

Required Documentation:
Determination and Overview
(EPTM Chapter 3)



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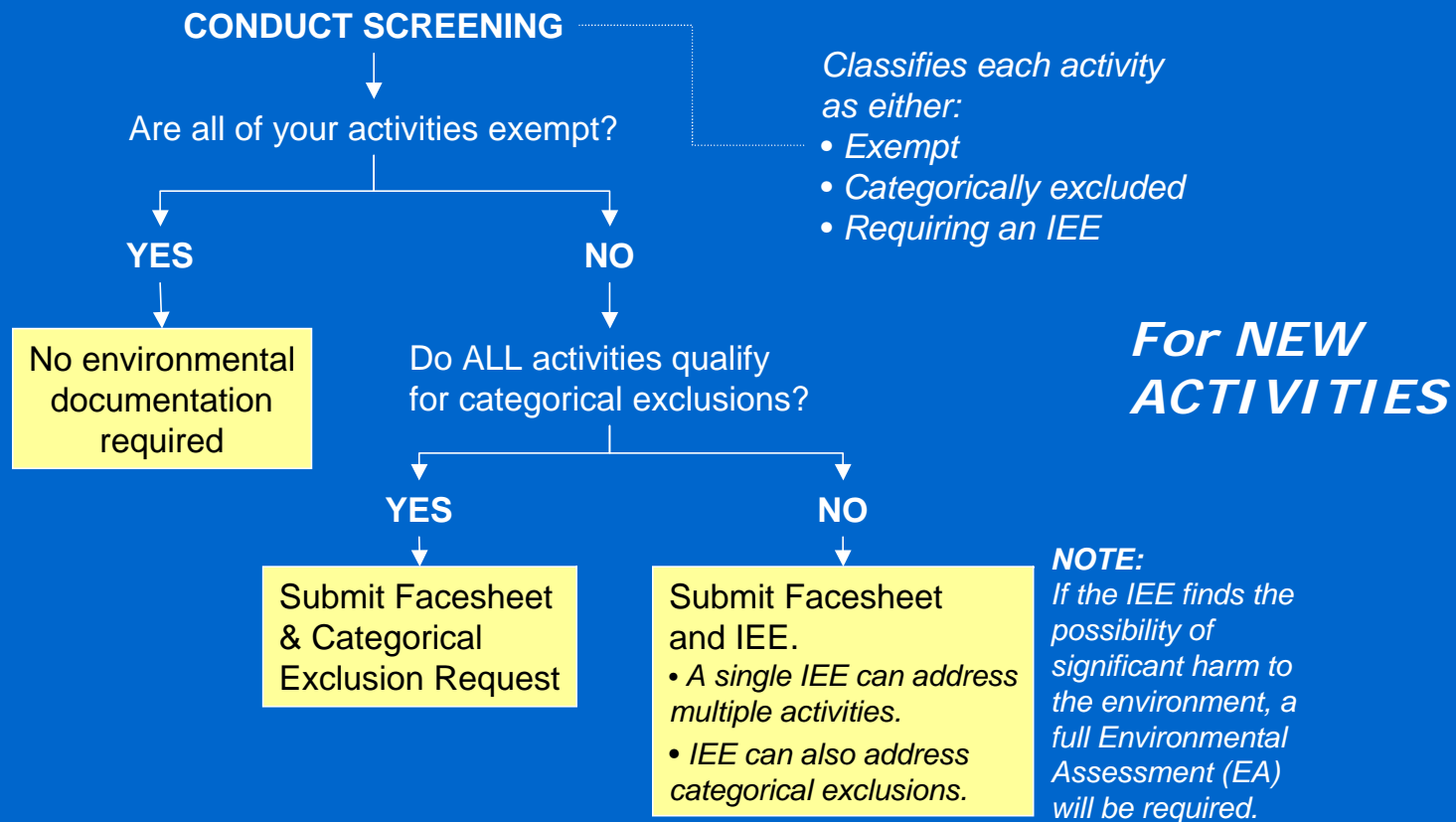
This Section has four parts:

- ◆ What environmental documentation must I submit?
- ◆ The four basic environmental documents: an overview
- ◆ What if the IEE results in a Positive Determination?
- ◆ Preparation, submission and approval process



What environmental documentation must I submit?

◆ Depends on your screening outcomes:



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4 basic documents

- ◆ Facesheet
 - ◆ Always submitted (except for exemptions)
- ◆ Categorical Exclusion Request
 - ◆ When you have only categorical exclusions
- ◆ IEE
 - ◆ When ANY screening outcome is “IEE required”
- ◆ ESR (Environmental Status Report)
 - ◆ Title II only, submitted with each year’s annual report



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Compliance Facesheet

- ◆ Very simple!
 - ◆ Basic activity or Project Information
 - ◆ Indicates whether activity is new or continuing
 - ◆ Screening outcomes
 - ◆ Recommended IEE determination(s), if applicable



Categorical Exclusion Request

- ◆ Used when ALL activities are excluded
- ◆ Includes:
 - ◆ Brief description of activities
 - ◆ Justification of categorical exclusion (I.e., cite the appropriate language in Reg. 216)

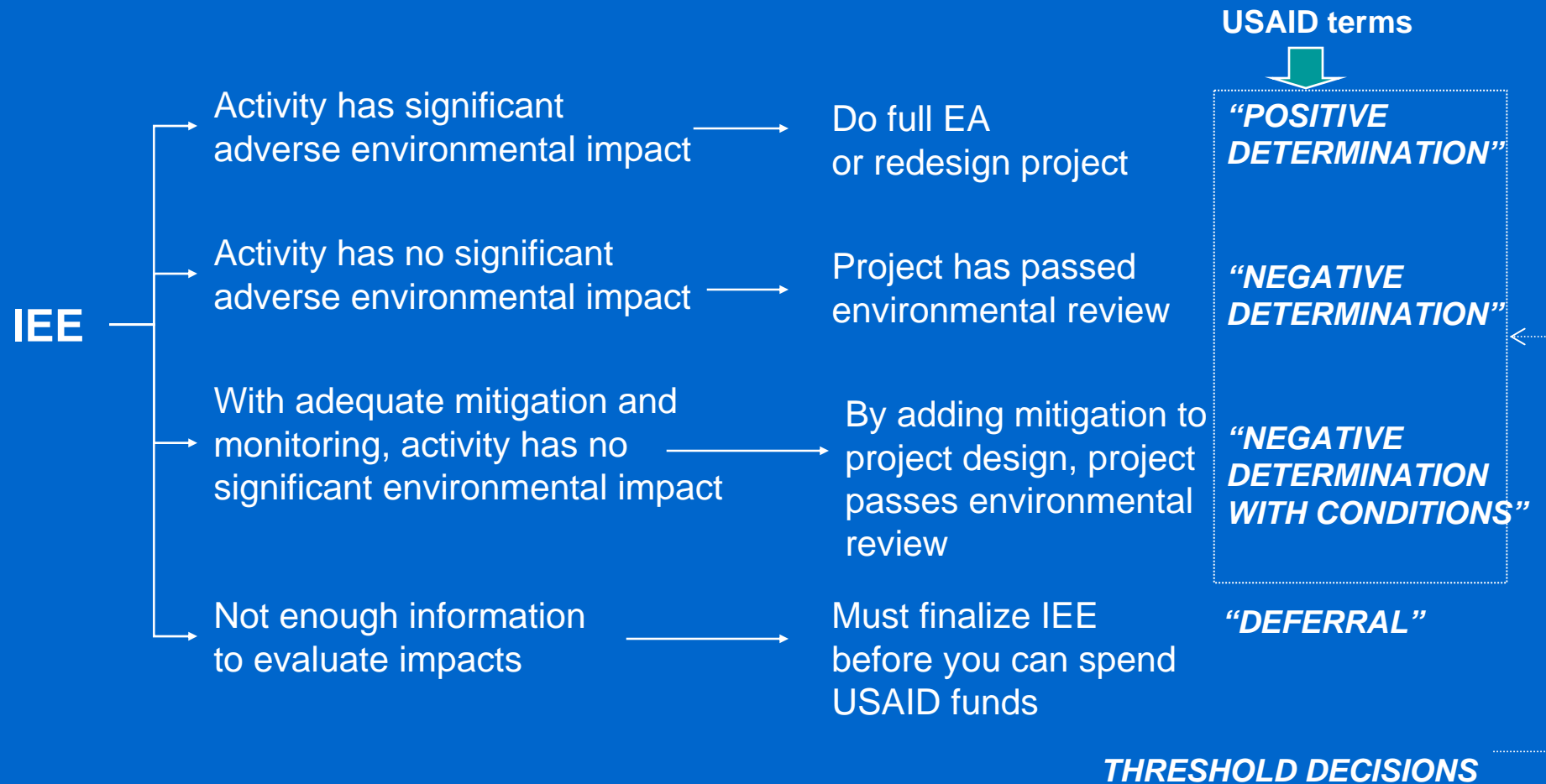


IEE

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- ◆ Used when at least one screening outcome is “IEE required”
- ◆ An IEE:
 - ◆ Is the first review of foreseeable effects on the environment of a proposed action
 - ◆ Indicates whether significant adverse impacts are expected/possible
 - If yes, an EA will be required
 - ◆ Identifies mitigation and monitoring actions needed



Review: IEE outcomes



Basic IEE outline

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- ◇ **Basic Information:** Program/Project Data; Program/Activity; USAID Partner Name; Country/Region:
- ◇ **1 Background and Activity Description**
 - 1.1 Background; 1.2 Description of Activities; 1.3 Purpose and Scope of IEE
- ◇ **2 Country and Environmental Information (Baseline Information)**
 - 2.1 Locations Affected
 - 2.2 National Environmental Policies and Procedures
- ◇ **3 Evaluation of Environmental Impact Potential**
- ◇ **4 Recommended Mitigation Actions (Including Monitoring and Evaluation)**
 - 4.1 Recommended IEE Determinations (*includes justification of categorical exclusions identified during screening*)
 - 4.2 Mitigation, Monitoring and Evaluation
- ◇ **5 Summary of Findings**
 - 5.1 Environmental Determinations; 5.2 Conditions



Environmental Status Report

- ◆ Submitted only for Title II-funded projects
- ◆ Appended to annual report
- ◆ Certifies that mitigation and monitoring are being carried out
- ◆ Identifies changes to implementation that may have environmental effects



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What if the IEE results in a positive determination?

- ◆ A full Environmental Assessment is required
 - ◆ Requires a professional team, significant resources and time
 - ◆ Therefore, consult with the Mission and BEO in ADVANCE regarding a possible positive determination



Preparation, submission and approval process

- ◆ USAID Partner has responsibility for preparing documentation
- ◆ Documentation must accompany project proposals or amendments
- ◆ All Cat Ex and IEEs must be cleared at the Mission level, and then by USAID/Washington
 - ◆ FFP Director forwards to BEO for concurrence. If BEO concurs, this is the last step.



Preparation, submission and approval process

- ◆ Recommended: get USAID feedback on draft documentation BEFORE SUBMISSION
 - ◆ submit draft documentation to MEO
 - ◆ May also submit to BEO or REO for informal review/feedback
 - ◆ **clearly mark and date** all drafts:
 - “DRAFT -- Not Yet Approved by Mission”



Preparation, submission and approval process

◆ Remember:

- ◆ The partner RECOMMENDS decisions to USAID
- ◆ USAID can REJECT the recommendation and/or require revision to the documentation
- ◆ Categorical Exclusions are NOT absolute or guaranteed

