Best Practice Review

Survey Questions for practitioners



Roles and Responsibilities of Positions in the environmental Compliance process

General Mission Processes – All Staff

1. Is there a Mission Order in place on environmental compliance? Yes [ ]  No [ ]
2. Does Mission have electronic files of IEEs and other environmental compliance documents including those for centrally-funded projects (EMMPs, EAs, PERSUAPS, etc.) available to all staff in a centralized location? Yes [ ]  No [ ]
3. Does staff keep soft or hardcopies of current IEEs and other environmental compliance documents (EMMPs, EAs, PERSUAPS, etc.)? Yes [ ]  No [ ]
4. Has staff and IPs completed environmental compliance training (e.g., ESDM/ Reg. 216)? Yes [ ]  No [ ]
5. Are there IEEs and S-IEEs approved (SO and/or DO) fully covering all activities? Yes [ ]  No [ ]
6. Are there DO level IEEs with the PAD? How well are DO IEEs working? Yes [ ]  No [ ]  Are they challenging to understand how they apply to programs? Yes [ ]  No [ ]  What are the positives and negatives of DO IEEs compared to SO or activity level IEEs?
7. Are there any tools (field level or tracking) the MEO or A/CORs use? For example, is there a standard Mission form for field visits or reporting and is there a section for environmental compliance? Yes [ ]  No [ ]
8. Are there near term and long term opportunities to reinforce sound environmental management at the Mission and in projects? For example, linking to upcoming host government initiatives? Yes [ ]  No [ ]
9. Is the Mission undertaking G2G agreements? Yes [ ]  No [ ]  How are requirements for Reg. 216 being met?

Mission Environmental Officer

1. Involved in IEE, PERSUAP, EA preparation? Yes [ ]  No [ ]
2. Participates at RFA/P stage so that environmental compliance (cross-cutting) is incorporated? Yes [ ]  No [ ]
3. Reviews IP quarterly/semi-annual reports for activities that have conditions attached to their IEEs? Yes [ ]  No [ ]
4. Attends portfolio reviews for teams (all or only some teams)? Yes [ ]  No [ ]
5. Attends monthly team meetings? Yes [ ]  No [ ]
6. Participates in partners Annual Work Plan meetings, particularly when the partner has activities with environmental concerns/conditions? Yes [ ]  No [ ]
7. Clears on contracting instruments (e.g., AAD, COAg, DOAg RFP/RFA, G2G)? Yes [ ]  No [ ]
8. Participates in post-award meetings with new partners to overview requirements? Yes [ ]  No [ ]
9. Incorporates language (special provisions) from the IEE into a contracting agreement or other contracting instruments before clearing contracting instruments (e.g., AAD, COAg, DOAg, RFA/P, contract, cooperative agreement)? Yes [ ]  No [ ]
10. Reviews project budgets to check if funds are adequate to cover mitigation and monitoring? Yes [ ]  No [ ]
11. Ensures all projects with conditions in the IEEs have EMMP/EMMRs? Yes [ ]  No [ ]
12. Conducts site visits to verify implementation of mitigation measures/the EMMP/EMMR? Yes [ ]  No [ ]

Additional Questions

1. What percentage of time does the MEO designate/spend on environmental compliance? Does the MEO have other roles? Yes [ ]  No [ ]
2. Where does the MEO reside (Program Office, Technical Officer, or other) and how is the position funded?
3. If there is a Deputy MEO (dMEO), what is the division of labor or sharing agreement with the MEO?
4. a) Who typically prepares an IEE/PERSUAP (MEO, A/COR, project staff, contractor)?.

b) Has the staff that prepares IEEs taken environmental compliance training (for example, ESDM/Reg. 216)? Yes [ ]  No [ ]

1. How important has on the job training been to fulfilling your role?
2. What does MEO feel are the gaps in his/her environmental compliance expertise, and how can these be filled?
3. Does MEO feel there are gaps in coordination among Teams, REA, BEO and other USAID staff? Gaps in coordination between MEO and partner staff? Yes [ ]  No [ ]
4. How are host country requirements harmonized with Reg. 216?
5. For centrally-funded programs from Functional Bureaus, is the MEO consulted on program design, IEE preparation, and other monitoring/performance reports? Has MEO ever assisted IPs with Environmental Status Report/annual environmental report preparation? Yes [ ]  No [ ]
6. Is the MEO asked to review and/or clear IEEs for centrally-funded programs that will operate in their country? Yes [ ]  No [ ]

Program Officers:

1. Reviews environmental compliance status before clearing contracting/financial/implementation instruments? Yes [ ]  No [ ]
2. Reviews project budgets to check if funds are adequate to cover mitigation and monitoring? Yes [ ]  No [ ]
3. Includes the MEO when designing new projects? Yes [ ]  No [ ]
4. Includes environmental compliance reviews in the PPR, OP, and PMP? Yes [ ]  No [ ]
5. Includes environmental compliance an agenda item in portfolio reviews? Yes [ ]  No [ ]
6. Is there budget for MEO travel to the field? Is field review supported? Yes [ ]  No [ ]

Contracting Officer:

1. Coordinate with MEO on RFPs, RFAs, and contract agreements to ensure environmental compliance is addressed? Yes [ ]  No [ ]
2. Coordinate with MEO to review environmental compliance status when amending contracts/cooperative agreements? Yes [ ]  No [ ]
3. Reviews project budgets to check if funds to cover mitigation and monitoring are included? Yes [ ]  No [ ]
4. Shares the procurement plan with the MEO? Yes [ ]  No [ ]

Agreement/Contracting Officer’s Representative (AOR/COR), ACTIVITY MANAGERS, Team Leaders

1. Coordinates with the MEO when designing activities. Consults with the MEO when new activities are proposed or when they are unsure if the new activity is covered by the IEE? Have revisions resulted? Yes [ ]  No [ ]
2. Includes the MEO on proposal review panel when RFP/RFA requests environmental compliance information and/or when there may be particular environmental issues once the activity begins? Yes [ ]  No [ ]

1. Keeps environmental compliance documentation (IEEs, EA, EMMPs, etc.) in project files? Yes [ ]  No [ ]
2. Shares and discusses relevant IEEs and implications for the program with project staff? Yes [ ]  No [ ]
3. Includes an environmental compliance discussion in post-award briefings? Yes [ ]  No [ ]
4. Ensures regular reporting (e.g., quarterly, annual reports) includes a section on environmental compliance? Yes [ ]  No [ ]
5. Coordinates with MEO on the review of quarterly or semi-annual reports for those activities with conditions (for those activities with EMMPs/EMPs). Ensures appropriate approvals of EMMPs/EMPs and files approvals. Includes the MEO during mid-term and final evaluations/reviews? Yes [ ]  No [ ]
6. Ensures a PERSUAP is prepared and implemented for their program? Adapts SUAPs for the specific project? Yes [ ]  No [ ]
7. Requests the MEOs involvement in Annual Work Plan meetings for activities with environmental concerns/IEE conditions? Yes [ ]  No [ ]
8. Includes MEO in SO Team meetings to ensure environmental compliance is being addressed? Yes [ ]  No [ ]
9. Activity Managers coordinate with AOR/CORs in Washington DC? Roles and responsibilities for environmental compliance are clear and appropriate?
10. Request MEO site visit to verify mitigation measure implementation, assess environmental impacts during activity implementation, or to otherwise document environmental compliance status? Are there major logistical challenges to field monitoring? How are these challenges being met? Yes [ ]  No [ ]
11. Follows environmental compliance down to the subcontractor/sub-awardees for their programs. Is the Mission using ERF process? Is its use confusing? How are small grants activities monitored? Yes [ ]  No [ ]

Additional Questions:

1. a) Who prepares the Team’s IEEs?
2. Have SO-level or activity-level IEEs been prepared for your project? Yes [ ]  No [ ]
3. Are deferrals present in your program and how are they followed up on? Yes [ ]  No [ ]
4. Are EMMP/EMMRs being implemented? Yes [ ]  No [ ]
5. a) If any evaluations were done, have they considered environmental compliance? Yes [ ]  No [ ]
6. Did the evaluation SOW include environmental compliance/ESDM issues? Yes [ ]  No [ ]
7. Are there gaps in environmental compliance expertise and/or coordination on environmental compliance in the Mission; how can these be filled? Yes [ ]  No [ ]
8. For centrally-funded programs from Functional Bureaus, A/CORs coordinate with the AMs and the MEO on program design, IEE preparation, and other monitoring/performance reports? A/CORs share EMMPs, monitoring reports, performance reports with the AM and discusses issues of non-compliance? Yes [ ]  No [ ]  Engages the MEO in remedies for non-compliance? Describe process for monitoring and report on environmental compliance between the AM and A/COR.
9. The AM and A/COR request review of programs with the MEO? Yes [ ]  No [ ]

Activity Managers or Mission Representatives for Centrally-funded/managed Programs or Central Funding with Local Implementation (e.g., Functional Bureaus, IQCs, LWAs, Global Development Lab, Power Africa):

1. Keeps soft or hard copies of IEE and S-IEEs? Yes [ ]  No [ ]
2. Retains copies of EMMP/EMMRs and reviews before site visits. Consults with the MEO before site visits? Yes [ ]  No [ ]
3. Communicates/reports to AOR/COR on issues of non-compliance? Yes [ ]  No [ ]
4. Seeks input/advice from the MEO? Yes [ ]  No [ ]
5. Monitors environmental compliance of partners and sub-awardees/sub-contractors? Yes [ ]  No [ ]

Additional Questions:

1. Is AM aware of roles and responsibilities of environmental compliance? Yes [ ]  No [ ]
2. The centrally-funded program AORs/CORs support field monitoring by the AM and communicates responsibilities? Yes [ ]  No [ ]
3. Are EMMP/EMMRs required for your programs? Are they being implemented? Yes [ ]  No [ ]
4. Are there major logistical challenges to field monitoring? How are these challenges being met? Yes [ ]  No [ ]
5. When was the last field visit by the A/COR? Did you discuss environmental compliance? Yes [ ]  No [ ]
6. What are the needs for ensuring environmental compliance requirements are met?

Regional Legal Advisor:

1. Coordinates with MEO on environmental compliance prior to clearing contracting instruments? Yes [ ]  No [ ]
2. Reviews or clears on IEEs? Yes [ ]  No [ ]
3. Includes IEEs in the PAD and pre-obligation checklists? Yes [ ]  No [ ]

Controller:

1. Did the most recent Federal Management Financial Information Act (FMFIA) review include any issues on environmental compliance?
 Yes [ ]  No [ ]

Reporting:

1. Are IPs reporting on conditions in their semi-annual or quarterly reports? Are they using an EMMP/EMMR format? Yes [ ]  No [ ]
2. a) Do the EMPs/MMPs include indicators? Yes [ ]  No [ ]
3. If yes, do these indicators correspond to indicators in the Mission’s PMP? Yes [ ]  No [ ]
4. a) Who is responsible for collecting environmental compliance data for the Mission’s Annual Report?

b) Who is responsible for collecting environmental compliance data for project semi-annual/quarterly reports?

Additional Documentation:

1. Have all centrally-funded activities submitted their most recent ESR/annual compliance report? Yes [ ]  No [ ]
2. Are there any compliance issues with ESRs/annual compliance report? Yes [ ]  No [ ]
3. Do all project closure reports include status of environmental compliance and mitigation and monitoring information? Yes [ ]  No [ ]

Beyond compliance:

1. Does Mission have a Green Procurement Policy in place? Yes [ ]  No [ ]
2. Has the Mission supported development of environmental regulations, guidelines, or other environmental legislation in the host country?
 Yes [ ]  No [ ]
3. Has the Mission supported strengthening the role of courts, journalists, advocacy groups, environmental lawyers, or other actors in the EIA process? Yes [ ]  No [ ]
4. Are local EIA professionals used to support Mission and Partner EIA trainings? Yes [ ]  No [ ]

Partner Programs

1. Does your RFA/RFP and project agreement contain environmental compliance requirements? Sub-contracts/agreements? Yes [ ]  No [ ]
2. Did you consider environmental impact in the project design? Is support to environmental compliance in your project budget?
 Yes [ ]  No [ ]
3. Has staff been trained in environment or in USAID Regulation 216 specifically? Yes [ ]  No [ ]
4. Is there a specific team member responsible for environmental compliance? Do they have other roles? What are their duties?
 Yes [ ]  No [ ]
5. Did the AOR/COR provide you with an IEE at the start of the award? Did you receive an environmental in-brief at the start of the award?
 Yes [ ]  No [ ]
6. Is there an EMMR/EMP? Who is responsible for reporting? Yes [ ]  No [ ]
7. Do you have activities that are ND w/C and what does that mean for the program activities? Are there changes? Yes [ ]  No [ ]
8. How do you implement the EMMP/EMP?
9. Do you have any internal indicators (annual or mid-term) that would reflect performance in environmental compliance? Yes [ ]  No [ ]
10. Do you report on the environment in regular reporting cycles (quarterly and annual reports) to USAID? Yes [ ]  No [ ]

staff associated with Centrally-managed/funded projects with no or Limited Mission Representation:

1. Do you have centrally-managed/funded projects where there is no direct manager staffed at the Mission (e.g., American Schools and Hospitals Abroad, Global Development Lab, etc). Yes [ ]  No [ ]  What are the projects?
2. Is there a POC within the Mission for each of these projects? Yes [ ]  No [ ]
3. Has the A/COR established a process with the Mission POC on monitoring and oversight of potential environmental compliance issues if they arise? Yes [ ]  No [ ]
4. Has the A/COR visited the projects to review environmental compliance? Yes [ ]  No [ ]  Did a Mission representative participate? Yes [ ]  No [ ]
5. Specifically, has the A/COR discussed with a Mission representative the process and expectations for assistance with monitoring and oversight of the EMP/EMMP? Yes [ ]  No [ ]
6. Does the Mission tracking system, maintained by the MEO, include Regulation 216 documents for these projects? Yes [ ]  No [ ]
7. Is a Mission representative, such as the MEO, Program Officer, or M&E officer, copied on Regulation 216 documentation (e.g., IEEs, EAs, PERSUAPs)? Yes [ ]  No [ ]  Does the POC retain copies of the IEEs and host country environmental documentation on file? Yes [ ]  No [ ]
8. Is there resource sharing or available financial resources to support the Mission POC’s participation in environmental compliance oversight of these programs (e.g., site visits with the A/COR)? Yes [ ]  No [ ]
9. Is the MEO is notified in advance when new awards, agreements, and contracts in their country are being issued or when ceilings are raised? Is the MEO solicited for comments? Yes [ ]  No [ ]

Acronyms

AAD Activity Approval Documents

A/COR Agreement/Contracting Officer’s Representative

AM Activity Manager

BEO Bureau Environment Officer

BPR Best Practice Review

COAg Cooperative Agreement

dMEO Deputy Mission Environmental Officer

DO Development Objective

DOAg Development Objective Agreement

EA Environmental Assessment

EIA Environmental Impact Assessment

EMMP Environmental Mitigation and Management Plan

EMMR Environmental Mitigation and Monitoring Report

EMP Environmental Management Plan

ESDM environmentally sound design and management

ESR Environmental Status Report

FMFIA Federal Management Financial Information Act

G2G government to government

IEE Initial Environmental Examination

IP implementing partner

IQC Indefinite Quantity Contract

LWA Leader with Associates

MEO Mission Environmental Officer

OP Operational Plan

PAD Project Appraisal Document

PERSUAP Pesticide Evaluation Report Safer Use Action Plan

PMP Performance and Monitoring Plan

PPR Performance Progress Report

RCE Request for Categorical Exclusion

REA Regional Environment Advisor

RFA/P Request for Application/Proposal

S-IEE Supplemental Initial Environmental Examination

SO Strategic Objective

SOW Scope of Work

USAID United States Agency for International Development