INITIAL ENVIRONMENTAL EXAMINATION
&
REQUEST FOR CATEGORICAL EXCLUSIONS

PROGRAM/ACTIVITY DATA:

Program/Activity Number: 605-0010.00
Country/Region: Central Africa, Managed by USAID/DRC
Program/Activity Title: Central Africa Regional Program for the Environment (CARPE) Phase III
Funding Begin: FY2012 **Funding End:** FY2020 **LOP Funding Amount:** $98.99 Million ($13.59 M (FY2012) plus $85.4 M (FY 2013 – FY 2020))

IEE Prepared By: USAID/CARPE Team, MEO and REA

IEE Amendment (Y/N): No **If "yes", File name & date of original IEE**_____

Current Date: July 25, 2012

IEE Expiration Date: July 25, 2017

ENVIRONMENTAL ACTION RECOMMENDED: (Place X where applicable)
Categorical Exclusion: X Negative Determination: X
Positive Determination: _____ Deferral: ____

ADDITIONAL ELEMENTS: (Place X where applicable)
CONDITIONS: X PVO/NGO: X EMMP/EMMR X ERF/ERR : X

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

In respect to the FAA above referenced, this IEE is to cover activities of the Central Africa Forest Ecosystems Conservation project and the Environmental Monitoring and Policy Support project to be implemented in the third phase of the Central Africa Regional Program for the Environment under a new Regional Development Cooperation Strategy for the period FY 2012-FY 2020.

SUMMARY OF FINDINGS

The USAID Central Africa Regional Program for the Environment (CARPE) is a 25-year regional initiative that began in 1995. Its purpose is to coordinate work on identifying and establishing the conditions and practices required to reduce deforestation, forest degradation and loss of biological diversity in Central Africa in a manner which addresses local, national, regional, and international concerns. In 2003, USAID launched the second phase of CARPE (CARPE II) under a strategic plan for the period of 2003-2011 and then greatly expanded CARPE as the OU's sole program to provide significant new financial and technical resources to the Congo Basin Forest Partnership (CBFP) to conserve the planet's second largest tropical rainforest and its threatened biodiversity. CARPE II's objective is to reduce the rate of forest degradation and loss of biodiversity through increased local, national, and regional natural resource management capacity.

A new Regional Development Cooperation Strategy (RDCS) was approved in June 2011 to support the third phase of CARPE (CARPE III). CARPE III, in addition to continuing support for biodiversity conservation, will increase support for climate change mitigation through a sustainable landscape approach. Its overall goal is to accelerate Central Africa's transition to climate-resilient, low emissions development through sustainable management of bio-diverse forests. Its development objective (DO) is to maintain the ecological integrity of the humid forest ecosystem of the Congo Basin. This DO will be reached through achieving four Intermediate Results (IRs) of the RDCS Results Framework: 1) Targeted forest landscapes sustainably managed; 2) Biodiversity threats in targeted forest landscapes mitigated; 3) Policy and regulatory environments supporting sustainable forest and biodiversity conservation established; and 4) Capacity to monitor forest cover change, greenhouse gas emissions and biodiversity strengthened.

In order to achieve the DO and these intermediate results, USAID/CAR proposes two distinct but interdependent projects based on the Results Framework of the RDCS: the **Central Africa Forest Ecosystems Conservation (CAFEC**) project; and the **Environmental Monitoring and Policy Support** project (EMAPS). The Concept Papers for these two projects were approved by the USAID/DRC Mission Director on April 9, 2012. The Project Appraisal Documents were completed by the end of June 2012.

CAFEC will achieve the results defined by IR 1 and IR 2 of the RDCS in supporting large, "on-the-ground" landscape-scale conservation programs in 12 targeted areas in seven countries. Its purpose is two-fold: 1) to sustainably manage targeted forest landscapes as a foundation for building low carbon emissions economies that have a large reliance on land-based activities and natural resources; and 2) to mitigate threats to biodiversity in targeted forest landscapes.

EMAPS will focus on achieving the results for IR 3 and IR 4 in creating the necessary enabling policy framework, institutions, human capacity and information systems to support sustainable conservation and climate change mitigation actions in Central Africa. Its purpose is to: 1) establish policy and regulatory environments that support forest and biodiversity conservation as a foundation for building Central African low-carbon emission economies; and 2) strengthen the regional and national capacity to monitor forest cover change, greenhouse gas emissions and biodiversity populations in order to provide information for policy decisions, to meet treaty obligations under the "Rio Conventions" and to monetize the forest assets through credible carbon stock management, carbon stock conservation and carbon sequestration.

Most of the CARPE III activities addressed herein were initiated and developed under the CARPE I &II and have been proven to be beneficial to the environment and to sustainable management of natural resources in the Congo Basin. Under CARPE II, implementing partners developed Environmental Monitoring and Mitigation Plans, and CARPE III will continue that culture and practice. CARPE III will also support some new activities related to climate change mitigation and monitoring including the reduction of emissions from deforestation and forest degradation (REDD+), and will factor in social safeguards, especially for indigenous peoples.

The USAID and USG guidance on Global Climate Change and Sustainable Landscapes (GCC/SL) for CARPE can be found at

- http://inside.usaid.gov/EGAT/offices/enviro_sci/climate/publications/upload/Updated_USAID_FY10_Guidance_for_SL_Pillar_21dec10.pdf.

- Strategic Choices for United States Fast Start Financing for REDD+, Oct 2010 (PDF 56K).

The Fast Start financing priorities for REDD+ will address three Objectives:

1) Objective 1: REDD+ Architecture: Creating and supporting an efficient, effective, and coordinated international system to help countries deliver REDD+ outcomes.

2) Objective 2: REDD+ Readiness: Helping countries become ready to participate in pay-for performance programs and take complementary domestic actions.

3) Objective 3: REDD+ Demonstration: Achieving cost effective and sustainable net emissions reductions. Investments will support programs that achieve, or that demonstrate scalable approaches to achieving, significant, cost-effective net emissions reductions.

The CARPE Phase III Strategic Plan is available online:
http://carpe.umd.edu/Documents/2011/CARPE_RDCS_PublicVersion.pdf .
The detailed CARPE III program will be described at http://carpe.umd.edu once the design is completed.

As required by ADS 204.5.4, the CARPE strategic objective team will actively monitor ongoing activities for compliance with approved IEE recommendations, and modify or end activities that are not in compliance. If additional activities that are not described in this document are added to this program, then an amended environmental examination would be prepared.

A. Request for Categorical Exclusions

Under **22 CFR 216.2(c)(1)(i)** when selected classes of action have no effect on the physical and biological environment, they qualify for Categorical Exclusions. Twenty-two CFR 216.2(c)(1)(i) establishes that when selected classes of action do not have an effect on the natural or physical environment, they qualify for Categorical Exclusions. More specifically, **Categorical Exclusions** are recommended, as per 22 CFR 216.2(c)(2)(i), (iii), (v) and (xiv), for the activities that entail education, technical assistance and training [i]; analyses, studies, coordinating activities, workshops and meetings [iii]; document and information transfers [v], and studies, projects or programs intended to develop the capability of recipient countries and organizations to engage in development planning [xiv], which are *not* expected to have a detrimental effect on the environment. Categorically Excluded activities require no further environmental review, but are expected to be conducted with good environmental management practices, which, if followed, will avoid harm to the environment. The following activities under IR 1, 2, 3 and 4, are deemed to qualify for **Categorical Exclusions:**

IR 1: Targeted forest landscapes sustainably managed.

- Research, inventories and meetings to inform the development of integrated land use plans;
- Pilot studies on disease cross-transmission between humans and fauna
- Capacity building for institutions charged with protected area management;
- Research into alternative financing options;
- Feasibility studies;
- Training and capacity building for community based organizations (CBOs);
- Participatory dialogues and workshops; and,
- Development and publication of guidelines and best practices for protected area, logging concession, and community reserve management.

IR 2: Biodiversity Threats in Targeted Landscapes Mitigated.

- Training and provision of monitoring equipment for eco-guards;
- Promoting trans-boundary cooperation on conservation patrols and enforcement;
- Training and capacity building of Magistrate on wildlife code;
- Training and capacity building of Magistrate to prosecute wildlife criminal;
- Build capacity of civil society to serve as watchdog ensuring that wildlife criminals are prosecuted, sentenced, jailed and have completed their time in jail; and
- Awareness-raising/education campaign on wildlife code enforcement.

IR 3: Policy and regulatory environments supporting sustainable forest management and biodiversity conservation established.

- Review and analysis of legislative and policy frameworks governing management of natural resources;
- Workshops and consultative processes aimed at legislative and policy reform and trans boundary landscape management;
- Training and capacity building;
- Environmental education and curriculum development;
- Participatory planning;
- Development and dissemination of best practice guidelines; and,
- Promoting natural resource policy harmonization.

IR 4: Capacity to monitor forest resources, GHG emission and biodiversity strengthened.

- Training and capacity building for improved environmental monitoring;
- Centralized database development;
- Data collection, analysis and distribution not involving collection of live samples; and
- Communication and outreach activities
- Training and capacity building for GHG measurement, reporting and validation;
- Training of judiciary for policy reform to sustain REDD+.

B. Recommended Negative Determinations

A **Negative Determination** is recommended, in accordance with 22 CFR Section 216.3(a)(2)(iii), for following activities that involve the creation and mapping of borders for national parks, protected areas and biodiversity sanctuaries:

1) Finalize creation of National Park(s), including legal gazettement;
2) Create a gorilla sanctuary (preparatory, legal and procedural steps);
3) Establish new protected areas; and
4) Undertake park boundary mapping.

To the extent that these activities may involve some minor biophysical components (e.g., setting transects for boundary mapping), a Negative Determination is proposed, and by the observance of certain best practices and other measures, any negative impacts will be eliminated or minimized. Downstream impacts (e.g., actual construction of facilities) will be vetted and mitigated through the Environmental Review and Report Form (ERR) process (below).

C. Recommended Negative Determination with Conditions

A Negative Determination with Conditions is recommended for each of the following sets of activities, as per 22 CFR 216.3(a)(2)(iii). The threshold decisions contained in this IEE require a pro-active mitigation and monitoring plan that incorporates and promotes environmental review and certification procedures, as well as capacity building, as specified in this IEE. The grantees agree to follow these procedures and conditions. Specific mitigation conditions are identified and summarized in Section 4. The **Conditions** for the CARPE IEE are:

1) CARPE will assist implementing partners to put in place appropriate systems or management tools for monitoring and mitigation actions.

2) A formalized environmental review process for activities having negative determination will be followed as appropriate. A key component of this review process is the use of the Environmental Review and Report Form (ERR). The ERR will be used to categorize activities, review, and screen them for potential environmental impacts. Adaptation of the ERR is recommended, drawing on models in the USAID/AFR *Environmental Guidelines for Small-Scale Activities in Africa (*EGSSAA), 2nd Edition: http://www.encapafrica.org/SmallScaleGuidelines.htm. Appropriate

sectorial guidance will be followed, as reflected in these guidelines. Below is a list of the specific sectors covered in the EGSSAA.

3) Environmental Assessment and Management Capacity Building: An important element of this environmental review process for CARPE III activities is that the grantees and sub-grantees have a good understanding of environmentally sound program design, of the process of environmental impact assessment, and of USAID environmental procedures. One opportunity for creating such capacity is the Africa Bureau's Environmental Management Capacity Building Program (ENCAP) course (www.encapafrica.org), which the CARPE regional program will encourage USAID mission to host in the DRC. Key CARPE program staff and implementing partners will be encouraged to participate in this course.

The relevant activity clusters (See Sections 3 and 4), to which the Negative Determinations with Conditions apply, follow:

Land Use Planning:

1) Mapping and zoning for various land uses, including gazetting and policy/legal framework where appropriate;
2) Implementation of land use management plans for community lands, community forest reserves, logging and mining concessions, professional hunting zones, protected areas, etc.;
3) Development of landscape-level management plans and capacity building for successful implementation by responsible ministries and all relevant stakeholders;
4) Community reserves mapped, demarcated, registered and gazetted.

See section 4.1.1 for Specific Mitigation Conditions

Private and Community-based Management Initiatives:

1) Mobilize communities, elect and train management committees for the community forest reserves;
2) Support community-based natural reserve that is advanced as a viable management option for the 11,000 square km swamp forest area at the confluence of the Ubangi and Congo rivers;
3) Support empowerment of local communities to manage their fishing grounds and other natural resources;
4) Support development of relevant policy and legal framework to enhance communities' capacities in natural resource management, governance and benefit sharing;
5) Promote development of policy and legal framework to define status and management of buffer areas;
6) Support a process for codifying and disseminating customary land tenure laws;
7) Support strengthening of community-based rights on fishing grounds;
8) Support official recognition of traditional agricultural and hunting grounds;
9) Promote development of appropriate legal and policy framework to enhance CBNRM initiatives; and
10) Promote community forests for carbon storage and energy efficiency use.

See section 4.1.2 for Specific Mitigation Conditions

Construction and Infrastructure Development:

1) Construct park headquarters in a variety of parks and protected areas;
2) Construct/establish satellite camps for park guards and researchers;
3) Construct eco-guard housing, office space, workshops and store-rooms;
4) Construct eco-lodge for ecotourism development
5) Construct education centers close to national parks; and
6) Refurbish and rehabilitate housing, patrol posts, and research centers.
7) Build community conservation center,
8) Establish health clinic with humanitarian partners; and
9) Establish operational GIS Data Centers.

See section 4.1.3 for Specific Mitigation Conditions

Creation of alternative financing mechanisms to fund protected areas

1) Design and propose to ICCN an endowment fund for community conservation support;
2) Support development of national and regional trust funds to sustain protected area management;
3) Implement long-term funding tools such as recreational fees for national parks and protected areas;
4) Determine feasibility of conservation payments as incentive for community landscape-level conservation; and
5) Pursue new models for carbon sequestration payments

See section 4.1.4 for Specific Mitigation Conditions

Design and implementation of management plans for national parks, protected areas and community forest reserves, including but not limited to these specific planned activities:

1) Develop and implement a management plan for the National Park and its surrounding landscape.
2) Develop and implement a management plan for the Parks and the Special Reserve;
3) Develop and implement constitution and management plans for community conservation areas;
4) Support Local NGOs to develop management plans and appropriate zoning; and
5) Promote development and endorsement of protected area management plans.

See section 4.1.5 for Specific Mitigation Conditions

Biomedical and veterinary research, screening, and health care provision

These activities will take place at the village level and are considered small scale. Because activities planned under this category will potentially involve endangered fauna, and/or result in the creation of biohazards and medical waste, they present some degree of health risks to the studied fauna and to the researchers involved. These activities should therefore be conducted using internationally accepted procedures and protocols.

See section 4.1.6 for Specific Mitigation Conditions

Pilot Ecotourism Activities

1) Conduct feasibility study and pilot ecotourism program;
2) Support ECOFAC in developing a Monte Alen National Park ecotourism implementation strategy; and
3) Promote incentives for development of ecotourism activities within TNS.

See section 4.1.7 for Specific Mitigation Conditions

Development of natural resource-based enterprises for communities

1) Complete feasibility assessments for enterprise development and identify enterprise sites;
2) Undertake rapid market surveys for viable natural resource-based enterprises;
3) Establish Conservation Enterprise Fund;
4) Support registration and incorporation of community business ventures;
5) Assist participatory business planning: strategic, operational and investment structures;
6) Implement pilot programs for conservation enterprise and sustainable agriculture based upon assessments and community needs (such as bio-prospecting, medicinal research, non-timber forest product [NTFP] development); and
7) Implement small NGO grant projects to develop natural resource-based enterprises.

See section 4.1.8 for Specific Mitigation Conditions

Agricultural Interventions

1) Implement pilot community agricultural development projects; and
2) Promote measures to reduce erosion, including introduction of Vetiver technology, establishment of tree nurseries, and tree alley cropping;

See section 4.1.9 for Specific Mitigation Conditions

Collection of Live Specimens

1) Undertake regular expeditions to collect geo-referenced specimens; and

2) Send plant specimens collected in this region to international and regional herbaria

See section 4.1.10 for Specific Mitigation Conditions

Studies on disease cross-transmission between humans and fauna

This is to document occurrences, causes, types and frequencies of cross-transmission diseases between humans and fauna.

See section 4.1.11 for Specific Mitigation Conditions

Sub-grants

Sub-grants are to support program's activities and must incorporate provisions that the activities to be undertaken will comply with the environmental determinations and recommendations of this IEE. **See section 4.1.12 for Specific Mitigation Conditions**

See section 4.1 for Specific Mitigation Conditions for Activity Clusters Recommended for Negative Determinations

Refer to Annex 1 for the template "Environmental Review Form (ERF) for new activities proposed under CARPE which can be adapted by partners (http://www.encapafrica.org/documents/AFR-EnvReviewForm-20Dec2010.doc) **and Environmental Mitigation and Monitoring Plan and Report (EMMP/EMMR) provisions (Section 4.2)**

Note: This IEE does not cover pesticides, including their procurement, use, transport, storage or disposal. Any pesticide activity proposed under CARPE program would necessitate all elements of analysis identified in 22 CFR 216.3(b), USAID's Pesticide Procedures.

A formalized environmental review process for activities having negative determination will be followed as appropriate. A key component of this review process is the use of the Environmental Review and Report Form (ERR). The ERR will be used to categorize activities, review, and screen them for potential environmental impacts. Adaptation of the ERR is recommended, drawing on models in the USAID/AFR *Environmental Guidelines for Small-Scale Activities in Africa (*EGSSAA), *(*http://www.encapafrica.org/SmallScaleGuidelines.htm), 2nd Edition. Appropriate sectorial guidance will be followed, as reflected in these guidelines.

General Project Implementation and Monitoring Requirements

In addition to the specific conditions enumerated in Section 4.1, the negative determinations recommended in this IEE are contingent on full implementation of the following general monitoring and implementation requirements, elaborated upon in Section 4.2.3:

- **CARPE III Team monitoring responsibility.** As required by ADS 204.5.4, the CARPE III team will actively monitor and evaluate whether the conditions of this IEE are being implemented effectively and whether there are new or unforeseen consequences arising during implementation that were not identified and reviewed in this IEE. If new or unforeseen consequences arise during implementation, the team will suspend the activity and initiate appropriate, further review in accordance with 22 CFR 216. USAID Monitoring shall include regular site visits.

- **Consideration of Project-level IEEs.** This CARPE III portfolio IEE was developed, as required by USAID project design guidance, during the pre-PAD analysis stage in the project design cycle. As such, it was developed with only relatively general information available regarding proposed activities.

- **Implementing Partner Briefings on Environmental Compliance Responsibilities.** The CARPE III team shall provide each CARPE III Implementing Partner (hereinafter IP), with a copy of this IEE; each IP shall be briefed on their environmental compliance responsibilities by their cognizant C/AOR. During this briefing, the IEE conditions applicable to the IP's activities will be identified.

- **Development of EMMP & EMMR (see 4.2.2).**

- **Integration of compliance responsibilities in prime and sub-contracts and grant agreements.**
- **Assurance of sub-grantee and sub-contractor capacity and compliance.**
- **New or modified activities.**
- **Compliance with Host Country(ies) Requirements.**
- **Government-to-government (G2G) assistance.**

APPROVAL OF ENVIRONMENTAL ACTION RECOMMENDED: (Type Name under Signature Line)

CLEARANCE:
Mission Director (Acting): _____ Date: _____
Alex Newton

APPROVAL:
Bureau Environmental Officer:_____ Date: _____
Brian Hirsch

File Nº: CARPE_III_2012_2020_IEE.doc
Copy: USAID Environmental Compliance Database, http://gemini.info.usaid.gov/egat/envcomp/index

ADDITIONAL CLEARANCES:

DRC Deputy Mission Environmental Officer: _____ Date: _____
Nicodeme Tchamou

CARPE Team Leader: _____ Date: _____
John Flynn

Sr. Regional Environmental Officer (Acting):_____**by Email**_____ Date: ___7/20/2012_
USAID/East Africa (based in AFR/SD, Wash., DC) Knausenberger, Walter

- **Assurance of sub-grantee and sub-contractor capacity and compliance.**
- **New or modified activities.**
- **Compliance with Host Country(ies) Requirements.**
- **Government-to-government (G2G) assistance.**

APPROVAL OF ENVIRONMENTAL ACTION RECOMMENDED: (Type Name under Signature Line)

CLEARANCE:
Mission Director (Acting): _____ Date: 7/25/12
Alex Newton

APPROVAL:
Bureau Environmental Officer: _____ Date: 8/10/12
Brian Hirsch

File N°: CARPE_III_2012_2020_IEE.doc
Copy: USAID Environmental Compliance Database, http://gemini.info.usaid.gov/egat/envcomp/index

ADDITIONAL CLEARANCES:

DRC Deputy Mission Environmental Officer: _____ Date: 7/26/2012
Nicodeme Tchamou

CARPE Team Leader: _____ Date: 07/25/2012
John Flynn

Sr. Regional Environmental Officer (Acting): **by Email** Date: 7/20/2012
USAID/East Africa (based in AFR/SD, Wash., DC) Knausenberger, Walter

INITIAL ENVIRONMENTAL EXAMINATION

PROGRAM/ACTIVITY DATA:

Program/Activity Number:	605-0010.00
Country/Region:	Central Africa
Program/Activity Title:	Central Africa Regional Program for the Environment (CARPE), Phase III, FY 2012 through FY 2020

1.0 BACKGROUND AND PROGRAM DESCRIPTION

1.1 Purpose and Scope of this Initial Environmental Examination (IEE)

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

In compliance with the FAA above referenced; this IEE is to provide the first review of the threshold determinations for the two projects that will be implemented under the third phase of the Central Africa Regional Program for the Environment (CARPE) in response to the Regional Development Cooperation Strategy (2012-2020) of USAID/Central Africa Regional (USAID/CAR).The IEE ensures that all proposed activities meet environmental compliance requirements in accordance with Regulation 22 CFR 216 and ADS 204, and provides for an environmental screening and review process to be integrated into program implementation. It allows for future amendments of the IEE, as new activities are included or existing ones are extended or cancelled. The IEE recommends procedures to follow to bring all activities into compliance.

1.2 Background and Description of Program Activities

The USAID Central Africa Regional Program for the Environment (CARPE) is a 25-year regional initiative that began in 1995. Its purpose is to coordinate work on identifying and establishing the conditions and practices required to reduce deforestation, forest degradation and loss of biological diversity in Central Africa in a manner which addresses local, national, regional, and international concerns. In 2003, USAID launched the second phase of CARPE (CARPE II) under a strategic plan for the period of 2003-2011 and then greatly expanded CARPE as the OU's sole program to provide significant new financial and technical resources to the Congo Basin Forest Partnership (CBFP) to conserve the planet's second largest tropical rainforest and its threatened biodiversity. CBFP is a partnership of 63 governments, international organizations, environmental and business interests that functions as a part of, and complementary to, the overall CARPE program. The primary goals of the CBFP are: protection, integrated development and land-use management to promote economic development, improved governance and natural resource conservation, support for a network of national parks and protected areas, well-managed forestry concessions, and assistance to communities that depend upon the conservation of forest and wildlife resources. CARPE II's objective is to reduce the rate of forest degradation and loss of biodiversity through increased local, national, and regional natural resource management capacity with focus on three intermediate results: 1) Natural resources managed sustainably; 2) Natural resources governance strengthened; and 3) Natural resources monitoring institutionalized. Since its launching, CARPE II has assembled a large network of implementing partners including a large number of international conservation NGOs and federal agencies such as U.S. Fish and Wildlife Service, U.S. Geological Survey, the National Aeronautics and Space Administration, and the U.S. Forest Service.

A new Regional Development Cooperation Strategy (RDCS)[1] for the period 2012 to 2020 was approved in June 2011 to support the third phase of CARPE (CARPE III). This RDCS marks a renewed USG commitment to the conservation of Central Africa's tropical forest and biodiversity and the international efforts to fight global climate change through maintaining the carbon stocks of the world's second largest tropical forest. Its overall goal is "to accelerate Central Africa's transition to climate-resilient, low emissions development through sustainable management of bio-diverse forests". Its development objective (DO) is "to maintain the ecological integrity of the humid forest ecosystem of the Congo Basin." Accomplishment of this DO will be done through the achievement of four Intermediate Results (IRs)[2]:

IR 1: Targeted forest landscapes sustainably managed.
IR 2: Biodiversity threats in targeted forest landscapes mitigated.
IR 3: Policy and regulatory environments supporting sustainable forest and biodiversity conservation established.
IR 4: Capacity to monitor forest cover change, greenhouse gas emissions and biodiversity strengthened.

CARPE III will continue to support the CBFP and to partner with U.S.-based organizations, African NGOs, research and education organizations, host government agencies, local communities, other U.S. government agencies, and the private sector to implement activities supporting biodiversity conservation and climate change mitigation. It will be managed from the field, with a staff based in the USAID/DRC mission in Kinshasa and will operate under a stand-alone, RDCS Plan, with activities implemented across 12 priority landscapes in Central Africa and across six CARPE countries: Cameroon, the Republic of Congo, the Democratic Republic of Congo, Gabon, the Central African Republic, and Equatorial Guinea. These 12 landscapes and the map of their location are in Annex 4

As CARPE II was approaching its termination date in September 2011, USAID recognized that the new programs under the RDCS would not have been in place in time to avoid a significant gap between the second phase and the third phase of CARPE. USAID, therefore, approved a one-year cost extension to the existing programs in order to keep the momentum and facilitate the transition from CARPE II to CARPE III. During the extension period from October 2011 to September 2012, the implementing partners consolidate and capitalize on the investments and achievements of the past eight years and lay the groundwork for an orderly launching of the third phase of CARPE under the new RDCS in October 2012.

In order to achieve the Development Objective and these intermediate results, USAID/CAR proposes two distinct but interdependent projects based on the Results Framework of the RDCS: 1) *The Central Africa Forest Ecosystems Conservation (CAFEC)*; and 2) The *Environmental Monitoring and Policy Support project (EMAPS)*. CAFEC will achieve the results defined by IR 1 and IR 2 of the RDCS, while EMAPS will focus on achieving the results for IR 3 and IR 4. The Concept Papers for these two projects were approved by the USAID/DRC Mission Director on March 06, 2012. The Project Appraisal Documents are being prepared and expected to complete by the end of May 2012.

The CAFEC Project: This project will support large, "on-the-ground" landscape-scale conservation programs in 12 targeted areas in seven countries. Its purpose is two-fold: 1) to sustainably manage targeted forest landscapes as a foundation for building low carbon emissions economies that have a large reliance on land-based activities and natural resources (IR 1); and 2) to mitigate threats to biodiversity in targeted forest landscapes (IR 2).

[1] Additional information is available in the RDCS posted at http://carpe.umd.edu.
[2] The Results Framework of the RDCS is presented in Annex 5

CAFEC will employ the landscape management approach proven successful in CARPE II as underscored in the CARPE II Final Evaluation[3] and formally endorsed by the CBFP and COMIFAC. This approach recognizes that the success of forest and biodiversity conservation and forest-based GHG emissions reductions and sequestration cannot rely on protected areas alone. It engages all of the key stakeholders in the spatial planning processes which lead to the consensual management of the landscape according to three general categories of "macro-zones" -- protected areas, extractive resource zones, and community-based natural resource management zones. These macro-zones are then managed within the larger forest landscape vision to minimize deforestation, forest degradation and biodiversity loss consistent with local needs and national/regional priorities as reflected in National REDD Strategies and action plans and LEDSs where these are being developed.[4] The land use planning guides developed by CARPE for each category of macro-zones are major tools for managing these vast areas of tropical forest. Putting them into practice will contribute to biodiversity protection, reduction of greenhouse gas emissions and maintenance or enhancement of carbon stocks and greenhouse gas absorption. CAFEC's Illustrative activities and performance indicators include those listed below under respective IR 1 and IR 2.

IR 1: Targeted forest landscapes sustainably managed

Illustrative Activities:

- Review and refine the overall land use management plans for the 12 CBFP landscapes with a focus on maximizing potential returns that could be realized from environmental services (such as carbon sequestration or emissions reductions) that could be achieved and monetized while enhancing biodiversity values and achieving effective correspondence with social safeguards agreed under the UNFCCC Cancun Agreements and the "Durban Platform".
- Implement management plans for the selected macro-zones developed under Phase II that seek to achieve and maximize biodiversity benefits and locally retained revenue generation from environmental services and other compatible uses. Each management plan should include a strategy and action plan for sustainability.
- Develop and implement business plans for macro-zones taking into account environmental service values and potential revenues.
- Strengthen the capacity of local communities in planning and implementing land use and management plans and to manage revenues from environmental services such as GHG emissions reductions/ sequestration (e.g. REDD+).
- Strengthen the capacity of local communities to effectively participate in national REDD+ programs and support financing projects and programs e.g. "Fast Start", including a prospective project under development in DRC for financing under the FIP.
- Design and implement activities related to REDD+ that stress learning and capacity building, focus on actions that are potentially replicable and that can guide the creation of future policies and measures for eventual "scaling up" of REDD+ to a national level.
- Develop and maintain consistency between monitoring actions at the landscape level with national MRV systems and REDD+ registries within and among the countries of the Congo Basin.
- Establish collaborative and synergistic relationships with national REDD+ and bilateral and regional programs supported by the USG and with other USAID projects in, for instance, the agriculture and health sectors that could generate "indirect" climate benefits.
- Establish public-private partnerships with extractive companies and with qualified carbon project development entrepreneurs to develop and implement management plans to reduce or mitigate negative environmental impacts of forest product harvesting on biodiversity, and

[3] USAID CARPE, October 2010. Evaluation of the Central Africa Regional Program for the Environment – Phase II. (Prepared by ECODIT)

[4] Detailed information on the CARPE Landscape Planning and Management approach and its effectiveness can be found on the CARPE website http://carpe.umd.edu/.

greenhouse gas (GHG) emissions and sequestration, and to promote sustainable social investment.
- Build capacity of communities to equitably manage natural resources under their purview and the revenue streams that could accrue from environmental service payments such as REDD+.
- Develop and implement strategies to ensure adequate representation and active participation of women and indigenous people in the planning, implementation, and sharing of benefits from USG-supported activities.
- Expand support to a new group of selected macro-zones if funds are available, and local partners are able to assume more technical and administrative responsibilities.

The following indicators will be used to measure the achievement of IR 1:

1.1. Surface area of biologically significant tropical forest landscape with improved management plans implemented to minimum standards.
1.2. Number and type of different use-zones categories within individual landscapes implementing management plans.
1.3. Number of climate mitigation tools, technologies and methodologies developed, tested and/or adopted as a result of USG assistance.
1.4. Number of men and women trained in sustainable forest landscape management and global climate change as a result of USG assistance.

The EMAPS Project: This project will work toward creating the necessary enabling policy framework, institutions, human capacity and information systems to support sustainable conservation and climate change mitigation actions in Central Africa. Its purpose is two-fold: 1) to establish policy and regulatory environments that support forest and biodiversity conservation as a foundation for building Central African low-carbon emission economies (IR 3); and 2) to strengthen the regional and national capacity to monitor forest cover change, greenhouse gas emissions and biodiversity populations in order to provide information for policy decisions, to meet treaty obligations under the "Rio Conventions" and to monetize the forest assets through credible carbon stock management, carbon stock conservation and carbon sequestration (IR 4).

EMAPS will address the identified weaknesses of Central African states' legal systems that hinder the implementation of sustainable NRM and the active participation of local communities in conservation. It will promote legal and social systems that strengthen land and resource rights for rural peoples, improve national and provincial governance and enhance political stability. Complementary activities build the capacity of civil society and communities to participate in natural resource decisions that affect their present and future livelihood opportunities– and to make informed decisions and choices concerning the use and management of forest resources for the benefit of current and future generations. Comprehensive monitoring of forest and biodiversity resources will provide a robust base for informed management and policy decisions at all levels. EMAPS will actively promote the rights of women, indigenous peoples and other disadvantaged groups to have a say in decisions affecting natural resources and a stake in the "rewards" of sustainable natural resource management. EMAPS' Illustrative activities and performance indicators are listed below under respective IR 3 and IR 4.

IR 3: Policy and regulatory framework supporting sustainable forest and biodiversity conservation established

Illustrative Activities:

- Identify and prioritize those regional and national policies and regulations that inhibit achieving the DO, and develop and implement an action plan to address these issues.
- Work with government and civil society to establish favorable legal frameworks for CBNRM (e.g. resource ownership, tenure and access.)

- Work with REDD+ national committee, NGOs and the government to develop appropriate policies and regulations for the participation of local communities in the REDD+ program, including benefit sharing.
- Strengthen the capacity of local communities to participate in decision making for conserving biodiversity and natural resources and implementing REDD+ activity and to monitor the implementation of laws and regulations to ensure good governance.
- Support the development and implementation of low-emission development strategies.
- Work with relevant civil society to advocate for the rights of women and indigenous people in accessing and managing natural resources.
- Support the regional policy and regulatory priorities of COMIFAC's Convergence Plan for greenhouse gas emission reduction and conservation of forests and biodiversity.

The following indicators will be used to measure the achievement of IR 3:

3.1. Number of policies, laws or regulations promoting natural resource management and conservation that are implemented as a result of USG assistance.
3.2. Number of laws, policies, agreements, and regulations addressing REDD+ proposed, adopted, or implemented as a result of USG assistance.
3.3. Number of judiciary officials (men and women) received USG-supported training in prosecution of violators of laws pertaining to forest and biodiversity conservation.

IR 4: Capacity increased and strengthened at regional, national and local level to monitor forest cover change, greenhouse gas emissions and biodiversity

Illustrative Activities:

- Conduct an assessment of the training needs for government and NGO staff and develop regional, national and local training plans.
- Train relevant government agencies and NGOs at the regional, national and local levels in the application of monitoring methodologies and tools.
- Transform the Kinshasa-based regional Remote Sensing and GIS NGO (OSFAC) into an independent, self-reliant institution.
- Assist COMIFAC in preparation and publication of "State of the Forests" and other Reports
- Train national and local institutions in conducting large-scale keystone biodiversity species population abundance and distribution surveys.
- Train government institutions to develop and implement MRV systems for forest-based greenhouse gas emissions.
- Collaborate with regional U.S. embassies to select candidates for the International Visitor and Humphrey Fellowship programs.

The following indicators will be used to measure the achievement of IR 4:

4.1. Number and frequency of forest cover change assessments at national and subnational levels completed and updated.
4.2. Number of countries with established Monitoring, Verification and Reporting systems for forest-based GHG emissions.
4.3. Proportion and total area of individual extractive resource zones implementing approved management plans.
4.4. Number and frequency of national and local institutions participating in large-scale keystone biodiversity species population abundance and distribution surveys.

2.0 COUNTRY AND ENVIRONMENTAL INFORMATION (BASELINE INFORMATION)

2.1 Countries Affected

This section provides an overall portrait of environmental information, derived from the CARPE Phase II Environmental Analysis completed in November 2002, the Regional Development Cooperation Strategy (2012-2020) for CARPE III approved in June 2011, the State of the Forest 2008[5] and State of the Forest 2010[6]; the Global Forest Resources Assessment 2010 and State of the World's Forests 2011[7] .

CARPE activities are underway in the central African region, which includes the countries of Cameroon, Central African Republic, Democratic Republic of Congo, Equatorial Guinea, Gabon, Republic of Congo, Rwanda (Grand Virunga section). These countries make up the core of the Congo Basin, an extremely important watershed of local, regional and global significance, and the world's second largest contiguous lowland tropical forest. CARPE countries extend beyond the watershed boundaries to include the bulk of the humid tropical forest type within the region.

2.2 Regional Information

2.2.1 Demographic and socio- economic information

The six targeted Central African countries with the majority of the dense humid tropical forest, while similar in ecology, manifest stark differences related to their colonial histories, post-colonial governance pathways, revenue sources, legal frameworks and institutional capacities. They all generally can be characterized as having poor economic and governance, weak institutions, low human resource capability, underdeveloped civil societies, poor educational systems, low human health indicators and generally poor economic performance. Two of the countries (Equatorial Guinea and Gabon) are considered "middle income" countries based on per capita GDP from mainly petroleum-based extractive industries. Equatorial Guinea, however, has only recently exploited petroleum and is a relative newcomer to the middle-income ranks, whereas Gabon, despite 40 years of rising income has created strikingly little institutional capacity to manage its natural resource wealth until quite recently.

Deforestation, forest degradation and the greenhouse gas emissions associated with these phenomena have been and remain strongly associated with demographic change in Central Africa. The general lack of economic alternatives for forest dwellers and the expected doubling of population in Central Africa over the next 20 years create great pressure to clear forests for swidden and commercial agriculture. Concurrently, growing urban populations that depend almost exclusively on carbonized wood for fuel exert strong pressures on natural forests as a source of domestic energy. Planning for these demographic and economic pressures at local, national and regional scales is essential to mitigate negative environmental impacts, particularly deforestation and biodiversity loss.

A second category of "external threats" to the forest ecosystems of Central Africa is beginning to emerge. Global demand for food, fiber, minerals, petroleum and other natural resources is growing. Industrial logging has long resulted in serious negative environmental consequences when not appropriately managed. To date, large-scale conversion of tropical forests for agricultural purposes has not emerged in Central Africa as in the Amazon and Asia, though foreign investors are demonstrating a growing interest in palm oil and other industrial agriculture throughout the region. Among the first announced is a large oil-palm investment by an Asian company in Gabon. Given international economic conditions and the projected global food demand, it is likely that these pressures will mount over the next several years. Additionally, large mining and petroleum exploration have been announced recently in many of the Central African countries.

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[5] The Forests of the Congo Basin – State of the Forest 2008 (COMIFAC)
[6] The Forests of the Congo Basin – State of the Forest 2010 (COMIFAC)
[7] Global Forest Resources Assessment 2010 and State of the World's Forests 2011 published by FAO

Table 1: Basic data on countries (Adapted from State of the World's Forests 2011 (FAO))

Country	Land area (1000 ha)	Population 2008				GDP 2008	
		Total (1000)	Density (Population/ km^2)	Annual growth rate (%)	Rural (% of total)	Per capita (PPP) (US$)	Annual real growth rate (%)
Cameroon	47,271	19,088	40	2.3	43	2,195	3.9
CAR	62,298	4,339	7	1.9	62	741	2.2
Congo	34,150	3,615	11	1.8	39	3,949	5.6
DRC	226,705	64,257	28	2.8	66	314	6.2
Eq. Guinea	2.805	659	23	2.6	61	33,899	11.3
Gabon	25,767	1,448	6	1.8	15	14,575	2.3
Rwanda	2,467	9,721	394	2.8	82	1,027	11.2

2.2.2 Physical and environmental information

The area covered by CARPE sits astride the equator, extending approximately 14 degrees both north and south. Dense forests extend over 1.9 million km2 of Central Africa, covering almost 50% of the landmass. The region is largely lowland, framed to the east by the high volcanic mountains in DRC and Rwanda. High central African mountains dominate the landscape, including Mount Cameroon (4070 m), Pic Basile (3008 m), the Kalisimbi (4507 m), Muhabura (4127 m), Sabyinyo (3674 m), Bisoke (3711), Gahinga (3473 m), Nyamulagira, Mikeno (4000 m), Nyiragongo (3470 m) and the Rwenzoris (5109 m).

Table 1: Forested area (hectares) of the six targeted forest countries of Central Africa in 2008 (Adapted from State of the Forest 2008)

Forest cover category	**Cameroon**	**Republic of Congo**	**CAR**	**DRC**	**Gabon**	**Equatorial Guinea**
Low land dense forest	16,467,570	14,384,835	4,614,732	83,761,542	20,982,290	1,972,044
Sub-montane forest	270,540	612	1,,440	5,995,494	14,445	27,450
Montane forests	17,685	0	0	955,071	36	2,619
Swamp forest	0	4,108,545	27	8,200,098	17,766	0
Mangrove	120,348	0	0	0	71,919	351
Total dense forests	**16,876,143**	**18,493,992**	**4,616,199**	**98,912,205**	**21,086,856**	**2,002,464**
Forest-cropland mosaic	4,501,395	5,805,468	1,816,380	21,144,384	3,120,219	624,438
Forest-savana mosaic	5,867,865	1,351,890	22,774,437	28,592,334	185,931	28,647
Dense deciduous forest (Miombo)	105,984	1,251,531	922,923	28,023,714	176,643	0
Other vegetation	14,077,352	6,824,178	30,970,737	50,825,421	1,404,630	39,231
Cropland	4,873,077	215,514	917,676	825,390	33,480	2,637

The forests of Central Africa overlap with several major basins: the Congo, the Ogooué, the Sanaga, the Cross, and the lower Niger. There are also many smaller basins that drain into the Gulf of Guinea. The Congo River basin, with annual renewable water resources of about 1.3 billion cubic meters, is the largest of these basins with an area of about 4 million km2, accounts for about 30% of the water resources in Africa. The Congo Basin forested region forms part of the Congo Basin watershed that is characterized by a dense river system serving as an important navigation system for Central Africa, plays a large role in food supply and local livelihoods, acts as habitat for a range of plants and animals and has significant hydropower potential. The powerful Congo River is about 4,700 km long. It is second in size only to the Amazon and flows through this region and forms the Congo River Basin – a key watershed and trans-boundary area with global significance. Important trans-boundary river systems include the Ntem (Cameroon, Gabon, Equatorial Guinea), the Sangha (CAR, Congo, Cameroon) the Ngoko (Cameroon, Congo), the Oubangui (DRC, RCA) and the Tanganyika (DRC).

The rainforests of central Africa form one of the planet's last great tropical wilderness areas. This was the area from which much of Africa's existing biological diversity originated. Of an estimated 8,000 species of plants, perhaps 80 percent are endemic to the region. It is also the richest area for fauna in terms of numbers and level of endemism, with 655 species of birds (36 percent of which are endemic) and 58 species of mammals (45 percent of which are endemic). Of these, 16 species of birds and 23 species of mammals are considered threatened or endangered. The region supports the world's largest populations of lowland gorillas, chimpanzees, bonobos (pygmy chimpanzees), and forest elephants.

These tropical forests are valued for their high levels of biodiversity and species endemism, but also for other important values. Most notably they are a source of food, medicine, materials and shelter for over 80 million people, and they serve as a critical "sink" for carbon dioxide, the most important gas implicated in global warming. But these forests are under threat. More than 50% of the forests outside protected areas in Central Africa (and 80% in Cameroon) have already been allocated for logging concessions. Agricultural extensification, bush meat hunting, conflict and mining are also having an increasingly detrimental impact on the region's forests.

USAID will continue to focus on the 12 large tropical forest landscapes in the six forested Central African countries under CARPE III. These carbon-rich, biologically sensitive and diverse landscapes comprise more than 80 million hectares of critically important tropical forest in Central Africa (See Appendix 3 map). They have been selected on the basis of their international biodiversity value, the relatively rich carbon content of the forests, the large USG investment already made over the life of CARPE II in management planning with partner institutions (including the private sector), investments made in strengthening local community institutions, and through lessons learned in CARPE II of proven and cost-effective techniques and technologies that have the power to change behavior to less destructive environmental practices. These landscapes together comprise more than 70% of the total Congo Basin forest and therefore offer ample opportunity to achieve multiple objectives through sustainable landscape management. Below is the list of these twelve landscapes with the contained protected areas written in italics, and a brief description of their conservation significance:

1) Monte Alen-Mont de Cristal Inselbergs Forest Landscape*: Mont de Cristal National Park, Mt. Seni and Mbé* (Gabon and Equatorial Guinea)
This landscape is considered a Pleistocene Refuge, possessing unique species representation, particularly for vascular plants, and high ecological integrity.

2) Gamba-Conkouati Forest Landscape: *Loango/Moukalaba-Doudou/Mayumba/Conkouati* (Gabon, Congo, and DRC)
This is a distinctive and intact habitat, typical of transitional areas from coastal to inland forests. It has a high number of large vertebrates, including hippos, manatees, elephants and western lowland gorillas. It has a high potential to serve as a corridor between existing protected areas.

3) Lope-Chaillu-Louesse Forest Landscape: *Lope/Waka/Dimonika/Birougou* (Gabon and Congo)
There is high species richness for plants within this landscape, and it is a critical habitat for vulnerable endemic faunal species such as the sun-tailed monkey. It is at a critical risk from rapidly increased logging, shifting cultivation, and bush meat hunting.

4) Dja-Minkebe-Odzala Tri-national Forest Landscape: *Boumba Bek-Nki/Minkebe/Mwange/Ivindo/Odzala* (Cameroon, Congo, and Gabon)
This landscape contains the largest intact block of forest in the ecoregion, and supports the world's largest concentration of lowland gorillas.

5) Sangha Tri-national Forest Landscape: *Dzanga Sangha/Nouabale Ndoki/Lobeke* (Cameroon, Congo and CAR)
This is a forest wilderness area, with presence of swamp, evergreen, and semi-evergreen forests. There also exist extensive wet prairies—"bais"—which are attractive habitat to forest elephants and various bird species.

6) Lac Tele – Lac Tumba Swamp Forest Landscape: *Lac Tele/Lac Tumba/Ngiri* (Congo and DRC)
This landscape contains the largest mass of swamp and inundated forest in Africa. It is an important habitat for migratory birds and many other species of fauna.

7) Bateke Plateau Forest Savanna Landscape: *Mpassa/Haute Ogoue* (Gabon and Congo)
This is dominated by an ancient sand dune system—the Kalahari geological formation. The land is covered by large open expanses of grass interspersed with wooded savannas and dense gallery forest hugging river valleys. Habitat diversity is high; the landscape may still contain a relic population of lions and bird diversity is outstanding.

8) Maringa/Lopori-Wamba Forest Landscape: Maringa-Lopori/Wanba/Lomako yokokala (DRC)
The swamp forest along the Maringa River supports a high abundance of Bonobos, as well as Thollon's red colobus, the Congo clawless otter, and the African slender-snouted crocodile.

9) Salonga-Lukenie-Sankuru Forest Landscape: *Salonga* (DRC)
This landscape contains a mostly undisturbed primary forest and is a critical habitat for numerous mammal species of special concern, including the Bonobo. It also contains the Salonga National Park, which is the largest rain forest national park in the world.

10) Maiko-Lutunguru Tayna-Kahuzi Biega Forest Landscape: *Maiko/Kahuzi-Biega* (DRC)
Together with the Ituri Forest, this is the most important reservoir of northeastern Congo biodiversity, as it is one of the most remote and intact forest blocks. It supports several high profile species, including the eastern lowland gorilla and the okapi.

11) Ituru-Epulu-Aru Forest Landscape: *Okapi* (DRC)
Okapi National Park is a designated World Heritage Site, and one of the few remaining homes of the Okapi. This landscape includes the Park, as well as the Ituri Forest and extensive grasslands

12) Virunga forest landscape: *Virunga*; world heritage site, last refuge of mountain gorillas.

3.0 EVALUATION OF PROJECT/PROGRAM ISSUES WITH RESPECT TO ENVIRONMENTAL IMPACT POTENTIAL

CARPE III, by design, will have beneficial effects on the environment, since its activities are intended to reduce deforestation, forest degradation and biodiversity loss across 12 landscapes in seven countries in the Congo Basin. In addition, CARPE III will support climate change mitigation through reduction of greenhouse gas emissions from the deforestation and forest degradation and enhancement of carbon sequestration in the Congo Basin In that respect, CARPE fulfills the Congressional intent as expressed in FAA Section 118 (Conservation and sustainable management of tropical forests) and FAA Section 119 (Conservation of biological diversity), and supports the Presidential Initiative on Climate Change in

Most of the CARPE III activities addressed herein were initiated and developed under the CARPE I and II, and have been proven to be beneficial to the environment and to sustainable management of natural resources in the Congo Basin. However, some types of CARPE activities under consideration, including road maintenance as a part of sustainable forest management, protected area management plans and small-scale agriculture have the potential for indirect impacts on relatively un-degraded forests if sited in such forests. While CARPE partners are generally well informed about the targeted landscapes and about forest management in general, FAA 118 stipulates that an Environmental Assessment (EA) is the piece of analysis needed in order for the US Government to determine that such activities "will contribute significantly and directly to improving the livelihood of the rural poor and will be conducted in an environmentally sound manner which supports sustainable development" and can therefore be supported in relatively un-degraded forests. Therefore, any future CARPE activities that support expansion of road building or maintenance within relatively un-degraded forests will be fully evaluated by an Environmental Assessment to determine not only the potential environmental impacts and mitigation measures required, but also the economic and social benefits to the populations affected.

IR 1 Environmental Impacts:

The achievement of IR 1 will be realized through the implementation of the CAFEC project. Activities under IR 1 will continue the efforts of CARPE II to promote sustainable management of targeted forest landscapes. They will provide technical assistance and training to support the development of integrated land-use plans, with stakeholder participation, in targeted landscapes, the establishment of national parks in focal landscapes, and community-based natural resources management, involving the development of natural resources based enterprises. Moreover in CARPE III, activities under IR1 include reviewing and refining land use management plans; implementing management plans for the macro-zones and micro-zones developed under CARPE II; developing and implementing management plans for new land/seascapes and macro-zones; developing and implementing business plans for macro-zones; establishing public-private partnerships with extractives companies, and strengthening regional and national capacity and promoting pilot activities related to REDD+. There are a few illustrative activities that may have some environmental consequences, depending on what type of programs are carried out, and how they are implemented. These might include, for example, some of the livelihood or enterprise development activities, such as livestock raising, unsustainable expansion of crop production, and conversion of forest lands into agricultural lands.

The agricultural intensification activity in Community-Based Natural Resources Management zones (CBNRM) will not involve the use of agrochemical inputs and/or the introduction of genetically modified organisms without the required environmental reviews (see Section 4). Activities that involve the harvest of wild resources will be carefully monitored to ensure that harvest levels are sustainable (see Section 4 for limitations on activities in this area prior to further environmental assessment).

IR 2 Environmental impacts:

The activities under IR2 are within the scope of the EMAPS project. They aim to mitigate the threats to biodiversity in targeted forest landscapes. They will provide technical assistance and training focused principally on: 1) developing and implementing land use and resource management plans for biodiversity conservation; 2) managing community forests, promoting trans-boundary approaches to landscape and protected area planning and management; 3) building and strengthening capacity within law enforcement and the judiciary; 4) conducting bush meat market chain studies; and 5) improving participation of women and indigenous populations in wildlife management. Activities designed to support alternative livelihoods include surveys to monitor the population status of biodiversity, coordinating and introducing environmental impact planning of infrastructure such as roads to mitigate the adverse impact on biodiversity. There are a few illustrative activities that may have some environmental consequences, depending on what type of programs are carried out, and how they are implemented. These might include, for example, some of the livelihood or enterprise development activities such as food processing, bleaching and dyeing of cloth, and brick making.

The agricultural intensification activity as part of alternative livelihood will not involve the use of agrochemical inputs and/or the introduction of genetically modified organisms without the required environmental reviews (see Section 4). Activities that involve the harvest of wild resources will be carefully monitored to ensure that harvest levels are sustainable (see Section 4 for limitations on activities in this area prior to further environmental assessment).

IR 3 Environmental impacts: The achievement of IR 3 is within the scope of the EMAPS project with focus on the establishment of policy and regulatory environments supporting sustainable forest management and biodiversity conservation. Most of the envisioned activities under IR3 involve policy development, laws implementation, training, planning, coordination, workshops, seminars, and similar activities with little likelihood of direct effects on the biological or physical environment. Many of the proposed activities will further environmental justice, environmental awareness and oversight in the region, build local/regional capacity and/or improve the policy/legislative environmental framework in central Africa; strengthen policy environment for REDD+ implementation including greenhouse gas inventory and reporting.

- IR 4 Environmental Impacts: The activities under IR 4 involve capacity building/training, environmental monitoring and reporting, collection of data and information sharing, studies/assessment and coordination – none of which have a direct environmental effect. The activities will improve regional, national and sub-national capacity to monitor, analyze and report on natural resource use.

  The following is an evaluation of the potential for environmental impact presented by activities proposed for CARPE III, lumped into "activity clusters" in which the greatest potential for environmental harm exists.

  Land Use Planning:

  1) Mapping and zoning for various land uses, including gazetting and policy/legal framework where appropriate;
  2) Implementation of land use management plans for community lands, community forest reserves, logging and mining concessions, professional hunting zones, protected areas, etc.;
  3) Development of landscape-level management plans and capacity building for successful implementation by responsible ministries and all relevant stakeholders;
  4) Community reserves mapped, demarcated, registered and gazetted.

  A number of activities are planned that fall under the category of "land use planning". Because the outcome of such activities will be to determine allowable uses and location for these allowable uses within environmentally sensitive landscapes, such activities have the potential to have a favorable impact on the environment. However, because the intent of the CARPE III activities is to enhance the management, protection and conservation of the environment, extensive biophysical, spatial and socio-economic research is planned to inform the land use planning processes. Therefore the above activities are recommended for a **Negative Determination with Conditions**. The conditions are set forth at Section 4.1.1 and at Annex 2.

  Private and Community-based Management Initiatives:

  1) Mobilize communities, elect and train management committees for the community forest reserves;
  2) Support community-based natural reserve that is advanced as a viable management option for the 11,000 square km swamp forest area at the confluence of the Ubangi and Congo rivers;
  3) Support empowerment of local communities to manage their fishing grounds and other natural resources;
  4) Support development of relevant policy and legal framework to enhance communities' capacities in natural resource management, governance and benefit sharing;
  5) Promote development of policy and legal framework to define status and management of buffer areas;
  6) Support a process for codifying and disseminating customary land tenure laws;
  7) Support strengthening of community-based rights on fishing grounds;
  8) Support official recognition of traditional agricultural and hunting grounds;
  9) Promote development of appropriate legal and policy framework to enhance CBNRM initiatives; and,
  10) Promote community forests for carbon storage and energy efficiency use.

  Under CARPE III an important component of the approach will be to better involve local populations in sustainable management of their environment by reinforcing their tenure rights and providing training in natural resource management and monitoring. However, without adequate training, monitoring, and enforcement of community rights there is the potential for exploitation and/or unsustainable use to occur. Therefore the above activities call for a **Negative Determination with Conditions**. The conditions are set forth at Section 4.1.2 and at Annex 2.

Construction and Infrastructure Development:

1) Construct park headquarters in a variety of parks and protected areas meeting the Africa Bureau's "small-scale" definition;
2) Construct/establish satellite camps for park guards and researchers;
3) Construct eco-guard housing, office space, workshops and store-rooms;
4) Construct eco-lodge for ecotourism development
5) Construct education centers close to national parks; and
6) Refurbish and rehabilitate housing, patrol posts, and research centers;
7) Build community conservation center,
8) Establish health clinic with humanitarian partners; and
9) Establish operational GIS Data Centers.

All of the activities that involve construction, rehabilitation and infrastructure development can have detrimental impacts on the environment if they are not conducted using best practices for small scale construction. Potentially detrimental impacts include erosion, siltation of neighboring water bodies, inappropriate use of tropical hardwoods, and disturbance of habitat. The above activities are therefore recommended for **a Negative Determination with Conditions**. The conditions are that good practices are utilized for small scale activities (see Section 4), and that large scale efforts are subject to an environmental review and analysis prior to being undertaken. (Note: "Small-scale" is typically defined by the Africa Bureau as any construction activity with a "footprint" of approximately 10,000 square feet (1,000 m^2) or less of total surface area disturbed.) This assumes that the habitat in which these facilities are placed, irrespective of size, are not sensitive (e.g., wetlands). Section 4.1.3 and Annex 2 include further elaboration for these conditions.

Creation of alternative financing mechanisms to fund protected areas:

1) Design and propose to "*Institut Congolais pour la Conservation de la Nature*" an endowment fund for community conservation support;
2) Support development of national and regional trust funds to sustain protected area management;
3) Implement long-term funding tools such as recreational fees for national parks and protected areas;
4) Determine feasibility of conservation payments as incentive for community landscape-level conservation; and
5) Pursue new models for carbon sequestration payments

The exploration and creation of alternative funding sources to support protected areas will not in and of themselves have a direct impact on the environment. However because the funds will be used to undertake actions in environmentally sensitive areas and areas of high biodiversity, it will be critical to ensure proper oversight for the disbursement and use of these funds. Therefore the following proposed activities are recommended for a **Negative Determination with Conditions**. The conditions are set forth at Section 4.1.4 and at Annex 2

Design and implementation of management plans for national parks, protected areas and community forest reserves, including but not limited to these specific planned activities:

1) Develop and implement management plans for national parks and their surrounding landscapes.
2) Develop and implement constitution and management plans for community conservation areas;
3) Support Local NGO to develop management plans and appropriate zoning; and
4) Promote development and endorsement of protected area management plans.

Management plans for protected areas, parks and community forest reserves in the 12 CARPE landscapes will inherently impact upon the environment in that they will help determine what uses and practices will be allowed in these areas. However, because the intent of these management plans will

be to foster protection and sustainable use for these areas, and because the management plans will be informed by properly conducted biophysical and social research, the above activities are recommended for **a Negative Determination**. Although these activities are recommended for a Negative Determination, certain best practices and mitigation actions should be followed, particularly with regard to implementation of the plans. Section 4.1.5 includes a statement of the best practices and mitigation measures that should be followed.

Biomedical and veterinary research, screening and health care provision
These activities will take place at the village level and are considered small scale. Because activities planned under this category will potentially involve endangered fauna, and/or result in the creation of biohazards and medical waste, they present some degree of health risks to the studied fauna and to the researchers involved. These activities are recommended for a **Negative Determination with Conditions.** These activities should therefore be conducted using internationally accepted procedures and protocols.
The conditions are set forth at Section 4.1.6 and at Annex 2

Pilot Ecotourism Activities:

1) Conduct feasibility study and pilot ecotourism program;
2) Support development of ecotourism implementation strategy for national parks; and
3) Promote incentives for development of ecotourism activities within the landscapes.

Unless planned and undertaken in a manner that is sensitive to potential negative impacts to the environment -- through placement of infrastructure in critical habitats, insufficient attention paid to sewage disposal, increased human presence, etc. -- ecotourism activities have the potential to cause harm to the environment. The following activities are recommended for **a Negative Determination with Conditions**. The conditions are set forth in Section 4.1.7. and Annex 2.

Development of natural resource-based enterprises for communities:

1) Complete feasibility assessments for enterprise development and identify enterprise sites;
2) Undertake rapid market surveys for viable natural resource-based enterprises;
3) Promote establishment of Conservation Enterprise Fund;
4) Support registration and incorporation of community business ventures;
5) Assist participatory business planning: strategic, operational and investment structures;
6) Implement pilot programs for conservation enterprise and sustainable agriculture based upon assessments and community needs (such as bio-prospecting, medicinal research, non-timber forest product [NTFP] development); and
7) Implement small NGO grant projects to develop natural resource-based enterprises.

Any activities that promote use of natural resources to create enterprises will have some impact on the environment—through over-harvesting, inappropriate harvesting methods, or increased infrastructure, for example. The activities planned for community enterprises are intended to be small scale, and sensitive to sustainable resource use, therefore the overall impacts should be minimal. Indeed training and research activities to mitigate detrimental impacts are proposed among the planned activities. Nevertheless, certain mitigating actions will need to be undertaken to ensure that these impacts are minimal. Therefore, the following activities are recommended for **a Negative Determination with Conditions**. The conditions are set forth in Section 4.1.8 and Annex 2.

Agricultural Interventions:

1) Implement pilot community agricultural development projects; and
2) Promote measures to reduce erosion, including introduction of Vetiver technology, establishment of tree nurseries, and tree alley cropping.

Because of the potential for agricultural, agroforestry, and erosion control activities to introduce invasive species and/or result in clearing of native vegetation, the following activities are recommended for a **Negative Determination with Conditions.** The conditions are set forth in Section 4.1.9 and Annex 2.

Collection of Live Specimens:

1) Undertake regular expeditions to collect geo-referenced specimens; and
2) Send plant specimens collected in this region to international and regional herbaria

Some activities are planned which will involve the collection of flora specimens utilizing techniques and methodologies developed by Missouri Botanical garden under CARPE I & II. Because of the potential for inappropriate levels or methods of harvesting rare or endangered species, these proposed activities are recommended for **a Negative Determination with Conditions**. The conditions are set forth in Section 4.1.10 and Annex 2.

Study on diseases cross-transmission between humans and fauna
This is to document occurrences, causes, types and frequencies of cross-transmission diseases between humans and fauna A **Negative Determination with Conditions** is recommended for this activity.
The conditions are set forth at Section 4.1.11 and at Annex 2

Sub-grants
Sub-grants are to support program's activities and must incorporate provisions that the activities to be undertaken will comply with the environmental determinations and recommendations of this IEE.
The conditions are set forth at Section 4.1.12 and at Annex 2

4.0 RECOMMENDED MITIGATION ACTIONS (INCLUDING MONITORING AND EVALUATION)

The threshold decisions contained in this Initial Environmental Examination require a pro-active mitigation and monitoring plan that incorporates and promotes environmental review and certification procedures, as well as capacity building, as specified in this IEE. The grantees agree to follow these procedures and conditions. The CARPE team members will monitor implementing partners' environmental compliance during their regular visits to project sites and include their observations in their trip reports. The Conditions for CARPE IEE are, in summary:

1) CARPE will assist implementing partners to put in place appropriate systems or management tools for monitoring and mitigation actions.

2) A formalized environmental review process for activities having negative determinations will be followed when appropriate. A key component of this review process is the use of the Environmental Review and Report Form (ERR). The ERR will be used to categorize activities, review, and screen them for potential environmental impacts. Adaptation of the ERR is recommended, drawing on models in the USAID/AFR *Environmental Guidelines for Small-Scale Activities in Africa (*EGSSAA), *(*http://www.encapafrica.org/SmallScaleGuidelines.htm), 2nd Edition. Appropriate sectorial guidance will be followed, as reflected in these guidelines. Below is a list of the specific sectors covered in the EGSSAA:

Part II Sector Specific Guidelines

1	Introduction	pdf (8K)	
2	Agriculture and Irrigation	pdf (804K)	
3	Community-Based Natural Resource Management (CBNRM)	pdf (318K)	html
4	Construction	pdf (902K)	html

5	Ecotourism	pdf (5256K)	html
6	Energy Sources for Development	pdf (170K)	html
7	Fisheries and Aquaculture	pdf (203K)	
8	Forestry: Including Forest Management, Plantations, and Agroforestry	pdf (444K)	
9	Healthcare Waste: Generation, Handling, Treatment and Disposal	pdf (4422K)	html
10	Housing	zip (1858K)	
11	Humanitarian Response Programs and the Environment	pdf (514K)	
12	Integrated Pest Management		
13	Livestock	pdf (2069K)	
14	Rural Roads	pdf (7345K)	html
15	Safer Pesticide Use		
16	Solid Waste	pdf (357K)	
17	Water Supply and Sanitation	pdf (4803K)	html

PART III - Guidelines for Micro and Small Enterprises (MSEs)

3) All activities involving collection of flora and fauna shall observe the requirements of CITES (see Section 4.1.12).

4) Environmental Assessment and Management Capacity Building: An important element of this environmental review process for CARPEIII activities is that the grantees and sub-grantees have a good understanding of environmentally sound program design, of the process of environmental impact assessment, and of USAID environmental procedures –see (ENCAP) course at www.encapafrica.org),

4.1 Specific Mitigation Conditions for Activity Clusters Recommended for Negative Determinations

4.1.1 Land Use Planning:

Activities under this category are recommended for a Negative Determination with Conditions. Designation of land uses should be science based and informed and cause no significant harm to tropical forests or biodiversity.

4.1.2 Private and Community-based Management Initiatives:

Activities under this category are recommended for a Negative Determination with Conditions. Activities or actions that seek to create private or community managed reserves shall observe the following mitigation actions:

1) Use of the USAID Environmental Screening Form for Community-based Natural Resource Management and Ecotourism Environmental Issues, as found in the USAID *Environmental Guidelines for Small Scale Activities in Africa* (EGSSA), or the attached Environmental Review and Report Form, as appropriate.
2) Best practices for organizing Community Based Natural Resource Management (CBNRM) projects are followed, as outlined in the 2003 vetted version of the EGSSA, or other approved standard best practices/guidelines for organizing community based resource management. To access the EGSSA guidelines go to http://www.encapafrica.org/egssaa.htm
3) Incorporation of some or all of the following approaches, some of which are already planned by CARPE: training and exchanges for community management; recruit and train forest reserve rangers for community forest reserves (from within the community, if possible); establish

cooperation with local communities for surveillance activities; and map current and potential agriculture concessions and identify critical areas of overlap with biodiversity priority areas.

4.1.3 Construction and Infrastructure Development:

All construction under this category is recommended for a **Negative Determination with Conditions**. All construction activities shall be conducted in a manner consistent with good practices for environmentally sound construction, as provided in *Chapter 3: Small Scale Construction* of the USAID Environmental Guidelines for Small-scale Activities in Africa, which can be found at www.encapafrica.org. In any case, no protected or sensitive areas will be affected.

For the construction of any facilities exceeding a total surface area to be disturbed of over 10,000 square feet (1,000 square meters), the program will conduct a supplemental Environmental Review Report (ERR) according to guidance found in Annex 1. Special attention will be placed upon avoiding sensitive areas, such as wetlands. Construction may not begin until such a review is completed and approved by the Mission Environmental Officer (and REO or BEO, if called for). No funds will be disbursed until ERRs have been approved. Program monitoring and mitigation is required.

The **formal AFR subproject/sub grant review process,** as set out by the AFR Environmental Review Form (available also at www.encapafrica.org/compliance.htm) must be completed and approved by the COR/AOR, MEO and REA prior to provision of technical assistance; and, the implementing partner (IP) must assure implementation of any mitigation and monitoring conditions specified by the approved ERF.

CARPE III team and IPs are advised that in such cases, it is likely that an IEE or EA will be required as the outcome of the subproject review process.

4.1.4 Creation of alternative financing mechanisms to fund protected areas

Activities under this category are recommended for a Negative Determination with condition. Funds will be used to undertake actions in environmentally sensitive areas and areas of high biodiversity, it will be critical to ensure proper oversight for the disbursement and use of these funds.

4.1.5 Design and implementation of management plans for national parks, protected areas and community forest reserves:

Activities under this category are recommended for a Negative Determination, and no mitigating conditions are required. However, because of the importance of these management plans for ensuring proper environmental conservation within parks, protected areas and forest reserves, it is critical that these management plans be informed by observation of the following best practices:

1) Adequate biophysical, spatial, and socio-economic research to inform the management plans;
2) Collaborative approaches to working with local communities to ensure they respect their rights and responsibilities within the protected zone, and that any new boundaries not infringe upon their customary rights. Should they do so, some means of compensation or alternative income generation opportunity is recommended;
3) Proper enforcement for allowable uses within the protected areas; and
4) Community Forest Reserves should consult guidance for Community-Based Resource Management and Forestry activities as outlined in the 2003 vetted version of USAID's *Environmental Guidelines for Small Scale Activities in Africa*, www.encapafrica.org/SmallScaleGuidelines.htm.

4.1.6 Biomedical and veterinary research, screening, and health care provision

Activities under this category are recommended for Negative Determination with Conditions. Internationally accepted standards and guidelines for biosafety for research involving live animals and for handling medical waste will be followed. Refer to the Bureau for Africa's draft *Environmental*

Guidelines for Small Scale Activities in Africa, 2003 Sector Briefing on "Healthcare waste: generation, handling, treatment and disposal" for a list of "Minimum elements of a complete waste management program" (See Annex 2).

4.1.7 Pilot Ecotourism Activities

Activities under this category are recommended for a Negative Determination with Conditions. Proposed activities relating to ecotourism development under CARPE III shall be informed by adequate protected area tourism plans. Additionally, the following mitigation actions shall be observed:

1) Proposed guidelines and mitigating measures contained in the Ecotourism Chapter (Ch. 5) of the USAID EGSSAA should be referenced and followed. These guidelines can be accessed at: www.encapafrica.org/SmallScaleGuidelines.htm; and
2) Any major tourism construction and/or infrastructure development that will use USAID funding will need to be subjected to a full Environmental Assessment prior to the release of funds for this purpose.

4.1.8 Development of natural resource-based enterprises for communities:

Activities under this category are recommended for a Negative Determination with Conditions. The following mitigating actions shall be followed:

1) In connection with all natural resource-based enterprise development, CARPE III implementing partners will work with targeted communities to develop and gain the community's adoption of a sustainable resource management plan; and
2) As needed, CARPE III implementing partners will prepare brief environmental reviews of proposed enterprise development activities, examining their environmental impact potential and determining appropriate mitigation actions. Note: if proposed activities will involve only technical assistance, training, institutional strengthening, research, education, studies, awareness-building or information dissemination, no environmental review is required.

Such environmental reviews need not be lengthy, and they should generally follow the guidance given in Step 5 of the Environmental Review and Report Form in the EGSSAA. This form (ERR) is included as Annex 1 and attached to this document. They should be prepared for review and approval by the CARPE team leader and the MEO at USAID/DRC. USAID/DRC must provide approval prior to initiation of the activity.

In the unlikely event that any proposed activities qualify as Category 3 or 4 (high risk) activities, as described in the above Environmental Screening/Report Form, the environmental review should be submitted to the Regional Environmental Officer or Bureau Environmental Officer for review and approval prior to implementation of these activities.

4.1.9 Agricultural Interventions:

Activities under this category are recommended for a Negative Determination with Conditions. The intent of proposed agricultural interventions under CARPE III is to be environmentally beneficial. It is believed that promoting agricultural production in buffer zones can help to reduce pressures on protected areas by providing alternative livelihoods, and because certain types of planned interventions (tree and vetiver planting) will reduce soil erosion.

However due to the potential for the introduction of invasive species and for environmentally unsustainable practices to occur, the following mitigation actions shall be followed:

1) Training in sustainable agricultural production practices is provided for project participants;
2) All proposed non-native crops are subject to a review to ensure that they will not become invasive in the introduced environment.

3) Agricultural intensification activities may need further environmental review, especially if involving the expansion of agrochemical inputs and/or the introduction of genetically modified organisms.

Any proposed project which would introduce the procurement or use of pesticides shall be subject to the environmental examination procedures prescribed in 22 CFR 216.3(b)(l)(i-v**). Pesticide use is not approved with this IEE.**

4.1.10 Collection of Live Specimens:

Activities under this category are recommended for a Negative Determination with Conditions. As these activities will be undertaken under the supervision of a world-renowned botanical research center, it is not foreseen that inappropriate harvesting practices will be used. Use of and reference to internationally recognized standards and guidelines for the collection of rare plant specimens are to be followed. All activities shall conform to the requirements of CITES.

4.1.11 Studies on disease cross-transmission between humans and fauna:

To the extent this involves carefully controlled research, and thus poses risk factors with respect to human and animal subjects, the following **conditions** apply:

- Any activities concerning human research subjects will follow U.S. National Institutes for Health (NIH) requirements in consultation with CDC advisors. Procedures must be consistent with NIH guidelines for research involving human subjects. See 45 CFR Part 45. Protection of Human Subjects. See the URL: http://ohrp.osophs.dhhs.gov/humansubjects/guidance/45cfr46.htm

- Also, recommend following U.S. National Institutes for Health (NIH) guidelines for research involving live animals. The use of animals in research is a privilege that carries with it the responsibilities of proper care and humane treatment of animals. To biomedical scientists, proper care is in the best interest of the laboratory animals and is essential to ensure quality research. Consider Public Law 99-158: Animals in Research: http://grants.nih.gov/grants/olaw/references/hrea1985.htm

4.1.12 *Sub-grants*

Conditions: Any sub-grants to support this program's activities must incorporate provisions that the activities to be undertaken will comply with the environmental determinations and recommendations of this IEE. This includes assurance that the activities conducted with USAID funds fit within those described in this IEE and that any mitigating measures required for those activities be followed. In addition, environmental screening will be required.

Environmental Screening Process: Implementing partners will take into consideration potential environmental impacts during the design and implementation process to achieve an environmentally-sound project design and to promote program sustainability. They will screen proposed activities according to the *Africa Bureau Environmental Report Form Review Process*, which is described in the ***Africa Bureau Environmental Guidelines, Part III*****,** to be found here: http://www.encapafrica.org/documents/AFR-EnvReviewForm-20Dec2010.doc.

As described there, the screening categories include the following: *Very low risk* - activities that would normally qualify for a categorical exclusion under Reg. 216; *Moderate risk or unknown risk* - activities that would normally qualify for a negative determination under Reg. 216; *High risk* - activities that have a clear potential for undesirable environmental impacts and typically under Reg. 216 require an Environmental Assessment; and *High risk – typically not funded* - activities that either USAID cannot fund or for which specific findings must be made in an Environmental Assessment prior to funding.

The USAID/CARPE Team shall be responsible for, first, clearing the implementing partner's category determination of sub-grant activities. Classifications of *Moderate or unknown risk or higher* will be referred to the Mission Environmental Officer along with any required Environmental Review Reports (ERRs). **Use the latest revised version, presently as of December 2010**. All classifications of *High risk* and their ERRs must be approved by the Bureau Environmental Officer (BEO).

When ERRs are necessary, implementing partners will observe recommendations in the ***Africa Bureau-EGSSAA*** for relevant sectors when developing mitigation actions and monitoring plans. Once the ERRs are approved, project implementers should ensure mitigation measures and monitoring procedures described therein are in place as they will be considered requirements.

4.2 Monitoring, Evaluation and Mitigation

4.2.1 Environmental Screening Process

For those activities identified above as requiring environmental screening, the following process will be followed:

Implementing partners will screen proposed activities according to ***the Africa Bureau Screening and Environmental Review and Reporting Process, as identified above***, which is described in the Africa Bureau *Environmental Guidelines,* Part III, found at http://www.encapafrica.org/Resources.htm). As described therein, the screening categories include the following:
Category 1 (very low risk): Activities that would normally qualify for a categorical exclusion under Reg. 216;
Category 2 (medium risk): Activities that would normally qualify for a negative determination under Reg. 216;
Category 3 (high risk): Activities that have a clear potential for undesirable environmental impacts and typically under Reg. 216 require an Environmental Assessment;
Category 4 (very high risk): Activities that either USAID cannot fund or for which specific findings must be made in an Environmental Assessment prior to funding.

The MEO (or REO, in the absence of an MEO) shall be responsible, first, for clearing the implementing partner's category determination. Further, the MEO (or REO, in the absence of an MEO) must approve all Category 2 Environmental Reviews individually or in groups. The MEO (or REO, in the absence of an MEO) will review and pass on to the REO and BEO any Category 3 reviews and, as he/she determines the need, Category 2 documentation. All Category 3 Environmental Reviews must be approved by the BEO. Any activities that fall within Category 4 will be immediately referred to the REO and BEO, unless the MEO reject them and thereby deny implementation of the subject activities.

Environmental Status Reporting
As is already the practice for all Title II-funded programs, CARPE will provide comprehensive annual "Environmental Status Reports" to the BEO for review and approval on the status of implementation of the requirements of this IEE. Particular focus should be placed on those activities that are recommended for Negative Determination with conditions, including information sufficient to demonstrate that the activities being conducted remain consistent with the descriptions provided above and that the conditions are being followed.

CARPE Team Monitoring Responsibilities
As required by ADS 204.5.4, the CARPE team must actively monitor ongoing activities for compliance with approved IEE recommendations, and modify or end activities that are not in compliance. In their regular visits to the project sites, the OARs of CARPE programs will assess the environmental compliance at the field levels and include in their trip reports any non-compliance incidences that will be discussed with the MEO for corrective measures. If additional activities not described in this document are added to this program, then amended or new environmental documentation must be prepared. The CARPE team will also ensure that provisions of the IEE concerning mitigating measures and the

conditions specified herein along with the requirement to monitor be incorporated in all contracts, cooperative agreements, grants and sub-grants.

4.2.2 Environmental Mitigation and Monitoring Plan (EMMP) & Report (EMMR)

This IEE is prepared and approved at the Strategic Objective level, and all activities funded under USAID/CARPE program fall under its environmental threshold determinations. ADS 204.5.4 requires USAID/CARPE and implementing partners to actively monitor activities based on the conditions in the IEE, and to modify or terminate activities that are not in compliance.

Development of Environmental Mitigation and Monitoring Plan (**EMMP).** Each Implementing Partner (IP) whose activities are subject to one or more conditions set out in section 4.1 of this IEE shall develop and provide for C/AOR review and approval an Environmental Mitigation and Monitoring Plan (EMMP) documenting how their project will implement and verify all IEE conditions that apply to their activities.

These EMMPs shall identify how the IP shall assure that IEE conditions that apply to activities supported under subcontracts and subgrant are implemented. (In the case of large subgrants or subcontracts, the IP may elect to require the subgrantee/subcontractor to develop their own EMMP.)

***(Note :** refer to the AFR EMMP Factsheet, available at www.encapafrica.org.)*

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

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

Environmental Mitigation and Monitoring Report (EMMR). The USAID/CARPE Team will develop an annual Environmental Mitigation and Monitoring Report (EMMR) based on the EMMPs, to ensure programmatic compliance with 22 CFR 216 and ADS 204.5.4 by documenting that the conditions specified in this IEE have been met for all activities. If the USAID/CARPE Team or the program's implementing partners propose that new activities, not described in this IEE, should be added to any award, an Environmental Screening Form (and possibly an Environmental Review Report) must be prepared to examine potential environmental impacts the new activity. Annex 1 presents templates of these forms. If environmental screening and review reveal inconsistencies with the determinations of this IEE and/or if additional conditions are necessary to mitigate environmental impact during implementation of new, proposed activities, this IEE must be amended.

The EMMP and EMMR must be completed by each organization carrying out activities under a USAID/CARPE program. It will include the organization's own report plus the EMMRs of any sub-awardees, to capture the entire range of activities funded by USAID/CARPE under the bi-lateral award. The prime USAID/CARPE bi-lateral implementing partners are responsible for ensuring that each sub-awardee completes and submits the EMMR to the prime in a timely fashion. The EMMRs are reviewed and approved by the CO/AOTR and the Mission Environmental Officer.

The EMMR consists of 3 parts:

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

The EMMR Environmental Verification Form: Because of the integrated nature of the USAID/CARPE portfolio, a single bi-lateral award (along with any sub-awards) often contains activities having different conditions required for prevention or mitigation of environmental impact. This form indicates the

categories of activities carried out by implementing partners (or their sub-awardees) and serves to 'trigger' USAID expectations of mitigation measures.

The EMMR Mitigation Plan: Implementing partners will use the Mitigation Plan to describe the specific actions they will undertake under each category of activity when screening reveals potential environmental threats. In these cases, compliance with 'Conditions' and mitigation will be undertaken as described in Section 4.1 of this IEE. The Mitigation Plan also identifies the person responsible for monitoring compliance with mitigation and the indicator, method and frequency of monitoring.

The EMMR Reporting Form: This form reports on the results of applying the mitigation measures described in the Mitigation Plan and identifies outstanding issues with respect to required conditions. In some cases, digital photos will be the best way to document mitigation and should be included in the report.

4.2.3. General Project Implementation and Monitoring Requirements

In addition to the specific conditions enumerated in Section 4.1, the negative determinations recommended in this IEE are contingent on full implementation of the following general monitoring and implementation requirements:

- **Consideration of Project-level IEEs.** This CARPE III portfolio IEE was developed, as required by USAID project design guidance, during the pre-PAD analysis stage in the project design cycle. As such, it was developed with only relatively general information available regarding proposed activities.

  Therefore, for each major CARPE III procurement, the CARPE III team, in consultation with the MEO and REA, must consider whether the goal of environmentally sound design and management and clarity and transparency regarding IP and CARPE III team compliance requirements would be best served by development of a project-level IEE based on far more specific activity descriptions. Such project-level IEEs would supercede this portfolio IEE for a particular procurement, but would be guided by and establish conditions no less stringent than those set out by this IEE. Such IEEs must incorporate all of the remaining conditions set out in this section.

- **IP Briefings on Environmental Compliance Responsibilities.** The CARPE III team shall provide each CARPE III Implementing Partner (hereinafter IP), with a copy of this IEE; Each IP shall be briefed on their environmental compliance responsibilities by their cognizant C/AOR. During this briefing, the IEE conditions applicable to the IP's activities will be identified.

- **Development of EMMP & EMMR (see above, 4.2.2).**

- **Integration of compliance responsibilities in prime and sub-contracts and grant agreements.**

  - The CARPE III team shall assure that contracts or agreements for implementation of the project, and/or significant modification to current contracts/agreements shall reference and require compliance with the conditions set out in this IEE, as required by ADS 204.3.4.a.6 and ADS 303.3.6.3.e.

  - IPs shall assure that sub-contracts and sub-grant agreements reference and require compliance with relevant elements of these conditions.

- **Assurance of sub-grantee and sub-contractor capacity and compliance.** IPs shall assure that sub-grantees and subcontractors have the capability to implement the relevant requirements of this IEE. The IP shall, as and if appropriate, provide training to subgrantees and subcontractors in their environmental compliance responsibilities and in environmentally sound design and management (ESDM) of their activities.

- **CARPE III Team monitoring responsibility.** As required by ADS 204.5.4, the CARPE III team will actively monitor and evaluate whether the conditions of this IEE are being implemented effectively

and whether there are new or unforeseen consequences arising during implementation that were not identified and reviewed in this IEE. If new or unforeseen consequences arise during implementation, the team will suspend the activity and initiate appropriate, further review in accordance with 22 CFR 216. USAID Monitoring shall include regular site visits.

- **New or modified activities.** As part of its initial Work Plan, and all Annual Work Plans thereafter, IPs, in collaboration with their C/AOR, shall review all planned and on-going activities to determine if they are within the scope of this IEE.

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

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

- **Compliance with Host Country(ies) Requirements.** Nothing in this IEE substitutes for or supersedes IP, subgrantee and subcontractor responsibility for compliance with all applicable host country laws and regulations. The IP, subgrantees and subcontractor must comply with host country environmental regulations unless otherwise directed in writing by USAID. However, in case of conflict between host country and USAID regulations, the latter shall govern.

- **Government-to-government (G2G) assistance.** In keeping with USAID Forward, consideration may at some point be given to sector program assistance (SPA) or other government-to-government assistance. CARPE will need to obtain Authorization for Use of Partner Country Systems (AUPCS) – a new requirement for G2G assistance specified in ADS 220 Use of Reliable Partner Country Systems for Direct Management and Implementation of Assistance. This will include certification of the effectiveness of the host country(ies)'s environmental assessment procedures, policy & legislative framework. This should be harmonized with the expectations of other sector donors (World Bank, EU, etc.), in line with the Paris Declaration of Aid Effectiveness.

ANNEXES
to
CARPE III IEE

Annex 1. AFRICA BUREAU ENVIRONMENTAL REVIEW AND REPORT (ERR) FORM
www.encapafrica.org/.../AFR-EnvReviewForm-**20Dec2010**.doc

Annex 2. HEALTHCARE WASTE MANAGEMENT FOR SMALL SCALE FACILITIES: MINIMAL PROGRAM CHECKLIST AND ACTION PLAN

Annex 3. ENVIRONMENTAL MONITORING AND MITIGATION PLAN AND REPORT (EMMP)

Annex 4. MAP OF THE 12 CBFP LANDSCAPES

Annex 5. CARPE III RESULTS FRAMEWORK

ANNEX 1

Note to USAID Staff, Consultants & Partners Regarding the: Africa Bureau ENVIRONMENTAL REVIEW FORM & INSTRUCTIONS

Appropriate use

- The Environmental Review Form (ERF) can only be used when and as specifically authorized by the IEE or EA governing the project or program in question. For IEEs, this authorization is made in the form of a negative determination with conditions. *Authorized use of the ERF is limited to the specific class of activities enumerated in the determination.*
- The BEO will not clear an IEE or EA that authorizes use of the ERF unless ALL of the following are true:
  - **the general nature or potential scope of the activities for which the ERF will be used are known** at the time the IEE is written (e.g. small infrastructure rehabilitation, training and outreach for a specified purpose, etc.).
  - **these activities will be executed under a grant or subproject component of a parent project/program.** The ERF cannot be used in lieu of a request for categorical exclusion, IEE or IEE amendment when new activities/components are to be added to existing projects, programs or sector portfolios.
  - of their general nature, **foreseeable adverse environmental impacts are small or easily controllable with BASIC MITIGATION TECHNIQUES that can BE SUCCESSFULLY IMPLEMEMENTED BY FIELD STAFF.**
  - of their general nature, the **activities are NOT large-scale.**

    There is no formal AFR standard for "small-scale activities." Over time, AFR has developed some "rules of thumb" for activities that are BOTH small-scale AND pose very low risks of significant adverse impacts. These are used in the ERF itself: e.g. construction involving less than 10,000 sq ft total disturbed area and less than $200,000 total cost; road rehabilitation of less than 10km total length without change to alignment or right-of-way. Activities moderately larger than these "rules of thumb" are also small-scale, but are treated by the ERF as being of moderate/unknown risk, thus requiring an environmental review report.

    What does "moderately larger" mean? What about activities for which there is no "rule of thumb" built into the ERF? Absolute physical scale and funding level, physical scale relative to the surrounding built environment, population affected, and number of locations affected are among the factors relevant to determining whether a class of activities is "small scale." The IEE must provide enough information for the BEO to assess whether the activities proposed for subproject review will be indeed be small scale within their implementation context.

Adaptation of the form

1. Text in **UNDERLINE & BLUE HIGHLIGHT** **MUST** be customized to the particular project/mission.
2. Yellow highlighted text must be reviewed and then modified, deleted or retained, as appropriate.
3. Both the form AND instructions should be generally reviewed and modified to reflect the specific project/program and implementation context.
4. The adapted form and instructions must be appended to the Initial Environmental Examination for the overall project.
5. For NRM-oriented programs (especially those involving CBNRM, ecotourism, enterprises exploiting non-timber forest products, etc.) consider adaptation and use of the Supplemental Environmental Review Form for NRM sector activities.

URL for latest update of ERF: www.encapafrica.org/.../AFR-EnvReviewForm-**20Dec2010**.doc

Questions and Guidance

General guidance on subproject review is available on the MEO Resource Center at www.encapafrica.org/meoEntry.htm. For specific questions, contact the Mission Environmental Officer or Regional Environmental Advisor. Good-practice examples of completed forms, environmental review reports and environmental management plans are available from USAID/AFR's ENCAP project: encapinfo@cadmusgroup.com; www.encapafrica.org.

Revision history:

Major updates on 24 June 2010 to clarify appropriate use, revise Env Review Report structure, and update clearance requirements. Formatting and presentation revised 17 Jan 2005. Revised April 13, 2004, to include biosafety considerations and better reflect the Supplemental Environmental Review Form for NRM sector activities.

DELETE THIS PAGE BEFORE DISTRIBUTING THIS FORM

USAID FROM THE AMERICAN PEOPLE | CARPE

Instructions for environmental review of CARPE Subprojects/Sub-grants

Note: *These instructions accompany the attached "Environmental Review Form for USAID/CAR Program Activities" (ERF).* ***Follow, but DO NOT SUBMIT, these instructions.***

Who must submit the Environmental Review Form (ERF)?

ALL Implementing Partners seeking to implement activities under the CARPE Program must complete, sign and submit the ERF to C/AOTR].
Authority: Use of the ERF for these activities is mandated by the governing Initial Environmental Examination (IEE) for the CARPE Program. The IEE can be downloaded at: http://gemini.info.usaid.gov/egat/envcomp/document.php.

No implementation without an approved ERF

The proposed activities cannot be implemented and no "irreversible commitment of resources" for these activities can be made until the ERF (including Environmental Review Report, if required, see Step 4, below) is cleared by the C/AOR, the Mission Environmental Officer (MEO) and the Regional Environmental Advisor (REA).
NOTE: USAID may deny clearance to the ERF, or may require modification and re-submission for clearance.

Environmental management requirements resulting from the ERF

If the ERF requires preparation of an Environmental Review Report (see Step 4, below), any environmental management measures specified in the approved Environmental Review Report MUST be implemented.

Situations in which additional environmental review is required.

If the ERF finds that one of more of the proposed activities has the potential to cause significant adverse environmental impacts, the activities must be redesigned or an IEE or full Environmental Assessment must be conducted and approved prior to implementation.
If USAID determines that the proposed activities are outside the scope of activities for which use of this form is authorized, the activities must be redesigned or an IEE or IEE Amendment will be required.
In either situation, USAID will confer with the partner to determine next steps. Note: If an IEE or EA is required, all environmental management measures specified in the IEE or EA must then be implemented.

Step 1. Provide requested "Applicant information" (Section A of the ERF)

Step 2. List all proposed activities

In Section B of the form, list all proposed activities.
Activities are a desired accomplishment or output: e.g. seedling production, road rehabilitation, school construction. Each activity has entailed *actions*—for example, road rehabilitation includes survey, grading, culvert construction, compaction, etc. *Be aware of these entailed actions, but do NOT list them.*
List activities DESCRIPTIVELY. For example, "training" is not a sufficient activity listing. The listing must specify WHO is being trained, and in WHAT.

Step 3a. Screening: Identify low-risk and high-risk activities

For *each* activity you have listed in Section B of the form, refer to the list below to determine whether it is a listed low-risk or high-risk activity.

If an activity is specifically identified as "very low risk" or "high risk" in the list below, indicate this in the "screening result" column in Section B of the form. **Very low-risk activities** (Activities with low potential for adverse biophysical or health impacts; including §216.2(c)(2))	**High-risk activities** (Activities with high potential for adverse biophysical or health impacts; including §216.2(d)(1))
Provision of education, technical assistance, or training. (Note that activities directly affecting the environment. do not qualify.) **Community awareness** initiatives. **Controlled agricultural experimentation** exclusively for the purpose of research and field evaluation confined to small areas (normally under 4 ha./10 acres). This must be carefully monitored and no protected or other sensitive environmental areas may be affected). **Technical studies and analyses** and other information generation activities not involving intrusive sampling of endangered species or critical habitats. **Document or information transfers**. **Nutrition, health care or family planning**, EXCEPT when (a) some included activities could directly affect the environment (construction, water supply systems, etc.) or (b) biohazardous (esp. HIV/AIDS) waste is handled or blood is tested. **Small-scale construction.** Construction or repair of facilities if total surface area to be disturbed is under 10,000 sq. ft. (approx. 1,000 sq. m.) (and when no protected or other sensitive environmental areas could be affected). **Intermediate credit.** Support for intermediate credit arrangements (when no significant biophysical environmental impact can reasonably be expected). **Maternal and child feeding** conducted under Title II of Public Law 480. **Title II Activities.** Food for development programs under Title III of P.L. 480, when no on-the-ground biophysical interventions are likely. **Capacity for development.** Studies or programs intended to develop the capability of recipients to engage in development planning. (Does NOT include activities directly affecting the environment) **Small-scale Natural Resource Management activities** for which the answer to ALL SUPPLEMENTAL SCREENING QUESTIONS (see *Natural Resources supplement*) is "NO."	**River basin development** **New lands development** **Planned resettlement** of human populations. **Penetration road building, or rehabilitation** of roads (primary, secondary, some tertiary) over 10 km length, and any roads which may pass through or near relatively undegraded forest lands or other sensitive ecological areas **Substantial piped water supply and sewerage** construction. **Major bore hole or water point construction.** **Large-scale irrigation; Water management structures** such as dams and impoundments **Drainage of wetlands** or other permanently flooded areas. **Large-scale agricultural mechanization.** **Agricultural land leveling.** **Procurement or use of <u>restricted use</u> pesticides**, or wide-area application in non-emergency conditions under non-supervised conditions. (Consult MEO.) **Light industrial plant production or processing** (e.g., sawmill operation, agro-industrial processing of forestry products, tanneries, cloth-dying operations). **<u>High-risk and typically not funded by USAID:</u>** **Actions affecting protected areas and species.** Actions determined likely to significantly degrade protected areas, such as introduction of exotic plants or animals. Actions determined likely to jeopardize threatened & endangered species or adversely modify their habitat (esp. wetlands, tropical forests) **Activities in forests, including:** ▪ **Conversion of forest lands** to rearing of livestock ▪ **Planned colonization of forest** lands ▪ **Procurement or use of timber harvesting equipment** ▪ **Commercial extraction of timber** ▪ **Construction of dams** or other water control structures that flood relatively un-degraded forest lands ▪ **Construction, upgrading or maintenance of roads** that pass through relatively non-degraded forest lands. (Includes temporary haul roads for logging or other extractive industries)

(This list of activities is taken from the text of 22 CFR 216 and other applicable laws, regulations and directives)

Step 3b: Identifying activities of unknown or moderate risk.

All activities NOT identified as "very low risk" or "very high risk" are considered to be of "unknown or moderate risk." Common examples of moderate-risk activities are given in the table below.

Check "moderate or unknown risk" under screening results in Section B of the form for ALL such activities.

Common examples of moderate-risk activities

CAUTION:
If ANY of the activities listed in this table may adversely impact (1) protected areas, (2) other sensitive environmental areas, or (3) threatened and endangered species and their habitat, THEY ARE NOT MODERATE RISK. All such activities are HIGH RISK ACTIVITIES.

Small-scale agriculture, NRM, sanitation, etc.

Agricultural experimentation. Controlled and carefully monitored agricultural experimentation exclusively for the purpose of research and field evaluation of MORE than 4 ha.

NOTE Biotechnology/GMOs: No *biotechnology testing or release* of any kind are to take place within an assisted country until the host countries involved have drafted and *approved* a regulatory framework governing biotechnology and biosafety.

All USAID-funded interventions which involve biotechnologies are to be informed by the ADS 211 series governing "Biosafety Procedures for Genetic Engineering Research". In particular this guidance details the required written approval procedures needed before transferring or releasing GE products to the field.

Medium-scale construction. Construction or rehabilitation of facilities or structures in which the surface area to be disturbed exceeds 10,000 sq. ft (1000 sq meters) but funding level is $200,000 or less. (E.g. small warehouses, farm packing sheds, agricultural trading posts, produce market centers, and community training centers.)

Rural roads. Construction or rehabilitation of rural roads meeting the following criteria:

- Length of road work is less than ~10 km
- No change in alignment or right of way
- Ecologically sensitive areas are at least 100 m away from the road and not affected by construction or changes in drainage.
- No protected areas or relatively un-degraded forest are within 5 km of the road.

Title II & III Small-Scale Infrastructure. Food for Development programs under Title II or III, involving small-scale infrastructure with the known potential to cause environmental harm (e.g., roads, bore holes).

Quantity imports of commodities such as fertilizers

Sampling. Technical studies and analyses or similar activities that could involve intrusive sampling, of endangered species or critical habitats. (Includes aerial sampling.)

Water provision/storage. Construction or rehabilitation of small-scale water points or water storage devices for domestic or non-domestic use. Water points must be located where no protected or other sensitive environmental areas could be affected.

NOTE: USAID guidance on water quality requires testing for arsenic, nitrates, nitrites and coliform bacteria.

Support for intermediate credit institutions when indirect environmental harm conceivably could result.

Institutional support grants to NGOs/PVOs when the activities of the organizations are known and may reasonably have adverse environmental impact.

Pesticides. . Small-scale use of USEPA-registered, least-toxic general-use pesticides. Use must be limited to NGO-supervised use by farmers, demonstration, training and education, or emergency assistance.

NOTE: Environmental review (see step 5) must be carried out consistent with USAID Pesticide Procedures as required in Reg. 16 [22 CFR 216.3(b)(1)].

Nutrition, health care or family planning, if (a) some included activities could directly affect the environment (e.g., construction, supply systems, etc.) or (b) biohazardous healthcare waste (esp. HIV/AIDS) is produced, syringes are used, or blood is tested.

Step 4. Determine if you must write an Environmental Review Report

Examine the "screening results" as you have entered them in Table 1 of the form.

- If ALL the activities are "very low risk," then no further review is necessary. In Section C of the form, check the box labeled "very low risk activities." Skip to Step 8 of these instructions.
- If ANY activities are "unknown or moderate risk," you MUST complete an ENVIRONMENTAL REVIEW REPORT addressing these activities. Proceed to Step 5.
- If ANY activities are "high risk," note that USAID's regulations usually require a full environmental assessment study (EA). Because these activities are assumed to have a high probability of causing significant, adverse environmental impacts, they are closely scrutinized. *Any* proposed high-risk activity should be discussed in advance with USAID. Activity re-design is often indicated.

  In some cases, it is possible that reasonable, achievable mitigation and monitoring can reduce or eliminate likely impacts so that a full EA will not be required. If the applicant believes this to be the case, the Environmental Review Report must argue this case clearly and thoroughly. Proceed to Step 5.

Step 5. Write the Environmental Review Report, if required

The Environmental Review Report presents the environmental issues associated with the proposed activities. It also documents mitigation and monitoring commitments. Its purpose is to allow the applicant and USAID to evaluate the likely environmental impacts of the project.

For a single, moderate risk activity, the Environmental Review Report is typically a SHORT 4–5 page document. The Report will typically be longer for (1) multiple activities; (2) activities of high or unknown risk; and/or (3) when a number of impacts and mitigation measures are being identified and discussed.

The Environmental Review Report follows the outline below. Alternate outlines are acceptable, so long as all required information is covered.

A. **Summary of Proposal.** Very briefly summarize background, rationale and outputs/results expected. (Reference proposal, if appropriate).

B. **Description of Activities.** For all moderate and high-risk activities listed in Section B of the ERF, succinctly describe location, siting, surroundings (include a map, even a sketch map). Provide both quantitative and qualitative information about actions needed during all project phases and who will undertake them. (All of this information can be provided in a table). If various alternatives have been considered and rejected because the proposed activity is considered more environmentally sound, explain these.

C. **Site-specific Environmental Situation & Host Country Requirements.** Describe the environmental characteristics of the site(s) where the proposed activities will take place. Focus on site characteristics of concern—e.g., water supplies, animal habitat, steep slopes, etc. With regard to these critical characteristics, is the environmental situation at the site degrading, improving, or stable?

   Also note applicable host country environmental regulations and/or policies. (For example, does the project require host country environmental review or permitting? Building approval? Etc.)

   NOTE: provide site-specific information in this section, NOT country-level information. General information about country level conditions should already be contained in the IEE governing the CARPE program.

D. Environmental Issues, Mitigation Actions, and Findings. For ALL proposed activities

i. Briefly note the potential environmental impacts or concerns presented by the proposed activities (if any). *For guidance, refer to Africa Bureau's Environmental Guidelines for Small-Scale Activities; available at www.encapafrica.org/egssaa.htm.*

   As per the *Small-Scale Guidelines*, consider direct, indirect and cumulative impacts across the activity lifecycle (i.e. impacts of site selection, construction, and operation, as well as any

problems that might arise with abandoning, restoring or reusing the site at the end of the anticipated life of the facility or activity). Note that "environment" includes air, water, geology, soils, vegetation, wildlife, aquatic resources, historic, archaeological or other cultural resources, people and their communities, land use, traffic, waste disposal, water supply, energy, etc.)

ii. Assess the extent to which these *potential* impacts and concerns are significant in the context of the specific activity design and site.

iii. Set out the mitigation actions to be employed to address these issues.

Mitigation actions are means taken to avoid, reduce or compensate for impacts. Mitigation measures must be reasonable and implementable by field staff. They should be consistent with the good practice guidance provided in Africa Bureau's Environmental Guidelines for Small-Scale Activities; (www.encapafrica.org/egssaa.htm.) Cite this or other guidance used for mitigation design.

iv. Reach one of three findings regarding the potential impacts:

a. Significant adverse impacts are very unlikely. Of its nature, the activity in question is very unlikely to result in significant, adverse environmental impacts. Special mitigation or monitoring is not required.
Note: this conclusion is rarely appropriate for high-risk activities.

b. With implementation of the specified mitigation and monitoring, significant adverse impacts are very unlikely.

c. Significant adverse impacts are possible. That is, it is not possible to rule out significant adverse environmental impacts even given reasonable, attainable mitigation and monitoring.

In this case, USAID and the partner will consult regarding next steps. If the activity is to go forward in its current form, additional analysis in the form of an IEE or EA will be required.

Format and structure of this section. Choose a format and structure that presents the necessary information clearly and succinctly.
Table formats can be used. In the example below, the proposed activity was construction of an institutional facility on a 7500m3 plot bisected by a seasonal stream providing drainage to the local area. One potential impact of the activity was reduction of or alteration to the drainage eco-service provided by the seasonal stream.

Issue or cause for concern	**Analysis**	**Finding and conditions/mitigation actions**
The seasonal stream running through the plot drains an area of at least 2 km^2 to the WNW. Diminution or alteration to this drainage "service" could result in increased upstream	As indicated at left, this impact only arises if the drainage "service " provided by the seasonal stream is diminished or altered in some adverse manner. So long as compound design maintains the	Per analysis at left, this potential impact is not significant, so long as the following mitigations are implemented: 1. Total stream capacity cannot be diminished by the development of the compound. (Stream channel on average is 3m x 1m.) 2. The stream must remain substantially in the same channel and cannot, e.g., be re-routed around the property.

pooling & flooding during the rainy season, with associated property damage and increased breeding habitat for disease vectors.	existing service level and construction is managed without disruption to stream flow, actual adverse impact will be negligible or zero.	3. If construction will result in an interruption to stream flow, provision must be made to provide a temporary bypass. Temporary damming of stream flow is not permissible. 4. Post-construction, the stream bed within the property, including point-of-entry (e.g. via culvert under perimeter wall) must be maintained free of obstructions to flow.

E. Environmental Mitigation and Monitoring Plan (EMMP). Set out how compliance with mitigation actions will be monitored/verified. This includes specifying WHO will be responsible for the various mitigation actions, and HOW implementation of the mitigation actions will be tracked/verified.

Also specify how you will report to USAID on the implementation of mitigation actions. (You are REQUIRED to provide your C/AOTR with sufficient information on the status of mitigation implementation for USAID to effectively fulfill its oversight and performance monitoring role.) Again, choose a format and structure that presents the necessary information clearly and succinctly. EMMPs are typically in table format, and often include a compliance log or "monitoring record" section that records implementation status of the various mitigation actions. The EMMP with current monitoring log can then simply be submitted to the C/AOTR with the quarterly or 6-month project report, satisfying the environmental compliance reporting requirement.

The most basic EMMP format is

Mitigation action	Responsible Party	Monitoring/Verification Method	Monitoring Record (date, result, corrective actions taken, if any)

For additional EMMP formats and examples, see the ENCAP EMMP factsheet, available via www.encapafrica.org/meoEntry.htm

F. Other Information. Where possible and as appropriate, include photos of the site and surroundings; maps; and list the names of any reference materials or individuals consulted. (Pictures and maps of the site can substantially reduce the written description required in parts B & C)

Step 6. Transcribe findings from the Environmental Review Report to the ERF

For each high-risk or unknown/moderate-risk activity, transcribe your finding from the environmental review report to the last column of Section B of the ERF.

Step 7. Sign certifications (Section C of former.)

Step 8. Submit form to USAID C/AOTR. Be sure to attach the Environmental Review Report, if any.

Environmental Review Form for CARPE Program subprojects/subgrants

Follow, but do not submit, the attached instructions.

CARPE III.

Parent IEE: CARPE III_IEE (link to ECD: http://gemini.info.usaid.gov/egat/...)

A. Applicant information

Organization	Parent grant or project (if sub-grant)
Individual contact and title	Address, phone & email (if available)
Proposed subproject /subgrant (brief description)	Amount of funding requested
	Period of performance
	Location(s) of proposed activities

B. Activities, screening results, and findings

Proposed activities (Provide DESCRIPTIVE listing. Continue on additional page if necessary)	**Screening result** (Step 3 of instructions)			**Findings** (Step 6 of instructions. Complete for all moderate/unknown and high-risk activities ONLY)		
	Very Low Risk	High-Risk*	Moderate or unknown risk*	significant adverse impacts are very unlikely	With specified mitigation, significant adverse impacts are very ulikely	Significant Adverse impacts are possible
1.						
2.						
3.						
4.						
5.						
6.						
7.						
8.						

*These screening results require completion of an Environmental Review Report

C. Certification:

I, the undersigned, certify that:

1. The information on this form and accompanying environmental review report (if any) is correct and complete.
2. Implementation of these activities will not go forward until specific approval is received from the C/AOTR.
3. All mitigation and monitoring measures specified in the Environmental Review Report will be implemented in their entirety, and that staff charged with this implementation will have the authority, capacity and knowledge for successful implementation.

(Signature) _____ (Date) _____

(Print name) _____ (Title) _____

Note: if screening results for *any activity* are "high risk" or "moderate or unknown risk," this form is not complete unless accompanied by an environmental review report.

BELOW THIS LINE FOR USAID USE ONLY

Notes:

1. For clearance to be granted, the activity MUST be within the scope of the activities for which use of the ERF is authorized in the governing IEE. **Review IEE before signature.** If activities are outside this scope, deny clearance and provide explanation in comments section. The Partner, C/AOTR, MEO and REA must then confer regarding next steps: activity re-design, an IEE or EA.
2. Clearing an ERF containing one or more findings that **significant adverse impacts are possible** indicates agreement with the analysis and findings. It does NOT authorize activities for which "significant adverse impacts are possible" to go forward. It DOES authorize other activities to go forward. The Partner, C/AOTR, MEO and REA must then confer regarding next steps: activity redesign, an IEE or EA.

Clearance record

C/AOTR ☐ Clearance given ☐ Clearance denied	(print name)	(signature)	(date)
USAID/DRC MEO ☐ Clearance given ☐ Clearance denied	(print name)	(signature)	(date)
Regional Env. Advisor (REA) ☐ Clearance given ☐ Clearance denied	(print name)	(signature)	(date)

Bureau Env. Officer (BEO)* ☐ Clearance given ☐ Clearance denied	(print name)	(signature)	(date)

C/AOTR, MEO and REA clearance is required. BEO clearance is required for all “high risk” screening results and for findings of “significant adverse impacts possible. The BEO may review ”

USAID FROM THE AMERICAN PEOPLE | CARPE

Supplement to the Environmental Review Form for Natural Resources Activities

Additional Screening Criteria for Natural Resource Activities under USAID/CARPE

Purpose

This is a supplement to the "Instructions for environmental review of USAID/CARPE/activities." It is to be used for natural *resources-based activities*, including:

- Community-Based Natural Resource Management (CBNRM)
- Ecotourism
- Natural resources-based enterprise development with micro- and small enterprises

This supplement provides additional questions to ascertain whether these proposed activities should be categorized as "very low risk:"

- If the answers to ALL the questions that follow are "NO," then the proposed natural resource-based activity is considered "very low risk."
- If the answer to ANY question is "YES," the activity CANNOT be considered "very low risk."

Screening criteria

Will the activities…	YES	NO
Natural Resources		
Accelerate erosion by water or wind?		
Reduce soil fertility and/or permeability?		

Will the activities…	YES	NO
Alter existing stream flow, reduce seasonal availability of water resources?		
Potentially contaminate surface water and groundwater supplies?		
Involve the extraction of renewable natural resources?		
Lead to unsustainable use of renewable natural resources such as forest products?		
Involve the extraction of non-renewable natural resources?		
Restrict customary access to natural resources?		
Reduce local air quality through generating dust, burning of wastes or using fossil fuels and other materials in improperly ventilated areas?		
Affect dry-season grazing areas and/or lead to restricted access to a common resource?		
Lead to unsustainable or unnecessarily high water extraction and/or wasteful use?		
Ecosystems and Biodiversity		
Drain wetlands, or be sited on floodplains?		
Harvest wetland plant materials or utilize sediments of bodies of water?		
Lead to the clearing of forestlands for agriculture, the over-harvesting of valuable forest species?		
Promote in-forest bee keeping?		
Lead to increased hunting, or the collection of animals or plant materials?		
Increase the risks to endangered or threatened species?		
Introduce new exotic species of plants or animals to the area?		
Lead to road construction or rehabilitation, or otherwise facilitate access to fragile areas (natural woodlands, wetlands, erosion-prone areas)?		
Cause disruption of wildlife migratory routes?		
Agricultural and Forestry Production		
Have an impact on existing or traditional agricultural production systems by reducing seed availability or reallocating land for other purposes?		
Lead to forest plantation harvesting without replanting, the burning of pastureland, or a reduction in fallow periods?		

Will the activities…	YES	NO
Affect existing food storage capacities by reducing food inventories or encouraging the incidence of pests?		
Affect domestic livestock by reducing grazing areas, or creating conditions where livestock disease problems could be exacerbated?		
Involve the use of insecticides, herbicides and/or other pesticides?		
Community and Social Issues		
Have a negative impact on potable water supplies?		
Encourage domestic animal migration through natural areas?		
Change the existing land tenure system?		
Have a negative impact on culturally important sites in the community?		
Increase in-migration to the area?		
Create conditions that lead to a reduction in community health standards?		
Lead to the generation of non-biodegradable waste?		
Involve the relocation of the local community?		
Potentially cause or aggravate land-use conflicts?		

Annex 2

HEALTHCARE WASTE MANAGEMENT FOR SMALL SCALE FACILITIES:

MINIMAL PROGRAM CHECKLIST [8] AND ACTION PLAN

Small-scale facilities require a sound healthcare waste management system to minimize adverse health and environmental impacts caused by their wastes. The following elements of a complete minimal healthcare waste management program should be in place in all facilities:

Elements/Actions	***In Place?***	***To be Done***		***Outcome Expected***
		By Whom	***By When***	
Written plans and procedures				
1. *A written waste management plan* Describing all the practices for handling, storing, treating, and disposing of hazardous and non-hazardous waste, as well as types of worker training required.				
2. *Internal rules for generation, handling, storage, treatment, and disposal of healthcare waste.*				
3. *Clearly assigned staff responsibilities that cover all steps in the waste management process*.				
4. *Staff waste handling training curricula or a list of topics covered.*				
5. *Waste minimization, reuse, and recycling procedures*.				
Staff Training, Practices, and Protection				
6. *Staff trained in safe handling, storage, treatment, and disposal*. Do staff exhibit good hygiene, safe sharps handling, proper use of protective clothing, proper packaging and labeling of waste, and safe storage of waste? Do staff know the correct responses for spills, injury, and exposure?				
7. *Protective clothing available for workers who move and treat collected infections waste* such as surgical masks and gloves, aprons, and boots.				
Staff Training, Practices, and Protection cont'd.				
8. *Good hygiene practices*. Are soap and, ideally, warm water readily available workers to use and can workers be observed regularly washing.				

[8] Adapted from "Healthcare waste: Generation, handling, treatment and disposal," in *Environmental Guidelines for Small Scale Activities in Africa, 2nd Edition (Working Draft)*. Washington, D.C., USAID AFR/SD. 2002. http://www.encapafrica.org/EGSSAAsectionsfrom18Jun01draft/EGSSAA3-13medwastedraft.pdf

9. *Workers vaccinated* for against viral hepatitis B, tetanus infections, and other endemic infections for which vaccines are available.				
Handling and Storage Practices				
10. *Temporary storage containers and designated storage locations*. *11.* Are there labeled, covered, leak-proof, puncture-resistant temporary storage containers for hazardous healthcare wastes?				
12. *Minimization, reuse, and recycling procedures*. • Does the facility have good inventory practices for chemicals and pharmaceuticals, i.e.: o use the oldest batch first; o open new containers only after the last one is empty; procedures to prevent products from being thrown out during routine cleaning; and				
13. *A waste segregation system*. • Is general waste separated from infectious/hazardous waste? • Is sharp waste (needles, broken glass, etc.) collected in separate puncture-proof containers? • Are other levels of segregation being applied e.g. hazardous liquids, chemicals and pharmaceuticals, PVC plastic, and materials containing heavy metals ((these are valuable, but less essential)?				
14. *Temporary storage containers and designated storage locations*. • Are there labeled, covered, leak-proof, puncture-resistant temporary storage containers for hazardous healthcare wastes? • Is the location distant from patients or food?				
Treatment Practices				
1. Frequent removal and treatment of waste				

• *Are wastes collected daily?* • *Are wastes treated with a frequency appropriate to the climate and season?* o *Warm season in warm climates within 24 hrs* o *In the cool season in warm climates within 48 hrs* o *In the warm season in temperate climates within 48 hrs* o *In the cool season in temperate climates within 72 hrs*				
15. *Treatment mechanisms for hazardous and highly hazardous waste. (The most important function of treatment is disinfection).* • *Are wastes being burned in the open air, in a drum or brick incinerator, or a single-chamber incinerator?* • *If not are they being buried safely (in a pit with an impermeable plastic or clay lining)?* • *Is the final disposal site (usually a pit) surrounded by fencing or other materials and in view of the facility to prevent accidental injury or scavenging of syringes and other medical supplies?* • *If the waste is transported off-site, are precautions taken to ensure that it is transported and disposed of safely?*				

For more detailed checklists and guidance consult: *Safe management of wastes from health-care activities*, edited by A. Prüss, E. Giroult and P. Rushbrook. Geneva, WHO, 1999, 228 pages. *English (French and Spanish in preparation)* Available at: http://www.who.int/water_sanitation_health/Environmental_sanit/MHCWHanbook.htm

ANNEX 3

ENVIRONMENTAL MONITORING AND MITIGATION PLAN AND REPORT

An EMMP should either be included in or developed for (1) **all IEEs** that have at least one "Negative Determination with Conditions" and (2) all Environmental Assessments (EAs). If the EMMP is not developed as part of the IEE, the implementing partner should usually lead development of the EMMP, subject to review and oversight by the MEO and C/AOTR. In all cases, the tasks identified in the EMMP are incorporated into the implementing partner's Work Plan, budget, and reporting.

The following EMMP format is recommended. It can be adapted, as necessary.

A. ENVIRONMENTAL MONITORING AND MITIGATION PLAN (EMMP) TEMPLATE

Activity Title:

Implementing Partner:

Activity	Mitigation measure(s)	Monitoring indicator(s)	Monitoring and Reporting Frequency	Party(ies) responsible.
List all activities in IEE that received a "negative determination with conditions." *Do not list any other activities.*	If mitigation measures are well-specified in the IEE, quote directly from IEE If they are not well-specified in the IEE, define more specifically here.	Specify indicators to (1) determine if mitigation is in place and (2) successful. For example, visual inspections for seepage around pit latrine; sedimentation at stream crossings, etc.)	For example: "monitor weekly, and report in quarterly reports. If XXX occurs, immediately inform USAID activity manager."	If appropriate, *separately* specify the parties responsible for mitigation, for monitoring and for reporting.

B. ENVIRONMENTAL MONITORING AND MITIGATION REPORT (EMMR) TEMPLATE

EMMR Part 1 of 3: Environmental Verification Form

USAID/CARPE Award Name: _____

Name of Prime Implementing Organization: _____

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

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

Date of Screening:_____

Funding Period for this award: FY____- FY____

Current FY Resource Levels: FY_____

This report prepared by:
Name:_____ Date: _____

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

Indicate which activities your organization is implementing under CARPE funding.
Key Elements of Program/Activities Implemented

Activity Group	*Group Description*	*Yes*	*No*
1			
2			
3			
4			
5			
6			
7			

EMMR Part 2 of 3: Mitigation Plan

.

Category of Activity	Describe specific environmental threats of your organization's activities	Description of Mitigation Measures for these activities	Who is responsible for monitoring	Monitoring Indicator	Monitoring Method	Frequency of Monitoring
1.						
2.						
3.						
4.						
5.						

EMMR part 3 of 3: Reporting Form

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

Certification

I certify the completeness and the accuracy of the mitigation and monitoring plan described above for which I am responsible and its compliance with the CARPE IEE:

_____ _____

Signature Date

_____

Print Name

_____

Organization

_____

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USAID/CAR Clearance of EMMR:

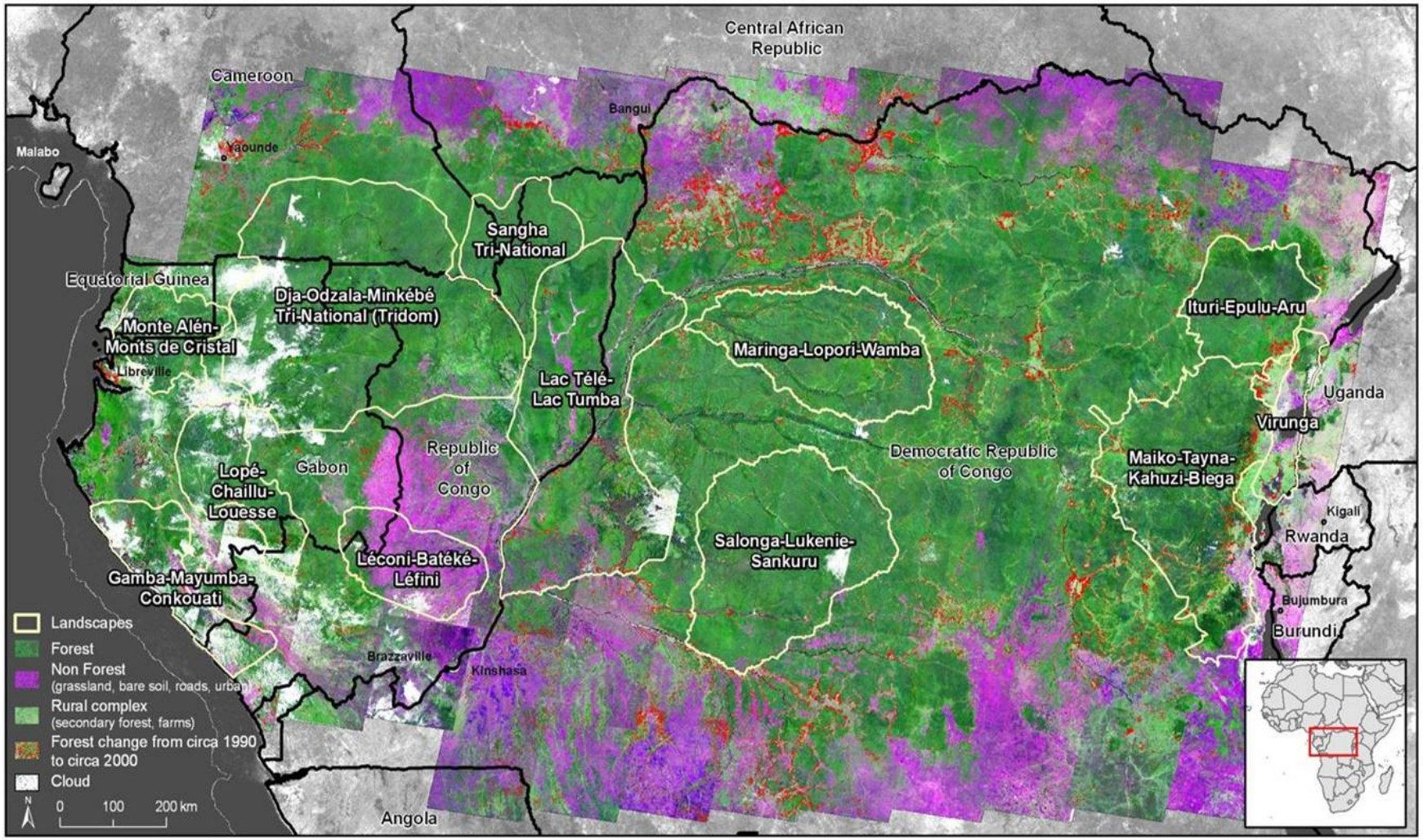
Contracting Officer's / Agreement Officer's Technical Representative: _____
Date: _____

Mission Environmental Officer: _____ Date: _____

As appropriate: REA, BEO [depending on nature of activity, which potentially may require an EA]

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

ANNEX 4: TWELVE CONGO BASIN FOREST PARTNERSHIP (CBFP) LANDSCAPES



Where CARPE works. URL; http://carpe.umd.edu/works/index.php?tab=2

ANNEX 5: Central Africa Regional Program for the Environment (III) RESULTS FRAMEWORK