

Proceedings Report from



**Closing the Environmental Justice Gap:
A Workshop on Advancing Evaluation Methods**

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UCLA Royce Hall**

UCLA Luskin School of Public Affairs

**Luskin
Center**
FOR INNOVATION



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FOREWORD AND DISCLAIMER

The following contains a summary of *Closing the Environmental Justice Gap: A Workshop on Advancing Evaluation Methods* (EJ & Evaluation Workshop). The UCLA Luskin Center for Innovation and the US Environmental Protection Agency hosted the EJ & Evaluation Workshop on September 30, 2011 at UCLA. The goal of the workshop was to advance the nascent sub-field of program and policy evaluation within the environmental justice field, with the objective to support the best design and implementation of policies and programs that reduce environmental and environmental health disparities. Any errors in transcription or summarizing what was said at the event should be attributed to the authors and not to event sponsors or advisors.

INTRODUCTION

J.R. DeShazo, Director of the UCLA Luskin Center for Innovation, welcomed participants and defined the objective of the workshop as advancing evaluation of environmental justice (EJ) programs and policies. He explained that evaluation involves a set of tools that can help EJ stakeholders determine program and policy effectiveness, highlight results, generate knowledge to improve future efforts, and hold government agencies accountable that programs and policies are effectively implemented. **DeShazo** expressed hope that this workshop will be the beginning of a dialogue that helps make evaluation a more regular part of the EJ program and policy process, with the objective to support the best design and implementation of policies and programs that close the EJ gap. **DeShazo** then outlined the structure of the day and emphasized that the workshop is designed to involve the perspectives of a diverse group of participants in a highly participatory way.

PANEL 1: BACKGROUND ON ENVIRONMENTAL JUSTICE POLICIES AND PROGRAMS

Rachel Morello-Frosch, Associate Professor of Public Health & Environmental Science, Policy, and Management at UC Berkeley, was the moderator of Panel 1 and opened the discussion by explaining the difference between the distributive justice goal of reducing the EJ gap and the procedural justice goal of nondiscriminatory actions. She then presented an example typology of EJ programs organized by the following objectives: 1) community capacity building, 2) pollution reduction, mitigation of other disproportionate impacts and community revitalization, 3) information disclosure, and 4) assessment of cumulative impacts. Morello-Frosch also provided examples of how EJ areas are defined and pointed out that EJ areas are often a moving target.

Morello-Frosch then turned to consider metrics. She described that metrics can be used to evaluate a program/policy's process, outputs, outcomes, and impact. We can also evaluate who benefits from the program/policy and assess metrics of risk (for example, pollution exposure) and resilience (for example, tree canopy). She highlighted the difference between using metrics of impacts in relative vs. absolute terms. To illustrate this point, **Morello-Frosch** gave an example of NATA cancer risk study (a cumulative impact measure) of neighborhood poverty levels within the three largest metropolitan areas of California. Absolute cancer risk is the highest for poor neighborhoods in Los

Angeles, but the largest discrepancy between the wealthiest and poorest neighborhoods exists in the Bay area. If we focused our efforts on the absolute worst affected areas (poor neighborhoods in Los Angeles) then we see the biggest absolute reductions. However if we focus on the most unequal areas (poor neighborhoods in the bay) then we see the biggest relative reductions, thereby improving equity.

Vernice Miller-Travis, Member of the National Environmental Justice Advisory Council, highlighted key federal EJ policies and their history while emphasizing that the federal government should play a leadership role for environmental justice. She explained that this should involve exercising its broad powers of regulation, enforcement, monitoring, and appropriations. **Miller-Travis** stated that EJ policies at the national level began with Executive Order 12898 signed by President Clinton on February 11, 1994, which directed each Federal agency to make achieving EJ part of its mission. Executive Order 12898 was a landmark achievement representing the efforts of a broad coalition of environmental and EJ organizations, civil right groups, faith-based groups, and many others. According to **Miller-Travis**, however, “the letter and spirit” of the Executive Order 12898 has not yet been fulfilled. “For 16 years we asked agencies to do what they were required to do, and we received a deafening silence.” **Miller-Travis** argued that the current language of 12898 is unduly vague, mitigation measures have not been done, and regular reporting should be mandated. Since 1996, EJ groups have sued the EPA claiming it has the existing legal and statute authority to enforce EJ policies. Today with President Obama, **Miller-Travis** sees great progress. The EPA is working with EJ groups and developing Plan EJ 2014, a broad strategy to integrate EJ as part of agency operations. **Miller-Travis** emphasized her desire for EJ advocates to push EPA for “full and meaningful access to the permitting process, support for community programs and legal assistance, and community involvement in the development of methodologies and tools, such as evaluation methods. **Miller-Travis** asked whether there will there be evaluation metrics and methodologies to hold the administration to the fire.

Robert Verchick, Chair in Environmental Law at Loyola University of New Orleans, begun with the question: “Where in the law is EJ? The answer is: It depends on what you mean by that.” **Verchick** stated that if you “define EJ as reducing existing disparities (as opposed to non-discriminatory future actions), then in the context of law, there is not a lot. There simply aren’t many legal commands, or legal statutes that address existing environmental disparities (with some exceptions such as Indian affairs).” **Verchick** then explained that even Title VI of the Civil Rights Act, with its language of “not placing undue burdens on people,” is largely concerned with non-discrimination in future actions. In Executive Order 12898, **Verchick** finds slightly broader language: “Each Federal agency shall make achieving environmental justice part of its mission by identifying and addressing, as appropriate, disproportionately high and adverse human health or environmental effects of its programs, policies, and activities on minority populations and low-income populations.” He points out that if the agency’s actions caused a disproportionate impact then one can read expansively and make an argument to redress that impact; but the redress of existing disparities is not explicitly in the law. **Verchick** then reads from Plan EJ 2014, where he finds even broader language, but cautions that this is not a law, or even an executive order, but rather an agency roadmap under a particular administrator. **Verchick** then turned to commands and authorities, where he finds the EPA has the authority to do more through the standard setting, regulation drafting, and permitting processes. **Verchick** concluded by stating that the EPA is empowered to “protect, health, welfare, and the environment,” emphasizing that

“welfare” is a broad term that and could give justification to address EJ, but do so requires creativity. “You have to fight for it.”

Devon Payne-Sturges, Assistant Center Director for Human Health ORD/National Center for Environmental Research in the US Environmental Protection Agency, provided an overview of EJ programs and policies at a state level across the country. She explained that it has been nearly 20 years since EPA first acknowledged environmental justice, and that with the development of Plan EJ 2014, now is a good time to evaluate EJ programs and policies. **Payne-Sturges** then highlighted what states have done to develop methodologies to assess disproportionate environmental impacts. She referred to findings from the Hastings 2010 report: *Environmental Justice for All: A Fifty State Survey of Legislation, Policies and Cases*, and continued with a literature review of existing reports and interviews of state and agency representatives. Nationwide they found 346 different EJ initiatives at the state level, but only identified 22 with specific methodologies (most of which were concerned with transportation or land-use). In general, state programs have two approaches to assess disproportionate impact: 1) a hazard-based approach, which starts with exposure or health risk assessment and then overlays a demographic analysis, or 2) a more community-based approach, which assesses community demographics, resources, and presence of hazards. **Payne-Sturges** found that most state programs rely on citizen input to identify EJ concerns and then states collect relevant information and might make an EJ designation if the data is above a certain threshold. States might also use quantitative rankings or mapping analyses. **Payne-Sturges** found that the way states apply methodologies internally often varies without any rationale given. Finally **Payne-Sturges** found that state-level EJ programs identify the same list of pressing needs: more data and a proper spatial resolution, commonly accepted statistical approaches, funding to implement programs over the long-term, and effective and efficient methods of cross-agency collaboration.

Romel Pascual, Deputy Mayor of Environment in the Los Angeles Mayor’s Office, provided highlights of local EJ efforts. First, he emphasized the need to expand upon the historical EJ focus on getting the bad out of communities and now also focus on getting in good into these communities. **Pascual** pointed to Los Angeles, where the city owns the Port of Los Angeles (responsible for 43 percent of US imports), four airports, and the Los Angeles Department of Water and Power, the largest utility in the US. He stated that cities often have power to use a market-based approach to solving EJ issues. **Pascual** described how the port has reduced pollution over 50 percent since 2005, in large part by requiring a phase-in of cleaner trucks. Finally **Pascual** concluded that the long-term success of the EJ movement necessitates the ensured capacity for community building.

Questions and Discussion:

Charles Lee, Deputy Associate Assistant Administrator for Environmental Justice at the EPA, raised several foundational points. First, he expressed his belief that the 1992 definition of EJ is not sufficiently results-oriented. Second, **Lee** stated that he wants to better integrate EJ into existing programs and policies. He also made the distinction between programs and policies with explicit EJ objectives and the much broader category of programs and policies that do not have explicit EJ objectives but do have significant EJ implications. He emphasized that we should evaluate both types of programs/policies.

Miller-Travis replied that she agreed with Charles and offered a definition given by Dr. Bryant of MSU: “EJ refers to those cultural norms and values, rules, regulations, behaviors, policies and decisions to support sustainable communities where people can interact with confidence that their environment is safe, nurturing, and productive. EJ is served when people realize their highest potential without experiencing the isms. EJ is supported by decent paying and safe jobs, quality schools and recreation, affordable housing, adequate healthcare, personal empowerment, and communities free of violence, drugs, and poverty, these are communities where both cultural and biological diversity are respected and highly revered and justice prevails.”

Pascual replied that he agreed with the concerns but that we need to keep in mind the scale of government that is looking at EJ. Local, state, and federal governments have very different responsibilities, and very different toolkits.

Robert Garcia, Executive Director the City Project, addressed **Verchick**'s implication that EJ is not explicitly in the law. **Garcia** felt that “it most assuredly is” and then gave a series of examples of successful legal EJ precedents. In particular, he identified Title VI as a powerful EJ legal tool. **Verchick** agreed but reiterated that he was making a limited point about the lack of legal commands to mandate that an agency address environmental disparities the agency might not have directly created. **Miller-Travis** stated that she believes that the equal protection clause of the Constitution is the legal justification for EJ.

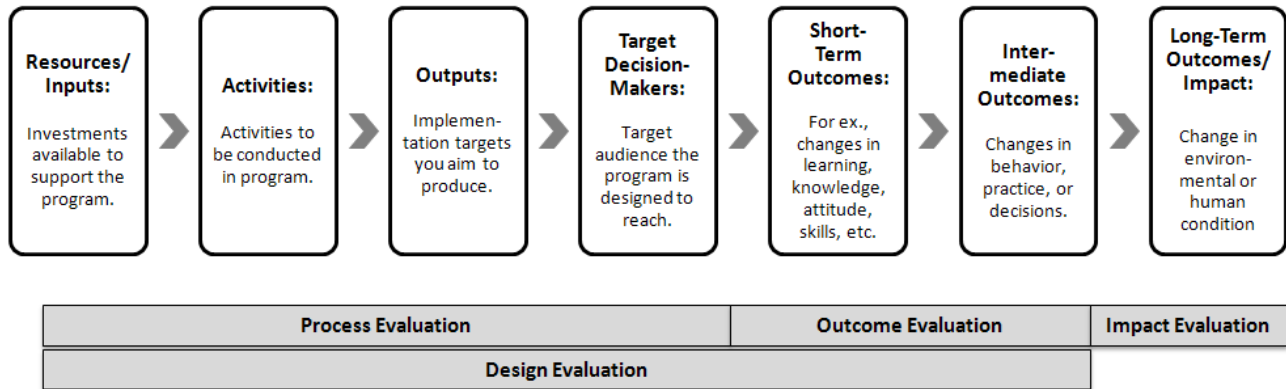
Sally Darney, Acting National Program Director of the EPA’s Human Health Research Program, asked if EJ assessments should be conducted alongside Environmental Impact Assessments and Health Impact Assessments. **Miller-Travis** replied that there are many programs currently being designed to do this, citing Lennie Siegel of the Center for Public Environmental Oversight as leading one particularly advanced effort.

Manuel Pastor, Director of the USC Program on Environmental and Regional Equity, stated that we need a big vision, but we also need tight metrics, and asked the panelists what they saw as the tightest metrics. **Pascual** replied that there are lots of environmental metrics out there that we can use to achieve EJ, but that we should also hold politicians accountable. **Payne-Sturges** agreed that there are plenty of existing metrics and methodologies. She would like to move beyond simple demographics because that does not tell us what the outcomes are that we are trying to achieve. **Verchick** felt the EPA needs more measurable outputs, particularly metrics to drive good regulatory design. **Miller-Travis** pointed out that the most progressive states on **Payne-Sturges**'s map all have strong EJ movements, which she felt was the key to good program design. **Morello-Frosch** concluded that we need a variety of short-term and long-term health impact metrics, which are often the most difficult to measure.

PANEL 2: EVALUATION OF EJ POLICIES AND PROGRAMS

Doug Houston, Assistant Professor of Planning, Policy and Design at UC Irvine, served as moderator for Panel 2. **Houston** stated that the first panel laid a good foundation, and that this second panel will address the challenge of tight metrics and how we measure the outcomes of EJ policies and programs. Noting that there are currently not many examples to work from, he expressed excitement for this workshop to advance the new sub-field of EJ evaluation. **Houston** emphasized the need to address evaluation in

an EJ context as well as the make evaluation a more integral part of EJ programs and policies. **Houston** showed the following logic model to illustrate the links in a program's chain of causality, which are also the potential points to evaluate a program's design, delivery, effectiveness or impact.



Adopted from “Guidelines for Evaluating an EPA Partnership Program (Interim). (EPA and the National Center for Environmental Innovation, March 2009).

Paul Mohai, Professor in the School of Natural Resources and Environment at the University of Michigan, explained that there is a large body of research from distributional studies that document the EJ gap. He discussed the quantitative methods used in these distributional studies, noting that while not evaluation, these distributional studies and the data employed in them, provide a baseline for evaluating the effectiveness of policies and programs. **Mohai** explained that most of the quantitative research thus far has been distributional, snapshot studies; there are few longitudinal (changes-over-time) studies. Longitudinal studies are critical for effective evaluation because if you cannot measure the pollution or the risk that comes from longitudinal analysis, then you cannot see if the program is effective and/or needs better or more metrics. Yet **Mohai** explained that a paucity of environmental data limits this type of study. **Mohai** pointed to the Toxic Release Inventory (TRI) and the RSEI Geographic Microdata (RSEI-GM) as good data sources for longitudinal studies. With these data sources **Mohai** was able to analyze and evaluate the change in disparities across communities and over time.

Katherine Dawes, Director of the Evaluation Support Division in the EPA Office of Policy, reflected on the promise of program evaluation to improve environmental justice programs. **Dawes** noted that program evaluators generally define program evaluation as “A systematic study with a well-defined methodology that uses measurement and analysis to answer specific questions about how well a program (or intervention) is working to achieve its outcomes and why.”

Dawes highlighted two EPA evaluations:

- *Towards an EJ Collaborative Model* (2003) commissioned by **Charles Lee**, which evaluated the use of partnerships to address EJ issues in communities.

- EPA's Evaluation Support Division conducted the evaluation. The report concluded that partnerships positively impact a community, but need to understand the effects on communities. They created 11 guiding principles, including 1) that evaluation should proceed from a sound understanding of specific conditions and goals of the community that the program is seeking to serve, and 2) that evaluation should explore shortcomings of program and project. In evaluation we should care about objectivity and we should show care to the needs of the community.
- *Putting Community First: A Promising Approach to Federal Collaboration for Environmental Improvement* (2009) evaluated EPA's Community Action for a Renewed Environment (CARE) program. The independent evaluator National Academy of Public Administration evaluated CARE.

Dawes emphasized the following benefits of evaluation:

- Evaluation can answer questions to:
 - Help improve ongoing programs;
 - Contribute to the larger body of research about what works;
 - Address accountability issues in the public interest; and
 - Can be done in collaboration with the program AND its stakeholders.
- Evaluation can help make the case for a program's funding and necessary changes.
- Evaluation is good government (or good management in general) – *We should* be doing it.

Dawes also acknowledged challenges in evaluation, particularly the required time, money, and data. She explained that one study might not answer the question that really needs to be addressed or be able to adhere to rigid standards for evidence. In addition some federal policies for evaluation lead to misalignment of study designs, timing and usefulness. Plus, evaluation results can be unwanted, mistimed, and misused. Despite these potential challenges, **Dawes** emphasized that evaluation has many benefits. She concluded by highlighting a few evaluation resources including: American Evaluation Association, Environmental Evaluators Network, EPA's Evaluation webpage, and the Kellogg Foundation.

Paul Ong, Professor of Urban Planning and Asian Studies in the UCLA Luskin School of Public Affairs, presented his four-year evaluation of an EJ program adopted by the Southern California Air Quality Management District (AQMD) as part of AQMD's Rule 1421 to phase out the toxic perchloroethyleneyne from dry cleaning processes by 2020 and phase in green technology. As a part of the rule, AQMD provides financial incentives for conversion, giving dry cleaners located in EJ areas priority to financial aid. **Ong** examined the distribution of technology adoption within three phases of adoption - early, mid, and late. He found that despite the purported goals of AQMD's program, dry cleaners in low-income minority neighborhoods are less likely to be early adopters of green technologies. The following factors may be hinder program effectiveness:

- Grants are less likely to go to minority or low-income zip codes
- Grantees in designated EJ areas are larger, but not statistically different
- Rolling grant making makes EJ priority ineffective except when funds are nearly depleted
- Economic incentives are no different in designated EJ areas

- Poverty cutoff too high
- The program did not have clearly defined objectives for targeting EJ areas.

In conclusion, through evaluation **Ong** identified program design and implementation problems that AQMD could address to better achieve its intended program goal.

Shalini Vajjhala, Deputy Assistant Administrator of the EPA Office of International and Tribal Affairs, highlighted the study *Integrating EJ into Federal Policies*, which she did while at Resources for the Future. She set the stage by explaining that while EO 12898 requires each federal agency make EJ part of its missions, there has been little evaluation of if and how agencies have responded to date. Her study helped address this gap by examining how EJ issues are acknowledged in federal policy and agency documents. She employed a research method that counted EJ terms within regulatory impact analysis (RIA) and environmental impact statement (EIS) documents at the EPA, Department of Transportation, and Department of Energy. Five categories of terms were documented: general EJ, population, site, impact, and response. She found that RIAs show an increased use of EJ terms over time, but that EIS documents - consistently and across agencies - show greater use of EJ terms than RIAs. **Vajjhala** concluded that “knowing where to look for EJ terms in federal documents is critically important when developing federal agency reviews and analysis.”

Question and Discussion:

J.R. DeShazo asked **Dawes** “given where EJ polices are in terms of implementation, what types of evaluation would you recommend we start with and why?” **Dawes** responded that it depends on the question most important to answer for the particular situation. We should figure out what we want to engage in, set priorities, and plan for data collection.

Mitzi Shpak found fault with the logic model’s chain of causality in that she thought the community should be integral. She stated that the EJ community is most knowledgeable about the problem and should be driving both the solutions to the problem and the evaluation. **Dawes** replied that the chain doesn’t diagnose the problem; it deals with program evaluation, and decides how we are going to use evaluation to answer key questions the community wants. Communities need evidence and proof, which is different than federal agencies and funders that need to keep the program going forward.

Jonathan London commented that he is struck by the “utilization gap” of the evaluation data. Unless we address these gaps, we will not get to the end of the logic model to have impact and actually change policy. **Dawes** responded that utilization focused evaluation is a form of art and different stakeholders will want to utilize evaluation results differently than others.

PANEL 3: FOUNDATION AND GOVERNMENT PERSPECTIVES

Manuel Pastor, Professor of American Studies and Ethnicity at the University of Southern California and Director of the USC program for Environmental and Regional Equity, pointed out that this conference is different than any other EJ conference

because we are focused on evaluation, metrics, whether or not we are changing outcomes. **Pastor** then introduced the Panel.

Charles Lee, Deputy Associate Administrator for Environmental Justices at the US EPA, began with three framing questions:

- What is the definition of EJ?
- How do we integrate EJ into programs and statutes?
- How do we address negative impacts and foster positive benefits?

Lee then discussed Plan EJ 2014, the roadmap that will help EPA integrate environmental justice into the agency's programs, policies, and activities. **Lee** identified the need for consistent metrics, which has been a stumbling point for EPA in the past. He called for an interagency strategy, noting that "every agency is trying to draft a strategy but that there needs to be coordination." Next, **Lee** identified community tool development as a critical element. He also said that, in terms of rule-making, the EPA need to go beyond demographics. "EJ 2014 is very strong on accountability measures, but weak on performance measures." **Lee** felt that we need a strategic way to correct this by adding an evaluation framework into EJ Plan 2014. **Lee** concluded with an invitation to participants to help design this framework.

Erin Rogers, Environment Program Officer for the William and Flora Hewlett Foundation, explained that Hewlett spends \$100 to \$150 million a year on environmental programs, and is always looking for ways to fund what works. **Rogers** explained that foundations are trying to evaluate two things: 1) the impact of policies themselves, and 2) the effectiveness of the grantee's advocacy work. Usually philanthropists rely on government and academia to collect data, but methodologies are often inconsistent between different institutions and across jurisdictions. **Rogers** pointed out that even good data does not always answer policy questions or might not be easily incorporated into larger goals. Measuring the effectiveness of a grantee's advocacy work can be even more difficult. Lacking good data **Rogers** explained that philanthropy might instead use easy to find metrics, which may or may not be relevant. Alternatively they might rely on past relationships, but that approach lacks metrics and brings up ethical issues. **Rogers** reiterated that foundations want to be able to use good data to assess their investments over the short and the long run.

Ramtin Arablouei, Program Manager for Environmental Health & Environmental Justice with the Health and Environmental Funders Network, explained that his organization does not do any direct grant making but is closely involved in the process. **Arablouei** identified four key challenges between Philanthropists and EJ groups:

- Tension between organizational capacity building and foundation's desire for immediate results. These issues are long term and results often take time.
- How to tell the story of success—EJ work is complex, multileveled, and defuse therefore a challenge to craft a narrative. In many cases this will require the development of a new analytical framework and tools are needed.
- Economic analysis studies are under utilized for a variety of reasons, but they have great potential for EJ work. **Arablouei** gave an example of an NYU study that found \$2 billion in savings due to the Clean Air Act.
- Sustained support—foundations are focused on achieving specific goals, and then move on. This can result in a missed opportunity to gather data that can be

used as models for future EJ work.

Finally **Arablouei** stated that more government support and research is needed, and that funders need to be able to have access to the data.

Michele Prichard, Director of Common Agenda at Liberty Hill, explained that Liberty Hill has 35 years of funding community organization in Los Angeles to empower change, giving up to \$4 million a year. They are strongly guided by the community and emphasize training, peer learning, and “ground truthing.” Liberty Hill produces reports such as “Hidden Hazards” and coordinates campaigns such as Clean Up Green Up. **Prichard** said that Liberty Hill’s benchmarks are:

- Is the organization growing in size and influence?
- Does it have a growing list of allies?
- Is it making connections at the regional, state, or national level?
- Ultimately is it beginning to move the dialogue in a meaningful way?
- Do we see expanding projects, public hearings, residential advisory committees, and other measures of community engagement and empowerment?

Prichard stated that evaluating a closing of the EJ gap is very hard. Distinguishing the effects of policy, socioeconomic causes, and macroeconomic causes is very difficult. In general Liberty Hill advocates a three-pronged approach to EJ: prevention, reduction of negative impacts, and revitalization (how can we get resources into these areas and build community resilience). Finally **Pritchard** pointed out just how strong industry resistance is to these efforts, often simply based on fear of change or the unknown.

Questions and Discussion:

Paul Mohai said that we should think about how to get industry involved in the discussion.

Peggy Sheppard noted that she was with WE ACT for Environmental Justice, a 22 year old organization started in West Harlem that engages communities to develop environmental policies. **Pastor** interjected to compliment WE ACT, calling it the gold standard for EJ community organizing and advocacy. **Sheppard** thanked Pastor and then mentioned that foundations have long been asking grantees to develop logic models and evaluate projects; therefore it is surprising that agencies have taken so long to develop their own program evaluations.

Saba Waheed of The Data Center asked about opportunities for real partnerships with communities through participatory evaluations. She asked whether the benefits are in having them collaborate and help develop the metrics as well as designing outcomes.

Paul Ong identified three barriers to progress: 1) the free rider problem—how do we fund research when the most benefits accrue to others; 2) cumulative knowledge—how do we pass along the best knowledge that we have generated; and 3) fear of having one’s program identified as a failure. **Ong** cautioned that we should not get too caught up in metrics and remember that our goal is closing the EJ gap.

Charles Lee replied to **Ong’s** second point hoping that we develop a continuing learning process to maintain knowledge and inform actions. **Lee** addressed Sheppard’s point

stating that the HUD-DOT-EPA Partnership for Sustainable Communities is a positive development bringing together interagency resources. He also stated that it was a top down process, and identified a need for a bottom up approach. **Lee** noted that there were many different approaches being tried, and out of these, we should develop a set of principles to see if the partnerships are making a difference on the ground.

Arablouei agreed with **Ong** that sharing knowledge among foundations and even within foundations is a big challenge. He noted that we are trying to figure out how to do that at the project level and that we need to invest in information technology to build this capacity.

To **Ong's** third point, **Rogers** said that some philanthropies biggest successes are identifying failures. Building a culture that can acknowledge and learn from failure is very important. Program officers should be looking at grantees to see if they are innovating, while building capacity, not just are that they following the steps on their logic chart. **Prichard** agreed stating that "If you are not failing then you are not taking risks."

Addressing **Waheed**, **Prichard** said that communities are the eyes and the ears on the ground and they are keeping track of whether change is happening; thus their involvement at every level is critical.

Panel 4: Best Practices for EJ Program Design and Evaluation

Recognizing that EJ programs may take a wide range of institutional forms and that these programs are often embedded in complex programs, **J.R. DeShazo** explained that Panel 4 will highlight four programs that will serve as examples for the purpose of exploring the program components important to consider before devising a strategy to evaluate the effectiveness of the program.

Marva King, EPA CARE Program Co-Chair, described how the CARE program supports and empowers community organizations as part of two main steps. Level I involves forming partnership with various stakeholders and understanding the environmental risks in the community. Level II attempts to reduce the identified risks. **King** highlighted because CARE has a built-in evaluation component and that many of the programs and organizations that utilize CARE are successful in fulfilling their objectives. The CARE program does not examine and/or research EJ communities; it allows the communities to do their own research. **King** explained that in Level I CARE evaluates if programs have been successful in identifying objectives and goals and then in Level II, CARE assesses if the programs obtained their expected outcomes and goals.

Nury Martinez, Executive Director of Pacoima Beautiful (PB), offered a community perspective on how her organization utilized the CARE program. Pacoima Beautiful, a non-profit based in the San Fernando Valley of Los Angeles County, addresses issues of diesel pollution, lack of housing, and other issues important to community members who are empowered to address these problems. Martinez explained that PB was awarded their first CARE grant in 2005 to identify all sources of toxicity in the city and rank sites that were a priority to target. **Martinez** noted that the CARE grant, "allowed us to collaborate with city, state, and federal agencies to identify potential sources of risk." In 2007, PB was awarded the CARE II grant "[to create] partnerships with local businesses. PB implemented solutions and reduced risks" by focusing on small point

sources that dealt with main priorities (i.e. diesel emissions) identified in CARE I. **Martinez** gave a summary of the problems PB was seeking to address at each targeted site. **Martinez** noted that next steps include continuing to learn what the environmental problems are, continuing to collaborate with industry, continued community knowledge growth, and expanding partnerships with agencies and universities. **Martinez** said the successes of the CARE program include educating and empowering the community.

Zoe Heller, Environmental Protection Specialist with EPA Region 9, described the Los Angeles Area Environmental Enforcement Collaborative. **Heller** explained that the low-income, high minority and densely populated communities along the 710 corridor were chosen for the location of the Collaborative because of significant impacts from goods movement resulting in high diesel emissions. **Heller** described that program goals included partnering with communities to identify EJ action, improving compliance with environmental laws through collaboration with agencies, and sustaining multi-year partnership with communities, even after collaborative grant finished. **Heller** noted that the Collaborative did not have a strong program evaluation piece when developing the program. Using the logic model developed for this workshop, however, **Heller** concluded that the Collaborative has increased compliance. In 2010 there were 131 inspections that resulted in correction and enforcement actions. In fact, 20 percent of all inspections in California were in the Collaborative's targeted area. Community members report that because of the Collaborative they have a means to take initiative and correct injustices. **Heller** highlighted factors that affect the success of the collaborative, including sustainable partnerships, increased compliance, and ensuring agency accountability. Yet **Heller** explained that it is challenging to evaluate reductions and disparities in environmental and health conditions in the area.

Adriano Martinez, Environmental Justice Project Attorney for the Natural Resources Defense Council, discussed the Harbor Community Benefit Foundation. He explained L.A. wanted to bring truck terminals closer to communities/schools and the community fought this proposal. A new proposal had a community buffer, but it still would place massive amounts of containers per day into residential communities. Since the community had a previous legal victory and in turn a large settlement agreement, they used this to help in the project. **Martinez** discussed that blight issue was supposed to be taken care of; under the original design, port officials were going to help the community create projects, but the port did not help, so the trade pack process emerged from the foundation to resolve port issues and to give money to schools and homes for a broad range of community impact and mitigation issues. In reviewing the evaluation of the program **Martinez** noted that translating air quality impacts is hard to quantify because the community is living so close to port. **Martinez** gave an overview of how the program works. There is a separate non-profit board that does technical analysis and gives it to the port. The board is influential and they fund community and EJ projects. Using the logic model **Martinez** addressed the outcomes and issues of the program. Outcomes include the community is now more knowledgeable and the program has made visible resources and funds available for the community to improve environmental disparities. **Martinez** concluded, "it is important to have [and continue] evaluation systems because it will let us know if this works...it puts emphasis on experts and community members to see what kind of projects makes a difference."

George Alexeeff, Acting Director of the Office of Environmental Health Hazard Assessment in Cal/EPA, described OEHHA's development of a screening methodology to assess cumulative impacts. **Alexeeff** first explained that many statutes and definitions

have been developed on EJ and community impact, which impacted the development of the methodology. For example, the California EJ Advisory Committee was created to ensure that “cumulative impact” (CI) is considered in decision-making and in 2004 the Interagency Working Group on EJ was created and adopted the working definition of cumulative impact. The Group broke down the definition into “burden of pollution” and “population characteristics” because the Group felt that population characteristics modified burden. **Alexeeff** then described the CI screening methodology and its data inputs: Data would be evaluate the cumulative impacts of multiple sources of pollution, be publicly available, state-wide, current, and a good measure of the five components (exposure, public health effects, environmental effects, sensitive populations, socio-economic factors). **Alexeeff** described scoring and assignment: Each indicator was assigned a score and the higher the score, the greater the contribution to cumulative impact. The aim was to keep the project simple and communicate with members of the community. **Alexeeff** described that although CalEPA has not yet formally adopted the screening methodology, nor guidelines to accompany such a tool, a hypothetical logic model could be used for planning purposes as that envisions the screening methodology as part of a larger program that could impact screening, resources support, permitting and/or regulatory processes to reduce pollution in CI zones.

Questions and Discussion:

Jose Zambrana asked what the term of capacity/community capacity means. **King** explained that the CARE program strives to help communities build organizational capacity and partnerships.

Sean Hecht inquired if the CARE grant recipients are knowledgeable about the legal issues associated with EJ disparities and what actions can be taken. **Nury Martinez** replied that PB has identified legal issues and understands the laws and changes that need to be made, while CARE allows them to be more policy and solution focused.

Bill Gaellego asked, “How will the regulatory paradigm change for government to take action? Is there a way to connect community and OEHA work to empower community?” **Alexeeff** responded that if an agency has not been addressing community impacts up until now, there will be more basis placed on how to address it.

Peggy Shepard commented that the panel and discussion had “great dialogue” and she felt that every regional director should be at this meeting because change and engagement will not take place if they are not here to learn.

REPORTS FROM BREAK-OUT GROUP DISCUSSIONS: DEVELOPING AN EVALUATION STRATEGY

Participants organized into break-out groups, one per example program described in Panel 4, to discuss considerations, challenges, and methods to evaluation an example EJ program. Discussion questions included:

- Why is it important to evaluate this type of program? What should be the objective of the evaluation?
- What are the challenges in evaluating this program?

- What is an ideal approach or method(s) to evaluate this program? What are the steps involved?
- What data is needed and who has it?

OEHHA's Methodology to Screen Cumulate Impacts

Morello-Frosch stated that the OEHHA break out-group had a rich discussion that could be reduced to a logic model involving outputs, outcomes, and impacts featured in a process evaluation. The process evaluation should examine how agencies collaborate and ensure accountability to program goals, from output to impact. The output would be the screening methodology that Cal-EPA boards and departments would use as part of their decision making process. Data to assess outcome could involve the number of facility inspections, number of enforcements, fee revenue, etc. Impacts would be concerned with reducing community negatives, such as pollution, hospital admissions, prevalence of asthma, and low birth weights. Important to the group was designing an evaluation that answered the following questions:

- Is this program going to give communities what they want?
- Are we lowering health discrepancies?
- Are we improving the resiliency of communities?

Morello-Frosch cautioned that while health impacts are not easy to measure, they are very important. She explained that a good way of measuring actual impacts is asking the community through self-reported surveys. **Morello-Frosch** concluded that it is important to consider both intended and unintended consequences. She cautioned against gentrification.

Los Angeles Area Enforcement Collaborative

Caryn Mandelbaum, Director of Environment Now, began with a summary of how EPA's LA Area Enforcement Collaborative differs from the historical enforcement model. Previously, enforcement was not geographic specific and information was dependent on community tips. With the Collaborative model, now agencies are assigned to the area and are working proactively with the community. **Mandelbaum** described that program challenges include a large geographic area with over a million people and 15 different sub-areas, a relative lack of EJ studies to guide evaluation, and the limitations of laws. The group then turned to identifying the scope of questions for the hypothetical evaluation of the Collaborative program. In order to evaluate the program in absolute terms the group looked at outputs and indicators. To evaluate in relative terms they looked for benefits that often aren't considered, such as relationships community bonds, education, etc. **Mandelbaum** said that one way to measure collaboration would be to see if enforcement agents participate at community meetings. An important key to evaluation would be to look at methods over time, by looking to archives for data and then analyzing compliance rates after enforcement actions. **Mandelbaum** noted that the evaluators realized that the mere presence of EPA agencies was likely resulting in good industry behavior; therefore it was important to determine if that behavior would last past the amplified agency presence. **Mandelbaum** said that both compliance data and enforcement data would be needed in order to evaluate the program. This includes historic and current pollutions levels (e.g. air quality, water quality, sector specific, etc.), number of enforcement actions, and results (e.g. are new cleaner technologies being implemented), improvements in community health (health records, community self-reporting).

Harbor Community Benefit Fund (HCBF)

James Sadd, Professor at Occidental College, explained that evaluation for HCBF was important in order to achieve the specific goals laid out in the MOU between the Port of Los Angeles and Appellants representing the community, environment and labor. Evaluation is also required to satisfy state requirements, educate the community, and ensure that HCBF's efforts will live on over time and possibly even be replicated in other areas. **Sadd** stated that effective evaluation requires both clear definitions of terms and the establishment of baseline conditions so that evaluation can be measured over time. **Sadd** explained that HCBF has several challenges for evaluation and cited the difficulty of prioritizing among HCBF's four goals (improve health, quality of life, habitat, and economic opportunities), as a particular challenge to good evaluation. **Sadd** mentioned that HCBF should consider a pilot approach of evaluation in order to determine what works. Such an approach could be useful in designing better initiatives as the HCBF goes forward. Finally **Sadd** noted that one way of looking at metrics could be on a per capita basis over time. For example one could look at per capita access to parks and whether it improved over time.

CARE Program

Carl Maida of the UCLA Institute of the Environment and Sustainability explained that his group responded to four overarching questions:

- Is it important to measure outcomes or could it still be valuable to only measure process steps?
- What should be the geographic scale for the evaluation?
- Can agency tools help the community discover unintended consequences outside of their range of expertise?
- What is the importance of evaluating how the CARE program helped, or failed to help build a larger EJ movement?

The group discussed developing evaluations focused at the local level of CARE funded projects rather than be an evaluation of the entire EPA program at a national level. **Maida** stated that demonstrating capability to build capacity should be a metric. For example, CARE funded projects that failed to scale up from CARE 1 to CARE 2 might have good lessons that we currently are missing. **Maida** said that good evaluation would identify which tools and outcomes are most successful, and also help communities to prioritize at the end of the CARE project. Evaluation should be broad enough to understand the range of experiences at the community level and across programs, but we need to make sure that we "avoid reinventing the wheel" and instead ensure a transfer of knowledge across the network. In order to successfully integrate the federal/state/local you need a strong interagency liaison and a good way of evaluating this cooperation. Finally, **Maida** cautioned that effective evaluation will sometimes need to recognize the geographic difference in politics. For example the CARE funded projects in California will have different requirements and compared to a project by Mississippi.

CLOSING REMARKS

Synthesis:

Manuel Pastor, Director of the USC Program on Environmental and Regional Equity, reflected that the workshop's diverse group—comprised of activists, regulators and researchers from all regions of the country—realizes the importance of evaluating outcomes and processes of EJ programs and policies. Yet there are many steps that need to be taken to make evaluation a regular part of the policy and program development processes. **Pastor** highlighted that we need more collaboration between agencies and communities as well as “principled conflict.” **Pastor** explained that the EJ community needs to organize to break through the “science barrier,” the “agency barrier,” and the “foundation barrier.” We need tight metrics while needing to embrace the precautionary principle and take action. **Pastor** highlighted that EJ advocates should work with foundations to get support for documenting what happens as a result of their support and that logic models can be helpful tools. Other next steps involve development of an EJ evaluation framework that stakeholders can use when designing their evaluations. **Pastor** concluded by saying that it is not enough to just have EJ programs; all environmental programs and policies should have an “EJ lens” and thus the development of a EJ evaluation framework would apply to environmental policies and programs more broadly.

Keynote:

Lisa Garcia, Senior Advisor to the Administrator for Environmental Justice for U.S. EPA, thanked the Luskin Center for Innovation and all participants. She then highlighted how the Executive Order that set the stage for EJ work is once again reinvigorating agencies. For example, she explained that in 2010 EPA Administrator Lisa Jackson and White House Council on Environmental Quality Chair Nancy Sutley reconvened the Interagency Working Group on Environmental Justice for the first time in more than a decade. **Garcia** noted that one outcome of this revival is the recently signed interagency MOU that advances agency responsibilities outlined in the 1994 Executive Order 12898. She explained that while the Executive Order directs each of the named Federal agencies to make environmental justice part of its mission and to work with the other agencies on environmental justice issues as members of the EJ IWG, the EJ MOU broadens the reach of the EJ IWG to include participant agencies not originally named in Executive Order 12898 and adopts an EJ IWG charter, which provides the workgroup with more structure and direction. It also formalizes the environmental justice commitments that agencies have made over the past year, providing a roadmap for agencies to better coordinate their efforts. And, the MOU outlines processes and procedures to help overburdened communities more efficiently and effectively engage agencies as they make decisions.

Garcia also underscored the importance of Plan EJ 2014 and the EPA's commitment to it. She described that Plan EJ 2014 a roadmap that will help EPA integrate environmental justice into the agency's programs, policies, and activities. Plan EJ 2014 identifies Cross-Agency Focus Areas, Tools Development, and Program Initiatives as three essential elements that will advance environmental justice across the EPA and the federal government. There is a focus on integrating environmental justice considerations into areas such as permitting, rule-making, compliance, and enforcement. There is also a focus on connecting community needs with EPA actions. **Garcia** highlighted that Plan EJ 2014 provides an opportunity to integrate performance measurement and evaluation. She said the EJ community needs to look at the outcomes and process of the programs

and policies as well as address if the policies being implemented are working and reaching the right people. **Garcia** explained that the focus should be on reducing pollution, increasing benefits, and addressing unintended consequences. **Garcia** concluded by thanking everyone and commenting that everyone needs to continue to stir up collaboration and dialogue.