

# ENCAP

## **Achievements, Lessons and Future Directions**

***A review of USAID Africa Bureau's  
Environmental Capacity Building Program, 1995–2003***

***May 2003***

***By Wes Fisher and Mark Stoughton of Tellus Institute***

*with contributions from*

*Djime Adoum, USAID/Africa Bureau*

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MOBIS Contract #GS-10F-0076M  
Delivery Schedule #HFM-E-00-02-0025-00

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## Acronyms

ACTS	African Center for Technology Studies
AFR/SD/ANRE	Bureau for Africa, Office of Sustainable Development, Agency of Natural Resources and Energy, USAID
ANE	Asia and the Near East
AWF	African Wildlife Federation
BEO	bureau environmental officer
BHR	Bureau for Humanitarian Response
BMP	best management practice
CDD	community-driven development
CEAD	Center for Environment and Development
CIANEA	Community-based Impact Assessment in East Africa
CLEIAA	Capacity Development and Linkages for Environmental Impact Assessment in Africa
CP	cleaner production
CRSP	Collaborative Research Support Program
CS	cooperating sponsor
DCHA	Democracy Conflict and Humanitarian Assistance
EA	environmental assessment
EAAIA	East African Association for Impact Assessment
EDM	Environmental Documentation Manual
EGAT	Economic Growth, Agriculture and Trade Bureau
EGSSAA	Environmental Guidelines for Small-Scale Activities in Africa
EIA	environmental impact assessment
EIS	environmental impact statement
EMEMP	Environmental Monitoring, Evaluation and Mitigation Plan
ENCAP	Environmental Capacity Building Program
ENRA	environmental and natural resource accounting
EPIQ	Environmental Policy and Institutional Strengthening Indefinite Quantity Contract
EPAT	Environmental Policy and Training
EPTM	Environmental Procedures Training Manual
ER	environmental review
ESD	Office of Environment and Social Development, World Bank
EWG	Environment Working Group
FAM	Food Aid Management
GIS	geographic information system

GSA	General Services Administration, U.S. government
HACCP	hazard analysis and critical control point
IEE	Initial Environmental Examinations
IPM	integrated pest management
IQC	indefinite quantity contract
IRG	International Resources Group
ITN	insecticide-treated nets
IUCN/EARO	World Conservation Union–Eastern Africa Regional Office
MEO	mission environmental officer
MOBIS	Management, Organization and Business Improvement Services
MSE	micro and small enterprises
NDG-Africa	Nature & Development Group of Africa
NEMC	National Environmental Management Council, Tanzania
NGO	nongovernmental organization
NPA	non-project assistance
NRM	natural resource management
PD	Professional Development program
PEA	Programmatic Environmental Assessments
PERSUAP	Pesticide Evaluation Report and Safer Use Action Plan
PVO	private voluntary organization
REDSO/ESA	Regional Economic Development Services Office for East and Southern Africa
REA	Regional Environmental Advisor
REO	Regional Environmental Officer
SAIEA	Southern African Institute for Environmental Assessment
SEAM	Strategic Environmental Analysis and Monitoring
SEP	strategic environmental planning
SO	strategic objective
SOW	scope of work
SSO	special support objective
TANAPA	Tanzanian National Parks Association
TDY	temporary duty
TO	task order
UNHCR	UN High Commissioner for Refugees
USAID	U.S. Agency for International Development
WAAIA	West African Association for Impact Assessment

## Executive Summary

When human waste from new latrines or pesticides from a cattle dip contaminate a community's water supply, or when erosion gullies created by a market access road destroy downslope agricultural fields, an environmental failure occurs. Such failures off-set or reduce—sometimes entirely—the intended benefits of the activity. Conversely, when agroforestry interventions increase smallholder income in the near term and conserve soil fertility in the long term, environmental and economic co-benefits are mutually reinforcing.

USAID's Environmental Capacity Building Program (ENCAP) was established in 1995 to help USAID Missions and Mission Partners in Africa apply environmentally sound design and USAID Environmental Procedures to improve the long-term sustainability of Africa Bureau policies, programs and project activities. ENCAP field work in more than 20 countries has now demonstrated that environmental failures are unnecessarily common, and environmental co-benefits are too infrequently exploited. USAID's environmental procedures provide one of the few systematic means for helping guarantee sound design and the long-term sustainability of our activities.

This report *reviews the achievements and lessons learned from* the Africa Bureau's investment in the Environmental Capacity Building Program, or *ENCAP, between 1995 and 2003*. The report, and this Executive Summary, includes subsections covering capacity-building, production of training resources, development of best practices, development of the Professional Development Fellowship program, and development of support services. In addition, a number of recommendations are made for follow-on initiatives and activities.

### Delivery of ENCAP Training Courses

ENCAP has delivered 22 courses to over 400 organizations and 1,000 professionals in the last 9 years. The success of this capacity building approach has been evident in the improved quality of USAID environmental documentation submissions and their application to design. ENCAP training was judged directly responsible for the marked increase in quality of initial environmental examinations (IEEs) and other environmental documentation prepared for review by the Bureau Environmental Officers (BEOs) of the Africa and Democracy Conflict and Humanitarian Assistance (DCHA) Bureaus (Title II).

The courses have received consistently high marks from course participants. The ENCAP evaluation based on trainee/participant feedback was judged to have significantly enhanced the environmental awareness of the participants, and improved the quality of the work being conducted. 95% of the respondents indicated that the training materials were either useful or outstanding and have been helpful in their professional work.

More importantly, institutions and individuals exposed to ENCAP, have in turn chosen to deliver similar trainings programs themselves. For example, following a February 2002 ENCAP course in Ethiopia, staff of USAID supported organizations including Save the Children/US, CRS

Ethiopia and REST/Ethiopia, were motivated to independently organize and deliver workshops on environmental impact assessment (EIA) and environmentally sound design for their organizations' employees and others, using ENCAP's training curriculum. Similarly, PACT/Kenya is supporting a new Training of Trainers initiative in Community-based Impact Assessment for small-scale activities.

ENCAP's training model, which places heavy emphasis on interactive and out-of-classroom learning, case site environmental review and diffusion of environmental sound 'best practices,' has been presented in courses to the World Bank's Africa Division, which has expressed interest in applying ENCAP principles and approaches to select Community-Driven Development and Social Funds programs.

### **Production of Diverse, Accessible and High-Quality Training Resources**

ENCAP has produced and distributed a wide variety of training resources for ENCAP courses, and for environmental managers needed to apply environmental best practices, producing what may be the most useful field-based training and best practice materials for small-scale activities currently available to donors, PVO/NGO groups and local government professionals. To support the environmental assessment (EA) and sound design courses, ENCAP together with the Asia/Near Bureau developed the *Environmental Procedures Training Manual (EPTM)* to guide participants through the step-by-step process in applying sound environmental design processes as specified under USAID's Environmental Procedures. For all course participants, ENCAP developed the *Participants' Sourcebook*, which serves both as workbook and post-course reference, as well as the *Environmental Guidelines for Small-Scale Activities*. As of December 2002, 280 full copies of the EPTM had been downloaded from the ENCAP website, with many more distributed in hard copy and on CD-ROM through the Bureau for Africa, the Asia/Near East Bureau and DCHA. ENCAP also developed material for the ENCAP course *Participants' Sourcebook*, an *Introduction to EIA Principles*, a *Facilitators' Guide*, and course *Organizer's Notes*. Similarly, ENCAP has produced specific training materials and modules for USAID Mission Environmental Officers and staff.

All these, and other materials, are found at the ENCAP website [www.encapafrica.org](http://www.encapafrica.org), along with draft agendas, modules and PowerPoint presentations organized to facilitate their use by a variety of trainers.

### **Development of Best Practice Guidelines for Small-Scale Activities in Africa**

One of ENCAP's most important contributions has been the *Environmental Guidelines for Small-Scale Activities in Africa*. The *Guidelines* describe best practices and mitigation strategies by sector for environmentally sound design—and thus increased long-term development success—for small-scale activities. Sectors covered include road construction, micro/small enterprise support, water and sanitation, solid and medical waste, ecotourism, agriculture and irrigation, IPM/pesticides, forestry, humanitarian response, and others. Each sector module draws on literature and materials developed and applied by a number of leading field-based practitioners/institutions and are especially valuable because of the annotated list of useful on-

line references. These materials with annotated links are continually updated and refined on the ENCAP website.

Even without systematic ENCAP advertising, the site's "readership" has increased steadily, and is now over twice what it was during the first few months, up from around 500 to over 1,100 a month. Sessions have tracked unique users, and the number of total hits is currently relatively steady at around 12,000 a month. To facilitate the use of these materials in African settings where downloading of ENCAP materials may be difficult from the Internet, these resources are also available on CD-ROM.

### **Contribution to African Capacity through the Professional Development Program**

ENCAP organized and implemented an innovative program—called the Professional Development (PD) Program—giving African professionals an opportunity to partake in three to six month mentored positions working on EIA-related activities. PD Fellows have either worked on EIA teams or been involved in tasks that have allowed them to develop their expertise and use the latest in EIA methodology. The pilot EIA PD Program developed by ENCAP and the East African Association for Impact Assessment (EAAIA) was judged highly successful, resulting in award of eight Fellowships, four of them to women. And the private sector has been an active participant in the process, creating nearly 20 slots for Fellows. Less than a year after the completion of this East African pilot PD fellowship program, seven of the eight Fellows have gone on to full-time jobs or been offered Ph.D. Fellowships, thanks in part to the experience of the Fellowships.

ENCAP collaborated with African "nodes" of the regional Capacity and Linkages in EIA in Africa (CLEIAA) network to develop a joint proposal for a much-expanded program. ENCAP's trial of the PD Program concept proved so successful that the three networks of EIA professionals in Africa and the International Association for Impact Assessment (IAIA) joined together in 2003 to propose that the REDSO/ESA model now be adopted as a 5-year \$3.5 million capacity building initiative to which USAID would be only one of many donor contributors.

### **Delivery of Analytic Support Services**

ENCAP has provided analytic support to the Africa Bureau, REDSO/ESA and country Missions on topics related to environmental compliance, assessment and environmentally sound design. Priority has been given to activities that have relevance on a regional scale, and that generate results that are of value to multiple countries. ENCAP's support to programmatic environmental assessment is an important area of this analytic work., and work to complete programmatic environmental assessments of road building in Tanzania's national parks, small-scale irrigation in Ethiopia and forest co-management in Guinea are but a few examples. ENCAP has also supported key discussion papers on select topics, including one on trade and the environment and another on natural resource accounting. Finally, members of ENCAP played a catalytic role in the organization of an Environment Working Group (EWG) for the Food Aid Management (FAM) group, and ENCAP team members have provided regular technical input to that group, helping in the process to respond to needs for documentation and training materials needed to comply with Regulation 216.

## Opportunities for Continued Support to ENCAP Clients

This *Program Review* suggests that ENCAP has made progress in answering technical assistance needs of missions and partners for Environmentally Sound Design, Assessment and Compliance. More, of course, can be done, and the process of undertaking this review has also made clear that these needs are continuing: personnel in USAID and its partners turn over, new areas of development intervention evolve and USAID's project development and planning processes change. To build upon the success of the past and to carry the work of ENCAP forward special attention might be paid to three cross-cutting principles:

- **Emphasize African-led initiatives and institutions.** During the period of ENCAP, and with ENCAP support, African-led EIA initiatives and institutions have multiplied. ENCAP follow-on efforts should build upon this new institutional framework and capacity, and be careful not to duplicate it. In light of this principle, a training-of-trainers approach might supplant the model used in the past, while institutional partners might be sought more regularly for undertaking training programs.
- **Place increasing emphasis on available technology tools for training and improved knowledge management:** Internet and CD-based distribution of training and resource materials—and the interactive forms of presentation and access that these mediums allow—are essential if ENCAP resources are to achieve their full potential in dissemination and use. Knowledge management tools such as *Share Point Services* or the *Simplify* tests currently being undertaken by USAID's FRAME activity (see [www.frameweb.org](http://www.frameweb.org)) should be developed for ENCAP target groups.
- **Apply practical indicators to measure the effectiveness of ENCAP training and capacity-building.** Results and needs assessment is essential for ENCAP to deploy its resources most effectively. This program review provides a base upon which a more sophisticated, ongoing measurement and monitoring protocols can be designed. For example, ENCAP has consistently tracked its trainees, and now manages a database of hundreds of such trainees. Future efforts should capitalize on this knowledge base by ensuring that training impact is understood and used to modify and improve future capacity building initiatives.

Adhering to these principles, follow-on activities to ENCAP could help to ensure that both Mission staff and USAID partners are regularly exposed to the EIA process, to environmentally sound design, and to their mandatory responsibilities in applying USAID's environmental procedures. ENCAP follow-on work would also help to help address USAID Mission needs for analysis, training, preparation of required documents and strategic planning processes that internalize environmentally sound design. And future ENCAP follow-on efforts might also assure that initiatives recently begun—such as work on environmental dimensions of cleaner production or analysis of sustainable EIA financing—can reach their potential.

Exhibit 1 summarizes outstanding needs for environmental capacity building in ENCAP areas, as identified through discussions with target groups, and recommended future activities for ENCAP follow-on work. A more detailed treatment of this exhibit is included in the body of the paper.

**Exhibit 1. Stated Needs of ENCAP Target Clients, and Recommended Follow-on Actions**

Needs Identified by ENCAP Target Clients	Recommended ENCAP Follow-on Activities
Support regional environmental assessment training that promotes multi-sectoral environmental capacity and focuses increased effort on training African professionals.	<ul style="list-style-type: none"> <li>Continue to support regional environmental assessment training, with a focus on training local Africa-based professionals to deliver future courses. Move ENCAP training support to the field.</li> </ul>
Support USAID Missions in applying environmental procedures and environmentally sound design principles to Mission Strategic Planning and the development of Strategic Objectives, intermediate results and proposed interventions. Assist countries in strengthening their capabilities in environmental analysis and assessment. Help define environmental limiting factors that constrain development. Identify activities that can assist in sustaining or restoring the renewable natural resource base.	<ul style="list-style-type: none"> <li>Work with REO, MEO and key USAID program staff to identify ways to enhance environmentally sound design at the earliest stages in policy, program and activity design, using ESD principles and compliance requirements.</li> <li>Identify, capitalize upon and strengthen interdependent linkages among ENCAP initiatives and responses to the development of Mission Country Integrated Strategic Plans.</li> <li>Promulgate and pilot these program design best practices by maintaining and strengthening ENCAP's Mission Support Services.</li> </ul>
Increase use of critical environmental and social information by USAID and other decision-makers.	<ul style="list-style-type: none"> <li>Integrate efforts to incorporate EIA principles and practice under ENCAP with the Africa Bureau's Strategic Environmental Analysis and Monitoring (SEAM) program.</li> <li>Provide technical assistance to increase use of critical information by USAID and other decision-makers which supports programming in environment/natural resource management in Eastern and Southern Africa.</li> </ul>
Support PVO Regulation 216 compliance and ESD capacity in the P.L. 480 Title II development program	<ul style="list-style-type: none"> <li>Further integrate environmentally sound design and 'best practice' in Title II development program, and develop skills in specific technical areas identified by the Food Aid Management (FAM) consortium's Environmental Working Group (EWG).</li> </ul>
Support institutional development of African EA institutions, organizations and professionals by moving beyond a primary focus short-term workshops and towards more active engagement of African environmental professionals in EIA and related activities.	<ul style="list-style-type: none"> <li>Continue logistical support to the expanded Professional Development Program for African EIA professionals.</li> <li>Partner with African EIA organizations in training delivery and design of training curricula.</li> <li>Identify additional ways to support the EAAIA, SAIEA, WAAIA, and IAIA, such as supporting efforts by African EIA professionals to develop approaches to increasing the financial sustainability of EIA institutions. Complement African-led initiatives to demonstrate to political and economic decision-makers the value of EIA processes to long-term sustainability of development interventions, policies and programs, including the use of various media and market research approaches to strengthening EIA programs in Africa.</li> </ul>
Offer best-practice guidance and compliance assistance for emerging development interventions	<ul style="list-style-type: none"> <li>Revise, adapt or develop additional training and resource materials as appropriate, informed by the <i>ENCAP Program Review</i> and lessons learned in the Africa Bureau environmental training program and strategy.</li> </ul>



## Section 1. Introduction

USAID’s Environmental Capacity Building Program (ENCAP) was established in 1995 to help USAID Missions and Mission Partners in Africa apply environmentally sound design and “best practice” and the use of USAID Environmental Procedures to improve the design and long-term sustainability of Africa Bureau policies, programs and project activities.

When human waste from new latrines or pesticides from a cattle dip contaminate a community’s water supply, or when erosion gullies created by a market access road destroy downslope agricultural fields, an environmental failure occurs. Such failures off-set or reduce—sometimes entirely—the intended benefits of the activity. Conversely, when agroforestry interventions increase smallholder income in the near term and conserve soil fertility in the long term, environmental and economic co-benefits are mutually reinforcing. ENCAP field work in more than 20 countries has demonstrated that environmental failures are unnecessarily common, and environmental co-benefits are too infrequently exploited.

Environmentally sound design and environmental impact assessment (EIA) processes, rather than impeding development, are very similar to medical practice undertaken to ensure the current and future well-being of patients, reduce their risks, and lower overall costs to society.

USAID’s mandatory environmental procedures, when applied early enough in design, provide one of the few systematic means for helping guarantee sound design and the long-term sustainability of our activities. The ENCAP Program supports Missions in this effort, and also helps Mission staff and partners acquire and apply “best practice” principles in the design and management of projects, particularly small-scale development activities undertaken by our partners.

### 1.1 Origin and Purpose of ENCAP

In many African nations, the environment and natural resource base continues to deteriorate, in part because there are neither the trained professionals, nor the strong institutions needed for protection of the environment or sustainable resource management.

More narrowly, USAID is required by law to comply with its Environmental Procedures (22 CFR 216 or “Reg. 216”). Reg. 216 requires environmental review prior to the obligation of funds for new programs, projects, and activities. Compliance requirements pertain both to USAID country Missions and to the agency’s partner organizations, who design and execute many agency-funded activities.

This environmental capacity deficit, USAID’s legal environmental compliance obligations, and its ethical obligation to engage in environmentally sound development activities and programs mean that needs exist among USAID Missions and Partners for systems, guidelines, technical assistance and training to carry out effective environmental review and program implementation.

In response to these needs, USAID's Bureau for Africa's began an environmental management capacity building program (ENCAP) in 1994/1995. Its purpose was and continues to be to strengthen environmental compliance, review, management and monitoring capacity among USAID missions and partners—including contractors, grantees, host country collaborators and African EIA professionals. ENCAP has been heavily involved in increasing PVO cooperating sponsor (CS) capacity to assure compliance with USAID environmental procedures and application of environmentally sound design principles in activities funded with monetized food aid ("Title II" activities).



**Exhibit 2.** A waste disposal site in a village near Segou, Mali. ENCAP courses explored the impacts of leaving pits like this uncovered.

The philosophy behind the ENCAP approach is that incorporating environmentally sound design at the earliest stages in policy, program and activity design enhances the success of USAID interventions and helps avoid potential project and program failures. USAID's mandatory Regulation 216 provides a step by step, systematic approach to increasing sustainability in policy, program and project design, but it and USAID's other environmental regulations must be applied at the earliest stages in the design process in order to be effective. Their use is in many ways analogous to the use of preliminary medical diagnostic techniques to identify potential trouble, and to devise strategies or cures to deal with the potential problems before they develop into costly, longer-term or incurable disease.

Since 1995, the Africa Bureau Environmental Office (AFR/SD), in conjunction with the Regional Environmental Offices (REDSO/ESA in Nairobi, and REDSO/WCA in Mali), have worked to develop the various elements of ENCAP. ENCAP builds on and complements both existing and planned USAID and Africa Bureau initiatives in this area.

## 1.2 Specific Objectives and Components

To improve the environmental compliance capability of USAID and its African Partners, and to improve environmentally sound design capacity in the African context generally, ENCAP carries out four sets of activities:

- **Training** in environmental assessment, environmentally sound design for small-scale activities, and compliance with USAID's environmental procedures.
- **Resource materials development and dissemination** in support of training and for general use by USAID staff, partners and African development professionals.
- **Professional development** of African environmental impact assessment professionals and **institutional support** to African EIA organizations.

- **Technical and analytical assistance to USAID offices and missions** related to EA, sectoral best practice, and environmental compliance. Such assistance is carried out in support of the AFR Special Support Objective (SSO) for Environmental Quality, REDSO/ESA's environmental and natural resources management Strategic Objective (SO2), and USAID Africa Bureau field missions.

Each activity area is described in more detail below:

### ***Training in environmental assessment, compliance and environmentally sound design for small-scale development activities***

ENCAP developed the 5-day *Africa Regional Training Course in Environmental Assessment and Environmentally Sound Design* to meet needs for environmental assessment, compliance and environmentally sound design capacity in USAID and its partner organizations. The course relies on environmental reviews of proposed activities using actual field case site visits and reviews. It focuses on the use of environmentally sound design principles and USAID procedures as tools to improve the sustainability of development interventions and avoid program failures. More than 1,000 professionals from over 400 organizations across sub-Saharan Africa have participated in 29 ENCAP courses since 1995. ENCAP has supported course delivery with matching contributions by country missions and USAID partners.

The course was designed to respond to the specific design needs of USAID's Implementing Partners, since they now bear increasing project design responsibilities in Africa. It also strengthens Mission capacity to apply the procedures in support of Africa Bureau policy to enhance Mission-level authority for environmental review.

Increasingly, ENCAP is involved in development and delivery of trainings in best management practices (BMP) for small-scale activities, including for example courses in cleaner production for micro and small enterprises, rural roads, pesticides, irrigation and water development and sanitation.

### ***Resource materials development and dissemination***

ENCAP has devoted significant effort to development of resource materials for use in its training activities, and for more general use by USAID staff, partners and African Professionals. These materials address EIA principles, USAID procedures, and sectoral best practice. They include:

- The *USAID Environmental Procedures Training Manual* and its predecessor, the *Environmental Documentation Manual*—detailed reference guides on Regulation 216 environmental review and compliance. They are widely used by USAID staff and partners in Africa, and increasingly, worldwide.
- The second edition of the *Environmental Guidelines for Small-Scale Activities in Africa*, currently in final production. This document details environmental impacts, mitigation and monitoring recommendations and BMPs for several development sectors (e.g., health, water and sanitation, micro and small enterprises, rural roads, small scale

construction of schools and health posts, agricultural development, irrigation, forestry, energy, ecotourism, community-based natural resource management, humanitarian assistance). A particularly valuable feature of *Guidelines* is the effort given to providing the latest in web-based annotated references for development practitioners.

- A *Participants' Sourcebook, Facilitators' Guide, An Introduction to Environmental Impact Assessment* and course *Organizer's Notes*—for the *Africa Regional Training Course in Environmental Assessment and Environmentally Sound Design* and PowerPoint presentations available on the ENCAP website linked to the draft course agenda.
- A training sourcebook and slide presentations for a three day course in *Cleaner Production for Micro and Small Enterprises*, developed for TechnoServe, with support from ENCAP and USAID/Mozambique.
- A training sourcebook and PowerPoint presentations for a three day course for Mission environmental officers (MEOs) and Mission staff in the application of USAID environmental procedures in sound policy, program and project design.

The ENCAP website [www.encapafrika.org](http://www.encapafrika.org) provides access to all of the ENCAP products as well as links to additional training and technical resources available through other donors and non-governmental organizations. In addition, the ENCAP products are also made available on CD-ROM, which can be particularly useful in remote settings in Africa, where Internet connections are often very slow and expensive, when available at all.

Over the past several years, the ENCAP team and others have contributed to the development of a section on Environmental Impact Assessment on the Analytical Tools page of the FRAME website: see [www.frameweb.org](http://www.frameweb.org). This site is a rich source of information and documentation for USAID partners. The continuing efforts of the Africa Bureau with respect to ENCAP training and documentation have created opportunities for information-sharing and inter-bureau coordination of environmental assessment training, through collaboration among bureau environmental officers and ENCAP partners. For example, *Environmental Guidelines* were developed for the Latin America and Caribbean Bureau, by drawing on the *Environmental Guidelines for Small Scale Activities in Africa*. The ENCAP course materials, environmental guidelines, websites, CD-ROMs and newly developed computer-based training modules together present a valuable set of materials for USAID implementing partners and MEOs to adapt and utilize worldwide.

### **Professional development of African EIA professionals and institutional support to African EIA organizations**

ENCAP is partnering with regional EIA capacity-building organizations to support development of EIA experts and institutional capacity, and is also developing Africa-based capacity to conduct EIA courses. Activities include:

- Development and management of a Professional Development Fellowships program for African EIA professionals in collaboration with Capacity Development and Linkages for

EIA in Africa (CLEIAA), Southern African Institute for Environmental Assessment (SAIEA), and the East African Association for Impact Assessment (EAAIA). The program provides 3–6 month capacity building opportunities, for example, by participating on environmental impact assessment teams in Africa, receiving mentoring from other EIA professionals in Africa, or taking applied short-courses related to EIA disciplines;

- Proposed expansion of the pilot program for eight Fellows to a multidonor five year program supporting up to 50 Fellows. The program proposal is being sponsored by EAAIA, SAIEA, the West African Association for Impact Assessment (WAAIA) and the International Association for Impact Assessment.
- Support to increase the value and effectiveness of EIA in sustainable design and mitigation for development programs and projects in Africa, including assistance in systematic identification of mechanisms for financial sustainability of country-level EIA institutions
- Support of EIA *training of trainers* in Africa and use of such trainers in ENCAP courses.

**Technical and analytical assistance to AFR Special Support Objective for Environmental Quality, and REDSO/ESA environmental and natural resource management Strategic Objective (SO2), and USAID Africa Bureau field missions**

ENCAP provides analytic support to AFR, REDSO/ESA and country missions on topics related to environmental compliance, assessment and environmentally sound design. (see additional details in Section 5). Priority has been given to activities that have relevance on a regional scale, and that generate results that are of value to multiple countries. Examples of these activities include:

- *Programmatic Environmental Assessments (PEAs)*. ENCAP contributed to the development of a PEA on small scale irrigation in Ethiopia (1998), on Insecticide Treated Nets in Southern Africa (1999), on Road Improvements in Tanzania's National Parks (Dec 2000), and on Forest Co-Management in Guinea (April 2001).
- *Discussion Papers*. ENCAP supported preparation of a paper on *Trade and Environment: Critical Concepts and Considerations for Project Design and Implementation* (June 2000) and on *Environmental and Natural Resource Accounting (ENRA) and Potential Applications in African Countries* to describe NR accounting and its potential uses, and to provide an overview of ENRA experiences in a number of countries.
- *Members of the ENCAP core team*, have played a catalytic role in the organization of an Environment Working Group (EWG) for the Food Aid Management (FAM) group, and ENCAP team members been regular participants in the meetings and work of the FAM/EWG. This working group has helped to identify and respond to the specific needs of the FAM members regarding documentation and training materials needed to comply

with Regulation 216 and to integrate sustainable design and management considerations into Title II food aid and related relief and reconstruction programs.

### 1.3 Program Resources, Responsible Parties and Funding Mechanisms

From October 1, 1996–30 September 2002, ENCAP was carried out through the Environmental Policy and Institutional Strengthening IQC, or EPIQ I. The International Resources Group (IRG) served as the prime contractor for EPIQ. Tellus Institute, a member of the EPIQ consortium, was as the principle provider of contractor technical assistance to ENCAP. Prior to 1996, the earliest activities in the area of Environmental Capacity building and Environmental Assessment training were initiated under the Environmental Policy and Training (EPAT) program, which was implemented by a consortium led by Winrock International.

For FY 2003, ENCAP is being carried out under a GSA schedule for Management, Organization and Business Improvement Services (MOBIS). International Resources Group (IRG) and Tellus are maintaining their roles under this new contract mechanism.

#### **Funding**

Primary funding has been provided by Bureau for Africa's Office of Sustainable Development, AFR/SD/ANRE and USAID's Regional Economic Development Support Office for East and Southern Africa (REDSO/ESA). Total ENCAP funding is show in exhibit 3.

#### **Exhibit 3. USAID Bureau for Africa Funding to ENCAP**

<b>Name</b>	<b>Contract/T.O.</b>	<b>Period</b>	<b>Source of Funding</b>	<b>Amount</b>
ENCAP	EPIQ T.O. 7	Feb 97–Jan 98	AFR/SD	\$99,077
EIA Workshops	EPIQ T.O. 22	Sept 97–Dec 98	BHR/FFP	\$50,000
ENCAP II	EPIQ T.O. 23	Sept 97–Jan 98	AFR/SD	\$150,000
EMEMP	EPIQ T.O. 41	Sept 98–Sept 99	AFR/SD	\$65,000
ENCAP III	EPIQ T.O. 41	Sept 98–Sept 99	AFR/SD and REDSO/ESA	\$160,000
Uganda IEE Pesticides	EPIQ T.O. 48	Feb 99–Apr 99	REDSO/ESA	\$45,975
SEAM	EPIQ T.O. 35	Sept 99–Sept 02	AFR/SD	\$39,236
ENCAP IV	EPIQ T.O. 35	Sept 99–Sept 02	AFR/SD and REDSO/ESA	\$1,012,428
ENCAP V	MOBIS AFR NRM	Oct 02–Sept 03	AFR/SD and REDSO/ESA	\$325,000
<b>Total</b>				\$1,946,716

#### **Responsible parties**

IRG served as prime contractor for EPIQ I and thus provided overall financial and fiduciary management of ENCAP. IRG is continuing its role in FY 2003 under the MOBIS GSA mechanism. IRG is an international professional services firm headquartered in Washington, DC. ([www.irgltd.com](http://www.irgltd.com)). Boston-based Tellus Institute ([www.tellus.org](http://www.tellus.org)), a non-profit environmental research and consulting organization, has functioned as the primary provider of contractor technical assistance to ENCAP.

### **ENCAP Core Team**

The ENCAP Core Team is comprised of those individuals with the most direct oversight, planning and execution responsibility for the program. The current ENCAP Core Team is listed in exhibit 4.

#### **Exhibit 4. ENCAP Core Team**

<b>Name and Title</b>	<b>Organization</b>	<b>Role</b>
Carl Gallegos AFR Bureau Environmental Officer	USAID/AFR	Oversight for the Bureau for Africa Environmental Capacity Building Program (ENCAP). Principal liaison with the Economic Growth, Agriculture and Trade Bureau (EGAT), the Agency Environmental Coordinator, AFR programs and Mission Environmental Officers and other Bureau Environmental Officers.
Walter Knausenberger Senior Regional Environmental Officer	USAID/REDSO/ ESA	Since 1995, Principal architect of ENCAP objectives and selection of emerging issues. Primary Senior Manager for ENCAP field support to USAID Missions and Implementing Partners, including workplan development and monitoring, the EIA Professional Development Program, liaison with EAAIA, SAIEA and IAIA, and ENCAP course oversight.
Brian Hirsch Environmental Analyst and Policy Advisor	USAID/AFR	Primary Washington-based Manager of ENCAP activities, including workplan development and monitoring; development and maintenance of the ENCAP web-site; completion of the Environmental Guidelines for Small Scale Activities in Africa (EGSSAA), development of MEO training course materials; and refinement of web-based tools for MEOs and USAID Implementing Partners.
Weston Fisher Director, Capacity for Impact Assessment and Management	Tellus Institute	Manages Tellus Institute contributions to ENCAP, including: development and presentation of ENCAP courses since 1995 and preparation of resource materials including the EGSSAA 2nd edition. Supervises the Professional Development Program and the Cleaner Production for MSE training initiative; and other support services. Liaises with EAAIA, SAIEA and IAIA, and the World Bank and other Bureaus on ENCAP-related activities.
Mark Stoughton Associate Director for Impact Assessment and Management	Tellus Institute	Prepares and delivers ENCAP courses. Primary editor, responsible for development of and revisions to ENCAP resource and course materials, including the Environmental Procedures Training Manual. Co-developer with Brian Hirsch of the ENCAP website. Provides support to the Cleaner Production for MSE training initiative, and ENCAP emerging issues (e.g., Trade and Environment, Financial Sustainability for EIA institutions).
Philip DeCosse Senior Manager, Environment and Natural Resources	IRG	Technical lead for AFR/SD task orders, providing assistance with work planning, program implementation, reporting and liaison with USAID and program partners and support for emerging issues.

## 1.4 Purpose of This Review

AFR/SD and REDSO/ESA determined that the close of the EPIQ I funding mechanism and the goals of the Africa Bureau's "Environmental Quality" SO required a review of ENCAP effectiveness over the last six years and to examine how the program might be further strengthened.

The review serves as an evaluation of program performance and a synthesis of lessons learned, drawing on ENCAP's experience to guide future capacity building activities in Environmental Assessment and Management. It includes insights into current environmental assessment (EA) capacities and needs within USAID and its African partners.

Specifically, this *Program Review* is intended to:

- **Review the premise** for the ENCAP program;
- **Document ENCAP's outputs and results**; and
- **Assess these outputs and results** against ENCAP's objectives. Key questions for this assessment were:

*How much has ENCAP contributed to the goal of environmental assessment capacity building in USAID and among partners? How much more EA capacity is available to USAID and its partners as a result of that program? Is that capacity being utilized, and has it been of substantive benefit to the agency's objectives and programs?*

Where possible, these questions were evaluated quantitatively (e.g., numbers of participants trained, organizations reached, course evaluation scores). By their nature, however, many of ENCAP's results and impacts could only be evaluated more qualitatively. For example, interviews and qualitative evaluations and comments were used to assess ENCAP's impact on the quality of environmental documentation submissions and its impact on sound program and project design.

- **Provide insight into EA capacity-related capabilities and needs** among USAID and its African partners, including the adequacy of EA capacity to meet USAID environmental review requirements in Africa.
- **Provide other information and findings for use in strategic planning and workplan development** for the design of future environmental assessment capacity building efforts in Africa. Questions addressed in this context were:
  - What other approaches might be employed to create EA capacity in the field in Africa, other than the current ENCAP models?
  - What are the advantages and disadvantages of alternative approaches?

- What follow-up should ENCAP conduct with trainees to help cement the knowledge they acquired in ENCAP training and to see to it their EA training is applied effectively?

## 1.5 Authors and Reviewers

The outline and scope of this *Program Review* were initially drafted by Brian Hirsch (AFR/SD), Carl Gallegos and Djime Adoum (The Mitchell Group, a contractor provided in-house technical support to AFR/SD).

Weston Fisher and Mark Stoughton (Tellus Institute) drafted the initial text, with contributions from Brian Hirsch (AFR/SD), Djime Adoum, and IRG's Bob Winterbottom and Philip DeCosse. The remainder of the ENCAP Core Team, AFR BEO Carl Gallegos and REO Walter Knausenberger provided additional comments and review.

The ENCAP core team reviewed the document and its findings. Weston Fisher and Mark Stoughton, with assistance from Philip DeCosse, undertook editing and document assembly.

## 1.6 Methodology Employed

This *Program Review* draws on the following sources of information:

- **Contractor's progress reports & other documents and files related to evaluation or performance of particular aspects of the program.** Examples of such documents include: the final evaluation reports from ENCAP courses; and the evaluation of the Professional Development (PD) Fellowship Program for African EIA professionals.
- **Institutional memory and experience** embodied in those individuals active in the program since its inception.
- **Past participants' questionnaire.** An e-mail questionnaire was developed and sent to all persons trained in the ENCAP program for which an e-mail address is on file. The questionnaire was intended to assess: participant's views of the adequacy of the ENCAP course in the light of their subsequent professional experience; whether they are using EA knowledge gained in the course; and what follow-up training they might find useful. The questionnaire was also intended to identify past trainees who might now serve as an EA resource for USAID and its partners.
- **Solicited comments.** Comments and assessments were solicited from environmental professionals connected with USAID/Africa programs, as well as those working with other EA capacity-building efforts.

## 1.7 Organization of the Report

Sections 2–5 of the report reviews the ENCAP components and activities described earlier in this Section. The content of each section is summarized in exhibit 5.

Section 6, by contrast is intended to help shape the proposed next phase of ENCAP. Based on more than seven years of experience under ENCAP with environmental capacity building efforts in Africa, it provides recommendations and suggestions for:

- Continued training in USAID environmental documentation and best practice, emphasizing training of trainers and cultivation of in-Africa course facilitators and trainers.
- Refinements to training agendas in EIA, USAID environmental procedures, and sectoral BMPs.
- Resource materials development and refinement for EIA, sectoral BMPs, and USAID environmental procedures.
- Expansion of the Professional Development Fellows Program for African EIA professionals.
- Implementation of USAID Environmental Management Plans (EMPs) for mitigation and monitoring through selected follow-up reviews and technical assistance.
- Continued collaboration with the Bureau for Democracy, Conflict, and Humanitarian Assistance (DCHA) Title II FAM EWG to build internal capacity of partners for environmental review and BMP.
- Strengthening mechanisms for distributing and sharing ENCAP information electronically and for improved follow-up with past participants.
- USAID engagement with other emerging issues in the ENCAP purview.

**Exhibit 5. Contents of Sections 2–5**

<b>Section</b>	<b>Title</b>	<b>Content</b>
2	ENCAP Training Activities	Reviews training developed and delivered by ENCAP, including: <ul style="list-style-type: none"> <li>• Training in the principles of EIA and environmentally sound design</li> <li>• Training in USAID environmental procedures</li> <li>• Sectoral 'Best Management Practices' for small-scale development activities in Africa</li> </ul>
3	ENCAP Resource Materials	Describes the EIA and sector-based environmental best practice training and resource materials developed under ENCAP, including: <ul style="list-style-type: none"> <li>• Environmental Assessment (EIA) training materials</li> <li>• <i>Environmental Guidelines for Small-Scale Activities in Africa</i></li> <li>• Mission Environmental Officer and Mission staff training materials</li> <li>• Also describes the distribution and communication of ENCAP resources, including the development of the ENCAP website <a href="http://www.encapafrica.org">www.encapafrica.org</a> and the CD-ROM which incorporates much of the latest web based material.</li> </ul>
4	Professional Development Program for African EIA Professionals	Reviews the Professional Development Fellowship Program for African EIA practitioners, including: <ul style="list-style-type: none"> <li>• How the program was established</li> <li>• How the first round of Fellows were selected under the program</li> <li>• the final outcome from their selection of participants</li> <li>• Efforts to create an expanded PD program with multi-donor support</li> </ul>
5	Other Technical Support Activities	Reviews other ENCAP Technical Support elements, including: <ul style="list-style-type: none"> <li>• Preparation of various Programmatic Environmental Assessments for small-scale irrigation, IPM and pesticides, watershed management and road improvements in Tanzania's National Parks</li> <li>• ENCAP support to the formation and development of the East African Association for Impact Assessment (EAAIA) through IUCN/EARO in Nairobi, and liaison with EAAIA, SAIEA, IAIA and the World Bank on ENCAP-related activities</li> </ul>
6	Overall assessment	Synthesizes the activities and outcomes discussed in Sections 2–5



## Section 2. ENCAP Training Activities

### 2.1 Africa Regional Training Course in Environmental Assessment and Environmentally Sound Design

The *Africa Regional Training Course in Environmental Assessment and Environmentally Sound Design* (the “EA Course”) is typically 5 days in length, targeted at USAID partner organizations engaged in small-scale activities. It provides an introduction to environmentally sound design with application to key sectors, and interactive instruction in USAID environmental review requirements (Reg. 216 and associated directives; see exhibit 6). It is not intended as advanced technical training in impact assessment. Ideal course size is 35-45 participants.

The value of the course as a learning experience depends on participant active involvement in review of a set of field-based case studies. On day three of the course, participants form teams of 10-12 persons who carry out field observations and assessments of actual and proposed project sites. Participants then use the information gathered from the case sites visits to prepare draft environmental review or initial environmental examination (IEE) outlines. During pre-planning for the course, careful attention is paid to advance identification of more than one project site for each of a few sectors (e.g., roads, water and sanitation, agriculture, school or health post

#### Exhibit 6. USAID’s Environmental Procedures

Since 1977, USAID’s Environmental Procedures (known as Regulation 216) have applied to all new projects, programs or activities authorized or approved by USAID and to substantive amendments or extensions of ongoing projects, programs or activities. Their purpose is to:

- ensure that environmental consequences of USAID-funded activities are identified and considered in the design and implementation of activities prior to final decisions to proceed;
- assist countries in strengthening their environmental evaluation capabilities;
- define limiting environmental factors that constrain development; and
- identify activities that can assist in sustaining or restoring the natural resource base.

These procedures define the analysis and documentation needed for approval of project activities.

Required analyses can range from simpler environmental reviews and IEEs to more complete EAs and, in special or unusual circumstances, environmental impact statements (EISs). By contrast, some activities, such as education or disaster relief, are excluded or exempted from environmental analysis requirements.

Inadequate familiarity and experience with these procedures and principles frequently result in delays in project design and implementation.

The challenges of meeting USAID regulatory requirements have been particularly evident in the case of PVO/ NGO “umbrella” projects, in which many of the specific “sub-project” activities initially may not be well-defined. Once defined, each sub-project activity may need to be subjected to environmental review prior to implementation. They may also need to incorporate practical and effective environmental design considerations, as well as mitigation and monitoring steps to ensure environmental damage does not occur. The course is specifically designed to assist project implementers in completing these tasks.

construction, etc.) Then during the course, each team looks at a different set of sites. For example, one group may review roads, while another looks at wells and still another reviews school and health post construction. More than one project site is usually visited for each sector to provide the teams with examples of well designed activities, other activities with adverse effects, and the site of a proposed activity which becomes the subject of the team's actual environmental review exercise.

For most courses, two to three facilitators are used with knowledge of sound environmental design, USAID processes and environmental procedures. A similar number of local facilitators provide participants with background on the environmental and socio-cultural setting for the country or region in which the course is presented and for the case site visits.

Course delivery and materials development is currently funded by ENCAP, with matching contributions from the USAID Mission in a host country. Tellus Institute, which developed the course with USAID REDSO/ESA and AFR/SD staff, often conducts preplanning and materials preparation, as well as providing the principal course trainer.

### **EA Courses to Date**

The first course was given in Kadoma, Zimbabwe, July 31-Aug. 4, 1995. As of November 2002, it had been delivered more than 22 times, with Tellus Institute providing direct organizational support and a principal trainer on 18 occasions.

Courses have been held in Mozambique, Madagascar, Uganda (twice), Tanzania (twice), Guinea, Senegal, Mali, Kenya (three times), Botswana, Angola and Zambia, Nigeria and—in modified form for Title II PVO/NGOs—in Ethiopia (twice), Ghana, Cape Verde, Mozambique, and Mali. ENCAP also co-sponsored a Training of Trainers Course for Title II Cooperating Sponsors (CSs) in Washington, DC in September 2000.

As of September 2002, training has been received by a total of approximately 400 country organizations and 1000 participants.

### **Exhibit 7. The perspective of an African Wildlife Federation manager on in-house environmental review capability**

In the Nairobi office of the AWF, an in-house African expert prepares all Environmental Reviews with input from the project management teams.

Nairobi-based AWF manager Christine Guchu-Katee (a past ENCAP training participant) described the value of this in-house capability in an interview with members of the ENCAP core team.

She said that she could contract local experts in environmental assessment to write her environmental reviews, but that in-house expertise is cheaper, easier and more effective. Contractors used in the past have been expensive and the quality of their product poor. A contracted environmental review for one of the enterprise programs they promote would range from \$250–500 for less-experienced consultants, up to \$1,200 for a professional with seasoned experience.

AWF considers it very important that all of their team members understand the environmental review process. As the manager, she also feels the need for understanding the environmental review process so she can better review proposals as well as review the environmental assessments prepared by her staff and contractors.

All members of the internal teams that review AWF enterprise proposals have received environmental training.

### **Rationale for the EA Course**

The course is a key element of ENCAP. The motivation behind its conception was two-fold.

First was the Africa Bureau's belief that the responsibility for environmental compliance, including environmental review and the design of mitigation measures and monitoring should begin with the actual "owners" (designers and implementers) of activities. Over the last decade or so, the proportion of USAID programs consisting of grants or agreements with private PVOs grew substantially and PVOs, NGOs and host countries became increasingly responsible for implementing USAID activities in Africa.

The second was that in 1995, Africa Bureau environmental and legal staff began to provide significantly enhanced responsibility and authority to carry out environmental reviews to those USAID Mission programs whose designers and/or implementers successfully completed an Environmental Assessment course and/or participated in related capacity-building activities. Enhanced authority was provided on a trial basis under the assumption that participating missions would be better prepared to ensure that the program/project in question would be designed and implemented in an environmentally sound manner and in accordance with all salient agency policies and procedures.



**Exhibit 8.** ENCAP students review environmental issues at a water-filled borrow pit in Chibombo, Zambia.

The course is intended to provide PVOs/NGOs and USAID mission program staff with the tools needed to comply with USAID's environmental procedures, to anticipate "reasonably foreseeable impacts," to be able to design alternative actions or companion projects, and to devise mitigation measures, monitoring plans, or other steps that will help ensure that environmental impacts are avoided or minimized. The program supports the principle "first, do no harm" and is meant to help USAID and its partners avoid costly design mistakes and potential project or activity failures.

Thus, the course was conceived as way of helping USAID and USAID partners working in Africa improve the success and sustainability of their interventions, particularly those that are small-scale in nature. The intention is also to provide greater flexibility and responsibility to those Missions, PVOs and NGOs successfully completing the EA Course in carrying out sub-grant/sub-activity environmental reviews.

In addition, the courses are one means of building capacity in developing country NGOs and local institutions to expand their capacity in environmental management and help them reduce their dependence on external assistance.

### **EA Course structure, organization and materials**

The course materials are described briefly in Section 3. The course agenda generally follows the high-level outline given below.

#### **Exhibit 9. Summary ENCAP EA course agenda**

Sunday	PM	Participants arrive
Monday	AM	Motivation and basic concepts for environmental assessment and environmentally sound design
	PM	USAID environmental screening procedures: theory and application
Tuesday	AM	The local context: environment and environmental policy; environmental information sources; social and cultural context and information sources; Information requirements and tools for screening and preliminary assessment
	PM	Environmental mitigation and monitoring; Theory of writing environmental reviews or IEEs; field trip briefings
Wednesday	AM&PM	Field trips to sectoral activities
Thursday	AM	Drafting environmental reviews based on field trip activities
	PM	Presentation of environmental reviews; advanced topics and practice in environmental assessment
Friday	AM	Drafting mitigation and monitoring plans based on field trip activities
	PM	Special topics; course evaluation and synthesis; closing ceremony.
Saturday	AM	Departure (out-of-town participants)

A full description of the course, agenda and course materials, as well as a database of past participants, is available <http://www.encapafrika.org>.

### **Course Preparation, Budget and Resources**

**Preplanning.** Preplanning ideally occurs *at least two months* prior to the presentation. Tasks include identification of: local environmental and socio-cultural facilitator; the lead USAID partner in-country; logistics requirements; collection of background information to be used in the course, including maps and project design documents; field visits to identify case sites and venue; and preparation of case site descriptions. Case sites are typically at rural locations where USAID Partners are carrying out small-scale development activities.

ENCAP has supported the contractor's labor, travel and *per diem* associated with preplanning. The USAID Mission, or an Implementing Partner who hosts the course, support the preplanning by providing a vehicle, driver and counterpart staff during the field site identification and administrative and logistical support to the Tellus contractor during the preplanning TDY.

The level of effort devoted to pre-planning is normally on the order of 11-13 days depending on the ease of identifying case sites and the venue, and time required to prepare case site descriptions. Total pre-planning costs also usually include costs for a consultant roundtrip airfare, per diem, and other miscellaneous expenses. Overall costs for pre-planning may vary from \$10,000 to \$15,000 depending on who is selected to carry out the preplanning exercise, the difficulty in identifying the case sites and venue.



**Exhibit 10.** At a health post medical waste site in Chibombo District, Zambia, ENCAP students observe risks and discuss mitigation measures.

**Distribution of course delivery costs.** Costs for the course itself have typically been distributed between ENCAP, the USAID country mission, REDSO, and the USAID partners attending the course. Overall course costs may range from \$30,000 to \$65,000 depending on the use of consultants as principal trainers and their daily rates, the degree to which USAID funds transportation and per diem, and other factors. The actual distribution of costs varies with each course. The primary financial sponsor for the actual courses are USAID country missions, which may execute the course directly or support it via an in-country partner organization.

**Contract mechanism for engaging ENCAP contractor.** Tellus Institute has provided the principal trainer for nearly all courses held to date. (In the next phase of the activity, training responsibilities will increasingly be shifted to

African professionals who previously attended the course as participants.) Tellus' role in course delivery has been financed in several ways:

- Via direct contract between the USAID Mission and Tellus
- Via direct contract between the host organization and Tellus
- Via Mission buy-in to the EPIQ IQC

Implementing the contractual mechanism has in almost all cases required a significant commitment of USAID mission, host organization and Tellus staff time.

### **Course Results: Participant Evaluations**

**Overall evaluations.** The courses have been very well received, and the continued evolution of the course owes much to participant suggestions. The current evaluation scheme has been used for almost every course given. It asks participants to give confidential responses to two questions. The questions and the responses are provided in exhibit 11.

**Exhibit 11. Overall Course Evaluation Results**

Question	Average Rating	Highest Rating	Lowest Rating
How would you assess the overall quality of the course content?	4.3	4.6 Cape Verde, March 1998	3.9* Mekelle, Ethiopia, February 1997
Please rate and comment on the extent to which the course improved your understanding of environmental assessment.	4.2	4.6 Cape Verde, March 1998	3.9* Mekelle, Ethiopia, February 1997

\* This training applied the course for the first time to PVO food-aided development activities. The experience made clear that a different approach to training in environmental documentation was needed to meet the specific needs of Title II PVOs. In response, a new *Environmental Documentation Manual* (EDM) was developed with the Bureau of Humanitarian Response and the Environmental Working Group of the Food Aid Management consortium (see Section 3).

**Detailed Naivasha course evaluation.** For the ENCAP EA training held in Naivasha, Kenya in April 2002, a more detailed survey instrument was administered. All 39 participants who attended the course completed the questionnaire. Most (34) were first-time participants.

- **Expectations:** 23 of 39 reported that the course met their expectations “completely” or “adequately.” 15 indicated that their expectations were somewhat met and 1 reported not met at all.
- **Capability to function as a trainer:** Twenty-nine participants reported that after the course, they would have the capacity to train others. Eighteen, including some of this 29, reported that they would need additional tools/training to function as trainers themselves. Additional detail regarding the areas in which participants felt competent to train others is provided in exhibit 12.

**Exhibit 12. Capacity to Conduct Training by Area**

Respondents that reported capacity to conduct training by area								
<i>Environment principles</i>			<i>Initial Assessment</i>			<i>USAID Procedures</i>		
Yes	No	Not sure	Yes	No	Not sure	Yes	No	Not sure
31	4	4	28	6	5	26	5	8
80%	10%	10%	72%	15%	3%	67%	13%	20%

- **Availability of non-ENCAP EA training:** Twenty-six participants indicated that they received training from sources other than ENCAP, mostly from their undergraduate and/or graduate degree programs. With respect to a question about whether or not training is available from other sources, 14 participants said yes, while 23 did not know of training opportunities outside ENCAP.
- **Substantive participation in environment assessment before the training:** 22 participants reported having conducted environmental assessment prior to their participation in the ENCAP training, 15 participants said “no” and 2 did not provide an

answer. Almost all those that responded (21) gave examples where they applied their knowledge to conduct environmental assessment.

- **Extent to which participants saw value in the training for others in their organization.** While 10 respondents did not provide answers to the question, the remaining 29 indicated that they would like to train or have others in their company attend the training. Some respondents reported as many as 50, 48, 20, 15, 14 and 10 individuals as likely training candidates.

### **Course Results: Have Participants Applied What They Learned?**

For this *Program Review*, a survey instrument was designed to collect data from previous ENCAP course participants. Its purpose was to gain insight into the long-term impact of the course and to determine if the participants actually applied the knowledge they gained from the

#### **Exhibit 13. EA Course Comments**

##### Comments from the 2001 Zambia course:

*"The course was very well presented and the practical exercises added comprehension to ideas and concepts. The selection of resource persons (facilitators) from various backgrounds added a wonderful dimension. With virtually no experience in environmentally sound design and environmental impact assessment, the course equipped me with a new set of skills."*

*"Enjoyed working in groups and giving everybody the opportunity to contribute. "*

*"Clearly the course has sharpened my appreciation and understanding of the fact that EA is not a donor requirement, but a must for everyone."*

##### Comments from the 2002 Ethiopia course:

*"Including actual cases from different Cooperating Sponsors helped much. The actual case study sites (the road, irrigation, soil & water conservation) added high value to the learning process"*

*"Very good instructors, well-prepared and hard-working. Well-organized handout. As a new participant, I benefited much and acquired significant exposure in the field. Given the illustration in the classroom, the group work and the field exercise, I hope will enable me to take up the task. Guidelines are there."*

*"This course has increased my understanding from scratch to a very high level."*

##### Comments from the 2002 Kenya course:

*"In terms of presentation, it's the best I have ever attended. "*

*"The materials were quite easy to understand. The facilitators were lively and well versed in the subject. The course is well organized and rich. I got the skills on 'how to' do EIA. I have learned the USAID requirements and procedures which I didn't before. "*

*" Course materials preparation was superb. I benefited a lot from the training objective and point of view. The many case studies we did were very helpful. I can now handle ER with confidence."*

*"The field work was really important in giving me a handle on experience"*

##### Comments from the 2002 Uganda course:

*"[The course] has removed my previous belief that environmental assessment was complicated and an obstruction to project implementation"*

*"Initially I understood EA as a threat to developers but at the end of the workshop, I had understood that it assists developers. . ."*

course and course materials. The survey instrument was administered via email. About 400 electronic survey questionnaires were emailed. Two additional follow up emails were sent to increase the rate of return. Twenty participants who attended previous training courses completed and returned the survey instruments.

The response rate for this email survey was low (20 out of 400), and a reasonable interpretation is that those responding are those upon whom the ENCAP training made a strong impression. A summary of responses to key questions follows:

- **Extent of usefulness of ENCAP Resources:** With the exception of one participant who mentioned “not at all useful,” 19 respondents indicated that the materials were either useful or outstanding.
- **Occupation before and after the course:** Most respondents held decision-making positions. In fact 18 had oversight responsibilities before the course and all reported “oversight” after the course. Most respondents used ENCAP as their source for training in environmental impact assessment (65%) and reported that they could not have received training from a source other than ENCAP (60%).
- **Comparative advantage of ENCAP to other sources:** Nine participants reported that ENCAP training was useful and 5 participants indicated that ENCAP was “outstanding.” Thirteen participants did not respond and 5 respondents indicated that their participation in ENCAP led them to take additional training.

**Repeat participant interviews.** Six individuals who participated in the Nazareth, Ethiopia, course (February 2002) were repeat participants and were interviewed. Of these, one had taken the course 4 times (including Nazareth). All indicated that the ENCAP training course taught them useful lessons which helped them design and implement better programs within the context of Title II funded activities. They all noted training from ENCAP helped them understand and appreciate the extent of environmental degradation in Ethiopia. They indicated that they are fortunate to have the opportunity to learn and acquire the knowledge imparted by the course.

They also reported that they became more sensitized to environmental degradation issues and were using knowledge gained from ENCAP to combat environmental degradation. The individual who took the course 4 times conducted training for his colleagues and became the key person providing advice to his agency in other sectors as well. A second individual who is no longer working with his previous employer is currently using that knowledge in a much larger capacity as the regional environmental officer at the US Embassy in Addis Ababa.

### **Course Results: Has ENCAP Training Improved the Quality of USAID Environmental Documentation?**

The EA Course was intended to build USAID Partner capacity for environmental review—both as a means to improve the environmental soundness of partner development activities, and to improve understanding of and compliance with USAID’s environmental procedures. The quality of USAID environmental documentation submitted by partners is perhaps the strongest indicator of capacity both for compliance and environmentally sound design.

**Exhibit 14. Qualitative Observations Offered by USAID Environmental Officers on ENCAP Training Courses**

Person and Title	Has ENCAP Training Improved the Quality of USAID Environmental Documentation?
<p><b>Carl Gallegos</b> Africa Bureau Environmental Officer</p>	<p>“Most certainly. The drafts we are receiving from the Missions are better prepared, and less time is required for the REO and BEO to finalize the IEEs. Most importantly, however, the knowledge of our partners and customers of USAID environmental regulations has improved considerably, and they have a better understanding of the regulatory requirements for USAID funded projects.<sup>1</sup></p> <p>“An additional benefit has been that environmental awareness has increased significantly amongst our partners and customers, and they have incorporated environmental considerations into the design of their projects and programs. Implementing partners—most notably the NGOs involved with PL 480 Title II funded programs—have indeed gone beyond compliance in the design and implementation of their activities.</p> <p>“I have also noted that many of the countries where USAID works have also been encouraged to develop their own environmental policies and to implement and enforce their own environmental regulations as a result of the ENCAP courses.”</p>
<p><b>Paul des Rosiers</b> BEO for the Bureau for Democracy, Conflict, and Humanitarian Assistance (DCHA)</p>	<p>“In my opinion, as BEO/DCHA [formerly BHR], ENCAP was the vehicle that was directly responsible for catalyzing Title II training workshops in Africa. There is no way that the Title II Reg. 216 program could have ‘gotten off the ground’ as rapidly as it did without the benefit—directly and indirectly—[of] the ENCAP vehicle. Examples include all the training manuals that have been prepared for essentially all the regional/operational bureaus of USAID—all of these training supplements have as their roots the ENCAP program....</p> <p>“I would say that during the first three years of Title II training....the quality of all IEEs produced in Africa for BHR were directly due to the training provided as a result of the ENCAP program”<sup>2</sup></p>

**Course Results: Catalytic Outcomes**

The EA training course has also catalyzed a number of related activities, both within USAID and outside. Many are of direct benefit to Africa Bureau’s programs, objectives and areas of operation. All serve to further increase environmental review capacity and/or to better assure environmentally sound design of development activities.

<sup>1</sup> E-mail communication from Carl Gallegos, Bureau for Africa BEO to Brian Hirsch, AFR/SD, September 2002.

<sup>2</sup> E-mail communication from Paul des Rosiers, Bureau for Democracy, Conflict and Humanitarian Assistance, September 3, 2002, to Brian Hirsch, AFR/SD.

**Exhibit 15. Catalytic Outcomes from the ENCAP Program**

Catalytic Outcome	Description
<b>Food Aid Management (FAM) Environmental Working Group (EWG)</b> (1997—present)	<p>Food commodities are a major resource not only for humanitarian assistance, but, when monetized, also for development. PVOs receiving Title II funding from USAID carry out development food aid programs supports activities in diverse areas. By and large, prior to FY 98, these PVO activities were not subjected to USAID's environmental review process. In 1997, USAID's Bureau for Humanitarian Response, Office of Food for Peace (BHR/FFP) and Bureau for Africa, Office of Sustainable Development (AFR/SD) began collaborating in systematically introducing approaches to apply USAID's Environmental procedures (Reg. 216) to programming of developmental food aid.</p> <p>In 1997, ENCAP began working with the FAM liaison center, in Washington, DC, helping support the establishment of an EWG. The formation of the EWG can be directly attributed to the ENCAP workshop in Mekelle, Ethiopia, Feb. 1997. The EWG became very actively engaged in capacity-building among Title II CSs to incorporate environmental review processes in the design of their activities, to increase the sustainability of their interventions and avoid costly mistakes or failures. The EWG emphasized both the application of USAID procedures (Reg. 216) to environmentally sound design, and information and training in 'best management practices' (BMP).</p> <p>One of the first major outcomes of this ENCAP-EWG collaboration was the <i>Environmental Documentation Manual</i> (see Section 4). The FAM Environmental Working Group continues to support CSs through a combination of training, technical assistance and information transfer.</p>
<b>Naivasha Declaration and the formation of CIANEA</b> (2002—present)	<p>An ENCAP EA Course was delivered in Kenya in April 2002 with support from USAID/Kenya and in collaboration with PACT/MWENGO. At this course, the desire for follow-up action among the participants resulted in the Naivasha Environmental Impact Assessment Declaration. The Declaration sets out the charter principles for a network/organization entitled <i>Community-based Impact Assessment in East Africa (CIANEA)</i>.</p> <p>PACT/MWENGO has provided a small budget for a Secretariat to support the work of the Steering Committee. Additional support was provided by the EAAIA and ENCAP to support an initial meeting of the CIANEA Steering Committee. PACT is now in the process of planning for a training course in Community-based Environmental Review for small-scale activities.<sup>3</sup></p>

<sup>3</sup> The Ecological Conservation Trust in Uganda, ECOTRUST, hosted its own ENCAP course in Kabale, May20-24, 2002, invited the Ugandan member of the Naivasha Declaration to attend and work with ECOTRUST in advancing the application of environmental assessment at the community and local, sub-regional level.

Catalytic Outcome	Description
<b>REST/Ethiopia EA Training</b> (2002)	<p>The USAID/Ethiopia Mission Environmental Officer and Natural Resource Management Activity Manager, Yesuf Abdella, reported that staff of REST/Ethiopia, following the February 2002 ENCAP course in Ethiopia, independently organized and delivered a course on EIA and environmentally sound design for 30 REST employees, using ENCAP's training curriculum. This 5 day course was held in May/June 2002 for 35 participants gathered from all REST's DAP <i>woredas</i> (REST's field staff and administrators of the four <i>woredas</i>), the Regional Bureaus of Rural Development, Health, Agriculture and Natural Resources, Water Mines and Energy, Planning, Rural Roads etc. All four of REST's staff who attended the EA training of February 2002 served trainers with Ato Abraha Gedey, REST's staff as lead trainer. The content of course materials were similar to the ones used in the ENCAP EA training, where copies of a Participants' Sourcebook and USAID Environmental Procedures were distributed to all the participants. The course included classroom presentations by the trainers and team leaders of the field visit group, discussion and a daylong field visit to three selected sites, where participants were divided into three groups. The case sites included design of a small-scale irrigation dam, rural road, and natural resource conservation activities.</p> <p>REST reported that the course received excellent ratings; nearly all participants requested further training and refresher training. Assuming availability of resources and other factors are favorable, REST intends to conduct similar training once per year. The total cost of the training is reported to be less than \$5,000. The Regional Rural Road Authority has requested REST to train its staff with a similar course.</p>
<b>EA and USAID Procedures courses for USAID partners in Gaza and the West Bank</b> (2001)	<p>The ENCAP EA Course was adapted and presented to USAID/West Bank and Gaza partners in Ramallah, August 27-30, 2001 and Gaza, October 20-26, 2001. About 80 participants attended the two courses despite the very difficult security situation (road closures, travel risks, etc.), of which more than half were project managers or supervisors working on grantee programs (US PVOS such as CRS, Save the Children, YMCA, and UNDP) or their affiliated Palestinian NGOs. The other half came from the government's environmental staff, the Palestinian Water Authority, and municipalities under the USAID-funded program.</p> <p>Tellus Institute developed course materials and presentations. The principal course trainer was Joseph Karam of ECODIT, a member of the EPIQ consortium. Waleed Halayka, who oversees the implementation of the Palestinian EA policy in the West Bank, presented the session on the Palestinian Environmental Assessment Policy and drew parallels between the USAID and Government of Palestine procedures throughout the course.</p>
<b>Training of Mission Environmental Officers in the Asia/Near East Bureau</b> (2002)	<p>The Bureau for Asia/Near East tapped EPIQ/Tellus resources for two USAID Regional Reg. 216 and Environmental Issues Training Course in Cairo, Egypt, March 13-14, 2002 and New Delhi, India, March 19-20, 2002. Both courses were for Mission Environmental Officers, Strategic Objective Team Members, Contract Technical Officers and other USAID Mission staff. The courses emphasized the value of USAID's Regulation 216, ADS 201 and ADS 204 in providing a systematic approach to the incorporation of environmentally sound design principles in program, project and activity design.</p> <p>Principal trainers were Wes Fisher and Mark Stoughton from Tellus Institute in Boston and John Wilson, the USAID Asia/Near East Bureau Environmental Officer. The courses were evaluated with the same questions used for the ENCAP EA courses and received similar marks (4.5 out of 5 for "How would you assess the overall quality of the course content?" and 4.2 out of 5 for "Please rate and comment on the extent to which this course improved your understanding of environmental assessment.")</p>

Catalytic Outcome	Description
<b>Consultations regarding development of environmental procedures for World Bank CCD programs</b> (2002)	<p>ENCAP's suite of programs closely parallels the Bank's objectives in applying safeguards to Community Driven Development, Social Funds, and other similar projects with small-scale development activity components. On June 3, 2002, the ENCAP program was summarized before a Bank audience of about 25 staffers to stimulate a dialogue on potential applications to the Community-Driven Development (CDD) Program.</p> <p>The discussion explored parallels between the USAID experience and the Bank's ten environmental, social and rural safeguards policies that apply to CDD; experience under social funds; and especially those projects or programs already applying some form of screening process for small project activities.</p> <p>Charlotte Bingham, the Safeguards Coordinator for the Bank's Africa region, and the former REDSO/ESA REO in Nairobi said USAID was invited to talk to the Bank about its experiences on community based natural resource work, such as implementing environmental assessments of small-scale projects, because the Bank is facing similarly difficult questions.</p> <p>Subsequently a 2-day course was organized and delivered by Tellus to the Bank's Africa Division Safeguards Staff, titled: "Advanced Training in Safeguards for Community-based Small-Scale Activities."</p>
<b>Additional USAID trainings based on the ENCAP EA course model</b>	<ul style="list-style-type: none"> <li>• Adaptation of course materials for Europe/Eurasia Bureau in August 2000.</li> <li>• A USAID/Macedonia 4 day course in Environmental Assessment and Environmentally Sound Design in Skopje, Macedonia 21–24 May 2001</li> <li>• Cooperating Sponsor training courses in Kenya, Honduras, Bolivia, Ethiopia and elsewhere by Scott Solberg, an independent consultant to FAM.</li> </ul>

## 2.2 Training in Cleaner Production for Micro and Small Enterprises

Tellus Institute developed the course "Improving Micro and Small Enterprise Success Rates Through Cleaner Production" for TechnoServe with financial support from USAID/Mozambique and ENCAP.

This 3–4 day course uses the framework of cleaner production (CP), an integrated business approach, to build the capacity of professionals involved in micro and small enterprise (MSE) business development service (BDS) in the application of CP principles and techniques. The course is also relevant to organizations offering credit programs. The emphasis of the course is on incorporating consideration of environmental risks and impacts via the business planning process to improve their economic and environmental performance. The key concept conveyed to the participants is that preventive Cleaner Production improvements promise to improve profitability and reduce environmental impact. The course was delivered for the first time in Maputo, Mozambique, 8-10 July 2002.

The course introduced participants to the concept of cleaner production using several case study examples and provided several tools to develop participant skills. It also presented non-monetary drivers for cleaner production: USAID regulations covering pesticides and MSE development activities, and links between integrated pest management (IPM), hazard analysis and critical control point (HACCP) and cleaner production. The course identified and facilitated the steps participants could take following the course to integrate these concepts into their organization and personal work.

Two trainers delivered the course: Jeffrey Rosenblum from Tellus Institute and Rosie Chekenya from Roscam Strategic Consultancy (Zimbabwe). Each participant received a Participants' Sourcebook that contained a copy of the slides used in each module presentation, along with a variety of other supporting and resource materials, including a list of useful web sites. Two of the participants gave short guest presentations: Trisha Schmirler from FAM, and Leonardo Guirruta from the Mozambique Cleaner Production Center.

Twenty-six participants from six countries (Mozambique, Zimbabwe, Ghana, Kenya, Peru, United States) and representing nine organizations attended. Fourteen participants represented TechnoServe. The course also benefited from the participation of the director of the Mozambique Cleaner Production Center, as well as three of their consultants.

The course received high marks from the participants, with an average score of 4.3 for "Overall quality of the course" (on a scale of 1 to 5, five being highest). Useful feedback was obtained to guide the refinement of the training materials for future courses planned for USAID Namibia in September 2003, and USAID Rwanda at a later date. Participant feedback indicated that site visits were desired and will be a part of future courses.



## Section 3. Development and Dissemination of Resource Materials

Substantial ENCAP resources have been devoted to the development of resource materials for EIA, the application of environmentally sound design principles and environmental best practices to sectoral development activities, and USAID environmental procedures. The focus throughout has been on small-scale activities. Audiences for the materials include both USAID and partners staff. This section describes these materials and their distribution.

### 3.1 Environmental Impact Assessment and USAID Procedures Training Materials

An extensive set of printed materials has been developed by ENCAP for the EA course. These are detailed in exhibit 16.

#### Exhibit 16. Printed Materials Developed by ENCAP for the Environmental Assessment Course

<b>Participants' Sourcebook</b>	<p>The Participants' Sourcebook provides material to accompany each module of the course and is itself organized to match the course agenda. It serves both as a workbook for the course itself, and as a reference document after the course is completed.</p> <p>The sourcebook includes:</p> <ul style="list-style-type: none"> <li>• An introduction to each course module</li> <li>• Copies of the overheads presented during each module</li> <li>• Background reading and documentation relating both to the conduct of EIA and to host country environmental and social conditions and procedures.</li> <li>• Case study briefings introducing the field exercises</li> <li>• Worksheets, checklists and other tools used for course exercises in the classroom and the field</li> </ul> <p>About 20% of the sourcebook content is customized for each course. This includes the case study briefings; background documents, commissioned papers and presentations relating to host country environmental procedures, and background on environmental conditions and the socio-cultural setting nationally as well as in the case site areas. Material relating to sector foci of course participants may also be provided. The remaining material is common to the various presentations of the course.</p>
<b>Organizer's notes</b>	<p>The organizer's notes are a checklist-based guide to course preplanning and delivery. They are intended to guide the course's logistics coordinator and cover logistics and materials requirements for the venue, field trips, and meeting rooms, as well as requirements attendant to participant invitation, RSVP and travel.</p>
<b>Facilitators' Guide</b>	<p>The Facilitators' Guide introduces facilitators and co-trainers to their responsibilities and provides pedagogical commentary and discussion points for each of the course modules.</p>

In addition, lecture notes in the form of PowerPoint presentations have been developed for each course module. As noted, copies of these presentations are provided in the Participants'

Sourcebook. The course lectures are tightly integrated in form and content with two key resource documents produced by ENCAP: *Introduction to EIA* and the *Environmental Procedures Training Manual* (both are described below).

### **3.2 A Trio of Key Reference Documents**

ENCAP has developed three key reference documents for USAID staff and partners. Each is written for development professionals who may know little about environment or USAID's mandatory environmental procedures.

Together, the documents form a complete set addressing three critical environmental topics: compliance, sector-specific applications of best practices, and the principles of impact assessment.

#### ***The USAID Environmental Procedures Training Manual (EPTM)***

The EPTM provides a survey of USAID's environmental procedures and offers a step-by-step guide to:

- Screening (activity categorization) under USAID's Regulation 216
- Documentation submission
- Preparation of the IEE under USAID's Regulation 216

The document provides forms, examples of documentation (including IEEs), as well the text of Regulation 216 and relevant agency guidance. The EPTM is the successor to and adapted in part from the *Environmental Documentation Manual* developed under ENCAP for Title II activities.

Preparation of the EPTM was funded in part by the Asia/Near East Bureau to support the 2-day ANE regional staff trainings held in Cairo and New Delhi in March 2002. (These trainings drew heavily on ENCAP-developed material and should be considered a leveraged outcome of ENCAP.) Weston Fisher and Mark Stoughton, both of Tellus, were the document's editors. Feedback and editorial response were provided by Brian Hirsch (AFR/SD); Walter Knausenberger (REDSO/ESA), and John Wilson (ANE).

Currently, both an ANE and AFR version of the EPTM exist, differing in the sample documentation and forms they include. The current editions reflect revisions made following field testing at the ANE courses, as well as ENCAP EA courses held in Ethiopia and Uganda.

#### ***Environmental Guidelines for Small-Scale Activities in Africa***

Development professionals in donor agencies, community-based and non-governmental organizations, and local governments who design and implement small-scale activities need accessible and concise guidance on best practice for environmentally sound design. USAID's

*Environmental Guidelines for Small Scale Activities in Africa* respond to this need. Sectors covered in the *Guidelines* include road construction, health, water supply and sanitation, micro and small enterprises, ecotourism, energy, agriculture and irrigation, pesticide use, forestry, humanitarian response and many others. For each sector, the *Guidelines* describe significant possible environmental impacts, design suggestions for avoiding such impacts in new projects, mitigation strategies, and annotated lists useful references for the sector, highlighting those available via the Internet. Each sector module draws on literature and materials developed and applied by a number of leading field-based practitioners and institutions.

### ***An Introduction to Environmental Impact Assessment***

This document is an introduction to EA concepts and practice, and was originally developed by Mark Stoughton of Tellus in response to the course's need for a succinct treatment of this topic written for the lay audience. Approximately 50 pages in length, it serves as a key reference document for the course.

### **3.3 Mission Environmental Officer and Mission Staff Training Materials**

ANE Bureau contracted with Tellus via EPIQ to present 2-day environmental procedures training courses to ANE regional staff in Cairo and New Delhi.

The training materials developed for the ANE course have been further developed by Tellus with ENCAP funding for use in training Africa Bureau Environmental Officers. The materials cover:

- The motivation for EIA and Regulation 216 and the principles of environmentally sound design
- Basic EIA concepts
- Regulation 216 procedures (including their application to subgrant projects)
- USAID environmental documentation, including the IEE and EA
- Integration of environmental procedures, considerations, and documentation in the project cycle (including Automated Data System directives to MEOs and USAID staff)
- Special sectoral issues

Under this training, ANE and AFR-ENCAP have derived other, mutual benefits from their respective investments:

- The participant sourcebook for the ANE course drew in substantial part on ENCAP-developed EIA training materials
- The ANE training contract helped to support the writing of the EPTM, a document of substantial benefit to ANE and AFR

- The EPTM was field-tested in advance of the ANE trainings at the ENCAP EIA course in Ethiopia

### 3.4 Distribution and Communication of ENCAP Resources

ENCAP-developed resource materials are only useful to the extent that they are placed in the hands of intended users. Distribution and dissemination is thus an important component of ENCAP's resource materials activities.

#### ***Distribution of Printed Materials***

**Course-based distribution** of materials in printed format is ENCAP's traditional distribution channel. All attendees at each course receive the Participants' Sourcebook (see above), which serves both as workbook and post-course reference, as well as the *Environmental Guidelines for Small-Scale Activities*. The *Environmental Procedures Training Manual* is also distributed to participants expecting to have responsibility for preparing USAID environmental documentation. Approximately 200 copies have been distributed to date through AFR EA courses given since 2001, 50 copies for ANE training of MEOs and Mission staff, and another 50 copies distributed by DCHA. Web statistics as of December 2002 indicate a total of 280 EPTM downloads, matching the total number of hardcopies distributed.

**AFR/SD** and **Tellus Institute** have both served as limited distributors of printed materials. AFR/SD held a stock of the first edition of the *Environmental Guidelines for Small Scale Activities* (EGSSA) and served as distributor to USAID and partner staff, both for courses and upon request. Over 1000 copies in English and French have been distributed to course participants and others since 1995. In addition the EGSSA and specific sectoral "best practice" modules are available on the ENCAP website and are regularly downloaded as PDF files for use by field practitioners. While this capability is relatively new to ENCAP, web statistics indicate that 874 downloads of EGSSA sectoral materials had taken place as of December 2002.

Tellus held similar responsibility for the Title II *Environmental Documentation Manual (EDM)*, the predecessor to the EPTM. The courses, however, constituted the primary avenue for material distribution. An estimated 250 copies of the EDM were distributed through Title II EA courses.

#### ***ENCAP website (www.encapafrika.org)***

Course-based distribution of ENCAP resource materials is clearly limited in scale, and resources do not exist to provide even those who attended past courses with updated versions of materials as they become available.

As an increasing percentage of USAID partner country offices and Africa-based development professionals gained web access, development of an ENCAP website became a clear priority. In addition to distribution of resource materials, the website serves as a dynamic archive and reference library, a bulletin board for course and ENCAP information, and as a virtual "front office" for the ENCAP PD program. During December 2002, the number of page views per day averaged 277 and the average number of user sessions per day totaled 68.

The website is primarily text-based, designed for faster loading on slow net connections. It went on-line in mid-2001 and includes:

- Downloadable versions—in the entirety and by section—of the three key reference/resource documents listed in this section
- Access to training materials (including the course presentations), organized both by hyperlink to the course agenda and by generic topic. This aspect of the website is intended to support ENCAP's shift toward training-of-trainers and course delivery by African professionals
- Hyperlinked bibliographies of sector-based environmental best practice resources
- A searchable database of past courses and participants
- Announcements of coming courses and other program news
- Solicitation of professional development program applications
- A mechanism for distributing review drafts and receiving comments on work-in-progress; particularly sector modules of the *Environmental Guidelines for Small Scale Activities*



**Exhibit 17.** ENCAP's website has made the full range of ENCAP training materials widely available.

The website is hosted by AFR/SD and was developed principally by Brian Hirsch of AFR/SD and Mark Stoughton of Tellus, in consultation with the ENCAP core team. Maintenance to date has also been by Hirsch and Stoughton.

The survey of past ENCAP participants (see section 2) indicated, however, that most participants are unaware of the website and the CD-ROM training materials (below). Awareness will grow overall as current trainings promote the site and materials. However, improved cross-linking of the site with other USAID sites including FRAME ([www.frameweb.org](http://www.frameweb.org)) and Africa-related sites is indicated.

### **CD-ROM distribution**

Despite the growth in web access by African professionals and institutions, web connections for much of Africa remain slow or non-existent, particularly outside national capitals. Since the fall of 2001, AFR/SD has distributed approximately 200 copies of the ENCAP website via CD to course participants and others.



## Section 4. Professional Development Program

While Africans are being trained in EIA and government institutions supported to develop policies, legislation and regulations, relatively few of these professionals have actually done EIA and very few have ever managed an EIA multi-disciplinary team. However, indigenous EIA capability is essential to African sustainable development. Training courses are considered only a partial solution. Learning-by-doing, through apprenticeships, internships, mentoring or participation on EIA teams, may be a more effective approach. The EIA Professional Development Pilot Programme is intended to provide these kinds of opportunities.

The program was developed and implemented by USAID's Africa Bureau, Capacity Development and Linkages for Environmental Impact Assessment in Africa (CLEIAA), the Southern African Institute for Environmental Assessment (SAIEA) and the Eastern African Association for Impact Assessment (EAAIA) with funding from ENCAP and administrative support from EPIQ/Tellus Institute.

The program provides learning-by-doing Fellowships for promising African EIA professionals throughout sub-Saharan Africa. Fellowships pay travel and a modest stipend, supporting Fellows during their participation in an extended practicum with a professional host organization. The Fellowships also fund travel and fees for attendance at professional conferences.

The goal of the program was to increase EIA capacity and strengthen environmental professional networks in Africa. In 2001, the program's initial year, over 50 professionals from 16 different countries applied to the program, of whom eight were selected as Fellows. Fellows attended both regional and international meetings sponsored by EIA professional organizations and were placed with a variety of public and private sector host institutions to develop practical experience in environmental assessment. The Fellowship programme funded all of these activities in addition to providing a small stipend. Overall, hosts and Fellows have been very positive in their evaluation of the program.

### 4.1 Origins, Resources and Institutions

The program was developed under ENCAP IV with assistance from CLEIAA, SAIEA and EAAIA as the *Professional Development (PD) Opportunities for Africans in the Practice of Environmental Impact Assessment* program. The program was officially adopted by CLEIAA at a meeting held November 5-10, 2001, in Nairobi. Approximately \$80,000 in funding for the pilot program was also provided by USAID through ENCAP IV and a capacity building grant to EAAIA.

CLEIAA, SAIEA, and EAAIA (supported by IUCN/EARO) collaborated in management and implementation of the pilot program, with administrative support from Tellus Institute of Boston under funding from USAID. EAAIA/IUCN handled travel logistics. SAIEA provided structured mentoring of four fellows in the development of an EA for the Cheetah Conservation Fund. Tellus co-ordinated applications and pre-screening and served as fiscal agent for four Fellows.

## 4.2 Applicant Solicitation

During an open application period of just over one month, the pilot PD program received over 60 applications and inquiries from citizens of 16 different countries [see the end of this annex]. Forty-four complete applications were received by the application deadline and an additional three subsequent to the deadline. Overall, applicants were very qualified and applications well composed.

A Selection Committee comprised of representatives of CLEIAA, EAAIA, SAIEA, and USAID chose eight PD Fellows from a pool of approximately 20 finalists. Tellus Institute selected finalists in an initial screening using criteria jointly developed by collaborating organizations. On the basis of the pre-screening, at least another 12 applicants were deserving of awards, but funding was not available.

Fellows came from five countries: Tanzania (2), Kenya (2), Zimbabwe (2), Malawi (1), and Mozambique (1). By chance, the group of Fellows was half women and half men (although many fewer women candidates applied, their applications were, in general, stronger).

## 4.3 Placement Offers

To identify placement opportunities, the pilot program issued personal and e-mail solicitations to over 360 individuals. Fellows were also encouraged to identify placement opportunities on their own. Ten host organizations responded to our solicitation and offered 14 placement opportunities. One Fellow secured his own placement opportunity. Host organizations covered a broad spectrum of organizations from small and large consulting companies and public institutions, including organizations such as CSIR (Environmentek Integration Unit), WSP Wamsley and the Environmental Council of Zambia. See the end of this annex for a complete list of organizations and descriptions. The institutions were based in six African countries (South Africa, Zambia, Zimbabwe, Namibia, Kenya and Tanzania) and work in at least twice that number; one Canadian offer was also received.

### ***Fellows' placement and networking activities***

#### *Placements*

- *CSIR (Environmentek Integration Unit-RSA)*. One Fellow was offered a placement with a team reviewing the trans-Kalahari highway project in Botswana and/or an assessment of the cumulative impacts of parks that span the Mozambique/RSA frontier.
- *SAIEA and the Cheetah Conservation Fund (Namibia)*. Four Fellows completed an Environmental Assessment of the Cheetah Conservation Fund partial de-bushing project (Namibia). SAIEA oversaw the EA and provided a structured mentoring program. The

team of Fellows prepared the final EA report “Cheetah Conservation Fund: Habitat Restoration for the Namibian Cheetah.”<sup>4</sup>

- *Land O’Lakes (Uganda) and EAAIA (Kenya)*. One Fellow prepared an Initial Environmental Evaluation for Land O’Lakes (Uganda) and provided support to EAAIA (Kenya).
- *Centre for Environment and Development (CEAD), University of Natal, Pietermaritzburg (RSA)*. The Fellow was engaged in a broad 6-month program of training, teaching, research, and EIA. EIA experience was via Nature & Development Group of Africa (NDG-Africa) and included work on EIA for the Meretown Infill Housing Development. At CEAD the Fellow conducted case study development, providing organizational support for Land Information Management research and field work; offered teaching and research assistance for Geomatics, GIS and other course modules; and received training in Protected Areas Management.
- One Fellow withdrew from the program in order to meet the demands of a new job in EIA.

### *Networking activities and linkages*

Fellows in the pilot PD program engaged in a variety of networking activities and linkages.

- *EAAIA Launch Meeting (Nairobi, December 2001)*. All Fellows participated in the EAAIA launch meeting where they met one another and EIA practitioners from countries throughout sub-Saharan Africa.
- *IAIA Annual Conference (The Hague, June 2002)*. Six of the seven remaining Fellows attended the IAIA annual conference, and four presented a paper on their Fellowship-supported work in Namibia.
- *Linkage to Nodal Institutions*. In the course of carrying out their Fellowships, Fellows have worked directly with nodal institutions, such as SAIEA and EAAIA, who co-ordinated logistics and placement activities—interactions that helped establish relationships between Fellows and the nodal institutions.
- *Three-Year Membership in IAIA*. The Fellows received a three-year membership in IAIA and subscription to the IAIA journal to help sustain links with the international professional EIA community.

Participation in these meetings enabled Fellows to build professional relationships both with peers, such as the other PD Fellows, and with more senior EIA professionals throughout the world, Africa, their nodal region and often their home country.

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<sup>4</sup> For a detailed account of this placement see Kinyua, Mwakaji, Takawira, and Kambewa (2002) “Professional Development in Environmental Impact Assessment in Africa: Experience of CLEIAA Fellows in Namibia,” Proceedings of IAIA 2002.

#### **4.4 Degree of Success—Fellow and Host Responses**

Host and Fellow final evaluation reports have been received for those Fellowships that were completed.

While acknowledging that there was room for improvement, SAIEA was very encouraged by the 2002 PD program and is prepared to host Fellows on an annual basis (or even more frequently) in the future. SAIEA is also prepared to host more than one group at a time, and to identify suitable case studies that provide a “real” EA exercise.

Fellows responded very positively to the program. They also identified several areas for improvement, including finding placements that more closely match requested areas of specialization and providing EIA training opportunities to fill knowledge gaps.

## Section 5. Technical Support

This section provides a brief description of other major technical support activities provided through ENCAP, including assistance to programmatic environmental assessments (PEAs), analytical reports on special topics such as Natural Resource Accounting, Trade and Environment, Strategic Environmental Planning and other forms of technical support and assistance to AFR/SD, REDSO/ESA, USAID missions and their partners. ENCAP support targeted these particular activities because they were perceived as having relevance on a regional scale and generated results that were of value to multiple countries. Many of them constituted an additional contribution to ENCAP's efforts to promote environmental compliance, the comprehensive assessment of environmental impacts and environmentally sound design of USAID-funded programs.

### 5.1 Programmatic Environmental Assessments

Programmatic environmental assessments were conceived in response to the need for environmental assessments of specific sectors or generic types of activity (road building, small scale irrigation, small dams, water development, etc.) or a larger program that may include several projects or sub-grants (such as a large NRM program that includes a component supporting a series of forest co-management plans in different classified forests).

**Small-Scale Irrigation PEA.** ENCAP played an important role in supporting a PEA for Small-Scale Irrigation in Ethiopia, on behalf of Catholic Relief Services and other partners that were involved with agricultural development and food security issues in Ethiopia. The PEA team, led by Thomas Catterson, examined the proposed actions and alternatives, the policy and institutional environment for small-scale irrigation activities, the likely environmental consequences including anticipated cumulative impacts, and other sustainability issues associated with Title II funded small scale irrigation activities. The PEA report concluded with a number of practical tools and guidance to assist in planning, implementing and monitoring small-scale irrigation interventions.<sup>5</sup> Apart from the technical



**Exhibit 18.** The PEA undertaken of this ruby mining site in eastern Madagascar benefited from ENCAP-produced PEAs in Madagascar, Guinea and elsewhere.

<sup>5</sup> See *Programmatic Environmental Assessment of Small Scale Irrigation in Ethiopia*, prepared by Tom Catterson et al, September 1999. CRS, AFR/SD and BHR/OFD. 82 pages, plus annexes.

success and usefulness of this PEA exercise, it also demonstrated an extraordinary level of collaboration among the environmental specialists of AFR/SD/ANRE, REDSO/ESA, and the ENCAP team, as well as their PVO partners, particularly Catholic Relief Services. CRS funded the fieldwork by the PEA team, while the USAID staff and the ENCAP team played an important facilitating role in the planning and organization of the effort, and AFR/SD provided assistance with the printing and distribution of the final report.

**USAID Title II Environmental Study of Potable Water and Sanitation Activities in Ethiopia and Follow-up Training on Potable Water & Sanitation and Multiple Use of Water.** An Environmental Study of Potable Water and Sanitation Activities Within the Title II Program in Ethiopia was prepared by Dennis B. Warner, et al. in March 14, 2000. It was conducted at the request of USAID/Ethiopia to review the environmental implications of potable water and sanitation activities implemented under Title II. The overall objective of the study was to improve the long-term sustainability and environmental protection of potable water and sanitation activities in Ethiopia. Specific objectives were concerned with improving project effectiveness in serving the needs of the people, providing technical advice to the Cooperating Sponsors and developing a training module for developing sustainable and environmentally sound water and sanitation activities.

This study was subsequently used as the foundation for a workshop on *Potable Water and Sanitation and Multiple Use of Water* held from March 17–22, 2003. The specific objectives of this training workshop were:

- To familiarize the CSs and their partners with the output of the consultant report on Potable Water and Sanitation Activities in the Title II program;
- To identify to the participants the key aspects affecting the long-term sustainability and environmental protection of water and sanitation projects;
- To improve the knowledge and skills of staff of the Cooperating Sponsors to plan and implement successful water and sanitation projects;
- To develop a Technical Guideline and Procedural Checklist for enhancing sustainable WATSAN activities of the CSs;
- To begin to develop and establish best practices for integrated water and land resource management including multiple uses of water, emphasizing the need to include both hardware and software;
- To establish a forum for information exchange and sharing of experiences among the CSs; and
- To give USAID/Ethiopia a mechanism for emphasizing critical issues in the Title II program.

**PEA of Road Improvements in Tanzania's National Parks.** A similar level of collaboration led to the preparation of the PEA for Road Improvements in Tanzania's National Parks. Tanzania's National Parks Association (TANAPA), following a joint USAID/TANAPA *Programmatic Environmental Assessment for Road Improvements in Tanzania National Parks*, officially adopted and mainstreamed the recommendations of the PEA. The final report was well illustrated with photographs, drawings and included the stand alone *TANAPA Procedures for Environmental Reviews of Road Improvements* and the *TANAPA Environmental Management Plan Guidelines for Road Improvements*. The latter include best management practices as well as instructions for development and implementation of mitigation and monitoring plans. These tools have reportedly helped the system of road maintenance become more deliberate and resulted in a demonstrable improvement of the quality of the roads in the wet season, thus enhancing tourism revenues.

In this case, the PEA exercise proved to be an effective means to not only ensure compliance with USAID's Regulation 216, but also with the national environmental legislation of Tanzania. The PEA team was also organized as a capacity-building effort for the key staff of TANAPA that are now better equipped to systematically assess the environmental impacts and improve the design of roads built or improved in the parks.

When a PEA or an EA is prepared, the originator of the action, in this case USAID/Tanzania and TANAPA, begin a process of identifying the significant issues related to the proposed action and determining the range of issues to be addressed in the PEA or EA. Known as "scoping," this process involves full consultation with stakeholders, including a range of all affected parties. The *Scoping* exercise was carried out from 28 November through 19 December 1999. The draft of the *Scoping Statement* was reviewed by the PEA Team and USAID/AFR in Washington. The final version is provided in the PEA as Appendix A.



**Exhibit 19.** Students at the Zambia Regional Environmental Assessment course in 2001 examined this model ditch and landscaping, similar to issues addressed in the Tanzania PEA.

PEA Team selection occurred after review of the *Scoping Statement*, in order to ensure that the team would have the necessary mix of skills needed to address each key issue identified during *Scoping*. The full Team worked together over a period of approximately 4 weeks, from January 31 through March 3, 2000. Because of limitations on time and resources available to carry out the PEA, the Team was not able to survey all of Tanzania's National Parks. Instead, TANAPA chose five Northern Circuit parks for examination which they believe provide a representative sample of the types of roads and physical and ecological conditions found throughout the entire Park System: Tarangire National Park, Lake Manyara National Park, Serengeti National Park, Arusha National Park and Kilimanjaro National Park. The Team made an effort to assess

environmental impacts for all TANAPA road classifications and types of road improvements, under a full range of geological, soil, meteorological, topographic and ecological conditions existing in the parks. Approximately 2,200 kilometers of park road were observed by the Team.

The PEA was followed by a training course for TANAPA staff on implementation of the EA recommendations. Organized and presented by the Institute of Resource Assessment at the University of Dar es Salaam, it placed special emphasis not only on the recommendations but on the key references which accompany the PEA, as described above. These included the *TANAPA Procedures for Environmental Review of Road Improvements in Tanzania National Parks*, and the *TANAPA Environmental Management Plan Guidelines for Road Improvements*.<sup>6</sup>

The funds for the PEA exercise were provided primarily by USAID/Tanzania through the African Wildlife Foundation (AWF). AWF provided study field support. The PEA benefited from the early involvement of Tanzania's National Environmental Management Council (NEMC). The Team Leader was Professor Raphael Mwalyosi, Tanzania's leading environmental scientist affiliated with Tanzania's Institute of Resource Assessment and the University of Dar es Salaam. The Associate Team Leader was Wes Fisher of Tellus Institute. Other team members included TANAPA's senior planning manager, the road supervisor of Serengeti National Park and a very experienced Road Engineer from the US Park Service. The team took advantage of earlier road improvement support provided by the Park Service of the U.S. Department of the Interior. It also drew upon the USDA/Forest Service's experience in assisting with design of environmentally sound roads in Central America and other developing countries, and made full use of documentation that had been developed previously, e.g., by the European Union for Serengeti and the World Bank. As in the case of the Ethiopia PEA, the USAID/Tanzania's MEO, REDSO/ESA Environmental specialists and AFR/SD played an important facilitating role, in concert with the ENCAP team.

**PEA and Forest Co-management in Guinea.** In the case of USAID/Guinea, the potential environmental impacts of proposed forest co-management activities covering some 100,000 hectares was assessed. The assessment covered proposed program assistance to protect remaining areas of tropical forests and associated wildlife habitat and upland watersheds with potential impacts on large areas with significant biodiversity resources. On the one hand, legitimate concern existed that the preparation of IEEs and EAs for individual classified forests would prove to be an onerous, expensive and time-consuming activity—to the point where delays in implementing forest co-management plans might contribute to the accelerated destruction of the same forests that were being targeted for improved management. On the other hand, ill-conceived forest co-management plans and a lack of attention to issues identified in the IEE and scoping statement for the initial EA for the first forest management plan developed, threatened unsustainable use and accelerated destruction of other forests. A programmatic environmental assessment was utilized to comply with Regulation 216, in a manner that enabled field level assistance to proceed so that local communities benefited from the improved

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<sup>6</sup> See *Programmatic Environmental Assessment for Road Improvements in Tanzania's National Parks*, prepared by Raphael Mwalyosi, Wes Fisher et al., December, 2000. AWF, TANAPA, Tellus Institute, AFR/SD, USAID/Tanzania and REDSO/ESA. All materials produced are located on the ENCAP website at [www.encapafrika.org](http://www.encapafrika.org) in PDF files for downloading.

management and sustainable utilization of these forests, and thereby helped to ensure their continued conservation.

ENCAP assistance was provided directly through a USAID/Guinea funded task order, as well as indirectly through ENCAP funding both before and after the fieldwork of the PEA team. The PEA team was led by Tom Catterson—an environmental review specialist, and included a biodiversity conservation specialist, rural sociologist, forest management specialist with the Forest Service of Guinea and the NRM specialist of USAID/Guinea. Following the preparation and review of the Scoping Statement for the PEA, the PEA team worked over a period of eight weeks to review relevant literature, visit representative sites in the field, compile and present their findings and prepare and finalize the report.<sup>7</sup>

Although the PEA exercise was not conceived as an evaluation of the ongoing NRM activities funded by the Mission, the findings and recommendations of the PEA did serve to prompt a number of constructive changes in project implementation. This included the recruitment of a forest management advisor who was able to focus on applying the numerous guidelines for improvements in the forest management planning process that were documented by the PEA team. In fact, the checklist of “best practices” and guidelines for addressing key issues arising in forest co-management that were documented in this PEA are proving useful to forest management and NRM programs in USAID/Senegal and several other countries.

**PEA for Insecticide Treated Bed-Nets.** The ENCAP team contributed to the preparation of a PEA for insecticide treated bed-nets prepared in 1999-2000 with the support of REDSO/ESA and in collaboration with several USAID Missions in Southern Africa. Dan Arata, a specialist on ITN issues, was fielded through the EPIQ task order to assist with field level analysis and reporting.

## 5.2 Trade and Environment

As part of an effort to identify and assess environmental impacts associated with trade and other national level program interventions, the ENCAP team prepared a short discussion paper on *Trade and Environment* in June 2000. The paper looks at the globalizing context for development and associated environmental impacts, and considers how to model or represent the environmental implications and impacts of expanded trade. The report concludes with a number of key questions for USAID and its partners.<sup>8</sup>

## 5.3 Environmental and National Resource Accounting

In response to a perceived need to better understand the concept and an opportunity to document the considerable experience gained through practical applications in various countries, ENCAP

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<sup>7</sup> See *Programmatic Environmental Assessment of Co-Management of Reserved Forests in Guinea*, prepared by Tom Catterson, Boubacar Thiam, Dantily Diakite, Rebecca Ham, April, 2001. EPIQ Task Order no 35. 154 pages including annexes.

<sup>8</sup> See *Trade and Environment: Critical Concepts and Considerations for Project Design and Implementation*, prepared by Mark Stoughton and Allen White. June, 2000. EPIQ/Tellus Institute.

prepared a discussion paper on *Environmental and Natural Resources Accounting and Potential Applications in African Countries*. The paper includes an annotated listing of some 50 countries that have experience with E/NRA methodologies, as well as an overview of the concept and its usefulness in tracking the impacts of foreign trade, in improving conventional economic accounting and the valuation of environmental services and assets, and in policy formulation.<sup>9</sup>

### 5.3 Pesticide Evaluation Report and Safer Use Action Plans

Pesticide Evaluation Report and Safer Use Action Plan (PERSUAP) are designed to thoroughly, but concisely, meet the Agency's environmental review requirements for pesticides. PERSUAPs were prepared in 2002 for agricultural programs in Kenya and Zambia, ITN programs in Kenya, Malawi, Mali, Nigeria and Rwanda, and integrated vector management programs in Mozambique.

In 2000-2001, ENCAP fielded a consultant with specialized knowledge of pesticides, Jim Litsinger, to assist with the preparation of the *Uganda Pesticide Analysis and Action Plan*, in collaboration with REDSO/ESA and in support of the Mission's Investment in Development of Export Agriculture (IDEA) project. Litsinger compiled a major report with extensive documentation on specific concerns and recommended procedures for a wide range of pesticides being considered for possible use in Uganda by the horticulture industry and agricultural development programs. His work enabled the Uganda Mission and its partners to take advantage of the published research findings on specific pesticides made available through the US Environmental Protection Agency and other sources.

### 5.4 Support to Environmental Monitoring, Evaluation and Mitigation Plans (EMEMPs)

The ENCAP team also provided assistance in assessing the experience with EMEMPs were initiated by USAID in the 1990s to address possible environmental impacts of projects involving the potentially adverse environmental consequences of policy reforms, or a number of smaller activities funded by the host country with local currency from non-project assistance (NPA). Since it was not always possible to fully anticipate the environmental impacts of these reforms and NPA, the EMEMPs were developed to help track and address any impacts that might develop. The assessment team examined the experiences with EMEMP in four countries (Malawi, Madagascar, Uganda and Ghana) and reported on their findings and conclusions in April 2000.<sup>10</sup>

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<sup>9</sup> See *Discussion paper on Environmental and Natural Resources Accounting and Potential Applications in African Countries* by Juan Seve, March, 2002, EPIQ T.O. 35.

<sup>10</sup> See *Environmental Monitoring, Evaluation and Mitigation Plans: An Assessment of Six years Experience*, by Joy Hecht and Malcolm Marks. April, 2000. EPIQ T.O. 25.

## 5.5 Support to Strategic Environmental Analysis and Monitoring

The EMEMP Assessment led to the inclusion of a component on “strategic environmental analysis and monitoring” (SEAM) under ENCAP IV. This resulted in the preparation of a special report on Strategic Environmental Planning (SEP). The SEP report presented a number of tools and procedures that could be adopted by USAID Missions and their partners to help ensure that the development planning process takes into consideration relevant environmental issues, and utilizes available environmental information to inform the planning process. Several principles are outlined to guide strategic environmental planning, with particular attention given to the different stages of development of country strategic plans. Geospatial planning tools, tools for choosing indicators, and a range of other analytical methods and tools for strategic environmental planning are presented in the report.<sup>11</sup> In October, 2001, the SEP report together with follow up training materials developed by the Heron Group (Kathy Parker et al.) were presented to the ENCAP team and an informal group interested in the topic, with a view towards clarifying and prioritizing the training modules best suited to implement the principles outlined in the SEP report.

## 5.6 Support to the Food Aid Management Environmental Working Group

Members of ENCAP, particularly Walter Knausenberger, Wes Fisher, and Brian Hirsch, played a catalytic role in the organization of the EWG. ENCAP team members been regular participants in the meetings and work of the FAM/EWG. This working group helps identify and respond to the specific needs of the FAM members regarding documentation and training materials needed to comply with Regulation 216 and to integrate environmental considerations into Title II food aid and related program assistance.

The ENCAP team has also played a critical role in facilitating the dissemination of information about EIA best practices, not only through the organization of Title II training courses and the publication and periodic revision of EIA training materials, but also through the development of the ENCAP website and informal collaboration with USAID missions and a host of field level Cooperating Sponsors.

## 5.7 Other Communication Efforts

The staff of IRG and the Tellus Institute, as well as staff from AFR/SD and REDSO/ESA provided references, source materials and other information on EIA to the Environmental Management Support project (PAGE) team in Madagascar and to the community-based NRM team in Malawi working on the COMPASS program. Much of this information has been systematically compiled, posted and made accessible through the FRAME website ([www.frameweb.org](http://www.frameweb.org); see section on Analytical Tools for EIA) and its links to the ENCAP site ([www.encapafrica.org](http://www.encapafrica.org)).

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<sup>11</sup> See *Strategic Environmental Planning in the Development of Country Strategic Plans*, by Peter Freeman and Patricia Vondal. October, 2000, EPIQ Task order funded by AFR/SD. 61 pages.



## Section 6. Overall Assessment

This section synthesizes the activities and outcomes discussed in Sections 2–5.

### 6.1 Capacity Strengthened through ENCAP Courses

ENCAP has delivered 22 courses to over 400 organizations and 1000 professionals in the last 9 years. The success of this capacity building approach is measured by the improved quality of USAID environmental documentation submissions and their application to design. ENCAP training was judged directly responsible for the marked increase in quality of IEEs prepared for review by the BEOs of the Africa and DCHA Bureaus (Title II).

The courses have received consistently high marks from course participants. The ENCAP evaluation based on trainee/participant feedback was judged to have significantly enhanced the environmental awareness of the participants, and improved the quality of the work being conducted. Ninety-five percent of the respondents indicated that the training materials were either useful or outstanding and have been helpful in their professional work.

More importantly, institutions and individuals exposed to the value of ENCAP, have in turn chosen to deliver similar trainings themselves. For example, staff of three Title II PVOs in Ethiopia, Save the Children/US, CRS Ethiopia and REST/Ethiopia, following the February 2002 ENCAP course in Ethiopia, were motivated to independently organize and deliver workshops on EIA and environmentally sound design for their organizations' employees and others, using ENCAP's training curriculum. CRS-East African Regional Office organized several regional workshops on small-scale irrigation and integrated water and sanitation interventions, based on USAID/Ethiopia-funded and ENCAP-brokered PEAs. Similarly, PACT/Kenya is supporting a new Training of Trainers initiative in community-based impact assessment, and Guinee Ecologie provides support services to ENCAP trainings.

Other past course participants are now also trainers, and this expertise extends to other Bureaus. Save the Children/US in Ethiopia and in Uganda are organizing their own ENCAP-like courses in the summer 2003, on the initiative of an past ENCAP participant (Cape Verde, 1998), who has become an independent consultant. This individual has convinced those organizations to take up environmentally sustainable development workshops as a mechanism to improve the quality of development programming. DHCA, cooperating sponsors and participating USAID Missions may use this consultant to provide multiple trainings to Title II cooperating sponsors around the world.

An ENCAP-like training approach, which places heavy emphasis on interactive and out-of-classroom learning, case site environmental review and diffusion of environmental sound 'best practices' may also now be adopted as a key element of the World Bank's Africa Division Strategy for ensuring sound and sustainable design in the many Community-Driven Development and Social Funds Programs they support in Africa and elsewhere.

## 6.2 Training Resources Produced

Course based distribution of materials in printed format is ENCAP's traditional distribution channel. To support the EA and sound design courses, ENCAP developed the EPTM to guide participants through the step-by-step process in sound environmental design which are integral to USAID's Environmental Procedures.

All attendees at each course receive the *Participants' Sourcebook*, which serves both as workbook and post-course reference, as well as the *Environmental Guidelines for Small-Scale Activities*. The *Environmental Procedures Training Manual* is also distributed to participants expecting to have responsibility for preparing USAID environmental documentation. Approximately 200 copies have been distributed to date through the courses given since 2001, 50 copies for ANE Bureau training of MEOs and Mission staff, and another 50 copies distributed by DCHA. Web statistics as of December 2002 indicate a total of 280 EPTM downloads, matching the total number of hardcopies distributed.

ENCAP also developed materials which has been incorporated in the course *Participants' Sourcebook*, *PowerPoint modules*, an *Introduction to EIA Principles*, a *Facilitators' Guide*, and course *Organizer's Notes*. Similarly, ENCAP has produced specific training materials and modules for USAID Mission Environmental Officers and staff. These materials are found at the ENCAP website [www.encapafrika.org](http://www.encapafrika.org) with draft agendas, modules and PowerPoint's organized to facilitate their use by a variety of trainers. ENCAP has produced the finest training and best practice materials for small-scale activities of any donor or PVO/NGO group, an accomplishment for which REDSO/ESA and the Bureau for Africa can take full credit. Even without systematic ENCAP advertising, the site's "readership" has increased steadily, and is now over twice what it was during the first few months, up from around 500 to over 1,100 a month. Sessions have tracked unique users with the number of total hits currently relatively steady at around 12,000 a month.

To facilitate the use of these materials in African settings where downloading of ENCAP materials may be difficult from the internet, these resources are also available on CD-ROM.

## 6.3 Best Practice Resources Developed

One of the key resources produced under ENCAP are the *Environmental Guidelines for Small-Scale Activities in Africa*. The *Guidelines* describe best practices and mitigation strategies by sector for environmentally sound design—and thus increased long-term development success—for small-scale activities. Sectors covered include road construction, micro/small



**Exhibit 20.** Students at one ENCAP EA course reviewed these "enviroloo" (dry composting toilets) mandated by the Department of Public Works in the Northern Province of South Africa.

enterprise support, water and sanitation, solid and medical waste, ecotourism, agriculture and irrigation, IPM/pesticides, forestry, humanitarian response, and others. Each sector module draws on literature and materials developed and applied by a number of leading field-based practitioners/institutions and are especially valuable because of the annotated list of useful on-line references. These materials with annotated links are continually updated and refined on the ENCAP website and are also found on the ENCAP CD-ROM.

#### 6.4 African Environmental Impact Assessment Capacity Developed

ENCAP furthers African capacity in impact assessment through Professional Development (PD) Fellowships of 3–6 months which place junior professionals in mentored positions where they work side by side with more seasoned EIA practitioners. As PD Fellows they may either work on EIA Teams or be involved in various tasks that allow them to develop their expertise and use the latest in EIA technology.

The pilot EIA Professional Development/Mentoring Program developed with ENCAP and the EAAIA was judged highly successful, resulting in award of eight Fellowships, four of them to women. Nearly 20 slots for postings were offered by private sector firms. *Note:* Less than a year after the completion of the pilot PD fellowship program, seven of the eight Fellows have gone on to full-time jobs or been offered Ph.D. Fellowships, thanks to the Fellowships, per their own testimony on the merits of the program.

ENCAP collaborated with African “nodes” of the regional CLEIAA network to develop a joint proposal for a much-expanded program. ENCAP’s trial of the PD Program concept proved so successful that the three networks of EIA professionals in Africa and the International Association for Impact Assessment joined together in 2003 to propose that the REDSO/ESA model now be adopted as a 5 year \$3.5 million capacity building initiative to which USAID would be only one of many donor contributors, along with the World Bank. The World Bank has written such a program into their *Draft Environmental Assessment Strategy for Africa*.

#### 6.5 Environmental Capacity Support Services Delivered

As mentioned in Section 1.2 and elaborated on in Section 5, ENCAP provides analytic support to the Africa Bureau, REDSO/ESA and country Missions on topics related to environmental compliance, assessment and environmentally sound design. Priority has been given to activities that have relevance on a regional scale, and that generate results that are of value to multiple countries. Examples of these activities include:

- **Programmatic Environmental Assessment.** Tanzania’s National Parks Association (TANAPA), following a joint USAID/TANAPA *Programmatic Environmental Assessment for Road Improvements in Tanzania National Parks*, officially adopted and mainstreamed the recommendations of the PEA, *TANAPA Procedures for Environmental Reviews of Road Improvements*. In addition, the *TANAPA Environmental Management Guidelines for Road Improvements* include best management practices as well as instructions for development and implementation of mitigation and monitoring plans. These tools have reportedly helped the system of road maintenance to become more

deliberate and has led to a demonstrable improvement of the quality of the roads in the wet season, thus enhancing tourism revenues.

ENCAP also supported the development of a PEA on small-scale irrigation in Ethiopia (1998), on insecticide-treated nets in Southern Africa (1999), and on forest co-management in Guinea (April 2001).

- **Discussion Papers.** ENCAP supported preparation of a paper on Trade and Environment: Critical Concepts and Considerations for Project Design and Implementation. A paper was also prepared on ENRA and Potential Applications in African Countries to describe NR accounting and its potential uses, and to provide an overview of ENRA experiences in a number of countries.
- **Food Aid Management Environmental Working Group.** Members of the ENCAP core team, played a catalytic role in the organization of a FAM EWG, and ENCAP team members have been regular participants in its meetings and work. This working group has helped to identify and respond to the specific needs of the FAM members regarding documentation and training materials needed to comply with Regulation 216 and to integrate sustainable design and management considerations into Title II food aid and related relief and reconstruction programs.

## Section 7. Motivation, Objectives and Tasks for ENCAP's Next Phase or Successor

Support for ENCAP from the Africa Bureau is likely to end after this year. This section itemizes the nature of the continuing needs for ENCAP-like technical assistance, and the possible responses that a next phase of ENCAP or an ENCAP successor could take to help meet these needs.

The section is divided into two parts:

- A high-level discussion of these technical assistance needs and potential responses
- A more detailed discussion of new and continuation tasks under a future a program

### 7.1 Motivations and Objectives for Future Work

#### ***Continuing needs and possible responses***

ENCAP was established to respond to the needs of USAID missions and partners for technical resources and capacity to engage in environmentally sound design as an integral part of the project development cycle.

ENCAP has done much to answer these needs. However, the process of undertaking this review also made clear that they are continuing: personnel in USAID and its partners turn over, new areas of development intervention evolve, and USAID's project development and planning processes change.

Exhibit 21 documents the technical assistance needs of the ENCAP constituency as identified by this review. It also matches these needs to the possible responses of an ENCAP next phase or ENCAP-successor program.

#### **Exhibit 21. Stated Needs of ENCAP Target Clients and Recommended Follow-on Actions**

Needs identified by ENCAP target clients	Recommended ENCAP follow-on activities
<p>Support regional environmental assessment training that (1) Promotes multi-sectoral environmental mitigation, monitoring and management capacity among USAID's partner in selected sub-Saharan African countries; and (2) Focuses increased effort on training local Africa-based professionals to deliver these courses.</p>	<ul style="list-style-type: none"> <li>• Continue to support regional environmental assessment training. Focus on training local Africa-based professionals to deliver these courses, and move ENCAP training support to the field.</li> </ul>

Needs identified by ENCAP target clients	Recommended ENCAP follow-on activities
<p>Technically and strategically support USAID Missions in applying the Agency's and Bureau's environmental procedures and environmentally sound design principles to Mission Strategic Planning and the development of Strategic Objectives, intermediate results and proposed interventions.</p> <p>This also would a) assist countries in strengthening their capabilities in environmental analysis and assessment; b) define environmental limiting factors that constrain development, and c) identify activities that can assist in sustaining or restoring the renewable natural resource base</p>	<ul style="list-style-type: none"> <li>• Work with REO, MEO &amp; Key USAID program staff to Identify ways to enhance environmentally sound design at the earliest stages in policy, program and activity design, using ESD principles and compliance requirements to improve the sustainability of USAID interventions and avoid program failures.</li> <li>• In particular, Identify, capitalize upon and strengthen interdependent linkages among ENCAP initiatives and responses to the development of Mission Country Integrated Strategic Plans under USAID's ADS 201</li> <li>• Promulgate and pilot these program design best practices by maintaining and strengthening ENCAP's Mission Support Services.</li> </ul>
<p>Increase use of critical environmental and social information by USAID and other decision-makers which supports programming in environment/natural resource management in Eastern and Southern Africa.</p>	<ul style="list-style-type: none"> <li>• Integrate efforts to incorporate EIA principles and practice under ENCAP with the Africa Bureau's SEAM program. Specifically examine linkages to complement and further strengthen SEAM and ENCAP initiatives and responses to the development of Mission Country Integrated Strategic Plans under USAID ADS 201.</li> <li>• Provide other technical assistance to increase use of critical information by USAID and other decision-makers which supports programming in environment/natural resource management in Eastern and Southern Africa.</li> </ul>
<p>Support PVO Regulation 216 compliance and ESD capacity in the P.L. 480 Title II development program of USAID's DCHA, with particular attention to specific technical areas identified by the FAM/EWG.</p>	<ul style="list-style-type: none"> <li>• Further integrate environmentally sound design and 'best practice' in Title II development program, and develop skills in specific technical areas identified by the FAM/EWG.</li> </ul>
<p>Support institutional development of African EA institutions, organizations and professionals, moving beyond a primary focus by development organizations on short-term workshops and towards more active engagement by African environmental professionals in EIA and related activities as a proven way to support sustainable development in Africa.</p>	<ul style="list-style-type: none"> <li>• Continue logistical support to the expanded Professional Development Program for African EIA professionals. Partner with African EIA organizations in training delivery and design of training curricula.</li> <li>• Identify additional ways to support CLEIAA and affiliates, including SAIEA and EAAIA initiatives, WAAEA, and the IAIA, such as supporting efforts by African EIA professionals to explore and recommend approaches to increasing the financial sustainability of EIA institutions. Complement African-led initiatives to demonstrate to political and economic decision-makers the value of EIA processes to long-term sustainability of development interventions, policies and programs, including the use of various media and market research approaches to strengthening EIA programs in Africa.</li> </ul>



**Exhibit 22.** At the Zambia EA course in April 2001, students observed a site where political pressure led to the opening of this road through a forest reserve near Libundi Depot—and where forest cutting and charcoal sale soon followed.

### ***Cross-cutting principles for future work***

This *Program Review* also makes clear that the specific responses outlined above should be executed under a set of cross-cutting principles. These are:

- **Emphasize African-led initiatives and institutions.** This focus is imperative to maximize the cost-effectiveness of ENCAP's interventions, and build in-country capacity available to USAID missions and USAID partners in areas of ENCAP concern. It would be reflected, for example, in training-of-trainers activities or in ENCAP's choice of implementing partners.
- **Place increasing emphasis on the use of web-based training and resources, interactive learning and application of knowledge management systems.** ENCAP seeks to put resources—for training, for best practice, for compliance, and for program design—in the hands of those who need them, when they need them. Internet and CD-based distribution of training and resource materials—and the interactive forms of presentation and access that these mediums allow—are essential if ENCAP resources are to achieve their full potential in dissemination and use.

- **Apply practical indicators to measure the effectiveness of ENCAP training and capacity-building activities.** Results and needs assessment is essential for ENCAP to deploy its resources most effectively. This program review provides a base upon which a more sophisticated, ongoing measurement and monitoring protocols can be designed.

### ***Anticipated results of future work***

In summary, continued support of ENCAP or an ENCAP successor will:

- Maintain crucial momentum in existing task areas, ensuring that both Mission staff and USAID partners are regularly exposed to the EIA process, to environmentally sound design, and to their mandatory responsibilities in applying USAID's environmental procedures under ADS 201 and 204, Regulation 216 and the Foreign Assistance Act provisions of Sections 117, 118 and 119.
- Help to address Missions' needs for analysis, training, preparation of IEEs, ETOAs, PERSUAPs, as well as for strategic planning processes that internalize environmentally sound design. (This supports the REO/REA function as well as the missions themselves,
- Assure that several new initiatives now beginning to be pursued by ENCAP are achieve their potential. These include: capacity-building in Cleaner Production as a tool for Micro and Small Enterprise success, incentives for promoting sustainability through USAID supported trade initiatives, sustainable financing of EIA institutions in Africa, and further development and refinement of best practices such as use of non-timber forest products.
- Support training of trainers, conveying the fundamentals of environmentally sound design and environmental assessment to a much broader set of development practitioners and political and economic decision-makers.

## **7.2 Details of Potential New and Continuing Tasks**

This section describes potential new or continuing tasks to be undertaken by ENCAP or an ENCAP-successor program. It is based on the "needs and responses" and the cross-cutting principles for future work set out in the previous section.

Note: For reasons of brevity, the entity carrying out these prospective activities is referred to simply as ENCAP. This should be understood as "a next-phase ENCAP or ENCAP-successor program."

### ***I. Strengthen Capacity in Environmentally Sound Design, "Best Practice" and USAID Environmental Procedures***

#### ***Support Training of Trainers***

It is recommended that ENCAP continue to build upon past experience in training under the ENCAP program (22 courses in 15 countries) to provide both pre-planning and principal trainers

for planned future courses. Increased emphasis should be placed on training of trainers and identifying in-Africa professionals who can prepare and present courses based on the ENCAP model. The ENCAP team, consisting of the REDSO/ESA REO, the AFR BEO, the Environmental Analyst, and ENCAP contractors, are in the process of developing a consistent strategy for seeking out and mentoring promising African trainers, drawn from past courses as well as the Africa Bureau-supported PD Program. ENCAP should also facilitate the development of in-Africa lower cost alternatives to the current course, including investigation of local USAID support mechanisms and the development and dissemination of computer-based training materials. Trainings should be staggered to take place on an average of one course every 2-3 months, but efforts should be made to achieve economies by combining course presentation with pre-planning for the next course within each overseas trip.



**Exhibit 23.** A farm-to-market road near Chibombo, Zambia. Upgrading this road to an all-weather road will require elevating the existing roadbed across a wetland area. Doing so could adversely affect wetland hydrology.

### *Refine Training Agenda*

Course length. The most common criticism of the course is the limited course time when weighed against the course content. The first two days are especially intense, in part because of the need to prepare participants for the environmental review of case sites on the third day of the course. It is suggested that the training ‘overload’ could be reduced to some degree by starting the course on the evening of arrival by covering the introduction of participants, course objectives, the course agenda and group goals prior to the actual course presentations the next day.

Other refinements are suggested, including having participants identify the components of environmentally sound design through analysis of real examples and participant experiences, development of additional role play options, and techniques for testing retention. There should be follow-up on training suggestions made at the Title II EA Training of Trainers workshop in Washington, DC.

### *Continue Collaboration with the Title II Food Aid Management Environmental Working Group*

ENCAP should provide continued support to ensure Title II CS training in Reg. 216 becomes self-sustaining and takes place on a regular basis. The approach should include working with the EWG to promote regional trainings, but with greater attention paid to working with lead CSs to help shape and build their internal training capacity in environmentally sound design, Reg. 216 compliance and ‘best environmental management practices’ for their sectoral programs.

Additional support may be needed to encourage continuing sector-specific training of trainers in environmentally sound design and “best practice” for roads, Integrated Pest Management and pesticides, and other sectors such as water and sanitation, irrigation, micro/small scale enterprises and lending institutions. ENCAP should also provide technical assistance to CSs (possibly through the FAM EWG) and Missions who need help in the design and development of environmentally sound activities funded with Title II support. Such assistance might focus on the design of the activities and corresponding mitigation measures, as well as the development of required environmental review documentation for submission to the DCHA Bureau.

ENCAP should work with the Africa Bureau to follow-up with CSs who sent representatives to the USAID Training of Trainers EA Course in September 2000 as well as participants in other Title II courses to determine how well they are applying that experience to train others in USAID environmental requirements. ENCAP resources should be applied to assist in organizing additional trainings, as needed.

### *Improve Communication with Past Participants*

All past participants should be asked if they wish to be added to an ENCAP list serve. It is also suggested that past participants from East and Southern Africa be placed on the list serve of the newly established CIANEA. Participants should be alerted regularly to updates of the website ([www.encapafrika.org](http://www.encapafrika.org)), new trainings and new resource materials in environmental sound design and best management practices.

## **II. Develop and Refine Resource Materials**

### *Update and Refine Course Materials*

EA course materials have been continuously updated since ENCAP’s inception. Course materials include: the *Organizer’s Notes*, a *Facilitators’ Guide*; the *Participants’ Sourcebook*; an *Introduction to Environmental Impact Assessment*; and PowerPoint presentations which accompany each course module. Also included in these materials are: SOWs for local logistics firms to support the EA courses; SOWs for local course presenters; instructions on preparation of sample case studies; instructions for working groups based on use of the Leopold matrix for identification of environmental impacts; instructions and tables for completing environmental mitigation and monitoring plans; role play exercises in stakeholder involvement in the scoping, screening and environmental review process; sample IEEs and Environmental Reviews and other examples of USAID environmental documentation. These materials should continue to be modified and improved.

### *Refine EPTM*

The EPTM developed with support from ENCAP V and the Bureau for Asia and the Near East should continue to be refined within the context of Bureau for Economic Growth, Agriculture and Trade (EGAT), the needs of the Geographic Bureau BEOs and REOs for a document that can be applied across all USAID Bureaus.

### *Refine AFR Bureau Environmental Review Procedures and Environmental Review Forms*

ENCAP should revise Bureau for Africa Environmental Review Report (ER) procedures and the Environmental Review Forms (ERFs). Current procedures used for conducting ERs for ‘umbrella’ subgrants should be further refined, providing revised formats that are easier for USAID partners to interpret and apply.

### *Upgrade USAID Mission Environmental Officers and Mission Staff Training Sourcebook on the Application of USAID Procedures to Environmentally Sound Design*

Based in part on REDSO/ESA MEO training materials, Tellus Institute prepared and presented courses for the Asia/Near East Bureau in 2002 for Mission Environmental Officers and Mission staff on Reg. 216 and USAID responsibilities under the associated Automated Directives System (ADS) sections, ADS 201, ADS 204. ENCAP should draw upon these materials to further develop and refine the *Sourcebook*, PowerPoint’s, Course Agenda and other materials prepared for these courses, for use by AFR and potentially all Geographic Bureaus.

ENCAP should help promote convergence of the agendas of BEOs, REOs and MEOs with legal and contracts officers through the development of statutory checklists, pre-obligation checklists, country assistance checklists, etc.).

ENCAP should also provide a suggested set of interventions to improve the integration of ADS 201 and 204 in Mission management through tailored trainings for Mission, for example through specific design of training modules for contract officer and contract technical officer courses, program officer training, and briefings for mission directors.

ENCAP should also capitalize on the growing interest in “greening of contracting.” This can be expected to require cultivation of interested parties within the Office of Procurement, the Regional Contracts Office, Regional Legal Advisor, General Counsel, Policy and Program Coordination, and EGAT.

### *Develop Model Language on EIA and Application of USAID Environmental Procedures for Incorporation in RFPs, RFAs, Engineering Specifications, Contracts, and Grant Agreements*

ENCAP should develop sample language for incorporating USAID Environmental Requirements and cost-effective ‘Best Practices’ in environmentally sound design into Requests for Proposals, Engineering Specifications, Contracts, and Grant Agreements, etc. An effort should be made to draw this language from existing USAID documents, including those from other Bureaus.

### *Prepare Revisions, Updates and Additions to the Environmental Guidelines for Small Scale Development Activities in Africa*

Under ENCAP IV and V, the Africa Bureau’s EGSSAA, published in 1996, were completely revised and updated, including modules on: environmentally sound design, rural roads, water and sanitation, medical waste, small scale construction, housing reconstruction, micro and small enterprises, energy; integrated pest management (IPM) and pesticides, ecotourism, Community-

Based Natural Resource Management, irrigation, forestry; and humanitarian assistance. These modules were posted on the ENCAP website for comments. ENCAP should prepare additional sectoral EGSSAA guides based on needs identified by the AFR Bureau, REDSO/ESA and the BEO.

The *Environmental Guidelines for Small Scale Activities in Africa* is to continue to be a living document with each module available as separate PDF files. Additional materials should be developed as mutually agreed upon through workplans.

Under next phase of ENCAP, a field survey of MEOs and past EA course participants should be conducted to assess the utility of the EGSSA working draft, and to obtain suggestions for improvements or production of additional sectoral materials.

#### *Support Development of Community and Local EIA Training Materials and Innovative Community-Level and Farm Level Training Approaches*

It is suggested that ENCAP assist in-Africa organizational networks engaged in Community-based development with the adaptation of EIA training materials for use by local consultants, university staff, NGOs, district and local governments and community-based organizations. This effort could be linked to leveraging World Bank support for the development of materials that can be used locally, while also addressing the needs of the World Bank's Safeguards and Community Driven Development Program and their interest in developing environmental review guidelines and checklists and reporting formats similar to those used in ENCAP *Environmental Review* trainings. For example, ENCAP might support seeking Bank or other donor funding for the development of community level EIA materials and pilot training programs for organizations like the newly formed CIANEA. Resulting generic material and templates could then be modified when needed by the Bank, USAID or other donors, and designed for presentation to audiences with limited literacy skills and English language facility.

Training innovations such as the *Field Farmer Training School* approach applied to integrated pest management are potentially transferable to community-based environmental impact assessment and EMP processes and should be explored and tested.

#### *Manage ENCAP Website and CD-ROM Training Resources*

Maintenance and updating course materials on the ENCAP website should also continue. Emphasis should be placed on organizing course materials, including PowerPoint modules and background training resources, to make them highly accessible to local in-Africa trainers who



**Exhibit 24.** At the October 2000 Angola EA course in Sumbe, students visited this roadside dump and explored alternative options for the municipality.

wish to organize similar local EIA trainings following the ENCAP model. The website should be linked to the websites of IAIA, SAIEA, the Bureau for Africa FRAME sites, among others.

ENCAP should also convert web-based training materials to CD-ROM, since use of ENCAP training resources in-Africa at remote locations may be hampered by limitations on internet services and long document download times.

### *Initiate Development of Interactive Computer Training in USAID Environmental Procedures and Environmentally Sound Design*

ENCAP should take the lead in initiating development of interactive training in EIA and environmentally sound design for USAID staff and partners. In particular, ENCAP should explore collaborating with the World Bank on EIA distance learning methodology, including the use of web-based digital video for USAID staff and partners. See, for example:

- Potential Application of USAID Experience in Environmental Review to Bank Safeguards and CDD Programs (on [World Bank B-span](#)),
- The World Bank [Environmental Assessment site](#)
- The World Bank [Global Distance EducationNet](#)

(Also see Section 6.6 Apply Knowledge Management Principles and Tools.)

### **III. Support Professional Development and Networking for African EIA Professionals and Other Capacity-Building Initiatives with African Institutions**

Illustrative activities may include:

#### *Refine the Proposal for a Multi-Donor Professional Development Program for African EIA Professionals*

This proposal seeks \$3.5 million in single or multi-donor funding to support a 5-year Professional Development Fellowship Program for African EIA Professionals. Over the five years, the program will fund 200 EIA learning-by-doing fellowships for promising African EIA professionals throughout sub-Saharan Africa. The program would be implemented by four project partners:

- Southern African Institute for Environmental Assessment (SAIEA),
- Eastern Africa Association for Impact Assessment (EAAIA),
- West African Association for Environmental Assessment (WAAEA), and
- International Association for Impact Assessment (IAIA)

Stockholm Environment Institute-Boston Center/Tellus Institute would provide administrative and oversight support for the first two years of the program. The proposed program builds on and expands the ENCAP-supported EIA Professional Development Pilot Program executed by CLEIAA, SAIEA and EAAIA with USAID funding over 2000-2001. This pilot program placed six fellows into successful practical training experiences.

The rationale behind this initiative is that insufficient EIA capacity is a barrier to sustainable African development. As an input to project and programme design, EIA helps to minimise unanticipated adverse impacts—and in some cases outright failure—of development projects and programs caused by unidentified or unaddressed environmental dimensions. These impacts and their attendant costs may be economic, social or environmental. Unfortunately, indigenous African EIA capacity is highly inadequate. While Africans are being trained in EIA, relatively few of these professionals, even those considered trainers, have actually done EIA and very few have ever managed a multi-disciplinary EIA team. Africans also rarely seem to gain a place on donor teams conducting environmental assessments. Such practical experience is critical, as EIA is a field that relies heavily on the experienced professional judgements of its practitioners.

As a result, true domestic capabilities are low. Government professionals are being placed in the position of reviewing EIAs submitted to them with no knowledge of what it means to have done one.<sup>12</sup> The tiny pool of qualified indigenous professionals cannot fulfil the current EIA needs, as long as this situation continues, environmentally sound sustainable development will be substantially impeded in Africa.

By enlarging the pool of skilled EIA professionals and the professional network resources available to them and enabling more extensive and effective implementation of environmental assessments, the proposed program would directly and very tangibly confront and surmount barriers to inadequate African EIA capacity.

**Specific program objectives and components:** Over its five-year lifetime, the *Professional Development Fellowship Program for African EIA Professionals* would fund 200 EIA learning-by-doing fellowships for promising African EIA professionals throughout sub-Saharan Africa. These fellowships, each worth about \$15,000, are the mechanism by which the program would achieve three primary objectives:

- Provide practical EIA training and experience for promising professionals
- Link these individuals to national, regional, and international EIA professional networks
- Strengthen regional EIA networks in Africa

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<sup>12</sup> Low demand for non-donor EIAs in many African countries is both a cause and effect of this state of affairs. Institutions responsible for EIA oversight are necessarily weak without the requisite professional capabilities; civil society is likewise enfeebled by lack of capacity.

### *Provide continuing management support for the PD Fellowship Program*

ENCAP was responsible for the development of the Program Announcement, the selection criteria, the initial screening of applicants, and coordinated the review of prospective Fellowship candidates by CLEIAA, SAIEA and EAAIA. ENCAP subsequently developed the announcement to identify prospective hosts for the Fellows. A total of 40+ candidates were identified under the program and 8 Fellows were subsequently selected and funded under the pilot CLEIAA PD Fellowship Program. ENCAP worked directly with CLEIAA, SAIEA and EAAIA to help coordinate placements and funding for four of the eight Fellows.

ENCAP would share PD Program management responsibilities with SAIEA, EAAIA (through IUCN/EARO) and WAAEA for a second round of PD Fellows in FY'04.

### *Support Establishment of a Multi-Country Committee on Financial Sustainability*

Insufficient funding for EIA institutions in Africa is a major constraint to developing increased EIA capacity in Africa. Innovative sources of budgetary support (e.g., fee mechanisms) need to be explored and debated for EIA administration at the national level throughout Africa. Working in collaboration with the EAAIA ENCAP should:

- Support the establishment of a multi-country committee on financial sustainability
- Serve initially as the secretariat
- Prepare a white paper(s) at the direction of the committee on pragmatic steps to increase EIA budgetary support
- Work with members of the committee to bring proposed findings and recommendations to East African decision-makers and law-makers involved in setting government policies and programs in E/NRM and EIA

### *Provide Additional Technical Assistance and Mentoring Related to EIA Capacity Building for African Professionals*

Illustrative support might:

- Continue to complement resources of the REDSO/ESA *Capacity Enhancement for Environmental Assessment in Eastern Africa Program* (CEEIA) supported by The World Conservation Union–Eastern Africa Regional Office (IUCN-EARO) under REDSO's SO5.
- Assist the Community-based Impact Assessment Network for Eastern Africa in building their capacity to be self-sustaining and in Training of Trainers.
- Engage two or more PD Fellows per year in Training of Trainers to present courses on the ENCAP model for USAID partners and staff.

- Identify or leverage additional resources to complement this exercise (e.g., pro bono collaboration with other donors' complementary activities through CLEIAA, SAIEA, EAEIA, or WAAEA or by developing a linkage with the AfDB's Staff or other Africa-based organizations supporting EIA capacity-building.
- Provide 5 to 10 African EA practitioners per year with 2-year memberships in IAIA. Up to three practitioners per year should be awarded a stipend to travel to an annual association meeting. IAIA, Bilateral USAID Missions and other donors should be encouraged to provide additional funding for this activity.
- Support establishment of a Registry of EIA African Professionals.
- Continue to support development of well conceived country-level *Needs Assessments* in EIA.
- Provide possible technical support to various REDSO/ESA capacity building initiatives with CLEIAA, SAIEA, EAAIA, including participation at meeting of these organizations or preparation of background or research papers.
- Possible support to future meeting(s) of CLEIAA.
- Possible support to allow participation and networking at IAIA Annual Conferences.

#### **IV. *Expand the ENCAP Training Curriculum and Resources to Include Other Topics***

Additional training approaches and curriculum materials are likely to be selected for development. The list below will have to be prioritized and mutually agreed upon through workplan development.

##### *Update and Revise the Integrated Pest Management and Pesticides Modules*

The Integrated Pest Management and Pesticides modules are in the process of being updated, but further revisions will be needed in FY 03. Early completion is needed, with professional translation into French

##### *Revise and Expand Resource Materials on Cleaner Production Best Management Practices for Micro and Small Enterprises, Business Service Providers and Credit Institutions*

Cleaner production is relevant to the increasing number of USAID private sector, agribusiness, competitiveness, enterprise & trade programs in Africa, as well as Title II CSs.

Through the REO's and BEO's work, opportunities arise to encourage introduction environmental screening, mitigation and appropriate technologies to the booming microenterprise sector. Included in this dynamic are the many mechanisms of providing or guaranteeing credit, and how in this arena environmental soundness and consciousness can be best promoted. Under ENCAP, a module was developed which addresses best management

practices (BMPs) associated with micro and small enterprise (MSE) promotion and corresponding credit provision, and which provided concrete fact sheets for environmentally rational and cost-effective options for investments in a wide range of enterprises. These included brick and tile making; food processing; leather processing (tanneries); mining; and textiles (wet operations). ENCAP will produce additional fact sheets on wood processing, furniture manufacture, and metal working.



**Exhibit 25.** At the Zambia EA course in Chisamba in April 2001, students visited this brickmaking site and studied how farm-to-market roads induce secondary impacts, such as brickmaking, land clearing for agriculture and charcoal production.

The materials developed on Cleaner Production formed the basis for training modules on design and cleaner production “best practice.” They were used for a one day workshop hosted by the FAM Environmental Management Working Group on November 8, 2001 for PVOs engaged in lending to micro/small enterprises or those supporting micro/small industry projects. Follow-up led to substantial interest by CARE and TechnoServe in developing “best practices” workshops for micro/small enterprises in environmentally sound design and cleaner production. Tellus Institute for TechnoServe, with financial support from USAID, delivered the course for the first time in Maputo, Mozambique 8-10 July 2002.

The course introduced participants to the concept of cleaner production (CP) using several case study examples and provided several tools to develop participant skills. It also presented non-monetary drivers for Cleaner Production: USAID regulations covering pesticides and MSE development activities, links between IPM and Hazard Analysis and Critical Control Point (HACCP) and cleaner production. The course identified and facilitated the steps that participants will take following the course to integrate CP concepts of the course into their organization and personal work. Course feedback from participants and trainers identified the following set of possible next steps:

- **Assess the impact of the course:** ENCAP should conduct a brief follow-up e-mail query of participants to gather information about the progress that participants have made in integrating Cleaner Production in their work, and to identify any barriers they may have encountered.
- **Produce and make available an electronic version of the course manual:** Many course participants requested a copy of the course materials on CD-ROM. These are being produced and distributed to each course participant. They contain an electronic version of the Participants’ Sourcebook, including presentations, exercises and resource materials. CD-ROM materials are in a format that allows users to review the course step-by-step or view a specific module. The presentations are maintained in PowerPoint

format to be adapted by the users. The materials also incorporate suggestions for improvements identified during the course.

- **Extend current course opportunity to other interested organizations:** ENCAP could sponsor further training with a train-the-trainer emphasis. ENCAP could provide some technical assistance support for one or more of these courses and/or train TechnoServe or regional consultants to teach the course (see the next item for more details). Other organizations with MSE credit or business development services may wish to consider similar training. ENCAP could work with these organizations to identify synergies with the Cleaner Production concepts, adapt the course and materials as needed, and provide training to their staff.
- **Build CP Training Capacity and provide in-depth technical training:** TechnoServe and other organizations have expressed interest in acquiring in-house capacity to provide CP training. ENCAP could help realize this goal by refining the course according to participant feedback and also preparing formal “Trainers notes” and an instructors guide so the course can easily be delivered by a non-ENCAP trainer. ENCAP could train one or more staff members from the requesting organization through a train-the-trainer workshop or co-training a second installment of the course, as was originally planned for the Mozambique course. Organizations could also be directed to outside independent contractors with CP capacity building experience.

Many participants at the Mozambique CP course expressed a desire for more extended technical training and opportunities to explore concepts and approaches at a greater length than afforded by this course. ENCAP could develop a subsequent and possibly longer course that would provide in-depth training in CP assessment and cost accounting tools, and which would integrate a case site visit.

- **Provide technical assistance to integrate CP into MSE credit and BDS work processes:** An example of this type of collaboration could be working together with a country director from TechnoServe or CARE to integrate CP concepts into the business plan during the initial phase of a new MSE project. The results could be used as a model for broader integration into standard operating procedures of organizations with MSE programs.
- **Develop and document case studies:** A number of Mozambique course participants requested site visits and more in-depth case studies for MSE industries. Case studies are an effective way to both convince skeptics and communicate the details of where CP opportunities might lie for a specific industry sector. To effectively integrate CP into worldwide operations, ENCAP could develop a collection of case studies from several organizations (including TechnoServe). A collection of brief case studies could be prepared by documenting examples of existing projects which already contain some CP elements, but which have not been identified as such. Alternatively, ENCAP and participating organizations could work jointly to create detailed case studies: conduct a CP audit, evaluate CP opportunities, implement a CP solution, and document the process. Both types of case studies could be broadly distributed through newsletters, listserves,

and web updates. The case studies could be incorporated into a future CP course (the pilot companies could be used as the site visit component of a future course.)

*Efforts should be made to secure non-ENCAP funding for these potential activities and for additional best practices and cleaner production workshops. In doing so, ENCAP will be expected to explore Global Bureau Initiatives related to the Global Technology Network, Development Credit Authority, and links to the Executive Service Corps.*

### **Coordination with the Africa Bureau's Strategic Environmental Analysis and Monitoring (SEAM) Program**

ENCAP should continue to integrate the ENCAP emphasis on EA principles and practice and environmentally sound design in the earliest stages of policy, program and project planning and design with SEAM. ENCAP has specifically examined linkages, complementarities and synergies between SEAM and ENCAP initiatives by reviewing and commenting on SEAM products. This task supports analyses of specific environmental threats that are regional in nature, or of relevance to operating units throughout the sub-Saharan African region. It provides technical assistance to address these threats. Priority is given to those issues most directly linked to USAID bilateral, regional and global problems.

ENCAP should work with the SEAM program to ensure coordination and collaboration on the application of USAID Environmental Procedures and EA processes to SEAM development. In particular, work with the SEAM program has stressed the development of tools that could improve the overall application of USAID's Regulation 216 and environmental impact assessment processes to improve sound environmental design at both the strategic, SO Team and activity levels.

ENCAP should continue to review the current status of SEAM program development and provide periodic written critiques as mutually determined in workplans.

ENCAP should identify and support potential in-country efforts improve the sustainability of USAID and host-country policies, programs and interventions, particularly in the development of 5 year donor and host-country development plans, and specifically for USAID Country Integrated Strategic Plans. For a suggested approach see the paper presented at the IAIA '02 Conference *Strategic Planning, SEA and EIA for long-term sustainability—What's missing? The Case for Baseline Sustainability Analysis*. (Stoughton and Fisher, June 2002)

*Develop Additional Modules on Integrated Vector Management and ITNs, Genetically Modified Organisms, Non-wood Forest Products, etc.*

**Prepare Modules on Integrated Vector Management (IVM) and ITNs (bednets):** Recent interest has been expressed in integrating environmental assessment into health programs, particularly vector-related disease prevention and management programs. These modules would briefly examine current environmental issues related to IVM and ITNs and provide guidance in impact identification, mitigation and environmentally sound design for proposed interventions. The modules may then serve as the foundation for ENCAP technical assistance and future training activities, involving ENCAP, AFR, REDSO or G staff.

**Prepare a Module on Genetically Modified Organisms (GMOs):** A module may be developed on the Environmental risks of genetically modified organisms, agricultural and medical biotechnology, bioprospecting and introduction of exotic and invasive species. An issue area of rapidly increasing practical importance for development and humanitarian relief programs is that of biotechnology and genetic engineering, and associated fields. This module should provide a synopsis of the state of the art, lay out key issues, identify technical options, and make recommendations for maintaining safeguards against unintended harm from these technologies, as part of the existing framework of oversight for Bureau Environmental Officers. At a minimum USAID Partners in Africa should be alerted through the Environmental Guidelines for Small-Scale Activities in Africa, and ENCAP Training materials to a) the most up-to-date and useful references to GMO issues, b) the Agency Procedures for Safe Use of Genetically Engineered Organisms, and c) the need to contact the Agency Biosafety Officer in Washington when the potential use of GMOs is contemplated under USAID programs or projects. See Agency Procedures for Safe Use of Genetically Modified Organisms.

In assessing risks associated with the above, one would look at, for example, ecological impacts, potential to out-compete native species or become weedy; potential for cross-breeding, etc. In practice, however, few discussions, particularly on the international level, link these activities.

USDA/APHIS's regulations in the U.S. do look at genetically engineered crops under existing plant sanitary and phytosanitary (plant quarantine) rules, rather than creating new biotech laws, so to a certain degree this linkage is made in the U.S. regulatory system. This is also very pertinent to trade and environment issues.

USAID is continuing to develop ADS policy on genetically engineered crops; The Agency has several programs working on the development of biotechnology applications in agriculture, both crop and livestock (there are also human health projects on malaria and chronic diarrhea that involve biotechnology). Further, USAID is addressing the safety of biotechnology both through an internal review procedure and a program that also helps countries develop capacity and regulatory procedures to assess and manage the safe application of biotechnology.



**Exhibit 26.** At the April 2001 EA course in Zambia, students observed women and children seining for fingerlings with traditional fishtraps near Malambanyama.

### **Prepare a Non-wood Forest Products Module:**

PVOs and NGOs supporting various community-based NRM projects in Africa are increasingly engaged in helping to promote and develop the commercialization of non-wood forest products including medicinals, ornamental plants, aromatics, wild fruits and berries, teas, and collectable fauna including fish, reptiles, birds and invertebrates (beetles, butterflies, etc.). Commercial production and sustainable harvesting holds out much promise for populations currently

impoverished on lands with marginal agricultural productivity. However, severe environmental impacts could be associated with ill-conceived design and management of such ventures. This module would examine both the potential benefits and potential adverse impacts of these kinds of activities and suggest approaches and mitigation measures for sustainable production.

## **V. Support in Preparing/Implementing USAID Environmental Documentation, Programmatic Environmental Assessments and Strategic Environmental Analysis**

### *Evaluation and Technical Assistance in IEE and PEA Implementation*

A major shortcoming in the application of environmentally sound design principles and USAID Environmental Regulations is in the actual implementation of mitigation and monitoring measures identified through the EIA process and outlined in Environmental Management Plans (EMPs). To address these deficiencies (and to provide a spot-check on mitigation effectiveness), it is recommended ENCAP provide technical assistance to evaluate a representative sample of IEEs, PEAs and other environmental documentation submissions and, where needed, help the submitting USAID partner(s) design and implement a practical and effective EMP.



**Exhibit 27.** ENCAP provided feedback to a PEA of this ecotourism development zone in Madagascar in 2001.

Following up an ENCAP-funded PEA completed in 2000, ENCAP may provide limited technical assistance to assess the effectiveness of the environmental screening and review process, and to ensure sound implementation of TANAPA road improvement EMPs.

### *Environmental, Natural Resource Accounting (E/NRA) and Links to Trade and Environment*

This subtask builds upon studies carried out under ENCAP on Trade and Environment, Multilateral Environmental Agreements, and related issues, in Africa. In the next phase ENCAP should:

- Revisit the ENCAP paper *Trade and Environment: Critical Concepts and Considerations for Project Design and Implementation* (June 2000) and address the implications of the “Greening of the World Trade Organization” as it relates to Africa, as well as the use of ISO 14001, ISO 9000, etc. to capitalize upon or establish links with these potent initiatives.

- Assess the World Resource Institute's Business, Environment, Learning Leadership & Sustainability's Triple Bottom Line approaches.
- Explore how USAID might shape and encourage initiatives promoting sustainability through programs that build shared corporate social and environmental responsibility in the African context.
- Further develop Mission awareness of benefits that might accrue through Mission actions to promote environmental soundness in trade, development and investment in the AFR Bureau (including especially USAIDs and their partners in Kenya, Uganda, Tanzania, Mozambique, and Madagascar).
- Examine E/NRA perspectives that challenge conventional thinking, and the key assumption that if a nation becomes committed to environmental protection, it will open up major opportunities for trade and investment in "clean technologies."
- Provide possible technical assistance to Missions, such as to Mozambique or Uganda, where such issues are being considered as part of Mission programs. This may involve tapping into the expertise of the Asia Environment Program's "Greening of Industry and Technology Network." A workshop may be appropriate at some point to promote policy dialogue and public and private sector engagement.
- Support initiatives that promote long-term sustainability under the Common Market for East and Southern Africa (COMESA), especially for the East and Central Africa hub related to the Africa Growth and Opportunity Act (AGOA).

#### **VI. Illustrative Areas of Emerging Interest That May Be Supported with ENCAP Resources**

Contingent on the availability of funds and the establishment of ENCAP program priorities by the REDSO REO, the BEO and the Environmental Analyst, additional activities might include, but not be limited to, the following:

- **Assistance in development of guidelines and approaches to integrating environmental analysis into emergency, relief and transitional programming.**

This continues to be an emerging field of importance. For example, USAID's work with food aid for development is addressing environmental impacts in emergencies and transitional situations. The challenge is to address these within core emergency sector programming (such as food aid, cooking fuel provision, site planning and management, water and sanitation). USAID/AFR and other organizations need to develop technical capacity to ensure that environmental considerations are integrated. A very common dilemma in transitions from emergency/relief programs to development programs is that no standards exist, because neither emergency nor development assistance procedures fully apply.

This activity should identify related interests, needs and activities of other agencies and donors (e.g., CARE's Sustaining Standards Project, BSP Disasters and Biodiversity project, UNHCR and USAID/BHR/OFDA guidance, etc.), towards developing technical standards for core emergency sectors, identifying support requirements and strategy elements for developing policies and guidelines, and making recommendations for environmental rehabilitation and development programs affected by emergencies. These efforts should be integrated with [Sphere Project standards](#) and Rapid Environmental Assessment initiatives of [CARE Norge & Benfield Greig Hazards Research Center](#).

- **Integrated Pest Management as a sustainable agriculture and environmentally sound strategy and technology. Pesticide management technical assistance.**

These areas require technical assistance on a continuing basis. This support could be linked to on-going IPM CRSP and PVO work funded by USAID.

- **Integrated Plant Production and Management & Markets** (Gallagher paper) as a concept to help promote these issues.
- **Explore new approaches to “mainstreaming of environment”** within USAID sectoral programs which are not part of a self-standing E/NRM program. Promotion of “Triple bottom line,” “doubly green revolution” understanding.
- **Develop stronger linkages between Strategic and Results Planning; Performance Monitoring and Evaluation and Environmental Review, Mitigation and Monitoring.**
- **Provide Support and Links with African Centre for Technology Studies (ACTS).** ACTS is an African-led, international policy research and capacity strengthening organization receiving REDSO/ESA support for a technical program of work in transboundary natural resources management analysis and policy assessment, pertinent to REDSO's strategic areas. Recently ACTS achieved legal status as a semi-governmental international body focusing on science and environmental policy research and development for Africa. The Center's mission is to enlarge the range of policy choices for Africa's sustainable development related to science, technology and environmental activities in the region.

Major activities include: (1) Development of Regional Environmental Impact Assessment (REIA) Guidelines For Shared Ecosystems of East Africa, on behalf of the East African Community; (2) Six-country analysis of “Ecological Aspects of Political Conflict in Sub-Saharan Africa” (co-funded with MacArthur Foundation); (3) Institutional strengthening in areas of financial management, strategic planning, and the like

ENCAP resources should be applied to complement ACTS objectives where feasible to: (1) Enhance ACTS' capacity to engage partners and clients to effectively utilize its research results, and influence regional policy processes; (2) On behalf of the East African Community, support development of Regional Environmental Impact Assessment Guidelines in a fully consultative fashion among the three East African countries; (3) Disseminate ACTS research through the ENCAP website and links to

enhance understanding, among development practitioners and planners at all levels, of the ecological parameters of conflict.

- Link to REDSO/ESA's Office of Food Security's *Regional African Agricultural Biotechnology Support Program* to **support development of a comprehensive biotechnology and biotechnology program under REDSO's SO5: Enhanced Regional Capacity to Achieve Regional Food Security.**

Other timely or topical issues may arise requiring elucidation, oversight, or dissemination of information. Technical assistance might be used to support a training course, likely with AFR, REDSO or Global Bureau staff. Modalities will depend on needs arising in rural enterprise, private sector and agricultural development activities.

### **VII. Apply Knowledge Management Principles and Tools to Enhance Environmental Management Guidance Development, Updating and Dissemination**

It is recommended this include website management, preparation/distribution of CD-based collections, tracking of environmental compliance documentation, and piloting development of communities of practice tools. ENCAP is expected to explore and develop new KM principals and methodologies. As mentioned in Section 6.2, ENCAP should initiate development of interactive training in EIA and environmentally sound design for USAID staff and partners.

KM has potential application to internal USAID environmental documentation and environmental quality support processes; the development of "communities of practice" e.g., for Mission Environmental Officers, those with interests in specific EIA related topics such as Cleaner Production and environmentally sound design for Micro and Small Enterprises; the relationship between EIA and Democracy and Governance, the Financial Sustainability of EIA Institutions in Africa, Programmatic Environmental Assessment, EA practice and Environmental Review, Community-based Natural Resource Management enterprises, among others. However, the application of Knowledge-Based Web systems will require close interaction among all ENCAP Team members and KM experts. Currently, a KM portal is under development for various Africa Bureau/Economic Growth Bureau Natural Resource Management topics. See FRAME [AFRICA Bureau/Economic Growth Bureau NRM Topics](#).



**Exhibit 28.** Recent development of an ENCAP community of practice platform in Simplify was done to allow improved knowledge management.

### **VIII. Support Functions of the Other Strategic Objectives and the Environmental Analyst**

ENCAP will work in close collaboration with the Environmental Analyst, the AFR SO23 team, and with the AFR Environmental and Natural Resources Strategic Objective (SO17) team. ENCAP will also have increased interaction in FY03 with SO13 (Democracy and Governance) because of the growing recognition of environmental impact assessment and environmental management as important vehicles for strengthening local governance processes and transparency in government decision-making. Links are also important with SO15 (Agriculture), SO16 (Informatics) and SO22 (Crisis Prevention, Mitigation and Transitions). ENCAP will continue to support the Regional Economic Development Service Office (REDSO/ESA) for East and Southern Africa in Nairobi, Kenya; the Regional Environmental Officer for the West African Regional Program (WARP); and various Mission Environmental Officers.

The ENCAP contractor, the Environmental Analyst and the REDSO/ESA REO and the BEO are expected to work together as a team on a daily basis, sharing responsibility for providing high-quality and expert advice on environmental assessment, formulation and evaluation in all areas and sectors that are required to comply with USAID environmental review policy. ENCAP will support the Analyst who will work closely with the BEO to assist USAID missions, AFR management, and high-level officials of foreign governments on environmental assessment and compliance, sustainable agriculture and Natural Resources Management (NRM) issues, programs, and strategies.

ENCAP should include a flexible mechanism to support G/ENV, EGAT, AFR-SD, and Bilateral Missions to complement other ENCAP activities, and to strengthen both regional organizations and EA practitioners' technical capabilities. This program element responds to the needs of bilateral missions, and USAID Washington activities, where appropriate. It is expected that specific activities be developed in consultation with participating bilateral missions, USAID/W staff, and representatives of national governments.

### **IX. Distribute and Disseminate ENCAP Resources and Training Materials**

This task supports the dissemination of ENCAP products throughout the Africa region. Dissemination is crucial to ensure that USAID staff and partners have access to the best available technical materials and recommendations. Much material has already been placed on the ENCAP website at [www.encapafrika.org](http://www.encapafrika.org) including the summary of the purpose and objectives of the ENCAP program; updated EA Course guides (*Organizer's Notes, Facilitators' Guide, and the Participants' Sourcebook*); detailed evaluation summaries of past EA courses; full sets of course modules and



**Exhibit 29.** ENCAP training materials have paid special attention to identifying and mitigating environmental impacts on women and children.

PowerPoint presentations keyed to sample Course Agendas for ease of access; drafts of all environmentally sound design and best practice sectoral modules for public comment; the ENCAP *Introduction to Environmental Assessment* for USAID Environmental Officers and USAID Mission Partners; and the *Environmental Procedures Training Manual* with accompanying PowerPoint slides.

Also posted to the site are: A full description of ENCAP's role in the establishment of the CLEIAA Professional Development Program, the current status of the Program and results to date; the English and French version of the CRS Field Guide to USAID Environmental Procedures for Title II Cooperating Sponsors; the Trade and Environment analyses by EPIQ/Tellus; the Environment/Natural Resource Accounting analysis by EPIQ/IRG; ITNs (bednets); The *Programmatic Environmental Assessment for Road Improvements in Tanzania's National Parks: The Programmatic Environmental Assessment of Small-Scale Irrigation in Ethiopia* (September 1999); *Water and Food-Aid in Environmentally Sustainable Development: An Environmental Study of Potable Water and Sanitation Activities Within the Title II Program in Ethiopia* (March 2000); *Inorganic Fertilizers and Sustainable Agriculture*; and a *Working Draft of the ENCAP Program Review*.

A more complete distribution of ENCAP resources in hardcopy and through the internet are described in Section 3.4.

## **X. Liaise with Other Organizations on EIA Training Resources**

ENCAP should liaise with the U.S. Environmental Protection Agency (USEPA) Environmental Management Capacity Building Support program, the World Bank Africa Safeguards and Community Driven Development Programs, the World Bank Environment Department Lead Specialist for Environmental Assessment, the United Nations Environment Program (UNEP) office responsible for EIA capacity building, the International Association for Impact Assessment (IAIA), CSIR and SAIEA, the EA Unit at the University of Capetown, Canadian CIDA, IUCN/EARO, CLEIAA, WAAEA, the African Development Bank, AMCEN, and other organizations with special interest and capabilities in EIA capacity building in Africa.

## **XI. Track, Evaluate and Report on Performance and Results**

This *ENCAP Program Review* and the Lessons Learned analysis (draft 1999) summarize the evolution of ENCAP. They also make recommendations and suggestions for improvement of ENCAP initiatives and the ENCAP Program. Other evaluation tools included:

1. Course participant evaluations for ENCAP courses
2. Submission of quarterly progress reports and revision of annual workplan in May and December 2000, July 2001 and May 2002
3. Preparation of draft FY2001/Partial FY 2002 Report, February 14, 2002

4. ENCAP Team Planning Meeting (July 12-13, 2001) on ENCAP's workplan and future through March 31, 2002
5. A second ENCAP Team Planning Meeting April 29-May 01, 2002 in Nairobi.
6. ENCAP MOBIS workplan development October 16-17, 2002
7. Submission of quarterly progress reports for ENCAP MOBIS in FY 03.
8. Teleconferenced review of ENCAP workplan April 30, 2003

This *ENCAP Program Review* gauges both the overall effectiveness of the ENCAP program and makes recommendations for future USAID environmental capacity building initiatives in Africa. It summarizes the totality of activities carried out under ENCAP, with respect to environmental capacity building, and analytical activities pursued. The Review was a desk study complemented by targeted TDYs in connection with training in specific countries to obtain follow-up information regarding the extent to which business is being done differently. Likewise, regional AFR staff were encouraged to develop and submit ad hoc assessments and testimonials from the field. The Program Review should be considered part of a continuing assessment process. AFR and REDSO/ESA with ENCAP assistance should survey selected Mission Environmental Officers, Environmental Sector Managers, USAID partners and others, to identify examples of policy and program designs or activities that were improved through the application of USAID's Environmental Procedures. Results might be incorporated in a short brochure on "Improved Environmental Design through Shared Lessons" focusing on examples of how Strategic Objectives, programs, policies and project activities can be improved through the application of USAID's Regulation 16 process.

Included here should be additional evaluation of the effectiveness of AFR EA training courses to date (including design), through further follow-up survey e-mails of past participants and facilitators and a more systematic approach to operating a past participants' listserve.

The REO, BEO and Environmental Analyst with ENCAP support should coordinate further technical evaluation by independent reviewers of the quality, content and utility of the Second EGSSAA, as well as other ENCAP materials and the ENCAP website.

An effort should be made to develop pragmatic targets and indicators of performance for each of the recommended tasks under this review.