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**LAC-IEE-17-06**

**ENVIRONMENTAL THRESHOLD DECISION**

Activity Location: Guatemala

Activity Title **Development Objective One:** Greater Security and Justice for Citizens

Activity Number TBD

Life-of-Activity-Funding: \$201.86 million

Life-of-Activity FY 2016 – FY 2018 (implementation time extension)

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Reference Environmental Threshold Decisions (ETD): LAC-IEE-12-47  
LAC-IEE-12-60

Recommended Threshold Decision: **Categorical Exclusion  
Negative Determination with Conditions**

Bureau Threshold Decision: Concur

**1. Purpose and Scope of IEE**

The purpose of this IEE amendment is to revise the titles of DO1: Greater Security and Justice for Citizens, Intermediate Result (IR) 1.1 and DO1 IR 1.2, and add a new IR1.3. This IEE amendment will also serve to add additional illustrative activities to these revised IRs; increase the Life of Project Funding from \$94 million to \$201.86 million dollars; and extend the Life of Project end date from the end of FY2016 to September 16, 2018. This extension will cover activities while the new mission CDCS is prepared.

On December 11, 2015, the Guatemala Mission Director approved an extension of the USAID/Guatemala Country Development Cooperation Strategy (CDCS) through September 16, 2017. On July 14, 2016, the Assistant Administrator for the Bureau for Latin America and the Caribbean in USAID/Washington approved another extension through September 16, 2018. During this time, a new CDCS will be prepared; therefore, the existing IEE for DO1 must be updated to reflect the additional time, cost and

activities implemented under the extended DO1.

## 2. Background

USAID/Guatemala's CDCS (2012-2016) approved by the Assistant Administrator for the Bureau of Latin America and the Caribbean on March 16, 2012 includes three Development Objectives (DOs): DO1: **Greater Security and Justice for Citizens**, DO2: Improved Levels of Economic Growth and Social Development in the Western Highlands, and DO3: Improved Management of Natural Resources to Mitigate Impacts of Global Climate Change.

On June 17, 2016, DO1 PAD Amendment 2 was approved to include minor updates to IR 1 and IR 2 and include the addition of IR 3. The revised IRs 1 and 2, and the new IR 3 are as follows:

1. Improved governance of key public institutions
2. Reduced levels of violence and conflict in target areas and populations
3. Citizen voice and responsible participation increased

In addition to continuing current activities, as implemented through ongoing projects, there are several new activities that will be reflected under the revised and new IRs. Project activities will engage a broader group of public institutions, not only those related to security and justice, but others like the Superintendency for Tax Administration (SAT), the Comptroller General and the Ministry of Finance, as well as other technical ministries like the Ministry of Health. In addition, USAID/Guatemala seeks to increase activities focused on citizen voice and responsible participation. This will ensure that USAID is enhancing not only the supply of key reforms, but also citizen demand and civil society oversight within the new operating environment. IR 3 was created as a response to changes in the political environment and a marked increase in civic participation that manifested during widespread anti-corruption protests throughout the country in 2015. Therefore, this IEE extension will cover activities that support Government of Guatemala institutions, processes and reforms, as well as Guatemalans in their participation, advocacy and oversight of these institutions, processes and reforms.

Several new implementing mechanisms have been planned and will support DO1 as a part of USAID's assistance to the new operating environment, and as a response to the issue of migration. See the Environmental Threshold Decision chart in Section 3 below that places the new Activity actions within appropriate IRs/Sub IRs. Activity details are included later in the IEE. These new and extended mechanisms include:

- Community Roots Project supports a community-driven approach to preventing migration and violence in areas where the two intersect. Main activities are: support to local and municipal actors (civil society, government and private sector) to create violence and migration mitigation plans; assist plan implementation through sub-grants and private investment for sustainable

development; strengthen community policing; and improve and provide secondary prevention for at-risk youth.

- Urban Municipal Governance Project supports municipal governments to provide services in more inclusive, effective and transparent manner. The major focus of the project is to have strong public budgeting and municipal service delivery; improved living conditions and services in high-crime areas; and participation of most at-risk communities in municipal decision-making and governmental accountability.
- National Institution Strengthening for Accountable Governance Project responds to the GOG needs in improving tax administration and public financial management of key institutions responsible for the planning, processing and execution of the national budget.
- Harnessing Emerging Political Leadership for an Accountable Guatemala Project harnesses the political energy and civic engagement following leading to the political transition in 2015. It will support youth from across socioeconomic and ethnic backgrounds to come together to engage more deeply in political leadership of Guatemala.
- Community Engagement for Peacebuilding Project will promote conflict transformation in Guatemala's Western Highlands through community engagement and implementation of plans that directly address sources of conflict at the familial, community, and municipality levels. The project will reduce social conflict and build cohesion in the areas of youth and families, governance, employment and livelihoods. The project will also strengthen GOG and non-governmental organizations' capacity to participate in managing, responding, and resolving local conflicts.
- Electoral Systems Reform Project will support the GOG to improve and implement electoral reform in order to ensure inclusive and safe elections and referendums. Improved and implemented electoral systems and processes will affect the process and implementation of key GOG reforms, including those related to the Constitution of Guatemala and broader anti-corruption efforts.
- Youth and Gender Justice Project will support the GOG and civil society to better respond to youth affected by violence, and victims of gender based violence.
- Security and Justice Reform Project (current project extended and new activities added) The project will support the GOG in presenting reforms and implementing key legislation as well as strengthen the GOG's capacity to investigate and prosecute corruption cases.

- Return and Reintegration in the Northern Triangle (follow-on award) The project supports the GOG to strengthen its capacity to receive returning migrants, especially unaccompanied children and their family units, and provide some aspects of community reintegration services.

### 3. Environmental Threshold Decisions

Environmental Determinations for			
DO1: Greater Security and Justice for Citizens			
IR/Sub IR/ Illustrative Activity	Determination		Mechanism
IR 1.1 Improved governance of key public institutions			
Sub-IR 1.1.1. Strengthened Prosecution and Adjudication of Crime			
1	Strengthen the juvenile justice system by improving case management systems as well as ensuring juvenile rehabilitation models are in place; support the implementation of alternatives to institutionalization and case diversion models; and design and implement strategies to prevent mixing of adolescents in conflict with the law and youth under protection. In addition to training, workshops, meetings and technical assistance, this activity may include small-scale infrastructure and/or sub-grants component.	<p>A <b>Categorical Exclusion</b> is issued to this activity involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of 22 CFR 216.2(c)(2)</p> <p>A <b>Negative Determination with Conditions</b> is issued for this activity that could have a significant effect on the environment, such as small scale infrastructure. The Recipient shall follow USAID's Sectorial Environmental Guidelines to identify mitigation measures according to its activities. These guidelines are available at <a href="http://www.usaidgems.org/sectorGuidelines.htm">http://www.usaidgems.org/sectorGuidelines.htm</a></p>	Youth and Gender Justice Project
Sub-IR 1.1.2. Improved management, administration, and coordination among key public institutions			

2	<p>Establishment of an adequate career path for the police and civil servants through strengthening human resources and employee benefits systems to include career development, continuing education, and incentives and benefits packages for employees of Security Justice Sector Institutions (SJSIs) and their families.</p> <p>This activity will include mainly workshops, technical assistance and trainings.</p>	<p><b>Categorical Exclusion</b> is issued to the activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>Security and Justice Reform Project (SJSRP)</p>
3	<p>Provide maintenance of services and small scale construction and/or renovations in key SJSIs /public institutions (e.g., communications software and hardware, vehicles, and databases), information technology, inventories, internal audits, and internal inspectorates.</p>	<p>A <b>Negative Determination with Conditions</b> is issued for this activity that could have a significant effect on the environment, such as small scale infrastructure. The Recipient shall follow USAID's Sectorial Environmental Guidelines to identify mitigation measures according to its activities. These guidelines are available at <a href="http://www.usaidgems.org/sectorGuidelines.htm">http://www.usaidgems.org/sectorGuidelines.htm</a></p>	<p>Security and Justice Reform Project (SJSRP)</p>
4	<p>Support the implementation of the strategic plans for SJSIs and public institutions, including those of the Public Ministry, the Police Reform Commission, the National Security Council, and the Supreme Court. Examples of strategic foci</p>	<p>A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>Security and Justice Reform Project (SJSRP), Youth and Gender Justice Project</p>

	<p>include, but will not be limited to institutional development, public confidence and outreach, strategic criminal prosecution for greater impact and efficiency, and inter-institutional coordination among the PNC, courts, forensic services, and public defenders. This activity will include mainly workshops, technical assistance and trainings.</p>		
5	<p>Promotion of coordination mechanisms, including, but not limited to, interagency working groups and interagency trainings for the enhancement of cooperation among key institutions that is vital to improving the effectiveness of SJSIs/governance. This activity will include mainly workshops, technical assistance and trainings.</p>	<p>A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>Security and Justice Reform Project (SJSRP)</p>
6	<p>Reviews and/or assessments of municipal and national government institutions. This activity will include mainly workshops, technical assistance and trainings.</p>	<p>A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>National Institutions Strengthening Project (NIS)</p>

7	Conduct political economy analyses. This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	National Institutions Strengthening Project (NIS)
8	Analysis of municipal service delivery processes and technical assistance for the development of service delivery improvement plans. This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	National Institutions Strengthening Project (NIS)
9	Technical assistance for the implementation of civil service and processes reforms at the national and local level. This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	National Institutions Strengthening Project (NIS)
10	Technical assistance for the increased information technology (IT) capabilities, availability, and use. This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	National Institutions Strengthening Project (NIS)
11	Technical assistance to improve the country's audit capacity. This activity will	A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of	National Institutions Strengthening Project (NIS)

	include mainly workshops, technical assistance and trainings.	to 22 CFR 216.2(c)(2)	
12	Technical assistance and training to strengthen congressional capacity to oversee public budget implementation This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	National Institutions Strengthening Project (NIS)
13	Technical assistance to improve Public Financial Management (PFM), procurement, and revenue generation systems. This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	National Institutions Strengthening Project (NIS)
14	Technical assistance for improved information systems (e.g., the GOG's public financial system – Integrated Financial Management System [SIAF])	A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	National Institutions Strengthening Project (NIS)
15	Implementation of municipal service delivery plans including small scale infrastructure	A <b>Negative Determination with Conditions</b> is issued for this activity that could have a significant effect on the environment, such as small scale infrastructure. The Recipient shall follow USAID's Sectorial Environmental Guidelines to identify mitigation measures according to its activities. These guidelines are available at <a href="http://www.usaidgems.org/sectorGuidel">http://www.usaidgems.org/sectorGuidel</a>	Urban Municipal Governance Project

		ines.htm	
16	<p>Technical assistance to the TSE for the organization of the first and second round of elections in 2015. This activity will include mainly workshops, technical assistance and trainings.</p>	<p>A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>Elections: More inclusion, less violence</p>
17	<p>Technical assistance to the TSE to implement the reforms to the LEPP. This activity will include mainly workshops, technical assistance and trainings.</p>	<p>A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>Elections: More inclusion, less violence, Electoral Systems Reform Project</p>
18	<p>Technical assistance to key congressional commissions to obtain congressional passage of a reform package to the LEPP legislation. This activity will include mainly workshops, technical assistance and trainings.</p>	<p>A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>Elections: More inclusion, less violence, Electoral Systems Reform Project</p>
19	<p>Technical assistance to key congressional commission to debate, draft and implement Guatemala's Migration Code. This activity will include mainly</p>	<p>A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>Elections: More inclusion, less violence</p>

	workshops, technical assistance and trainings.		
20	Support civil society in undertaking an elections and referendum observation effort as well as post-elections social auditing activities. This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	Elections: More inclusion, less violence, Electoral Systems Reform Project
21	Support the LGBTI community to promote the rights of and increase the political participation of the cisgender and transgender population in Guatemala. This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	Elections: More inclusion, less violence, Electoral Systems Reform Project
Sub-IR 1.1.3: Strengthen accountability, transparency, and responsiveness of key public institutions			
22	Assisting in the decentralization of financial management and strategic planning in SJSIs and key public institutions, using the standards set by Ministry of Finance and International Organization for Standardization (ISO). This activity will include mainly workshops, technical	A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	Security and Justice Reform Project (SJSRP)

	assistance and trainings.		
23	Support transparency and accountability efforts, especially as related to the implementation of the Freedom of Information Law in key public institutions/SJSIs. This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	Security and Justice Reform Project (SJSRP)
24	Technical assistance for results-based budgeting This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	National Institutions Strengthening Project (NIS)
25	Technical assistance for quality management certifications This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	National Institutions Strengthening Project (NIS)
26	Advocacy for procurement reforms and their implementation This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	National Institutions Strengthening Project (NIS)

27	<p>Technical assistance and advocacy for implementation of Access to Information Law This activity will include mainly workshops, technical assistance and trainings.</p>	<p>A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>National Institutions Strengthening Project (NIS), Participación Cívica Project</p>
28	<p>Technical assistance for the implementation of civil service systems This activity will include mainly workshops, technical assistance and trainings.</p>	<p>A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>National Institutions Strengthening Project (NIS)</p>
29	<p>Support for civil society advocacy and participation in governmental decision-making This activity will include mainly workshops, technical assistance and trainings.</p>	<p>A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>Participación Cívica Project</p>
30	<p>Public outreach regarding budget development inputs and transparency to design of budget This activity will include mainly workshops, technical assistance and trainings.</p>	<p>A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>Participación Cívica Project</p>
31	<p>Implementation and socialization of the Access to Information Law in municipalities as needed. This activity will include mainly workshops, technical</p>	<p>A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>National Institutions Strengthening Project (NIS), Participación Cívica Project</p>

	assistance and trainings.		
<b>IR 1.2 Reduced Levels of violence and conflict in target areas and populations</b>			
Sub-IR 1.2.1 Increased resilience of at-risk communities to gangs, drug trafficking organizations (DTOs), and conflict			
32	Technical assistance and financial support for community cooperation (with GOG, citizens and the private sector) to address sources of social conflict, challenges, needs, resiliencies, and opportunities through conflict mainstreaming and/or expanded activities. In addition to training, workshops, meetings and technical assistance, this activity may include small-scale infrastructure and/or sub-grants component.	<p>A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of 22 CFR 216.2(c)(2)</p> <p>A <b>Negative Determination with Conditions</b> is issued for this activity that could have a significant effect on the environment, such as small scale infrastructure. The Recipient shall follow USAID's Sectorial Environmental Guidelines to identify mitigation measures according to its activities. These guidelines are available at <a href="http://www.usaidgems.org/sectorGuidelines.htm">http://www.usaidgems.org/sectorGuidelines.htm</a></p>	Convivimos Project, Community Roots Project, Community Engagement for Conflict Transformation Project
33	Technical assistance and training to key governmental and non-governmental institutions to respond and resolve conflicts. This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of 22 CFR 216.2(c)(2)	Community Engagement for Conflict Transformation Project
34	Technical assistance to increase the capacity of	A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and	Convivimos Project, Community Roots Project

	municipal governments to support community resilience factors that prevent crime and violence This activity will include mainly workshops, technical assistance and trainings.	others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	
35	Small-scale infrastructure: Renovation, remodeling of offices, as needed	A <b>Negative Determination with Conditions</b> is issued for this activity that could have a significant effect on the environment, such as small scale infrastructure. The Recipient shall follow USAID's Sectorial Environmental Guidelines to identify mitigation measures according to its activities. These guidelines are available at <a href="http://www.usaidgems.org/sectorGuidelines.htm">http://www.usaidgems.org/sectorGuidelines.htm</a>	Convivimos Project, Community Roots Project
Sub-IR 1.2.2: Vulnerability of at-risk populations reduced			
36	Technical assistance for the institutionalization of proven, integrated violence prevention approaches This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	Community Roots Project
37	Support community commissions to design, implement, and promote evidence-based violence prevention activities This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2), including 216.2(c)(2)(xiv) - planning and design.	Community Roots Project
38	Technical assistance and advocacy for the development and implementation of	A <b>Negative Determination with Conditions</b> is issued for this activity that could have a significant effect on the environment, such as small scale infrastructure. The Recipient shall	Community Roots Project

	<p>municipal-level migration and violence prevention plans. In addition to training, workshops, meetings and technical assistance, this activity may include small-scale infrastructure and/or sub-grants component.</p>	<p>follow USAID's Sectorial Environmental Guidelines to identify mitigation measures according to its activities. These guidelines are available at <a href="http://www.usaidgems.org/sectorGuidelines.htm">http://www.usaidgems.org/sectorGuidelines.htm</a></p>	
39	<p>Technical assistance and advocacy for the implementation of secondary prevention interventions in close coordination with municipal authorities. In addition to training, workshops, meetings and technical assistance, this activity may include small-scale infrastructure and/or sub-grants component.</p>	<p>A <b>Negative Determination with Conditions</b> is issued for this activity that could have a significant effect on the environment, such as small scale infrastructure. The Recipient shall follow USAID's Sectorial Environmental Guidelines to identify mitigation measures according to its activities. These guidelines are available at <a href="http://www.usaidgems.org/sectorGuidelines.htm">http://www.usaidgems.org/sectorGuidelines.htm</a></p>	Community Roots Project
40	<p>Technical assistance and financial support for evidence-based policy making This activity will include mainly workshops, technical assistance and trainings.</p>	<p><b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2), including 216.2(c)(2)(xiv) - planning and design..</p>	Community Roots Project
41	<p>Technical assistance and advocacy for private sector mobilization for crime and migration prevention This activity will</p>	<p><b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2), including 216.2(c)(2)(xiv) - planning and design.</p>	Community Roots Project

	include mainly workshops, technical assistance and trainings.		
42	Technical assistance and support for health and psychosocial care. In addition to training, workshops, meetings and technical assistance, this activity may include small-scale infrastructure and/or sub-grants component.	A <b>Negative Determination with Conditions</b> is issued for this activity that could have a significant effect on the environment, such as small scale infrastructure. The Recipient shall follow USAID's Sectorial Environmental Guidelines to identify mitigation measures according to its activities. These guidelines are available at <a href="http://www.usaidgems.org/sectorGuidelines.htm">http://www.usaidgems.org/sectorGuidelines.htm</a>	Return and Reintegration in the Northern Triangle
43	Resources for improved infrastructure and working conditions for GoG agencies and officials. In addition to training, workshops, meetings and technical assistance, this activity may include small-scale infrastructure and/or sub-grants component.	A <b>Negative Determination with Conditions</b> is issued for this activity that could have a significant effect on the environment, such as small scale infrastructure. The Recipient shall follow USAID's Sectorial Environmental Guidelines to identify mitigation measures according to its activities. These guidelines are available at <a href="http://www.usaidgems.org/sectorGuidelines.htm">http://www.usaidgems.org/sectorGuidelines.htm</a>	Return and Reintegration in the Northern Triangle
<b>IR 1.3: Citizen Voice and Responsible Participation Increased</b>			
Sub-IR 1.3.1: Increased representation and effectiveness of citizen participation at community and municipal levels			
44	Technical assistance for the capacity building of local and regional community-based organizations. This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2), including 216.2(c)(2)(xiv) - planning and design.	Urban Municipal Governance Project
45	Technical	<b>Categorical Exclusion</b> is issued to	Urban Municipal Governance

	assistance and advocacy for the implementation of social accountability mechanisms. This activity will include mainly workshops, technical assistance and trainings.	these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2), including 216.2 (c)(2)(xiv) - planning and design.	Project
46	Technical assistance and advocacy for the implementation service delivery and community improvement plans at the municipal level (including small infrastructure projects). In addition to training, workshops, meetings and technical assistance, this activity may include small-scale infrastructure and/or sub-grants component.	A <b>Negative Determination with Conditions</b> is issued for this activity that could have a significant effect on the environment, such as small scale infrastructure. The Recipient shall follow USAID's Sectorial Environmental Guidelines to identify mitigation measures according to its activities. These guidelines are available at <a href="http://www.usaidgems.org/sectorGuidelines.htm">http://www.usaidgems.org/sectorGuidelines.htm</a>	Urban Municipal Governance Project
47	Technical assistance for youth-led assessments, participatory analysis, and engagement activities. This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2), including 216.2 (c)(2)(xiv) - planning and design.	Harnessing Emerging Political Leadership for an Accountable Guatemala (EPL)
48	Technical assistance for the support of youth-led civic initiatives, think tanks, and social enterprises	<b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of	Harnessing Emerging Political Leadership for an Accountable Guatemala (EPL)

	This activity will include mainly workshops, technical assistance and trainings.	to 22 CFR 216.2(c)(2), including 216.2 (c)(2)(xiv) - planning and design.	
49	Technical assistance and advocacy of community, municipal and national level power-structures for increased youth engagement in civic and political processes. This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2), including 216.2 (c)(2)(xiv) - planning and design.	Harnessing Emerging Political Leadership for an Accountable Guatemala (EPL)
Sub-IR 1.3.2: Increased citizen voice through coalition-building			
50	Technical assistance for capacity building of local and regional community-based organizations to effectively and independently engage with governments. This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2), including 216.2 (c)(2)(xiv) - planning and design.	Urban Municipal Governance Project
51	Technical assistance and advocacy for the support to build alliances and networks that push for municipal and/or local governments' transparency and accountability. This activity will include mainly workshops, technical assistance and	<b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2), including 216.2 (c)(2)(xiv) - planning and design.	Urban Municipal Governance Project

	trainings.		
52	Technical assistance for the strengthening of civil society organizations advocacy and participation. This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2), including 216.2 (c)(2)(xiv) - planning and design.	Urban Municipal Governance Project
<b>Sub-IR 1.3.3: Increased civic engagement</b>			
53	Technical assistance and advocacy for the support to youth from marginalized communities and middle-class youth to engage collectively in leadership roles as related to civic and political participation. This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2), including 216.2 (c)(2)(xiv) - planning and design.	Harnessing Emerging Political Leadership for an Accountable Guatemala (EPL)
54	Technical assistance and support for community-based organizations, whose constituents are high-risk communities, to implement innovative social accountability mechanisms, such as citizen report cards and social auditing. This activity will include mainly workshops, technical	<b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2), including 216.2 (c)(2)(xiv) - planning and design.	Urban Municipal Governance Project

	assistance and trainings.		
55	Technical assistance and advocacy support for citizens to advocate effectively to municipal governments. This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2), including 216.2 (c)(2)(xiv) - planning and design.	Urban Municipal Governance Project
56	Technical assistance and advocacy for building community resilience to chronic violence. This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2), including 216.2 (c)(2)(xiv) - planning and design.	Urban Municipal Governance Project
57	Technical assistance and support for the development of community improvement plans that are driven by community priorities, in coordination with municipalities. In addition to training, workshops, meetings and technical assistance, this activity may include small-scale infrastructure and/or sub-grants component.	A <b>Negative Determination with Conditions</b> is issued for this activity that could have a significant effect on the environment, such as small scale infrastructure. The Recipient shall follow USAID's Sectorial Environmental Guidelines to identify mitigation measures according to its activities. These guidelines are available at <a href="http://www.usaidgems.org/sectorGuidelines.htm">http://www.usaidgems.org/sectorGuidelines.htm</a>	Urban Municipal Governance Project
58	Technical and financial assistance for youth-led advocacy	<b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and	Harnessing Emerging Political Leadership for an Accountable Guatemala (EPL)

	initiatives. This activity will include mainly workshops, technical assistance and trainings.	others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2), including 216.2 (c)(2)(xiv) - planning and design.	
59	Technical and financial assistance for education and other leadership opportunities for youth in order for them to engage more effectively with traditional power structures. This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> is issued to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2), including 216.2 (c)(2)(xiv) - planning and design.	Harnessing Emerging Political Leadership for an Accountable Guatemala (EPL)

#### 4. Conditions and requirements

For all the activities listed above as a **Negative Determination with Conditions**, each implementing contractor or partner shall fulfill the following conditions:

- Prepare an Environmental Management and Monitoring Plan (EMMP) which will identify the negative environmental impacts, propose corresponding mitigation measures, and monitor their effectiveness, utilizing the format in the annex to the attached IEE. Guidance on the preparation of the EMMPs will be provided to the Contractor/Recipient as part of the Request for Proposals. All EMMPs will be submitted to the Contracting/Agreements Officer Representative (COR/AOR) for approval by the Mission Environmental Officer (MEO) prior to implementation. EMMPs must be consistent with “USAID’s Sectoral Environmental Guidelines.” <http://www.usaidgems.org/sectorGuidelines.htm>.
- Incorporate the completed EMMP into the initial work plan or implementation plan.
- Incorporate the EMMP into subsequent annual work plans or implementation plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.
- Submit an annual environmental compliance report (ECR), preferably as part of the regular project reporting. This report should be based on Table 3 of the EMMP Format outlined in the annex. This report must be submitted to COR/AOR

and approved in writing by the MEO.

- In addition to USAID Reg. 216 requirements, also comply with Government of Guatemala (GOG) environmental regulations and obtain all required permits from the appropriate GOG institutions.
- To ensure that all these environmental requirements and conditions are met in an adequate and timely manner, each implementing contractor or partner will hire a qualified environmental specialist.
- As the sub-grants specific actions are not yet identified, additional environmental analysis is required once the sub-grant actions are known. The implementing partner will employ the screening process set out in the annex to the attached IEE and prepare an EMMP for activities that may have negative impacts before any sub-activity actions are implemented.

All applicable conditions and requirements for ongoing activities and the new activity shall be fully implemented in accordance with this Environmental Threshold Decision and the attached IEE, as well as relevant conditions and requirements of the current IEE (LAC-IEE-12-60), and the original IEE (LAC-IEE-12-47) and their associated Environmental Threshold Decision documents.

Signed:



Date Nov. 28, 2016

Diana Shannon  
Bureau Environmental Officer  
Bureau for Latin America and the Caribbean

Attachment:

Initial Environmental Examination- **Development Objective One:** Greater Security and Justice for Citizens



**USAID**  
FROM THE AMERICAN PEOPLE

**INITIAL ENVIRONMENTAL EXAMINATION  
Amendment # 2**

**Project Location:** Guatemala

**Project Title:** Development Objective One: Greater Security and Justice for Citizens

**Life-of-Project Funding:** To: \$201.86 million (Total amount)

**Life-of-Project:** FY 2016 – FY 2018 (implementation time extension)

**Reference Threshold Decisions:** LAC-IEE-12-47  
LAC-IEE-12-60

**Funding Source:** DA and ESF

**IEE Prepared by:** Jenny Yrungaray, USAID/Guatemala  
Liliana Gil, USAID/Guatemala  
Rachel Goldberg, USAID/Guatemala  
Chason Smith (prepared amendment)

**Date Prepared:** October 19, 2016 (Amendment Date)

**Recommended Threshold Decision:** - **Categorical Exclusion**  
- **Negative Determination with Conditions**

## Background and Project Description

### 1.1 Purpose and Scope

The purpose of this IEE amendment is to revise the titles of DO1: Greater Security and Justice for Citizens, Intermediate Result (IR) 1.1 and DO1 IR 1.2, and add a new IR1.3. This IEE amendment will also serve to add additional illustrative activities to these revised IRs; increase the Life of Project Funding from \$94 million to \$201.86 million dollars; and extend the Life of Project end date from the end of FY2016 to September 16, 2018. This extension will cover activities while the new mission CDCS is prepared.

On December 11, 2015, the Guatemala Mission Director approved an extension of the USAID/Guatemala Country Development Cooperation Strategy (CDCS) through September 16, 2017. On July 14, 2016, the Assistant Administrator for the Bureau for Latin America and the Caribbean in USAID/Washington approved another extension through September 16, 2018. During this time, a new CDCS will be prepared; therefore, the existing IEE for DO1 must be updated to reflect the additional time, cost and activities implemented under the extended DO1.

### 1.2 Background

USAID/Guatemala's CDCS (2012-2016) approved by the Assistant Administrator for the Bureau of Latin America and the Caribbean on March 16, 2012 includes three Development Objectives (DOs): DO1: **Greater Security and Justice for Citizens**, DO2: Improved Levels of Economic Growth and Social Development in the Western Highlands, and DO3: Improved Management of Natural Resources to Mitigate Impacts of Global Climate Change.

On June 17, 2016, DO1 PAD Amendment 2 was approved to include minor updates to IR 1 and IR 2 and include the addition of IR 3. The revised IRs 1 and 2, and the new IR 3 are as follows:

1. Improved governance of key public institutions
2. Reduced levels of violence and conflict in target areas and populations
3. Citizen voice and responsible participation increased

In addition to continuing current activities, as implemented through ongoing projects, there are several new activities that will be reflected under the revised and new IRs. Project activities will engage a broader group of public institutions, not only those related to security and justice, but others like the Superintendency for Tax Administration (SAT), the Comptroller General and the Ministry of Finance, as well as other technical ministries like the Ministry of Health. In addition, USAID/Guatemala seeks to increase activities focused on citizen voice and responsible participation. This will ensure that USAID is enhancing not only the supply of key reforms, but also citizen demand and civil society oversight within the new operating environment. IR 3 was created as a response to changes in the political environment and a marked increase in civic participation that manifested during widespread anti-corruption protests throughout

the country in 2015. Therefore, this IEE extension will cover activities that support Government of Guatemala institutions, processes and reforms, as well as Guatemalans in their participation, advocacy and oversight of these institutions, processes and reforms.

Several new implementing mechanisms have been planned and will support DO1 as a part of USAID's assistance to the new operating environment, and as a response to the issue of migration. Activity details are included later in the IEE. These new and extended mechanisms include:

- Community Roots Project supports a community-driven approach to preventing migration and violence in areas where the two intersect. Main activities are: support to local and municipal actors (civil society, government and private sector) to create violence and migration mitigation plans; assist plan implementation through sub-grants and private investment for sustainable development; strengthen community policing; and improve and provide secondary prevention for at-risk youth.
- Urban Municipal Governance Project supports municipal governments to provide services in more inclusive, effective and transparent manner. The major focus of the project is to have strong public budgeting and municipal service delivery; improved living conditions and services in high-crime areas; and participation of most at-risk communities in municipal decision-making and governmental accountability.
- National Institution Strengthening for Accountable Governance Project responds to the GOG needs in improving tax administration and public financial management of key institutions responsible for the planning, processing and execution of the national budget.
- Harnessing Emerging Political Leadership for an Accountable Guatemala Project harnesses the political energy and civic engagement following leading to the political transition in 2015. It will support youth from across socioeconomic and ethnic backgrounds to come together to engage more deeply in political leadership of Guatemala.
- Community Engagement for Peacebuilding Project will promote conflict transformation in Guatemala's Western Highlands through community engagement and implementation of plans that directly address sources of conflict at the familial, community, and municipality levels. The project will reduce social conflict and build cohesion in the areas of youth and families, governance, employment and livelihoods. The project will also strengthen GOG and non-

governmental organizations' capacity to participate in managing, responding, and resolving local conflicts.

- Electoral Systems Reform Project will support the GOG to improve and implement electoral reform in order to ensure inclusive and safe elections and referendums. Improved and implemented electoral systems and processes will affect the process and implementation of key GOG reforms, including those related to the Constitution of Guatemala and broader anti-corruption efforts.
- Youth and Gender Justice Project will support the GOG and civil society to better respond to youth affected by violence, and victims of gender based violence.
- Security and Justice Reform Project (current project extended and new activities added) The project will support the GOG in presenting reforms and implementing key legislation as well as strengthen the GOG's capacity to investigate and prosecute corruption cases.

Return and Reintegration in the Northern Triangle (follow-on award) The project supports the GOG to strengthen its capacity to receive returning migrants, especially unaccompanied children and their family units, and provide some aspects of community reintegration services.

### **1.3 Activities**

#### **IR 1.1: Improved governance of key public institutions**

The revised IR "Improved governance in key public institutions" expands the IR to include additional public sector institutions such as Superintendency for Tax Administration (SAT), the Secretariat for Planning and Programming (SEGEPLAN), Ministry of Finance (MINFIN), Congress, Tax Administration Superintendent (SAT), Civil Service Office (ONSEC), and Comptroller General, among others.

The political crisis in Guatemala created an opening to expand work to critical public institutions. In order to respond to the window of opportunity resulting from citizen demands for justice and transparency, USAID/Guatemala will expand activities to support the implementation of critical reforms necessary to build strong national institutions that are essential for creating a secure Guatemala. The Citizen Security Project will strengthen and implement reforms within key GOG institutions related to strategic planning, revenues, budget execution, and civil service. This will allow for a more effective public financial management system that is capable of delivering quality services, including for security and justice institutions. Institutions covered by this IR include the SAT, the Comptroller General and the Ministry of Finance, as well as other technical ministries like the Ministry of Health. This sub-IR also includes the Community Roots project that works with communities, municipal governments and the private sector to reduce crime, violence and high levels of migration.

Under the Youth and Gender project, USAID will provide technical assistance and

support to strengthen the capacity of the Government of Guatemala to provide services to respond to the needs of juvenile offenders and victims, as well as victims of gender based violence and trafficking in persons.

#### *Sub-IR 1.1.1: Strengthened Prosecution and Adjudication of Crime*

##### New illustrative activities:

- Strengthen the juvenile justice system by improving case management systems as well as ensuring juvenile rehabilitation models are in place; support the implementation of alternatives to institutionalization and case diversion models; and design and implement strategies to prevent mixing of adolescents in conflict with the law and youth under protection. This may include may include small-scale infrastructure and/or sub-grants component.

#### *Sub-IR 1.1.2: Improved Management, Administration and Coordination among Key Institutions*

This output was originally focused on security and justice issues and institutions. The revised version will expand activities to key national and municipal institutions in order to improve strategic planning; budget planning, execution and monitoring; revenue generation and management; procurement, civil service hiring, and other foundational processes. This assistance will result in increased capacity of national and municipal government institutions to deliver quality services, enforce laws, and implement political reforms. Key institutions to be strengthened include the SEGEPLAN, MINFIN, Congress, SAT, ONSEC, and Comptroller General, among others.

##### New illustrative activities:

The following activities are being expanded. The expansion is highlighted for easy identification

- Establishment of an adequate career path for the police and civil servants through strengthening human resources and employee benefits systems to include career development, continuing education, and incentives and benefits packages for employees of SJSIs and their families.
- Provide maintenance of services and small-scale infrastructure in key SJSIs/public institutions (i.e., communications software and hardware, vehicles, and databases), information technology, inventories, internal audits, and internal inspectorates.
- Support the implementation of the strategic plans for SJSIs and public institutions, including those of the Public Ministry, the Police Reform Commission, the National Security Council, and the Supreme Court. Examples of strategic foci include, but will not be limited to institutional development, public confidence and outreach, strategic criminal prosecution for greater impact and efficiency, and inter-institutional coordination among the PNC, courts, forensic services, and public defenders.
- Promotion of coordination mechanisms, including, but not limited to, interagency working groups and interagency trainings for the enhancement of cooperation

among key institutions that is vital to improving the effectiveness of SJSIs/governance.

- Reviews and/or assessments of municipal and national government institutions
- Implementation of civil service and processes reforms at the national and local level
- Increased information technology (IT) capabilities, availability, and use
- Political economy analyses
- Technical assistance to improve the country's audit capacity
- Technical assistance and training to strengthen congressional capacity to oversee public budget implementation
- Technical assistance to improve Public Financial Management (PFM), procurement, and revenue generation systems
- Municipal service delivery processes analyzed and service delivery improvement plans developed.
- Improved information systems (e.g., GOG public financial system – Integrated Financial Management System (SIAF))
- Technical assistance to improve the country's audit capacity
- Implementation of municipal service delivery plans. This may include may include small-scale infrastructure and/or sub-grants component.
- Technical assistance to the TSE for the organization of the first and second round of elections in 2015.
- Technical assistance to the TSE to implement the reforms to the LEPP.
- Technical assistance to key congressional commissions to obtain congressional passage of a reform package to the LEPP legislation.
- Technical assistance to key congressional commission to debate, draft and implement Guatemala's Migration Code.
- Support civil society in undertaking an elections observation effort as well as post-elections social auditing activities.
- Support the LGBTI community to promote the rights of and increase the political participation of the cisgender and transgender population in Guatemala.

#### *Sub-IR 1.1.3: Strengthen accountability, transparency and responsiveness of Key Public Institutions*

This output was originally focused on security and justice issues and institutions. The revised version will expand activities to key local and national institutions in order to improve strategic planning; budget planning, execution and monitoring; revenue; procurement, and civil service processes, among others. This assistance will result in improved key public service delivery through more accountable, equitable, effective, and responsive institutions.

#### New illustrative activities:

- Assisting in the decentralization of financial management and strategic planning in SJSIs and key public institutions, using the standards set by Ministry of Finance and International Organization for Standardization (ISO).

- Support transparency and accountability efforts, especially as related to the implementation of the Freedom of Information Law in **key public institutions/SJSIs**.
- Results-based budgeting
- Quality management certifications
- Advocate for and implement procurement reforms
- Implementation of Access to Information Law
- Implementation of civil service systems
- Support for the creation of trust fund models
- Civil society advocacy and participation in governmental decision-making
- Public outreach regarding budget development inputs and transparency to design of budget
- Implementation and socialization of the Access to Information Law in municipalities as needed.

## **IR 1.2: Reduced Levels of Violence and Conflict in Target Areas and Populations**

### *Sub-IR 1.2.1: Increased resilience of At-Risk communities to Gangs, Drug Trafficking Organizations (DTOs), and conflict*

This output was revised to emphasize USAID's focus on increasing resilience of at-risk communities to reduce violence and to include activities to reduce social conflict in target areas.

USAID current efforts support national and local government institutions, civil society, private sector, and community actors to address the causes and consequences of violence and migration through holistic prevention approaches by creating educational, athletic, cultural, and employment opportunities for youth in target areas.

#### New illustrative activities:

- Community cooperation to address sources of social conflict, challenges, needs, resiliencies, and opportunities through conflict mainstreaming and/or expanded activities. This may include may include small-scale infrastructure and/or sub-grants component.
- Technical assistance and training to key governmental and non-governmental institutions to respond and resolve conflicts
- Increase capacity of municipal governments to support community resilience factors that prevent crime and violence
- Small scale infrastructure: renovation, remodeling of offices, as needed.

### *Sub-IR 1.2.2: Vulnerability of at-risk populations reduced.*

Activities under this output support efforts by the GOG, civil society, private sector, and community actors to address the causes and consequences of violence and migration through holistic prevention approaches by creating educational, athletic, cultural, and employment opportunities for youth in target areas.

#### New illustrative activities:

- Institutionalization of proven, integrated violence prevention approaches
- Support community commissions to design, implement, and promote evidence-based violence prevention activities
- Development and implementation of municipal-level migration and violence prevention plans. This may include may include small-scale infrastructure and/or sub-grants component.
- Implementation of secondary prevention interventions in close coordination with municipal authorities. This may include may include small-scale infrastructure and/or sub-grants component.
- Evidence-based policy making
- Private sector mobilization for crime and migration prevention
- Technical assistance and support for health and psychosocial care. This may include may include small-scale infrastructure and/or sub-grants component.
- Small-scale Infrastructure and improved working conditions for GoG agencies and officials. This may include may include small-scale infrastructure and/or sub-grants component.

*Sub-IR 1.2.3: Civic Responsibility Increased*

This Sub-IR was transformed into IR 1.3 Citizen Voice and Responsible participation increased. This IR will be realized through advances in three interrelated outputs/sub-results as follows:

**IR 1.3: Citizen Voice and Responsible Participation Increased**

*Sub-IR 1.3.1: Increased representation and effectiveness of citizen participation at community and municipal levels*

Activities under this output will strengthen civil society in communities most at risk for violence and crime so that it effectively sets expectations and holds local governments accountable. The Project will establish creative outlets for young people to engender a broader sense of community and develop innovative approaches to increase participation of vulnerable groups.

New illustrative activities:

- Capacity building of local and regional community-based organizations
- Implementation of social accountability mechanisms
- Implementation of approach to improve service delivery at the municipal level. This may include may include small-scale infrastructure and/or sub-grants component.
- Youth-led assessments, participatory analysis, and engagement activities
- Support for youth-led civic initiatives, think tanks, and social enterprises

*Sub-IR 1.3.2: Increased citizen voice through coalition-building*

Activities under this output seek to enhance citizen voice through support for coalition and organized groups. These groups have the power to raise individual voices and

develop a collective voice with power to influence and engage in critical government processes. Strengthening citizen voice and responsibility will increase resiliency in communities most affected by violent crime.

New illustrative activities:

- Capacity building of local and regional community-based organizations to effectively and independently engage with governments
- Support to build alliances and networks that push for municipal and/or local governments' transparency and accountability
- Strengthening of civil society organizations representativeness

*Sub-IR 1.3.3: Increased civic engagement*

Under this output, the Project will increase youth civic engagement and political participation of youth in high-risk and marginalized communities through scholarships and dialogue processes. The Project will also seek to support citizens and civil society groups to engage effectively with the government on key reforms and implementation of community development plans. Citizens will also be empowered with the tools to provide critical oversight necessary to promote a transparent and account government. Most of the following activities will be implemented through sub-grantees.

New illustrative activities:

- Support for and enhancement of effective and inclusive sectoral spaces for youth participation to become agents of change
- Support for community-based organizations, whose constituents are high-risk communities, to implement innovative social accountability mechanisms, such as citizen report cards and social auditing
- Support citizens to develop innovative approaches to service delivery
- Build community resilience to chronic violence
- Support the development of community improvement plans that are driven by community priorities, in coordination with municipalities. This may include may include small-scale infrastructure and/or sub-grants component.
- Support youth-led advocacy initiatives
- Education and opportunities to engage more effective with governments.

#### **1.4 Locations Affected and Affected Environment/Existing Condition Baseline**

Governmental institutions are underfunded and require institutional strengthening; social support for democracy is fragile; and women and indigenous people are under-represented in government institutions.

According to studies and assessments conducted in Guatemala recently, two of the main areas that require immediate attention are strengthening justice and security institutions' ability to combat and prevent crime, and improving transparency and administrative accountability of government institutions. Current weaknesses in both areas undermine the capacity of the GOG to ensure equal and fair access to justice for all and protect citizens against violence.

Since October 2013, the U.S. Government recorded a dramatic rise in the number of Unaccompanied Alien Children (UAC) arriving to the United States from El Salvador, Guatemala, and Honduras. The total number of apprehensions of UAC from these countries by U.S. Customs and Border Protection jumped from 4,059 in fiscal year<sup>1</sup> (FY) 2011 to 10,443 in FY 2012 to 21,537 in FY 2013, and since the start of FY 2014 more than 47,000 children have been apprehended at the Mexican border, mostly from Central America.

The political environment in Guatemala during the last year has changed dramatically with the civic demonstrations and the importance of civil society participation in the fight against corruption. This awakening grew during the widespread protests of the Government of Guatemala (GOG) and allegations of rampant corruption, which lead to a peaceful political transition in 2015. A new implementing mechanism named Harnessing Emerging Political Leadership (EPL) for an Accountable Guatemala will be implemented. EPL will build an equitable and representative cadre of future political leaders. The project will provide opportunities for youth engagement in civic and political processes. This project will support young graduates of current and future USAID projects, as well as youth-led movements and organizations, as a next step in deepening their role in participatory and accountable governance in Guatemala.

The protests and political crises of 2015 demonstrated civil society and citizens' appetite for accountable and transparent reforms. To provide citizens with constructive and effective channels to participate in political reforms, USAID/Guatemala seeks to increase activities focused on citizen voice and responsible participation. This will ensure that USAID is enhancing not only the supply of key reforms, but also citizen demand and civil society oversight during a period of substantial political shifts. A key component to achieve the Project purpose is active citizenry participation in policy decision-making and community development. If citizens participate and are empowered in civic and political processes, implementation of political reforms will become much more representative and effective.

Project	Locations (Department/Municipality)
Security and Justice Sector Reform Program (Checchi)	Support to national level institutions and field as prioritized by GOG
Civil Society for Accountable Governance and Citizen Security Project	Guatemala City and the target areas of Villa Nueva, Mixco and Amatitlán
Youth and Gender Project	Quetzaltenango, Alta Verapaz, Petén, and Chiquimula in addition to Guatemala City. Support national level institutions as prioritized by GOG.
Elections: More inclusion, Less Violence (CEPPS)	Nationwide Project. Observation effort in 20 Municipalities: Huehuetenango: 1. Colotenango, 2. La Democracia Quiché: 3. Nebaj, 4. Cotzal Quetzaltenango: 5. Quetzaltenango, 6. Coatepeque San Marcos: 7. Malacatán Sacatepéquez: 8. Ciudad Vieja, 9. San Lucas Escuintla: 10. Escuintla, 11. La Democracia Guatemala: 12. Chinautla, Santa Rosa: 13. Oratorio, 14. Pueblo Nuevo Viñas Jutiapa: 15. Atescatempa, Izabal: 16. El Estor, Jalapa: 17. Monjas, Zacapa: 18. Usumatlán, Chiquimula: 19. Quetzaltepeque, El Progreso: 20. San Agustín Acasaguastlán.
Convivimos Project	Municipalities of Guatemala City, Villa Nueva, Mixco, Amatitlán, Villa Canales and San Miguel Petapa
Support the protection of under-age girls and adolescents who are victims of trafficking (El Refugio de la Niñez)	Guatemala City, Alta and Baja Verapaz and Izabal
Nominations Oversight Project (FADS)	Nationwide Project
Nominations Oversight Project (MNI)	Nationwide Project
Return and Reintegration in the Northern Triangle (IOM - Regional Project)	Nationwide Project
Community Roots	Still undetermined
Urban Municipal Governance Project	Still undetermined but will include Villa Nueva, Mixco, Amatitlán, Villa
National Institution Strengthening for Accountable Governance Project	Nationwide Project
Harnessing Emerging Political Leadership for an accountable Guatemala Project	Nationwide Project
Community Engagement for Peacebuilding Project	Totonicapán: 1. Santa Lucía La Reforma; 2. Momostenango Quetzaltenango: 3. San Juan Ostuncalco, 4. Concepción Chiquirichapa

## 1.5 Applicable Environmental Policies, Procedures or Regulations

The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) 201.3.11b and 204 (<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities.

The implementing partners under this Project will adopt appropriate environmental safeguards for all activities and comply with host country environmental regulations unless otherwise directed in writing by USAID, including Guatemalan Congress Decrees Nos. 68-86 (Environment Protection and Improvement Law), Acuerdo Gubernativo 20-2016 and Acuerdo Ministerial 199-2016. In case of conflict between host country and USAID regulations, the latter shall govern.

## **2. Evaluation of Environmental Impact Potential**

The following activities have been identified as having potential minor environmental impacts as described below:

1. Small scale construction, renovation and furnishing of office space occupied by government offices including criminal and juvenile courts, the Public Ministry, National Civilian Police stations, Child Protection Shelters and other institutions under the Social Welfare Secretariat and other public service and civil society offices that work on victims services and justice and security related issues. Refurbishing and construction of shelters to receive returned migrants. Small-scale infrastructure construction and renovation and refurbishing, have the possibility of generating solid waste and health hazards if waste is not handled and disposed correctly in municipal authorized sites, creating minor soil erosion during construction and possibly after construction if designs are not prepared and certified by civil engineers, and exposing construction workers and Agency employees to health hazards such as dust during construction. EMMPs will be prepared for any small scale construction activities to identify potential impacts of these activities and mitigation measures that will minimize impacts at the site specific level. The USAID Environmental Guidelines for infrastructure Sector will be followed.
2. Small-scale infrastructure activities related to improving the safety of select communities in high crime areas also have the potential environmental impacts of generating solid waste, creating minor soil erosion and exposing workers and communities' members to health hazards. EMMPs will be prepared for any infrastructure activities to identify mitigation measures that will minimize impacts. The USAID Environmental Guidelines for infrastructure Sector will be followed.
3. As the sub-grants specific actions are not yet identified, additional environmental analysis is required once the sub-grant actions are known. Sub-grants involving small scale renovation or construction may cause material waste and pose a safety hazard. See above for infrastructure action impacts. All sub-grants will have an EMMP prepared before any sub-activity actions are implemented. Prime Implementing Partners that are issuing the sub-grants will support the grantees as needed to prepare the sub-grant EMMPs. The appropriate USAID Environmental Guidelines for the sector will be followed and incorporated into the EMMPs for all sub-grants.

## **3. Recommend Threshold Decisions and Mitigation Actions**

Recommended Environmental Determinations for			
DO1: Greater Security and Justice for Citizens			
IR/Sub IR/ Illustrative Activity	Determination		Mechanism
IR 1.1 Improved governance of key public institutions			
Sub-IR 1.1.1. Strengthened Prosecution and Adjudication of Crime			
1	Strengthen the juvenile justice system by improving case management systems as well as ensuring juvenile rehabilitation models are in place; support the implementation of alternatives to institutionalization and case diversion models; and design and implement strategies to prevent mixing of adolescents in conflict with the law and youth under protection. In addition to training, workshops, meetings and technical assistance, this activity may include small-scale infrastructure and/or sub-grants component.	<p>A <b>Categorical Exclusion</b> is recommended to this activity involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p> <p>A <b>Negative Determination with Conditions</b> is recommended for this activity that could have a significant effect on the environment, such as small scale infrastructure. The Recipient shall follow USAID's Sectorial Environmental Guidelines to identify mitigation measures according to its activities. These guidelines are available at <a href="http://www.usaidgems.org/sectorGuidelines.htm">http://www.usaidgems.org/sectorGuidelines.htm</a></p>	Youth and Gender Justice Project
Sub-IR 1.1.2. Improved management, administration, and coordination among key public institutions			
2	Establishment of an adequate career path for the police and civil servants through strengthening human resources and employee	<p><b>Categorical Exclusion</b> is recommended to the activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	Security and Justice Reform Project (SJSRP)

	<p>benefits systems to include career development, continuing education, and incentives and benefits packages for employees of Security Justice Sector Institutions (SJSIs) and their families.</p> <p>This activity will include mainly workshops, technical assistance and trainings.</p>		
3	<p>Provide maintenance of services and small scale construction and/or renovations in key SJSIs /public institutions (e.g., communications software and hardware, vehicles, and databases), information technology, inventories, internal audits, and internal inspectorates.</p>	<p>A <b>Negative Determination with Conditions</b> is recommended for this activity that could have a significant effect on the environment, such as small scale infrastructure. The Recipient shall follow USAID's Sectorial Environmental Guidelines to identify mitigation measures according to its activities. These guidelines are available at <a href="http://www.usaidgems.org/sectorGuidelines.htm">http://www.usaidgems.org/sectorGuidelines.htm</a></p>	<p>Security and Justice Reform Project (SJSRP)</p>
4	<p>Support the implementation of the strategic plans for SJSIs and public institutions, including those of the Public Ministry, the Police Reform Commission, the National Security Council, and the Supreme Court. Examples of strategic foci include, but will not be limited to institutional development, public confidence and outreach, strategic criminal prosecution for</p>	<p>A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of 22 CFR 216.2(c)(2)</p>	<p>Security and Justice Reform Project (SJSRP), Youth and Gender Justice Project</p>

	<p>greater impact and efficiency, and inter-institutional coordination among the PNC, courts, forensic services, and public defenders.</p> <p>This activity will include mainly workshops, technical assistance and trainings.</p>		
5	<p>Promotion of coordination mechanisms, including, but not limited to, interagency working groups and interagency trainings for the enhancement of cooperation among key institutions that is vital to improving the effectiveness of SJSIs/governance.</p> <p>This activity will include mainly workshops, technical assistance and trainings.</p>	<p>A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>Security and Justice Reform Project (SJSRP)</p>
6	<p>Reviews and/or assessments of municipal and national government institutions</p> <p>This activity will include mainly workshops, technical assistance and trainings.</p>	<p>A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>National Institutions Strengthening Project (NIS)</p>
7	<p>Conduct political economy analyses.</p> <p>This activity will include mainly workshops, technical assistance and trainings.</p>	<p>A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>National Institutions Strengthening Project (NIS)</p>

8	<p>Analysis of municipal service delivery processes and technical assistance for the development of service delivery improvement plans. This activity will include mainly workshops, technical assistance and trainings.</p>	<p>A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>National Institutions Strengthening Project (NIS)</p>
9	<p>Technical assistance for the implementation of civil service and processes reforms at the national and local level. This activity will include mainly workshops, technical assistance and trainings.</p>	<p>A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>National Institutions Strengthening Project (NIS)</p>
10	<p>Technical assistance for the increased information technology (IT) capabilities, availability, and use. This activity will include mainly workshops, technical assistance and trainings.</p>	<p>A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>National Institutions Strengthening Project (NIS)</p>
11	<p>Technical assistance to improve the country's audit capacity. This activity will include mainly workshops, technical assistance and trainings.</p>	<p>A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>National Institutions Strengthening Project (NIS)</p>

12	Technical assistance and training to strengthen congressional capacity to oversee public budget implementation This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	National Institutions Strengthening Project (NIS)
13	Technical assistance to improve Public Financial Management (PFM), procurement, and revenue generation systems. This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	National Institutions Strengthening Project (NIS)
14	Technical assistance for improved information systems (e.g., the GOG's public financial system – Integrated Financial Management System [SIAF])	A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	National Institutions Strengthening Project (NIS)
15	Implementation of municipal service delivery plans including small scale infrastructure	A <b>Negative Determination with Conditions</b> is recommended for this activity that could have a significant effect on the environment, such as small scale infrastructure. The Recipient shall follow USAID's Sectorial Environmental Guidelines to identify mitigation measures according to its activities. These guidelines are available at <a href="http://www.usaidgems.org/sectorGuidelines.htm">http://www.usaidgems.org/sectorGuidelines.htm</a>	Urban Municipal Governance Project
16	Technical assistance to the TSE for the	A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training,	Elections: More inclusion, less violence

	organization of the first and second round of elections in 2015. This activity will include mainly workshops, technical assistance and trainings.	analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	
17	Technical assistance to the TSE to implement the reforms to the LEPP. This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	Elections: More inclusion, less violence, Electoral Systems Reform Project
18	Technical assistance to key congressional commissions to obtain congressional passage of a reform package to the LEPP legislation. This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	Elections: More inclusion, less violence, Electoral Systems Reform Project
19	Technical assistance to key congressional commission to debate, draft and implement Guatemala's Migration Code. This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	Elections: More inclusion, less violence
20	Support civil society in undertaking an	A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training,	Elections: More inclusion, less violence, Electoral Systems Reform Project

	elections and referendum observation effort as well as post-elections social auditing activities. This activity will include mainly workshops, technical assistance and trainings.	analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	
21	Support the LGBTI community to promote the rights of and increase the political participation of the cisgender and transgender population in Guatemala. This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	Elections: More inclusion, less violence, Electoral Systems Reform Project
Sub-IR 1.1.3: Strengthen accountability, transparency, and responsiveness of key public institutions			
22	Assisting in the decentralization of financial management and strategic planning in SJSIs and key public institutions, using the standards set by Ministry of Finance and International Organization for Standardization (ISO). This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	Security and Justice Reform Project (SJSRP)
23	Support transparency and accountability efforts, especially as related to the	A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that	Security and Justice Reform Project (SJSRP)

	implementation of the Freedom of Information Law in key public institutions/SJSIs. This activity will include mainly workshops, technical assistance and trainings.	will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	
24	Technical assistance for results-based budgeting This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	National Institutions Strengthening Project (NIS)
25	Technical assistance for quality management certifications This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	National Institutions Strengthening Project (NIS)
26	Advocacy for procurement reforms and their implementation This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	National Institutions Strengthening Project (NIS)
27	Technical assistance and advocacy for implementation of Access to Information Law This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)	National Institutions Strengthening Project (NIS), Participación Cívica Project

28	<p>Technical assistance for the implementation of civil service systems This activity will include mainly workshops, technical assistance and trainings.</p>	<p>A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>National Institutions Strengthening Project (NIS)</p>
29	<p>Support for civil society advocacy and participation in governmental decision-making This activity will include mainly workshops, technical assistance and trainings.</p>	<p>A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>Participación Cívica Project</p>
30	<p>Public outreach regarding budget development inputs and transparency to design of budget This activity will include mainly workshops, technical assistance and trainings.</p>	<p>A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>Participación Cívica Project</p>
31	<p>Implementation and socialization of the Access to Information Law in municipalities as needed. This activity will include mainly workshops, technical assistance and trainings.</p>	<p>A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>National Institutions Strengthening Project (NIS), Participación Cívica Project</p>

**IR 1.2 Reduced Levels of violence and conflict in target areas and populations**

Sub-IR 1.2.1 Increased resilience of at-risk communities to gangs, drug trafficking organizations (DTOs), and conflict

32	<p>Technical assistance and financial support for community cooperation (with GOG, citizens and the private sector) to address sources of social conflict, challenges, needs, resiliencies, and opportunities through conflict mainstreaming and/or expanded activities. In addition to training, workshops, meetings and technical assistance, this activity may include small-scale infrastructure and/or sub-grants component.</p>	<p>A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p> <p>A <b>Negative Determination with Conditions</b> is recommended for this activity that could have a significant effect on the environment, such as small scale infrastructure. The Recipient shall follow USAID's Sectorial Environmental Guidelines to identify mitigation measures according to its activities. These guidelines are available at <a href="http://www.usaidgems.org/sectorGuidelines.htm">http://www.usaidgems.org/sectorGuidelines.htm</a></p>	<p>Convivimos Project, Community Roots Project, Community Engagement for Conflict Transformation Project</p>
33	<p>Technical assistance and training to key governmental and non-governmental institutions to respond and resolve conflicts. This activity will include mainly workshops, technical assistance and trainings.</p>	<p>A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>Community Engagement for Conflict Transformation Project</p>
34	<p>Technical assistance to increase the capacity of municipal governments to support community resilience factors that prevent crime and violence. This activity will include mainly workshops, technical assistance and</p>	<p>A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of to 22 CFR 216.2(c)(2)</p>	<p>Convivimos Project, Community Roots Project</p>

	trainings.		
35	Small-scale infrastructure: Renovation, remodeling of offices, as needed	A <b>Negative Determination with Conditions</b> is recommended for this activity that could have a significant effect on the environment, such as small scale infrastructure. The Recipient shall follow USAID's Sectorial Environmental Guidelines to identify mitigation measures according to its activities. These guidelines are available at <a href="http://www.usaidgems.org/sectorGuidelines.htm">http://www.usaidgems.org/sectorGuidelines.htm</a>	Convivimos Project, Community Roots Project
Sub-IR 1.2.2: Vulnerability of at-risk populations reduced			
36	Technical assistance for the institutionalization of proven, integrated violence prevention approaches This activity will include mainly workshops, technical assistance and trainings.	A <b>Categorical Exclusion</b> is recommended to these activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment. Applicable sections of 22 CFR 216.2(c)(2)	Community Roots Project
37	Support community commissions to design, implement, and promote evidence-based violence prevention activities This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> 216.2 (c)(2) (xiv)- planning and design.	Community Roots Project
38	Technical assistance and advocacy for the development and implementation of municipal-level migration and violence prevention plans. In addition to training, workshops, meetings and	A <b>Negative Determination with Conditions</b> is recommended for this activity that could have a significant effect on the environment, such as small scale infrastructure. The Recipient shall follow USAID's Sectorial Environmental Guidelines to identify mitigation measures according to its activities. These guidelines are available at <a href="http://www.usaidgems.org/sectorGuidelines.htm">http://www.usaidgems.org/sectorGuidelines.htm</a>	Community Roots Project

	technical assistance, this activity may include small-scale infrastructure and/or sub-grants component.		
39	Technical assistance and advocacy for the implementation of secondary prevention interventions in close coordination with municipal authorities. In addition to training, workshops, meetings and technical assistance, this activity may include small-scale infrastructure and/or sub-grants component.	A <b>Negative Determination with Conditions</b> is recommended for this activity that could have a significant effect on the environment, such as small scale infrastructure. The Recipient shall follow USAID's Sectorial Environmental Guidelines to identify mitigation measures according to its activities. These guidelines are available at <a href="http://www.usaidgems.org/sectorGuidelines.htm">http://www.usaidgems.org/sectorGuidelines.htm</a>	Community Roots Project
40	Technical assistance and financial support for evidence-based policy making This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> 216.2 (c)(2) (xiv)- planning and design.	Community Roots Project
41	Technical assistance and advocacy for private sector mobilization for crime and migration prevention This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> 216.2 (c)(2) (xiv)- planning and design.	Community Roots Project
42	Technical assistance and support for health	A <b>Negative Determination with Conditions</b> is recommended for this activity that could have a significant	Return and Reintegration in the Northern Triangle

	and psychosocial care. In addition to training, workshops, meetings and technical assistance, this activity may include small-scale infrastructure and/or sub-grants component.	effect on the environment, such as small scale infrastructure. The Recipient shall follow USAID's Sectorial Environmental Guidelines to identify mitigation measures according to its activities. These guidelines are available at <a href="http://www.usaidgems.org/sectorGuidelines.htm">http://www.usaidgems.org/sectorGuidelines.htm</a>	
43	Resources for improved infrastructure and working conditions for GoG agencies and officials. In addition to training, workshops, meetings and technical assistance, this activity may include small-scale infrastructure and/or sub-grants component.	A <b>Negative Determination with Conditions</b> is recommended for this activity that could have a significant effect on the environment, such as small scale infrastructure. The Recipient shall follow USAID's Sectorial Environmental Guidelines to identify mitigation measures according to its activities. These guidelines are available at <a href="http://www.usaidgems.org/sectorGuidelines.htm">http://www.usaidgems.org/sectorGuidelines.htm</a>	Return and Reintegration in the Northern Triangle

**IR 1.3: Citizen Voice and Responsible Participation Increased**

Sub-IR 1.3.1: Increased representation and effectiveness of citizen participation at community and municipal levels

44	Technical assistance for the capacity building of local and regional community-based organizations. This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> 216.2 (c)(2) (xiv)- planning and design.	Urban Municipal Governance Project
45	Technical assistance and advocacy for the implementation of social accountability mechanisms. This activity will include mainly	<b>Categorical Exclusion</b> 216.2 (c)(2) (xiv)- planning and design.	Urban Municipal Governance Project

	workshops, technical assistance and trainings.		
46	Technical assistance and advocacy for the implementation service delivery and community improvement plans at the municipal level (including small infrastructure projects). In addition to training, workshops, meetings and technical assistance, this activity may include small-scale infrastructure and/or sub-grants component.	A <b>Negative Determination with Conditions</b> is recommended for this activity that could have a significant effect on the environment, such as small scale infrastructure. The Recipient shall follow USAID's Sectorial Environmental Guidelines to identify mitigation measures according to its activities. These guidelines are available at <a href="http://www.usaidgems.org/sectorGuidelines.htm">http://www.usaidgems.org/sectorGuidelines.htm</a>	Urban Municipal Governance Project
47	Technical assistance for youth-led assessments, participatory analysis, and engagement activities. This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> 216.2 (c)(2) (xiv)- planning and design.	Harnessing Emerging Political Leadership for an Accountable Guatemala (EPL)
48	Technical assistance for the support of youth-led civic initiatives, think tanks, and social enterprises. This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> 216.2 (c)(2) (xiv)- planning and design.	Harnessing Emerging Political Leadership for an Accountable Guatemala (EPL)

49	Technical assistance and advocacy of community, municipal and national level power-structures for increased youth engagement in civic and political processes. This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> 216.2 (c)(2) (xiv)- planning and design.	Harnessing Emerging Political Leadership for an Accountable Guatemala (EPL)
Sub-IR 1.3.2: Increased citizen voice through coalition-building			
50	Technical assistance for capacity building of local and regional community-based organizations to effectively and independently engage with governments. This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> 216.2 (c)(2) (xiv)- planning and design.	Urban Municipal Governance Project
51	Technical assistance and advocacy for the support to build alliances and networks that push for municipal and/or local governments' transparency and accountability. This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> 216.2 (c)(2) (xiv)- planning and design.	Urban Municipal Governance Project
52	Technical assistance for the strengthening of civil society organizations	<b>Categorical Exclusion</b> 216.2 (c)(2) (xiv)- planning and design.	Urban Municipal Governance Project

	advocacy and participation. This activity will include mainly workshops, technical assistance and trainings.		
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**Sub-IR 1.3.3: Increased civic engagement**

53	Technical assistance and advocacy for the support to youth from marginalized communities and middle-class youth to engage collectively in leadership roles as related to civic and political participation. This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> 216.2 (c)(2) (xiv)- planning and design.	Harnessing Emerging Political Leadership for an Accountable Guatemala (EPL)
54	Technical assistance and support for community-based organizations, whose constituents are high-risk communities, to implement innovative social accountability mechanisms, such as citizen report cards and social auditing. This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> 216.2 (c)(2) (xiv)- planning and design.	Urban Municipal Governance Project
55	Technical assistance and advocacy support for citizens to advocate effectively to municipal	<b>Categorical Exclusion</b> 216.2 (c)(2) (xiv)- planning and design.	Urban Municipal Governance Project

	governments. This activity will include mainly workshops, technical assistance and trainings.		
56	Technical assistance and advocacy for building community resilience to chronic violence. This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> 216.2 (c)(2) (xiv)- planning and design.	Urban Municipal Governance Project
57	Technical assistance and support for the development of community improvement plans that are driven by community priorities, in coordination with municipalities. In addition to training, workshops, meetings and technical assistance, this activity may include small-scale infrastructure and/or sub-grants component.	A <b>Negative Determination with Conditions</b> is recommended for this activity that could have a significant effect on the environment, such as small scale infrastructure. The Recipient shall follow USAID's Sectorial Environmental Guidelines to identify mitigation measures according to its activities. These guidelines are available at <a href="http://www.usaidgems.org/sectorGuidelines.htm">http://www.usaidgems.org/sectorGuidelines.htm</a>	Urban Municipal Governance Project
58	Technical and financial assistance for youth-led advocacy initiatives. This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> 216.2 (c)(2) (xiv)- planning and design.	Harnessing Emerging Political Leadership for an Accountable Guatemala (EPL)

59	Technical and financial assistance for education and other leadership opportunities for youth in order for them to engage more effectively with traditional power structures. This activity will include mainly workshops, technical assistance and trainings.	<b>Categorical Exclusion</b> 216.2 (c)(2) (xiv)- planning and design.	Harnessing Emerging Political Leadership for an Accountable Guatemala (EPL)
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Conditions:

For all the activities listed above as a **Negative Determination with Conditions**, each implementing contractor or partner shall fulfill the following conditions:

- Prepare an Environmental Management and Monitoring Plan (EMMP) which will identify the negative environmental impacts, propose corresponding mitigation measures, and monitor their effectiveness, utilizing the format in the annex to the attached IEE, including Tables 1, 2 and 3. Guidance on the preparation of the EMMPs will be provided to the Contractor/Recipient as part of the Request for Proposals. All EMMPs will be submitted to the Contracting/Agreements Officer Representative (COR/AOR) the Mission Environmental Officer (MEO), and Regional Environment Advisor (REA) for review and approval prior to implementation. EMMPs must be consistent with “USAID’s Sectoral Environmental Guidelines.” <http://www.usaidgems.org/sectorGuidelines.htm>. See the EMMP form attached in the annex of this IEE amendment.
- Incorporate the work plan or implementation plan activities into the EMMP
- Incorporate the subsequent annual work plans or implementation plans actions into a revised EMMP, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.
- Submit an annual environmental monitoring compliance report (ECR), preferably as part of the regular project reporting. This report should be based on Table 3 of the EMMP Format outlined in Attachment A. This report must be submitted to COR/AOR and approved in writing by the MEO.
- In addition to USAID Reg. 216 requirements, also comply with Government of Guatemala (GOG) environmental regulations and obtain all required permits from the appropriate GOG institutions.

- To ensure that all these environmental requirements and conditions are met in an adequate and timely manner, each implementing contractor or partner will hire a qualified environmental specialist.

### **3.1 Monitoring Conditions/Requirements**

The **COR/AOR** is responsible for making sure environmental conditions outlined in this IEE, and included in each EMMP, are met (ADS 204.3.4). This includes ensuring that the appropriate environmental guidelines are followed, that the mitigation measures are funded and implemented, and that adequate environmental compliance monitoring and evaluation protocols are in place. If during activity implementation, it becomes apparent that there may be additional activities not included in this IEE, an amended IEE will be submitted for approval.

EMMPs shall be monitored by the Implementing Partner using Table 3 of the EMMP on a regular basis as per listed on the EMMP Table 3. COR/AOR/, MEO, and REA shall conduct spot check monitoring of the EMMP mitigation measures effectiveness and implementation together with the Implementing Partner.

### **3.2 Environmental Compliance Language for Awards**

Each technical office and the Development Objective (DO) team, along with the MEO, will work with the Contract Office to ensure that environmental compliance language from this IEE is included in all procurement and obligating documents, such as activity-related DOAGs, Task Orders, Contracts, and under Global Acquisition and Assistance Systems (GLAAS). The following language regarding environmental compliance will be included in any kind of procurement instrument within this Project:

**Categorical Exclusion and Negative Determination Only.** “The Foreign Assistance Act of 1961,” as amended, Section 117 requires that the impact of USAID’s activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID’s Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/who-we-are/agency-policy/series-200>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. [*Offeror/applicant/contractor/recipient*] environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this [*RFP/RFA/contract/task order/grant/cooperative agreement*].

In addition, the contractor/recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID.

No action funded under this [*contract/task order/grant/CA*] will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for **Categorical Exclusion** (RCE), Initial Environmental Examination (IEE) duly signed by the Bureau

Environmental Officer (BEO).

As part of its initial Work Plan, and all Annual Work Plans thereafter, the contractor/recipient, in collaboration with the USAID COR/AOR and MEO, REA or BEO, as appropriate, shall review all ongoing and planned activities under this [contract/task order/grant/CA] to determine if they are within the scope of the approved Regulation 216 environmental documentation.

**At least one Negative Determination with Conditions, with sub-awards.** An Initial Environmental Examination (IEE) [(insert IEE # or hyperlink, if available)] has been approved for [the Activity] funding this [RFA/RFP/contract/task order/grant/cooperative agreement (CA)]. The IEE covers activities expected to be implemented under this [contract/task order/grant/CA]. USAID has determined that a **Negative Determination with Conditions** applies to one or more of the proposed actions. This indicates that if these actions are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The [offeror/applicant/contractor/recipient] shall be responsible for implementing all IEE conditions pertaining to actions to be funded under this [solicitation/award].

As part of its initial Work Plan, and all Annual Work Plans thereafter, the contractor/recipient, in collaboration with the USAID COR/AOR, and MEO, REA, or BEO, as appropriate, shall review all ongoing and planned actions under this [contract/task order/grant/CA] to determine if they are within the scope of the approved IEE.

If the contractor/recipient plans any new actions outside the scope of the approved IEE, the contractor/recipient shall inform USAID in writing of these changes. No such new actions shall be undertaken prior to receiving written USAID approval.

When the approved IEE contains one or more Negative Determinations with Conditions, the [contractor/recipient] shall:

- Prepare an environmental mitigation and monitoring plan (EMMP) for each proposed action under the **Negative Determination with Conditions** in the IEE, describing how the contractor/recipient will, in specific terms; implement all IEE conditions that apply within the scope of the award. The EMMP format is attached. The EMMP shall include monitoring the implementation of the conditions and their effectiveness.
- Integrate a completed EMMP into the initial work plan.
- Prepare an Environmental Compliance Report (ECR) at the end of the year or as per reporting requirements of the contract. The ECR shall be based on the monitoring of mitigation measures using Table 3 of the EMMP.
- A revised EMMP must be completed and approved in subsequent Annual Work Plans, making any necessary adjustments to implementation in order to minimize adverse impacts to the environment.

A provision for sub-awards is included under this award. Therefore, the [contractor/recipient] will prepare an EMMP for each proposed sub-award, except those that qualify for a categorical exclusion. In the case of a categorical exclusion, [contractor/recipient] shall complete and submit for USAID approval table 1 of the EMMP (Environmental Review Form- ERF). In order to ensure the funded proposals will result in no adverse environmental impacts. Implementation of sub-awards shall not begin prior to USAID written approval of the corresponding EMMP. The contractor/recipient is responsible for ensuring that mitigation measures specified in the EMMP are implemented.”

### 3.3 Need for 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 include Environmental Assessments (EA or PEA) and approval of these documents by the LAC BEO could require an annual evaluation for environmental compliance.

Signature Page for the IEE Amendment 2 of LAC-IEE- 12-60-DO1 Greater Security and Justice for Citizens. October 2016

USAID/Guatemala hereby recommends that the LAC Bureau Environmental Officer concurs with the recommendations included in this IEE.

Concurrence:

  
Thomas R. Delaney  
Mission Director

Date:

11/18/2016

Justice for Citizens. October 2016

USAID/Guatemala hereby recommends that the LAC Bureau Environmental Officer concurs with the recommendations included in this IEE.

Concurrence: Thomas R. Delaney  
Mission Director

Date: \_\_\_\_\_

Clearances:

Drafted by: L.Gil, PPSO	<u>L.Gil</u>	Date <u>10/25/16</u>
J.Yrungaray	<u>J.Yrungaray</u>	Date <u>10/25/16</u>
Cleared by: K.McLean, DGO Director	<u>K.McLean</u>	Date <u>11/15/16</u>
D.Carmin, Deputy DGO	<u>D.Carmin</u>	Date <u>10/27/16</u>
Regina Soto, MEO	<u>Regina Soto</u>	Date <u>10.25.16</u>
Joe Torres, REA	(see Attached email)	Date <u>Oct. 25, 2016</u>
	(see attached email for final approval)	Date: <u>Nov. 22, 2016</u>



## Guidelines for Implementing Partners

### USAID/Latin American and Caribbean Bureau (LAC) ENVIRONMENTAL MITIGATION and MONITORING PLAN (EMMP)<sup>1</sup>

November 19, 2015

#### A. Background

##### *Definitions*

*Activity - Overall USAID action being undertaken through a particular implementing mechanism*

*Intervention - Discrete actions undertaken to accomplish activity goals*

*Component - A sub action required to complete an intervention*

All activities funded by USAID must conform to its environmental procedures outlined in 22 CFR 216, which require Initial Environmental Evaluations (IEE) to ensure that “environmental factors and values are integrated into the USAID decision-making process” and that “the environmental consequences of USAID-financed activities are identified and considered by USAID and the host country prior to a final decision to proceed and that appropriated environmental safeguards are adopted”.

All USAID activities funded through USAID’s Latin America and the Caribbean (LAC) Missions are issued an Environmental Threshold Decision (ETD) by the Bureau Environmental Officer (BEO) pursuant to the IEE as per 22 CFR 216.3(a) 2. One category of Threshold Decision is the Negative Determination (22 CFR 216.3(a) 3, which is given to projects that are not “found to have a significant effect on the environment” when certain conditions are in place. In LAC, the development of an Environmental Mitigation and Monitoring Plan (EMMP) is often one of the conditions set forth in the **Negative Determination with Conditions** (NDWC) ETD. The EMMP ensures compliance with 22 CFR 216 by identifying and mitigating environmental effects of USAID activities and by meeting any other conditions specified in the applicable ETD. It is also used for any sub-award interventions where the specific actions of sub-award are not yet identified at the time of award. In addition, Table 3 of the EMMP form can be used as a Mitigation and Monitoring Plan for Environmental Assessments (EA).

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<sup>1</sup> This replaces all previous Environmental Mitigation Plan and Report (EMPR) forms

Activities carried out by implementing partners (IPs) of USAID/LAC Missions include a range of discrete interventions under various awards that will likely have a risk for significant environment effects. Examples include interventions such as infrastructure refurbishment or medical waste management. This EMMP procedure will provide for both the screening for environmental risk, the preparation of a mitigation plan and reporting on monitoring of these mitigation measures. Gender and persons with disabilities are also considered as social impact factors in the development of a mitigation plan as these have a direct bearing on the type and kind of mitigation measure to be prescribed. Global Climate Change (GCC) and its impact on the project, as well as the project's to exacerbate GCC is also a consideration within the EMMP process. Finally, the EMMP is an effective tool for applying USAID's Sector Environmental Guidelines to an activity or program which has been developed as per 22 CFR 216.3(a)3(iii). (<http://www.usaidgems.org/sectorguidelines.htm>).

The EMMP initially categorizes interventions into three risk categories: No Risk, Medium Risk, and High Risk. Those with No Risk can continue without further review upon completion of the Table 1 screening form and review and approval of the risk analysis by the Agreement/Contract Officer's Representative (AOR/COR) and the Mission Environment Officer (MEO). The EMMP typically deals with those interventions at Medium Risk (*see Figure 2*). Those with High Risk must be reconsidered for the need of an EA. Risk is further defined in section C1 below.

Most awardees that receive a **Negative Determination with Conditions** ETD will be required to fill out an Environmental Mitigation and Monitoring Plan (as attached) per intervention type that includes:

1. Narrative (Justification/Background, Baseline Information/Existing Conditions, Description of Activities, and Social Considerations sections must be completed at a minimum).
2. The Environmental Screening Form (Table 1),
3. The Environmental Mitigation Plan (Table 2), and
4. The Environmental Monitoring Table (Table 3).

AOR/CORs, Activity Managers, and Implementing Partners can work with the USAID MEO to ensure that environmental effects are sufficiently identified and mitigation actions are agreed upon, including clear guidance on the procedures for GCC and social considerations, where and appropriate.

## **B. Timing of EMMP**

All solicitations for activities that fall within the NWDC will include this document as part of the solicitation package as per the ADS 204 annex regarding solicitation language. As per direction outlined here and in the Environmental Considerations section of all solicitation, potential applicants must present a draft EMMP with their submission. This is important, as the funding for mitigation implementation identified in Table 3 must be incorporated in the applicant's

proposal budget. The draft EMMP can also serve as a criterion for selection by the Technical Evaluation Committee reviewing proposals.

Once the Implementing Partner (IP) is chosen, the applicant submits a revised initial EMMP or contractor to the AOR/COR at the time the initial work plan is submitted. **The MEO, and the Regional Environmental Advisor (REA) must approve this EMMP before work can commence.** For sub-awards, the awardee is required to fill out the EMMP and submit it for approval to the Chief of Party (COP). The COP then submits the EMMP for review and final approval to the AOR/COR and MEO. **Implementation of interventions shall not occur until final approvals of the EMMPs are received.**

A format for this initial EMMP can be seen in attachment 1; it includes:

1. An initial screening process using the “Environmental Screening Form” (Appendix 1, Table 1) to assure the intervention is at the Medium Risk Level.
2. The identification of potential impacts and related mitigation measures using the “Environmental Mitigation Plan” (Appendix 1, Table 2) for each component of the intervention.
3. The Environmental Monitoring Table (Appendix 1, Table 3) includes the necessary mitigation measures to be monitored, the monitoring indicators, who will conduct the monitoring, and when will the monitoring occur. Table 3 also includes a monitoring chart that documents who conducted the monitoring and the effectiveness of the mitigation measures.

At the end of each year of implementation, the EMMP is resubmitted with the same information as provided initially, along with a report reflecting the status of implementation and effectiveness monitoring of the identified mitigation measures using the “Environmental Monitoring Table” (Appendix 1, Table 3). This serves as the Annual Environmental Compliance Report (ECR) required by most implementing mechanisms. The ECR can be part of the annual Report required for the overall Activity as per the award requirements.

Results from the ECR are subsequently incorporated into a revised EMMP that shall be submitted to the AOR/COR for approval by the MEO/REA that reflects any new interventions in the activity’s second year work plan along with any changes to mitigation measures based on the prior year’s monitoring. This process of submitting the EMMP monitoring report at the end of the year, together with a revised EMMP that reflects the following year’s work plan, is repeated each year until the close of the activity (See Figure 1).

### **C. Initial Environmental Mitigation and Monitoring Plan**

#### **1. Classification of Level of Risk**

Different interventions under an award can have varying levels of risk for environmental effects and therefore require different courses of action (Figure 2). No-risk interventions, classified under “a” below, do not require the development of an Environmental Mitigation Plan (Table 2) or an Environmental Monitoring Table (Table 3) and could be covered under a **Categorical Exclusion** (22 CFR 216.2(c)). The AOR/COR should consult with the MEO to determine if the action in question has already received **Categorical Exclusion** or if one

must be requested from the BEO. Interventions identified as Medium-risk (“b”) require the IP to screen those potential environmental effects and develop a plan to mitigate them. High-risk interventions (“c”) include interventions that have irrevocable change and/or cannot be mitigated by the implementation of industry standards, best management practices, or design specific implementation standards and, therefore, are considered to have significant environmental effects that will require an EA (22 CFR216.2 (d)).

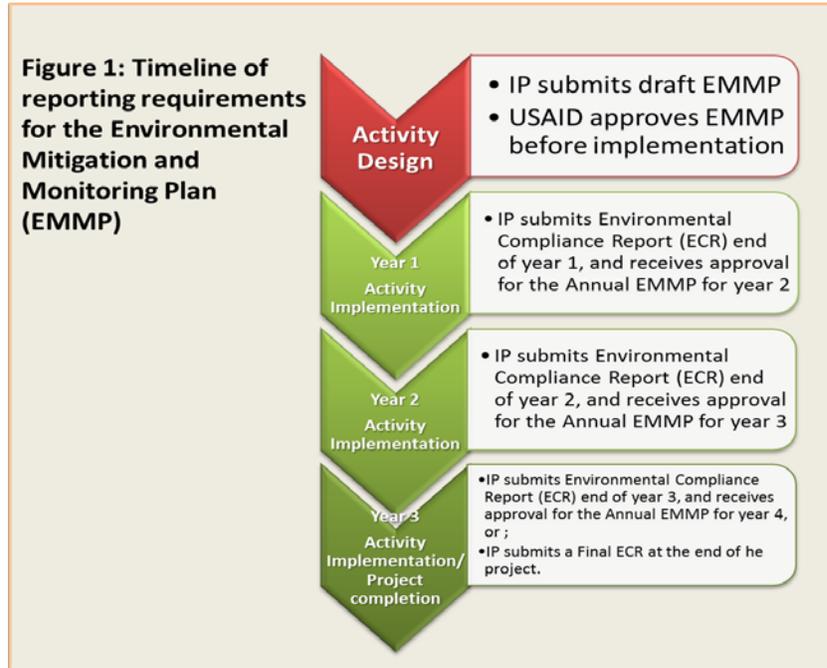
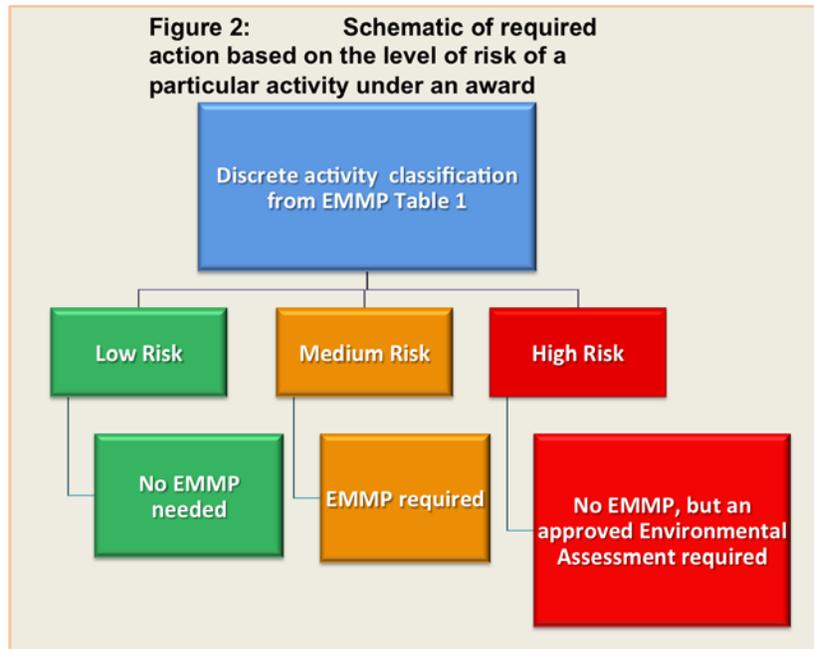


Figure 2 below depicts schematic of required action based on the level of risk of a particular intervention under an award. Note: all sub-award interventions are required to have an EMMP completed. If all questions on Table 1 are checked No, then the sub-award intervention falls under the low risk category and implementation could start directly without further analysis, pending approval of the work plan by the AOR/COR and MEO.



a) Discrete interventions that do not require mitigation plans (No-Risk):

An illustrative list of no-risk discrete intervention 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 or use of pesticides)
- Community awareness initiatives
- Controlled research/demonstration activities in a small area
- Technical studies or assistance (unless actions include agriculture and pesticides)
- Information transfers

If there is a risk that the actual implementation of subjects learned during training could adversely affects the environment (e.g., training on agricultural techniques), the training is expected to include as part of its curriculum, an analysis of environmental effects a plan for mitigation. Mitigation measures such as Good Agricultural Practices/Best Management Practices would need to be identified for use in training as a mitigation measure and listed in Table 2 of the EMMP.

Many discrete interventions under an agreement will fall between the two extremes of low and high risk and may cause some significant environmental effects that can be avoided or mitigated with proper planning. For these interventions, the IP will be responsible for completing the EMMP on an annual basis.

b) Discrete interventions that cannot be supported (High-Risk):

Under USAID's Environmental Procedures, if there is a proposed action that may have significant environmental effects, an approved EA is required prior to its implementation

(22 CFR 216.2(d)1). In the case of pesticide use, a Pesticide Evaluation Report and Safer Use Action Plan (PERSUAP) will be prepared by the partner and approved by the LAC BEO (22 CFR 216.3 (b)). Such interventions include, but are not limited to:

- Agricultural, livestock introduction or other activities that involve forest conversion
- Resettlement of human populations
- Construction of water management systems such as dams or impoundments
- Drainage of wetlands
- Introduction of exotic plants or animals in protected areas
- 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, for example)
- Installation of aquaculture systems in sensitive water bodies including rivers, lakes, and marine waters (not land-based fish ponds)
- Procurement of timber harvesting equipment, including chainsaws
- Use of restricted use pesticides (insecticides, herbicides, fungicides, etc.)
- Large-scale reconstruction in un-degraded lands, such as within protected areas
- Large-scale new construction (over 1,000 meters<sup>2</sup>)
- Timber harvesting, or cutting of trees over 20 cm diameter breast height related to forest management or for commercial products.
- Construction of penetration roads and/or reroutes

#### c) Cumulative Effects

Even though individual interventions may be considered medium risk, when those interventions are analyzed in terms of other USAID actions and/or other non-USAID actions that are likely to occur, cumulative effects must be considered and may require the development of an EA.

#### d) Extraordinary circumstances

Certain extraordinary circumstances must be considered and may require an EA. These include

- impacts to sensitive terrestrial or aquatic areas (see question 14)
- impacts to unique cultural or historical features (see question 28)

## 2. Environmental Screening Form

The Environmental Screening Form (Appendix 1, Table 1) contains information relevant to the potential environmental effects over the life of the intervention with regard to natural resources, the environment, and human health. If items in Column “A” of the Environmental Screening Form are checked “YES”, then items for monitoring and mitigation are to be specified in the “Environmental Mitigation Plan” (Appendix 1, Table 2). The Environmental Mitigation Plan simply outlines the plan of action for mitigation of potential environmental effects. If all Column A is checked “NO”, then Tables 2 and 3 are not required to be completed and the intervention can begin **upon approval from the COR/AOR and MEO**. When all of Table 1 questions are checked “NO”, the MEO must ensure that the intervention

listed in the “Description of Activities” narrative section truly will not cause impacts to the environment. The MEO must also ensure that all of the actions for the intervention are listed in the Narrative and that each action is covered in Table 1.

For reference on mitigation information on a wide variety of discrete interventions, refer to the USAID/GEMS Sector Environmental Guidelines. <http://www.usaidgems.org/sectorGuidelines.htm>. Illustrative sector-specific guidelines also include: WHO guidelines for handling and disposal of medical waste, “[Low-Volume Roads Engineering: Best Management Practices Field Guide \(Keller and Sherar, 2003\)](#)” and the World Wildlife Fund Agriculture and the Environment, A WWF Handbook on Agricultural Impacts and Better Practices (Clay, 2004).

#### **D. Annual Environmental Compliance Report**

As per terms and conditions of all awards with USAID, each implementing partner is expected to submit an Annual Report, which normally requires an ECR. If an EMMP has been developed, it should be used to fulfill this requirement. The ECR should contain information relevant to the potential environmental effects over the life of a discrete intervention under an award and includes: a) a copy of the initial EMMP completed during the initial intervention planning (reference Section B above); b) the prescribed mitigation measures using the “Environmental Mitigation Plan (Appendix 1, Table 2)”; and c) synthesized data on these mitigation measures collected throughout the year and tracked in the “Environmental Monitoring Table (Appendix 1, Table 3)”. As it is often difficult to quantitatively measure progress of complex mitigation measures, it is necessary to include inserted digital photos (with relevant maps) to describe progress of mitigation measures.

#### **E. Sections of the EMMP**

1. EMMP Coversheet
2. EMMP Narrative (to be filled out with intervention specific information). NOTE: details for each of the actions to be implemented must be listed in the “Description of Activities” section of the Narrative.
3. Appendices:
  1. Environmental Screening Form (Table 1)
  2. Environmental Mitigation Plan (Table 2)
  3. Environmental Monitoring Table (Table 3)
  4. Photos, Maps, Level of Effort

Reference: February 8, 2007; L. Poitevien (USAID/Haiti), M. Donald (USAID/Dominican Republic), E. Clesceri (USAID/Washington). Guidelines for Implementing Partners on the USAID Haiti Environmental Mitigation Report.

**USAID/LAC ENVIRONMENTAL MITIGATION and MONITORING PLAN (EMMP)**

**A. Coversheet for ENVIRONMENTAL MITIGATION and MONITOR PLAN (EMMP)**

USAID MISSION DO # and Title: \_\_\_\_\_

Title of IP Activity: \_\_\_\_\_

IP Name: \_\_\_\_\_

Award Number: \_\_\_\_\_

Funding Period: FY \_\_\_\_\_ - FY \_\_\_\_\_

Associated IEE/ETD: \_\_\_\_\_

Life of Activity Funding (US\$): \_\_\_\_\_

Title of Discrete Intervention \_\_\_\_\_

Report Prepared by: Name: \_\_\_\_\_ Date: \_\_\_\_\_

Date of Previous EMMP: \_\_\_\_\_ (if any)

Status of Fulfilling Mitigation Measures and Monitoring:

Yes    No  
\_\_\_    \_\_\_    Initial EMMP.

\_\_\_    \_\_\_    Annual EMMP.

USAID Mission Clearance of EMMP for **XXX** Intervention:

Contract/Agreement Officer's Representative: \_\_\_\_\_ Date: \_\_\_\_\_

Mission Environmental Officer: \_\_\_\_\_ Date: \_\_\_\_\_

Regional Environmental Advisor: \_\_\_\_\_ Date: \_\_\_\_\_

**B. Environmental Mitigation and Monitoring Plan Narrative**

1. Background, Rationale and Outputs/Results Expected:

Provide a brief summary of the intervention(s) under consideration and expected results.

2. Environmental Baseline:

Describe the existing condition of the area of the intervention. This should include a description of/baseline information on the natural and physical resources that could potentially be affected by the intervention. Provide information on the existing infrastructure, roads, and agricultural systems, etc. if relevant to the intervention. Succinctly describe location, site details; surroundings (include a map, even a sketch map). Include information on any “unique or extra-ordinary” resources that are within the intervention area such as wetlands, critical habitat, etc. Include information on the existing climate trends and conditions such as how might environmental conditions change due to climate change for the life of the intervention and expected lifespan of the interventions? Describe how the intervention will involve men, women, and indigenous cultures whose actions during the life of the intervention may have a direct effect the environment, or how the actions of the intervention may have an impact on them. Methodologies for data collection and analysis for gender-sensitive implementation and monitoring of interventions are encouraged.

### 3. Activity Description/Specific Actions to be implemented:

Provide both quantitative and qualitative information about actions to be undertaken during the intervention (e.g. specific actions of construction-size, location, and type of materials to be used, etc.), types of agriculture production (full till mechanized, organic etc.), how the intervention will operate, and any connected interventions that are required to implement the primary interventions (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 intervention needed to accomplish the primary one but in a different location). If various alternatives have been considered and rejected because the proposed intervention is considered more environmentally sound, explain these.

#### Example:

New construction of a 900 square meter youth center located in XXX town and is 70 meters from the River XXX. Construction will be of block and cement with rebar reinforcing. Construction will include a new two-stall toilet and sinks using town water source from pipes. A 20 square meter biodigester will be used to capture waste and methane gas piped to the youth center kitchen for use as cook fuel. Biodigester will be underground and built of concrete by molds. Electrical wiring for the youth center will be installed with the power source by solar panels on the zinc roof and batteries/electrical circuits located attached to the center in a closed and locked storage room.

Interventions with sub-awards require a specific EMMP for each award.

### 4. Evaluation of the Potential for Environmental Effects (Tables 1 and 2):

As a component of conducting environmental screening and developing the Environmental Mitigation Plan (Appendix 1, Table 2), briefly summarize environmental effects that could occur before, during, and after implementation, as well as any problems that might arise with restoring or reusing the site, if the facility or intervention were completed or ceased to exist. Explain direct, indirect, 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, climate change adaptation, climate change mitigation,

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

For example, any intervention that increases human presence in an area, even temporarily, will increase noise, waste, and the potential for hunting, timber harvesting, etc.

#### 5. Environmental Mitigation Actions (Tables 2 & 3):

For the Initial EMMP, summarize the mitigation measures in the “Environmental Mitigation Plan” (Table 2) and briefly describe how these measures will be monitored in the “Environmental Monitoring Table” (Table 3). Ensure that Table 3 includes the cost of implementing and monitoring each of the mitigation measures listed.

For the Annual EMMP, describe the effectiveness of mitigation measures based on monitoring. For example:

- a) What mitigation measures have been put in place? How is the success of mitigation measures being determined (i.e., indicators)? Explain if and why the mitigation measures are not working or not effective? What adjustments need to be made?
- b) What is being monitored, how frequently and where, and what action is being taken (as needed) based on the results of the monitoring?

#### 6. Social Considerations

Gender equality is a USG-wide priority and USAID has, and will continue to take a lead role in that effort. Integrating gender considerations into all stages of planning, programming, and implementation of development assistance is not only a legal mandate; it is an essential part of effective and sustainable development. The Automated Directive System (ADS) 201 sets out specific requirements to help ensure that appropriate consideration is given to gender as a factor in development planning at the Development Objective and the Intermediate Results level of Development Objectives all the way down to the interventions level. This programming policy includes clear guidance on the procedures for gender integration where determined to be appropriate.

Additionally, the USAID Disability Policy Paper ([http://pdf.usaid.gov/pdf\\_docs/PDABQ631.pdf](http://pdf.usaid.gov/pdf_docs/PDABQ631.pdf)) sets out specific requirements to help ensure that appropriate consideration is given to persons with disabilities as a factor in development planning at the Development Objective and the Intermediate Results level of Development Objectives all the way down to the intervention level. Therefore, gender and persons with disabilities considerations are included in the EMMP checklist to ensure intervention implementation adheres to agency priorities and mandate. Additional information can be found at the following website: [http://www.usaid.gov/sites/default/files/Guide\\_How\\_Integrate\\_Disability\\_Gender\\_Assessments\\_2010.pdf](http://www.usaid.gov/sites/default/files/Guide_How_Integrate_Disability_Gender_Assessments_2010.pdf).

Impacts on indigenous cultures and their traditions should also be considered.

Ultimately, consideration of social issues helps avoid significant environmental effects (see 216.3 (a)(3)(iii)). Environmental mitigation measures should be specifically designed to take in account social issues such as gender and persons with disability, thus ensuring greater

success of the mitigation measure and greater long-term sustainability of the intervention. The impacts and roles of women and children should be also taken into consideration when completing Table 2 regarding environmental (social) impacts and designing mitigation measures.

## 7. Climate Change Integration

Climate change impacts all areas of development and is often considered both a threat and a driver to many activities that USAID supports. Good climate change integration is part of good activity design. In addition, Executive Order 13677: "Climate-Resilient International Development" encourages integration of the Agency's GCC Initiative (GCC) of mitigation and adaptation principles throughout its portfolios. Therefore, GCC impacts (to the intervention and from the intervention implementation) shall also be considered. Actions that would minimize GCC impacts shall be included in the list of mitigation measures to be implemented.

## Appendix 1. Environmental Screening Form (Table 1)

Name of intervention: _____ Implementing Partner: _____ Award Number: _____ Date: _____ Relevant IEE/ETD# _____		Column A	Column B	Column C	
		Yes	No	If answered yes to Column. A. Is it a high risk or medium risk	
				High Risk	Medium-Risk

### INFRASTRUCTURE (Buildings, roads, WASH, etc.)

1	Will the intervention involve construction and/or reconstruction/rehabilitation of any type of building? For new construction, if less than 1,000 m <sup>2</sup> = medium risk, if greater than 1,000 m <sup>2</sup> = high risk. <sup>1</sup>				
2	Will the intervention involve building penetrating roads, road rehabilitation and maintenance or other road related infrastructure (drainage, bridges, etc.)? If penetrating road construction/rerouting = high risk <sup>2</sup> , if repair/rehabilitation (improving drainage, resurfacing of existing roads) = medium risk.				
3	Will the intervention involve construction or rehabilitation of water and sanitation infrastructure (irrigation systems, potable water, water harvesting, septic systems etc.). Potable water systems require testing for bacteria, arsenic and other heavy metals.				
4	Will the intervention involve construction or rehabilitation of any other infrastructure such as landfills, incinerators, energy infrastructure, etc.				
5	Will the infrastructure intervention cost more than US \$500,000 <sup>3</sup> ? If YES, approval of a USAID Engineer is required as mitigation measures in Table 2. Additionally, compliance with FAA 611 is required (please consult with the mission legal advisor).				
6	Does the intervention require adherence to national building code or other national regulatory standard? Mitigation measures in Table 2.				
7	Does the intervention require local planning permissions (i.e. zoning, building permits, etc.)				

### BIOPHYSICAL

9	Will the intervention involve changes in water quality (pollution, sedimentation, stagnation, salinization, temperature change, etc.)				
10	Will the intervention affect surface or groundwater quantity				
11	Will the intervention involve training and/or implementation of agricultural practices/production including animal husbandry?				
12	Will the intervention involve aquaculture systems?				
13	Will the intervention involve the use or disposal of hazardous materials (used engine oil, paint, varnish, lead-based products, fluorescent light bulbs/mercury, batteries, asbestos or other hazardous or special				

	management waste)? Consider effects to both the biophysical environment and human health.				
14	Will the intervention involve implementation of timber management <sup>5</sup> , extraction of forest products, clearing of forest cover, and/or conversion of forest land by cutting of trees >20cm diameter at base height (DBH)?				
15	Is the intervention in or near (within 50m <sup>6</sup> ) any sensitive terrestrial or aquatic areas including protected areas, wetlands, critical wildlife habitat (including nesting areas), and threatened or endangered species?				
16	Will the interventions proposed generate airborne particulates (dust), liquids, or solids (i.e. discharge pollutants) or potentially violate local air standards?				
17	Will the intervention create objectionable odors?				
18	Will the intervention occur on steep slopes (greater than 15%)?				
19	Will the intervention contribute to erosion?				
20	Will the intervention change existing land use in the vicinity?				
21	Is the proposed intervention incompatible with land type (i.e., annual crops on steep slopes, infrastructure on poorly drained soils)?				
22	Will the intervention affect unique geologic or physical features?				
23	Will the intervention have potential effects to inhabitants, natural landscapes, or flora/fauna downstream from the intervention site?				
24	Will the intervention have a direct or indirect effect, or include actions with mangroves, coral reefs and other marine/coastal ecosystems?				
<b>GLOBAL CLIMATE CHANGE</b>					
25	Are interventions or outcomes vulnerable to changes in the weather or climate such as changes in precipitation patterns, increased temperatures or sea level rise?				
26	Does the intervention exacerbate climate change vulnerabilities (i.e., drought, flooding, decrease water supply)?				
27	Will the intervention create greenhouse gas emissions from decomposing waste, burning of organic matter, or use of fossil fuels etc. (consider duration and scale)				
<b>SOCIO ECONOMIC</b>					
28	Will the intervention contribute to displacement of people, housing or businesses?				
29	Will the intervention affect indigenous peoples and/or unique cultural or historical features?				
30	Will the intervention expose people or property to flooding?				
<b>ENVIRONMENT &amp; HEALTH</b>					
31	Will the intervention create conditions encouraging an increase in illness, diseases, or disease vectors (waterborne, STDs or other)?				
32	Will the intervention generate hazards or barriers for pedestrians, motorists or persons with disabilities?				
33	Will the intervention involve the use, storage, handling or disposal of syringes, gauzes, gloves and other biohazard medical waste?				
34	Will the intervention expose workers to occupational hazards?				
35	Will the intervention increase existing noise levels?				
<b>GENDER<sup>7</sup></b>					
36	Does the intervention inhibit the equal involvement of men and women?				
37	Do the intervention results disproportionately benefit/impact men and women?				
<b>OTHER</b>					

38	Does the intervention/activity involve a sub-award component? <sup>8</sup>				
39	Is an operations and maintenance plan required? (for all type of infrastructure, equipment, road rehabilitation, or water and sanitation action = Yes)				

<b>RECOMMENDED ACTION</b> ( <i>Check Appropriate Action</i> ):		<i>(Check)</i>
(a)	The intervention has no potential for significant effects on the environment. No further environmental review is required ( <b>Categorical Exclusion</b> ). No further action required.	
(b)	The intervention includes mitigation measures and design criteria that if, applied will avoid a significant effect on the environment ( <b>Negative Determination with Conditions</b> ). EMMP Required.	
(c)	The intervention has potentially substantial or significant adverse environmental effects; therefore, an EA is required before intervention implementation (Positive Determination). NOTE: if any question is marked as High Risk, an EA is required and Tables 2 and 3 of the EMMP do not need to be completed.	
(d)	The intervention has significant adverse environmental effects that cannot be mitigated. Proposed mitigation is insufficient to eliminate these effects and alternatives are not feasible. The intervention is not recommended for implementation. *For sub awards, do not fund.	

<sup>1</sup>Construction interventions need to be reviewed for scale, planned use, building code needs and maintenance. New construction having a footprint larger than 1000 meters<sup>2</sup> or 10,000 feet<sup>2</sup> is considered large scale and high risk. Some small construction interventions, such as building an entrance sign to a park, may require simple mitigation measures whereas larger buildings will require more extensive review and monitoring.

<sup>2</sup>New construction of roads are considered high risk and will require a full environmental assessment of the planned construction, i.e. a Positive Determination. Any reroutes of a road or trail longer than 100 meters is considered a high risk. Reroutes within a protected area, nearby a water source/wetlands, and/or archaeological site are considered a high risk.

<sup>3</sup> Pursuant to FAA, section 611, Completion of Plans and Cost Estimates.

<sup>4</sup>The purchases of packaged store pesticides are included. The planned procurement and/or use or training on the use of pesticides will trigger the need to develop an amended Initial Environmental Examination that meets USAID pesticide procedures (Pesticide Evaluation Report and Safer Use Action Plan or "PERSUAP") for the intervention.

<sup>5</sup>Any interventions that involve the commercial harvesting of trees or converting forests is considered high risk and will require a full environmental assessment of the intervention (i.e. Positive Determination). The reference to cutting trees of greater than 20cm dbh is for actions related to forest management and commercial forest products and not for individual trees being cut for construction or non-commercial purpose.

<sup>6</sup> Less than 50meters is based on best practices from US Federal and State regulations.

<sup>7</sup>A positive response to gender questions require follow up only when there are other positive responses on questions, and an EMMP is developed.

<sup>8</sup> If the intervention includes a sub-award component, each sub-awardee shall be required to prepare an EMMP prior to implementation of the sub-award.

## Appendix 2. Environmental Mitigation Plan (Table 2)

Enter the Question/Row # of the potential negative effects with check marks in Column A (Table 1) and complete table below for mitigation measures to reduce or eliminate the issue. In the Sub-Activity or Component Column, list the main actions to be implemented. Under each action, list the tasks (Steps) that are needed to implement this action.

	Name of intervention: _____ Implementing Partner: _____ Award Number: _____ Date: _____ Relevant IEE/ETD #: _____		
# of the question from Table 1	Action or component with the different tasks required to implement the action.	Description of Environmental Effect	Environmental Mitigation Measures*
1	Component - Construction and maintenance of latrine		
	<i>Step 1- design</i>		
	<i>Step 2- location</i>		
	<i>Step 3- purchase of materials</i>		
	<i>Step 4- build latrine</i>		
	<i>Step 5- site cleanup/disposal of construction waste</i>		
	<i>Step 6- use of latrine/operations and maintenance</i>		
9	Component – Purchase and construction of a water storage system		
	<i>Step 1</i>		
	<i>Step 2</i>		
	<i>Step 3</i>		
	etc.		

\* Please be as specific as possible. Sample mitigation measures are located in the USAID Sector Environmental Guidelines or other pertinent guidelines, see <http://www.usaidgems.org/sectorGuidelines.htm>. Details on exact monitoring plan are illustrated in Table 3, Environmental Monitoring and Evaluation Tracking Table.

**Appendix 3. Environmental Monitoring Table (Table 3)**

Award Number:
intervention Name:
Implementing Partner:
Location Name:
Nearby Communities:
Senior Activity Manager:
Monitoring Period:
Date:

	Description of Mitigation Measure (same as in Table 2)	Responsible Party for implementing and monitoring mitigation measures	Monitoring Methods			Estimated Cost of implementing mitigation measures and monitoring	Results			Recommended Adjustments
			Indicators of implementation and effectiveness of indicators	Methods	Frequency		Dates Monitored	Problems Encountered	Mitigation Effectiveness	