



**USAID**  
FROM THE AMERICAN PEOPLE

# GEMS Training Delivery Report:

## Life of Project Environmental Compliance and Environmentally Sound Design and Management

*A Training Workshop for USAID/Malawi Staff and Implementing Partners*

11–15 March 2013

Lilongwe, Malawi



**18 April 2013**

This publication was produced for review by the United States Agency for International Development. It was prepared by Rosie Chekenya of The Cadmus Group, Inc.



# GEMS Training Delivery Report:

## **Life-of-Project Environmental Compliance and Environmentally Sound Design Management**

*A Training Workshop for USAID/Malawi Staff & Implementing Partners*

**11 – 15 March 2013**

**Lilongwe, Malawi**

**Prepared by:**

Rosie Chekenya, The Cadmus Group, Inc.

**Prepared under:**

The Global Environmental Management Support Project (GEMS), Award Number AID-OAA-M-11-00021. The Cadmus Group, Inc., prime contractor ([www.cadmusgroup.com](http://www.cadmusgroup.com)). Sun Mountain International, principal partner ([www.smtn.org](http://www.smtn.org)). GEMS Activity AF5.

The Cadmus Group, Inc.  
100 Fifth Avenue, Suite 100  
Waltham, MA 02451  
617-673-7000 Fax 617-673-7001  
[www.cadmusgroup.com](http://www.cadmusgroup.com)

**DISCLAIMER**

The authors' views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.



## CONTENTS

|  |   |
|--|---|
| 1. Overview.....   | 1 |
| 2. Agenda & Learning Approach.....                             | 2 |
| 3. Evaluations.....  | 4 |
| 4. Issues for follow-up & lessons learned.....                 | 6 |
| 5. Key workshop attributes & implementation arrangements ..... | 7 |

## ATTACHMENTS

Final Agenda

Participant List

Evaluation Form

## ACRONYMS

|        |  |          |  |
|--------|--|----------|--|
| AFR    | USAID Bureau for Africa                                    | GB       | gigabyte   |
| AFR/SD | USAID Bureau for Africa, Office of Sustainable Development | IEE      | Initial Environmental Examination                  |
| AOR    | Agreement Officer's Representative                         | IP       | Implementing Partner                               |
| BEO    | Bureau Environmental Officer                               | IRS      | Indoor Residual Spraying                           |
| CFR    | Code of (US) Federal Regulations                           | LOP      | Life-of-Project                                    |
| COR    | Contracting Officer's Representative                       | MEO      | Mission Environmental Officer                      |
| EIA    | Environmental Impact Assessment                            | Reg. 216 | 22 CFR 216   |
| EMMP   | Environmental Mitigation & Monitoring Plan                 | US       | United States                                      |
| ESDM   | Environmentally Sound Design & Management                  | USG      | United States Government                           |
|        |  | USAID    | United States Agency for International Development |



## 1. OVERVIEW

In collaboration with and with funding from USAID/Malawi, GEMS delivered a “Life-of-Project Environmental Compliance and Environmentally Sound Design and Management” training workshop for mission staff and Implementing Partners (IPs) over 11- 15 March 2013 (4.5 days) in Lilongwe, Malawi.

The workshop was hosted by USAID/Malawi with key technical assistance provided by the GEMS project. The workshop had 31 participants: 3 were USAID staff, and 28 were IPs representing 17 different organizations.

The workshop is the latest in a series of bilateral “Life of Project” trainings delivered in the Africa Region. The overall goal of the workshop is to strengthen environmentally sound design and management (ESDM) of USAID–funded activities in Malawi by assuring that participants have the motivation, knowledge and skills necessary to (1) achieve environmental compliance over life-of project, and (2) otherwise integrate environmental considerations in activity design and management to improve overall project acceptance and sustainability.

Towards these ends, the workshop used a slightly modified version of a “hybrid” agenda developed in late 2012 by GEMS principal partners The Cadmus Group, Inc. and Sun Mountain International and first delivered in Adama, Ethiopia in December 2012 in a workshop for USAID/Ethiopia staff and partners. The hybrid agenda sought to combine the strongest elements of existing Life of Project curricula developed by Cadmus and Sun Mountain under previous contracts, and independent of the current collaboration. Indeed, development of a unified approach to training in environmental compliance and ESDM for USAID staff and partners was a stated objective of the GEMS project. The new training agenda was well received in Ethiopia (workshop evaluations are provided in Section 3 for comparison purposes), and required only minor revisions for the USAID/Malawi Workshop.

In the most significant departure from other previous bilateral trainings in the Africa Region, the hybrid agenda no longer divides participants into two blocs for targeted skill building in pre-implementation compliance and compliance during project implementation—“upstream” and “downstream” compliance, respectively. Participants were, however, asked to self-select for two blocs of concurrent sessions on Day 4, though this was done as a means of accommodating additional Special Topics and generally maximizing content delivery.

With a focus on practical application, the Malawi workshop featured two half-day field visits, each designed to reinforce a key environmental compliance/ESDM skill cluster. The training program was progressive, starting with basic skills and transitioning sequentially into the project lifecycle from beginning to end.

This report is not a proceedings document, but is intended to document the workshop’s:

- Learning approach and structure, as reflected in agenda, materials & facilitation;
- Outcomes (including evaluations and issues for follow-up); and
- Key attributes and implementation arrangements.

## 2. AGENDA & LEARNING APPROACH

**Background: the “Life of Project” agenda.** The first Life of Project training agenda and materials were piloted at a June 2008 workshop in Bagamoyo, Tanzania delivered under the ENCAP project.<sup>1</sup> This curriculum focused on environmental compliance and ESDM across the project lifecycle, and serves as the basis—along with similar content developed by Sun Mountain International—for the “hybrid” training program developed under GEMS and adapted for USAID/Malawi. Consistent with adult learning techniques with a focus on practical application, the agenda reflected the principle that group exercises/field visits should represent at least 50 percent of total workshop time, if not more, and that classroom theory should be systematically reinforced with exercises and a field visit component.

In contrast, previous workshops had focused substantially on building skills and knowledge for “upstream” compliance—i.e., for the pre-implementation environmental review process defined by Reg. 216, IEE development and associated EIA skills. Incremental refinements to this agenda were made and some materials upgraded for delivery of the two most recent bilateral workshops in the Africa Region prior to the December 2012 launch of the “hybrid” program in Adama, Ethiopia (Takoradi, Ghana, March 2012 & Chipata, Zambia, May 2012).

**Adaptations and improvements for this workshop.** Through a slightly revised hybrid agenda, this workshop carried forward the basic elements of the earlier LOP agenda and training delivery, but made two key changes in structure:

1. Participants were no longer divided into “upstream” and “downstream” compliance subgroups following the delivery of ‘core’ content. The upstream/downstream approach was taken in numerous preceding bilateral and regional workshops as a means of allowing participants to engage in more depth with the LOP compliance elements most relevant to their responsibilities without detracting from time spent on other topics. This approach is particularly beneficial when training USAID staff and IPs in the same workshop curriculum, as each group typically engages on issues of environmental compliance and ESDM at different points in the project lifecycle. After covering core skills and concepts as well as an *overview* of LOP compliance requirements, one group focused on upstream compliance (see Background above) and one on downstream compliance (with a focus on the environmental mitigation and monitoring plan [EMMP] as a tool to facilitate this process).
2. A series of Special Topic sessions selected by USAID/Malawi followed conclusion of the delivery of core content and EMMP development and report out. Special Topics were selected based on the regional project portfolio, and as well alignment with other workshop training themes.

Finally, new field visit briefings and exercises were developed, specific to the case site visits conducted in/around Lilongwe.

**Agenda Breakdown.** The overall goal was addressed via five main agenda components. These components, their entailed objectives, and the particular sessions they corresponded with are presented in the table below.

---

<sup>1</sup> Environmentally Sound Design and Management Capacity Building for Partners and Programs in Africa (ENCAP) was a program of USAID/AFR/SD implemented by International Resources Group, prime contractor, and The Cadmus Group, Inc., subcontractor via contract no. EPP-I-00-03-00013-00, Task Order No. 11. Additional information on the ENCAP program is available at [www.encapafrika.org/about.htm](http://www.encapafrika.org/about.htm)

| Agenda Component  | Objectives  | How Achieved (see attached agenda)  |
|---|---|---|
| <p><b>1. Motivating LOP environmental compliance.</b> USAID’s mandatory environmental procedures exist to ensure environmentally sound design and management (ESDM) of development activities. The workshop begins by defining ESDM and establishing why ESDM must be a necessary and explicit objective for successful development projects.</p>   | <ul style="list-style-type: none"> <li>• Articulate the ESDM concept and common reasons for failure to achieve ESDM.</li> <li>• Explain why ESDM must be a necessary and explicit objective for successful development projects.</li> <li>• Articulate key action principles for achieving ESDM.</li> </ul>   | <p>Sessions 2, 6 (Presentations and Discussions)</p> <ul style="list-style-type: none"> <li>• What is Environment?</li> <li>• Why Environmentally Sound Design and Management?</li> </ul> <p>EIA and ESDM</p>   |
| <p><b>2. Building Core EIA Concepts &amp; Skills.</b> USAID’s environmental procedures are a specific implementation of the general environmental impact assessment (EIA) process. An understanding of the basic EIA process greatly facilitates understanding of USAID’s procedures. Basic proficiency in core EIA skills is required for effective compliance over life-of-project.</p>   | <ul style="list-style-type: none"> <li>• Explain the relationship between ESDM and the EIA process.</li> <li>• Describe the key elements of the EIA process.</li> </ul> <p>Demonstrate basic proficiency in the core EIA skills of identifying significant impacts/issue of concern and design of mitigation and monitoring.</p>  | <p>Sessions 4,5A, 5B, 6, 7<br/>(Presentations, discussions, field visit, exercise and group report out)</p> <ul style="list-style-type: none"> <li>• Baseline Characterization / Identifying Issues of Concern</li> <li>• Principles of Mitigation</li> </ul>   |
| <p><b>3. Mastering LOP Compliance Requirements.</b> The workshop first surveys LOP environmental compliance requirements. These requirements—and the compliance process—can be divided into “upstream” and “downstream” elements.</p> <p><b>Upstream compliance</b> consists primarily of the pre-implementation environmental review process defined by 22 CFR 216 (Reg. 216), which culminates in approved Reg. 216 documentation (RCEs, IEEs and EAs).</p> <p><b>Downstream compliance</b> consists primarily of implementing the environmental management conditions specified in approved 22 CFR 216 documentation, and reporting on this implementation. The environmental mitigation and monitoring plan (EMMP) is the key instrument for systematic implementation of these conditions—and thus for achieving ESDM.</p> <p>After surveying LOP environmental compliance and building needed core skills, participants split into two “streams” for a portion of the workshop: one focused on upstream compliance, and one on downstream compliance.</p> | <ul style="list-style-type: none"> <li>• <i>All:</i> Describe the basic elements of LOP compliance, and attendant roles and responsibilities.</li> <li>• <i>Upstream Session:</i> Demonstrate basic proficiency in the pre-implementation environmental review process established by Reg. 216.</li> <li>• <i>Since the participants were more IPs than USAID Staff, there was less emphasis on this session in favor of the downstream section- group was not split into staff and IPs.</i></li> <li>• <i>Downstream Session:</i> Demonstrate basic proficiency in developing environmental mitigation and monitoring plans.</li> </ul> <p>Articulate the environmental compliance reporting requirements necessary for EMMP implementation.</p> | <ul style="list-style-type: none"> <li>• <i>All:</i> Describe the basic elements of LOP compliance, and attendant roles and responsibilities.</li> <li>• <i>Upstream Session:</i> Demonstrate basic proficiency in the pre-implementation environmental review process established by Reg. 216.</li> <li>• <i>Since the participants were more IPs than USAID Staff, there was less emphasis on this session in favor of the downstream section- group was not split into staff and IPs.</i></li> <li>• <i>Downstream Session:</i> Demonstrate basic proficiency in developing environmental mitigation and monitoring plans.</li> </ul> <p>Articulate the environmental compliance reporting requirements necessary for EMMP implementation.</p> |
| <p><b>4. Understanding Key “Special Topics” in Compliance.</b> Focused “Special Topic” sessions address the environmental compliance and management aspects of selected current, complex and emerging issues in the USAID</p>   | <ul style="list-style-type: none"> <li>• Explain the key compliance issues involved in each special topic, and articulate recommended best practice</li> </ul>  | <p>Local Experts sessions 3&amp;7</p> <ul style="list-style-type: none"> <li>• Socio Economics</li> <li>• Malawi Environmental Requirements</li> </ul> <p>Sessions 15 - 17</p>  |

|  |   |  |
|--|---|--|
| portfolio and operating environment.   |   | <ul style="list-style-type: none"> <li>Special Topics- (5) Water Quality Testing, Pesticides Risks, Safer Use &amp; Compliance, Infection Prevention &amp; Medical Waste, Global Climate Change</li> </ul>   |
| <p><b>5. Improving Compliance Processes.</b><br/>Achieving LOP compliance and ESDM requires both that individual USAID staff understand their roles and responsibilities and master key skills and mission processes that support “mainstream” environmental compliance.</p> | <ul style="list-style-type: none"> <li>Evaluate strengths and weaknesses of environmental compliance processes in our team/mission against those in the region as a whole.</li> <li>Undertake or propose improvements to these processes following the workshop.</li> </ul> | <p>Session 21</p> <ul style="list-style-type: none"> <li>Staff and IPs formed two groups to review the status of compliance and identify gaps in light of training.</li> <li>IPs developed their own action plan and key messages to their COPs/home offices.</li> </ul> |

### 3. EVALUATIONS

Three different formal methods were used to evaluate the success of the workshop in meeting its objectives. All indicate that the workshop strongly achieved these objectives:

#### 1. EXPECTATIONS TRACKING

In the first session of the workshop, participants were asked to record their expectations which were then posted in the training room. As the workshop progressed, participants were periodically asked to review their expectations and put a check mark on those that had been met.

#### 2. ENVIRONMENTAL COMPLIANCE/ESDM KNOWLEDGE PRESENTATIONS

Following the conclusion of EMMP development exercises and group work on Day two, an assessment and review of the content was conducted in the form of presentations. Small teams presented EMMPs to an “upstream compliance bloc” made up of USAID staff that was then able to practice their role as receivers and reviewers of EMMPs.

#### 3. INDIVIDUAL WORKSHOP EVALUATION & FEEDBACK INSTRUMENT

At the conclusion of the workshop, participants were asked to complete an individual GEMS workshop evaluation form (attached). It is designed to both solicit evaluations of learning approach and to differentiate evaluations according to the level of prior knowledge of participants.

The latter is intended to evaluate workshop performance against and inform future workshop design with respect to a consistent challenge in this training series: simultaneously meeting the needs of both relatively experienced and novice participants in the areas of ESDM and USAID environmental procedures.

The tables below summarize the responses received. *In all overall substantive evaluation categories (technical program, facilitation and field work; table A), the scores lie between “acceptable” and “excellent.”*

**TABLE A: OVERALL EVALUATION RESULTS**

Scoring scheme: (1=very poor; 2=poor; 3= acceptable; 4=good; 5=excellent)

| Evaluation Element | Current workshop (Malawi 2013)<br><i>Average scores &amp; Good vs. Excellent Reviews</i> |                                     |           | Previous workshops in the series<br><i>Average scores for all participants</i> |                             |                               |
|--------------------|--|-------------------------------------|-----------|--|-----------------------------|-------------------------------|
|                    | Average Scores (31)  | Assessment: Good and Excellent (31) |           | Adama, Ethiopia<br>Dec. 2012   | Chipata, Zambia<br>May 2012 | Harare, Zimbabwe<br>Feb. 2012 |
|                    |  | Good                                | Excellent |  |                             |                               |
| Technical Program  | 4.61   | 14                                  | 13        | 4.45   | 4.41                        | 4.25                          |
| Facilitation       | 3.87   | 18                                  | 5         | 4.44   | 4.21                        | 3.89                          |
| Logistics          | 3.77   | 16                                  | 5         | 4.23   | 3.79                        | 4.09                          |
| Venue              | 3.74   | 12                                  | 12        | 2.85   | 4.00                        | 3.96                          |
| Field Visit        | 4.35   | 18                                  | 12        | 4.80   | 4.38                        | 4.48                          |

**TABLE B: IMPACT\***

(3= ideal score in all cases)

| Evaluation Element                     | Scoring scheme                                   | Score* | Interpretation   |
|--|--|--------|--|
| Empowerment (Knowledge & Capabilities) | 1=not at all increased<br>2=moderately increased | 2.81   | All participants who commented on the Impact section of the evaluation reported that their motivation and empowerment were either moderately or strongly increased, with the latter predominating. |
| Motivation                             | 3=strongly increased                             | 2.90   |  |

\*average across all participants

**TABLE C: LEARNING APPROACH\***

(3=ideal score in all cases)

| Evaluation Element                 | Scoring scheme  | Score* | Interpretation  |
|------------------------------------|---|--------|---|
| Field vs. Class time balance       | 1=much more field time needed<br>3=right balance<br>5=much more classroom time needed                           | 2.90   | On average, the results indicate that slightly more field time and slightly more peer learning would be desirable, but overall participants felt that workshop was well-balanced. |
| Presentations vs Exercises balance | 1=much more emphasis on presentations needed<br>3=right balance;<br>5=much more exercise/discussion time needed | 3.58   |   |
| Technical Level & Pace             | 1=too heavy;<br>3=about right<br>5=too light  | 2.84   |   |
| Learning from training team vs     | 1=need to hear much more from   | 3.19   |   |

|                     |  |  |  |
|---------------------|--|--|--|
| learning from peers | facilitators<br>3=right balance;<br>5=need much more peer learning |  |  |
|---------------------|--|--|--|

\*average across all participants

#### HIGH RATED/LOW-RATED SESSIONS

Participants were asked to identify the 1 or 2 sessions they rated most highly and least highly, for content, usefulness, approach or other reasons. Participants in many cases did not use formal session names or numbers, so a number of responses are difficult to interpret. However:

- The highest-rated sessions were the focused bloc of sessions on EMMP development, the “Why ESDM?” presentations and the field visits. Participants indicated in the comments section that the “Why ESDM?” presentation was essential for becoming acquainted with key concepts and understanding the need for environmental compliance. These sessions correspond directly to the critical core content of the workshop.

The sessions that were most consistently low-rated were primarily rated so because participants found them to be too technical within the time allotted, or because they found the content irrelevant to their particular work. Beyond this, no consistent trend emerges from the low-rated sessions. The most frequent reasons for assigning a session a low rating were insufficient time to cover the material in sufficient depth and too much depth or detail on the topic.

A spreadsheet containing a full transcription of the evaluations is available from the GEMS program upon request and is archived on AFR/SD’s GEMS sharepoint site. Individual comments on the evaluations offer a number of insights for strengthening future workshops in the series.

## 4. ISSUES FOR FOLLOW-UP & LESSONS LEARNED

The final sessions of the workshop were dedicated to taking stock of where IPs and USAID/Malawi stand with LOP compliance, and identifying actions to address gaps. This included separate IP and USAID staff focus group sessions, development of joint recommendations, and individual action plans.

1. **Action Plan Recommendations: Implementing Partners.** Of the 31 participants in attendance, 28 were Implementing Partners representing 17 different organizations. These attendees identified gaps in performance and areas to strengthen, including:
  - Some 10 IP participants knew if their organization had a copy of their IEE, and only 3 IPs had developed EMMPs. Five of 17 knew the name of their AOR/COR.
  - Five were aware that the IEE was at their Head Office with the Chief of party.
  - IPs committed to confirming the status of IEEs/environmental compliance documents & briefing COPs on gaps identified.
  - Strongly recommended strengthening communication & using resources received at this training to conduct in-house trainings. However, in three cases, participant’s organizations reported possible financial constraint as a challenge/risk factor to the successful implementation of this recommendation.
2. **Key Recommendations and Way Forward.** Attendees of this workshop were made up of 3 USAID staff and 17 Implementing Partner organizations. The facilitators and participants

acknowledged the following gaps in IP compliance and advanced the following suggestions to ensure future compliance:

- There is limited awareness of compliance requirements and presence of compliance documents.
- Participants did not understand the LOP environmental compliance process and individual responsibilities before training. However, many participants noted that their awareness and comprehension of environmental compliance procedures and actions was greatly improved due to this training.
- Project planning must include a timeline for IEE preparation and staff must be aware of this timeline and use existing information if available.
- During site visits, there should be more emphasis on the EMMP. Currently, far more attention is given to branding and gender.
- Environmental compliance is a shared responsibility and therefore should be mainstreamed and taken seriously.

### 3. Facilitators' recommendations for future trainings in this series based on participants evaluations.

| Issue  | Recommendation   |
|--|--|
| 1) Logistics- Facilitators felt they did not have much control over onsite administrative support and choice of vehicles:  | Where possible, use contracted service providers.  |
| 2) Facilitators were picked up from the hotel at 0745 - 0800hrs each morning for transport to the training venue and returned at 1630 hrs; the rigidity of the transport was a little constraining, making us rush things more than would normally be necessary. | It is much easier when facilitators are in control of all the logistics details.   |
| 3) Time in field for day 1 exercise was rather limited, partly because of inappropriate vehicle choice to one site.  | An additional 20 -30 mins in field would be beneficial as the exercise clearly lays a foundation for the course.               |
| 4) Some topics are a little difficult to deliver for new facilitators.   | Certain topics are much better addressed by USAID staff or facilitators with more knowledge of USAID environmental procedures. |

## 5. KEY WORKSHOP ATTRIBUTES & IMPLEMENTATION ARRANGEMENTS

### PLACE, DATE AND PARTICIPANTS

|   |   |
|---|---|
| Dates   | 11 – 15 March, 2013   |
| Venue   | Malawi Institute of Marketing; Lilongwe, Malawi provided training and accommodation facilities for the workshop.        |
| Participants<br>(full participant list is attached) | 31 participants (28 Implementing Partners; 3 USAID Staff)<br>Training team:<br>USAID: (see "USAID facilitators," below) |

|                  |   |
|------------------|---|
|                  | GEMS: 3 facilitators (see “GEMS training team,” below). |
| Working language | English   |

## STAFFING AND LOGISTICS

|   |  |
|---|--|
| Planning leads and coordination               | <p>1. USAID /Malawi provided logistics for the workshop, coordinating:</p> <ul style="list-style-type: none"> <li>• Invitations, RSVP tracking</li> <li>• Venue Booking</li> <li>• Group daily commuting service by bus to &amp; from the training venue.</li> <li>• Case site transport and drivers</li> <li>• On-site business/ secretarial support.</li> </ul> <p>2. CADMUS provided 3 vehicles to (2) case sites after the hired vehicles were not suitable</p>  |
| Local Expertise                               | <p><b>Ms Tawonga Mbale</b>– Deputy Director, Malawi Environmental Affairs</p> <p><b>Mr. Hastings Mumba</b>– Environmental and Social Consultant</p>  |
| Local Experts<br>Special Topics<br>Presenters | <p><b>Tambudzai Rashid</b>, JHPIEGO – presented on Infection Prevention</p> <p><b>Tonny Harris Maulana</b> – Pesticides Control – Co- presented on Pesticide Risks, Safer Use &amp; Compliance</p>   |
| GEMS<br>Training Team                         | <p><b>Rosie Chekenya</b> (Cadmus, GEMS) served as the lead trainer.*</p> <p><b>Fiona Littlejohn-Carrillo</b> (Sun Mountain, GEMS) served as a co-facilitator.</p> <p><b>Mercy Nange</b> (Sun Mountain, GEMS) served as a co-facilitator.</p> <p>*The lead GEMS trainer had responsibility for coordinating the course agenda, assigning presenters, presented six of the workshop sessions, and completed the day reviews and orientations. The facilitation team met at the end of each day to review and strategize. Ms Chekenya was responsible for managing flow and time and organizing group work and exercises.</p> |

## CONTRACTS, FUNDING, AND COST-SHARES

|                                     |   |
|-------------------------------------|---|
| Cost shares &<br>Sources of funding | <p>Participants’ respective organizations/projects covered travel and per diem costs for their staff.</p> <p>USAID/Malawi paid the conference package that covered rental of the primary meeting room, breakaway rooms and tea breaks.</p> <p>USAID/Malawi buy-in to GEMS covered labor and travel of the GEMS training team, GEMS home office support, and workshop materials.</p> <p>USAID/AFR/SD buy-in to GEMS funded the workshop planning exercise.</p> |
| Contract mechanisms                 | GEMS buy-in. USAID/Malawi local procurement   |

## AGENDA, CONTENT, AND MATERIALS

|  |  |
|--|--|
| Development lead                                 | Patrick Hall, Cadmus   |
| Agenda   | The final agenda is attached. See also notes on the agenda in section 2.   |
| Hardcopy materials                               | Participants were provided with the following materials in hardcopy:<br><b>Sourcebook.</b> 1.5" 3-ring binder containing the agenda, a brief objectives statement/overview of each module, presentations and exercises.<br><b>GEMS Site Visit Briefings.</b> Each participant received a copy of each of the GEMS Site Visit Briefings. These served as guides for the eight site visits.<br>The sourcebooks were reproduced in the U.S. by The Cadmus Group and then shipped to USAID/Malawi. |
| Memory Sticks (Flash Drives)/MEO Resource Center | Participants were provided with an 8GB flash drive containing the sourcebook and all content on the ENCAP website.   |
| Other materials given to Participants            | Water bottles; DVD copy of the SMTN-produced "Environmental Considerations Toward a Sustainable Future" video.   |

|   |   |  |   |   |                        |                         |   |                        |                                   |                        |                        |                                      |  |   |
|---|---|--|---|---|------------------------|-------------------------|---|------------------------|-----------------------------------|------------------------|------------------------|--------------------------------------|--|---|
| Case site visits  | <p>The final site visit program was as follows. The visits were hosted by site representatives, and each group was accompanied by a workshop trainer/facilitator.</p> <table border="1"> <tr> <td>Day 1:<br/>Site Visit to practice baseline assessment and EIA skills</td> <td>Day 3:<br/>Site Visit for EMMP development</td> </tr> <tr> <td>Chipala Primary School</td> <td>Bwaila General Hospital</td> </tr> <tr> <td>Food Security- River diversion and fishing bed nets</td> <td>Chiwamba Health Centre</td> </tr> <tr> <td>Kumbali Dairy and Milk Processing</td> <td>Chipala Primary School</td> </tr> <tr> <td>Chiwamba Health Centre</td> <td>Irrigation and Riverbank Cultivation</td> </tr> <tr> <td></td> <td>Reforestation, Cook Stoves, and Tree Nurseries- Climate Change Mitigation Initiatives</td> </tr> </table> |  | Day 1:<br>Site Visit to practice baseline assessment and EIA skills | Day 3:<br>Site Visit for EMMP development | Chipala Primary School | Bwaila General Hospital | Food Security- River diversion and fishing bed nets | Chiwamba Health Centre | Kumbali Dairy and Milk Processing | Chipala Primary School | Chiwamba Health Centre | Irrigation and Riverbank Cultivation |  | Reforestation, Cook Stoves, and Tree Nurseries- Climate Change Mitigation Initiatives |
| Day 1:<br>Site Visit to practice baseline assessment and EIA skills | Day 3:<br>Site Visit for EMMP development   |  |   |   |                        |                         |   |                        |                                   |                        |                        |                                      |  |   |
| Chipala Primary School  | Bwaila General Hospital   |  |   |   |                        |                         |   |                        |                                   |                        |                        |                                      |  |   |
| Food Security- River diversion and fishing bed nets                 | Chiwamba Health Centre  |  |   |   |                        |                         |   |                        |                                   |                        |                        |                                      |  |   |
| Kumbali Dairy and Milk Processing                                   | Chipala Primary School  |  |   |   |                        |                         |   |                        |                                   |                        |                        |                                      |  |   |
| Chiwamba Health Centre  | Irrigation and Riverbank Cultivation  |  |   |   |                        |                         |   |                        |                                   |                        |                        |                                      |  |   |
|   | Reforestation, Cook Stoves, and Tree Nurseries- Climate Change Mitigation Initiatives   |  |   |   |                        |                         |   |                        |                                   |                        |                        |                                      |  |   |
| Materials Archive   | <p>Materials are archived on the GEMS website (<a href="http://www.usaidgems.org">www.usaidgems.org</a>)</p>  |  |   |   |                        |                         |   |                        |                                   |                        |                        |                                      |  |   |

### KEY CONTACTS

| Organization | Name & Position                              | Contact Info                    |
|--------------|--|---------------------------------|
| USAID/Malawi | Madalitso Chisale , MEO                      | mchisale@usaid.gov              |
|              | Chimwemwe Chitsulo M&E Specialist Deputy MEO | cchitsulo@usaid.gov             |
| CADMUS/GEMS  | Mark Stoughton, GEMS Team Leader             | mark.stoughton@cadmusgroup.com  |
|              | Patrick Hall                                 | Patrick.Hall@cadmusgroup.com    |
|              | Mike Minkoff                                 | michael.minkoff@cadmusgroup.com |
| SMTN/GEMS    | Mercy Nange                                  | mnange@smtn.org                 |
|              | Fiona Littlejohn-Carrillo                    | flittlejohn@smtn.org            |
|              | Rosie Chekenya, Lead Facilitator             | rchekenya@gmail.com             |

## Attachment A

# AGENDA

### USAID/Malawi Life-of-Project Environmental Compliance and Environmentally Sound Design & Management Workshop

Lilongwe, Malawi  
11 – 15 March, 2013

#### Training Objective:

The overall goal of the workshop is to strengthen environmentally sound design and management of USAID-funded activities in Malawi by assuring that participants have the motivation, knowledge and skills necessary to: (1) achieve environmental compliance over life-of-project; and (2) otherwise integrate environmental considerations in activity design and management to improve overall project performance and sustainability.

#### Key Activities:

- Day 1 Overview of ESDM and skill-building in Environmental Impact Assessment (EIA).
- Day 2 Explain USAID Environmental Procedures and compliance documentation; prepare for Day 3 site visits.
- Day 3 Complete site visits and develop EMMPs; begin small-group presentation of findings and recommendations.
- Day 4 Wrap up core training content and complement with discussion of special topics.
- Day 5 Synthesize workshop proceedings and skill-building and consider professional and organizational next steps.

| Day/Time     | Module  | Objective/Content Summary  |
|--------------|---|--|
| <b>Day 1</b> | <b>Motivation, Core Skills and Overview of Environmental Compliance over Life of Project</b>  |  |
| 8:30-9:00    | Participant Registration  |  |
| 9:00-9:15    | Welcome and Opening Statements  | Highlight the value of workshop content and expected results.  |
| 9:15-9:45    | <b>Session 1:</b> Workshop Objectives and Logistics;<br>Participant Introductions   | Establish workshop objectives; brief the agenda and learning approach.<br>Review logistics.<br>Introduce participants; articulate expectations.  |
| 9:45-10:00   | Break   |  |
| 10:00-11:15  | <b>Session 2:</b> Environmentally Sound Design & Management (ESDM) as a Foundation for Environmental Compliance<br><i>Presentation and dialogue</i> | Motivate the need to systematically address environmental considerations in development activities.<br>Understand linkage between ESDM and project success, consider examples from Malawi. View this process in the context of environmental compliance. |
| 11:15-12:00  | <b>Session 3:</b> Environmentally Sound Design & Management (ESDM) in the Malawian Context<br><i>Technical presentation and dialogue</i>            | Review and discuss socio-cultural considerations in the application of ESDM in Malawi.   |

| Day/Time     | Module   | Objective/Content Summary  |
|--------------|--|--|
| 12:00-13:00  | Lunch  |  |
| 13:00-14:00  | <b>Session 4:</b> Fundamental Skills of Environmental Impact Assessment (EIA)<br><i>Technical presentation and dialogue</i>  | Define key terms—baseline, impact, activity—and learn essential classroom theory for baseline characterization, impact identification & mitigation design and how they apply in the EIA framework; the EIA framework is the basis for USAID Environmental Procedures.  |
| 14:00-15:30  | <b>Session 5a:</b> Site Assessment Exercise<br><i>Presentation and small-group work</i>  | Receive instruction on the methodology and objectives of the Site Assessment. Understand the proposed activity and baseline conditions to be assessed.<br><br>Divide into small groups for the exercise.<br><br>Practice observation and assessment skills needed to characterize the baseline situation and identify impacts/issues of concern. |
| 15:30-15:45  | Break  |  |
| 15:45-16:30  | <b>Session 5b:</b> Site Assessment Exercise—Synthesis and Report-out<br><i>Group work and dialogue</i>   | Synthesize field observations and prioritize impacts/issues of concern; discuss possible approaches for limiting adverse effects on the environment.<br><br>Small groups present and discuss findings.   |
| <b>Day 2</b> | <b>Motivation, Core Skills and Overview of Environmental Compliance over Life of Project</b>   |  |
| 8:30-9:30    | <b>Session 6:</b> Environmental Impact Assessment and “USAID Environmental Procedures”: the Initial Environmental Examination (IEE) and Beyond<br><i>Technical presentation and dialogue</i> | Review USAID’s implementation of the EIA process and the preparation of project environmental compliance documents; understand how these documents establish environmental management criteria for USAID-funded activities.  |
| 9:30-10:15   | <b>Session 7:</b> The Environmental Impact Assessment (EIA) Process in Malawi  | Understand national- and local-level EIA requirements and procedures in Malawi and how they apply to USAID-funded activities.  |
| 10:15-10:30  | <b>Session 8a:</b> IEE Critique – Introduction and Overview  | Receive instruction on the methodology and objectives of the IEE Critique. Convene small groups for the exercise.  |
| 10:30-10:45  | Break  |  |
| 10:45-12:00  | <b>Session 8b:</b> IEE Critique – Small-Group Synthesis and Report-out   | Discussion of illustrative IEE. Small groups present critical review/findings.   |
| 12:00-13:00  | Lunch  |  |
| 13:00-14:00  | <b>Session 9:</b> Principles of Environmental Monitoring<br><i>Technical presentation and dialogue</i>   | Review key aspects of monitoring to ensure that project environmental compliance requirements are met and potential adverse impacts effectively mitigated; highlight the selection of clear and cost-effective monitoring indicators.  |
| 14:00-15:00  | <b>Session 10:</b> The Environmental Mitigation and Monitoring Plan (EMMP)<br><i>Technical presentation and dialogue</i>   | Understand the EMMP concept and formats: Who develops them. Their role in “operationalizing” key elements of USAID Environmental Procedures and establishing and maintaining project environmental compliance. Introduce key guidance: <i>EMMP Factsheet</i> .   |
| 15:00-15:15  | Break  |  |
| 15:15-15:30  | <b>Session 11:</b> Introduction to the USAID <i>Environmental Guidelines for Small-Scale Activities in Africa</i> + Similar Resources<br><i>Presentation</i>                                 | Deepen familiarity with environmental resources and guidelines, particularly the <i>Environmental Guidelines for Small-Scale Activities in Africa</i> (EGSSAA).  |

| Day/Time  | Module  | Objective/Content Summary   |
|---|---|---|
| 15:30-16:30   | <b>Session 12a:</b> Site Visit Component—<br>Brief and Classroom Preparation<br><i>Presentation and small-group work</i>  | Gain a general awareness of the case study sites that will be visited in the field on Day 3. Divide participants and distribute technical resources.<br><br>Discuss potential adverse impacts of the case study site activities. Review background and reference materials and discuss approach for EMMP development in small-group format.                       |
| <b>Day 3 Complete site visits and develop EMMPs</b> |   |   |
| 8:00-13:00<br><br>(includes return from field)      | <b>Session 12b:</b> Site Visit Component—<br>Experiential Practice Developing an EMMP<br><i>Field visit</i>               | Build and apply the core Environmental Analysis skills briefed in Day 1 and Day 2 via a field visit and follow-up group work to:<br><br>1) synthesize field observations; and<br>2) identify possible mitigation measures for the top two or three issues/impacts of concern at each site, with reference to the EGSSAA.  |
| 13:00-14:00   | Refresh and lunch   |   |
| 14:00-16:00<br>(tea break taken at leisure)         | <b>Session 12c:</b> Develop EMMP and Prepare<br>Small-Group Presentation<br><i>Small group work</i>                       | Advance discussions and compilation of field visit results into an EMMP format and a group presentation.  |
| 16:00-16:30   | <b>Session 12d:</b> EMMP Group Presentations<br><i>Group presentations in plenary</i>                                     | Articulate field visit findings, analysis, and EMMP development.  |
| <b>Day 4 Special Topics</b>                         |   |   |
| 8:30-10:00  | <b>Session 12d (cont'd):</b> EMMP Group<br>Presentations<br><i>Group presentations in plenary</i>                         |   |
| 10:00-10:15   | Break   |   |
| 10:15-11:00   | <b>Session 13:</b> Environmental Compliance<br>Reporting<br><i>Technical presentation and dialogue</i>                    | Guidance on EMMP-related and other environmental compliance reporting, including integration with broader project M&E and PMP reporting requirements.   |
| 11:00-12:30   | <b>Session 14:</b> Environmental Compliance/ESDM<br>Knowledge Game<br><i>Small-group competition</i>                      | Reinforce key “core session” content in a small-group competition.  |
| 12:30-13:30   | Lunch   |   |
| 13:30-14:30   | <b>Session 15:</b> Special Topic—Pesticide Risks,<br>Safer Use & Compliance<br><i>Technical presentation and dialogue</i> | Brief the environmental, economic and human-health concerns related to pesticide use. Achieve a common understanding of the special environmental compliance requirements that apply to pesticide use and procurement. Review key elements of safer pesticide use, including Integrated Pest Management (IPM) and the use of Personal Protective Equipment (PPE). |
| 14:30-15:15   | <b>Session 16:</b> Special Topic—Global Climate<br>Change<br><i>Technical presentation and dialogue</i>                   | Review the role and impact of Global Climate Change (GCC) on the design and implementation of USAID/Malawi activities; understand the capacity of ESDM to mitigate the effects of GCC.  |
| 15:15-15:30   | Break   |   |
| 15:30-16:30   | <b>Session 16 (cont'd):</b> Special Topic—Global<br>Climate Change  |   |
| <b>Day 5 Way Forward</b>                            |   |   |

| <b>Day/Time</b> | <b>Module</b>  | <b>Objective/Content Summary</b>   |
|-----------------|--|--|
| 8:30-9:00       | <b>Session 17:</b> Special Topic—Water Quality Testing<br><i>Technical presentation and dialogue</i>   | Review the requirements and procedures involved with water quality testing in USAID-funded development programs.   |
| 9:00-10:00      | <b>Session 18:</b> Special Topic—Subproject Review: Using the Africa Bureau Environmental Review Form/Report Process<br><i>Technical presentation and dialogue</i> | Understand the subproject review process, its appropriate use, and the responsibilities its places on USAID and Partners; introduce the Environmental Review Form (ERF) and Environmental Review Reports (ERR).  |
| 10:00-10:15     | Break  |  |
| 10:15-10:30     | <b>Session 19:</b> Parking Lot Session<br><i>Plenary session</i>   | Address unresolved questions or issues and summarize information presented throughout the training.  |
| 10:30-11:00     | <b>Session 20:</b> Roles, Responsibilities & Resources<br><i>Technical presentation and dialogue</i>   | Summarize the various responsibilities of USAID staff and Implementing Partners (IPs); introduce additional key resources available to support environmental compliance and ESDM.  |
| 11:00-12:15     | <b>Session 21:</b> Bringing Curricula to Reality<br><i>Group discussions followed by individual action planning</i>  | With the technical training now complete, participants will share perspectives on environmental management priorities and challenges for USAID activities in Malawi.<br><br>These and other insights will be used to frame lessons-learned and identify practical actions that can be operationalized as part of project implementation. |
| 12:15-12:30     | Workshop Final Evaluations   | Participants complete evaluation form.   |
| 12:30           | Closing Ceremony   | Conclude workshop and distribute certificates.   |

## Attachment C: Workshop evaluation

### Life-of-Project Environmental Compliance and Environmentally Sound Design and Management An Africa Regional Training Workshop for USAID Staff & Partners

Mangochi, Malawi ▪ 11–15 March 2013

*Your frank and honest feedback will help strengthen future trainings and help prioritize ESDM and environmental compliance support to USAID Programs and Missions in Africa and globally. Thank-you for your time!*

#### Learning approach

*For each issue, please check the assessment you most agree with*

| Issue  | Assessment  |  |             |  |   | Comments |
|--|---|--|-------------|--|---|----------|
| <b>Balance of time in classroom to time in field</b>   | Much more time in field needed                                | A bit more time in field needed                          | About right | A bit more time in classroom needed                            | Much more time in classroom needed                            |          |
| <b>In the classroom, balance of presentations to exercises, group work &amp; discussions</b> | Much more emphasis on presentations needed                    | A bit more emphasis on presentations needed              | About right | A bit more emphasis on exercises/ discussions needed           | Much more emphasis on exercises/ discussions needed           |          |
| <b>Technical level &amp; pace</b>  | Much too heavy  | A little too heavy                                       | About right | A bit too light  | Much too light  |          |
| <b>Opportunities for peer exchange &amp; learning</b>  | Needed to hear and learn much more directly from facilitators | Needed to hear and learn more directly from facilitators | About right | Some more opportunities for peer learning/ exchange are needed | Many more opportunities for peer learning/exchange are needed |          |

#### Highest/Lowest-rated sessions

Please identify the 1 or 2 sessions that you rate most highly (for content, usefulness, approach or for other reasons). Please also identify the 1 or 2 sessions that you found least engaging/useful/relevant. Please briefly indicate the reasons for your choice. (You may wish to refer to the agenda to refresh your memory.)

| Session    | Comment (Please explain why you made this choice.) |  |
|------------|--|--|
| HIGH-RATED |  |  |
| HIGH-RATED |  |  |
| LOW-RATED  |  |  |
| LOW-RATED  |  |  |

## Overall evaluations

Please check the assessment you most agree with.

| Issue  | Assessment |      |            |      |           | Comments |
|--|------------|------|------------|------|-----------|----------|
|  | Very poor  | Poor | Acceptable | Good | Excellent |          |
| <b>Technical quality (Program &amp; Content)</b> |            |      |            |      |           |          |
| <b>Facilitation</b>                              |            |      |            |      |           |          |
| <b>Logistics</b>                                 |            |      |            |      |           |          |
| <b>Venue</b>                                     |            |      |            |      |           |          |
| <b>Field visits</b>                              |            |      |            |      |           |          |

## Impact

Please circle the characterization you most agree with.

| Question  | Characterization                  |  |   | Comments |
|---|-----------------------------------|--|---|----------|
| <b>Baseline Knowledge</b><br>In light of what you have learned in this workshop, how would you rate your understanding of ESDM and USAID's Environmental Procedures BEFORE this workshop?                                   | Had poor or limited understanding | Understood the basics, lacked some details | Had a strong and detailed understanding |          |
| <b>Empowerment</b><br>To what extent has this workshop increased your <u>knowledge and capabilities</u> to address environmental compliance requirements in the context of your job function/professional responsibilities? | Not at all                        | Moderately                                 | Strongly                                |          |
| <b>Motivation</b><br>To what extent has this workshop increased your <u>motivation</u> to <i>proactively</i> address environmental compliance and ESDM in the context of your job function/professional responsibilities?   | Not at all                        | Moderately                                 | Strongly                                |          |

## Key topics not covered

|   |  |
|---|--|
| Were there any topics of key important to you that were not covered/given very limited attention? |  |
|---|--|

## Support needs

|   |  |
|---|--|
| Are there particular environmental compliance/ESDM support needs or resources that you require? |  |
|---|--|

**Additional comments welcome on any topic.**