

**COOPERATIVE EVALUATION OF
ENVIRONMENTAL PROTECTION AGENCY
ACTIVITIES UNDER THE USAID/BRAZIL
GLOBAL CLIMATE CHANGE PROGRAM**

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Consultancy report for the
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LIST OF ACRONYMS

APA	Área de Proteção Ambiental (Environmental Protection Area)
BDFFP	Biological Dynamics of Forest Fragments Project
CI	Conservation International
CNPT	Centro Nacional de Desenvolvimento Sustentado das Populações Tradicionais (National Center for Sustainable Development of Traditional Populations)
CPATU	Centro de Pesquisa Agroflorestal da Amazônia Oriental, ex-Centro de Pesquisa Agropecuária do Trópico Úmido (Eastern Amazon Agroforestry Research Center, former Humid Tropics Agricultural Research Center)
CTA	Centro de Trabalhadores da Amazônia (Amazon Workers' Center)
DIREC	Diretoria de Ecossistemas, IBAMA
DIREN	Diretoria de Recursos Naturais, IBAMA
EIA	Environmental Impact Assessment
ELI	Environmental Law Institute
EMBRAPA	Empresa Brasileira de Pesquisa Agropecuária (Brazilian Corporation for Agricultural Research)
EPA	Environmental Protection Agency
EU	European Union
FUNATURA	Fundação Pró-Natureza (Pro-Nature Foundation)
FVA	Fundação Vitória Amazônica (Amazonian Victory Foundation)
GCC	Global Climate Change
GTA	Grupo de Trabalho Amazônico (Amazon Working Group)
IBAMA	Instituto Brasileiro do Meio Ambiente e dos Recursos Naturais Renováveis (Brazilian Institute of Environment and Renewable Natural Resources)
IBGE	Instituto Brasileiro de Geografia e Estatística (Brazilian Institute of Geography and Statistics)
IDB	Interamerican Development Bank
INPA	Instituto Nacional de Pesquisa da Amazônia (National Institute of Amazon Research)
IPAM	Instituto de Pesquisa Ambiental da Amazônia (Institute of Amazon Environmental Research)
IPHAE	Instituto de Pré-História, Arqueologia e Ecologia (Institute of Pre-History, Archaeology and Ecology)
ISA	Instituto Socioambiental (Socioenvironmental Institute)
ISPN	Instituto Sociedade, População e Natureza (Institute for Society, Population and Nature)
MMA	Ministério do Meio Ambiente, dos Recursos Hídricos e da Amazônia Legal (Ministry of Environment, Water Resources and the Legal Amazon)
MOU	Memorandum of Understanding
MPEG	Museu Paraense Emílio Goeldi (Emílio Goeldi Museum of Pará)
NAEA	Núcleo de Altos Estudos Amazônicos (Center for Advanced Amazon Studies)
NGO	non-governmental organization

ODA	Overseas Development Administration
PASA	Participating Agency Service Agreement
PMFS	Plano de Manejo Florestal Sustentável (Sustainable Forestry Management Plan)
PNMA	Programa Nacional de Meio Ambiente (National Environment Program)
PPG7	Pilot Program to Conserve the Brazilian Rain Forest
REBRAF	Rede Brasileira Agroflorestal (Brazilian Agroforestry Network)
RPPN	Reserva Particular do Patrimônio Natural (Private Reserve of Natural Patrimony)
SAE	Secretaria de Assuntos Estratégicos (Secretariat of Strategic Affairs)
SI	Smithsonian Institution
SNUC	Sistema Nacional de Unidades de Conservação (National System of Conservation Units)
SO	Strategic Objective
TFF	Tropical Forest Foundation
TNC	The Nature Conservancy
UFMG	Universidade Federal de Minas Gerais (Federal University of Minas Gerais)
UFPR	Universidade Federal do Paraná (Federal University of Paraná)
UFRJ	Universidade Federal do Rio de Janeiro (Federal University of Rio de Janeiro)
UnB	Universidade de Brasília (University of Brasília)
UNESCO	United Nations Educational, Scientific, and Cultural Organization
USAID	United States Agency for International Development
USDA	United States Department of Agriculture
USP	Universidade de São Paulo (University of São Paulo)
WHRC	Woods Hole Research Center
WWF	World Wide Fund for Nature

1 INTRODUCTION

This report was prepared for the United States Agency for International Development (USAID) in compliance with Part A of Purchase Order 512-0784-0-00-5924-01. The Statement of Work is in Annex 1.

1.1 USAID Global Climate Change Program

In 1990 the U.S. Congress authorized the U.S. Agency for International Development (USAID) to implement a program to address important global climate change issues in "key" countries, including Brazil. In response to the Congressional mandate and to the Brazilian Government's interest in addressing the issues, USAID launched a Global Climate Change Program (GCC) in Brazil. The primary goal of the program was to reduce Brazil's contribution to global emissions of greenhouse gases by abating deforestation in Brazil's Amazonian states. Toward this end, the GCC program promoted the development of ecologically and economically sustainable policies and activities to manage forest resources in the region.

The GCC Program included activities in three main areas: 1) applied research on and practical demonstrations of ecologically and economically sustainable forest management and conservation practices; 2) human resources training and institutional strengthening; and 3) policy analyses and environmental impact assessments.

Recently, the GCC Program was expanded to include biodiversity conservation issues. The proposed new activities build on the success of the existing GCC Program by including new partnerships in the most highly threatened ecosystems of Brazil, the Atlantic Forest and the Cerrado.

1.2 EPA activities within the USAID/GCC Program

The need for environmental impact assessment (EIA) is stipulated by Brazilian environmental legislation. The purpose of the GCC/EIA Training Project was to help strengthen ineffective institutions by supporting the EIA process and related capacities of state and federal institutions, and by training individuals in key areas including federal and state governments, universities and non-governmental organizations.

EPA activities focused on the delivery of training courses, on the development of guidelines for EIAs related to economic activities associated with forest clearing and mining and on technical assistance to conduct a pilot EIA.

2 METHODOLOGY

The evaluation was conducted in the context of EPA's contribution to AID/Brazil's strategic objective of "environmentally and socioeconomically sustainable alternatives for sound land use adopted beyond target areas". The overall objectives of the evaluation

were:

- assess the continuing validity and relevance of project components.
- assess the effect of external and unanticipated actions and/or events on project effort.
- review and analyze progress to date in execution of EPA's activities as specified in the grant documents.
- evaluate whether performance to date is consistent with expectation and if changes are needed to sustain the positive effects.
- review and analyze current project indicators and log-frames.

The evaluation took place in Brasília during the period of November 1996 to July 1997. The first Participating Agency Service Agreement (PASA No. 512-0784-P-EP-1045), dated September 1991 and its three amendments were reviewed. The three filed annual reports and the final report were analyzed. Contacts were made with former EPA and USAID project managers in Washington (Cam Hill-Macon and B. Katherine Biggs) via telephone, and present and former USAID staff in Brasília (Eric Stoner and Adriana Gonçalves Moreira) were also consulted. Interviews were conducted with a former participant of the training course (Francisco Ubiracy) and two cooperating grantees, WWF (Garo Batmanian) and SUNY (Maria José Gontijo).

3 FINDINGS AND RECOMMENDATIONS

One of the main goals of the GCC Program was to increase Brazilian institutional capacity to evaluate environmental impact assessment and promote a broader understanding by government and civil society of the EIA process. EPA, along with its partners in the U.S. (ELI, WWF and USDA Forest Service), worked to achieve this goal by coordinating deliveries of EIA training programs and by training Brazilian environmental professionals to teach EIA courses.

EPA intended to adapt a generic environmental assessment training module to Brazil's needs. The objective of the module was to provide assistance to IBAMA and to the state environmental agencies in Pará, Acre and Rondônia to incorporate the benefits of an EIA process into the existing planning and decision-making processes. The module, based on a "train the trainers" concept, focused on the elements involved in preparation and review of documents which allow responsible officials to make informed project and permit decisions. The EPA approach emphasized the procedural and technical, rather than legal aspects of the EA process.

3.1 Findings

In August of 1993, in cooperation with WWF, ELI, SUNY and the U.S. Forestry

Service, EPA delivered an intensive three-week "train the trainers" course for 17 Brazilian environmental professionals on the environmental impact assessment process. The course was held in Washington, DC, in Philadelphia, Pennsylvania, and at the George Washington National Forest in Virginia.

Two follow up environmental assessment courses were conducted in Brazil, with six of the Brazilian trainees acting as trainers, assisted by EPA and the other GCC grantees. The courses were held in Rio Branco, Acre, in May 2-6, 1994, and in Belém, Pará, in October 24-28, 1994. There were 25 participants in each course, coming from governmental, non-governmental and academic institutions. The fact that over 200 applications were received for these courses indicates the importance attributed to the subject and the need for this kind of training in the Amazon region.

Several of the individuals trained in these courses were instrumental in conducting public hearings for a proposed kaolin mine in the State of Pará. As a result of these hearings, mining plans were modified and state-level legislation was proposed to create a check-off fund from mineral revenues to be applied to local environmental projects.

The sequence of training activities appears to have gone well and has strengthened awareness of the importance of the topic and enhanced the multiplier effect of the training. Good evaluations were provided by participants in all training activities, both in terms of content and the participatory training methodology.

There were some misunderstandings over the purpose of the EPA-developed course by participants, as some expected that the training would focus on specific tools and techniques for conducting EIAs, rather than on the overall EIA process. This indicates a strong demand for a course on specific tools for EIA, in addition to the one on the EIA process.

According to the report filed in October 1994, EPA was developing a new course "Environmental Assessment Tools: International Training Course" focused on providing participants with specific information on the tools and technical considerations used in conducting or reviewing EIAs.

The PASA amendment number 3, that extended the project completion date through December 31, 1996, specified activities for the consolidation of in-country ability to carry out the EIA training indefinitely and move beyond the target state audience to expose local-level decision makers to the concepts of EIA. The activities not completed are listed below:

- identification and support of a local organization to serve as repository for course materials and EIA information;
- conduct a pilot delivery of the EIA tools course;
- develop and carry out a workshop on the use and development of EIA review guidelines for at least one economic sector in the Amazon; and
- prepare a final report on project activities.

3.2 Recommendations

The evaluation exercise led to two main recommendations:

1. Use the preparation and delivery of courses as a means to strengthen collaborative institutional linkages between EPA and the Brazilian government institutions (federal and state).
2. Complete the tasks outlined in last PASA amendment.

4 CONCLUSIONS AND LESSONS LEARNED

In concluding this analysis it is useful to return to the questions and measures of success identified in the scope of work for this evaluation. For the EPA component of the GCC Program to be successful it must accomplish the following:

- create effective partnerships in Brazil, that build capacity and expertise for resolving Brazilian environmental problems:
- contribute to increase local institutional capacity and participation of governmental bodies and the civil society in environmental management, in particular in the environmental impact assessment process, and
- make more effective use of the existing mechanisms (e.g. MOU with IBAMA) to increase EPA's impact and presence in Brazil.

The collaboration on EIA training has gone particularly well, with important results in increased awareness and understanding of the assessment process, but EPA's long-term experience in this area could be used more effectively with a larger in-country presence. The opportunities that exist within EPA's International Program should be better disseminated and the agency should strengthen its contacts in Brazil.

ANNEX 1

STATEMENT OF WORK

The Statement of Work of Part A of Purchase Order 512-0784-0-00-5924-01 is as follows:

Activities to be Evaluated

The evaluations will focus on the activities of the following projects under the USAID Global Climate Change (GCC) Program in Brazil:

Woods Hole Research Center (WHRC)
Grant No. 512-0784-G-00-3007
Authorized and obligated on Sep 28, 1993
Project assistance completion date (PACD) - Sep 30, 1996
Funds obligated to date - US\$ 722,581,00

Smithsonian Institution
Grant No. 512-0784-G-00-3008
Authorized and obligated on Sep 28, 1993
Project assistance completion date (PACD) - Sep 30, 1996
Funds obligated to date - US\$215,172

U.S. Environmental Protection Agency (EPA)
PASA No. 512-0784-P-EP-1045-00/512-0784-P-EP-3006
Authorized and obligated on Aug 30, 1991
Project assistance completion date (PACD) - Sep 30, 1996
Funds obligated to date - US\$122,000

Purpose of the Evaluations

The evaluations of the above institutions' activities, under GCC funding, are intended to be a collaborative participatory process involving staff, field personnel responsible for project implementation, AID/Brazil project officers and an external specialist, as members of the evaluation panel. These evaluations will be conducted as a component activity of the overall AID GCC Program performance evaluation. The actions should be evaluated in the context of their contribution to the AID/Brazil strategic objective of environmentally and socioeconomically sustainable alternatives for sound land use adopted beyond targeted areas.

The overall objectives of the evaluations can be summarized as follows:

- 1) Assess the continuing validity and relevance of project components, and suggest such modifications as may be required to increase the likelihood that the

efforts will achieve their objectives in a sustainable manner.

- 2) Assess the effects of external and unanticipated actions and/or events on project effort.
- 3) Review and analyze progress to date in execution of the institution's activities as specified in existing grants documents.
- 4) Evaluate whether performance to date is consistent with expectations and if changes are needed to sustain the positive effects of these efforts.
- 5) Review and analyze current project indicators and log-frames.

The following are some key questions to be answered by the evaluation team:

- . Are the projects achieving satisfactory progress toward their stated objectives? What are the positive and negative effects resulting from the projects?
- . Are the effects of the projects likely to become sustainable, will they continue after the end of the projects?
- . Should the EPA and Smithsonian establish a full-time presence in Brazil? Should these institutions strive to strengthen the capacity of a sister institution (NGO) in Brazil?
- . How is the technical assistance and training being utilized? What are the specific results in this area?
- . What is the degree and effectiveness of the interaction of the institutions and local implementators?
- . What are the results of the partnerships established in Brazil? How can these grantees become more relevant within the context of the GCC objectives?
- . Are the projects cost-effective? Are there alternative approaches to accomplish the same objectives at lower costs?
- . How effective is their collaboration with other CGG grantees and AID?

Each evaluation report should provide empirical answers to these questions, conclusions (interpretations and judgments) that are based on the findings, and recommendations based on an assessment of the results of the evaluation exercise. For projects which involve scientific research, the report should evaluate how relevant the research is to USAID's development objectives and indicate how well this research is being tested in field/community situations. It also should identify what further research areas, if any, have become relevant as a result of the grantee's work. The reports should provide the "lessons learned" that might emerge from the analysis.

Methods and Procedures

These evaluations are timed as mid-term evaluations, intending to provide guidance in how project implementation could be improved over the remaining life of the projects.

The evaluations will be conducted through field visits and interviews with all grantees' counterparts in Brazil. The evaluation team will have preparatory meetings in Brasília to review the available documentation and discuss procedures and organization.

Evaluation Team Composition

The core evaluation team will be composed of the grantees' coordinators, AID/Brazil Environmental Advisor and a consultant (external evaluator). Portuguese fluency is highly desirable for all members of the team.

The team will be led by the external evaluator, who will be responsible for compiling and synthesizing individual sections of the final evaluation reports. The entire team will participate in interviewing, debriefing, review of drafts and final discussion of the findings, conclusions and recommendations, so that the final product will be a consensus piece.

ANNEX 2

LIST OF PERSONS CONTACTED

Adriana Gonçalves Moreira, former USAID
Eric Stoner, USAID
Carmeryl "Cam" Hill-Macon, EPA
B. Katherine Biggs, USAID
Garo Batmanian, WWF
Maria José Gontijo, SUNY
Ubiracy Magalhães or Francisco Ubiracy Craveiro de Araújo, IBAMA

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