



PARTICIPANT SOURCEBOOK

USAID/West Africa Regional Environmental Compliance & ESDM Training Workshop

Akosombo, Ghana
January 23 – 27, 2017

Sponsored by
USAID/West Africa

Organized and Facilitated by:

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Table of Contents

**Introduction and
Objectives**

List of Acronyms

Agenda

Technical Sessions

Field Visits

Evaluations

Introduction

The GEMS workshop facilitation team for the USAID/West Africa Regional Environmental Compliance & ESDM Training Workshop would like to welcome you to Akosombo, Ghana.

This event is designed to build USAID and Implementing Partner (IP) staff conceptual understanding of Environmentally Sound Design and Management (ESDM), as well as provide training on the use of tools to ensure full compliance with USAID environmental regulations (22 CFR 216). Principally, we will be focusing on the use of the Environmental Mitigation and Monitoring Plan (EMMP) as a project management tool that will help IPs systematize the mitigation of environmental impacts arising from the activities of its activities.

This Participant Sourcebook is a tool designed to guide workshop participants throughout the 4.5-day workshop. Each workshop session is described herein, including a list of objectives and instructions for group activities and post-presentation discussions.

We would like to thank USAID/West Africa and USAID/Washington for their technical and managerial support in making this initiative possible. We would also like to thank all the institutions and individuals who have supported us enormously by organizing field visits, and the presenters for their efforts, professionalism and work during the development of the technical materials. The organization of this workshop would not have been possible without their expertise, commitment and competence.

We hope the friendships and professional relationships that are sparked during these five days together are sustained over the years to follow the workshop and serve to improve the outcomes of development projects across the West Africa region. We expect all of you, as teachers and students, to help us promote the objectives of this inter-institutional initiative: the dissemination of good environmental practices. We ask you to stay connected to the networks that will be built during the event, share your best practices and lessons learned, and apply the knowledge gained during the workshop.

On behalf of the Workshop Facilitation Team, we wish you a pleasant and instructive workshop.

Scott Solberg

Director

Environmental & Technology Transfer Specialist

SUN MOUNTAIN INTERNATIONAL

Objectives of the workshop

This regional workshop is sponsored by USAID/West Africa and implemented by Sun Mountain International (SMTN) and the Cadmus Group Inc. under the Global Environmental Management Support Project II (GEMS II). The workshop focuses on how to integrate Environmentally Sound Design and Management (ESDM) into development projects, as well as USAID environmental compliance requirements (22 CFR 216). The workshop will both educate and strengthen the skills of participants in best environmental practices, and help generate practical solutions to eco-systemic and socioeconomic challenges faced by USAID-supported West Africa development programs.

Training Methodology

- ✓ **Interactive Training:** Each participant will be considered both a student and a teacher. There will be many opportunities to participate in small and large discussions and to take part in classroom and field-based exercises.
- ✓ **Practical Learning:** Participants will have the opportunity to work as part of hands-on, interdisciplinary teams, conduct technical review visits of field sites, share past experiences, and apply lessons learned from real-life project successes and challenges.
- ✓ **Support from Technical Experts:** The workshop will be facilitated and delivered by ESDM specialists from USAID, Sun Mountain International and the Cadmus Group Inc.
- ✓ **Google Site:** A virtual platform Google Site has been created and will be in operation for at least 9 months post-workshop to optimize communication and facilitate the exchange of information between participants. Participants are encouraged to remain in contact after this training event to promote continued learning best practices and exchange of ideas.

List of Acronyms

ACDI/VOCA	Agricultural Cooperative Development International/Volunteers in Overseas Cooperative Assistance
ADS	Automatic Directive System
AFR	USAID Bureau for Africa
AOR	Agreement Officer's Representative
BEO	Bureau Environmental Officer
CNFA	Cultivating New Frontier in Agriculture
CE	Categorical Exclusion
COP	Chief of Party
COR	Contracting Officer's Representative
CRS	Catholic Relief Service
CSLP	Coastal Sustainable Landscapes Project
DCHA	USAID Bureau of Democracy, Conflict and Humanitarian Assistance
EA	Environmental Assessment
ECL	Environmental Compliance Language
EIA	Environmental Impact Assessment
EMA	Environmental Management Agency
EMMP	Environmental Mitigation and Monitoring Plan
EMR	Environmental Mitigation Report
EPTR	Environmental Procedures Training Manual
ESR	Environmental Status Report
ESDM	Environmentally Sound Design and Management
ETD	Environmental Threshold Decision
FAA	US Foreign Assistance Act
GIS	Geographic Information System
IEE	Initial Environmental Examination
IESC	International Executive Services Corporation
IPs	Implementing Partners
IPTT	Indicator Performance Tracking Table
IRS	(Anti-malarial) Indoor Residual Spraying
JSI	John Snow Inc.
M&E	Monitoring and Evaluation
MEO	Mission Environmental Officer
ND w/ cond.	Negative Determination with Conditions
NGO	Non-Governmental Organization
NRM	Natural Resource Management
PD	Positive Determination
PEA	Programmatic Environmental Assessment
PERSUAP	Pesticide Evaluation Report and Safer Use Action Plan
PSI	Population Services International
REA	Rapid Environmental Assessment
REA	Regional Environmental Advisor
REG 216	USAID Regulation 216
RFP	Request for Proposal

SFH	Society for Family Health
SFMP	Sustainable Fisheries Management Project
SNV	Stichting Nederlandse Vrijwilligers – Dutch Volunteers Foundation
USAID	United States Agency for International Development
USG	US Government
WAHO	West African Health Organization
WSUP	Water & Sanitation for the Urban Poor

USAID/West Africa Regional Environmental Compliance and Environmentally Sound Design and Management (ESDM) Training Workshop

AGENDA

Akosombo, Ghana

23-27 January 2017

Training Objective:

The principal goal of the workshop is to strengthen Environmental Compliance and Environmentally Sound Design and Management (ESDM) of USAID-funded activities throughout West Africa by assuring that participants have the motivation, knowledge, and skills necessary to achieve environmental compliance and improve project sustainability. To achieve this goal, the workshop aims to accomplish the following specific objectives:

1. **Increase skills and capacity** of USAID and implementing partner professionals to incorporate environmentally sound design, management and best practice into all USAID-supported projects.
2. **Strengthen the knowledge** of participants on environmental compliance requirements set forth by 22 CFR 216 (Reg. 216), including documentation and the implementation of environmental procedures throughout the life-of-project.
3. **Facilitate collaboration** between Implementing partners, USAID staff and local partners, by promoting networking, exchange of ideas, lessons learned and tested technical solutions.

Summary of Key Activities:

- Day 1 Overview of Environmentally Sound Design and Management (ESDM) principles, USAID environmental compliance regulations and procedures and skill-building in Environmental Impact Assessment (EIA).
- Day 2 Explain and practice USAID environmental compliance procedures and discuss environmental mitigation and monitoring for project activities.
- Day 3 Prepare for and complete field visit exercise I—existing conditions, environmental impact identification and environmental mitigation planning.
- Day 4 Complete field visit exercise II—environmental monitoring.
- Day 5 Synthesize workshop proceedings and consider professional and organizational next steps.

Day/Time	Module	Objective/Content Summary	Presenter/Facilitator
Day 1 Monday	Overview of Environmentally Sound Design and Management (ESDM) principles and USAID environmental compliance regulations and procedures and skill-building in Environmental Impact Assessment (EIA).		
8:00 – 8:15	Participants Sign-In		
8:15 – 8:45	Welcome and Opening Statements	Highlight training objectives, workshop content, and expected results.	Henry Aryeetey, USAID Bob Buzzard, USAID Walter Knausenberger USAID/AFR
8:45 – 9:30	Session 1: Workshop Objectives and Logistics; Participant Introduction and Expectations <i>Plenary discussion and small group work</i>	Establish workshop objectives; provide summary of agenda and learning objectives. Review logistics. Presentation of the Google site. Explain parking lot. Introduce participants and articulate expectations.	Scott Solberg, GEMS
9:30 – 10:15	Session 2: ‘Environmental Considerations Toward sustainable future’ <i>Video presentation, and discussion of ESDM</i>	Define Environmentally Sound Design & Management (ESDM) and understand linkage between ESDM and project success; Review and discuss socio-cultural aspects of ESDM in West Africa; consider real-world examples of ESDM successes and failures.	Scott Solberg and John Azu, GEMS
10:15 – 10:30	Break		
10:30 – 11:30	Session 3: Fundamental Skills of Environmental Impact Assessment (EIA) <i>Technical presentation and discussion</i>	Define key terms—baseline, impact, activity—and learn essential classroom theory for baseline characterization, impact identification & mitigation design and how they apply in the EIA framework. Promote the need to systematically address environmental considerations in development activities.	Tara Fortier, GEMS
11:30 – 12:30	Session 4: Introduction to USAID environmental procedures – Reg. 216 and the Initial Environmental Examination (IEE) <i>Technical presentation and group exercise</i>	Provide background information and legal basis for USAID environmental procedures, tools and resources. Define concepts, processes and environmental decisions (Environmental Threshold Determination – ETD) of the IEE Discuss roles and responsibilities of USAID and IPs on the development and use of the IEE throughout the project life cycle.	Mike Seager, GEMS
12:30 – 13:30	Lunch		
13:30 – 14:30	Session 5a: EIA Skill-Building Exercise <i>Briefing to the Transect Walk</i>	Receive instruction on the methodology and objectives of the EIA skill-building exercise.	John Azu, Scott Solberg, GEMS
14:30 – 15:00	Session 5b: EIA Skill-Building Exercise	Practice observation and assessment skills needed to characterize the baseline	Small-group Exercise

Day/Time	Module	Objective/Content Summary	Presenter/Facilitator
	<i>Transect Walk</i>	situation.	
15:00 – 16:00	Session 5c: Debriefing EIA Skill-Building Exercise <i>Group work, discussion and presentation</i>	Synthesize observations from the <i>Transect Walk</i> . In small groups, discuss approaches for limiting activities' adverse effects on the environment. Briefly present conclusions of the exercise.	Small-group Exercise
16:00 – 16:15	Break		
16:15 – 17:15	Session 6: Special Topic: Planning for Climate Change in the West African Context <i>Technical Presentation</i>	Present climate change projections for the West Africa region and discuss how these will affect development programming. Discuss USG Executive Order #13677 and its implications for USAID projects.	Robert Buzzard, USAID/WA
17:15 – 17:30	Closing session – Q&A		Scott Solberg, GEMS
Day 2 Tuesday	USAID environmental compliance procedures; environmental mitigation and monitoring for project activities		
8:00 – 8:30	Threshold Determination Game	Participants learn through examples and which projects fall into with threshold determination	Scott Solberg Mike Seager, GEMS
8:30 – 9:30	Session 7. Mitigation and environmental monitoring techniques <i>Technical Presentation and discussion</i>	Conceptual introduction to environmental mitigation and monitoring.	Tara Fortier, GEMS
9:30 – 10:30	Session 8: The Environmental Mitigation and Monitoring Plan (EMMP) <i>Technical presentation and discussion</i>	Understand the EMMP concepts and formats: who develops them, their role in “operationalizing” key elements of USAID Environmental Procedures and establishing and maintaining project environmental compliance. Introduce key guidance: <i>EMMP Factsheet</i> .	GEMS Facilitators
10:30 – 10:45	Break		
10:45 – 11:45	Session 9: Recommended Best Practice for EMMP Development, Application, Monitoring and Evaluation	Q&A session to clarify any doubts regarding the use of the EMMP. Distribution of EMMP to review and comment by group	John Azu, GEMS
11:45 – 12:30	Session 10: Special Topic: The Use of Pesticides and the PERSUAP <i>Technical presentation and discussion</i>	To review Reg. 216 stipulations on the use of pesticides in USAID projects and discuss the importance of the PERSUAP as a project implementation tool.	Henry Aryeetey, USAID/West Africa Walter Knausenberger USAID/AFR
12:30 – 13:30	Lunch		
13:30 – 14:30	Session 11: Introduction to the USAID Sector Environmental Guidelines + Similar	Deepen familiarity with environmental resources and tools, particularly the <i>Sector Environmental Guidelines (SEG)</i> ,	Scott Solberg and Mike Seager, GEMS

Day/Time	Module	Objective/Content Summary	Presenter/Facilitator
	Resources <i>Presentation and group dynamic 'beat the clock'</i>	<i>Environmental Compliance Language (ECL) Factsheet, and Visual Field Guides.</i>	
14:30 – 15:30	Session 12. Environmental Assessment (EA) process <i>Technical presentation and discussion</i>	Explain the main elements of EA and PEA processes.	Walter Knausenberger USAID/AFR John Azu, GEMS
15:30 – 15:45	Break		
15:45 – 16:45	Session 13a: Introduce the EMMP Skill-Building Exercise and Field visit <i>Projects presentation and briefing</i> Technical Areas: 1) Water and Sanitation 2) Forestry 3) Fisheries production 4) Health and health care waste management	Explain the objectives of the field visit exercise and the activities during and after the visit. Short orientation of the four case study sites that will be visited. Organize participants by four small groups and distribute technical resources.	John Azu, Scott Solberg, GEMS Implementing Partners for each site
16:45 – 18:00	Session 13b: Group preparation for the EMMP Skill-Building Exercise and Field Visit <i>Group work</i>	Review background and reference materials and discuss approach for EMMP development in small-group format. Selection of roles and responsibilities for each group member. Organize the strategy to prepare the EMMP.	GEMS Facilitators
Day 3 Wednesday	Field-based EMMP exercise I - existing conditions, environmental impact identification and environmental mitigation planning.		
7:30 – 12:00 <i>(includes return from field)</i>	Session 14a: EMMP Skill-Building Exercise <i>Field visit</i>	Build and apply the core EIA and environmental compliance skills briefed in Days 1 and 2 via a field visit where participants will 1) Determine the baseline conditions at each site; 2) Discuss with key local stakeholders; 3) Identify potential environmental impacts of activities	Field Guides
12:00 – 13:00	Lunch		
13:00 – 15:00	Session 14b: EMMP Skill-Building Exercise <i>Small group work</i>	Field visit de-briefing, and analysis of findings via: 1) Synthesis of field observations. 2) Development of specific mitigation measures and monitoring indicators for the top two issues/impacts of concern at each site, with reference to the SEGs.	Group Participants GEMS Facilitators

Day/Time	Module	Objective/Content Summary	Presenter/Facilitator
		3) Complete EMMP tables. 4) Exchange of information between groups.	
15:00 – 15:15	Break		
15:15 – 16:30	Session 14b: EMMP Skill-Building Exercise <i>Small group work</i>	Additional time allotted to complete session 14b tasks.	Group Participants GEMS Facilitators
Day 4 Thursday	Field-based EMMP exercise II – environmental monitoring.		
7:30 – 12:00	Session 15a: EMMP Skill-Building Exercise <i>Field visit II</i>	Each group is assigned a new field visit site for the second part of the EMMP exercise to monitor the indicators identified for that site during the first visit and as presented in the governing EMMP table.	GEMS Facilitators
12:00 – 13:00	Lunch		
13:00 – 15:00	Session 15b: Preparation of the EMMP group presentations <i>Group Work</i>	Complete compilation of field visit results into the EMMP format.	Small-group Work
15:00 – 15:15	Break		
15:15 – 17:30	Session 15b: Preparation of the EMMP group presentations <i>Group Work</i>	Complete compilation of field visit results into the EMMP format.	Small-group Work
Day 5 Friday	Synthesize workshop proceedings and consider professional and organizational next steps.		
8:00-8:30	Session 15c: Environmental Compliance Reporting <i>Technical presentation and dialogue</i>	Guidance on EMMP-related and other environmental compliance reporting, including integration with broader project M&E and other reporting requirements.	Mike Seager, GEMS
8:30 – 9:30	Session 15d: EMMP group presentation and discussion <i>Group work and discussion</i>	Present EMMPs in groups, resolve main concerns from the groups	Small-group Work GEMS Facilitators
9:30 – 10:00	Session 16a: Roles, Responsibilities & Resources <i>Technical presentation and discussion</i>	Summarize the various responsibilities of USAID staff and Implementing Partners (IPs); introduce additional key resources available to support environmental compliance and ESDM, including the ADS 204 Chapter.	Justice Odoi, MEO USAID/Ghana Tara Fortier, Cadmus
10:00 -10:15	Break		
10:15-10:45	Session 16b: BEO/REA Informational Session <i>Brief presentation followed by Q&A session</i>	Understand perspectives from USAID headquarters and at the West Africa Regional level on environmental compliance and management issues of concern.	Henry Aryeetey, USAID/West Africa Walter Knausenberger, USAID/AFR

Day/Time	Module	Objective/Content Summary	Presenter/Facilitator
		In particular, facilitators will provide a brief summary of the Presidential Memo on Ecosystem Services (October, 2015) and will discuss implications for USAID programs.	
10:45–11:15	Session 17: Parking Lot Session <i>Plenary session</i>	Address unresolved questions or issues and summarize information presented throughout the training	Scott Solberg, GEMS
11:15 – 12:00	Session 18: Priority actions for the future <i>Group discussions followed by individual action planning</i>	Participants will share perspectives on environmental priorities and challenges for USAID activities throughout West Africa. These and other insights will be used to frame lessons-learned and identify practical actions that can be operationalized as part of project implementation. In addition, we will discuss steps USAID Mission and IPs might take to better incorporate Climate Risk Management into project design and implementation.	Scott Solberg, John Azu, GEMS
12:00 – 12:30	Closing Ceremony	Conclude workshop and distribute certificates	USAID/Washington, Ghana and West Africa

Session I

Workshop Objectives and Logistics; Participant Introductions and Expectations

Summary

This session briefs the workshop and its agenda, introduces us to each other, and establishes expectations. Specific elements of the session are:

- Overview of training objectives, learning approach, agenda and materials
- Participant and facilitator introductions
- Solicit expectations
- Address logistical considerations
- Create a “Parking Lot”

This workshop will provide intensive training in: (1) compliance with USAID’s environmental procedures in project implementation, and (2) environmentally sound design and management (ESDM) of USAID-funded activities.

Overall Goal

The overall goal of the workshop is to strengthen environmentally sound design and management of USAID-funded activities in Ghana and West Africa by assuring that participants have the *motivation, knowledge and skills necessary to* (1) achieve environmental compliance in project implementation, and (2) otherwise integrate environmental considerations in activity design and management to improve overall project acceptance and sustainability.

Approach to Learning

The workshop is intended to be highly participatory and field-based:

- Skills and processes briefed in the presentations will be built and practiced in hands-on exercises conducted in small working groups.
- The key, integrative exercises in environmental impact assessment (EIA) skill-building and environmental mitigation and monitoring are built around one short outdoor exercise and two field visits.
 - o **Transect Walk:** an hour-long transect walk to practice the identification of baseline conditions,
 - o **Field Visit 1:** Half-day exercise to practice fundamental skills of EIA and to collect information required to prepare a sample Environmental Mitigation and Monitoring Plan (EMMP)
 - o **Field Visit 2:** Half-day site exercise to practice monitoring EMMP indicators.
- *Even presentation-centered sessions are intended to be interactive.* Please ask questions and—as importantly—share and discuss your own experiences and perspectives relevant to the topic at hand.

Everyone's active participation is encouraged and needed to make this workshop a success!

Teamwork Principles: Working groups are where we will practice and apply the key skills and ideas of the workshop. Working groups provide the opportunity for detailed discussions, and for learning from experiences and views of fellow development professionals. Working groups are also emphasized because environmental compliance and environmentally sound design and management are intrinsically team efforts.

Successful working groups require effective teamwork. Here are teamwork principles to consider:

Twelve Essentials of Teamwork

VALUING DIVERSITY	COMFORTABLE ATMOSPHERE	ACTIVE PARTICIPATION OF ALL MEMBERS	SHARED GOALS AND OBJECTIVES
BALANCED APPROACH TO PROCESS AND CONTENT	WHAT EFFECTIVE TEAMS NEED		EFFECTIVE COMMUNICATION
SHARED LEADERSHIP			CONSTRUCTIVE CONFLICT MANAGEMENT
ACTION ACCOUNTABILITY RESPONSIBILITY	MUTUAL TRUST	CRITICAL ANALYSIS AND PROBLEM-SOLVING	A PREFERENCE FOR CONSENSUS

(Adapted from Rees, "How to lead work teams in facilitation skills")

NOTES:

Session 2.

Environmentally Sound Design & Management (ESDM) as a Foundation for Environmental Compliance

Video presentation and dialogue

Summary

This session will define the concept **Environmentally Sound Design and Management (ESDM)** and illustrate its vital role in achieving and maintaining environmental compliance in project implementation.

After an introductory presentation in which a GEMS facilitator will introduce and define key terms and concepts, participants will watch a video on Environmental Considerations for USAID-funded projects. In order to establish the important relationship between ESDM and successful project outcomes, we will:

- Develop a common understanding of the terms “environment” and “environmentally sound design and management (ESDM).”
- Via the presentation of a video, highlight examples of USAID-funded projects from across the globe that successfully or unsuccessfully incorporated environmental considerations into project design and implementation.
- Discuss the most common root causes of ESDM failures or lapses and set out the basic rules or principles for achieving ESDM.
- By example, demonstrate that “environment” and “development” are linked by the need to be:
 - AWARE of the potential adverse impacts of development activities on ecosystems, environmental resources and environmental quality; and the need to
 - PROACTIVELY seek to limit these adverse impacts, particularly where they affect health and livelihoods
 - **This is Environmentally Sound Design & Management (ESDM)!**

Objectives

- Achieve a common understanding of “environment”
- Understand ESDM as a necessary and explicit objective for effective development
- Establish the basic principles for achieving ESDM
- Consider real-world examples of ESDM successes and failures in Ghana and West Africa

While the session will introduce the concept and practice of environmental compliance, specific USAID regulations and requirements will be addressed in finer detail in a subsequent session.

Discussion

In small groups, participants will discuss and document key take-away messages, concepts and best practices identified in the video. We will then ask small groups to discuss specific examples of ESDM in an international development context, drawing from their own personal and professional experience.

Each group should prepare to answer questions in plenary based on the findings from their discussion.

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Session 3.

Fundamental Skills of Environmental Impact Assessment (EIA)

Technical presentation and dialogue

Summary

This session will define Environmental Impact Assessment (EIA) as a formal process for identifying the *likely effects* of activities/projects on the environment, and on human health and welfare; and the *means and measures to effectively mitigate* these impacts.

Fundamental skills of the EIA process will also be introduced and explained, including:

- 1) Characterizing the **baseline situation**;
- 2) Identifying (and evaluating) the potential adverse **impacts** of planned development **activities** (issues of concern); and
- 3) Developing a **mitigation** strategy to address these impacts.

The session will further illustrate how the EIA process aligns with ESDM and establish that this process is the **internationally accepted standard framework for achieving ESDM** in project-based development. The linkage between EIA and USAID environmental procedures (Reg. 216) will also be established.

Discussion of Fundamental EIA Skills

This session addresses the essential EIA skills of activity identification, baseline characterization, and impact identification. The presentation introduces the topic of the fourth and fifth core skills, mitigation design and monitoring, which are discussed in-depth in subsequent sessions. These skills will be put to practice in the workshop's field-based activities.

Activity Identification

This portion of the session provides a definition for and examples of typical USAID activities. Within USAID, an activity is typically defined as a project or program consists of many activities and sub-activities. Activities and sub-activities seek to achieve a desired output or project goal.

Baseline Characterization & Identifying Impacts of Concern

This portion of the session explains the basic, logical process behind baseline characterization and identifying impacts (or issues) of concern. An example from a typical small-scale irrigation project will illustrate why the fundamental EIA skills of baseline characterization and issue identification are directly relevant to effective mitigation and achieving ESDM.

Depending on the size, complexity and context of the activity, sophisticated environmental models and other tools can be required to evaluate impacts in the context of a comprehensive

EIA study. But for most small-scale activities and preliminary assessments (or USAID-mandated IEEs), the simple, logical process described here—supported by good judgment and the information contained in the Sector Environmental Guidelines or similar resources—is sufficient.

Mitigation Design and Monitoring

The purpose of the EIA process is not simply to identify and assess potential environmental impacts, but to change project design and implementation so that these impacts are mitigated—that is, avoided, reduced or offset. As such, mitigation is a critical part of ESDM and the EIA process. Monitoring is its essential complement, required to verify whether the mitigation measures are sufficient, effective—and actually implemented.

Objectives

- Achieve a basic understanding of the EIA process and how it is implemented
- Become familiar with core EIA skills and the technical approach to EIA activities
- Establish EIA as the basis of USAID Environmental Procedures

Key Resources

- The “Underlying EIA concepts and skills” page on the GEMS project Web site (available at: <http://www.usaidgems.org/underlyingEIA.htm>) provides additional background and context on the EIA process and includes links to other training and reference materials.
- The individual chapters of the Sector Environmental Guidelines are a key resource for: (1) identification of potential adverse environmental impacts; and (2) design of specific mitigation and monitoring measures.

Discussion Questions

In small groups with the workshop participants at your table, please discuss the following questions. Each group will have a workshop facilitator assist in guiding the discussion.

1. What is Environmental Impact Assessment (EIA)?
2. Why is it important to establish and understand baseline conditions in the project activity area of influence?
3. Where would you as a project manager seek the baseline information? How would you go about collecting this information?
4. How would you define “environmental impact” in the framework of EIA?
5. Why is EIA important to your work with USAID development projects?

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Session 4.

USAID Environmental Procedures: the Initial Environmental Examination (IEE) and Beyond

Technical presentation and dialogue

Note that in this workshop, the term “USAID Environmental Procedures” does not refer only to 22 CFR 216 (Reg. 216), but collectively to Reg. 216, relevant FAA requirements, and to the mandatory procedures and directives contained in the USAID-internal ADS.

Summary

The preceding workshop sessions have:

- Described ESDM as a key objective for the ethical and effective practice of development
- Explained the EIA process and the fundamental skills of baseline characterization, impact identification, and mitigation design
- Highlighted EIA as the framework for achieving ESDM in project-based development activities

USAID is *required by both court settlement and US law* to utilize an EIA-based process to “fully take into account” environmental sustainability in the design and implementation of its development programs. USAID Environmental Procedures represent the Agency’s unique implementation of the EIA process throughout the life of activity or project (LOP).

Specifically, USAID Environmental Procedures dictate a process that must be applied to all activities **before** implementation. The output of this EIA process, defined by 22 CFR 216 (“Reg. 216”), is USAID-approved Reg. 216 environmental compliance documentation. This documentation includes:

- Requests for Categorical Exclusion (RCE)
- Initial Environmental Examinations (IEEs)—the USAID version of a preliminary assessment
- Environmental Assessments (EAs) and Programmatic Environmental Assessments (PEAs)

Most IEEs and all EAs/PEAs specify environmental management conditions, which are essentially mitigation measures. These measures—“IEE/EA conditions”—must be implemented and monitored over the LOP. While implementation is the responsibility of the IP, USAID C/AORs are required to actively manage and monitor compliance with IEE/EA conditions. This process is the cornerstone of project environmental compliance.

More about Reg. 216 (22 CFR 216)

Reg. 216 is a US federal regulation that sets out USAID’s mandatory pre-implementation EIA process. The Regulation applies to all USAID programs or activities, including non-project assistance *and* substantive amendments or extensions to ongoing activities.

When an IEE or EA is approved with mitigation and monitoring conditions attached to one or more activities, those conditions become a required part of project design/implementation.

Across USAID programs, **Reg. 216 documentation is developed both by Mission staff and Partners**, depending on the situation. Title II IPs, for example, are required to develop IEEs as part of their Development Food Assistance Programs (DFAPs), and other partners are often asked to develop Reg. 216 documentation for new project components. Reg. 216 documentation covering multiple projects at the sector program level is developed by Mission staff or 3rd-party contractors.

The ADS requires C/AORs to REMEDY or HALT activities where IEE/EA conditions are not being implemented, or which are otherwise out of compliance.

Objectives

- Understand the legal mandate of USAID Environmental Procedures, including 22CFR216 (“Reg. 216”).
- Link application of the EIA-based Environmental Procedures to the goals of ESDM and broader USAID development efforts.
- Gain familiarity with the environmental compliance requirements established by USAID Environmental Procedures, including IEEs and related documentation.
- Illustrate how the USAID IEE and related environmental compliance documents determine project environmental management requirements.

Key resource

- The *Environmental Procedures Briefing for Mission Staff* is a succinct summary of LOP environmental compliance. This training draws heavily from the *Briefing*. It is included in this Sourcebook and available at <http://www.usaidgems.org/rolesRespons.htm>.

Discussion Questions

In plenary, the GEMS facilitator will lead a brief (5-10 min) discussion responding to the following questions.

- There are quite a few concepts covered in this presentation. Are there any questions or clarifications needed?
- What is a Categorical Exclusion? What is a Request for Categorical Exclusion?
- What is the purpose of the IEE? From USAID regulatory standpoint? In the context of ESDM?

In small groups with the workshop participants sitting at your table, please discuss the following questions (5 minutes).

- Are you familiar with your project’s IEE? What kinds of conditions does it stipulate? How does your project address those conditions?

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Session 5.

Skill-Building in Environmental Impact Assessment (EIA)

Transect walk and practical exercise

Summary

This session consists of a small-group exercise based on a short, focused transect walk to a site within the hotel grounds. Participants will receive a hypothetical project scenario in order to practice the characterization of baseline conditions at their assigned location. Through facilitator-led observation and discussion, participants are also prepared for the workshop's more extensive field-based exercise.

Session 5a: EIA Skill-Building Exercise—Briefing and Classroom Preparation

This session will introduce participants to the Transect Walk Exercise, including the objectives and methodology of this EIA skill-building exercise. The participants will be introduced to the methodology of baseline conditions evaluation and will receive instructions on how to fill out the “Transect Walk Observation Form.”

This classroom preparation will enable participants to understand the general project scenarios to be assessed, and it is during this time that they will be divided into small groups for the exercise.

Scenario and Instructions

Listen carefully to the project scenarios presented by the facilitator(s). Understand the structure and objectives of the exercise.

Session 5b: EIA Skill-Building Exercise—Transect Walk (1 hr.)

Participants will walk to the designated hotel “project site”. Each group will be accompanied by at least one workshop facilitator. The field visit will enable participants to practice observation and EIA skills needed to characterize the baseline situation and identify impacts and issues of concern.

Scenario and Instructions

At the project site, observe the key elements of the baseline situation that are relevant to your hypothetical activity and identify the characteristics of those baseline conditions. You should be on the lookout for health and safety issues as well as any socio-economic considerations that may not immediately strike one as “environmental” in nature, but could nonetheless affect community health and safety.

Participants discuss baseline situation as a small group during the field visit. They solicit stakeholders' input, and take notes.

Session 5c: Debriefing EIA Skill-Building Exercise

This session will provide time to synthesize and share observations from the transect walk exercise and deepen participants' understanding of baseline characterization. Should time allow, groups will discuss approaches to limit the possibility that the hypothetical activity contributes to adverse impacts.

Scenario and Instructions

Using the observations and information gathered during the field visit, each small working group will review and characterize the most relevant aspects of the baseline situation, including ongoing environmental management efforts and measures. Small groups should record their findings. Facilitators will serve as resources throughout the process.

Transect Walk Observation Form	
<p>Hypothetical scenario: The hotel has hired you to do a mini Environmental Impact Study for the expansion project of the hotel. The hotel wants to assess the potential environmental impacts of the project before starting it.</p> <p>The objective of the exercise is to conduct an assessment of conditions at the site of the proposed expansion and record observations of environmental interest, using this form.</p> <p>In subsequent sessions, another format will be used to identify environmental impacts and develop mitigation measures.</p>	
<p>Initial description of the place: Existing activities / land use, existing infrastructure, description of surroundings <i>Example: There is a community center and health clinic bordering the site, while most of the site is currently Manioc plantation.</i></p>	
Baseline elements	Observations with environmental interest
<p>Physical: Topography, geology, soil, climate, condition of water</p>	

<p>sources, pollution levels, etc.</p> <p><i>Example: Topography: Sloping site with a grade >10%. Borders the [NAME] River.</i></p>	
<p>Biological:</p> <p>Terrestrial and aquatic ecosystems, types of flora and fauna, agricultural land, etc.</p> <p><i>Example: Fauna: threatened species of bird inhabiting the site. Invasive shrub species [NAME] covers 25% of the site.</i></p>	
<p>Socioeconomic:</p> <p>Demographics, gender, developmental needs, economic activities, security, land tenure, public services (electricity, water, sanitation), laws, etc.</p> <p><i>Example: Women Association sells fish; Pastoralism is a major livelihood activity.</i></p>	
<p>Cultural:</p> <p>Location / condition of archaeological, historical sites, and / or religious, ethnic, or cultural identities, etc.</p> <p><i>Example: Location of a religious site: e.g. Catholic church nearby</i></p>	

NOTES:

VOLTA HOTEL, AKOSOMBO

Mini Environmental Impact Assessment — Simplified EMMP

Session 5 – Transect Walk

#	Sector	Activity	Baseline Information (Existing Condition)	Potential Environmental Impact

Session 6.

Introduction to Climate Risk Management

Presentation and Summary

Summary

This session will discuss the Executive Order #13677 on Climate Resilient International Development and the procedures that have been put in place by USAID to integrate climate change considerations into agency programming. It will introduce the mandatory Climate Risk Screening and Management process that is described in the ADS 201 Mandatory Reference Chapter on CRM.

Finally, the presentation will cover how USAID and its IPs might use the IEE for documenting climate risk and management measures and recommended language for addressing Climate Risk Screening and Management in solicitations.

Discussion Questions

In each group, participants are invited to participate in a discussion that will address the following topics:

1. What is the difference between adaptation and mitigation of climate change? What are the implications for environmental management?
2. How can my program be affected by climate change?
3. What are USAID's key climate change screening and management instruments?

Key Resources

- [Executive Order #13677](#)
- [ADS 201 Mandatory Reference Chapter on CRM](#)
- [Climate Risk Country Profiles](#) on the *climatelinks* website.
- Other tools present on [Climatelinks](#) website

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Session 7.

Principles of Environmental Mitigation and Monitoring

Technical presentation and dialogue

Summary

The session offers an overview of environmental mitigation and monitoring, defines these critical topics and provides examples from USAID-funded projects. It discusses simple strategies to incorporate environmental monitoring into project implementation and M&E systems. It also explains what an environmental indicator is and what information it provides for the project manager and USAID.

Mitigation

The purpose of the EIA process is not simply to identify and assess potential environmental impacts, but to change project design and implementation so that these impacts are mitigated—that is, avoided, reduced, compensated or remediated. Impact assessment should be performed early in the project design stage so that mitigation measures can be incorporated more easily into work planning. However, mitigation measures can be adjusted for improvement or added to project implementation at any point during the project cycle.

Different types of mitigation measures can be considered to address the same risk. For example, a project manager can decide to:

- Alter technical approach or modify the design of some elements of the project (PREVENTATIVE MITIGATION)
- Change the project site (PREVENTATIVE MITIGATION)
- Offset adverse impact in one area with improvements elsewhere, OR
- Restore the environment after damage is done.

However, it is almost always easier and less costly to carry out preventative mitigation. Performing compensatory or remedial mitigation after the impact occurs should only be considered as a secondary strategy, and often incurs greater costs to the project.

Monitoring

Monitoring is the essential complement of mitigation, required to verify whether the mitigation measures have been implemented, and if they are sufficient and effective. Environmental monitoring systematically measures key environment indicators over time within a particular geographic area to measure the effects of project implementation.

Mitigation measures are monitored through indicators that provide facts, information and indication of achievement of specific standards on project's environmental performance and compliance, environmental health and wellbeing. 'SMART' indicators (Specific, Measurable, Achievable, Realistic and Time limited) are those that are designed in such a way that allows for objective data collection following clearly elaborated methods.

Key Resources

- The USAID Global Environmental Management Support (GEMS) website contains a page on **Mitigation, Monitoring and Reporting** with several resources under the *Life of Project Compliance & ESDM* tab.
- The Sector Environmental Guidelines are a key resource for the design of specific mitigation measures and monitoring indicators.
- The Visual Field Guides are a tool for M&E specialists who are not familiar with environmental indicators to take into the field during monitoring visits. Each visual field guide includes a checklist with descriptive images.

Discussion Questions

Participants will meet in groups of 6 to discuss the following questions, drawing from their professional experience. Each member of the small group who works for a USAID Implementing Partner should take 2-3 minutes to describe to the other group members the responses to the following three questions.

Each group will select a group leader to present a response utilizing the most interesting or relevant anecdotal evidence that was shared during the discussion.

1. What are some of the potential environmental impacts of your project? Group members are encouraged to focus on one particular sector of their project (i.e. WASH, Agriculture, Health, Roads, Fisheries, etc).
2. How does your project plan to mitigate negative, unintended environmental impacts of its activities?
3. What are the main challenges/difficulties that projects face in the implementation of mitigation measure? And in the measurement of environmental indicators?

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Session 8.

Environmental Mitigation and Monitoring Plan

Technical presentation and group discussion

Summary

USAID Environmental Procedures require that environmental mitigation described in “upstream compliance” processes (e.g., IEEs and EAs) is implemented and monitored, but the methods for this “downstream compliance” are less well articulated than those for “upstream compliance”. To strengthen downstream environmental compliance in Africa, IEEs and award documents are increasingly requiring IPs to develop, submit and implement Environmental Mitigation and Monitoring Plans (EMMPs) for their projects.

EMMPs provide a framework for specifying and organizing mitigation and monitoring, and assuring that it responds systematically to IEE/EA conditions. In its most basic form, the EMMP is a simple table that sets out:

- ALL the mitigation measures being implemented in response to IEE/EA conditions;
- The monitoring that will determine whether the mitigation is sufficient and effective; and
- Who is responsible for both mitigation and monitoring.
- In some cases, budgeting information for mitigation and monitoring and a monitoring log where results can be recorded.

Title II project Implementing Partners of Development Food Assistance Projects (DFAPs) are required to develop EMMPs according to the guidance contained in the most recent Fiscal Year’s RFA-IEE guidance ([FY16 RFA-IEE available here](#)). Title II Partners submit EMMPs as part of the IEE. Title II partners only develop and submit project IEE/EMMPs upon USAID’s indication of intent to award.

EMMPs are critical because a key lesson learned from 40 years of EIA experience worldwide is that it is almost impossible to systematically carry out the mitigation measures that result from the EIA process unless an EMMP exists, and is incorporated into a project’s work-plan and budget.

Notes:

- EMMPs are also known as EMPs (Environmental Management Plans), EMPRs (Environmental Mitigation Plan and Report), and similar acronyms. EMMP is the most widely used term.
- EMMP formats can vary. IEEs or awards sometimes specify an EMMP format, but more often the IP has flexibility in designing/adopting/adapting a format that meets the needs of the particular project. The formats discussed in this training are the most common and are acceptable in most contexts.

Objectives

- Brief the EMMP concept.
- Establish that EMMPs are critical to effective and systematic implementation of IEE/EA conditions.
- Explain the mechanisms by which USAID is requiring IPs to develop and implement EMMPs.

Key resources

- Simple EMMP template
- EMMP Factsheet
- Environmental Compliance: Language for Use in Solicitation and Awards (ADS 204 Help Document)

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Session 9.

Best Practice EMMP Development, Application, Monitoring and Evaluation

Small Group Exercise

Summary

In this session, participants will form four small groups and review EMMPs from on-going or past USAID/Ghana projects. Groups will receive printed copies of the EMMP that they will review.

Participants will be asked to identify the STRENGTHS AND WEAKNESSES of the EMMP design, and will have the opportunity to ask workshop facilitators questions relating to environmental mitigation, monitoring, evaluation and reporting.

After 20 minutes of group discussion, during which participants will be able to pose questions to their group facilitator, each group will present their conclusions about the strengths and weaknesses of the EMMP in plenary.

Participants may consider the following questions during their group discussion:

1. Does the EMMP do a good job of describing what potential impacts may result from distinct project activities?
2. Are the costs of implementing the mitigation measures and monitoring visits described in the EMMP? This is not a USAID requirement, but rather best practice.
3. Are the mitigation measures described in sufficient detail so that it is clear **what exactly** must be incorporated into activity design and implementation?
4. Are the indicators designed in such a manner that they will be able to determine whether the mitigation measure was *effective*?
5. Does the EMMP consider how activities may generate impacts that are socio-economic, cultural or gender-based? EMMPs should provide coverage to more than just physical environmental impacts.

Objectives

Improve participant familiarity with the EMMP as a project management tool. Through this exercise participants will be given the time needed to grasp the technical content of a sample EMMP and ask facilitators questions regarding EMMP design.

Reference documents

The USAID Global Environmental Management Support (GEMS) website contains a page on **Mitigation, Monitoring and Reporting** with several resources under the *Life of Project Compliance & ESDM* tab.

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Session 10.

Special Topic: The Use of Pesticides and the PERSUAP

Technical presentation and dialogue

Summary

This presentation will inform participants on the regulatory measures that apply to the procurement and use of pesticides in USAID-funded programs. The presentation will establish the definition of a pest and a pesticide, and describe the human health and environmental risks that accompany pesticide application, handling, transport and storage.

As a response to an accident related to improper pesticide use, USAID has adopted an agency-level policy commitment to Integrated Pest Management (IPM). The agency has established standard procedures for the safer storage, application and disposal of pesticides. 22 CFR 216.3(b) defines the pesticide procedures that apply to every project. Among those, the Pesticide Evaluation Report and Safer Use Action Plan (PERSUAP) sets out the conditions that should govern project pesticide use.

Objectives

- Achieve a basic understanding of the definitions of pest and pesticides
- Understand the history and importance of pesticide use in agriculture across the globe
- Comprehend the environmental and human health risks associated with pesticide use, particularly in a developing country context
- Review the PERSUAP as a requisite analysis to approve a series of pesticides to be promoted by USAID projects and as a tool to promote safe pesticide use

Key Resources

- The webpage on [Specialized Compliance Topics](#) on the GEMS website has a section on Pesticides and PERSUAPs.
- The [EPA Pesticide Label database](#) has a searchable database to receive safe use information on thousands of commercial pesticide products.
- The [Pesticide Action Network \(PAN\) Database](#) is a searchable database for information on toxicity and regulatory status for pesticides.

Discussion Questions

In small groups with the workshop participants at your table, please discuss the following questions. Each group will have a workshop facilitator to assist in guiding the discussion.

1. Imagine your group is a team of project managers for a USAID-funded project to support small-scale farmers in the production of sweet potatoes. Part of the project involves the provision of credits that farmers can use to buy agricultural inputs in local supply stores. Should your project be responsible to carry out a PERSUAP to evaluate the pesticide products available on local markets to determine which pesticides beneficiaries can purchase?
2. Discuss what are some of the risks that derive from improper storage and disposal of pesticide containers.
3. Please discuss the concept of Integrated Pest Management (IPM). Participants may conduct an Internet search on the concept and discuss their findings within the group.

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Session II.

Introduction to the USAID Sector Environmental Guidelines (SEGs) and Related Resources

Presentation and Beat the Clock Game

Summary

This session will familiarize participants with ESDM and USAID environmental compliance resources available primarily through the GEMS project Website: www.usaidgems.org. The session will begin with a short presentation that will introduce participants to these resources and describe how to access and utilize them.

These resources include:

- The *Sector Environmental Guidelines*
- Visual Field Guides (VFGs)
- The Environmental Compliance Language (ECL) Factsheet
- Training Materials
- MEO Resources
- Other sector-specific resources

The session also summarizes the environmental compliance and ESDM support services available to Missions and implementing partners via USAID's GEMS program.

Objective

Participants will become more familiar with the key USAID ESDM and environmental compliance resources available, in particular the **Environmental Compliance Language Factsheet** and the **Sector Environmental Guidelines (SEG)**.

Environmental Compliance Language (ECL)

For new awards and significant modifications to existing awards, USAID Missions and Bureaus are increasingly requiring EMMPs in the language of award instruments. This is part of a broader trend within USAID to use "best practice" environmental compliance language in solicitations and awards.

This language goes beyond the minimum requirement established by the ADS that mitigation measures be incorporated into "implementation instruments." It requires that:

1. A complete EMMP be developed;
2. Work-plans and budgets integrate the EMMP; and
3. Project reporting tracks EMMP implementation.

The source of this “best practice language” is the **Environmental Compliance: Language for Use in Solicitations and Awards** (ECL) tool. This tool is a non-mandatory part of the ADS, and combines step-by-step guidance and “boilerplate” language. The BEOs and REAs strongly encourage its use. ECL is available here: www.usaid.gov/policy/ads/200/204sac.pdf. Also, see the ENCAP ECL Factsheet included as an Annex in this manual.

Beat-the-Clock: Game Briefing

Participants will be divided into equally sized teams. Each participant will have received a copy of four SEG chapters: Small Healthcare Facilities, Water Supply and Sanitation, Fisheries and Aquaculture, and Forestry. Facilitators will then open a Powerpoint Presentation that has one question on each of its 10 slides. To answer these questions, participants will search for information in the four printed SEG chapters, always noting the page number of the SEG chapter consulted they found the answer.

Each group may take notes on scrap paper, and when a group believes it has collected all the information necessary to respond to the question (including the page number of the SEG chapter), they will ring a bell that will be placed on each table. The first group to ring the bell will be given the opportunity to present its answer. Should the answer be incorrect, the next group that rings its bell will be given a chance and so on until a group responds with a correct answer.

The first team to respond correctly will be awarded 1 point. A wrong answer results in a penalty of 1 point. Organizers keep track of the overall scoreboard.

At the end of the game, the team with the most points wins the game and gets a prize.

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USAID
FROM THE AMERICAN PEOPLE

Version: 22 February 2016



IMPLEMENTING MECHANISM FACTSHEET

GLOBAL ENVIRONMENTAL MANAGEMENT SUPPORT (GEMS II)

CONTENTS

1. GEMS OVERVIEW
2. Implementers
3. Period of Performance
4. Scope of Services
5. Accessing GEMS Services
6. Pricing
7. Award Details
8. Contacts

1. GEMS Overview

GEMS II is a global program implemented under a USAID E3 Bureau contract that provides on-demand environmental compliance, management, and sound design support to USAID's Environmental Officers, individual agency operating units and their projects and programs.

Subject to available ceiling, GEMS services are available to any bureau or operating unit that elects to incrementally fund the contract.

2. Implementers

GEMS II was awarded in late September 2013 to **The Cadmus Group, Inc.** under the GSA Multiple Award Schedules (MAS) program.

The core team consists of Cadmus, Sun Mountain International and The Cloudburst Group, who together provide the primary USAID environmental compliance/environmentally sound design and management expertise. Other core team members are Eurasia Environmental Associates, Neptune and Company, Mott MacDonald, World Education and Battelle Memorial Institute. Cloudburst is a GSA Contractor Teaming Arrangement (CTA) partner. All other team members are subcontractors to Cadmus.

A number of on-call local partners may be engaged depending on the location of programmed activities.

3. Period of Performance

This factsheet was prepared by The Cadmus Group, Inc. for USAID under the USAID Global Environmental Management Support project (GEMS II), Award Number AID-OAA-M-13-00018. It was reviewed by the GEMS II COR.

30 September 2013–29 September 2018.

4. Scope of services

A broad range of environmental compliance, management, and sound design support services are available under GEMS II, including but not limited to:

- A. TRAINING.** Planning, design and delivery of general and sector-specific training in environmental compliance and/or environmentally sound and climate-smart design and management; development of training curricula and materials; and development and delivery of online/distance learning on these topics.
- B. GUIDANCE, TOOLS AND SYSTEMS.** Development and review of environmental best practice/compliance guidance for individual projects or sector programs. Development of software/IT and other tools and systems to support environmental compliance, management and M&E from mission portfolio to project level.
- C. 22 CFR 216 DOCUMENTATION.** Development and review of documentation prepared under USAID Environmental Procedures (22 CFR 216), including Initial Environmental Examinations (IEEs), scoping statements, and Environmental Assessments (EAs) and Programmatic Environmental Assessments (PEAs), including health and social impacts analyses.
- D. COMPLIANCE ASSESSMENTS, FIELD MONITORING AND EVALUATION.** Environmental compliance assessments, from mission portfolio to project and site-level. Field monitoring and evaluation of environmental compliance, management, and/or performance.
- E. EMMPs/EMPRs.** Development and review of Environmental Mitigation and Monitoring Plans (EMMPs) and Environmental Mitigation Plans and Reports (EMPRs); technical assistance to support field implementation of such plans.
- F. ENVIRONMENTAL MANAGEMENT IN DISASTER ASSISTANCE.** Support to environmental management of disaster assistance, including rapid environmental assessments (REAs).
- G. BEO, REA AND MEO SUPPORT & BACKSTOPPING.** Screening and quality control of submitted 22 CFR 216 documentation; TA for IPs and USAID staff developing this documentation.
- H. OTHER ENVIRONMENTAL ANALYSES.** Scoping, development and review of: FAA 118/119 analyses, climate vulnerability assessments and climate risk screenings, health and social impact assessments; environmental reviews of multilateral development bank project proposals; among others.
- I. HOST COUNTRY ENVIRONMENTAL MANAGEMENT CAPACITY.** Capacity-building of host country environmental management systems and professionals.
- J. KNOWLEDGE MANAGEMENT, LEARNING & COMMUNICATIONS.** Web-based and hardcopy dissemination of environmental management guidance; strategic and high-impact environmental communications; environmental management community-of-practice development and support.

5. Accessing GEMS Services

Bureau Environmental Officers (BEOs) serve as Activity Managers for GEMS II activities within their region/sector. In this capacity, they are “gatekeepers” for the GEMS II work plan, in consultation with the COR.

Operating units interested in accessing GEMS II services, whether funded by the participating Bureaus or with their own buy-in funds, should first contact the relevant BEO/Activity Manager and the COR. See contact list at right.

Please request the *GEMS II Pricing and Ordering Guide* for more information.

6. Pricing

GEMS II is a time and materials (T&M) contract. Categorical, fully burdened T&M labor rates are set by the award based on Cadmus' and Cloudburst's GSA price schedules. Travel, logistics and materials costs are treated on a reimbursable basis. Please request the *GEMS II Pricing and Ordering Guide* for more information.

7. Award & GLAAS Details

Award #	AID-OAA-M-13-00018
Issued under	GSA Multiple Award Schedule (Cadmus GSA Multiple Award Schedule Contract No.: GS-10F-0105J)
Period of Performance	30 Sept 2013–29 Sept 2018 No option years.
Ceiling	\$37.87mn (5-years)
Lead & Group Req.	Contact COR for most current code

8. Contacts

Contract Officer	Kevin Sampson ksampson@usaid.gov
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Chief of Party (Program Manager)	Mark Stoughton The Cadmus Group, Inc. Mark.Stoughton@cadmusgroup.com
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USAID Environmental Compliance and Environmentally Sound Design & Management Resources online:
www.usaidgems.org.

Session 12.

The USAID Environmental Assessment (EA)

Technical presentation and discussion

Summary

This session introduces the basic concepts of the USAID Environmental Assessment (EA), which is required when a project's governing IEE determines that one or more activity has the potential to generate significant environmental impact (Positive Determination). Participants will learn how to identify when a full EA is required and will be introduced to the different types of EAs that can be carried out under Reg. 216. The steps of preparing the assessment and the necessary components of an EA will also be reviewed in detail.

Objectives

- Identify when a full EA is required and define "Positive Determination."
- Define the different kinds of EAs under USAID Reg. 216
- Review the steps of preparing an EA
- Review the distinct components of the EA final report
- Emphasize the importance of coordinating with host-country environmental management entities and complying with national laws and legislation in performing EAs.

Reference documents

- GEMS Sector Environmental Guidelines (SEG)
- USAID Regulation 216
 - USAID Contract Language
 - USAID Environmental Procedures
 - Regulation 216 Complete Version

Discussion Questions

- What IEE determination triggers a full EA?
- What are the steps included in the EA preparation?
- What are the different types of EAs and how do they differ?
- Has anyone in the group worked on a project that required an EA? Please describe your experience contributing to the EA/PEA or implementing its conditions.

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Session 13.

Introduction to the EMMP Skill-Building Exercise

Plenary Session

Objectives

Participants will further develop and apply the practical EIA skills and environmental compliance approaches that have been discussed during the workshop, with emphasis on developing an initial version of an EMMP for a hypothetical USAID-funded project under design.

During this session, participants will:

- Form interdisciplinary teams,
- Receive a **Field Guide**, which contains information about the hypothetical USAID project under design, and about the field visit site that each group will observe first-hand during Session 14
- Create a plan to guide the team's data collection, analysis and documentation for the purposes of developing an EMMP for the hypothetical project.

All hypothetical USAID-funded projects under design will need to comply with USAID environmental compliance requirements (Reg. 216). As such, each project will need an approved EMMP in place prior to beginning implementation. Your inter-disciplinary team is responsible for developing that EMMP.

The field visit sites that each team will observe did not adhere to Reg. 216 and thus may have a significant number of unaddressed environmental risks and may have caused unintended impacts.

The field visit to be carried out in Session 14 will be considered an opportunity to learn from an existing or past project in order to inform the design of the new, hypothetical USAID-funded activity which shares the same goals and objectives with the project visited. For the purpose of this exercise, the teams will assume that baseline characteristics (existing conditions) of the hypothetical project site will be the same as for the illustrative field visit site observed.

This exercise will help teams identify and address the highest priority potential environmental impacts associated with the hypothetical activity that must be mitigated and monitored (and captured in the future activity's EMMP).

Session 13a: Introduce the EMMP Skill-Building Exercise and Field visit

During this pre-field visit session, participants will separate into their groups and will receive a printed copy of their **Field Guides**. The field guide provides instruction on the objectives and methodology of the skill-building exercise. GEMS presenters will briefly describe the 4 technical areas and project sites to be visited, including a brief description of the activity and some of the relevant baseline conditions at each site. The four technical areas for the skill-building exercise that will be presented are:

1. Fisheries/Aquaculture
2. Water Supply and Sanitation
3. Forestry and Reforestation
4. Health Center

Where possible, a local guide will also present background on the project and answer any questions. The organizers will provide logistical coordination for the visits, which will be explained to the groups (transport, materials).

Session 13b: Group Preparation for the EMMP Skill-Building Exercise and Field Visit

Individual groups will form at this time; each group should listen carefully for additional details on the project sites. Groups will then have some time to review their **Field Guides** and other relevant resources or documentation, consult with their accompanying trainer/facilitator, and to confer as a team on a general approach to the field visit data collection methodology or issues related to the field visit.

This group preparation will provide time for the participants to read project description documents, to define the activities to be assessed, and to perform a degree of internet research on the baseline conditions of the project site. Participants will also be able to assign roles and responsibilities to their group members and develop any questionnaires or other field tools that they would like to bring with them for the outing.

Participants should also familiarize themselves with the **Environmental Screening Form (ESF)** located in the **Field Guide**. The ESF is a tool intended to help the group identify which activities have no, medium or high risk to generate environmental impact. Because the activity sites to be visited do not have governing IEE's associated with them, participants will use the ESF as a substitute to rapidly screen the activity for environmental impacts. The ESF should not be considered exhaustive and participants are encouraged to bring their own questions to the field.

Questions and issues for discussion include:

- 1) Drawing from the EIA skill-building exercise, consider the most relevant aspects of the baseline situation that should be observed and assessed in the field.

- 2) Review aspects of the design or management of the activities that may generate environmental impacts with the **Environmental Screening Form (ESF)** to prepare the group for the types of issues to be investigated.
- 3) Use the **Sector Environmental Guidelines** and other resources—including your own experience—to identify the types of adverse environmental impacts typically associated with the activity type and/or site you will be visiting (e.g., WASH, Agriculture, pesticide use; or wetland, land with steep incline, flood prone area, etc.).
- 4) Consider what information to collect in the field and what questions to ask the field visit host, project beneficiaries, or other stakeholders to assist in impact identification. Create a short questionnaire if possible. Assign roles to different members of your group to collect the necessary information for your assessments and presentation in plenary. Assign roles, as appropriate, within the group for data collection and/or any interviews.
- 5) Discuss which mitigation measures could be employed to avoid, reduce, or offset potential adverse environmental impacts.
- 6) Review the structure/organization of the EMMP.
- 7) Facilitators will remind participants of the list of items to be brought to the field:
 - Notepad and pen
 - Camera (if possible)
 - Walking shoes and a hat
 - Sunscreen/sunglasses
 - Water bottle

Discussion Questions

A facilitator will be assigned to each group to ask a series of key questions to the team. The team should be able to answer all these questions prior to going to the field.

- What are the roles of each team member during the field visits?
- What additional information do we need to complete the baseline characterization of the activity site?
- What has the group identified as the potential environmental impacts? Positive? Negative?

Reference documents

- **Field Guides** for the four case study projects. In each Field Guide, participants will find a summary of the project to be visited, a description of the hypothetical activity, and a fresh **Environmental Screening Form (ESF)** and **EMMP Template** to fill out in the field.
- The corresponding **USAID Sector Environmental Guidelines** and **GEMS Visual Field Guides**

- The GEMS **EMMP** Factsheet

NOTES:

Session 14.

EMMP Skill-Building Exercise

Field Trip and Classroom Sessions

Objectives

This field and classroom-based exercise is designed to provide participants an opportunity to practice using the tools and methods presented in the classroom sessions to achieve environmental compliance and ESDM. Once back from the field, participants will combine site- and activity-specific data and information with core EIA skills in per group to prepare an EMMP.

This session is divided into three activities:

Session 14a: EMMP Skill-Building Exercise - *Field visit*

Session 14b: EMMP Skill-Building Exercise - *Group Work*

Session 14c: Environmental Compliance Reporting - *Technical Presentation and Dialogue*

Session 14a: EMMP Skill-Building Exercise - Field visit

Use your eyes and ears to gather information that will enable preparation of the EMMP. **Utilize the print-out version of the Environmental Screen Form (ESF) that will be provided by workshop facilitators** to carefully consider the potential environmental impacts of each distinct activity that has occurred or is planned to occur at the site. This tool will help guide groups through relevant topics to consider during the field visit.

Groups will gather the information required to answer key questions identified during Session 13. Don't forget to consider the opinions and concerns of beneficiaries and the local community, asking them about the project's environmental, social and economic impacts and their recommendations. Each participant should take detailed field notes.

Session 14b: EMMP Skill-Building Exercise - Group Work

Each group will collaborate to prepare an EMMP based on the preceding field visit. During this time, participants will synthesize field observations and develop specific mitigation and monitoring criteria in the form of an EMMP. The tasks that groups will be asked to complete during this classroom session are:

1. Review and discussion of field observations and notes and synthesis of findings.
2. List all the distinct activities to occur at the site. List the potential environmental impacts associated with each activity, focusing on the highest priority/risk impacts.
3. Develop specific mitigation measures and monitoring indicators for the top three potential impacts at each site, with reference to the SEGs.
4. Complete the EMMP tables, **utilizing the electronic copy of the EMMP Template that will be provided by workshop facilitators.** Exchange of completed EMMP tables between groups.

During the fourth step (**“The Exchange”**), groups 1 and 2 and groups 3 and 4 will sit together and will exchange electronic copies of their EMMPs. Each group will provide a brief presentation (approx. 20 minutes for each group) about their site to the other group, the activity, and the information included in their EMMP. The purpose of this exchange session is to familiarize each group with the site that they will visit during Session 15 when they will practice environmental monitoring of the indicators developed in the EMMP.

After the exchange, participants will be reminded about the purpose and instructions for the monitoring field visit to be performed the following day during Session 15. The instructions for this monitoring visit were originally presented in Session 13, and the Powerpoint will be shown again to refresh participants’ memories of the exercises. Participants will be given 20 minutes to prepare the approach for the field visit of Session 15.

NOTES:

Session 15.

Field-based EMMP exercise Part II – Environmental Monitoring and Reporting

Field exercise, facilitated discussion and presentation

Summary

The second phase of the field-based exercise will deepen participants' understanding of the EMMP by familiarizing them with a second field site, project and EMMP. The principal purpose of this second field visit is for participants to identify additional potential impacts of the proposed activity that the first group may have omitted from the draft EMMP.

Upon returning to the classroom, each group will revise and edit the EMMP and will also develop indicators to include in the environmental monitoring and reporting table of the EMMP. Each group will present its EMMP in plenary and conclusions will be shared.

The session will consist of 4 phases:

Session 15a: EMMP Skill-Building Exercise II — Field visit

Session 15b: Preparation of the EMMP group presentations

Session 15c: EMMP group presentations

Session 15d: Discussion around the EMMP presentations

Objective

- Review the EMMP completed by the previous group on the same site to determine if any impact/mitigation measures that were not considered in the first draft and complete the information.
- Deepen the understanding of the EMMP tool, in particular the monitoring, evaluation and reporting sections of Table 2.

Session 15a: Field Visit II: Monitoring and Reporting

During Session 14b, each group exchanged their EMMPs with another group, and provided a briefing about the activity, site and corresponding EMMP developed for that site. Participants will now bring this EMMP to the field site to “double-check” the EMMP that they received from the previous group in order to include critical revisions in the final draft.

Each group will screen the activity for impacts to determine whether the first draft EMMP omitted any potential environmental impacts that should be mitigated and monitored. If the group should identify any additional potential environmental impacts, or mitigation measures associated with an already listed impact, these should be noted in the field and the group should add this information to the EMMP when they return to the classroom.

Session 15b: Preparation of the EMMP group presentations

Once back from the field, each group will collaborate to finalize the EMMP based on the preceding field visit. During this time, participants will synthesize field observations and develop any additional language on impacts and mitigation measures.

In addition, participants will be guided on the development of EMMP monitoring indicators, and will be asked to develop indicators for **three (3)** mitigation measures.

Session 15c: Environmental Compliance Reporting - Technical Presentation and Dialogue

USAID CORs and AORs are required by ADS 204 to monitor and evaluate on an ongoing basis whether the environmental mitigation required by the governing IEE/EA is being implemented and is effective.

In other words, COR and AOR oversight responsibilities extend to environmental compliance, just as they do to other elements of project implementation. Practically, this requires that IPs not only systematically comply with IEE/EA conditions by developing and implementing EMMPs, but that they report to USAID on this implementation.¹

Best practice for IP environmental compliance reporting consists of two elements:

1. Project reporting should provide an auditable record of environmental compliance. Generally, IPs' quarterly or semi-annual reports should contain a separate environmental compliance section. The section must provide sufficient information on the status of EMMP implementation for USAID to effectively fulfill its oversight and performance monitoring role.

If the EMMP contains a "monitoring log" section, then the EMMP itself—updated with current monitoring results—can simply be appended to the report.

Missions should not rely on IP progress reports alone to track environmental compliance. Field visits at minimum should include a quick check for significant environmental design/management problems (for certain activities, the **Visual Field Guides** [VFGs] may be used).

2. One or more key project performance indicator(s)—"project results framework"—should reflect overall environmental soundness/environmental compliance.

¹ Title II DFAPs must submit annual Environmental Status Reports (ESRs) as part of their PREP submission. The project's first ESR would likely discuss environmental staffing, budgeting, and inclusion of environmental considerations in the various assessments and surveys that take place during Year 1 of the DFAP. The following ESRs would then have shorter updates on those same topics, but focus more specifically on reporting on EMMP implementation and monitoring. DFAP implementing partners should follow the ESR guidance provided as an annex to the most recent Fiscal Year RFA-IEE.

In other words, the most critical elements of environmental soundness/compliance should be integrated, or “mainstreamed” into the project results framework. For example:

- In a water point provision project, the IP might use the indicator “number of protected water points established with zero fecal coliform after six (6) months” rather than simply “number of water points established.”
- In a road rehabilitation project, the IP might use the indicator “km of road rehabilitated under environmentally sound practices” rather than simply “km of road rehabilitated.”

In both cases, the “environmentalized indicator” demonstrates that core project activities are being executed with attention to environmental soundness/compliance. However, it is NOT expected or appropriate to “environmentalize” every key indicator, or to capture every mitigation measure.

(This best practice applies to new awards; where EMMPs are developed after the PMP is established, it may not be possible to change key performance indicators.)

In summary, IP and USAID environmental compliance roles and responsibilities are as follows:

Project stage	Implementing Partner	USAID
Workplan & PMP Development	Develops EMMP Integrates EMMP into budget and workplan Determines environmental compliance reporting	Review and approval of: 1. The EMMP (for responsiveness to IEE/EA conditions and sufficiency of monitoring); 2. The budget/workplan (to verify that EMMP implementation is planned and funded); and 3. The reporting framework to assure that environmental reporting requirements are met.
Implementation	Implementation of EMMP Reporting on EMMP implementation	Ongoing review of partner progress reports to monitor EMMP implementation Field visits—at a minimum, all visits should integrate a quick check for significant environmental design/management problems. For environmentally sensitive activities, specific visits should be made to verify EMMP implementation.

Session 15d: EMMP group presentations and discussion

Each working group will present the EMMP that it worked on during the second field visit. They will present the updated and completed EMMP (Final Draft) based on the field visit and subsequent small-group synthesis and collaboration. It is preferable, but not required, that each group prepare a short Powerpoint Presentation in order to share pictures from their visits and principal findings.

The floor will be opened for comments from the participants. After each presentation, GEMS facilitators will ask participants to summarize the main points of the presentations and to identify the strengths and weaknesses of each EMMP.

Key Resources

- USAID Sector Environmental Guidelines
- EMMP Template
- Field Guides
- Group Powerpoint Presentations

NOTES:

Session 16.

Roles, Responsibilities and Resources

Technical presentation and dialogue

Summary

Now that participants understand the importance of ESDM and USAID Reg. 216 compliance in project implementation, participants may ask themselves “how do I fit into this process?” This session explains key roles and responsibilities of USAID and IP staff, and summarizes a number of important concepts introduced throughout the workshop. The primary purpose of this session is to clearly describe the processes, roles and responsibilities for USAID Reg. 216 environmental compliance in missions and operating units.

Key Topics:

- How environmental compliance is mainstreamed (integrated throughout) Agency operations by the Automated Directives System (ADS).
- The roles and responsibilities of USAID staff and IPs with respect to the environmental compliance of USAID projects.
- Resources available to support environmental compliance and ESDM.

IP and USAID environmental compliance roles and responsibilities post-award are summarized in the following table:

Project stage	Implementing Partner	USAID
Work plan & PMP Development	Develops EMMP Integrates EMMP into budget and workplan Determines environmental compliance reporting	Review and approval of: 1. The EMMP (for responsiveness to IEE/EA conditions and sufficiency of monitoring); 2. The budget/workplan (to verify that EMMP implementation is planned and funded); and 3. The reporting framework to assure that environmental reporting requirements are met.
Implementation	Implementation of EMMP Reporting on EMMP implementation	Ongoing review of partner progress reports to monitor EMMP implementation Field visits —at a minimum, all visits should integrate a quick check for significant environmental design/ management problems. For environmentally sensitive activities, specific visits should be made to verify EMMP implementation.

Objective

Understand environmental compliance roles and responsibilities of USAID staff and IPs and the tools and resources available to facilitate environmental compliance.

Key Resources

- USAID Environmental Compliance & Related Links:
www.usaid.gov/our_work/environment/compliance
- 22 CFR 216: www.usaid.gov/our_work/environment/compliance/22cfr216
- ADS Series 200 (with link to Chapter 204): www.usaid.gov/policy/ads/200
- USAID/DCHA Environmental Budgeting Toolkit:
<http://www.fsnnetwork.org/sites/default/files/EnvBudgettingToolkit.pdf>
- Sector Environmental Guidelines
- ADS 204 Environmental Compliance Language (ECL) Chapter:
<https://www.usaid.gov/ads/policy/200/204sac>
- USAID ENCAP (GEMS) ECL Factsheet:
<http://www.usaidgems.org/Workshops/Morocco2014Materials/49%20ENCAP%20Factsheet%20ECL.pdf>

NOTES:

Session 17.

Resolving the “Parking Lot”: Final General Q&A Session

Facilitated Discussion

Summary

During the technical presentations, group work and discussions, we have identified a number of “parking lot” items—questions and issues that could not be easily addressed at the time they arose, but which are important to answer and resolve before the end of the workshop.

As we prepare to conclude the workshop, we will use this session to discuss—and hopefully resolve—these parking lot issues in a facilitated discussion that draws on assembled expertise of USAID staff, the consultant trainers, and participants.

Objective

Conclude the “core technical skills and knowledge” portion of the workshop by resolving parking lot issues.

Key Resource

- List of “parking lot” issues compiled during the workshop.

NOTES:

Session 18.

Priority Actions for the Future

Group discussion and action planning

Summary

The first part of this session will be comprised of plenary discussion addressing environmental priorities and challenges for USAID and its partners and how to strengthen mission/team and IP/project processes and capacities to improve environmental compliance and achieve ESDM. It will introduce participants to the *AFR Best Practice Standard*.

During the second part, participants will meet in group per nationality to synthesize key elements of the technical instruction and skill building activities to identify specific ways in which they can advance environmental compliance objectives and the principles of ESDM in their work in their country.

During the last section, all participants including presenters and facilitators should discuss lessons learned throughout the week, including a discussion of:

1. Tangible practices that can be incorporated into development projects in the present and future, and
2. How to motivate colleagues who did not attend the workshop to appreciate the value and importance of ESDM.

Objectives

- Develop and plan for workshop follow-up to strengthen environmental compliance in your project, team, or mission/operating unit.
- Identify key messages to communicate to mission management/sector team leaders (USAID staff) and COPs (IP staff) to prioritize and strengthen environmental compliance in project implementation.
- Frame lessons-learned and identify practical actions that can be operationalized as part of project implementation.

Part I. Taking Stock: the State of Environmental Compliance in USAID Mission & Projects

This workshop has described USAID environmental compliance requirements and has described responsibilities for implementation of compliance procedures. In practice, significant compliance gaps and shortfalls exist. Many of these gaps and shortfalls are rooted in inadequate compliance *systems and processes*.

That is, for compliance to be achieved in practice, it is not enough that individual USAID and IP staff understand their roles and responsibilities and master key skills. Rather, internal

mission/team and project processes must be in place that support (and require) the exercise of these responsibilities.

We will examine the *AFR Best Practice Standard* to better understand the mission processes and capacities required for environmental compliance in project implementation (while developed by Africa Bureau, there is nothing about these standards that are region-specific). This session will consist of discussions and individual planning on “ways forward”—i.e., how to strengthen mission/team and IP/project compliance processes and capacities to improve environmental compliance and better achieve ESDM.

Part II. Focus Groups and Individual Action Plan

Having taken stock of where we are, we are ready to begin to discuss ways forward:

How can we strengthen mission and team compliance processes and capacities to improve environmental compliance and better achieve ESDM?

We will divide into groups by nationality, mixing USAID staff and IPs. Each group will engage in a facilitated discussion and the design of a specific plan per mission/country.

For each mission, the following questions should be included in the design of the plan:

- What elements of environmental compliance are well implemented by your team/project? Why?
- Have you/your team/the mission/your project implemented compliance strengthening measures you would like to share? Are they working well?
- Key environmental compliance gaps within your team/project? What are the causes of these gaps?
- Do you see feasible remedies? What are they?
- What do the USAID sector teams (and A/CORs specifically) need to do differently? Do they or the projects need additional resources, support or training to implement these changes?

Part III. Lessons learned

Following the focus groups, we will reconvene in plenary and each group will provide a one-minute report-out of their action plan. Then, we will have a facilitated discussion to try to reach agreement, as a group, on the following questions.

Key points to convey to prioritize and strengthen environmental compliance?

Key recommendations to make?

Key lessons learned that should be taken out of the workshop?

Workshop facilitators will take note of the answers provided.

Key resources

- *USAID/AFR Environmental Compliance Best Practice Standard*
- Environmental Compliance Action Plan template (both provided on the following pages.)

NOTES:

USAID/AFR Environmental Compliance Best Practice Standard (draft—revised March 2015)

A. Directive environmental documents are in place and accessible to and utilized by	
1)	Environmental Compliance Mission Order is in place and generally consistent with AFR good-practice model. ²
2)	Mission tracking system exists for Regulation 216 and host-country documentation status, and coverage at the contract/award level is accessible to all staff and utilized and contributed to by staff, including use by A/CORs to track EMMPs.
3)	MEO, A/COR, and AM have copies of their current IEEs and host-country environmental documentation on file (electronic or hard copy, including Programmatic IEEs and central mechanisms).
4)	Up-to-date ETOA or FAA 118/119 as part of the CDCS, prepared with MEO involvement or review.
5)	Mission's Performance and Monitoring Plan (PMP) reflects attention to environmental compliance.
6)	Current Regulation 216 documentation (RCEs, IEEs, and PERSUAPs) at the appropriate Mission or central level are: <ul style="list-style-type: none"> a) in place, covering all Mission-funded and –managed activities; and b) of clarity and quality sufficient to provide effective guidance to activity implementation.
7)	A/CORs have EMMPs and quarterly or bi-annual reports on file for each project that includes activities that have a Negative Determination with Conditions
B. USAID staff environmental compliance responsibilities and reporting lines are	
1)	MEO/dMEO Appointment Memo(s) are in place and generally consistent with the AFR good-practice model. ¹
2)	A deputy or alternate MEO is appointed to assist when the MEO is unavailable.
3)	In the execution of her/his MEO duties, MEO is directly accountable to the Senior Program Officer or senior Mission management.
4)	MEO has limited or no duties as an A/COR on projects.
5)	Environmental compliance responsibilities of A/CORs and Alternate A/CORs are specified in their Appointment Letters and position description, consistent with good-practice AFR environmental responsibilities and they understand and carry out their responsibilities.
6)	Environmental compliance responsibilities of AMs are specified in their position description and they have discussed allocation of environmental compliance responsibilities with their A/COR.
7)	Point of contact has been established for each office to facilitate interaction with the MEO and to assist other staff with environmental compliance questions.
C. Mission staff and implementing partners are trained in environmental compliance	
1)	Mission staff has been trained and demonstrate competency in USAID and host-country environmental compliance and ESDM.
2)	Refresher training opportunities are provided annually to staff and implementing partners.
3)	MEO has received formal training in environmental management and/or environmental impact assessment well beyond the level of a one-week workshop and has a strong working knowledge of host-country environmental requirements and processes.
4)	Implementing partners have been trained and demonstrate competency in environmental compliance and ESDM.

² Example Mission Orders and MEO Appointment Memos can be found at: <http://www.usaidgems.org/rolesRespons.htm>.

D. Environmental compliance is integrated in Mission processes, which includes not only Mission-funded projects but all grants, mechanisms, and transactions that the Mission is responsible for overseeing down to the activity level

Design and Award Processes

- 1) Per ADS 201.3.16.2d and 201.3.16.3b, concept notes and PADs include environmental analyses. The MEO is consulted during the development process including reviewing RFA/Ps, and participating in kick-off meetings.
- 2) IEE conditions are incorporated into solicitations RFA/Ps, PIO and G2G agreements, and transaction support applying the Environmental Compliance Language for Solicitations and Awards Help Document³, or a process exists for ensuring activity-level IEE will be undertaken by the implementing partner (and included as a task in the RFA/P).
- 3) MEO is notified in advance when new awards, agreements, and/or contracts are being issued, or when ceilings are raised, and is requested to comment.
- 4) Mission checklists for new awards, agreements, and/or contracts include confirmation of current and relevant Regulation 216 documentation.
- 5) Implementing partners have copies of their IEEs and EMMPs and environmental compliance is part of award briefings.

Oversight of partners and sub-partners*

*including project implementers operating under a central mechanism but within the Mission's area of jurisdiction

- 6) Process exists for ensuring Mission or implementing partner develops and implements an EMP/EMMP.
- 7) Mission field visit checklists include environmental compliance and incorporate an environmental site visit form in project M&E, where feasible, and processes exist to ensure regular monitoring.
- 8) Implementing partner project performance reporting (i.e., quarterly, semi-annual or annual reports) includes a section on environmental compliance based on EMMP implementation. If the Mission has standardized reporting templates, they include environmental compliance.
- 9) Process exists for incorporating IEE conditions into award documents and agreements; and including mitigation and monitoring costs in project budgets.
- 10) A/CORs review program activities annually with the implementing partner and the MEO to determine if activities have been changed or added and whether they are included in the existing IEE, or whether an amendment is necessary.
- 11) Compliance documents are reviewed one-year prior to project closeout to ensure partners focus on environmental sustainability of the project after termination.

Overall

- 12) MEO, A/CORs and AMs have process for collaborating on activities with potential environmental impacts (from design to closure).
- 13) Environmental compliance is integrated in Annual Portfolio Reviews.
- 14) Environmental compliance/ESDM "lessons learned" are integrated in closure reports, the Development Experience Clearinghouse (DEC), and Mission external communications (e.g., Web sites or social media),
- 15) MEO reviews and considers host-country environmental standards for all USAID activities, including working through host-country permitting processes.

³ <http://www.usaid.gov/sites/default/files/documents/1865/204sac.pdf>

- 16) Process exists between the A/COR and AMs for centrally managed programs to track and report to USAID in Washington, D.C. on development of the EMMP, implementation of mitigation measures, and continued assessment of potential environmental impacts.

E. Internal environmental compliance resources are adequate

- 1) Adequate financial resources are available to support Mission environmental compliance, including training and analytical support.
- 2) The MEO function is adequately resourced, both in terms of LOE available for the MEO and support staff, as well as funding for the MEO to undertake field monitoring.
- 3) Funds are available, if needed, for independent monitoring of EMMP implementation for environmentally consequential/complex activities, or for difficult to access sites.

F. Appropriate progress has been made on previous BPR Action Plans and OIG

- 1) Mission has developed and implemented the Action Plan as an outcome of the previous BPR; best processes and practices are still in place.
- 2) If applicable, items proposed in the OIG Audit of July 2011 have been corrected and are still in place.

⁴ Audit of Selected USAID Missions' Efforts to Mitigation Environmental Impact in their Project Portfolios (No. 9-000-11-002-P).
<http://oig.usaid.gov/sites/default/files/audit-reports/9-000-11-002-p.pdf>

DAY I EVALUATION

USAID/West Africa Regional Environmental Compliance and Environmentally Sound Design and Management (ESDM) Training Workshop

Akosombo, Ghana • January 23-27, 2017

This evaluation is meant to improve the quality of the workshop. Thank you for providing any feedback you might have.

Please grade each of the sessions on a scale from 1 to 5 - 1 being poor, 5 being excellent

Session	Presenter	Presentation Content Quality	Usefulness for your organization	Comments
Session 1: Workshop Objectives and Logistics; Participant Introduction and Expectations				
Session 2: Environmental Considerations 'Toward sustainable future'				
Session 3: Fundamental Skills of Environmental Impact Assessment (EIA)				
Session 4: Introduction to USAID environmental procedures – Reg. 216 and the Initial Environmental Examination (IEE)				
Session 5a: EIA Skill-Building Exercise Briefing to the Transect Walk				

Session 5b: EIA Skill-Building Exercise Transect Walk				
Session 5c: Debriefing EIA Skill-Building Exercise				
Session 6: Special Topic: Planning for Climate Change in the West African Context				

Please grade each of the following on a scale from 1 to 5 - 1 being poor, 5 being excellent

1. Quality of methodology used during the day _____
2. General usefulness of this day's theme for your organization _____
3. Quality of the information presented today _____
4. Satisfaction with the hotel, room and food _____
5. Satisfaction with the workshop organization _____

Comments: _____

Thank you

DAY 2 EVALUATIONS

USAID/West Africa Regional Environmental Compliance and Environmentally Sound Design and Management (ESDM) Training Workshop

Akosombo, Ghana • January 23-27, 2017

Dear colleagues: This evaluation is meant to improve the quality of the workshop.

Please grade each of the sessions on a scale from 1 to 5 - 1 being poor, 5 being excellent

Session	Presenter	Presentation Content Quality	Usefulness for your organization	Comments
Session 7: Mitigation and environmental monitoring techniques				
Session 8: The Environmental Mitigation and Monitoring Plan (EMMP)				
Session 9: Recommended Best Practice for EMMP Development, Application, Monitoring and Evaluation				
Session 10: Introduction to the USAID Sector Environmental Guidelines + Similar Resources				
Session 11: Special Topic: The Use of Pesticides and the PERSUAP				
Session 12: Environmental Assessment				

(EA) process				
Session 13a: Introduce the EMMP Skill-Building Exercise and Field visit Projects presentation and briefing Technical Areas: <ul style="list-style-type: none"> • Water and Sanitation • Forestry • Fisheries • Health and health care waste management 				
Session 13b: Group preparation for the EMMP Skill-Building Exercise and Field Visit Group work				

Please grade each of the following on a scale from 1 to 5 - 1 being poor, 5 being excellent

1. Quality of methodology used during the day _____
2. General usefulness of this day's theme for your organization _____
3. Quality of the information presented today _____
4. Satisfaction with the hotel, room and food _____
5. Satisfaction with the workshop organization _____

Comments: _____

Thank you

DAY 3 EVALUATIONS

USAID/West Africa Regional Environmental Compliance and Environmentally Sound Design and Management (ESDM) Training Workshop

Akosombo, Ghana • January 23-27, 2017

Dear colleagues: This evaluation is meant to improve the quality of the workshop.

Please grade your corresponding field visit on a scale from 1 to 5 - 1 being poor, 5 being excellent

Field Trip Site	Working Group Team Leader	Quality of Activity	Usefulness for your organization	Comments
Session 14a: EMMP Skill-Building Exercise Field visit				
Session 14b: EMMP Skill-Building Exercise Small group work				

Please grade each of the following on a scale from 1 to 5 - 1 being poor, 5 being excellent

1. Quality of methodology used during the day _____
2. General usefulness of this day's theme for your organization _____
3. Quality of the information presented today _____
4. Satisfaction with the hotel, room and food _____
5. Satisfaction with the workshop organization _____

Comments: _____

Thank you

DAY 4 EVALUATIONS

USAID/West Africa Regional Environmental Compliance and Environmentally Sound Design and Management (ESDM) Training Workshop

Akosombo, Ghana • January 23-27, 2017

Dear colleagues: This evaluation is meant to improve the quality of the workshop.

Please grade each of the sessions on a scale from 1 to 5 - 1 being poor, 5 being excellent

Session	Presenter	Presentation Content Quality	Usefulness for your organization	Comments
Session 15a: EMMP Skill-Building Exercise				
Session 15b: Preparation of the EMMP group presentations				

Please grade each of the following on a scale from 1 to 5 - 1 being poor, 5 being excellent

1. Quality of methodology used during the day _____
2. General usefulness of this day's theme for your organization _____
3. Quality of the information presented today _____
4. Satisfaction with the hotel, room and food _____
5. Satisfaction with the workshop organization _____

Comments: _____

Thank you

DAY 5 EVALUATIONS

USAID/West Africa Regional Environmental Compliance and Environmentally Sound Design and Management (ESDM) Training Workshop

Akosombo, Ghana • January 23-27, 2017

Dear colleagues: This evaluation is meant to improve the quality of the workshop.

Please grade each of the sessions on a scale from 1 to 5 - 1 being poor, 5 being excellent

Session	Presenter	Presentation Content Quality	Usefulness for your organization	Comments
Session 15c: Environmental Compliance Reporting Technical presentation and dialogue				
Session 15d: EMMP group presentation and discussion				
Session 16a: Roles, Responsibilities & Resources				
Session 16b: BEO/REA Informational Session				
Session 17: Parking Lot Session Plenary session				
Session 18: Priority actions for the future Group discussions followed by individual action planning				

Please grade each of the following on a scale from 1 to 5 - 1 being poor, 5 being excellent

1.	Quality of methodology used during the day	_____
2.	General usefulness of this day's theme for your organization	_____
3.	Quality of the information presented today	_____
4.	Satisfaction with the hotel, room and food	_____
5.	Satisfaction with the workshop organization	_____

Comments: _____

Workshop Final Evaluation

USAID/West Africa Regional Environmental Compliance and Environmentally Sound Design and Management (ESDM) Training Workshop • Akosombo, Ghana • January 23-27, 2017

Dear Colleagues: Your comments will help us strengthen and improve the quality of our workshops in the future. Thank you very much for your attention and feedback!

Learning Methodology

Please rate based on the following scale: 5 = very good, 4 = good, 3 = average, 2 = inadequate, 1 = bad

Criteria	Evaluation					Comments
Balance in time allocation (presentations, group exercises, field visits, discussions and dynamics)	1	2	3	4	5	
Technical quality of the materials	1	2	3	4	5	
Level of satisfaction with group exercises	1	2	3	4	5	

Workshop's Impact

Please rate by the unique scales provided for each question

Question	Evaluation					Comments
Initial Knowledge: Thinking back to before you received an invitation to this workshop, how would you have rated your understanding of USAID environmental regulations and ESDM? (1 = no knowledge, 5 = very advanced)	1	2	3	4	5	
Post-Workshop Knowledge: To what extent has the workshop increased your knowledge of USAID environmental compliance requirements? (1 = very little, 5 = very much)	1	2	3	4	5	
Empowerment: To what extent do you feel prepared to help your organization meet USAID environmental compliance regulations within your professional functions/responsibilities? (1 = not prepared, 5 = very prepared)	1	2	3	4	5	

General Evaluation

Please check the box that most corresponds with your opinion

Criteria	Bad	Inadequate	Average	Good	Very good	Comments
Technical Quality						
Facilitation						
Logistics						
Location of the event						
Field visits						

Topics not covered

Were there important issues that were not adequately covered or delivered?	
--	--

Future Support

Of the topics covered in the workshop, is there one in which you need more assistance?	
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Your comments and suggestions are welcome