



Bureau for Africa Action Plan Recommendations

**From the
Environmental Management Workshop for USAID Africa Staff:
MEOs, CTOs, SO Team Leaders, and PDOs
on
USAID Environmental Procedures and Mainstreaming
Environmental Considerations in Development Programs**



Kasane, Botswana, 17–20 May 2005

Cover photos: clockwise from the left:

- Segou, Mali Market Woman (2005), Wes Wilson USEPA
- Tannery reservoir Segou, Mali (2005) Wes Fisher Cadmus Group
- Hazardous medical waste with no place to store it, Kasane, Botswana (2005) Wes Fisher Cadmus Group
- Donkey Cart, Segou, Mali (2005) Wes Wilson USEPA

List of Acronyms

AAD	Activity Approval Document
ADS	Automated Directives System (USAID's Directives Management Program)
AEC	Agency Environmental Coordinator
AEF	Annual Evaluation Form
AFR/SD	USAID Bureau for Africa/Sustainable Development
ANE	USAID's Asia and the Near East Bureau
APHIS	United States Department of Agriculture's Animal and Plant Health Inspection Service
APS	Annual Program Statement
BEO	Bureau Environmental Officer
BMP	Best Management Practice
CE	Categorical Exclusion
CS	Cooperating Sponsor
CTO	Cognizant Technical Officer
DAP	Development Activity Program
DCA	Development Credit Authority
DCHA/OFDA	Bureau for Democracy, Conflict and Humanitarian Assistance/Office of Foreign Disaster Assistance
DCHA/OTI	Bureau for Democracy, Conflict and Humanitarian Assistance/Office of Transition Initiatives
DRP	Development Relief Programs
EA	Environmental Assessment
EGAT	Economic Growth, Agriculture, and Trade Bureau
EGSSAA	Environmental Guidelines for Small-Scale Activities in Africa
EIA	Environmental Impact Assessment
EMP	Environmental Management Plan (also Mitigation and Monitoring Plan)
ENCAP	EN vironmentally Sound Design and Management CAP acity for USAID Partners and Programs in Africa
ENRM	Environmental Natural Resource Management
EP	Emergency Programs
EPA	United States Environmental Protection Agency
EPTM	Environmental Procedures Training Manual
ESDM	Environmentally Sound Design and Management
ESR	Environmental Status Report
EU	European Union
EUREGAP	Euro-Retailer Workgroup for Good Agricultural Practice
EXO	Executive Officer
FAA	United States Foreign Assistance Act
FFP	Food for Peace
FHI	Food for the Hungry International
FSN	Foreign Service National
GC	General Council
GCC	Global Climate Change
GDA	Global Development Alliance
IAIA	International Association for Impact Assessment
IDI	International Development Intern
IDP	Internally Displaced Persons
IEE	Initial Environmental Examination (Reg 216 term for a preliminary assessment)
IPM	Integrated Pest Management
IRBM	Integrated River Basin Management
ISEAL	International Social and Environmental Accreditation and Labeling
LAC	Latin America and the Caribbean
M&E	Monitoring and Evaluation

M&M	Mitigation and Monitoring
MEO	Mission Environmental Officer
MSE	Micro- and Small Enterprise
MYAPs/ SYAPs	Multi Year Assistance Program/ Single Year Assistance Program
NEP	New Entry Professional
NGO	Non-Governmental Organization
NRM	Natural Resource Management
O&M	Operation & Maintenance
PDO	Program Development Officer
PEA	Programmatic Environmental Assessment
PERSUAP	Pesticide Evaluation Report and Safer Use Action Plan
PIN	Presidential Initiatives
PMP	Performance Management Projects
PSC	Personal Services Contractor
PVO	Private Voluntary Organization
RALF	Recommended Acceptable Language and Formats
RCO	Regional Contracts Officer
RCSA	Regional Center for Southern Africa
REA	Rapid Environmental Assessment
REDSO/ESA	USAID Regional Economic Development Support Office for East and Southern Africa
Reg 216	22CFR216, USAID's basic environmental procedures regulation
REO	Regional Environmental Officer
REQMS	Regional Environmental Quality Management Support
RFA	Request for Application
RFP	Request for Proposals
RLA	Regional Legal Advisor
RSSA	Resources Support Services Agreement
SAR	Strategic Activity Report
SEA	Strategic Environmental Assessment
SFO	Sudan Field Office
SIP	Sudan Infrastructure Program
SO	Strategic Objectives
SOAG	Strategic Objective Agreement
SOT	Strategic Objective Team
SPHERE	Steering Committee for Humanitarian Response and Interaction
USAID	United States Agency for International Development
USDH	USAID Direct-Hire
WARP	West African Regional Program
WFP	World Food Program
WRI	World Resources Institute
WTO	World Trade Organization

Introduction

The following suggested next steps to enhance Mission capacity in environmental management and program sustainability are drawn from Operating Unit and Mission Self-Assessment of Capacity in Environmentally Sound Design and Management (ESDM) administered during the Workshop.

They reflect growing recognition that USAID project environmental failures and costly remediation of design errors are not uncommon to USAID development interventions. Much greater attention to sustainability assurance is called for from Senior Mission and Africa Bureau management, Mission Environmental Officers and Mission staff through ESDM and systematic application of USAID's Environmental Procedures. The recommendations strongly support a new thrust in the application of ESDM to USAID programs and projects.

Action Plan Recommendations

- 1. Prepare and implement Environmental Mission Orders.** Sample Mission Orders for Environmental Compliance and Management are available at http://www.encapafrika.org/MEO_Course/Module11--Prog_and_Activity_Cycle_Integration/ZambiaEnvCompMissionOrderdraft-12-2-03wik.pdf but innovation and tailoring to specific Mission needs are encouraged.
- 2. Establish a simple screening/review/monitoring system, with a simple guidebook, for all contractors and grantees.** Sudan Field Office comments: [SFO will] pay careful attention to **highest risk activities** such as road and dikes work; Sudan Infrastructure Program (SIP) construction management; electrification; water and sanitation.
- 3. Form a Mission Environmental Review Committee** with representatives from different offices/SO Teams.
 - Reg. 216 committee established by the MEO.
 - Hold regular meetings of the committee, and develop a **timeline** for what's to be done.
- 4. Raise Mission staff awareness** on the relevance and importance of environmental management issues:
 - MEO should meet frequently with SO Teams on program design, implementation, and monitoring.
 - Develop and provide MEO Guidebook, a toolkit that should help anyone in the office apply ESDM principles, meet mandatory environmental compliance requirements, and provide sustainability assurance monitoring.
- 5. Provide training of Mission Staff and partners:** Need to **tailor basic training** on environmental compliance and considerations for **Mission Activity managers** and

CTOs. This would in turn empower them to demand compliance and accountability on environmental issues from partners who implement activities.

- ENCAP **training** events for **staff** and **partners**.
- Provide “spot training” for staff, followed by sit-down sessions with SO teams and EXO/contracting staff.

6. Provide training like this more often.

- Organize trainings to provide technical expertise to people who deal with environmental issues, such as ENCAP’s Cleaner Production for MSEs, Pesticide Evaluation and Safer Use Action Plans, etc.

7. Have REA give Reg. 216 presentation **to entire mission**, just like the RLA and RCO do at least once a year.

8. Prepare an MEO appointment letter, with support from Mission Director, and distribute to REA and BEO.

- Mission Director empowers and monitors MEO performance.
- Supervisors incorporate MEO roles in Work Plan, Performance Criteria.

9. Budget for Environmental Capacity Development: Obtain Mission commitment to:

- Budget for environmental training and related capacity building (including ENCAP Compliance and ESDM sectoral best practice training, e.g., cleaner production for MSEs, etc.) at least every 2 years.
- Ensure budgeting for ESDM training and capacity development is incorporated in annual procurement plans.

10. Seek opportunities for effective advocacy to senior management groups. Include well-crafted advocacy piece on ESD&M in Mission Director, Regional, and Program Officers’ Conferences:

- Develop a **1-slide/1-hour /1-day suite of training for Mission Director/Senior Management**, program/activity managers, and others.
- Tailor to specific audiences.

11. Integrate environmental soundness values into decision-making processes at USAID. Add ESD&M and compliance review as an **agenda item** in post-award briefings, **portfolio reviews**, and **status reports** by **CTOs**.

12. Promote and incorporate “green procurement” processes and policy for acquisitions and assistance contracts/procurement staff, including working with CTOs and activity managers to develop evaluation criteria where appropriate for environmental considerations:

- Include Environmental Compliance considerations in APSs, RFAs, RFPs, etc.
- Ensure MEO has copies of all IEEs for all SO Teams, and that CTOs/activity managers know and understand the essential content of the IEEs.

13. Support and capitalize upon market-led environmental performance, non-regulatory standards, certification, corporate environmental and social responsibility trends. Where appropriate, do so as a part of competitiveness strategy; trade, environment, and the WTO; public/private alliances including the Global Development Alliance (GDA), and the like.

14 Include more environmental considerations in NEP and IDI training, (e.g., Planning, Achieving & Learning (PAL), CTO training, supervision, etc.) and Foreign Service Officer's training.

15. Recognize importance within the Agency of maintaining technical expertise and performance in “Environment.” Provide annual awards and recognition opportunities for outstanding MEO and Mission staff performance in ESDM.

16. Develop list of “Steps I as MEO will take over the next few months following the workshop,” such as:

- Brief PDO office on actions needed (and timing).
- Team up with Mission staff responsible for ensuring gender requirements are followed.
- Brief Senior staff and all SO teams.
- [See lists below]

17. Develop pilot demonstration programs on environmentally sound practices. For example, for “energy saving,” “wetland management,” ecologically sound tourism, or other unique programs that show how ESDM results can be achieved at lower cost through ESDM and cleaner production education, communication, and public participation, etc.

Summary Observations from the Mission Self-Assessment Questionnaire:

- *“How many hours of your time per month do you estimate are devoted to follow-up to ensure implementation of IEE or EA mitigation and monitoring plans?”* Of 15 respondents, 11 estimated 9 hours or less and 2 did not know. About half estimated they spend 3 hours or less per month.
- *“How many hours of other Mission staff time per month do you estimate are devoted to follow-up to ensure implementation of IEE or EA mitigation and monitoring plans?”* About half the respondents (6) estimated 5 hours or less per month, and 4 respondents did not know.
- Nine of 15 respondents saw a *need for training of Mission staff*, and 10 saw a need for training implementing partners. Half (7) also see a need for training in sectoral best practice.

- About half (7) would like *assistance with preparation of IEEs, EAs, PEAs, etc.* and with technical analyses, e.g., Pesticide Evaluation Reports and Safer Use Action Plans (PERSUAPs)
- Five asked for *T.A. and consultations to mainstream environmental considerations* into USAID regional and bilateral programs in areas such as trade and environment, sustainable enterprise development, cleaner production, and environmental certification.
- Nine respondents indicated that they believe their Missions would potentially be *prepared to share costs* with the Bureau or partners for these services.
- There appears to be general support *for Missions to commit to providing an annual budget* for locally based environmentally sound design and management (ESDM) services to strengthen the sustainability of a Mission's program; seven respondents indicated that they believe their Missions would commit to provide such support.
- “*Do you think your Mission would commit to providing continuous in-Mission capacity in ESDM by ensuring that at least one member of staff direct hire, FSN, resident PSC and/or consultant is fully versed in environmental and natural resource management?*” Here the response was even more positive: 11 of 15 respondents believed their Missions would be willing to make such a commitment.

Action Planning Recommendations from the Open Forum Discussion

Building Awareness

1. Find the points of penetration, “pulse points” in USAID business practice.
2. Strategic Objectives’ planning, achieving, and learning requirements can serve as a vehicle.
3. Define the individuals who should be responsible.
4. Do the homework and package the message. (Make it short, short!!)
5. Get influential professionals to deliver the message on responsibility; managers set the tone!
6. Where do we get the budget for this? Build into Procurement Plans.
7. Need better tools to address the perennial struggle to convince others of the importance of USAID environmental procedures as a design tool for sustainability assurance.
8. How to do we get the Message out – need to develop a strategy. A bit of a “Barnum & Bailey” approach is needed.
9. Develop concise concept piece(s).

How to obtain increased USAID staff commitment and understanding of the value of USAID environmental procedures¹

1. Obtain a slot at Mission Directors' Conferences.
2. One-hour trainings.
3. CTO Trainings.
4. Be careful who you hire — high motivation and experience are key.
5. Better internal communication, clarity.
6. Leadership — Mission Director involved.
7. Provide Model Documents.
8. Provide sample IEEs in various sectors.
9. Develop model contract Language.
10. Develop model RFP Language.
11. Develop model RFA Language.
12. Create easy checklists.
13. Improve NEP Training .
14. MEO and CTO Guidebook (But don't overwhelm them with too much material) Guidebook—body of things MEO must do—so that we don't need to reinvent the wheel. There used to be a PDO Guidebook. As a PDO I (Dawn) had my own toolkit, which I still use.
15. Increase Program Officer knowledge.
16. Check-listing to ease remembering “pulse points.”
17. Reach more of the staff.
18. Engage the non-technical people on what their responsibilities are.
19. Remember different levels of percent time engagement are needed for different staff.
20. Pull out IEE reminders.
21. Remember to take advantage of individual commitment to sound environmental design, the “heart” factor.
22. A committed Program Development Officer (PDO) can be the key to success.
23. Locally hired staff need to be trained in environmental issues and natural resource management.
24. Think about incentives, i.e., provide the motivation to not make a mess.
25. Reward/Awards matter.
26. Empower FSNs and be aware of their key importance to the Mission Env/NRM Program.
27. Showcase examples.
28. Effective communication through slides, pamphlets, short “nuggets.”
29. Provide model documents and apply/add to the Recommended Acceptable Language and Formats “RALF.”
30. One-day CTO Training — Buy-in from Missions. Do the same thing for staff training in USAID environmental procedures and environmentally sound design.

¹ Developed independently at the workshop as a presentation by participant and RCSA RLA Kim Robinson. See full Proceedings report.

Immediate MEO Action Plan Commitments

1. All prepare Mission Orders

Jim, Sudan	Bob, Kenya	Nico DRC	Jody Uganda	Cam RCSA	Walter REDSO
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2. Practice What We Preach

For example, a recent RCSA Mission Notice on water conservation has resulted in significant water and cost savings for the Center. RCSA is also promoting recycling (in process)/EXO Green Procurement.

3. High-impact Presentations

Mission Environmental Officers need short, polished presentation material including 1 slide/1 hour/1 day training packages. Providing these materials will require message development engaging technical officers with skilled information (marketing) specialists. These materials need to be developed centrally to serve the entire Agency and the Bureaus.

Presentations - succinct messages

1 slide	1 day
1 hour	Special topics, etc.

Targets:

Directors
Senior Management

4. Mission Staff Presentation Commitments

Senegal, Uganda, Kenya, Zimbabwe, RCSA, DRC, Madagascar, Sudan, SA, Angola, FFP

Recommendations for Environmental Review and Follow-up

- Specific mitigation and monitoring plans (Environmental Management Plans) should be in the partners' RFPs and RFAs and subsequently incorporated in contracts, grants, and cooperative agreements.
- Use specific selection criteria that focus on the quality of the EMP. Examples are found in your sourcebooks, in the course materials posted to the Web site www.encapafrika.org, and on your course CD.
- Spend time with your Program Office to establish a tracking system with the SO Team Leaders and Activity Managers. Organize periodic presentations on tracking and follow up with appropriate staff, team leaders, etc.
- Develop and maintain an annual compliance reporting system (see USAID/Ethiopia example in the sourcebook), which feeds into the Mission's annual statement on its portfolio environmental compliance. Sensitize Team Leaders and Activity Managers to their responsibilities under ADS 204 to maintain the reporting system.
- Encourage enterprise/partner-level EMP and ensure EMP follow-up.
- At the next MEO Training, AFR should have some of these materials available for use by the MEOs.
- Require follow-up partners reports.

- REAs spot check compliance review process by the MEO, Team Leaders, CTOs, and Activity Managers.

Strengthen Host Country Capacity in Environmental Impact Assessment

- An integral part of doing USAID business and working with our partners is helping strengthen host country capacity.
- Develop with host country a standardized set of environmental guidelines acceptable to USAID and other donors. Move toward use of host country guidelines that meet USAID mandatory environmental procedures requirements and can also be used by other donors.
- Help strengthen the effectiveness and financial sustainability of the host country's ability to provide EIA review and follow-up.
- Influence host country environmental policy dialogue by strengthening environmental advocacy and the role and expertise of environmental lawyers:
 - Lessons learned in land reform.
 - Environmental guidelines for districts.
 - Decentralization processes – streamlined environmental review.
 - Reducing corruption and strengthening due process and enforcement of environmental law through the courts

Other Actions Recommended

- **Get your Contracts Office sensitized and engaged.**
- **Establish internal and external environmental monitoring for reporting on environmental compliance:**
 - Establish Indicators.
 - Engage Activity Monitors.
- **Share your experiences:**
 - Use the Africa Regional MEO-REO listserv and mailing list.

Example:

- Financial audit training for partners, even if only for a day, has proven valuable. Training in EIA, even on this limited scale, would be helpful for host government personnel and implementing partners.
- Organize training and technical assistance for the environmental assessment practitioners in your country.
- Don't just emphasize compliance; provide encouragement and incentives for application of the environmental procedures for sustainability assurance.
- **Expect Compliance**
 - In/via contracts, etc.

- Annual work plan reviews are a vehicle for this.
- **“Business Process”**
 - Have USAID partners heavily engaged in IEE preparation and follow-up whenever possible. Partners are now commonly engaged in many other aspects of design and implementation.
 - USAID’s role is to spot check.
- **Best Practice**

Incorporate best practice language into all contracts, etc. The more specific the guidance, the more likely the implementers will develop and budget for practical and implementable EMPs.

Summary of a Proposed Regional Environmental Quality, Management and Services Support Mechanism (QEMS)²

Introduction and Justification

This summary provides background information on a concept for a potential Regional Environmental Quality, Management and Services (REQMS) contract mechanism that—*through buy-ins from requesting USAID missions and partners*—could provide services to meet needs in the areas of environmental compliance, environmental assessments, environmental capacity building and environmentally sustainable project design. This brief provides some general proposals on possible tasks, management options, and contract mechanisms for the REQMS in order to elicit feedback from missions and partners regarding the demand for and nature of such a mechanism.

There is a clear need to continue strengthening USAID's role as a lead agency in sustainably planned development. Given the shortage of in-house environmental expertise at USAID, it is argued that a mechanism which would facilitate completion of mandatory environmental compliance documentation and contracting assistance for design in areas such as community-based resource management, cleaner production, green trade, carbon sequestration, compensation for environmental services, environmental certification, and environmental management accounting (to name a few) could help to ensure environmentally friendly and sustainable design.

Objectives

Some illustrative key tasks envisioned for the REQMS mechanism might include:

Assisting Missions to Produce Mandatory USAID Environmental Compliance Documentation:

- Provide personnel and technical assistance for the drafting of IEEs, PEAs, and PERSUAPs to missions and partners.
- Provide assistance in drafting environmental assessments for strategic planning, such as Environmental Threats and Opportunities Assessments (ETOAs).
- Ensure that environmental compliance documentation leads to quality activity design and implementation.
- Assist with monitoring partners' implementation of environmental compliance recommendations.
- Maintain a coherent tracking system for environmental compliance documentation.

² “Strawman” drafted January 2004 by Walter Knausenberger, SREO at REDSO/ESA, discussed briefly at the Botswana workshop.

- Draft Agency-wide guidance for environmental analyses (ETOAAs) to meet FAA 118 and 119 requirements, and ADS 201 analysis for country strategic planning.
- Create, revise, and update project-level environmental screening forms and other supporting documentation as needed.
- Assist missions to draft environmental compliance sections of Annual Reports, identify and develop model TORs, contract specifications, RFP/RFA language to assist in building environmentally sound design principles into contract mechanisms and program design.
- Manage an environmental compliance electronic “community of practice” to provide technical and procedural updates.
- Track host country environmental procedures and laws governing environmental compliance, and work to coordinate USAID policies with those of host country governments.
- Provide updates on developments in host-country environmental legislation and procedures to community of practice through listserves or related information-sharing tools.

Environmental Capacity Building and Support Tools:

- Continue to support, refine and promulgate the USAID Environmental Guidelines and other technical information and documentation, responding to emerging needs.
- Assist in effectively to coordinate/communicate/complement work with other Agency Bureaus, regions and outside institutions concerned with the same/similar issues in Africa (and beyond).
- Consolidate/take advantage of experiences/lessons/techniques and procedures from other USAID regions.
- Organize and conduct environmental compliance training on a regular basis throughout the region, (in both English and French) in collaboration with Mission partners, Mission Environmental Officers, Title II cooperating sponsors, and environmental professionals from the public and private sectors.
- Implement periodic Training of Trainer workshops for environmentally sound design and application of USAID and host-country environmental compliance procedures.
- Contribute to an Africa-wide multi-donor EIA Professional Development Fellows Program.
- Prepare and update training and resource materials for above courses and for Mission and partners’ use.
- Conduct annual or biennial trainings for Mission Environment Officers (MEOs) to build capacity for drafting and monitoring environmental compliance documentation and to keep MEOs up to date on developments within the field of practice.

Beyond Compliance to Sustainable Design and Implementation:

- Provide technical assistance and consultations to mainstream environmental considerations into USAID regional and bilateral programs in areas such as: trade and environment, sustainable enterprise development, compensation for environmental

services, carbon sequestration, cleaner production, environmental certification, reduced impact logging, environmental management accounting, renewable energy, watershed management, community-based resource management and a variety of other innovations as demand arises.

- Organize environmental “State of the Art” (SOTAs) for USAID, implementing, private sector and host government partners on a variety of topics such as those described above.
- Support Regional Trade Competitiveness Hubs in mainstreaming environment.
- Support USAID-assisted enterprises to achieve superior environmental, health, safety and economic performance consistent with the “triple bottom line.”

Scope

As a preliminary step, this concept for a potential contracting mechanism (whether a Leaders with Associate [LWA], Indefinite Quantity Contract [IQC], a Basic Ordering Agreement [BOA], etc.) is being presented to USAID missions within the Africa region to assess levels of interest and potential for commitment. However, no decision has yet been made as to the geographic or bureaucratic scope of this concept. If interest exists, the concept could become a global mechanism managed out of Washington, a bi-regional mechanism (e.g. LAC and AFR), or a regional/sub-regional mechanism to be managed out of one of the regional bureaus (e.g. Africa-wide managed out of REDSO, RCSA, WARP or AFR, or for the Eastern and Central, Western or Southern Africa regions alone).

REDSO is soliciting interest in such a mechanism since it is becoming clear that with changes in the Administration’s funding priorities, the need for both mainstreaming environmental issues and being legally compliant is becoming increasingly complicated. An expansion of new initiatives in agriculture, trade, HIV/AIDS and health, etc., is placing excessive demands on mission and regional staff. The Regional offices (REDSO, RCSA, WARP) would continue to provide many of the same core environmental services, but this mechanism would make it possible for missions to tackle the environmental challenges head-on, interactively with Regional staff to the extent feasible.

Request to Missions, Operating Units

Please indicate whether your mission would be willing to set-aside some environmental money to have such a mechanism available and at what levels. What types of activities would be most useful to you? Would you prefer a regional project, Africa-wide, bi-regional, global? When considering your responses, please think about the entire portfolio, what types of new designs are coming up, what good or bad experiences you have had being compliant, and integrating environmental considerations, when crafting new ISPs, implementation mechanisms, etc.

Next Steps

- Dialogue with COs and CTOs of pertinent existing mechanisms at Pillar and regional levels.
- Feedback from interested potential stakeholders and investing Operating Units.
- Decision as to whether and how to proceed (decision target date: by ...).

Comments on Increased Support Services to Missions – A Proposed Regional Environmental Quality, Management and Services Support Mechanism³

1. Support for core funding from regional offices REDSO/ESA, RCSA, WARP. Poll Missions on the need for these services. (*Note:* See affirmative reaction from the Mission Self-Assessment Questionnaire results.)
2. Think about concept of this form of strengthening for more than just environment, e.g., gender, etc.
3. Think about sectoral experts who could provide technical assistance in sectoral areas where need is high (e.g., roads, pesticides).
4. Don't include help with IEE preparation in this concept; get partners to do it.
5. What would be the implementing mechanism in the Region? Regionally based consortium? Leader with Associates?
6. Do Missions see a need for it? Are they willing to budget to support it?
7. The needs ARE significant; the budgeting would require a significant committed effort.

³ Summary of reaction to the above QEMS concept paper.