



ADS 201 - Planning & Achieving





Overview

- ADS 201 specifies planning policies and responsibilities
- 2 environmental aspects
 - Technical analysis for operating unit strategic plans
 - Pre-obligation requirements in activity planning



Operating unit strategic plans

- **201.3.8.2 Environmental Analysis**
Mandatory component of country-level operating unit strategic plans under FAA 118(d) and 119(e)
- **Biodiversity analysis.** All CSPs, ISPs must include:
 - Actions necessary to conserve biological diversity
 - Extent to which actions proposed meet these needs
- Contact EGAT Biodiversity Team for additional information



Operating unit strategic plans

- For countries w/ ANY territory within the tropics, analysis must ALSO include:
 - Analyses of actions necessary to achieve conservation and sustainable management of tropical forests
 - Extent to which proposed actions meet these needs
 - See Mandatory Ref:
<http://www.usaid.gov/pubs/ads/200/200saj.pdf>
and contact the EGAT Forestry Team



Sector Assessment

- Encouraged for any new sector in which USAID will work. For environment see:
 - <http://www.usaid.gov/pubs/ads/200/200saj.pdf> mentioned above, and Policy Determination (PD) #6
 - <http://www.usaid.gov/pubs/ads/200/pd6.pdf>



Pre-Obligation Requirements

- Environmental Review (201.3.12.2b)
 - Request for CE, IEE, or EA (as appropriate under Reg 216) must be completed and approved by BEO BEFORE obligation of funds



Pre-Obligation Reqs (Cont'd)

→ Adequate environmental review normally requires:

- Detailed description & analysis of planned interventions
- Recommended mitigative measures
- Local public participation in review process



Pre-Obligation Reqs (Cont'd)

"If Operating Units do not allocate resources and define such details at the pre-obligation planning stage, they must, at minimum:

- request and receive from their BEO a written request to defer review and incorporate appropriate conditions precedent to disbursement that will ensure proper env. review before disbursement
- be prepared to modify and **fund** revisions to the SO and its activities, if necessary



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Pre-Obligation Reqs Biosafety

- **Biosafety.** Particular requirements apply to environmental review of activities involving GMOS



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Biosafety (Cont'd)

- Use of GMOs in research, field trials, or dissemination, must be reviewed and approved for compliance by the Agency Biosafety Committee
 - Before the obligation of funds, and
 - Before transfer, testing, or release of biotechnology products into the environment
- Often involves external peer review or comparable safety oversight by other U.S. federal agencies
- Budget adequate time and funding in the design process



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Biosafety (Cont'd)

- Contact USAID/Washington as early in design process as possible to ensure timely handling
- Biosafety review can not be waived or delegated to the field.



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Biosafety (Cont'd)

- Additional biosafety guidance is under development –
 - consult directly with Agency biosafety staff based in EGAT, the Bureau for Global Health, or the Agency Environmental Coordinator, if there is potential for use of GMOs



Global Climate Change and the Knollenberg Amendment

- If the Operating Unit will potentially undertake GCC activities, the GCC team based in EGAT must review and approve the activity for compliance with the Knollenberg Amendment. See <http://www.usaid.gov/pubs/ads/200/200maa.pdf>



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The Kyoto Protocol

- Adopted as a protocol to the FCCC in '97, but not yet entered into force
- Obligates industrialized countries to achieve quantified targets for decreasing their greenhouse gas emissions.
- Under the Protocol industrialized countries are required to reduce overall emissions of major greenhouse gases (including carbon dioxide, methane, nitrous oxide, chlorofluorocarbons, and others) by at least 5 percent below 1990 levels between the years 2008 and 2012



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Kyoto Protocol (Cont'd)

- To enable Parties to reach their targets, the Protocol provides for three market mechanisms:
 - *Emissions Trading*—Parties with emissions-reductions commitments may trade emission allowances with other Parties;
 - *Joint Implementation (JI)*—countries with emissions-reductions commitments meet their obligations for reducing their greenhouse gas emissions by investing in emissions-reduction activities in other countries with emissions targets; and



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Kyoto Protocol (Cont'd)

- *Clean Development Mechanism (CDM)*—enables industrialized countries with emissions-reductions commitments to finance emissions-avoiding projects in developing countries w/out emissions targets and receive “certified emissions reductions” units for doing so
- See The Kyoto Protocol at <http://www.unfccc.de/resource/docs/convkp/kpeng.html> .



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USAID & GCC (Cont'd)

- *The Knollenberg Amendment*, prevents implementation of the Kyoto Protocol before it is ratified by the Senate
- The Kyoto Protocol is an agreement in principle adopted at the 3rd Conference of the Parties (COP-3) to the UN Framework Convention on Climate Change (UNFCCC) in Kyoto in 1997.
- Unlike the Kyoto Protocol, the U.S. was among the first countries to ratify the overarching UNFCCC in 1992



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UN Framework Convention on Climate Change

- Ratified by more than 185 nations w/ objective:

to stabilize “greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic [human-induced] interference with the climate system.”
- Annual Conference of the Parties (COP) meets to review Convention implementation and Cont'due talks re: the GCC problem.



USAID & GCC (Cont'd)

- USAID actively supports programs, activities and dialog that implement the broader treaty.
- Operating Units need to be careful not to confuse the Kyoto Protocol, which is the subject of the restrictions in this mandatory reference, with the UNFCCC, which the U.S. supports.
- The Kyoto Protocol
 - calls for mandatory emissions targets and timetables for industrialized nations to help reduce global atmospheric concentrations of greenhouse gases, and
 - proposes market-based mechanisms for meeting those targets.



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USAID & GCC (Cont'd)

→ The *Knollenberg Amendment* has been attached to numerous appropriations bills. The impact of the amendment has been to limit federal agencies from spending funds in support of legal/regulatory activities related to implementation, or preparing for implementation, of the Kyoto Protocol.



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USAID & GCC (Cont'd)

Currently, the Bush Administration:

- considers the issue of CC to be serious and in need of action, but
- has opposed the Kyoto Protocol and is undertaking a review of U.S. Government CC policy.
- among the Administration's concerns is the need for developing countries to address the problem, e.g., by agreeing to limit their greenhouse gas emissions, as the U.S. would be required to do



USAID & GCC (Cont'd)

- GCC change poses a major threat to the sustainable development of USAID-assisted countries
- USAID integrates climate-related concerns into its development assistance prgms and promotes an awareness of how CC may affect development programs
- For many years, USAID has supported programs that
 - increase energy efficiency
 - promote use of clean technology & renewable energy
 - protect natural resources
 - reduce urban and industrial pollution, and
 - help build the scientific, management, and regulatory capacities of developing countries



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USAID & GCC (Cont'd)

- These types of activities support UNFCCC objectives, and USAID will continue to fund them
- In addition, USAID helps formulate U.S. Government climate policy and participates in intergovernmental UNFCCC negotiations



COMPLYING WITH THE KNOLLENBERG AMENDMENT

- USAID funds may not be used to issue rules, regulations, decrees, or orders for the purpose of
- implementation, or in preparation for implementation, of the Kyoto Protocol.
- To ensure that USAID compliance, Operating Units must contact the USAID CC Team Leader (see “Contacts” section) when they are unsure about whether their current or proposed programs relating to CC are in violation of this amendment.



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KNOLLENBERG (Cont'd)

- USAID actions generally considered to be in compliance include:
 1. TA and training in areas including:
 - technology transfer, promoting the use of renewable energy, energy efficiency, institution building/strengthening of Ministries of Energy, Environment, Foreign Affairs, and promoting the privatization of energy production and distribution. This may include TA aimed at reducing carbon emissions.
 2. TA and training in areas related to NRM, including:
 - forestry, agriculture, urban and rural land use, and institution building/strengthening of Ministries in developing countries responsible for such activities.



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KNOLLENBERG (Cont'd)

3. Research, policy analysis, and dissemination of analyses on developing country contribution to GCC problems and ideas/options for engaging developing countries in addressing increasing greenhouse gas concentrations.
4. Research and policy analysis, and dissemination of analyses on potential impacts of increases in greenhouse gas concentrations, and dev of adaptation strategies to promote sustainable development
5. Sponsoring conferences for dev country officials and private-sector reps on GCC, including those integral to negotiating efforts of the U.S. Govt



KNOLLENBERG (Cont'd)

➤ **Contacts with Primary Responsibilities**

→ **Climate Change Team Leader (G/ENV)**

Ko Barrett (202) 712-5445 kbarrett@usaid.gov

Serves as a reference for operating units to ensure that USAID complies with the Knollenberg Amendment

→ **Operating Units**

USAID Missions/Offices receiving funds to implement climate-change-related projects must contact the Team Leader if questions exist about their activities complying with Knollenberg

→ **General Counsel's Office**

Team Leader reference when interpretive issues arise with respect to the Knollenberg Amendment



Overview of Activity Planning Requirements (201.3.12.4)

- Operating Units must conduct adequate activity planning. This section summarizes major requirements which include:

Environmental Analysis. Drawing upon the previous env analysis during strategic planning ([201.3.8.2](#)) and the information from the pre-obligation requirement for env impact ([201.3.12.2](#) section b), Operating Units should incorporate the env recommendations into activity planning.

Often additional env analyses may be useful to activity design and should be undertaken at this time.



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Step 9: Additional Activity Planning Considerations (201.3.12.13)

- Operating Units should identify and conduct any additional steps and analyses that were not performed during Strategic Plan or SOAG development
- Not all these considerations need to be documented at activity planning stage. Internal documentation may vary significantly, depending on the nature of activities and “comfort-level” of decision-making officials



Additional Activity Planning Considerations (Cont'd)

- At this point in the process, additional planning considerations include:
 - Completion of any remaining environmental review requirements described in 201.3.12.2 section b.
 - For example, if an Operating Unit received permission from its BEO to defer env review at the pre-obligation stage, the Operating Unit must complete the appropriate env review -- either an IEE, request for CE, EA, or other action under USAID Environmental Procedures – before approving an activity or disbursing funds. (See Mandatory References 22 CFR 216 and 204)



Activity Planning Step 10: Meet

Remaining Pre-Obligation Reqs (201.3.12.14)

- This step applies only when funds have not already been obligated at the Strategic Objective Level
- At this point, remaining pre-obligation requirements should be reviewed in detail based on knowledge now available on the proposed activities, the entities involved, and their relationship with USAID
- This review should meet the requirements related to environmental reviews, statutory reviews, gender analysis, and Congressional notification. If the obligating official is different from the approving official, it may be helpful to use Additional Help [Model Checklist for Pre-Obligation Requirements](#).



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Activity Planning Step 11: Prepare Activity Approval Document (AAD) (201.3.12.15)

- **MANDATORY.** Operating Units must document all program-funded activities in writing through an acceptable Activity Approval Document
- Activity Approval Documents at a minimum must:
 - Briefly describe the activity(ies) including planned inputs and outputs, Irs and SOs that are intended to be achieved with the activity(ies)
 - Demonstrate that all pre-obligation reqs have been met. If funds have not yet been obligated, clearly state that no obligation will be incurred before Congress is notified and funds are made available.
 - Record approval of any waivers of policy or regulations if these apply



Step 11: Prepare Activity Approval Document (AAD)

- Clarify who is responsible for management of the activity inside and outside USAID
- **Summarize how the environmental review requirements set forth in 201.3.12.2 section b have been met.**
 - Outline most signif gender issues needed to be considered during activity implementation; describe expected outcomes or, if the Operating Unit determines that no significant gender issues exist, explain why
- • Describe the methods of implementation and financing selected as described in 202.3.8.1.

