



USAID
FROM THE AMERICAN PEOPLE

GEMS TRAINING DELIVERY REPORT:

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

An Asia Regional Training Workshop for USAID Staff and Implementing Partners

26-29 August 2013

Asia Regional Training Center (ARTC), Bangkok, Thailand

20 September 2013

This publication was produced for review by the United States Agency for International Development.
It was prepared by Scott Solberg of Sun Mountain International and Joyce Jatko on behalf of The Cadmus Group, Inc.

GEMS TRAINING DELIVERY REPORT:

LIFE OF PROJECT ENVIRONMENTAL COMPLIANCE AND ENVIRONMENTALLY SOUND DESIGN AND MANAGEMENT:

AN ASIA REGIONAL TRAINING WORKSHOP FOR USAID STAFF AND
IMPLEMENTING PARTNERS

26-29 August 2013

Asia Regional Training Center (ARTC), Bangkok, Thailand

Report Date: 20 September 2013

Prepared by:

Scott Solberg, Sun Mountain International &
Joyce Jatko, 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). Sun Mountain International, principal partner (www.smtm.org). GEMS Activity Number AS01.



The Cadmus Group, Inc.
100 Fifth Avenue, Suite 100
Waltham, MA 02451
617-673-7000 Fax 617-673-7001
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

ACRONYMS.....	ii
1. OVERVIEW.....	i
2. AGENDA & LEARNING APPROACH.....	i
APPROACH TO LEARNING.....	2
OVERALL GOAL.....	2
STRUCTURE & OBJECTIVES.....	2
3. EVALUATIONS.....	3
OVERALL EVALUATION RESULTS.....	4
4. PARTICIPANT ASSESSMENTS OF KEY MESSAGES.....	6
5. KEY WORKSHOP ATTRIBUTES & IMPLEMENTATION ARRANGEMENTS.....	7
ATTACHMENTS	
FINAL AGENDA.....	9
PARTICIPANT LIST.....	15
EVALUATION FORM.....	17
USAID LIFE OF PROJECT ENVIRONMENTAL COMPLIANCE MILESTONES.....	20
ASIA REGIONAL MEO-REA-BEO RETREAT.....	21
SUMMARY AND RESULTS.....	21
REGIONAL PRIORITIES FOR IMPROVING COMPLIANCE.....	21
ASIA REGIONAL MEO-REA-BEO RETREAT.....	26

ACRONYMS

AFR	USAID Bureau for Africa	GEMS	Global Environmental Management Support (Program)
AFR/SD	USAID Bureau for Africa, Office of Sustainable Development	IEE	Initial Environmental Examination
AOR	Agreement Officer's Representative	IP	Implementing Partner
ARTC	(USAID) Asia Regional Training Center	LMS	USAID Learning Management System
ASIA	USAID Bureau for Asia	LOP	Life-of-Project
BEO	Bureau Environmental Officer	ME	USAID Bureau for the Middle East
COR	Contracting Officer's Representative	M&E	Monitoring & Evaluation
E3	USAID Bureau for Economic Growth, Education, and Environment	MEO	Mission Environmental Officer
EA	Environmental Examination	OAPA	Office of Afghanistan and Pakistan Affairs
EIA	Environmental Impact Assessment	RCE	Request for Categorical Exclusion
EMMP	Environmental Mitigation & Monitoring Plan	RDMA	Regional Development Mission for Asia
ENCAP	Environmentally Sound Design and Management Capacity-Building Support for Africa	REA	Regional Environmental Advisor
ESDM	Environmentally Sound Design & Management	Reg. 216	22 CFR 216
		US	United States
		USAID	United States Agency for International Development

I. OVERVIEW

Over 26–29 August 2013, an Asia Regional Training Workshop for USAID staff and IPs in “Life of Project Environmental Compliance and Environmentally Sound Design and Management” was conducted in Bangkok, Thailand.

The workshop was hosted by USAID/Regional Development Mission Asia (RDMA). Key technical assistance was provided by the GEMS project. 32 participants attended: 27 were USAID mission staff, representing 15 missions, and 5 were IPs, representing 4 USAID-funded partners in the region.

The workshop was the latest in a series of Asia and Middle East Regional Environmental trainings for USAID staff.¹ The overall goal of these workshops is to strengthen environmentally sound design and management of USAID-funded activities in these regions by assuring that participants (including USAID MEOs, CORs/AORs, Activity Managers, Team Leaders, M&E Officers & PDOs, and IPs) 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.

Secondarily, these workshops provide a forum for mission and regional USAID staff and IPs to discuss current environmental compliance and ESDM issues, including Mission needs for technical assistance and backstopping.

Towards these ends, the workshop used the most current version of the GEMS “life of project” agenda and materials; see <http://www.usaidgems.org/esdm.htm>. Participant evaluations strongly indicate that the workshop achieved its objectives. Sessions on development of EMMPs and the field trips were highly rated by participants. All participants felt that the workshop increased their knowledge and capability to address environmental compliance requirements (44% moderately, 26% strongly). Participant motivation to proactively address environmental compliance and ESDM was very high at the conclusion of the workshop (87% strongly motivated).

The training program was developed by GEMS in consultation with and with key contributions from the USAID facilitation team. Logistics support was provided by GEMS, Sun Mountain, USAID/RDMA, and ARTC.

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

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

2. AGENDA & LEARNING APPROACH

The workshop was four days in length and featured a half-day field visit.

¹ The most recent previous workshops in this series were held in Cairo, Egypt (November, 2012), Bangkok, Thailand (May, 2012), under GEMS, and in Luxor, Egypt (March 2010) and Bangkok, Thailand (October, 2009) under the Environmental Management Capacity Building Program (EMCB). EMCB was implemented for USAID by Chemonics International, Inc., prime contractor, and The Cadmus Group, Inc., subcontractor, via EPIQ Task Order EPP-I-00-03-00014-00.

APPROACH TO LEARNING

The workshop was highly participatory and field-based:

1. Skills and processes briefed in the presentations were practiced in hands-on exercises conducted in small working groups.
2. The key, integrative exercises in Core EIA skills and LOP compliance were built around virtual (photo-based) and physical field visits.
3. Even presentation-centered sessions were designed to be interactive. Participants were expected and encouraged to ask questions and, as importantly, to share and discuss their own experiences and perspectives relevant to the topic at hand.

OVERALL GOAL

As noted in the Overview section above, the overall goal of the workshop was to strengthen environmentally sound design and management of USAID-funded activities in Asia and the Middle East 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.

STRUCTURE & OBJECTIVES

Towards this goal, the agenda had four main components, each corresponding to key workshop objectives.

AGENDA COMPONENT	CORRESPONDING OBJECTIVES: By the end of the workshop, participants should be able to:
<p>1. Motivating LOP environmental compliance. USAID’s mandatory environmental procedures exist to assure 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.</p>	<ul style="list-style-type: none"> • Articulate the ESDM concept and common causes of failure to achieve ESDM. • Explain why ESDM must be a necessary and explicit objective for successful development. • Articulate key action principles for achieving ESDM
<p>2. Building Core EIA Concepts & Skills. 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 USAID’s procedures, and basic proficiency in a set of core EIA skills is required for effective compliance over life-of-project.</p>	<ul style="list-style-type: none"> • Explain the relationship between ESDM and the EIA process. • Describe the key elements of the EIA process. • Demonstrate basic proficiency in the core EIA skills of identifying significant impacts/issue of concern and design of mitigation and monitoring.
<p>3. Mastering LOP Compliance Requirements. The workshop first surveys LOP environmental compliance requirements. These requirements—and the compliance process—can be divided into “upstream” and “downstream” elements. Upstream compliance consists primarily of the pre-</p>	<ul style="list-style-type: none"> • Describe the basic elements of LOP compliance, and attendant roles and responsibilities. • Demonstrate basic familiarity with the pre-implementation environmental review process established by Reg. 216,

<p>implementation environmental review process defined by 22 CFR 216 (Reg. 216), which culminates in approved Reg. 216 documentation (RCEs, IEEs and EAs).</p> <p>Downstream compliance consists primarily of <i>implementing</i> the environmental management conditions specified in approved Reg. 216 documentation, and <i>reporting</i> on this implementation. The <i>environmental mitigation and monitoring plan (EMMP)</i> is the key instrument for systematic implementation of these conditions—and thus for achieving ESDM.</p> <p>The workshop covered both upstream and downstream compliance, but the weight of the practical exercises were on downstream compliance (EMMP development), as this is where the greatest gaps typically are.</p>	<ul style="list-style-type: none"> • Understand the characteristics of effective initial environmental examinations (IEES) and be able to assess the quality of IEEs. • Demonstrate basic proficiency in developing environmental mitigation and monitoring plans (EMMPs). • Articulate the environmental compliance reporting requirements attendant to EMMP implementation.
<p>4. Understanding Key “Special Topics” in Compliance. Focused “special topic” sessions address the environmental compliance and management aspects of selected current, complex and emerging issues in the USAID portfolio and operating environment.</p>	<ul style="list-style-type: none"> • Explain the key compliance issues involved in each special topic, and articulate recommended best practice.
<p>5. Improving Compliance Processes. Achieving LOP compliance and ESDM requires both that individual USAID staff and IPs understand their roles and responsibilities and master key skills <i>and</i> that internal mission and project processes support and “mainstream” environmental compliance.</p>	<ul style="list-style-type: none"> • Evaluate strengths and weaknesses of environmental compliance processes in their team/mission against those in the region as a whole. • Undertake or propose improvements to these processes following the workshop.

Component 1 led the workshop; components 2 and 3 alternated over days 1 and 2, with EIA skills introduced and followed by the compliance processes they support. Day 3 was devoted in the entirety to downstream compliance (objective 3). Day 4 was focused on improving compliance processes (component 5). Special topics were introduced on Day 2 after “core” material was completed.

In addition to inputs and guidance received from RDMA, these materials have also benefited from investments in updates and developments made by E3 and Africa Bureaus under GEMS. The final agenda for the workshop is annexed to this report.

3. EVALUATIONS

One informal and one formal method were used to evaluate the success of the workshop in meeting its objectives. Both indicate that the workshop strongly achieved these objectives:

1. Environmental Compliance Jeopardy. As part of “Wrapping Up and Charting a Way Forward,” on Day 4, a ten question ESDM version of Jeopardy was led, with groups competing for points based on correct answers to the questions. All teams did well, with the most difficult question -- Name the 4 phases of the lifecycle of a USAID project and one environmental compliance milestone for each phase – significantly aided by the Life of Compliance Milestones chart developed for the workshop (Attachment 6).

2. Individual workshop evaluation and feedback instrument. At the conclusion of the workshop, participants were also asked to complete the standard LOP/ESDM individual workshop evaluation form, in use since 2008 (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 “old hands” and novices in the areas of ESDM and USAID environmental procedures.

The tables below summarize the responses received – a total of 23. In the overall evaluation categories (“All” column, table A), the scores are nearly all good or excellent and are consistent with recent trainings in this series.

OVERALL EVALUATION RESULTS

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

EVALUATION ELEMENT	AVERAGE SCORES FOR PARTICIPANTS	PREVIOUS WORKSHOPS IN THE SERIES	
	ALL (23)	CAIRO, EGYPT (2012)	BANGKOK, THAILAND (2012)
Technical Program	4.04	4.53	4.06
Facilitation	4.56	4.25	3.87
Logistics	4.52	4.24	4.10
Venue	4.69	4.29	4.40
Field Visit	4.52	4.24	4.28

IMPACT: EVALUATION ELEMENT	SCORING SCHEME	SCORE*	INTERPRETATION
Empowerment (Knowledge & Capabilities): To what extent has this workshop increased your knowledge and capabilities to address environmental compliance requirements in the context of your job function/professional responsibilities?	1=not at all increased	2.56	Many participants appear to be highly motivated following the workshop but also recognize the challenges in getting management to pay attention to environmental compliance requirements and fully integrate them into day to day planning and implementation of Mission programs. From group discussion, further reinforced by points raised at the MEO/REA/BEP retreat, there is a great deal of variability among Missions in fully supporting the requirements for ESDM practices.
Motivation: To what extent has this workshop increased your motivation to proactively address environmental compliance and ESDM in the context of your job function/professional responsibilities?	2=moderately increased 3=strongly increased	2.82	

*average across all participants

Learning Approach: (3=ideal score in all cases)

EVALUATION ELEMENT	SCORING SCHEME	SCORE*	INTERPRETATION
--------------------	----------------	--------	----------------

Balance of time in classrooms to time in field	1=much more time in field needed 3=about right balance 5=much more classroom time needed	2.7	A few participants would have liked to go to more field sites than the format of the workshop allowed for.
In the classroom, balance of presentations to exercises, group work & discussions	1=much more emphasis on presentations needed 3=about right balance; 5=much more emphasis on exercise/discussion needed	3.0	
Technical Level & Pace	1=much too heavy 3=about right 5=much too light	3.0	
Learning from training team vs. learning from peers	1=need to hear much more from facilitators 3=about right balance; 5=need much more peer learning/exchange	3.3	Though no specific comments were provided, it appears that some participants would have liked to hear more from the REAs and BEOs present. There was general appreciation of the fact that both REAs were present as well as two BEOs, including the ASIA/Middle East BEO.

*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.

High Rated:

Session 7 – Effective IEEs

Session 12 -- Field based EMMP development (including field trips)

Low Rated:

Special Topics: Subproject Review

KEY TOPICS NOT COVERED:

Were there any topics of key importance to you that were not covered/given very limited attention?	<ul style="list-style-type: none"> • Unusual cases such as DCAs, multilateral, supplemental IEEs • More on practical mitigation measures • More discussion on how to encourage compliance • USAID Forward application/context
--	---

SUPPORT NEEDS:

Are there particular environmental compliance/ESDM support needs or resources that you require?	<ul style="list-style-type: none">• Website with good examples of good environmental documents uploaded to share• Specific best practices around the world• Additional support in developing IEEs• Resources to explain roles and responsibilities for CORs/AORs and support offices for better outreach within the mission
---	--

A spreadsheet containing a full transcription of the evaluations is logged in the GEMS deliverable archive and available from GEMS upon request. Individual comments on the evaluations offer a number of insights for strengthening future workshops in the series.

4. PARTICIPANT ASSESSMENTS OF KEY MESSAGES

Session 16 of the workshop began with a discussion of strategies for achieving environmental excellence in the region and continued with asking participants to identify key messages to communicate to Mission management/teams leaders (USAID staff) and COPs (IP staff). Many of these same points were raised at the follow-on Retreat held on Day 5. The main points identified by the groups are:

- Communication is key at multiple levels:
 - internally in USAID -- within the Mission (OAA, program office, MEO) and with the BEO.
 - With IPs and an observation that key staff need copies of the IEE, not just the COP.
- USAID is upstream-focused and there is too much attention on IEE clearance and not enough follow through for the LOP. Emphasis on downstream (EMMP) matters needs to be increased.
- A global data system promoting simplified document preparation, standardized compliance tracking, and a common environmental compliance filing system would be very useful.
- To promote institutional strengthening, consider making BPRs mandatory, possibly supplemented by an annual internal USAID audit/review on environmental compliance with the AORs/CORs grants/contracts, requiring them to demonstrate compliance.
- Enforce incorporation of environmental compliance language (ECL) in contracts/grants with OAA held explicitly responsible for those in no-compliance.

5. KEY WORKSHOP ATTRIBUTES & IMPLEMENTATION ARRANGEMENTS

PLACE, DATE, AND PARTICIPANTS

DATES	August 26-29, 2013
VENUE	Asia Regional Training Center (ARTC) ARTC provided training facilities and on-site logistical support (e.g., printing, copying, A/V assistance, etc.), arranged site visits, issued invitations, and supported participants in acquiring visas and country clearance for the workshop.
PARTICIPANTS (FULL PARTICIPANT LIST IS ATTACHED)	Total full-time participants, including training team: 35 Full-time participants Total full-time participants excluding training team: 27 representing 15 missions and 5 from USAID partner organizations. Training team: 3 GEMS Trainers, 5 USAID Trainers (see “GEMS training team,” below.)
WORKING LANGUAGE	English

STAFFING AND LOGISTICS

PLANNING LEADS AND COORDINATION	Key planning leads: Logistics: Joyce Jatko and Scott Solberg Workshop Registration & Overall Tracking: Kristin Taddei, Cadmus Case sites: Raks Thai, Scott Solberg, Mercy Nange, Aaron Brownell Agenda & Material preparation: Mark Stoughton, Joyce Jatko and Ashley Fox, Cadmus; Scott Solberg, Mercy Nange, and Andrew Duffy, Sun Mountain International. Mission team: Aaron Brownell, Regional Environmental Advisor, Southeast Asia and the Pacific; Andrei Barannik, Regional Environmental Adviser for Asia, Middle East & OAPA In the two months preceding the workshop, email exchanges and final preparations calls were held by this core planning team.
REGISTRATION	Registration for the workshop was divided into two phases: pre-registration followed by registration via the online USAID Learning Management System (LMS). Pre-registration served as a gating/control process for LMS registration, as well as a means to gather additional information about participant backgrounds and training needs. The pre-registration form was designed for this purpose and attached to the workshop announcement.
IN-COUNTRY LOGISTICS	In-country logistical support was provided by USAID/RDMA, Raks Thai, and ARTC staff who typically provide a high level of on-site support to groups using the training facility. ARTC staff arranged transportation for field visits. Mark Stoughton, Patrick Hall, and Scott Solberg supervised preparations.
GEMS TRAINING	Joyce Jatko (Cadmus) and Scott Solberg (Sun Mountain) served as the lead

TEAM	trainers. Diego Vallejo served as a co-trainer.
USAID TRAINING TEAM	Teresa Bernard Aaron Brownell Andre Barannik, John Wilson Paola Zavala

CONTRACTS, FUNDING, AND COST-SHARES

COST SHARES & SOURCES OF FUNDING	Participant's respective missions/offices and projects covered travel and per diem costs for their staff. USAID/RDMA provided training facilities and staff time for preparations and on-site logistical support. Using obligated RDMA Program Funds, GEMS covered: travel, salary and per diem for the GEMS training team; development of workshop agenda and training materials, including development of special topics and case site exercises, and case site transport.
----------------------------------	--

AGENDA, CONTENT AND MATERIALS

DEVELOPMENT LEAD	Mark Stoughton, Cadmus & Scott Solberg, Sun Mountain International
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: Sourcebook. 1.5" three-ring binder containing the agenda, a brief objectives statement/overview of each module, presentations and exercises. ENCAP Visual Field Guides. Participants were provided with copies of the relevant ENCAP Visual Field Guides for an environmental monitoring exercise on Day 2. LOP Environmental Compliance Milestones Chart. Participants were provided with a laminated copy of the milestones chart developed for this workshop (copy attached). Sourcebooks were reproduced in Bangkok from PDF originals prepared by Cadmus and sent to Bangkok via e-mail. The LOP chart was also reproduced in Bangkok. The ENCAP visual field guides and workshop certificates were reproduced in the US and hand-carried to Bangkok.
CASE SITE VISITS	A virtual site visit was conducted via narrated slide presentation to the Shae Thot agricultural site in Burma. Participants were then asked to discuss key potential impacts of the proposed expansion activities and to evaluate a draft IEE based on the site visit. Field site visits were conducted to three locations in the Bangkok area: 1. Small holder Farming Irrigation Site 2. Dindaeng Waste Water Treatment Plant 3. Nawarin 9 Hospital Rehabilitation and Expansion Using information gained from the field visits, participants were required to develop preliminary EMMPs for the project scenarios they were provided with for their respective sites.

6. ATTACHMENT: FINAL AGENDA

ASIA REGIONAL ENVIRONMENTAL COMPLIANCE-ESDM WORKSHOP

BANGKOK, THAILAND 26-29 AUGUST 2013

DAY/TIME	MODULE	OBJECTIVE/CONTENT SUMMARY
Day I	Motivation, Core Skills, Overview of USAID Environmental Compliance over Life-of-Project	
8:00-8:30	Participant Sign-in	
8:30-8:45	Welcome and Opening Statements	Highlight the value of workshop content and expected results.
8:45-9:30	Session 1: Workshop Objectives, Participant Introductions and Expectations, and Logistics	Articulate workshop plans, objectives, goals, and participants' introductions and expectations. Review the agenda and logistics.
9:30-10:15	Session 2a: Environmental Compliance for Environmentally Sound Design and Management (ESDM) <i>Technical presentation and dialogue</i> <i>(Project Lifecycle Phase: All)</i>	Understand that environment and development are non-separable, and "environment" is both biophysical AND social. Achieve a common, basic understanding of USAID's environmental procedures, the compliance requirements they establish over life-of-project, and, via short case study "vignettes," their importance to achieving good development outcomes.
10:15-10:45	Session 2b: "Environmental Considerations: Toward a Sustainable Future" <i>Video and discussion; participant examples from their own experience</i>	Video showing with follow-on facilitated discussion of ESDM challenges and opportunities for USAID and its Partners in Asia.
10:45-11:00	Break	
11:00-12:00	Session 3: Fundamental Environmental Impact Assessment (EIA) Skills and Concepts <i>Technical presentation and dialogue</i>	USAID's Environmental Procedures are a specific implementation of the general EIA process, and compliance requires applying a set of core EIA concepts and skills over life of project. Define key EIA terms—baseline, impact, activity—and learn essential classroom

DAY/TIME	MODULE	OBJECTIVE/CONTENT SUMMARY
		theory for baseline characterization, impact identification & mitigation design.
12:00-12:30	Session 4: Practicing Fundamental EIA Skills: Virtual Field Visits <i>Photo Tour</i>	Practice information-gathering and observation skills needed to identify impacts/issues of concern
12:30-13:30	Lunch (independent)	
13:30-14:30	Session 5: <i>Group Work & Plenary Synthesis</i>	Synthesize field observations and prioritize impacts/issues of concern; discuss possible approaches for limiting adverse effects on the environment.
14:30-15:30	Session 6: Reg 216: USAID's pre-implementation EIA process <i>Technical presentation and dialogue</i> <i>(Project Lifecycle Phases:</i> <ul style="list-style-type: none"> • <i>Planning Stage 2: Analysis; ,</i> • <i>AND implementation (EAs & activity-level IEEs may occur during project implementation, but prior to implementation of the subject activities.)</i> 	Understand Reg. 216 as USAID's mandatory pre-obligation EIA process, and further understand that environmental mitigation and monitoring conditions established by this process become required elements of activity design and implementation. Become familiar with the entire Reg. 216 process. , with specific reference to its relationship with the project lifecycle: a threshold decision must be in place to finalize the PAD; EAs and activity-level IEEs be undertaken during project implementation, but PRIOR to implementation of the subject activities.
15:30-15:45	Break	
15:45-17:20	Session 7: Effective IEEs <i>Exercise orientation & group work</i>	Initial Environmental Examinations (IEEs) are USAID's version of the <i>preliminary assessment</i> and the most common type of Reg. 216 documentation. We work to develop an IEE based on the virtual field visit.
17:20-17:30	Daily Evaluations and Announcements	
Day 2: Life of Project Compliance & Sectoral Compliance & Good Practice		
8:15-8:25	Day 1 review & Day 2 prospectus	

DAY/TIME	MODULE	OBJECTIVE/CONTENT SUMMARY
8:25-8:55	Session 7, cont'd: Effective IEEs <i>Plenary report-out and synthesis</i>	
8:55-9:45	Session 8: Fundamental EIA Skills 2: Environmental Monitoring and Environmental Mitigation and Monitoring Plans (EMMPs) <i>Technical presentation and dialogue</i>	Monitoring is the essential complement to mitigation: its objective is to determine clearly and cost-effectively if mitigation is sufficient and effective. We will understand this objective, brief the two types of environmental monitoring indicators & achieve a common understanding of the principles of environmental monitoring design. EMMPs set out the mitigation and monitoring measures by which a project will respond and comply with IEE or EA conditions. We will understand the basic EMMP concept and formats. Introduce key guidance: <i>EMMP Factsheet</i>
9:45-10:15	Session 8: cont'd <i>"Conditions to Actions" discussion/exercise</i>	Practice a key EMMP skill: Translating IEE conditions to specific mitigation actions
10:15-10:30	Break	
10:30-11:30	Session 9: Indicators exercise <i>Small group exercise</i>	Build and apply indicator design/selection skills (a key constituent skill for EMMP development) in a scenario-based small-group exercise centered on the Visual Field Guides.
11:30-11:50	Session 10: Procurement & Env Compliance <i>Emphasis on indicators for success at each compliance stage</i>	The ADS requires that procurement instruments include/reference IEE/EA conditions. But beyond this, setting the stage for env compliance/effective environmental management in project implementation requires assuring that bids reflect partner CAPABILITY for necessary environmental management, that cost proposals reflect these costs, and that contractual mandates are established to develop EMMPs and integrate them in workplans and budgets
11:50-12:20	Session 11: Env Compliance in Implementation <i>Presentation & Q&A</i>	Compliance and achieving ESDM in implementation requires that IPs develop and then implement EMMPs. For USAID to fulfill its compliance oversight and monitoring responsibilities, (1) IPs must report on environmental compliance/EMMP implementation, and (2) USAID field visits must

DAY/TIME	MODULE	OBJECTIVE/CONTENT SUMMARY
		examine environmental compliance
12:20-12:30	Core content review/Q&A	With core life-of-project compliance skills and processes covered, take time for a brief Review/Q&A session
12:30-13:30	Lunch (independent)	
13:30-15:00	Special Topics: Sectoral Good Practice and Compliance I Topics. Subproject Review & Pesticide Risks, Safer Use & USAID's Pesticide Procedures <i>Technical presentation and dialogue</i>	Briefings on environmental good practice for sectors of relevance to field visits. Includes intro to good practice resources, particularly USAID's <i>Sector Environmental Guidelines</i> .
15:00-15:30	Session 12: Field based EMMP development exercise <i>Part A: Briefing</i> 1. Small holder Farming Irrigation Site 2. Dindaeng Waste Water Treatment Plant 3. Nawanin 9 Hospital Rehabilitation and Expansion	Briefing on the extended EMMP development exercise and the case sites that will form the basis of the exercise. Divide participants into case groups according to their thematic interests. Work in small groups
15:30-15:45	Break	
15:45-16:50	Session 12, cont'd: EMMP development exercise: small group work <i>Part B: Group Preparation</i>	Begin work in in small groups to develop EMMPs for project scenarios based on the field visits we will undertake at the beginning of Day 3.
16:50-17:00	Daily Evaluations and Announcements	
Day 3: Field Visits & EMMP Development		
8:15-13:00	Session 12, cont'd <i>Part C: Field Visits</i>	
13:00-14:00	Lunch (independent)	

DAY/TIME	MODULE	OBJECTIVE/CONTENT SUMMARY
14:00- 16:50	Session 12, cont'd <i>Part D: EMMP & Presentation</i> <i>(Groups take tea break at their leisure)</i>	<i>Groups work to complete their EMMPs & make presentations</i>
16:50-17:00	Daily Evaluations and Announcements	
Day 4	Wrapping Up & Charting a Way Forward	
8:15-9:00	Session 13: Roles, Responsibilities & Resources	Synthesize and review Environmental Compliance Roles & Responsibilities. Introduce the key resources available to support environmental compliance and ESDM, including the GEMS website; ENCAP resources; RDMA engineer;
9:00-10:00	Session 14: Web based environmental tracking and compliance tool	Presentation and small group work on use of tool and possible needs of RDMA and Missions
10:00-10:30	Session 15: Environmental Compliance Jeopardy	Reinforce key “core session” content with an group competition interactive Environmental Compliance” Jeopardy game
10:30-10:45	Break	
10:45-11:30	Session 16 <i>Part A: Strategies for achieving excellence in environmental compliance</i>	Presentation on “Strategy for Environmentally Sound Design and Management - Southeast Asia and the Pacific”
11:30 -12:30	<i>Part B:</i> <i>Focus sessions & individual action plans</i>	Break into focus groups and work to identify key messages to communicate to mission management/sector team leaders (USAID staff) and COPs (IP staff) to prioritize and strengthen LOP environmental compliance; develop an individual plan for workshop follow-up to strengthen LOP environmental compliance in your project team, or mission/operating unit.
12:30-13:30	Lunch	
13:30-14:00	Session 16, cont'd <i>Part C: “Way Forward” plenary discussion</i>	Brief report-outs from the 2-3 focus sessions; highlights of individual action plans
14:00-14:30	Parking lot session	Address unresolved questions or issues and summarize information presented throughout the training.

DAY/TIME	MODULE	OBJECTIVE/CONTENT SUMMARY
	<i>Plenary session</i>	<ul style="list-style-type: none"> • Base Camp introduction • Carbon neutral event
14:30-14:45	Session 17: Evaluations	
14:45-15:15	Closing & Certificates	

8. ATTACHMENT: EVALUATION FORM

LIFE-OF-PROJECT ENVIRONMENTAL COMPLIANCE AND ENVIRONMENTALLY SOUND DESIGN AND MANAGEMENT

AN ASIA REGIONAL TRAINING WORKSHOP FOR USAID STAFF & PARTNERS
BANGKOK, THAILAND, 26-29 AUGUST 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 the Middle East, Asia and globally. Thank-you for your time!

LEARNING APPROACH

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

ISSUE	ASSESSMENT				COMMENTS
Balance of time in classroom to time in field	Much more time in field needed	A bit more time in field needed	About right	A bit more time in classroom needed	
In the classroom, balance of presentations to exercises, group work & discussions	Much more emphasis on presentations needed	A bit more emphasis on presentations needed	About right	Much more emphasis on exercises/discussions needed	
Technical level & Pace	Much too heavy	A little too heavy	About right	Much too light	
Opportunities for peer exchange & learning	Needed to hear and learn much more directly from facilitators	Needed to hear and learn directly from facilitators	About right	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	ACCEPTABLE	GOOD	EXCELLENT	
Technical quality (Program & Facilitation)						
Logistics						
Venue						
Field visits						

IMPACT

Please circle the characterization you most agree with.

QUESTION	CHARACTERIZATION			COMMENTS
Baseline Knowledge 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	
Empowerment	Not at all	Moderately	Strongly	

<p>To what extent has this workshop increased <u>your knowledge and capabilities</u> to address environmental compliance requirements in the context of your job function/professional responsibilities?</p>				
<p>Motivation 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?</p>	Not at all	Moderately	Strongly	

KEY TOPICS NOT COVERED

<p>Were there any topics of key importance to you that were not covered/given very limited attention?</p>	
---	--

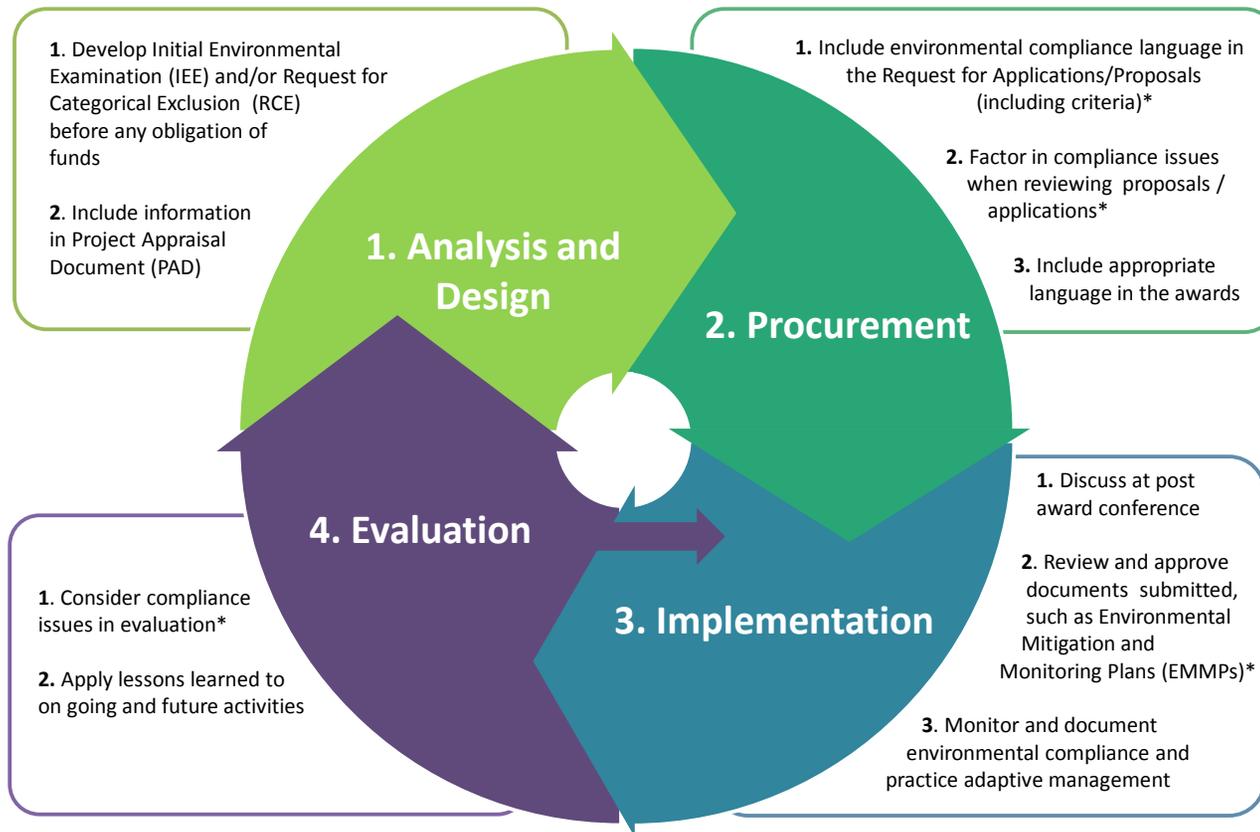
SUPPORT NEEDS

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

ADDITIONAL COMMENTS WELCOME ON ANY TOPIC:

9. ATTACHMENT: USAID LIFE OF PROJECT ENVIRONMENTAL COMPLIANCE MILESTONES

USAID Life of Project Environmental Compliance Milestones



* only applies to projects with a negative determination with condition or positive determination

10. ATTACHMENT: ASIA REGIONAL MEO-REA-BEO RETREAT

SUMMARY AND RESULTS

ASIA REGIONAL MEO-REA-BEO RETREAT -- 30 AUGUST 2013

Following the four-day Asia Regional Environmental Compliance-ESDM Workshop, 23 people remained for a fifth day to attend a retreat. While the main purpose of the retreat was to discuss issues, obstacles and challenges for regional environmental compliance, there were two additional discussions – one on Multilateral Development Banks (MDBs) and environmental review, the other on Government-to-Government (G2G) programs and how environmental management issues should be handled.

MDBS AND ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENTS (ESIAs)

Before starting the discussion of issues and priorities, the E3 BEO, Teresa Bernhard, made a presentation on MDB projects and a pending requirement for review of bank project ESIAs by Missions. She was soliciting input from attendees on how this requirement could be handled within the Missions. There was discussion, including a suggestion by one of the REAs that perhaps Mission staff could be getting information before the ESIAs are sent, such as through scheduled public consultations on the projects if they are held. No other specific suggestions were put forward and Teresa requested any suggestions be e-mailed directly to her.

GOVERNMENT-TO-GOVERNMENT (G2G) AGREEMENTS AND ENVIRONMENTAL COMPLIANCE

Midday the Senior Regional Legal Advisor, Farhad Ghaussy, addressed the group to discuss issues related to implementing USAID FORWARD and G2G agreements. He suggested that Missions treat G2G projects as any other – USAID rules apply. He noted that at the moment there is not a lot of specific guidance available and advised that the best approach is to comply with USAID Reg. 216 procedures as much as possible, recognizing that we are not working with a standard Implementing Partner (IP). Missions should look at what the G2G funds will be used for, integrate that information into the USAID environmental analysis, and include any requirements in the agreements. There followed some discussion of the need to assess the capacity of the government to conduct assessments and develop and implement EMMPs.

REGIONAL PRIORITIES FOR IMPROVING COMPLIANCE

The primary purpose of the retreat was to discuss what is working well and identify the issues, obstacles and challenges for regional environmental compliance. Attendees also determined what they considered the top priorities to address over the next 3-5 years in terms of things that are working well as well as ways to address problem areas.

BRAINSTORMING SESSION

Attendees were broken up into small groups to discuss what they thought was working well in terms of environmental compliance, and what they saw as issues, obstacles and challenges. The results were reported out and discussed in plenary. They formed the starting point for a further discussion to prioritize recommended actions for the next 3-5 years.

WHAT'S GOING WELL

- Quick REA and BEO clearance.
- Strong REA & BEO support – they “have your back.”
- Some AORs/CORs take environment seriously.
- Having a shared electronic drive at the Mission with all documents.
- Updates provided by Aaron Brownell (they also asked if people can be added to the distribution list).
- Good opportunities for the MEO to share issues and information in the Mission.
- Some Missions invite the MEO to opening meetings for contracts/agreements.
- We have good personnel with good ideas, training, enthusiasm and experience.
- There are good resources available.
- IPs are interested and open about environmental compliance (and we should go to them to provide training).
- If the IP has a dedicated environmental person, things go well.
- Mission level training and the four-day course are useful.
- Strong communication with USAID and IPs and AORs/CORs improves environmental compliance.
- Third party oversight works well.
- Having a POC in the Mission is important (MEO, deputy MEO).
- Mission Order for environmental compliance is important.
- The IG audit helped improve Mission processes.
- Environmental compliance language in solicitations and awards and engaging the MEO in the process is important.
- Having an environmental document tracking system (including IEEs and EMMPs) is valuable.

ISSUES, CHALLENGES, OBSTACLES

- MEO expectations and EMMP requirements may not be realistic – they need to be balanced.
- AORs/CORs and IPs don't understand their roles and responsibilities or give attention to their requirements. Some don't feel accountable.
- The MEOs need to build core competencies through education and experience, which must be practical to be useful.
- Monitoring for compliance needs to be standardized.
- Lack of funding is a problem affecting training, field visits.
- The MEO is not in a position of authority, affecting the ability to influence and implement.

- The MEO is not well placed in the organization.
- MEOs are not included in OAA procurement processes including post award conferences and appropriate environmental language is not being included in solicitations and awards.
- MEOs need guidance on the application of USAID FORWARD as it relates to PIOs and G2G agreements.
- The MEO PD does not describe MEO duties well.
- MEOs are not getting enough training on Reg. 216 and the training needs to be practical. This is due, in part, to funding and policy constraints.
- Some Missions lack a Mission Order on environmental compliance.
- MEOs are not being involved in procurement or EMMP implementation.
- Some expectations/requirements of the MEO are too high (e.g., writing IEEs, attending too many site visits across the Mission).
- MEOs have too many non-MEO duties; the role of MEO is not in the annual performance evaluation.
- AORs/CORs are inadequately trained.
- AORs/CORs are not evaluated on their environmental compliance performance.
- Some Missions have restrictions on movement due to security issues.
- Follow-up and monitoring aren't a focus.
- Project files may lack environmental documentation.
- AORs/CORs don't know the process, such as when to do an IEE amendment.
- There's not enough time for review as a result of last minute submissions.
- IPs may not have a copy of the IEE/CE/EA and don't know what the environmental document says or requires.
- There is an overall lack of standardization.
- The MEO is not involved in project design.
- ADS 204 doesn't provide comprehensive guidance for the whole process.
- BS 40 competencies should have greater emphasis on environmental compliance.

PRIORITIZATION AND THE WAY FORWARD

Attendees were asked to vote on their top ranking points, first those identified as “good”, then those identified as issues. From this process, five situations that are going well and five situations that present challenges were identified as higher priority, though none of the many points identified in the brainstorming session were considered to be invalid. Suggestions for enhancing the good and dealing with the challenges were identified and another vote was taken to prioritize suggested actions. The results are provided in the table below, listed on the basis of number of votes received.

WHAT'S GOING WELL

CURRENT SITUATION	ALL SUGGESTED ACTION(S) -- BOLDED RECEIVED THE MOST VOTES
1. Strong BEO/REA support – they have your back	<ul style="list-style-type: none"> • BEO/AEC send out updates when there are policy changes • Keep up/increase visits to the field <ul style="list-style-type: none"> ○ REAs need feedback to keep these visits going (need to know that they are beneficial) ○ REAs need actual requests from the Mission for a visit • Keep up the good work • REAs should continue working to distribute info on policy changes
2. Environment document tracking system (IEE, EMMP, etc)	<ul style="list-style-type: none"> • The existing standard mission based system should for tracking should be used; need increased roll-out <ul style="list-style-type: none"> ○ Make the standard system Agency wide to make environmental compliance reporting easier
3. IG audit helped improve mission processes	<ul style="list-style-type: none"> • Require mandatory Best Practices Reviews <ul style="list-style-type: none"> ○ This can be done by third parties or a team made up of staff from other Missions
4. Mission Order for Environmental Compliance	<ul style="list-style-type: none"> • Periodically update the Mission Order • Have the BEO periodically remind the Mission Director to update the Mission order • MEO should use the periodic updates to discuss changes in policy, etc. with Mission staff and Mission Director
5. Good personnel with good ideas & training, enthusiasm, experience	<ul style="list-style-type: none"> • Maintain “awesomeness” with incentives and awards <ul style="list-style-type: none"> ○ Include MEO responsibilities in performance evaluation • Create an Agency award for environmental compliance • Develop incentives/awards for IPs

ISSUES/ CHALLENGES/OBSTACLES

CURRENT SITUATION	ALL SUGGESTED ACTION(S) -- BOLDED RECEIVED THE MOST VOTES
1. AOR/COR and IPs don't understand roles and responsibilities; or don't care; or don't feel accountable; or don't give attention to requirements	<ul style="list-style-type: none"> • Include accountability in AOR/COR evaluations for environmental compliance responsibilities • AOR/COR responsibilities should be included in their designation letters • Require annual mandatory environmental training (to be done by the MEO and/or REA)

	<ul style="list-style-type: none"> • Include environmental compliance in portfolio reviews • There should be evaluation criteria for IPs on environmental compliance and the AOR/COR should note that in the IP performance evaluation • MEOs and MEO champions should build relationships with AORs/CORs • Include environmental training in the mandatory 40 hour AOR/COR training requirements • Conduct brown bags lunches, social after work events to discuss environmental issues
2. MEOs not getting enough training on Reg 216 (funding <u>and</u> policy constraints)	<ul style="list-style-type: none"> • Provide for thematic/sectoral training on topics such as Biodiversity, global climate change, water and sanitation, agriculture, health, construction, GIS
3. MEOs need to build core competencies; build education and experience; need to be practical	<ul style="list-style-type: none"> ○ These could be done in person or electronically • Support formal non-USAID training (like the Duke University courses) • Provide an Agency-wide State-of-the-Art (SOTA) technical meeting • Communication skills should be a core training skill • Develop a set of FAQs for MEOs (the MEO Handbook may also be a resource) • Support professional development programs • Create a mentorship program • Revise the competency list for all FSOs to increase environmental compliance requirements • Transition the MEO to the front office vice the technical office, similar to the placement of the RLA
4. ADS 204 doesn't give comprehensive guidance on the whole process (for example, no discussion of EMMPs)	<ul style="list-style-type: none"> • Provide more help/guidance documents in ADS 204 • Revise ADS 204 to include more standardized formats, roles and procedures • Have ADS 204 define environment to include social, cultural and physical • Have ADS 204 use the lifecycle graphic adopted at this workshop (copy attached) to describe the whole process • Make the suggested Environmental Compliance Language for Use in Procurement mandatory
5. Some expectations/requirements on MEO are too high (for example, MEPs are expected to write IEEs, attending many site visits across the Mission)	<ul style="list-style-type: none"> • Revise the MEO position descriptions to reflect the level of effort/workload specific to Mission needs MEO and AOR/COR designation letters and Mission Orders should be written so as to help manage expectations

ASIA REGIONAL MEO-REA-BEO RETREAT

BANGKOK, THAILAND 30 AUGUST 2013

DAY/TIME	MODULE	OBJECTIVE/CONTENT SUMMARY
Day 5: MEO/REA/BEO RETREAT		
8:15-8:45	Setting the Stage	Purpose of the retreat
8:45-9:30	Session 1: MDB projects	Pending changes in Title XIII reviews
9:30-11:30	Session 2: Brainstorming <i>By table for 1 hour; plenary discussion for 1 hour Plenary (take tea break at mid-point)</i>	What is working well and why is it working well? What are the issues and obstacles and challenges for regional environmental compliance and why?
11:30-12:00	Session 3: Regional Priorities for Improving Compliance	Prioritize identified challenges and issues for regional environmental compliance.
12:00-12:45	Session 4: Special Topic: Compliance in the Context of Government-Government Assistance <i>Plenary</i>	Specifics TBD
12:45-13:45	Lunch	
13:45-14:30	Session 5: Improved Compliance – Lessons Learned <i>Plenary</i>	Share lessons learned from within the region of how compliance can and has been improved and discuss their broader application.
14:30-15:45	Session 6: Peer exchange and problem solving <i>Group work</i>	Discussion and problem-solving around issue areas and priorities for improved compliance. Identify root causes of key issues.
15:45-16:00	Break	
16:00-16:45	Session 7: Recommended Actions Items for Improving Environmental Compliance Capacities and Outcomes <i>Plenary</i>	Following on from discussion regarding problem solving for improved compliance, identify action items and brainstorm implementation strategies for follow-on actions.
16:45-17:00	Session 8: Closing <i>Plenary</i>	