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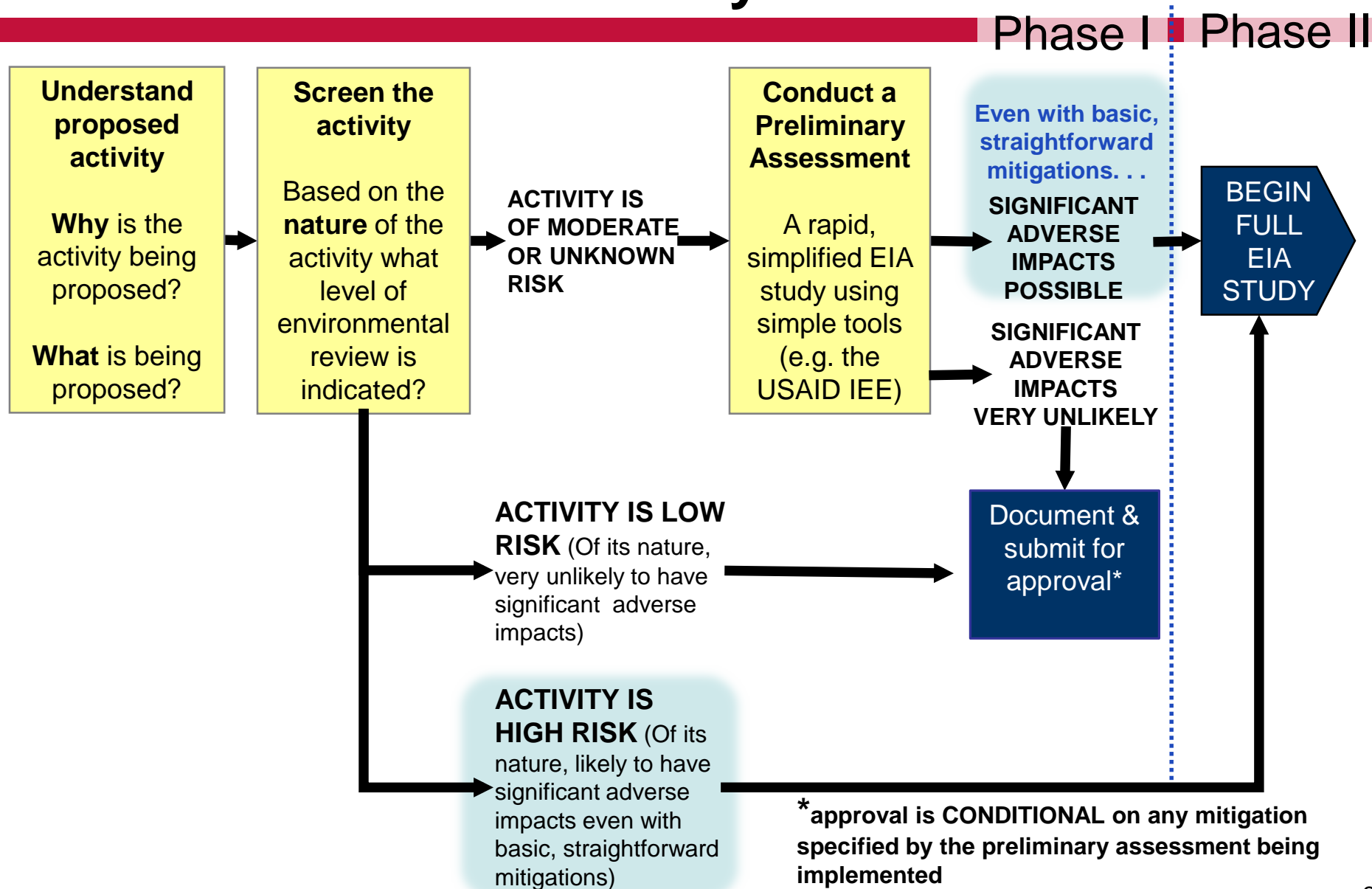


Session 8: Scoping, Environmental Assessments & Programmatic Env Assessments

(full EIA Studies under Reg. 216)

EIA Process Review:

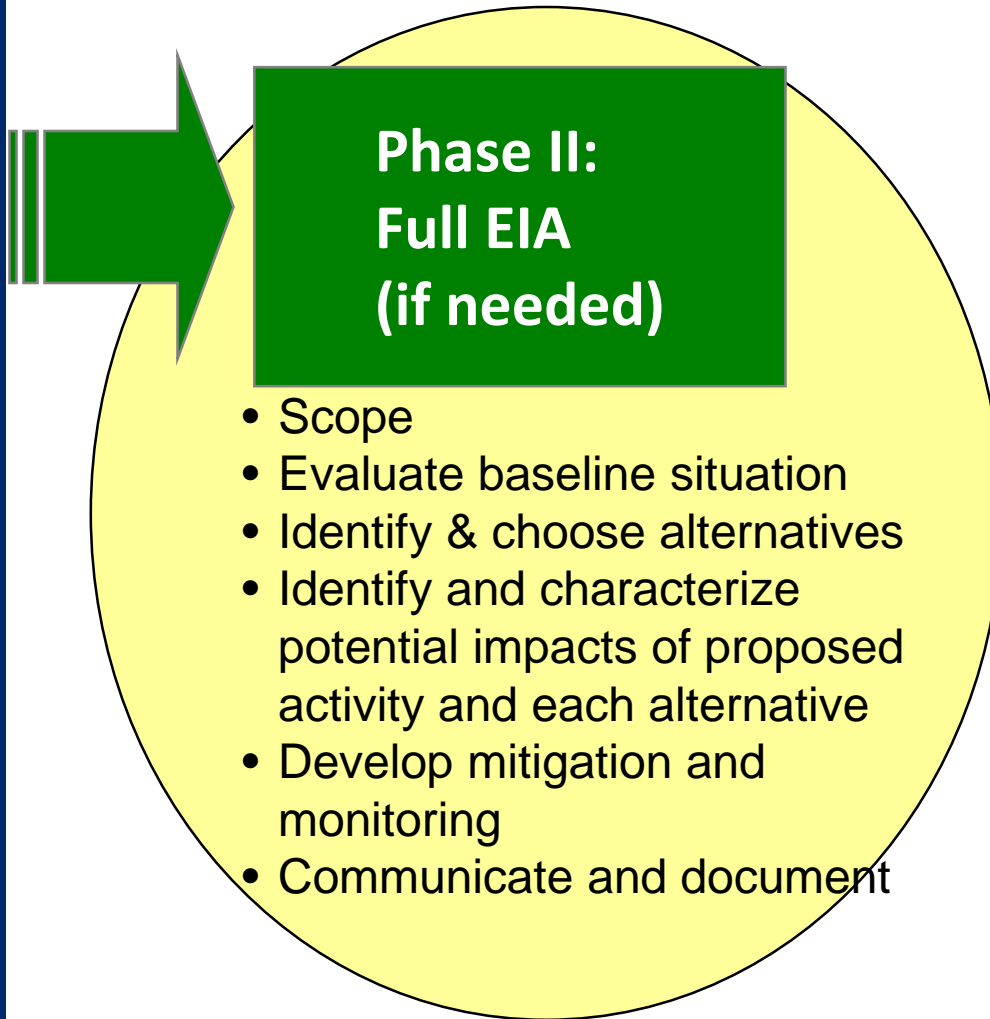
2 Routes to a full EIA study





Review:

Phase I leads to a full EIA Study when. . .



1 When a preliminary assessment indicates that significant adverse impacts are possible

2 When screening indicates an activity is high risk*

*But in most cases we still recommend doing a preliminary assessment!



Review:

What is clearly “high risk” per Reg 216 screening criteria*?

EA DEFINITELY REQUIRED	NOT CLEAR—proceed to IEE
New 500Ha irrigation scheme	Rehabilitation of 50Ha irrigation scheme
Major expansion of a 100MW thermal power plant & construction of new transmission lines	Mini-hydro installations of 500 kw total
Widening 30km of a 2-lane road to 6-lane tollway thru an urban area	Rehabilitation of multiple short segments of rural feeder road

Sections 118 & 119 of the Foreign Assistance Act REQUIRE an EA for . .

Activities involving procurement or use of logging equipment

Activities with the potential to significantly degrade national parks or similar protected areas or introduce exotic plants or animals into such areas

*“Classes of actions . . . determined generally to have a significant impact on the environment”
(22 CFR 216.2(d))



Review: the IEE = USAID's "Preliminary Assessment"

An approved IEE = an approved determination for each activity covered

	Meaning
NEGATIVE DETERMINATION	Significant adverse environmental impacts very unlikely
NEGATIVE DETERMINATION WITH CONDITIONS	With specified mitigation and monitoring, significant adverse environmental impacts very unlikely
POSITIVE DETERMINATION	Significant adverse environmental impacts are possible
DEFERRAL	Not enough information to evaluate impacts

A **positive determination** triggers a full EIA

IMPACTS NEED NOT BE DIRECT.

SIGNIFICANT ADVERSE INDIRECT OR CUMULATIVE IMPACTS WILL TRIGGER A PD.

Under host country procedures, what activities typically require an EA?

- ❖ Larger-scale infrastructure, e.g. water treatment facilities, dams, power plants and transmission lines; pipelines, roads, landfills, etc.
- ❖ Other large scale programs with significant total biophysical impact, e.g., large agricultural programs; extensive use of pesticides in public health
- ❖ Activities resulting in significant withdrawals from fresh water bodies or aquifers
- ❖ Construction or land conversion in protected areas, wetlands, critical habitat.





USAID: Reg. 216 specifies 3 types of full EIAs:

The Environmental Assessment (EA)

Used to assess a single, specific project or action, e.g.

- a single dam or irrigation project
- a gas or oil pipeline

Programmatic Environmental Assessment (PEA)*

Used to assess a **class of similar actions**, e.g.,

- Multi-country IRS programs
- Water or sanitation interventions to be replicated in a larger number of locations

Environmental Impact Statement

For activities affecting the US environment or the global commons.

(Very Rare)

Reg 216 does not discuss the content of the PEA in detail. However, the regulation states:

“To the extent practicable, the form and content of the PEA will be the same as for EAs.”

*The term in Reg. 216 is “Program Assessment”

How is an EA different than an IEE?

The EA has very similar objectives and structure to an IEE.

However, the EA differs in important ways:



**includes the project as proposed, the no-action alternative at least one other real alternative*



A formal **scoping process** precedes the EA to **ID issues to be addressed**



Analysis of environmental impacts is much **more detailed**



Alternatives* must be formally defined. The **impacts** of each alternative must be identified & evaluated, and the results compared.

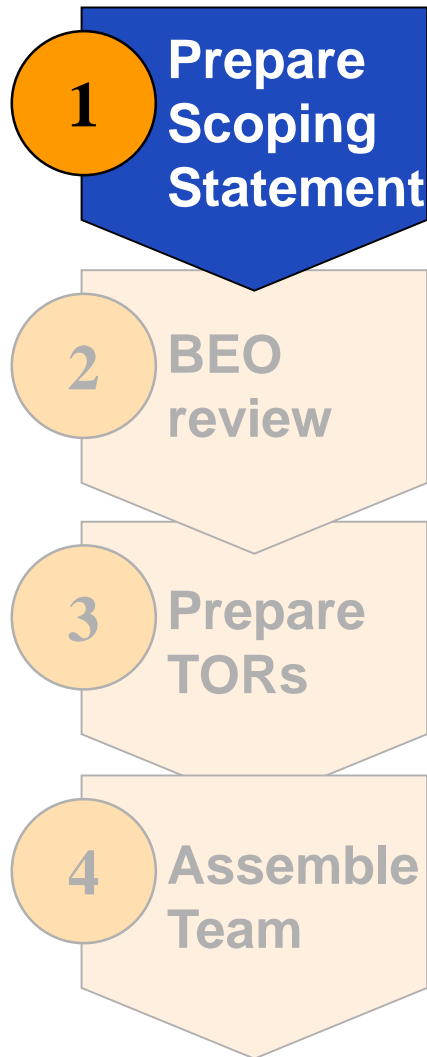


Consultation with the host country is required (216.6(e)).

A **professional EIA team** is usually required.



First step in preparing an EA: Scoping



Scoping determines the significant issues, **physical and time boundaries, associated facilities and alternatives to be assessed by the EA.**

The deliverable for the scoping process is the **scoping statement.**

Per 22 CFR 216.3(a)(4), the statement includes:

- ♦ Scope and significance of issues to be analyzed--includes social impacts.
- ♦ Issues that do not need to be addressed
- ♦ Schedule and format of EA, expertise needed

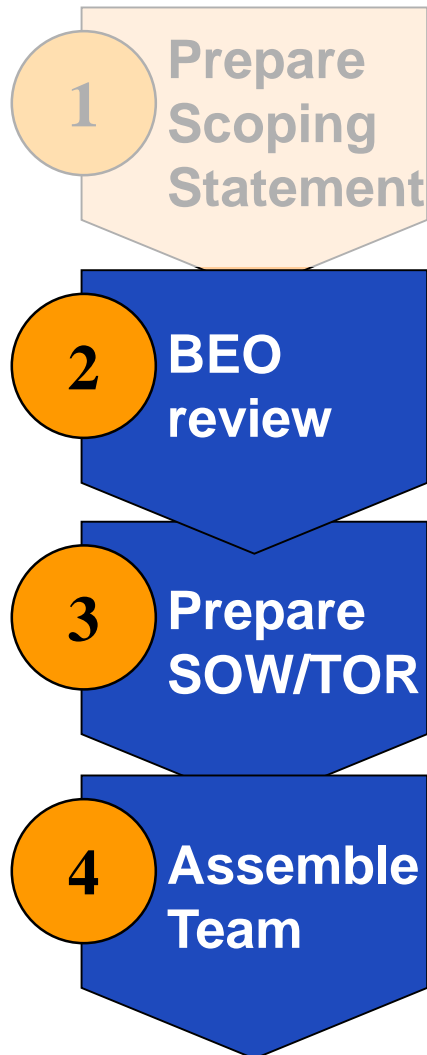
IF AN IEE HAS BEEN PREPARED, IT IS A KEY INPUT TO THE SCOPING PROCESS.



Public consultation is not required by Reg. 216. However, good practice & most host countries require it during scoping.



First steps in preparing an EA



The scoping statement must be approved by the BEO.

STRONGLY RECOMMENDED:

Consult with the REA or BEO before beginning the Scoping process.

Terms of Reference for the EIA team are based on the types of issues and analysis required by the scoping statement

Assemble a team based on the TORs.

Frequently requires contracting with one or more experts, or an EIA consulting firm.



The EA outline



Reg. 216 specifies that an EA contains:

- 1. Summary*
 - 2. Purpose*
 - 3. Comparison of alternatives***
 - 4. Affected Environment*
 - 5. Environmental Consequences*
 - 6. List of Preparers and appendices*
- Appendices (as indicated)*

* 22CRR 216.6.

** Reg. 216 uses the term:
“Alternatives Including the Proposed Action”

Section contents

Summary

Major conclusions
Areas of controversy
Issues still to be resolved.

Purpose

Describes the **development need** or **objective** that the proposed actions (and its alternatives) are intended to address

Comparison of alternatives

Affected Environment

Environmental Consequences

List of Preparers





Section contents

Summary

Purpose

**Comparison of
alternatives**

Affected
Environment

Environmental
Consequences

List of
Preparers

Present the alternatives considered

- Includes the no action alternative
- Explain why certain alternatives were not considered

 **ALTERNATIVES MUST BE MEANINGFUL**

Compare the environmental impacts of these alternatives

- Summary of the analysis presented in “environmental consequences”
- Include mitigation actions

Identify the preferred alternative



Section contents

Summary

Purpose

Comparison of
alternatives

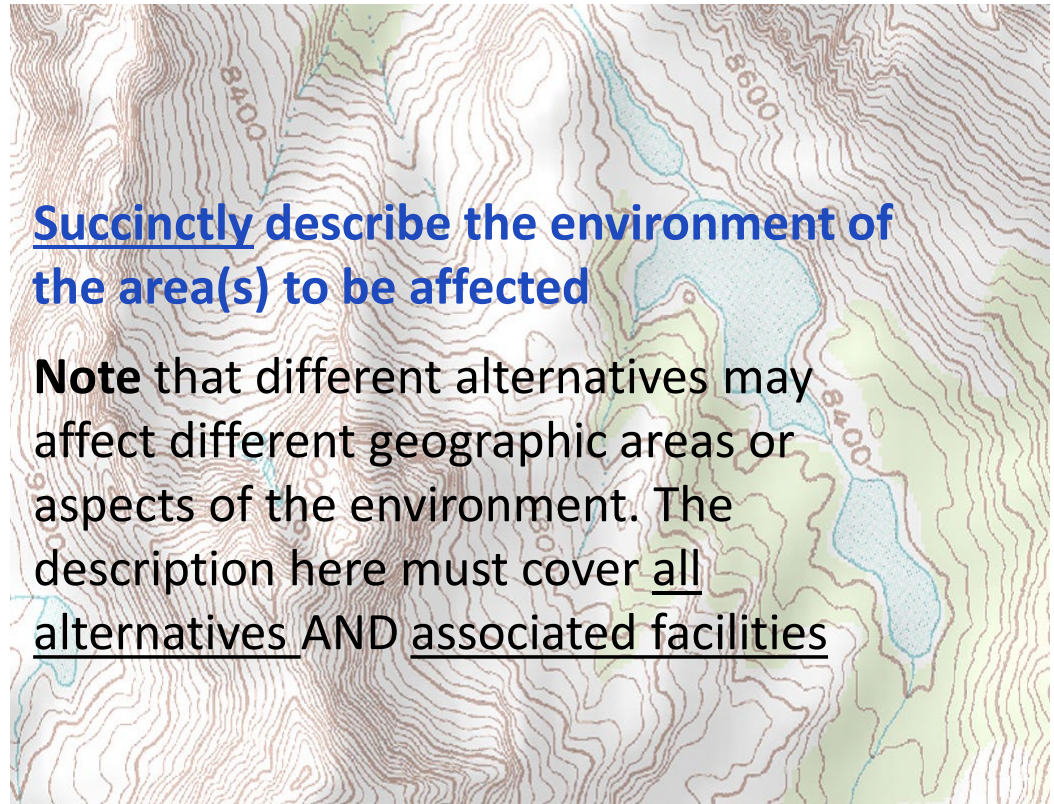
**Affected
Environment**

Environmental
Consequences

List of
Preparers

Succinctly describe the environment of the area(s) to be affected

Note that different alternatives may affect different geographic areas or aspects of the environment. The description here must cover all alternatives AND associated facilities





Section contents

Summary

Purpose

Comparison of
alternatives

Affected
Environment

**Environmental
Consequences**

List of
Preparers

Presents the environmental impacts of each alternative

Includes the proposed action and the no action alternative

Should include*

- Any adverse effects and their significance (including those that cannot be avoided)
- Relationship between short-term uses of the environment and maintenance/enhancement of long-term productivity
- Conflicts with other policies, plans or controls for the areas under consideration
- Recommended mitigation measures

* See 216.6.(c)(5) for full list



REMEMBER:
**WHEN ASSESSING IMPACTS,
TOO MUCH INFORMATION
IS AS BAD AS NOT ENOUGH**



**Provide the most detailed
analysis for the more
significant impacts.**

**Summarize or reference for
lesser impacts**

** See 216.6.(c)(4)*

Annexes can be
useful in
organizing the
EA so that only
the most critical
information for
decision-making
is in the body of
the EA

Coordination with host country procedures

1

The large majority of host countries now have EIA policies and procedures

&

2

Most projects that require an EA under Reg. 216 will also require a full EIA under host country procedures

Implications:

- *Make one document to satisfy both USAID & host country procedures*
- *Will require discussions in the scoping process with host country EIA regulatory agency.*

Note: Reg. 216 *REQUIRES* collaboration with host country “to the maximum extent possible” in developing EAs.



Gaps in the Reg. 216 EA requirements

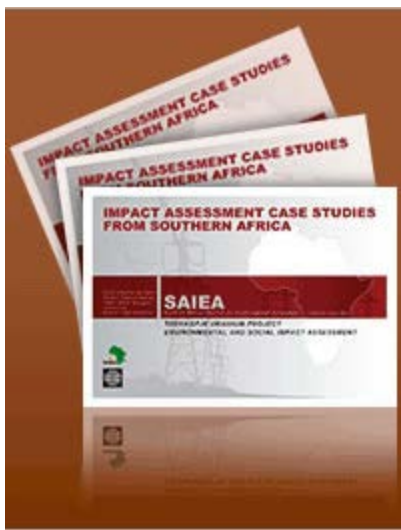
- ❖ Reg. 216 does not
 - *Require public consultation*
 - *Clearly require an EMMP*

! However, both are essential to make the EA effective—and usually required by host country procedures.



www.saiea.com

Timing, Procuring & Overseeing EAs



“Good News” EA Case Studies:
Illustrations of the Value of EA in Development

[www.saiea.com/
Case_study_book_09.htm](http://www.saiea.com/Case_study_book_09.htm)

NEED should be identified **NLT PAD stage & funds set aside**

Procurement options:

- Undertake scoping internally, and
 - *Engage independent contractor for EA; or*
 - *Include EA in IP's SOW*
- Engage independent contractor for scoping and EA
- Include Scoping + EA in IP's SOW (but has drawbacks)

Note: GEMS can provide sample SOWs

BE AWARE

EAs can lead to abandonment or redesign of the “preferred alternative” – **therefore best to do BEFORE the project RFP is issued**

2-phase budgeting is required: the SOW for the EA is determined by the scoping process/statement

Activities to be covered by the EA cannot be implemented until EA is completed and approved.

Like all 22 CFR 216 documents, team leader has responsibility for EA completion & approval (activity manager or COR/AOR if assigned)

USAID takes full ownership for EAs once signed: **they are USAID documents, not the contractor's.**

EAs also submitted to host countries authorities: firm registration; substantial involvement in EA by a local firm often required.

