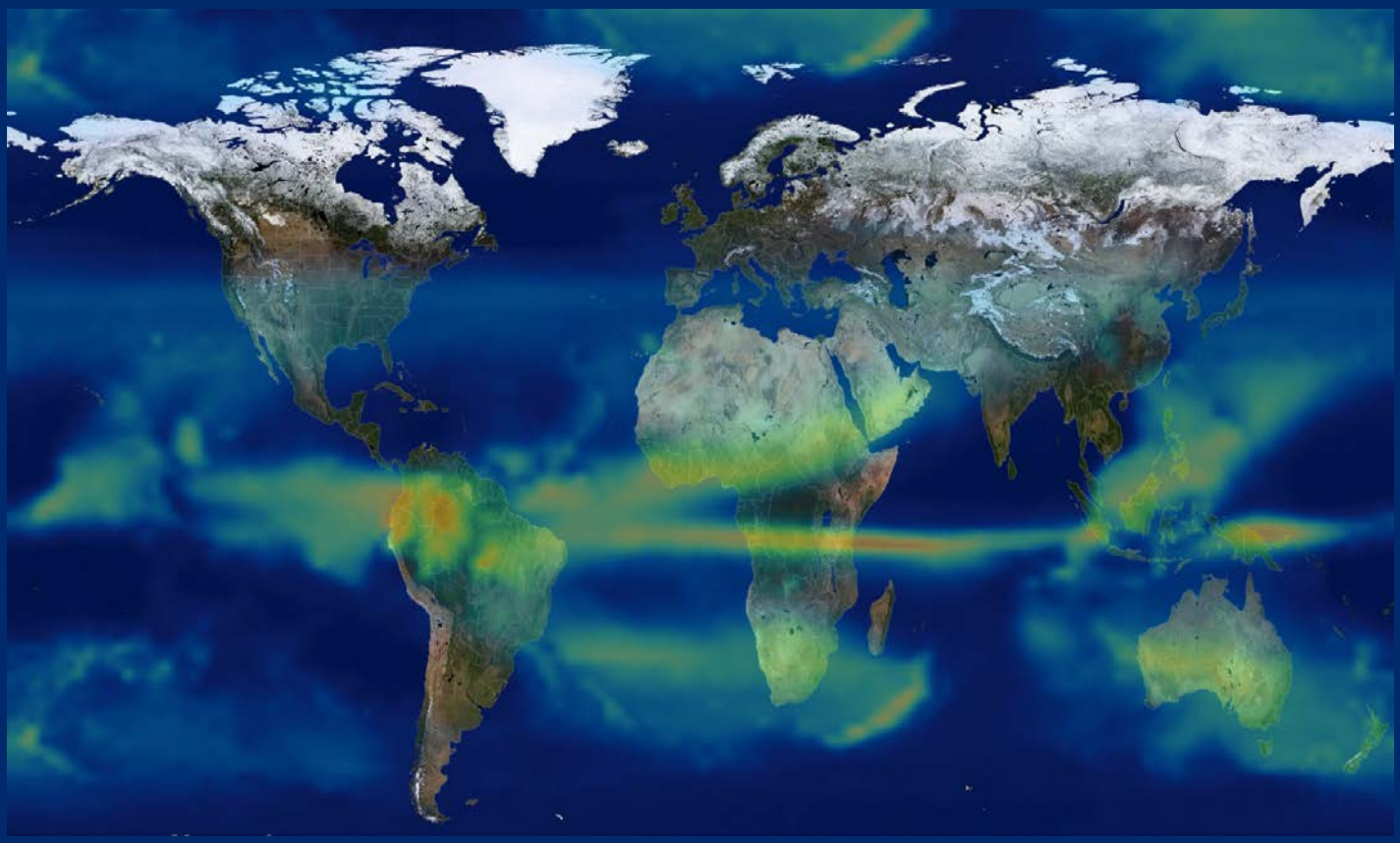
USAID
FROM THE AMERICAN PEOPLE

ENVIRONMENTAL COMPLIANCE & ENVIRONMENTAL PROCEDURES WORKSHOP

TRAINER'S GUIDE



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Cover image: *This map of global rainfall for November 1997 depicts rainfall amounts progressively in green, yellow, orange and red. It shows the tail end of the lesser rainy season in West Africa, and the onset of the rainy season in Papua New Guinea, among other regional patterns. Over the past 15 years, these and other once-reliable annual rainfall patterns have exhibited unusual variability in many regions, with significant consequences.*

Credit*: NASA/Goddard Space Flight Center Scientific Visualization Studio;*
Global Precipitation Climatology Project (GPCP): NOAA Satellite and Information Service; National Environmental Satellite Data and Information Service (NESDIS); National Climatic Data Center.

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VERSION
31 July 2012

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DISCLAIMER
The author's views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

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Acronyms

AA	Assistant Administrator
AEC	Agency Environmental Coordinator
ADS	Automated Directives System
AFR	Bureau for Africa (USAID)
AO	Assistance Objective
AOR	Agreement Officer's Representative
BEO	Bureau Environmental Officer
BPR	Environmental Procedures Best Practices Review
CBOs	community based organizations
CE	Categorical Exclusion
CEQ	Council on Environmental Quality (United States)
CFR	Code of Federal Regulations (United States)
22 CFR 216	Title 22, Code of Federal Regulations Part 216. (US Federal regulation defining USAID's pre-implementation environmental review procedures.)
COR	Contracting Officer's Representative
DCHA	Bureau for Democracy, Conflict and Humanitarian Assistance
DO	Development Objective
EA	Environmental Assessment (22 CFR 216 documentation)
E3	Bureau for Economic Growth, Education and Environment (USAID)
EIA	Environmental Impact Assessment
EIS	Environmental Impact Statement
ENCAP	Environmentally Sound Design and Management Capacity Building Support for Africa (USAID Bureau for Africa project)
EPA	US Environmental Protection Agency
EMMP	Environmental Mitigation and Monitoring Plan
ESDM	Environmentally Sound Design and Management
ETOA	Environmental Threats and Opportunities Assessment
FAA	Foreign Assistance Act
GCC	Global Climate Change
GEMS	USAID Global Environmental Management Support Project
GH	Bureau for Global Health (USAID)
GHG	Greenhouse gases
GDA	Global Development Alliance
IEE	Initial Environmental Examination (22 CFR 216 documentation)
IP	Implementing Partner
LOP	Life-of-Project
M&E	Monitoring and evaluation

MEO	Mission Environmental Officer
NGO	nongovernmental organization
NRM	Natural resource management
OIG	USAID Office of the Inspector General
PAD	Project Appraisal Document
PERSUAP	Pesticide Evaluation Report & Safer Use Action Plan
PPE	Personal Protective Equipment
REA	Regional Environmental Advisor
Reg. 216	Regulation 216 (informal shorthand for 22 CFR 216)
RCE	Request for Categorical Exclusion (22 CFR 216 documentation)
REA	Regional Environmental Advisor
RFP/RFA	Request for Proposal/Request for Agreement
SAPMA	Smallholder Agricultural Productivity and Market Access Program
SO	Strategic Objective
SS	Site Selection
UN	United Nations
US	United States
USAID	Unites States Agency for International Development
USAID/W	USAID/Washington DC

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Introduction to the Workshop

This *Trainer's Guide* has been designed to help staff in USAID Missions and at USAID/Washington deliver the ***Environmental Compliance and Environmental Procedures Workshop*** to their USAID colleagues.

USAID's goal is to "promote economic prosperity; strengthen democracy and good governance; improve global health, food security, environmental sustainability and education and help societies prevent and recover from conflicts."[1]

Environmental issues can have a significant impact on the success of any development project, and conversely, development projects can have a significant impact on the environment—and thereby on human health and livelihoods.

USAID's mandatory environmental procedures apply to every USAID activity. They are the Agency's principal mechanism to assure environmentally sound design and management of USAID-funded activities—and thus to protect environmental resources, ecosystems, and the health and livelihoods of beneficiaries and other groups. They strengthen development outcomes and help safeguard the good name and reputation of USAID.

Responsibility for compliance is the responsibility of all USAID staff who design programs, write solicitations and evaluate proposals, monitor the progress of projects and activities, and provide support to implementing partners as they carry out development programming in any sector. All need a basic understanding of what environmental compliance means, why it is important and what support resources are available.

Goal of the workshop:

The ***overall goal*** of this workshop is to strengthen development outcomes by building participant motivation, knowledge and skills to systematically comply with USAID's environmental procedures and otherwise take environmental issues into full consideration, as they design, award and monitor projects and programs.

Workshop objectives:

The following are the ***overall learning objectives*** that should be achieved by the end of the workshop. Specific objectives are included for each session in this *Trainer's Guide*.

By the end of the training, participants will be able to:

- Identify at least three reasons why environmentally sound design and management is important to successful development outcomes;
- Articulate at least three reasons why complying with the Agency's environmental procedures is important to USAID projects;

[1] http://www.usaid.gov/about_usaid/ (downloaded 23 January 2012)

- Articulate the key compliance requirements established by USAID's mandatory environmental procedures over life of project;
- Demonstrate basic familiarity with the core EIA processes and skills needed for environmental compliance.
- Articulate their responsibilities and those of others for environmental compliance.
- Identify resources available for supporting environmental compliance and best practices.

Duration of the workshop: 1. 5 days (*see detailed schedule below*)

Who should participate? The workshop is primarily designed for all Agency staff involved in designing, managing and/or monitoring projects; or in developing solicitations and evaluating proposals.

This includes Agreement Officer's Representatives (AORs), Contracting Officer's Representatives (CORs), Program Officers, Monitoring and Evaluation Specialists, and Team Leaders. The timing and schedule for the workshop is based on having 15 – 16 participants.

Who should facilitate? This *Training Guide* was developed with the profiles of the Regional Environmental Advisor (REA) and Mission Environmental Officer (MEO) in mind. Qualified trainers will have an extensive knowledge of environmental compliance and procedures, and will be well enough versed in the topics that they are able to give examples of the issues raised in the sessions.

If possible, trainers should have experience in training and facilitating workshops or other capacity-building exercises with adult learners.

Methods used in the workshop: The workshop designers were aware of the need to engage a variety of different learning styles, and have incorporated several training methods to do so. By following principles of adult learning, the training methodology helps ensure that participants will be able to apply what they learn during the workshop. The following table illustrates how the principles of adult learning are exercised during the workshop:

Learning Principle	Method
Assessing Current Knowledge	Assessment questions found throughout each session
Building on Current Knowledge	Short, interactive lectures Video Case studies/scenarios
Practicing the Use of New Information and Strengthening Decision-making Skills	Virtual Field Visits in small groups Critical incidents (What Would You Do If?)
Reflection & ***Evaluation***	Critical incidents (What Would You Do If?) Workshop Quiz

Workshop Schedule

The following schedule outlines the basic timing of the workshop, including suggested times during for breaks and lunch.

If carried out on consecutive days, the workshop ends by lunchtime on the second day. For example, if the workshop begins at 8:30 am on the first day, it would end around 4:30 p.m. On the second day, if the workshop begins at 8:30, it would end at noon.

Less optimally, the workshop can also be delivered as 3 consecutive half-days, or as 5 two-hour segments, using the session timings below in each case.

Time Needed	Session Number/Session Title	Content Overview
DAY 1		
30 minutes	**Session 1:** ***Introductions and Workshop Overview***	Participant & trainer introductions; Participant expectations; Workshop objectives & schedule.
45 minutes	**Session 2:** ***Environmental Compliance for Environmentally Sound Design & Management***	Relationship of environment to development; Key requirements of USAID's environmental procedures.
45 minutes	**Session 3:** ***Environmental Impact Assessment: A Framework for Environmentally Sound Design & Management***	Environmental Impact Assessment key concepts and process.
Suggested ***BREAK***		
30 minutes	**Session 4:** ***The Story of Zaragosa: Why Environmental Impact Assessments are Important***	Example of importance of systematically considering environmental issues in program design in *any* technical sector
40 minutes	**Session 5:** ***22 CFR 216: USAID's Pre-Implementation Environmental Impact Assessment Process***	USAID's pre-implementation Environmental Impact Assessment process, defined by 22 CFR 216.
Suggested ***LUNCH***		
50 minutes	**Session 6:** ***Environmental Impact Assessment Core Skills, Part 1***	Core EIA skills of baseline characterization, identifying issues and impacts of concern, and mitigation design.
90 minutes	**Session 7:** ***"Virtual" Field Visits***	"Visiting" two sites chosen for USAID-funded activities; Practicing baseline characterization and identifying issues and impacts of concern.

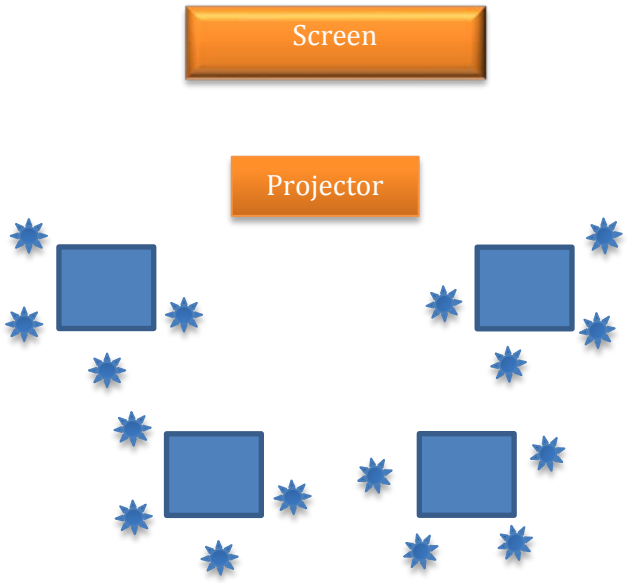
Time Needed	Session Number/Session Title	Content Overview
60 minutes	**Session 8:** ***Initial Environmental Examinations: What Makes them Effective?***	Standards for Initial Environmental Examinations; Determine adequacy of IEEs written for virtual field visit scenarios.
DAY 2		
60 minutes	**Session 9:** ***Environmental Impact Assessment Core Skills, Part II***	Environmental Monitoring; Environmental Monitoring and Mitigation Plans.
60 minutes	**Session 10:** ***Environmental Compliance: Roles, Responsibilities, Processes and Resources***	Overview of personnel responsible for compliance; Compliance processes; Available support and resources.
Suggested ***BREAK***		
60 minutes	**Session 11:** ***Reality on the Ground: State of Compliance and "What Would You Do If?"***	Analysis of state of environmental compliance currently; Exercise and problem-solving on Office of Inspector General report on environmental compliance.
30 minutes	**Session 12:** ***Post-Workshop Test & Workshop Evaluation***	Quiz; Workshop evaluation.

Before the Workshop Begins

Being prepared is always key. Getting the room ready, making sure the PowerPoint projector works, the participant's materials are all in order and that you have reviewed all the materials beforehand can help you reduce any apprehension you may feel about delivering the training. That can help you focus on the participants and the content when you need to – during the workshop!

Arranging the room: The training design provides several opportunities for participants to work together in small groups. To facilitate group work, it is best if you can arrange the room so that participants can easily work together to solve problems posed to them. It is also very helpful to arrange the room so that people can see one another as they interact in large group discussions.

One possibility is to have 4 - 5 participants at each table. For example:



Review all materials: Make sure that you are familiar with the Trainer's Guide, the Participant Workbook, and all background resources, especially ***22 CFR 216, USAID Environmental Procedures***.

Many of the **PowerPoint slides** are animated, so view the workshop slides in "Slide Show" mode to become familiar with the animation *and* the content. Important talking points (and some assessment questions) are contained on the **slide notes** of the presentations.

More background information can be found via the URLs on the following pages:

USAID Environmental Compliance & Related Links

- http://www.usaid.gov/what-we-do/environment-and-global-climate-change/environmental-compliance-0

- 22 CFR 216
  transition.usaid.gov/our_work/environment/compliance/reg216.pdf

Automated Directives System Series 200
(with link to Chapter 204 & Environmental Compliance Language document)

- http://www.usaid.gov/who-we-are/agency-policy/series-200

Sectoral Best Environmental Practices Guidance

- http://www.usaidgems.org/bestPractice.htm

Environmental Compliance Guidance:

- http://www.usaidgems.org/lop.htm

Training Materials & Supplies

Training Materials.
All training materials are found on the *Environmental Compliance and Environmental Procedures Workshop* **CD-rom, DVD, or flash drive**. It is organized according to the following folders:

Folder	Contents and Notes
Participant Materials	1) Subfolder: COMPILE FOR WORKBOOKS – *these are materials that should be copied, compiled and put into Participant Workbooks for <u>each</u> participant <u>before</u> the workshop begins. Best if compiled by session, with tabs between each session. (See "workshop supplies & equipment," below.)* a) Cover Pages—*copy in color, if possible, for outside of Workbook binder* i) Cover and Agenda – fill in the agenda with exact start & end times ii) Acronyms iii) Websites b) Sessions 1–11 *i)* PowerPoint presentations for each session—*copy each presentation 2 slides/page to allow room for participants to make notes. Not all sessions have presentations. See session plans in this* Trainer's Guide *for instructions.* *ii)* Other materials for group activities—*Not all sessions have activities. See session plans in this* Trainer's Guide *for instructions.* 2) Subfolder: DISTRIBU TE AS HANDOUTS—*These are materials that you copy and use when instructed in Trainer's Guide. They are documents that you do not want participants to see ahead of time.*
PowerPoint Presentations	*These are the trainer's presentations. They have slide notes – copy the slide notes version of the presentations before the workshop begins so that you can refer to the notes as you make your presentations.*
Trainer's Guide	*This document. Print in color, if possible.*
Session 4 Video	*Story of Zaragosa: Why Environmental Impact Assessments are Important*

Workshop Supplies & Equipment:
In addition to the training materials found on the CD-rom, DVD or flash drive, trainers will need:

Binders for participant workbooks—1 for each participant and trainer (1" binders are sufficient)

12 section tabs (1 for each session) for each binder

Environmental Compliance CFR Part 216 Handbook for each participant

PowerPoint projector

Flipchart stand & paper (optimally, 1 stand & 1 pad for each small group)

Pens, pads and other stationery for participants

Tape or other fastener to post flipcharts on wall

Markers of various colors

Name-tags or name "tents"

USAID "Protecting the World's Environment" ruler (if available)

How to Use the Remainder of this *Trainer's Guide*

In the remainder of this *Trainer's Guide*, you will find Session Plans for each of the sessions in the workshop. Included in those plans are the following components:

Purpose of the Session: A quick overview of what you will cover during each session.

Learning Objectives: These are the specific, measurable learning objectives that should be achieved in each session. They are written with the participant in mind, so you know what they should be able to know or do by the end of the session.

Time Needed: This is the amount of time allocated for the session, including time for discussion and making sure questions are completely answered. This is an estimate, based on the assumption that you will have up to 15 or 16 participants in your training.

Process: Step-by-step outline for how to conduct each session.

Orange boxes

Content: Highlights important points or

Background Notes for you to consider as you present the given topic.

A side bar on the first page of each session plan will show you the **Materials Needed** for each step in the process.

PowerPoint icon signals that a slide should be shown.

Indicates materials found in the Participant Workbook.

Indicates a **participant activity.**

Before the session begins tells you what to prepare before you start the session.

Indicates **flipcharts** that should be prepared before the session begins.

Notes are tips or suggestions for how to use materials or manage certain situations.

Session Plans

Session 1: Introductions & Workshop Overview

Purpose of this Session:

This session is an opportunity for participants and trainers to introduce themselves to one another and for the trainer to give the participants an overview of the workshop, including its objectives and schedule.

Learning Objectives:

By the end of this session, participants will be able to:

- Introduce themselves to each other and to the trainers
- Become acquainted with the workshop objectives, schedule and materials

Time Needed: 30 minutes

Materials needed:

PowerPoint presentation for Session 1

Prepared flipchart for "Participant Expectations"

For each participant:

Participant Workbook (*see Introduction to Trainer's Guide for instructions on compiling the Workbook*)

Before the session begins:

Have all Participant materials ready and distributed to their tables.

Review the ***PowerPoint*** slides for Session 1.

Write "***Participant Expectations***" as a title on a blank flipchart page and post it where you can easily write on it during participants' introductions.

Process:

0. As participants enter, make sure they have a ***Participant's Workbook***.

1. Welcome participants to the workshop. As they enter, ask them to write their names on a name-tag or name card.

2. Introduce the ***goal*** and ***objectives*** of the workshop.

3. Introduce yourself by stating your name and your background in environmental compliance and procedures. Also share one interesting fact about yourself that others might not know.

4. Ask participants to introduce themselves by answering the following questions:

- ? What is your name?
- ? Where do you work?
- ? What is your area of responsibility?
- ? What is something interesting about yourself that no one else will know?
- ? What do you particularly expect to learn during the training?

5. When complete, reiterate that the ***goals*** of the workshop are to help raise their awareness about considering environmental issues, compliance and procedures in their daily work.

They will not be environmental compliance experts, but they will have a heightened understanding of the importance of compliance with USAID's mandatory environmental procedures, the core requirements created by these procedures, and the reasons behind them.

6. Preview the ***workshop schedule*** and

Notes

Workshop Objectives. By the end of the training, participants will be able to:

- Identify at least three reasons why environmentally sound design and management is important to successful development outcomes;
- Articulate at least three reasons why complying with the Agency's environmental procedures is important to USAID projects;
- Articulate the key compliance requirements established by USAID's mandatory environmental procedures over life of project;
- Demonstrate basic familiarity with the core EIA processes and skills needed for environmental compliance.
- Articulate their responsibilities and those of others for environmental compliance.
- Identify resources available for supporting environmental compliance and best practices.

Key website. If the USAID "Protecting the World's Environment" ***ruler*** has been distributed to all participants, make sure that you encourage the use of the website found at the bottom of the ruler:

http://www.usaid.gov/what-we-do/environment-and-global-climate-change/environmental-compliance-0

explain how you expect that the expectations will be met during the course of the workshop.

7. Preview the materials that are found in the ***Participant Workbook***. Explain:
   - The workbook is organized around each session in the training.
   - Contains all PowerPoint slides with space for making notes.
   - Contains all of the small group exercises that will be used during the workshop.
   - Contains the booklet, *Environmental Compliance Procedures Title 22, Code of Federal Regulations, Part 216.* This booklet is a very important source of information and will be used during the workshop; it can also be used afterward for reference.
8. Ensure that everyone knows workshop logistics, for example, where the restrooms are, when and where lunch is and any other logistical issues that need to be clarified.

Session 2: Environmental Compliance for Environmentally Sound Design and Management

Purpose of this Session:

This session establishes an overall context by placing environmental compliance within the larger relationship between ***environment*** and ***development***.

The session then introduces the key requirements of USAID's environmental procedures over life-of-project, which are the focus of the remainder of the workshop.

The session should also *motivate* participants to commit to environmental compliance (and the workshop content) by illustrating that these procedures, conscientiously applied, improve development outcomes and prevent environmentally-based failures in development activities.

Learning Objectives:

By the end of this session, participants will be able to:

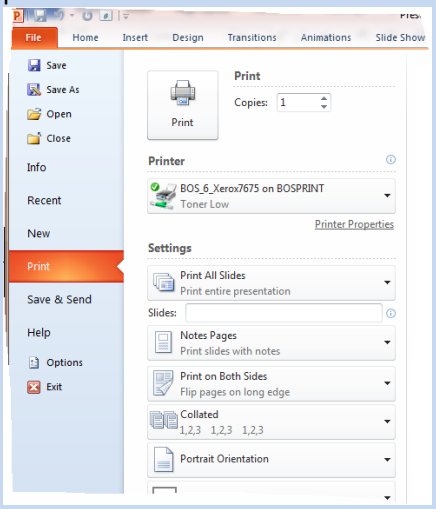
- Define "environment"
- Give at least two examples of how the environment affects development needs & USAID programming, and how development affects the environment
- State the origins of and statutory/regulatory basis for USAID's environmental procedures
- State the key compliance requirements established by the procedures over life-of-project
- State at least two reasons why USAID's environmental compliance procedures are necessary

Time Needed: 45 minutes

Materials needed:

PowerPoint presentation for Session 2.

Print out slide ***Note Pages*** for the session and use these for talking points and discussion questions as you make the presentation.



Before the session begins

Review **Background Notes** found at the end of this session. They give an overview of big-picture environmental trends.

Process:

1. Introduce the session. Begin by showing the ***Session Objectives*** slide.

   Explain that USAID has long recognized that development and the environment are closely related, if not inseparable. In this session participants will learn more about that relationship and why it is so important for USAID to have a systematic, robust set of procedures for addressing the impacts of its development activities on the environment, and vice versa.

2. Continue with presentation, using the PowerPoint slide notes as talking points and for questions that you can use to increase interaction with participants.

3. When you have completed the presentation, allow time for any questions. Ask:

   ? What questions do you have about environmental compliance for environmentally sound design and management?

   You may also want to summarize by asking participants why they think the Agency's environmental procedures and systematic compliance with them are so critical.

   Respond to questions or comments and then make the transition to the next session.

BACKGROUND NOTES for slides on "big-picture" environmental trends – population growth

Africa:

The UN estimate may be low, as the United Nations (UN) expects sub-Saharan Africa to follow the pattern seen in other poor regions of the world and see a strong overall decline in birth rates. There are reasons to question this assumption:

- Desired family sizes in Africa remain high.
- Uptake of modern contraceptive methods by married women remains very low in western and middle Africa.
- International funding and commitment to family-planning programs in Africa have decreased.
- Dissemination of contraceptive information and service seems unlikely in countries with fragile governments.

For these reasons population size in 2050 may well exceed the expectations of the UN. The authors detail the approach that they think is now needed, which combines a focus on fertility with an intensified effort to prevent the spread of HIV.

Source: *Summary of opinion published by The Lancet (Tuesday October 25, 2005). John Cleland (London School of Hygiene and Tropical Medicine, London, UK) and Steven Sinding (International Planned Parenthood Federation, London, UK). See http://www.medicalnewstoday.com/articles/32682.php.*

The Middle East:

- In the Middle East, high birth rates combined with low death rates have resulted in rapid population growth and very young populations
- Although projections depict slowing population growth, the region's population is expected to more than double by 2050 to reach 649 million individuals.
- Since 1960, the region's population has more than tripled, from 106 million to 326 million people. The largest population gain for the region was in Iran, which added almost 50 million people

- The primary factor driving population growth in the Middle East is extremely high fertility rates. In 2002, the highest total fertility rates were in Yemen, Palestine and Saudi Arabia, at 7.2, 5.9 and 5.7 births per woman, respectively.
- A large proportion of the region's population is under 15 years of age. In 2002, 48 percent of Yemen's population was under 15, and 46 percent of Palestinians were also in that age group.

Source: *Population Resource Center (http://www.prcdc.org/files/MidEast.pdf)*

Asia:

- China: increasing pressure on natural ecosystems and water resources.
- Indonesia: population is creating a problem for farming as arable land is absorbed by expanding cities.
- Vietnam: population increase puts pressure on overexploitation of soil and marine resources
- Population growth leads to a need for additional cultivated areas, leading to forest clearing and cultivation with often insufficient fertilization and subsequent soil erosion.
- Population growth leads to water scarcity and overexploitation of ground water reserves, overfishing, overhunting, or other disturbances to wildlife habitats

Source: *http://www.un.org/popin/fao/eastasia.htm#pop*

Session 3: Environmental Impact Assessment: A Framework for Environmentally Sound Design & Management

Purpose of this Session:

This session will help participants gain a basic understanding of the ***Environmental Impact Assessment (EIA)*** process, including key EIA concepts.

They will also understand that USAID's procedures are a particular implementation of this process, and that the EIA process is the internationally accepted standard framework for achieving ***environmentally sound design and management*** in project-based development.

Learning Objectives:

By the end of this session, participants will be able to:

- Define Environmental Impact Assessment (EIA);
- State EIA key concepts and outline the EIA process
- Show that the EIA process provides a systematic, internationally accepted framework to achieve Environmentally Sound Design and Management (ESDM);
- Explain that USAID's environmental procedures are a specific implementation of the general EIA process.

Time Needed: 45 minutes

Materials needed:

PowerPoint Slides for Session 3

Before the session begins:

Familiarize yourself with "IV.1: Topic Briefing—Introduction to EIA" in *Environmental Guidelines for Small Scale Activities in Africa.* (USAID/AFR/SD; available at www.encapafrica.org/egssaa.htm

Review the ***PowerPoint*** slides for Session 3.

Print out slide ***Note Pages*** for the session and use these as talking points as you make the presentation.

Process:

1. Introduce the session. Begin by presenting the ***Session Objectives*** slide.

2. Continue with presentation, using the PowerPoint slide notes as talking points and for questions that you can use to increase interaction with participants.

3. When you have completed the presentation, summarize major points:
   - USAID's environmental procedures are a particular implementation of this general ***Environmental Impact Assessment (EIA)*** process
   - Two phases to EIA: Preliminary phase (includes screening and preliminary assessment) and Phase II, a full environmental impact assessment
   - Few USAID projects require full assessments
   - EIA is a systematic process. It operationalizes (makes a reality) three basic rules to achieve ***environmentally sound design and management***. Those rules are:
     1. Be prevention-oriented;
     2. Apply development best practices such as involving stakeholders in the design and implementation process, adapting the activity to the local social and policy context to the *environmental dimensions* of the activity.
     3. Be systematic. A scatter-shot approach will get scatter-shot results.

4. Allow time for any questions. Ask:

   ? What questions do you have about EIA and how it relates to environmentally sound design and management?

   Respond to questions as necessary and then make the transition to the next session, ***The Story of Zaragosa: Why Environmental Impact Assessments are Important,*** which will provide participants with a strong example of why EIA is an important aspect of sound project design and management.

Trainer Tips:

Many of the PowerPoint ***slide notes*** have questions that you can ask participants to help them engage with the material. This also gives you a chance to evaluate how well they understand the content.

Feel free to make up other questions and add examples from your own experience as you go along.

Just in case, here are some **examples of environmental failures in small-scale activities:**

- Improperly sited waste disposal from a new community health post contaminates the community water supply.
- Soil salinizes and becomes infertile due to improper irrigation practices.
- A stream (which serves as both a community water supply and a fish hatchery) silts up because of poor siting and construction of a market access road.

Session 4: The Story of Zaragosa: Why Environmental Impact Assessments are Important

Purpose of this Session:

This session presents a compelling story to reinforce the key messages of Sessions 2 & 3."

The Story of Zaragosa," illustrates the complex **relationship between environment and development** in a USAID-funded project. It also illustrates the problems that resulted from failing to apply the "3 rules for environmentally sound design and management"—problems that would have been prevented by a well-considered pre-implementation environmental review.

In the video, Dr. James Hester, USAID's Agency Environmental Coordinator, recounts the story of a "teaching moment" in the town of Zaragosa, Guatemala.

Learning Objectives:

By the end of this session, participants will be able to:

- State the need to systematically assess potential environmental impacts prior to implementation for every project that is funded by USAID—regardless of sector;
- State how best development practices should be employed to **environmental** aspects of design and implementation of development projects as a way of improving their outcomes.

Time Needed: 30 minutes

Materials needed:

for Session 4.

Video "***Story of Zaragosa***" is found in the **Video for Session 4** folder ***Course CD-rom*** or ***flash drive.***

Before the session begins:

Preview the video to make sure it works properly, that everyone can see and hear it and that you are familiar with the story and its major points.

Process:

1. Introduce the session. Begin by showing the ***Session Objectives*** slide.

2. Introduce the video:
   - "The Story of Zaragosa" was taped especially for this training. Note that all of the issues in the video have since been resolved, and that the purpose is NOT to single out the particular mission involved. Similar lessons can be learned worldwide from other USAID programs, other donors, and host country and NGO efforts.
   - In the video, James Hester, Agency Environmental Coordinator, tells the story of a USAID-funded project focused on democracy and governance.
   - On the surface the project did not seem to have much to do with the environment, but in fact environmental dimensions were significant.

   Instruct participants to look for reasons why it is important to consider environmental impacts for EVERY project funded by the Agency, and how fundamental best practices in development and ESDM could have avoided some of the problems with *project outcomes* that Dr. Hester points out.

3. Make sure everyone can see and hear the video, and then show it.

4. When complete, review lessons learned from the video. Ask:

   ? What lessons could be learned from this video?

   ? How does EIA contribute to the sustainability and effectiveness of a project?

   Possible answers: *By involving stakeholders and using foresight, the project could have been designed in such a way that it had a less detrimental effect on the environment, on the health of the local community (and of strawberry consumers in US). In addition, EIA can lead to recommendations for improving project effectiveness and sustainability, as well and saving tax-payers' money.*

   - *An example of foresight would be to have an agriculture expert as part of the design team to look at the secondary impacts of the project.*

5. Summarize the session. Major summary points include:
   - It is critical to consider the environmental dimensions of <u>all</u> projects—and in fact USAID's mandatory environmental procedures require this.
   - Being clear about the purpose of the project and going beyond that to, "Why this project? Why these interventions?" will help you improve the project design by identifying alternative interventions that, because they are environmentally sound, are more likely to achieve the development objectives in question.

Session 5: 22 Code of Federal Regulations, Part 216: USAID's Pre-implementation Environmental Impact Assessment Process

Purpose of this Session:

Building on the summary of environmental compliance requirements in session 2 and the EIA process as presented in session 3, this session provides participants with a more in-depth understanding of USAID's pre-implementation ***Environmental Impact Assessment*** (EIA) process. This process is defined by ***22 CFR 216 ("Reg. 216"),*** a US Federal regulation.

Learning Objectives:

By the end of this session, participants will be able to:

- Describe the environmental review process defined by 22 CFR 216;
- Identify this process as a specific implementation of the general EIA process;
- Predict likely threshold determinations under 22 CFR 216 for typical USAID-funded activities.

Time Needed: 40 minutes

Materials needed:

PowerPoint presentation for Session 5.

Before the session begins:

Be sure that you are very familiar with 22 CFR 216. *Re-read the Regulation, if at all possible*.

Preview the PowerPoint presentation for this session. Be familiar with the **Quiz** at the end of the presentation.

Process:

1. Preview the **session objectives.** Explain that this session should provide participants with a basic working knowledge of 22 CFR 216, or "Reg. 216." This is the US Federal regulation that defines USAID's pre-implementation EIA process.

   Refer to the handout booklet, **"Environmental Compliance Procedures: Title 22, *Code of Federal Regulations, Part 216*"** as a resource for their work during the training and (especially) after they are back on the job.

2. Show the presentation for this session, using slide notes found on many slides.

   Note: Toward the end of the presentation, there is a quiz that checks participants' understanding of the likely threshold determinations that will be made under the Reg. 216 EIA process to typical activities.

   Key points to reinforce:

   - Although these determinations may look obvious, USAID staff should always look beneath the surface to identify potential impacts that may not be immediately apparent.
   - This will help in avoiding unforeseen consequences, and thus strengthen the sustainability of the project or activity.

3. **Summarize** the session. Here are some major summary points:
   - 22 CFR 216 defines USAID's pre-implementation environmental review process.
   - It is a specific implementation of the general EIA process.
   - It begins with a systematic screening process that leads to more detailed review, if necessary.
   - Documentation and approval processes are clear and mandatory.

Session 6: Environmental Impact Assessment Core Skills, Part I

Purpose of the Session: The goal of this session is to provide participants with an overview of the core EIA skills of ***baseline characterization***, ***identifying issues*** and impacts of concern, and ***mitigation design***. All are essential to environmental compliance.

The first part of this session explains the basic, logical process behind baseline characterization and identifying issues of concern.

The second part of the session defines mitigation, provides examples of basic mitigation approaches and explains the principles underlying good mitigation design and practice.

Learning Objectives: By the end of the session, participants will:

- Recognize that effective mitigation design requires skills in baseline characterization and identifying issues of concern;
- Be familiar with the basic principles of baseline characterization, identifying issues of concern, and mitigation design.

Time Needed: 45 – 50 minutes

Materials needed:

PowerPoint Slides for Session 6

Before the session begins:

Read sector chapters of the *USAID Sector Environmental Guidelines (www.usaidgems.org)* for sector-specific examples of (1) potential adverse environmental impacts and (2) mitigation and monitoring measures.

Read "IV.1: Topic Briefing—Introduction to EIA" in *Environmental Guidelines for Small-Scale Activities in Africa.* USAID/AFR/SD. www.encapafrica.org/egssaa.htm. This is a general briefing on the EIA process and core EIA skills.

Preview the ***PowerPoint*** slides for Session 6.

Print out ***notes pages*** for the session and use these as talking points as you make the presentation.

Process:

1. Introduce the session by previewing the ***session objectives***.

   Find out participants' recollection of "baseline situation" and "impacts" (defined in Session 3: Environmental Impact Assessment and Environmentally Sound Design and Management.) Ask:

   - ? What does "**baseline situation**" mean in the context of environmental impact assessment?
   - ? What does "**impact**" mean in this context?
   - ? What do "**mitigation**" and "**monitoring**" mean when talking about environmental impact assessment?

2. Explain that, when one first thinks about it, characterizing the baseline situation and identifying issues of concern might seem relevant only to developing ***Initial Environmental Examinations (IEEs)*** and ***Environmental Assessments (EAs)***—not to implementing IEE and EA conditions (mitigation) during activity implementation.

   However, IEE and EA conditions often require that implementing partners identify issues of concern particular to a site and to respond with appropriate, specific mitigation measures. Thus, effective mitigation requires a familiarity with all core EIA skills.

Trainer Notes:

This session addresses three core skills of EIA; a fourth key skill, **monitoring,** is addressed in Session 9.

Key Terms:

Baseline situation: The baseline situation is the existing environmental situation or condition in the absence of the activity.

The **impact** of an activity is the change from the baseline situation caused by the activity.

Mitigation: The changes to project design and implementation so that potentially harmful environmental impacts are avoided, reduced or offset.

Monitoring: Required to verify whether the mitigation measures are (1) implemented and (2) sufficient and effective.

Continue by explaining that:

- 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 full Environmental Impact Assessment study.
- But for most small-scale activities and preliminary assessments, the simple, logical process described here is sufficient, when supported by good judgment and the information contained in the *USAID's Sectoral Environmental Guidelines* (or similar resources).

3. Continue with presentation, using the PowerPoint slide notes as talking points.

4. When you have completed the presentation, allow time for any questions. Ask:

   ? What questions do you have about the first three core skills involved in EIA?

Summarize the session. Major points include:

- Environmental compliance (and achieving environmentally sound design and management) requires "core EIA skills":
  1. Baseline characterization;
  2. Identifying impacts of concern;
  3. Mitigation design;
  4. Monitoring (coming up in Session 9);
- Effective mitigation design is site-specific. It requires a knowledge of the baseline situation;
- Mitigate by prevention where it is possible.

Respond to questions as necessary and then make the transition to the next sessions, in which participants will begin practicing some of the core skills in EIA. They will take a virtual field trip to two USAID-funded projects, and they will analyze an ***Initial Environmental Examination*** for these projects and decide how effective it is.

Session 7: "Virtual" Field Visits

Purpose of this Session:

This session gives participants the opportunity to practice the core Environmental Impact Assessment skills covered in the previous session by "visiting" two sites chosen for USAID-funded activities.

During these "virtual" field visits, they will consider the **baseline situation** at the site and the **potential impacts** on the environment and human health of the proposed activities.

This session is direct preparation for Session 8, during which participants will determine if the **Initial Environmental Examinations** written for these project scenarios are adequate and in accordance with 22 CFR 216.

You will use the **slide notes** for this session's PowerPoint presentation to narrate a slide show that takes participants on their "virtual field visits". Following their visits, they will work in small groups to discuss their findings from their field trips.

Session Objectives:

By the end of this session, participants will be able to:

- Identify the most important aspects of the baseline situation at two project sites;
- Determine potentially significant environmental and human health impacts;
- Identify potential environmental management (mitigation) measures.

Time Needed: 90 minutes

Materials & Notes

PowerPoint presentation for this session

In Participant Workbook:

Group 1: Pilot Smallholder Irrigation Development Project

- **Field Visit Briefing Sheet**: Smallholder Irrigation Project
- **Background Article:**

  Agriculture: Soil and Water Resources, including Irrigation; pp. 1 – 49

Group 2: District Hospital Expansion

- **Field Visit Briefing Sheet**: District Hospital Expansion and Rehabilitation
- **Background article:**

  Environmentally Sound Design and Mgt. of Small Healthcare Facilities; pp. 1 – 26

Materials for Small Group Work:

Each small group will need several pieces of **newsprint** (flipchart paper) and **markers** for their work. If flipchart stands are available, they are helpful. Otherwise, each group will need **tape** or other adhesive for posting their work on the wall for presentations.

Process:

1. Preview the ***Session Objectives*** for this session.

Explain that the next series of activities will give participants the opportunity to practice some of the skills necessary for conducting an Environmental Impact Assessment.

In this session, they'll go on a "virtual" field visit to two sites chosen for USAID-funded interventions. Their objective will be to identify key aspects of the **baseline situation** and the **potential environmental impacts and management measures** for both projects.

Explain that, in the next session, AFTER these field visits, they will learn more about what constitutes an effective ***Initial Environmental Examination (IEE),*** and they will read and critique the IEEs written for the two projects, and decide if (and how) the IEEs could be strengthened.

Ensure that small groups are set up (*see "**Notes**" in sidebar*).

2. Then, get ready for the field visit. First, instruct participants to meet in their small groups to prepare for their field visits.

Explain that they are to play the roles of a Mission sector team that is in the process of adding a significant new program component not covered by an Initial Environmental Examination (or IEE). Your team understands that the new component may pose some environmental challenges.

Notes (continued)

Setting up Small Groups:

Over the next three sessions, participants will be working in small groups to discuss scenarios about two USAID-funded projects.

Therefore, you will need to set up at least two working groups. This is easily done if participants are seated at small tables; if not, find space in the training room for groups of four to five people to work together.

Assign each group one of the projects to work on. An example: If you have enough participants for four working groups, assign two of the groups one of the scenarios and two of the groups the remaining scenario.

Presentation for Session 7:

Review the **"virtual" field visit presentation** and the accompanying **script** found on the **slide notes**. You will narrate a "visit" to two project sites, making it sound as if participants are on the visit with you.

Rehearse the field visits slides and narration in advance.

Instruct the groups to briefly review their **briefing sheets** and the sector guidance (*Small Scale Guidelines* chapter) that pertains to it. Allow them 10 minutes for this task.

3. Then, set up the virtual field visits by explaining that you will conduct a field visit to two sites chosen for two USAID-funded projects described in their **briefing sheets**. During the field visits, participants should gather as much information from the visits as possible to help them evaluate impacts and design mitigation measures. In particular, they should look for:
   - The key aspects of the **baseline situation** that affect the significance of impacts and the type of mitigation that may be appropriate;
   - Evidence that the **potential impacts** they have identified in their quick review of sector guidance are *actual* – and, if yes, how significant they would be;
   - Evidence of the **environmental management measures** that may be in place, and their effectiveness.

4. Conduct the virtual field visit. Show and narrate the slides pertaining to the **Bagamoyo Pilot Smallholder Irrigation Development Project** and the **District Hospital Expansion Project**. (**Note:** *You will find the script for the field visits on the slide notes of the PowerPoint presentation for this session*.)

5. After you have completed the field visit, instruct the participants to work in their small groups to:
   - Review key potential impacts of the project, per the Small-Scale Guidelines chapter.
   - Characterize key elements of the baseline situation
   - In view of the baseline situation and the intended intervention, identify which impacts are of concern/may be significant
   - Identify likely mitigation/management approaches.

   Allow 30 minutes for this debrief of the field visits. Then ask for the groups to present their findings. Make the point that the baseline characteristics, the key impacts and the environmental measurement measures are precisely the things that you would look for in an **Initial Environmental Examination** (IEE).

Following their presentations, make the transition to the next session, in which they will learn more about what constitutes an effective Initial Environmental Examination. They will analyze IEEs for their respective scenarios to decide if they are adequate.

More about the Bagamoyo Irrigation Development Project.

This information is not critical to the case study. But if time permits, it is very useful to highlight the lessons learned from this project history regarding project sustainability. It is not clear there was a long-term plan for project financial sustainability after donor support ended.

The BIDP is real, though the SAPMA project and its plan to rehabilitate and expand the BIDP are not.

The BIDP is a cooperative union of 128 families. The project started in 1987 –1990 with preparation, site clearing (the site was unforested grassland), surveying and preparation for 80 hectares of farm sites for training.. Indigenous farmers who were cultivating rice along the Ruvu river were incorporated into the project. The project extracts irrigation water from the Ruvu river which also supplies water for household use and stocks in the area as well as being a source of fish.

By 1995, 100 farmers had been trained but had no land to cultivate. (The original 80ha of the project were for training only.) In response, the Tanzanian government started a pilot farming program with financial support from the Japanese government. 100 hectares of land were taken from the prison department, and 52 ha were allocated to 128 families each getting ¼ hectare. Support under the project was given to local farmers who would receive training in appropriate wheat and rice cultivation techniques; receive farming inputs and technical services such as soil tests and advice on appropriate fertilizers to use, in exchange for 5 bags of rice. Trainee farmers worked on an acre of land each during the training producing about 35 bags on average. The scheme produced 15 new graduate farmers each year and would allocate to them land for cultivation in the "pilot" section of the land.

From 1997 support from the Japanese stopped but farmers continued to receive support from the Tanzanian government until the year 2000 when the cooperative took over. Without the financial and technical support, and in the face of declining yields, increasing crop diseases, farmers started using more and more fertilizers (TSP, DAP and Urea) and insecticides (Thionex, Actellic and Fungise.) Production costs soared. To keep costs low, families use more of the family labor rather than hired help. Since 1991, 250 farmers have been trained. These are from neighboring villages—Kaole, Matimba and Bagamoyo town. Support from the cooperative is in the form of inputs and irrigation, all at a fee of Tsh 100 000 per family per season.

Individual input into the farming is for transplanting, weeding, and harvesting. Each family produces 36 bags of rice, on average, per season translating to an income of Tsh 900 000 on average. Typically, rural dwellers earn less than US $10 a month, so these rice farmers are among the high earners in their communities. Training still continues for new farmers at a fee of Tsh 200 000.

(Information accurate as of 2008)

More about Bagamoyo District Hospital

This may be useful in answering participant questions and lending additional depth to the exercise.

The MCRH and its plan to rehabilitate and expand district hospitals is not real, but Bagamoyo District Hospital is.

Located ~2km from Bagamoyo town (coastal Tanzania) and ~200m from the ocean in a settled area, Bagamoyo District Hospital is a 125-bed facility opened in 1972. Initially providing health services largely to fisherman, it now serves tourists and the local community, as well as some patients who travel from Dar es Salaam.

Baseline population growth and the development of tourism and other economic activities in Bagamoyo have substantially increased the population the hospital serves, currently estimated at about 300,000 households. The number of patients has grown 1000-fold; however, the hospital facilities have not been expanded.

Facilities include dressing rooms, laboratories, maternity wards, general wards, pediatric wards and the mortuary. Canteen facilities are available for hospital staff and patients. The hospital has 3 doctors, 1 district medical officer and 4 Assistant medical staff. Patients report to the casualty rooms and have their medical complaints registered. Depending on the complaint, they are taken to appropriate unit.

The most common serious diagnoses are Malaria, TB, and HIV/AIDS. The hospital generates significant volumes of medical and non-medical wastes. Facilities available to handle medical waste include special bins for sharps and “red bag” (potentially infectious) waste, and incinerators.

In Sept 2007. the incinerator was malfunctioning and unsecured. Children were observed playing 50m from the incinerator. Solid waste is removed to landfill twice/week. The hospital is not connected to a central sewerage system. A set of septic tanks on-grounds must be pumped out regularly. The hospital is 200 meters from the ocean and less than 100 meters from a school.

(Information accurate as of 2008)

Session 8: Initial Environmental Examinations: What Makes them Effective?

Purpose of this Session:

In this session, participants will learn more about what makes an effective **Initial Environmental *Examination (IEE),*** and they will **build and practice skills to evaluate IEE quality**.

This will be achieved by reviewing and critiquing IEEs written for their Session 7 field visit scenarios.

Session Objectives:

By the end of this session, participants will be able to:

- Identify characteristics of a well-considered well-written **Initial Environmental Examination** (IEE);
- Determine if the IEEs written for the session 7 field visit scenarios are adequate and in accordance with 22 CFR 216—and if not, how they should be strengthened;

Time Needed: 60 minutes

Materials & Notes

Powerpoint presentation for this session.

In Participant Workbook:

Group 1: Bagamoyo Pilot Smallholder Irrigation Development Project

- **Draft IEE for Group 1 Review**
- Scenario: Smallholder Irrigation Project
- Background Article: *Agriculture: Soil and Water Resources, including Irrigation*; pp. 1 – 49

Group 2: District Hospital Expansion

- **Draft IEE for Group 2 Review**
- Scenario: District Hospital Expansion and Rehabilitation
- Background article: *Environmentally Sound Design and Management of Small Healthcare Facilities*; pp. 1 – 26

Before the session begins

Review the presentation with accompanying **slide notes**.

Preview the **annotated Draft IEEs** for each scenario, found at the end of this session plan. They provide **trainer's notes** for you to include in discussion.

Process:

1. Show the ***Session Objectives*** for this session.

   Explain that the activities in this session will give participants a chance to read and analyze ***Initial Environmental Examinations***, or IEEs, for the projects from their virtual field visits. They will decide if they are adequate, or if they need to be strengthened in any way.

2. Begin with a short presentation on the characteristics of an effective IEE. The major point of the presentation is that IEEs form the basis of good mitigation and monitoring and are the foundation of the environmental compliance process.

   Major points to make:

   Effective IEEs are well-considered and well-written. They:

   1. Address the full scope of proposed activities
   2. Characterize the aspects of the baseline situation critical to evaluating the significance of impacts
   3. Identify and adequately evaluate key potential impacts.
   4. Set out mitigation measures that are (1) adequate and (2) within the scope of USAID's reasonable authority.

      (For example, we cannot impose conditions on actors over whom USAID has no control.)
   5. Make a recommended determination for <u>each</u> activity that is reasonable, defensible and in accordance with Reg. 216.
   6. Use clear, uncluttered language and parallel organization in the description of activities, analysis of impacts, and presentation of recommended determinations.

   And, while it should be clear from the basic concept of the IEE, effective IEEs do not and cannot copy <u>blindly</u> from other IEEs. (Appropriate and well-considered copying is acceptable. By definition, an IEE must be tailored to the individual project and its implementation context.)

3. Explain that participants will continue working in their same small groups. Assign the relevant IEEs to the groups for their critique.

   Set up the task by explaining that we are continuing the exercise from Session 7; participants again play the role of mission sector teams in the process of adding a new program component not covered by an existing IEE. As promised, the IP has now delivered a draft IEE. Informed by their field visits, each team must now evaluate the draft IEE.

   Refer participants to the instructions for small group work. (in the presentation)

- Each participant should individually read the relevant draft IEE (in simplified bullet-point form) in their workbook.
- As a group, and based on their knowledge of the activities from their virtual field visit, each team should review and critique the IEE against the six criteria for effective IEEs set out above.

Assign 30 minutes for this task. Instruct participants to write their answers on a flipchart and be prepared to present them to the rest of the class.

4. Discuss small group work (25 minutes). Ask a group to present the *Pilot Smallholder Irrigation Activity*. Refer to the **annotated Draft IEEs** found at the end of this session plan to provide feedback.

If another group has the same scenario, ask them to add any additional thoughts or information to the first group's presentation.

Points for discussion:

? The following IEE conditions are those that are commonly approved for these types of activities. Do you agree that they would be appropriate for the *Pilot Smallholder Irrigation Activity* project scenarios?

[At this point, give participants the handout with these conditions]

- **Safe Pesticide Handling.** Farmer training shall include safe pesticide handling practices as a mandatory component. During Smallholder Agricultural Productivity and Market Access Program's (SAPMA) direct operation of the scheme, it shall assure that appropriate Personal Protective Equipment (PPE) is available and that the specified practices are implemented. To promote safe practices following the hand-off of the scheme, SAPMA shall work with the cooperative to build safe handling education into the process by which members gain access to cooperative-supplied agricultural inputs.
- **Water conservation.** All primary and secondary canals shall be lined. A regular inspection maintenance plan shall be developed and implemented to identify and stop leaks. Intake shall be managed for as close to zero discharge as possible.
- **Water quality monitoring.** During the SAPMA direct operation and continuing technical assistance period, discharge and groundwater shall be monitored regularly for possible nutrient and pesticide contamination.

After the small groups complete their presentations, add any important points that they did not cover, then proceed to the next scenario.

Follow the same process with the second scenario, *District Hospital Expansion and Rehabilitation*.

? The following IEE conditions are those that are commonly approved for these types of activities. Do you agree that the following IEE conditions are appropriate for the *District Hospital Expansion and Rehabilitation* project scenarios?

[At this point, give participants the handout with these conditions]

- **Medical waste handling.** By the conclusion of assistance under this MCRH component, supported District Hospitals must have adequate procedures and capacities in place to properly handle, label, treat, store, transport and dispose of blood, bio-hazards and other medical waste.
- **Appropriate guidance** is articulated in Part II, Chapter 9 of the USAID's *Environmental Guidelines for Small Scale Activities*, titled, 'Healthcare Waste: Generation, Handling, Treatment and Disposal'. Particular reference is made to the section titled "Minimum elements of a complete waste management program" and the appropriate "Minimal Program Checklist and Action Plan" in Annex A.
- **Kitchen & Sanitary/Hygiene facilities.** By the conclusion of assistance under this MCRH component, supported District Hospitals must have kitchen and sanitary/hygiene facilities (i.e. toilet/latrines & showers) & management protocols for these facilities sufficient to minimize the possibility of patient-to-patient & patient-to-staff transmission.
- By the conclusion of assistance under this MCRH component, supported district hospitals must have **brown and gray wastewater systems** must be sufficient to prevent contamination of surface or groundwater with infectious pathogens.

At the end of the discussion, ensure that no one has any remaining questions. Ask:

? What questions do you have about determining the effectiveness of an Initial Environmental Examination (or IEE)?

5. Wrap up the session by summarizing the points "What makes an effective IEE" from step #3 (above).

Make the point that participants can find examples of IEEs that have been approved by going to USAID's environmental compliance database, which is a global archive of approved 22CFR216 documentation: http://gemini.info.usaid.gov.egat/envcomp/.

Draft IEE
WITH TRAINER'S NOTES
for
Smallholder Irrigation Development Component of the
Smallholder Agricultural Productivity and Market Access Program (SAPMA)

1. Background and Activity Description

1.1 Purpose and Scope

- This is an activity-level IEE supplementing the existing sector-level IEE covering the Smallholder Agricultural Productivity and Market Access Program (SAPMA);
- Its purpose is to provide the first review of the reasonably foreseeable effects on the environment, as well as recommended Threshold Decisions, for the new "Pilot Smallholder Irrigation Activity" of the SAPMA;
- This IEE is necessary because construction and operation of irrigation projects is not covered under the parent SAPMA IEE.

1.2 Background

- SAPMA is intended to boost smallholder agricultural productivity with improved varieties and cultivation practices, and to support cooperative processing & marketing
- SAPMA was designed with the intention that improved crop varieties and practices would be applied to existing smallholder plots. However, experience in the field shows that lack of irrigation infrastructure is a key barrier to smallholder productivity.
- This activity will rehabilitate and expand the 200 Ha Bagamoyo Irrigation Development Project (BIDP) smallholder irrigation scheme, train farmers, and hand-off management to an existing cooperative. Larger roll-out of this approach (8–10 such schemes) in the next SAPMA phase is anticipated.

1.3 Description of Activities

- **Trainer's Note:** A large issue: the activities (and the entire IEE) only cover rehabilitation of the BIDP. But the "irrigation development component" of SAPMA is intended to cover 8-10 such schemes. If this IEE is ONLY for the BIDP rehabilitation/expansion, it should be clearly labeled as such. The "purpose and scope" section is slightly ambiguous (which is a problem) but a reasonable interpretation is that the IEE is intended to cover 8-10 schemes, not just the BIDP.)

- **Rehabilitation and expansion:** Pump station and intake structure on the Ruvu River. Re-construction of 300m feeder canal to scheme with expanded capacity. Estimated diversion is 10% of Ruvu River median low-flow volume (currently app. 7%).

  Minimal re-leveling of 200 Ha site, rehabilitation of primary and secondary canals and control gates. Leveling of 50Ha expansion areas; rehabilitation of new secondary canals.

  Construction of 3 dwellings for households currently occupying the expansion site (see below)

- **Operation.** SAPMA will operate the scheme for a 2-season training period (2growing seasons/year)

- **Training and extension.** Cooperative members will be (re-) trained in irrigated agriculture techniques (over 2 seasons) and cooperative and scheme management. TA/Extension services will be provided for an additional 2 seasons (1 year).

  - **Trainer's Note:** Neglects to list government and local contractor training/capacity-building and then fails to address this activity in subsequent sections.

2. Country and Environmental Information

2.1 Locations affected

- Expansion site (50Ha) is state land. (The site was gazetted and cleared for a state-run plantation in the 1970s. The scheme was never completed.) It lies ~ 100m from the Ruvu River. Vegetation is grassland and scrub typical of the area.

  - **Trainer's note:** Need baseline info on soil salination, groundwater quality, and level of downstream utilization of the Ruvu. See comments in section 3, below.

- The expansion site is uninhabited except for three households informally occupying the land. Cooperative has already negotiated with these households and they have agreed to voluntary resettlement near ABC village, a settlement of 200 households ~0.5km away.

  - **Trainer's note:** Raises the question of whether the project is actively involved in the resettlement. Not enough information is provided her to explain the nature of project involvement, if any, and the issue is neglected under section 3, below.

2.2 Applicable Host Country Environmental Policies and Procedures

Scheme has received approval from the office of the District Commissioner. No further permits or studies are required.

- **Trainer's note:** Probably not true, or at least a point to be suspicious of. Very few countries fail to require some type of environmental review for irrigation projects.

3. Evaluation of Project/Program Issues with Respect to Environmental Impact Potential

- **Construction/rehabilitation** of irrigation and intake structures can lead to downstream sedimentation.
- **Operation.** *Note that operation is only in the purview of this IEE until hand-off to the cooperative*. Irrigation schemes have a number of potentially significant adverse impacts, including:

  (1) salination of soils; (2) contamination of surface and shallow groundwater with seepage and discharge containing pesticides and fertilizers; (3) excessive diversion adversely affecting downstream uses and ecosystems; (4) increased incidence of some insect-borne diseases due to increase in standing and stagnant water.

  Regarding these potential impacts:

- *Significant salination* is unlikely to occur within the period of SAPMA operation and technical assistance.
  - **Trainer's notes:** Possibly true, but not the point. The point is whether the scheme is sustainable over the long-term.
  - Also raises the question --- given that the existing scheme has been operating for 20 years, what are soil conditions currently? What about groundwater? Without this baseline information (which should be in section 2), there is NO WAY to evaluate performance of the project.
- SAPMA will not be supplying pesticides. Any pesticide impacts are thus outside the scope of this IEE.
  - **Trainer's note:** Even if there are absolutely no SAPMA funds going to pesticide procurement or use, the fact remains that as a result of SAPMA's interventions, pesticide use will increase. The IEE needs to address this reality.
- The scheme will be managed for minimal discharge. Any discharge will be to an existing wetland area adjacent to the scheme. Natural filtration and purification functions provided by the wetland should prevent any contamination of the Ruvu River via surface discharge. Groundwater is used neither on-site nor in ABC village, which receives piped water.

- **Trainer's note:** Must consider impacts to the wetland from nutrients and pesticides. Likely to be a critical and possibly protected habitat.

- Impacts of water diversion on the Ruvu River are not expected to be significant.

  - **Trainer's note:** What is the basis for this judgment? 10% diversion could easily be significant, depending on level of utilization downstream, and we know that this river is an important source of water for domestic and household use.

- Stagnant/standing water already exists due to proximity of wetland; any stagnant or standing water associated with the irrigation scheme will be minor in comparison.

3.2 Technical assistance and extension. Training and technical extension should have no adverse environmental impacts.

- **Trainer's note:** Wrong. This training/TA/capacity-building should not qualify for a categorical exclusion as the activities that are the subject of the training have clear potential for causing significant adverse environmental impacts.

4. Recommended Threshold Decisions and Mitigation Actions, including Monitoring and Evaluation

- **A negative determination** is recommended for **construction** activities, **subject to the condition** that best construction management practices described in the *Small Scale Guidelines* are followed.

  - **Trainer's note:** Should the small irrigation component receive a ND w/ conditions or a PD? Rehabilitation of a single scheme is PROBABLY a ND with conditions. But 8-10 schemes of ~250Ha each might merit a PD, particularly if some schemes are new construction.

- **A categorical exclusion is recommended for technical assistance and extension activities, pursuant** to §216.2(c)(2)(i) (education, training and technical assistance).

- **A negative determination with conditions** is recommended for **operation** with the condition that the contractor develops and submits a plan for monitoring soil chemistry for any early indications of soil degradation.

  - **Trainer's notes:** And what happens if monitoring shows problems? This needs to be specified. Monitoring alone is not sufficient.
  - What about monitoring for impact on water quality? What about monitoring for overdraw of source water?

BACKGROUND NOTES (annotated with Trainer's Notes)
Draft IEE for
District Hospital Expansion and Rehabilitation Component of the Maternal, Child & Rural Health Support Program (MCRH)

1. Background and Activity Description

1.1 Purpose and Scope

- This is an activity-level IEE supplementing the existing sector-level IEE covering the "Maternal, Child & Rural Health Support Program" (MCRH)
- Its purpose is to provide the first review of the reasonably foreseeable effects on the environment, as well as recommended Threshold Decisions, for the new "District Hospital Expansion and Rehabilitation" component of the MCRH.
- This IEE is necessary as rehabilitation and expansion of major health care facilities is not covered by the existing IEE

1.2 Background

- District hospitals are key "anchors" of the public health system. In addition to providing treatment for more serious cases (and quarantine of potentially epidemic diseases), they serve as supervisory, data-collection, stocking and distribution centers for the clinics and health posts in their districts.
- Many district hospitals, particularly in the MCRH target areas, are 35–40 years old, and have undergone no significant expansion or rehabilitation since construction.
- Survey of existing facilities has determined that overall MCRH program objectives will not be met unless hospital facilities themselves are significantly upgraded.

1.3 Description of activities.

5 District hospitals in MCRH target areas will be chosen according to criteria developed in consultation with the Ministry of Health. For each hospital:

- **Construction of new ward blocks & rehabilitation of existing ones.** The expected result is a 50% increase in bed capacity at beneficiary hospitals (usually ~ 60 beds), with significant improvements to lighting, ventilation and hygiene over existing conditions.
- **Construction and installation of new facilities for management of sharps and "red bag" waste.** At all facilities surveyed, existing incinerators are operating poorly or are non-functional. They are largely non-reparable. New incinerators will be constructed/installed , per attached specification. On-site waste pits will be provided at all hospitals.
- **Rehabilitation and new construction of latrine blocks**

- **Repair or construction of perimeter fences, walls, construction or reconstruction of drainage**
- In consultation with each facility, **development of management plans** for infectious waste, **associated training of staff**, and **implementation monitoring**.

  - **Trainer's note:** *Neglects to list Ministry of Health capacity building. Neglects to mention the pest control elements; this is important, as it means that the project may be engaged in training in pesticide use.*

2. Country and Environmental Information

2.1 Locations affected.

- Individual locations vary, but most hospitals eligible for this scheme are in built-up areas. Many were originally peri-urban but are now urban. Often they are co-sited with schools or other public facilities.
- In some cases, adjacent settlement is informal and hospital fencing/walls are in poor repair or non-existent. In these cases, dwellings have been erected inside hospital grounds.

  - **Trainer's note:** *Raises the question of whether the project is actively involved in the resettlement. Not enough information is provided her to explain the nature of project involvement, if any, and the issue is neglected under section 3, below.*

2.2 Applicable Host Country Environmental Policies and Procedures

The scheme has been developed in consultation with the Ministry of Health. It will be implemented in active coordination with the Ministry of Health and the Administrator of each hospital. Ministry will have responsibility for consultation with the office of the District Commissioner. No further permits or studies are required.

- **Trainer's note:** *Probably not true, or at least a point to be suspicious of. Very few countries fail to require some type of environmental review for hazardous waste management.*

3. Evaluation of Project/Program Issues with Respect to Environmental Impact Potential

- **Trainer's note:** *Section neglects to address training and technical assistance*.

- Construction in built-up areas has nuisance impacts (dust, noise and vibration). In the hospital environment, these impacts can have significant adverse effects on patient health, e.g. on the safety of surgical procedures.
- As environments are urban /peri-urban , no adverse impacts on ecosystem functions or biological resources are anticipated.

- Hospitals in operation produce a number of waste streams with potentially significant adverse impacts. While MCRH is not responsible for hospital operations *per se*, facilities installed under this project will clearly affect waste streams and their management.

  - **Trainer's note:** *It is not just the facilities, but the waste management/hygiene plans and the associated training that will affect waste streams and their management. The IEE is silent on these issues.*

These impacts are expected to be beneficial:

1. The effect of this project should be to improve existing waste management of the most biologically hazardous waste streams: sharps and "red bag" waste.

   - **Trainer's note:** *Likely true, but as these hospitals are located in built-up areas, it begs the question of whether on-site incineration and disposal is acceptable at all.*

2. Rehabilitation of wards, construction & rehabilitation of latrines, and drainage improvements will produce a healthier environment for patients, staff and community.

   - **Trainer's note:** *While it is probably true that the situation will improve over the current status, the choice of latrine/toilet technology is important—particularly in built-up locations. It is not mentioned here.*

3. Repair and construction of perimeter fences will reduce opportunities for community exposure to infectious material (particularly by children & livestock).

   - **Trainer's note:** *True, but this omits the issue of displacing those currently occupying hospital land.*

4. Recommended Threshold Decisions and Mitigation Actions, including Monitoring and Evaluation

- **Trainer's note:** *From the activity description, it appears that the planned rehab/construction will not address some key waste streams --- such as gray wastewater (kitchen, laundry, wash-up water). The conditions need to speak to this.*

- A **negative determination** is recommended for all **construction** activities subject to the **conditions** that:

1. Good construction management practices specified in the *Small Scale Guidelines* are followed.

2. For each hospital, MCRH develops a **mitigation and monitoring plan** to minimize the impacts of construction on patients and hospital operations, that this plan give the Hospital Medical Director clear authority to require immediate halt and remedy, and that this plan be approved by the Hospital administrator and medical director.

- **Trainer's note:** *It is important to provide a mechanism for the medical director to intervene effectively if the construction is having adverse effects on patients, but this is likely too broad/unspecific—it essentially gives an outside authority control over the partner/project.*

- **A categorical exclusion** is recommended for **development of management plans for infectious waste, training of staff, and implementation monitoring** pursuant to §216.2(c)(2)(i) (education, training and technical assistance).

- **Trainer's note:** *Not acceptable. This training/TA/capacity building should not qualify for a categorical exclusion as the activities that are the subject of the training have clear potential for causing significant adverse environmental impacts*.

Session 9: EIA Core Skills, Part II: Environmental Monitoring and Environmental Monitoring and Mitigation Plans

Purpose of this Session:

This session introduces the principles of environmental monitoring and establishes the importance of **monitoring** USAID projects for environmental compliance during implementation.

During the session, participants will gain familiarity with the two key types of indicators by example, and will practice translating IEE conditions into specific, implementable, monitorable mitigation actions.

Learning Objectives:

By the end of this session, participants will be able to:

- State the 2 key elements of environmental monitoring
- Become familiar with indicators for each and the basic principles of monitoring design
- Relate mitigation and monitoring to environmental compliance
- Identify the nature and compliance role of the Environmental Mitigation and Monitoring Plan (EMMP)

Time Needed: 60 minutes

Materials & Notes

PowerPoint presentation for Session 9.

Review the presentation with accompanying **slide notes**.

Before the session begins

Make sure you are familiar with the "***Let's Practice***" exercise incorporated into the presentation at ***Slide 21.***

Process:

1. Preview the ***Session Objectives*** for this session.

2. Make the presentation, using the PowerPoint slides and slide notes.

3. When you have completed the presentation, summarize the session by making the following points:
   - Monitoring and mitigation plans should be **realistic**: Achievable within time, resources and capabilities
   - **Well-targeted:** Mitigation measures and indicators must respond to IEE conditions (and thus correspond to impacts.)
   - Effective monitoring and mitigation should be **considered early.**
   - **Preventive mitigation** is usually cheapest and most effective. Prevention must be built in at the design stage.
   - **Funding** must be considered at initial stages of design; if not, they are almost always inadequately funded**.** Funding must be adequate over the life of the activity

Session 10: Environmental Compliance: Roles, Responsibilities, Processes and Resources

Purpose of this Session:

This session brings together information that has been introduced throughout the workshop, in addition to addressing some new topics. *All concern the processes, roles and responsibilities for environmental compliance in missions and operating units.*

Learning Objectives:

By the end of this session, participants will be able to:

- Explain that environmental compliance is mainstreamed (integrated throughout) agency operations by the Automated Directives System (ADS).
- State the main environmental compliance record-keeping requirements established by the ADS.
- State the roles and responsibilities of USAID staff in respect to environmental compliance on USAID projects.
- Explain the importance of incorporating best-practice Environmental Compliance Language (ECL) in solicitations and awards and the benefits of using the ECL tool for this purpose.
- Explain the basic elements of environmental compliance reporting by implementing partners.

Time Needed: 45 minutes

Materials & Notes

PowerPoint presentation for Session 10.

Review the presentation with accompanying slide notes.

Review the excerpts from ***USAID's Automated Directives System (ADS)*** regarding roles and responsibilities for environmental compliance and mitigation. T

These are found at the end of this session plan.

Process:

1. Preview the ***Session Objectives*** for this session.

2. Make the presentation, using the PowerPoint slides and slide notes.

3. When you have completed the presentation, **summarize** the session by making the following points:
   - It is critical that participants understand that the Agreement Officer's Representatives (AORs) and Contracting Officer's Representatives (CORs) have primary "front line" responsibility for project compliance;
   - The Automated Directives System's sections 202, 204 and 303 provide specific guidance to USAID staff regarding responsible parties for environmental compliance, as well as directives about resources to be allocated to compliance;

KEY AUTOMATED DIRECTIVES SYSTEM (ADS) EXCERPTS FOR ENVIRONMENTAL COMPLIANCE

ADS 202—ACHIEVING

202.3.6 Monitoring Quality and Timeliness of Key Outputs
Effective Date: 09/01/2008

"Monitoring the quality and timeliness of outputs produced by implementing partners is a major task of COTRs and DO Teams. Outputs are specifically described in contract Statements of Work and grant agreement Program Descriptions. Outputs are critical to achieving results. Delays in completing outputs or problems in output quality provide an early warning that results may not be achieved as planned.

"Timeliness of key outputs may affect the achievement of performance targets that the team presents in the Performance Report. Early action in response to problems is essential in managing for results**. Monitoring compliance with 22 CFR 216 environmental determinations is part of this task. Environmental reviews should be actively managed throughout the life of the DO to ensure environmental soundness of activities**, as provided in ADS 204.3, 204.5.4, and the mandatory reference 22 CFR 216."

ADS 204—ENVIRONMENTAL PROCEDURES

204.3 Policy Directives and Required Procedures

204.3.4 Assistance Objective Teams (Teams), Activity Managers and Contract/Agreement Officer's Representatives (COR/AORs)
Effective Date: 08/17/2012

"Each Team and Activity Manager or COR/AOR must plan how they will comply with **22 CFR 216** requirements for each non-exempt activity undertaken. They must actively monitor ongoing activities for compliance with approved Initial Environmental Examination (IEE), Categorical Exclusion (CE), Environmental Assessment (EA), Programmatic Environmental Assessment (PEA), or Environmental Impact Statement (EIS) recommendations, conditionalities or mitigative measures. **They also must modify or end activities that are not in compliance with provisions and conditions of approved environmental documents.** An Operating Unit and each AO Team must ensure that its Activity Managers or COR/AORs have adequate time, staff, authority, and money to implement these responsibilities. (See activity planning in mandatory reference **ADS 201.3.)"**

ADS 204.3.4.b

"[Each Operating Unit and AO Team must develop effective essential environmental review procedures consistent with its strategic and operational plans to,] once funds are obligated, ensure that Activity Managers or CORs/AORs have the resources to adaptively manage environmental compliance during implementation including:

(1) Conducting ongoing monitoring and evaluation of whether the environmental components designed for the activity resulting from the **22 CFR 216 process are being implemented effectively. This includes identifying and addressing new or unforeseen environmental consequences arising during implementation that were not identified and reviewed in accordance with 22 CFR 216 and how such review will be undertaken to correct these newly identified issues in a timely way.**

(2) Modifying mitigative activities or programs, or, if deemed necessary, ending activities or programs based on the aforementioned review. Modifications are documented through formal amendments to the original 22 CFR 216 documents and concurred in writing (for IEEs and CEs) or approved in writing (for Scoping Statements, EAs, or EISs) by the Bureau Environmental Officer."

ADS 303—GRANTS & COOPERATIVE AGREEMENTS TO NON-GOVERNMENTAL ORGANIZATIONS

303.2 Primary Responsibilities

303.2.f. *Effective date2/25/2011*

"After award, the Agreement Officer's Representative (AOR) is the person, as designated in writing by the AO, who will administer certain aspects of the assistance instrument. This authority is not re-delegable other than as specified in the AO's designation letter. The AOR ensures that USAID exercises prudent management over its awarded assistance and makes the achievement of program objectives easier by monitoring and evaluating the recipient and its performance during the award. The AOR will:

- **Ensure all mitigative environmental measures and conditions in the award are implemented throughout the life of the award** and that timely amendments are undertaken as needed with the relevant Bureau environmental officer approval in writing (see ADS 204).

Session 11: Reality on the Ground: State of Environmental Compliance & "What Would You Do If?" Exercise

Purpose of this Session:

This workshop has set out environmental compliance requirements, and how the responsibilities for fulfilling these requirements are allocated among implementing partners, Contracting Officer's Representatives, Agreement Officer's Representatives, and Mission Environmental Officers [among others].

In practice, compliance is not perfect and some significant gaps and shortfalls exist.

This session will give an overview of what we know about the state of compliance on the ground, with the intent of helping USAID staff know how they can improve environmental compliance within their own Missions.

As an integrative exercise, participants will develop a ***Corrective Action Plan*** for a Mission that is audited and needs to take steps to improve its environmental compliance processes.

Learning Objectives:

By the end of this session, participants will be able to:

- Review typical gaps and shortfalls and examples of good practice within Missions as identified by Mission ***Environmental Procedures Best Practices Reviews*** (BPRs);
- Develop a ***Corrective Action Plan*** for a hypothetical scenario of a mission with significant compliance gaps.

Time Needed: 60 minutes

Materials & Notes

In Participants' Workbook:

"What Would You Do If " Scenario

USAID Mission Environmental Compliance Best Practices

Before the session begins

For more information on the results of ***Best Practices Reviews (BPRs)***, read **Background Notes** found at the end of this session plan.

Read the "***What Would You Do If?"*** scenario that participants will work on in their small groups. Your **annotated scenario** (with discussion points) is found at the end of this session plan.

Review the sample ***Corrective Action Plan*** included at the end of this session plan.

Process:

1. Brief e ***Session Objectives*** for this session (note: there is no powerpoint.
Provide a context for the session by making the following points:

- This workshop has set out environmental compliance requirements over life-of-project, and how the responsibilities for fulfilling these requirements are allocated among implementing partners, Contracting Officer's Representatives, Agreement Officer's Representatives, and Mission Environmental Officers [among others].
- In practice, compliance is not perfect and some significant gaps and shortfalls exist. Many of these gaps and shortfalls are rooted in **inadequate compliance systems and processes:**
    - For compliance to be achieved in practice, it is not enough that individual USAID and Implementing partner staff understand their roles and responsibilities and master key skills -- internal mission/team and project processes must be in place that support (and require) that these responsibilities be carried out.
- This is illustrated by the results of 15 ***Environmental Procedures Best Practices Reviews (BPRs)*** conducted in Africa missions over the past 5 years.[2] The BPR is a voluntary audit that examines both environmental compliance status AND the policies, procedures, and capacities that support environmental compliance.

  Specifically, the BPR assesses the mission and its portfolio against the Africa Bureau *Environmental Compliance Best Practice Standard* (included in this section). BPRs include documentation desk review, mission staff interviews, implementing partner interviews and site visits.

Use **Background Notes** at the end of this session plan to give specific examples of typical gaps and shortfalls in Missions' environmental compliance procedures, and then transition to the small group "what would you do if" exercise.

NOTE THAT PARTICIPANTS DO NOT HAVE THESE BPR FINDINGS IN THEIR OWN WORKBOOKS. THE TRAINER NEEDS TO "TELL THIS STORY" BRIEFLY, IN A MANNER TAILORED TO THE AUDIENCE.

3. Refer participants to the ***"What Would You Do If?"*** scenario and task in their Participant Workbook.

Explain that they will work in their small groups to read the scenario and then to develop a ***Corrective Action Plan*** to help that Mission improve its environmental compliance systems and processes. To help them with the task, they can use the **USAID Mission Environmental Compliance Best Practices** document found in their Participant Workbook.

Allow 20 minutes for the task and then bring the groups back together to discuss their Corrective Action Plans.

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[2] *In addition, USAID's Office of the Inspector General (OIG) conducted formal Environmental Compliance audits of the Kosovo, Egypt, Kenya and DRC missions as part of a global effort. The OIG synthesis report is available at: www.usaid.gov/oig/public/fy11rpts/9-000-11-002-p.pdf*

4. **Discuss** the results of the groups' work. Use the **Group Task annotated with Trainer's Notes** and the **sample Corrective Action Plan** found at the end of this session plan for your discussion points. **PASS OUT the sample corrective action plan handout AFTER the groups have presented.**

5. **Summarize** the session. Make the following points:

   - There have been significant gaps and shortfalls in Mission and operating unit environmental compliance – particularly as regards implementation of IEE and EA conditions.
   - Remedying these shortfalls is IMPORTANT to development outcomes.
   - Remedy requires that (1) individual USAID and Implementing Partner staff have the knowledge, skills and *motivation; and* (2) appropriate systems are in place in teams and operating units.
   - Participants should have their eyes and ears open for ways to strengthen compliance procedures and systems within their own Missions/Operating Units, and not just allow environmental issues to be "pushed" by one person.

BACKGROUND NOTES: SUMMARY OF BPR FINDINGS

(*These are synthesis findings from the results of 15 Environmental Procedures Best Practices Reviews (BPRs) conducted in Africa over 2007-2012.* ***They do not reflect the substantial improvements in the subject missions that resulted from the BPR.***

No comparable environmental compliance baseline exists for other regions, but discussions with BEOs, REAs and consultants providing environmental compliance support to USAID strongly indicate that the results of BPR exercises in other regions would be very similar.)

- "**Upstream" compliance** (i.e. Reg. 216 documentation coverage for the Mission Portfolio) is generally reasonable, but not perfect:
  - Approval delays are a problem;
  - Some but not all missions verify IEE coverage for new activities added to projectsin mid-implementation .
- However, **poor IEE quality & lack of specificity** adversely affect the ability of IEEs to serve as a clear basis for project mitigation actions and project compliance.
  - In part, the problem is intrinsic to sector program level IEEs (SO-level IEEs), particularly those put in place when the sector program is in the early design stage.
  - Problem is not that there are a few notably bad IEEs, but that the current standard of IEE practice not adequate.
- In almost every mission, **a few project examples of good "downstream" compliance** exist. (that is, IEE/EA conditions are being implemented and reported on.)
  - But these examples of strong compliance are person-driven (a proactive COR/AOR, a diligent partner), not driven by a strong system.
- Generally, **implementing partner reporting on environmental compliance is very limited**. That is, there is no auditable, verifiable record of IEE implementation (or lack thereof)
- This makes determining the extent of IEE conditions implementation difficult. Different BPRs have had differing levels of success in truly verifying the extent of IEE conditions implementation on a project-by-project basis—depends on level of team cooperation, partner availability.
- However, in the large majority of cases where BPRs have successfully "drilled down" to the project level, **implementation of IEE/EA conditions is poor**:
  - Partners and CORs/AORs are unaware of conditions
  - Contractual requirements for conditions implementation not in place.
- **COR/AOR awareness of environmental compliance responsibilities is generally poor**—and where present, is often limited to "upstream compliance." Of well-informed, proactive CORs/AORs, almost all have attended long-format (3.5-4.5 day) environmental compliance trainings.
- Effective **sector team compliance planning as mandated by ADS is almost non-existent.**
- **Mission Environmental Officer position is chronically under-resourced.** In some cases MEO authority and reporting lines are adequate—in some cases not.
- **Environmental compliance verification is seldom part of the Mission M&E function.**

SCENARIO/PARTICIPANT BRIEFING FOR "What Would You Do If…?" EXERCISE

You have recently reported to the Mission in XXXX. The Mission is very short staffed. Someone heard that you took a 1.5-day Environmental Compliance training, so in addition to your normal portfolio, you have also been handed the job of serving as the **Mission Environmental Officer (MEO)**.

As you settle into your cubicle, you are handed a recently issued audit report. The **Office of the Inspector General (OIG)** recently completed an audit of one of the largest of the Mission's programs and concluded that the Mission was not in compliance with environmental procedures, not just for this large program but for all of its programs. Examples of specific problems identified in the report include:

- ✓ In FY 2008, only one out of 22 of the required Reg.216 documents was approved by the Bureau Environmental Officer (BEO) prior to the "Funding Begin" date.
- ✓ Contracting is complete & groundbreaking is imminent on a new, mission-funded 98km road, presumably on the authority of a "negative determination with conditions" assigned to rural roads activities. However, this determination was made for small-scale road *rehabilitation* only.

  Reg. 216 lists several classes of actions normally having a significant effect on the environment (22 CFR 216.2 (d)) for which an Environmental Assessment will be required. These include "penetration road building or road improvement projects." No EA has been conducted.
- ✓ IPs were not aware of IEE conditions that applied to their activities, and their contracts and agreements contained no provisions requiring compliance.
- ✓ AORs/CORs were not in receipt of information from IPs that would allow them to verify/oversee environmental compliance for their projects, and none reported assessing environmental compliance during site visits.

The **OIG Report** identifies the following factors as significant causes of these compliance gaps.

- The mission had no process in place to apply conditions established in sector portfolio-level Reg 216 documentation down to the level of individual projects.
- The CORs & AORs lacked awareness of their responsibilities for overseeing compliance with environmental procedures;
- The mission had inconsistencies between the Automated Directives System and a Mission Order regarding the roles and responsibilities of CORs;
- The mission lacked a dedicated MEO;
- The Mission had compressed project time frames that did not accommodate appropriate pre-implementation environmental review.

The Mission Director is looking to you for a **Corrective Action Plan**. She has to respond to the OIG Report with a detailed plan including actions and timelines for bringing the Mission into full compliance with Reg 216. She's asked you to develop that plan.

INSTRUCTIONS FOR "WHAT WOULD YOU DO IF?" GROUP TASK
(annotated with Trainer's Notes)

In your groups, you will develop a **Corrective Action Plan**. Include the elements of the plan, what problems would be corrected, and how you propose it would be implemented. To get started., ask yourselves:

- What problems need to be addressed?
- What are the elements of the corrective action plan? (You can use the *Environmental Compliance Best Practices Standards* to help guide your thinking)
  - *Need to plan training on environmental compliance for IPs AND Mission staff (particularly AORs/CORs, M&E specialists, and anyone involved in contracting, program management and Monitoring and Evaluation.)*
    - → *Executive Office (EXO), Team leaders, REA & BEO should be involved in planning*
  - *Even prior to training, need to clarify confusion about roles and responsibilities in regard to environmental compliance.*
  - *Stop implementation of the road pending conduct of an EA*
  - *Project-by-Project review for environmental compliance (will require consultation w/ IPs):*
    - → *Is each activity covered by 22 CFR 216 documentation?*
    - → *Are conditions being implemented?*
  - *Follow-up on this review with necessary corrective actions.*
    - → *Develop Reg 216 documentation for projects/sectors lacking them.*
    - → *Develop a project-by-project compliance plan with IPs.*
      (May require changes to budgets, worksplans, agreements, and contracts.)
  - *Use appropriate environmental compliance language in all solicitation and awards going forward*
  - *Adapt management processes now that it is known that environmental compliance is mandatory.*
- Where could you turn for help with developing your plan? With implementing your plan?
  - *Regional Environmental Advisor, Bureau Environmental Officer, Regional Legal Advisor*
- What would help avoid these kinds of problems the future?
  - *Set up and maintain compliance expectations and procedures;*
  - *Ensure that all new incoming staff are aware of those expectations and processes;*
  - *Make reasonable benchmarks and deadlines;*
  - *Make sure to monitor and document progress against those benchmarks because the Inspector General will check!*
- What might be the consequences of failing to comply with USAID environmental procedures?
  - *Increased potential for USAID-funded activities causing significant, adverse impacts on environmental resources, ecosystems, human health, and livelihoods;*
  - *As a result of these impacts: diplomatic incidents, loss of USAID credibility and good name;*
  - *Costly, unbudgeted corrective actions;*
  - *For AOR/CORs, Sector Team Leaders: failure to assure 22 CFR 216 compliance equals failure to carry out mandatory responsibilities. Where it is linked with serious adverse consequences on the ground, non-compliance will result at a minimum in highly adverse performance reviews and potentially serious disciplinary actions.*

Corrective Action Plan for USAID/XXXX
(Trainer: use to provide feedback to participants as they present their own plans; pass out handout AFTER groups present their own plans)

The Mission is required to prepare an environmental compliance action plan within one month to come into full compliance with USAID environmental procedures, and submit quarterly progress reports to the AA/*Regional Bureau* and *Regional Bureau* BEO until the plan is achieved. A rough draft of such an action plan might look like this:

Road Project

The mission shall immediately halt implementation of the 98km new road project pending completion and approval of an EA.

Mission Director All-staff Memo

Within 1 week, the Mission Director will issue a memo to all staff explaining the findings of the OIG audit, confirming mission commitment to full environmental compliance, emphasizing that AORs/CORs and their Team Leaders have primary operational responsibility for compliance, and summarizing key elements of the corrective action plan

Portfolio Review

The Mission shall complete, within three months, an external Mission portfolio environmental compliance review or audit of all projects/activities to examine them for environmental compliance.

This audit will determine whether: 1) every USAID-funded activity under the Mission's control is covered by BEO-approved 22 CFR 216 documentation; and 2) every environmental decision in the BEO-approved IEE is being implemented, including all conditions established in IEEs ("Negative Determinations with Conditions"), EAs and Pesticide Evaluation Reports and Safe Use Action Plans (PERSUAPs),

Portfolio Review Follow-Up

Based on the portfolio review, the Mission, in collaboration with the BEO and Regional Environmental Advisor (REA), will define actions and set a time table to bring all out-of-compliance activities into compliance, including:

* developing or amending Reg. 216 documentation as needed .This includes *including scheduling and funding Environmental Assessments as needed*.

* developing a compliance plan with each IP. This will likely require changes to approved workplans and budgets.

* re-do/rehabilitation of activities if required: for example if schools were built with asbestos, buildings painted with lead-based paint, wastewater systems installed too close to drinking water wells or groundwater supplies or surface water, drinking water supplies were untested for their suitability, etc.

A master list of all corrective measures will be developed, timetables and budgets developed, and a mission tracking system established to see that each action is completed in a timely way.

(continued next page)

Mission Order

The Mission shall prepare/ revise and issue an appropriate environmental compliance Mission Order, with clearance from the BEO. The Mission Order should include specific responsibilities for the Mission Environmental Officer (MEO), Deputy MEO, Office Directors (OD), deputy ODs, CORs and AORS with respect to Reg. 216 compliance.

MEO Appointment Letters

The Mission Director will confirm the appointments of an appropriate MEO and a minimum of one deputy MEO and issue appointment letters which spell out MEO and deputy MEO responsibilities and authorities they need to do their jobs, with consultation with the BEO.

Staff Annual Evaluation Forms (AEFs)

The compliance action plan will require Reg. 216 compliance be incorporated into an appropriate element in the AEFs of the MEO, deputy MEO, and ODs, dODs, CORs and AORs.

Environmental Compliance Training Requirements

All Mission staff will receive a short-format (nominally half-day) environmental compliance training within one month.

Within six months, the Mission shall arrange, in consultation with the BEO, a longer-format (nominally 3-5 day) environmental compliance training for mission staff AND IPs. All CORs/AORs managing activities deemed by the REA to be environmentally complex or which are identified by the environmental compliance audit as requiring extensive corrective action shall attend. IP counterparts for these AORs/CORs shall also attend.

Such longer format trainings shall be offered at minimum every four years. All staff shall be required to attend a short-format refresher training at least every 2 years.

Environmental Compliance Language in Solicitations and Awards

Going forward, all solicitations and awards issued by the mission will include environmental compliance language per the ADS 204 help document: Environmental Compliance: Langauge for Solicitations and Awards.

External Environmental Compliance Technical & Capacity Building Support

The Mission will design and fund or buy-in to an environmental compliance support project, either in-house, in-Agency, or in-conjunction with approved contractors or consultants to assist the Mission in designing, preparing, implementing, monitoring, and evaluating environmental compliance documents and decisions, including, Initial Environmental Examinations (IEE), Amended IEEs, Environmental Assessment Screenings, Environmental Documentation Forms (EDF), Environmental Mitigation and Monitoring Plans, Environmental Assessment Screenings, Pesticide Evaluation Reports and Safe Use Action Plans (PERSUAP), scoping sessions, Scoping Statements (SS) for Environmental Assessments (EA), and EAs.

Mission Environmental Compliance Best Practice Standard

A) Environmental documents are in place, including:
1) Environmental Compliance Mission Order
2) MEO Appointment Memo
3) Up-to-date ETOA or FAA 118/119 analysis, prepared with MEO involvement or review
4) Reg 216 documentation at sector portfolio (AO) level, updated as necessary
5) Reg 216 documentation at activity level, updated as necessary (if not included in sector-level IEE)
B) Staff and implementing partners have capacity to ensure environmental compliance:
1) Staff and implementing partners (IPs) have been trained in environmental compliance
2) MEO has knowledge of host county environmental regulations/policies & issues
3) MEO has skills and expertise to identify potential environmental concerns in Mission sector programs (AOs) and activities;
4) A "Deputy" or "Alternate" MEO has been appointed to assist when the MEO is unavailable
5) Opportunities for ongoing training in environmental compliance are provided to staff and implementing partners
C) Processes are in place to ensure environmental compliance:
1) MEO reports directly to Mission Director or senior management on matters pertaining to compliance with USAID Environmental Procedures
2) MEO has up-to-date mission-wide environmental compliance tracking tool, which is readily available to all mission staff.
3) MEO and CORs/AORs/Activity Managers have process for collaborating on activities with potential environmental impacts (from design to closure)
4) Process exists to identify activities that need amended Reg. 216 documentation
5) Process exists for ensuring IEE/EA conditions are incorporated into Request for Proposals/Request for Applications (RFP/RFA), or process exists for ensuring activity-level IEE will be undertaken by the contractor (and included as a task in the RFA/RFP)
6) Process exists for incorporating IEE/EA conditions into contracts; and including mitigation and monitoring costs into project budgets
7) Process exists for ensuring mission or implementing partner develops and implements an Environmental Management Plan/Environmental Mitigation and Monitoring Plan (EMP/EMMP)
8) Process exists for IP reporting to USAID on implementation of mitigation measures and continued assessment of potential environmental impacts (in project semi-annual or quarterly reports);
9) Financial resources available to support mission environmental compliance processes, including training, analytical support, MEO travel to assist CORs/AORs with field monitoring, etc. When the MEO reports to a sector team (Economic Growth, etc.), these resources would ideally be provided by the Program Office, since the MEO duties support the mission as a whole.
10) Environmental compliance is integrated into project performance monitoring and evaluation (M&E) by the AOR/COR and M&E specialists.
D) The following mission contracting, project, and review/status documents include environmental compliance language:
1) Strategic Objective Agreement (SOAg) approvals / 3) Project Authorization Documents
2) Activity Approval Documents (AADs) / 4) RFPs/RFAs
5) Contracts and cooperative agreements with budgets that reflect environmental mitigation and monitoring costs;
6) Quarterly or semi-annual reports, submitted by IPs to CORs/AORs
7) Most recent Annual Report submitted by Mission to USAID/W
8) Portfolio reviews, conducted semi-annually
9) Closure report, where lessons learned regarding ESDM and environmental compliance should be documented; and
10) Federal Management Financial Information Act (FMFIA) review, wherein, on an annual basis, every mission conducts a review of all their systems (financial and otherwise, including ADS 204)

Session 12: Post-Workshop Test & Workshop Evaluation

Purpose of this Session:

In this session, participants will take a short quiz to find out how much they've learned about the topics covered in the workshop. They will also evaluate the workshop.

Session Objectives:

By the end of this session, participants will have:

- Assessed their learning
- Clarified any last questions
- Evaluated the workshop

Time Needed: 30 minutes

Materials & Notes

Post-Workshop Test for each participant

Post-Workshop Evaluation for each participant

Note: You can administer the ***Post-Workshop Test*** in a couple of different ways. Have the participants take five minutes to read it and write their answers on their copies and then discuss.

Or, ask the questions to the entire group. For each question, have them hold up the number of fingers that correspond to the number of their answer (If they answered "3" they would hold up three finders).

Just make sure that you leave them with the correct answer for each question, and that you clarify any confusion they may have.

Answers to the Post-Workshop Test are found at the end of this session plan.

Process:

1. Distribute ***Post-Workshop Test*** to each participant. Administer it using one of the suggestions in the sidebar on the previous page.

   As you discuss the answers to the test, take time to ensure that there are no remaining questions about the content covered during the workshop. Ask:

   ? What questions, comments or concerns do you have about anything that we have covered in this workshop?

2. Distribute ***Post-Workshop Evaluation*** to all participants. Thank them for their attention and work during this course, and allow them time to complete their evaluations; collect evaluations as they leave.

Post-Workshop Test Answer Key

Note: Correct answers are in **bold** font.

1. Which best describes the basic rules for achieving Environmentally Sound Design and Management (ESDM)?
   - **a. Be prevention oriented; apply best development practices to environmental aspects of the activity; be systematic**
   - b. Characterize and consider baseline conditions before beginning detailed design.
   - c. Assure that the IEE is in place before implementation begins and that an Environmental Mitigation and Monitoring Plan (EMMP) fully responsive to IEE conditions is developed and implemented.

2. Which best describes the relationship between ESDM, the Environmental Impact Assessment (EIA) process and USAID's environmental procedures? (pick one only)
   - a. An EIA process is triggered when an IEE results in a positive determination. Both IEEs and the EIA process are intended to achieve ESDM.
   - b. USAID's environmental procedures combine the EIA process and the ESDM framework to obtain improved environmental outcomes.
   - **c. The EIA process is a systematic framework for achieving ESDM; USAID's environmental procedures are a specific implementation of the general EIA process. Achieving ESDM is the purpose and goal of USAID's environmental procedures.**

3. In EIA, which is NOT a correct characterization of impact and baseline situation?
   - a. The baseline situation is the existing environmental situation or condition in the absence of your activity.
   - b. An impact is the change in the baseline situation caused by your activity.
   - **c. The baseline situation is a static "snapshot" of environmental conditions at a particular point in time.**
   - d. In EIA, you focus on the most significant potential impacts.
   - e. The baseline situation is characterized in terms of environmental components of interest. These are aspects of the environment that (1) are likely to be affected by your activity or (2) upon which your activity depends for its success.

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4. Which of the following is NOT an accurate statement of a key element of life-of-project environmental compliance for USAID activities?
   a. Environmental considerations must be taken into account in activity planning;
   b. No activities are implemented without approved EIA documentation;
   c. Any mitigation and monitoring conditions specified by the approved EIA documentation are (a) written into contract instruments, and (b) implemented, and (c) this implementation is monitored;
   d. Environmental compliance of the Mission portfolio is assessed in Mission annual reports; and
   e. Environmental compliance documentation is maintained by the MEO.

5. What US Federal Law or Regulation defines USAID's mandatory pre-implementation environmental review process?
   a. 22 CFR 226
   b. The Foreign Assistance Act of 1961, as amended, Parts 118 & 119
   c. 22 CFR 216
   d. The Federal Acquisition Regulations (FAR)
   e. 22 CFR 16

6. Who is the primary decision-maker on environmental compliance determinations?
   a. Regional Legal Advisor or other senior GC representative
   b. Mission Director
   c. Ambassador
   d. Bureau Environmental Officer
   e. Assistant Administrator

7. While all USAID officers involved in any aspect of programs share responsibility for environmental compliance, which type of officer has the primary responsibility for ensuring environmental compliance for any given activity?
   a. COR or AOR
   b. Mission Environmental Officer
   c. Office Director or Team Leader
   d. Head of the Program Office
   e. Inspector General's representative

(next page)

8. Which type of activity is not covered by USAID's standard environmental compliance procedures?
   a. Global Development Alliance partnerships
   b. Grants to US-based NGOs
   c. Environmentally beneficial projects such as parks or pollution control
   d. Projects funded and managed by AID/W such as DCHA, E3, or GH
   e. None of the above

9. Who sets and oversees overall USAID environmental compliance policy?
   a. The Assistant Administrators
   b. The Mission Directors
   c. The Agency Environmental Coordinator
   d. The General Counsel
   e. State/F

10. Do USAID assistance and acquisition (A&A) documents need to include references to environmental determinations and incorporate environmental mitigation measures that are required in the determination?
   a. No – this is not an A&A matter – environmental soundness is handled through other USAID mechanisms.
   b. No – USAID projects are always designed so that there are never any potential environmental issues that need to be addressed during implementation.
   c. No – such requirements are legally unenforceable and are a distraction.
   d. Sometimes—Only in cases when the Mission or Office Director thinks it would not cause delays or extra costs in the agreement.
   e. Yes.

Answers:

1. a
2. c
3. e
4. c
5. d
6. d
7. a
8. e
9. c
10. e