

***THE USER GUIDE
TO EFFECTIVE APPROACHES
TO
ENVIRONMENTAL
MAINSTREAMING***

Tools, Methods and Tactics for the Real World

International Institute for Environment and Development

in association with

Caribbean Natural Resources Institute (CANARI)

Development Alternatives, India

Development Bank of Southern Africa (DBSA)

Earth Council Asia-Pacific and ICLEI (Southeast Asia).

Environmental Protection Agency, Ghana

Integra CS, Czech Republic

Research and Resources for Sustainable Development (RIDES), Chile

UNEP-UNDP Poverty Environment Initiative

[Project website: www.environmental-mainstreaming.org]

THE CHALLENGE OF MAINSTREAMING THE ENVIRONMENT

The challenge to integrate environment and development has never been more urgent. Infrastructure and agriculture must be climate-proofed. Industry must be energy-, materials-, and water-efficient. Poor people's environmental deprivations must be tackled. Their environmental rights must be recognised and supported. Environmental institutions need to work more closely together with other institutions – for too many of which the environment is treated as an externality.

There has been considerable effort to achieve such mainstreaming, with some successes. But, overall, we are still struggling in this endeavour. Change remains slow. There persists a tendency to pursue supply-driven approaches rather than responding to genuine demand. There is too much untested, expert-driven guidance on how to go about the tasks, but there has been little sharing of experience on conducting 'environmental mainstreaming' tasks in advocacy, analysis, planning, investment, management, and monitoring. We need to focus much more on linking institutions and learning from experience of 'what works' for environmental mainstreaming.

This is why, in early 2006, IIED led discussions at meetings of the PEP (Poverty and Environment Partnership ¹) on an initiative to address what approaches (tools, methods and tactics) have been found to work well in mainstreaming/integrating the environment into development decision-making. In 2007, with support from Irish Aid and DFID, IIED and a range of partners launched an initiative to develop a **User Guide** to such approaches.

This guide will be distinguished from other manuals by focusing on the perspectives of those who use such approaches (eg planners and decision-makers themselves), seeking to identify which approaches work best, for what purpose and for which user. Environmental mainstreaming capacity will be much stronger if stakeholders are able to select appropriate approaches based on information and views from actual users of those approaches.

The Guide will help people to make more informed choices, whether they are working on internationally recognised initiatives such as MDG-based national strategies, or national budgetary processes, or local level plans. It will also inform donors and others who are developing and promoting mainstreaming approaches, by offering a 'demand-side' perspective.

Explanation of key terms

Environmental mainstreaming / integration

Understanding of what environmental mainstreaming (or integration) means or entails varies considerably. In this initiative, we take these two terms to mean the same thing - encompassing 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**.

Approaches

A variety of approaches can be used to carry out the above processes. They include:

- broad tactics (ways of raising issues and making a case/getting heard);
- specific instruments, technical tools and analytical methods (eg for gathering information, planning and monitoring);
- methods for consultation and engaging stakeholders; and also
- a range of more informal, voluntary and local approaches.

¹ PEP: a group of donor agencies, multi-laterals and some research-focused INGOs (www.povertyenvironment.net/pep/)

INTERNATIONAL STAKEHOLDERS PANEL

An International Stakeholders Panel is steering the project. This includes a mix of practitioners engaged in the initiative directly (eg through conducting country surveys), agencies providing financial support to the project, and independent individuals (senior decision-makers from government, private sector, international organisations and/or NGOs in developing countries).

International Stakeholders Panel

Ella Antonio, President, Barint Trust Inc., Manila, The Philippines

Christine Asare, Deputy Director, Environmental Protection Agency, Accra, Ghana

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Penny Urquhart, Associate, Khanya-African Institute for Community-driven Development, South Africa

George Varughese, President, Development Alternatives, Delhi, India

PHASE 1: COUNTRY SURVEYS – GATHERING USER PERSPECTIVES

During September 2008 – March 2009, a series of nine country/regional surveys is being conducted by partner organisations/teams: Chile, Ghana, India, Kenya, Philippines, South Africa and Uganda, and several countries in the Caribbean and Central-Eastern Europe

The surveys comprise a mix of literature review, semi-structured interviews, round tables, focus groups and workshops. Each aims 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 find useful or not (identifying the ‘top approaches’ that have been found to be the most effective in environmental mainstreaming and why they are effective; as well as the ‘top problems’ associated with integration approaches),
- baseline information on mainstreaming approaches

PHASE 2: DEVELOPING THE GUIDE

The guide will be developed during 2008 and publication is expected in 2009 in hardcopy, on a CD Rom and subsequently as a searchable web-based product.

Scope

The focus will be those approaches *which directly help to shape policies, plans and decisions*; **not** the wider array of secondary approaches applied downstream of decision-making (eg market delivery mechanisms and instruments, field management tools). Box 1 lists some selected approaches to illustrate (only) the range of approaches that might be included in the guide. Selection will be based on user feedback from the country surveys. Mainstreaming approaches will also be presented in relation to particular 'tasks' in the decision-making cycle.

Box 1: Illustrative range of mainstreaming approaches for possible inclusion

(A) Information tools:

Economic and financial assessment: cost-benefit analysis/ IRR; public (environmental) expenditure review; 'green/natural resource/environmental – accounting'

Impact assessment and strategic analysis: EIA and EHSIA; SEA; country diagnostics (eg state of environment report, country environmental assessment); social impact assessment and variants (eg PSIA, HRIA, assessment of indigenous peoples, vulnerability, gender, livelihoods, etc), PPA; regulatory impact assessment ; poverty monitoring; business approaches (eg production assessment, Natural Step, life cycle analysis, Equator Principles, Global Compact)

Spatial assessment: poverty mapping; land use planning (including bioregional planning, landscape valuation, cultural heritage assessment, and sectoral variants).

Monitoring and evaluation: SD indicators + variants (e.g. poverty-environment indicators, MDGs); census and household surveys (including specific sampling surveys); audits and administrative reporting; sustainability reporting – national (CSD), business (CSR - obligatory and voluntary, GRI tools)

Policy analysis: stakeholder, institutional, governance and policy mapping,

(B) Deliberative tools and tools for engaging:

Participation and citizen action: participatory learning and action (PLA), PPA; citizen movements and fora/dialogues/juries/ scorecards; multi-stakeholder fora and processes, inc NCSD; consultation methods inc focus groups

Political analysis and action: Discourse-shaping, coalition-forming and common programme, tactics for making a case inc trade-off matrix, political/election manifestos, dual-track diplomacy (para-diplomacy), white papers, green papers, commissions and hearings

Conflict management: dispute resolution, arbitration

(C) Planning and organising tools:

Legal tools: public interest litigation; legal instruments that derive from MEAs, rights regime, etc

Visioning: scenario development

Management planning and control: QMS/EMS + ISO 1400 series of environmental management standards; risk assessment/management, threshold analysis, precautionary tools e.g. hotspot strategy

The Guide will profile an initial core set of approaches (in the region of 30). These will be selected on the basis of feedback from the country surveys (ie the top, most-favoured and valued approaches identified by users). The profiles will be presented in a common format, although further approaches might be included in less detail or referenced. It will include approaches that are commonly used by particular actors, notably those that tend to be obligatory. It will also include the ‘nice-to-do’ approaches that stakeholders favour most. The majority will be readily available – even if they are not always considered amongst the toolkits offered, which have tended to be too technical in focus. Some will be generic approaches for integration, with special value to the tasks of environmental mainstreaming, e.g. many deliberative approaches. Others would be environment-specific e.g. EIA. Some may be ‘indigenous’ to only a few contexts, having been ‘surfaced’ through the country surveys and Panel work. The Guide will also point to promising new approaches.

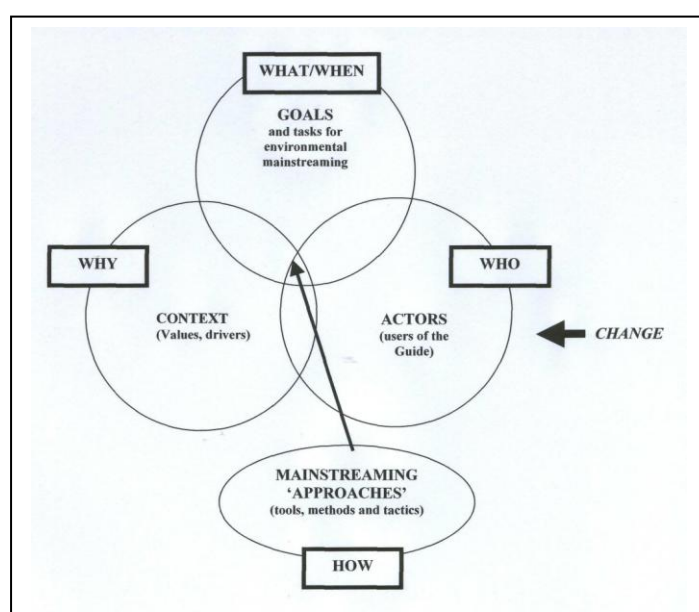
Content

The User Guide is likely to comprise *three main sections*:

- **Introductory sections** that set the scene and deal with overarching issues
 - Concepts and frameworks – covering context, goals/tasks, actors and tools
 - Commissioned ‘essays’
 - Typology of different kinds of influence that tools can exert
 - Who the User Guide is aimed at and how it can/should be used
 - A meta decision tree related to entry points for environmental mainstreaming
- **Profiles of the selected core approaches** – the heart or engine of the Guide
- **Supporting materials** on other non-core approaches, as well as annexes (e.g. sources of further information).

Initial feedback from the country studies reflect the generic complexities of mainstreaming, i.e. its multi-issue, multi-layer, context-specific nature. This suggests a possible framework/platform for describing these dimensions – context, goal, user and tool (Figure 1).

Figure 1: Platform for environmental mainstreaming



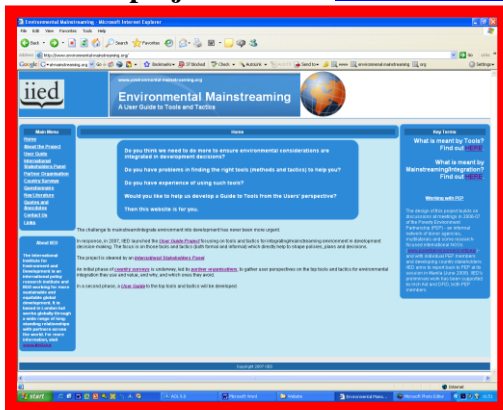
The *standard profile* of approaches (tools, tactics, methods) will cover:

- Non-technical summary;
- Technical description;
- User feedback (pros and cons);
- Decision tree - how to decide if the approach is appropriate for task, problem or context, and perhaps information on system development and missing approaches;
- Links to references/resources describing how to use the tool (pointing to tool kits rather than offering a new one).

PHASE 3: OUTREACH

A roll-out strategy for the User Guide and associated products will be developed: Opportunities will be used, where possible, to organise events and provide briefings, information and showcase illustrative proto-products (tasters) at various upcoming events – to raise interest

Visit the project website: www.environmental-mainstreaming.org



About IIED

IIED is an international NGO and a pioneer of sustainable development, established in 1971. Through its five key areas of research — climate change, governance, human settlements, natural resources and sustainable markets — IIED seeks solutions to the shifting array of challenges emerging on a planet in rapid transition. IIED's wide-ranging, long-term partnerships are one of its great strengths. Through them, IIED engages with a range of people and institutions, from urban slum-dwellers to global institutions (website: www.iied.org).

Further information

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