# Request for Categorical Exclusion TEMPLATE INSTRUCTIONS

**(These are template instructions; please delete this page as you finalize this document).**

**Background:**

This standardized template is part of a broader initiative to harmonize application of 22 CFR 216 across USAID. It also serves as an important step towards moving to an online Environmental Compliance System (ECS) which will be integrated with the Development Information System (DIS).

**This template is used for:**

1. This template is to be used only for projects/activities for which all elements are eligible for categorical exclusions as well as amendments to existing RCEs with changes to scope. All project/activity elements must fall entirely under one or more of the eligible categorical exclusions per 22 CFR 216(c)(2)(i) – (xv).
2. Amendments to projects and activities impacting the scope or scale of activities.

**How to use this template:**

1. The first page is standard metadata utilized in the ECD and planned DIS system, please do not alter the fields. Enter as much of the information as is known at the time of drafting.
2. **On subsequent pages, there are embedded (screen tips) instructions to assist the writer.** To see the instructions, hover over the red underlined text. The embedded instructions are intended to streamline the paper template and to simulate the online system. Please ignore reference to “Control+Click to follow link” within the screen tips.
3. All **headings and existing text** are standard. Please refrain for editing.
4. **Yellow highlighted text** may be updated and/or deleted as appropriate. Please remove all yellow highlighting as you finalize the document.
5. **Be sure no PII information is contained within the document** prior to submitting for BEO approval.
6. **Delete this page as you finalize this document**.

Reminder: Mission Environmental Officers, Regional Environmental Officers, and Bureau Environmental Officers are resources for USAID staff developing projects and compliance documents. Please engage them early and often. Additional guidance and help is also available at <https://www.usaid.gov/environmental-procedures>.

USAID’s [Environmental Compliance Database](http://gemini.info.usaid.gov/egat/envcomp/) of approved 22 CFR 216 documentation provides examples of approved RCEs and other environmental compliance documents, which may assist with language for similar projects.

Revision Date: March 2019

Version: 3.1

Responsible Office: E3/AA

File Name: Template\_RCE

REQUEST FOR CATEGORICAL EXCLUSION

## Project/Activity Data

|  |  |
| --- | --- |
| **Project/Activity Name:** |  |
| **Geographic Location(s)** (Country/Region)**:** |  |
| **Amendment** (Yes/No), if Yes indicate # (1, 2...): |  |
| **Implementation Start/End Dates** (FY or M/D/Y): |  |
|  **If Amended, specify New End Date:** |  |
| **Solicitation/Contract/Award Number(s):** |  |
| **Implementing Partner(s):** |  |
| **Bureau Tracking ID:**  |  |
| **Tracking ID of Related RCE/IEE** (if any)**:**  |  |
| **Tracking ID of Other, Related Analyses:** |  |

## Organizational/Administrative Data

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| **Implementing Operating Unit(s):** (e.g. Mission or Bureau or Office) |  |
|  **Other Affected Operating Unit(s):** |  |
|  **Lead BEO Bureau:** |  |
| **Funding Operating Unit(s):** (e.g. Mission or Bureau or Office) |  |
| **Funding Account(s)** (if available)**:** |  |
| **Original Funding Amount:** |  |
|  **If Amended, specify funding amount:**  |  |
|  **If Amended, specify new funding total:** |  |
| **Prepared by:** |  |
| **Date Prepared:** |  |

## Environmental Compliance Review Data

|  |  |
| --- | --- |
| **Analysis Type:** | [ ] Request for Categorical Exclusion [ ] Deferral  |
| **Environmental Determination(s):** | [ ] Categorical Exclusion(s)[ ] Deferred (per 22 CFR 216.3(a)(7)(iv)) |
| [**RCE Expiration Date (if applicable)**](file:///C%3A%5CUsers%5Cjploetz%5CDesktop%5CCCG_Global_Development%5CGEMS%20II%5CTEMPLATES%5Ctemplateedits%5CEC_Template_IEE_v4.0_Feb2019.docx)**:** |  |
| [**Additional Analyses/Reporting Required**](file:///C%3A%5CUsers%5Cjploetz%5CDesktop%5CCCG_Global_Development%5CGEMS%20II%5CTEMPLATES%5Ctemplateedits%5CEC_Template_IEE_v4.0_Feb2019.docx)**:** |  |
| [**Climate Risks Identified**](file:///C%3A%5CUsers%5Cjploetz%5CDesktop%5CCCG_Global_Development%5CGEMS%20II%5CTEMPLATES%5Ctemplateedits%5CEC_Template_IEE_v4.0_Feb2019.docx) **(#):** | Low \_\_\_#\_\_\_ Moderate \_\_\_#\_\_\_ High \_\_\_#\_\_\_ |
| [**Climate Risks Addressed**](file:///C%3A%5CUsers%5Cjploetz%5CDesktop%5CCCG_Global_Development%5CGEMS%20II%5CTEMPLATES%5Ctemplateedits%5CEC_Template_IEE_v4.0_Feb2019.docx) **(#):** | Low \_\_\_#\_\_\_ Moderate \_\_\_#\_\_\_ High \_\_\_#\_\_\_ |

# THRESHOLD DETERMINATION AND SUMMARY OF FINDINGS

### [PROJECT/ACTIVITY SUMMARY](#_PROJECT/ACTIVITY_SUMMARY" \o "Provide a brief summary of the project/activity. Concisely describe how this IEE relates to any other RCEs/IEEs/EAs that cover this activity area for the mission or operating unit.)

# [ENVIRONMENTAL DETERMINATIONS](#Determination" \o "Provide a summary of the environmental determinations applicable to the specific projects/activities. As this section is a summary, complete this after the IEE.)

Upon approval of this document, the determinations become affirmed, per Agency regulations (22 CFR 216).

## [TABLE 1](#Table1" \o "The following table summarizes the environmental determinations applicable to the specific projects/activities. Complete this after the RCE; data can be puled from Section 3.): ENVIRONMENTAL DETERMINATIONS

|  |  |  |
| --- | --- | --- |
| **Projects/Activities** | **Categorical Exclusion Citation (if applicable)** | **Deferral[[1]](#footnote-1)**  |
| Project/Activity 1: Title |  | [ ]  |
| Sub-activity 1.1: Title |  | [ ]  |
| Project/Activity 2: Title |  | [ ]  |
| Sub-activity 2.1: Title |  | [ ]  |
| [*Add rows as needed*] |  | [ ]  |

### [CLIMATE RISK MANAGEMENT](#CRM" \o "Provide a very brief summary of the CRM results from Section 4.2. )

### [BEO SPECIFIED CONDITIONS OF APPROVAL](#_BEO_SPECIFIED_CONDITIONS)

### IMPLEMENTATION

In accordance with 22 CFR 216 and Agency policy, the conditions and requirements of this document become mandatory upon approval. This includes the relevant limitations, conditions and requirements in this document as stated in Section 3 of this RCE and any BEO Specified Conditions of Approval.

# [USAID APPROVAL OF INITIAL ENVIRONMENTAL EXAMINATION](#Approval" \o "At a minimum include the noted required signatures. Concurrence by multiple BEOs required for mixed funding steams and geographic responsibilities. Add/Delete other signatures as necessary. Delete unused signature lines.)

**PROJECT/ACTIVITY NAME:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

[**Bureau Tracking ID**](#_USAID_APPROVAL_OF)**:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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| **Approval:** |  |  |  |
|  | [NAME], Mission Director or Washington DC Equivalent [*required*] |  | Date |
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|  | [NAME], Activity Manager [*as appropriate*] |  | Date |
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|  | [NAME], A/COR [*required*] |  | Date |
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|  | [NAME], Mission Environmental Officer [*as appropriate*] |  | Date |
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|  | [NAME], Regional Environmental Advisor [*as appropriate*] |  | Date |
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|  | [NAME], Regional Legal Officer [*as appropriate*] |  | Date |
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|  | [NAME], Climate Integration Lead [*as appropriate*] |  | Date |
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| **Concurrence:** |  |  |  |
|  | [NAME], \_\_\_\_\_\_\_\_ Bureau Environmental Officer [*required*] |  | Date |
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| **Concurrence:** |  |  |  |
|  | [NAME], \_\_\_\_\_\_\_\_ Bureau Environmental Officer [*other BEOs required for cross Bureau funding or geographic responsibilities*] |  | Date |

[**DISTRIBUTION**](#Approval)**:**

# 1.0 PROJECT AND ACTIVITY DESCRIPTION

### [1.1 PURPOSE OF the RCE](#Purpose" \o "This section explains the purpose of the RCE. Update standard language with project/activity specifics. If the purpose is to amend a previous RCE, briefly state what is changing. Briefly describe how this RCE relates to any other environmental analyses.)

The purpose of this document is to establish that all proposed projects/activities belong to classes of actions eligible for Categorical Exclusions as set out in Agency regulations (22 CFR 216.2(c)) and that there are no foreseeable significant direct or indirect impacts that would preclude them from receiving a Categorical Exclusion. Upon approval of this document, the Categorical Exclusions are affirmed for the project/activity. This analysis also documents the results of the project/activity level Climate Risk Management process in accordance with USAID policy (specifically, ADS 201 mandatory reference 201mal).

This RCE is a critical element of USAID’s mandatory environmental review and compliance process meant to achieve environmentally sound activity design and implementation.

### [1.2 PROJECT/ACTIVITY OVERVIEW](#Overview" \o "In this section provide a brief overview of the project/activity. This section typically can be derived from the Project Design Plan (PDP), Project Approval Document (PAD) or Activity Approval Document (AAD).)

### [1.3 PROJECT/ACTIVITY DESCRIPTION](#Description" \o "Describe components and sub-activities in enough detail to determine if they are eligible for a CE or if direct or indirect impacts are reasonably foreseeable. Activities must be described in a way that is meaningful to environmental analysis.)

## [TABLE 2](#Table2" \o "This is a standard table, please use this table unless instructed otherwise by your BEO): DEFINED OR ILLUSTRATIVE PROJECTS/ACTIVITIES AND SUB-ACTIVITIES

|  |
| --- |
| **Project/Activity 1 — [Title]** |
| Sub-activity 1.1 |
| 1.2 |
| 1.3 |
| **Project/Activity 2 — [Title]** |
| Sub-activity 2.1 |
| 2.2 |
| 2.3 |

# 2.0 ENVIRONMENTAL ANALYSIS

### 2.1 JUSTIFICATION FOR CATEGORICAL EXCLUSION

The activities under the [insert project/activity name] are among the classes of actions listed in 22 CFR 216.2(c)(2) and have no foreseeable significant direct or indirect adverse effect on the environment. Therefore, under 22 CFR 216.2(c)(1), neither an IEE nor an EA will be required for these activities. Instead, a Categorical Exclusion is recommended for the projects/activities described above in Section 1.3 as follows:

## [TABLE 3](#Table3" \o "Include only the CE Determinations that apply - delete the others.): RECOMMENDED DETERMINATION FOR CATEGORICAL EXCLUSION

|  |  |
| --- | --- |
| **Project/Activity and Sub-Activity #** | **Recommended Determination for Categorical Exclusion** |
|  | §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.) |
|  | §216.2(c)(2)(ii) Controlled experimentation exclusively for the purpose of research and field evaluation which are confined to small areas and carefully monitored |
|  | §216.2(c)(2)(iii) Analyses, studies, academic or research workshops and meetings |
|  | §216.2(c)(iv) Projects in which USAID is a minor donor to a multi-donor project and there is no potential significant effects upon the environment of the United States, areas outside any nation's jurisdiction or endangered or threatened species or their critical habitat |
|  | §216.2(c)(2)(v) Document and information transfers |
|  | §216.2(c)(2)(vi) Contributions to international, regional or national organizations by the United States which are not for the purpose of carrying out a specifically identifiable project or projects |
|  | §216.2(c)(2)(vii) Institution building grants to research and educational institutions in the United States such as those provided for under section 122(d) and Title XII of Chapter 2 of Part I of the FAA (22 USCA §§2151 p. (b) 2220a. (1979)) |
|  | §216.2(c)(2)(viii) Programs involving nutrition, health care or population and family planning services except to the extent designed to include activities directly affecting the environment (such as construction of facilities, water supply systems, waste water treatment, etc.) |
|  | §216.2(c)(2)(ix) Assistance provided under a Commodity Import Program when, prior to approval, USAID does not have knowledge of the specific commodities to be financed and when the objective in furnishing such assistance requires neither knowledge, at the time the assistance is authorized, nor control, during implementation, of the commodities or their use in the partner country |
|  | §216.2(c)(2)(ix) Assistance provided under a Commodity Import Program when, prior to approval, USAID does not have knowledge of the specific commodities to be financed and when the objective in furnishing such assistance requires neither knowledge, at the time the assistance is authorized, nor control, during implementation, of the commodities or their use in the partner country |
|  | §216.2(c)(2)(x) Support for intermediate credit institutions when the objective is to assist in the capitalization of the institution or part thereof and when such support does not involve reservation of the right to review and approve individual loans made by the institution |
|  | §216.2(c)(2)(xi) Programs of maternal or child feeding conducted under Title II of Pub. L. 480 |
|  | §216.2(c)(2)(xii) Food for development programs conducted by food recipient countries under Title III of Pub. L. 480, when achieving USAID's objectives in such programs does not require knowledge of or control over the details of the specific activities conducted by the foreign country under such program |
|  | §216.2(c)(2)(xiii) Matching, general support and institutional support grants provided to private voluntary organizations (PVOs) to assist in financing programs where USAID's objective in providing such financing does not require knowledge of or control over the details of the specific activities conducted by the PVO |
|  | §216.2(c)(2)(xiv) Studies, projects or programs intended to develop the capability of recipient countries to engage in development planning, except to the extent designed to result in activities directly affecting the environment (such as construction of facilities, etc.) |
|  | §216.2(c)(2)(xv) Activities that involve the application of design criteria or standards developed and approved by USAID |

### [2.2 CLIMATE RISK MANAGEMENT](#CRM2" \o "Include a brief narrative of the risk assessment methodology and a Climate Risk Management Summary based on the GCC CRM Annex attached to this document. )

 This section summarizes the methodology used and findings of the CRM Screening (see Annex 1). The project design team, in consultation with the CIL, considered the potential effect of climate risks/stressors on the sustainability of the project (changing precipitation patterns, rising temperature, floods, droughts, fires, landslides, etc.) in addition to the impact of project activities on the climate (increased greenhouse gas emissions, land use changes, etc.).

# [3.0 LIMITATIONS OF THE CATEGORICAL EXCLUSION](#limitations" \o "These are standard conditions and should be used unless instructed otherwise by your BEO.)

The categorical exclusions recommended in this document apply only to projects/activities and sub-activities described herein.

Other projects/activities that may arise must be subject to an environmental analysis and the appropriate documentation prepared and approved, whether it be a new Request for Categorical Exclusion, an amendment, or other type of 22 CFR 216 document.

It is confirmed that the projects/activities described herein do not involve actions normally having a significant effect on the environment, including those described in 22 CFR 216.2(d).

### 3.1 MANDATORY INCLUSION OF ENVIRONMENTAL COMPLIANCE REQUIREMENTS IN SOLICITATIONS, AWARDS, BUDGETS, AND WORK PLANS

USAID will ensure the environmental compliance requirements are incorporated into solicitations, awards, budgets, and work plans, including relevant limitations of Section 3 above. In addition, climate risk management requirements will also be incorporated.

### [3.2 GENERAL IMPLEMENTATION & MONITORING REQUIREMENTS (IF APPLICABLE)](#general" \o "These are standard requirements and should be used unless not applicable or otherwise instructed to use different requirements by your BEO.)

USAID will ensure that the following requirements are met:

* Provide briefings for Implementing Partner (IP) on environmental compliance responsibilities
* Ensure integration of compliance responsibilities in prime and sub-awards and grant agreements;
* Ensure compliance with applicable partner country requirements
* Annual review of project activities to ensure that scope is still covered by Categorical Exclusion

# [ATTACHMENTS:](#Attachments" \o "Complete appropriate CRM table, one if for projects, the other for activities. Delete the other table. As per the mandatory CRM reference, other tables may be used. List any other attachments used.)

Annex 1: Climate Risk Management Summary Table for Projects (use for project level RCE) or

Annex 1: Climate Risk Management Summary Table for Activity (use for Activity level RCE)

(note: preparers have the option to use the Climate Risk Screening and Management Tool for Projects/Activity Design if they choose).

## Annex 1. Project Climate Risk Management Summary Table

| **Defined or Anticipated Project Elements[[2]](#footnote-2)** | **Climate Risks[[3]](#footnote-3)** | **Risk Rating[[4]](#footnote-4)** | **How Risks are Addressed at Project Leve[[5]](#footnote-5)l** | **Further Analysis and Actions for Activity Design/ Implementation[[6]](#footnote-6)** | **Opportunities to Strengthen Climate Resilience[[7]](#footnote-7)** |
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## Annex 1. Activity Climate Risk Management Summary Table

| **Tasks/Defined or Illustrative Interventions** | **Climate Risks[[8]](#footnote-8)** | **Risk Rating[[9]](#footnote-9)** | **How Risks are Addressed[[10]](#footnote-10)**  | **Opportunities to Strengthen Climate Resilience[[11]](#footnote-11)** |
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1. Deferrals must be cleared through an Amendment to this RCE prior to implementation of any deferred activities. [↑](#footnote-ref-1)
2. Purpose/Sub-purpose, Area of Focus, or Activity/ Mechanism, etc. [↑](#footnote-ref-2)
3. List key risks related to the project elements identified through either the strategy- or project-level climate risk assessment. [↑](#footnote-ref-3)
4. Low/Moderate/ High [↑](#footnote-ref-4)
5. Describe how risks have been addressed at the project level. If a decision has been made to accept the risk, briefly explain why. [↑](#footnote-ref-5)
6. Describe CRM measures to be integrated into activity design or implementation, including additional analysis, if applicable. [↑](#footnote-ref-6)
7. Describe opportunities to achieve development objectives by integrating climate resilience or mitigation measures. [↑](#footnote-ref-7)
8. List key risks related to the defined/illustrative interventions identified in the screening and additional assessment. [↑](#footnote-ref-8)
9. Low/Moderate/ High [↑](#footnote-ref-9)
10. Describe how risks have been addressed in activity design and/or additional steps that will be taken in implementation. If you chose to accept the risk, briefly explain why. [↑](#footnote-ref-10)
11. Describe opportunities to achieve multiple development objectives by integrating climate resilience or mitigation measures [↑](#footnote-ref-11)