

# 1. THE BASICS: OBJECTIVES, AGENDA, STAFFING, FUNDING AND CONTRACTING

## 1.1. COURSE DESCRIPTION AND OBJECTIVES

The ENCAP EA-ESDM Course (fully, the ENCAP Africa Regional Course in Environmental Assessment and Environmentally Sound Design & Management for Small-Scale Activities) is a four to five day course for 25–45 participants.

The primary objective of the course is to strengthen the capacity of USAID missions and mission partners to achieve environmentally sound design and management (ESDM) of their small-scale development activities, using USAID’s environmental procedures as the framework.

To achieve this primary objective, the course:

- **Introduces ESDM** and leads participants to understand its value as a conscious goal in development activities.
- **Introduces environmental assessment (EA)** as a key tool to achieve ESDM.
- **Teaches basic EA principles and methods.** Participants will learn the skills to identify and assess reasonably foreseeable environmental impacts, and to mitigate and monitor these impacts.
- **Introduces USAID’s environmental review requirements** (Reg. 216 and associated directives), teaching them as a *specific implementation of the basic EA process*, and
- **Provides participants with the EA and other skills necessary to comply with and use these procedures proactively to achieve ESDM.** Participants will learn to screen activities under Reg. 216 and write Reg. 216 Initial Environmental Examinations (IEEs) or Environmental Review Reports (ERRs).

The course is not intended as advanced technical training in impact assessment.

The course emphasizes participatory learning, and the practical application of skills: A central and essential component of the course is a one-day field visit in which participants conduct observation and assessment of actual or proposed project sites. Typically more than one project site is identified for each of a few sectors (e.g., roads, water and sanitation, agriculture, etc.)

### COURSE PROFILE

**Length:**

4.5 or 5 days,

**Optimal size:**

25-40 participants

**Objective:**

Strengthen the capacity of USAID missions and mission partners to achieve environmentally sound design and management (ESDM) of their small-scale development activities, using USAID’s environmental procedures as the framework

*Not an advanced technical course in impact assessment*

**Approach:**

Experiential/participatory learning: exercises & field-based case studies in working groups.

**Field work:**

1 full day in the field (requires significant logistical preparation)

**Training team :** Minimum of 3 (1 principal trainer, 2 host country/regional experts)

**All course materials available on**

[www.encapafrika.org](http://www.encapafrika.org)

Participants then write a draft IEE or ERR outline based on their site visit experience. The exercise includes the design of a mitigation and monitoring (or environmental management) plan.

The course has been developed by staff of the Capacity in Impact Assessment and Management program of The Cadmus Group ([www.cadmusgroup.com](http://www.cadmusgroup.com))<sup>1</sup>, USAID/EA<sup>2</sup> and USAID's Africa Bureau.

Course materials and information, including this guide, are available at <http://www.encapafrika.org>.

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## **1.2. TWO BASIC COURSE VARIATIONS: IEES & ENVIRONMENTAL REVIEW REPORTS**

Some USAID partner organizations participating in the course will need to acquire skills to prepare IEES for their activities. Others primarily need to undertake sub-project environmental reviews and rarely or never draft IEES on their own. Which situation applies depends both on the nature of the activities the partners are engaged in and the contractual mechanisms under which these activities are carried out.

The course thus has two basic variations or flavors emphasizing either: (1) “primary” or “initial review” procedures that produce IEES; or (2) subproject review procedures that produce environmental review reports (ERRs).

Depending on participants’ needs, the facilitator will decide which USAID procedures are taught, the focus of course exercises, and whether participants draft IEES or ERRs based on the field visits. The choice of “flavor” does *not* affect the basic concepts and core skills taught by the course. The basic course sourcebook supports both variations of the course (see section on course materials below).

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## **1.3. COURSE STRUCTURE (SUMMARY AGENDA)**

Each training is unique and the role of the principal trainer is to tailor the course program (including choice of exercises, examples, and special topics) to meet the needs of participants.

However, the basic structure of the course is consistent, and is generally as follows:

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<sup>1</sup> previously of Tellus Institute

<sup>2</sup> formerly USAID/RESDSO/ESA.

**Table 1: EA-ESDM COURSE SUMMARY AGENDA**

<b>DAY</b>	<b>THEME OF THE DAY</b>	<b>CONTENT &amp; NOTES</b>
0	Arrival and registration	(for those with long travel distances)
1	Basic concepts	Official opening, introductions, participant expectations Introduction to ESDM & Environmental Assessment as a tool to achieve to ESDM Basic concepts of Environmental Impact Assessment USAID's environmental review requirements as a specific implementation of the general EIA process Host country ecological and social context; Host country EIA requirements
2	Tools and Methods for EIA	Information and tools for screening & preliminary assessment Introduction to mitigation and monitoring How to write a preliminary assessment (the general term for an IEE or ER). What makes a good preliminary assessment. Field visit preparation
3	Field visits	Field visits in working groups—each group has a unique itinerary
4	Writing preliminary assessments (IEEs or Environmental Reviews)	In working groups, develop detailed preliminary assessment outlines (IEEs or environmental reviews) based on the field visits. Includes Mitigation and Monitoring Plans (aka Environmental Management Plans.) Present results in plenary.
5	Advanced & special topics	Beyond preliminary assessment (full EIA studies) Special topics: e.g., Pesticides & USAID pesticide procedures Course synthesis & evaluation Official Closing

The best overview of the course is obtained by reading through the basic sourcebook “skeleton” which contains the core module descriptions and exercises.

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## **1.4. A FACILITATED PARTICIPATORY TRAINING APPROACH**

Active participation and practical application and reinforcement of new skills are the best basis for adult learning. Accordingly, the course is centered around field visits and writing preliminary assessments (IEEs or ERRs) based on these field visits. The visits require participants to practice field observation and assessment skills; the drafting exercise requires participants to integrate the first two days of classroom learning.

Both the field visits and the development of preliminary assessments are conducted in *working groups*. This requires participants to articulate their understanding of the exercise and the material

to their peers—an exercise that both reinforces understanding of the training’s core concepts and provides key mechanisms for peer learning and exchange.

While the first two days of the course are lecture-intensive, these days do feature a number of exercises and learning games, conducted both in workgroups and in plenary. These exercises are essential, and give participants practice in applying new skills (e.g., screening). Trainers should actively seek out opportunities to introduce new exercises and “games” into the first two days.

Participatory training is *facilitated training*: while the term “trainer” is used throughout this guide, an equally appropriate term is *facilitator*. As *facilitators*, trainers must fully understand the subject matter and be able to apply it in practice. Typically, facilitators do not preach or dictate answers, but rather encourage participants to think about how they would approach the problem by asking questions and stimulating discussion.

The role of facilitators is not only to clarify, but also to challenge the group if necessary. Facilitators may find themselves on different sides of the issues from one moment to the next. Part of their job is to challenge, raise ideas, and take on the less accepted view. Facilitators also try to assure that each trainee participates fully.



## 1.5. COURSE MATERIALS

The course materials are intended to both:

- **Support the immediate needs of participants as they progress through the training** (e.g., instructions for exercises and the field visits, copies of presentations, key resources to support the field visits and preparation of the preliminary assessment.
- **Serve as post-training references**, to assist participants in the preparation of environmental documentation and environmentally sound project design after the course.

*Customizing the materials for each training is a significant effort and is essential for a successful course.* Note that all core materials are available at [www.encapafrika.org](http://www.encapafrika.org).

## TRAINERS & ORGANIZERS’ MATERIALS

This *Course Planning and Delivery Guide* is provided only to sponsors, organizers and trainers.

## MATERIALS FOR ALL PARTICIPANTS (INCLUDING TRAINERS)

Note that the principal trainer and co-trainer must be completely familiar with all the participant materials, and particularly the participant sourcebook. *This includes not just the presentations, but the background readings and resource documents.* Materials provided to participants in a typical course are listed in the table below:

**Table 2: EA-ESDM COURSE PARTICIPANT MATERIALS**

DOCUMENT	DESCRIPTION	SOURCE	REPRODUCTION FORMAT
<p><b>PARTICIPANT SOURCEBOOK</b> <i>(Hardcopy)</i></p> <p>NOTE: Trainers must edit the exercises and presentations to local needs and the lectures to their own style and expertise.</p>	<p>For <i>each module</i>, the sourcebook contains:</p> <ul style="list-style-type: none"> <li>▪ Introduction and objectives.</li> <li>▪ Instruction for exercises and group work (for many modules)</li> <li>▪ Selected background readings and resource documents. (A limited number of relevant and succinct documents DIRECTLY RELEVANT to the field visits and group work.)</li> <li>▪ Overheads and presentation materials</li> </ul> <p>The field visit module contains the case site briefings and field work instructions, used to prepare for the field visits.</p> <p>The sourcebook also contains the agenda and participant list.</p>	<p>Principal trainer finalizes sourcebook content as described above.</p> <p>(The “skeleton” file and presentations are available in Word, PowerPoint formats on <a href="http://www.encapafrica.org">www.encapafrica.org</a>)</p> <p>The sourcebook is then assembled as a single PDF document.</p>	<p>Loose-leaf binder (box file); preferably with clear plastic covers that accept slipsheets for face and spine.</p> <p>Double-sided copies on A4 or letter.</p> <p>PowerPoint slides printed four to a page.</p>
<p><b>TOPIC BRIEFING:</b> An Introduction to Environmental Impact Assessment <i>(Hardcopy)</i></p>	<p>Developed for ENCAP, this resource document provides a detailed introduction to the EIA process. It supplements the course presentations on EIA concepts and practice.</p>	<p>PDF file on <a href="http://www.encapafrica.org">www.encapafrica.org</a></p>	<p>Double sided letter or A4 cardstock covers staple binding</p>
<p><b>EPTM</b> (USAID Environmental Procedures Training Manual) <i>(Hardcopy provided for IEE-focused courses only)</i></p>	<p>The EPTM provides a step-by-step guide to compliance with 22 CFR 216, including screening and IEE development. It also includes many key resources for IEE preparation, including the full text of Reg. 216 and other directives.</p>	<p>PDF files available on <a href="http://www.encapafrica.org">www.encapafrica.org</a> (but hardcopies usually provided by AFR Bureau or ENCAP Home office)</p>	<p>Double-side letter or A4</p> <p>Chapters and Annexes are tabbed</p> <p>Plastic “comb” binding</p> <p>Clear plastic covers</p>
<p><b>SMALL SCALE GUIDELINES</b> <i>(CD with essential sectors in Hardcopy)</i></p>	<p><i>Usually provided on CD. Chapters on sectors relevant to course participants may be provided in hardcopy.</i></p> <p>The <i>Environmental Guidelines for Small Scale Activities in Africa</i> provides sector-specific guidance on environmentally sound project design and implementation/management.</p>	<p>PDF files available on <a href="http://www.encapafrica.org">www.encapafrica.org</a> (but hardcopies usually provided by AFR Bureau or ENCAP Home office)</p>	<p>Double-sided A4 or letter.</p> <p>Loose-leaf binder (box file)</p>
<p><b>ENCAP WEBSITE CD</b></p>	<p><i>Electronic versions of all the above, plus additional EIA and ESDM resources.</i></p> <p><i>The ENCAP website CD provides the full content of the ENCAP website, including all course materials, as well as many other EIA and ESDM resources.</i></p>	<p><i>AFR Bureau or ENCAP home office</i></p>	

## 1.6. STAFFING THE COURSE

### THE COURSE TEAM

A successful presentation of the course requires the coordinated contributions of a course team. The key roles or positions on this team are set out in the table below. The table assumes a “standard” course arrangement, in which the ENCAP team provides both a preplanning lead and principal trainer.

Note that *sample SOWs for most positions are included in Appendix A, including template SOWs for the prime contract/principal trainer.*

**TABLE 3: EA-ESDM COURSE TEAM**

<b>POSITION/FUNCTION</b>	<b>USUAL SOURCE</b>	<b>GENERAL RESPONSIBILITIES (See SOWs for details)</b>
<b>PREPLANNING LEAD</b> Ideally serves as the principal trainer as well.)	ENCAP team	The preplanning lead carries out the preplanning exercise (see below) with the <i>preplanning counterpart</i> . Responsibilities include developing the case site itinerary, drafting a budget, and identifying a venue, among other tasks.  <i>Course delivery is smoothest when the preplanning lead is also the principal trainer.</i>
<b>PREPLANNING COUNTERPART</b>	Staff person from USAID mission or local partner organization  <i>After preplanning is completed, this individual should function as liaison for the mission or lead local partner.)</i>	The preplanning counterpart is a locally based professional who works with the preplanning lead to: identify case sites and venue (the position thus requires taking part in the field survey); meets with key partners; and identifies potential logistics coordinators & host country experts.
<b>PRINCIPAL TRAINER</b> (ideally, serves as the preplanning lead as well)	ENCAP team	Has substantive responsibility for the master participant sourcebook. (Modifies stock presentations, reviews and provides feedback on materials developed by the host country experts, selects resource materials.)  With the logistics coordinator, finalizes the agenda & assigns presenters to all sessions. Coordinates the trainer team during the course. Personally presents about half the formal presentations in the course.  Leads a field visit team & facilitates working groups.
<b>LOGISTICS COORDINATOR</b>	Mission staff, local partner, local independent contractor	Takes over in-country logistics preparations where the preplanning exercise leaves off. Responsibilities usually include issuing invitations, receiving registrations, arranging and confirming case site visit logistics, liaison with venue, arrangements for payments of per diem, local procurement of supplies, etc.

<b>ENCAP HOME OFFICE SUPPORT</b>	ENCAP team	Assists the principal trainer with materials preparation; executes ENCAP-funded subcontracts
<b>CO-TRAINER</b> (strongly preferred, but not required)	ENCAP Team	Supports the principal trainer in course delivery by leading a field visit team, facilitating working groups, and serving as a lead presenter for some modules. Often a principal trainer-in-training.
<b>USAID TRAINER</b> (preferred, but not required)	USAID Regional Environmental Advisor (sometimes local Mission MEO)	Teaches USAID environmental procedures & advanced/special topics. Leads a field visit team and otherwise supports course delivery.
<b>HOST COUNTRY/REGIONAL EXPERTS</b> (usually 1 ecological expert; 1 socio-cultural expert.)	Universities, local independent contractor, local partners, host country government	Develop & deliver the content of course modules on: <ul style="list-style-type: none"> <li>▪ Host country ecological, environmental and social context</li> <li>▪ Host country environmental assessment policy/requirements</li> </ul> Lead field visit teams and otherwise support course delivery.

## **ENCAP POLICY: MAXIMIZE USE OF AFRICAN PROFESSIONALS**

To date, most ENCAP course deliveries have utilized US expatriates as principal trainers. However, ENCAP has undertaken significant training-of-trainer efforts and, over time, developed a pool of African lead trainers. ENCAP’s formal policy, consistent with the program’s overall capacity-building mandate, is now to source principal trainers from this pool to the greatest extent feasible. Further, the co-trainer position is used to build the experience of principal trainers-in-training.

As a matter of policy (and efficacy), all other aspects of course delivery should be localized to the greatest extent feasible. This includes logistics and host country experts (see below).

## **NOTE REGARDING HOST COUNTRY/REGIONAL EXPERTS:**

Achieving ESDM requires having and applying a sound knowledge of local conditions and constraints. Host country/regional experts play an integral role in the course by developing and delivering course modules on the host country’s (1) environmental and ecological context, (2) social context, (3) environmental assessment policy/requirements, and (4) the broader national environmental management, planning and policy context.

Typically, two experts are engaged for each course: an ecological expert and a socio-cultural expert. Ideally, both are independent consultants or selected from universities or NGOs where they:

- a) have experience presenting important issues in natural resource management and/or environmental assessment;
- b) can afterwards transfer the lessons learned during the course to a broader audience; and

c) will remain available to assist (or lead) in subsequent training activities.

*As a result of the course, these experts should have increased capability to provide support to USAID and USAID projects, and to function as future trainers.*

More detail on the suggested topics and issues to cover in the “local context” modules are described in the participant sourcebook. (See “Objectives” for the relevant modules in the sourcebook skeleton file.) However, a key function of these experts is to identify the most critical “local context” issues for ESDM and EA.

The local experts should submit draft presentations and resources materials **at least a month** in advance of the course, to assure that the principal trainer has opportunity to review and comment, and that the experts have time to revise their drafts in response. The sample SOWs for these positions contain precisely these advance submission requirements.

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## **1.7. FUNDING, COST-SHARES & DIVISION OF INSTITUTIONAL RESPONSIBILITIES**

*All course materials (including this guide) are freely available, and any USAID mission or partner may choose to sponsor a course entirely from their own resources. Principal trainers for such courses need not be sourced from the ENCAP team.*

This said, most courses are delivered with a cost-share from ENCAP, which also provides the preplanning lead and principal trainer. *This section presents cost shares & contracting models that assume such a “standard” ENCAP course.*

Two detailed budget samples are presented in **Appendix B**.

### **TYPICAL TOTAL COSTS: USD 50–60,000**

Excluding the preplanning visit (see below), total costs for a 40-person course are usually about USD 50,000–60,000.

This includes full participant support (lodging, board and travel), venue and supply costs, the labor, time and travel of a principal trainer and co-trainer, home office support for same, labor, time and travel of two host country/regional experts, reproduction of materials, and a contract for local logistics coordination.

### **BUDGET LINE ITEMS & TYPICAL ALLOCATIONS OF COSTS**

The table below provides a detailed break-down of how costs are typically shared for EA-ESDM courses. In so doing, it presents the line items found in a typical course budget.

In summary, ENCAP typically provides a (1) labor, travel and per diem for a preplanning lead; and (2) home office support for preplanning. The mission provides major funding for course delivery, with smaller contributions from participants (local partner organization) and the USAID Regional Office. *However, the exact cost-share for each course is different.*

In addition to contracting for the services of the principle trainer, host mission contributions may be made directly in the form of mission staff time, equipment and facilities, or via a local project or contractor.

**TABLE 4: BUDGET LINE ITEMS AND COST ALLOCATIONS**

BUDGET LINE ITEM	SOURCE OF FUNDS <sup>1</sup> :	HOST MISSION	ENCAP	PARTICIPANTS	USAID REGIONAL OFFICE
<b>PREPLANNING COSTS</b>					
Vehicle, driver and time of a preplanning counterpart to support the preplanning visit, particularly case site & venue surveys		✓			
Travel, salary & per diem of the preplanning lead up to and including the preplanning visit; associated home office support			✓		
<b>LOGISTICS COSTS</b>					
Venue costs (main meeting room & breakout room rental, equipment, tea/coffee breaks)		✓			
Logistics coordination costs (labor, communication, run-about). These may be provided by mission staff & resources directly.		✓			
Vehicles for site visits during the course		✓		✓	
Materials reproduction & shipping costs		✓	✓		
<b>MATERIAL PREPARATION &amp; TRAINER COSTS</b>					
Principal trainer: labor, travel, per diem		✓			
Home office support for principal trainer: labor & ODCs (principally for materials preparation and logistics backstopping)		✓			
Co-trainer: labor, travel, per diem		✓	✓		
Local experts: labor (usually in form of a stipend, if appropriate), travel, per diem		✓	✓		
Travel, per diem, salary of USAID regional trainer (if any)					✓
<b>PARTICIPANT COSTS—HOST MISSION STAFF</b>					
		✓			
<b>PARTICIPANT COSTS—NON-MISSION STAFF</b>					
Participant Lodging, M&IE		✓		✓	
Participant travel		✓		✓	

1. Check marks in multiple columns indicates both that costs are shared within a course, or that the cost share varies from course to course.
2. Participants are sometimes charged a fee to offset costs of venue & materials

## 1.8. TYPICAL CONTRACTING MODELS AND MECHANISMS

The division of costs for a particular course are driven in part by the contracting model/mechanism adopted for the course.

*Ideally, a contract mechanism is identified prior to the preplanning visit. If not, identifying an appropriate contract mechanism is a critical outcome of the preplanning visit.*

There is no single contract mechanism that is preferred; the Mission may choose whichever model works best in a particular circumstance. The most typical contracting models are outlined in the table below.

**TABLE 4: EA-ESDM COURSE CONTRACTING MODELS**

CONTRACTING MODEL	DESCRIPTION AND ENTAILED CONTRACT MECHANISMS
<p><b>MISSION AS PRIME</b></p>	<p>The host mission functions as “prime contractor” for the course and executes separate contracts (usually purchase orders) with the principal trainer’s organization, the logistics coordinator/organization, the venue, and local presenters.</p> <p>As such, the mission usually takes on significant overall coordination and substantive project management responsibilities.</p> <p>Contract mechanisms: Multiple contracts (usually POs) executed directly by mission.</p> <p>The principal trainer could be engaged via a buy-in to the EPIQ II IQC under which ENCAP operates. (see “ENCAP Partner as prime,” below.)</p>
<p><b>LOCAL PARTNER AS PRIME</b></p>	<p>The mission executes a prime contract with a local partner (or adds the SOW &amp; funding for the course to an existing contract mechanism.)</p> <p>This local partner then in turn contracts with the principal trainer’s organization, the venue, and host country experts. Typically, the local partner will serve as logistics coordinator.</p> <p>Contract mechanisms: Varies; the contract mechanism most easily available to engage the desired local partner.</p>
<p><b>ENCAP PARTNER AS PRIME</b></p>	<p>The mission executes a contract with an ENCAP partner to serve as the prime. The ENCAP partner provides the principal trainer and contracts with a local organization for logistics support, and with the host country/regional experts.</p> <p><i>Such a contract mechanism MUST be signed with sufficient lead time for the contractor to move funds in-country to pay venue, logistics, and per diem costs.</i></p> <p>Contract mechanisms: Who the “ENCAP partner” is can vary. In the current ENCAP contract cycle (2005-2007), ENCAP is implemented as a task order under the EPIQ II IQC. International Resources Group, Ltd. (IRG) is the prime contractor for this TO; The Cadmus Group has the technical lead for ENCAP and functions as a subcontractor to IRG. Thus, the host mission could:</p> <ul style="list-style-type: none"> <li>▪ buy-in to the EPIQ II IQC for the purpose of engaging The Cadmus Group or an African Partner organization (e.g., Guinea Ecologie, SAIEA) to provide the principal trainer and logistics support. In either case, IRG will serve as the prime contractor, cutting a subcontract with Cadmus or executing a small grant to the African partner.</li> <li>▪ contract directly with The Cadmus Group or an African Partner</li> </ul>

	organization to obtain these functions.
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**ENCAP POLICY: MAXIMIZE USE OF AFRICAN ORGANIZATIONS AS PRIMES/COURSE DELIVERY LEADS**

Consistent with ENCAP’s overall capacity-building goals, ENCAP’s policy is to maximize the use of African partner organizations as “prime contractors” and course delivery agents. These organizations may be regional or country offices of Western organizations or they may be Africa-based NGOs or PVOs.