



USAID
FROM THE AMERICAN PEOPLE

SOP 1, Template 2: Request for Categorical Exclusion (RCE)

**United States Agency for International Development (USAID)
USAID/Serbia
Request for Categorical Exclusion (RCE)**

Program/Project/Activity Data:

Activity/Project Name:	Anti-corruption Assessment	
Assistance Objective:	Governing Justly and Democratically AO 2: "Democratic structures in Serbia strengthened"	
Program Area:	Program Design and Learning	
Country(ies) and/or Operating Unit:	Serbia	
Originating Office:	USAID/Serbia/ODEG	Date: 11/17/16
PAD Level RCE: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	DCN of Original RCE/IEE:	
RCE/IEE Amendment: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	DCN of Amendment(s):	
Supplemental RCE: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>		
If Yes, Purpose of Amendment:		
DCN(s) of Related EA/IEE/RCE/ER(s):		
Implementation Start/End:	12/1/2016-3/30/2017	LOP: 12/1/2016-3/30/2017
Funding Amount:	AMD: \$110,000	LOP Amount: \$110,000
Contract/Award Number (if known):		
Recommended Determination: Categorical Exclusion		
Additional Elements:		
Government to Government: <input type="checkbox"/>	Local Procurement: <input checked="" type="checkbox"/>	Donor Co-Funded: <input type="checkbox"/>

1. Project and Activity Description.

1.1 Purpose and Scope of RCE: The purpose of the assessment is to: a) determine state of anti-corruption reform; b) identify key stakeholders and examine the drivers of corruption; and c) provide clear guidance to be translated into specific anti-corruption interventions as part of future anti-corruption programming.

1.2 Project Overview: The assessment will therefore provide the USAID Mission with a set of findings, conclusions, and recommendations to inform the project design.

2. Project Description and Climate Risk Screening

USAID/Serbia is planning an assessment of corruption in Serbia to take place between December 2016 and March 2017 to: a) assess state of anti-corruption reform; b) identify key stakeholders and examine the drivers of corruption; and c) provide clear guidance to be translated into specific anti-corruption interventions as part of future anti-corruption programming.

Potential climate risks of planned assessment activities are assessed as low risk.

Defined or illustrative activities	Potential Climate Risk	Climate Risk Rating*
1.1 Desk Review: A desk study that will be used to establish an understanding of the political-economic context and drivers of corruption before arrival in Serbia.	Precipitation, Storm Surge, Winds, and Flooding	Low
1.2 Field Work: Conduct interviews with a wide group of stakeholders from the government, oversight institutions, judiciary, civil society, media, and private sector.	Precipitation, Storm Surge, Winds, and Flooding	Low
1.3 Reporting: Writing a report which should include prioritized recommendations to inform the design of future anti-corruption programming.	Precipitation, Storm Surge, Winds, and Flooding	Low

3. Justification for Categorical Exclusion Determination

The activities under the Anti-corruption Assessment will not have an effect on the natural or physical environment and are among the classes of activities listed in 22 CFR 216.2(c)(2). Therefore, under §216.2(c)(1), neither an IEE nor an EA will be required for these activities. Instead, a categorical exclusion threshold determination is recommended for the following identified activities under 22 CFR 216.2(c)(2):

- Activities 1.1, 1.2, and 1.3 fall under §216.2(c)(2) (iii) Analyses, studies, academic or research workshops and meetings.

4. Limitations of the Categorical Exclusion Determination:

This categorical exclusion does not cover classes of actions normally having a significant effect on the environment under §216.2(d):

- i. Programs of river basin development;
- ii. Irrigation and water management;
- iii. Agricultural land leveling;
- iv. Drainage projects;
- v. Large scale agricultural mechanization;
- vi. Resettlement projects;
- vii. New land development;
- viii. Penetration road building and road improvement;
- ix. Powerplants;
- x. Industrial plants; and
- xi. Potable water and sewerage projects

In addition, this categorical exclusion does not cover activities that:

- Support project preparation, project feasibility studies, engineering design for activities listed in §216.2(d)(1);
- Affect endangered species;
- Provide support to extractive industries (e.g. mining and quarrying);

- Promote timber harvesting;
- Lead to construction, reconstruction, rehabilitation, or renovation work;
- Support agro-processing or industrial enterprises;
- Provide support for regulatory permitting;
- Lead to privatization of industrial facilities or infrastructure with heavily polluted property;
- Assist the procurement (including payment in kind, donations, guarantees of credit) or use (including handling, transport, fuel for transport, storage, mixing, loading, application, clean-up of spray equipment, and disposal) of pesticides or activities involving procurement, transport, use, storage, or disposal of toxic materials--pesticides cover all insecticides, fungicides, rodenticides, etc. covered under the Federal Insecticide, Fungicide, and Rodenticide Act; and/or
- Procure or use genetically modified organisms.

Any of these actions would require a Europe and Eurasia Bureau Environmental Officer (BEO) approved amendment to the categorical exclusion.

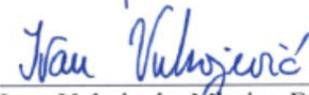
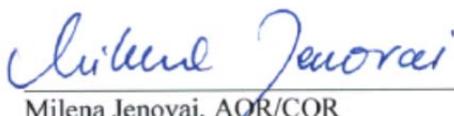
5. Mandatory Inclusion of Environmental Compliance Requirements in Solicitations, Awards, Budgets, and Work Plans

- Appropriate environmental compliance language, including limitations defined in Section 4, shall be incorporated into solicitations and awards for categorical exclusions.
- The implementing partner shall ensure annual work plans do not prescribe activities that are defined as limitations in Section 4.

6. Revisions

Under §216.3(a)(9), if new information becomes available that indicates that activities covered by the categorical exclusion might be considered major and their effect significant, or if additional activities are proposed that might be considered major and their effect significant, this categorical exclusion determination will be reviewed and, if necessary, revised by the Mission Environmental Officer (MEO) with concurrence by the BEO. It is the responsibility of the USAID Contract Officer's Representative (COR)/Agreement Officer's Representative (AOR) to keep the MEO and BEO informed of any new information or changes in the activity that might require revision of this determination.

7. Recommended Determination for Categorical Exclusion:

Approval :	 _____	<u>11/29/2016</u> _____
	Azza El-Abd, Mission Director	Date
Clearance:	 _____	<u>11/25/2016</u> _____
	Ivan Vukojevic, Mission Environmental Officer	Date
Clearance:	 _____	<u>11/25/2016</u> _____
	Milena Jenovai, AOR/COR	Date
Concurrence:	 _____	<u>11/30/2016</u> _____
	Mark Kamiya E&E Bureau Environmental Officer	Date

Distribution:

IEE File
MEO (to also provide a copy to AOR/COR)

Attachment: Climate Risk Screening and Management Tool for Anti-corruption Assessment

Attachment: Climate Risk Screening and Management Tool for Anti-corruption Assessment

Tasks / Interventions	Decision Timeframe	Geography	Key Risks (consider potential impacts due to Temperature, Precipitation & Flooding, Drought, Sea Level Rise & Storm Surge, and Winds & Other Storms)	Risk Rating	Adaptive Capacity	Opportunities and Tradeoffs
<i>Desk Review/Reading studies, reports, analysis, legislations, etc.</i>	December 2016 - January 2017	Serbia	Precipitation	Low	N/A	N/A
			Storm Surge	Low		
			Winds	Low		
			Flooding	Low		
<i>Field Work/Conduct interviews with a wide group of stakeholders: government, oversight institutions, judiciary, civil society, media, and private sector.</i>	January 2017 - February 2017	Serbia	Precipitation	Low	N/A	N/A
			Storm Surge	Low		
			Winds	Low		
			Flooding	Low		
<i>Reporting/Writing a report which should include prioritized recommendations to inform the design of future anti-corruption programming.</i>	February 2017 - March 2017	Serbia	Precipitation	Low	N/A	N/A
			Storm Surge	Low		
			Winds	Low		
			Flooding	Low		