

PD ABX-639

118606



TO: Judith Barry, US-AEP Secretariat
FROM: Karen Marshall *KM*
Senior Environmental Policy Analyst
RE: State Environmental Initiative
Final Report to US-AEP for CY1994-2002
DATE: January 31, 2003
CC: Beulah Sexton, CSG Restricted Funds Coordinator
USAID, CDIE/DI, Washington, DC 20523-1802

The Council of State Governments submits its Final Report to US-AEP for CY1994-2002 in fulfillment of the reporting requirements for cooperative agreement #4990015, the CSG/US-AEP State Environmental Initiative. This report highlights program activities since inception of the SEI program in October 1994 through its completion in December 2002. CSG appreciates the opportunity to partner with US-AEP during the past eight years. We look forward to furthering this productive and innovative initiative in the coming years.

CSG/US-AEP STATE ENVIRONMENTAL INITIATIVE PROGRAM

I. OVERVIEW: PROGRAM LAUNCH OCTOBER 1994

The CSG/US-AEP State Environmental Initiative cooperative agreement with USAID was launched in October 1994 with a \$4.5 million three-year budget and optional two years at \$1.5 million per year. Lead CSG personnel for the SEI were Steve Brown, director for the CSG Center for the Environment, and Sandra Cabot, deputy director for the center. A brief Call for Proposals was issued February 15, 1995.

An advisory committee was appointed in 1996 to guide the program and review proposals. The original membership included representation by a former state senator, NASDA, Environmental Business International Inc., Pacific Basin Study Center, Alliance for Global Commerce, a former governor, World Bank and the Asia Foundation. Subsequent appointments have included the East-West Center, Kenan Institute, state legislators and a CSG associate.

CSG hosted a workshop March 8-10, 1995 in Bellevue, Washington for potential applicants to the grants program. The meeting was attended by several USAEP personnel from Washington, DC and the Asia field offices. Twenty proposals were submitted to the 1995 grants cycle. The SEI submitted eight finalists to the USAEP Secretariat, all of which were approved for funding.

The SEI released its second CFP February 1, 1996 and hosted a grants workshop March 13-15, 1996 in San Diego, California for candidates to the second year grants cycle. Twenty proposals were submitted to the 1996 grants program. The advisory committee met at CSG Headquarters to review the proposals and establish some of the criteria for their selection. Eight projects were awarded for the 1995 cycle.

After the first year an annual Call for Proposals was issued, the advisory committee convened to select proposals each year and four to seven projects were awarded annually. With the departure of both Steve Brown and Sandra Cabot after the first two years of the program, Karen Marshall, environmental policy analyst, was assigned to manage the program. A mid-term evaluation of the program was conducted by Fred Fischer, consultant to USAID, in 1998.

The SEI program awarded grants to 24 different states to conduct 44 projects in Asia from 1995 through 2002. The projects have operated in thirteen Asian economies. US-AEP funds awarded to the state-led projects totaled just under \$6 million. The average grant was for \$130,500. The partners matched this amount with approximately \$9.3 million.

II. SUMMARIZATION OF PROGRAM ACCOMPLISHMENTS

Project accomplishments in Asia include:

HONG KONG

- Teaching case studies for environmental business administration curriculum and strengthening the capacity of the Center for Environmental Management Education and Development.

INDIA

- Strengthening the capacity of India's Green Courts in alternative dispute resolution.

MALAYSIA

- Establishment of the Asia-Pacific Center for Remediation and Restoration of Contaminated Lands in Kuala Lumpur;
- Action plans for cleaner production by four organizations.

PHILIPPINES

- An environmental accounting course;
- A landfill feasibility study;
- A model energy performance contract;
- Local action plans for waste minimization by seventeen pilot cities.

SOLOMON ISLANDS

- Establishment of a new NGO – Guadalcanal Rural Electrification Agency – to promote solar rural electrification.

TAIWAN

- Technology evaluation for animal waste management and strengthening the capacity of the Environmental Center for Livestock Waste Management at the National Pingtung University of Science and Technology.

THAILAND

- Establishment of a Center for Environmental Management and Training at the Environmental Research Center for Chulalongkorn University;
- Environmental performance indicators for selected industrial sectors;
- Pollution prevention/chemical emergency management training;
- Strengthening the capacity of the Thailand Pollution Control Board;
- Agent/distributor search applications, market entry strategies, export financing and training for U.S. businesses.

VIETNAM

- Air quality management plans for Chiang Mai, Thailand and Ho Chi Minh City;
- Strengthening the capacity of the Ho Chi Minh City Department of Science, Technology and Environment.

III. DESCRIPTION OF METHODS OF WORK USED

CSG utilized a number of mechanisms to promote the SEI program, evaluation the progress of the projects and report program and project accomplishments, issues and recommendations to the US-AEP Secretariat and support staff.

A. Outreach and Promotion

Internet Web Site

The SEI launched a dedicated website for the program in 1999. General information about the program as well as specific pages for each grant-funded project were posted and updated continuously on the Internet site at www.sei-asia.org.

Ecos Green Developments Quarterly Publication

CSG created a new format to promote the SEI program entitled *Green Developments* that premiered in the November/December 1994 issue of *ecos: the environmental communiqué of the states*. *Ecos* is CSG's quarterly publication on environmental topics of interest to states.

CSG National and Regional Forums

Presentations were made at every CSG semi-annual meeting to its national environmental task force and international committee. Presentations were also made to several of the CSG regional meetings.

B. Oversight and Evaluation

Phase One Evaluations. In an effort to strengthen oversight of the grant projects and provide increased direction to the project's focus, the SEI instigated "phase one evaluations" of all projects in Y2000. The evaluations were usually conducted via conference call with SEI staff, a USAEP Secretariat member, the project director and the Asia field officer. The session requested responses from the project partners to the following items:

1. Comparative review against the original proposal
2. Review of the accomplishments during Phase I of the project
3. Review of the project focus
4. Review of project goals and whether they are being met
5. Assessment if the project is proceeding in a timely fashion
6. Review the project partnerships being developed as expected
7. Review that the project funds being used judiciously, appropriately and per the budget
8. Review the next steps for Phase II.

After each evaluation a consensus was sought with USAEP as to whether the project should continue and, if so, any changes from the original workplan that needed to be incorporated.

In addition, on-site evaluation of several projects was conducted by CSG and the advisory committee both stateside and in Asia.

C. Reports to USAID/US-AEP

The SEI submitted all quarterly and annual reports as required to USAID/US-AEP summarizing the program and project activities for each period.

Monthly Reports. In response to a request from US-AEP for more information, the SEI began submitting two sets of monthly reports to TSSC:

- a. The Monthly Operations Report, commenced in August 2001, provided detail on administrative activities of the SEI. The report summarized requests from the grant-funded projects for guidance and the responses provided. It brought up issues and opportunities to which the AEP Secretariat

could respond. Finally, it provided an interim snapshot of project activities, accomplishments and upcoming events since the previous quarterly report.

- b. The Monthly Activities Report, a required element from the project directors since the program's inception, began to be forwarded to US-AEP in 2001 to provide a more detailed picture of each project's activities. The reports provided information on each project's previous month's activities, progress toward project outcomes, problems encountered, next steps, planned activities/travel and anecdotal text on success stories and lessons learned from the field. The projects also submitted a Travel Update with proposed travel dates, destination, who was traveling, with whom the participants would be meeting, the reason for the travel, outcomes addressed and expected results.

USAEP Performance Monitoring Plan. The SEI gathered data periodically as requested to fulfill the Performance Monitoring Plan reporting requirements.

IV. COMMENTS

Sustainability

The ability of the SEI projects to become "institutionalized" in-country has strengthened considerably since inception of the program. Although continued activities may not appear through the standard USAEP channels, local partners are indeed continuing to carry out further or related tasks to the original projects. The stateside partners also continue to be engaged with and/or available for the Asian partners. A second evaluation of the SEI program by Fred Fischer in 2002 determined there were confirmed sales of \$13,775,500 by 27 U.S. companies associated with 15 of the projects. Fischer's evaluation reported that 123 U.S. and 491 Asian institutions were involved in SEI projects in FY2001 alone.

The SEI program has introduced myriad partnerships from the public, private, academic and NGO sectors. In the U.S. 42 state governments agencies have participated in one or more projects as have six federal and twelve local governments. Asian partners include eight state governments, fifteen federal and five local jurisdictions. Thirty American and nine Asian universities have joined the various projects. Sixty-seven US businesses and fifteen Asian businesses; ten U.S. professional/industrial associations and twenty-five Asian associations have participated in the SEI projects.

IV. FISCAL REPORT

The fiscal reporting is submitted under separate cover by Beulah Sexton, CSG Restricted Funds Coordinator.