

## PARALLEL SESSION BLOC: UPSTREAM COMPLIANCE

### UPSTREAM Sessions 11b-d

(5:15)

### Effective IEEs: IEE Review Case Study (includes 2nd field visit)

#### Objective

Apply the principles outlined in the previous section to evaluate IEE quality, including whether recommended determinations and conditions are appropriate.

#### Format

0:15 briefing & field visit preview  
4:00 field visit (including travel time)  
0:50 small group work  
0:10 plenary discussions

#### Summary/Scenario

This session continues the case study begun in UPSTREAM Session 10b. You are again USAID program supervisory staff in the process of adding a new program component. Following the internal screening exercise (upstream session 10b), you engaged a contractor to develop the IEE for this new component.

Your team has now received the draft IEE and must evaluate/critique it with respect to the following:

- Does the IEE address the full scope of the activities you identified in Part 1?
- Does it characterize the most critical elements of the baseline situation?
- Are potential impacts evaluated logically and appropriately?
- Are mitigation measures (1) *adequate* and (2) *within the scope of your reasonable authority*? (For example, you cannot impose conditions on actors not involved in the project.)
- Are recommended determinations reasonable? (If categorical exclusions differ from your screening results, do you agree?)

To help you evaluate the IEE and the proposed IP workplan and PMP, you undertake a field visit to either (1) the site of the proposed project, or (2) a similar activity already in implementation/implemented. In both cases, your field observations should allow you to make a more informed critique/evaluation of the IEE.

*Note: Sadly, your consultant did not submit a quality product. The draft IEE has some clear deficiencies and some deficiencies that are more subtle or debatable.*

#### 11b. Briefing (0:15 end of Day 2)

The training team will brief both the overall IEE review exercise and the field site(s).

#### 11c. Field Visits (4:00; beginning of day 3)

We will travel to the field to visit either (1) the site of the proposed project, or (2) a similar activity already in implementation/implemented. In both cases, our field observations should allow us to make a more informed critique/evaluation of the IEE.

This field exercise is intended to further sharpen observational and impact-prediction skills, give us practice/experience in implementing these skills within the IEE framework, *and sharpen our understanding* of what constitutes a good quality/poor quality IEE.

## **11d. Team Working Sessions & Plenary Synthesis (1:00)**

Upon our return from the field (and after lunch!), we will divide into teams. Each team will critique their draft IEE (beginning on the next page), being sure to review (1) the project description provided in Upstream Session 10b, and (2) the screening results, also from session 10b.

Key sections of the *Small-Scale Guidelines* are provided as impacts and mitigation design references.

The groups will then evaluate/critique the IEE using the criteria listed above. Key points from the discussion should be recorded on flip charts in bullet-point form. Feedback will be provided within the working groups by facilitators.

Follow-up plenary discussions may feature either working group de-briefs, or a discussion of issues such as:

When are IEE amendments required? How should sector/SO-level IEE conditions be “mapped” to the activity level? What are typical IEE conditions for common classes of activities? etc.

## **Key Resources**

Field notes/observations

Project Scenarios & Screening Results from UPSTREAM session 10b

*Small Scale Guidelines* excerpts