United States Agency for International Development (USAID)
USAID/CAUCASUS
Initial Environmental Examination (IEE)

Program/Activity/Activity Data:

<table>
<thead>
<tr>
<th>Activity/Activity Name:</th>
<th>All projects and activities under DO 1: Democratic checks and balances and accountable governance enhanced</th>
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<td>Development Objective:</td>
<td>DO 1: Democratic checks and balances and accountable governance enhanced</td>
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<td>Program Area:</td>
<td>DO 1: Democratic checks and balances and accountable governance enhanced</td>
</tr>
<tr>
<td>Country(ies) and/or Operating Unit:</td>
<td>Georgia</td>
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<tr>
<td>Originating Office:</td>
<td>Democracy and Governance</td>
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<tr>
<td>Date:</td>
<td>01/17/2014</td>
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<tr>
<td>PAD Level IEE:</td>
<td>Yes</td>
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<tr>
<td>RCE/IEE Amendment:</td>
<td>Yes</td>
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<tr>
<td>Supplemental IEE:</td>
<td>Yes</td>
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<tr>
<td>If Yes, Purpose of Amendment:</td>
<td></td>
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<tr>
<td>DCN of Original RCE/IEE:</td>
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<td>DCN of Amendment(s):</td>
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<td>Implementation Start/End:</td>
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<td>Funding Amount:</td>
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<td>Contract/Award Number (if known):</td>
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<td>IEE Expiration Date (if any):</td>
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<td>Reporting due dates (if any):</td>
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<td>Categorical Exclusion:</td>
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<td>Positive Determination:</td>
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<td>Conditions:</td>
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<td>Government to Government:</td>
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<td>Local Procurement:</td>
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<td>Donor Co-Funded:</td>
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1. BACKGROUND AND Project Description

1.1 Purpose and Scope of IEE

Purpose of this document is to present USAID/Caucasus’ initial review of projects and activities under DO 1 “Democratic checks and balances and accountable governance enhanced” for potential effects on the environment. It analyzes the potential impacts of the activities described in the three DO 1 Project Appraisal Documents (PAD), which are mainly technical assistance and small grants. For the activities that do not have the potential to adversely affect the environment, USAID/Caucasus requests a categorical exclusion.

However, the project also may entail office rehabilitation activities for Centers for Civic Engagement (CCEs) and similar activities. For these, environmental review checklists (ERC) will be prepared and environmental...
mitigation and monitoring plans (EMMPs) will be developed to ensure that rehabilitation work does not have an adverse impact on the environment and human health.

In addition, if and when new information becomes available that indicates that activities under DO 1 “Democratic checks and balances and accountable governance enhanced” might be considered major and their effect significant, or if additional activities are proposed that might be considered major and their adverse effect significant, the determination in this IEE will be reviewed by the Mission in a Supplemental IEE for concurrence by the BEO and may have a different recommended determination.

2. Program Objectives

The request for categorical exclusion covers the three Project Appraisal Documents (PAD) under Development Objective 1.

The PAD for “More Transparent and Accountable Governance” includes the following intermediate results and sub-intermediate results from the Mission’s CDCS:

- 1.1 A more informed and engaged citizenry
- 1.2.3 Capacity, openness and independence of legislature increased
- 1.4 Transparent, responsive and effective governance and service delivery

The purpose of the project is to enhance democratic checks and balances and accountable governance. It will do this by improving transparent and accountable governance at the national and local levels, including by expanding civic participation and increasing the effectiveness of governing institutions, systems and processes.

Activities will center on the provision of technical assistance to national and local government bodies to implement reforms, develop laws and policies, and provide oversight, as well as to civil society and media actors. While more specific activities are still to be determined, the USAID/Caucasus anticipates that the project will include mostly technical assistance and possibly small grants. Examples of small grants to local organizations might include media content production, civil society advocacy campaigns, and policy research and analysis by think tanks. USAID/Caucasus does not anticipate directly funding policy or legislation development that will have an impact on the environment. However, small grants to local organizations advocating for improved environmental laws, policies and practices in Georgia may be included as part of the project.

The project will provide continued operation of the existing Media Education Center (MEC), as well as the national network of Centers for Civic Engagement (CCEs). CCEs are politically neutral spaces where civil society actors, political parties, and local governments can engage in constructive dialogue. In the case existing CCEs require relocation, or in the case CCEs are established in additional cities, it may be necessary to renovate existing buildings. Renovations would likely include cleaning, painting, and possibly some electrical and plumbing work.

The PAD for “Strengthening Georgia’s Political Processes” includes the following intermediate result from the Mission’s CDCS:

- 1.2 Political and electoral processes are more competitive, deliberative and transparent

The purpose of the project is to strengthen Georgia’s democratic political processes by elevating political parties to fulfill their proper role in a democracy, improving government capacity to oversee free and fair elections, and facilitating discussion and movement towards consensus on urgently needed electoral and political process reforms.

Activities will center on the provision of technical assistance to political parties, parliamentary factions, women, youth, and minority candidates in elections, the Central Elections Commission, and agencies responsible for managing campaign financing compliance, as well as support for domestic and international elections.
observation groups and civic education campaigns to increase understanding of and participation in political processes.

Specific activities are still to be determined, but USAID/Caucasus anticipates that the project will include mostly technical assistance and possibly small grants. Examples of small grants to local organizations might include domestic observation of elections in minority regions and publication of elections-related materials in minority languages, as well as the hosting of fora for political debates.

The PAD for “Independent and Professional Application of the Rule of Law that Ensures Due Process and Effective Protection of Human Rights” includes the following intermediate result from the Mission’s CDCS:

- 1.3 Independent, consistent and professional application of the rule of law.

The purpose of the anticipated project is to advance the application of due process and human rights in the rule of law sector, including through improving the legal and regulatory framework, improving the governance of related institutions and improving the capacity and standards of legal professionals.

Activities and specific assistance areas are still to be determined, but USAID/Caucasus anticipates that the project will include mostly technical assistance and possibly small grants. Activities will center on the provision of technical assistance to legal professionals and local organizations working on rule of law issues and reforms, as well as improvement of management systems and structures within judicial and other rule of law institutions. Examples of small grants to local organizations might include the organizations of conferences and mock trials, research on the impact of judicial reforms and civil society advocacy and monitoring campaigns. USAID/Caucasus does not anticipate directly funding policy or legislation development that will have an impact on the environment.

2. Baseline Environmental Information – This information will be completed for all supplemental environmental compliance documents, e.g. ER checklists, EMMPs.

3. Analysis of Potential Environmental Impact – This is a DO Level IEE, and all activities have not yet been defined. This information will be providing for all supplemental environmental compliance documents.

4. Recommended Environmental Actions

   Recommended Mitigation Measures

   This is a DO Level IEE, and all activities have not yet been defined. This information will be providing for all supplemental environmental compliance documents.

Recommended Environmental Determination:

   Categorical Exclusions:
   A categorical exclusion is recommended for the following identified activities under 22 CFR 216.2(c)(2):

   - Under §216.2(c)(2)(i) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.);
   - Under §216.2(c)(2) (iii) Analyses, studies, academic or research workshops and meetings;

   Negative Determination with Conditions:

   - Under §216.3(a)(2)(iii), a negative determination with conditions is recommended for some activities in the “More Transparent and Accountable Governance “ PAD. Specific terms and conditions are presented below in Section 4.3.

4. Terms and Conditions:
4.3.1 Prior to initiating activities that have the potential to result in significant adverse environmental, health, and safety impact, the Implementing Partner (IP) shall prepare EMMP(s) in the format provided in the Annex 1 of this IEE. The COR/AOR, MEO, and BEO shall approve the EMMP(s) prior to implementation. For each site-specific activity, the EMMP attached to this IEE, or (the revised version, if appropriate) shall be attached to the signed Certification of No Adverse or Significant Effects on the Environment (See IEE Annex 2) and sent by the implementer to the COR/AOR for his or her records and copied to the Mission Environmental Officer (MEO) and Europe and Eurasia Bureau Environmental Officer (BEO). After the IP has finalized its activities at a specific site, the IP shall sign a Record of Compliance with the EMMP (see IEE Annex 3) certifying that the organization met all applicable EMMP conditions and submit it to the COR/AOR. The COR/AOR shall keep the original for the project files and provide a copy to the MEO and BEO.

4.3.2 Changes in activities, and their associated EMMPs shall necessitate amending the IEE or issuing a Memo to the File (depending on extent and potential impact of the changes).

4.2 USAID Monitoring and Reporting

4.2.1 The AOR/COR, with the support of the MEO, is responsible for monitoring compliance of activities by means of desktop reviews and site visits.

4.2.2 If at any time the project is found to be out of compliance with the IEE, the AOR/COR or MEO shall immediately notify the BEO.

4.2.3 A summary report of the Mission’s compliance relative to this IEE shall be sent to the BEO on an annual basis, normally in connection with preparation of the Mission’s annual environmental compliance report required under ADS 203.3.8.5 and 204.3.3.

4.2.4 The BEO or his/her designated representative may conduct site visits or request additional information for compliance monitoring purposes to ensure compliance with this IEE, as necessary.

4.3 Implementing Partner (IP) Monitoring and Reporting

4.4.1 If an individual activity is found to pose significant adverse environmental effects that have not been identified and addressed in the attached EMMP(s), or EMMPs that were subsequently approved for the project, new EMMPs shall be developed to include environmental safeguards for such effects.

4.4.2 IPs shall report on environmental compliance requirements as part of their routine project reporting to USAID.

5. Mandatory Inclusion of Requirements in Solicitations, Awards, Budgets and Workplans

5.1 Appropriate environmental compliance language, including limitations defined in Section 6, shall be incorporated into solicitations and awards for this activity and projects budgets shall provide for adequate funding and human resources to comply with requirements of this IEE.

5.2 Solicitations shall include Statements of Work with task(s) for meeting environmental compliance requirements and appropriate evaluation criteria.

5.3 Environmental mitigation and monitoring requirements, when available, shall also be included in solicitations and awards.

5.4 The IP shall ensure annual work plans do not prescribe activities that are defined as limitations, as defined in Section 6.

5.5 The USAID Mission will include an indicator for environmental compliance as part of the project’s performance monitoring plan.

6. Limitations of the IEE: This IEE does not cover activities (and therefore should changes in scope implicate any of the issues/activities listed below, a BEO-approved amendment shall be required), that:

6.1 Normally have a significant effect on the environment under §216.2(d)(1) [See http://www.usaid.gov/our_work/environment/compliance/regulations.html]

6.2 Support project preparation, project feasibility studies, engineering design for activities listed in §216.2(d)(1);
6.3 Affect endangered species;
6.4 Result in wetland or biodiversity degradation or loss;
6.5 Support extractive industries (e.g. mining and quarrying);
6.6 Promote timber harvesting;
6.7 Provide support for regulatory permitting;
6.8 Result in privatization of industrial or infrastructure facilities;
6.9 Lead to new construction of buildings or other structures;
6.10 Assist the procurement (including payment in kind, donations, guarantees of credit) or use (including handling, transport, fuel for transport, storage, mixing, loading, application, cleanup of spray equipment, and disposal) of pesticides or activities involving procurement, transport, use, storage, or disposal of toxic materials and/or pesticides (cover all insecticides, fungicides, rodenticides, etc. covered under the Federal Insecticide, Fungicide, and Rodenticide Act); and
6.11 Procure or use genetically modified organisms.

7. **Revisions**
Under §216.3(a)(9), if new information becomes available that indicates that activities covered by the IEE might be considered major and their effect significant, or if additional activities are proposed that might be considered major and their adverse effect significant, this environmental threshold decision will be reviewed and, if necessary, revised by the Mission with concurrence by the BEO. It is the responsibility of the USAID COR/AOR to keep the MEO and BEO informed of any new information or changes in the activity that might require revision of this IEE.

8. **Recommended Environmental Threshold Decision Clearances:**

**USAID APPROVAL OF ENVIRONMENTAL ACTION(S) RECOMMENDED**

<table>
<thead>
<tr>
<th>USAID OFFICER</th>
<th>Date</th>
<th>Approval</th>
</tr>
</thead>
<tbody>
<tr>
<td>David Stonehill, DG Office</td>
<td>01/27/2014</td>
<td>Jan 8, 2014</td>
</tr>
<tr>
<td>Danielle Reiff, Office Director, DG</td>
<td>Jan 21, 2014</td>
<td>Date</td>
</tr>
<tr>
<td>Nick Higgins, Program Officer</td>
<td>Jan 27, 2014</td>
<td>Date</td>
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<tr>
<td>Joel Sandefur, Regional Legal Advisor</td>
<td>Jan 22, 2014</td>
<td>Date</td>
</tr>
<tr>
<td>Mariam Ubilava, Mission Environmental Officer</td>
<td>01/27/2014</td>
<td>Date</td>
</tr>
<tr>
<td>Roy Plucknett, Deputy Mission Director</td>
<td>1-29-2014</td>
<td>Date</td>
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**Approval:**

[Signature]

<table>
<thead>
<tr>
<th>USAID OFFICER</th>
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<tbody>
<tr>
<td>Stephen M. Haykin, Mission Director</td>
<td>2/13/14</td>
</tr>
<tr>
<td>William Gibson, Acting E&amp;E Bureau Environmental Officer</td>
<td>Jan 29, 2014</td>
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**Concurrence:**

[Signature]

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<tbody>
<tr>
<td>William Gibson, Acting E&amp;E Bureau Environmental Officer</td>
<td>Jan 29, 2014</td>
</tr>
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</table>

**Distribution:**

[Signature]
IEE File
Mission Environmental Officer
COR/AOR File
IEE ANNEX 1 - Environmental Mitigation and Monitoring Plan (EMMP) for [provide name of activity] under DCN: [provide DCN of IEE/EA]
[Several activity-specific examples are available from the BEU]

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<th>Activity</th>
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<th>Mitigation Measure(s)</th>
<th>Monitoring Indicator(s)</th>
<th>Monitoring and Reporting Frequency</th>
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Prepared by: _______________________________ Date: __________________

Cleared by: _______________________________ Date: __________________

Approved by: _______________________________ Date: __________________
IEE ANNEX 2
Certification of No Adverse or Significant Effects on the Environment
[Template]

The undersigned certifies that all foreseeable significant adverse effects on the environment have been adequately and effectively eliminated or mitigated by the attached Environmental Mitigation and Monitoring Plans (EMMPs) to be implemented at [specify site, activity number, DCN]. If new adverse effects or the need for new or improved mitigation measures are identified, I will immediately notify the USAID activity manager/COR/AOR.

[Name], Implementer Project Director/COP: _______________________
Date: __________________

Received by [Name], COR/AOR/Activity Manager: _______________________
Date: __________________
IEE ANNEX 3
Record of Compliance with Environmental Mitigation and Monitoring Plans (EMMPs)
[Template]

Subject: [Site Name/Primary Project Name/IEE DCN Number]
To: [Name], COR/AOR/Activity Manager
Copy: [Name], Mission Environmental Office
Date: 

The [name of the implementing organization] has finalized its activities at the [site name/activity number] to [describe activities that were undertaken]. This memorandum is to certify that our organization has met all conditions of the EMMP for this site activity. A summary of the how mitigation and monitoring requirements were met is provided below.

1. Mobilization and Site Preparation
2. Site Activity Implementation Phase
3. Site Closure Phase
4. Site Activity Handover

Sincerely,

______________________
[Name], Chief of Party
[Name of Implementing Partner Organization]

Approved:

______________________
[Name], AOR/COR/Activity Manager Date

Copy to:
MEO
Bureau Environmental Officer