

**AMENDED  
INITIAL ENVIRONMENTAL EXAMINATION  
AND/OR CATEGORICAL EXCLUSION**

**PROGRAM/ACTIVITY DATA:**

**Program/Activity Number:** 605-0010.00  
**Country/Region:** Central Africa, Managed by USAID/DRC  
**Program/Activity Title:** Central African Regional Program for the Environment (CARPE)  
**Funding Begin:** FY2003 **Funding End:** FY2010 **LOP Amount:** \$55 million (\$45 million, DA, \$10 million ESF)

**Original IEE Prepared By:** Mary Hobbs, Environment Officer, USAID/REDSO 07/31/03 **Revised:** 09/03/03

**IEE Amendment (Y/N):** Y If "yes", File name & date of original IEE: 33 DRC1 CARPEII.doc, 8/29/2003

**Amendment Prepared By:** Ralph Conley, Deputy Director, CARPE /signed/  
**Current Date:** May 3, 2004

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

Categorical Exclusion:   X   Negative Determination:   X    
Positive Determination:        Deferral:   X  

**ADDITIONAL ELEMENTS:** (Place X where applicable)

CONDITIONS:   X   PVO/NGO:   X  

**SUMMARY OF FINDINGS**

This amendment to the subject IEE recommends changes in threshold determinations in the IEE for the Central African Regional Program for the Environment Phase II (CARPE II). It recommends changing the Positive Determination in the original IEE to a Categorical Exclusion and Negative Determination, for those activities associated with Reduced Impact Logging (RIL) and Sustainable Forest Management, respectively. Likewise, threshold determinations are provided for those activities for which a Deferral had been recommended, due to insufficient information at the time. Thus, this IEE resolves the previous deferrals. **Except as noted above, all other terms and conditions remain in force and unchanged, and are recapitulated in the present amendment of the CARPE II IEE, for the sake of clarity and coherence** (with the exception of Section 2 and Annexes 1-4 in the original IEE, not included here).

The Strategic Objective of the Program is to reduce the rate of forest degradation and loss of biodiversity through increased local, national, and regional natural resource management capacity. There are three Intermediate Results (IRs) to be covered under this IEE:

- IR1, "Sustainable Natural Resources Management Practices Applied",
- IR2, "Natural Resources Governance Institutions, Policies, Laws Strengthened", and
- IR3, "Natural Resources Monitoring Institutionalized."

The IEE covers the strategy period FY 2003-2010. Most of the activities addressed herein were initiated and developed under the previous CARPE I project, and have been proven to be beneficial to the environment and to sustainable management of natural resources in the Congo Basin.

**A. Amendments to Threshold Decisions:**

Changes are recommended in the Positive Determination for Capacity Building in Reduced Impact Logging (RIL) and Sustainable Forest Management for Global Development Alliance (GDA) activities as follow. Accordingly, pursuant to 22 CFR 216.3 (a)(2)(iii), **Negative Determinations with Conditions are recommended for:**

1. Preparation of Sustainable Forest Management (SFM) plans.
2. Capacity building and applied research activities involving GDA-funded Reduced Impact Logging.

The **conditions** are the following:

- best practices in community-base NRM and forest management will be adhered to, as provided in the relevant chapters of the Africa Bureau *Environmental Guidelines for Small-scale Activities* (EGSSAA) (see <http://www.encapafrika.org/EGSSAA>);
- any SFM plans that promote wood harvesting in relatively undegraded forests, as opposed to those which serve to reduce the impact of wood harvesting activities that would otherwise still occur without CARPE intervention, may not be implemented prior to preparation and approval of an Environmental Assessment.

**These recommendations supercede the threshold decision that resulted in a Positive Determination for the above activities in the CARPE II IEE approved on August 29, 2003. Subject to the conditions above, and elaborated in Section 4, a programmatic environmental assessment is no longer deemed appropriate for these activities, and the recommendation that one be conducted is hereby rescinded.**

Further explanations are provided in Sect. 4.1.4.

**B. Reclassification of Deferred Activities:**

Threshold determinations were deferred for seven sets of activities under the earlier CARPE II Initial Environmental Examination approved Sept. 29, 2003. **This IEE resolves the Deferrals with the recommended determinations as detailed below.** The deferrals were recommended because information available at the time was insufficient to determine the size and extent of the activities, which now have been defined.

1. **Negative Determinations with Conditions are recommended**, per 22 CFR 216.3(a)(2)(iii) for the following previously deferred activities:

- a) **Build Community Conservation Centers** (Sub IR 1.2). Centers will be within the 10,000 square feet surface area disturbed size limit for small construction, and follow the guidelines as described in the USAID/AFR *Environmental Guidelines for Small Scale Activities in Africa* (EGSSA) located at: [www.encapafrika.org](http://www.encapafrika.org).
- b) **Establish health clinic(s) with humanitarian partners** (Sub IR 1.3). Small buildings less than 10,000 square feet will be constructed or repaired to receive populations for vaccines and health care. Guidelines for environmentally sound construction and healthcare waste management will be followed as described in the USAID/AFR *Environmental Guidelines for Small Scale Activities in Africa* (EGSSA) located at: [www.encapafrika.org](http://www.encapafrika.org):

Chapter 4	Construction
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- c) **Pilot studies on disease cross-transmission between humans and fauna** (Sub IR 1.2). This is to document occurrences, causes, types and frequencies. To the some extent this involves carefully controlled research, and thus poses risk factors with respect to human and animal subjects. Thus, **conditions** are specified regarding the following of U.S. National Institutes of Health standards for animal and humans subject research (See Sect. 4.1.14).

## 2. **Categorical Exclusions Requested** (previously Deferred):

- d) **Establish operational GIS Data Centers** in Gamba and Iguela (Sub IR 3.1). This involves the installation of computers and software in small buildings with satellite access and use of hand held GPS machines. No construction is involved.
- e) **Help INDEFOR & ECOFAC complete construction, and acquisition of equipment** (Sub IR 1.2), This involves minor rehabilitation of the interior of existing facilities and providing of technical equipment which has no implications for the environment

Categorical Exclusions are justified for the above on the basis of: 22CFR216.2(c)(2)(i) [education, technical assistance, training]; 22CFR216.2(c)(2)(iii) [analyses, studies, workshops and meetings]; 22CFR216.2(c)(2)(v) [document and information transfer]; and 22 CFR 216.2(c)(2)(xiv) [programs intended to develop the capability of recipient countries and organizations to engage in development planning].

## 3. **No Decision Required.**

- f) **Construction of an airstrip(s)** (Sub IR 1.2), No airstrip will be constructed with CARPE funds, thus no environmental threshold decision is called for.

## 4. **Deferral continued:**

A **deferral of a threshold determination**, per 22 CFR 216.3(a)(7)(iii), is recommended to continue for the following activity:

- g) Re-opening and maintenance of existing roads (IR 1.1)

CARPE program management indicates that no activities under this heading have been supported by CARPE to date. No such activity(ies) may proceed until the IEE is amended to remove the deferral, once the appropriate environmental review has occurred.

**C. Existing Categorical Exclusions** (See original IEE: 33 DRC1 CARPE II IEE (posted to the Africa Bureau's BEO Actions Tracker at [www.afr-sd.org/iee](http://www.afr-sd.org/iee)).

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. Categorically Excluded activities require no further environmental review, but are expected to be conducted with good environmental management practice, which if followed, will avoid harm to the environment. **The following activities under IR 1, 2 and 3, are recommended for Categorical Exclusions:**

IR1: Sustainable Natural Resources Management Practices Applied:

- Research, inventories and meetings to inform the development of integrated land use plans;

- Training in Reduced Impact Logging (RIL)
- Pilot studies on disease cross-transmission between humans and fauna
- Training and provision of monitoring equipment for eco-guards;
- Capacity building for institutions charged with protected area management;
- Trans-boundary cooperation on conservation patrols and enforcement;
- 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.

IR2.: Natural Resources Governance Institutions, Policies and Laws Strengthened:

- Review and analysis of legislative and policy frameworks governing management of natural resources;
- Workshops and consultative processes aimed at legislative and policy reform and transboundary 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.

IR3 : Natural Resources Monitoring Institutionalized:

- 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.

The above activities involve research, analyses, technical assistance, training, and education, institutional strengthening, communications and information exchange activities related to conservation and landscape management under IR1, 2 and 3 to develop the capability of recipient countries and organizations for development planning. As such, they have no significant adverse impact on the physical and biological environment and are recommended for Categorical Exclusions as per **22 CFR 216.2(c)(2), specifically** on the basis of: 22CFR216.2(c)(2)(i) [education, technical assistance, training]; 22CFR216.2(c)(2)(iii) [analyses, studies, workshops and meetings]; 22CFR216.2(c)(2)(v) [document and information transfer]; and 22 CFR 216.2(c)(2)(xiv) [programs intended to develop the capability of recipient countries and organizations to engage in development planning].

#### **D. Existing Threshold Determinations**

##### **Negative Determinations with Conditions:**

**A Negative Determination with Conditions** is recommended for each 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 in Section 4. Summarized, 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), (<http://www.encapafrika.org/SmallScaleGuidelines.htm>), 2<sup>nd</sup> Edition. Appropriate sectoral guidance will be followed, as reflected in these guidelines. Below is a list of the specific sectors covered in the EGSSAA.

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 CARPE II 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.encapafrika.org](http://www.encapafrika.org)), which the CARPE regional program plans to host in the DRC. Key CARPE program staff and implementing partners should be encouraged to participate in this course.

The relevant activity clusters (See Sect. 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;
- 4) Community reserves mapped, demarcated, registered and gazetted.

#### **Private and Community-based Management Initiatives:**

- 1) Mobilize communities, elect and train management committees for the community forest reserves;
- 2) Community based Reserve Naturelle is advanced as a viable management option for the 11,000 square km swamp forest area at the confluence of the Oubangi and Congo rivers;
- 3) Support empowerment of local communities to manage their fishing grounds;
- 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; and
- 9) Promote development of appropriate legal and policy framework to enhance CBNRM initiatives.

#### **Construction and Infrastructure Development**

- 1) Construction of park headquarters in a variety of parks and protected areas;
- 2) Construction/establishment of satellite camps for park guards and researchers;
- 3) Construction of eco-guard housing, office space, workshops and store-rooms;
- 4) Construction of education centers close to national parks; and
- 5) Refurbishing and rehabilitation of housing, patrol posts, and research centers.
- 6) Build Community Conservation Center(Sub IR 1.2),
- 7) Establish health clinic with humanitarian partners (Sub IR 1.3), and
- 8) Establish operational GIS Data Centers in Gamba and Iguela (Sub IR 3.1),

### **Creation and delimitation (mapping) of boundaries for national parks, protected areas, and biodiversity sanctuaries**

- 1) Finalize creation of Bateke Plateau National Park, including legal gazettelement;
- 2) Create a gorilla sanctuary;
- 3) Establish new protected areas; and
- 4) Park boundary mapping undertaken.

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

- 1) A management plan for the Lefini National Park and its surrounding landscape.
- 2) A management plan for the Dzanga National Park and the Special Reserve;
- 3) A constitution and management plans for community conservation areas;
- 4) INDEFOR develop management plans and appropriate zoning; and
- 5) Development and endorsement of protected area management plans.

### **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

### **Pilot Ecotourism Activities**

- 1) 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.

### **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) Registration and incorporation of community business ventures;
- 5) 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);
- 7) Execute at least 5 small NGO grant projects to develop natural resource-based enterprise.

### **Agricultural Interventions**

- 1) Pilot community agricultural development project; and
- 2) Measures taken to reduce erosion, including introduction of vetiver technology, establishment of tree nurseries, and tree alley cropping;

### **Collection of Live Specimens**

- 1) Regular expeditions to collect geo-referenced specimens; and
- 2) Plant specimens collected in this region sent to international and regional herbaria.

Specific Mitigation Conditions are provided in Section 4 for all the above.

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

As required by ADS 204.5.4, the SO 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 must be prepared.

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

**CLEARANCE:**

Mission Director: \_\_\_\_\_ /signed/ \_\_\_\_\_ Date: 06/07/05  
Robert Hellyer

**APPROVAL:**

Bureau Environmental Officer: Brian Hirsch \_\_\_\_\_ Date: 6/08/05  
Brian Hirsch

File No: 35DRC1\_CARPEII\_amend.doc (USAID/W BEO)

**ADDITIONAL CLEARANCES:**

DRC Mission Environmental Officer: Raymond Lumbuenamo \_\_\_\_\_ /cleared/ \_\_\_\_\_ Date: 06/02/2004

CARPE Team Leader: John Flynn \_\_\_\_\_ /signed/ \_\_\_\_\_ Date: 06/02/04

Sr. Regional Environmental Officer, REDSO: Walter I. Knausenberger \_\_\_\_\_ /cleared/ \_\_\_\_\_ Date: May 13, 2004

Regional Environmental Officer, REDSO: Mary Hobbs \_\_\_\_\_ /cleared/ \_\_\_\_\_ Date: May 11, 2004

**OPTIONAL CLEARANCES:**

General Counsel (Africa Bureau) Tanya Nunn \_\_\_\_\_ /reviewed in draft/ \_\_\_\_\_ Date: \_\_\_\_\_

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

**CLEARANCE:**  
Mission Director: Robert Hellyer Date: 6/7/05  
Robert Hellyer

**APPROVAL:**  
Bureau Environmental Officer: \_\_\_\_\_ Date: \_\_\_\_\_  
Brian Hirsch

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**ADDITIONAL CLEARANCES:**  
DRC Mission Environmental Officer: /cleared/ \_\_\_\_\_ Date: 06/02/2004  
Raymond Lumbuenamo

CARPE Team Leader: /signed/ \_\_\_\_\_ Date: 06/02/04  
John Flynn

Sr. Regional Environmental Officer, REDSO: /cleared/ \_\_\_\_\_ Date: May 13, 2004  
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Mary Hobbs

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General Counsel (Africa Bureau) /reviewed in draft/ \_\_\_\_\_ Date: \_\_\_\_\_  
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