



USAID
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LAC-IEE-13-14

ENVIRONMENTAL THRESHOLD DECISION

Activity Location: Brazil

Activity Title: Environment Program

Activity Number: Sustainable Natural Resource Management and Production (4.8.1.2) Biodiversity Conservation (4.8.1.4)

Life-of-Activity Funding: \$47,500,000 (additional funding in this amendment: \$9,855,916)

Life-of-Activity: 1 October 2009 – 30 September 2013 (one year extension in this amendment)

IEE prepared by: Max Lombardo, Mission Environment Officer (MEO)

Reference ETDs: LAC-IEE-08-34, LAC-IEE-05-23, LAC-IEE-09-91

Recommended Threshold Decision: Categorical Exclusion
Negative Determination with Conditions

Bureau Threshold Decision: Categorical Exclusion
Negative Determination with Conditions

Comments:

The Environmental Threshold Decision amends the above ETDs to (1) update the list of activities included in the Program description to include new Project activities under implementation since October 2011, (2) increase funding level by \$9,855,916 (from \$37,644,084 to \$47,500,000) and (3) extend the life-of-activity of USAID/Brazil Environment Program through September 30, 2013. Many of the activities in the

program have ended, and most of the ones being extended are Categorical Exclusions. No other changes are proposed and all conditions of the IEE and referenced ETD remain the same.

A **Categorical Exclusion** is issued to the USAID/Brazil Environment Program activities numbered **1 to 9** that have components of education, technical assistance, surveys, workshops, meetings and development planning [see Tables (a), (b) and (c) in the attached IEE], pursuant to 22 CFR 216.2(c)(2):

- (i) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment.”
- (ii) Controlled experimentation exclusively for the purpose of research and field evaluation which are confined to small areas and carefully monitored
- (iii) Analyses, studies, academic or research workshops and meetings;
- (xiv) Studies, projects or programs intended to develop the capability of recipient countries to engage in development planning, except to the extent designed to result in activities directly affecting the environment.

A **Negative Determination with Conditions** is issued to the following USAID/Brazil Environment Program activities [see Table (b) and (c) in the attached IEE], pursuant to 22 CFR 216.3(3)(iii):

- Activity 5: Indigenous Landscapes in Brazil (PIB) Paisagens Indígenas Brasileiras,
- Activity 6: Strengthening Environmental Management in the Brazilian Southwestern Amazon – Manejo de Bacias e Estradas - MABE (UF),
- Activity 7: Conservation in the Indigenous Amazon – Aldeias (WV), and
- Activity 9: Ethno-environmental Corridors in the Brazilian Amazon (IEB)

that have components of:

- a) Restoration of degraded areas inside indigenous lands – if developed;
- b) Identification of potential initiatives and feasibility studies that link conservation with sustainable income generation for communities (e.g. for payment for environmental services; non-timber forest products, sustainable ecotourism, small-scale infrastructure, etc);
- c) Pilot economic development activities to sustain conservation activities;
- d) Implementation of development plans including field activities;
- e) Livelihood enhancement of local peoples through increased access to environmentally friendly technologies e.g. renewable energy sources; and
- f) Small-scale infrastructures – if developed.

Conditions to avoid or mitigate adverse environmental impacts from the above activities include the following:

- Use of the “Guidelines for Implementing Partners: USAID/Brazil’s Environmental Mitigation Plan and Report (EMPR)” (Annex 1 and its Attachment 1) to conduct a preliminary environmental analysis of all sub activities.
- The Agreement Officer Representatives (AORs) for these Activities will actively monitor, evaluate, and ensure that the conditions specified herein are met.
- As part of its Work Plan, the grantee, in collaboration with the AOTRs, shall review all planned activities under this Grant to determine if they are within the scope of the approved Regulation 216 environmental documentation (Initial Environment Examination – IEE, and the correspondent Environment Threshold Decision - ETD).
- If additional activities are added that are not described in this document, an amended Initial Environmental Examination will be prepared.
- If the Grantee plans any new activities outside the scope of the approved IEE and ETD, an amendment will be prepared to the approved Regulation 216 environmental documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.
- 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.
- Include in the Performance Report a section on “Compliance with Environmental Regulation”, where the Grantee will specify actions taken, if any, or state that all activities were developed in accordance with applicable national laws and USAID guidelines.
- Under no circumstances will funds be used for: procurement or use of pesticides, purchase of equipment which could be used for commercial timber harvesting; nor activities, projects, or programs involving commercial timber harvesting unless the appropriate environmental assessment is conducted, and approved by the LAC/BEO.
- Compliance with and application of USAID Environmental Guidelines for Development Activities in Latin America and Caribbean (<http://inside.usaid.gov/LAC/RSD/E/epiq.html>); focus on these chapters of the Guidelines:
 - Chapter 2: Small-Scale Infrastructure” - section A. Construction Activities
 - Chapter 7: Ecotourism – if developed;

- Chapter 8: Agriculture and Watershed Management for restoration activities, if developed (A. Soil and Water Conservation; and B. Stream Bank Protection and Restoration)
- Chapter 9: Forestry - for Reforestation and Agro forestry, if developed.

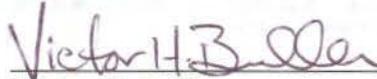
Conditions also include:

Responsibilities:

- Each activity manager or **Contracting/Agreement Officer Representative (COR/AOR)** is responsible for making sure environmental conditions are met (ADS 204.3.4). In addition, COR/AORs are responsible for ensuring that appropriate environmental guidelines are followed, mitigation measures in the IEE are funded and implemented, and that adequate monitoring and evaluation protocols are in place to ensure implementation of mitigation measures.
- It is the responsibility of the **Strategic Objective (SO) Team** to ensure that environmental compliance language from the ETD is added to procurement and obligating documents, such as activity-related Strategic Objective Grant Agreements (SOAGs) and Modified Acquisition and Assistance Request Documents (MAARDs).
- The **Mission Environmental Officer** will conduct spot checks to ensure that conditions in the IEE and this ETD are met. These evaluations will review whether guidelines are properly used to implement activities under this ETD in an environmentally sound and sustainable manner according to USAID and applicable U.S. Government policies and regulations.
- The implementing **contractor or partner** will ensure that all activities conducted under this instrument comply with this ETD. Also, through its regular reporting requirements, a section on environmental compliance (e.g. mitigation monitoring results) will be included.

Amendments

- Amendments to Initial Environmental Examinations (IEE) shall be submitted for LAC Bureau Environmental Officer (BEO) approval for any activities not specifically covered in the IEE, which include:
 - Funding level increase beyond ETD amount,
 - Time period extension beyond ETD dates (even for no cost extension), or
 - A change in the scope of work, such as the use of pesticides or activities subject to Foreign Assistance Act sections 118 and 119 (e.g. procurement of logging equipment), among others.
- Amendments to IEEs for activities that have a positive determination would require an Environmental Assessment (EA) and its approval by the LAC BEO.

 Date 02-22-2013

Victor H. Bullen
Bureau Environmental Officer
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Attachments:

- Initial Environmental Examination Amendment

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AMENDED INITIAL ENVIRONMENTAL EXAMINATION (IEE)

Activity Location:	Brazil
Program Objective:	Economic Growth (4)
Program Area:	Environment (4.8)
Program Element:	Natural Resources and Biodiversity (4.8.1)
Sub-Elements:	Sustainable Natural Resource Management and Production (4.8.1.2) Biodiversity Conservation (4.8.1.4)
Activity Title:	Environment Program
Funding Source:	Development Assistance
Life of Activity Funding:	\$47,500,000 (additional funding in this amendment: \$9,855,916)
Life of Activity:	October 2009 – September 2013 (one year extension in this amendment)
IEE Amendment prepared by:	Max Lombardo, Mission Environment Officer (MEO)
Reference Environmental Threshold Decisions	LAC-IEE-08-34, LAC-IEE-05-23, LAC-IEE-09-91
Recommended Threshold Decisions	Categorical Exclusion (X) Negative Determination () Negative Determination with Conditions (X) Positive Determination () Deferral ()
Date Prepared	September 05, 2012

1. PURPOSE AND SCOPE

The purpose of this IEE amendment is: (1) to update the list of activities included in the Program description to include new Project activities under implementation since October 2011, within the *Economic Growth* Objective of the US Foreign Assistance Framework; (2) to increase funding level by \$9,855,916 (from \$37,644,084 to \$47,500,000) for Program Element *Natural Resources and Biodiversity* (4.8.1), sub-elements *Sustainable Natural Resources Management and Production* (4.8.1.2) and *Biodiversity Conservation* (4.8.1.4); (3) to extend the life of activity of USAID/Brazil Environment Program beyond previous ETD (LAC-IEE-09-91), from September 30, 2011 to September 30, 2013. No other changes are proposed and all conditions of the IEE and referenced ETD remain the same.

2. BACKGROUND

Since 2009, the USAID/Brazil Environment Program, under the Program Element *Natural Resources and Biodiversity* (4.8.1) has been implementing activities under the following Program Sub-Elements:

- 1) *Sustainable Natural Resource Management and Production* (4.8.1.2).
- 2) *Biodiversity Conservation* (4.8.1.4).

Previous tuberculosis, malaria control and HIV/AIDS capacity strengthening activities in Brazil were included in the Environmental Threshold Decision (ETD) dated June 2008 (LAC-IEE-08-33), which received a Categorical Exclusion for those activities involving only training, education, technical assistance, and others that had no impact on the natural environment or on persons.

A Negative Determination without conditions was issued for the acquisition of databases that would be used to inform the Brazilian national AIDS Program about HIV-AIDS treatment because this activity would have no environmental consequences.

A Negative Determination with Conditions was issued to the malaria control activities involving the use of Long Lasting Insecticide Treated Nets (LLITN) because the insecticide used in these nets is the WHO recommended product and these nets do not require re-treatment at project sites which mitigates any risk to the environment involved in their use. The Malaria Prevention component of USAID/Brazil's Health Program terminated on February 1st, 2010, thus eliminating the need to discuss the environmental impact of using LLITN in future activities.

Within this context, USAID/Brazil Environment Program seeks to support Brazil's environmental management goals by (1) improving natural resources management; (2) promoting sustainable landscape monitoring; (3) supporting compliance with the Forest

Code; and (4) supporting conservation of biodiversity in the Amazon forest biome, especially in its mosaics of protected areas and indigenous lands.

3. PROGRAM DESCRIPTION

The USAID/Brazil Environment Program Area supports the US Foreign Assistance Objective of generating sustained economic growth by ensuring that the environment and natural resources are effectively managed. This Objective is of particular importance for Brazil, where deforestation in tropical rainforest areas remains a challenge and, due to the correspondent emissions of greenhouses gases, contributes to global climate change.

The long-term expected results include tangible and measurable improvements to sustain Amazonian ecosystems in ecologically healthy, productive landscapes that provide inclusive social and environmental benefits to local populations, in full compliance with strict environmental legislation and best corporate social responsibility practices.

To achieve those results, the Environment Program is conducted under the Program Element Natural Resources and Biodiversity, with a view to improve sustainable natural resource management and biodiversity conservation.

The Program Element is supported by two mutually reinforcing Sub-Elements: Sustainable Natural Resource Management and Production, and Biodiversity Conservation. Under this Program Element, the USAID/Brazil Environment Program seeks to improve natural resources management, landscape monitoring and conservation of biodiversity in the Amazon forest biome, protected areas, and indigenous lands.

The bulk of USAID/Brazil Environment Program funds are directed to the *Biodiversity Conservation* Sub-Element aiming to:

- (a) Build capacity of indigenous groups and their representative organizations to improve monitoring, territorial protection and natural resource management of indigenous lands;
- (c) Consolidate and expand the System of Protection of Lands inhabited by isolated indigenous groups in the Brazilian Amazon;
- (c) Establish the basis for the creation of “ethno environmental” corridors, i.e., biological conservation corridors integrating ethnographic information and indigenous group participation in corridor rationale and management, comprised of a mosaic of protected areas and indigenous lands;
- (d) Strengthen local populations’ capacity to deal with the socio-environmental problems associated with the advance of the deforestation frontier; and
- (f) Support management of watersheds and planning for sustainable development along highways in the Brazilian Amazon.

The USAID/Brazil Environment Program will also improve *Sustainable Natural Resource Management and Production* by:

- (a) Providing training and building capacity in forest enterprise management, community forest management, sustainable landscape management, sustainable tourism and forest concessions; and
- (b) Supporting responsible sourcing and environmental management in the Brazilian Amazon region.

3. DESCRIPTION OF ACTIVITIES

The *Environment Program* is comprised of:

- 1) Three activities under the Sub-Element *Sustainable Natural Resource Management and Production* (4.8.1.2).
- 2) Three Bilateral activities, structured under the Sub-Element *Biodiversity Conservation* (4.8.1.4).
- 3) Four Indigenous Conservation Biodiversity Program activities, also under the Sub-Element *Biodiversity Conservation* (4.8.1.4).

The above mentioned activities are described below.

3.1. Activities under the Sub-Element *Sustainable Natural Resource Management and Production* (4.8.1.2)

Activity 1: Forest Enterprise Cluster (USFS)

This Activity is implemented by the US Department of Agriculture Forest Service (USFS) under an Inter-Agency Agreement, which is incrementally funded each year. USFS provides technical assistance to:

- 1) USAID's Brazil Mission,
- 2) Governmental institutions such as the Brazilian Forest Service (SFB), Brazilian Institute for the Environment and Natural Resources (IBAMA), Chico Mendes Institute for Biodiversity Conservation (ICMBio), and Agriculture Research Agency (EMBRAPA); and
- 3) Forest Enterprise Cluster implementing partners: Amazon Institute for People and Environment (Imazon), International Institute for Education of Brazil (IEB), Institute for Ecological Research (IPÊ), and Tropical Forest Institute (IFT).

USFS assistance focuses on sustainable forest management, natural resource economics, public forest administration, land cadastral systems, forest inventory and analysis, and ecosystem services. Results to be achieved:

- i) strengthened capacity of forestry professionals in forest management techniques;
- ii) improved remote sensing capabilities to monitor logging activities;

- iii) studies developed on community forest management and forest enterprise economic viability;
- iv) Brazilian Federal Government's forest concession system improved and
- v) Sustainable tourism in protected areas improved.

Specific activities funded under this implementing mechanism include:

1) Forest Enterprise Cluster Governance: as the leading partner, USFS provides program leadership, technical assistance, administrative services, organization of reporting and work plan requirements.

2) Collaboration with Brazilian government in the following issues:

- Public Forest Administration and Management: Development of technical visits for Brazilian Forest Service managers to learn about techniques used by the USFS.
- Forest Monitoring: Provide technical assistance on monitoring timber contracts, harvests and fires.
- Forest Inventory and Analysis (FIA): Provide technical assistance to the Brazilian Forest Service as they develop and implement their FIA system.
- Fire Strategy Assessment: Work with the Brazilian Natural Resources Institute (IBAMA) on an assessment of their agency's fire strategy and training needs.
- Community Forestry Economics & Tropical Forest Research: USFS will develop studies on community forestry economics, the evaluation forest stand productivity and harvest cycles in Brazil.

3) Forest Enterprise Cluster Partner Activities:

- International Institute of Education of Brazil (IIEB): Building capacity for community and small scale forest management in the Brazilian Amazon.
- Tropical Forest Institute (IFT): Building capacity for improved management of forests in the Brazilian Amazon.
- Amazon Institute of People and the Environment (IMAZON): Develop a forest monitoring system to effectively monitor and evaluate the quality of forest management plans. Integrate the remote sensing capabilities to monitor selective logging with the new federal and state systems for timber log control.
- Ecological Research Institute (IPE): Building capacity for sustainable community ecotourism activities.

In FY 2010 USAID obligated \$ 2,000,000, \$1,500,000 in FY 2011 and will obligate \$1,800,000 in FY 2012, providing a total cost for three years of implementation of \$5,300,000.

► Upon evaluation of the set of activities described above, it can be seen that all Forest Enterprise Cluster (USFS) activities include only components of training, education, technical assistance, studies, surveys, workshops, meetings, development of environmental monitoring and planning tools, therefore, there is no foreseen adverse impacts to the environment, and the activities qualify for a *Categorical Exclusion*.

Activity 2: Responsible Sourcing Cluster in Pará and Mato Grosso (TNC)

The proposal *Attacking Deforestation through Responsible Sourcing of Agricultural Commodities in Pará and Mato Grosso* is submitted by a consortium of organizations led by The Nature Conservancy (TNC), including Instituto Centro da Vida (ICV) and Instituto Socioambiental (ISA). More organizations may be added to the consortium during the design phase. It builds upon, but significantly broadens, work previously funded by USAID Brazil on responsible sourcing in the Brazilian Amazon. It aims to contribute to a reduction in deforestation rates in the states of Mato Grosso and Pará by broadening the use of responsible sourcing in the beef and soy industries in the short-term, and perhaps biofuels in the medium-term.

More specifically, the proposal seeks to establish a model system of environmental management in the States of Pará and Mato Grosso, by promoting environmental compliance and best agribusiness practices amongst entrepreneurs, landowners, small farmers and rural producers.

The anticipated result is that at least 50% of the rural properties in the target municipalities (Paragominas, Pará, and Sao Felix do Xingu, Mato Grosso) comply with the Forest Code and set-aside the mandatory areas of legal reserve and permanent protection and new best practices are adopted by the end of FY 2010.

The strategy of the proposal is based on the assumption that deforestation will fall if ranchers and commercial farmers move towards compliance with the Forest Code. This will involve channeling agricultural expansion towards lands already cleared, and intensifying production rather than extending it. Responsible sourcing is a means to that end. In order to have an impact at the scale necessary, a regulatory framework with appropriate incentives and disincentives is needed.

Responsible sourcing in the Amazon has two complementary dimensions, a public one revolving around regulatory and policy frameworks, and a private one revolving around markets. The latter can be split into two components: supply side strategies that seek to increase the amount of responsibly supplied commodities coming onto the market, and demand side strategies, that seek to grow the demand for responsibly sourced commodities in destination markets.

Therefore, the proposal's strategy includes three components: Supply Side, Demand Side and Regulatory Frameworks. Each of these components has three lines of action, as follows:

1 - Supply Side: Growing the Number of Responsible Producers

- 1.1: Mapping and registering ranches and farms;
- 1.2: Strengthening rural licensing systems in Pará and Mato Grosso;
- 1.3: Building public and private credit lines for responsible production.

2 - Demand Side: Growing Demand for Responsible Products

- 2.1: Building demand for responsibly produced beef and soy in China and the EU;
- 2.2 Building demand for responsibly sourced beef and soy in Brazil's domestic markets;
- 2.3 Making the case for responsible production.

3 – Strengthening Regulatory Frameworks

3.1: Increasing acceptance of the Forest Code as a framework for compliance

3.2: Valuing standing forest as a compliance incentive

3.3: Influencing sectoral agreements in Amazonian commodities: beef, soy, palm oil.

The proposal presents a design phase to initiate immediately after the signature of an agreement with USAID. It will proceed along two parallel tracks. The first will revolve around internal organization - the definition of the membership of the implementing consortium, and the production of a detailed budget, work plan and governance plan for the life of the project, building on the general outline laid out in this proposal.

The second phase will use the framework of USAID's Global Development Alliance to build partnerships with a number of private sector companies. It is anticipated that the Mais Unidos forum will be an important space where this can take place, but alliances will also build on existing bilateral relationships, such as that between TNC and Cargill.

It is envisioned a three-year mechanism, which will start on October 1st, 2009, and will expire on September 30, 2012. USAID will obligate \$1,785,000 in the first year, for a design phase, aiming to build partnerships and alliances with the private sector. It is expected to obligate \$ 1,700,000 with FY 2010 budget and another \$ 1,700,000 with FY 2011 budget, in a total estimated amount of \$5,185,000.

This activity ended in April 30, 2012.

► Upon evaluation of the set of activities described above, it can be seen that all Responsible Sourcing Cluster in Pará and Mato Grosso (TNC) activities include only components of training, education, technical assistance, studies, surveys, workshops, meetings, development of environmental monitoring and planning tools, and mapping, therefore, there is no foreseen adverse impacts to the environment, and the activities qualify for a *Categorical Exclusion*.

Activity 3: Responsible Sourcing in Mato Grosso State – Xingu Basin (Aliança da Terra)

In the Brazilian Amazon, low land prices, cheap labor, and favorable climate and soils make soy cultivation and beef production highly profitable and potential drivers of deforestation. The state of Mato Grosso is at the epicenter of this expansion. However, the state represents an excellent opportunity to involve the private sector in actions that favor forest conservation with positive results in deforestation reduction. In the state of Mato Grosso, land titles are clearly defined (compared to other Amazon regions), and the savvy agri-business sector is aware that soybeans and beef produced following environmentally sound practices will find greater access to world markets.

Agricultural frontiers such as the Xingu Region in Mato Grosso, Brazil represent huge challenges for conservation. Land owners are faced with almost insurmountable challenges that include, but are not limited to: poor road infrastructure, land invasions, wild-fires, and a general lack of governance. Considering this scenario, few land owners

attempt to comply with Brazil's Forest Code, and constant pressures are maintained on producers by both the national and international communities considering the productive sector a villain. This situation has resulted in a state of civil disobedience which could lead to a dead end for forest conservation.

Based on the premise that producers could be transformed into drivers of conservation efforts to guarantee the future health of the Brazilian Amazon, Aliança da Terra, an NGO formed by rural producers was created in 2004, comprised of members who were equally committed to land stewardship and socio-environmental principals.

Aliança's main objective is to fill a leadership vacuum left between the competing viewpoints of the environmental movement and the production sector. Aliança da Terra, in partnership with IPAM (Environmental Research Institute of the Amazon), one of the most respected scientific institutes in the Amazon, developed a voluntary mechanism, the *Registry of Social-Environmental Responsibility* (RSR). It is a proactive tool for agricultural producers aiming to assist responsible farmers and ranchers to adopt management decisions that bind production with conservation.

This pioneering initiative demonstrates the acceptance of socio-environmental responsibilities by those involved in the beef and soy industry, which Aliança da Terra aims to show to be an effective way to conserve the Brazilian Amazon, while achieving economic growth.

The development goal is to scale-up conservation compliance and environmental management on private properties on the Amazon fringe in the Xingu region in the state of Mato Grosso.

Results envisaged for the proposal include:

- (a) Communication between consumers, producers, and the beef processing industry is improved to guarantee legal origin of beef through the RSR, thus achieving forest conservation on private lands in the Amazon;
- (b) Strengthened capacity of responsible beef producers to adopt sustainable natural resources management practices; and
- (c) Voluntary RSR agreements signing increased in the State of Mato Grosso – Xingu Basin.

It is envisaged a three-year mechanism, which started on October 1st, 2010, and will expire on September 30, 2013. USAID obligated \$170,000 in the first year, \$ 160,000 in FY 2011 and will obligate \$170,000 in FY 2012, in a total estimated amount of \$500,000.

► Upon evaluation of the set of activities described above, it can be seen that all Responsible Sourcing in Mato Grosso State – Xingu Basin (Aliança da Terra) activities include only components of training, education, technical assistance, studies, surveys, workshops, meetings, development of environmental monitoring and planning tools, and mapping, therefore, there is no foreseen adverse impacts to the environment, and the activities qualify for a *Categorical Exclusion*.

3.2. Bilateral activities structured under the Sub-Element *Biodiversity Conservation* - 4.8.1.4

Activity 4: Challenging the Advance of the Deforestation Frontier: Strengthening Local Institutions Towards Social Justice and Sustainable Livelihoods in the Brazilian Amazon (FORTIS)

This initiative is implemented by Instituto Internacional de Educação do Brasil (IEB) under a Cooperative Agreement with a USAID, total estimated amount of \$8,286,486, plus a cost-share of \$2,257,560 (total cost \$10,544,045) for a five-year period of implementation initiated on October 1, 2007, to September 30, 2011. It was transferred from USAID/Latin America and the Caribbean (LAC) responsibility to USAID/Mission Brazil on January 31, 2008.

This activity ended in September 2011.

FORTIS Consortium partners are: Instituto do Homem e Meio Ambiente da Amazônia (IMAZON), Associação de Defesa Etno-Ambiental Kanindé, Conservation Strategy Fund (CSF), and Amazon Conservation Team (ACT).

The goal of FORTIS activity is to promote the conservation and sustainable use of natural resources in the southern portion of the state of Amazonas and parts of Rondonia state. The seven municipalities within the geographic focus area are: Humaitá, Lábrea, Boca do Acre, Canutama, Manicoré, Novo Aripuanã, and Apui.

The objective is to strengthen local and indigenous people's organizations and institutions to deal with the socio-environmental problems associated with the advance of the deforestation frontier in that region of economic expansion in the Brazilian Amazon biome.

The strategy is to expand and consolidate socio-environmental public spaces where the issues of management and use of natural resources and territories can be formulated, agreed upon and enforced. Within these spaces, stakeholders can negotiate their conflicting interests. To implement such a strategy, this activity is structured in three interrelated components:

- (1) Strengthening local institutions towards social justice and sustainable livelihoods in the target region;
- (2) Environmental monitoring of landscapes and land use trends in a focal landscape; and
- (3) Personnel exchanges, information sharing and systematization of experiences between consortium members, partner organizations and collaborator institutions.

In FY 2009 IEB added a new partner into the consortium, ACT. As a result, FORTIS began to implement management plans in two indigenous territories: (i) the Diahui Indigenous Territory, in southern Amazonas state, and (ii) completing the Surui

management plan for the Seventh of September Indigenous Territory, on the border between Rondonia and Mato Grosso states.

Furthermore, through joint efforts of ACT and Kaninde, the consortium will expand its geographic scope to improve the protection of an additional 15 indigenous territories by implementing Indigenous Park Guard courses in (i) the northern tip of the Tupi Munde corridor and (ii) parts of the Itenez-Mamore Corridor in central-south Rondonia.

Description of FORTIS Activities:

Installation of technical team in the South of Amazonas State
Institutional Strengthening of Agenda 21 Local Forum in Boca do Acre
Capacity Building and strengthening of local organizations in Humaitá, Novo Aripuanã, Novo Apuí, and Manicoré
Regional Events for strengthening environmental management.
Strengthening synergies with USAID Brazil Env. Projects.
Implementation of new partnerships for strengthening environmental management.
Capacity Building of indigenous organizations
Train indigenous leaders to manage their organizations
Support partnerships between indigenous organizations and other civil society institutions.
Capacity Building of indigenous organizations for environmental management.
Strengthen the identity, culture and traditional knowledge of indigenous peoples.
Support the participation of indigenous organizations in regional social-environmental forums, networks and events.
Policy analyses: Economic evaluation of policies that affect deforestation, economic incentives needed for avoiding deforestation, and economic values of deforestation.
Infrastructure: Economic analysis of BR-319 paving.
Natural resource use: comparative economic analysis of alternative land uses.
Protected areas: Develop studies of economic analysis of protected areas.
Produce baseline thematic maps of the southern of Amazon Region.
Remote mapping of unofficial roads.
Include the southern of Amazon region in the Deforestation Alert System.
Develop thematic maps of the South of Amazon region available on the AmazonGeo portal
Monitor five critical areas under deforestation pressure in the southern Amazon region.
Identify priority areas for conservation.

Disseminate information with environmental information for local organizations and communities.
Train local leaders and technicians to use GIS and Imazon Geo tools.
Survey and mapping of social conflicts in Madeira River Corridor.
Organize personnel exchange between local organizations in the southern Amazon region and others in Rondonia and Acre; and between indigenous representatives in the southern Amazon region and Indigenous Landscapes consortium (TNC).
Organize personnel exchange between indigenous representatives in the southern Amazon region.
Produce publications on territorial management experiences in indigenous lands, in partnership with Indigenous (TNC) Landscapes consortium.
Systematizations of at least four experiences of local organizations in environmental and territorial management.
Produce publications that communicate the results of the systematization of experiences and the exchange events undertaken.
Disseminate publications among consortium members and other organizations working with similar themes and problems in the Amazon region.

► Upon evaluation of the set of activities described above, it can be seen that all Challenging the Advance of the Deforestation Frontier: Strengthening Local Institutions Towards Social Justice and Sustainable Livelihoods in the Brazilian Amazon (FORTIS) activities include only components of training, education, technical assistance, studies, surveys, workshops, meetings, development of environmental monitoring and planning tools, and mapping, therefore, there is no foreseen adverse impacts to the environment, and the activities qualify for a *Categorical Exclusion*.

Activity 5: Indigenous Landscapes in Brazil (PIB) Paisagens Indígenas Brasileiras

This initiative is implemented by The Nature Conservancy (TNC) under a Cooperative Agreement with a USAID, estimated amount of \$3,384,287, plus a cost-share of \$1,986,463 (total cost \$5,370,750) for a five-year period of implementation initiated on October 1, 2007 - as a Regional LAC initiative - to September 30, 2011. It was transferred from LAC responsibility to USAID/Mission Brazil on October 1st, 2008.

This activity ended in September 30, 2011

PIB Consortium partners: Coordenação das Organizações Indígenas da Amazônia Brasileira (COIAB) and Instituto Internacional de Educação do Brasil (IEB).

The goal of PIB Activity is to strengthen the technical and organizational capacities of Amazonian indigenous organizations bringing about their active participation in the management of Amazon landscapes, in biodiversity conservation and development of public policies. To meet this objective, the Consortium has the following specific objectives:

1. Strengthen Amazonian indigenous organizations in areas which they themselves have identified as strategically vital for territorial management:

- (a) Effective engagement with governments, the private sector, and civil society in negotiations about policies;
- (b) Improved governance, accountability and transparency in terms of institutional performance;
- (c) Increased capacities in conservation planning and environmental management; and
- (d) Helping enhance the sustainability of the livelihoods of the indigenous peoples and communities they represent.

2. Improve territorial protection and management of two large landscapes with mosaics of indigenous territories and protected areas selected for their similar characteristics, favorable institutional contexts, and demonstration potential:

- (a) Northeastern Roraima, comprising approximately 1.1 million hectares, and
- (b) Oiapoque, in Brazil, comprising an approximate area of 3.5 million hectares.

3. Reinforce existing networks and alliances of strengthened indigenous Amazonian organizations, and catalyze new ones, beyond the two target landscapes, anticipating work with other geographically focused consortia under the USAID Brazil Environmental Program

Description of PIB Activities:

Implement an efficient and culturally adequate communication system for COIAB.
Support the establishment of an institutional strengthening plan for COIAB.
Strengthen COIAB and affiliate community based organizations in prospecting and managing funding sources.
Strengthen the recently created COIAB's Institutional Development (GDI) and Programs and Projects (GPP) Boards.
COIAB will request official recognition of the Amazon Indigenous Training Center (CAFI).
Deliver one seven-month course on project management for indigenous students.
Planning for the next CAFI course on Ethno environmental Management.
Deliver one seven-month course on Ethno environmental Management at CAFI.
Course for Indigenous Projects Managers of PDPI/MMA (government program) to train 30 members of indigenous organizations of the northwestern region of Mato Grosso, Rondônia and Southern Amazonas, in partnership with Fórum Paiter Suruí (organization affiliated with COIAB).
Perform institutional evaluation of CAFI.
Networking at COIAB's affiliate community-based organizations.
Strengthen COIAB and affiliate community based organizations in prospecting and managing funding sources.
Develop ethno- mapping and ethno zoning in Raposa Serra do Sol (RR), São Marcos (RR) and Oiapoque Indigenous Lands.
Develop ethno-mapping and ethno zoning of the Oiapoque region.
Develop territorial and environmental management plans (TEMP) in the Roraima and Oiapoque landscapes.

Catalyze strategic partnership for focal indigenous organizations to implement territorial and environmental management plans, and conservation and sustainable use projects in the two landscapes.
Monitor the negotiation process for infrastructure mitigation and compensation actions in Oiapoque, and build institutional capacity to handle actions of mitigation and compensation.
Training of Indigenous Environmental Managers.
Promote through CAFI an on-site capacity building course in Cacoal, RO, for indigenous organizations of MT, Acre (AC), south of AM and Rondônia RO.
Develop cartography and other resources capable of capturing the impacts of the project strategies, enhancing the ability to detect landscape changes and other processes that may threaten the boundaries of indigenous territories and the conservation mosaics.
Logistical and operational coordination of the Consortium with other COIAB actions in indigenous territorial management.
Facilitate the implementation of the finance strategy for the Consortium with partners.
Maintenance and updating of the Consortium's interactive intranet.
Organize the second annual evaluation meeting of the Consortium as part of the monitoring plan.
Participate in the meeting of partners of USAID Brazil's environmental program.
Networking, mobilization and intervention on public policies related to indigenous territorial management in the Brazilian Amazon.
Creation and strengthening of synergies with other USAID Brazil Environmental Program funded consortia, especially FORTIS.
Hold an Amazonian international seminar on participative mapping and indigenous territorial management, in Rio Branco, AC – redesign of activities 3.2.3 and 3.2.4 of the 2008 work plan.
Summarize concepts and experiences on territorial management on indigenous land in Brazil to support the debates of the inter-ministerial working group aimed at the elaboration of the National Policy of Environmental Management of Indigenous Lands.
Promote exchanges between Consortium members and indigenous organizations in North America to discuss issues of common interest.

► Upon evaluation of the set of activities described above, it can be seen that all Indigenous Landscapes in Brazil - PIB - *Paisagens Indígenas Brasileiras* activities include almost entirely components of training, education, technical assistance, studies, surveys, workshops, meetings, development of environmental monitoring and planning tools, and mapping, therefore, there is no foreseen adverse impacts to the environment, and the activities qualify for a *Categorical Exclusion*.

However, under Activity “*Develop territorial and environmental management plans (TEMP) in the Roraima and Oiapoque landscapes*”, if any territorial and environmental management plan, or portions of those plans will be implemented with USAID funding support, this activity fall into *Negative Determination with Condition* category. Conditions are presented in the Recommended Threshold Decision section.

Activity 6: Strengthening Environmental Management in the Brazilian Southwestern Amazon – Manejo de Bacias e Estradas - MABE (UF)

This initiative is implemented by University of Florida and partners under the Cooperative Agreement 512-A-00-08-00003-00, with a USAID Estimated Amount of \$2,703,294, plus a cost-share of \$689,374 (total cost \$3,392,668) for a five-year period of implementation initiated on October 1, 2007 - as a Regional LAC initiative - to September 30, 2011. It was transferred from LAC responsibility to USAID/Mission Brazil on October 1st, 2008.

This activity ended in September 2011.

MABE Consortium partners: SOS Amazônia, Instituto de Pesquisa Ambiental da Amazônia – IPAM, and Woods Hole Research Center – WHRC.

The goal of the MABE initiative is to strengthen environmental governance by expanding capacity for public participation in decision-making that deals with conservation threats related to watershed management and road building.

Improved management of watersheds will not only conserve riparian habitats for many species, but will also improve water availability and water quality for local human populations. New road infrastructure is well known for the lack of public participation in planning and for producing negative ecological and social impacts.

Therefore, the project has two specific objectives:

- Objective 1: Generate examples of collaborative management of sub-basin watersheds of the Juruá river watershed that can be replicated in other watersheds in Amazônia.
- Objective 2: Participatory planning for sustainable development along highways in the Brazilian southwestern Amazon with links to Pacific ports.

Geographic focus of the project:

Objective 1. Among the seven sub-basin watersheds that compose the *Alto Juruá* Water Resource Management Area (4,130,000 hectares), the project will work on the *Paraná dos Mouras* and *Liberdade* sub-basin watersheds. The *Paraná dos Mouras* sub-basin is located in the municipalities of *Mâncio Lima*, *Cruzeiro do Sul* and *Rodrigues Alves* and covers roughly 188,450 ha; and the *Liberdade* sub-basin is located in the municipalities of *Cruzeiro do Sul*, *Porto Walter* and *Marechal Thaumaturgo* and covers some 448,040 ha. Together, the two sub-basins cover 636,491 ha.

Objective 2 will focus on four areas in particular that correspond to highway segments that may prove to be especially vulnerable to negative impacts of road paving:

- 1) BR-317 from *Boca do Acre* and *Labrea*, AM, to *Senador Guimard* and *Porto Acre*, AC;
- 2) BR-317 from *Senador Guimard* to *Plácido de Castro*, and *Capixaba*, AC;
- 3) BR-317 from *Xapuri* to *Epitaciolândia*, AC; and
- 4) BR-364 from *Sena Madureira* to *Manoel Urbano*, AC.

Description of MABE Activities:

Evaluation of vegetation covers in the Juruá river watershed.
Evaluation of fire susceptibility.
Identification and evaluation of critical areas in priority sub-basin watersheds.
Socioeconomic evaluation and institutional analysis in the priority sub-basin watersheds.
Integration of the environmental and socioeconomic evaluations with scenario models as tools for development of watershed management plans, with interface with objective 2.
Training of university students, technical staff and government managers to develop two management plans for priority sub-basin watersheds.
Training of stakeholders for participation and development of sub-basin watershed management plans.
Creation and support of working groups for development of management plans for priority sub-basins of <i>Juruá</i> River watershed.
Landscape evaluation of biodiversity.
Economic models for development of land cover change scenarios.
Capacity building for sustainable use of forest resources.
Elaboration of development plans for highway corridors in the Brazilian Southwestern Amazon.

► Upon evaluation of the set of activities described above, it can be seen that all Strengthening Environmental Management in the Brazilian Southwestern Amazon – Manejo de Bacias e Estradas - MABE (UF) activities include almost entirely components of training, education, technical assistance, studies, surveys, workshops, meetings, development of environmental monitoring and planning tools, and mapping, therefore, there is no foreseen adverse impacts to the environment, and the activities qualify for a *Categorical Exclusion*.

However, under activity “*Elaboration of Development Plans for highway corridors in the Brazilian Southwestern Amazon*”, if any development plan or portions of those plans will be implemented with USAID funding support, this activity falls into *Negative Determination with Condition* category. Conditions are described in the Recommended Threshold Decision section.

3.3. Indigenous Conservation Biodiversity Program activities structured under the Sub-Element *Biodiversity Conservation* - 4.8.1.4 (previously evaluated under LAC-IEE-08-34)

Activity 7: Conservation in the Indigenous Amazon – Aldeias (WV)

This implementing mechanism is part of the Indigenous Based Biodiversity Conservation Program launched in June 2008. The Indigenous Program development goal is “to ensure the integrity of indigenous lands in the Brazilian Amazon biome, maintaining ecologically healthy, biodiversity rich and culturally diverse forests within a

framework of social equity that contributes to inclusive economic development and global responsibility”.

ALDEIAS is implemented by World Vision and Operação Amazonia Nativa (OPAN) under a Cooperative Agreement with a USAID estimated Amount of \$4,096,625, plus a cost-share of \$733,814 (total cost \$4,830,439) for a three-year period of implementation initiated on October 1, 2008 to September 30, 2011.

This activity ended in September 30, 2011.

This implementing mechanism aims to improve monitoring, biodiversity conservation and natural resource management among focused indigenous groups in the Brazilian Amazon, such as Deni, Katukina, Paumari, Zurahará and Hi-Merimã. To achieve this goal, World Vision (WV) and its core partner, *Operação Amazônia Nativa* (OPAN), will capacitate indigenous groups in Amazonas State with a view to improve conservation of biodiversity on 2,825,108 hectares of extremely high biological significance, in five selected Indigenous Lands in the State of Amazonas.

Indigenous groups, who rely on the land for survival, are a critical front line of defense in preventing deforestation and maintaining healthy ecosystems and biodiversity. In order to enable at least 570 indigenous people to more effectively address the increasing number of threats to biodiversity in their territories, and modern influences that negatively supplant traditional ecological practices Aldeias will build their capacity and that of their representative organizations to improve surveillance, biodiversity conservation, and natural resource management. The project will also bring landscape-level information, critical to advocacy efforts, to the forefront of debates over environmental protection policies.

By 2011, Aldeias Project has the goal to influence an area of 2,825,108 hectares of extremely high biological significance by improving natural resources management in an area encompassing the Deni, Paumari and Katukina indigenous land/buffer area mosaics; and guarantee, together with FUNAI, the physical integrity of Zuruahá and Hi-Merimã indigenous territories.

Aldeias will achieve these results mainly by capacity building in monitoring and surveillance activities by indigenous groups; developing socio-environmental diagnostics and participatory mapping process; strengthen institutional and organizational competencies of local and grassroots organizations; providing training in conservation planning and environmental management to the Deni, Paumari, and Katukina, as well as providing support for the participatory development of natural resource management plans as a primary source of environmental management.

Description of ALDEIAS Activities:

Territorial monitoring and surveillance.
Development of ethnographic mapping and ecological assessments.
Development of Socio-Environmental Diagnostics.

Pilot economic development activities to sustain conservation activities.
Training and capacity building on the above.
Training on Public Advocacy, Communication and Knowledge Management Tools.
Provision of Exchange/visiting programs involving indigenous leaders.
Capacity Building and Organizational Development.
Strengthening of existing networks and alliances of indigenous Amazonian organizations and fostering new ones.
Training in conservation planning and environmental management.

► Upon evaluation of the set of activities described above, it can be seen that all Conservation in the Indigenous Amazon – Aldeias (WV) activities include almost entirely components of training, education, technical assistance, studies, surveys, workshops, meetings, development of environmental monitoring and planning tools, and mapping, therefore, there is no foreseen adverse impacts to the environment, and the activities qualify for a *Categorical Exclusion*.

However, the activity “*pilot economic development activities to sustain conservation activities*”, fall into a *Negative Determination with Condition* category. The conditions will be specified in the Recommended Threshold Decision section.

Activity 8: Ethno-Environment Protection of Isolated Peoples in the Brazilian Amazon (CTI)

This implementing mechanism is part of the Indigenous Based Biodiversity Conservation Program launched in June 2008, “to ensure the integrity of indigenous lands in the Brazilian Amazon biome, maintaining ecologically healthy, biodiversity rich and culturally diverse forests within a framework of social equity that contributes to inclusive economic development and global responsibility”.

This project started on October 1st, 2008, and will expire on September 30, 2011. Program costs: \$4,478,392 (FY 2008: \$1,200,000; FY 2009: \$1,700,000 and FY 2010: \$1,578,392).

This activity ended in August 30, 2011.

Its main goal is to consolidate and expand a System of Protection of Lands inhabited by Isolated Indians in the Brazilian Amazon, benefiting peoples of the Javari and the mid-Purus river valleys in Amazonas State, and the Madeirinha river valley in Mato Grosso State.

Expected outcomes by September 2012:

1. The protection of Isolated Indians is consolidated in areas adjacent to Indigenous Lands covering 8,544,480 hectares with proposed expansion of 250,000 ha.

2. Institutional capacity of CGII/FUNAI and CTI is strengthened, and knowledge of local populations about Isolated Indians and natural resource management is improved.
3. Practices and policies aimed at guaranteeing the integrity of Isolated Indians are improved due to lessons generated by this project.

The project is focused in three "Ethno-ecological Protection Fronts":

- (1) Javari river valley in western Amazonas near the border with Peru;
- (2) Mid-Purus river valley located in southern Amazonas; and
- (3) Madeirinha river valley located in southern Amazonas and northern Mato Grosso.

Description of CTI/Isolated Activities:

Javari Valley, Amazonas state (8,544,480 ha in the Javari Valley IL and two areas not yet estimated occupied by unidentified indigenous groups)
Consolidation of the Vigilance Post on Jandiutuba River, east of the Javari Valley IL
Increased vigilance and supervised activities on the southern and southeastern borders of the Javari Valley IL
Consolidation of the Vigilance Post on Itui River north of the Javari Valley IL
Implementation of studies as a basis for interdiction and expansion of protection over at least 250,000 ha in the Javari Valley IL
Creation of new Indigenous Lands in the upper Bóia river east from the Javari Valley IL, and at the Igarapé Flecheira northwest from the Javari Valley IL.
Mid-Purus River, Amazonas state (2,383,071 ha).
Consolidation of the Ethno-environmental Protection Front in the IL Zuruahã and Hi-Merinã
Increased ethno-environmental protection actions in the IL Jarawara/Jamamdi/Kanamanti, Caititu, Paumari do Lago Marahã, Banawá and Jacareúba-Katauxi
Madeirinha River, North Mato Grosso and Southeast Amazonas (611,000 ha) and three areas which were not yet estimated and occupied by unidentified indigenous groups
Consolidation of Ethno-environmental Protection Front in the IL Kawahiva of the Pardo River and Piripikura
Implementation of expeditions and over flights to search for signs of Isolated Indians in the basin of the Rivers Aripuanã and Roosevelt.
Recruiting and training at least 15 people to work as indigenists in the Ethno-environmental Protection Fronts included in the project.
Training and capacity building of local populations in the areas surrounding the Isolated Indigenous Fronts in the Javari Valley and the mid-Purus river;
Capacity building of CTI in relevant technical and administrative issues.
Fundraising to support complementary initiatives.
Results and lessons learned identified through program monitoring and evaluation.
Communications strategy defined and implemented.

► Upon evaluation of the set of activities described above, it can be seen that all *Ethno-Environment Protection of Isolated Peoples in the Brazilian Amazon (CTI)* activities include entirely components of training, education, technical assistance, studies, surveys, workshops, meetings, development of environmental monitoring and planning tools, and mapping, therefore, there is no foreseen adverse impacts to the environment, and the activities qualify for a *Categorical Exclusion*.

Activity 9: Ethno-environmental Corridors in the Brazilian Amazon (IEB)

This initiative is being implemented by Instituto Internacional de Educação do Brasil (IEB) under a Cooperative Agreement, with a total estimated amount of \$5,188,903, plus a cost-share of \$525,393 (total cost \$5,714,296) for a three-year period of implementation from October 1, 2009 to September 30, 2012.

Consortium partners: Amazon Conservation Team Brazil – ACT Brazil (Brazil), Conservation Strategy Fund – CSF (United States), Coordination of Indigenous Organizations of Brazilian Amazonia – COIAB (Brazil), International Institute for Education of Brazil – IEB (Brazil), Kanindé – Association of Ethnoenvironmental Defense (Brazil), and Metareilá - Association of Suruí Indigenous People (Brazil).

The purpose of the Project is to build capacity of indigenous people and their representative institutions in conservation issues so that they can become full participants in an integrated corridor conservation strategy which includes ethnographic information in the corridor rationale and management.

This Project will address key conservation and indigenous territorial management challenges through two innovations: (1) reformulation of the biological corridor concept and its subsequent transformation into an “ethno environmental corridor” that directly incorporates indigenous peoples’ actions into the conservation equation; and (2) development and implementation of an integrated methodology for working with indigenous peoples’ conservation issues.

Two Indigenous Lands located at opposite ends of the corridor will work as anchor sites for the initiative, forming the “Mondé-Kwahiba Ethno-environmental Corridor”, which encompasses the eastern portion of the state of Rondônia, the western portion of the state of Mato Grosso and the southern portion of the state of Amazonas. The two anchor sites of this Corridor are:

- 1) Sete de Setembro Indigenous Land, which is the homeland to 1200 Suruí indigenous people and has an area of 248,146 hectares located in the municipalities of Cacoal (Rondônia) and Aripuanã (Mato Grosso); and
- 2) Nove de Janeiro Indigenous Land, located in the municipality of Humaitá (Amazonas), which is inhabited by 216 Parintintin indigenous people and has an area of 228,777 hectares.

► It is expected that the great majority of the training, technical assistance, and planned studies envisioned under the Ethno-environmental Corridors in the Brazilian Amazon (IEB) activity will have no adverse environmental impacts, much less any

significant environmental impacts. No construction or infrastructure activities are planned. Therefore, this activity qualifies for a *Categorical Exclusion*.

However, if developed, the following activities could conceivably have some adverse impacts if not executed in an environmentally responsible manner, and fall into *Negative Determination with Condition* category:

- Restoration of degraded areas inside indigenous lands;
- Identification of potential initiatives and feasibility studies that link conservation with sustainable income generation in indigenous lands (e.g. for payment for environmental services; non-timber forest products, sustainable ecotourism, etc);
- Livelihood enhancement of indigenous peoples.

The conditions will be specified in the Recommended Threshold Decision section.

Activity 10: Biodiversity Conservation of Public Lands in The Brazilian Amazon

This initiative will be implemented by Instituto Internacional de Educação do Brasil (IEB) under a Cooperative Agreement, with a total estimated amount of \$ 5,958,723, plus a cost-share of \$ 1,357,304 (total cost \$7,316,027.00) for a two-year period of implementation from October 1, 2011 to September 30, 2013.

Consortium partners: Amazon Conservation Team Brazil – ACT Brazil (Brazil), Conservation Strategy Fund – CSF (United States), Kanindé – Association of Ethnoenvironmental Defense (Brazil), Metareilá - Association of Suruí Indigenous People (Brazil), and Operação Amazonia Nativa – OPAN (Brazil).

The purpose of the Project is to develop and implement capacity building and technical assistance activities to strengthen conservation and management of biologically significant target areas, including diverse terrestrial and freshwater ecosystems within public lands and their buffer zones in the western Brazilian Amazon biome, thus will ensuring survival of fauna and flora species, safeguarding of traditional and indigenous livelihoods, as well as continuing provision of environmental goods and services.

Strengthening the conservation of these target areas, particularly those within regions that are exposed to expanding economic activities, represents a unique opportunity for USAID to support conservation initiatives that are closely linked to securing sustainable livelihoods and the broader macro-economic, political and social changes that can determine the impact of sustainable development in the Amazon for years to come.

► It is expected that the great majority of the training, technical assistance, and planned studies envisioned under the Biodiversity Conservation of Public Lands in The Brazilian Amazon activity will have no adverse environmental impacts, much less any significant environmental impacts. No construction or infrastructure activities are planned. Therefore, this activity qualifies for a *Categorical Exclusion*.

However, if developed, the following activities could conceivably have some adverse impacts if not executed in an environmentally responsible manner, and fall into *Negative Determination with Condition* category:

- Restoration of degraded areas inside indigenous lands;
- Identification of potential initiatives and feasibility studies that link conservation with sustainable income generation in indigenous lands (e.g. for payment for environmental services; non-timber forest products, sustainable ecotourism, etc);
- Livelihood enhancement of indigenous peoples.

The conditions will be specified in the Recommended Threshold Decision section.

4. NATIONAL ENVIRONMENTAL POLICIES

The Brazilian Constitution dedicates one chapter to the environment, recognizing the people's right to a "balanced ecological environment", a common good to be preserved and maintained for the present and future generations. In addition, a number of chapters and articles are related to environmental issues. The Constitutional determinations are complemented by Federal, State, and Municipal laws, which constitute a framework for environmental compliance in Brazil.

Of particular importance to the activity is the National Policy for the Environment (Law n. 6938/81), which establishes the "National System for the Environment" and the "Environmental Impact Assessment Licensing System", composed of an Environmental Impact Assessment study and three different environmental permits.

Also, because some program activities will take place in the Atlantic Forest, it is relevant for this Activity the "Forest Code", Federal law 4771/65 (as modified by provisional executive order 2166/01), the main piece of legislation for protection of Brazil's forests. The Forest Code establishes the general principles, leaving the states to legislate on the matter in light of local features and peculiarities, as long as the level of protection established by the Code is not reduced. The Forest Code is a very strict law, specifying that eighty percent of forested property in the Amazon must be set-aside as a 'legal reserve'. The Code establishes further protection of so-called 'areas of permanent preservation-APPs', such as riparian forests and sloping lands - that cannot be cleared under any circumstance.

Federal Law 11284/06, the "Public Forests Law", regulates the protection, management and use (through concessions) of publicly owned forests in Brazil. The so-called 'forest concessions' law also created the Brazilian Forest Service, tasked with managing the national public forests system.

Other laws of interest for the activity are the Federal Law on Water Management, Federal Law n. 9433/97, which establishes the National Policy for Water Resources, and the Federal Law n. 7661/1988, on Coastal Resources Management.

Regarding the indigenous based activities, it is worth noting that the Brazilian Constitution fully recognizes the plural nature of the country's societal ethnic make-up, affording indigenous peoples recognition of their social organization, traditions, languages, creeds, habits and ancestral territories (Article 231). The Federal Government, through its Indigenous Peoples' Agency (FUNAI) attached to the Ministry of Justice, is responsible for ensuring the protection and promotion of indigenous rights, including the demarcation and homologation of indigenous lands.

Both FUNAI and the Ministry of Justice receive advice and guidance from the National Commission for Indigenous Policies (CNPI). The CNPI was created in March of 2006 and instituted in April of 2007 as a response to indigenous peoples' claims for more active political participation in government decision making. It is composed of 35 members from government, indigenous movements, and indigenous based NGOs. CNPI's primary objective is to discuss and agree the terms of reference for the creation of a future National Council for Indigenous People. In the meantime, the CNPI has been tasked with proposing policy directives and priorities for government wide action on indigenous issues.

FUNAI is mandated by the Brazilian Constitution to establish an operational framework to guide the implementation of its budgetary allocation to deliver its mission. This framework is translated into a four-year 'Pluriannual Operational Plan' (PPA). The current PPA has been approved for the period 2008-2011¹. The PPA enshrines the strategic, sectoral and operational objectives and activities of the agency. It is divided into a series of 'actions', of which the most notable in terms of their particular relevance for the current RFA are:

- Action 6698 – Environmental and Territorial Management of Indigenous Lands;
- Action 2711 – Promotion of Ethno-development in Indigenous Lands; and
- Action 8635 – Promotion of the Cultural Patrimony of Indigenous Peoples.

The overall legal framework for FUNAI's operations is guided by Federal Decree No 11412 of 05/19/1994, which provides an institutional and regulatory umbrella for the implementation of environmental protection and healthcare activities, as well as promotion of sustainable economic alternatives in indigenous lands. It sets out the need for articulated and coordinated activities between governmental, non-governmental and indigenous organizations as a means to ensure effective support to indigenous peoples and their lands.

Of particular importance to the Program, Decree 1141 encourages the formulation and implementation of environmental assessments, socio-environmental diagnostics, ethno-mappings, restoration of degraded areas, monitoring and surveillance, training and capacity building, and application of indigenous and non-indigenous technologies for

¹ FUNAI: Plano Plurianual 2008-2011 – Programa Proteção e Promoção dos Povos Indígenas

² Decreto 1141 de 19/05/1994 - Dispõe sobre as Ações de Proteção Ambiental, Saúde e Apoio às Atividades Produtivas para as Comunidades Indígenas. Publicado no DOU em 20/05/1994- 007443 1-
<http://www6.senado.gov.br/sicon/ListaReferencias.action?codigoBase=2&codigoDocumento=139394>

environmental protection. The Decree also places a special emphasis on support and technical assistance for the development of economic alternatives, and strengthening of community associations as a means to ensure the physical and cultural survival of indigenous peoples.

5. EVALUATION OF ENVIRONMENTAL IMPACT POTENTIAL

The bulk of activities described in each Activity numbered 1 to 9 will focus on training, technical assistance, development of studies, reports, and research, and will have no adverse impacts to the environment and therefore qualify for a Categorical Exclusion.

Activities having a small potential to adversely impact the environment include:

- a) Restoration of degraded areas **inside indigenous lands** – if developed;
- b) Identification of potential initiatives and feasibility studies that link conservation with sustainable income generation for communities (e.g. for payment for environmental services; non-timber forest products, sustainable ecotourism);
- c) Pilot economic development activities to sustain conservation activities;
- d) Implementation of development plans including field activities;
- e) Livelihood enhancement of local peoples through increased access to environmentally friendly technologies e.g. renewable energy sources; and
- f) Small-scale infrastructures – if developed.

These activities will be properly designed and implemented so that any negative impact to the environment will be negligible and/or mitigated and therefore qualify for a Negative Determination with Conditions.

A Summary of types of activities involved in the Environmental Program details and an Initial Evaluation of Environmental Impact Potential is presented in the tables below:

(a) Sustainable Management and Production Activities

Implem. Mechanism	Implementing Partners	FY 09 Budget	FY 10 Budget	FY 11 Budget	Life-of-Activity Budget	Type of Activity	Evaluation of Environmental Impact Potential
1. Forest Enterprise	United States Department of Agriculture's Forest Service - USDA/FS	2,000,000	1,500,000	1,500,000	5,000,000	Training, education, technical assistance, studies, surveys, workshops, meetings, development of environmental monitoring and planning tools.	Categorical Exclusion
2. Responsible Sourcing in Pará and Mato Grosso	The Nature Conservancy - TNC	1,785,000	1,700,000	1,700,000	5,185,000	Training, education, technical assistance, studies, surveys, workshops, meetings, development of environmental monitoring and planning tools, mapping.	Categorical Exclusion

ential

3. Responsible Sourcing Mato Grosso – Xingu Region	Aliança da Terra	170,000	165,000	165,000	500,000	Training, education, technical assistance, studies, surveys, workshops, meetings, development of environmental monitoring and planning tools, mapping.	Categorical Exclusion
Total Activities					5,685,000		

(b) Bilateral Biodiversity Conservation Activities – LAC-IEE-05-23

Implem. Mechanism	Implementing Partners	Life-of-Activity Budget	Type of Activity	Evaluation of Environmental Impact Potential
4. FORTIS	Instituto Internacional de Educação do Brasil - IEB	8,286,485.89	Training, education, technical assistance, studies, surveys, workshops, meetings, development of environmental monitoring and planning tools, mapping.	Categorical Exclusion
5. Indigenous Landscape PIB	The Nature Conservancy - TNC	3,384,287	Training, education, technical assistance, studies, surveys, workshops, meetings, development of environmental monitoring and planning tools, mapping. <i>Activity "Develop territorial and environmental management plans (TEMP) in the Roraima and Oiapoque landscapes", fall into Negative Determination with Condition category.</i>	Categorical Exclusion and Negative Determination with Conditions
6. MABE	University of Florida	2,703,294	Training, education, technical assistance, studies, surveys, workshops, meetings, development of environmental monitoring and planning tools, mapping. <i>Activity "Elaboration of Development Plans for highway corridors in the Brazilian Southwestern Amazon", if any development plan, or portions of those plans will be implemented with USAID funding support, this activity fall into Negative Determination with Condition category.</i>	Categorical Exclusion and Negative Determination with Conditions
Total Activities		14,374,067		

(c) Indigenous Biodiversity Conservation Activities – LAC-IEE-08-34

Implem. Mechanism	LIFE OF ACTIVITY BUDGET	Type of Activity	Evaluation of Envir. Impact Potential
7. ALDEIAS/ World Vision	4,096,625	<p>Training, education, technical assistance, studies, surveys, workshops, meetings, development of environmental monitoring and planning tools, and mapping, fall into <i>Categorical Exclusion</i>.</p> <p>However, the activity "<i>pilot economic development activities to sustain conservation activities</i>", fall into <i>Negative Determination with Condition</i> category.</p>	<p>Categorical Exclusion</p> <p>and</p> <p>Negative Determination with Conditions</p>
8. Protection of Isolated Peoples/ CTI	4,478,392	<p>Training, education, technical assistance, studies, surveys, workshops, meetings, environmental monitoring activities.</p>	<p>Categorical Exclusion</p>
9. Ethno Environm. Corridor/ IEB	4,630,000	<p>Training, education, technical assistance, studies, surveys, workshops, meetings, development of environmental monitoring and planning tools, and mapping, fall into <i>Categorical Exclusion</i>.</p> <p>However, activities such as:</p> <ul style="list-style-type: none"> - Restoration of degraded areas inside indigenous lands; - Identification of potential initiatives and feasibility studies that link conservation with sustainable income generation in indigenous lands (e.g. for payment for environmental services; non-timber forest products; sustainable ecotourism, etc); - Livelihood enhancement of indigenous peoples; <p>fall into <i>Negative Determination with Condition</i> category.</p>	<p>Categorical Exclusion and Negative Determination with Conditions</p>
10. Biodiversity Conservation of Public Lands in The Brazilian Amazon	6,000,000	<p>Training, education, technical assistance, studies, surveys, workshops, meetings, development of environmental monitoring and planning tools, and mapping, fall into <i>Categorical Exclusion</i>.</p> <p>However, activities such as:</p> <ul style="list-style-type: none"> - Restoration of degraded areas inside indigenous lands; - Identification of potential initiatives and feasibility studies that link conservation with sustainable income generation in indigenous lands (e.g. for payment for environmental services; non-timber forest products; sustainable ecotourism, etc); - Livelihood enhancement of indigenous peoples; <p>fall into <i>Negative Determination with Condition</i> category.</p>	<p>Categorical Exclusion and Negative Determination with Conditions</p>
TOTAL	19,205,017		

6. RECOMMENDATION THRESHOLD DECISIONS AND CONDITIONS

Pursuant to 22 *CFR* 216.2 (c) (2) (i) (ii) (iii) and (xiv) a **Categorical Exclusion** is recommended for the activities numbered **1 to 10** that have components of education, technical assistance, surveys, workshops, meetings and development planning:

- (i) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities).
- (ii) Controlled experimentation exclusively for the purpose of research and field evaluation which are confined to small areas and carefully monitored.
- (iii) Analyses, studies, academic or research workshops and meetings.
- (iv) Studies, projects or programs intended to develop the capability of recipient countries to engage in development planning, except to the extent designed to result in activities directly affecting the environment.

Pursuant to 22 *CFR* 216.2 a **Negative Determination with Conditions** for activities numbered **5 6, 7, 9 and 10** that have components of:

- a) Restoration of degraded areas inside indigenous lands – if developed;
- b) Identification of potential initiatives and feasibility studies that link conservation with sustainable income generation for communities (e.g. for payment for environmental services; non-timber forest products, sustainable ecotourism, small-scale infrastructure, etc);
- c) Pilot economic development activities to sustain conservation activities;
- d) Implementation of development plans including field activities;
- e) Livelihood enhancement of local peoples through increased access to environmentally friendly technologies e.g. renewable energy sources; and
- f) Small-scale infrastructures – if developed.

Conditions to avoid or mitigate adverse environmental impacts from the above activities:

- Use of the “Guidelines for Implementing Partners: **USAID/Brazil’s Environmental Mitigation Plan and Report (EMPR)**” (**Annex 1 and its Attachment 1**) to conduct a preliminary environmental analysis of all sub activities.
- The Agreement Officer Technical Representatives (AOTRs) for these Activities will actively monitor, evaluate, and ensure that the conditions specified herein are met.
- As part of its Work Plan, the grantee, in collaboration with the AOTRs, shall review all planned activities under this Grant to determine if they are within the

scope of the approved Regulation 216 environmental documentation (Initial Environment Examination – IEE, and the correspondent Environment Threshold Decision - ETD).

- If additional activities are added that are not described in this document, an amended Initial Environmental Examination will be prepared.
- If the Grantee plans any new activities outside the scope of the approved IEE and ETD, an amendment will be prepared to the approved Regulation 216 environmental documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.
- 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.
- Include in the Performance Report a section on “Compliance with Environmental Regulation”, where the Grantee will specify actions taken, if any, or state that all activities were developed in accordance with applicable national laws and USAID guidelines.
- Under no circumstances will funds be used for: procurement or use of pesticides, purchase of equipment which could be used for commercial timber harvesting; nor activities, projects, or programs involving commercial timber harvesting unless the appropriate environmental assessment is conducted, and approved by the LAC/BEO.
- Compliance with and application of USAID Environmental Guidelines for Development Activities in Latin America and Caribbean (<http://inside.usaid.gov/LAC/RSD/E/epiq.html>); focus on these chapters of the Guidelines:
 - Chapter 2: Small-Scale Infrastructure” - section A. Construction Activities
 - Chapter 7: Ecotourism – if developed;
 - Chapter 8: Agriculture and Watershed Management for restoration activities, if developed (A. Soil and Water Conservation; and B. Stream Bank Protection and Restoration)
 - Chapter 9: Forestry - for Reforestation and Agro forestry, if developed.

7. MONITORING AND EVALUATION

Mission will carefully monitor all activities by reviewing implementation reports and conducting site visits to make sure that they comply with the guidelines, rules, regulations, policies and environmental conditions outlined in sections 4 and 6. Likewise, Mission will make sure the mitigation measures are implemented.

Implementing partners will report on environmental compliance of these measures as part of annual progress reporting, and the AORs and the MEO will monitor the partner's compliance randomly as part of regular project monitoring.

The AORs for this project is responsible for confirming that environmental conditions are met. Mission approval of each activity will include a review and concurrence by the Mission Environmental Officer to ensure that each activity is in compliance with 22 CFR 216 and those environmental conditions are met.

Concurrence: _____ Date: _____

Lawrence Hardy II

USAID/Brazil

Mission Clearance:

Concurrence: Lawrence Hardy Date: 11/09/12
Lawrence Hardy II
USAID/Brazil

Mission Clearance:

Alexandre Mancuso, Environment Team Leader & MEO AS
11/7/2012

Regional Environmental Advisor Clearance:

Jason Girard, Regional Environmental Adviser: Jason Girard 11/7/2012

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ANNEX 1 TO THE IEE

Guidelines for Implementing Partners on the Use of USAID/Brazil's ENVIRONMENTAL MITIGATION PLAN AND REPORT (EMPR)

1. BACKGROUND

All activities funded by USAID must conform to its environmental regulations of the United States Code of Federal Regulations (22 CFR 216) requiring evaluation to ensure that no adverse environmental impacts result from the projects that cannot be mitigated. Some types of activities funded through USAID/Brazil's Environmental Program require a preliminary evaluation, such as:

- Restoration of degraded areas inside protected areas.
- Watershed Management for restoration activities.
- Implementation of sustainable income generation for poor communities including agro-forestry, watershed management and ecotourism activities.
- Identification of potential initiatives and feasibility studies that link conservation with sustainable income generation in indigenous lands (e.g. for payment for environmental services; non-timber forest products, sustainable ecotourism fishing, agro-forestry system).

These activities require a preliminary review under Environmental Mitigation Plan and Report (EMPR), so described by these guidelines, to ensure programmatic compliance with 22 CFR 216 by meeting the conditions specified in the Environmental Threshold Decision (ETD) and any subsequent amendments.

Programs implemented by USAID/Brazil implementing partners (IPs) include a wide range of discrete-activities under an award(s) that will likely have a risk for adverse environmental impact.

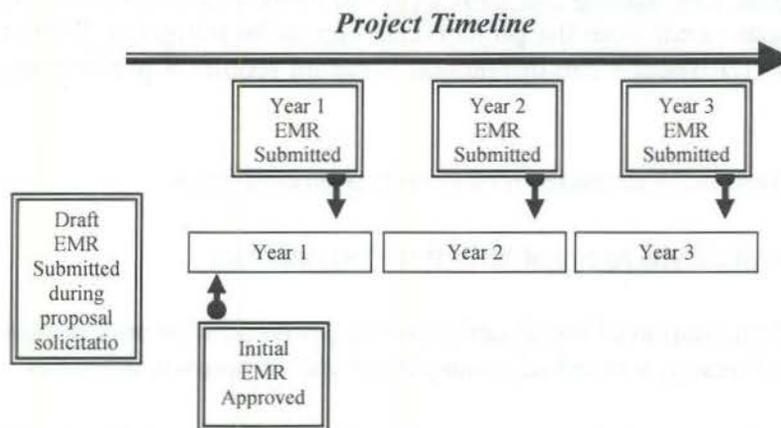
IMPORTANT: Illustrative list of activities that would require the use of the EMPR are:

- Development of income generating activities,
- Livelihood enhancement,
- Land restoration,
- Development of non-timber forest products,
- Tourism,
- Fisheries,
- Agro-forestry, and
- Small-scale infrastructure .

These discrete activities are not specified in the program solicitation, so the EMPR will permit flexibility in innovative and entrepreneurial approaches by the IP based upon the needs of the targeted communities. In response to the lack of specificity in the solicitation, this EMPR procedure will provide for both the screening of potential environmental impacts and analysis of environmental risk, the development of a mitigation and monitoring plan.

The IP program manager can work with the USAID/Brazil Mission Environment Officer (MEO) to ensure impacts are sufficiently identified and to suggested mitigation actions.

Figure 1. Timeline of Reporting Requirement for Environmental Mitigation



Timing of Reporting Requirements

A draft EMPR will be submitted with the draft Scope of Work at proposal submission. Once the contract is awarded, the reporting requirements include A) an initial EMPR approved by the MEO outlining a mitigation plan over the project life, B) an annual EMPR(s) describing the mitigation status (Figure 1). The report should not exceed ten pages (excluding annexes).

For Projects/Activities that have a sub-grant/small-grant component and have received a Negative Determination with Conditions, the EMPR will be used for each sub-grant activity before any actions are implemented or funds are spent. The MEO sign off on these EMPRs and may be assisted by the Regional Environmental Officer (REO) in review when needed.

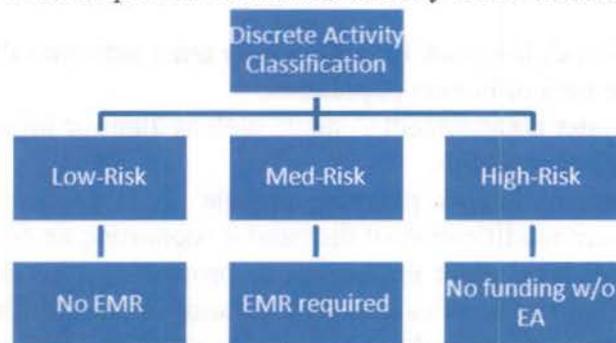
2. INITIAL ENVIRONMENTAL MITIGATION REPORT

2.1 Classification of Level of Risk

Components of a program or discrete activities under an award can have varying level of risk for environmental damage and therefore required different courses of action (Figure 2).

- No-risk activities, classified under “2.1.1” below, do not require the EMR as they are already addressed under a “categorical exclusion” determination in the original SO-level IEE and Environmental Threshold Decision at the Mission.
- High-risk activities (2.1.2) will have significant environmental impacts that will require an Environmental Assessment (EA) contracted through the IP with MEO consultation to a professional Environmental Impact organization with final approval by the LAC Bureau Environmental Officer. Such activities are not to be avoided if they meet a crucial need of the community (e.g., solid waste disposal facility, municipal-scale waste water treatment plant).
- Medium-risk activities (2.1.3) are addressed in the Environmental Threshold Decision— which comprises many of such activities under USAID/Brazil’s Environment Program – will require the implementing partner to screen environmental impacts and plan for mitigation and monitoring of adverse environmental impacts. It is to these medium-risk activities that this EMR guidance primarily applies.

Figure 2. Schematic of required action based on the level of risk of a component or discrete activity under an award.



2.1.1 Discrete Activities that Do Not Require Mitigation Plans (No-Risk):

An illustrative list of no-risk discrete activities where no mitigation reporting is required includes:

- Education or training, unless it implements or leads to implementation of actions that impacts the environment (such as construction of schools),
- Community awareness initiatives,
- Technical studies or assistance,
- Analyses, studies, academic or research workshops and meetings;
- Studies, projects or programs intended to develop the capability of recipients to engage in development planning, except to the extent designed to result in activities directly affecting the environment.

If there is a risk that the actual *implementation* of materials learned in a training activity could adversely impact the environment (e.g., training on agricultural techniques, pesticide use, and/or hazardous medical waste), the training is expected to include as part of its curriculum, an analysis of environmental impacts and planning for mitigation. The EMPR should be used for these types of trainings.

2.1.2 Discrete Activities that Cannot be Supported (High-Risk):

Under the environmental regulations of USAID, if there is a discrete activity which is considered critical to the needs of the community that may have a significant environmental impact, such activities will require an Environmental Assessment. In the case of pesticide use a Pesticide Evaluation Report and Safer Use Action Plan (PERSUAP) will need to be prepared by the partner and approved by the LAC BEO. Such activities include but are not limited to:

- Agricultural, livestock introduction or other activities that involve forest conversion,
- Resettlement of human population,
- Large water management systems such as dams or impoundments,
- Drainage of wetlands,
- Introduction of exotic plants or animals,
- Permanent modification of the habitat supporting an endangered species,
- Industrial level plant production or processing (this does not include community or regional plant nurseries aimed at restoring areas after fires),
- Installation of aquaculture systems in sensitive lakes, marine waters (not land-based fish ponds),
- Procurement of timber harvesting equipment, including chainsaws,
- Use of pesticides (insecticides, herbicides, acaricides, fungicides),
- Large scale construction in un-degraded land,
- Large scale new construction involving permanent living quarters and/or sanitation facilities,
- Cutting of trees over 20 cm diameter breast height, especially tropical trees, except as needed to control disease or maintain forest health.
- Construction on new roads or upgrading/maintenance of extensive road, fire break or trail systems through un-degraded forest land or natural habitats.

2.1.3 Discrete Activities that can be Supported if Mitigation Measures are Planned and Implemented (Medium-Risk):

Many discrete activities under an agreement will fall between the two extremes mentioned above and offer some adverse environmental impact that can be mitigated with proper planning.

For these activities the IP will be responsible for completing the EMR on an annual basis, as specified in the RFP or RFA and contract, cooperative agreement or grant with the IP.

Funding will depend on proof that the project is taking the most environmentally sound approach and that IPs are aware and planning for the potential impacts.

2.2 Sector-Specific Environmental Screening Form

For medium-risk discrete activities, the IP will be responsible for completing the EMR on an annual basis. First, the IP must submit an initial EMR at the project planning stage. The initial EMR will include project-specific information on discrete activities as outlined in the “Environmental Screening Form” (Template, Table 1) and the “Identification of Mitigation Plan” (Template, Table 2).

IMPORTANT: The Environmental Screening Form contains information relevant to the potential environmental impact over the life of activity to natural resource and communities, local planning permits, and environment and health. If items in the Environmental Screening Form (Template, Table 1) from Column “A” are checked then items for monitoring and mitigation are to be specified in the “Identification of Mitigation Plan” (Template, Table 2). The Mitigation Plan simply outlines the plan of action for mitigation of planned activities. The Mission Environmental Officer is to approve these forms, with special attention to those projects with identified impacts (i.e., projects with any check marks in Column A).

For reference on mitigation information on a wide variety of discrete activities, refer to the “USAID LAC Environmental Guidelines”. Illustrative sector-specific guidelines include: WHO guidelines for handling and disposal of medical waste, “Low-Volume Roads Engineering: Best Management Practices Field Guide (Keller and Sherar, 2003)”, the World Wildlife Fund Agriculture and the Environment handbook

3. ANNUAL ENVIRONMENTAL MITIGATION REPORT

On an annual basis each implementing partner will submit an “Environmental Mitigation Plan and Report” (EMR) using the attached template (Attachment 1). The EMPR contains information relevant to the potential environmental impact over the life of a discrete activity under an award and includes:

- A) A copy of the initial EMPR completed during the initial project planning (reference section II above);
- B) The prescribed mitigation measures using the “Identification of Mitigation Plan (Template, Table 2)”; and
- C) Synthesized data on these mitigation measures collected throughout the year and tracked in the Environmental Monitoring and Evaluation Tracking Table (Template, Table 3).

As it is often difficult to quantitatively measure progress of complex mitigation measures, it may be necessary to include inserted digital photos (with relevant maps) to describe progress of mitigation activities.

IMPORTANT: USAID/Brazil expects the IP to clearly demonstrate competence in implementing discrete activities using best management practices which will provide the additional benefit of environmental protection.

Environmental impact screening and analysis is based upon both the

- 1) Underlying condition of the surrounding environment (e.g., sensitivity of the river, degree of slope and stability of soil) and
 - 2) The nature of the activity itself (e.g., solid waste removal, road construction/rehabilitation).
- For example, it is logical when developing an EMR to cluster the mitigation measures of those activities that are of a similar nature and have comparable underlying conditions (e.g., well rehabilitation in a peri-urban setting).

It is also commonsense, however, that for those activities that are of similar nature (e.g., well rehabilitation), but operating under widely different underlying environmental conditions (e.g., peri-urban setting vs. upland plateau vs. coastal plain), that the environmental mitigation measures would not be completely clustered.

Sections of the EMR include:

1. EMR Coversheet
2. EMR Narrative (to be filled out with project specific information) – if applicable
3. Environmental Screening Form signed by IP Program Manager (Table 1)
4. Identification of Mitigation Plan (Table 2) – if applicable
5. Environmental Monitoring and Evaluation Tracking Table (Table 3) – if applicable
6. Annexes: Photos, Maps, Level of Effort – optional, if needed for clarification purposes.

Drafted: August 19, 2009; ECostanti (USAID/Brazil), adapted from VBullen (USAID/Washington) version, adapted from the EMR in use by USAID/CAR and ICAA.

Attachment 1: Template
ENVIRONMENTAL MITIGATION PLAN AND REPORT (EMPR)

1. Coversheet

USAID/Brazil Mission Program Title:

Cooperative Agreement Number:

Partner:

Funding Period: FY _____ - FY_____

USAID Total Estimate Cost:

Report Prepared by:

Name and Position

Date:

Date of Previous EMPR: _____ (if any)

Status of Fulfilling Mitigation Measures and Monitoring:

- () Initial EMR with Environment Screening Form is attached.
- () Initial EMR describing mitigation plan is attached.
- () Annual EMR describing status of mitigation measures is established and attached.
- () Certain mitigation conditions could not be satisfied and remedial action has been provided within the EMR.

USAID/Brazil Clearance of EMPR:

Agreement (or Contracting) Officer Technical Representative:

_____ Date: _____

Mission Environmental Officer: _____ Date: _____

Regional Environmental Advisor: _____ Date: _____

2. Environmental Screening Form

2.2. Table 1 - Environmental Screening

(Name of Program and Cooperative Agreement Number)		Column A	Column B	Col C	
		Yes	No	If answered yes to Col. A. is it a--?	
				High Risk	Medium-Risk
IMPACT ON NATURAL RESOURCES & COMMUNITIES					
1	Will the project involve construction, reconstruction or refurbishing ¹ of any type of structure (building, check dam, walls, latrines, etc)?				
2	Will the project involve the construction ² or repair of roads or trails?				
3	Will the project involve the use, involve plans to use or training in the use of any chemical compounds such as pesticides ³ , herbicides, paint ⁴ , varnish, lead-based products, etc?				
4	Involve the construction or repair of irrigation systems?				
5	Involve the construction or repair of fish ponds?				
6	Involve the disposal of used engine oil?				
7	Will the project involve implementation of timber management ⁵ or extraction of forest products?				
8	Will the activity impact potentially sensitive terrestrial or aquatic areas near the project site, including protected areas?				
9	Does the activity impact upon wildlife, forest resources, or wetlands?				
10	Will the activities proposed generate airborne gases, liquids, or solids (i.e. discharge pollutants)				
11	Will the waste generated during or after the project impact on neighboring surface or ground water?				
12	Will the activity result in clearing of forest cover ⁵ ?				
13	Will the activity contribute to erosion?				
14	Is the activity <u>in</u> compatible with existing land use in the vicinity?				
15	Will the activity contribute to displace housing?				
16	Will the activity affect unique geologic or physical features?				
17	Will the activity contribute to change in the amount of surface water in any body?				
18	Will the activity deal with mangroves and coral reefs?				

19	Will the activity expose people or property to flooding?				
20	Will the activity contribute substantial reduction in the amount of ground water otherwise available for public water supplies?				
21	Will the activity create objectionable odors?				
22	Will the activity violate air standard?				
LOCAL PLANNING PERMITS					
23	Does the activity e.g. infrastructure improvements require local planning permission(s)?			NA	NA
24	Does <u>not</u> the activity meet the national building code for any reason (e.g. infrastructure improvements)?			NA	NA
25	Is the activity <u>in</u> compatible with existing land use?				
ENVIRONMENT & HEALTH					
26	Will the project activities create conditions encouraging an increase of waterborne diseases or populations of disease carrying vectors?				
27	For road rehabilitation as well as water and sanitation grants, has a maintenance plan been submitted?				
28	Will the activity generate hazards or barriers for pedestrians, motorists or persons with disabilities?				
29	Will the activity increase existing noise levels?				
30	Will the project involve the disposal of syringes, gauzes, gloves and other biohazard medical waste?				
GENDER					
31	Do men and women not equally involved in the project's activities? (If "Yes", explain the reason in the EMPR Narrative)				
32	Does the project activity inhibit the equal involvement of men and women? (If "Yes", explain the reason in the EMPR Narrative)				
33	Are there factors that prevent women's participation in the project? (If "Yes", explain the reason in the EMPR Narrative)				

Observations:

¹ Construction projects need to be reviewed for scale, planned use, building code needs and maintenance. Some small construction projects, such as building an entrance sign to a park, may require simple mitigations whereas larger buildings will require more extensive review and monitoring.

² New constructions of roads and trails will require a full environmental assessment of the planned construction.

³ The planned involvement of pesticides will trigger the need to develop a Supplemental Initial Environmental Examination that meets USAID pesticide procedures (Pesticide Evaluation Report and Safer Use Action Plan or "PERSUAP") for the project.

⁴ The reason why paint is listed here is because of the proper disposal of paint cans.

⁵ Any activities the involve harvesting trees or converting forests will require a full environmental assessment of the activity.

2.2. Environmental Screening Results

- () At least one of the above questions (1 – 30) was check marked “yes” (Column A) but there were no check marks for high risk: see section 3 - Environmental Mitigation Report Narrative (EMR), Table 2 - Identification of Mitigation Plan, and Table 3 - Environmental Monitoring and Evaluation Tracking Table (if applicable).
- () At least one of the above questions (1-30) was check marked “yes” with a least one check mark for high risk: the Activity falls under a Positive determination and requires the preparation of an Environmental Assessment. No additional information is needed for the EMPR.
- () No question was check marked “yes” (Column A), therefore, no additional data is needed.

(Signature)

Program Manager Name

Date

3. Environmental Mitigation Plan and Report Narrative

Note: summary instructions are in italics and should not to be included in the report, but rather should be filled out with project specific information)

Note: Outline to be included in the report is in bold.

3.1. Background, Rationale and Outputs/Results Expected:

Summarize and cross-reference proposal if this review is contained therein.

3.2. Activity Description:

- *Succinctly describe location, site, surroundings (include a map, even a sketch map).*
- *Provide both quantitative and qualitative information about actions needed during construction, how intervention will operate and any ancillary development activities that are required to build or operate the primary activity (e.g., road to a facility, need to quarry or excavate borrow material, need to lay utility pipes to connect with energy, water source or disposal point or any other activity needed to accomplish the primary one but in a different location).*
- *Include any actions that are needed to complete the activity (e.g. Activity= latrine construction, Actions needed are location of latrine, design of latrine, materials to be purchased, actual construction, site clean up).*
- *If various alternatives have been considered and rejected because the proposed activity is considered more environmentally sound, explain these.*

3.3. Environmental Baseline:

Described affected environment, including essential baseline information available for all affected locations and sites, both primary and ancillary activities.

3.4. Evaluation of Environmental Impact Potential of Activities (Table 2):

As a component of the Identification of Mitigation Plan (Attachment 1, Table 2), describe impacts that could occur before construction starts, during construction and during operation, as well as any problems that might arise with restoring or reusing the site, if the facility or activity were completed or ceased to exist.

Explain direct, indirect, induced and cumulative effects on various components of the environment (e.g., 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.).

Indicate positive impacts and how the natural resources base will be sustainably improved.

3.5. Environmental Mitigation Actions (Tables 2 & 3):

For each component of the program, list the mitigation measures in the Identification of Mitigation Plan (Table 2) and monitoring of these mitigation measures in the Environmental Monitoring and Evaluation Tracking Table (Table 3).

Describe status of complying with the conditions. Examples of the types of questions an IP should answer to describe "status" follow.

- 1) What mitigation measures have been put in place? How is the successfulness of mitigation measures being determined? If they are not working, why not? What adjustments need to be made?
- 2) What is being monitored, how frequently and where, and what action is being taken (as needed) based on the results of the monitoring? In some situations, an IP will need to note that the monitoring program is still being developed with intent to satisfy the conditions. Alternatively, it could happen that the conditions cannot be achieved because of various impediments.

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Table 2 - Identification of Mitigation Plan

→ Enter the Question/Row # of the potential negative impacts with check marks in Column A (Table 1) and complete table below for mitigation measures to reduce or eliminate the issue.

#	Sub-activity or component	Description of Impact	Mitigation Measures
1	Component 1		
	Step 1		
	Step 2		
2	Component 2		
	Step 1		
3	Etc.		
4			

* provide overview of measures used from the USAID LAC Environmental Guidelines or other pertinent guidelines, details on exact monitoring plan are illustrated in Table 3, Environmental Monitoring and Evaluation Tracking Table.

Table 3 - Environmental Monitoring and Evaluation Tracking Table

Type of Project:	
Project Name:	
Implementing Organization:	
Location Name:	
Project Size:	
Nearby Communities:	
Senior Project Manager:	Date:
Monitoring Period:	

#	Description of Mitigation Measure	Responsible Party	Monitoring Methods			Estimated Cost	Results			Recommended Adjustments
			Indicators	Methods	Frequency		Dates Monitored	Problems Encountered	Mitigation Effectiveness	
1						1				
						2				
						3				
						4				
2						1				
						2				
						3				
						4				
3						1				
						2				
						3				
						4				
4						1				
						2				
						3				