



Management Assessment

**By Mary Hobbs
(with technical assistance from Rand Robinson and Tim Resch)**

March 2002

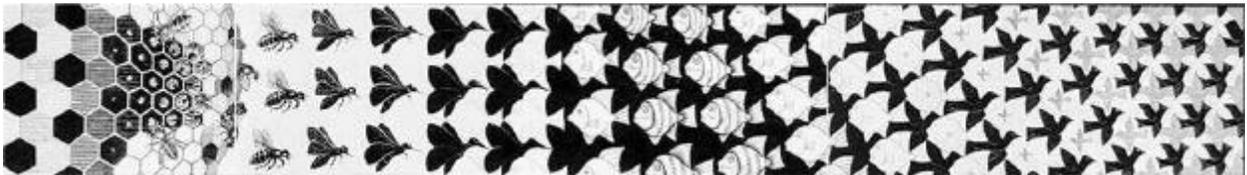


Table of Contents

Acknowledgements.....	2
Acronyms.....	3
Executive Summary.....	4
I. Background: A History of the EAPEI.....	5
A. Program Evolution: Transition to EAPEI.....	5
B. Context of the Assessment.....	6
II. Assessment of the EAPEI.....	6
A. Assessment Objectives.....	6
B. Methodology.....	7
C. Assessment Findings.....	8
1. Overall Assessment.....	8
2. Initiative Management.....	9
3. Responding to Future Change.....	10
4. Reporting and Communication.....	12
5. Initiative Focus: geographic and sectoral.....	13
III. Recommendations.....	14
A. Overall Assessment.....	14
B. Initiative Management.....	15
C. Responding to Future Change.....	16
D. Reporting and Communication.....	17
E. Initiative Focus: geographic and sectoral.....	17
Annex 1 Names and contact information of Assessment participants	19
Annex 2 Scope of Work.....	20
Annex 3 Interview Questions.....	23
Annex 4 Written Questionnaire.....	25

Acknowledgements

The author wishes to thank the many individuals who graciously offered their time and thoughtful suggestions to this assessment exercise. Their contributions have provided valuable insights and perspectives, which will be used to guide the East Asia and Pacific Environmental Initiative. While every effort has been made to accurately represent the contributors' views, it must be stated that the author assumes sole responsibility for any factual errors or misinterpretations that may have inadvertently entered into this report.

Acronyms

AEP	USAID Asia Environmental Partnership
ANE	USAID Bureau for Asia and the Near East
ASEAN	Association of Southeast Asian Nations
CRM	Coastal Resources Management
DA	Development Assistance Fund
EAP	Department of State Bureau of East Asian and Pacific Affairs
EAPEI	East Asia and Pacific Environmental Initiative
EGAT	USAID Bureau for Economic Growth, Agriculture and Trade
EPA	Environmental Protection Agency
ESF	Economic Support Funds
FLU	Forestry and Land Use
NGO	Non-governmental Organization
NOAA	National Oceanic and Atmospheric Administration
RFA	Request for Application
SEA-EI	Southeast Asia Environmental Initiative
SO	Strategic Objective
SPOTS	USAID/ANE Office of Strategic Planning, Operations and Technical Support
USAID	United States Agency for International Development
USDA	United State Department of Agriculture
WRI	World Resources Institute
WWF	World Wildlife Fund

Executive Summary

This report details the findings and recommendations that emerged from an assessment of the East Asia and Pacific Environmental Initiative (EAPEI) undertaken in January and February 2002. EAPEI is an ESF-funded small grant initiative managed jointly by the U.S. Department of State and the U.S. Agency for International Development. The objective of EAPEI is to “improve environmental conditions and quality of life by increasing environmental capacity and knowledge in the East Asia and Pacific region”.

The EAPEI is currently in its fifth grant cycle, and has evolved considerably since its inception in 1997. The Initiative is also facing prospective changes in the coming year, including a possible shift in funding source and levels. A polling of stakeholders to understand how the Initiative has evolved and options for the future was, therefore, deemed useful.

This assessment polled stakeholders and implementation partners through the use of personal interviews and a brief questionnaire. Seventeen individuals were interviewed, and questionnaires were sent to nineteen informants, resulting in five responses. Two new entry professionals at USAID, Mary Hobbs, an environment officer, and Rand Robinson, a program development officer, conducted the assessment.

The comments received about the EAPEI and its evolution were, overall, positive. The most common characterization of the Initiative was that it served a valuable function as a niche for channeling funds to environmental and policy activities in the region. With respect to these two objectives—environmental conservation and policy support, a clear division emerged between those who viewed EAPEI primarily as a means of supporting conservation goals, and those who stressed its importance as a flexible tool for addressing changing policy objectives in the region. This divide was reflected in many of the recommendations. In summary, general consensus occurred for the eight recommendations below:

- 1) EAPEI should maintain a strong regional focus;
- 2) EAPEI should continue to operate in USAID non-presence countries (even if it becomes funded through Development Assistance Funds);
- 3) The selection criteria should be made as explicit as possible in the RFA (e.g. if there are specific geographic or programmatic objectives for a given year). It was suggested that this could help avoid future disbursement delays.
- 4) Increase the number of project field visits made by EAPEI staff
- 5) If there were a growth in funding, larger grants should be given for longer periods of time and increased EAPEI staff support would be justified. Preference given for added field staff
- 6) A brief annual report or synopsis of activities is recommended;
- 7) EAPEI marketing could be improved through publication of brochures and presentations;
- 8) EAPEI’s advantage is seen to be in “green” and “blue” activities. However “brown” (e.g. industrial/pollution prevention) activities focusing on capacity building could also be supported.

I. Background: A History of the East Asia and Pacific Environmental Initiative

A. Program Evolution: the Transition from SEA-EI to EAPEI

The East Asia and Pacific Environmental Initiative (EAPEI), established in FY 1999, grew out of the earlier Southeast Asia Environmental Initiative (SEA-EI), a one-year program that was established in FY98 to address fire and smoke episodes in the region stemming from an outbreak of forest fires in Indonesia. The SEA-EI supported better forest management techniques and policies, improved fire prevention and fighting, and improved climate-impact forecasting and environmental monitoring.

The EAPEI was established to continue the general activities of 1998, but added a broader geographic focus (the Pacific), began to work with a more diverse set of partners (NGOs in addition to U.S. governmental agencies), and a marine component was added. A full-time management position was created using program funds in 1999, and Tim Resch assumed this position in February 2000. Trigeany Linggoatmodjo was hired in June 2001 as the EAPEI Management Specialist based at USAID/Indonesia.

The EAPEI's mandate has been to address critical environmental challenges and opportunities in East Asia and the Pacific in the areas of forest and land use management, coastal and marine resources management, and environmental pollution. The EAPEI works to complement other U.S. government investment in the region by supporting cross-border, transboundary and regional activities and institutions and by supporting activities in USAID non-presence countries.

The stated goal of the East Asia and Pacific Environmental Initiative is to "...improve environmental conditions and quality of life by increasing environmental capacity and knowledge in the East Asia and Pacific region" through joint State/USAID and partner efforts. The Objective is to establish an efficient, transparent and effective grants program contributing to accomplishing the EAPEI goal. The EAPEI implements through agreements with U.S. federal agencies, international and regional organizations, universities and USAID-registered non-governmental organizations.

To date, EAPEI activities have addressed the following management objectives:

- 1) Promote rational use of renewable natural resources in East Asia and the Pacific;
- 2) Increase the capacity of national and regional institutions, both governmental and non-governmental, to manage the natural resource base for the next two years and beyond; and
- 3) Share knowledge for improved management of natural resources among East Asian and Pacific Island nations.

The EAPEI has been financially supported by Economic Support Funds (ESF) from the Bureau of East Asian and Pacific Affairs, U.S. Department of State. It is managed by U.S. Agency for International Development (USAID), Bureau for Asia and Near East (ANE) under the ANE/SPOTS Strategic Objective 498-024 "Environment managed for prosperity and sustainability".

B. Context for the Assessment

Given that SEA-EI was established in 1998, and EAPEI followed shortly thereafter in 1999, the Initiative's entire history could be considered "recent". This section, however, will focus primarily on developments that have occurred since the Initiative came under new management in early 2000.

Most of the respondents who participated in this assessment described the early years of SEA-EI as a "grab bag" of activities organized in response to the regional crises that emerged following the catastrophic Indonesian forest fires of 1997 and 1998. In the first year of the Initiative, assistance was funneled through U.S. government agencies, such as the USDA Forest Service, NOAA, and EPA, who carried out activities primarily in Indonesia. In 1999 assistance was more geographically dispersed. With the arrival of a new manager in 2000, the Initiative evolved into a more formal small grant program.

The evolution of the EAPEI in the last two years has been characterized as becoming more rigorous in its RFA distribution, grantee selection, and disbursement procedures. This formalization has meant broader open competition. Applications have increased in detail, quality, size, leverage, and partnerships. Applications also fell from 63 in 2000 to 44 in 2001 and to 27 for 2002 while the total amount requested remained at about \$15 million. NGO's have become the primary recipients of EAPEI funds. In general, the selection and funding procedures resemble USAID procedures, largely due to the fact that day-to-day management is housed at USAID and is under USAID policy and procedures. The State Department's Office of East Asia and Pacific Affairs (EAP) collaborates closely with USAID in the management of EAPEI. Perhaps most importantly, the Department of State retains final decision-making power over the selection of grant recipients due to its control of program funding through the Economic Support Funds.

This sharing of management and decision-making power between the two agencies has led to complications in implementation. In 2001, final decisions on grantee selection and funding were significantly delayed due to the change in Administration. Largely as a result of the difficulties encountered by two separate agencies co-managing the Initiative, the Office of Management and Budget made a recommendation in 2001 that future EAPEI funding be derived from Development Assistance funds, which are directly managed by USAID. Such a change could impact on the management structure, approach and future directions of EAPEI. One of the objectives of this assessment has been to solicit advice from knowledgeable partners and stakeholders on how best to respond to these changing directions and opportunities.

II. Assessment of the East Asia and Pacific Environmental Initiative

A. Assessment Objectives

Given significant milestones and potential changes to the Initiative over the coming years, senior management within both USAID/ANE/SPOTS and the State Department Bureau for East Asian and Pacific Affairs (EAP) have requested that a review of the EAPEI be undertaken in order to inform future directions. The milestones include: 1) the Initiative has recently completed its second fiscal year under the current designation—EAPEI—and current management, 2) FY 2002

will be the fifth grant cycle for the Initiative, and 3) new Administration decisions related to implementation of regional programs and the appropriate distinction in use of Economic Support Funds (ESF) and Development Assistance (DA) funds. Finally, no management or programmatic assessments have been undertaken since the inception of the SEA-EI (South East Asia Environmental Initiative) in 1998.

Specifically, this assessment is focused on the following objectives:

- 1) Investigating to what extent efficiency improvements to EAPEI's management systems and procedures can be proposed (e.g. planning, grantee selection, coordination, reporting and communication);
- 2) Soliciting the knowledge and suggestions of EAPEI stakeholders with respect to supporting and constraining factors for realizing Initiative impact and success;
- 3) Providing the EAPEI Management Committee with recommendations and advice on how best to respond to possible future changes in the funding process and administration; and
- 4) Collecting key stakeholders' recommendations for future geographic and sectoral priorities

B. Methodology

The primary methods used in this assessment were key informant interviews, a review of documents, and a written questionnaire. Two USAID new entry professionals, neither of who had any previous history with, or knowledge of EAPEI undertook the interviews and analysis. The decision to use analysts external to the Initiative was made in an effort to mitigate bias, provide objectivity and candor and to provide developmental opportunities for the employees.

The written questionnaire was drafted and administered by Rand Robinson, a new entry program development officer at USAID. The questionnaire was distributed electronically to nineteen stakeholders, focusing particularly on program funding recipients and non-recipients living outside of the Washington, D.C. metropolitan area. Of the nineteen questionnaires that were distributed, five were completed and returned. Mr. Robinson also developed the Scope of Work for the Assessment, with input from the EAPEI Management Committee.

Personal interviews were conducted by Mary Hobbs, a new entry environmental officer at USAID. The interviews were semi-structured in that a standard set of guiding questions was drafted, but follow-up questions were also utilized in order to acquire more complete responses. Seventeen interviews were completed with a variety of informants including EAPEI Management Committee members, actual and prospective implementation partners, and USAID and State Department colleagues who had been involved with some aspect of Initiative design or management. A list of these key informants is provided in Annex 1, the Assessment Scope of Work is Annex 2, a copy of the interview questions is in Annex 3 and the written questionnaire is Annex 4.

The document review focused on key SO and RFA documents, and a selection of annual reports, activity evaluations and Initiative descriptions.

C. Assessment Findings

This section provides an analysis of findings drawn from the interview and questionnaire responses as well as from EAPEI documentation. The findings are presented to best address the various objectives of this assessment, and have been organized under the following headings: 1) overall Initiative assessment, 2) Initiative management, 3) responding to future change, 4) reporting and communication, and 5) Initiative focus. Specific recommendations drawn from these findings are presented in Section III.

1. Overall Initiative Assessment

Interview informants were asked to comment on their perceptions of EAPEI with respect to: 1) Initiative utility and effectiveness, 2) whether the Initiative is well-known and well-regarded, and 3) the Initiative's programmatic and strategic evolution.

The general assessment of EAPEI's effectiveness was positive, although some specific reservations were shared. The Initiative was given high marks for filling a gap in U.S. political and technical assistance to the region, for evolving into a more structured and professional process, and for its ability to provide assistance to non-presence countries and to region-wide initiatives. Additionally, several informants felt that EAPEI is well-known, particularly within the NGO community.

The most commonly expressed, positive perception was that EAPEI has been useful because it fills a niche in U.S. government assistance. As will be seen throughout this report, comments were divided between those who emphasized the policy implications of this assistance over those who placed greater value on technical assistance. For example one informant thought the Initiative filled an important gap because, "It's very important for...embassy people to be able to put projects behind their policy goals", while another felt the Initiative had strengthened technical assistance because "...the biodiversity funds in Asia have really declined, and this program has been a good antidote to that decline".

Several informants also saw EAPEI's evolution towards a more structured review and selection process in a positive light. Five of the seventeen respondents praised this development along the lines of the following: "(the Initiative manager) has tried to look at what's going on in the field missions, minimize duplication, target non-presence countries...(EAPEI) has become a more strategic, efficient, and coherent program". However, as will be seen below, not everyone viewed this formalization positively.

Criticisms of the Initiative centered around the following themes: the Initiative was not seen by a USG respondent to be responsive enough to "hot issues" in the region, some disagreed with the strategic focus, and a few U.S. government respondents felt the Initiative had become dominated by NGO's.

Three informants cited the Initiative's lack of agility and responsiveness, and blamed this largely on the formal review and selection process. This point of view is best captured by the following quote, "(EAPEI) has adopted a formality that's less responsive to immediate need". Two other informants, however, disagreed citing the Initiative's ability to respond to political and environmental issues as a positive feature.

One of the most commonly stated criticisms of EAPEI that arose during the interviews was disagreement on its strategic focus. This also surfaced on the questionnaire. Altogether, five respondents felt the Initiative's emphases had become too broad, and that it could be improved by developing a more purposeful strategy. An equal number of responses noted EAPEI's present geographic and sectoral focus as a positive characteristic

2. Initiative Management

Many informants noted changes in the RFA distribution, review, and grantee selection processes. In particular, Initiative management was given very high ratings for the RFA distribution and grantee selection procedures (9 out of 17 respondents viewed these developments as positive). Other components of Initiative management—communication with grantees, proposal requirements, and the web site—were also cited as being effective.

Most complaints were documented for problems relating to disbursement of funds, which is not surprising given that many proposed recipients' funds were held back or rescinded in FY 2001 due to increased oversight by new Administration appointees in State. Others pointed to problems with the selection process and grantee oversight.

In general, comments regarding management were very positive. Many people felt that it was a good decision to move the RFA distribution process farther ahead in the year, thus giving additional time for proposal review and selection. In general, there was a strongly expressed feeling that this aspect of management was much improved, as one informant described it, "(The RFA is) very well-managed...the program has definitely improved with respect to this".

Grantee selection also received widespread praise, with many people remarking that these procedures had been greatly improved. Favorable statements included the following: "(The Initiative manager) has done an excellent job in bringing USAID procurement systems to the funding process. He has allowed it to be audit-worthy". Another respondent went so far as to say, "(EAPEI has) the best, most well-organized (proposal) review process I've experienced in the Agency". However the selection process was not without its detractors. As noted in the previous section, frustrations with selection procedures came from two camps: those who felt the process was overly-political, and those who viewed it as overly-technical. These sentiments will be covered in more detail below.

Other aspects of Initiative management that were praised during the interviews were: communication with grantees (five informants viewed this as positive), grantee oversight (four favorable mentions), and the Initiative web site (three favorable mentions). The questionnaire results largely reflected the positive assessment given to EAPEI management during the interviews. From the five questionnaires completed and returned, EAPEI's "application, review, and grant approval process" scored 3.8 out of a possible 5 points, with 5 being "very satisfactory". Similarly the average score given for communication was 4 out of a possible 5.

EAPEI was criticized on primarily three counts: disbursement of funds, grantee selection, and grantee oversight. Many respondents noted that fund disbursement had been a significant problem—particularly in FY01—however most felt this was due to circumstances outside the control of direct Initiative management. Among the five informants who openly criticized this process, blame was shared between State and USAID, as exemplified by the following two comments: "It's the release of funds that has been a problem, and (the fault) rests primarily with

State”, and “Disbursement of funds has been a problem due to AID contracting procedures, which are very cumbersome”.

In contradiction to the above favorable comments about the grantee selection procedures, five informants were critical of this process. Divisions emerged over what criteria were being used for the selection. For example some felt that political considerations were incorrectly driving the selection: “The selection process has seemed mystical to me at times. With the involvement of State it’s not clear that the best technical projects are always being approved”, while others felt that too much emphasis was placed on technical merit, “The program has been concerned with getting environmental improvements on the ground, but has lost some of the reasons why the program is funded by ESF—that is, the policy implications”. One individual in particular was very critical about how the selection was handled in FY01, stating, “(last year) the management team changed project decisions, but didn’t inform recipients. From my Agency’s perspective, this change was not handled well—we had no participation.”

Finally, a number of respondents to both the interview and the questionnaire felt that improvements could be made in oversight and monitoring of grant recipients. Most recognized the difficulty of doing an effective job given the small Initiative management staff and the geographic dispersion of the Initiative, however as one informant summarized, “From my experience, distance does matter in activity oversight and communication”. Additionally, on the questionnaire a majority of the respondents requested more technical advisory visits, recipient exchanges, and increased support from USAID missions and U.S. embassies among their suggestions for improving Initiative management.

3. Responding to Future Change

One of the instigating factors behind this assessment of EAPEI is the possibility that the Initiative may undergo significant changes to its funding source and level and subsequent management structure over the coming year. Given potential changes in Initiative organization, size, and funding, respondents were asked to contemplate how EAPEI management might best prepare itself. The questions and responses are organized around three categories of change: USAID reorganization, budgetary growth, and a shift from ESF to DA funding.

USAID Reorganization:

The first interview question to touch on the issue of responding to change dealt with how USAID reorganization might impact on EAPEI.¹ Understandably the respondents who were in the best position to address this question were internal partners at USAID. Among these respondents, opinions differed over whether EAPEI would be better served by remaining in the regional (ANE) bureau, or whether it should move to the central EGAT bureau. Two informants supported the decision to retain the Initiative in ANE, while two others felt it might be more effective if it were to move to EGAT. As one person suggested, “there’s a lot of cross-sectoral linkages with other programs (in EGAT)—and it would make a good cross-cutting thread for the EGAT environment (programs)”. Yet another informant felt it would be best to split Initiative management between ANE and EGAT.

¹ A preliminary decision has already been made to retain the EAPEI program manager in USAID’s ANE bureau.

The highest number of interview informants (four) argued that little to no change was needed in EAPEI management in order to prepare itself for USAID reorganization. Three respondents saw a need for increasing the number of field staff working in the region. One person felt that the Initiative would benefit from the addition of a Washington-based administrative staff person. Finally, one individual recommended that other U.S. government agencies involved with EAPEI be brought in to act as “sounding boards” for contemplating how to respond to changing Initiative conditions.

Budgetary Growth:

It is unclear as of the date of this writing whether the FY03 budget for EAPEI will increase, remain relatively constant, or decline. However, one version of the President’s FY03 Budget Request has called for an increase of up to \$10 million USD to be allocated to EAPEI, which would more than double the current FY02 budget.

During the assessment interviews, informants were asked to contemplate how EAPEI might best accommodate itself to this level of growth—that is, what changes in Initiative and management structure would be recommended?

Over a third of those interviewed felt that a budget increase of this size would be best accommodated by funding longer-term, larger activities. Or, as one person stated succinctly, “There would be no need for major changes, you’d just make larger and fewer grants”. Still others felt that additional funds would mean fewer good proposals would have to be turned down.

Closely related to these responses, five persons felt that a growth of this size in the Initiative budget would necessitate a more refined strategic focus for the region and the Initiative. One person recommended that conducting an analysis of “regional needs and possible strategies to address these needs” would be a wise use of additional funds. Yet another questioned whether a doubling of the budget was appropriate unless the Initiative were able to “reach towards higher-level impacts”.

Finally, several informants felt that such an increase in funding could necessitate additional staff support, but they were divided as to whether support would be needed more in Washington or in the field. Six respondents recommended additional administrative support in Washington, while five suggested that increased oversight and management in the field would be a better use of funds. However, where to locate additional staff appeared to be an issue; as one person explained, “If a field person is added it would be hard to know where to position that person because the program is so geographically-dispersed.” Still others recommended methods for responding to this growth without adding staff. For example, two respondents felt that no additional staff would be necessary, while another person suggested that EAPEI might draw upon the resources of pre-existing regional organizations to help with activity oversight and management.

Shift from ESF to DA Funds:

Currently, EAPEI is funded through ESF, or Economic Support Funds. This is a funding mechanism that is programmed through the U.S. Department of State and is generally geared

towards assistance to politically-sensitive countries or activities. Inherent in ESF funding is close cooperation and consultation with the State Department, as has been the case with the EAPEI.

A possible change in funding procedures is foreseen for EAPEI in FY03: it has been proposed that the Initiative receive its funding through DA, or Development Assistance funds rather than through ESF. Broadly speaking, DA funding would imply greater USAID control over the allocation of EAPEI funds. Interview informants were asked to reflect on what such a change might mean for EAPEI, and to suggest how management might best prepare itself for such a change.

Several respondents sounded a cautionary note with respect to this possibility. In particular, a majority expressed concern that EAPEI activities not replicate pre-existing USAID activities in the region; one individual expressed their concerns as follows, “I hope this shift will not cause it to become just a duplication of existing USAID environment programs”. Among other concerns was a sense that EAPEI might lose its regional focus and its ability to work in non-presence countries.

There was also concern that a decrease in involvement by the State Department would hamper the Initiative’s ability to be used as a policy tool. As one person stated, “It’s important to have State involved. Diplomatic big-guns are required in many of these countries, on many of these issues. If DA means less State involvement, that would be a pity.” Finally, concern was expressed that such a change could mean the loss of a valuable ally to protect funding: “State involvement has kept the funding coming—because of political concerns in the region. I’d be worried that the funding won’t come through if it goes through DA.”

Still others felt such a shift in funding might have positive outcomes for EAPEI. Five individuals thought DA funding could afford USAID greater freedom and flexibility in designing the Initiative strategy and selecting activities. Others thought this freedom would allow the Initiative to fund longer-term activities. However as one person cautioned, greater USAID control would not necessarily translate into increased freedom in distributing funds, because DA funding would require EAPEI to come into greater compliance with USAID procurement procedures.

4. Reporting and Communication

In the course of the interviews, informants were asked to comment on two aspects of EAPEI reporting and communication: 1) their level of satisfaction with the use of primarily anecdotal measures for reporting on Initiative goals, and 2) whether they felt EAPEI—as an Initiative—had done an effective job of communicating results. With respect to the first question, a majority responded that they were satisfied with the use of anecdotal measures. However more informants felt that the Initiative could improve its communication strategy than those who did not.

A common response to the question about tracking results was that given the diversity of activities, the lack of a Initiative-wide strategic objective, and the relatively small size of the grants, anecdotal results were the only feasible measures to be reported. A few saw this as a positive characteristic of the Initiative, as exemplified by the following quote: “I’m fine with anecdotal results reporting. Requiring more scientific reporting might lose some of the creative energy allowed by the program.” However a more pervasive sentiment was that more quantifiable

results would be preferred, but were not realistic given the characteristics of the Initiative cited above.

While the majority of informants were satisfied with the results reporting (nine out of seventeen), a significant number (five) were not. There was a sense among this group that EAPEI should have a stronger focus on measurable results, as is evident in the following quote: “If the program were more focused on conservation outcomes, you could be more specific—it might then be easier to track progress and report on it”. Still others (two) felt that EAPEI falls short of standard USAID reporting procedures. A similar sentiment arose among the questionnaire respondents, a few of whom recommended that clearer guidance on performance measurement methods would be a welcome addition to the Initiative.

In response to the second question—level of satisfaction with communicating Initiative results—a majority of the interviewees (nine) expressed a desire to see more Initiative reports or evaluations. One individual made the following suggestion: “It would be nice to put out a synopsis or annual summary report showing what the Initiative has accomplished and who they’ve worked with...this could help to facilitate networking among partners”. Others recommended additional methods for marketing the Initiative, such as brochures or outreach presentations. These and other suggestions for improving Initiative communication will be covered in Section III of this assessment.

Several informants praised the web site as an effective communication tool for advertising the Initiative and reporting on results. This was especially apparent in the questionnaires, where the strength of the web site in disseminating Initiative information was mentioned.

5. Initiative Focus: Geographic and Sectoral

One of the goals of this assessment is to gather advice on where to target future EAPEI resources. This input will be particularly relevant if program funding shifts to DA rather than ESF sources, as this could necessitate the drafting of a new Initiative strategy. As is evident in the above title, this information will be divided between assessments of geographic and sectoral (biodiversity/forestry/coastal & marine/industrial, etc.) emphases.

Geographic Focus:

There was a clear recommendation among the individuals interviewed for this assessment that EAPEI should maintain or even strengthen its focus in non-USAID presence countries.² Twelve of seventeen informants felt the Initiative should continue to fund activities in non-presence countries, and a number of these respondents felt as follows: “There should be more of an emphasis in non-presence countries. But I’d define it more in terms of types of projects that USAID might not normally be doing—e.g. USAID tends not to do things that are regional, short-term, or policy-oriented”. The recommendation to focus on multi-country and transboundary strategies was voiced by eight of seventeen individuals.

Not everyone, however, agreed that working in non-presence countries should be a principal driving force behind EAPEI’s chosen strategy. Nine questioned whether geography should be the determining factor. Among these respondents, there was a nearly equal division between

² “Non-presence countries” are those which do not have an existing USAID mission. In 2001-2002 there are only three “presence countries” in southeast Asia and the Pacific: Indonesia, the Philippines, and Cambodia.

those who felt technical merit was more important (“I’d like to see the priority go to the best proposals”), and those who thought these decisions should be made based on policy objectives: “I don’t think you should decide on the basis of presence vs. non-presence, but where policy objectives need to be addressed”.

Finally, one respondent felt that future Initiative emphasis should be placed in USAID-presence countries for the following reason: “If strengthening ANE’s biodiversity programs becomes a priority, and it goes through DA, (EAPEI) should focus more on presence countries”.

Sectoral Focus:

One of the most direct lines of questioning during the interviews concerned the respondents’ views about the relative emphasis to be placed on “brown” activities (e.g. pollution prevention, waste management, global climate change activities, haze modeling) relative to “green” (e.g. forestry, biodiversity conservation.) and “blue” activities (e.g. coastal resource management, watershed management).

In response to the question “Do you feel EAPEI is capable of making a significant contribution to (the brown) sectors?”, informants were evenly divided. Seven individuals felt that EAPEI was not well-suited to supporting brown initiatives, for the following reasons: the overall Initiative is small, individual grant amounts are small, and brown issues are being handled elsewhere. As one person explained, “The missions and AEP³ are better-positioned to address the brown side over the green. I see this program as primarily a mechanism for addressing the green side”. Similarly, an inquiry on sectoral focus which appeared on the questionnaire drew support for either green or blue initiatives, but not explicitly for brown.

On the other hand, seven respondents felt that brown activities could and should be supported, although their enthusiasm for these activities varied. Most of these responses argued in favor of small-scale, capacity-building activities to support the brown sectors, as evidenced by the following: “We could maybe do some more capacity-building work in this area. Brown is often infrastructure-oriented, and we don’t do that, but regulatory intervention could be supported, (for example)...”. Still others argued for increasing brown activities as long as these activities were part of a larger strategy, for instance: “the program can and has addressed some (brown issues)...but it’s also important to set clear program objectives—if brown is seen to be important, then we could do more of it”.

III. Initiative Recommendations

This section will present recommendations for each of the five areas of inquiry: 1) overall Initiative assessment, 2) Initiative management, 3) future change, 4) reporting and communication, and 5) Initiative focus. Most of the recommendations will be drawn from specific suggestions which arose during the course of the interviews or on the questionnaire. Other recommendations, however, represent the author’s effort to extrapolate from general statements made by various informants.

³ U.S. AEP, or the Asian Environmental Program, is housed in USAID and leverages funds and technical assistance for addressing industrial pollution in Asia.

1. Overall Initiative Assessment:

EAPEI is viewed as an effective and valuable small grants program which has played an important role in filling niches that have not been sufficiently addressed by USAID bilateral programs, the State Department, or other U.S. governmental agencies in the East Asian and Pacific regions. There are clear differences of opinion among the various implementing partners queried for this assessment. The most striking divisions center around the usefulness of EAPEI as a flexible tool for furthering regional policy goals vs. its utility as a source of supplemental funding to address clear environmental objectives. Those who favored the latter also tended to stress the need for a more refined, long-term strategic focus.

The numbers on either side of the above philosophical divide were too close for any definitive recommendations to be made with respect to this issue. There was a very strong and clearly-stated majority viewpoint that the Initiative should continue to target activities in non-presence countries, and that it should maintain a strong regional focus. Even among those who viewed the potential for greater USAID autonomy as a positive development, concern was expressed that EAPEI funding not become subsumed under existing USAID bilateral activities.

2. Initiative Management:

As described in Section II, overall management for the EAPEI was seen to have improved over the last two years. This was particularly the case with the RFA distribution and grant evaluation procedures, which were generally viewed to have become more formalized. Specific recommendations, however, were made during the course of this assessment, and they will be shared below. Recommended areas for improvement included grantee selection, grantee oversight, proposal requirements, and disbursement of funds.

While most respondents noted that the Initiative's selection procedures had improved, additional room for improvement was identified. In general these responses related to the strategic focus of EAPEI, and ensuring that the selection criteria was made more explicit to applicants early on. One previous applicant explained the situation as follows: "If there are hidden criteria in the selection procedures, we should be made aware of that. (For example)...I had expected the RFA's to more closely reflect the policy issues, reflect State's agenda." Still others noted the need for a more clearly stated strategic focus for the Initiative, which would then facilitate the application and selection processes (three respondents). There was also a feeling—as described above—that the selection criteria as well as the content guidance should be made more explicit in the RFA.

Among both the questionnaire and interview respondents, one area where it was felt improvements could be made was in the grantee oversight and reporting categories. It must be said that few of the individuals interviewed were actual grantees with close ties to field activities. Nonetheless, a number of people mentioned that more frequent field visits, or the addition of another field-based staff person would be welcome improvements to EAPEI management. On the questionnaire, requests for more technical advisory visits, increased exchanges among grant

recipients and mission field staff, and clearer guidance for reporting on performance measures were among the most often-cited recommendations.

It came to light during the '02 proposal review that some technical advisors in the review process felt the applications were too lengthy. As a result, a question was added to the interview regarding the length and content requirements of the proposals. The majority of respondents felt the length was sufficient, and in fact it was more often stated that the requirements should not be shortened (although no one felt it should be lengthened). Probably the best, most detailed response to the question was the following: "I would recommend a minimum font size of 12 pt, and the total text should be kept to 10 pages—no longer."

Finally, while widespread frustration was expressed regarding the fund disbursement, few saw this as an area that could be easily influenced by EAPEI management. Some specific recommendations were offered. In particular, it was recommended by more than one respondent that by refining program and policy objectives with the active involvement of the State Department, and including descriptions of these criteria in the RFA text, future delays of funding due to policy implications might be avoided.

3. Responding to Future Change

As was described in Section II above, there are three areas of prospective change that could impinge upon the EAPEI structure over the coming year: USAID reorganization, changes in Initiative budget, and a shift from ESF to DA funding.

Few informants noted a need for significant changes to EAPEI in light of USAID reorganization. In fact the most common response was that reorganization would not necessitate significant changes in the Initiative's structure. It could be said that most informants recommended the Initiative retain its geographic emphasis in East Asia and the Pacific. As to whether this goal could best be achieved by housing the Initiative within ANE, EGAT, or in the field, no clear consensus emerged.

Should EAPEI experience a growth in its budget, the two most-commonly stated recommendations were the following: 1) the Initiative should fund larger activities, and 2) an increase in staff support would be justified. It is difficult, however, to state either of these as recommendations, given that countervailing viewpoints also emerged.

With respect to funding longer-term, larger activities, six interview informants recommended that this would be the most logical direction for the Initiative to go were it to experience an increase in funding, while an additional four individuals felt an increase could be easily accommodated by funding more activities. Related to the recommendation for funding longer-term activities, five individuals felt that a budget increase would also necessitate a more strategic focus. As has been noted elsewhere in this report, there was also a vocal contingent who stressed the need for EAPEI to retain its flexibility in order to better respond to changing policy objectives. A clear resolution of this tension did not emerge during this assessment process, although it could be stated that should EAPEI experience significant growth in the coming year, increasing the amount and length of individual grants would be a widely supported strategy.

The second area of recommended Initiative improvement given an increased budget was to increase EAPEI staff support. Five individuals specifically recommended that an additional field support person should be hired in order to assist with the management and oversight of field activities. It was felt this person should be detailed outside of Indonesia, given that the current field person is already located there. An additional six respondents recommended that a possible doubling in EAPEI's budget would necessitate at least one additional administrative support person.

Recommendations on how to respond to a change from ESF to DA funding were mixed. As previously described, some informants viewed such a change in a positive light in that it would allow for greater USAID freedom and the ability to fund longer-term activities. Others felt that such a change might sacrifice the political influence the Initiative currently enjoys. Aside from these divisions among respondents, it can be said that a clear recommendation emerged that EAPEI should retain a regional focus, and that it should not simply duplicate current USAID bilateral activities in the region.⁴ However this recommendation was not universally-shared. Three individuals felt that this change would mean the Initiative would have to work more closely with the bilateral missions.

4. Reporting and Communication

The most generally-shared recommendation for improving EAPEI's reporting and communication procedures was that an annual report would help to advertise the Initiative, keep partners better-informed, and facilitate networking among current and prospective grant recipients.

Specific recommendations for Initiative reports differed somewhat. Most of the respondents described the report in terms of a brief synopsis of Initiative activities and highlights. A few felt that such a communication strategy could be enhanced through the publication of an Initiative brochure, distribution of e-mail updates, and a PowerPoint presentation.

Among those who advocated for an enhanced conservation focus, recommendations were made by four individuals that specific, measurable targets could be identified and reported on. However the majority of those interviewed did not believe anything beyond anecdotal measures were possible for an Initiative of this size and nature.

5. Initiative Focus: Geographic and Sectoral

Building on the recommendations outlined for future Initiative directions above, there was a strong recommendation from the majority of those interviewed that EAPEI should continue to work in non-USAID presence countries (twelve responses). Eight respondents who emphasized the desirability of multi-country and transboundary strategies for the Initiative further reinforced this recommendation. Of course not everyone agreed. Nine respondents did not see geographic considerations to be paramount, but rather felt that either policy objectives or technical merit

⁴ Six interview respondents expressed concern that it not duplicate bilateral activities, while five stated that the program should retain a regional focus. An additional two informants were concerned that such a change might hamper EAPEI's ability to work in non-presence countries.

should be the driving forces behind activity selection. Still, there appears to have been strong, generalized support that emerged for maintaining a broad geographic focus in the region, rather than only working in those countries with an existing USAID mission.

The clearest recommendation to have emerged regarding the sectoral focus of the Initiative was a general favoritism towards both green and blue activities. “Brown”, or industrial-oriented activities, were not generally seen to play to the strengths of the Initiative given its relatively small size and the presence of other programs and organizations addressing these sectors in the region (most notably AEP). Not everyone ruled out brown activities, and some felt that significant support could be offered in the areas of environmental education and capacity-building as they relate to global climate change and pollution prevention.

Annex 1

Names and E-mail Addresses of Assessment Participants:

Name		Organization	Email
Teri	Allendorf	USAID/EGAT	tallendorf@usaid.gov
Barbara	Best	USAID/EGAT	bbest@usaid.gov
Jerry	Bisson	USAID/Philippines	jbisson@usaid.gov
Lisa	Brodey	State/OES	brodeylx@state.gov
Jake	Brunner	Conservation Intl.	Jbrunner@conservation.org
Dan	Deely	USAID/EGAT	ddeely@usaid.gov
Leroy	Duvall	USAID/EGAT	lduvall@usaid.gov
Chris	Elias	WRI	christin@wri.org
Cynthia	Gill	USAID/EGAT	cgill@usaid.gov
Mary	Hobbs	USAID/EGAT/NEP	mhobbs@usaid.gov
Paul	Holthus	Marine Aquarium Council	paul.holthus@aquariumcouncil.org
Bill	Jeffers	USAID/ANE	wjeffers@usaid.gov
Art	Klassen	Tropical Forest Foundation	tff@cbn.net.id
Trigeany	Linggoatmodjo	USAID/Indonesia	tlinggoatmodjo@usaid.gov
Bruce	Malkin	State/EAP	Malkinb@state.gov
Gary	Man	USDA/Forest Service	gman@fs.fed.us
Robin	Martino	USAID/EGAT	rmartino@usaid.gov
Mary	Melnyk	USAID/ANE/SPOTS	mmelnyk@usaid.gov
Ted	Osius	State/OES/Bangkok	osiustg@state.gov
Mark	Poffenberger	Asia Forest Network	mpoffen@aol.com
Tim	Resch	EAPEI Manager	tresch@usaid.gov
Rand	Robinson	USAID/NEP_PDO	rrobinson@usaid.gov
Mary	Rowen	USAID/EGAT	mrowen@usaid.gov
Jenny	Springer	WWF	springer@wwfus.org
Ben	Stoner	PADCO	bstoner@padcoinc.com
Tom	Tomich	ICRAF	T.Tomich@cgiar.org
Karen	Turner	USAID/ANE	kturner@usaid.gov
Susan	Ware Harris	Commerce/NOAA	susan.ware@noaa.gov
Kelli	Young	USDA/Forest Service	kellyyoung@fs.fed.us

Annex 2

East Asia and Pacific Environmental Initiative (EAPEI) Scope of Work Management and Impact Assessment Version of Thursday, December 13, 2001

1. Assessment Purpose

This external participatory assessment of the perceived strengths and weaknesses (SWOT) of the EAPEI seeks improved efficiency and effectiveness of EAPEI management. FY 2002 (applications now under review) will be the fifth grant cycle under an evolving process so a short informal assessment of the initiative process and impact of initial interventions is deemed appropriate. The purpose is 1) to assemble and analyze stakeholder views to guide Initiative evolution and 2) to provide skill development opportunities for new Agency employees Mary Hobbs and Rand Robinson.

2. Initiative Background

The East Asia and Pacific Environmental Initiative (EAPEI) was established to address critical environmental challenges and opportunities in East Asia and the Pacific in the areas of forest and land use management, coastal and marine resources management and environmental pollution. The EAPEI works to complement other U.S. government investment in the region by supporting cross-border and regional activities and institutions and by supporting activities in USAID non-presence countries.

The goal of the East Asia and Pacific Environmental Initiative (EAPEI) is to improve environmental conditions and quality of life by increasing environmental capacity and knowledge in the East Asia and Pacific region through joint State/USAID and partner efforts. The Objective is to establish an efficient, transparent and effective grants program contributing to accomplishing the EAPEI goal. The EAPEI implements through agreements with U.S. federal agencies, international and regional organizations, universities and USAID-registered non-governmental organizations.

The EAPEI follows the Southeast Asia Environmental Initiative (SEA-EI), a one-year program funded in FY 98 to address fire and smoke episodes through collaborative work with nations and other donors in the region. The SEA-EI supported better forest management techniques and policies, improved fire prevention and fighting, and improved climate-impact forecasting and environmental monitoring.

The EAPEI has been financially supported by Economic Support Funds from the Bureau of East Asian and Pacific Affairs, U.S. Department of State, and managed by U.S. Agency for International Development (USAID), Bureau for Asia and Near Asia (ANE) under its Regional Program (SO 498-024). The East Asia and Pacific Environmental Initiative (EAPEI) was SO 498-015 during budget years FY 1999 and 2000 and became a component of SO 498-024 in FY 2001.

The EAPEI encompasses a wide range of activities including reinforcing sub-regional community-forestry management initiatives, community-based wildlife, coastal and marine management, fire suppression, environmental education, biodiversity conservation, and pollution reduction and mitigation. From FY98 to FY01, the EAPEI has implemented activities through grants and cooperative agreements with international and regional organizations, American universities, USAID-registered non-governmental organizations, as well as other U.S. Federal Agencies.

Grants	1998	1999	2000	2001	2002 planned
Value	\$5,000,000	3,825,000	3,500,000	3,492,000	4,000,000
# actions	7	10	11	7	5-10
Average	\$714,315	382,500	318,182	499,000	400-800K

Initiative activities have been directed at 3 principal environmental management objectives:

- Promote **rational use of renewable natural resources** in East Asia and the Pacific;
- Increase the **capacity of national and regional institutions**, both governmental and non- governmental, to manage the natural resource base for the next two years and beyond; and
- Share **knowledge for improved management of natural resources** among East Asian and Pacific Island nations.

3. Assessment Objectives:

EAPEI, since transitioning from the earlier SEA-EI program, has accumulated two fiscal years of administration and field delivery experience. USAID/ANE/SPOTS and State/Bureau for East Asian and Pacific Affairs have signaled that the first quarter of CY02 would be an appropriate period for conducting a management and operational review of the Initiative. Specific objectives of the assessment will be:

- Investigate to what extent efficiency improvements to EAPEI's management system(s) and procedures (roles and responsibilities for planning, coordinating, information sharing) can be proposed. within the context of regional, strategic environmental interests, EAPEI governance, its SO and objectives and constraints
- Solicit the knowledge, viewpoints and suggestions of EAPEI's management Committee, active and prospective implementation partners, and other stakeholders, regarding the key supporting and constraining factors, within these partners or EAPEI management's ability to influence, for realizing Initiative impact and success
- To examine EAPEI's portfolio evolution and determine whether the current method for the distribution, oversight, and strategic planning of the Initiative investments is effective. As appropriate, make recommendations for improvement of these processes.
- To provide the EAPEI Management Committee with feedback and recommendations to enhance Initiative efficiency and effectiveness.

4. Assessment Management Questions

- **Is EAPEI efficiently managed?** EAPEI process has evolved over time. What are the strengths and weaknesses of the current approach? What are the opportunities for additive impact in the context of USAID reorganization, political changes in the EAP region, partner programs and other donor efforts? What are the threats to continued actions under the Initiative? What does EAPEI need to fix? Where does it need to do a better job?
- **Goal level accomplishment** "Improve environmental conditions and quality of life by increasing environmental capacity and knowledge in the East Asia and Pacific region through joint State/USAID and partner efforts" is difficult to track in entirety and has been demonstrated mainly through anecdotal examples from early (1998/99) investments. Given the geographic, institutional and sectoral diversity of EAPEI grants to date, how can goal level accomplishment be better demonstrated?
- **Economic Support Funds (ESF)** State management of ESF requires a complex approval process that has hindered implementation of the FY 2001 portfolio of grants. How can the process be better managed for FY 2002? OMB has proposed in FY 2003 that EAPEI be funded out of Development Assistance (DA) resources. What are the implications for EAPEI in that instance?
- **Level of effort in USAID environmental presence countries.** FY 1998 and 2000 investments were focused on Indonesia while FY 1999 and 2001 were, by design, more geographically balanced. Intention for FY 2002 is a distribution similar to 2001. The EAPEI works to complement other U.S. government investment in the region by supporting cross-border, transboundary, and regional activities and institutions and by supporting activities in USAID non-presence countries. What is the appropriate level of EAPEI investment in the USAID environmental presence countries of Indonesia, the Philippines and, perhaps in the future, Cambodia?
- **"Management of environmental pollution"** as a sub-sector within SEA-EI/EAPEI has evolved from a 1998 focus on "Improved Environmental Planning and Management with two sub-components: 1) Improved climate change response and 2) Improved pollution prevention". In the FY 2001 solicitation none of the five applications received were competitive and for FY 2002, EAPEI received only one application in this sub-sector, which may or may not be competitive against the other 28 applications. With the U.S. Asia Environmental

Partnership and bilateral energy activities in Indonesia and the Philippines already in the region, can the EAPEI make a contribution in this sector? If so, how can parameters and solicitation be changed to increase the number of competitive applications for funding?

- **Effective communications** EAPEI activities are generally implemented as components of larger USAID actions with partners and, in addition, frequently activities are co-financed by partner or other donor resources. Given that constraint, how does EAPEI effectively manage communication of results of EAPEI investment to contribute to the goal of increasing knowledge in the region? Are the results of EAPEI investment being adequately communicated?

4. Evaluation Methods

Mary Hobbs, USAID new entry professional for the environment, will be the lead analyst and coordinator of the assessment. On a time available basis, she will be assisted by Rand Robinson, PDO NEP who authored this SOW. Principal informants will include 1) Tim Resch, EAPEI Manager 2) Bruce Malkin, STATE/EAP and Lisa Brodey STATE/OES of the EAPEI Management Committee and 4) Trigeany Linggoatmodjo, EAPEI Management Specialist based in Jakarta, Indonesia. The Assessment Team will interview EAPEI stakeholders in Washington and in the field (by survey instrument and telephone) to gain partner perspectives on EAPEI process and product. The Assessment Team, led by Mary Hobbs, will undertake the following tasks:

- Complete a desk review of the Initiative, reviewing pertinent FY98-FY02 Initiative documentation. Documents should include key SO and RFA documents, a random selection of active activities, annual reports, planning, reporting, progress, and trip reports, EAPEI staffing descriptions, activity evaluations, if available, charts, graphs, and key EAPEI—partner correspondences.
- Conduct semi-structured, telephone & personal interviews with key, Washington-based EAPEI stakeholders (USAID/ANE and EGAT, State) and a sampling of key partner representatives, collecting and analyzing information pertinent to the assessment of the Initiative.
- Develop, distribute, and collect responses from a short questionnaire that will be (particularly) sent to EAPEI field representatives and Initiative participants
- Draft a report (not to exceed 30 pages) summarizing findings and proposing recommendations to enhance Initiative efficiency and effectiveness.

The Report will provide information and tentative recommendations with which EAPEI management and partners could further discuss through a strategic review and planning workshop with EAPEI partners later in CY02

IV. Timing & Deliverables

This Initiative assessment will be conducted over a three-week period from January 14 to January 25, 2002, and again February 4 to 8 which is reserved for report writing. An EAPEI questionnaire would be sent out, by email, the week of December 17th and returned January 11th. A proposed outline of the report should be developed by January 11.

The report would contain:

- An examination and discussion of the findings collected through stakeholder interviews and the EAPEI questionnaire
- An assessment of how EAPEI process and activities are currently meeting the EAPEI goal and objectives.
- Suggestions for strengthening the current use of EAPEI's management resources, targeting EAPEI investments to meet Initiative objectives, and improving reporting protocols used by EAPEI recipients.

Annex 3

Interview Questions

- 1) Informant's Name and Organization, contact info, business card:
- 2) Please describe your involvement with the SEA-EI and/or EAPEI:
- 3) What are your general perceptions of EAPEI? Do you find it to be useful and effective? In general, do you think it is well known and well-regarded? What do you think of its evolution?

Initiative Management:

- 1) Do you consider EAPEI to be effectively managed with respect to such things as timeliness of RFA distribution, grantee selection and oversight, communication with grantees, disbursement of funds, and partner coordination? In what areas are they strong? Where might improvements be made?
- 2) Do you think EAPEI's management structure is well positioned to accommodate to future changes? In particular, how might Initiative management best prepare itself to respond to possible changes in USAID organization, relations vis-à-vis the State Department, and changing political conditions in the Region?
- 3) More specifically, the President's 2003 Budget Request may increase the Initiative funding by a factor of two. How would you recommend that EAPEI position itself to respond to this growth? What changes in management and Initiative structure might you recommend?

Evaluation/Review Process:

- 1) Please comment on the proposal and proposal review procedures. Specifically, are you satisfied with the length and content requirements for the proposals? Do you feel they should be longer/shorter? Are the guidelines sufficiently clear?

ESF Funds/Relations with State:

- 1) As you may know, the FY 2001 EAPEI was delayed, in part because of the complex State Dept. approval process required for use of ESF funds. If EAPEI funding continues to come through ESF next year, how would you propose that the selection and funding processes might be improved upon for FY 2002?
- 2) There is consideration that FY 2003 funds for EAPEI be derived from Development Assistance (DA) funds as opposed to ESF. If this were to happen, how should the EAPEI prepare itself for this change?

Reporting Initiative Goals and Results:

- 1) The goal of the EAPEI is quite broad ("Improve environmental conditions and quality of life by increasing environmental capacity and knowledge in the East Asia and Pacific region through joint State/USAID and partner efforts"). To date, EAPEI has relied primar-

ily on anecdotal measures to determine if grantees are meeting Initiative goals. Are you satisfied with the Initiative's method for tracking goal achievement? Can you think of ways this might be improved?

Communication:

- 1) Do you think EAPEI and its partners have done an effective job of communicating Initiative results?
If not, how can EAPEI improve its communication strategies in order to highlight its role in achieving results towards EAPEI goals (increasing environmental capacity and knowledge in the region)?

Level of Effort in Presence Countries:

- 1) Since its inception in 1998, the EAPEI/SEA-EI have shifted from a predominant focus on Indonesia (1998 and 2000), to a more geographically disbursed portfolio in 1999 and 2001. It is planned that the FY 2002 distribution follow the precedent set in 1999/2001—that is, to have the Initiative activities balanced across the region. What are your feelings about this, specifically:
What do you see as the appropriate level for EAPEI investment in the USAID presence countries of Indonesia, Philippines, and perhaps Cambodia?
What do you see as the appropriate emphasis (% of Initiative resources) to be placed on non-USAID presence countries?

Management of Environmental Pollution:

- 1) The original SEA-EI/EAPEI design included the areas of GCC and pollution prevention. However, few applications addressing these goals have been submitted over the life of the Initiative, and many that were submitted were not competitive. Do you feel EAPEI is capable of making a significant contribution to these sectors?
- 2) If so, how might Initiative descriptions and solicitation procedures be improved to better target these sectors?

Additional Comments:

Annex 4

Written Questionnaire

**East Asia Pacific Environmental Initiative (EAPEI)
MANAGEMENT ASSESSMENT**

December 27, 2001

- I. Purpose: This questionnaire is designed to inform a stock-taking exercise intended to improve the management of the EAPEI. Target informants for this questionnaire will be drawn from a sample of EAPEI field partners—preferably activity implementers. Please return your responses by Friday, January 11, 2002 to: mhobbs@af-sd.org and rrobinson@usaid.gov FAX 202 216 3171. Telephone 202 219 0250.
- II. Instructions: Please assist us to assess the EAPEI by filling out the questionnaire as completely as you can. Your answers will be kept anonymous. Please feel free to provide more details at the end of the questionnaire or on separate sheets.

III. Administration:

- 1. Please comment on the application, review and grant approval process as you experienced them.

Very Satisfactory 5	4	3	2	Very Unsatisfactory 1	No Opinion N/O
Comments:					

- 2. Please comment on the helpfulness of EAPEI management, particularly with respect to availability and communication.

Very Satisfactory 5	4	3	2	Very Unsatisfactory 1	No Opinion N/O
Comments:					

- 3. What kind of additional USAID/EAPEI communication, management or technical support and guidance would your organization like to receive? Why?
- 4. EAPEI activities have been developed in many southeast Asian and several Pacific island nations. These activities have supported forestry and land use management, coastal and marine resources management, as well as pollution prevention and mitigation. All of these areas are “environmentally relevant”, but which of these do you feel EAPEI should invest greater future attention and strategic focus? Why?

IV. Implementation and Impact of EAPEI Activity

- 5. How might EAPEI maximize and build upon partner field activities? Can you provide any specific examples or suggestions?

6. Do you feel EAPEI placed sufficient emphasis on incorporating gender and ethnic considerations in Initiative activities? If yes, please explain how your activity has addressed this issue. If not, how might this programmatic approach be strengthened?
7. To what extent has your activity been associated with the objectives of larger national or regional environmental management program?

A Great Deal 5	4	3	2	Very Little 1	Non/Applicable (N/A)
Comments:					

8) Which of the following EAPEI objectives (themes) best describes your particular activity? Please rank in descending order from 1 to 4.

1) developing (or) enforcing national environmental management policies (please cite which one)	
2) deriving more economic benefits from sustainable resource management activities	
3) knowledge, environmental education & information dissemination	
4) developing community-based approaches to common-property management	
4) regional & local capacity development of environmentally-associated institutions	
5) developing community-based conservation approaches	
6) developing and coordinating relations with private-sector actors	
7) introducing landscape management & sustainable use approaches	

9) Which of the following areas of EAPEI management support do you feel could be improved? Please choose only 5 areas, in descending order, with 1 representing the area most in need of improvement and 5 least in need of improvement.

1) more active exchanges/discussions on recently established EAPEI web site	
2) clearer guidance on practical, performance measurement methods with clear output and impact indicators per sub-sector of EAPEI activity	
3) better access to information and more cross-learning opportunities with other environmental institutions and project recipients.	
4) having more exchanges, awareness, and national counterpart (policy makers & regional institutions) dialogue support from bilateral USAID missions and U.S. Embassies with which EAPEI has shared interests and relations	
5) more periodic, practical technical advisory visits from qualified consultant(s)	
6) better integration with national development priorities and programs	
7) more EAPEI resources for studies, improved documentation and evaluation	
8) longer preparation periods and an extended time-frame for executing EAPEI grants	

Please explain some of the specifics of your choices:

10) Feedback and Comments: (to be provided at your discretion to complement the EAPEI questionnaire presented and clarify any points which are unclear above). Advise (mhobbs@afr-sd.org) if you would like to be interviewed by telephone.