International Institute for Environment and Development

The Environmental Mainstreaming Initiative

THE CHALLENGES OF ENVIRONMENTAL MAINSTREAMING

Experience of integrating environment into development institutions and decisions

An Issues Paper based on a 12 country survey and global review

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This is an excellent synthesis – it whizzes you around the world in 100 pages – it captures the frustrations and the opportunities and mostly it leaves people feeling that the problems in the poorer countries are understood and then it leaves the reader feeling inspired.

Julie Clarke, Development Bank of Southern Africa

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ACRONYMS

AAA	Accra Agenda for Action
ADB	Asian Development Bank
CANARI	Caribbean Natural Resources Institute
CAS	Country assistance strategy
CMA	Cost-benefit analysis
CDM	Clean Development Mechanism
CEA	Country environmental analysis
CEO	Chief Executive Officer
CEP	Country environmental profile
CKS	Community Knowledge Service (of EI)
CSO	Civil society organisation
DAC	Development Assistance Committee (of OECD)
DBSA	Development Bank for Southern Africa
DFID	Department for International Development (UK)
DPL	Development policy lending
EC	European Community
EI	Equator Initiative
EIA	Environmental impact assessment
EM	Environmental mainstreaming
EMS	Environmental management system
EPA	Environmental Protection Agency
FIRM	Forum for integrated resource management
GDP	Gross domestic product
GEF	Global Environment Fund
ICLEI	International Council for Local Environmental Initiatives
IEM	Integrated environmental management
IIED	International Institute for Environment and Development
INGO	International non-governmental organisation
IPCC	International Panel on Climate Change
IPPC	International Plant Protection Convention
LDC	Least developed country
LLMF	Local-level monitoring framework
MDB	Multilateral Development Bank
MDG	Millennium development goal
MEA	Multilateral environmental agreement
NAPA	National Adaptation Plan of Action
NCERT	National Council for Educational Research and Training (India)
NEMA	National Environmental Management Authority (Uganda)
NGO	Non-governmental organisation
OECD	Organisation for Economic Cooperation and Development
PEI	UNDP-UNEP Poverty-Environment Initiative
PEP	Poverty and Environment Partnership
PES	Payments for environmental services
PRSP	Poverty reduction strategy paper
REDD	Reduced emissions from deforestation and forest degradation
RIDES	Research and Resources for Sustainable Development (transl.), Chile
SD	Sustainable development
SEA	Strategic environmental assessment
TEEB	The economics of ecosystems and biodiversity
UN	United Nations
UNCCD	United Nations Convention to Combat Desertification
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
VAM	Vulnerability analysis and mapping
WWF	Worldwide Fund for Nature

PREFACE

How and why this issues paper was prepared

In 2007, the International Institute for Environment and Development (IIED) launched an initiative to produce a *User Guide to Environmental Mainstreaming,* covering strategies, tools and tactics for mainstreaming (or integrating) environment into development decision-making and institutions.

The initial aim was to develop a guide to a range of approaches and tools/methods for environmental mainstreaming applied at different levels (e.g. national, district, community) and by a range of users (government, non-governmental and community-based organisations, businesses and private sector organisations). The core of the guide was envisaged to comprise profiles of the 30 or so top tools particularly favoured by users rather than those that tend to be emphasised by technical experts in most existing manuals and toolkits.

The focus would be on those approaches and tools which directly help to shape policies, plans and decisions; ***not*** the wider array of secondary tools applied to implement those decisions (e.g. market delivery mechanisms and instruments, and field management tools)[1].

Our observation was that too many tools are being 'pushed' by outside interests, and too few locally developed (and more informal, or less expensive) approaches are widely known. There is not enough 'demand-pull' information from potential users. Neither is there enough information available that helps them to select the right tool themselves – as opposed to taking what others want or suggest/promote. Given the prevalence of 'top-down' material promoting particular mainstreaming techniques on the one hand, and the paucity of really effective mainstreaming to date on the other, our contention was – and still is – that environmental mainstreaming capacity will be much stronger if stakeholders are able to select tools, methods and tactics that are relevant to their context. Some of these will be widely used and others still in development; some are easy to do and others demanding of skills and money; some are effective but others are not.

Therefore this initiative set out to identify which approaches and tools work best, for what purpose and for which user. An International Stakeholder Panel was established to help steer the project so that it would be able to learn what works best for a wide range of real-life situations. A website was launched as a communication tool, in part to elicit more stakeholder ideas and feedback (*www.environmental-mainstreaming.org*). Ten regional and country-based surveys and dialogues with stakeholders/users were undertaken by partner organisations for:

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- The Caribbean (Caribbean Natural Resources Institute, CANARI).
- Chile (Research and Resources for Sustainable Development, RIDES).
- Croatia and Czech Republic (Integra Consulting).
- Ghana (Environmental Protection Agency).
- India (Development Alternatives).
- Kenya and Uganda (UNEP-UNDP Poverty-Environment Initiative).

[1] e.g. project appraisal and monitoring techniques, surveys and data collection,

- Philippines (Earth Council Asia-Pacific, and ICLEI – Local Government for Sustainability).
- South Africa (Development Bank of Southern Africa).

Each survey comprised a mix of literature reviews, semi-structured interviews (guided by a questionnaire – see Annex 1), round tables, focus groups and workshops, aiming to secure user 'on-the-ground' feedback about:

- the challenges faced by the users of particular mainstreaming approaches,
- their needs related to mainstreaming/integrating approaches,
- their perspectives of which approaches they found useful or not (identifying the 'top approaches' that have been found to be the most effective; as well as the 'top problems' associated with integration),
- baseline information on mainstreaming approaches

Reports on the findings of each country survey can be found on the project website.

The main lesson from the country survey work was that respondents were more exercised on issues of context – the mainstream drivers of change, the constraints to influencing them, and the associated political and institutional challenges – than the technical pros and cons of individual tools. Although our surveys did reveal rich information on individual tools, and in some cases revealed consensus on tools that generally work well for particular contexts, the 'user perspective' identified institutional and contextual challenges as being the major issue in the struggle to link the endeavours of development and environmental management. Indeed, there are indications that an exclusive focus on tools is part of the problem – technical safeguards and conditionalities 'pushed' by environment interests on development interests, rather than strategies to link mutual interests. As a result, our original intention of identifying the most favoured approaches/tools – still work in progress, with profiles of key approaches and tools on the project website – is now being supplemented by this issues paper on context and strategy.

We hope this paper will be of interest and use to all those who are striving to address environmental issues in development policy-making and decision-taking. It draws on the country surveys, learning group workshops organised by IIED in Tanzania, Zambia and Vietnam, and work with a number of bilateral development cooperation agencies and UN organisations.

In the next phase of our work, we will develop a *Sourcebook on Environmental Mainstreaming* and are discussing to do this jointly with the OECD, UNDP, the UNDP/UNEP Poverty Environment Initiative, the Convention on Biodiversity Secretariat, and others. This will provide in-depth guidance on, and real examples of: policy frameworks for mainstreaming environment and climate change opportunities and threats; entry points in development decision-making and investment; communication requirements and approaches; approaches to capacity-building; monitoring and indicators; sources of information and support; and a wide range of strategies, tools and tactics, drawing on our collective work and many other sources.

Barry Dalal-Clayton and Steve Bass
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EXECUTIVE SUMMARY

> *'Environmental mainstreaming' is the informed inclusion of relevant environmental concerns into the decisions of institutions that drive national, local and sectoral development policy, rules, plans, investment and action*

This issues paper reviews the context and challenges to environmental mainstreaming (EM) discusses what it takes to achieve effective EM, and provides a roadmap for selecting operational EM methods and tools. Each chapter is introduced by a box summarising its scope. Supporting materials and profiles of key tools are available at www.environmental-mainstreaming.org.

Chapter 1 explains ***why EM is needed****,* and considers ***what it means****,* and ***who should be concerned***. The economy and society are intimately dependent upon the health of the environment. Environmental assets (e.g. fertile soils, clean water, biomass and biodiversity) yield income, offer safety nets for the poor, maintain public health, and drive economic growth. But conversely, environmental hazards (e.g. pollution, environmental damage, and climate change) all threaten livelihoods and development. Poor people are especially dependent on environmental assets and are vulnerable to hazards. But environmental and developmental institutions and decisions tend to be separate, which results in environment being viewed as a set of problems rather than potentials.

EM can help in several ways – to:

- find integrated solutions that avoid 'development vs. environment' arguments, institutional tensions, and associated costs
- enable more efficient planning of environmental assets and environmental hazard management;
- support technological innovation that is informed and inspired by nature;
- support informed policy debate and formulation on big issues;

and, in these ways, improve the productivity, resilience and adaptability of local, sectoral, national and indeed global social and economic systems – reducing the risk of collapses and the need for short-term 'bail-outs'.

To achieve these benefits, EM requires collaboration – the integration of environment and development interests and ideas, not just environment being forced into development. It will be as much a political and institutional change process as a technical one – working directly with politically hot overarching policy issues on matters such as security, macro-economic policy, employment, climate change and 'low-carbon growth'. EM depends upon leadership and catalytic organisations to forge the necessary links and processes, and needs to be a continuing and long-term process, not a one-off project.

Chapter 2 considers the ***challenges to EM*****.** Several ***constraints*** make it difficult to mainstream environment into development decisions and institutions, notably:

- the prevailing development paradigm, which treats environment as an institutional and economic 'externality';
- lack of data, information, skills and institutional capacity to work on environment-development links;
- weak environmental mainstreaming initiatives to date to act as a precedent;
- lack of political will for change.

But there is a range of ***entry points*** which offer a better chance of tackling these constraints and getting environment on the development agenda, and ***'drivers'*** with the vision, incentives and resources to act. These may be at national, sectoral or decentralised levels. The *'entry points'* are often key points in mainstream policy and planning cycles, particularly those concerning safeguards, prioritization and investment choices. Some of the more effective *'drivers'* may be from within the mainstream itself (finance and planning ministries where these are concerned about critical prioritisation questions of budget and policy), but are increasingly also specific initiatives aimed at better use of the environment (e.g. PES and REDD). Environment institutions on their own are not often effective drivers.

Often environmental mainstreaming is focused on national development plans or equivalents. In theory, such plans are sufficiently comprehensive to handle the range of environmental issues, multi-stakeholder processes, and links to key formal decision-makers. But, even in countries where such plans do drive development, a number of ***choices*** need to be made about mainstreaming:

- to work with government authorities – *or* non-government drivers of development?
- to work with environment authorities with information and interest in mainstreaming – *or* with finance/planning/development authorities who represent the mainstream?
- to address a comprehensive range of environment issues – *or* to focus on those that capture the attention of the mainstream e.g. low-carbon growth, rural job creation, and increasing public revenue from natural resources
- to work on the plan or capacity – the machinery of government – *or* 'upstream' on key policy issues – *or* 'downstream' on critical investments and implementation?
- to work with existing 'mainstream' processes (and thus their time-frames and precedents) – *or* to establish special processes (with opportunities for new types of analysis)

Chapter 3 is concerned with what makes EM effective. A ***spectrum of outcomes*** of EM is proposed, ranging from 'upstream' changes (influencing a policy, plan, budget, decision, etc) to 'downstream' changes (in behaviours and delivering environmental improvements 'on-the-ground'). Mainstreaming processes will depend very much upon context. Approaches will differ. However, assessment of effective mainstreaming suggests that there are some clear ***principles*** behind effective environmental mainstreaming, covering: leadership, integration, key sectors, dialogue, ownership, subsidiarity, use of EM processes, and transparency and accountability

Mainstreaming is not a standardised, technical process carried out in a neat sequence. Nevertheless, we suggest some ***typical steps*** that commonly characterise effective environmental mainstreaming, drawing from good practice to date:

1. Scope the political economy and governance affecting environment and development;

2. Convene a multi-stakeholder group to steer the mainstreaming process;

3. Identify links between development and environment, both positive and negative;

4. Propose desirable environment-development outcomes;

5. Map institutional roles and responsibilities for each of the links and desirable outcomes;

6. Identify associated institutional, governance and capacity – and changes required;

7. Identify entry points for environmental mainstreaming in key decision-making processes;

8. Conduct expenditure reviews and make the 'business' case for environmental inclusion;

9. Establish or use existing forums and mechanisms for debate and consensus;

10. Reflect agreed changes in key mainstream policy, plan and budget documentation;

11. Promote key investments in development-environment links;

12. Develop integrated institutional systems and associated capacities;

13. Install criteria/indicators and accountability mechanisms to ensure monitoring and continuous improvement in environment-development integration.

Chapter 4 provides initial guidance on how to select ***methods and tools*** for EM, linking these to the common phases of the policy/planning cycle. The main tools are grouped in six categories: providing information, planning and organisation, deliberation, management, voluntary and indigenous approaches, and other approaches. We also suggest some key questions to help select an appropriate tool or approach.

Chapter 1

INTRODUCTION:
THE CASE FOR 'ENVIRONMENTAL MAINSTREAMING'

IN BRIEF

The case for 'Environmental Mainstreaming'

The economy and society are intimately dependent upon the health of the environment*:*

- Environmental assets – e.g. fertile soils, clean water, biomass and biodiversity – yield income, offer safety nets for the poor, maintain public health, and drive economic growth.
- Conversely, environmental hazards – e.g. pollution, environmental damage, and climate change – all threaten livelihoods and development.
- Poor people are especially dependent on environmental assets and vulnerable to hazards.
- But environmental and developmental institutions and decisions tend to be separate, which results in environment being viewed as a set of problems rather than potentials.

Environmental mainstreaming – integrating environment into development decisions and institutions – can help to*:*

- Find integrated solutions that avoid 'development vs. environment' arguments, institutional tensions, and associated costs – for example:
  - *Energy solutions* – realising renewable energy potential from biomass, in ways that also ensure that other economic (e.g. food) and environmental (e.g. biodiversity and water) benefits are sustained – i.e. not just blindly turning land over to biofuel crops;
    Climate change solutions – such as pro-poor schemes in agriculture and forestry that mitigate climate change, attract REDD funds (reducing emissions from deforestation and degradation), and also suit local environment and social needs;
  - *Land management solutions* – such as corporate/community partnerships, pro-poor protected areas and landscape management that conserve biodiversity as well as provide food and livelihoods – i.e. not only depending on government investment in official protected areas.

- Enable more efficient planning of environmental assets and environmental hazard management – by introducing relevant technical information, identifying scarcities and surpluses, developing alternatives, and streamlining approaches and processes.

- Support technological innovation that is informed and inspired by nature e.g.

'biomimicry' in the design of production and waste treatment systems.

- Support informed policy debate and formulation on big issues – notably society's and the economy's dependence on, use of, impacts on, and alternatives for environmental assets – where environment has too often been an 'externality' in 'mainstream' policy.

- In the above ways, improve the productivity, resilience and adaptability of local, sectoral, national and indeed global social and economic systems – reducing the risk of collapses and the need for short-term 'bail-outs'.

***To achieve these benefits, environmental mainstreaming will be**:*

- About collaboration – *integration* of environment and development interests and ideas, not just environment being 'forced into' development.
- As much a political and institutional change process as a technical one – working directly with politically 'hot' overarching policy issues on matters such as security, macro-economic policy, employment, climate change and 'low-carbon growth'
- Dependent upon leadership and catalytic organisations to forge the necessary links and processes.
- A continuing and long-term process, not a one-off 'project'.

1.1 Why do we need to 'mainstream' the environment?

A large proportion of the wealth of developing countries and poor people is comprised of ***environmental assets***. These provide the foundations for sustainable development. Fertile soils, clean water, biomass and biodiversity produce a range of goods and services that yield income, offer safety nets for the poor, maintain public health, and power economic growth. Conversely, bad management of environmental assets, poor control of ***environmental hazards*** such as pollution, and inadequate response to environmental challenges such as climate change, threaten development.

Such environmental considerations therefore **need to be included ('mainstreamed') into the wide range of institutions and decisions that drive development.** As the Global Environment Facility (GEF) notes:

> "*The basic reason why environmental mainstreaming is important is that economic and social development and the environment are fundamentally interdependent – the way we manage the economy and political and social institutions has critical impacts on the environment, while environmental quality and sustainability, in turn, are vital for the performance of the economy and social well-being. As such the task of environmental integration and mainstreaming is at the forefront of development planning and policy formulation.*"[2]

Some traditional institutions have long recognised this and treat environment and development together. For example, the two issues are discussed as totally inter-

2 GEF Mainstreaming Environmental Issues into Development http://www.gefcountrysupport.org/report_detail.cfm?projectId=175

connected in village meetings of the *khotla* system in Botswana and the Maori *hui* system in New Zealand. However, today's mainstream government and market institutions tend to marginalise environmental issues, prioritising short-term economic growth. This is increasingly unsustainable, especially with growing competition for environmental resources, a 'resource squeeze' that particularly affects the poor. It calls for an accelerated effort to mainstream environmental concerns.

Through the 1960s and 1970s, attention to environment concerns rose steadily on national, international and political agendas. There was an expansion of government departments, legal frameworks and procedures directly concerned with environmental protection and management (e.g. environmental impact assessment, EIA). However, most are concerned with environmental *problems* and the *safeguards* needed to tackle them, rather than environmental *potentials and opportunities*:

> *"Environmental issues only get onto the agenda when there is a crisis or an issue that affects a wide sector of the general public"* (CANARI, 2008).

There is much legitimate concern at present about the rise in incidence of environmental problems such as climate change, droughts, floods, loss of soil fertility, and unsustainable exploitation and incremental destruction of biodiversity. Many government institutions in particular increasingly have to bail out failing financial and social institutions and are greatly concerned about the confluence of these with ecosystem and climate system collapse. With persistent poverty, in part entrenched by such system failures, there is a growing interest in ways to minimise the chain of costs that arise from environmental shocks and stresses. Environment is becoming recognised as a key component in policies for security, stability and sustainability.

Thus environmental mainstreaming will not only help to ***minimise risks and problems*****,** but also enable stakeholders to discuss, make the case, and pioneer activities that tackle real ***environmental potentials.***

In these ways, it is becoming clear that ***environmental concerns lie at the heart of all good development***. Indeed, it can be useful to lay out a framework for development and demonstrate its environmental links. For example, most development workers will broadly agree that development entails:

- increasing the ***asset*** base and its productivity per person – including environmental assets;
- ***empowering*** poor and marginalised groups – including their environmental rights – ensuring they are centrally involved in decision-making processes affecting their lives;
- reducing and managing ***risks*** – including environmental risks;
- a ***holistic*** approach to interacting social, economic and natural systems – including multiple environmental feedbacks
- taking a ***long-term*** perspective – including subsequent generations – a time frame which encompasses environmental change.
- building capacities for ***governance*** for the above at national and local levels – including environmental allocations, safeguards and management;

Thus environmental considerations **need to be addressed *both at central levels*** (i.e. national or regional planning and finance ministries) and ***sectoral levels*** (i.e. government, business and stakeholder organisations responsible for agriculture, industry, etc) - in other words, they need to be understood and responded to by the 'mainstream' of decision-making and not only by the environment 'sector' itself. But,

in order to improve that understanding, environment actors in turn need to understand development considerations.

The environment also **needs to be considered at *local levels*** where local organisations and individuals make daily decisions about the way they use and manage environmental assets. As noted above, this can be an automatic thing in many traditional societies, and local decisions can sometimes influence national policies (see Box 1.1).

Box 1.1: Addressing the environment at local level: experience in the Philippines

In the Philippines, the environment is 'naturally' considered in decision-making in many local (especially indigenous) communities because of beliefs, norms, values and traditions. Hence they do not perceive this as mainstreaming since there is no need to deliberate inclusion of environmental issues – it is –already within the mainstream of their decision-making.

Some local decisions have strongly influenced – and even impede - inappropriate national policies. The Indigenous People's Law provides for the Free and Prior Informed Consent (FPIC) of indigenous peoples to projects, and gives them power to reject projects or investments that are detrimental to their environment. Recently, the province of Palawan passed a local Resolution banning mining, using FPIC as the main instrument used to get around the Mining Law and thwarting the national governments policy to promote and prioritize mining. Puerto Princesa, the city capital, has barred mining through the use of FPIC.

Source: Earth Council/ICLEI (2008) and Ella Antonio (pers.com.)

Consideration of the environment **needs to cover both 'positive' issues** (i.e. opportunities and potentials for sustainable use of environmental assets) as well as the **'negative' issues** (e.g. problems of environmental degradation and pollution) that have been uppermost to date in the development and use of safeguards.

The need for a more *high-level and cross-sectoral approach to integrating environment and development has never been more urgent*. With pressure on resources, more innovative ways must be found to generate greater welfare from limited environmental assets. Infrastructure and agriculture must be climate-proofed. Industry must be energy and water efficient. Poor people's environmental deprivations must be tackled in development activity. Their environmental rights must be recognised, respected, protected and fulfilled (the latter by the duty-bearer, normally the State). Environmental institutions need to work more closely together with other institutions – for too many of which the environment is treated as an externality.

Experience with truly high-level and cross-sectoral environmental mainstreaming (in advocacy, analysis, planning, investment, management, and monitoring) has been limited and scattered to date. There has been little sharing of experience. In contrast, there is perhaps too much untested guidance on how to go about the tasks, often pushed as conditionalities by funders. However, several ***global initiatives*** stand out as offering a body of experience (which we discuss in section 1.3.2), and we draw on these

extensively. Amongst them, the Poverty-Environment Partnership (PEP) has made strong case for environmental mainstreaming (Box 1.2).

In developing this synthesis, we have drawn on the country surveys, meetings of our international stakeholder panel, and literature review undertaken by IIED, as well as IIED's engagement in PEP, UNDP-UNEP PEI, and a range of other activities, e.g.:

Box 1.2: The PEP case for environmental mainstreaming

The Poverty Environment Partnership (PEP) has concluded that:

- *The environment is disproportionately important in poor nations*. World Bank figures suggest that environmental assets amount to 26% of national wealth in developing countries, as opposed to 2% in OECD countries (World Bank, 2005)

- *Investment in environmental management can generate significant returns, much of this benefiting poor people*. Internal rates of return are competitive (Pearce 2005), e.g.: [3]
  - controlling air pollution <15:1
  - clean water & sanitation <14:1
  - natural disaster prevention <7:1
  - mangrove conservation <7:1
  - coral reef conservation <5:1
  - soil conservation <4:

- *Local organisations are key drivers of environmental integration into development, and can be highly effective and equitable at the operational level.* They are a key component of any mainstreaming strategy.

- *National environment and development authorities need to become much more closely linked together in their planning, budgeting and operations*. The underlying causes of both environment and development problems are the same – often to do with poor governance – and environmental mainstreaming thus needs to target appropriate institutions and decisions.

- *Development cooperation agencies could do much more* to support and scale up good practice in integrating environment and development, especially by supporting indigenous institutional frameworks to be more systemic about environment and development – rather than imposing external frameworks.

- *For these reasons, there is an urgent need to raise awareness* about the importance of environment and its key role in underpinning development, and to find ways to ensure that it is fully taken into account in development decision-making.

Source: PEP papers available at http://www.undp.org/pei/peppapers.html

- the SEA Task Team of the OECD DAC Network on Environment and Development Cooperation – for which IIED provides a Technical Secretariat (see

3 These rates would be higher still if longer time frames were taken into account in the calculation, and the diverse needs of the poor were given due weighting. Furthermore, investment in social capital, such as common property regimes that improve the management of environmental assets, is also promising. However, a range of policy, institutional, market and information constraints reduce the apparent rate of return and establish a bias against environmental investments. Clearly, several things need to change if under-investment in environmental assets is to be tackled.

www.seataskteam.net);

- country learning groups on environmental mainstreaming, comprising environment and development experts, in Tanzania, Zambia and Vietnam – see Assey *et al. (*2007), and Aongola *et al.* (2009 forthcoming);

- a range of regional workshops organised by IIED and partners to support development of a sourcebook on sustainability appraisal (Dalal-Clayton and Sadler, 2009, in press);

- annual meetings of the International Association for Impact Assessment, IAIA (see: www.iaia.org).

1.2 What is environmental mainstreaming?

In this paper, we define 'environmental mainstreaming' as:

> ***the informed inclusion of relevant environmental concerns into the decisions of institutions that drive national, local and sectoral development policy, rules, plans, investment and action.***

It results in a better understanding of the capabilities of environmental assets, the consequences of environmental hazards, and the real or potential impacts of development on the environment. Such understanding can consequently improve decisions, especially if there is a systematic institutional framework for making such decisions. In its emphasis on integrated approaches and informed trade-offs, environmental mainstreaming is a major practical component of sustainable development. It can be assisted by a variety of technical and deliberative tools. However, these tools must be well suited to context, the decision at hand, and the actors taking the decision. This latter factor is particularly important since both organisational and individual values and priorities need to change if environment and development are truly to be integrated, and the environment is not to be treated merely a technical aspect.

Effective environmental mainstreaming will, therefore, be a broader affair than prevailing narrower approaches – which tend to fall into two, connected types: firstly, building the capacity of environment authorities and environment interest groups to engage with the 'mainstream'; secondly, creating a system of environmental safeguards such as EIA. The former tends at best to create a set of 'supply-push' guidelines or conditions, but is limited by focusing on the 'converted' – i.e. institutions already committed to and responsible for environmental concerns The latter tends to focus on problems and is not able to address the more positive contributions of environmental management. Indeed, in large part, the increasing focus on proactive environmental mainstreaming is a strategic response to the limitations of reactive environmental safeguarding activities in moving development towards environmentally sustainability outcomes (Brown and Tomerini, 2009).

Although we have offered a normative description of environmental mainstreaming above, we acknowledge that this is far from universally understood. Understanding and interpretation of what environmental mainstreaming (or integration) means or entails varies considerably. For example, the UNDP-UNEP Poverty-Environment Initiative interprets environmental mainstreaming specifically in terms of "integrating poverty-environment linkages into *national development planning processes and*

their outputs, such as Poverty Reduction Strategy Papers (PRSPs) and Millennium Development Goal (MDG) strategies" (PEI 2007) (understandable as these are key focuses for UNDP and UNEP work with partner countries). During our country survey in Uganda, responses to the survey questionnaire showed that suggested definitions differed in detail, by respondent – even within the same organisation, and by the specific issues to be addressed (Birungi, 2008). Different organisations also emphasise different issues (Table 1.1).

Thus for many people, it remains the case that *environmental mainstreaming' is an unclear term* for different and changing (or sometimes unspecified) intentions, i.e. it has variously been used for (Bass, 2008):

- mere '*box-ticking*' exercises – attempting to demonstrate that environmental concerns have been dealt with, even if in a cursory way (i.e. not necessarily changing the 'mainstream');
- the task of *informing* – offering environment information to players in the 'mainstream' of decision-making in the hope that this influences their own deliberations (on policies, plans, investment, etc);
- '*scaling up*' – aimed at working 'upstream' of the individual project, such as addressing the policy implications/advocacy component of environmental 'projects', or increasing the number of successful activities;
- *power-exercising, power-levelling and empowering* – using a 'mainstream' construct either to force acceptance of the view of powerful players (e.g. some development bank tactics regarding safeguards), or to elevate the concerns of weaker players (e.g. environmental NGO tactics);
- *institutional and cultural change* – systematically integrating a particular environment idea, value or objective into all domains of governance, both central and sectoral, as well as into business practices and individuals' value systems.

Of the above, it is clear that all (except the first bullet) are components of environmental mainstreaming, but only the last might sum it up. As we began this initiative, we took environmental mainstreaming (or environmental integration) to encompass the process(es) by which environmental considerations are ***brought to the attention*** of organisations and individuals involved in decision-making on the economic, social and physical development of a country (at national, sub-national and/or local levels), and the process(es) by which environment is ***considered in taking those decisions***. In retrospect, this seems to be a limited, functional view of the wide range of institutional changes that are actually needed, and indeed seems to imply that environmental mainstreaming might be a mere option. One respondent in Kenya commented:

> *"The definition seems to allude to a process of environmental mainstreaming that is optional, that the environment is considered in the policy process. We need to move to a process that includes the environment as a mandatory part of decision-making. The definition seems to me to take a weak position: trying desperately to make the environment considered by policy-makers. It is not a matter of consider the environment, but to really build it into the process"*
>
> (PEI, 2008a)

We would fully agree with this sentiment. But the present reality is that environment is 'off the agenda' in many countries. Many might argue that responding to climate change is now one of the top political priorities and that this is the major environmental issue. True. Some might also argue that the current concentration on climate change, accompanied by huge amounts of funding for mitigation and

adaptation, has had the effect of crowding out most of the other environmental dimensions – particularly natural resources which are critical to survival and the economies of many poor countries. Furthermore, climate change policy tends to address the economic and social causes and consequences of climate change, but is skewed because it does not also recognise the *environmental* causes and consequences of climate change - and some of the environmental solutions to climate change (building ecosystem resilience). This may be the case but, looking at mainstreaming as a long-term institutional change process, these are precisely the kinds of initial (and albeit incomplete) adjustments which we should be identifying and working with. Thus environmental mainstreaming can be advanced by 'jumping on the climate bandwagon' – to benefit from its momentum. Whilst 'bandwagons' have negative connotations, their very locus in the mainstream itself can offer a potential 'entry point' with latent demand for further environmental input.

> *"The trend is that the attention generated by the climate challenge is already transforming the environment and sustainable development agenda in the most lively and interesting policy debate amongst the general public at a global scale.*
>
> *The climate proofing window of opportunity provides a great option to focus on the long forgotten comprehensive price tagging of environmental values including ecosystem resilience costs and benefits and including costing of avoided damage (to infrastructure, economic goods, livelihoods, human health and sufferings, migration flows etc.".*
>
> *The Paris/Accra agenda [for aid effectiveness] should be used to prevent opportunistic and calculating civil servants as well as the big climate funds from generating new, parallel systems and bureaucracies, by embedding climate change considerations into existing frameworks, mechanisms and toolboxes and insisting that they be used at high level policy fora.*
>
> *The climate 'label' should not create new silos of power and vision, but stimulate synergies; environmentally 'labelled' institutions should not react defensively, but rather be open-minded and embrace the climate challenge"*.
>
> Annalies Donners
> (pers.com)

In the absence of a systemic approach where all central and sectoral actors play their roles, a bipartite approach remains necessary – where distinct environmental interests aim to 'influence' a separate 'mainstream' through the decision-making cycle. This is analogous to much of the gender mainstreaming experience.[4]

This synthesis report is concerned with the variety of approaches that can be used to carry out the above processes, recognising that in most countries it will be less a question of operating an existing integrated system than one of generating that system through influencing current institutions. These approaches include:

- broad tactics (ways of raising issues and making a case/getting heard);
- specific instruments, technical tools and analytical methods (e.g. for gathering information, planning and monitoring);
- methods for consultation and engaging and empowering stakeholders (including grass root organisations and citizen actions movements); and also
- a range of more informal, voluntary and indigenous approaches.

4 The UN describes Gender Mainstreaming as a globally accepted strategy for promoting gender equality. It involves ensuring that gender perspectives and attention to the goal of gender equality are central to all activities - policy development, research, advocacy/ dialogue, legislation, resource allocation, and planning, implementation and monitoring of programmes and projects (see: http://www.un.org/womenwatch/osagi/gendermainstreaming.htm).

1.3 Who should be concerned about environmental mainstreaming?

1.3.1 The actors in environmental mainstreaming and their needs

At the country level, three broad groups in particular should be concerned with environmental mainstreaming:

- Mainstream development organisations – notably central and sectoral planning and finance authorities and delivery organisations, as well as corporations. The national level is key, but so also are local authorities where key policy and planning decisions have been decentralised.

  They will need to understand how environmental issues affect their development interests; the associated costs, benefits, risks and their distribution; and how to make appropriate decisions especially to meet international and national environmental obligations; as such, they will need access to efficient information and decision-making tools, and to advice on building a systematic approach.

  To fast-track the transition to an integrated, systematic approach, the highest levels of decision-making in government, administration, business and civil society need to be engaged. This is critical because – even more so than with environmental interests below – there is a wide range of perceptions about the importance of environmental mainstreaming (see Table 1.1). Furthermore, often senior people were trained at a time when cross-cutting issues such as environment were given little attention. Key information needed by such groups is the costs of inaction on environment and associated distributional issues and timeframes; and the rates of return to investment in routine environmental management, environmental infrastructure, and safeguard processes.

- Environmental organisations – whether as regulatory authorities, service delivery organisations, environmental NGOs or civil society groups representing people who are especially dependent upon the environment, and human rights and activist groups and health and welfare organisations representing the 'public good'.

  They need to improve efforts to influence the 'mainstream' to integrate environmental considerations; as such they will obviously need to have good command of environmental information, but more especially excellent understanding of the development context, goals and drivers – and then tools and tactics, as well as effective 'entry points' to influence the mainstream.

  In most countries, their intention should be to make the *transition* from a prevailing institutional framework - where environment is divorced from development, to an integrated system.[5] In countries where such an integrated system is forming, this will require collaborative approaches and far more nuanced information. In both cases, however, the wide range of environmental interests need to develop and assert a broad and shared vision for environmental mainstreaming, or their lobbying and tactics will be dissipated and ineffective. They need to rehearse many of the issues discussed in sections 1.1 and 1.2 and form a shared platform.

5 In practice, many large conservation organisations (with local offices) have yet to commit to this view, held back, for example, by narrower traditional interests amongst decision-makers, limited ability to undertake social and institutional analyses, few political scientists, economists and sociologists, etc. (Mike Morris, WWF UK, pers.com).

Table 1.1: Perceptions of environmental mainstreaming

USER GROUP	PERCEPTIONS (stereotype)	PERCEPTIONS (progressive)
Common to all groups:	• Increased awareness of the dangers and hazards of environmental degradation and the importance of personal and organisational responsibilities • But personal survival and personal financial gain overrides all other criteria. The richer you are, the more you can afford to be generous towards the needs of others, including future generations. • A belief in supporting EM up to the point that it does not interfere with personal or group immediate gain. • Supports (and perpetuates) myths that society can separate economic and social wellbeing from environmental management responsibilities.	• Full awareness of roles and responsibilities. • Personal and group/organisational commitment to EM. • Sense of the public good overrides personal materialistic needs and desires. • Driving values are more philanthropic and involve the cooperation of all for the survival of all species, including the betterment of mankind.
Politicians	• Few are aware of the range of EM concerns beyond negative issues, and the range of approaches beyond safeguards. • However, some environment, development and foreign affairs ministers are broadly aware of international EM obligations (see section 1.3.2). • Most political debate is around environment as a (weak) sector rather than a shared responsibility. • However, this is confused by historical wide distribution of environmental responsibilities and authority across many ministries – offering an 'entry point' to some mainstreaming.	• Fully aware of the main sustainability tactics tools and approaches, and; • Orchestrate their use, and protect against their abuse.
Government departments/agencies - both central and sectoral	• little knowledge of EM and the application of EM approaches, environment authorities treat EM primarily as a matter of improving environment 'sector' budgets and ensuring safeguards adopted. • However, many key decision-makers never use specific EM tools; instead, they used normal budgeting procedures, holding meetings and ensuring legal compliance.	• Highly informed specialists operating at all levels of government (not only in a safeguard capacity but in a proactive systematic approach to optimise on sustaining and even improving ecosystem services). • International obligations are met and boundaries pushed for further responsible actions between and amongst nation states –

	• The implementation of international EM obligations tends to be accorded low priority, or in narrow ways 'to suit local needs'.	calling signatory parties to comply with their respective commitments, roles and responsibilities. • Recent increases in calls for government accountability have led to e.g. a 'charter' approach to environmental responsibility.
Local authorities	• Accorded increasing responsibility for environmental aspects of development, where in charge of district land and physical development. • Thus, concerned as much about making positive use of environment as about environmental safeguards. • However, inadequate capacity to map development-environment links (both positive and negative) or to develop solutions means that many adopt outmoded practices and procedures, or none at all, for EM.	• Informed and empowered with skills and financial resources at appropriate level of management to apply relevant tools and tactics at various levels of decision-making. • Culture of environmental responsibility and accountability ensuring it is fully mainstreamed throughout the organisation at all levels of decision making. Systems and plans in place to systematically address a wide range of dynamic and complex needs and basic rights.
Finance institutions and businesses	• Primarily use environmental safeguard tools designed (usually for minimum compliance with regulations) to cover their own corporate needs to avoid damage and harm to their own personal bonus schemes and company profits.	• Public, government, stakeholder and shareholder demands are increasing and leading to changes in motivation towards more positive approaches (e.g. organic food, sustainable forestry). • DFIs are taking on highly proactive stances with regard to environmental value systems, responsibilities and accountabilities.
Civil society & communities	• Feel that current provisions for EM often fail to empower them to participate, and sometimes alienate them from the decision-making process – for several reasons: o How power works in society; o How control of the process is governed; o How jargon is used; o Because (they believe) consultants tend to operate EM tools for money-making rather than for environmental and social justice. • Are unfamiliar with EM approaches, but are keen to know more about the environment and receive relevant information in a usable format.	• Are fully skilled and operational with a variety of environmental strategies, tools and tactics. Are multiskilled and use media and other communication and organisational means to get message across to relevant levels of decision makers.
Environment NGOs	• Between them, rarely have a consistent view of EM and how to go about it – which often leads to ineffective action.	• leading brokers of environment and development interests, of public and private partnerships, with experience of EM, and are

	• The majority tend to focus on environmental problems and adversarial approaches – rather than opportunities and collaborative approaches.	adept at using a range of international obligations (see section 1.3.2).
Academics and experts/consultants	• Have produced a wide range of EM tools, not all of them real-world tested; and tend to ascribe to one or two 'miracle' tools. • Have inadequately explored the political economy of EM. • Tend to recreate the same concepts by giving new names to the same concepts.	• Are fully conversant and experienced in a range of EM approaches and are able to empower groups to speedily learn new approaches for changing contexts. • Help to critically review the power relationships in society and the effectiveness of existing approaches and help to identify a mix of tools and tactics to challenge problem areas.
Development cooperation agencies	• Tend to have high influence on whether and how developing country governments tackle EM. That influence is channelled through policy and programming approaches shaped by the Paris Declaration (see section 1.3.2). • Largely this is a matter of including environmental safeguards in cooperation agreements. • It has also involved organising major 'projects' to include environmental dimensions in national development plans and poverty reduction strategies – evoking 'country-driven' approaches but also associating EM with conditionalities attached to supporting those plans and strategies. • This approach is too technocratic and inadequately supports national political processes for EM. They have also sometimes failed to adapt EM tools to local culture and conditions. • It is also limited by the fact that, within cooperation agencies themselves, environment is rarely full mainstreamed and 'high-level' decision makers in those agencies do not accord EM much more than 'box-ticking' importance.	• Increasingly co-operation agreements tend to be about building the capacity of 'country systems' to act as safeguards. • More aware of political ecology and forces of change and how power works in society and intervene in various ways to address human and environmental rights issues – structure interactions to be mutually supportive of learning approaches to achieving meaningful levels of social justice and sustainable development practices. • From CEO down there are skills and practical knowledge in EM and personal commitment.

- Multilateral and bilateral donors, international organisations and international private investors also need to address environmental mainstreaming. Firstly as an internal need, particularly in terms of how they best delivering against environmental obligations in a range of international agreements and mandates (see next section). But also in terms of how they can avoid the current trend of much development assistance having to be applied to increasing humanitarian and conflict-related expenditure – short-term 'bail-outs' from collapses in financial, employment, social and political systems in developing countries, which predicted incidences of collapse in environmental systems will surely exacerbate. Secondly, in terms of what conditions and support they will provide to the above groups in their catalytic roles to improve policy, plans and investment for sustainable development.

It is also important to try to engage a wide array of other actors who can or should play a critical role in promoting particular environmental concerns, e.g. the general public and citizen movements; the private sector; educational institutions and authorities; institutions of various faiths; and political parties. Making the environment part of the political process can draw attention to such issues and provide pressure for them to be addressed. In the last two decades, we have seen the emergence of 'green parties' in many developed countries which advocate development based on sound environmental management. Their ideas and popular profile has often resulted in the environmental agenda and particular policy options being adopted by the main political parties, too, and thus being mainstreamed into development policy. Such green parties are rare in developing countries where such a role is more usually played by NGOs.

1.3.2 Responses and international mandates for environmental mainstreaming

Table 1.1 above indicates the significance of a range of international obligations in shaping how environment is mainstreamed (or not) into development at national, sector or local levels. Most countries have committed to a range of *international agreements* which set both obligations and challenges. Many of these provide an unofficial 'mandate' for taking forward any initiative for integrating environment and development:

- *The Millennium Development Goals* (agreed at the UN General Assembly in 2000) provide a framing focus for development planning and assistance. To be effective, they need to be integrated into national and local policy-making, decision-taking and planning processes. MDG7, in particular, calls for the "integration of the principles of sustainable development into country policies and programmes" and asserts the importance of water, sanitation, forests and now also biodiversity for development. There are also key environmental underpinnings of MDGs 1-6 (see UNDP 2004, WRI 2008), but most of these are not included in the MDG targets and indicators – which were a UN Secretariat construct developed rapidly and expediently, not especially informed of the critical poverty-environment links for each MDG. Table 1.2 lists some key environmental links for each of the MDGs.

- *The Johannesburg Plan of Implementation (JPOI)* agreed at the World Summit on Sustainable Development in 2002 stressed the importance of

"strategic frameworks and balanced decision making … for advancing the sustainable development agenda". Given many different circumstances and contexts, this demands a range of mainstreaming tools.

Table 1.2: MDG links to the environment (Source: Irish Aid 2007)

Millennium Development Goal	Links to the environment
1. Eradicate extreme poverty & hunger	The livelihoods and food security strategies of the poor often depend directly on the natural resources available to them (farming, livestock rearing, fishing, etc.)
2. Achieve universal primary education	As resources become depleted, children spend more time gathering firewood and water or looking for grazing for the family livestock – meaning they have less time for school.
3. Promote gender equality and empower women	Poor women are susceptible to respiratory diseases caused by indoor air pollution, and they tend to have unequal access to land and natural resources even though they are often responsible for collecting firewood and water and for tending fields.
4. Reduce child mortality	Water-related diseases affect children under 5 in particular. Children are also susceptible to malnutrition as yields decline due to soil degradation and erosion.
5. Improve maternal health	Indoor pollution and carrying heavy loads of water and firewood over increasingly long distances have adverse affects on women's health and can lead to complications in pregnancy and childbirth
6. Combat major diseases	One fifth of the total disease burden in developing countries may be attributed to environmental risk. Poor urban planning and land use management contributes to the spread of malaria. Declining natural resources force people to migrate and find new ways of earning a living which can contribute to the spread of HIV/AIDS
7. Ensure environmental sustainability	Unless the current trends of environmental degradation and global threats such as climate change are reversed, it will not be possible to meet the MDGs.

- *The Paris Declaration on Aid Effectiveness* (adopted in 2005) commits development agencies to reform the way in which aid is delivered and to work in closer harmony to enhance development efficiency and effectiveness. It also emphasizes the need for donor agencies to better align behind the priorities of developing countries and their strategies to address these priorities. This commitment was reconfirmed in the *Accra Agenda for Action* agreed in Ghana in September 2008 at the High Level Forum on Aid Effectiveness which reviewed progress in implementing the Paris Agreement, and which highlighted, inter alia, the need to support country environmental planning systems and to engage with civil society.

- *A range of international programmes for environmental mainstreaming* has evolved, most recently in response to the above three agreements. These have adopted various definitions of environmental mainstreaming, and play to different incentives and threats (some internal to the organisation promoting them):

    - The Poverty Environment Partnership (PEP)[6] - a multi-agency network which is attempting to mainstream environment in development aid, in support of national and sector development planning in developing countries (see Box 1.2).

    - The Poverty-Environment Initiative (PEI)[7] - a joint UNDP-UNEP programme which is working with country teams in several developing countries to support environmental mainstreaming in national and sector development policy, plans, and budgets.

    - The Environmental Mainstreaming Initiative (IIED) – an IIED-coordinated initiative, guided by an International Stakeholder Panel which has investigated a wide range of mainstreaming approaches that work across many developing countries and to share learning, and produced this synthesis report.

    - The UNDP's Drylands Development Center, in close collaboration with the Global Mechanism (GM) of UNCCD, UNEP and the UNDP/GEF Global Support Unit, has developed Generic Guidelines for Mainstreaming Environment into National Development Frameworks, drawn from experiences in mainstreaming from a range of national case studies in drylands (2008)

- *Voluntary market and civil society initiatives* can also be considered to provide a complementary 'mandate' for environmental mainstreaming. Some, such as forest and organic agriculture certification schemes, have proven to be powerful forces in ensuring that companies include environmental (and some social [9]) dimensions in their production, and in getting buyers to exercise preferential treatment in their consumption. This has been more effective with both producers and consumers who have the financial and human resources to adopt new ways of working (as well as to cover certification transaction and financial costs). Some of this 'supply chain soft legislation' has already influenced territorial legislation in countries that are both dependent on the sectors in question and are well-resourced enough to 'mainstream' environment in new production systems.

6 PEP is a group of donor agencies, multilaterals and some research-focused INGOs. See http://www.povertyenvironment.net/pep/

7 See www.unpei.org

8 See http://www.undp.org/drylands/docs/publications/

9 For example, codes of practice for horticulture and floriculture now have reasonable social chapters.

Furthermore, in all countries there is a range of *domestic national (and more local)* strategies, policy-making and planning processes covering environment and/or development (e.g. poverty reduction strategies, sustainable development strategies, sector-based policies and plans) as well as legislation, institutional procedures and voluntary arrangements. Some specify the use of particular environmental mainstreaming tools (notably EIA, and increasingly SEA and public consultation) but many are not well implemented, in part because stakeholders lack effective approaches.

It is to be expected that new international institutions and mandates will emerge in the coming years, especially regarding the growing confluence of economic, social and environmental problems and the need for a systemic approach to building resilience to change. For example, the UN High-Level Panel on Threats, Challenges and Change concluded:

> "*There still remains a need for a body that brings together the key developed and developing countries to address the critical interlinkages between trade, finance, the environment, the handling of pandemic diseases and economic and social development. To be effective, such a body must operate at the level of national leaders*."
>
> Report of the Secretary General's High-Level Panel on Threats, Challenges and Change, 2004

1.4 Conclusion

Several key points emerge from this chapter:

- Environmental mainstreaming lies at the heart of sound development practice and is particularly important for developing countries where the environmental asset base tends to be disproportionately significant for the economy and livelihoods, and where there is high vulnerability to environmental hazards such as climate change, floods and drought

- The 'traditional' safeguarding approach to environmental mainstreaming has not been effective. It needs to be complemented by a more integrated and systemic institutional development approach which realises the potential of environmental assets and recognises the limits.

- Perceptions of environmental mainstreaming, and needs, vary considerably amongst different groups of actors. It is not just that developmental interests have been 'wrong' or 'neglectful' about environment; also environmental interests have inadequately understood development needs and dynamics, or engaged constructively with them.

- Politically ‘hot’ overarching policy issues such as security, macro-economic policy, employment, climate change and ‘low-carbon growth’ – where there are clear links to environment – can be the best entry points.

- There is a wide range of environmental mainstreaming experience and lessons from them all have only just started to be combined – the current paper is an initial attempt. Those lessons are going to be critically important in an increasingly fragile, interconnected world.

Chapter 2

THE CHALLENGES OF ENVIRONMENTAL MAINSTREAMING

IN BRIEF

Constraints, catalysts and choices to make in environmental mainstreaming

Constraints to mainstreaming – entrenched governance problems:

Several constraints make it difficult to mainstream environment into development decisions and institutions, notably:

- The prevailing development paradigm, which treats environment as an institutional and economic 'externality';
- Lack of data, information, skills and institutional capacity to work on environment-development links;
- Weak environmental mainstreaming initiatives to date to act as a precedent;
- Lack of political will for change.

Catalysts for mainstreaming – entry points and drivers*:*

With such constraints, it is all the more important to identify 'entry points' which offer a better chance of tackling these constraints and getting environment on the development agenda, and 'drivers' with the vision, incentives and resources to act. These may be at national, sectoral or decentralised levels. The *'entry points'* are often key points in mainstream policy and planning cycles, particularly those concerning safeguards, prioritization and investment choices. Some of the more effective *'drivers'* may be from within the mainstream itself (finance and planning ministries where these are concerned about critical prioritisation questions of budget and policy), but are increasingly also specific initiatives aimed at better use of the environment (e.g. PES and REDD). Environment institutions on their own are not often effective drivers.

Making the choices*:*

A norm seems to have developed where environmental mainstreaming concentrates on the national development plan or equivalent. Such plans do have, in theory, the comprehensive coverage required to handle the range of environmental issues, multi-stakeholder processes, and links to key formal decision-makers. But, even in countries where the national plan is indeed a driver of development, there are several choices that need to be made about mainstreaming:

- To work with government authorities – *or* non-government drivers of development?
- To work with environment authorities with information and interest in mainstreaming – *or* with finance/planning/development authorities who represent the mainstream?
- To address comprehensive range of environment issues – *or* to focus on those that capture the attention of the mainstream e.g. low-carbon growth,

rural job creation, and increasing public revenue from natural resources
- To work on the plan or capacity – the machinery of government – *or* 'upstream' on key policy issues – *or* 'downstream' on critical investments and implementation?
- To work with existing 'mainstream' processes (and thus their time-frames and precedents) – *or* to establish special processes (with opportunities for new types of analysis)

The choice is best made following a good, in-depth, in-country assessment of the current drivers of, and antagonists against, mainstreaming – especially to uncover what is currently working for mainstreaming and associated champions, entry points and tools.

At decentralised and sector levels, analogous choices can often be made. The range of entry points and drivers (and associated approaches and skills) is more limited, but EIA and public consultations are becoming a norm for major mainstreaming efforts.

The principal challenge of environmental mainstreaming is to improve governance. Mainstream institutions such as treasuries, planning departments and corporations have not generally recognised the environmental underpinnings of development. They treat the environment as a 'free' good, and environmental damage as having minimal cost. Thus the environment tends to be unvalued, unpriced, unmonitored, and left on the margins of major institutions and their decisions. Although most governments have signed up to a range of international agreements to preserve (global) environmental values, prevailing governance frameworks are not set up to treat these as a priority.

Environmental mainstreaming is, therefore, a long-term societal/institutional change endeavour that entails bringing together a new set of systems and a set of associated values, rules, norms, procedures and other tools that works for specific contexts – a governance challenge. That challenge does include issues of data, information, skills and resources that are commonly addressed by environmental mainstreaming 'projects'. But, more fundamentally, it encompasses values, beliefs and decision-making frameworks that are not so easily dealt with unless the 'mainstreaming' endeavour is clearly set up as an institutional development approach. That takes real leadership and careful tailoring to the local institutional context. Environmental mainstreaming also needs to aim purposefully to change the way organisations and people view the environment and hence behave – something that can be approached, for example, through environmental education or induced as a response to catastrophies. Furthermore, environmental mainstreaming needs to be achieved at a range of scales in relation to time, geographic impact, actors/institutions involved and even financial considerations (see Box 2.1)

The preparation of this Guide was preceded by a range of country 'surveys' which focused on country contexts and their range of entry points and drivers. The surveys picked up on stakeholder perspectives from those who regularly have needed to use, or commission others to use, environmental mainstreaming tools/tactics. These surveys highlighted the generic complexities of mainstreaming, i.e. its multi-issue, multi-layer, context-specific nature. They revealed that the need to tailor approaches to the country context, to be clear on the specific mainstreaming goal, or to involve

the right actor are just as important for mainstreaming, perhaps more so in some circumstances, as issues concerning the choice of a precise tool . Figure 2.1 presents a framework/platform for describing these dimensions.

Box 2.1: Scale dimensions of environmental mainstreaming

Environmental mainstreaming (EM) interventions could be focused in relation to various aspects of scale:

Temporal scale: EM could take place over a range of time periods, from a single day used to raise an issue, to a decade-long campaign. Similarly the benefits of EM could be experienced over varying time scales.

Geographic scale: EM can be undertaken in a range of physical spaces, e.g. in a very small geographic area, such as an individual farm or community, across a district or entire country, or in an ecosystem or bioregion.

Institutional scale: EM may involve actors (organisations and individuals) at different levels from very local to international - for example: local community resource users; government, the business sector and NGOs at national, sub-national and local levels; and international (e.g. UN) organisations, parties to multi-lateral environmental agreements and global financial market actors.

Financial scale: EM can be promoted in various ways, e.g. through projects with dedicated budgets of varying sizes; financing mechanisms such as the clean development mechanism (CDM), carbon trading, REDD, etc.; or through the regular operations of international organisations, government ministries/agencies or other actors such as NGOs, landowners or private sector companies.

Source: adapted from Petersen and Huntley (2005)

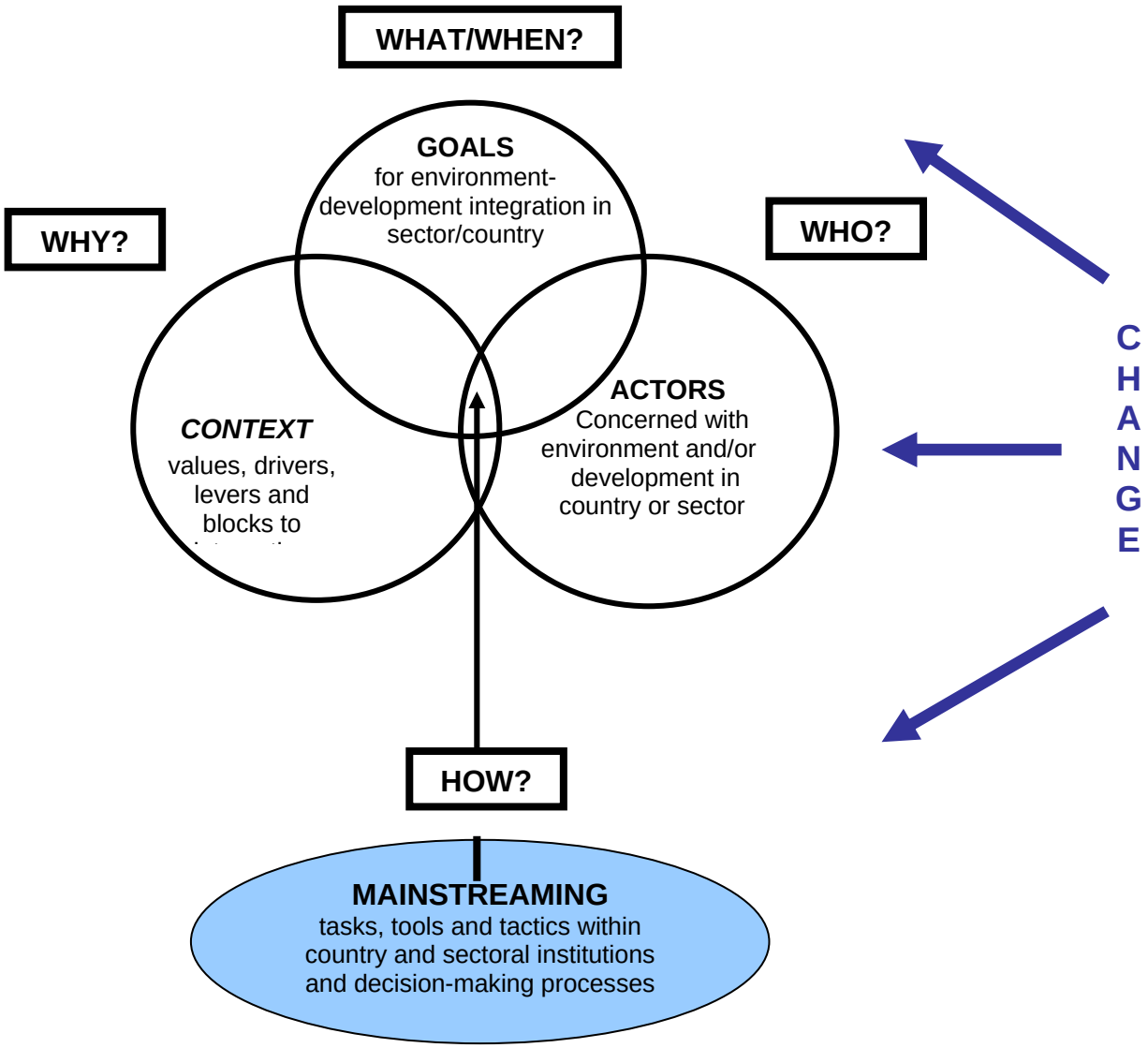
2.1 Constraints to environmental mainstreaming

Mainstreaming environmental issues in general, and poverty-environment links in particular, does not have a long history of success. Many constraints explain this, and they are primarily governance constraints. Better understanding of these constraints is critical, as in practice they describe and explain the way that the 'mainstream' itself works. More effort needs to be put by environmental interests into understanding this in *specific* countries or markets.

To explore this further, we examine the varied – and interacting – constraints to environmental mainstreaming highlighted by our country surveys (Box 2.2). They can be summarised as:

a. The prevailing development paradigm
b. Lack of political will for change
c. Environment as an institutional and economic 'externality'
d. Weak environmental mainstreaming initiatives and precedents to date
e. Lack of data and information on environment-development links
f. Lack of skills and institutional capacity
g. Broader governance constraints

Figure 2.1: Interacting factors that shape strategy for environmental mainstreaming



A well determined choice of the WHO and the WHEN is a critical success factor

WHO ? Progress requires focus on mobilizing commitment from key decision-makers (prime minister, macro-economic and financial authorities), involving 'change agents' in planning and financial departments in EM, as well as the private sector (eg global organisations such as the World Business Council on Sustainable Development and the World Economic Forum), consumer organisations, CSOs, media, and youth. Commitment needs to be followed up - building capacity and tracking impact at all levels, involving parliaments, etc.

WHEN ? Timing of exposure is critical. There is a need to make strategic use of global, regional and national agendas (World Environment Day, preparing national delegations to the Climate Change Convention meetings, etc.).

Box 2.2: Key constraints to environmental mainstreaming highlighted by IIED's country surveys

Critical constraints
- Lack of political will
- Lack of understanding & awareness (of environmental issues)
- Lack of data/information
- Lack of skills

Common issues
- Lack of human resources
- Lack of funding
- Lack of awareness of available tools

Less frequently mentioned problems
- Lack of methodologies/tools that work
- Corruption
- Dissatisfaction with tools

Others factors
- Lack of absorption capacity for available financial resources
- Personal short-term interests
- Over-complicated environmental legislation
- Over-regulated environmental protection
- Too much new legislation
- Lack of absorption capacity for financial resources
- Lack of development vision
- Fragmentation of environmental responsibilities
- Impediments to civil society engagement

a. <u>The prevailing development paradigm</u>

Even in countries where efforts to include environment in the national development planning document have been successful, associated environmental provisions such as EIA tend to be ignored by politicians, authorities and investors – not to mention donors. This is often because 'higher level' policies and associated incentives keep environment as an 'externality':

- Dominant development models are based on economic growth (and are considered inviolable) – and measured by inadequate indices such as GDP – rather than people's rights and welfare, or environmental processes and limits;
- Environmental benefits and costs are externalised;
- Poor people are marginalised, and inequities entrenched;
- Governance regimes are not designed to internalise environmental factors, to iron out social inequities, or to develop better economic models;
- Therefore unsustainable behaviour has not been substantially challenged.

There are three paradoxes here. First, the economic paradigm that has caused poverty and environmental problems to persist is the very thing that we are relying on to solve those problems. Second, this unsatisfactory state of affairs co-exists with a policy climate that espouses sustainable development. Third, change is being

neglected just when it is most urgently needed: sustainable development remains at best a 'virtual' world, a planners' dream. The growth-first paradigm remains firmly entrenched (Bass, 2007).

> *"India's development process is on its way to incapacitate the environment. The country's economic prosperity in terms of its GDP at the cost of environment is only making us tread on the path of unsustainability. Rapid economic growth and the resulting changes in consumption patterns are drastically changing the nature and scale of impact on the country's environment and natural resources, thus testing the carrying capacity of the natural ecosystems, upon which much of the country's economic growth depends".*
>
> Development Alternatives, 2008

> *"Money drives decisions – capitalism and the environment are not compatible. Environment is viewed as an additional add-on and not as the foundation of our existence"*
>
> Sheila Berry, South Africa

For real progress, we need an imperative for change. Nick King of South Africa puts the case well (Box 2.3).

Box 2.3: The need for change

"It cannot be assumed here are a bunch of people out there who recognise the need for change and that what is missing are the tools for the change. Well, that may be true amongst the converted, but the converted tend not to include the relevant decision-makers. We need to go back a step in this process, i.e. that the fundamental issue here is that current development/economic/political/social structures of 'western capitalism' (as the current dominant paradigm), built up over 100s of years (and thus all the tools etc are designed to assist this system, not change/oppose it, because that has been what has been valued and rewarded) simply don't allow for long-termism, strategic planning (in terms of new/sustainability model), sustainability etc.

Until and if the majority of measures (e.g. GDP) are changed to reflect this, and reward systems (e.g. World Bank loans not based on 'good economic growth, but improved social and environmental performance!) decision-makers will not change. Once the measures are changed, it will be a simple matter to develop the needed tools – but developing the tools without the measures changed will not change anything.

And despite what we know about our current path, the measures are actually not just changing, but increasingly resisting the changes (witness the increasingly obscene payouts for top performing CEOs on only financial returns, not on social and environmental measures – i.e. the biggest drivers of unsustainability are the highest rewarded! It is much the same as with governments).

When change becomes apparent, those with the power who need to effect the changes, resist the changes because they have the most entrenched interests in the current system, precisely because their power comes from the current system! Dictators do not (voluntarily) give power to the people; otherwise they lose that power and all the privileges which go with it.

Source: Nick King, (quoted in DBSA, 2008).

Environment-focused exercises that clarify the economic drawbacks of current growth models can help to provide clear cases for change. One such has been the Stern Report assessing the economics of climate change (Stern 2007). A newer addition has been the Economics of Ecosystems and Biodiversity (TEEB) which has already indicated the cost of biodiversity losses to be equivalent to 6% of global GDP – a similar level to recent losses causes by financial systems collapsing, albeit far less reversible (TEEB, 2008).

b. Lack of political will for change – by politicians, and by the public

The most frequently mentioned constraint to environmental mainstreaming is the lack of political will to look at longer-term needs and ensure environmental responsibility in decision-making. This derives partly from many politicians' lack of concern for the environment, reflecting the fact that environment is not a priority for many electorates, e.g. in Kenya (Sandford & Vijge, 2008); and partly the fact that some political leaders give precedence to personal preferences over national ones (CANARI 2008), most tending to focus on the short-term (what can be delivered by the next election). Politicians and senior decision-takers tend to be concerned mainly with achieving economic growth (a. above):

> *"Political leaders, in general, still have a 'zero sum' approach to the environment: protecting it is expensive and might be to the detriment of development…To date, Chilean political leaders, irrespective of their orientation, have generally shown very little concern for sustainable development or environmental mainstreaming. What undoubtedly dominates the political agenda is economic growth"*
>
> (RIDES, 2008)

Thus the environment is often perceived as a negative factor - a 'green brake' on development. In Uganda, a NEMA District Support Officer commented that "*the success of [mainstreaming] tools depends on commitment and attitude since most people view environment as 'anti-development*' ". (quoted in Birungi, 2008)

This reality can be masked by 'green speeches' made by politicians that promise action (that is rarely delivered). For example:

> *"The UK has to 'go green' in the face of rises in oil prices and the cost of living, protecting the environment is a 'necessity' and not a 'luxury' that can only be afforded in the good times"*
>
> Speech to environmentalists by UK Conservative Party leader, David Cameron, 16 June 2008.

Once out of office, politicians amazingly are able to see the problem. In a recent article in a UK newspaper, former Prime Minister Tony Blair wrote

> *"In the long-term, everyone accepts that the needs of the economy and the environment are in partnership. In the short-term, there is tension. And we live in the short term"*
>
> "A climate solution is in reach", Article by Tony Blair in the Sunday Times, 23, 29 June 2008

Politically, the long term is just one persistent chain of shorter terms. It is no surprise, therefore, that difficult trade-offs between environmental needs and economic expansion are consistently avoided.

In many developing countries, there has been opposition to the concept of environmental mainstreaming. Sometimes this is regarded as a Northern-driven aid conditionality. This is reflected clearly by the negative attitude for more than a decade towards the Global Environment Facility (GEF) which has been viewed as a donor-dominated initiative that does little to address their development needs. Although developing countries are least able to endure the consequences of global environmental deterioration, environmental mainstreaming is often perceived as both an imposition and a threat to their development (Horta, 1998).

Elsewhere (e.g. Caribbean, Kenya, Philippines) the concept of environmental mainstreaming is not widely used or understood, even though it may be inherent in local culture:

> [Environmental mainstreaming] *"is not concrete and it is difficult to measure results…People need to understand that these approaches are being used for their own benefit*"
>
> (Sampson Waso, Economist at the Ministry of Planning and National Development, Kenya. quoted in Sandford & Vijge, 2008)

> *"One reason is that it is being introduced as a new concept from abroad and not well translated locally. However, it can be seen happening naturally all over the country. It is easily understood once stories of local practices and experiences are told".*
>
> (Earth Council/ICLEI, 2008).

In contrast, in some countries (e.g. Czech Republic), there is a strong demand to strengthen environmental mainstreaming in planning and decision-making and, in others (e.g. Croatia), the 'traditional' understanding is that "*taking care of the environment is a task for the environmental authorities, which is then reflected in the practice of most institutions*" (Integra, 2008). In these countries, there is a strong tradition in land use and spatial planning. But producing a good plan alone is no guarantee of success:

> *"Even the 'best plan ever', perfectly integrating relevant environmental issues doesn't automatically mean that real changes will follow in the territory or sector, if not supported by the political representatives and leaders."*
>
> (Integra, 2008)

c. Environment as an institutional and economic externality

Environment tends to be treated as an externality in institutions – it is unowned, unscrutinised, and often unprotected. It is similarly external to prevailing economic systems – environmental assets are largely unvalued, unpriced, and unmarketed. Even within public discourse, environment may be seen as a separate issue – environmental stakeholders often come across with a confused mix of 'values' and science, with specialised language, and often a 'can't-do' approach which is not compelling to those interested in development. All of this presents both a clear rationale for mainstreaming and some heavy barriers to it.

The problem of lack of political will can be linked to another pervasive problem – the widespread ***lack of understanding and awareness of the importance of the environment*** amongst many actors: its key role in underpinning development (see section 1.1).

"Both the general public and policy-makers do not understand or are not aware of environmental issues in the country" [Kenya].

(Sandford & Vijge, 2008)

Some of those interviewed (e.g. in South Africa) believed that if people understood the nature of the environmental problem, their values would change and other constraints would fall away, whilst others felt that people did understand the issues, but were motivated by other interests and agendas (DBSA 2008). This signals a continuing need to invest in environmental education and awareness-raising.

A related issue is that many leaders and decision-takers hold the view that the environment cannot take priority over other concerns perceived to be 'more pressing' such as job creation or poverty alleviation (as evidence from South Africa shows – see Box 2.4) – even though achieving such goals is often closely linked to sound environmental management.

Box 2.4: Divergent views on environmental mainstreaming in South Africa

The South African country survey highlighted major divergences amongst South Africans on world views and values concerning environmental mainstreaming, e.g.

- A prevailing view amongst many people interviewed was that short-term economic growth/job creation must have overarching priority over environmental management, if past inequalities are to be addressed and if poverty is to be eradicated. Once every one becomes rich it will be socially acceptable to consider the environment. It was otherwise felt to be abhorrent that people valued ecosystems and their services whilst others suffered in poverty. The link between these was not perceived.

  "Poverty and unemployment: there is high demand to deliver services to the people despite the pressure on the environment. Environment mainstreaming is considered secondary to delivery of services. Environment receives attention only when there is guarantee that it will bring about eco-tourism development. Politicians argue that they can not afford to look after butterflies and frogs while people are starving. In cases such as mining versus tourism, for example, mining is considered because it will bring quick physical delivery. The extent of poverty in rural areas makes it impossible to consider the environment –the focus tends to be on job creation or development as opposed to environmental protection or mainstreaming. Lack of understanding of environmental systems is another problem; people tend to focus on the social context rather than the environmental context"

  Gabs Gabula, South Africa

- A small minority group felt social, environmental and economic aspects of development could not be separated nor one aspect prioritised over another. Social justice and building a healthy society was strongly dependent on holistic, systems thinking and applying sustainable development principles in practice.

- An even smaller group felt that sustainable development and many of its associated goals were no longer an option. The need is to ensure, as far as possible, that future generations are not deprived of essential ecosystems services as a result of current unsustainable developments.

- Many people interviewed felt strongly that for any tool to be successfully applied, it must be able to demonstrate a strong link with national priorities such as job creation, poverty alleviation and HIV/AIDS.

Source: DBSA (2008)

Many environmental practitioners in business, community and government interviewed in South Africa held the view that poverty reduction and environmental management are incompatible goals. A similar view was expressed in Kenya:

> *"With poverty, the need to put food on the table often overrides environmental traditions and consciousness. Concern for the environment tends to decrease with poverty"*
>
> (John Nyangena, Senior Economist, Ministry of Planning & National Development, Kenya, quoted in Sandford & Vijge, 2008)

In Viet Nam, politicians have expressed environmental sustainability as a goal to be addressed when middle-income country status is achieved – dirty development for big gains today, and then clean up later when the country can 'afford' it. This approach ignores health and livelihood problems during that period of 'dirty development' and the irreversible environmental losses which cannot be recovered later, such as in biodiversity.

But an alternative view was that it was impossible to separate the environmental, social and economic aspects of development, and to do so is dangerous as it involves prioritising one over the others.

A few people are of the opinion that ***the environment doesn't actually matter*** in either the short or long term. They see expressions of concern about the environment as unimportant or overstated and tend to ignore or dismiss reports highlighting negative trends (even when backed by solid evidence, and commanding widespread consensus). In these circumstances, it is difficult to see how environmental assessments such as EIA or SEA, even when mandatory, are likely to influence opinions and judgements. Clearly much remains to be done to persuade such people of the need to reassess their positions and to change their mindsets. This is particularly the case in countries where the leadership tends to be elderly, and educated at a time when environmental issues were not on the curriculum:

> "*Many of the environmental mainstreaming tools…first require a change in values and mindsets at a leadership level before they will be used to their full potential"*
>
> (DBSA, 2008)

> *"For effective environmental mainstreaming, a conceptual shift is required to ensure that this goal should be a primary objective of the development process rather than a mere compliance with environmental standards*.
>
> (Development Alternatives, 2008)

When this is exacerbated by markets excluding environmental costs, there is very little in terms of everyday investment, production and consumption decisions to encourage a consideration of the environment – it is shunted towards being a 'niche', voluntary issue.

d. Weak environmental mainstreaming guidance and precedents to date [10]

There has been a considerable amount of guidance material and some initiatives to 'roll out' mainstreaming. However, much of the guidance on environmental mainstreaming to date is *'supply-push'* rather than *'demand-pull'* (or at least 'real-

10 Much of this section is from Bass, 2008

world-tested'). It tends to be cooked up around the 'policy' table – the result of intellectual or professional debate, the need to develop common principles or lists of desiderata, and corporate posturing on environment. If it is the product of experience, it is usually based on identified failures and promotes ambitious actions to the contrary, rather than (perhaps modest) actions which are based on actual success. Inherent complexity and over-ambitious scope in guidance material is undesirable, as it results in the outsider – often the donor, or other sponsor of the guidance – being too much 'in charge'. Consequently, it does not effectively 'sell' mainstreaming to those in charge of planning and budgets. This is exacerbated by 'environmental mainstreaming' being perceived by some people as a vague term for different and changing (or sometimes unspecified) intentions, as discussed at section 1.2.

An added problem is that, all too often, much more effort is placed on developing guidance and toolkits than on 'rolling them out', e.g. providing training and ongoing support over a period of several years at least, so that people are truly able to use the (simple) tools effectively.

Mainstreaming is ***traditionally top-down, not bottom-up***. But it is often top-down from a weak power base – a response from some groups who are marginalized from the centre of power but paradoxically are often still proximate to it (such as environment officials in aid agencies or treasuries). It is pushed by those cut out of mainstream policy, with no funds, but still environmentally 'pure' credentials. Too often it is manifest in an approach which asserts *'think like me'* or pushes large guidance documents. There is a need to shift to an approach which asks *'what do you think about this issue?',* or *'what can I do for you –to help you better achieve your goals and tasks?'*, or which offers simple principles that people can respond to in their own circumstances.

Being vague and top-down makes 'mainstreaming' both *hugely ambiguous and a real turn-off* to those who are the 'targets' of mainstreaming*.* There are also ambiguities in perception – concerning:

- *objectivity*, e.g. is the environment a technical affair or a political/values affair?
- the *confusing universe of 'environment'*, e.g. are environmental assets *or* hazards *or* limits being promoted?
- *scope*, e.g. is it aiming to change things at the margins (i.e. enter the mainstream) *or* change things fundamentally (change the mainstream), the key example being working with or against the current growth paradigm.

Mainstreaming is not often properly reported. On the one hand, it can be over-reported – where all 'environmental' activities are counted as mainstreaming, or assumed to contribute to mainstreaming, even if there is no clear link to the two key mainstreaming targets of policy decisions or institutional change. On the other hand, it can be under-reported, where only one activity or initiative is assumed to be contributing.[11]

Lack of awareness of environmental mainstreaming approaches. Some country surveys (e.g. South Africa) highlighted a lack of awareness of environmental mainstreaming approaches/tools. Interviewees were aware of only a few environmental mainstreaming approaches, most notably EIA. Perhaps this is unsurprising since EIA is the only environmental tool for which specific legislation exists and institutions responsible for its application are in place (in almost all countries). In Ghana, it is reported that there are no well-defined approaches to

11 Hence the value of IIED work on PEI in Tanzania, helping to create a baseline of the many ways in which mainstreaming or its precursors have been occurring; and similar work in Zambia and Vietnam

mainstreaming and, therefore, it is difficult to decide which approach or tool to apply in a given situation (EPA, 2008). In Chile, there are some isolated mainstreaming activities, and mainstreaming tools are "*confined basically to the requirements of the obligatory EIA system*" (RIDES, 2008). Paradoxically, whilst EIA emerged from the surveys as the most cited and recommended approach for mainstreaming, it was also the most criticised – perceived as an undesirable tool because it is seen to slow down development.

A problem arises where knowledge of approaches to environmental mainstreaming is limited to a small group of advocates. Interviews in Kenya with professionals in the Ministry of Finance, the private sector, and some research organisations revealed that outside of those working for environmental organisations, people do not have a deep awareness of the tools that the country survey focused on (PEI, 2008a). This suggests that more needs to be done to raise awareness about mainstreaming approaches and tools.

e. Lack of data and information on environment-development links

Many developing countries lack environmental data and information, or the information that is available may be unreliable.

> *"In Chile, we make decisions based on perceptions: we do not have reliable and updated information"* (RIDES, 2008*)*

Often basic data is not gathered, or the institutions and facilities with responsibility for data collection are unable to maintain their functions consistently on a long-term basis and at an appropriate geographic or demographic scale. This may be due to under-funding, and/or the lack of staff or skills. Even where environmental data is available, it is frequently presented in a form that cannot be used easily by decision-makers (e.g. it is expressed in overly technical jargon) and provided without interpretation in terms of development options and their consequences. As a result, decisions have been taken, and continue to be taken, in ignorance.

In other situations "*the available data is not accessible – either as a matter of protocol (e.g. data collected under a paid consultancy) or, more frequently, as a result of lack of willingness to share and 'turfism'"* (CANARI 2008). Furthermore, having access to good data does not address the fundamental shortcomings of many policy and planning processes and does not guarantee good outcomes. In Trinidad, for example, "*there are several examples of the government making disastrous decisions even after having access to information and data"* (CANARI, 2008).

The Kenya country survey report notes that:

> *"Overall, respondents felt that sufficient data is collected in Kenya, but data and information is disorganised, not aggregated, and cannot be easily accessed by policy-makers or other practitioners. Tools are needed to reform the data collection and distribution process."*
>
> (Sandford & Vijge, 2008)

f. Lack of environmental awareness, skills and institutional capacity

A basic problem in many countries is the broad lack of environmental awareness at all levels, which impedes addressing environment in decision-making (whether by governments or more local authorities) and in the actions of non-government actors (small and large companies, natural resource users, citizens, etc). This problem arguably stems from the fact that in many such countries, 'environment' is not addressed in the education system. So decision-makers, when they rise to such positions, have no perception of the issues and others are unaware of the potential consequences of their actions on the environment. Where investment in environmental education has been made (e.g. India, Box 2.5), those countries fare much better.

Box 2.5: Environmental education in India

Environmental Science has been important to Indians since ancient times. Through the 1990s, the Indian government and some NGOs initiated programmes to understand, monitor and raise awareness about environmental science following increasing concern about human-induced environmental degradation. Examples include the National Green Corps of the Ministry of Environment and Forests and the Eco Club programmes of the State Governments. National NGOs such as the Centre for Environmental Education, Development Alternatives (www.cleanindia.in) and World Wide Fund for Nature provided added learning experiences to deepen understanding and show where action was needed for environmental improvement.

In 2003, in an effort to mainstream environmental education and promote responsible environmental behaviour, the Supreme Court of India issued a Directive to the National Council for Educational Research and Training (NCERT) to prepare a model syllabus for environment education to be introduced in all the grades uniformly throughout the country. The NCERT is an apex body established to assist and advise the Central and State Governments and provide academic and technical support for improvement of school education.

The syllabus aims to educate future citizens about sustainable living. It incorporates the country's rich cultural traditions and indigenous practices along with the modern scientific and technological developments. It also attempts to fill current educational gaps by re-organising delivery and supplementing theory with appropriate practical experiences so as to raise practical awareness of problems and issues. It aims to deliver effective individual and community action for improvement.

In 2004, The Ministry of Environment and Forests, Government of India initiated the "Strengthening Environment Education in School System" programme with State departments of Education across India. The process involved the 'greening' of text books, development of education material, training of master trainers, teacher training and implementation in schools. With the concept of in-service training for teachers changing rapidly, it is also offered in an 'open and distance learning' (ODL) mode. Environment science is offered in undergraduate, postgraduate and doctoral and post-doctoral studies in colleges and universities across the country.

Environment education is not just a teaching-learning transaction. It has permeated the educational systems and is reflected in both the physical environment of schools and in the attitudes and actions of people and has thus become thus a way of life for all.

CLEAN –India: an initiative for change

In 1998, The Indian NGO Development Alternatives established CLEAN-India (Community Led Environment Action Network - of schools and NGOs linked with Government, business, academic and other institutions, see www.cleanindia.in). This initiative involves over a million school students empowered to be environment ambassadors/agents of change to influence communities and local governments behave responsibly and undertake environmental assessment and improvement in all major towns and cities of India. Some positive outcomes include:

1. **School students grow their mid day meal on waste:** Under the Government's Mid Day Meal Scheme, students used to get few vegetables as a part of their lunch. 30 students from a government school in Trivandrum were given some old sacks and seedlings and given 'city farming' training. After two years, they are now growing a variety in 2000 sacks covering all the school terraces. There are enough vegetables for a nutritious meal every day and the extra is sold to the teachers. Through this initiative, they are conserving water, managing the waste at source, and so reducing costs, pollution, load on land fills and carbon emissions. The local government has now expanded the city farming approach to over 50 schools and many communities in Dindigul, Aurangabad and Trivandrum.

   Self help groups of women in many CLEAN-India towns/cities have taken up vermi-composting to manage household kitchen and vegetable market waste and to earn a living by selling the compost to farmers and organic food growers.

2. **Students make their own paper:** Students from over 100 schools and under privileged and physically challenged children make their own paper using the mini paper recycling plants. The national Government has been inspired to recycle all waste paper generated in its Delhi offices using a plant at the Delhi secretariat to make government file covers, letter heads and other stationery.

3. **Increasing the green cover:** in partnership with the Forest Department, School students and communities have planted and now nurture over a million native trees. Under "Free the Trees" Programme, they have been campaigning for care of mature trees ('freeing' trees from unnecessary tilling, cutting by tree guards, etc.). As a result, t he Government has established a "tree help line" in place for citizens to phone in and register concerns/complaints.

4. **Access to safe drinking water:** Students monitor the quality of drinking water in their towns and cities using a water monitoring kit (Jal TARA) developed by Development Alternatives, spread awareness about the kit and initiate simple water purification and conservation measures (rain water harvesting, tap water harvesting, etc.). As a result, water purification systems (based on slow sand filtration technique) have been installed in many public places like the Varanasi temple which is visited by thousands of pilgrims and in schools and housing complexes.

Some approaches to mainstreaming, particularly procedurally or technically complex ones[12] demand good skills and experience in holistic thinking and analysis, and institutional capacity to manage the processes and harness the outputs. But all too often, developing countries lack the necessary skills and institutional capacity**,** or at least in sufficient numbers and depth to satisfy the breadth of need. The Kenya survey revealed a pervasive sentiment that:

12 For example, strategic environmental assessment (SEA) and sustainability assessments; environmental management and spatial development frameworks; bioregional, integrated development, and land use plans; and growth and development or sustainable development strategies.

> *"Tools are available but they are often too complex or require more capacity or skills than exist. Tools that require too much technical know-how or skills from outside will not be useful in Kenya "*
>
> (Sandford & Vijge, 2008)

In the Caribbean skills are scare in four key areas (CANARI, 2008):

- conducting high quality impact assessments;
- collection, storage and analysis of spatial data;
- conflict management;
- facilitation of participatory and consultative processes.

> *"While most Caribbean islands have an inherent human resource capacity problem as a result of their small populations, it was felt to be particularly acute in relation to environmental mainstreaming where there is insufficient capacity to effectively meet even the statutory requirements, let alone the more proactive actions needed. Consultants often work in islands other than the one they are resident in, and foreign companies or individuals are also hired with inadequate understanding of the culture and context."*
>
> (CANARI, 2008)

Inadequate ***institutional capacity*** can be a matter of insufficient personnel (a human resource problem) with training, knowledge or experience of:

- environmental issues in general;
- specific environmental issues or problems/challenges in particular;
- particular mainstreaming methods, tools or tactics (what exists, how to apply, etc.)

Commonly, available skilled and experienced personnel are concentrated at national level within government, agency or organisational headquarters – usually in capitals. There is often a ***vacuum at local levels*** (regions, provinces, districts, municipalities). As the Environmental Manager for Durban/eThekwini municipality in South Africa noted, "*Municipalities do not have resources and skills – the few skilled and dedicated carry huge workloads*".

Even where such human resources with the necessary skills and experience are in place, sometimes national economic situations and/or budget allocations are such that ministries/agencies do not have the financial resources to carry out their responsibilities/tasks effectively (e.g. vehicles cannot be repaired, fuel cannot be purchased for fieldwork, equipment lies in need of repair, data is not collected, etc.).

In some countries the necessary institutions (e.g. governmental or administrative departments – at national to local levels, or agencies/organisations with environmental management, research and oversight responsibilities) are not in place, or are ***insufficiently resourced*** and funded to function effectively, or are poorly managed. There is also a problem that environmental ministries/departments are usually not particularly powerful or influential in relation to other line ministries – and therefore find it difficult to promote the environmental agenda.

> *"It is widely acknowledged that the environmental authorities* [in Latin America] *generally lack political weight. Various studies show that there are gaps in the institutional capacity for enforcement of environmental policies and insufficient mobilisation of resources (both technical and human). The mere existence of environmental regulators is not enough; better communication, dialogue and coordination of activities between those responsible for implementing the relevant public policies is required."*
>
> (RIDES, 2008)

Insufficient resourcing exacerbates the inability to cope with '***hyper production' of new environmental legislation*** in countries seeking EU membership (e.g. Croatia) and the obligations this brings for regional and local environmental authorities:

> *"New obligations usually come in the form of general directions without concrete guidance/measures from the national level authorities about operational implementation in the field, and without anticipated possibilities for financing of implementation costs. So local and regional authorities are left on their own to find implementation solutions and secure adequate funding. This results in the lack of sufficient staff and/or adequate technical knowledge to perform all administrative tasks in a satisfactory manner and to develop Terms of Reference for provision of goods and services for projects in their competence (primarily infrastructure".*
>
> (Integra, 2008)

Capacity development for improved environmental management has been a central theme for development cooperation agencies for many years, but much remains to done. For environmental mainstreaming, the focus might usefully be on the key mainstreaming approaches covered in this synthesis and in relation to the main points of leverage in the policy-making, planning and decision-making cycle (Figure 1.1). But to be effective, specific capacity development efforts need to be informed by needs assessments. Such assessments need to look at the ability of governments and particular ministries/agencies to absorb financial resources targeted at environmental programmes. A frequent problem is the danger of overloading the few existing, capable and trained 'environmental' staff with responsibilities to assume new roles and tasks.

g. Broader governance constraints

In most (if not all) countries, there is a pervasive 'territorial' or ***power battle*** between government ministries, and often between national and decentralised levels [13], which inhibits the cooperation necessary to integrate consideration of environmental issues in their affairs. All too often, government institutions function without transparency and adequate accountability – and this contributes to the perception that environmental concerns are ignored and increases opportunities for corruption (CANARI, 2008). Mechanisms and timeframes for the public and advocacy groups to engage with politicians and government departments on environmental issues are frequently lacking or inadequate. In many countries, environmental legislation is drafted *in camera* without proper consultation with relevant stakeholder groups and with lower-level government (regional and local authorities), e.g. Croatia (Integra, 2008). This undermines the successful application of new laws (e.g. because of inadequate capacity to implement at local government levels).

There can also be an imbalance between the ability of the public and NGOs to engage in debate and lobby government and to have influence vis-à-vis industry and business interests (which are able to dedicate financial resources and skills for this purpose). In some circumstances, the public administration does not perceive the business sector as an important dialogue partner; rather as a source of environmental problems (e.g. pollution) – and this undermines their motivation to invest in environmental improvements, e.g. Croatia (Integra, 2008).

13 For example, in Tanzania, former local staff of natural resource-related ministries are now responsible to the Ministry of Local Government, creating obvious potential for tensions.

In most countries, ***line ministries see the environment as the responsibility of the Environment Ministry/Department***, and thus don't see it as their responsibility to think about it. At the same time, environment ministries/departments generally occupy a low position in the ministries pecking order, and thus tend to have only weak or no influence on others - so that they generally unable to coordinate or push other ministries to address environmental issues. But even when an Environmental Ministry is given a clear coordinating role across government for the environment, this is not always seen as beneficial. For example in Chile the existing National Environment Agency (CONAMA) is due to be transformed into a national ministry by the end of 2008. This may seem a good step, but not everyone agrees that this will necessarily provide a wider space for environmental mainstreaming initiatives. On the contrary,

> *"Some see this as a source of further difficulties for this task, basically because it will concentrate most environmental faculties and decisions in one institution, furthering the current distance between sectoral ministries and environmental responsibilities, and therefore making their integration of environmental considerations more difficult."*
> (RIDES, 2008).

The lack of a coordinated and synergistic system for policy-making and planning is a major constraint in many countries – so that environmental (and other cross-cutting) concerns cannot readily be taken into account. Procedures and institutional structures are weak or lacking, ineffective and inefficient, and coherence between different institutions/agencies absent (sometimes due to lack of foresight or attention, sometimes the deliberate result of pursuing differing interests and agendas. As a consequence, environmental integration is problematic.

> *"Mainstreaming requires revisions to planning processes within institutions to ensure that environmental sustainability is integrated early and systematically into standard decision-making procedures."*
> (DBSA, 2008)

> *"Some participants* [in Kenya] *mentioned that each sector, each ministry, has its own agenda, sometimes with overlapping mandates, and there is no incentive in the system to integrate cross-cutting issues like the environment. As Taye Teferi, Conservation Programme Director of the WWF said, 'What is required in terms of mainstreaming the environment on national level is good planning that integrates the environment, not as an ad-on, but really integrates. Environment is in everything: in health, education, infrastructure, development, agriculture, fisheries. If you do not fully embed the environment, you just end up dealing with environment as a small component. So integrated planning at the national level is an important tool'"...*
> (Sandford & Vijge, 2008)

> [There is] *"an absence of consistent inter-sectoral collaboration and planning at the national level and/or the absence or weakness of integrated institution"* [in the Caribbean].
> (CANARI, 2008)

A closely-relate issue is the ***fragmentation of environmental responsibilities*** across different sectors, which can result in gaps or overlaps in implementation. For example, in Croatia, the poor management of the Adriatic Sea is seen as a consequence of the lack of a strategy and vision for the sustainable development of this important area – due, in part, to weak communication between different state administration authorities responsible for diverse issues such as navigation and transport, tourism, marine water quality and coastal wastewater discharges (Integra, 2008).

But the problems of poor coordination are not confined to government (Box 2.6). For example, in Caribbean countries:

> "[There is a] *lack of effective cooperation between civil society organisations in all countries…*[which] *means that consistent advocacy and lobby efforts of environment issues are near impossible."*
>
> (CANARI, 2008)

Sometimes there can be a stand-off or hostility between some NGOs and government agencies responsible for environmental issues – which impairs institutional collaboration.

A common system-wide constraint (which is not just a problem for environmental management) is ***corruption***, although its extent and form differs from country to country.

The Caribbean survey report notes a view from the private sector that:

> "*Corruption in decision-making is commonplace; decisions are not based on what is appropriate or best, but often on what serves or provides economic gain for a small group. A fundamental lack of respect for each other influences decision-making: class interests override national interest."*
>
> (quoted in CANARI, 2008)

Box 2.6: Some factors limiting the effectiveness of advocacy in the Caribbean

- Lack of funding and human resources makes it difficult for NGOs to continually investigate and research environmental issues so that they are in a position to take early action;
- The failure of civil society organisations to effectively pool their resources on a consistent basis, and other aspects of divisiveness within civil society. In Trinidad, this was described by one person "*a schism between the newer, mainly community-based organisations and an older 'elite'*".
- Civil society is not effectively using the media to highlight important environmental issues (sometimes also perceived as *"media disinterest"* in the environment.

Source: CANARI (2008)

A number of country reports mentioned poor administration and ***lack of enforcement*** of environmental regulations and obligatory formal procedures and implementation of recommendations and outcomes of impact assessments as constraints. Where such enforcement is weak or lacking, this can lead to societal scepticism about the genuine commitment of governments to take environmental issues seriously and to ensure effective links between planning, decision-making and sustainability.

In the Czech Republic, it is reported that ***over-complicated environmental legislation and over-regulated environmental protection*** is one of the key obstacles for businesses and industries to achieve better environmental performance, especially in relation to complicated procedures (e.g. EIA, SEA, IPPC,

various types of permits for environmental issues – waste, etc.). Public administrations face a similar problem, e.g. too many EIA screening procedures (or even pre-screening - to inform a proponent whether a specific project falls under the regime of the EIA Act) for projects with insignificant environmental impacts presents unnecessary workload which, in turn, prevents focusing human and expert resources to address environmentally significant projects (Integra, 2008).

Equally, governments and organisations are 'bombarded' by calls from many quarters to change their practices, including pressure to 'mainstream' a range of other pressing issues, e.g. gender, climate change[14], poverty, biodiversity.[15]

2.2 The institutional context for environmental mainstreaming – entry points from global to local levels

In reality, there are several 'mainstreams' – reflecting the ways that societies and economies work in different localities, sectors, nations and ultimately the planet as a whole. Furthermore, these mainstreams are linked e.g. by international trade and development decisions and institutions. Environmental mainstreaming is necessary throughout all the processes of development – particularly those concerned with policy-making, strategy development and planning – and at all levels from national to sub-national to local, and across sectors.

Thus, firstly, entry points into the process 'cycle' are needed. Experience shows that, to be most effective, policy and planning processes should be cyclical and iterative to facilitate learning and enable lessons from experience to be addressed, and for appropriate changes or correction in direction to be made, where necessary. Figure 2.1 illustrates such a continuous improvement approach for developing and implementing a sustainable development strategy. There are many opportunities and leverage points through all the steps of such processes when information and analysis about environmental issues should be taken into account.[16] Here, the challenge is to enable mainstreaming through the mechanisms which drive the cycle (i.e. those shown in the centre of Figure 4.1 – communications, participation, coordination, information and learning) and ensuring that effective monitoring and evaluation systems are in place.

But, as indicated above, the national planning cycle does not provide the only means for environmental mainstreaming. Secondly, links between the 'levels' and sectors' are needed. In reality, development aspirations, values, ideas, policies, plans and behaviour are also shaped at other levels, across all sectors, and by a wide range of institutions. The innovative period between the 1987 Brundtland Commission on sustainable development and the 1992 Earth Summit tended to emphasise *international environment or SD processes as drivers* of mainstreaming. Since then, a norm seems to have developed where environmental mainstreaming concentrates on the *national development plan or equivalent as entry points for mainstreaming:*

14 See, for example, Kok and Metz, 2008

15 See, for example a GEF working paper on mainstreaming biodiversity in production landscapes (Petersen and Huntley, 2005)

16 All too often, however, these opportunities are not realised by governments, particularly in developing countries, for various reasons, e.g. inadequate financial resources. It is far more common that opportunities for environmental mainstreaming are 'pushed' and funded by international organisations and development cooperation agencies, e.g. in Ghana (EPA, 2008).

> *"Environmental mainstreaming should not just be the concern of environmental ministries or departments; it relates to all sectors, private as well as public, and everybody has a role to play."* (Danish Fellowship Centre)[17]

For example, the UNDP-UNEP Poverty Environment Initiative has made a particular emphasis on working with ministries of finance and planning to ensure national development plans and budgets handle poverty-environment issues. And several donors have been working to 'green' PRSs.

As such work progresses, however, the limits of 'getting environment words into plans' becomes clearer, and entry points are sought 'downstream' in localities and sectors. As UNDP notes, with particular reference to mainstreaming drylands issues:

> *"…Mainstreaming drylands should occur at the local (community), sub-national, national, regional and global levels. Mainstreaming at only one level or one planning framework does not create the minimum scale required to significantly impact the livelihoods of many people. However, many factors dictate at which level the impact of mainstreaming can best be realised. For example, issues of trans-boundary nature – i.e. regional conflict over natural resources and use of shared resources such as river basins and lakes – can best be handled by regional institutions using appropriate protocols. Nation-specific problems such as regulating irrigation practices in drylands or defining access to land can be handled at national level. Strengthening the implementation of the UNCCD can be greatly enhanced at the global level by advocating for increased financial assistance from developed countries to address dylands issues in developing countries*"
>
> (UNDP, 2008)

Many lessons relevant to local-level environmental mainstreaming can be drawn from work undertaken and supported by governments, donors, international organisations and NGOs at community and watershed levels (e.g. community-based natural resource management initiatives and local-level resource planning, GEF small grants projects (see http://sgp.undp.org/) and initiatives of Equator Prize recipients – see Box 2.7) and attempts to scale-up and link bottom-up and top-down.

Box 2.7: The Equator Initiative

The Equator Initiative (EI), started in 2002, is a partnership that brings together the United Nations, governments, civil society, businesses, and grassroots organizations to build the capacity and raise the profile of local efforts to reduce poverty through the conservation and sustainable use of biodiversity (see http://www.equatorinitiative.org/). The EI's Community Knowledge Service (CKS) builds on the capacity of local and indigenous communities to address the challenges of biodiversity conservation, rural health, and poverty alleviation. Its goal is to enable representatives of local community initiatives to share their knowledge with other groups, and with the broad range of multilateral, national, and non-governmental stakeholders that can benefit from community expertise in natural resources management. In turn, the CKS aims to facilitate community access to resources generated by policy-makers and practitioners working in biodiversity conservation and rural livelihoods. The CKS fills an acute need for investment in long-term relationship-building and knowledge-sharing processes, building on the momentum and successful connections made at community dialogue spaces.

17http://www.dfcentre.com/?Programmes_%26amp%3B_Projects:Interdisciplinary_Courses:Environmental_Mainstreaming

While much of the learning from this wide range of international, national, local and sector experience has not yet been brought together – this issues paper is one of the first attempts – it is already clear that many institutions offer their own 'tracks' for mainstreaming – political, business, civil society, media as well as in the bureaucracy.

The nature of the mainstreaming process may differ (and needs to differ) according to the level concerned. For instance, at *national* levels, it is usual to take a big-picture, country-wide perspective, and often to include international and cross-border issues of global public goods. Stakeholder participation would generally be through ministries, national organisations and NGOs, and representative bodies. At increasingly *decentralised* levels, the focus is usually on more local concerns and the opportunities and possibilities for public engagement will change – particularly it will become increasingly easier to engage directly with resource users, communities and individuals on issues that directly concern them. For a review of approaches to participation in sustainable development strategies - that can also help in environmental mainstreaming - see Dalal-Clayton and Bass (2002, Chapter 6).

At the *sector* level, it is critical that environmental concerns are addressed in policy development, planning and decision-making. Line ministries are often accused of failing adequately in this regard and it is certainly a key challenge. But equally, there have been a wide range of efforts specifically to integrate and mainstream environment in different sectoral activities. For example, in South Africa, a (draft) strategic framework for mainstreaming environmental management has been developed recently for the Department of Water Affairs and Forestry (CSIR 2008). This aims to direct the choice, and co-ordinate the implementation, of practical water services projects for achieving the intentions, goals and targets established in existing water sector policy, legislation and strategies. The need to address the environment sectorally in development cooperation is equally important. Yaron and White (2002) discuss effective ways of incorporating environmental issues in donor programme aid and Sector-Wide Approaches (SWAps).

A key challenge is to build and maintain a system that links levels, processes and the issues that concern stakeholders at different levels and across sectors (this requires good communication and coordination, and transparency to foster trust) and to deal with differences in perspectives or priorities. It is not always possible to resolve differences and ultimately it can become an issue of power. As work in Tanzania has shown, all of these tracks can help to shape a more open, and ultimately more systemic, approach to environment in development (Assey *et al.,* 2007). Even if the national development plan is selected as the central process (as in Tanzania) that process needs to be open to, and draw upon, these other tracks.

2.3 The drivers of mainstreaming – catalysts for change

Associated with useful entry points from national to local and sectoral levels (section 2.1) are particular catalysts that can make best use of these entry points. These 'catalysts for environmental mainstreaming' may be advocates, laws, funding sources, projects or specially-constituted mainstreaming initiatives. They may be formal or informal. They may be enduring or rather ephemeral, depending upon changing issues and timing. We base this section on what our country surveys found to be the relative significance of many such drivers in recent years (Table 2.1).

Whilst there is a general presumption that key laws and 'safeguard' processes such as EIA and SEA are the central drivers of mainstreaming (borne out in our country

Table 2.1: Drivers of environmental mainstreaming

Major drivers
a. Increasing stakeholder awareness & demands
b. National legislation & regulations
c. Values of progressive organisations
d. Donor conditions and initiatives
Moderately important drivers
e. International commitments
f. Major environmental events and disasters (e.g. floods)
g. Company/business plans & objectives, regulations / requirements
h. Risk management
i. Traditional cultural reasons
Other drivers
• Visible 'real' issues
• Link between development/poverty reduction and environment
• Requirements of clients
• EU accession and approximation process
• Membership of international business groups (that embrace E M.)
• Desire to address rising poverty and inequality
• Need to protect ecosystems and stem environmental degradation

surveys – below) there is a growing awareness that specific new initiatives around environmental potentials can often be more effective. Many of the latter are international initiatives that provide an opportunity to drive environmental mainstreaming if their potential and be harnessed effectively, e.g. climate change adaptation plans, low-carbon investment, and REDD (reduced emissions from deforestation and forest degradation). Several market-based, community-led as well as governmental initiatives have emerged to identify and support environmental values in circumstances where they are threatened or already scarce. Example include projects to factor environment into poverty reduction strategies, strategic environmental assessments of proposed policies, and payment schemes for carbon, water and other environmental services. In addition, consumer-based and ethical programmes are beginning to influence public behaviour. Some of these environmental mainstreaming approaches are promoted by external bodies as 'silver bullets'. However, none can really mainstream environment effectively on its own. Many are indeed promising, but most have not been adopted system-wide and, consequently, many big decisions go ahead largely uninformed by environmental considerations.

Associated antagonists or constraints are discussed in section 2.1.

2.3.1 Current major drivers of mainstreaming in countries surveyed by IIED and partners

a. <u>Increasing stakeholder awareness & demands</u>

In many countries, pressure is brought to bear on politicians, governments and decision-makers to address environmental concerns as a result of organised and

opportunistic lobbying and advocacy, mainly by civil society organisations, NGOs and the general public, and by civil society organisations playing an oppositional role (e.g. seeking to hold authorities to account)[18]. Such interactions can pave the way for more in-depth discussions. In many countries the voice of civil society is growing. For example, in Uganda there is:

> *"…Pressure from a growing active civil society organization movement, as evidenced in the media and liberalization of both radio and television stations. There is no doubt therefore that if government empowered the general public about their rights, and invested in other potential tools like Public Information Disclosure, the practice of environmental mainstreaming would be more sustained."*
>
> (Birungi, 2008)

There is also often a demand, particularly in developed countries, from the public and other stakeholders for companies to adopt measures which will ensure better environmental performance stipulated by standards and limits set by legislation. In developing countries, the demand is much less. Some examples can be found in literature produced by the UNEP/Wuppertal Institute Collaborating Centre on Sustainable Consumption and Production (see: www.scp-centre.org). An interesting case is the support by civil society groups such as Ufadhili in Kenya (see: www.ufadhilitrust.org) for the application of extra-territorial standards such as Globalgap.[19] Even though Globalgap is seen by many small farmers groups in Africa as imposed, poorly adapted and undemocratic (as is a private standard), Ufadhili opposed weakening the standard, as it was seen (i) to have a positive spill-over into the domestic market and thereby one of the only ways to level the playing field between Northern and Southern consumers in terms of access to safe and green foods, and (ii) as a way around the compromised and self-serving process of national policy making.

Sometimes ***personal and ethical values*** play a key role in motivating people, either individually or in their formal roles, to address environmental concerns - what DBSA (2008) describe as "*the moral need to protect ecosystems and their services and use them wisely, love of life and natural/cultural heritage."*

b. National policies, legislation and regulations, and planning requirements

In an increasing number of countries, the Constitution includes provisions for the environment. That of Bhutan provides particularly strong commitments to the environment (Box 2.8). More often, the provisions tend to be minimal and differ in content, context, clarity and detail. Nevertheless, they (should) provide a (potentially) powerful driver for environmental mainstreaming. Commonly they have one or more of the following elements:

- The right to a healthy environment (some add other qualifiers, such as "free of contamination" or "ecologically balanced"; In South Africa, for example, Section 24 of the Constitution states that South Africans "have the right to an environment that is not harmful to their health or well-being";

18 In many cases, stakeholder awareness is increased, and demands arise, as a result of the adverse impacts of environmental catastrophies (e.g. loss of lives and injuries due to flooding and landslides); and loss of economic gains due to depleted/degraded natural resources.

19 GLOBALGAP is a private sector body that sets voluntary standards for the certification of agricultural products around the globe (see: www.globalgap.org)

Box 2.8: Environmental commitments in the Constitution of the Kingdom of Bhutan

Article 5 :Environment

1. Every Bhutanese is a trustee of the Kingdom's natural resources and environment for the benefit of the present and future generations and it is the fundamental duty of every citizen to contribute to the protection of the natural environment, conservation of the rich biodiversity of Bhutan and prevention of all forms of ecological degradation including noise, visual and physical pollution through the adoption and support of environment friendly practices and policies.

2. The Royal Government shall:
(a) Protect, conserve and improve the pristine environment and safeguard the biodiversity of the country;
(b) Prevent pollution and ecological degradation;
(c) Secure ecologically balanced sustainable development while promoting justifiable economic and
social development; and
(d) Ensure a safe and healthy environment.

3. The Government shall ensure that, in order to conserve the country's natural resources and to prevent degradation of the ecosystem, a minimum of sixty percent of Bhutan's total land shall be maintained under forest cover for all time.

4. Parliament may enact environmental legislation to ensure sustainable use of natural resources and maintain intergenerational equity and reaffirm the sovereign rights of the State over its own biological resources.

5. Parliament may, by law, declare any part of the country to be a National Park, Wildlife Reserve, Nature Reserve, Protected Forest, Biosphere Reserve, Critical Watershed and such other categories meriting protection.

Source: The Constitution of the Kingdom of Bhutan

- A general obligation on the state to protect the environment and/or natural resources;

- An obligation for the rational and/or sustainable utilization of natural resources.

Environmental requirements established in legislation provide a key element of the *raison d'être* for the environmental regulatory, conservation and management departments/agencies of governments (e.g. those responsible for planning, development control and monitoring; the use of safeguards such as EIA procedures; and managing key public environmental assets such as forests and protected areas). These responsibilities drive their formal roles as environmental 'guardians' or 'stewards' to ensure compliance and undertake monitoring.

Formal regimes for physical /spatial/land-used planning are usually perceived as key drivers where a conscious effort is made to pursue environmental mainstreaming, often through requirements to undertake EIAs, for example:

> "*A government agency such as the Environmental Management Authority (in Trinidad) or the National Environment and Planning Agency (in Jamaica) draws up*

> *Terms of Reference* [for an EIA] *and makes the final decision as to granting the Certificate of Environmental Clearance or equivalent. The private developer or government agency leading the project then contracts consultants (typically specialist consultancy firms) who put together a consortium of their own staff and independent consultants to collect and present data in the public consultations.*"
>
> CANARI (2008)

The development of environmentally-related policies (such as those framing the application of strategic environmental assessments for policies, plans and programmes) also support mainstreaming. But adopting other policies (e.g. to boost tourism where this is a key economic opportunity) can 'force' both governments and the tourism sector to protect the environment on which such tourism often depends.

Of course, the public and other stakeholders usually see environmental integration to be, by default, the task of such institutions rather than that of a society-wide effort or organised mainstreaming institutional framework:

> *"A separate Environmental Ministry was established* [in India] *with the objective of strengthening the regulatory capacity and supporting specific environmental protection efforts. Although it reinforces environmental protection and conservation as a major priority of the Government, it has led to a faulty perception that addressing environmental issues is the exclusive responsibility of the designated agencies and units."*
>
> (Development Alternatives, 2008)

But formal responsibility is not always matched by serious commitment of individuals or institutional effectiveness. In Kenya, for example, "*the lack of implementation and enforcement of policies and assessments is limiting the effectiveness of mainstreaming*" (Sanford and Vijge, 2008).

In almost all countries, the need to comply with legislation, regulations, standards and limits is a strong motivation for addressing environmental issues – particularly amongst businesses and industries. Where national policy has changed at the top to require an integrated approach, this can lead to significant innovation. For example, national development planning in Tanzania moved from a 'priority sectors' approach, which neither included environment as a sector nor was amenable to environmental intervention, to an 'outcomes-based planning' approach. The latter put aside presumptions about priority sectors and enabled environmental interests – both government and private – to show what they could contribute to outcomes such as economic growth, improved health, etc. Furthermore, this led to a public environmental expenditure review that examined how much each sector was investing in the environment in relation to likely returns and costs of inaction. It is perhaps no coincidence that the budget of the environment authorities in the subsequent financial year quadrupled (Assey *et al.,* 2007).

c. Values of progressive organisations

Some organizations have a clearly laid out list of values or principles that they support. These values and principles cover a wide range, e.g. justice for all, commitment to future generations, a balance between business and society as a whole, ecological wisdom. For examples posted by a range of organizations, see ProgressiveSpirit.com [20]. A list of 'progressive' organisations (i.e. those which

20 ProgressiveSpirit http://progressivespirit.com/Projects/OrganizationsValues/index.htm

promote progressive values while not having any regressive ideological ties) is available at Sourcewatch.org [21].

Many progressive organisations internalise environmental values and principles (e.g. many organisations are guided by the Earth Charter – see www.earthcharterinaction.org). Often these focus on the sustainability of the earth and the natural environment, the sacredness of nature, and protecting native peoples. They are concerned with stewardship of the planet and of future generations. *Empathy* and *protection* are the primary values.

Many 'progressive' organisations advocate and lobby for environmental issues to be taken into account in all stages of development governance, some pushing that such issues are given primacy over others. Other organisations, notably those leading private sector companies that espouse progressive values, commit to promoting sustainable development and sound environmental management, adhering to good practice principles and pursuing corporate social (nowadays including environmental) responsibility.

d. Donor policies, conditions and initiatives

Such conditions have traditionally focused on safeguards. International financing institutions (e.g. multi-lateral development banks, UN Global Environment Facility) impose strong obligations on borrowing countries to include environmental aspects in project proposals submitted for financing. For example, the World Bank has a well-developed system of safeguards, which include the environment and natural resources as well as indigenous peoples as environmentally-dependent groups. These oblige all proponents to check projects against environmental criteria and to develop an Environmental Management Plan to facilitate monitoring of implementation.

Today, however, there is a larger range of environmental mainstreaming 'encouragement' from donors that – because it has not yet really built on local mainstreaming processes – has had the effect of conditionalities, albeit not vigorously pursued. Much of this derives from the Paris Declaration on Aid Effectiveness (see section 1.3.2). It has led to, for example:

- support to include environmental considerations in poverty reduction strategies;
- the development of SEA guidance and accompanying awareness-raising[22] and training, and support to undertake SEAs of country policies, plans and programmes;
- efforts to integrate climate change mitigation, vulnerability assessment and especially adaptation in development decisions;
- and a drive to improve natural resource management for long-term pro-poor economic growth.

The real 'hook' in the Paris Declaration – *building country-based systems for integrating environment and development* – has not been treated too seriously. In

21 SourceWatch List of Progressive Organisations http://www.sourcewatch.org/index.php?title=List_of_progressive_organizations

22 A recent SEA awareness-raising workshop was organised in Zambia in September 2008 by the OECD DAC SEA Task Team, preceded by an environmental mainstreaming retreat (see Box 3.2). Both events were co-hosted and chaired by the Ministry of Finance and National Planning (MFNP) and the Environment Council of Zambia, demonstrating the genuine interest and recognition of the need for environmental mainstreaming by one of the key drivers of development (the MFNP).

large part this may be due to the Heads of country offices being inundated with cases for 'mainstreaming' or 'special pleading' regarding a wide range of sectors and issues, and to current incentives to shift towards budget support rather than deal with 'technical' issues.

Progress with environmental mainstreaming was addressed at a High-Level Forum held in Ghana in September 2008, attended by donors and 100+ partner countries, to review progress on the Paris Agreement. This forum agreed the Accra Agenda for Action (AAA) which states that it is vital that environmental sustainability is addressed in "a more systematic and coherent way" in all policies. The AAA commits developing countries and donors to "*ensure that their respective development policies and programmes are designed and implemented in ways consistent with their agreed international commitments on gender equality, human rights disability and environmental sustainability*". It remains to be seen whether this commitment will lead to the environment being taken more seriously in practice.

But the Paris Declaration and Accra AAA have not resulted in entirely beneficial outcomes. In Asia (at least), they have resulted in civil society organisations receiving much reducing funding. Local NGOs have become effectively 'starved' of donor support. The strong focus on budget support has "led to a 'feed-fest' for government bureaucracies and donors have become risk averse, lazy and unimaginative" (Aban Kabraji, personal communication). Thus, the Paris Declaration also represents a constraint to mainstreaming via civil society and green parties.

For many years, donors have undertaken environmental studies and analyses as part of preparations for support to countries. During the 1990s, there was considerable focus on country environmental profiles (CEPs). The EC now uses CEPs as a programming tool feeding into country support strategies. These include recommendations for environmental integration in key areas. In recent years, there has been an effort to improve upstream country environmental analytical (CEA) work. The primary producers (and users) of CEA work are the multi-lateral development banks and the European Commission. However, there is also a wide range of secondary users (particularly bilateral donors). The World Bank, for example, introduced CEAs in 2001 in response to its (then) new Environment Strategy. These are typically initiated and carried out by regional teams and aim to integrate environmental issues into country assistance strategies (CASs), poverty reduction strategy papers (PRSPs), development policy lending (DPL), and development assistance strategies and programmes. By 2008, the Bank had initiated 25 CEAs. A desk review of experience of CEAs (Pillai, 2008) notes that:

> *"it is important that preparation of CEAs be undertaken not only to meet due diligence requirements of OP8.60, but seen as an opportunity to enhance dialogue and engagement with partner countries to strengthen institutional capacity on environmental-development issues".*

There is increasing recognition by the MDBs and EC of the need to anchor CEA work within country domestic processes and promote country government ownership. Aligned to this, some people have suggested that a common assessment on environmental sustainability should be undertaken as a complement to the common country assessments (of development) already prepared to inform all new UN development assistance strategies.

2.3.2 Moderately important drivers of mainstreaming from IIED's country survey

e. International commitments and external drivers

Country commitments under multilateral environmental agreements or international treaties and accords act as a stimulant to develop a variety of plans and strategies which provide vehicles for environmental mainstreaming: National Environmental Plans, National Biodiversity Strategies and Actions Plans, sustainable land management plans, etc. These instruments are felt to be generally useful, particularly if the consultative processes are well conducted, although there is a danger of duplication of effort. And such commitments can act as a dominating steer for national activity:

> *"Commitments to international conventions, combined with access to funding ("we are beggars") is driving the national agenda* [in Trinidad] *…..*[and] *because signature of these conventions is driven by the desire for money, they do not necessarily reflect real 'internalisation' or commitment at national level"*
>
> (CANARI, 2008)

In Caribbean countries, the burden of multiple planning and reporting has resulted in the St George's declaration of how countries will plan and report to multiple international environmental conventions through a single exercise (see: http://www.oecs.org/esdu/SGD.htm). This is now in the process of being agreed with the various MEA secretariats. A similar initiative has recently been launched for Pacific islands.

In this category of driver, we might also include the need to conform with standards and procedures of international and regional organisations and alliances. For example, there is strong pressure within countries seeking to join the European Union to adopt its environmental norms and processes, particularly in order to access EU funds:

> *"This is emphasized in case of Croatia, an EU-accession country with an economy still in relatively early phase of transition, where both state and non-state stakeholders are responsive to the demands and conditions set by external agents (EU, international banking and donor institutions, etc ……., All applicants for EU funds are obliged to integrate environmental aspects into all their projects in order to apply for pre-accession funding".*
>
> (Integra, 2008)

Since 1997, environmental integration has been a requirement under the EC Treaty. Article 6 of the Treaty states that "environmental protection requirements must be integrated into the definition and implementation of the Community policies [.] in particular with a view to promoting sustainable development" .[23] The importance of integration is reaffirmed in the EU's Sixth Environmental Action Programme which stipulates that "integration of environmental concerns into other policies must be deepened" in order to move towards sustainable development.

23 The EC has established an Environment Helpdesk to raise awareness and build capacities of staff to integrate the environmental dimension in EC development cooperation and into partner countries' sector policies and programmes (http://www.environment-integration.eu/).

Another example of 'conforming' is provided by Chile which will soon join the OECD.

> *"Given the importance that the OECD gives to environmental performance and development, it is expected that the pressure to become an OECD country will open up opportunities in the country for mainstreaming environment into development decision-making".*
>
> (RIDES, 2008)

Membership of, or affiliation with, international business groups that have embraced environmental mainstreaming practices 'forces' domestic ones to adhere to the same rules.

Where national economies are dependent on international markets, environmental preferences and conditions placed on exports can be a key driver of environmental mainstreaming in diverse economic sectors. In Chile, for example, "*industry is, in general, conscious that better environmental performance is at present an element of competitiveness*" (RIDES, 2008).

f. Major environmental trends and events

During the country surveys, a wide range of events were identified that are perceived to be caused by environmental mismanagement or to cause environmental damage. Examples include, pollution, deforestation, hurricanes and storms, droughts, flooding, landslides (see, for example, Box 2.9).

Box 2.9: The influence of environmental disasters in The Philippines

"*Major environmental events emerged as the strongest driving force to environmental mainstreaming in the Philippines. This is not surprisingly the top choice because the country has been experiencing a string of unprecedented and catastrophic disasters that are mostly attributable to environmental degradation. The Philippines is a disaster-prone area being right on the sea and in the ring of fire. However, the frequency and intensity of recent disasters have been at such catastrophic levels that Filipinos became more worried and watchful. Huge floods, landslides and mudslides, usually caused by deforestation due to illegal logging and land conversion, have buried wide areas, wiped out towns and villages and cost tens of thousands of lives. Over-fishing and destruction of coral reefs have reduced fish catch and worsened poverty especially in fishing villages. Extreme pollution of waters has caused red tides and fish kill phenomena. All these have led to, among others, extreme poverty, adverse psychological and psychosocial impacts, and high cost of rehabilitation that impinge on national budget for economic and social development.*

Perhaps a blessing in disguise, the fear for these disasters and concern for personal safety and national security are making Filipinos do more to resuscitate the environment and teach or prosecute those who destroy it. They try to learn more about what cause these disasters and initiate actions accordingly. For instance, there is already a good level of awareness that the mega-typhoons and El Niño drought - that often simultaneously hit the country and result in the destruction of crops and other produce - are largely due to climate change and global warming. As these events hit, consideration and integration of environment in decision-making heightens and becomes a priority agenda of government and the people".

Source: Earth Council/ICLEI, 2008

> *"Much of Chile's environmental progress over the last fifteen years was driven by concerns about pollution's impacts on health"*
>
> (RIDES, 2008)

> "*There is a desire* [in South Africa] *to stem increasing disasters of all kinds relating to the degradation of the environment, climate change and the energy crisis*"
>
> (DBSA, 2008)

> *"There is increased fear of risk from environmental degradation* [in Uganda] *as witnessed by occasional floods, drought, falling water levels in Lake Victoria and outbreak of water-borne diseases"*
>
> (Birungi, 2008)

Global climate change is clearly seen as a huge challenge facing the world that needs to be tackled at all levels (international, national, local, and by individual action) and that must be fully integrated in all development policies and planning. The growing prominence of climate change in national agendas – even if currently much of the 'push' is from international initiatives – offers real opportunities to facilitate mainstreaming initiatives:

> *"Climate change is a hot topic* [in Latin America} *and has really pushed questions such as energy efficiency onto the political agenda. Effects of climate change are already being noticed with Peru predicted to be the third most vulnerable country in the world to the impacts of climate change"*
>
> (RIDES, 2008)

Indeed, in many countries climate change vulnerability and capacity assessments, mitigation and adaptation programmes and associated funding sources are already deep into the policy and investment decisions of the 'mainstream'. So much so that they themselves need to be subject to environmental tests to ensure that their climate change benefits are not achieved at the cost of other environmental (or indeed poverty reduction) benefits e.g. reduction of biodiversity and local livelihoods in the case that carbon storage projects favour forest plantations over natural woodlands and farming (see 2.2.4)

g. Company business plans & objectives, and regulations/requirements [see also a-c]

Many companies also see a marketing value (potential to improve their green image) in pursuing an environmental agenda and introducing voluntary tools, e.g. the ISO1400x series for environmental management systems. Their adoption has a knock-on effect since it demands similar standards through supply chains. The fact that environmental management system (EMS) approaches are about developing regular institutional systems for mainstreaming environment should not be lost on those who are aiming to promote mainstreaming in other sectors: there is much to learn from the EMS approach.

In revising their business plans, many companies respond to the clear economic or ethical benefits of some 'environmental' actions (e.g. adopting energy efficient technologies) or signing up to new market schemes such as carbon credits or offsetting.

Investment in a country by large multi-national companies (which often tend to work to higher standards) often stimulates increased attention to environmental issues

amongst domestic businesses, particularly where the latter undertake sub-contracts which encourage or require them to improve practices.

Every business is obliged to meet legal requirements designed to protect the environment. For some businesses, fear of prosecution may be the main reason that they consider environmental issues. Others do so because they recognise that protecting the environment can provide significant benefits to businesses in a number of ways - effective environmental practices pay for themselves. Many businesses are addressing environmental concerns as part of their response to the need to demonstrate a commitment to corporate responsibility as well as to mitigate political and social risk and to manage and enhance their reputation and relations with a range of stakeholders: customers, host governments, local communities, regulators, employees, investors and suppliers.

Effective environmental practices can help a business to save money, as it may face financial pressures from higher energy and waste disposal costs and more environmental taxes. A business may also be able to negotiate lower insurance premiums. A range of guides[24] are available to environmental issues that can benefit a business and make it more sustainable.

Socially responsible investment (SRI) is an increasingly significant business driver, especially since the launch of the FTSE4Good index series[25] in 2001. FTSE4Good measures company performance against globally recognised corporate responsibility standards and facilitates investment in responsible companies. Mainstream investors are also increasingly accepting that social and environmental risks pose a threat to long-term shareholder value.

Project finance for major industrial projects has been a key driver in promoting high standards of sustainability performance. The World Bank Group, in particular the International Finance Corporation (the private sector arm of the WBG), have been instrumental in developing, and introducing into practice, a set of standards for responsible performance[26] in business, industry and infrastructure development.

These have set the benchmark standard for other international finance institutions, such as the European Bank for Reconstruction and Development who revised their Environmental and Social Policy in 2008.[27] The IFC standards have been adopted by the Equator Principles, which are voluntary performance standards adopted to date by over 50 investment banks.[28]

The concept of a ‘triple bottom line’ is widely used to describe sustainable development in an organisational context. In the business context, this implies that companies will operate not just to deliver profitability and shareholder dividends (the economic bottom line), but to deliver improved performance against the social and environmental bottom lines.

24 Businesslink.gov.uk <http://www.businesslink.gov.uk/bdotg/action/layer?topicId=1079416602>

25 FTSE4Good Index Series <http://www.ftse.com/Indices/FTSE4Good_Index_Series/index.jsp>

26 International Finance Corporation Performance Standards http://www.ifc.org/ifcext/sustainability.nsf/Content/PerformanceStandards

27 See http://www.ebrd.com/enviro/policy/index.htm

28 See http://www.equator-principles.com/principles.shtml

h. Risk management

Over a short period, climate change has become routinely included in government and business scenario planning and risk management strategies, having been on the margins until the reports of the Intergovernmental Panel on Climate Change (IPCC) showed strong scientific consensus. The signs are that related water and biodiversity risks will begin to be included in the near future.

Risk management is a structured approach to managing uncertainty related to a threat, a sequence of human activities including: risk assessment, strategies development to manage it, and mitigation of risk using managerial resources.[29]

The strategies include transferring the risk to another party, avoiding the risk, reducing the negative effect of the risk, and accepting some or all of the consequences of a particular risk.

Some traditional risk managements are focused on risks stemming from physical or legal causes (e.g. natural disasters or fires, accidents, ergonomics, death and lawsuits). Financial risk management, on the other hand, focuses on risks that can be managed using traded financial instruments.

The objective of *risk management* is to reduce different risks related to a pre-selected domain to the level accepted by society. It may refer to numerous types of threats caused by environment, technology, humans, organizations and politics. On the other hand it involves all means available for humans, or in particular, for a risk management entity (person, staff, organisation).

A range of guidelines for environmental risk assessment and management are available, e.g. DEFRA (1995)

i. Traditional cultural reasons

In some countries (e.g. Philippines) culture was cited as a key driver. This stems from the realization that to ensure environmental sustainability, there is need to respect and consider indigenous and local culture and traditions because they, and the environment they live in, are closely related.

> *"Indigenous practices provide the basis for local-level decision-making in agriculture, health care, food preparation, education, natural-resource management, and a host of other activities in rural communities. A case in point is the Muyong or woodlot, which is living proof of the Ifugao's knowledge of silviculture, agroforestry, horticulture and soil and water conservation. The Ifugaos attribute value to the forest on the basis of their cultural ways and practices. In recognition of this, forestry development nowadays integrates indigenous systems of forest management".*
>
> (Earth Council/ICLEI, 2008)

29 Risk Management definition <http://en.wikipedia.org/wiki/Risk_management>

2.3.3 Further drivers of mainstreaming from IIED's country survey

Long-standing practices and routine systems – that are familiar and a well-entrenched component of policy and decision-making systems – can continue to have an influential role in environmental mainstream. For example:

> *"The roots of environmental mainstreaming in the countries of Central and Eastern Europe can be found in the 1970s mainly in the field of land-use or spatial planning. This long tradition maintains its influence and land-use/spatial planning is often perceived as the most important planning tool, capable of serving all purposes including environmental integration"*
>
> (Integra, 2008)

Consultancy companies, expert institutions and freelance specialists/experts are normally motivated by the requirements and ***needs of their clients***, but, of course, may well be influenced by their personal values.

The development of revised ***school curricula*** presents an opportunity to seed ideas of environmental integration at any early stage in the education process. In Jamaica, for example, "*environmental issues have been incorporated throughout the curriculum for Grades 1-9*" (CANARI, 2008)

Meetings of ***regional forums*** that focus on sustainable development issues provide a platform for mainstreaming environment issues, e.g. the Forum of Environmental Ministers of Latin America and the Caribbean which is held every two years (and declares itself to be a "platform for analysis and discussion and an effective mechanism for promoting regional cooperation on matters of environmental safeguarding and sustainable development")[30].

In some circumstances, local governments are motivated to address environmental issues by ***budget incentives***. In Uganda, for instance, they can obtain a 20% budget increase if they are assessed to have satisfied environmental requirements. But the reverse is also the case - local governments failing to meet them are given a 20% budget penalty (Birungi, 2008).

2.3.4 Emerging international initiatives as catalysts for mainstreaming

A number of recent international initiatives have been promoted in response to major environmental challenges such as climate change and the need to pursue low-carbon economies, environmental degradation and deforestation These have received such widespread attention and support that they are, themselves, now almost mainstream activities that provide an opportunity and means to mainstream broader environmental concerns. The following examples are illustrative.

a. <u>National Adaptation Plans of Action (NAPA) for climate change</u>

There are many options and opportunities for countries to adapt to climate change, with adjustments and changes required at every level: community, national and international. Appropriate adaptation strategies involve a synergy of the correct

30 See http://www.pnuma.org/informacion/comunicados/pdf/ForumRepDominic.pdf

assessment of current vulnerabilities to climate change impacts; use of appropriate technologies; and information on traditional coping practices, diversified livelihoods and current government and local interventions.

In order to address the urgent adaptation needs of Least Developed Countries (LDCs), the approach, through NAPAs, (Box 2.10) now involves a focus on enhancing adaptive capacity to climate variability, which itself should help address the adverse effects of climate change.

Box 2.10: National Adaptation Plans of Action (NAPAs) for climate change

NAPAs take into account existing coping strategies at the grassroots level, and build upon this to identify priority activities, rather than focusing on scenario-based modelling to assess future vulnerability and long-term policy at state level. The NAPA process gives prominence to community-level input as an important source of information, recognizing that grassroots communities are the main stakeholders. NAPAs provide a process for LDCs to identify priority activities that respond to their urgent and immediate needs with regard to adaptation to climate change. The rationale for NAPAs rests on the limited ability of LDCs to adapt to the adverse effects of climate change.

The NAPAs focus on urgent and immediate needs - those for which further delay could increase vulnerability or lead to increased costs at a later stage. NAPAs are designed to use existing information; and no new research is needed. They must be action-oriented and country-driven and be flexible and based on national circumstances. Finally, in order to effectively address urgent and immediate adaptation needs, NAPA documents should be presented in a simple format, easily understood both by policy-level decision-makers and by the public.

The steps for the preparation of NAPAs include synthesis of available information, participatory assessment of vulnerability to current climate variability and extreme events and of areas where risks would increase due to climate change, identification of key adaptation measures as well as criteria for prioritizing activities, and selection of a prioritized short list of activities. The development of a NAPA also includes short profiles of projects and/or activities intended to address urgent and immediate adaptation needs of LDC Parties. Upon completion, the NAPA is submitted to the UNFCCC secretariat, where it is posted on the website, and the LDC Party becomes eligible to apply for funding for implementation of the NAPA under the LDC Fund. A copy of the NAPA is also sent to the Global Environment Facility

Source: Chronological Evolution of LDC Work Programme and Concept of NAPAs

Attention is now turning to mainstreaming NAPAs so that their policies and measures for addressing climate change are integrated into national and regional development policies, development planning, sectoral decision-making and regular budgeting processes, rather than being treated as stand-alone measures or as a separate sector. This is meant to provide for a more efficient use of resources and improved sustainability of investments in the context of a changing environment. For example, “UNDP is engaged in discussions to support Government of Uganda to access GEF resources to develop adaptation measures that respond to the identified priority interventions in Uganda’s NAPA to climate change. These initiatives are hoped to support the integration of climate change adaptation measures in the country’s

agriculture sector policies and programmes." Scharr (2008) provides an overview of adaptation mainstreaming activities.[31]

Bubu Jallow notes that such mainstreaming "*requires cross-sectoral cooperation, interdisciplinary and multidisciplinary approaches and considerable political will*" [32] and that it is necessary:

- to engage other development sectors (particularly ministries and agencies responsible for national development) from the beginning and throughout the preparation and implementation process;
- to raise awareness from a scientific and socio-economic perspective of the implications of climate change for various sectors and groups within a country, to engage key stakeholders on this issue;
- to link adaptation efforts to established policy-making processes; and,
- to promote cross-sectoral and interdepartmental coordination, accountability and transparency in implementing NAPAs.

b. Adaptation to climate change

There is increasing realisation that planning, production, distribution systems and infrastructure need to be more resilient to climate change, and the notion of 'mainstreaming climate change adaptation' measures across development activity has attracted much attention, principally from donors concerned that development programmes are at risk.

The OECD has recently produced policy guidance on integrating climate change adaptation into development cooperation (OECD DAC/EPOC 2009). This proposes a *climate lens*, an analytical tool to examine a strategy, policy, plan, programme or regulation. Applied at the national or sectoral level, the lens involves examining: *(i)* the extent to which a measure could be vulnerable to risks arising from climate variability and change; *(ii)* the extent to which climate change risks have been taken into consideration in formulating this measure; (*iii)* the extent to which it could increase vulnerability, leading to maladaptation or missing important opportunities arising from climate change; and (*iv)* what amendments are warranted to address climate risks and opportunities. It also suggests subsequent priorities for action.

Priorities at the national level include:

- Improving the coverage and quality control of climate monitoring data. Commissioning national-level assessments of climate change impacts, vulnerabilities and adaptation options – and how climate change affects specific national priorities and core government functions;

- Moving the co-ordination for adaptation into powerful central bodies, such as the Office of the President or Prime Minister or planning agencies;

- Including considerations of climate change risks within long-term visions, poverty reduction and sustainable development strategies;

- Making a sound economic case for investing in adaptation. Ensuring adequate resource allocation (for example through a *horizontal fund for adaptation*) for

31 http://www.undp.or.ug/whatwedo/21#climate

32 Source: http://www.cru.uea.ac.uk/tiempo/newswatch/comment071118.htm

incorporating adaptation considerations in policies, plans and programmes;

- International donors can encourage action on adaptation through budgetary support mechanisms, country and joint assistance strategies.

Analogous priorities at sectoral, local and project level are also suggested.

c. Low-carbon investment

In the wake of international efforts to address climate change, there has been an explosion of efforts to promote investment in low-carbon power production and infrastructure, transport and housing that uses less fossil-fuel energy. These include zero carbon, renewable power generation sources, such as wind, solar and hydro-power and nuclear energy, as well as sources with lower-level emissions such as natural gas, and technologies that prevent or limit atmospheric CO_2 emissions, such as carbon capture and storage.

Low carbon power stems from the idea that to reduce carbon emissions, no single technology or solution can handle the problem alone, but the sum of all the possibilities across the transportation, industry, power, agriculture & waste, forestry and buildings sectors, makes the necessary change viable.

Many OECD governments are working on shifting towards low-carbon approaches becoming mainstream rather than niches, using a wide range of vehicles from subsidies to fiscal reform to taxing polluting 'bads'. The issue has entered mainstream politics, in part due to mainstream public concern. Having worked on mainstreaming access to energy, UNDP is currently working on guidance on mainstreaming sustainable energy in development cooperation.

d. Reduced emissions from deforestation and forest degradation (REDD)

The goal to seek reduced emissions from deforestation and forest degradation (REDD) was accepted (in decision 2/CP.13) at the Conference of the Parties to the UN Framework Convention on Climate Change (COP 13), held in Bali in 2007. The challenge is to establish a functioning international REDD finance mechanism to provide appropriate revenue streams to the right people at the right time to make it worthwhile for them to change their forest resource use behaviour. REDD mechanisms need to take account of lessons learned on sustainable forest management, experience with forest governance projects and from the voluntary carbon market and the Clean Development Mechanism (CDM) on project design and emissions measurement methodologies.

A range of programmes and projects are responding to this challenge. For example, FAO, UNDP and UNEP have developed a collaborative REDD programme aimed at:

> "*Tipping the economic balance in favour of sustainable management of forests so that their formidable economic, environmental and social goods and services benefit countries, communities and forest users while also contributing to important reductions in greenhouse gas emissions…… The immediate goal is to assess whether carefully structured payment structures and capacity support can create the incentives to ensure actual, lasting, achievable, reliable and measurable emission reductions while maintaining and improving the other ecosystem services forests provide*" (http://www.undp.org/mdtf/UN-REDD/overview.shtml).

An example of a highly successful REDD pilot initiative is the Juma Sustainable Development Reserve project in Amazonas State, Brazil. The programme involves direct monthly payments to families for continuing farming methods that do not involve forest degradation (satellites spotting fires which trigger to payments in that locality being suspended). It includes a benefit-sharing mechanism for local communities, who receive 100% of the benefits obtained in the voluntary carbon markets which are currently attracting the financial commitment of e.g. a major hotel chain (for more information, see Viana, 2009)

For such schemes to move beyond isolated examples, their potentials, risks and requirements need to be mainstreamed into the work of forestry, agriculture and rural development agencies and local authorities. These organisations are in the best position to use the schemes' potential to tip the financial and governance balance in forestry or agriculture in favour of environmental and social sustainability.

2.4 Conclusion

We have clarified that environmental mainstreaming is primarily a long-term institutional affair. Thus the initial challenges tend to be more about understanding and handling current 'mainstream' institutions and governance than they are about understanding environment. This is a matter of:

- Identifying what is holding mainstream institutions (formal and informal, government and non-government) back from a full consideration of environment;

- Spotting and exploiting 'entry points' into the governance processes, especially where these offer opportunities for systemic change;

- Identifying the 'drivers' – notably policy concerns and initiatives that are open to environmental integration (often connected to environmentally-sensitive sectors such as energy and agriculture);

- Making sure that environmentally-dependent (and often marginalised) groups are heard;

- Working with both the mainstream authorities and change agents – some of whom may indeed come from environment groups.

However, once progress has been made in some of these institutional challenges, there will indeed be technical environmental issues to address – the key challenges here being:

- Making economic, fiscal and developmental 'cases' for pro-environment change in mainstream (development) institutions and (investment) decisions;

- Briefing decision-makers on what might be quite complex environment-development issues in ways that they find both comprehensible and compelling.

Key choices need to be made, especially about entry points, drivers and cases to make. Therefore strategy – which is the 'art of choice' – perhaps best sums up the

environmental mainstreaming challenge. In the next section, we examine experience in effective mainstreaming, which we hope will prove valuable to readers in developing strategy to suit their own contexts and needs.

Chapter 3

EFFECTIVE MAINSTREAMING – WHAT IT TAKES

IN BRIEF

Describing effective environmental mainstreaming – outcomes, principles and key steps [33]

This chapter distils some early thoughts on effective mainstreaming, drawn from our assessment of experience to date.

Firstly, it is important to be clear on the kinds of outcomes that describe a country, sector or institution which has 'mainstreamed' environment. *We propose a spectrum of outcomes of environmental mainstreaming – ranging from 'upstream' to 'downstream' changes:*

1) Greater participation and interaction between environment and development stakeholders;
2) Integrated environment-development policy and associated political will / leadership;
3) Inclusion of development-environment linkages in national and sector plans;
4) Inclusion of development-environment linkages in budgets and fiscal instruments;
5) Strengthened institutions and capacities to mainstream environment;
6) Improved domestic and foreign resource mobilization for environmental investments;
7) Sustained behavioural change by individuals, institutions, and society, in both public and private domains – production, consumption and waste treatment processes improve;
8) Ultimate impacts of these outcomes on human and ecosystem wellbeing.

Mainstreaming processes will depend very much upon context. Approaches will differ. However, assessment of effective mainstreaming suggests that there are some *clear principles behind effective environmental mainstreaming, covering:*

a) Leadership – the mobilisation and creation of political will, engaging with 'champions';
b) Integration – where environment and development approaches are integrated;
c) Key sectors – a strong focus on economic sectors;
d) Dialogue – a wide range of means for making voices heard and for cooperation;
e) Ownership – mainstreaming process managed by the country or locality in question;
f) Subsidiarity – decisions taken at the lowest possible level of public authority;
g) Use mainstream processes – existing analytical/planning process where possible;
h) Transparency and accountability – information on issues, decisions made and reasons.

33 Much of the synthesis material in this section is from Bass (2009, forthcoming)

Although mainstreaming is not a standardised, technical process carried out in a neat sequence, we can still identify *typical steps that commonly characterise effective environmental mainstreaming, from good practice to date.*[34]

14. Scope the political economy and governance affecting environment and development;
15. Convene a multi-stakeholder group to steer the mainstreaming process;
16. Identify links between development and environment, both positive and negative;
17. Propose desirable environment-development outcomes;
18. Map institutional roles and responsibilities for each of the links and desirable outcomes;
19. Identify associated institutional, governance and capacity – and changes required;
20. Identify entry points for environmental mainstreaming in key decision-making processes;
21. Conduct expenditure reviews and make the 'business' case for environmental inclusion;
22. Establish or use existing forums and mechanisms for debate and consensus;
23. Reflect agreed changes in key mainstream policy, plan and budget documentation;
24. Promote key investments in development-environment links;
25. Develop integrated institutional systems and associated capacities;
26. Install criteria/indicators and accountability mechanisms to ensure monitoring and continuous improvement in environment-development integration.

These steps will gradually develop the capacities, systems and skills needed to mainstream environment on a continuing basis.

Chapter 1 has discussed the *purpose* of environmental mainstreaming – realising (optimally) the twin endeavours of development and environmental sustainability *together*, placing environmental issues at the heart of development and poverty reduction institutions and decisions, and vice versa.

Chapter 2 has described the many *challenges* to mainstreaming and associated choices to be made – gaining access to key *'entry points'* in mainstream institutions and decision-making processes, and using the energies of a range of *'drivers of change'*.

In this chapter, we offer tentative *guidance* based on lessons to date – summarising key *outcomes* to aim for, *key steps* to take, *capacities* that are needed, and overall *principles* to steer the work.

We write for the interested audience – those who are concerned about environment. However, whilst environmental mainstreaming does need strong environmental organisations and grass roots support, it will not succeed if it is entirely driven by environment actors alone – it is never a 'one-way' affair (except perhaps in initial

34 The Environmental Integration Handbook for EC Development Cooperation (2007) gives many permutations of this for projects, programming, implementation and evaluation

stages) but, ultimately, a collaborative one. Subsequent work by IIED and others will distil guidance aimed at the 'mainstream' audience.

We kick off with some country examples of effective mainstreaming identified by IIED and collaborators (boxes 3.1, 3.2, 3.3 and 3.4), because they illustrate the range of useful outcomes, or principles and steps – as well as suggesting tools and approaches that work (see Chapter 4).

Box 3.1: Promoting effective environmental mainstreaming through national learning groups: examples from Tanzania and Zambia

Tanzania

An IIED-facilitated learning group of environment and development experts met in 2006, co-hosted by the Vice-President's Office and WWF-Tanzania. It addressed the ways in which the national development and poverty reduction plan (MKUKUTA) had included environmental issues. The group concluded that a 'planning gap' had been bridged, notably through:

- The *joint mandate* of the Vice-President's Office for both poverty reduction and environment.
- *Outcome-based* development planning processes (as opposed to 'priority sectors'). This allowed environmental interests to show what they can contribute to *all* outcomes.
- A special environmental expenditure review being included in *public expenditure reviews* – asking questions of how environmental assets and hazards are being managed – which was a critical turning point in greatly improving the government budget for environment.
- An effective *donor coordination group* on environment, which worked well in government.

The learning group moved on to recommend ways in which to tackle 'investment, capacity and decentralisation gaps' to ensure that environment was acted on in development:

- *The environmental investment gap* – firstly requires the identification of priorities amongst the MKUKUTA's many targets, thus making up for severe under-investment in environmental assets for pro-poor growth and livelihoods. This needs better economic assessment.
- *The environmental capacity gap* – the need especially for environmental information/monitoring systems and institutional development to enable environmental authorities and management bodies to meet new responsibilities for securing environmental services in support of development.
- *A power shift towards localisation and environment-dependent stakeholders* – the MKUKUTA conducted the biggest-ever national consultation on environmental issues: the challenge is how to maintain this momentum and empower people to take part in MKUKUTA implementation.

For report, see Assey *et al.* (2007).

Zambia

An environmental mainstreaming (EM) learning group retreat was organised in September 2008 for 12 leading environmental champions from government, private sector, NGOs and academia. Hosted by the Ministry of Finance and National Planning (MFNP) and the Environmental Council of Zambia (ECZ), and facilitated by IIED, the retreat aimed to review how far the twin endeavours of environment and development had become linked over the years in Zambia. It considered some of the main EM approaches used to date in Zambia and (through brainstorming) identified areas of progress, lessons from this experience and recommendations for improving EM:

Several key lessons were identified:

1. To truly integrate environment and development objectives requires work on many tracks. These include education and awareness, piloting, public administration reform, political debate, and both civic and private entrepreneurship – as well as improved planning processes. There is no single 'fast track' to mainstreaming.
2. Considerable progress is made when a multi-stakeholder approach to environment-development issues is taken. For example, in Zambia the National Conservation Strategy, community wildlife management, and effective mine clean-up processes involved various sectors and disciplines.
3. *It is most productive to concentrate on the key 'mainstream' institutions and processes, notably the central economic, financial and physical planning processes, urban and regional plans, and associated national and decentralised plans.*
4. *Early and proactive 'mainstreaming' activities can assist a positive, 'can-do' approach by spotting environmental opportunities for development. In contrast, if mainstreaming is too late, it tends to focus on environmental problems.*
5. A focus on specific real opportunities and problems, in real places, facing real people, can be a better incentive for actual mainstreaming than a general exhortation to 'include the environment in all aspects of development'.
6. *Build on existing sources of resilience for adapting to change. For example, communities' coping strategies for handling climate variability are a sound basis for handling climate change.*

Challenges for the future include:

- A more systematic approach to EM:
    - EM needs to focus on the central National Development Plan (NDP) process – ensuring that environment is addressed in all sector chapters, and links to all cross-cutting issues;
    - Information and Communications Technology (ICT) solutions can efficiently link environmental information (State of Environment report) with development information.
- Improve capacity for EM:
    - The capacity of Zambian environment authorities needs to be strengthened to collaborate with each other and with mainstream agencies – for the latter in making economic cases;
    - The capacity of the finance and planning ministries and local government as key 'entry points' for environment authorities to work with; especially the economics of environmental management and infrastructure, e.g. rates of return and accessing (international) sources of investment.
- Enable sectors to integrate positive and negative environmental issues:
    - Develop simple environmental guidelines / standards for each sector;
    - Establish 'environmental units' in sector ministries – the experience of such a unit in the Ministry of Mines can be built upon;
    - Introduce new tools especially for policy change, with Strategic Environmental Assessment (SEA) now positioned to help resolve a number of critical policy issues in e.g. biofuels and new mining developments.

A report is available at www.environmental-mainstreaming.org.

Box 3.2: Effective mainstreaming using Strategic Environmental Assessment (SEA)

Greening the PRSP in Benin

Benin takes part in the Highly Indebted Poor Country (HIPC) -programme and receives aid from the World Bank. On that account Benin developed a first Poverty Reduction Strategy Paper (PRSP) in 2003. In this PRSP, the Environment had only been taken into account as a separate sector and no cross-cutting analysis had been made. Due to the lack of measurable environmental indicators the Beninese Environmental Agency (Agence Béninoise de l'Environnement, ABE) decided to initiate the "greening" of the second PRSP and managed to garner the support of Beninese stakeholders and international actors such as the Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) on behalf of the German Federal Ministry for Economic Cooperation and Development (BMZ), the United Nations Development Progamme (UNDP) and the Netherland's Commission for Environmental Assessment (NCEA). The ABE carried out and coordinated a participatory Strategic Environmental Assessment (SEA) of the second PRSP in 2006-07 - while it was being drafted. Environmental issues are now covered both in a sectoral and a cross-cutting manner in the second PRSP. Several challenges, however, still need to be tackled.

Source: Dagba *et al*. (2009)

Influencing hydropower plans in Vietnam

In order to meet a rapidly growing demand for energy, the Sixth National Power Development Plan (PDP) proposes to increase electricity supply, mainly through expanding generation from coal, gas and hydropower. Under the PDP, some 60 large (and numerous other) hydropower projects will be constructed throughout the country.

The Quang Nam Province Hydropower Plan (2006-2015) was approved in 2006 by the Quang Nam Provincial People's Committee (PPC) and the Ministry of Industry and Trade (MOIT). It incorporated nearly 40 hydropower projects, including 8 large (range 60-225 MW) schemes. Since approval, the number of proposed projects has risen to 60.

Given the scale of hydropower planning and the relatively short implementation schedule, the management of complex and cumulative environmental, social and economic impacts will be a critical issue for sustainable development in Viet Nam. Potential impacts are likely to include: positive and negative effects on different economic sectors; changes in hydrological processes and water supply; and threats to terrestrial and aquatic ecosystem integrity and functions. The rich cultural diversity of some of Viet Nam's 54 ethnic minority groups – who predominate in many upland areas targeted for hydropower development – are also likely to be disproportionally affected through loss of land, livelihoods and resettlement; and may face increased exposure to social risks such as HIV/AIDS.

A participatory SEA was conducted engaging a range of local and national government stakeholders in identifying 80 environmental, social and economic issues important for development in the basin. These were consolidated to 15 key themes to focus detailed trend analysis. This identified four critical strategic concerns associated with hydropower development in the basin: (i) integrity of ecosystems, (ii) water supply, (iii) impacts on ethnic minority groups, and (iv) economic development in Quang Nam and Da Nang Provinces. the SEA concluded that the pace and scale of the proposed hydropower developments could not be sustained and highlighted a number of concerns regarding changes in the hydrological dynamics of the basin, which were likely to affect baseline environmental flows – with serious ecological and water supply impacts.

The SEA outcomes were reviewed at a national workshop involving key ministries and

provincial leaders. The Provincial Chairman emerged as an environmental champion. He strongly supported the SEA process and suggested that hydropower plans and strategies had been made without looking at the 'big picture', and as a result these projects might have negative impacts on the environment.

A number of the recommendations of the SEA have been implemented, including: (i) a freeze on all hydropower development within the Song Thanh Nature Reserve in the Vu Gia-Thu Bon River Basin (VGTB); (ii) the trialling of benefit sharing mechanisms for hydropower in the VGTB by the Electricity Regulator of Vietnam (with support from ADB and WWF); and (iii) the restructuring of the VGTB River Basin Organisation and the development of an updated river basin plan (with support from ADB).

Source: Dunn (2009)

Box 3.3: Effective mainstreaming at the municipal level: examples from South Africa

Open space planning in Durban, South Africa

The eThekwini municipality is situated within the Kwa-Zulu Natal province of South Africa and is home to one of South Africa's major tourism cities, Durban. Due to its coastal location and warm climate, Durban has become a major tourist attraction. It is also the largest port city in South Africa. EThekwini has instituted a five-year, regularly reviewed programme to achieve sustainable development. Key performance areas have been identified and indicators and targets established to track performance. One of the major target areas is open space planning. This is strongly influenced by sustainability criteria which require that the natural resource base becomes a vehicle for meeting basic human needs, improving quality of life, facilitating and enhancing development, and ensuring the long-term ecological viability of the cities diverse ecosystem. Ethekwini's sustainable development approach consciously builds the principles of sustainability into the ways they promote economic development, provide infrastructure and services, manage the cities finances, and protect threatened ecological spaces.

Source: eThikwini-official site of the City of Durban

Integrated Metropolitan Environmental Policy, City of Cape Town, South Africa

Cape Town's unique natural and cultural environment has made it one of the most sought after tourist destinations in the world. Due to its location within the Cape Floristic Kingdom, Cape Town is not only an economic hub but also a biodiversity hot spot. The coupling of these factors highlights the need for strategic action plans that will ensure the long-term persistence of this high quality environment. Recognising this need, the Environmental Resource Management Department is implementing the City of Cape Town's Integrated Metropolitan Environmental Policy (IMEP). IMEP forms the framework for a number of strategies and programmes which aim to ensure that the principles of sustainability are adhered to. The IMEP is a commitment to the development of sectoral strategies which will detail goals, targets, programmes and actions needed to ensure sustainable resource use and management of this unique environment for the benefit of all. The four lead strategies are; Biodiversity, Energy and Climate Change, Coastal Zone Management, and Environmental Education and Training. Under these strategies, a number of programmes are underway, e.g. the biodiversity strategy which identifies a network of biodiversity sites that need to be secured to conserve a representative sample of the city's unique biodiversity and thus promote sustainable development.

Source: City of Capetown Official Website

Box 3.4: Some examples of 'conscious' environmental mainstreaming in the Caribbean

Participants in EM survey workshops in the Caribbean conducted by CANARI indentified the following examples of 'conscious environmental mainstreaming':

- Several islands have strengthened ***legislation and or standards/guidelines concerning the use of EIAs*** and other impact assessments for physical development projects. Trinidad and Tobago appears to have the most advanced legislation and codes of conduct for its Certificates of Environmental Clearance (CECs) and EIAs.

- Jamaica is developing *(a)* a new Act that combines planning and environmental management and is in the process of ***adopting an SEA policy*** which "*will require all relevant policies that are developed or revised to address environmental impacts", and (b)* a policy relating to the divestment of government land which includes environmental considerations.

- ***Integration of environmental issues into national school curricula***, notably in Jamaica where environmental issues have been *"incorporated throughout the curriculum for Grades 1-9".*

- ***Adoption by businesses of international standards*** (notably ISO 14000) has had a knock-on effect of demanding similar standards throughout the supply chain.

- ***Legal challenge***: In a landmark case in Jamaica in 2006, a high court judge ruled in favour of Northern Jamaica Conservation Association (NJCA), Jamaica Environment Trust (JET) and four individuals in a Judicial Review case concerning the granting of an environmental permit for part of a planned 1,918-room hotel in Runaway Bay. Trinidad's Environmental Commission acts as the court for legal challenges and the process has been used on at least one occasion (unsuccessfully) by a civil society organisation to object to the granting to an energy company of a Certificate of Environmental Clearance.

- The Jamaican government has introduced ***Green Procurement Guidelines.***

- In Jamaica, a ***data-sharing Memoranda of Understanding*** has been agreed between the Water Resources Agency and other government agencies with a role in water protection to set a framework for sharing of information and to seek consensus on roles and functions of each agency to prevent overlap and duplication).

Source: CANARI (2009)

3.1 The range of environmental mainstreaming outcomes

It might reasonably be argued that successful environmental mainstreaming is achieved once government line ministries and sector departments, and aid cooperation agencies' operational departments and country offices, assume 'environmental responsibility' and routinely address environmental issues, factoring them into decisions.

Reaching such a 'mature' stage should provide an opportunity to downsize bespoke environment departments so that they take on more of a coordination, advisory and

monitoring function. For example, in its 2002 reorganisation, the Asian Development Bank noted that:

> *Operational departments should be responsible for addressing and delivering products for meeting these* [environmental and social`] *objectives—a process often known as "mainstreaming." Delivery of products and services in these areas should be organizationally separated from policy development and compliance oversight.*[35]

Accordingly, the ADB disbanded the Office of Environment and Social Development and many environmental specialists were reassigned to operational departments. A new Regional and Sustainable Development Department was established which includes an Environment and Social Safeguards Division to support the strategic focus and quality of ADB operations in the environment area and promotes compliance of ADB operations with safeguard policies. In many developing countries, too, e.g. Mozambique and Uganda, environmental authorities are now supposed to play coordinating roles. However, they often revert to core environmental functions because environment has *not* yet been integrated in e.g. line ministries and local authorities: the mainstreaming outcome is on paper only.

Thus environmental mainstreaming covers a range of possible outcomes, some of which will be a prerequisite to others. It is important to know which levels are being aimed at:

Table 3.1 proposes a spectrum of outcomes, ranging from 'upstream' (influencing a policy, plans, budget, decision, etc) to 'downstream' (changing behaviours and delivering environmental improvements 'on-the-ground').

3.2 Principles of effective environmental mainstreaming

Environmental mainstreaming is an agenda for institutional change – it entails changing institutions and decisions, in order to improve a range of possible outcomes. The principal challenge to progress in environmental mainstreaming is to both work with – and yet change – the mandates, capacities, behaviours and inter-relationships of institutions at all levels: international to national to local; in different sectors; and across the main actors in development – government, private sector, civil society and external development agencies.

This is not a mechanical affair, following a clear 'recipe'. Mainstreaming narrowly aimed at a single, recognised process such as preparing a national plan could quite successfully follow some procedural steps (which is perhaps why it is often the chosen path for mainstreaming). In most other cases, however, the mainstreaming process will have to be designed to work with a highly specific set of institutional contexts, entry points and drivers (see section 2). In this case, a simple set of principles to guide mainstreaming is perhaps the most appropriate approach. Box 3.5 proposes a set of principles, drawn from the lessons of successful approaches in our survey countries, PEI and other activities, and building on the work of others.[36] Not surprisingly given the institutional change nature of environmental mainstreaming, they are structured mainly around principles of good governance.

35 See http://www.adb.org/Documents/Policies/Reorganization_ADB/reorg0400.asp

36 IIED's proposed Sourcebook will examine principles used by key initiatives. For example, UNDP offers principles that underlie country processes to mainstream drylands issues. They are consistent with principles in Agenda 21, the Convention on Biological Diversity (CBD), UNCCD, United Nations Framework Convention on Climate Change (UNFCCC) and other MEAs. (UNDP 2008)

Table 3.1: ***A spectrum of outcomes of environmental mainstreaming:***

UPSTREAM ↓	1. ***Participation and democratic process outcomes****:* • Greater interaction of environment and development stakeholders • Widened involvement of stakeholders in making the case for the importance of environment to growth and development • Improved involvement of environmentally-dependent/vulnerable stakeholders
	2. ***Policy and political outcomes****:* • High-level macro-economic, fiscal, development and social policy, constitutions and statements of national vision, includes environmental considerations • Political leadership across all parties is broadly supportive of sustaining environment in the development process
	3. ***Plan outcomes****:* • Inclusion of development-environment linkages in national development and poverty reduction strategies. • Inclusion of development-environment linkages in sector plans and implementation strategies • Environment is reflected both as a sector or range of sectors (e.g. for environmental protection and environmental service delivery) and as a cross-cutting issue for all other sectors in the plan (e.g. as safeguards and as potentials for co-benefits)
	4. ***Budget outcomes****:* • Inclusion of development-environment linkages in national and sector budgets • Fiscal instruments informed by development-environment linkages
	5. ***Institutional and capacity outcomes****:* • A range of appropriate tools/procedures to mainstream environment on a continuing basis is available, recognised and with adequate mandates, skills and resources to employ them • Strengthened capacity in key sector ministries to include environmental sustainability into their strategies • Strengthened capacity within finance/planning ministries as well as environmental agencies to integrate environment into budget decision-making • Strengthened capacity within environment institutions to understand development processes and interact in a constructive manner • A range of systemic links between institutions are made, formal and informal, to ensure improved flow of information and ideas • Environment is part of core educational and training curricula at all levels • Environment-development criteria are established as cross-cutting norms for planning and monitoring purposes

 **DOWNSTREAM**	6. ***Investment outcomes**:* • Improved domestic resource mobilization for poverty-environment investments • Increased donor contributions to country-level environmentally sustainable investment • A coherent set of economic of economic and regulatory tools and incentives promote and reward integration and added value, while discouraging inappropriate behaviours
	7. ***Behavioural outcomes**:* • Sustained behavioural change by individuals, institutions, and society, in both public and private domains –environment is a normal, accepted and expected part of doing business • Key patterns and processes of production, consumption and waste treatment in sectors and localities are informed by clear environmental considerations • The media and public interest groups regularly address environment-development links
	8. ***Ultimate (developmental) impacts of these outcomes**:*[37] • Improved productivity and sustainability of use of environmental assets • Risks from environmental hazards better managed through informed, targeted control mechanisms • Improved and sustained income, safety nets, health and livelihoods for individuals, companies and the public from use of environmental assets; and economic growth • Improved access to environmental and natural resources, especially for the poor

37 These are consistent with the development framework introduced in xxx, covering asset productivity / risk / empowerment / sustainability / benefits

Box 3.5: Principles for effective mainstreaming

1. *Leadership* – the mobilisation and creation of political will and awareness at the highest 'mainstream' levels possible, engaging with 'champions' who can trigger and institutionalize the necessary processes.

2. *Integration* – a 'two-way' approach where environment and development approaches are integrated with mutual respect and adjustment – not a one-way environmental 'push'.

3. *Key sectors* – a strong focus on economic sectors, notably those that are able to act soon and/or are facing key drivers for effective environmental inclusion.

4. *Dialogue* – a wide range of means for making voices heard and for cooperation open to all levels and sectors, using recognised norms such as prior informed consent – and not restricted to technical issues.

5. *Ownership* – the entire mainstreaming process should be under the full responsibility of the country or locality in question – and not by external interests.

6. *Subsidiarity* – decisions concerning the integration of environment development should be taken at the lowest possible level of public authority closest to the population concerned.

7. *Use mainstream processes* – use existing national, sectoral or local analytical/planning process as far as possible – rather than attempt to run special 'environment' processes.

8. *Transparency and accountability* – information is made available on environment-development links and dynamics, on decisions made and reasons why.

9. *Environmental sustainability* – the process needs to be informed of relevant environmental processes, potentials, stresses and limits.

These principles would, of course, have to be articulated to relate closely to the specific country, locality, sector or theme being addressed.

3.3 Basic steps in environmental mainstreaming

In section 3.2 we asserted that environmental mainstreaming is not a mechanical exercise which would follow a clear 'recipe', and offered some general principles to guide the work towards clear outcomes (section 3.1). We can, however, illustrate the kinds of basic steps that might then follow, to be undertaken as far as possible *within* an existing mainstream national, sectoral or local analytical/planning process (Box 3.6).

Box 3.6: Typical steps in environmental mainstreaming

The precise steps will depend upon the standard programmatic (cyclical) requirements of the analytical/planning process concerned. Typical steps for a comprehensive national process, from good practice to date may include: [38]

1. ***Scope the political economy and governance structures affecting environment and development*** – who is making decisions and for whom, who is benefiting, who is bearing costs and risks – and associated motivations and incentives.

2. ***Convene a multi-stakeholder group to steer the mainstreaming process***. This should combine environment and development interests as well as those who bridge the interests – to act as 'champions' for environmental mainstreaming, track progress, and provide policy and other recommendations to government, etc. Composition will be informed by 1 above. The format might be a National Councils/Commissions for Sustainable Development as established in many countries, or an informal 'learning group', as developed by IIED.[39]

3. ***Identify the current links between development and environment***, both positive and negative. This could be expressed, e.g. in terms of how specific environmental issues or initiatives help to achieve or inhibit progress towards each of the MDGs (or in terms of benefits such as incomes, livelihoods, health, safety net, growth, etc.); *or* how development initiatives support or impair particular ecosystem services. In some countries, national wealth accounts can be used to illustrate the relative significance of environmental assets.

4. ***Propose desirable environment-development outcomes*** and clarify how they differ from the current links – their potential to open up and develop environmental opportunities or tackle key environmental constraints or hazards.

5. ***Map institutional roles and responsibilities*** for each of the links and desirable outcomes (by spatial level, or by sector) – identifying synergies as well as lacunae/clashes.

6. ***Identify associated institutional, governance, and capacity changes*** required to improve outcomes and evolve more appropriate roles and responsibilities. As far as possible, diagnose the current levels of capacity (see 3.4).

7. ***Identify relevant entry points for environmental mainstreaming*** in key decision-making processes, informed by the above. National planning, public sector reform, and aid planning processes can all offer effective entry points.

8. ***Conduct expenditure reviews and make the 'business' case for improving environmental inclusion*** in each of the specific links (benefits, costs, risks and their distribution – in financial terms as far as possible and where relevant) and feed this into the 'entry points'.

9. ***Establish or use existing forums and mechanisms to put the above to public/multi-stakeholder debate*** and to agree on/build consensus on what needs to be prioritised e.g. national planning procedures, or donor coordination mechanisms such as the UNDAF.

38 We emphasise the caveat that these illustrative steps should not be read as being set in stone.

39 A useful way to start addressing the challenge of environmental mainstreaming or to add impetus to existing efforts can be to establish a small 'learning group' (of national environment and development 'champions', key leaders and decision-makers). Such a group can work informally to examine what environmental mainstreaming means in the country context, identify effective approaches used to date in the country, consider progress and remaining gaps and make recommendations – providing a holistic perspective into which future efforts can add value. This approach has recently been used with some success in Tanzania and Zambia, among other countries (Boxes 3.1 and 3.2)

10. ***Reflect agreed changes in key mainstream documents*** that have a recognised mandate – notably (a) policies, (b) strategies, plans and programmes, and (c) budgets. In general (but not exclusively), the more 'upstream' the better e.g. fiscal policy rather than one financial instrument.

11. ***Promote key investments*** in development-environment links that pass cost-benefit tests – by government, private sector and civil society – especially where these contribute directly to key sectors in the national/local economy.

12. ***Develop integrated institutional systems and associated capacities*** – for coordination, management, financial, information and communication, and monitoring systems – so that they incorporate environment on a sustained basis.

13. ***Ensure responsible organisations are accountable*** – develop/adopt a clear set of indicators that measure if a society or initiative is truly based on sustainable development principles and ensure these measurements can hold organisations accountable and support continuous improvement.

As an institutional change process, environmental mainstreaming will take time and will be iterative. Some initiatives group the various steps into phases, typically assessment, planning, capacity building and continuing implementation (e.g. PEI 2008 and Box 3.7 for drylands).

Box 3.7: Generic steps for drylands mainstreaming

UNDP guidelines (2008) suggest broad generic steps for mainstreaming environment and drylands issues into national development frameworks.

Strategic assessment phase
Step 1 Identifying and analysing the status of land issues and their environmental, economic and social impacts, taking into account the various direct and indirect drivers of change affecting land issues;
Step 2 Identifying and filling information needs/analysis;
Step 3 Assessing the legal, political and institutional environment for mainstreaming;
Step 4 Conducting stakeholder analysis and defining roles, responsibilities and obligations;
Step 5 Carrying out capacity assessment.

Awareness, participation and partnership-building phase
Step 1 Drawing up a communication and awareness creation strategy;
Step 2 Building partnerships for mainstreaming;
Step 3 Planning for participation and consultation processes.

Planning phase
Step 1 Undertaking iterative and integrative planning;
Step 2 Linking the plans to budgets and funding mechanisms

Implementation phase
Step 1 Building capacity
Step 2 Implementing the plans

Learning, monitoring and evaluation phase
Step 1 Monitoring and evaluation of planning frameworks for impacts;
Step 2 Evaluation of the effectiveness of mainstreaming processes;
Step 3 Revision of the planning frameworks

Source: UNDP (2008)

However, the approach taken does not have to be fully comprehensive, i.e. covering all the steps listed in Box 3.7 for all environment-development issues at any one time. It can be more tactical to begin to tackle the broad agenda through an initial focus:

- To focus on significant *environment-dependent stakeholders* that have been relatively marginalised to date, e.g. empowering civil society to express a breadth of issues (a common tactic by environmental NGOs);

- To focus on *particular sectors or districts* that have already expressed the need for environmental action and 'feel the burn' to act, e.g. commonly health, energy and infrastructure;

- To focus on one priority *environmental theme or resource* where there is already a broad consensus on potentials for change but not necessarily yet the institutional, technological or fiscal solutions e.g. transition to a low-carbon economy;

- To focus on one particular *mainstreaming tool or procedure* to open up the issue e.g. to subject key plans to EIA or SEA, or to bringing together the leaders/authors and major stakeholders of major policies, plans, strategies and programmes collectively to examine the consistency of such documents.

3.4 Capacity, systems and skills for environmental mainstreaming

For environmental mainstreaming to be a continuing process of integration that responds to new dynamics, rather than a one-off attempt, the design or mobilisation of special capacities and systems will be needed. ***Capacities*** are needed at the levels of individuals, organisations and wider sector or national contexts (Figure 3.1).

Systems that are able to span environment-development linkages include:

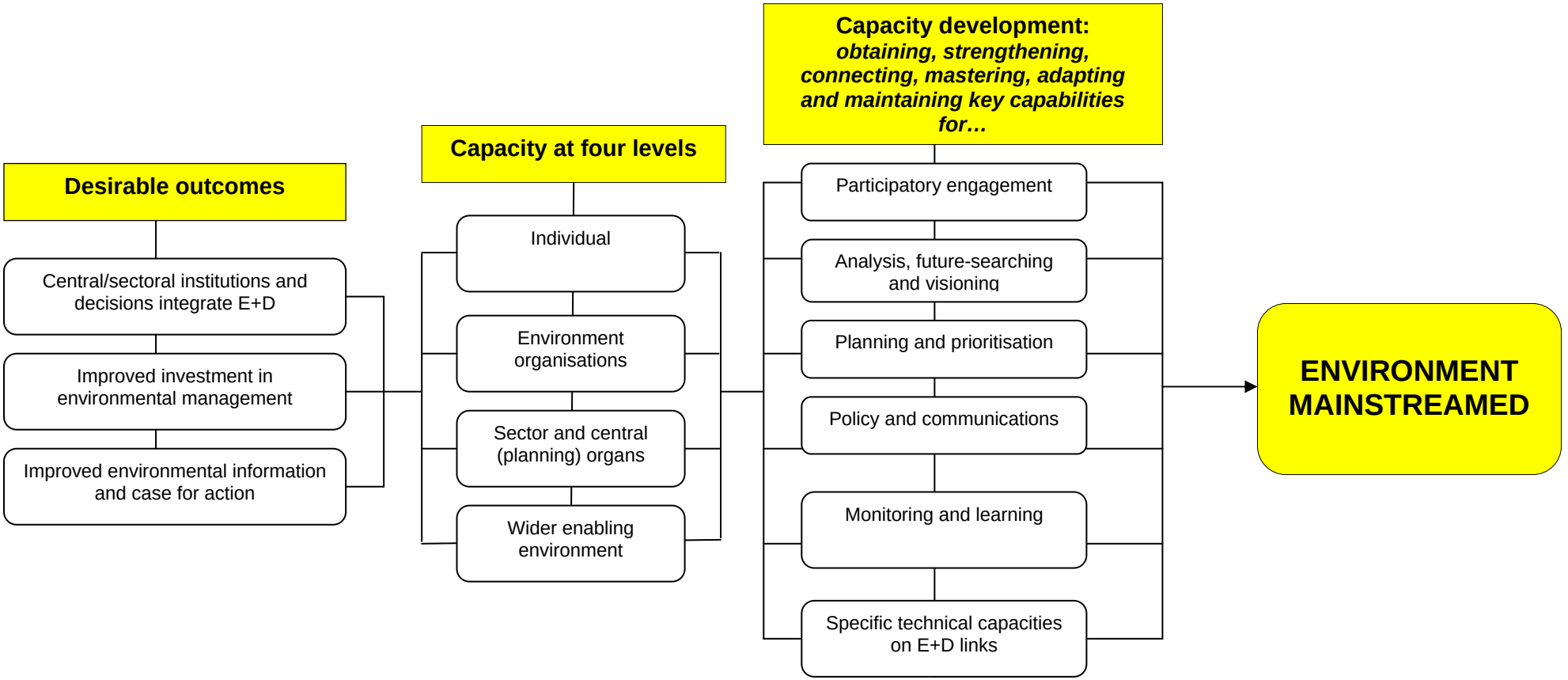
- *Information and analytical capacities and systems* that generate good, specific evidence relevant to mainstream objectives, rather than 'environmental special pleading'. For example, integrated environment-development indicators and their use in census and statistical work of sectors and localities. The Millennium Ecosystem Assessment framework offers a model;

- *New contributions integrated within the mainstream government 'machinery'* of planning, expenditure review, budgeting, fiscal policy, and development control – rather than separate environment functions (although not to the exclusion of the latter). For example, environment coordination units within sector ministries, sets of environment-development criteria for sector planning;

- *Multi-stakeholder participatory 'platforms' and methodologies,* where issues of environment and development can be debated. For example, National Councils for Sustainable Development as established in many countries (as suggested at 3.3);

- *Learning and communications systems* so that the often pioneering mainstreaming experiences can be built on. For example, environmental mainstreaming 'learning groups' (Boxes 3.1 and 3.2);

Figure 3.1: Capacity development for environment: a simple framework



(Source: developed from Bass et al., 2006)

Decision-support tools and procedures that are able to support the above, notably the tools listed in Table 4.1.

The kinds of ***capabilities or skills*** needed to operate such systems for environmental mainstreaming include:

- *Participatory engagement and empowerment skills* to bring the right champions and antagonists to the table, and especially to be able to engage marginalised groups;

- *Analytical skills* particularly to address environmental trends, poverty-environment links and the *economics* of different options – including *foresighting (scenario planning) and future-searching skills* in order that long-term environmental issues are well anticipated, managed and integrated;

- *Planning and prioritisation skills*, especially mobilising and refining those used by 'mainstream' institutions and processes – including *risk analysis and management skills* so that the significant issues of climate change, cumulative impacts and tipping points can be factored into decisions;

- *Political action and communications skills* so that mainstreaming work is clear, well-targeted and influential – including *political economy skills* so that institutions evolve in ways that bring environment from the periphery to the centre of decision-making;

- *Monitoring, evaluation and learning skills* that are able to handle complex multi-factor changes such as environment-development links;

- *Specific technical skills on particular environment-development issues* that are significant for the country, locality or sector in question.

Effective mainstreaming identifies, mobilises, builds on and builds up these elements of capacity. But such capacity cannot be developed overnight. Thus any mainstreaming 'project' needs to see itself as playing a particular role in a long-term process that will already have begun (if falteringly) and that will necessarily continue. ***In this way, it is important to work towards a systemic approach.*** There tends to be a tension in environmental mainstreaming work between stand-alone initiatives (which tend to be pushed by environment interests) and systemic approaches (which tend to be developed by planning interests).

Stand-alone initiatives try to strengthen environmental organisations or environment-development pilot projects, redressing the imbalance of environment's invisibility and lack of influence. They can be highly relevant where environmental mainstreaming is at an early stage and a 'champion' is needed. They can be easier to fund-raise for, monitor and manage. But ultimately they are difficult to 'scale up'.

On the other hand, initiatives that aim right from the start to be truly systemic, such as national sustainable development strategies, can be good at mapping needs and rehearsing new approaches, but do not themselves provide all those needs. They often come across as an imposition or a conditionality if pushed by 'heavyweight' external players such as the World Bank, or an unrealistic plan if pushed by less powerful players such as IUCN (even if they are highly knowledgeable about the environment). They are also difficult to monitor or fund over a long period. Their

likelihood of success is higher where environmental mainstreaming has already reached a significant stage, where the institutional and political climate is right for moving from an *ad hoc* approach to a systemic approach to mainstreaming.

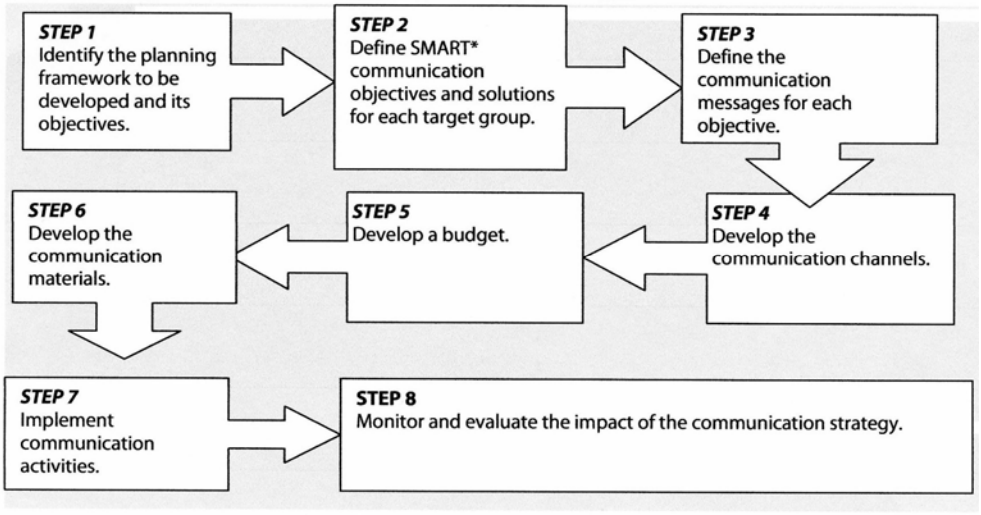
Effective environmental mainstreaming will therefore involve a mix of approaches, developed for different stages, over a considerable period of time.

3.5 Communications

Successful environmental mainstreaming requires that all key stakeholders (including citizens and marginal groups) have sufficient knowledge about environment and sustainable development issues, and are informed about the policy, strategy, plan, initiative or decision concerned. Communication can be inhibited by a range of factors including the language and medium by which information is provided (especially in countries with a diversity of language speakers), the freedom of the media, and the state of communications infrastructure. It is critical, therefore, to develop a well-planned strategy for communication (that includes advocacy as a key element) that can reach across and permeate all processes iteratively and particularly target key stakeholders. A model for such a strategy is suggested by UNDP (2008) (Figure 3.2).

Those involved in environmental mainstreaming need to sell their proposition to different target groups, in ways that create incentives for non-environment groups to respond positively. This means both avoiding language that is too environment-specific and developing positive arguments that relate primarily to those groups' own goals and aspirations (as well as some that relate to key fears). Examples of how to

Figure 3.2: Steps for a mainstreaming communications strategy



**** Specific, measurable, accurate, realistic and timely***

(Source: UNDP 2008)

pitch the overall intention of environmental mainstreaming include, for example (Bass, 2008):

- 'developing a green, low-carbon economy'
- 'making poverty reduction irreversible'
- 'improving country resilience'
- 'securing the environmental foundations for development'
- 'reversing the downward spiral of environment and poverty'
- 'policies for better environmental governance'
- 'improving cross-sector environmental benefits and reducing costs'
- 'integrating poor people's environmental needs'
- the focus being on *integration* – a hybrid outcome, and not a one-way environment-into-development outcome.[40]

3.6 Monitoring and evaluation – testing the effectiveness of environmental mainstreaming

From the above, *effective* mainstreaming might be postulated in terms of two key dimensions:

- ***Process –*** Progress assessment (which steps have been gone through? – Box 3.5) and process quality assessment (whether the principles in Box 3.6 have been applied in practice?);

- ***Outcome –*** Assessment of how far intended or unintended desirable outcomes have been achieved (e.g. using the upstream-downstream spectrum in Box 3.5)

Criteria and indicators for environmental mainstreaming to assist monitoring and improvement therefore need to be constructed based on the specific process or outcomes in mind to cover process and outcome.

Most mainstreaming initiatives, however, tend to focus on *either* process *or* outcome indicators, rather than undertaking both. Table 3.2 cites a series of questions for evaluating the effectiveness of drylands mainstreaming process; this focuses on process criteria (UNDP, 2008). Box 3.8 cites a set of indicators for evaluating the effectiveness of poverty-environment integration; this focuses on outcome criteria (UNEP-UNDP Poverty-Environment Initiative, 2008). So also does the set of 'impact' indicators for biodiversity mainstreaming listed by Petersen & Huntley (2005).[41]

The criteria and indicators need to be associated with ***accountability mechanisms***. Initially, this might be housed in the organisation that is central to the mainstreaming process, e.g. the planning authority (as in Tanzania) or the sustainable development commission (as in the UK). Ultimately, however, each mainstream authority needs to include environment-development links in its own indicators and accountability mechanism.

40 'Mainstreaming' in Spanish and French is best translated as 'integration' – perhaps a better term in English, too

41 See forthcoming IIED Sourcebook on Environmental Mainstreaming

Table 3.2: Tool for evaluating the effectiveness of drylands mainstreaming processes

Criteria	Scale *(1 = lowest; 5 = highest)*					Evaluation questions
	1	**2**	**3**	**4**	**5**	
1. Political leadership						• *How supportive is the political leadership on environmental issues?* • *Do key individuals in government hold environmental responsibilities?*
2. Institutional commitment						• *Are there institutions specifically mandated for environmental management?* • *Are they committed to environmental mainstreaming?* • *Are the institutions responsible for planning and finance equally committed to environmental mainstreaming?* • *Are institutions orienting their staff to adopt a mainstreaming culture?* • *Does government increasingly finance mainstreaming processes?*
3. Coordination						• *Is there an institution that coordinates environmental mainstreaming?* • *Is it well staffed, with technical backstopping?* • *Are there sub-committees, sector working groups or task forces on environmental mainstreaming?* • *Have they been successful in advocating for environmental issues?*
4. Participation						• *Is planning done in a participatory manner?* • *Do the direct beneficiaries participate?* • *Is there a plan to cost-effectively manage the participatory/consultative processes?*
5. Communication reporting						• *Are there good and regular communication links among the institutions and groups involved in mainstreaming?* • *Is there sharing of information on mainstreaming practices?* • *Is the media used to disseminate emerging good practices?*
6. Guidance training						• *Are staff trained before they undertake mainstreaming?* • *Are they guided by experts knowledgeable in mainstreaming?* • *Are guidelines available to the staff?*
7. Awareness raising						• *Are* all staff in the organisation*(s) that lead mainstreaming initiative(s) made aware of its importance and steps?* • *What about the general public?* • *Are awareness campaigns conducted for the political leadership?*
8. Appraisal/Assessment						• *Is the assessment of likely impacts made?* • *Is the assessment of potential developmental opportunities from natural resources also made?* • *Are the environmental, economic and social challenges of exploiting particular resources or development in areas articulated?*
9. Mainstreaming tools						• *Are tools for mainstreaming available?* • *Are they being followed?* • *Is training made available for the users?*
10. National/local sustainability						• *Are there national and local (e.g. district) sustainability strategies or environment plans?*
11. Targets/objectives/ indicators						• *Have baselines indicators/benchmarks to mainstreaming been created?* • *Have objectives been set very clearly?* • *Are target indicators reflected in the respective planning frameworks?*

12. Allocation of spending and actual funding						• *Are the plans made linked to the budgeting framework or other funding mechanisms?* • *Are approved budgets actually spent?* • *Are public expenditure tracking surveys regularly conducted?*
13. Monitoring/auditing						• *Does the monitoring framework include monitoring of mainstreamed issues?* • *Are the mainstreamed issues sufficiently reported upon?* • *Is there a culture to share the TOR for hiring consultants to review mainstreaming well in advance?*
Source: adapted from UNDP 2008						

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Box 3.8: PEI indicators for successful environmental mainstreaming

1. Inclusion of poverty-environment linkages in national development and poverty reduction strategies.
2. Strengthened capacity within finance/planning ministries as well as environmental agencies to integrate environment into budget decision-making, sector strategies and implementation programmes.
3. Inclusion of poverty-environment linkages in sector planning and implementation strategies.
4. Strengthened capacity in key sector ministries to include environmental sustainability into their strategies.
5. Widened involvement of stakeholders in making the case for the importance of environment to growth and poverty reduction.
6. Improved domestic resource mobilization for poverty-environment investments.
7. Increased donor contributions to country-level environmentally sustainable investment.
8. Improved livelihoods and access to environmental and natural resources for the poor.

Source: UNEP-UNDP Poverty-Environment Initiative

Chapter 4

SELECTING OPERATIONAL METHODS AND TOOLS FOR ENVIRONMENTAL MAINSTREAMING

IN BRIEF

Mainstreaming tools and approaches

In this chapter we discuss how policy and planning cycles provide a framework for applying tactics and methods for environmental mainstreaming, consider the broad categories of tools that are available and offer some suggestions on how to select tools and approaches that are appropriate in particular contexts. However, it is not the intention of this chapter to offer detailed guidance in this regard. In the next phase of our work we aim to develop a sourcebook on environmental mainstreaming that we will particularly aim to provide or point to sources of such guidance. This will be accompanied by an expanding library of profiles of mainstreaming tools available at www.environmental-mainstreaming.org.

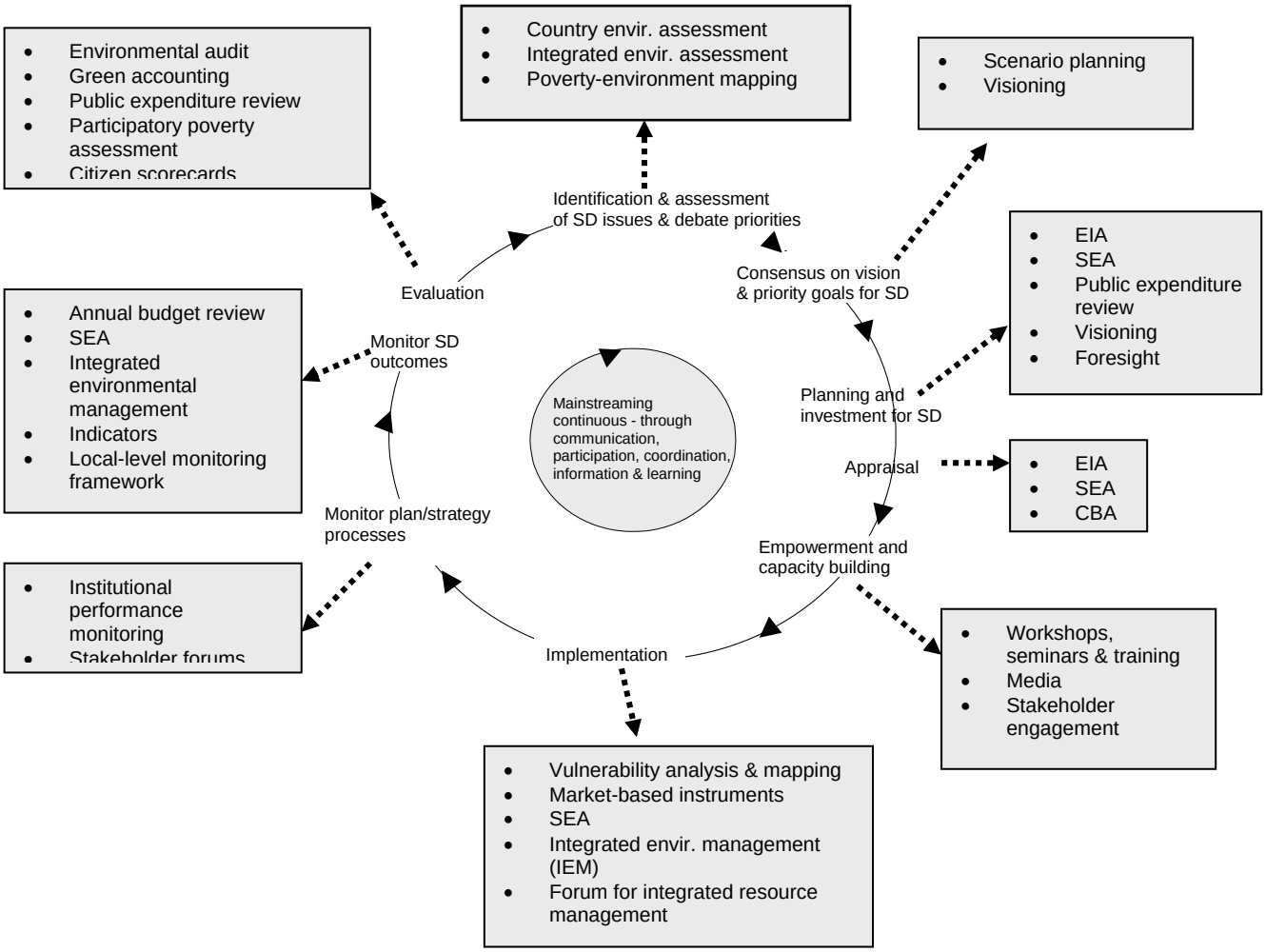
4.1 Policy and planning cycles as the framework for environmental mainstreaming tools and approaches

The tasks associated with integrating environment and development in decision-making differ at each stage of the decision-making process – commonly assessment, case-making, option development, policy-making, strategy development, planning, shaping investments, and building capacity. Such processes tend to be most effective for sustainable development when they are considered together, at least nominally in a cyclical and iterative manner (as discussed in section 2.1 and illustrated in Figure 4.1). The 'cycle' stages and the mechanisms which drive cycles (e.g. participation and communications) provide opportunities and leverage points for promoting and delivering environmental mainstreaming. Because such cycles follow generally predictable steps, usually the starting and completion dates, lead agencies and key stakeholders, and bodies/points for taking major decisions are known. This helps greatly in planning, in advance, how to engage with institutions and individuals for mainstreaming purposes, and selecting the most appropriate approaches, tools and tactics to promote and support environmental mainstreaming at each of these stages.

For example, opportunities for environmental mainstreaming are available through the internal processes and delivery mechanisms of development cooperation agencies. Here, again, an array of different mainstreaming tools and approaches can be used (see Box 4.1).

Policy-making, planning and decision-making can also be non-linear, without clear and predictable steps – due, for instance to the involvement of multiple actors with conflicting goals, or because decision-makers lack of information on the issue(s) at

Figure 4.1: Linking mainstreaming to the continuous improvement approach to managing policy, strategy and planning processes
(Adapted from Dalal-Clayton & Bass, 2002; and UNDP, 2008)



Note: The figure illustrates examples (only) of the kinds of tools available for steps in the cycle – it is not comprehensive (see Table 4.1 for more extensive list). As portrayed, it suggests that the overall process involves a rigid sequence of steps. However, in practice, these are on-going and necessarily overlap. Key features of the central tasks are stakeholder identification, strengthening capacity, collaboration and outreach.

hand, or because of difficulties in reaching consensus on defining particular concepts. Yet this less organised approach (sometimes termed the 'garbage can model'[42]) will still involve consideration of a wide range of issues and options and possible responses and the involvement of many actors/stakeholders who will still involve consideration of a wide range of issues and possible responses, involving many actors/stakeholders who will want the chance to link, discuss and assess those issues and make choices (choice opportunities). Under this model, however, mainstreaming is likely to be more *ad hoc* than planned (to take advantage of such windows of choice as they arise), and choosing the most useful and appropriate tools for mainstreaming will be critical to success.

Box 4.1: Mainstreaming tools and approaches used in development cooperation

Development cooperation agencies and other international organisations have many 'internal' processes through which they frame and channel development assistance. Environmental mainstreaming in such processes is critical if the outcomes are to be effective in promoting sustainable development.

For example, ***DFID*** attempts to make environmental mainstreaming less onerous by essentially asking just two questions at each stage of policy and programme development: 'what are the environmental issues associated with this intention, positive and negative?' and 'what will you do to minimise the negative and accentuate the positive?' (DFID 2003). The procedures are supposed to be carried out by, or commissioned by, 'mainstream' DFID officers and only aided by specialist DFID environment advisers. Annexes in DFID's 2003 guide (being revised) give guidance as to typical positive and negative issues associated with all kinds of sectoral and governance situations, and checklists of proposed responses.

In a further example, ***UNDP****'s* Environmental Mainstreaming Strategy (UNDP 2008a) identifies a range of 'entry points' and building blocks for mainstreaming environmental issues into national development planning and the preparation of UN Development Assistance Frameworks (UNDAF). Table 4.1, intended as a framework, lists tools and resources for the entry points related to phases of environmental mainstreaming in UN-supported country programming. Some activities may take place in parallel while others might be skipped due to national circumstances.

42 Cohen et al., 1972; March & Olsen, 1976

Table 4.1: Entry points for mainstreaming environment into Country Analysis and the UNDAF

UN-supported Country Programming [1]	Phases of Environmental Mainstreaming [2]	Entry points	Tools & Resources
Plan of Engagement • Map the national policy and planning process (incl. SIPs, SWAPs, DBS) • Assess the UNCT's comparative advantages • Review the quality of country analytic work and identify critical gaps • Agree on UNCT support for country analysis	**Preparation** Finding entry points and "making the case" • Assessing the country institutional and policy context • Understanding development-environment linkages Preliminary assessments of existing environmental analysis to identify: • data and information for convincing arguments • partnership opportunities • critical capacity gaps • potential working mechanisms	***Scanning, strategizing, lobbying – both UNCT and key stakeholders*** **Mapping exercise - include environmental stakeholders** • Who are the key government, donor and civil society actors and processes that shape development priorities and affect policy and planning decisions? (focus on Finance, Planning, Environment Ministries; key sectoral ministries e.g. Health, Energy, Labour; major donors). • Who amongst these actors can/would "*champion*" environmental mainstreaming? • What are their most critical institutional and capacity needs, including national and sub-national working arrangements? **Identify environment-development linkages during UNCT review of country analytic work** • What are the key environmental problems in the country and their causes? • How do they contribute to major development problems, such as poverty and disease? • What are the existing national policies and programmes to address the problems? • What are the critical gaps in the existing analysis related to environmental standards? **UNCT comparative advantages** • What are the specific comparative	Tools • Stakeholder Consultations & Literature review • National Environmental Summary • Screening for Environment in Country Analysis Resources: Assessments and Policies • National Environment Action Plan (NEAP) • National Strategy for Sustainable Development (NSSD) • Integrated Environmental Assessment (IEA) • UNEP State of the Environment Reports • World Bank Country Environmental Analyses • EC Country Environmental Profiles National reports on MEAs • Biological Diversity www.cbd.int/reports/ • Climate Change www.unfccc.int/national_reports/ • Desertification www.unccd.int/cop/reports/ • Hazardous Materials www.pic.int

UN-supported Country Programming [1]	Phases of Environmental Mainstreaming [2]	Entry points	Tools & Resources
		advantages of the UNCT for environmental mainstreaming?	
Support and strengthen country analysis • Participation in government-led analysis • Complementary UNCT-supported analysis • A full CCA process	**Phase 1: Integrating environment into national development processes** • Targeted studies - evidence • Identification of priorities for NDP, PRSP, MDG or sector strategies, UNDAF • Identification and costing of alternative environmental policy interventions and programmes	***Focusing, linking, convincing*** **Support and strengthen country analysis: Have focus** • From the range of "problems" identified for further analysis, target the ones having the most critical environment linkages – the "best bets" • Generate additional country-specific evidence to complement existing national, regional analysis **Position the evidence and arguments** • Position evidence about the critical environment linkages during national analytical processes and UN theme group (TG) meetings • Participate in analytical exercises and highlight critical environmental causes at underlying and root levels to major development problems • Use evidence, argument, and "champions" to Influence national development processes (NDP; PRS) and stakeholders	<u>Tools</u> • **C**ausality, role, and capacity gap analysis conducted by UN TGs • Influencing the PRS process • Environmental assessments (leading from the screening tool above) • Economic analysis to illustrate the contribution of environment to the national economy <u>Resources:</u> • MEAs • National reports

UN-supported Country Programming [1]	Phases of Environmental Mainstreaming [2]	Entry points	Tools & Resources
Select Strategic Priorities for UN-Government cooperation The intersection of: • major development problems • UNCT comparative advantages • alignment of stakeholders		**Link environmental evidence and analysis to emerging policy and programme priorities** • Support preparation of, and participate in the UNDAF retreat • Use evidence, argument, and "champions" to influence and shape UNDAF priorities • Make the link between UNDAF results and national environmental priorities • Develop and cost possible policy and programme interventions	As above
UNDAF and country programme/ project preparation, implementation, and monitoring	**Phase 2: Meeting the implementation challenge** • Integration of key environmental indicators in the national monitoring system • Engage in budget processes • Support implementation of policy and programmes • Strengthen institutional capacities	**UNDAF formulation** • Participate in/ co-chair UNDAF outcome groups to help formulate the UNDAF, particularly the framing of agency outcomes, outputs, and indicators, where critical environmental linkages emerge • Ensure that UNDAF results help to sustain the environmental focus in national institutions and processes (planning, budgeting, policy, etc) **Formulation of UN-supported programmes** • Offer assistance (*be the "green" advocate*) to UN agencies to help formulate country programmes and projects • Advocate for EIA screening or full EIAs. **Help make the UNDAF operational** • Participate in UNDAF monitoring and	<u>Tools</u> • Appraisal of planned UNDAF results *<u>and/or</u>* Support for agency mandated environmental reviews • Environmental Impact Assessments (EIA) (*as needed, on basis of National legislation and procedures*) • UNDAF outcome groups, joint monitoring and reporting • Checklist for including ES in the UNDAF Evaluation

UN-supported Country Programming [1]	Phases of Environmental Mainstreaming [2]	Entry points	Tools & Resources
		reporting – particularly for environment-related results • Use monitoring evidence to demonstrate critical environment-development linkages **Play a role in coordination** between UN, Gov, other stakeholders with a focus on environmental issues	

Note: This approach aims to provide a framework to mainstream environmental issues such as climate change, chemicals management, sustainable land management and sustainable consumption and production, into national development planning and UNDAF preparation. It is a guide only. Some activities will take place in parallel while some activities might be skipped due to national circumstances. Source: http://66.102.9.132/search?q=cache:M5rdJHySUOUJ:www.unssc.org/web1/program

[1] UNDG, Guidelines for UN Country Teams on preparing a CCA and UNDAF, UN, Feb 2007.
[2] UNDP-UNEP, Guidance Note on Mainstreaming Environment into National Development Planning, 2007, UNDP-UNEP Poverty-Environment Facility; UNDP-UNEP, Handbook on mainstreaming environment into national development planning, DRAFT-March 2008

4.2 What tools and approaches are available?

IIED's country surveys identified a range of common and popular approaches associated with particular challenges and tasks. We have grouped these into six categories, the first four broadly equating with different cycle tasks (see Table 4.2:

1. Providing information
2. Planning and organisation
3. Deliberation and engagement
4. Management
5. Voluntary and indigenous approaches
6. Other approaches

Table 4.2 covers many tools and approaches available to support environmental mainstreaming, but is still not comprehensive. Only a few of the approaches listed might be appropriate in all circumstances given their cost, skill and technological requirements. Profiles of selected approaches are available at www.environmental-mainstreaming.org.

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Table 4.2: Tools for environmental mainstreaming

(A) INFORMATION TOOLS	**(B) PLANNING & ORGANISATION TOOLS**
Impact assessment & strategic analysis Environmental impact assessment (EIA)***** Integrated environmental assessment (IEA) Integrated impact assessment (IIA) Life cycle assessment (LCA) Poverty & social impact assessment (PSIA) Regulatory impact assessment (environmental, fiscal) Social impact assessment (SIA) Strategic environmental assessment (SEA)***** Sustainability appraisal **Economic and financial assessment** *Public environmental expenditure review (PEER)****** *Budgeting* Cost benefit analysis (CBA) *Eco-budget* Economic analysis (general) Green/Natural resource accounting *Valuation (resource, NR, economic, goods & services)* ***Social surveys and assessments*** Household surveys Participatory poverty assessment Spatial data analysis Well-being health happiness measurement **Spatial assessment**	**Plans & policies** Business plans for protected areas (National) sustainable development strategies***** Conservation plans Economic-cum-environmental planning (ECE) Environmental (action) plans Fiscal policy (taxes, incentives, etc) Integrated development plans Internal environmental policy National & District Environmental Action Plans (NEAP / DEAP) Physical & land use planning Strategic planning (general) Spatial development framework **Legal** Legal tools (general) Public interest litigation***** Regulatory frameworks/guidelines **Policy tools** Policy analysis Policy guidelines ***Organisation-specific*** *Corporate policy & sustainability reporting* *In-house project & programme appraisals* Planning schedule Work plans

(Participatory) Geographic information system (GIS)*****
Geological survey
Resource maps
Zoning plans

Monitoring and evaluation
Community-based monitoring
Corporate social responsibility (CSR)

Environmental quality monitoring

Environmental audits
Indicators*****
Monitoring (general)

Multi-sectoral monitoring

State of environment report (SOE)

Other

Cleaner production in-plant assessment
Pre-feasibility studies

Thematic studies (e.g. noise pollution, emissions)

Visioning

Collective/community visioning

Natural step*****
Scenarios*****

Other

Certification
Charters & codes of practice
Cleaner production
Eco-management & audit system (EMAS)
Environmental management system (EMS)*****
Gantt tables
Internal meetings
ISO standards
Life cycle analysis
Multiple decision criteria analysis
Performance standards, loan/grant conditions
Standards & licensing
Sustainable livelihoods

(C) DELIBERATION & ENGAGEMENT TOOLS

Participation & citizens' action

Citizens jury*****
Community-based natural resource management (CBNRM)
Community meetings
Community mobilisation
Conferences
Eco clubs
Environmental tribunal
Internal meetings
Meetings with external actors
Multi-stakeholder consultation/processes
National councils for SD*****
Participatory mapping
Participatory planning
Participatory rural appraisal
Partnerships (e.g. citizen-city administration)
Private-public committees
Public consultations and hearings
Public participation (general)
Reward systems/motivation/funds augmentation
Stakeholder mapping

Workshops & seminars

Creating demand & awareness
Awareness workshops
Media (campaigns)

Negotiations

Public online databases
Right to Information Act

(D) MANAGEMENT TOOLS

Management planning & control
Alternative dispute resolution
Conflict management/resolution
Energy audits
Environmental compliance audits
Environmental management plans (EMP) & frameworks
Integrated environmental management
Occupational health & safety audits
Performance indicators & benchmarks
Risk assessment

Market-based tools

Business supply chains

Eco-labelling

Green procurement

Payments for environmental services

***Institutional governance** (general)*

Environmental standards & regulations

(E) VOLUNTARY & INDIGENOUS APPROACHES	(F) OTHER APPROACHES
Analysis of international regulations Converting Black Economic Empowerment (BEE) to sustainable & equitable empowerment (SEE) Bhagidari scheme (India) Informal communication Quality management systems Review of national jurisdiction	Capacity-building workshops/seminars Collaborative forest management Environmental levy Integrated soil & nutrient management tools On-farm resource flows

(asterisked tools are already profiled on www.environmental-mainstreaming.org)

4.3 Choosing appropriate tools and approaches

Here, we suggest ten questions that will help in selecting an appropriate approach or tool for a particular context:

1. Is the tool *relevant* to the environment-development issues and local/sector conditions?
2. How *easy* is it to use – what technical *capacity, skills, or qualifications* does it demand?
3. What is the demand for *data*, and is this likely to be available or easy to access?
4. How much *time* is required? – is time available realistic for use of the tool?
5. How much will it *cost*, is it economically efficient, and are sufficient funds available?
6. *Where* will it be done – will it involve a desk exercise or will fieldwork be required?
7. How *robust* is the approach – does it deliver quality, reliable, comparable information?
8. How *understandable and acceptable* will the outputs be? What is the political, economic and social climate concerning receptivity towards finds from the use of the tool?
9. How *participatory* is the approach – and can relevant stakeholders readily be engaged?
10. Does it require a degree of *enforcement* and can that be achieved?

Not all of the information needed to answer all of these questions about particular approaches will be readily available, and a decision will need to be made based on advice available. The dedicated website (www.environmental-mainstreaming.org) can be a first port of call, offering a range (increasing over the coming year) of profiles of key tools that cover many of the dimensions in these 10 questions. Also,

experimenting with an approach and testing it, or adapting it to local circumstances, can provide valuable outcomes and lessons. The same website will soon include a facility to share lessons.

Tools are not mutually exclusive, and often *a suite of tools* may used together as complements for a particular purpose/process. For example, tools such as social impact assessment, cost-benefit analysis and multi-criteria analysis might also be used when conducting an EIA.

Some approaches have been designed as a *systematic approach combining a number of tools*. For example, Integrated Environmental Assessment and reporting (IEA) is the term that has been adopted by UNEP to promote an assessment and reporting system at the sub-global level based partly on the methods of the Global Environmental Outlook (GEO). The IEA approach combines many of the process and conceptual elements that are identified in this paper as separate tools, from stakeholder engagement to monitoring and indicators, policy analysis building on SEA methods and the analysis of policy options based on future scenarios. There is a large and growing number of sub-global IEAs at the regional, country, ecosystem and municipal levels.

4.4 Further guidance

In the next phase of the Environmental Mainstreaming Initiative, starting in June 2009, IIED will build on the ground work undertaken to date and begin to develop a ***Sourcebook on Environmental Mainstreaming.*** We are discussing to undertake this in collaboration with a number of international organisations and initiatives and bilateral development cooperation agencies, including the OECD DAC, UNDP, UNDP-UNEP Poverty Environment Initiative (PEI), CBD Secretariat, CIDA and Ausaid. The sourcebook will be partly modelled on the UNDP/OECD/IIED sourcebook for national sustainable development strategies (Dalal-Clayton and Bass, 2002) and will draw from the experience and materials of all the partners and other organisations.

The Sourcebook will provide more in-depth analysis of the contextual and institutional elements. It will also contain guidance on, for example, a framework for mainstreaming (e.g. concepts, principles, key steps, entry points for mainstreaming in development decision-making and investment), communication requirements and approaches, approaches to capacity-building, illustrative case studies, sources of information and support, as well as a wide range of profiled tools and tactics.

The development of the sourcebook will be supported and complemented by targeted work in selected countries and amongst communities/networks of approach/tool expert networks to deepen our understanding of when and how particular core approaches/tools can best be used and the challenges they face can best be faced/overcome.

A progressively expanding set of profiles of EM tools and approaches will be available on www.environmental-mainstreaming.org which also provides a range of other materials, information on key literature on EM, and links to other EM initiatives and websites.

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Annex 1: Summary of questionnaire for country surveys

Note: The questionnaire was sent to those interviewed, in advance, to provide background on the issues to be discussed. It was used as a framework for discussion. Some respondents completed it in advance, others did so later or during or following group meetings/workshops. The full questionnaire can be accessed at www.environmental-mainstreaming.org

SECTION A: Respondent's details

1. Name, position, contact details
2. Description of respondent's organisation (eg government, civil society organisation, private sector/business, research, other (to be specified)
3. Brief description of the main activities that organisation undertakes

4. Role(s) in the organisation

a) Administrator
b) Planner
c) Environmental specialist
d) Economist
e) Social specialist
f) Investment specialist
g) Financial manager
h) Researcher/academic
i) Senior technical officer
j) Lobbyist/advocate
k) Head of organisation or department
l) Other (specified)

SECTION B: ENVIRONMENTAL MAINSTREAMING

1. How would you define environmental mainstreaming?
2. Describe any conscious efforts towards environmental mainstreaming that are being made in your organisation, sector or country

3. ***Drivers***: What requires or drives you to include environmental considerations in development planning or decision-making?
*Please tick all that apply and then rank the top three in your personal capacity and, if different, for your organisation by putting 1, 2 or 3 next to the appropriate boxes.***.**

		Personal	Organisational *(if different)*
a)	International commitments (e.g. UN agreements/conventions)	☐ …..	☐ .
b)	Legislation, regulations and requirements (national/local)	☐ ……	☐ ..
c)	Company/business plans/objectives	☐ …..	☐ .
d)	Company/business regulations/requirements	☐ …..	☐ .
e)	Stakeholder/public demands	☐ …..	☐ .
f)	Conditions imposed by donor/lender	☐ …..	☐ .
g)	Risk management	☐ …..	☐ .
h)	Personal values	☐ …..	☐ .
i)	Organisation's values	☐ …..	☐ .
j)	Traditional/cultural reasons	☐ …..	☐ .
k)	Actual or potential environmental events and issues (*specify*) (e.g. climate change, flooding, disasters, environmental degradation)	☐ …..	☐ .
l)	Other (*please specify*)		
m)	Do you have any other comments about what is driving environmental mainstreaming in your sector, country or region?		

4. ***Constraints***: What do you consider to be the main challenges or obstacles to integrating environmental considerations in development planning or decision-making?
(Please tick all that apply and then rank the top three by putting 1, 2 or 3 next to the appropriate boxes).

a) Lack of or insufficient data/information ☐
b) Insufficient human resources (generally) ☐
c) Insufficient human resources with relevant skills ☐
d) Lack of awareness of the range of tools available ☐
e) Not enough tools that work in our particular context ☐
f) Lack of or insufficient funding ☐
g) Lack of political will ☐
h) Lack of understanding and awareness of relevance of environmental issues in development planning ☐
i) Corruption ☐
j) Other *(specify)* ☐
k) Are there any approaches to environmental mainstreaming that you are dissatisfied with? *If so, please list the approach(es) and state why they have not been useful.*
l) Any other comments about what limits the integration of environmental considerations in different development decisions (e.g. social, physical, economic)?

SECTION C: MATCHING THE APPROACH TO THE TASK AT HAND

Please provide up to <u>three examples</u> of occasions where you have used environmental mainstreaming (successfully or unsuccessfully) and identify up to three of the main approaches (tools, tactics and methods) that were used. For each example please:

a) Briefly describe the context in which the environmental mainstreaming took place (*e.g* **p***lanning for a ferry port in a fishing village, displacing the fishing activities to another area)*

b) List the three main environmental mainstreaming approaches that were used
(Appendix 1 [not shown in this annex] contains examples of the kinds of available tools, tactics and methods but do not feel constrained by these – we are looking for those that <u>you</u> apply and each sector and context is likely to be different)t.

c) Were these approaches developed in the country or outside? Did any of them draw on local or indigenous practices?

Approach i Developed in country? Yes ☐ No ☐ Local/indigenous? Yes ☐ No ☐
Approach ii Developed in country? Yes ☐ No ☐ Local/indigenous? Yes ☐ No ☐
Approach iii Developed in country? Yes ☐ No ☐ Local/indigenous? Yes ☐ No ☐

d) What led to the selection of these particular tools? (*e.g. statutory requirement, easy to use, not costly, skills to apply exist within the organisation)*

e) Was the environmental mainstreaming process successful? Yes ☐ No ☐

f) Was it one or more of the approaches that led to the success - of lack of it - or some other factor? And if so, what factor(s)?

g) Would you use the same tools again in a similar situation Yes ☐ No ☐
If no, what would you use instead?

SECTION D: CONTENTS OF THE USER GUIDE

1. Based on your experiences, including those listed in Section 3 above, please list the five approaches to environmental mainstreaming that you find most useful in your work and that would like to see included in a User Guide

2. Are there other tools, which you have not used (e.g. through lack of human or financial resources) that you would like to see included in a User Guide?

3. Are there environmental mainstreaming tasks or contexts in which environmental mainstreaming would be desirable and no useful tools exist or existing tools need to be refined? (*Please give details)*

4. Would it be helpful for the User Guide to rank each of the profiled tools using a common set of criteria? Yes ☐ No ☐

If so, which of the following criteria would you find helpful? *Please tick all that apply, and suggest additional criteria*

a)	Ease of use	☐
b)	The extent of the skills, training, qualifications required to use the tool	☐
c)	The cost	☐
d)	The time required	☐.
e)	How understandable the outputs are to the primary stakeholders	☐
f)	The extent to which the approach requires data, fieldwork, etc	☐
g)	Robustness (does the approach deliver credible and sufficient information for effective decision-making?)	☐
h)	Level of impact n helping make progress towards sustainable development	☐
i)	Other criteria (specify)	

SECTION E: FOLLOW UP

1. May we follow up with you by phone or email to obtain clarification or more details in relation to any of your answers? Yes ☐ No ☐

2. Your contribution will be fully acknowledged in the [country] study report unless you tick the box below.

I do not wish my contribution acknowledged in the [country] study report ☐