

APPENDIX C: PREPLANNING AIDS

C.1 TEMPLATE FOR PREPLANNING REPORT

C.2 COURSE PREPARATION CHECKLIST

C.3 PROCUREMENT CHECKLIST

APPENDIX C.1

PREPLANNING REPORT: USAID/XXXX PRESENTATION OF THE AFRICA REGIONAL COURSE IN ENVIRONMENTAL ASSESSMENT AND ENVIRONMENTALLY SOUND DESIGN & MANAGEMENT

TO BE HELD [INSERT DATES] AT [INSERT VENUE]

To: [USAID/XXX lead]

Cc: [All interested parties]

[Preplanning reports can contain proposed costs and other sensitive information. If necessary, obtain clearance before forwarding the document to identified stakeholders outside of USAID & the firm of the preplanning lead.]

From: [Preplanning lead]
[contact information for preplanning lead]

Date: [date] [should be no more than a week after completion of preplanning trip]

Attachments:

Key contacts

Diary of activities and meeting held during preplanning visit

Draft Agenda

Scopes of Work

CVs of logistics coordinator, eco-environmental specialist, socio-cultural specialist candidates

Draft invitation package

Tentative budget

Draft Case site briefings

[modify or add to attachments as appropriate]

1. BACKGROUND & OVERVIEW

USAID/XXX [indicate sponsoring program/SO as appropriate] is sponsoring a presentation of the Africa Regional Course in Environmental Assessment and Environmentally Sound Design for Small-Scale Activities. The course, developed by the Environmental Capacity Building Program

(ENCAP) of USAID’s Africa Bureau, will be delivered to an audience of USAID/XXX partners, Government of XXX professional staff, and USAID staff. [modify underlined text as appropriate]

[Preplanning lead] of [firm name] undertook an ENCAP-funded preplanning visit to [host country name] between [dates]. The visit had the following objectives:

- Drafting scope of work and an indicative budget for training delivery. (Training delivery is to be funded by [insert funder(s)].
- Identifying and interviewing candidates for: (1) logistics coordinator, (2) a [host country] or regionally based eco-environmental specialist to serve as a trainer/facilitator; and (3) a [host country] or regionally based socio-cultural specialist to serve as a trainer/facilitator.
- Confirm the training venue and identify case sites.
- Meet with USAID/XXX staff, potential participants and other interested parties to: (1) understand the particular objectives the training is intended to achieve and issues it should address and (2) increase awareness of and commitment to the course on the part of potential participants.

[Modify underlined text as appropriate. Note that objectives of the preplanning exercise should be identified as a collaborative process between USAID/Country/Regional offices and the preplanning lead PRIOR to the start of the pre-planning trip. See discussion of preplanning objectives in Chapter 2 & 3 of the *Preparation and Delivery Guide*]

This report documents:

- The current status of course arrangements and planning
- Deliverables and individual responsibilities, including immediate next steps
- Issues remaining for resolution

In addition, [summarize attachments] are appended.

2. GENERAL COURSE DESCRIPTION

The “Africa Regional Course in Environmental Assessment and Environmentally Sound Design & Management” is a 5-day (M-F) course for 25-40 participants. Typically targeted at USAID partner organizations engaged in small-scale activities, it provides an introduction to environmentally sound design with application to key sectors, and to compliance with USAID environmental review requirements (Reg 216 and associated directives). It is not intended as advanced technical training in impact assessment.

The course is centered around a set of case studies; day 3 is a one-day field trip in which participants conduct observation and assessment of actual or proposed project sites. Participants then write a draft IEE or environmental review based on their site visit experience. Typically more than one project site is identified for each of a few sectors (e.g., use of agrochemical inputs, small scale irrigation, agricultural micro and small enterprises, roads, etc.)

The course was originally developed by staff of USAID’s Africa Bureau and of The Cadmus Group’s Capacity for Impact Assessment and Management Program. It has been given more than 40 times across the continent since its creation in 1995. Course development, including two major updates, has been funded by ENCAP, an African environmental capacity-building initiative funded by USAID/AFR and USAID/EA. The last presentation of the course in [insert host country] was in [insert date.]

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

3. ADAPTATIONS TO MEET USAID/XXX NEEDS

[Describe key adaptations of course materials and agenda to meet country-specific and local needs. Note the role of the host country/regional experts in assuring the course is well-grounded in the local context.]

4. STATUS AND KEY ATTRIBUTES OF THE USAID/XXXX COURSE

PLACE, TIME AND PARTICIPANTS

Dates	[dates] [indicate whether dates are confirmed or tentative]
Venue	<p>[Details of venue selected to host the course, or venue alternatives, and status of arrangements.]</p> <p>NEXT STEPS:</p> <p>[Required follow up steps to secure the selected venue & who has responsibility for interacting with/managing the relationship with the venue]</p>
Projected Participants	<p>[Identify expected number of participants and associated organizations represented.]</p> <p>[List expected complement of facilitators/trainers.]</p> <p>NEXT STEPS:</p> <ul style="list-style-type: none"> • [Identify protocol and deadlines for invitations] • Identify person(s) responsible for drafting invitations and completing this task.] • [Identify person(s) responsible for assembling an invitation list]

Working language	[working language]
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CONTRACTS, FUNDING AND COST-SHARES

Participant support	[Identify participant support to be provided by the USAID mission/prime contractor (for example, lodging, meals, transport, and/or per-diem , ect.)]
Cost shares & Sources of funding	<p>Preplanning support.</p> <ul style="list-style-type: none"> ▪ [describe funding support for preplanning lead] ▪ [describe USAID Mission, partner contributions to the preplanning exercise] <p>Course delivery support.</p> <ul style="list-style-type: none"> ▪ [Describe USAID Mission, USAID Regional office, Partner, ENCAP contributions]
Contract mechanisms	<p>[Explain contracting mechanism to be used and the status of the “prime contract” for the course. (See section 1.8 in the <i>Preparation and Delivery Guide</i>.)]</p> <p>NEXT STEPS:</p> <ul style="list-style-type: none"> ▪ [responsibilities, actions, timeline for finalizing a prime contract for the course]

STAFFING

Logistics Coordinator	<p>[state how logistics will be provided. (by USAID mission, by contracted logistics coordinator? By local partner?) If a contracted coordinator, indicate whether a candidate exists & how contract will be executed. If USAID or a partner, who serves as the logistics lead?]</p> <p>NEXT STEPS:</p> <ul style="list-style-type: none"> ▪ [responsibilities, actions, timeline for finalizing arrangements for logistics coordination.]
Local expertise	<p>[state the status of securing an eco-environmental specialist and a socio-cultural specialist for the course. Candidates interviewed? Agreement-in-principle obtained? SOWs drafted? State how these individuals will be contracted.]</p> <p>NEXT STEPS:</p> <ul style="list-style-type: none"> ▪ [responsibilities, actions, timeline for placing these specialists under contract]
Principal trainer	<p>The principal course trainer has responsibility for coordinating the course agenda, assigning presenters, and personally presenting about half of the course sessions.</p> <p>.</p>

CONTENT

Case study sites and descriptions	<p>[describe case site survey activity, and the status of case site selection and the case site briefings. Name selected sites.]</p> <p>NEXT STEPS:</p> <ul style="list-style-type: none"> ▪ [Next steps for formally securing site visits, counterpart and community participation. (e.g. formal letters, follow-up visits., etc.)] ▪ [Next steps for finalizing case site briefings]
Course materials	<p>[describe who has responsibility for course materials preparation, reproduction, and associated deadlines for same]</p> <p>NEXT STEPS:</p>
Agenda	<p>The course will be based on the general ENCAP course agenda, with adaptation as needed. (see http://www.afr-sd.org/encap). [indicate if draft agenda has been prepared]</p> <p>NEXT STEPS:</p> <p>[Timing and responsibility for finalization of draft agenda]</p>

IMMEDIATE NEXT STEPS**USAID/XXX TASKS:**

[summarize most urgent/critical follow-thru tasks in this section]

ENCAP TASKS

[summarize most urgent/critical follow-thru tasks in this section]

[PARTNER] TASKS

[summarize most urgent/critical follow-thru tasks in this section]

ATTACHMENTS

1. KEY CONTACTS

Organization	Name & Position	Contact Info

2. DIARY OF ACTIVITIES UNDERTAKEN AND SUMMARY OF THE MEETINGS HELD BY THE PREPLANNING TEAM.

[insert annotated list]

APPENDIX C.2: COURSE PLANNING CHECKLISTS

ASSIGN COORDINATION & OVERALL RESPONSIBILITIES

ROLE	PERSON RESPONSIBLE
Mission approval secured for course	
Mission Coordinator (responsible for overall coordination)	
Other coordination tasks, if different	
- Identify collaborating case site support partners	
- Field site assessment and management	
- Venue selection	
- Meals selection & arrangements	
- Transportation arrangements to venue <i>and</i> return	
- Transportation to case sites (usually up to 4 teams to 4 sites)	
- Special events (reception, theatre groups, etc.)	
- Identify and communicate with local presenters, obtain presentations	
- Invitations and communicating with participating groups	
- Accounting and per-diem payments	
- Course evaluation forms	
- Certificates of Completion	
USAID Partner Providing Support	
Responsible Person for USAID Bureau or Regional Office	
Environmental Assessment Training Contractor	
Course Secretariat: Logistical Functions (USAID Partner or Mission Admin Assistant?) Tracking for purchase orders, reservations, hotel booking, transport, invitations, and everything on this list)	

DRAFT AND SECURE BUDGET

COST ITEM	WHO PAYS?	APPR. HOW MUCH?
Course preplanning specialist	SEE DRAFT BUDGET	
Contracted facilitators, if needed		
Local facilitators		
Long-distance transport		
Local transport, including case site visits		
Reproduction of course materials		
Shipment of course materials		
Venue costs – rooms		
Venue costs – meals and tea/coffee breaks		
Events (reception, theatre group, etc.)		
Per diems		
Supplies and equipment		
Additional labor and materials		

DETERMINE AND INVITE PARTICIPANTS

ITEM	WHO DOES IT	DATE NEEDED	DONE
Identify target audience and project types			
Visit target groups to solicit interest, discuss training objectives and field trip sites			
Draft invitation			
Review draft invitation (Bureau, Regional Office, Mission Director?)			
Send out invitations 4-6 weeks before course date			
Solicit information via RSVPs (Names, origin/destinations, course contributions)			
Determine transport to venue and field sites			

Follow-up RSVPs (bookings, hotel room confirmation)			
Send follow-up letter with agenda, venue coordinates, reception invitation, transport info, and reminder to bring examples, slides, etc			

SET DATE AND VENUE

ITEM	WHO DOES IT	DATE NEEDED	DONE
Set course date (availability of venue and invitees)			
Set course venue (see criteria) - Arrange for payment (lump sum, individual, etc.) - Arrange for signs - Arrange for welcoming event and other social events			

ARRANGE FOR LOCAL PRESENTERS (AND IF NECESSARY, A STUDENT HELPER)

ITEM	WHO DOES IT	DATE NEEDED	DONE
Establish completion date for contracts, SOWs, etc.			
Identify and meet with candidates - brief them on what is expected of their presentations - assess who should attend entire course as co-facilitators - provide with copy of Facilitators' Guide and relevant Sourcebook sections - determine availability and fees			
Prepare SOWs (see generic) - Finalize arrangements regarding forms of payment, acceptance of letter contract, etc.			

Collect presenters' papers and presentations in time for editing, as necessary, and reproduction (below)			
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SET UP FIELD TRIP SITES

ITEM	WHO DOES IT	DATE NEEDED	DONE
Identify candidate sites with participating groups			
Arrange reconnaissance visits to candidate sites (see reconnaissance report form)			
Follow-up communications with site visit contacts to verify visits, confirm availability of a guide.			
Arrange transport and lunch for field trips during the course			
Arrange for field trip descriptions, facilitators, and short presentations (see guidelines)			

DEVELOP THE COURSE PROGRAM

ITEM	WHO DOES IT	DATE NEEDED	DONE
Draft a preliminary program, based on generic program, selected speakers and resource persons			
Select chairs and group discussion leaders for individual sessions			
Approve program and insert in Facilitators' Guide			

Reproduce course materials

ITEM	WHO DOES IT	DATE NEEDED	DONE
Determine contents of participants' packages (in addition to Facilitators' Guides and Participants' Sourcebooks)			
Insert local presenter papers, agenda, etc., in Sourcebook			
Collect relevant technical documents and material			
Compile instructions and notes on arrangements such as transportation, meals, use of telephone and name tags; tentative list of participants; list of speakers, facilitators, special guests; pens; writing tablets, briefcase to carry course materials.			
Arrange for reproduction (Mission, USAID Partner or Contractor?)			
Arrange for course binders			
Package materials and ship to venue			

*USAID or logistics coordinator for last-minute items in Ethiopia

Arrange opening and closing addresses, course certificates

ITEM	WHO DOES IT	DATE NEEDED	DONE
Who should open course? (preferably a respected, highly placed government official)			
Who writes opening address talking points			
Officially close course? (Mission representative)			
Who writes the closing address?			
Identify someone (during course) to close on behalf of USAID Washington or Regional Office			
Identify someone (during course) to close on behalf of the participants.			

Draft certificates of completion			
Approval of course certificate			
Supply certificates, filled out in advance, if possible (Mission, Contractor, or USAID Partner?). Secure all signatures			

C.3 Procurement List

Note: some items may be unnecessary. Extra rows are at the end of each category for items not included here.

ITEM	QUANTITY	SOURCE
COURSE MATERIALS		
Course Preparation Guide		
Participants' Source Books, including:		
Case study/field trip briefings		
IEE examples		
Final agenda/Schedules		
Local experts' presentations/materials		
Logistics/Orientation Handouts		
EPTM (for IEE-focused courses)		
Topic Briefing: Intro to EIA		
Small Scale Guidelines (often just selected sections)		
Course certificates		
Registration Cards/Sign-up Sheets/List (use standard ENCAP format)		
ENCAP website CDs		
ELECTRICAL/ELECTRONIC EQUIPMENT		
Laptop (with powerpoint 2002 or later)		
USB Flash drives ("memory sticks")		
LCD projector		
Spare bulb for LCD projector		
Overhead projector (if necessary)		
Spare bulb for overhead projector (if projector is used)		

Printer		
Printer cartridge		
Microphone/Audio		
Digital Camera		
Extension Cords		
UPS		
Plug Adapters		
Transformers		
Surge Protectors		
OTHER EQUIPMENT		
Easels/Flipchart Stands		
Flashlights		
Hole punch		
Paper Cutter		
Pin-up message/cork board		
Portable Lectern		
Projection Screen		
Scissors		
Staplers		
SUPPLIES		
“Sticky putty”/Gum (for attaching paper to wall)		
Easel Pads/Flipchart Paper		
Easels/Flipchart Stands		
Extra Acetates (if overhead projector will be used)		

First Aid Kit, including Aspirin/Parecetamol		
Flip Chart Markers (Chisel tips)		
Index cards/other office supplies		
Masking Tape		
Message/note paper		
Name tags		
Paper clips		
Paper: note pads		
Paper: photocopy/printer paper		
Pencils		
Pens		
Pens for Acetates (if overhead projector will be used)		
Signs or Heavy Paper to Make Signs		
Staples		
CASH (sufficient for Payments Due, Per Diem IE, Petrol and Contingency funds)		
TRANSPORT		
Vehicles for case site visits (matched to number of people & road conditions)		
1 standby vehicle throughout the course		
Vehicles for other special events/outings		
CATERING		

Box lunch for field trip		
ENTERTAINMENT		
Cultural performance (Last evening)		