IIED USER GUIDE TO EFFECTIVE TOOLS FOR ENVIRONMENTAL MAINSTREAMING
KENYA CASE STUDY

With the inputs of 26 Kenyans
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List of Acronyms

CBA	Cost-benefit analysis
CBO	Community Based Organisation
DANIDA	Danish International Development Agency
DDC	Drylands Development Centre
DEAP	District Environmental Action Plan
DRSRS	Department of Resource Surveys and Remote Sensing
EIA	Environmental Impact Assessment
GEF	Global Environment Facility
GIS	Geographic Information System
GoK	Government of Kenya
IIED	International Institute for Environment and Development
ISO	International Organisation for Standardization
KAM	Kenya Association of Manufacturers
KBS	Kenya Bureau of Statistics
KFS	Kenya Forest Service
KIPPRA	Kenya Institute for Public Policy Research and Analysis
M&E	Monitoring and Evaluation
MENR	Ministry of Environment and Natural Resources
MoF	Ministry of Finance
MPND	Ministry of Planning and National Development
NEAP	National Environment Action Plan
NEMA	National Environmental Management Authority
NGO	Non-Governmental Organisation
PEF	UNDP-UNEP Poverty Environment Facility
PEI	UNDP-UNEP Poverty Environment Initiative
PRSP	Poverty Reduction Strategy Paper
SEA	Strategic Environmental Assessment
Sida	Swedish International Development Cooperation Agency
SoE	State of the Environment Report
UN	United Nations
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
WWF	World Wide Fund for Nature

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Most of all, we would like to thank all the participants in the study, who generously gave up their time to share their stories, experiences, and insight. We hope we do their astute comments and recommendations justice.

Executive Summary

Background and Methodology

This Kenya case study of tools for environmental mainstreaming is part of an International Institute for Environment and Development (IIED)-led project to produce a 'User Guide' that will enable stakeholders to choose from appropriate tools and methods. The Kenya case study is part of a first set of pilot studies. Case studies will eventually be carried out in about 20 less developed countries around the world, and the results of all case studies will inform the final IIED User Guide.

IIED partnered with the UNDP-UNEP Poverty Environment Facility (PEF) in Nairobi to undertake this study, which draws on the inputs from 26 Kenyans based on an IIED-developed questionnaire. All the participants completed the questionnaire, and 24 met with PEI staff for face-to-face interviews lasting on from 60 to 90 minutes during November and December 2007.

The majority of the participants work with the Ministry of Environment, the Ministry of Planning and National development, or with UN agencies. Others work with parastatal organizations, NGOs, or the private sector. Participants were selected because of their direct experience integrating environment into policies and development planning in Kenya. However, some of the discussions also revealed information about environmental management and awareness-raising in addition to mainstreaming.

Key Themes:

- **There is growing momentum for environmental mainstreaming in Kenya:** many tools have been introduced, awareness is growing, and practitioners are trying innovative approaches.
- **Lack of implementation and enforcement of policies and assessments is limiting the effectiveness of mainstreaming**: even when tools help create good policies, they are not effective if they are not implemented and enforced.
- **Data needs to be organised and accessible:** overall, respondents felt that sufficient data is collected in Kenya, but data is not aggregated and cannot be easily accessed by policymakers or other practitioners. Tools are needed to reform the data collection and distribution processes.
- **Economic and quantitative tools are needed:** Kenyans are enthusiastic about tools that make the economic case for environmental integration.
- **Improve monitoring and management tools:** management and monitoring tools are not available or are not well-suited for users in Kenya.
- **Lack of understanding of environmental issues and lack of skills are major constraints:** improving awareness of environmental problems among both the public and policymakers, and a lack of skills to use tools, were seen as major constraints to environmental integration.
- **Tools should be participatory and selected by the user:** in order for users to feel ownership and take responsibility for the tool, users should be involved in developing or selecting the tool. Stakeholder participation is also essential.
- **Insufficient capacity and resources for implementing key tools, such as environmental impact assessment (EIA), is limiting**: the National Environment Management Authority (NEMA) is charged with carrying out all the EIAs in Kenya. Although EIA is a widely known tool with potential, respondents expressed concern that there are not enough experts or resources to meet the demand for EIA, or to enforce the mitigation requirements of the assessments. Similar problems exist with other tools.

Findings
This report follows the structure of the IIED questionnaire. For the seven questions for which participants were asked to rank choices or tick from a list, the results are displayed in graphs and tables, including weighted value points to capture rankings in the full report.

Drivers
National and local legislation, regulations, and requirements were named as the most important motivating drivers for integrating environment into decisions. Respondents felt that **international commitments**, such as conventions and treaties, were the second-most important motivating factor, and are becoming more important as the environment becomes more prominent on the global stage. Kenyan practitioners saw **major environmental events**, especially floods, droughts, and effects of global climate change as the third most important impetus for including environmental considerations in plans and policies. **Stakeholder demands** were also seen as important, especially as more Kenyans become aware of the value of their country's natural resources. Indeed, many participants mentioned the **link between economic growth and poverty reduction, and environmental resources** as a driver.

Constraints
Lack of understanding and environmental issues was seen as the biggest constraint to effective environmental mainstreaming in Kenya. Participants felt that both the general public and policy makers do not understand or are not aware of environmental issues in the country. Participants named **lack of skills** as the second most important constraining factor. Interviews revealed the pervasive sentiment that tools are available, but they are often too complex or require more capacity or skills than exist in Kenya. **Lack of political will**, due to both the disinterest of politicians and the fact that environment is not a priority for a large portion of the electorate, was the third most frequently named obstacle to environmental mainstreaming. Respondents repeatedly mentioned the **disorganization and inaccessibility of data and information** as a constraint.

Tools by Task
Participants were asked to name three tools they use for each of the following environmental integration tasks:

- Information and assessment
- Deliberation and engagement
- Planning and organising
- Management and monitoring

When asked about tools that are used for **information and assessment**, respondents most frequently mentioned **environmental impact assessment (EIA), cost-benefit analysis (CBA), strategic environmental assessment (SEA), household surveys,** and **geographic information system mapping (GIS).** Respondents were easily able to mention tools for information and assessment, but some expressed that these tools do not always succeed in informing the policy process.

For the task of **deliberation and engagement,** workshops and conferences were mentioned most frequently. **Barazas** (community meetings held in presence of district politicians and other government representatives) were the second most commonly named tool; people were optimistic about barazas as a tool for engaging the public and transmitting information from the grassroots to policymakers. **Environmental tribunals, demonstration by practical examples, public consultations, community-based resource management**, and **media campaigns** were also frequently named.

Respondents had more difficulty naming tools for **planning and organising,** suggesting either that tools are needed for this task, or that the planning and organising is not a separate task in the minds of many practitioners in Kenya. The **National Environment Action Plan (NEAP)** and **District**

Environment Action Plan (DEAP) were mentioned as policy tools that help set targets. People also mentioned **organisation-specific planning schedules and work plans.**

Monitoring and evaluation tools used in Kenya include **environmental audits, State of the Environment Report, environmental certification, ISO-standards,** and **organisational monitoring and evaluation indicators.** Respondents often mentioned that tools for this task need to be strengthened.

Voluntary, Informal, Indigenous, and Experimental Approaches

Kenyans were quick to name indigenous and informal approaches for raising awareness and protecting the environment. However, it is unclear how the indigenous and voluntary approaches that are practiced around the country can be integrated into efforts to mainstream environment into national development policy processes. The informal and indigenous approaches that were frequently mentioned included: **taboos** about cursed or sacred species or areas that result in conservation, sharing **indigenous knowledge**, **barazas**, **communal land ownership and management**, **tree planting initiatives** such as the **Green Belt Movement**, and the **Capacity-21 toolkit** for participatory planning.

Criteria for Judging the Utility of Tools

Kenyans are looking for tools that are easy to use, are low cost, and that produce robust outcomes that have an impact on achieving sustainable development. According to practitioners in Kenya, **ease of use** is the most important criteria for judging a tool's utility. **Cost** and the **impact of the tool on progress towards sustainable development** were also mentioned as key factors that affect how useful a tool will be. In addition to the choices provided in the questionnaire, participants mentioned the extent to which tools are **participatory**, **user-friendly**, **flexible and adaptable**, and whether it is possible to **compare results** in different cases or over time as factors that affect how useful a mainstreaming tool will be. Respondents felt that the usefulness of the tool depends entirely on the case in which it is being used, the capacity of the user, the objectives, and the policy environment.

The Most and Least Useful Tools

People spoke more about attributes of tools that the most and least useful tools. Some respondents did name certain tools that stood out as useful, including: **EIA, monitoring and evaluation tools, strategic environmental assessment (SEA), the NEAP, environmental audits, and cost-benefit analysis.** In general, people were optimistic about tools that make the economic case for mainstreaming the environment, provided that the tools are easy to implement and to understand, because these tools are convincing to policymakers and people who control the budget.

Interestingly, some of the tools that participants mentioned as most useful were selected by other participants as the least useful. Some participants mentioned that EIA is not useful because of **insufficient capacity and resources** to meet the demand for **EIAs**, opportunities for corruption, and the fact that recommendations for mitigation are not taking seriously or enforced. As one participant put it, "EIA is viewed as a necessary evil in Kenya." Respondents also mentioned that the **NEAP is too broad** and has not been revised often enough to keep it relevant. Furthermore, certain respondents felt that policymakers do not take the NEAP into account in planning processes. One participant mentioned that **payment for ecosystems services in Kenya had failed** because the government controlled both the ecosystems services and the management component, "They ended up paying money only to themselves."

A few participants expressed **concern about pre-packaged tools**, and the different and conflicting approaches that are "marketed" by donors without consideration of the conditions and capacity on the ground. One person said that the **users should be involved in developing the tool** in order for users to feel ownership and take responsibility for using the tool. According to Kenyans, the tools must be **participatory** and must be **used at the appropriate level**, **taking into account the audience** for which the information is designed.

Gaps in the Tool Box

Respondents felt that tools are not completely lacking, but that they are ineffective, too expensive, or too complicated. **Management and monitoring** was most frequently mentioned as the area where tools are insufficient. Respondents felt that tools for **information and assessment** and **planning and organising** were also inadequate. Tools for **implementing and enforcing policies** are also in high demand in Kenya. According to participants, tools for coordinating and streamlining policies and donor efforts are also needed. Tools for **making the policy process participatory** and for **improving district and provincial planning, policy, and enforcement**, and tools that l**ink poverty reduction and environmental management** were also mentioned.

Trends and Conclusions

The process for creating an environmental policy in Kenya is currently underway. The policy will give environmental champions a basis for mainstreaming environment into all sectors. Currently, people are frustrated with the lack of budgeting for environment and the minimal attention given to environment in ministries outside the Ministry of Environment. Equally, in the private sector and civil society, environment is still treated as an isolated issue that has not been effectively integrated into economic development, health, infrastructure, and other sectors.

Although the unavailability of tools is an important issue, the **capacity to work with these tools is at least as important**. Lack of skills was frequently mentioned as an obstacle to environmental mainstreaming. Tools that require too much technical know-how or skills from outside will not be useful in Kenya. **Kenyans are demanding tools that are easy to use, user-friendly, and produce understandable results**. There is also demand **for tools that can be used by different users in different circumstances**, and for tools **that show the link between poverty reduction and natural resource management**. Practitioners felt that is important to involve the public in the production and use of the tools. Overall awareness and the will to promote environmental integration are needed to help tools succeed.

Introduction

This is a study aims to capture the experiences and opinions of practitioners who use tools for environmental mainstreaming (see Box 1 below for explanation of the terms). The results in this study are based on the opinions of 26 participants, obtained using a questionnaire developed by the IIED. We aimed to speak with practitioners who had experience integrating environment into development policy and projects from government, parastatal organizations, and civil society. In addition to mainstreaming, many people also spoke about the role of tools in raising awareness and improving environmental management in Kenya,

This study is structured as follows: Part I provides background information to the IIED User Guide, which this Kenyan case study is a pilot study. Part II explains the methodology used. Part III provides information about the number and background of the participants.

The findings of the survey are discussed in Part IV. The results are structured to follow the order of questions in the IIED questionnaire, which can be found in Appendix 2. Questions one through six of the questionnaire are discussed in sections 4.1 to 4.6. Section 4.7 and 4.8 address the results found in questions 10 and 11. The questions 7, 8 and 9 are not discussed in this section, since these asked participants to provide particular documentation of case studies for environmental mainstreaming tools in Kenya.

Part V, General Points of Departure- Themes of Discussions elaborates on ideas that were frequently raised in discussions, but do not pertain to a section of the questionnaire. Finally, we provide general conclusions in Part VI.

Box 1: Explanation of key terms

Environmental integration / mainstreaming
These two terms mean the same thing. In this project they 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.

Tools
Instruments, methods and tactics that are used (individually or in combination) to carry out the above processes to take environment into consideration in decision-making , eg. approaches for providing information, assessment, consultation, analysis, planning, and monitoring so as to inform decisions.

Part I: Background

The International Institute for Environment and Development (IIED) has launched an initiative to produce a **'User Guide' to tools for integrating environment into development decision-making** (environmental mainstreaming), steered by an international stakeholders panel. Such tools might be applied at grass roots levels or at the highest level of policy making. The tools may be used by a range of users, including government, non-government, and community-based organisations, businesses, and private sector organisations to mainstream environment into policy and into development projects and processes. The guide aims to understand how and with what success various tools are used.

Following a project working group meeting involving participants from about 20 less developed countries in the early months of 2007, IIED designed the global approach to the study following consultations with the Poverty Environment Partnership and with donor agencies. IIED, in consultation with the country survey partners, developed a generic survey questionnaire (see Appendix 2 for the full questionnaire). Currently case studies are being carried out in Chile, Ghana, India, Kenya, Philippines, South Africa and the Caribbean. The Kenya case study, which began in October 2007, was carried out by staff at the UNDP-UNEP Poverty Environment Facility in Nairobi.

IIED's contention at the onset of the project was that environmental mainstreaming capacity will be much stronger if stakeholders are able to select appropriate tools and methods. Some tools and methods are widely used and others still in development; some are easy to do and others demanding of skills and money; some are effective, others are not. Too many tools are being 'pushed' by outside interests, and too few locally developed (and more informal, or less expensive) approaches are widely known. Furthermore, there is not enough 'demand-pull' information from potential users. Nor is there enough information available that helps them to select the right tools themselves – as opposed to taking what others want or suggest/promote. Some of these conceptions were confirmed, and others do not seem to apply in some countries. Through the course of the project, it has become apparent that if tools work depends on the context and the user.

The final User Guide will synthesize comments from all countries. The Guide hopes to include an expanded set of tools and approaches beyond those that tend to be emphasised by technical experts. The Guide will elaborate on the conditions that tend to make tools either succeed or fail, with suggestions for how to create an enabling environment in which tools will be well-received.

The project process will offer three products:

(a) A core of about 30 tools will be profiled and reviewed according to common criteria.
(b) A guide to choosing tools for specific tasks - to help users select the approach that is right for particular problems or tasks.
(c) An overview of areas for which all tools tend to be weak or missing will also be prepared, to guide further tool development.

An initial phase of case studies is underway. IIED will embark on a second phase that brings together all the inputs from countries in 2008.

Part II: Methodology and Limitations

2.1 Methodology

The Kenya case study is based on 24 face-to-face interviews and two written surveys. UNDP-Kenya provided the contacts of 30 professionals working in government ministries, non-governmental organisations, research organisations, United Nations agencies, and other donor agencies. Staff from the UNDP-UNEP Poverty Environment Facility (PEF) administered the survey, carrying out the 24 interviews in November and December 2007.

During the interviews, we discussed all questions in the questionnaire, verifying the responses with the participants. We discussed examples, related issues, and the pros and cons of specific tools in detail in the interviews, which generally lasted 60 to 90 minutes. We recorded the majority of the interviews with an audio recording device. We then transcribed the interviews and sent the text back to the participants for review, amendment, and further elaboration. All quotes used in this study were verified with the participants.

To analyse the survey responses, the more 'quantitative' questions were scored and weighted. Questions one and two asked for rankings of top three factors. To weight ranking, the top priority responses were weighted with four points, the second-ranked choice was given three points, and the third-ranked choice was worth two points. Any other answers that were ticked but not ranked were assigned one point (see also questionnaire in Appendix 2 for clarification). Questions five and 11 asked for selection, but not ranking. Every response to these questions was given one point. This allowed us to have a quantitative picture of the most common results for these questions.

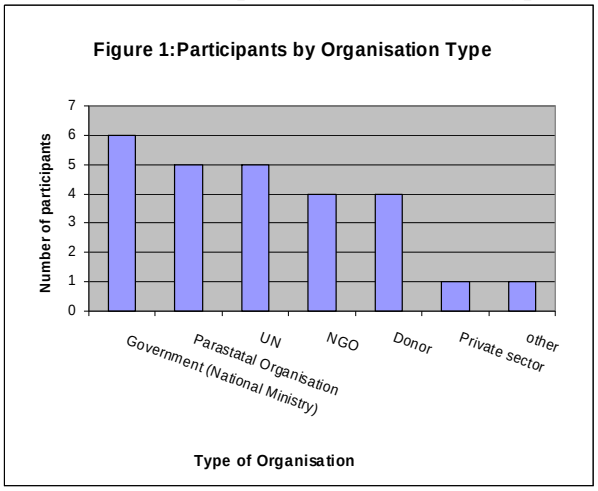
2.2 Limitations

It should be noted that 26 responses is not a large sample size. **Therefore the quantitative results of this study do not represent an accurate sample of all Kenyans.** In addition, the respondents all worked in Nairobi, and our contacts came from a fairly narrow circle. These responses might not be representative for all the practitioners working in the field of mainstreaming environment in development policy processes. The next section gives more information about the background of participants.

Part III: Profile of Participants

Figure 1 and 2 below show the organisational representation of participants in the Kenya case study. **Of the 26 participants, six worked in national government agencies and six worked in parastatal organisations. Five worked for UN agencies, five worked in various NGOs, and four worked as advisors funded by donor agencies but sitting in a government or parastatal organisation.**

Figure 1: Participants by Organisation Type

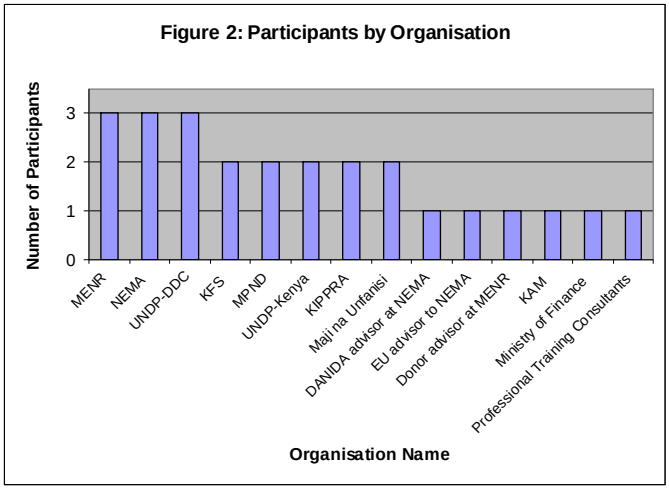


Participants from the Ministry of Planning and National Development (MPND) and the Ministry of Environment (MoE) accounted for the majority of participants from government. We also interviewed one person from the Ministry of Finance. Representatives from the National Environmental Management Authority (NEMA), the Kenya Forestry Service, and the Kenya Association of Manufacturers accounted for the participants from parastatal organisations.

As for the UN agencies, we interviewed two professionals from UNDP-Kenya country programme, and three people affiliated with UNDP's Drylands Development Centre (UNDP-DDC). As mentioned, four respondents were donor funded advisors, two to NEMA, one to KFS, and one to MENR.

We also spoke with professionals from NGOs and one private consulting firm, Practical Training Consultants, as shown below.

Figure 2: Participants by Organisation



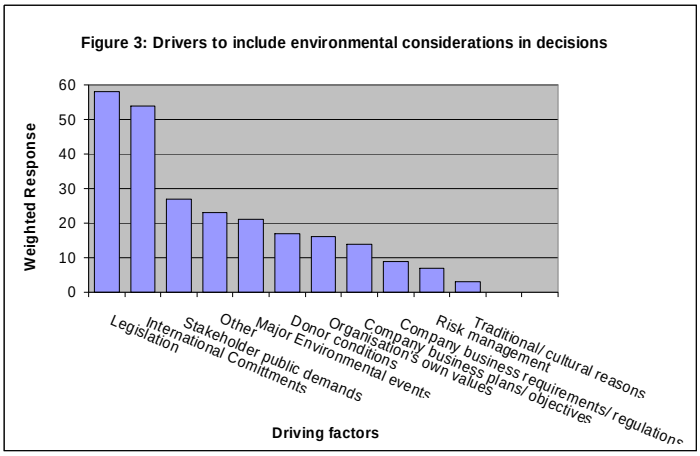
Unfortunately, only three out of the 26 respondents were female. The interviewers tried to get hold of more female participants, but these seemed much less represented in the field of mainstreaming the environment in Kenya.

Part IV: Findings

4.1 Drivers

As a preliminary question, we were interested in **the factors that required or motivated people to include environmental considerations in decisions.** We asked the participants to rank the top three drivers. When the rankings were weighted and tabulated as shown in Figure 3 below, **National and local legislation, regulations and requirements emerged as the biggest driver for including environmental considerations in decisions.** International commitments, such as UN agreements and conventions, were the second-highest rated driver. Participants frequently mentioned stakeholder demands as another important driving factor.

Figure 3: Drivers to Include Environmental Considerations in Decisions



The majority of people who mentioned major environmental events as a driver named climate change, droughts, and flooding as events are increasing awareness about environmental change in Kenya.

Interestingly, of the other responses, 10 out of 15 weighted points referred to the fact that economic growth and poverty reduction depend on Kenya's natural resource base. Many people stressed the important contribution of environment and natural resource based activities, including tourism, to Kenya's economy. It seems that greater awareness of these linkages among Kenyans is driving environmental mainstreaming.

Table 2 shows the number of times each driver was mentioned, as well as the weighted rankings taking into account the respondents three highest ranked drivers.[1]

Other drivers that were mentioned included environmental awareness at international level, long-term cost-effectiveness,[2] the National Environment Management Act, international activities like meetings and conferences, task forces, and ethical values.

[1] First rankings received a value of 4, second rankings a value of 3, and third rankings were valued at 2 points, choices that were mentioned but not in the top three were given one point. The same methodology is used throughout.
[2] Accompanying the realisation that in the long run sustainable development will be more economically sound.

Table 1: Value points attributed to different drivers for including environmental considerations into decisions

Drivers for environmental considerations	**Value points attributed per respondent**																						**Total Value points**
Legislation	4	4	4	4	4	4	4	3	3	3	3	3	3	3	3	2	1	1	1	1			**58**
International Commitments	4	4	4	4	4	4	4	3	3	3	3	2	2	2	1	1	1	1	1	1	1	1	**54**
Stakeholder public demands	3	3	3	3	2	2	2	2	2	2	2	1											**27**
Other, of which:	4	4	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1						**23**
Poverty-Environment link	4	4	1	1	1	1	1	1	1	1	1												17
Major Environmental events	4	4	4	4	1	1	1	1	1														**21**
Donor conditions	3	3	2	2	2	1	1	1	1	1													**17**
Organisation's own values	2	2	2	1	1	1	1	1	1	1	1	1	1										**16**
Company business plans/ objectives	4	2	2	1	1	1	1	1	1														**14**
Company business requirements/ regulations	4	3	1	1																			**9**
Risk management	3	2	1	1																			**7**
Traditional/ cultural reasons	1	1	1																				**3**

4.2 Constraints

The second question asked participants **what they considered to be the main challenges/obstacles to integrating environmental concerns in development policy-making, planning and other decision-making**. The survey specified a number of constraints, and asked participants to rank the top three.

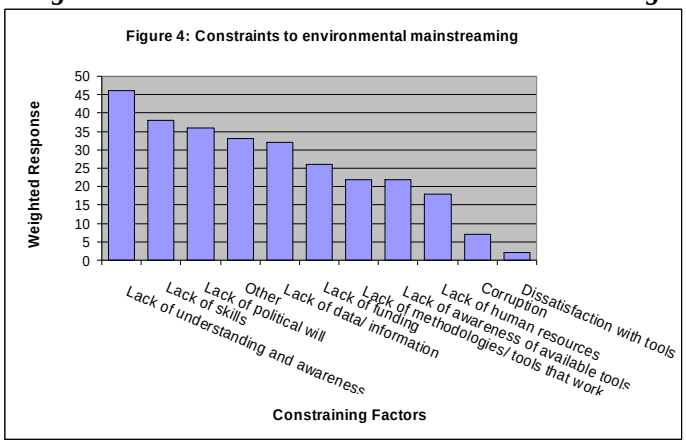
Figure 4 and Table 3 below give a weighed tally of responses. **Lack of understanding and awareness of environmental issues was the most frequently named constraint to integrating environment into decision making**, mentioned by 18 of the 26 respondents, and ranked as the most important factor by 6 respondents. **Lack of skills was the second-most frequently mentioned response.** Lack of political will and lack of data and information were also frequently mentioned. The least important constraint was dissatisfaction with particular tools, mentioned by only 2 respondents.

According to participants, the lack of understanding and awareness of environmental issues affects most people in Kenya, from the grass roots level to policy-makers. As Samuel Gichere, Chief Economist at MENR said, *"If my father sees a tree, he sees only firewood and charcoal. This perception is no different for many well educated people."*

Sampson Wasao, an economist at MPND, mentioned that mainstreaming itself is hard to understand. He explained that "mainstreaming the environment" is a nebulous term. *"It is not concrete and it is difficult to measure results"*, he said, *"People need to understand that these approaches are being used for their own benefit."*

Some people mentioned that lack of political will for environmental integration was tied to a lack of awareness of environmental issues, but many people mentioned that the election cycle breeds short-term thinking and planning on environment among MPs especially. Furthermore, the environment is not high on the political agenda, and it is not an issue that voters care about. As one participant said, *"Trees don't vote."*

Figure 4: Constraints to Environmental Mainstreaming



People also felt that the data and information available in Kenya was a constraint. **However, the overwhelming sentiment was that there is sufficient data collected in the country, but the problem is the lack of organisation, consistency, and accessibility (10 respondents commented along these lines).** Many people spoke about the need for better meteorological and environmental data and the need for data to be aggregated in a single source, such as the Kenya Bureau of Statistics (KBS) or the Department of Resource Surveys and Remote Sensing (DRSRS). People also complained that government and research organisations sell data at expensive rates.

Many people who selected the 'other' choice mentioned that the policy process itself is not conducive to integrating environment. People spoke about the slow process of moving policies from drafts to legislation. Scott Gellar, USAID Advisor at KFS said, *"In the policy process it all depends on people and personalities, in terms of for example dynamics and skills."*

Lack of enforcement of legislation and lack of follow-through on assessments was mentioned as another constraining factor- EIAs are not monitored, budgeting may not correspond to environmental language in the policy, and when there is budgeting, actual allocation of funds to environment may not be monitored and enforced. Respondents also mentioned **poverty as a constraint to promoting better environmental management.** As John Nyangena explained, *"With poverty, the need to put food on the table often overrides environmental traditions and consciousness. Concern for the environment therefore tends to decreases with poverty."*

Table 2: Value points attributed to different constraints for environmental integration

Drivers for environmental integration	**Value points attributed per respondent**																			**Total Value points**
Lack of understanding and awareness	4	4	4	4	4	4	3	3	3	2	2	2	2	1	1	1	1	1		**46**
Lack of skills	3	3	3	3	3	3	3	3	2	2	2	1	1	1	1	1	1	1	1	**38**
Lack of political will	4	4	4	3	3	3	2	2	2	1	1	1	1	1	1	1	1	1		**36**
Other	4	4	4	4	3	1	1	1	1	1	1	1	1	1	1	1	1	1	1	**33**
Lack of data/ information	4	4	4	4	4	2	1	1	1	1	1	1	1	1	1	1				**32**
Lack of funding	4	4	4	3	2	1	1	1	1	1	1	1	1	1						**26**
Lack of methodologies/ tools that work	4	3	3	2	2	2	1	1	1	1	1	1								**22**
Lack of awareness of available tools	4	3	3	2	2	1	1	1	1	1	1	1	1							**22**
Lack of human resources	4	3	2	2	1	1	1	1	1	1	1									**18**
Corruption	1	1	1	1	1	1	1													**7**
Dissatisfaction with particular tools	1	1																		**2**

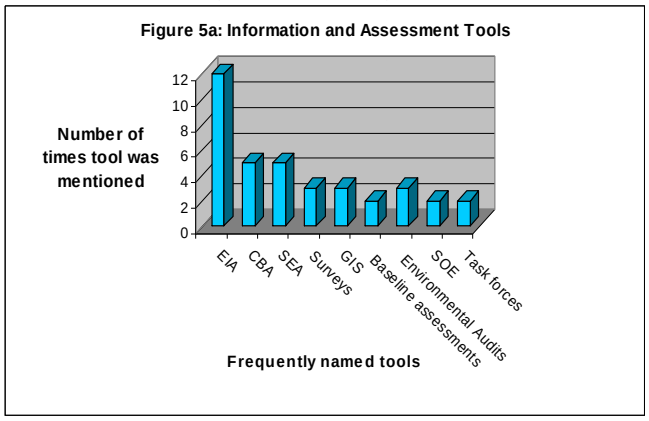
4.3 Tools by Task

The third question of the survey asked respondents to mention three formal tools or tactics that they use for environmental integration in four key task areas:

- Information and assessment
- Deliberation and engagement
- Planning and organising
- Management and monitoring and; other(s).

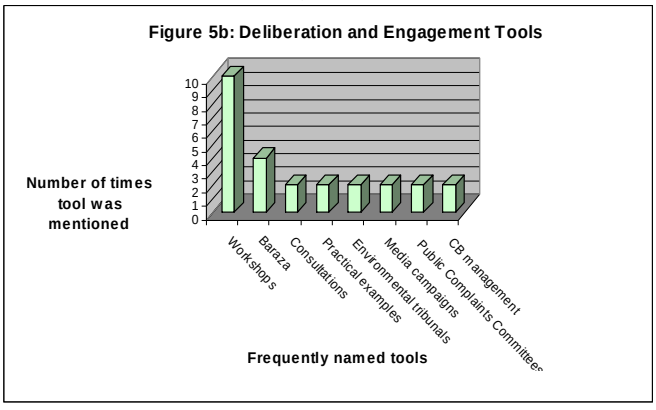
Figures 5a, 5b, 5c, and 5d show the most frequently mentioned tools for each of these tasks. Only the responses that were mentioned multiple times are shown. Appendix 4 shows a matrix of all of the responses. Because many of the respondents do not work directly on mainstreaming environment into policy, the responses often refer to projects or general awareness-raising.

Figure 5: Tools by Task



For information and assessment, EIA, Cost Benefit Analysis (CBA), Geographic Information System (GIS), environmental audits, and Strategic Environmental Assessment (SEA) are the most frequently used tools. Responses on the efficacy of these tools varied. Participants described EIA, CBA, and SEA as the "prescribed" tools for most any situation in Kenya.

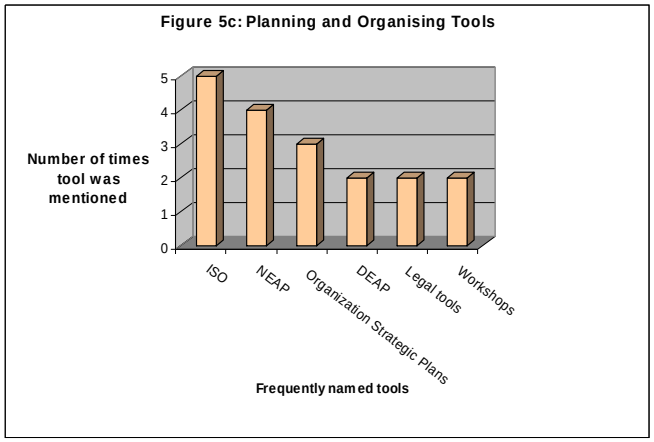
Figure 5b



For the task of deliberation and engagement, local-level workshops and barazas as the most commonly used tools. Many participants felt that barazas, weekly or biweekly meetings in which government representatives, district politicians and community members come together to discuss

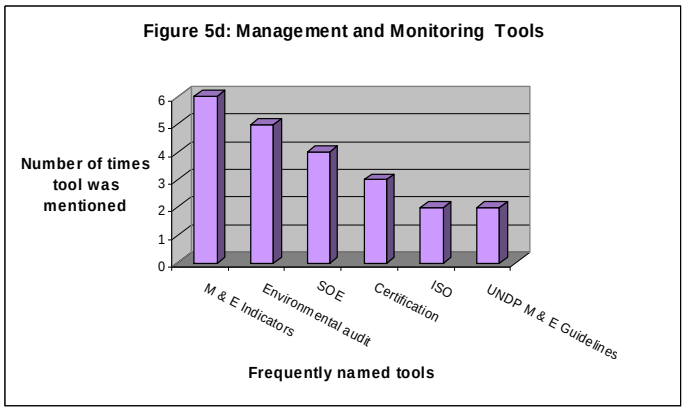
pressing issues, serve as the link between local level communities and policy. Barazas also serve as a forum for community members to raise environment-related grievances, such as sanitation problems, pollution, resource exploitation, etc. Workshops and consultations were also frequently mentioned.

Figure 5c



Respondents had some trouble thinking of tools for the planning and organising task, suggesting that this task may not be defined as a separate area, but rather an ongoing process, in the minds of many Kenyans who work on mainstreaming.[3] ISO quality standards were mentioned by five participants who felt that quality certification standards set targets and incentives which serve as the framework for planning around targets. ISO may have also been mentioned so frequently because it is listed as an example of planning and organising tools on the survey. **Participants also felt the NEAP and DEAP created a useful framework for planning.** Because they are legislative requirements, the NEAP and DEAP can be leveraged to push for more substantive integration of environment into other national policies to be in line with the NEAP.

Figure 5d



Monitoring and evaluation frameworks and environmental audits were mentioned as the most widely used tool for monitoring and evaluation. People were very optimistic about environmental audits as a monitoring tool, but as of yet environmental audits do not seem to be used that frequently. The State of the Environment Report is the most widely mentioned tool for monitoring environmental quality, but many people spoke of the poor quality, infrequency, and lack of analysis in the SOEs.

[3] As seen in section 4.8, respondents did not feel that there is a particularly strong need for planning and organising tools.

Note that some tools are mentioned under more than one task. During the interviews it became clear that the respondents weren't sure under how to categorise the tools they used. As one respondent put it, *"Many tools cut across all the environmental integration tasks mentioned above."*

4.4 Voluntary, Informal, Indigenous, Experimental Approaches

In addition to the formal tools that are typically used for influencing policy, we were interested in the informal, experimental and indigenous tools that are used for environmental mainstreaming and raising awareness. The fourth question in the survey asked whether respondents used any **voluntary, informal, indigenous or experimental approaches** for environmental integration.

Almost all the respondents were able to mention at least one indigenous or informal tool. However, the majority of them acknowledged that they themselves did not work with these tools. Only five respondents said that they used indigenous tools in their work. Most of the indigenous tools are not used for influencing national policy, but for raising awareness, promoting environmental protection, and in some cases changing local policy. In some cases indigenous initiatives have "trickled up" to shape national and international thinking, such as Wangari Maathai's Green Belt movement.

For awareness-raising and collecting information about local environmental conditions and management, respondents most frequently mentioned regional workshops, forums, dialogues, consultations, baraza's and meetings. Eight out of the 23 respondents who mentioned an indigenous or informal tool pointed to these kinds of gatherings. Other tools that were mentioned were music, local NGOs initiatives, and story telling.

In Kenya there are many indigenous tools for managing or protecting the environment. The most frequently mentioned initiative tools included:

- Indigenous knowledge, such as medicinal plants and grazing rotations (mentioned 8 times)
- Local taboos on environmental resources (4 times).
- Beliefs about poisonous plants or cursed areas have the externality or creating conservation zones.
- Communal land management or ownership (3 times)
- Water harvesting tools (3 times)
- Tree planting such as the Green Belt Movement (2 times)
- Religious activities/believes (2 times)

Agroforestry, promoting energy efficiency, and terracing were also mentioned. One respondent mentioned Community Development Trust Funds (CDTF)[4] as a tool developed in Kenya that leverages resources for local environmental management.

Many respondents commented that indigenous tools are becoming scarcer. Some felt that a revival of indigenous approaches should be promoted. **From the responses, it seems that informal and indigenous tools are most effective at improving environmental management and raising awareness, rather than mainstreaming environment into policy and development processes.**

[4] Community Based Organisations (CBOs) can apply to the CDTF to get funds in order to organise their own environmental management

Box 2: List of indigenous or informal tools mentioned

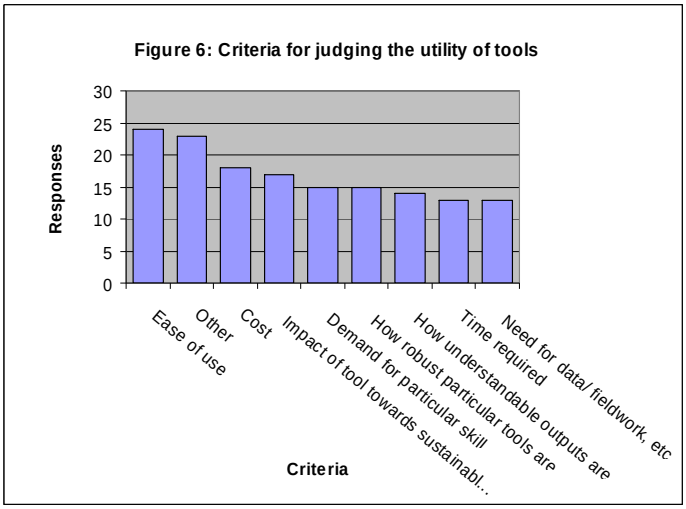
- Tools for conflict resolution (codification of arrangements; understanding how people deal with conflicts over natural resources)
- Gender specific tools
- Indigenous weather monitoring
- Butterfly project
- Kaizen process
- ISO-standards
- Indigenous knowledge
- Local taboos on environmental resources (sacred groves, traditional or sacred sites; believes that certain species are poisonous)
- Communal land management or ownership (balancing livestock around Protected areas; grazing lands management: zones/crop shifting)
- Water harvesting tools
- Tree planting such as the Green Belt Movement
- Religious activities (praying, celebration)
- Promoting energy efficiency
- Terracing
- Music
- Involvement of local NGOs
- Story telling
- Community Development Trust Funds (CDTF)
- Regional workshops
- Dialogues
- Stakeholder consultations
- Multi-stakeholder forums
- Barazas
- Regional/local informal meetings (gatherings and peace meetings)
- Agroforestry
- Identifying and sharing innovation

4.5 Criteria for Judging Tools

We asked respondents about the **criteria they would find helpful in a User Guide that aims to judge the utility of tools.** A number of criteria were listed in the questionnaire, and respondents were asked to specify other criteria they would find useful. This question did not ask the respondents to rank the criteria, but simply to state whether or not they found them useful.

Figure 6 and table 5 in below show that **ease of use and various 'other' criteria were the most common responses.**

Figure 6: Criteria for Judging the Utility of Tools



Nearly all of the respondents, 24 of 26, mentioned ease of use or complexity of the process is the most important criteria for judging a tool. **Cost was another important factor**, mentioned by 18 of the 26 respondents, **followed closely by the impact of the tool in helping make progress towards sustainable development** (17 responses).

> *"The tool is as good as the available data on the ground enables its application."*
> - Joseph Opio-Odongo

Most respondents (23 out of 26) mentioned an 'other' criterion to judge the utility of tools. **The extent to which the tool is participatory, the user-friendliness of the tool, flexibility and adaptability, and the ability to compare results across different contexts were mentioned as 'other' important criteria.** Respondents also mentioned that the tool should be **"targeted to the user", "demand-driven" and "acceptable to the public"**. As Joseph Opio-Odongo, environmental policy advisor in UNDP-DDC said, *"The tools must be user-friendly and relevant to the task at hand. How people relate to the tool is important."*

Some respondents mentioned that tools should **involve the stakeholders in the process of producing and or using the tool.** Flemming Mouritsen, Danish-funded policy advisor for the Ministry of Environment and Natural Resources, was of the opinion that pre-packaged tools are not useful, and that instead relevant stakeholders should be involved in developing these tools. He explained that, *"The relevant stakeholders should be involved in the implementation strategy for tools for mainstreaming the environment. This will give a sense of ownership, and it allows people to learn in the process: learn by doing"*. Susan Lekoyite gave another explanation, *"The most important thing is that you include the local people. Then whatever tool you use, they will be with you."*

Eight respondents mentioned the need for tools to be flexible or adaptable to various levels or circumstances. As Joseph Opio-Odongo put it, *"The tools must be appropriately applied to the situation at hand. The tools must not be cast in concrete. It must be a living instrument that users can adapt to meet their needs as situations unfold."*

Three respondents brought up the comparability or measurability of the outcomes as important attributes of a tool. As Albert Mwangi, project manager in UNDP-DDC, said, *"For a good tool one needs standards. Tools should be comparable across different countries where they are used. Only then is one able to compare the results. The challenge is more the standards of the tools, rather than the usefulness, so that they can be comparable."*

Other criteria that were mentioned included:

- Impact of the tool
- The added value of the tool
- Timing of the tool in the policy process or project implementation
- The use of the tool for politicians
- The ability to influence policy-makers
- The ability to move beyond just documents
- The extent to which the tool is integrated into the policy-process
- A step-by-step approach of the tool
- The gender-sensitivity of the tool

Although these criteria are important for assessing the usefulness of the tool, **many respondents felt the conditions under which the tools are used determine how useful the tool will be.** The policy environment and the users are equally important 'criteria' in predicting how useful a tool will be.

4.6 The Most Useful Tools

Respondents were asked to identify the top five tools that they regard as most useful in their work and to state why they are useful. Many people found this difficult, especially ranking the tools. **Overall, Kenyan practitioners feel that the usefulness of the tool depends on its application.** As Albert Mwangi said, *"Most tools are useful in one way or the other, and in many cases one uses a combination of different tools, depending on the issues you are dealing with. Rather than pinpointing a certain tool, it is the attribute of the tool which makes it useful or not so useful depending on the area where it is being used."*

Of the rankings we did receive, **Environmental Impact Assessment (EIA) was most frequently mentioned as a useful tool.** EIA is used as a preliminary assessment of the environmental impact of development projects, and is mandatory for all development projects. EIAs are often required as a condition for donor funding.

However, many respondents added the caveat that EIA is often done cursorily without delving deeply into the environmental costs of development projects. NEMA has the sole authority to certify auditors, carry-out, and follow up on EIA. Some respondents expressed concern that NEMA has insufficient capacity and resources to carry out the many EIAs that are required. There is also some concern about corruption within the EIA process.

The National Environment Action Plan (NEAP) was also frequently named as a useful tool. Respondents noted that the NEAP drafted in 1994 galvanized support and attention for the environment, while setting targets and a timeline for improving environmental integration in policy.

Similarly, people mentioned District Environmental Action Plans (DEAP), which identify environmental problems and propose actions at the district level were also mentioned as a useful tool in theory. However, participants mentioned that the quality of DEAPs vary widely among districts, making it difficult to compare environmental quality across Kenya. Many DEAPs lack sufficient district-specific analytical data, and time-series data in DEAPs is rare.

Other tools mentioned as useful included Strategic **Environmental Assessment (SEA), monitoring and evaluation tools, environmental audits, and workshops.** Practitioners seem to feel optimistic about SEA and environmental audits (EAs); SEA because they assess they integrated policy and sector conditions, and EAs because they create accountability and standards.

Because economic analyses are effective in quantifying the value of natural resources, many respondents mentioned cost-benefit analysis and economic valuation. Budgeting tools were also mentioned as useful, because leveraging funding is an essential part of mainstreaming.

Stakeholder participation, such as multi-stakeholder forums, group dialogues and participatory citizen's action were mentioned because they involve the public, create a sense of ownership, and empower people while making policy more relevant.

4.7 The least useful tools

The survey also asked respondents to nominate the least useful tools they are required to use in their work and to indicate why these tools are not useful.

Many respondents clarified that they are not 'required' to use any tools in their work. The pervading sentiment was that there was no one tool that has failed in Kenya. As users seem to select their tools by choice in Kenya, they choose the approaches they know are likely to be successful. As Simon Mbarire, Deputy Coordinator of Environmental Policy Secretariat in the Ministry of Environment and Natural Resources said: *"You don't go for a tool that will not deliver. You choose the tool that you know will work."* Albert Mwangi's reaction to question 10 was simply, *"If a tool is not useful it should not be in the toolbox."*

Some people did mention least useful tools, including:

- National Environment Action Plan (especially enforcement)
- Environmental Impact Assessment
- Payment for Ecosystem Services
- Lease-hold forestry policy
- The State of the Environment Report
- Strategic Environmental Assessment
- Environmental audits
- Ecological footprint assessment
- Participatory Poverty Assessment

The National Environment Action Plan (NEAP) was found too broad, was not updated regularly, and was not implemented.

Participants mentioned that there is not enough capacity to carry out all the EIAs required in the country. There is room for corruption in the EIA system, and that the recommendations are not implemented because there is no enforcement mechanism.

The fact that many tools are too expensive and require a high level of technical understanding, rendering them irrelevant for many Kenyans, was a concern for many of our respondents. SEA, IEA, and ecological footprint assessments were among the tools mentioned as too technical. Some people felt that environmental audits are not useful when there is no enforcement mechanism.

One participant mentioned that payment for ecosystems services in Kenya had failed because the government controlled both the ecosystems services and the management component, "They ended up paying money only to themselves."

Because the State of the Environment Report has not been published regularly every two years as mandated and it is therefore not possible to compare environmental indicators over time, respondents mentioned that the SOE is not useful. Furthermore, the SOE does not seem to influence decision makers. One participant said the SOE is, "just a desk review" without any original data or research and does not look at trends across the nation.

As mentioned above, **Kenyans feel that usefulness of the tools depends on the context and the user. Participants mentioned a number of attributes of tools that make them unlikely to succeed**:

- Tools that are too general or lack focus (mentioned three times)
- Tools that are too top-down in nature or do not involve the people (mentioned three times)

- Tools that are expensive (mentioned three times)
- Tools that require too much technical know-how (mentioned twice)
- Tools that are not implemented at the appropriate level (local or technical)
- Tools that require skills/human resources from outside
- Tools that lack legal or management backing
- Tools that do not fit in the wider policy process

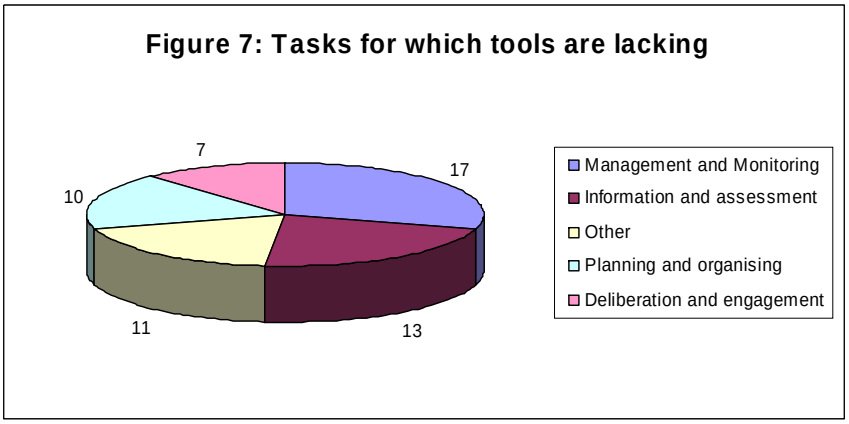
4.8 Identified gaps in the tool box

The final question asked respondents to select an area out of the following integration tasks for which there are no tools available:

- Information and assessment
- Deliberation and engagement
- Planning and organising
- Management and monitoring

Many respondents felt that there is not a complete lack of tools, but that tools are insufficient and could be improved. As seen in figure 7 below, **management and monitory was mentioned most frequently as the area where improved tools are needed. Information and assessment and planning and organising tools also need to be strengthened, according to Kenyans.**

Figure 7: Tasks for Which Tools are Lacking



When discussing information and assessment, most respondents mentioned the need for tools to organise and distribute data, and the need to increase capacity for technical information tools, such as GIS and poverty-environment mapping. John Wanyiri, central officer for the Kenyan Forest Service, used the following words to explain himself: *"What we need is a database that is user-friendly. We need a database that works in the way an ATM works: from every corner of the nation you can get data and information."*

Eleven respondents mentioned 'other' tasks for which they found there were insufficient tools available. The tools that were found to be lacking were:

- Tools for implementation of policies
- Tools for participation
- Tools for developing incentives for policy makers and development professionals
- Tools for improving district and provincial environmental planning and organizing
- Tools that link poverty reduction and environmental management
- Tools for how to adjust ecosystem planning
- Tools for coordinating and streamlining policies
- Tools for how to use indicators in Poverty Reduction Strategy Papers
- Tools for implementing EIA
- Tools for making EIA more participatory

- Annual environment quality surveys, such as ecosystem assessment, that are regular, coordinated, and of good quality (as opposed to the State of the Environment Report)

Four respondents did not find it necessary to mention any of the tasks, because they thought that there are plenty of tools available. Charles Nyandiga felt that the problem is not a lack of tools, but that tools are not implemented or do not have influence, *"Monitoring and evaluation tools are there, but monitoring reports need to come back and change what is happening."*

Six respondents stressed not so much the lack of tools, but more the need for capacity and strong institutions to work with these tools. Scott Geller, USAID-funded Forestry Transaction advisor at Kenya Forest Service, explained that, *"A lot of it has to do with just improving institutions. If you look at the NEMA with a tool like EIA, it's a great idea, a good tool, but how does it apply, how people perceive these tools. (…) The tools are there, but the government around it… [is the problem]. It is unfortunate. I think it is slowly changing. You can have great tools, but if you do not have the right environment to use them… That is why Kenyans are trying to build institutions."*

In addition, respondents took the opportunity to elaborate on their views for the need for the holistic environmental policy to be speedily implemented, and to raise the issues of lack of enforcement and implementation of or resources for environmental assessments and standards. These views are discussed in more detail in the next section.

Part V: General points of departure- themes of discussions

5.1 Importance of the User: Personalities and Skilled 'Champions'

Interviews revealed that success in environmental mainstreaming depends on more than the tools used; **success depends on the personalities and skills of the 'champions' or users, including many of the participants in this study, who push the environmental mainstreaming agenda**. Training more of these skilled users may be just as productive as augmenting or modifying the arsenal of tools.

5.2 Knowledge of Tools limited to a Small Circle of Advocates

Knowledge of tools for environmental mainstreaming in Kenya is limited to a small group of advocates calling for environmental integration into policy and development. Interviews 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 this survey focused on. **This suggests that raising awareness about tools, especially tools such as EIA and participatory tools, would be useful in Kenya.**

5.3 Tools to Elevate Environment on the Political Agenda

On a related note, many people spoke about lack of political will, and the lack of understanding or interest politicians show in the environment. **Tools do not seem to be succeeding in convincing or impelling to action those who formulate policy and allocate funds in the Kenyan government.** Respondents mentioned that the tools used in Kenya are not persuasive to policymakers and politicians. This could be an area of improvement.

5.4 Enthusiasm for the Environmental Policy Process

Many respondents had worked on the current environmental policy process– the policy is expected to be finalised by June 2008. The policy will provide a flagship document which users can point to in mainstreaming efforts. However, some participants 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 an integrated planning at the national level is an important tool."

Bernard Masiga, Deputy Chief Economist for the Ministry of Finance, elaborated on the challenge of budgeting for the environment,

> *"Budgeting for the environment is not an integrated priority across all ministries except for the Ministry of Environment and natural resources, which leads to lack of adequate funding. There are no environment specialists on other ministries to particularly argue for environment leading to budgets being made by accountants, economists and other non-environment oriented officers who do not place environment top in their priority list"*

Scott Geller, USAID funded Forestry Transaction advisor at Kenya Forest Service added, *"What still lacks is mainstreaming environment into other entities, like mainstreaming into education, industry, trade, and infrastructure. All of those key sectors are crucial."*

5.5 An Understanding of Environmental Mainstreaming

Four respondents had difficulties with the definition of environmental mainstreaming. One respondent expressed about the definition of environmental mainstreaming/integration given at the beginning of the questionnaire. He explained,

> *"The definition of environmental mainstreaming worries me. It seems to be alluding 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"*

Environmental mainstreaming as a term can be vague and needs clarification. **A clear definition of the objectives must accompany tools.**

5.6 Enforcement/implementation in Kenya

One ongoing theme in the interviews was the concern that policies and recommendations from assessments are not enforced. Twelve respondents mentioned lack of policy implementation and lack of enforcement of recommendations from environmental assessments as a major constraint to environmental mainstreaming.

First, respondents explained that the process of moving policies from drafts to legislation is very slow. Even when the policies are in place, many participants felt that there is a lack of enforcement and follow-through, meaning that actual benefits for the environment and poor people do not accrue.

Second, EIA and other assessment tools make recommendations for environmental mitigation, but according to many participants mitigation is not enforced. Indeed, NEMA has no enforcement capacity and it is unclear how assessments should be enforced, and what the punishment for non-compliance should be.

Capacity building, trainings, and incentives are needed in Kenya to create greater follow-through and enforcement of good initiatives, so that efforts for environmental integration will not be rendered useless.

Part VI: Conclusion

The ability and capacity to work with tools for environmental mainstreaming is at least as important as the availability of these tools. Only half of the respondents were of the opinion that a lack of tools or methodologies is a constraint to environmental mainstreaming. Dissatisfaction with tools was the least important constraint to environmental mainstreaming, according to our participants. In contrast, lack of skills was frequently mentioned as an obstacle, and tools that require too much technical knowledge were named among the least useful tool. **Increasing skills, capacity, and resources for the environment is a key next step for Kenya.**

> *"You can have great tools, but if you do not have the right environment to use them- they will not work"*- Scott Geller

The link between poverty and natural resource degradation is clear in Kenya, and tools that make the economic case for mainstreaming the environment are likely to succeed. Respondents frequently mentioned the importance of the natural resource base to the Kenyan economy. Moreover, poor people are both more vulnerable to environmental shocks and more likely to exploit natural resources in times of need. Linking economic growth, poverty reduction, and environmental sustainability is a promising strategy. To this end, tools that quantify the economic value of the environment or the economic costs of destroying natural resources are powerful and compelling. If these economic tools are easy to use and understand, they will be all the more successful.

National legislation and international conventions are important frameworks for environmental integration, but enforcement is needed. Tools are needed for raising awareness and political will, including at the district and provincial level. In Kenya the sectors and ministries are not well-integrated, and much work remains to be done to make the environment cross-cutting. Tools that are embedded in the policy process and are rooted in a detailed understanding of the policy and budget schedule and the country context are likely to succeed. Policymakers will be more amenable to these approaches when they are educated about the value and importance of the environment.

Kenyan practitioners do not use tools because of donor conditions, but 'prescribed' tools still exist. There is demand for tools that are participatory, adaptable, and demand driven. Donor conditions were named as the sixth driver out of 11 for including environmental considerations in decisions. Respondents rarely mentioned that they used tools because a donor directed them to it. Although respondents did recognise that some tools are prescribed by the system, in some cases a broken system, and than donors promote certain tools, practitioners seem to have a lot of freedom to select the tools they use in their work. Responses reveal that there is a need for tools to be flexible, demand-driven, selected by the user, and as one respondent put it, "not cast in concrete."

The overall User Guide should include approaches for creating an enabling policy environment, for elevating the environmental agenda in the country as a whole, and for harnessing the power of strong environmental advocates. From our interviews, it became clear that the policy process in the country and the overall level of awareness and attitude towards the environment in the country are extremely important in determining the efficacy of tools. Improving the broader context through informal approaches and formal tools is essential. Kennedy Ondimu told us, "There is a need for people with personal drive to implement tools." Personalities and personal initiative is an important factor in the environmental mainstreaming process. **Training future leaders and environmental champions will greatly increase the chances that in the future tools succeed in effectively integrating environment into plans, policies, and projects, thus benefiting the Kenyan environment and the Kenyan people.**

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Appendices

Appendix 1: List of Participants

	NAME & TITLE
1	John Nyangena, Senior Economist, Ministry of Planning and National Development
2	Samuel Gichere, Chief Economist, Ministry of Environment and Natural Resources
3	Kennedy Ondimu, Director, Research and Planning, National Environment Management Authority (NEMA
4	Godfrey Mwangi, Research and Planning Unit, National Environment Management Authority (NEMA)
5	Bernard Masiga, Ministry of Finance
6	Simon Mbarire, Ministry of Environment and Natural Resources
7	Flemming Moritsen, Environment Policy Adviser, MENR/Danida/Sida
8	Rob Olivier, Chief Technical Adviser, EC/NEMA
9	Samson Wasao, Project Manager, PEI (GoK/UNDP/UNEP)
10	Dr. Christopher Gakahu, Assistant Resident Representative & Head of the Sustainability Unit, UNDP Kenya
11	Charles Nyandiga Programme Officer, UNDP Kenya
12	John Wanyiri, Kenya Forest Service
13	Scott Geller, Adviser – Kenya Forest Service
14	Dr. Albert Mwangi Project Manager UNDP Drylands Development centre
15	Prof. Edward Kairu Executive Director Maji Na Ufanisi
16	Paul Kirai Project Manager Kenya Energy Efficiency Project Kenya Association of Manufacturers
17	Bernard O. K'Mudho, PTC Consultants Nairobi
18	Dr. Joseph Opio-Odongo Environmental Policy Adviser UNDP BDP DDC House
19	Ties van Kempen, Danida/Sida-funded Adviser for NEMA
20	Richard Sigei, economist/statistician, MENR
21	Wilfred Nyangena, Programme coordinator, Environment for Development, KIPPRA
22	Mounkaila Goumandakoye, Global Coordinator, UNDP DDC
23	Susan Lekoyite Senior Environment Research Associate, NEMA

24	Dr. Taye Teferi, Conservation Programme Director, World Wide Fund for Nature Eastern Africa Regional Programme Office (WWFEARPO)
25	Wilson Busieni Programme Officer NEMA
26	Nancy Githaiga, Maji Na Ufanisi

Appendix 2: The IIED User Guide Questionnaire

UNDP-UNEP Poverty-Environment Facility
in association with
The International Institute for environment and Development (IED), London
'User Guide' to effective tools and methods for integrating environment and development
QUESTIONNAIRE SURVEY (6 Aug 07)
Background

The International Institute for Environment and Development (IIED) has launched an initiative to produce a 'User Guide' to tools for integrating environment into development decision-making (environmental mainstreaming), steered by an international Stakeholders Panel.

Explanation of key terms

Environmental integration / mainstreaming
These two terms mean the same thing. In this project they 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.

Tools
Instruments, methods and tactics that are used (individually or in combination) to carry out the above processes to take environment into consideration in decision-making , eg. approaches for providing information, assessment, consultation, analysis, planning, and monitoring so as to inform decisions.

The focus will be those tools which directly help to shape policies, plans and decisions; NOT the wider array of secondary tools applied to implement those decisions (eg market delivery mechanisms and instruments, field management tools). Such tools might be applied at a range of levels (eg national, district, community) and by a range of users (government, non-governmental and community-based organisations, the businesses and private sector organisations).

The user-driven approach means that the User Guide is likely to include an expanded set of tools and approaches, beyond those that tend to be emphasised by technical experts, e.g. those used for civil society/business action.

IIED's contention is that environmental mainstreaming capacity will be much stronger if stakeholders are able to select appropriate tools and methods. Some tools and methods are 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. 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 tools themselves – as opposed to taking what others want or suggest/promote.

The initiative will aim to identify which tools work best, for what purpose and for which user. The guidance will be based on evidence submitted through a series of regional and country-based stakeholder/user consultations and workshops, interviews and questionnaire surveys, and the Panel's own experience.

This guide will cover the large array of tools and methods available for 'environmental mainstreaming', building on stakeholders' experiences of the range from technical approaches such as EIA to more political approaches such as citizens' juries.

The project process will offer three products:

(a) A core of about 30 tools will be profiled and reviewed according to common criteria.

(b) A guide to choosing tools for specific tasks - to help users select the approach that is right for particular problems or tasks.

(c) An overview of areas for which all tools tend to be weak or missing will also be prepared, to guide further tool development.

[Name of your organisation] is partnering with IIED to undertake a [country/regional] survey in [country/countries] to secure on-the-ground user feedback about the challenges tool users face, their needs related to integrating tools, and their perspectives of which tools are found to be useful or not.

Note: There are no wrong answers to any questions. We are concerned to find out what your views and experiences are as a User of tools for environmental integration.

Respondent's details
Name ……
Position ……

Organisation ……

Address ……

……

……

……

Telephone/fax ……

Email ……

Website (if any) ……

Organisation (please tick – if appropriate, you may tick more than one)

(i) Government
Specify sector involved in (eg transport) ……...

Government (National level) ……
Government (State/provincial level) ……
Government (District/Municipality/local level) ……
Parastatal organisation ……
Public utility (specific sector) ……

(ii) Non government organisation / Community-based organisation
Specify sector involved in (eg transport) ……...

NGO (developmental) ……
NGO (advocacy) ……
NGO (environment) ……
NGO (other focus – please specify) ……
CBO (specify function) ……

(iii) Business/private sector organisation
Specify sector involved in (eg transport) ……...

Business (Multinational) ……
Business (National) ……
Business (Utility, eg electric) ……
Business (Small or medium-sized) ……

(iv) Research (specify focus) ……

(v) Other (please specify) ……

Role you play (please tick – you may tick more than one if appropriate)

Administration ……
Planner ……
Economist ……
Environmental specialist ……
Social specialist ……
Investment specialist ……

Financial management ……
Researcher/academic ……
Lobbying/advocacy ……
Head of organisation/department ..……..

Other (please specify) ……

Please summaries your main responsibilities or key functions

……..…….…

……..…….…

1) DRIVERS – what requires you to include environment considerations in decisions?

(Please tick and also rank the top3)

International commitments (eg UN agreements/conventions) …….
Legislation, regulations and requirements (national/local) …….
Company/business plans/objectives …….
Company/business regulations/requirements ……..
Stakeholder/public demands …….
Donor conditions …….
Risk management …….
Organisation's own values …….
Traditional/cultural reasons …….

Major environmental events and issues (eg climate change, flooding, disasters) (specify)

……..

Other (specify) ……..

Any comments about what is driving environment in development decision-making

……

……

……

……

2) CONSTRAINTS - What do you consider to be the main challenges/obstacles to integrating environmental concerns in development policy-making, planning and other decision-making?

(Please tick and also rank your top 3)

Lack of data/information ……..
Lack of skills ……
Lack of human resources ……
Lack of methodologies/tools that work …….
Lack of awareness of available tools …….

Dissatisfaction with particular tools (specify which and why) ……..……..
……..

Lack of funding …….
Lack of political will …….
Lack of understanding & awareness (of environmental issues) …..……
Corruption ……...…

Other (specify) ……..

Any comments about what limits the integration of environment in different development decisions

……

……

……

……

3) TASKS – if any, which formal tools/tactics do you use for environmental integration in different key tasks (Note: 'Informal/indigenous' tools are dealt with in question 4).

Please identify up to 3 particular tools that you are required to use for each task. Where that tool has a particular name (e.g. 'health impact assessment' or 'citizens jury'), please name it.

Note: as an aide memoire (only), the box below illustrates the typical scope of available tools

Task	Tool 1	Tool 2	Tool 3
Information and assessment			
Deliberation and engagement			
Planning and organising			
Management & monitoring			
Other (specify)			

Illustrative (only) types of tools for environmental integration

(A) information and assessment tools

Economic and financial assessment (eg cost benefit analysis)
Impact assessment (eg environmental/social impact assessment)
Spatial assessment (eg land use planning)

(B) Deliberative tools and tools for engaging

Participation and citizen action (eg forums and dialogues)
Political analysis and action (eg Commissions and hearings)
Conflict management (eg arbitration)

(C) Planning and organising tools

Legal tools (eg public interest litigation)
Environmental management planning and control tools (eg quality management systems, ISO)

(D) Management and monitoring tools

Certification and audits (Forest Stewardship Council system, eco-labelling)
Monitoring & evaluation (eg indicators, surveys)

4) In addition, what voluntary/informal/indigenous/experimental approaches do you use for environmental integration, even if they are not yet part of formal requirements? (please indicate: how and why)

Task …… Tool ……..

How and why used ……..

……..

……..

Task …… Tool ……..

How and why used ……

……

……

Do you use tools for integration that have arisen out of cultural, traditional or indigenous practices? If so, what are these and how and why are they used?

……

……

……

……

5) What criteria would you find helpful in a User Guide which aims to judge the utility of tools ?

Please tick, and suggest additional criteria

Ease of use / complexity of process …..
Demand for particular skills, training, qualifications …..
Cost …..
Time required …..
How understandable the outputs are …..
Need for data, fieldwork, etc …..
How robust particular tools are – does it deliver reasonably good info? …..
The impact of the tool in helping make progress towards sustainable development …..

Others (specify) ……

……

……

6) In your work, can you identify the top five tools that you regard as most useful?

Considering your answers to questions 3, 4 and 5, please rank up to five tools in order of preference/usefulness

Tool	Main reason selected
1	
2	
3	
4	
5	

SUPPLEMENTARY INFORMATION THAT WE WOULD WELCOME

7) Do you have, or could you provide, written assessments or case studies of the advantages/usefulness and disadvantages, or the negative and positive aspects, or the costs and benefits of using particular tools from your experience? If so, please identify so we can get back to you:

……

……

Name of case : ……

If willing, please provide a short outline (paragraph)
8) Do you have personal knowledge or written case studies of effective adaptations/innovations to tools/ that have been introduced (and who developed or promoted these)?

……
……

Name of case : ……

If willing, please provide a short outline (paragraph)

9) If your answer is affirmative with regard to either question 7 or 8, could we follow-up with you with a view to preparing a fuller case study (where environment and development were well integrated)?

Yes ……. /No …….. (please tick)

Note: Your contribution will be fully acknowledged in the country study report (unless you prefer otherwise).

10) Of the tools you are "required" to use (see section 4 above), can you nominate the least useful tools and indicate why?

Least useful tools	Main reasons why not useful

11) For which environmental integration tasks (see section 3 above) are no useful tools available

Environmental integration tasks	Indicate with a tick if no useful tools are available (in your view)
Information and assessment	
Deliberation and engagement	
Planning and organising	
Management & monitoring	
Other (specify)	

Appendix 3: Table 1- Profile of Participants

Table 3: Profile of Participants

Organisation	**Number of respondents**
National Government Ministries	**6**
Ministry of Environment and Natural Resources	*3*
Ministry of Planning and National Development	*2*
Ministry of Finance	*1*
Parastatal Organisations	**5**
National Environmental Management Authority	*3*
Kenya Forest Service (KFS)	*2*
United Nations (UN)	**5**
UN Development Programme Drylands Development Centre	*3*
UN Development Programme Kenya	*2*
Non-Governmental Organisations	**4**
Maji na Ufanisi	*2*
KIPPRA	*1*
WWF	*1*
Donor funded	**4**
DANIDA/Sida	*2*
European Union	*1*
USAID	*1*
Private Sector	**2**
Kenya Association of Manufacturers	*1*
Professional Training Consultants	*1*
Total	**26**

Appendix 4: Table 4- Profile of Participants

Table 4: Tools mentioned by the participants, categorized by task and given with the number of times mentioned.

Information and assessment	Number of times mentioned	Deliberation and engagement	Number of times mentioned
EIA	12	Workshops	10
CBA	5	Baraza	4
SEA	5	Consultations	2
Surveys	3	Practical examples	2
GIS	3	Environmental tribunals	2
Baseline assessments	2	Media campaigns	2
Environmental Audits	3	Public Complaints Committee	2
SOE	2	Community based management	2
Task forces	2	Awareness Campaigns	1
Energy audits	1	Communication strategy, Radio and TV programs, Brochures, Fact sheets	1
Environmental Accounting	1	DEAP	1
Environmental Fiscal Reform	1	Diplomacy	1
Extension services	1	District Environmental Committees	1
Household surveys	1	Educating people about their rights	1
Information collected and provided by civil society and research organizations	1	Energy efficiency networks	1
Institutional analysis	1	Energy management award	1
Interministerial working groups	1	Environment policy steering committees	1
Meteorological institution	1	Face-to-face meetings	1
Natural resources assessment	1	Forest act	1
NEAP	1	Forums	1
Outreach tools- magazines	1	Impact assessments	1
Regional authorities	1	incorporating gender issues	1
Reporting	1	Indemnifying key stakeholders	1
Sector data	1	Lobbying	1
Spatial Assessment	1	Local meetings	1
Stakeholder workshops	1	NEAP	1
Strategic plan	1	Negotiation	1
tools for valuation of non-market aspects/ products	1	Networks like the energy –environment network	1
Newspapers	1	Participatory Methodologies e.g. PRA	1

		Participatory Poverty Assessment	1
		Posters	1
		Poverty ranking with simple explanations	1
		Provincial and District Environment Committees	1
		Public outreach- World Environment Day, Desertification Day, ect.	1
		Publications	1
		Regional meetings	1
		School outreach programmes	1
		Sensitisation campaigns	1
		Site visits	1
		SOE	1
		Strategic plan	1
		Task forces	1
		Vernacular radio programmes	1
		Service Charters	1
		Performance contracts	1

Planning and Organising	**Number of times mentioned**	**Management and monitoring**	**Number of times mentioned**
ISO	5	M & E Indicators	6
NEAP	4	Environmental audit	5
Organization Strategic Plans	3	SOE	4
DEAP	2	Certification	3
Legal tools	2	ISO-standards	2
Workshops	2	UNDP M&E Guidelines	2
Actions within ministries	1	Annual Economic Surveys	1
Budgeting process	1	Annual workplan	1
Capacity 21 plan supporting DDOs and DEOs	1	Baseline studies	1
CBA	1	Benchmarks and reporting on progress	1
Clean energy and clean development standards	1	Citizen's report card	1
Community Environmental Action Plans	1	Clean energy and clean development awards	1
CPAP (Country Programme Action Plan)	1	Clean energy and clean development standards	1
Creating a National Steering Committee	1	Cleaner production methodologies	1
Defining expected outputs	1	Developing good indicators	1
District Information and Documentation Centres	1	Environmental economics	1
Easements	1	Evaluation reports	1
Ecosystems assessments	1	Household Surveys	1
EIA	1	Industry standards	1

Environmental management standards	1	Monitoring by National Steering Committee	1
Environmental policy	1	Monthly progress reports	1
Information and awareness raising	1	NIMES (National Integrated Monitoring and Evaluation Service) (MPND)	1
Integrated planning	1	Participatory Management Mechanisms	1
Interministerial working groups	1	Performance contracts	1
Leveraging adequate funding	1	Policy and enforcing laws	1
Management plans	1	Post- project survey to measure results.	1
Market oriented tools	1	Poverty-Environment indicators	1
National Steering Committee	1	Project reporting	1
NEMA strategic plan	1	Public announcements of public expenditures	1
Payment for ecosystems services	1	Public response and monitoring through internet	1
Planning and integration with PEI	1	Surveys	1
Policy	2	Taskforce/ joint working group	1
Policy papers	1	Technical meetings, UNDP and GEF monitoring, monthly treasury meetings Tripartite Project Reviews.	1
Quality management systems	1	Environment monitoring plan	1
Restoration bonds/ funds	1	Inspections	1
Roadmaps and Planning Strategies	1		
SoE	1		
Targets	1		
Tools to make the case	1		
Review of legislation and policies	1		
Regulations	1		

Appendix 5: Box 3: List of tools that were ranked as one of the six most useful tools

Table 5: List of tools that were ranked as one of the six most useful tools

- National Environmental Action Plan (NEAP)
- Environmental Impact Assessment (EIA)
- Strategic Environmental Assessment (SEA)
- Cost-Benefit Analysis (CBA)
- District Environmental Action Plan (DEAP)
- Monitoring and Evaluation
- Workshops
- Documentation, publication and production of manuals and guidelines
- Budgeting
- Interventions in National Development Planning
- Land use planning/ spatial assessment
- Land Use Zoning
- Log frames
- Medium term strategy papers
- National Accounting system
- Performance contracts
- Performance-based work plans
- Policies
- Policy briefings
- Political analysis and action, multi-stakeholder forums
- Presentations to public on environmental matters
- Production of manuals, user guidelines
- Quality management structure
- Questionnaires
- Results-based management
- Spatial Assessment
- Stakeholder participation
- Statistical analysis
- Strategic plan
- Surveys
- Taskforces, interministerial working groups
- Teaching
- Training environmental auditors
- Web-based info from governments
- Incentives and disincentives
- Incorporating gender
- Economic Accounting and Auditing
- Economic and financial assessment
- Environmental management and planning control tools
- Legal tools
- Millennium Development Goal no. 7 (on environmental sustainability)
- Publications
- School outreach
- Site visits
- Geographic Information System
- Awareness Interest Desire Action (AIDA)
- Area Management Plan
- Award for energy efficiency
- Awareness campaigns
- Awareness Materials
- Baraza's
- Clean production methodologies
- Community Action Plans
- Demonstration projects
- Developing indicators
- District Environmental Committee
- Documenting Best Practices
- Energy efficiency network
- Environmental experts in planning office
- Environmental management standards
- Environmental Audits
- Exhibitions
- Field visits and workshops
- Forest policy
- Forest Stewardship Council
- Group dialogue
- Information dissemination
- Industry standards
- Sustainable livelihoods approach
- Social Impact Assessment
- Environmental assessments
- Guidelines for budget process
- Human Development Index (HDI)

Appendix: Comments on Questionnaire from Kenyan experience

- Overall the questionnaire assumes that people are required to use tools and that the tools or the tool kit is flawed or inadequate. This may not be a problem, but it is a bias we should acknowledge.
- The term "required" in question 10 caused problems in Kenya because people would respond that they are not required to use any tools. This would shut down dialogue on the real substance of the question (referring to question 3 and question 10).
- Question 10 refers to exercise 4, which is about informal tools. It is probably meant to refer back to question 3 about tools used for certain tasks.
- Question 1, about drivers, may want to add a choice about the link between environment and economic development/ sustainable development. This was often mentioned as a driver for environmental mainstreaming in Kenya.
- The "dissatisfaction with particular tools" choice on question 2 visually breaks up the other choices because it takes up the whole line. As a result people just looked at the choices above, thinking that line is the beginning to another question. The "dissatisfaction with particular tools (specify which and why)" choice should be shortened to look like all the others or should be moved to the end.
- Question 7, 8, and 9 are redundant and could be combined into one question. Also, during the oral interviews, it breaks the flow of the discussion and people think the discussion is ending when you ask for referral to other sources. Asking the questions about other written studies at the end feeds better into closing the discussion and allows the participant to look for the case studies to give to the interviewers.
- Question 11 would probably yield more information if framed as "For which environmental integration tasks are tools inadequate or lacking?" Asking if there are **no** available tools is limiting, as there may be tools available that are not working, have problems, need to be further developed etc.
- The sequence of the questions is not straight forward. Question 6 refers back to question 3, question 5 could be moved to become question 3, since it is similar to question 1 and 2. Question 10 and 11 could best be put together with question 3 and 6, since they all ask about available tools. The sequence of the questions makes it more difficult to interview people, since the interviewer often has to come back to certain issues. Also, it makes it more difficult to analyze the results, since the same issues are raised by different respondents in different questions: the information gets scattered.
- For some questions respondents could chose which options they found important (question 1, 2 and 5) and rank them (for question 1 and 2). It was obvious that a lot of respondents choose the first options as the most important or very important ones. The order of the options probably creates a bias. It might be better to change the order of the options for each respondent/interview.
- Because the word 'tool' was sometimes too vague for respondents, examples had to be given to clarify. This held true especially for question 3, for which one could refer to the box below question 3. This might have influenced the respondents in their answers as to which tools they used in their work.
- It helps to have page numbers on the questionnaire for clarification during the interview.