling; fill placement and compaction; placement of base course and road surface materials; and construction of culverts, bridges and surface drainage structures. These activities have the potential to result in significant adverse environmental impacts, but most of those impacts can be mitigated down to acceptable levels through the use of good design and construction practices.

These standard conditions have been developed by USAID's Europe and Eurasia Bureau to ensure that small-scale road rehabilitation and reconstruction activities do not result in significant adverse environmental impact. When adherence to these conditions, as practicable and appropriate, is required as a condition of road rehabilitation and maintenance contracts, no significant adverse environmental impact is presumed to result from activity implementation.

Project officers, CTOs, Mission Environmental Officers, Contract Officers and implementing organizations must nonetheless be aware that these standard conditions are generic in nature, and that additional potentially significant adverse environmental impacts may be associated with road rehabilitation and maintenance activities. ***It is the responsibility of the individual USAID missions, and/or their implementing contractors and grantees, to monitor road rehabilitation and maintenance activities and to ensure that significant adverse environmental impacts do not result.***

This guidance applies only to road rehabilitation and maintenance activities that (1) cost less than \$250,000 per individual project and (2) do not involve realignment of a road outside of its existing right of way (ROW). Because of the exceptionally diverse physical, biological and social environments in which Bureau road rehabilitation and maintenance projects take place, and the broad kinds of rehabilitation and maintenance activities that are financed, these standard conditions are to be followed "as practicable and appropriate."

Standard Conditions for Road Rehabilitation and Maintenance Projects

Noise, Traffic Disruption and Dust

- Establish and adhere to construction timetables that minimize disruption to the normal activities of the construction area. Post construction timetables and traffic diversion schedules at the project site, as appropriate.
- Coordinate truck and other construction activity to minimize noise, traffic disruption and dust.

Human Health and Worker Safety

- Develop and implement appropriate human health and worker safety measures during construction.
- Provide workers with appropriate safety equipment.
- Take safety precautions to protect workers and others from injury by flying or falling rock, slope failures and avalanche.
- Explore off-site accommodation for crew.
- Keep camp size to a minimum.
- Provide temporary sanitation on construction sites.

Ecological and Historical Considerations

- Identify and avoid areas in the project impact zone that may contain important ecological, archeological, paleontological, historic, religious or cultural resources, including forests, wetlands and areas of high biological diversity or threatened species habitat.
- Have construction crews and supervisors be alert for buried historic, religious, and cultural objects, and provide them with procedures to follow if such objects are discovered. Provide incentives for recovery of objects and disincentives for their destruction.
- If impact to sensitive areas cannot be avoided during road reconstruction, involve ecologists, archeologists and engineers in evaluating alternatives and minimizing impacts.
- Where significant environmental impacts may occur, document and photograph pre-construction and post-construction conditions.

Project Design

- Use established design standards for each facet of construction and related activities, e.g., road bed, road surface, drainage, erosion control, re-vegetation, stream crossing, sensitive areas, steep slopes, material extraction, transport and storage, construction camps, decommissioning, etc.
- Minimize use of vertical road cuts even though they are easier to construct, and require less space than flatter slopes. The majority of road cuts should have no more than a ¾:1 to 1:1 slope to promote plant growth. Vertical cuts are acceptable in rocky material and in well-cemented soils, if such cuts are stable according to established slope stability criteria.
- Water the road prior to compaction to strengthen the road surface.
- When possible, delay compaction activities until the beginning of the wet season or when more water is available.
- Use water from settling basins and retention ponds for road maintenance.
- Drive roads after moderate rains to identify areas that collect or gully water. Mark and redesign/rehabilitate as necessary.
- Reshape eroded or culled surfaces so that water will no longer follow the course of the roadway.
- Conduct periodic independent inspection of work to see that it conforms to original plan and design specifications. Provide incentives and disincentives to ensure conformance.

Excavation/Borrow Pits

- Use material from local road cuts first, since it produces a fairly durable aggregate for both surface stabilization and erosion control and is very cost effective.
- Place fence around borrow pit excavations, as necessary.
- Ensure excavation is accompanied by well engineered drainage to control runoff into the pit.
- Develop specific procedures for storing topsoil, and for phased closure and reshaping and restoration of the pit when extraction has been completed. Include plans for segregating gravel and quarry materials by quality and grade for possible future uses. Where appropriate, include reseedling or re-vegetation to reduce soil erosion, prevent gulleying and minimize visual impacts.
- Discuss with local communities the option of retaining quarry pits as water collection ponds to water cattle, irrigate crops or for similar uses. Issues of disease transmission, and prohibiting the use of pit water for human consumption, bathing, and clothes washing, should be highlighted.
- Decommission/restore area so it is suitable for sustainable use after extraction is completed.

- Backfill and/or restore borrow areas and quarries before abandonment if alternative uses for those sites are not planned.

Vegetation Clearing and Revegetation

- Carry out earth moving and removal of vegetation only during dry periods.
- If vegetation must be removed during wet periods, wait until just before actual construction.
- Store topsoil and preserve removed plants for later use.
- Re-vegetate with recovered plants and other appropriate local flora immediately after equipment is removed from a section of the site.

Material Storage

- Identify sites for temporary/permanent storage of excavated material and construction materials.
- Avoid pollution of waterways with stockpiled construction materials.
- Cover stockpiled construction materials, as practicable.

Fill and Grade

- Minimize the volume of fill required.
- Raise road surfaces with stable and durable fill material. Grade with inslope, outslope or cambered shape. Install sufficient cross-drains, ditches and settling ponds.
- Use appropriate road surface materials (e.g., asphalt, concrete, gravel) following fill placement, or excavation to design grade.
- Do not fill the flow-line of natural creeks and drainages. Especially in arid areas, design culverts to handle rare high rainfall events.
- Minimize cuts and fills in wetlands.

Drainage and Erosion Control

- Install drainage structures during, instead of after construction. Most erosion associated with roads occurs in the first year after construction. Delaying installation of the drainage features greatly increases the extent of erosion and damage during that time.
- Use outside ditches to control surface water when necessary, but avoid general use as they concentrate water flow and require the road to be at least a meter wider. Install frequent structures, berms or trenches, to divert water upslope of roads into stream channels.
- Install frequent diversion structures, such as water bars, to move water off the road and minimize concentration of water.
- Install drainage crossings to pass water from the uphill to the downhill side of the road. If using culvert pipes, follow accepted sizing and design standards. Where flows are difficult to determine, use structures such as fords, rolling dips, and overflow dips that can accommodate any flow volume and are not susceptible to plugging.
- Stabilize outlet ditches (inside and outside) with small-stone riprap, and/ or vegetative barriers placed on contour to dissipate energy and to prevent the creation or enlargement of gullies.
- Install drainage turnouts at frequent intervals, and extend turnout drains far enough to allow water to dissipate evenly into the ground.
- Install drainage ditches or berms on up-hill slopes to divert water away from the road.
- Visually spot check for drainage problems, including accumulation of water on road surfaces, especially after the first heavy rains following rehabilitation and at the end of the rainy season.

- Monitor and maintain drainage structures and ditches including culverts. Clean out culverts and side channels/runouts when they begin to fill with sediment.
- Install temporary erosion control features when permanent ones will be delayed. Use erosion control measures such as hay bales, berms, straw or fabric barriers.
- Stabilize slopes by planting vegetation. Work with agronomists to identify native species with the best erosion control properties, root strength, site adaptability, and other socially useful properties. Set up nurseries in project areas to supply necessary plants. Do not use non-native plants. Use soil stabilizing chemicals or geo-textiles (fabrics) where feasible and appropriate.

Material Disposal

- Break up old road surface material. Remove and dispose of surface material (e.g. asphalt) if necessary, and loosen soil of previous track to accelerate regeneration of vegetation.
- Segregate waste which can be salvaged, re-used or recycled.
- Take waste materials to appropriate, designated local disposal areas.
- Minimize burning of waste materials.
- If waste will be buried on site, avoid siting burial pits up-gradient of drinking water sources such as wells. Pits should be lined with impermeable material (e.g., clay or polyethylene).
- If waste will be buried on site, avoid siting waste pits where water tables are high or underlying geology makes contamination of groundwater likely. If no alternative site is available, ensure that pits are lined with impermeable material.

Hazardous Materials

- Do not use asbestos materials on USAID-funded projects.
- Do not use herbicides on USAID-funded projects without prior written approval.
- Place solvents, lubricants, oils, and other semi-hazardous and hazardous liquids over a lined area with appropriate secondary containment in order to contain spillage. Test the integrity of bulk storage tanks and drums, and secure valves on oil and fuel supplies.
- Build appropriate containment structures around bulk storage tanks and materials stores to prevent spillage entering watercourses.
- Handle, store, use and process branded materials in accordance with manufacturer's instructions and recommendations.
- Set protocols for vehicle maintenance such as requiring that repairs and fueling occur elsewhere or over impervious surface such as plastic sheeting. Prevent dumping of hazardous materials. Capture leaks or spills with drop cloths or wood shavings. Burn waste oil that is not reusable/readily recyclable, that does not contain heavy metals, and that is flammable.
- Take special precautions to prevent release/dumping of debris, oil, fuel, sand cement, and similar harmful materials.
- Install concrete pads, drains and oil/water separators in areas where vehicle and equipment maintenance and fueling will occur regularly.
- Prevent fuel tank leaks by monitoring and cross-checking fuel levels, deliveries and use; checking pipes and joints for leaks; tightening generator fuel lines; and preventing over-filling of main storage and vehicle tanks.

Standard Conditions for Small-Scale Water and Wastewater Activities

USAID's Bureau for Europe and Eurasia finances, directly or indirectly, a large number of water and wastewater activities. These occur in both rural and urban areas, and in association with residential, commercial, industrial and medical facilities. Water and wastewater activities have the potential to result in significant adverse environmental impacts, but most of those impacts can be mitigated down to acceptable levels through the use of good siting, design, construction, operations and maintenance practices.

These standard conditions for small-scale water and wastewater activities have been developed by USAID's Europe and Eurasia Bureau (E&E) to ensure that water and wastewater activities financed by the Bureau do not result in significant adverse environmental impact. When adherence to these conditions, as practical and appropriate, is required as a condition of water and wastewater contracts, no significant adverse environmental impact is presumed to result from activity implementation.

Project Officers, CTOs, Mission Environmental Officers, Contract Officers and implementing organizations must nonetheless be aware that these standard conditions are generic in nature, and that additional potentially significant adverse environmental impacts may be associated with water and wastewater activities. ***It is the responsibility of the individual USAID missions, and/or their implementing contractors and grantees, to monitor water and wastewater activities and to ensure that significant adverse environmental impacts do not result.***

For the purposes of this guidance, "small-scale" water and wastewater activities are defined as those that cost less than \$200,000 per individual construction project. Because of the exceptionally diverse physical, biological and social environments under which Bureau water and wastewater projects take place, and the broad kinds of water and wastewater activities that are financed, these standard conditions are to be followed "as practicable and appropriate."

Standard Conditions for Water and Wastewater Activities

Standard Siting Conditions

- Site water supply facilities in a way that minimizes the potential for contamination, taking into account existing and likely future land use patterns in the water supply—i.e., wellhead protection, or upper watershed—area.
- Site wastewater facilities in a way that minimizes their potential for contaminating water supply sources, or for exposing human populations to water-borne contaminants.
- Avoid siting water supply and wastewater facilities in flood-prone areas.
- Do not site water and wastewater facilities on active faults or other areas where ground stability problems such as soil creep occur.
- Locate wastewater facilities downwind of local population.
- Build latrines and similar sanitation facilities down gradient of water supply wells. As necessary, evaluate depth to water table including seasonal fluctuations. Pit latrines should not be installed where the water table is shallow or the composition of the overlying deposits make groundwater vulnerable to contamination.

- Employ sensitive siting strategies that take into appropriate consideration impact on trees, wetlands and watercourses, important plant and animal habitat, and significant historical and archaeological resources. Avoid or mitigate adverse impacts to these resources.

Standard Design Conditions

- In general, design water supply facilities to protect water quality, minimize the potential for contamination, and minimize operation and maintenance costs.
- In general, design wastewater facilities to avoid contamination of water supplies and human exposure, and minimize operation and maintenance costs.
- In general, do not construct new wastewater pipelines unless treatment is provided at the outfall.
- Where latrines are installed, use improved ventilated pit designs that reduce insect vectors.

Standard Construction Conditions

- Establish and adhere to construction timetables that minimize disruption to the normal activities of the construction area.
- Post construction timetables and traffic diversion schedules at the project site.
- Coordinate truck and other construction activity to minimize noise, traffic disruption and dust.
- Develop and implement appropriate human health and worker safety measures during construction as well as during operation and maintenance phases.
- Where significant environmental impacts may occur, document and photograph pre-construction and post-construction conditions.
- Avoid subsidence and building stabilization problems through proper foundation excavation, fill placement and borrow pit management.
- Fill should avoid pockets of segregated materials, it should use well-graded materials, and it should be compacted to recognized standards.
- Backfill and/or restore borrow areas and quarries before abandonment unless alternative uses for those sites are planned.
- Control runoff into borrow pits.
- Install temporary erosion control and sediment retention measures when permanent ones either are not feasible or are delayed.
- Provide temporary sanitation at the construction site.
- Set protocols for vehicle maintenance to control contamination by grease, oil and fuels.
- Build collection channels leading to oil and/or silt traps, particularly around areas used for vehicle washing or fuelling.
- Build appropriate containment structures around bulk storage tanks and materials stores to prevent spillage entering watercourses.
- Build tanks or other separators for silt-laden material prior to allowing significant outflow into watercourses.
- Avoid pollution of waterways with stockpiled construction materials.
- Cover stockpiled construction materials, as practicable.
- Minimize the disturbance of, and reduce the spread of, ground contaminants.
- Handle, store, use and process branded materials in accordance with manufacturer's instructions and recommendations.
- Use lead-free paint, primers, varnishes and stains.
- Minimize the use of solvent-based paints.
- Introduce measures to control and minimize the volume of waste on site.

- Segregate waste that can be salvaged, re-used or recycled.
- Take waste materials to appropriate, designated local disposal areas.
- Minimize burning of waste materials.
- If waste will be buried on site, avoid siting burial pits up-gradient from drinking water sources such as wells. Pits should be lined with impermeable material (e.g., clay or polyethylene).
- If waste will be buried on site, avoid siting waste pits where water tables are high or underlying geology makes contamination of groundwater likely. If no alternative site is available, ensure that pits are lined with impermeable material.
- Provide for the safe disposal of gray water from bathing and washing.
- Recycle wastewater to the extent practicable.
- Seal or remove abandoned drains to minimize water contamination.
- Use proper bedding materials for pipes, and backfill appropriately for the pipeline.
- Use riprap (cobbled stone), gravel, or concrete as needed to prevent erosion of drainage structures at the outfall of sanitation projects according to established standards.
- Monitor and repair leaks from cracked containment structures, broken pipes, faulty valves and similar structures.
- Do not use piping containing asbestos.
- Replace lead pipes and joints in drinking water delivery system.
- Provide proper wellhead protection against contaminant sources.
- Keep livestock from grazing immediately up-gradient of water supplies.
- Do not allow animals to drink directly from water sources, unless those sources are subsequently treated.
- In coastal areas, maintain withdrawals within safe yield limits to avoid salt water intrusion and well contamination.
- Ensure that spilled water and rainwater drain to a soakway or equivalent structure.
- Monitor drains and soakways and keep clear of debris.
- Collect and dispose of sludge from wastewater treatment facilities at appropriate frequencies.
- Dispose of sludge in areas designated by local authorities.
- Test sludge for metals, pathogens and other appropriate constituents prior to use as fertilizer.
- Recover and replant topsoil and plants as practicable.
- Re-vegetate areas damaged during construction. Do not remove erosion control measures until re-vegetation is completed.
- As practicable, landscape construction sites in a way that is appropriate to local conditions.

Standard Operations and Maintenance Conditions

- As a rule, financing for water and wastewater infrastructure improvements should not be provided unless appropriate operations and maintenance (O&M) provisions are in place.
- On larger projects, an O&M Manual should be prepared before water or wastewater system operations begin.
- Address financial and system power issues in O&M plans.

Additional Standard Conditions for Slaughterhouses

- Separate solid and liquid (wastewater, blood and other liquids) wastes prior to disposal.
- Recycle any wastes that can appropriately be recycled.
- Collect solid waste in containers for disposal to an approved treatment storage and disposal facility, if practicable.
- Treat liquid effluent with either anaerobic or aerobic pond systems, or discharge to a wastewater treatment facility that is able to handle these special materials.

Additional Standard Conditions for Health Clinics and Medical Facilities

- Do not dispose of hazardous and chemical wastes to sewer systems.
- Collect and segregate waste from patients treated with cytotoxic drugs.
- Separate and disinfect stools from cholera patients prior to discharge.
- Disinfect blood before discharge to sewers unless there is an adequate wastewater treatment facility.
- Water-soluble, relatively mild pharmaceutical mixtures, such as vitamin solutions, cough syrups, intravenous solutions, eye drops, etc.—but not antibiotics—may be diluted with large amounts of water and then discharged to sewer systems that can handle them.
- Avoid burial of chemical wastes where there is potential for groundwater contamination.



Asia-14-68

ENVIRONMENTAL COMPLIANCE FACESHEET & AMENDMENT #7 TO THE INITIAL ENVIRONMENTAL EXAMINATION (IEE)

Objective: Objective 1/ Peace and Security and Objective 2/Governing Justly and Democratically

Program Areas: 1.5 Transnational Crime and 1.6 Conflict Mitigation and Reconciliation
2.1 Rule of Law and Human Rights; 2.2 Good Governance; 2.3 Political Competition and Consensus Building; 2.4 Civil Society

Program Elements: 1.5.3 Trafficking-in-Persons and Migrant Smuggling and 1.6.1 Conflict Mitigation
2.1.3 Justice System; 2.1.4 Human Rights; 2.2.1 Legislative Function and Processes; 2.2.2 Public Sector Executive Function; 2.3.2 Local Government and Decentralization; 2.3.2 Elections and Political Processes; 2.3.3 Political Parties 2.4.1; Civic Participation; 2.4.2 Media Freedom and Freedom of Information

Country/Region: Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan, and Uzbekistan

Funding Period: FY2011 – FY2020 **LOP:** FY2001 – FY2020
Resource Levels/Amount(s): \$270,000,000 **LOP:** 530,000,000.00

Statement Prepared by: Ainur Zhamiyeva, Project Management Specialist, Democracy and Governance Office
Date: 02/13/2014

IEE Amendment? Yes ☒ No ☐ **DCN of Original IEE:** 2001-CAR-002
DCN of AMD 1: 2002-CAR-002
DCN of AMD 2: 2005-CAR-004
DCN of AMD 3: 2008-CAR-002
DCN of AMD 4: Asia 09-154
DCN of AMD 5: Asia 10-113
DCN of AMD 6: Asia 11-131

Environmental Media and/or Human Health Potentially Impacted (check all that apply):

None ☐ Air ☐ Water ☒ Land ☒ Biodiversity ☐ Human health ☒
Other ☐

Environmental Action(s) Recommended (check all that apply):

☒ ***Categorical Exclusion(s)***

☒ ***Initial Environmental Examination:***

☒ ***Negative Determination:*** no significant adverse effects expected regarding the proposed activities, which are well defined over life of activity. IEE prepared:

☒ With conditions: as established in the IEE Amendment #6

Summary of Findings:

The purpose of this Amendment #7 to the IEE DCN: 2001-CAR-002 is to modify original IEE so that it duly reflects on: 1) the increased level of funding from \$270M to \$530M; 2) extension of the LOP from 2016 to 2020; and 3) the current set of Democracy and Governance (DG) activities covered under Objective 1: Peace and Security and Objective 2: Governing Justly and Democratically (GJD) in all five Central Asian countries (Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan).

In view that all program activities presented in this Amendment # 7 are similar in type, nature and scope to the activities covered under original IEE with the latest comprehensive Amendment #6, all previously established conditions remain in force for the increase LOP funding level and LOP duration established in this Amendment # 7.

USAID/CAR and Kyrgyzstan Missions shall regularly check the implementers on implementation of activities, and shall assure that all activities are in full compliance with the environmental conditions approved in the original and amended IEEs.

Revisions:

Pursuant to 22 CFR 216.3(a)(9), if new information becomes available which indicates that activities to be funded by the Project might be "major" and the Program's effect "significant", this determination will be reviewed and revised by the originator of the project and submitted to the Asia Bureau Environmental Officer for approval and, if appropriate, an environmental assessment will be prepared. It is the responsibility of the A/COR to timely inform Mission Environmental Officer of any changes in the scope and nature of the approved activities, which may warrant the revision of the approved Threshold Decisions.

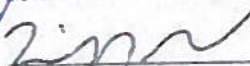
Clearance:

Regional Mission Director, CAR:


Jonathan S. Addleton

Date: 2/20/2014

Mission Director, Kyrgyz Republic:


Michael Greene

Date: 2/13/14

Regional Environmental Advisor
for Central and South Asia & OAPA:

concurred by e-mail
Andrei Barannik

Date: 02/13/14

CAR Mission Environmental Officer:

cleared by e-mail
Nina Kavetskaya

Date: 02/13/14

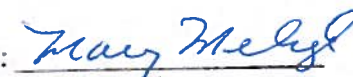
KR Mission Environmental Officer:


Almaz Asimjanov

Date: 02/14/14

Concurrence:

Asia Bureau Environmental Officer:


Mary Melnyk

Date: 2/26/2014

Approved: X

Disapproved: _____

Cced: Project files, MEO tracking, OAA

ENVIRONMENTAL COMPLIANCE FACESHEET & AMENDMENT #8 TO THE INITIAL ENVIRONMENTAL EXAMINATION (IEE)

Objectives: Objective 1) PS Peace and Security and Objective 2) DR Governing Justly and Democratically

Program Areas: PS. 1 Counter Terrorism; PS. 5 Transnational Crime; and PS. 6 Conflict Mitigation and Stabilization
DR. 1 Rule of Law ROL; DR. 6 Human Rights; DR. 2 Good Governance; DR.3 Political Competition and Consensus Building; DR.4 Civil Society ; DR.5 Independent Media and Free Flow of Information

Program Elements: PS. 1.2 Countering Violent Extremism; PS. 5.1 Protection; PS.5.2 Prosecution; PS. 5.3 Prevention; PS.6.1 Conflict Early Warning, Mitigation and Peace Building; DR.1.1 Constitutions, Laws and Legal Systems; DR.1.2 Culture of Lawfulness; DR.1.3 Checks and Balances with Judicial Independence and Supremacy of Law; DR.1.4 Justice Systems and Institutions; DR.1.5 Fairness and Access to Justice; DR 6.1 Human Rights Systems, Policies and Protection; DR 6.2 Transitional Justice; DR. 6.3 Equal Rights for Marginalized Communities; DR.2.1 Legislative Authority - Function and Processes; DR. 2.2 Non-security Executive Authority -Function and Processes; DR. 2.3 Local Government and Decentralization; DR. 2.4 Anti-Corruption Reforms; DR. 2.5 Executive Authority - Security Sector (Civilian); DR. 3.1 Consensus-Building Processes; DR. 3.2 Elections and Political Processes; DR. 3.3 Political Parties; DR 4.1 Enabling Environment for Civil Society; DR. 4.2 Civil Society Organizational Capacity Development; DR. 4.3 Civic Education, Citizen Participation and Public Accountability; DR. 4.4 Civic Education and Democratic Culture; DR. 4.5 Democratic Labor and Trade Unions; DR. 5.1 Enabling Environment for Media and Free Flow of Information; DR. 5.2 Professional and Institutional Capacities of Media; DR. 5.3 Outlets and Infrastructure.

Country/Region: Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan, and Uzbekistan

Funding Period: LOP: FY2018 – FY2025
Resource Levels/Amount(s): \$200 M

Statement Prepared by: Irina Mitrofanova, Project Management Specialist, Democracy and Governance Office
Date: 5/29/2018

IEE Amendment? Yes ☒ No ☐ **DCN of AMD 6 (Original P-IEE):** Asia 11-131¹
DCN of AMD 7: Asia 14-68²

Environmental Media and/or Human Health Potentially Impacted (check all that apply):
None ☐ Air ☐ Water ☒ Land ☒ Biodiversity ☐ Human health ☒ Other ☐

¹ https://ecd.usaid.gov/document.php?doc_id=38207

² https://ecd.usaid.gov/document.php?doc_id=40226

Environmental Action(s) Recommended (check all that apply):

☒ **Categorical Exclusion(s)**

☒ **Initial Environmental Examination:**

☒ **Negative Determination:** no significant adverse effects expected regarding the proposed activities, which are well defined over life of activity. IEE prepared:

☒ With conditions: as established in the Programmatic IEE Amendment #6 (P-IEE)

SUMMARY OF FINDINGS

1.0 THE PURPOSE

The purpose of this Amendment #8 is to:

- Reflect on the extension of the LOP from 2020 to 2025;
- Timely and duly account for a new Uzbekistan Rule of Law (RoL-Uz) activity with an estimated value of \$12 million; for a new Countering Violent Extremism Broad Agency Announcement (CVE BAA) activity with an estimated value of 4.5 million; and for any future Democracy and Governance (DG) activities in Central Asia (CA) and Kyrgyz Republic(KR) for a period of up to seven years (2018- 2025);
- Confirm that the scope, nature and type of proposed activities is consistent with those of regional and country-specific activities described in the Programmatic DG IEE Amendment 6, and stipulate that all previously approved Threshold Decisions and related conditions shall fully apply to new activities;
- Conduct first review of climate risk screening and management for RoL-Uz and CVE activities as required by the ADS 201mal and stipulate that prior to commencement of activities with approved Negative Determination with Conditions (NDC,) the implementing partner (IP) shall conduct climate risk screening (CRS) for all sectoral and sub-sectoral activities with the approved NDC (see: <https://www.usaid.gov/ads/policy/200/201mal>);
- Stipulate that projects/activities' CRS shall be presented in Environmental Review Checklist (ERC, see template in Annex 1) and appropriate commensurate mitigation and adaptation measures shall be developed and presented in integrated Environmental Mitigation and Monitoring plans (EMMP), as part of ERC. ERCs shall be reviewed and approved by the Mission Environmental Officer (MEO), Climate Integration Lead (CIL) and Contracting Officer Representative (A/COR);
- Stipulate that all approved Threshold Decisions and conditions are fully transposed into procurement instruments;
- Stipulate that at the post-award conference, the A/COR together with the MEO and CIL shall explain to the implementing partner the approved Threshold Decisions and conditions in force as provided in the IEE Amendment #6; and
- Stipulate that the approved limitations of the IEE and stipulation for revisions remain in force.

2.0 BACKGROUND AND NEW ACTIVITY DESCRIPTION

2.1 Uzbekistan Rule of Law

The proposed activity is closely aligned with USAID/Central Asia's Regional Development Cooperation Strategy (RDCS) and, in particular, with its Development Objective 3: "More effective and inclusive governance institutions that serve the public good." The intermediate results (IR) under this strategic objective pertaining to this program are IR 3.3: "More accountable and transparent state bodies", and IR 3.2: "More constructive engagement between representative civil society and governments". Across the region, the program supports the Foreign Assistance Framework, Objective: Governing Justly and Democratically in Program Area: Rule of Law. Specifically, the program addresses Program Element: Checks and balances with Judicial

Independence and Supremacy of Law. Further, this program will support the following U.S. priorities in Uzbekistan:

1. Increase citizen participation in governance through effective implementation of reforms and laws on civil society, government transparency and citizen oversight;
2. Foster independence of lawyers and judges in the justice system and improve public trust, transparency and administration of courts; and
3. Improve the enabling environment for civil society and citizen participation in governance.

Activities include:

Objective 1: Support for Rule of Law Development in Uzbekistan

- Provision of highly specialized technical expertise in development of Uzbekistan's legal and normative framework governing the justice system;
- Technical assistance in the incorporation of international best practices and international standards in draft law and policy;
- Support for development of legislative research materials, methodologies, and resources; and
- Support efforts of rule of law initiatives to work with the GOU on dispute resolution alternatives to courts such as mediation and/or arbitration.

Objective 2: Development of the Legal Profession

- Partnerships, exchanges, master classes, curriculum, research capacity for law schools and training academies;
- Training for judges, lawyers, prosecutors and defense on international standards, including adversarial proceedings, emphasizing Train the Trainer;
- Strategic planning workshops, development of work unit goals and planning documents;
- Skills training in organizational development and planning; and
- Integrate women's rights issues such as sex discrimination and violence against women into training programs for lawyers and judges.

Objective 3: Improve the CSO enabling environment

- Provision of highly specialized technical expertise in development of Uzbekistan's legal and normative framework governing civil society and NGOs
- Develop and disseminate information on new laws, regulations and procedures relevant to civil society and NGOs
- Small grants program to support CSO activities related to judicial reform, legal training, legal aid, and public control functions with some emphasis on regions outside Tashkent.

2.2 Countering Violent Extremism Broad Agency Announcement

2.2.1 Activities description

The CVE BAA awards will link to the National Security Strategy Objective #1 "Promoting America's Security at Home and Abroad". Two concept summaries have been considered under the CVE BAA. They include Proposed Research for Public Health Lens and Proposed Research for the Digital and Case Study Data. The activities are expected to take up to 18-24 months implementation period with budget of \$4.5 million available for the BAA in Tajikistan, Uzbekistan, Kyrgyz Republic and possibly Kazakhstan. These activities will be procured in Washington and then will be transferred to USAID/CA.

Public Health Lens

This research initiative in Tajikistan and Kyrgyzstan will answer the following questions:

- to what extent is a public health approach to VE effective in identifying risk and prevention factors and interventions that reduce community risk to VE;
- to what extent do the community characteristics or factors differ in communities where VE has manifested and in communities with an absence of VE; and
- to what extent do community-level prevention strategies reduce community vulnerability to VE.

Proposed Research for the Digital and Case Study Data (Uzbekistan, Kyrgyzstan, and possibly Kazakhstan). The learning objectives of this activity are to gain a better understanding of community-level VE risk and resilience factors in Uzbekistan and Kyrgyzstan; and determine the extent to which digital drivers of risk and resilience are equal to, greater than, or less than real-world factors, particularly among youth. This activity may be implemented in Kazakhstan depending on the availability of funding.

2.3 Lessons Learned

During 2014-2017 Democracy and Governance activities were in full compliance with USAID requirements established in P-IEE amendments. A/ CORs and MEO visited multiple project sites and conducted environmental compliance monitoring of these activities. Practically all activities qualified for a Categorical Exclusion and didn't require environmental screening, mitigation, monitoring and reporting to USAID. In several cases limited amount of electric and electronic equipment was procured and small construction or renovation activities took place. This was reported in accordance with P-IEE conditions.

3.0 ENVIRONMENTAL COMPLIANCE SCREENING OF NEW ACTIVITIES

3.1 Environmental compliance screening.

Practically all components of the new activities fall under Categorical Exclusion and will not require further environmental review and reporting to USAID. Only if the project procures electric and electronic equipment and commodities, and/or works on small renovation/ reconstruction activities under various components, it will have to provide environmental management in accordance with terms established in P-IEE.

3.2 Climate risk screening.

All new activities components are rated as Low Climate Risk as they are not expected to materially affect the implementation or outcomes of the activity. Additional climate risk screening should be conducted for NDC activities by the IP (s) as required by ADS 201mal. The IP may use sources referenced in the Central Asia Climate Change Risk Profile at <https://www.climatelinks.org>.

3.3 Recommended Actions:

a) ***Categorical Exclusion*** (more 95% of funding) - pursuant to 22 CFR 216.2(c)(2)(i), the originator of the activities has determined that Activities consist of types of interventions entirely within the categories listed in paragraph (c)(2), "Categorical Exclusions," of Section 216.2, "Applicability of Procedures," of Title 22 CFR Part 216, "AID Environmental Procedures", and therefore are categorically excluded from any further environmental review requirements. The originator of the proposed action has further determined that the proposed activities are fully within the following classes of actions:

- Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.) [22 CFR 216.2(c)(2)(i)];
- Analyses, studies, academic or research workshops and meetings [22 CFR 216.2(c)(2)(iii)];
- Document and information transfers [22 CFR 216.2(c)(2)(v)];
- Studies, projects or programs intended to develop the capability of recipient countries to engage in development planning, except to the extent designed to result in activities directly affecting the environment (such as construction of facilities, etc. [22 CFR 216.2(c)(2)(xiv)]

b) ***Negative Determination with Conditions*** (less than 5% of funding) is recommended for activities involving actions that directly, indirectly or cumulatively affect the physical or natural environments specified in Table 2, Sections II and III, IEE Amendment #6.

4.0 Revisions

Pursuant to 22 CFR 216.3(a)(9), if new information becomes available which indicates that activities to be funded by the Project might be "major" and the Program's effect "significant", this determination will be reviewed and revised by the originator of the project and submitted to the Asia Bureau Environmental Officer for approval and, if appropriate, an environmental assessment will be prepared. It is the responsibility of the USAID A/COR to keep the USAID/CA mission, USAID/KR Mission and the

Clearance:

Regional Mission Director,
USAID/CA:

CW Edwards
Christopher W. Edwards

Date: 6/8/18

A/Mission Director, USAID/KR:

Kimberly Rozen
Kimberly Rozen

Date: 6/6/18

Democracy and Governance Office
Director, USAID/CA:

Stephanie Garvey
Stephanie Garvey

Date: 6/8/18

Democracy and Governance Office
Director, USAID/CA:

Cory Johnston
Cory Johnston

Date: 6/6/2018

Regional Environmental Advisor
for Central and South Asia & OAPA:

cleared
Andrei Barannik

Date: 5/29/2018

Mission Environmental Officer,
USAID/CA:

cleared
Nina Kavetskaya

Date: 6/1/2018

Mission
Environmental Officer, USAID/KR:

Zaur Bostanov
Zaur Bostanov

Date: 6/05/2018

Concurrence:

Asia Bureau Environmental Officer:

William Gibson
William Gibson

Date: June 11, 2018

Approved: _____

Disapproved: _____

Cced: Project files, MEO tracking, OAA



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Annex 1

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

for [Activity Name]

Implemented under: [*Project Name*]

DCN: [*of Parent IEE*]

Prepared by: [*Implementer*]

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 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)(1) 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.)

Processes	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	A single process may have several potential impacts—provide a separate line for each.	For each impact, indicate 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	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	Specify indicators to (1) determine if mitigation is in place and (2) successful. For example, visual inspections for seepage around

Processes	Identified Environmental Impacts	Do the Impacts Require Further Consideration?	Mitigation Measures	Monitoring Indicators
<i>line should be included for each process.</i>		<i>(3) Pollution prevention is not feasible or practical and (4) Does not pose a risk because of low severity, frequency, or duration</i>	<i>directly from IEE.)</i>	<i>pit latrine; sedimentation at stream crossings, etc.)</i>

2. Activity-specific monitoring plan

Monitoring Indicators	Monitoring and Reporting Frequency	Responsible Parties	Records Generated
<i>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.)</i>	<i>For example: “Monitor weekly, and report in quarterly reports. If XXX occurs, immediately inform USAID COR/AOR.”</i>	<i>Separate parties responsible for mitigation from those responsible for reporting, whenever appropriate,</i>	<i>If appropriate, describe types of records generated by the mitigation, monitoring, and reporting process.</i>

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

ERC ANNEX 1
RECORD OF COMPLIANCE WITH ACTIVITY-SPECIFIC
ENVIRONMENTAL MITIGATION AND MONITORING PLANS (EMMPs)

Subject:	<i>Site or Activity Name/Primary Project Name/IEE DCN Number</i>
To:	<i>COR/AOR/Activity Manager Name</i>
Copy:	<i>Mission Environmental Officer Name</i>
Date:	

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

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

Sincerely,

Implementer Project Director/COP Name

Date

Approved:

USAID/COR/AOR/Activity Manager Name

Date

Distribution:

- Project Files
- MEO
- Bureau Environmental Officer