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GEMS TRAINING DELIVERY REPORT:

**LIFE OF PROJECT ENVIRONMENTAL
COMPLIANCE AND ENVIRONMENTALLY
SOUND DESIGN AND MANAGEMENT:
AN ASIA REGIONAL TRAINING WORKSHOP FOR USAID STAFF
AND IMPLEMENTING PARTNERS**

13-17 JULY 2015

Asia Regional Training Center (ARTC), Bangkok, Thailand

24 August 2015

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13-17 JULY 2015

ASIA REGIONAL TRAINING CENTER (ARTC), BANGKOK, THAILAND

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TABLE OF CONTENTS

1. Overview	1
2. Agenda and Learning Approach	1
3. Evaluations	3
4. Participant assessments of compliance status and needed strengthening measures	7
5. Key workshop attributes and implementation arrangements.....	7

ATTACHMENTS:

Final Agenda

Evaluation Form

LIST OF ACRONYMS

AFR	USAID Bureau for Africa
AFR/SDUSAID	Bureau for Africa, Office of Sustainable Development
AOR	Agreement Officer's Representative
ARTC	Asia Regional Training Center
ASIA	USAID Bureau for Asia
BEO	Bureau Environmental Officer
COR	Contracting Officer's Representative
E3	USAID Bureau for Economic Growth, Education, and Environment
EA	Environmental Examination
EIA	Environmental Impact Assessment
EMMP	Environmental Mitigation and Monitoring Plan
ENCAP	Environmentally Sound Design and Management Capacity-Building Support for Africa
ESDM	Environmentally Sound Design and Management
GDA	Global Development Alliance
GEMS	Global Environmental Management Support (Program)
IEE	Initial Environmental Examination
IP	Implementing Partner
LMS	USAID Learning Management System
LOP	Life of Project
ME	USAID Bureau for the Middle East
M&E	Monitoring and Evaluation

MEO	Mission Environmental Officer
OAPA	Office of Afghanistan and Pakistan Affairs
PAD	Project Appraisal Document
PDO	Project Development Officer
PIO	Public International Organization
RCE	Request Categorical Exclusion
RDMA	Regional Development Mission for Asia
REA	Regional Environmental Advisor
Reg. 216	22 CFR 216
US	United States
USAID	United States Agency for International Development

I. OVERVIEW

From 13-17 July 2015, an Asia Regional Training Workshop for USAID staff and IPs in “Life of Project Environmental Compliance and Environmentally Sound Design and Management” was conducted in Bangkok, Thailand.

The workshop was hosted by USAID/Regional Development Mission Asia (RDMA). Key technical assistance was provided by the GEMS project. 47 participants attended: 27 were USAID mission staff, representing 15 missions, and 20 were IPs, representing 14 USAID-funded partners in the region.

The workshop was the latest in a series of Asia and Middle East Regional Environmental trainings for USAID staff. The overall goal of these workshops is to strengthen environmentally sound design and management of USAID-funded activities in these regions by assuring that participants (including USAID MEOs, CORs/AORs, Activity Managers, Team Leaders, M&E Officers and PDOs, and IPs) have the motivation, knowledge and skills necessary to (1) achieve environmental compliance over life of project, and (2) otherwise integrate environmental considerations in activity design and management to improve overall project acceptance and sustainability.

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

Towards these ends, the workshop used the most current version of the GEMS “life of project” agenda and materials; see <http://www.usaidgms.org/esdm.htm> and materials prepared by the Asia BEO and the two REAs, , in consultation with and with key contributions from the GEMS facilitation team. Logistics support was provided by GEMS, USAID/RDMA, and ARTC. Participant evaluations strongly indicate that the workshop achieved its objectives. Sessions on development of IEEs, development of EMMPs, and the field trips were highly rated by participants. All participants felt that the workshop increased their knowledge, as well as their capabilities to address environmental compliance requirements. Most of the participants reported that more time to discuss field experiences and have a Q&A session would have been valuable; however, given the high number of participants, it was often challenging to stay on schedule while responding to the broad range of questions.

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

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

2. AGENDA AND LEARNING APPROACH

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

Approach to Learning. The workshop was highly participatory and field-based:

1. Skills and processes briefed in the presentations were practiced in hands-on exercises conducted in small working groups.
2. The key integrative exercises in Core EIA skills and LOP compliance were built around virtual (video) and physical field visits.

3. Presentation-centered sessions were designed to be interactive. Participants were expected and encouraged to ask questions and, just as importantly, to share and discuss their own experiences and perspectives relevant to the topic at hand.

Overall Goal. As noted in the Overview section above, the overall goal of the workshop was to strengthen environmentally sound design and management of USAID-funded activities in Asia and the Middle East by assuring that participants have the *motivation, knowledge and skills necessary to* (1) achieve environmental compliance over life of project, and (2) otherwise integrate environmental considerations in activity design and management to improve overall project acceptance and sustainability.

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

AGENDA COMPONENT	CORRESPONDING OBJECTIVES: BY THE END OF THE WORKSHOP, PARTICIPANTS SHOULD BE ABLE TO:
<p>1. Motivating LOP environmental compliance. USAID’s mandatory environmental procedures exist to assure ESDM of development activities. The workshop begins by defining ESDM and establishing why ESDM must be a necessary and explicit objective for successful development.</p>	<ul style="list-style-type: none"> • Articulate the ESDM concept and common causes of failure to achieve ESDM. • Explain why ESDM must be a necessary and explicit objective for successful development. • Articulate key action principles for achieving ESDM
<p>2. Building Core EIA Concepts and Skills. USAID’s environmental procedures are a specific implementation of the general EIA process. An understanding of the basic EIA process greatly facilitates understanding of USAID’s procedures, and basic proficiency in a set of core EIA skills is required for effective compliance over life of project.</p>	<ul style="list-style-type: none"> • Explain the relationship between ESDM and the EIA process. • Describe the key elements of the EIA process. • Demonstrate basic proficiency in the core EIA skills of identifying significant impacts/issue of concern and design of mitigation and monitoring.
<p>3. Mastering LOP Compliance Requirements. The workshop first surveys LOP environmental compliance requirements. These requirements—and the compliance process—can be divided into “upstream” and “downstream” elements.</p> <p>Upstream compliance consists primarily of the pre-implementation environmental review process defined by 22 CFR 216 (Reg. 216), which culminates in approved Reg. 216 documentation (RCEs, IEEs and EAs).</p> <p>Downstream compliance consists primarily of <i>implementing</i> the environmental management conditions specified in approved Reg. 216 documentation, and <i>reporting</i> on this implementation. The EMMP is the key instrument for systematic implementation of these conditions—and thus for achieving ESDM.</p>	<ul style="list-style-type: none"> • Describe the basic elements of LOP compliance, and attendant roles and responsibilities. • Demonstrate basic familiarity with the pre-implementation environmental review process established by Reg. 216. • Understand the characteristics of effective initial environmental examinations (IEEs) and be able to assess the quality of IEEs. • Demonstrate basic proficiency in developing environmental mitigation and monitoring plans (EMMPs). • Articulate the environmental compliance reporting requirements attendant to EMMP implementation.

The workshop covered both upstream and downstream compliance, but the practical exercises most emphasized downstream compliance (EMMP development), as this is where the greatest gaps in reports typically occur.	
4. Understanding Key “Special Topics” in Compliance. Focused “special topic” sessions address the environmental compliance and management aspects of selected current, complex and emerging issues in the USAID portfolio and operating environment.	<ul style="list-style-type: none"> • Explain the key compliance issues involved in each special topic, and articulate recommended best practice.
5. Improving Compliance Processes. Achieving LOP compliance and ESDM requires both that individual USAID staff and IPs understand their roles, responsibilities and master key skills, <i>and</i> that internal mission and project processes support and “mainstream” environmental compliance.	<ul style="list-style-type: none"> • Evaluate strengths and weaknesses of environmental compliance processes in team/Mission against those in the region as a whole. • Undertake or propose improvements to these processes following the workshop.

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

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

3. EVALUATIONS

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

1. Environmental Compliance Synthesis Game. To reinforce skills and knowledge, on Day 4, facilitators led an 18 question ESDM version of a knowledge game, with groups competing for points based on correct answers to the questions. The game resulted in a tie for two teams and, overall, elicited positive feedback for the opportunity to interact and work as a team to respond to questions.

2. Individual workshop evaluation and feedback instrument. At the conclusion of the workshop, participants were also asked to complete the standard LOP/ESDM individual workshop evaluation form, in use since 2008 (attached). It is designed to both solicit evaluations of learning approach and to differentiate evaluations according to the level of prior knowledge of participants.

The latter is intended to evaluate workshop performance against past workshops and inform future workshop design with respect to a consistent challenge in this training series: simultaneously meeting the needs of both “old hands” and novices in the areas of ESDM and USAID environmental procedures.

The tables below summarize the responses received – a total of 41. In the overall evaluation categories (“All” column, table A), the scores are nearly all “good” or “excellent” and are consistent with recent trainings in this series.

Overall evaluation result:

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

EVALUATION ELEMENT	AVERAGE SCORES FOR PARTICIPANTS	PREVIOUS WORKSHOPS IN THE SERIES	
	ALL (41)	SENEGAL (2014)	BANGKOK, THAILAND (2013)
Technical Program	4.12	4.33	4.04
Facilitation	4.54	4.14	4.56
Logistics	4.42	3.22	4.52
Venue	4.63	2.95	4.69
Field Visit	4.15	4.14	4.52

Impact Results

Scoring scheme: (1=not at all increased, 2= moderately increased, 3=strongly increased)

IMPACT: EVALUATION ELEMENT	SCORE*	INTERPRETATION
Empowerment (Knowledge and Capabilities): To what extent has this workshop increased your knowledge and capabilities to address environmental compliance requirements in the context of your job function/professional responsibilities?	2.5	Many participants appear to be motivated to implement ESDM following the workshop. They recognize, however, the challenges in getting management both within the Mission and externally to pay attention to environmental compliance requirements and fully integrate them into day-to-day planning and implementation of Mission programs. From group discussion, further reinforced by points raised at the MEO/REA retreat, there is a great deal of variability among Missions in fully supporting the requirements for ESDM practices.
Motivation: To what extent has this workshop increased your motivation to proactively address environmental compliance and ESDM in the context of your job function/professional responsibilities?	2.8	

*average across all participants

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

EVALUATION ELEMENT	SCORING SCHEME	SCORE*	INTERPRETATION
Balance of time in classrooms to time in field	1=much more time in field needed 3=about right balance 5=much more classroom time needed	2.62	A few participants suggested the field visit occurred too early in the workshop and suggested Day 3 would have been a better day when understanding of concepts was greater.

In the classroom, balance of presentations to exercises, group work and discussions	1=much more emphasis on presentations needed 3=about right balance 5=much more emphasis on exercise/discussion needed	3.32	A few comments indicated more participatory exercises would have been appreciated; overall, the balance of presentations and lecture was about right.
Technical Level and Pace	1=much too heavy 3=about right 5=much too light	2.89	Several participants noted that time allotted for the workshop was too limited to cover all the material and allow for exchange and questions.
Learning from training team vs. learning from peers	1=need to hear much more from facilitators 3=about right balance 5=need much more peer learning/exchange	3.35	There was general appreciation of the fact that both REAs were present as well as two BEOs, including the Asia BEO.

*average across all participants

High rated/low-rated sessions:

Participants were asked to identify the one or two sessions they rated most favorably and least favorably in terms of content, usefulness, approach or other reasons.

High Rated: The sessions rated highly were Session 10: Effective IEEs and Sessions 12/13: EMMP and Indicators

Low Rated: Session 2: ESDM, Session 14: Procurement, Session 18: PERSUAPs

Key topics not covered:

Were there any topics of key importance to you that were not covered/given very limited attention?	<ul style="list-style-type: none"> • Procurement • Development of program-specific IEEs/EMMPs • EAs • Too little time for in-depth questions and discussion
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Support Needs:

Are there particular environmental compliance/ESDM support needs or resources that you require?	<ul style="list-style-type: none"> • Website with good examples of good environmental documents uploaded to share • Notifications of where to find important updates to ADS or executive orders that affect environmental compliance • Resources to explain roles and responsibilities for CORs/AORs and support offices for better outreach within the Mission
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A spreadsheet containing a full transcription of the evaluations is logged in the GEMS deliverable archive and available from GEMS upon request. Individual comments on the evaluations offer a number of insights for strengthening future workshops in the series.

4. PARTICIPANT ASSESSMENTS OF KEY MESSAGES

Session 21 of the workshop began with a discussion of strategies for achieving environmental excellence in the region and continued with participant identification of key messages to communicate to Mission management/teams leaders (USAID staff) and COPs (IP staff). Many of these same points were raised at the follow-on Retreat held on Day 5. The main points identified by the groups are:

- Communication is key at multiple levels
 - Internally in USAID -- within the Mission (OAA, program office, MEO) and with the BEO
 - With the AOR/COR
 - With IPs (an observation was made that key staff need copies of the IEE, not just the Chief of Party (COP))
- USAID is upstream-focused and there is too much attention on IEE clearance and not enough follow-through for the LOP. Emphasis on downstream (EMMP) matters, especially monitoring and implementation of mitigation measures, needs to be increased.
- Templates, including standard Mission Orders, to simplify document preparation, standardized compliance tracking, and a common environmental compliance filing system would be very useful.
- The role of the MEO should be primarily focused on environmental management issues, rather than an additional role within an existing job.
- Environmental compliance language is often missing or overlooked in the contracting process. Thus, support to incorporate of environmental compliance language (ECL) in contracts/grants with OAA which identifies those explicitly responsible when non-compliance issues arise.
- Including training of AOR/CORs in environmental compliance/Reg. 216 is essential for integrating environmental compliance throughout the life-of-project.

5. KEY WORKSHOP ATTRIBUTES AND IMPLEMENTATION ARRANGEMENTS

Place, Date, and Participants

Dates	July 13-17, 2015
Venue	Asia Regional Training Center (ARTC) ARTC provided training facilities and on-site logistical support (e.g., printing, copying, A/V assistance, etc.), arranged site visits, issued invitations, and supported participants in acquiring visas and country clearance for the workshop.
Participants	Total full-time participants, including training team: 53 full-time participants Total full-time participants excluding training team: 47 representing 15 Missions and 5 from USAID partner organizations. Training team: 2 GEMS Trainers, 4 USAID Trainers (see “GEMS training team,” below.)
Working language	English

Staffing and Logistics

<p>Planning leads and coordination</p>	<p>Key planning leads:</p> <p>Logistics: Kathleen Hurley, Tara Fortier, Ashley Fox</p> <p>Workshop Registration and Overall Tracking: ARTC</p> <p>Case sites: Andrei Barannik, Teresa Bernhard, Aaron Brownell, Will Gibson, Kathleen Hurley, Joyce Jatko</p> <p>Agenda and Material preparation: Mark Stoughton, Kathleen Hurley, Tara Fortier, and Ashley Fox, Cadmus;</p> <p>Mission team: Aaron Brownell, Regional Environmental Advisor, Southeast Asia and the Pacific; Andrei Barannik, Regional Environmental Adviser for Asia, Middle East and OAPA, Will Gibson, Asia Bureau Environmental Officer, Teresa Bernhard, E3 Bureau Environmental Officer</p> <p>In the month preceding the workshop, email exchanges and final preparations calls were held by this core planning team.</p>
<p>Registration</p>	<p>Registration for the workshop was divided into two phases: pre-registration, and registration via the online USAID Learning Management System (LMS). Pre-registration served as a gating/control process for LMS registration, as well as a means to gather additional information about participant backgrounds and training needs.</p>
<p>In-country logistics</p>	<p>In-country logistical support was provided by USAID/RDMA and ARTC staff, who typically provide a high level of on-site support to groups using the training facility. ARTC staff arranged transportation for field visits.</p> <p>Kathleen Hurley, Tara Fortier, and Aaron Brownell (USAID) supervised preparations.</p>
<p>GEMS Training Team</p>	<p>Kathleen Hurley (Cadmus) and Joyce Jatko (Cadmus) served as the lead trainers.</p>
<p>USAID Training Team</p>	<p>Teresa Bernard Aaron Brownell Andre Barannik Will Gibson</p>

Contracts, Funding, and Cost-Shares

<p>Cost shares and Sources of funding</p>	<p>Participants' respective Missions/offices and projects covered travel and per diem costs.</p> <p>USAID/RDMA provided training facilities and staff time for preparations and on-site logistical support.</p> <p>Using obligated Asia Bureau funds, GEMS covered: travel, salary and per diem for the GEMS training team; development of workshop agenda and training materials, including development of special topic and case site exercises; and case site transport.</p>
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Agenda, Content and Materials

Development lead	Mark Stoughton, Kathleen Hurley (Cadmus) and USAID Asia BEO and REAs
Agenda	The final agenda is attached. See also notes on the agenda in section 2.
Hardcopy materials	<p>Participants were provided with the following materials in hardcopy:</p> <p>Sourcebook. 1.5” three-ring binder containing the agenda, a brief objectives statement/overview of each module, presentations and exercises.</p> <p>ENCAP Visual Field Guides. Participants were provided with copies of the relevant ENCAP Visual Field Guides for an environmental monitoring exercise on day 2.</p> <p>LOP Environmental Compliance Milestones Chart. Participants were provided with a laminated copy of the milestones chart developed for this workshop (copy attached)</p> <p>Sourcebooks, ENCAP visual field guides, and workshop certificates were reproduced in Waltham, MA from PDF originals prepared by Cadmus and sent to Bangkok via FedEx. The LOP chart was reproduced in Bangkok.</p>
Case site visits	<p>Three virtual site visits were conducted via short video clips. Participants were then asked to discuss key potential impacts of the proposed expansion activities and to evaluate a draft IEE based on the site visit.</p> <p>Field site visits were conducted to three locations in the Bangkok area:</p> <ol style="list-style-type: none"> 1. Naree Organic Farm 2. Dindaeng Waste Water Treatment Plant 3. Thai Red Cross AIDS Research Center (TRC-ARC) <p>Using information gained from the field visits, participants were required to develop preliminary baseline data, observe potential environmental impacts, and develop preliminary mitigation measures based on observations for the project scenarios that were provided for their respective sites.</p>

6. ATTACHMENT: FINAL AGENDA

Agenda (30 June 2015 version)

ASIA REGIONAL ENVIRONMENTAL COMPLIANCE—ESDM WORKSHOP

USAID Asia Regional Training Center, Bangkok
13–16 July 2015

Day/Time	Topic
13 July/Day 1	
08:30–09:00	Participant Registration
09:00–09:15	Welcome and Opening Statements
09:15–09:45	Session 1: Workshop Goals and Objectives, Participant Introductions and Expectations, and Logistics
09:45–10:45	Session 2a: Environmental Compliance for Environmentally Sound Design and Management (ESDM) <i>with Exercise</i>
10:45–11:00	Break
11:00–11:45	Session 2b: Environmental Compliance for ESDM <i>with Exercise</i>
11:45–12:15	Session 3: ESDM Across the USAID Project Life Cycle
12:15–13:15	Lunch
13:15–13:45	Session 4: How is USAID Assimilating and Integrating Environmental Compliance and Sustainability into Agency Planning, Programing, and Activities?
13:45–14:45	Session 5: Fundamental Environmental Impact Assessment (EIA) Skills and Concepts I
14:45–15:40	Session 6: Why Implement Environmental Compliance Procedures?

Day/Time	Topic
15:40–16:00	Break
16:00–17:00	Session 7a: Site Visits: Introduction and Preparation
14 July/Day 2	
08:00–12:15	Session 7b: Site Visits: 1. Health Center/Hospital; 2. Waste Water Treatment Plant; 3. Agricultural Project site
12:15–13:30	Lunch
13:30–15:30	Session 7c: Site visits: Follow-up Exercise; Report Out
15:30–15:55	Break
15:55–16:25	Session 8: Getting the Most Out of the Sector Environmental Guidelines
15 July/Day 3	
08:30–09:00	Review/Preview: Recap of Day 2 and Preview of Day 3
09:00–09:45	Session 9: Reg. 216: USAID's Pre-implementation EIA Process with Site Visit Examples
09:45–10:45	Session 10a: Effective Initial Environmental Examinations (IEEs)
10:45–11:00	Break
11:00–11:30	Session 10b: Effective IEEs
11:30–12:15	Session 11: Environmental Analyses for Project Appraisal Documents
12:15–13:15	Lunch
13:15–14:15	Session 12: Fundamental EIA Skills 2: Environmental Monitoring and Environmental Mitigation and Monitoring Plans (EMMPs)
14:15–15:15	Session 13: Indicators Exercise
15:15–15:40	Session 14a: Procurement and Environmental Compliance

Day/Time	Topic
15:40–16:00	Break
16:00–16:20	Session 14b: Procurement and Environmental Compliance
16:20–17:05	Session 15: Environmental Compliance in Implementation
16 July/Day 4	
08:30–09:00	Review/Preview: Recap of Day 3 and Preview of Day 4
09:00–09:45	Session 16: Roles, Responsibilities, and Resources
09:45–10:45	Session 17: Special Topic—GCC Consideration in Project Planning and EIA
10:45–11:00	Break
11:00–12:20	Session 18: Special Topic—Pesticides, Safe Use and Compliance Basics and an Exercise
12:20–13:30	Lunch
13:30–14:45	Session 19: Synthesis Game
14:45–15:40	Session 20: Parking Lot
15:40–16:00	Break
16:00–16:30	Session 21: “Way Forward” Plenary Discussion
16:30–16:45	Session 22: Evaluations
16:45–17:00	Certificates and Closing

Workshop Evaluation

Life of Project Environmental Compliance and Environmentally Sound Design and Management

An Asia Regional Training Workshop for USAID Staff and Partners

Bangkok, Thailand, 26-29 August 2013

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

Learning approach

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

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

Highest/Lowest-rated sessions

Please identify the 1 or 2 sessions that you rate most highly (for content, usefulness, approach or for other reasons). Please also identify the 1

or 2 sessions that you found least engaging/useful/relevant. Please briefly indicate the reasons for your choice. (You may wish to refer to the agenda to refresh your memory.)

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

Overall evaluations

Please check the assessment you most agree with.

Issue	Assessment					Comments
	Very poor	Poor	Acceptable	Good	Excellent	
Technical quality (Program and Facilitation)						
Logistics						
Venue						
Field visits						

Impact

Please circle the characterization you most agree with.

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

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

Key topics not covered

Were there any topics of key importance to you that were not covered/given very limited attention?	
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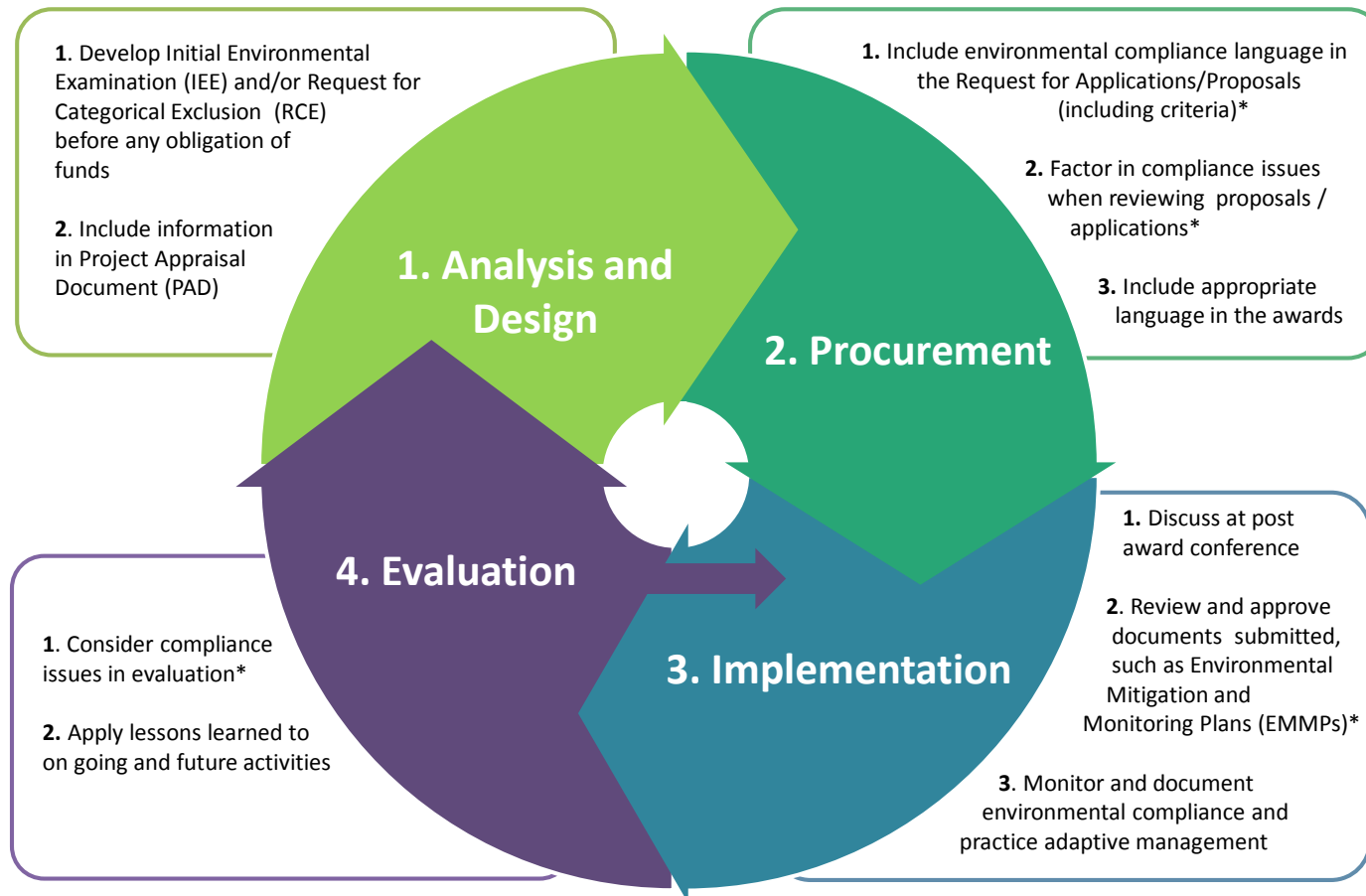
Support needs

Are there particular environmental compliance/ESDM support needs or resources that you require?	
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Additional comments welcome on any topic.

9. ATTACHMENT: USAID LIFE OF PROJECT ENVIRONMENTAL COMPLIANCE MILESTONES

USAID Life of Project Environmental Compliance Milestones



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

II. ATTACHMENT: ASIA REGIONAL ADVANCED ENVIRONMENTAL COMPLIANCE MODULE

Summary and Results: Asia Regional Advanced Environmental Compliance Module – 17 July 2015

Following the four-day Asia Regional Environmental Compliance-ESDM Workshop, 18 people remained for a fifth day to attend an advanced environmental compliance module. While the main purpose of the module was to discuss issues, obstacles and challenges for regional environmental compliance, there were five additional discussions on PAD-level IEEs; Compliance in the Procurement Process; DCAs, GDAs, PIOs, Government to Government agreements; Multilateral Development Banks (MDBs); and Best Practice Reviews.

PAD-Level IEEs

The Regional Environmental Advisors, Aaron Brownell and Andrei Barannik, led the discussion on PAD-level IEEs and the approach to developing these compliance documents. The session reviewed PAD-level IEEs associated environmental analysis and emphasized the importance of understanding the conditions and requirements for each project as well as translating those conditions through the procurement phase. Participants noted the AOR/CORs do not always understand the purpose of the IEEs and the conditions. Finally, the importance of translating the relevant conditions and best implementation practices to the IPs is very important, but not always clearly transmitted.

Strengthening Compliance in the Procurement Process

RDMA Contracting Officer, Martha Aponte, led an interactive Q&A session on how to integrate environmental compliance into the procurement process. The main message of this session was that there are multiple ways to integrate environmental compliance into the procurement process, including in the solicitation process. Specifically, it is essential to properly capture the environmental requirements in the solicitation by linking requirements through the sections of the solicitation (i.e., Sections F, J, L, and M). Proposals and budgets are not binding if they are not incorporated into the award. The discussion benefited from the COR's input on how to integrate environmental considerations from the solicitation stage of a project.

DCAs, GDAs, PIOs, and Government-to-Government (G2G) Agreements and Environmental Compliance

After a brief presentation by the Asia Bureau BEO, Will Gibson, on these instruments, the General Counsel from RDMA joined for a plenary discussion. He noted that at the moment there is not a lot of specific environmental guidance available for these types of agreements, and he advised that the best approach is to comply with USAID Reg. 216 procedures as much as possible, recognizing that we are not working with a standard situation. Missions can look at what types of policies or environmental management systems PIOs and GDAs have already, and, if they are absent, work with PIOs and GDAs to integrate procedures into their processes. The General Counsel acknowledged that these instruments fall into a “grey” area, and that incorporation of environmental compliance can be undertaken through policy. He also noted that organizations need to demonstrate a “good faith” effort to instill environmental safeguards into these agreements. The three core suggestions were to 1) adopt environmental

practices/policies into the agreement; 2) engage with the partners to communicate what exists and the next steps; 3) potentially modify the award to include environmental language.

MDBs and Environmental and Social Impact Assessments (ESIAs)

The E3 BEO, Teresa Bernhard, made a presentation on MDB projects and a pending requirement for review of bank project Environmental and Social Impact Assessments by Missions. She solicited input from attendees on how this requirement could be handled within the Missions. There was discussion, including a suggestion by one of the REAs that perhaps Mission staff could obtain relevant information before the ESIAs are distributed, such as through scheduled public consultations on the projects. No other specific suggestions were put forward and Teresa requested any suggestions be e-mailed directly to her.

Best Practice Reviews and Indicators

This session, led by Aaron Brownell and Andrei Barannik (REAs), included discussions regarding what BPRs are, when they should occur, and the utility of undertaking a BPR. General steps of a BPR were reviewed and resources for understanding the BPRs were provided. The presentation emphasized that the BPR is a useful tool to the Missions in improving environmental processes and developing information as to how the Mission is complying with Reg. 216. Ideally, BPRs should be conducted every five years. The Mission initiates the BPR process, and often it can be effective to do it in conjunction with the CDCS process. After Andrei Barannik provided the BPR overview, Aaron Brownell discussed what indicators, derived from BPRs, could be used as interim measures of improvement and who at the Mission would be evaluated using these interim indicators.

REGIONAL PRIORITIES FOR IMPROVING COMPLIANCE

After lunch, the primary focus was to discuss what is working well and to identify issues, obstacles and challenges for regional environmental compliance. Attendees also determined what they considered the top priorities to address over the next 2-3 years in terms of practices that are working well as well as ways to address problem areas.

Brainstorming Session

After representatives from three different Missions summarized their “lessons learned” and challenges, attendees shared other observations about what was working well. They were then broken up into small groups to discuss what they saw as issues, obstacles and challenges. The results were reported out and discussed in plenary. They formed the starting point for a further discussion to prioritize recommended actions for the next 2-3 years.

What’s Going Well

- Quick REA and BEO clearance.
- Strong REA and BEO support – they “have your back.”
- Some AORs/CORs take environment seriously.
- Having a shared electronic drive at the Mission with all documents.

- Updates provided by Aaron Brownell (REA).
- When the MEO is considered an extended member of all teams, then environmental issues can be integrated from the concept phase through to implementation.
- Some Missions invite the MEO to opening meetings for contracts/agreements.
- Having templates for environmental compliance documents streamlines the process; this is used in the Pacific Islands.
- IPs are interested and open about environmental compliance (and we should go to them to provide training).
- If the IP has a dedicated environmental person, environmental compliance goes well.
- Mission level training and the four-day course are useful.
- Strong communication with USAID and IPs and AORs/CORs improves environmental compliance.
- Third party oversight works well.
- Having a POC in the Mission is important (MEO, deputy MEO).
- Having more than one Deputy MEO helps manage the stream of compliance documents
- Mission Order for environmental compliance is important.
- Environmental compliance language in solicitations and awards and engaging the MEO in the process is important.
- Having an environmental document tracking system (including IEEs and EMMPs) is valuable.

Issues, Challenges, Obstacles as identified by participants

- Regional coordination on environmental compliance approaches, including templates and a consistent approach among the Missions.
- MEO expectations and EMMP requirements may not be realistic – expectations and requirements need to be reviewed for practical implementation.
- Getting out into the field because of security and/or portfolio size. Consequently, it is difficult to mitigate impacts if you haven't been in the field.
- AORs/CORs and IPs don't understand their roles and responsibilities or give attention to their requirements. Some don't feel accountable.
- The MEOs need to build core competencies through education and experience, which must be practical to be useful.
- Monitoring for compliance needs to be standardized.
- Lack of funding is a problem affecting training, field visits.
- The MEO is not in a position of authority, affecting the ability to influence and implement and FSN MEOs lack a clear career path and job description.
- The MEO is not well placed in the organization.
- MEOs are not included in OAA procurement processes including post award conferences and appropriate environmental language is not being included in solicitations and awards.
- MEOs need guidance on the application of USAID FORWARD as it relates to PIOs and G2G agreements.
- The MEO PD does not describe MEO duties well.
- MEOs are not getting enough training on Reg. 216 and the training needs to be practical. This is due, in part, to funding and policy constraints.
- Some Missions lack a Mission Order on environmental compliance.

- MEOs are not being involved in procurement or EMMP implementation.
- Some expectations/requirements of the MEO are too high (e.g., writing IEEs, attending too many site visits across the Mission).
- MEOs have too many non-MEO duties; the role of MEO is not in the annual performance evaluation.
- AORs/CORs often are unaware of the environmental review process or have not been trained in it.
- AORs/CORs are not evaluated on their environmental compliance performance.
- Some Missions have restrictions on movement due to security issues, which makes monitoring nearly impossible.
- Follow-up and monitoring aren't a focus.
- Project files may lack environmental documentation.
- IPs may not have a copy of the IEE/CE/EA and don't know what the environmental document says or requires.
- There is an overall lack of standardization.
- The MEO is not involved in project design.
- ADS 204 doesn't provide comprehensive guidance for the whole process.
- BS 40 competencies should have greater emphasis on environmental compliance.

Prioritization and the Way Forward

Attendees were asked to vote on their top ranking issues and then identify action items for those issues. Action items could be assigned as a personal action item, a Mission action item, or a Washington DC (WDC) action item. Suggestions for maximizing positive outcomes and proactively addressing the challenges were identified and another vote was taken to prioritize suggested actions. The results are provided in the list below, arranged based on priority (within each group, all items are considered of equal importance).

Priority A (highest priority)

Priority Level	Item	Action Item	Responsible Party
A	Mission Director's knowledge of environmental compliance	Integrate environmental compliance into the Mission Director Conference	WDC
A	Lack of standard environmental compliance templates and Mission Orders for environmental compliance	Develop standardized forms and a standard Mission Order for Environmental Compliance	WDC
A	Lack of environmental compliance training for AOR/CORs	Include a more substantial module related to environmental compliance in training	WDC
A	MEOs need a clearer job description	MEO job description by HR	WDC
A	Environmental Compliance training needed at multiple levels	Develop on-line training	WDC

	and at a more regular and frequent intervals	resources that can be accessed easily	
A	Standard language in the contract for EMMPs	Work with A/CORs at Missions to incorporate language in the contract	EO and A/COR
A	Consistent maintenance of environmental compliance files is lacking	Develop standard operating procedures at the Missions to implement these processes	Missions and REAs
A	Communication of environmental compliance issues and priorities between the Missions and DC	Educate A/COR on responsibility; Asia BEO/REAs meet with MEOs to identify issues prior to in-brief with Mission	MEOs, BEO, REAs
B	Funding for environmental compliance actions	Integrate cost estimates for environmental compliance actions into awards	Team Lead and A/COR
B	Uncertainty within Mission as to who is responsible for environmental compliance within teams	Designate point-of-contact for environmental compliance from each technical office	MEOs and with Mission staff
B	Impossible to perform environmental monitoring in insecure locations, such as Pakistan and Afghanistan, so rely on local capacity, which is often sub-standard	Build local capacity for environmental monitoring and management	Missions and Regional priorities
B/C	FSN MEOs do not have an environmental background	Training for FSN MEOs without an environmental background or designate those who do have a relevant background.	Mission Director
C	Individual MEO career path is unclear	Develop on-line trainings for advancement	DC and within Mission
C	At larger Missions, one MEO cannot manage the queue alone	Develop a system whereby there are multiple MEOs assigned to specific sectors	Mission Directors
C	Third-party contract support for environmental compliance at the Mission level	Provide additional, third party resources to help with environmental compliance needs at Missions.	Mission

Advanced Environmental Compliance Module

Bangkok, Thailand 17 July 2015

Day/Time	Module	Objective/Content Summary
8:15-8:45	Setting the Stage	Recap of the Bangkok Declaration of 2013
8:45-9:45	Session 1: PAD-Level IEEs <i>Plenary</i>	Information and discussion about when and how PAD level IEEs are used; conditions, challenges
9:45-10:45	Session 2: DCAs, GDAs, PIOs, G2G, etc <i>Plenary</i>	Interactive discussion on how the EIA process fits, challenges and strategies. RDMA experts will be available to provide some advice
10:45-11:00	Break	
11:00-11:30	Session 3: MDBs	The most recent changes in changes in Title XIII reviews
11:30-12:15	Session 4: Best Practices Reviews (BPRs) and Indicators of Improvement <i>Plenary</i>	A discussion of the use of BPRs, frequency of BPRs and use of interim indicators to measure progress in achieving improvements
12:15-13:15	Lunch	
13:15-14:15	Session 5: Improved Compliance – Lessons Learned <i>Plenary</i>	Share lessons learned from within the region of how compliance can and has been improved and discuss their broader application.
14:15-15:30	Session 6: Challenges and issues for regional environmental compliance <i>Group work</i>	Identify and prioritize challenges and issues for regional environmental compliance. What is working well and why is it working well? What are the issues and obstacles and challenges for regional compliance
15:30-15:45	Break	
15:45-16:30	Session 7: Recommended Actions Items for Improving Environmental Compliance Capacities and Outcomes <i>Plenary</i>	Following on from discussion regarding challenges and issues, identify action items and implementation strategies for follow-on actions.