

Terminal Evaluation of UNEP Project: “SWITCH to Sustainable Policies and Innovation for Resource Efficiency in Asia - Regional Policy Support Component”  
(SWITCH Asia RPSC)



SWITCH-Asia motivates public policy students taking part in its joint activities with TERI University to get engaged on Sustainable Development Goals for International Youth Day 2016

January 2017



## Evaluation Office of UN Environment

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SWITCH to Sustainable Policies and Innovation for Resource Efficiency in Asia - Regional Policy  
Support Component (SWITCH Asia RPSC)  
UNEP PIMS ID: 614.2 IMIS number: 3F32/3B63  
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Special acknowledgements to Dr. Janet Wildish, Senior Evaluation Officer for the support provided in preparing and conducting this evaluation.

The evaluation team hopes that the findings, conclusions and recommendations will contribute to the successful finalisation of the current Project, formulation of a next phase and to the continuous improvement of similar projects in other countries and regions.

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## LIST OF ABBREVIATIONS AND ACRONYMS

ACE	ASEAN Centre for Energy
ACEF	All China Environment Federation
ADB	Asian Development Bank
ADFIAP	Association of Development Financing Institutions in Asia and the Pacific
AIT	Asian Institute of Technology
APO	Asian Productivity Organisation
APRSCP	Asia Pacific Roundtable for Sustainable Consumption and Production
ASEAN	Association of South East Asian Nations
BLISS	Building Learning in Sustainability Science
CAS	China Academy of Science
CCFA	China Chain Store and Franchise Association
CCICED	China Council for International Cooperation on Environment and Development
CCPIT	China Council for the Promotion of International Trade
CEC	China Environmental United Certification Centre
CSIRO	Commonwealth Scientific and Industrial Research Organisation (Australia)
DSS	Decision Support System
DEVCO	DG International Cooperation and Development
DTIE	UNEP Division of Technology, Industry and Economics
EA	Expected Accomplishment
EC	European Commission
EOU	Evaluation Office of UNEP
EU	European Union
GE	Green Economy
GEF	Global Environment Facility
GNHC	The Kingdom of Bhutan's Gross National Happiness Commission
HSF	Hanns Seidel Foundation
IGES	Institute for Global Environmental Strategies
IISD	International Institute for Sustainable Development
ITC	International Trade Center (China)
MoCC	Ministry of Climate Change
MoNRE	Ministry of Natural Resources and Environment
MoU	Memorandum of Understanding
MoIT	Ministry of Industry and Trade
MPI	Ministry of Planning and Investment
MSW	Municipal Solid Waste
MTR	Mid Term Review
NAP-SCP	National Action Plan on Sustainable Consumption and Production
NDRC	National Development and Reform Commission (China)
NESDB	National Economic and Social Development Board
NF	SWITCH Network Facility
NGO	Non-Governmental Organisation
NPSC	National Policy Support Component of SWITCH Asia Program
NSA	National Statistical Office
NSTDA	National Science and Technology Development Agency (Thailand)
NSO	National Statistical Officer
ONEP	Office of Natural Resources and Environment
PAGE	Partnership for Action on Green Economy
PATA	Pacific Asia Travel Association
PIMS	Project Information Management System
PoW	Programme of Work
PRC	Project Review Committee (internal UNEP committee that approves new projects)

ProDoc	Project Document (must be approved by PRC before any project can be undertaken)
PSC	Policy Support Component
RE	Resource Efficiency
ROM	Results Oriented Monitoring
ROtI	Review of Outcomes to Impact
RPSC	Regional Policy Support Component
SAARC	South Asian Association for Regional Cooperation
SACEP	South-Asia Cooperative Environment Programme
SC	Sustainable Consumption
SCP	Sustainable Consumption and Production
SP	Sustainable Production
SD	Sustainable Development
SDG	Sustainable Development Goals
SHINE	Standards Harmonization Initiative for Energy Efficiency
SME	Small and Medium Enterprise
TAC	Technical Advisory Committee (of SWITCH Regional Policy Support Component)
TE	Terminal Evaluation
ToC	Theory of Change
ToR	Terms of Reference
UNCRD	United Nations Centre for Regional Development
UNCT	UN Country Team
UNDESA	United Nations Department of Economics and Social Affairs
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNEP FI	UNEP Finance Initiative
UNESCAP	United Nations Economic and Social Commission for Asia and the Pacific
UNIDO	United Nations Industrial Development Organisation
UNITAR	United Nations Institute for Training and Research
UNU-IAS	United Nations University Institute for Advances Study of Sustainability
10YFP	10 Year Framework Programme (on Sustainable Consumption and Production)



## DEFINITIONS AND SCOPE

### Sustainable Consumption and Production (SCP)

Sustainable consumption and production is about promoting resource and energy efficiency, sustainable infrastructure, and providing access to basic services, green and decent jobs and a better quality of life for all. The implementation of SCP as an integrated approach helps to achieve overall development plans, reduce future economic, environmental and social costs, strengthen economic competitiveness and reduce poverty.

Sustainable consumption and production is defined as “the use of services and related products, which respond to basic needs and bring a better quality of life while minimising the use of natural resources and toxic materials as well as the emissions of waste and pollutants over the life cycle of the service or product so as not to jeopardise the needs of future generations.”

Norwegian Ministry of Environment, Oslo Symposium, 1994.

SCP aims at “doing more and better with less,” increasing net welfare gains from economic activities by reducing resource use, degradation and pollution along the whole lifecycle, while increasing quality of life. This change towards SCP involves different stakeholders, including business, consumers, policy makers, researchers, scientists, retailers, media, and development cooperation agencies, among others. It requires a systemic approach and cooperation among actors operating in the supply chain, from producer to final consumer. It involves engaging consumers through awareness-raising and education on sustainable consumption and lifestyles, providing consumers with adequate information through standards and labels and engaging in sustainable public procurement, among others.

Source: [www.unep.org/resourceefficiency/Home/WhatisSCP/tabid/105574/Default.aspx](http://www.unep.org/resourceefficiency/Home/WhatisSCP/tabid/105574/Default.aspx).

### Green Economy (GE)

UNEP has developed a working definition of a green economy as one that results in improved human well-being and social equity, while significantly reducing environmental risks and ecological scarcities. In its simplest expression, a green economy can be thought of as one which is low carbon, resource efficient and socially inclusive.

A green economy is one whose growth in income and employment is driven by public and private investments that reduce carbon emissions and pollution, enhance energy and resource efficiency, and prevent the loss of biodiversity and ecosystem services. These investments need to be catalysed and supported by targeted public expenditure, policy reforms and regulation changes. This development path should maintain, enhance and, where necessary, rebuild natural capital as a critical economic asset and source of public benefits, especially for poor people whose livelihoods and security depend strongly on nature.

Source: [www.unep.org/greeneconomy/AboutGEI/WhatisGEI/tabid/29784/Default.aspx](http://www.unep.org/greeneconomy/AboutGEI/WhatisGEI/tabid/29784/Default.aspx).

### Resource Efficiency (RE)

Resource efficiency represents a critical opportunity to address this unsustainable path, by building green economies in which economic growth is decoupled from environmental harm. Through enabling the design and production of low-impact products and services, resource efficiency can help us meet human needs while respecting the ecological carrying capacity of the earth. UNEP defines resource efficiency from a life cycle and value chain perspective. This means reducing the total environmental impact of the production and consumption of goods and services, from raw material extraction to final use and disposal.

Source: <http://www.unep.org/resourceefficiency/>.



## PROJECT IDENTIFICATION TABLE

**Table 1: Project summary**

<b>UNEP PIMS ID:</b>	614.2 (this is an umbrella project that includes SWITCH Asia and SWITCH Med)	<b>IMIS number:</b>	3F32/3B63
<b>Sub-programme:</b>	Resource Efficiency (DTIE)	<b>Expected Accomplishment(s):</b>	(a) Cross sectoral scientific assessments, research, and tools for sustainable consumption and production and green economy developed, shared and applied by policy-makers in national development planning policies and regulations, including in urban practices in the context of sustainable development and poverty eradication
<b>UNEP approval date:</b>	March 2014	<b>PoW Output(s):</b>	Output 4: Green economy and sustainable consumption and production economic, legal and policy tools developed and provided to countries and regions to support integrated planning, prioritization of key sectors of intervention and the development and pilot implementation of related action plans and policy frameworks
<b>Planned start date:</b>	January 2011	<b>Actual start date:</b>	January 2011
<b>Planned completion date:</b>	December 2014 (original date) June 2016 (approved extension in 2013)	<b>Actual completion date:</b>	December 2016
<b>Planned project budget at approval:</b>	6,701,966 Euros (original budget) 8,465,641 Euros (approved extension in 2013)	<b>Total expenditures reported as of [date]:</b>	8,770,430 US\$
<b>Planned Environment Fund (EF) allocation:</b>	617,710 US\$	<b>Actual EF expenditures reported as of [date]:</b>	617,710 US\$
<b>Planned Extra-budgetary financing (XBF):</b>	1,525,000 US\$	<b>Actual XBF expenditures reported as of [date]:</b>	1,550,295 US\$
<b>XBF secured:</b>	1,550,295 US\$	<b>Leveraged financing:</b>	
<b>First Disbursement:</b>	February 2011 (date of receipt of 1 <sup>st</sup> payment from donor EU)	<b>Date of financial closure:</b>	31 December 2016
<b>No. of revisions:</b>	Five	<b>Date of last revision:</b>	April 2016
<b>Date of last Steering Committee meeting:</b>	6 November 2015		
<b>Mid-term review/evaluation (planned date):</b>	June 2013	<b>Mid-term review/evaluation (actual date):</b>	June 2013 July 2015
<b>Terminal Evaluation (actual date):</b>	April to November 2016		

## EXECUTIVE SUMMARY

### Project background

1. Environmental sustainability and the impact of the inefficient and polluting use of resources are currently major challenges for national governments. These challenges directly concern industrialised countries, emerging economies, and least developed countries (LDCs). At the UN Conference on Sustainable Development in 2012 (Rio+20), governments agreed that Green Economy (GE) and Sustainable Consumption and Production (SCP) is an important tool for achieving sustainable development and poverty eradication. The need for adequate legal and policy frameworks to mainstream SCP and GE objectives in response to the strengthened Rio+20 mandate are the main driving forces behind this Project.
2. The SWITCH-Asia Regional Policy Support Component (RPSC, the Project) is the third component of the EU SWITCH-Asia Programme, which has a long-term goal to increase sustainable consumption and production in Asia i.e. to develop less polluting and more resource-efficient products, processes and services, and to change sustainable consumption patterns and behaviour.
3. The overall objective of the RPSC is to strengthen national and regional policy frameworks to promote the shift towards more SCP patterns and resource efficiency, thereby contributing to green growth and the reduction of poverty in Asian countries.
4. The SWITCH-Asia RPSC targets national and regional policy frameworks and their potential to encourage the uptake of SCP practices. It supports authorities in the region in the design and/or strengthening of policies for mainstreaming SCP as well as in the implementation of policy-oriented activities. The SWITCH Asia RPSC operates in a total of 19 Asian countries, of which 9 countries are considered 'core countries' targeted for specific country level support through the project.
5. In 2010, UNEP and the EC signed an agreement for UNEP to manage the RPSC for 6.70 million EUR over 48 months (Jan 2011 - Dec 2014). In December 2013, UNEP and the EU agreed to an extended agreement and additional funds that bring the total funds to 8.47 million EUR over 66 months (from Jan 2011 - June 2016) for the programme.
6. Within UNEP SWITCH Asia RPSC is a sub-project under the broader UNEP umbrella project 'Mainstreaming Resource Efficiency Aspects into Sustainable Development Planning, Policies and Regulatory Frameworks' (PIMS no. 614.2). The initiative is delivered under UNEP's Resource Efficiency (RE) Sub-programme, which is housed in the Division of Technology, Industry and Economics (DTIE). The intervention works in close collaboration with the Division of Environmental Law and Conventions (DELIC). UNEP's work on SWITCH-Asia was also part of the 61-P7 project under the PoW 2010-11.

### This evaluation

7. In accordance with the agreement signed with the EC and in line with the UNEP Evaluation Policy and the UNEP Programme Manual, this "Terminal Evaluation" is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability.
8. The two primary purposes of the evaluation are: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and its partners.
9. The evaluation was undertaken by a team of two experienced evaluators (see Annex XI for CVs) between April and November 2016. The data collection included a desktop review of project documentations (Annex VIII), face-to-face and skype interviews with a range of

respondents (125 people in total, see full list in Annex VII), field visits to five participating countries, and attendance at a regional conference (APRSCP event in Siem Reap) in which representatives from all participating countries participated. The field visits were selected primarily to maximise the possibility of observing the impact of the project and full selection criteria are outlined in Annex IX.

10. The evaluation covers all project activities since project start, notionally from January 2011 – November 2016, covering all four work packages in a balanced manner (i.e. policy assessment, capacity building, policy dialogue, and ensuring sustainability of programme). The evaluation assesses the Project with respect to a set of evaluation criteria including strategic relevance, project design, attainment of objectives and planned results, sustainability and replication, efficiency, and factors affecting project performance.
11. Specific focus areas in this UNEP evaluation:
  - An assessment of the likelihood of the project contributing to substantive impact given that work on SWITCH Asia began in 2011.
  - The extent to which findings and recommendations from prior evaluations have been assessed and appropriate actions taken to strengthen the initiative.
  - The provision of substantive recommendations for the design of a potential future project phase.

## Key findings

12. Strategic relevance: The Project is clearly justified with reference to the importance of addressing the sustainable use of resources and the improvement of resource efficiency and changes in consumption patterns in Asia. RPSC is consistent with the objectives of EU SWITCH Asia Program, UNEP, and government commitments made at Rio+20 and the Sustainable Development Goals (SDGs).
13. Project design: RPSC was sufficiently well designed but would have benefited from clarification of several issues to provide more guidance for the implementation. These include quantified performance targets, clear roles and responsibilities of RPSC and project stakeholders, and detail the required level of synergies and collaborations with components of the SWITCH Asia Programme.
14. Achievement of regional level outputs: The quality of technical outputs produced by RPSC is considered to be satisfactory overall (e.g. country assessment reports, SCP indicators, policy handbooks). The project has delivered valuable outputs which have been well received by the different stakeholders. Capacity development activities implemented by the RPSC have also been well received. There is need for more systemic and long-term capacity building approaches, and strengthening processes to ensure that necessary change agents from relevant ministries are involved in these efforts. This point is acknowledged by the project. Examples of how the RPSC is addressing this issue are evident (e.g. SCP Winterschool, UNITAR online training, BLISS School). There is a broad thematic (SCP) connection between regional and national outputs provided through RPSC. However, the regional-country connection in the RPSC is not entirely clear in terms of SCP policy support approaches.
15. Achievement of country level outputs: Overall, the quality of country level outputs produced was satisfactory. These were produced based on specific needs identified by country focal points. The delivery of country level outputs has gained momentum since 2015. A proportion of RPSC outputs in the countries are planned for the second and final part of 2016, which requires attention to ensure these outputs are produced in sufficient quality, quantity to create impact. The evaluators acknowledge the external challenges faced by the RPSC to initiate and deliver country level outputs (e.g. delays in establishing an MoU with MoFCC in India, change or periodic absence of country focal points). Overall, RPSC's outputs and outcomes at regional level are more diverse and mature than at

country level. UNEP having a country office in China seems to have had utility for the country level SCP support, given the RPSC's work in China is more advanced compared to other RPSC core countries (e.g. India, Viet Nam, Cambodia, Bhutan, Lao PDR, Afghanistan, Pakistan). It was also raised in the 2015 evaluation<sup>1</sup> that a permanent presence in countries allows for ongoing interactions with the beneficiaries and a strong network and relationship with key decision makers.

16. Effectiveness (Outcomes to Impact): Creating an enabling policy environment requires time and that many factors come into play that both enhance and challenge mainstreaming SCP. Policy dialogues at regional and national levels are taking place but there is growing, but overall still limited engagement of ministries other than the Environment and of the private sector resulting in concern that new or enhanced policies are less likely to have the needed implementation authority and mechanisms. Offsetting this is the likelihood that the RPSC has provided notable contributions to raising awareness and understanding of SCP and that SCP has a presence on regional and sub-regional agendas.
17. Sustainability and replication: While there are indications that RPSC is establishing the foundation of an enabling environment and the capacity needed for the current context, this evaluation finds that there are insufficient signs to be sure that any momentum behind the results would be sustained without further project efforts. At present there is potential but RPSC could not yet be considered as catalytic and the key assumption (that national capacity and political will exists or is created and is available to ensure implementable and durable policies are implemented and enforced) is thus not assured.
18. Efficiency:
  - Timeliness: Issues of timeliness often arise in initiatives as complex as the RPSC. The development and implementation of country activities was more challenging and slower than envisaged. Many country activities did not get into full swing until 2014/2015. RPSC would have benefitted from more synthesis analyses of impacts achieved throughout the project. The project was timely in preparing the region for the adoption of the 10YFP in 2012 and the SDGs in 2015. For national implementation, this was slowed temporarily while the SDGs were being adopted
  - Cost efficiencies, adaptation and effect of delays: The budget allocation to RPSC and UNEP's is justified by the regional dimension of the RPSC, and the fact that a substantial proportion of the funds will be distributed through funding agreements. To ensure an optimal fulfilment of the project on its work plan, the RPSC was granted a no-cost 6-month extension from June to December 2016. However, some planned country level activities and draft funding agreements had to be cancelled in 2016, but the rationale has not been made entirely clear to the evaluators. The project team notes that the transition from IMIS to UN's new administrative system (UMOJA), for which UNEP has been one of the UN Secretariat pilot organisations since May 2015, has posed a substantial challenge to the project reporting, financial management, monitoring of funds, resulting also in a delayed submission of the financial report for 2015.
  - Building upon and adding value to other initiatives: The project design phase and subsequent detailed country needs assessments undertaken at the start of the project identified opportunities for the RPSC to build on existing and planned activities. Substantial efforts were made by the project team to build upon pre-existing partnerships. Integration of RPSC into the SWITCH Asia Program is discussed under "follow-up on previous evaluations".

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<sup>1</sup> EU evaluation of SWITCH Asia Regional and National Policy Support Components (Malaysia, Indonesia), 2015, Pierre Mahy.

19. Factors affecting performance:

- Preparation and readiness: The project design has been included as an additional and separate evaluation criteria in this report.
- Implementation approach: The RPSC is providing SCP policy support and capacity building on the development of new policies/roadmaps and integration of SCP into existing policies. Multiple stakeholders commented that “There are (too) many SCP related government policies, strategies, and roadmaps in Asia, this can be confusing. Policy implementation is lacking in Asia”. The question raised is how regional SCP approaches are supported by national ministries and translated in national SCP policy efforts. There seems to be a case to increase efforts on the integration and implementation of SCP through existing policies, regulations, and roadmaps which are already supported by relevant and influential ministries in the countries, rather than developing new policy documents and roadmaps mainly through environmental ministries. Although there is evidence that RPSC has engaged with other ministries, the engagement with more influential ministries beyond the Ministries of Environment should further expanded.
- Project management: Collaboration and synergies between DTIE, ROAP, UNEP country offices, and regional/country partners are key to successful delivery of RPSC. There is a need for clearer roles/responsibilities and better information sharing between DTIE, ROAP, UNEP country offices, but also stakeholders engaged through funding agreements. Engagements through UNEP/RPSC focal points resulted in some challenges and delays in project work in countries (e.g. Bhutan, Pakistan, India).
- Financial planning and management: A total of 51% (5.09 million Euro) of the total amended budget (8.47 million Euros) was distributed by UNEP to project partners to deliver specific RPSC initiatives and outputs. 40% and 20% of the partnership funding amounts were distributed to project partners through agreements in 2015 and 2016 respectively. This largely explains the increase in efforts and outputs in the past two years of the project. 60% of total amount distributed through funding agreements (31% of total amended project budget) were allocated to regional activities, which is considered acceptable. The funding amount for country-level activities is low for number of core countries (e.g. Cambodia and Nepal). Lao PDR did not receive direct funding through RPSC, but received funding through the UNDA account which was not signed at the time of evaluation data collection.
- Country ownership and driven-ness: SCP Winterschool, UNITAR online course, and SCP Youth Ambassador Program are seen as good examples of how RPSC has engaged with (potential) change agents. The current process of UNEP/RPSC focal points selecting government participants in RPSC’s capacity building and SCP policy support events does not ensure that necessary change agents from relevant ministries are involved. Exceptions are the UNITAR online course and the Winter School, where applications are open publicly, and UNEP/RPSC is in control who should participate. However, for country and regional training programs, it is the role of the government appointed focal points to determine who should attend.
- Project monitoring: A reasonable project logic and theory of change is an important foundation for monitoring. The RPSC project lacked these and so any monitoring of achievement of the necessary conditions and trends would not have provided the type or quality of information that would enable the project to adaptively manage its efforts. It is commendable that evaluation efforts were taken for some of the contracted capacity building but there was no effort to monitor important issues such as how and to what extent the capacities were being applied and having effect. The KPIs are largely counts and are of marginal utility in terms of providing insights and knowledge about the project beyond what is required for formal accountability purposes.

20. Response to previous evaluations: It is clear that efforts are invested by the RPSC to address recommendations from UNEP's Programme Information Management System (PIMS), Mid-Term Review (MTR) of the SWITCH Asia Program in 2013, and 2015 independent evaluation of EU SWITCH Asia including RPSC. A notable proportion of recommendations from previous evaluations related to the integration of RPSC into SWITCH Asia. Building upon the current efforts of integration, there is a need to further strengthen inter-linkages, communications, and to utilise learning with other components of SWITCH Asia Program (e.g. Grant Projects, National Policy Support, Network Facility).

## Conclusions

21. Based on stakeholder consultations held, key achievements from RPSC are:
- SCP is on the agenda of policy makers in Asia: RPSC has contributed to the strengthening of regional SCP capabilities and awareness in the Asia Pacific, in particular bringing the topic of sustainable consumption to Asia.
  - Institutional networks: Increased networking between countries and SCP institutionalisation in Asia (e.g. APRSCP, ASEAN Forum on SCP, and South Asian Forum on SCP).
  - Policy manuals: Established reference frameworks and manuals for the development and implementation of SCP related policies customised to Asia Pacific.
  - SCP baseline data and indicators: The SCP indicator framework developed can assist policy makers with building the evidence base for policy, policy monitoring and working towards SDGs (in particular SDG 12 on SCP).
  - Innovative capacity building approaches: Some innovative and interactive capacity building approaches have been developed and implemented with early/mid-career policy makers as change agents (e.g. SCP Winter School, UNITAR online SCP training course, BLISS Schools).
22. RPSC should adopt a more results-driven approach: The RPSC project is structured around activities and outputs without a coherent or plausible pathway from these to the results. This might occur because the project was the first SWITCH program which made it a challenge to articulate its understanding when the project was designed in 2010, or because it has not developed an evidence based critical knowledge of how the results occur and what influences this. Regardless of the reason the project needs to improve the articulation of the logic.
23. Engagement beyond environmental ministries is critical to make an impact: Policy support on SCP needs to go beyond environmental related policies and needs to be integrated with existing policies with different ministries. Although RPSC has engaged with ministries beyond environmental ministries, this engagement should be further expanded. The adoption of SDGs has contributed to placing SCP on the agenda of planning ministries, and the project should aim to leverage this shift in the future.
24. The sustainability and impact of the RPSC and SWITCH focal points need to be strengthened: RPSC focal points need to be expanded beyond one person and ministries of environment. One option raised by some stakeholders is to have a (working) group of different and relevant ministries and government departments as a focal point.
25. Change agents to drive forward SCP related policies: Working with change agents in influential ministries and regional institutions to drive forward the development, integration and implementation of SCP policies is very important to create impacts. In addition to knowledge of SCP concepts, these change agents need to be trained on communication, negotiation, and multi-stakeholder engagement skills.
26. Emerging opportunities from SDGs to strengthen and synergise RPSC: The adoption of Agenda 2030 and SDGs (will) make SCP a priority for international, regional, and national

government agencies. SDGs will assist in positioning and framing in SCP in policy making processes, and therefore it is important for RPSC to further align its work with SDGs at international, regional and country levels. SDGs have started to shape RPSC's work and outputs (e.g. SCP indicators, work with UNDP in Cambodia). The SDGs will also enable UNEP / RPSC to work more closely with government agencies beyond environmental ministries.

27. *Alignment of RPSC and SCP policy in Asia with 10YFP:* It is important to continue creating synergies between 10YFP and RPSC initiatives at regional and country level, as well as with other complementary UNEP initiatives such as PAGE. However, this alignment should not be exclusive. Customised and adaptive SCP policy support approaches are needed at (sub-) regional and country level to take into account country contexts and priorities which are not necessarily covered by 10YFP (e.g. chemicals management, textiles, fish processing, manufacturing).
28. *Development, integration and implementation of SCP in policies through RPSC:* Given that there are (too) many existing SCP related governmental policy mechanisms which often lack in implementation, there is a need for increasing efforts on assisting policy makers with the implementation of existing policies rather than developing new policies. Further, the question on how regional SCP approaches are translated in national SCP policy efforts by environmental and other ministries needs to be addressed further. It is acknowledged that the country level policy support provided by the RPSC is based on the policy needs assessment carried out at the start of the project and specific requests made to the project through the focal points. Further, specific needs from countries change over time due their increased awareness and (inter)national developments such as the SDGs.
29. *Governance and enforcement:* The overall challenge of effective governance and policy implementation/enforcement remains in many Asian countries, and therefore it is important for the RPSC to also address direct policy mainstreaming, effectiveness and enforcement activities. It is acknowledged that in specific cases, the RPSC is progressing on this (e.g. Cambodia, Bhutan).
30. *Integration into SWITCH Asia Program:* There is some evidence of RPSC becoming a more integrated part of SWITCH Asia Program, but further efforts are required to strengthen synergies and collaborations between RPSC and other SWITCH Asia components. This integration should be a coordinated and structured effort involving all SWITCH stakeholders and service providers. The evaluators understand that this coordination started to take place through DEVCO.
31. *Need to clarify roles/responsibilities and strengthen information sharing and result-oriented monitoring:* Although some internal efforts were put in place to streamline procedures, there is a continuing need to clarify roles and responsibilities between DTIE, ROAP, and UNEP country offices on project management, implementation and result-oriented monitoring. Better information sharing is needed between with stakeholders engaged through funding agreements to share, monitor and promote results.
32. *Storytelling:* The communications on the “storyline and bigger picture” of RPSC need to be strengthened to enhance stakeholder awareness on the RPSC's activities, outputs and outcomes relevant to them and attract more engagement from relevant and influential stakeholders from the public and private sectors. This conclusion is also applicable to the wider SWITCH Asia Program. There is communicated learning on the storyline of the SWITCH Grant Projects.
33. Based on the findings from this evaluation, a summary of ratings is provided in the table below. Overall, the project demonstrates performance at the ‘Satisfactory’ level.



**Table 2: Summary of ratings**

Evaluation criteria	Cross-reference in this report	Rating
Strategic relevance	Section 3.1	Highly Satisfactory (HS)
Project design	Section 3.2	Satisfactory (S)
Achievement of outputs	Section 3.3	Satisfactory (S)
• Regional level outputs		Highly Satisfactory (HS)
• Country level outputs		Satisfactory (S)
Effectiveness	Section 3.4	
• Achievement of project objectives and results		Moderately Satisfactory (MS)
• Likelihood of impact		Moderately Likely (ML)
Sustainability and replication	Section 3.5	Likely (L)
Efficiency	Section 3.6	Satisfactory (S)
Factors affecting performance	Section 3.7	Unsatisfactory (U)
Follow-up on previous evaluations	Section 3.8	Satisfactory (S)

## Recommendations

34. **Recommendation 1:** UNEP and DEVCO to revisit the logic of the RPSC approach to better articulate the results and intermediate outcomes that need to be achieved for the objectives to be realised.
  - Some of the gaps in the project logic were identified in the section on the Theory of Change. The project should be able to articulate the main outcomes that lie between achievement of the outputs and realisation of the results. In addition, many of the results need to be better expressed as results, currently some are expressed as outputs or activities and some merely replicate one of the outputs or activities.
35. **Recommendation 2:** RPSC to further strengthen inter-linkages and shared learning with other components of SWITCH Asia Program.
  - Building upon integration efforts initiated after previous evaluation (Pierre Mahy, 2015), UNEP / RPSC should continue to further strengthen inter-linkages and communications to create shared learning with other components of SWITCH Asia Program.
  - DEVCO (or representing agency) to lead the coordination between SWITCH Asia service providers on a regular basis to scope and monitor required synergies and collaborations in the different SWITCH Asia Program components. The evaluators understand that this coordination started to take place recently through DEVCO.
36. **Recommendation 3:** The RPSC to strengthen project management, implementation, and communications through the clarification of roles between DTIE, ROAP, UN country offices and project partners as well as through better information sharing, result-oriented monitoring and storytelling.
  - UNEP to clarify roles and responsibilities for RPSC project management, implementation, information sharing, and monitoring.
  - UNEP to apply regular result-oriented monitoring and impact-driven KPIs at regional and country level.
  - UNEP and DEVCO to seek to alignment of budgeting and costing templates for the RPSC in order to reduce project management and time inefficiencies, and strengthen financial management of the project.

- UNEP, in close collaboration with DEVCO and other SWITCH Asia Components, to improve the communications on the “storyline and bigger picture” of RPSC. This is needed to enhance stakeholder awareness on the RPSC’s activities, outputs and outcomes relevant to them and attract more engagement from relevant and influential stakeholders from the public and private sectors.
  - As the country level work benefits from country presence, a recommendation for the RPSC is to further expand its cooperation with other UN initiatives in related topics (e.g. PAGE, Green Economy, PEI, etc operating at country level).
  - As the recommendation above applies to the overall SWITCH Asia Program, DEVCO to coordinate efforts to strengthen the “storyline and big picture” of SWITCH Asia Program and its components. The storyline on the SWITCH Grant Projects is relatively clear, so there is communicated learning from these experiences.
37. Recommendation 4: RPSC is advised to expand its processes to identify, develop and maintain change agents to drive SCP in public and private sectors.
- UNEP / RPSC to expand processes to identify, develop and maintain SCP change agents in public and private sectors. This includes enhanced procedures to select change agents (e.g. early/mid-career policy makers) for regional and national events, targeted capacity building, connecting change agents, and ongoing long-term support. Applying the guidance for successful training provided by Brinkerhoff would enhance such efforts.
  - UNEP / RPSC to incorporate more skills development on communication, negotiation, and multi-stakeholder engagement into trainings and capacity building events. These “soft skills” are critical to create successful and impactful SCP change agents. Current capacity building offered through the RPSC has a strong focus on technical and various content related aspects of SCP (e.g. SDGs, policy making, public procurement, sustainable consumption). This is very valuable of course, but increased focus on developing “soft skills” is recommended.
  - UNEP / RPSC to strengthen procedure to select change agents and influential government officials from relevant ministries in RPSC’s capacity building and SCP policy support events.
  - UNEP / RPSC to explore the application of the Brinkerhoff method in their capacity building events to assess the extent to which trainee selection has focused on those who are likely to use the training, to train others, or for the effective promotion, development, implementation of SCP policies.
38. Recommendation 5: RPSC to strengthen and expand collaborations with influential ministries beyond Ministries of Environment, including RPSC’s country focal points.
- UNEP / RPSC to expand and strengthen its engagements with influential ministries (e.g. Ministries of Planning, Investment, Industry) beyond the Ministries of Environment. Although there is evidence that RPSC has engaged with other ministries, this engagement should be further strengthened, leveraging the shift in governance resulting from the adoption of the SDGs
  - UNEP / RPSC to consider, in future project designs, expanding its country focal points beyond one person and ministries of Environment in order to reduce the risks of sustainability and strengthen interactions with relevant country ministries. One option that could be further explored is a (working) group consisting of key ministries and departments working on SCP in a country. Such an option would also provide a mechanism for RPSC to formalise its engagements with relevant ministries beyond environmental ministries. Another option currently being trialled by the RPSC is through the sub-regional platforms, where each SCP focal point should bring 2 additional participants from planning ministries, sector ministries, private sector

organisations or youth organisations, depending on the event/process. This small delegation would then form a core for national level SCP planning.

39. Recommendation 6: RPSC to apply a stronger regional focus on the implementation of SCP through existing policy mechanisms and supporting capacity building on effective governance, enforcement and implementation of existing policies.

- RPSC is advised to develop stronger (sub-)regional focus on advocacy, science-policy interface, and capacity building towards the integration and implementation of SCP into existing policy mechanisms which are already supported by relevant and influential ministries.
- A particular focus should be on supporting the translation and integration of international and (sub-regional) policy mechanisms into existing national level and sectoral policies/plans. This means a lesser focus of RPSC on developing new policy documents, action plans and roadmaps.
- The RPSC is advised to further expand its efforts on direct policy mainstreaming, effectiveness and enforcement activities as many Asian countries still lack effective governance and policy implementation/enforcement. It is acknowledged that in specific cases, the RPSC is progressing on this (e.g. Cambodia, Bhutan). Voluntary instruments and outputs cannot function without functional legislative framework.

40. Recommendation 7: RPSC to strengthen alignment with SDGs, and maintain synergies (but not full alignment) with the 10YFP on SCP, as well as with other complementary UNEP initiatives (e.g. PAGE).

- UNEP and project stakeholders to continue synergies and the sharing of learnings between 10YFP and RPSC initiatives. However, the recommendation is not to fully align 10YFP and RPSC priorities in order to ensure flexibility in addressing country specific contexts and priorities not covered by 10YFP.
- RPSC should be building upon the adoption of Agenda 2030 and supporting SDGs by UN member states in September 2015, which allow UNEP / DEVCO to further align RPSC towards assisting policy makers with the implementation and monitoring of the SDGs (in particular SDG 12 on SCP). This way RPSC work will be anchored within current priorities of national government agencies, including ministries beyond environment.

## 1 INTRODUCTION

41. The SWITCH-Asia Regional Policy Support Component (RPSC) is the third component of the EU SWITCH-Asia Programme, which has a long-term goal to increase sustainable consumption and production in Asia i.e. to develop less polluting and more resource-efficient products, processes and services, and to change sustainable consumption patterns and behaviour.
42. The overall objective of SWITCH-Asia RPSC is to strengthen national and regional policy frameworks to promote the shift towards more SCP patterns and resource efficiency, thereby contributing to green growth and the reduction of poverty in Asian countries.
43. The SWITCH-Asia RPSC targets national and regional policy frameworks and their potential to encourage the uptake of SCP practices. It supports authorities in the region in the design and/or strengthening of policies for mainstreaming SCP as well as in the implementation of policy-oriented activities. The SWITCH Asia RPSC operates in a total of 19 Asian countries, of which 9 countries are considered 'core countries'.
44. In line with the UNEP Evaluation Policy and the UNEP Programme Manual, the evaluation is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability.
45. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and its partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation. The SWITCH-Asia programme has been the subject of two independent evaluations in June 2013 and August 2015, within which the RPSC was evaluated, along with the Network Facility, grants project and national policy support components. Of particular interest in this evaluation are:
  - An assessment of the likelihood of the project contributing to substantive 'collective impact'<sup>2</sup>, given that work on SWITCH Asia began in 2011.
  - The extent to which findings and recommendations from earlier evaluations have been assessed and appropriate actions taken to strengthen the initiative.
  - The provision of substantive recommendations for the design of a potential future project phase.
  - An assessment of the project with respect to a minimum set of evaluation criteria grouped in five categories, including:
    - Strategic relevance.
    - Attainment of objectives and planned results, which comprises the assessment of outputs and outcomes achieved, effectiveness and likelihood of impact.
    - Sustainability and replication, including sustainability relation to the socio-political context, financial resources, institutional framework and the environment.
    - Efficiency.
    - Factors and processes affecting project performance, including preparation and readiness, implementation and management, stakeholder participation and

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<sup>2</sup> The evaluation will use the standard UNEP ToC approach which supports an evaluation of the likelihood of impact. The five key elements of 'collective impact' (common agenda; shared measurement systems; mutually reinforcing activities; continuous communication and backbone support organisations) will be addressed through the enabling conditions in ToC.

public awareness, country ownership and driven-ness, financial planning and management, UNEP supervision and backstopping, and project monitoring and evaluation.

46. This document represents the full and final report for the “Terminal Evaluation” of the SWITCH Asia RPSC containing the project context; reconstructed Theory of Change (ToC) of the project; evaluation findings, conclusions, lessons learned, and recommendations. Detailed background information is included in the Annexes, covering the SWITCH Asia RPSC regional and country level stories, documents consulted during the evaluation, evaluation program, and financial data on the project.

## 2 THE PROJECT

### 2.1 Context

47. Environmental sustainability and the impact of inefficient and polluting use of resources are currently major challenges for national governments. These challenges directly concern not only the industrialized countries and emerging economies, but also least developed countries (LDCs). Increasing resource efficiency (RE) and shifting towards Sustainable Consumption and Production (SCP) patterns are at the core of a transition to a Green Economy (GE).
48. At Rio+20, governments formally adopted the Ten-Year Framework of Programmes (10YFP) on SCP patterns, and agreed that Green Economy (GE) is an important tool for achieving sustainable development and poverty eradication. With the adoption of the global 10YFP, governments have created an institutional mechanism, which has a vision, goals, functions, an initial open list of programmes and a secretariat hosted by UNEP. To promote the shift to SCP patterns, the 10YFP will deliver capacity building to support regional and national initiatives.
49. The UNEP sub-project forms the Regional Policy Support Component of a wider initiative, the European Union (EU) SWITCH-Asia Programme, which has three inter-connected components: a network facility, a grants project and a policy support component. The EU SWITCH-Asia initiative is promoting SCP across the Asia region. It works with both producers and consumers on the ground as well as at policy-making level in formulating and implementing SCP-related policies.
50. In 2010, UNEP and the EC signed an agreement for UNEP to manage the SWITCH-Asia Regional Policy Support Component (hereinafter SWITCH-Asia RPSC) for 5.7 million EUR over 48 months (Jan 2011 - Dec 2014). In December 2013, UNEP and the EU agreed to an extended agreement and additional funds that bring the total funds to 7.2 million EUR over 66 months (from Jan 2011 - June 2016) for the programme.
51. Within UNEP, SWITCH-Asia RPSC is a sub-project under the broader UNEP umbrella project 'Mainstreaming Resource Efficiency Aspects into Sustainable Development Planning, Policies and Regulatory Frameworks' (PIMS no. 614.2). UNEP's work on SWITCH-Asia was also part of the 61-P7 project "Policies and Tools at the National Level – Mainstreaming Resource Efficiency Aspects into National Economic and Development Planning" under the Programme of Work (PoW) 2010-11.
52. The need for adequate legal and policy frameworks to mainstream SCP and GE objectives in response to the strengthened Rio+20 mandate are the main driving forces behind this project.

### 2.2 Objectives and components

53. The SWITCH-Asia RPSC activities were designed to deliver intermediary results that could contribute towards two objectives:
  - Create enabling conditions and factors to strengthen or initiate policies that efficiently mainstream SCP and RE in regional, sub-regional, and national development programmes.
  - Develop institutional knowledge, skills and capacities among stakeholders (government, private sector, civil society) in a total of 19 countries (of which 9 are considered core countries), to coordinate the effective design and implementation of SCP policies and activities that accelerate the shift to Sustainable Consumption and Production.

54. To meet these objectives, a set of four work packages was developed:
- Review of Present Situation and Relevant Policies in Asia: Selection and Focus of the Programme.
  - *Capacity-building on SCP*: Strengthening Awareness and Enhancing Knowledge of Decision-makers in the Public and Private Sectors and Consumers.
  - *Policy dialogue*: Transforming Awareness and Knowledge into Operational and Effective Policies.
  - *Ensuring the Sustainability of the Programme*: Strengthening Implementation Networks, Creating Pools of National Asian Experts Able to Sustain Themselves in the Long Term.
55. SWITCH-Asia RPSC targets national and regional policy frameworks and their potential to encourage the uptake of SCP practices. It supports authorities in the region in the design and/or strengthening of policies for mainstreaming SCP as well as in the implementation of policy-oriented activities. The SWITCH-Asia project operates in a total of 19 Asian countries: Afghanistan, Bangladesh, Bhutan, Cambodia, China, DPR Korea, India, Indonesia, Lao PDR, Malaysia, Maldives, Mongolia, Myanmar, Nepal, Pakistan, Philippines, Sri Lanka, Thailand, and Viet Nam. Within this group 9 are considered 'core countries' for the Regional Policy Support Component: Bhutan, Cambodia, China, India, Lao PDR, Myanmar, Nepal, Pakistan and Viet Nam. (Note that policy support is provided at a national level by other organisations under the SWITCH-Asia project in Indonesia, Malaysia, Philippines and Thailand).
56. Based on the SWITCH-Asia RPSC ProDoc, a summary of the project objectives, expected results and outputs are provided in Annex I.

## 2.3 Target areas/groups

57. The final beneficiaries of SWITCH-Asia RPSC are consumers at the national level in general and the citizens of the selected countries in particular, as they will have access to more sustainable goods and services, whose production and consumption delivers lower impacts on their resource base and overall environment.
58. A key characteristic of SWITCH-Asia RPSC's implementation is the collaborative work with national stakeholders in the participating countries (governments and other institutional stakeholders, civil society, industry), other UN entities and regional intergovernmental networks or organizations.
59. The SWITCH-Asia RPSC ProDoc and amended Description of the Action includes a brief stakeholder analysis with reference to the roles of different stakeholder groups in the project. Key stakeholders identified in the stakeholder analysis section of the project document include:
- Public administration and governmental bodies: Ministries of Environment and other relevant line Ministries, notably those of Finance, Planning, Industrial Development, Local Development, and Trade as the main targets in the public sector. Environmental Protection and Development Agencies are also targeted, especially if these sit under national executive branches to ensure higher-level support for the Action.
  - Parliamentary groups: These are also the focus of the project to ensure that activities on the operational level will have a greater critical mass of political support.
  - Civil society organizations: Environmental and social development NGOs active on SCP and RE related projects and especially NGOs that implement SWITCH projects in the participating countries.
  - Technical support institutions: Including research centers, capacity-building institutions and academia in the participating countries. Experts from these



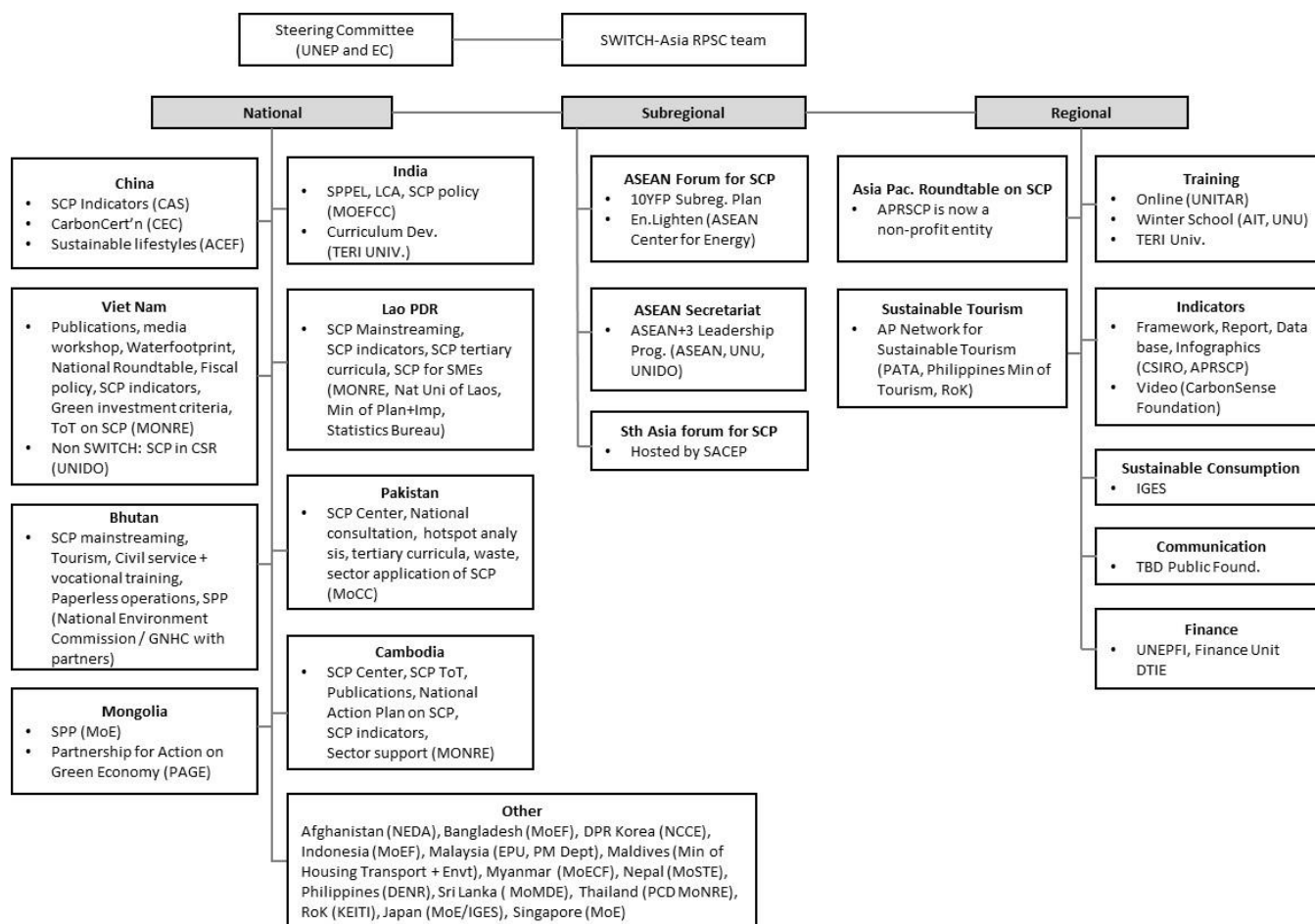
institutions are trained as trainers and will actively support capacity-building activities in the country level.

- *Small and Medium-Sized Enterprises (SMEs)*: The focus will be on SMEs in resource intensive sectors in the participating countries. Selected SMEs (that already participate in SWITCH projects or other SCP relevant projects) are engaged in capacity-building activities and will also benefit from networking with the policy dialogue forums of the SWITCH-Asia RPSC.
- *Business associations*: including Business Development Service (BDS) providers; and
- *Financial institutions*: including micro-financing mechanisms where relevant (for micro-enterprises, in sectors of the economy with a very low minimum efficient scale).

## 2.4 Project partners

60. Key partnerships outlined in the SWITCH-Asia RPSC ProDoc and amended Description of the Action cover:

- *Regional Partners*: The Action builds collaboration with already existing regional institutions, networks and initiatives (e.g. APRSCP, ASEAN, APO, ADB, ADFIAP).
- *SWITCH-Asia Network Facility*: The Action's team collaborates with the SWITCH-Asia Network Facility in order to facilitate a better coordination for the organization of regional events, capacity-building activities and other relevant activities.
- *National Partners (including SWITCH-Asia National PSCs)*: The programme at country level will be elaborated in close collaboration with the respective Governments, the UN Country Team (UNCT), the EU delegation, leading national policy schools and training institutions, other multilateral and bilateral development partners, private sector and civil society partners in the country.
- *UN-ESCAP*: A special partnership is established between UNEP and the United Nations Economic and Social Commission for Asia and the Pacific (UN-ESCAP) to implement the Action.
- *UNIDO*: Within the framework of the Joint UNIDO-UNEP Programme on Resource Efficient and Cleaner Production (RECP), UNIDO will work in tandem with UNEP in the region (and globally) in building and strengthening existing RECP efforts at the national level and initiating new activities where needed.
- *UNDP*: UNDP is a key partner for UNEP in implementing the SWITCH-Asia PSC. The Joint UNDP-UNEP Poverty Environment Initiative (PEI) programme for the Asia/Pacific region started in 2007 with the focus on the links between environment, poverty reduction and growth given the rapid pace of economic change in Asia. UNDP is also RPSC's main partner in Cambodia.
- *UN reform*: In response to the ongoing UN reform process and the One UN initiative, UNEP works in close collaboration with, and builds upon, the available expertise of the UN system in general and the UN Country in the selected countries.
- *Intra-UNEP collaboration*: The Action is developed and implemented using the different areas of knowledge and specialization available in UNEP. Although UNEP-Division of Technology, Industry and Economics (DTIE) is the implementing Division of the Action, it builds upon the broad range of internally available expertise on SCP and will be implemented in a coherent, collaborative and coordinated manner across UNEP.
- *International Resource Panel*: The International Resource Panel addresses the global dimensions of the EU's Thematic Strategy on the Use of Natural Resources.



**Figure 1: Organigram of the RPSC with key project key stakeholders of RPSC**

## 2.5 Implementation arrangements

61. Overall project management and administration responsibilities lie with UNEP's DTIE in Paris. The project falls within the 10YFP Unit in DTIE's SCP branch.
62. UNEP's DTIE staff work in close collaboration with the Regional Office for Asia and the Pacific (ROAP), based in Bangkok. The project funds regional office staff in Bangkok for direct implementation of activities (through partnerships with regional bodies and national institutions). This shared structure was established at the start of the Project.
63. The project draws on the lessons and best practices of UNEP and its partners working on RE (GE/SCP) including sector-specific changes in policies and management practices for RE/SCP and GE. These include the International Resource Panel, the Partnership for Action on Green Economy (PAGE), the 10YFP on SCP patterns and the Green Growth Knowledge Platform, as well as other sector-specific expertise and policy work being undertaken. Synergies and coordination were also expected with relevant regional projects such as SWITCH-Africa Green and Greening Economies in the European Union's Eastern Neighbourhood (EaP Green).

## 2.6 Project financing

The original total budget for the project was 6,701,966 Euros, which was extended and approved (along with an increase of project duration and scope of work) to 8,465,641 Euros in December 2013. Based on the extended budget, the European Commission's financial contribution accounts for 85% and UNEP's contribution for 15%.

64. Further details on the project budget summary, sources of funding, project expenditures (as of December 2015), and review of funding agreements are provided in Annex VI of this evaluation report.

## 2.7 Changes in design during implementation

65. 2012: Some fine-tuning and slight adjustment in the project implementation was undertaken.
66. 2013: A revised Action Description came into effect in December 2013, extending the project duration from 48 months (2011 – 2014) to 66 months (2011-2016) and providing an additional 1.5 million Euros. The key reason for the extension was to allow further time for project implementation and include activities implemented in or directly benefiting more countries (e.g. Pakistan, Cambodia, China, India, Lao PDR, Nepal, Myanmar and Viet Nam). The amendment restricted the usage of the additional funding to these 8 countries. Due to country expression of interest in 2013, Bhutan and Mongolia were also later added as target countries.
67. 2015: The alignment with the 10YFP was strengthened to ensure that SWITCH gains visibility as a component contributing to furthering Rio+20 outcomes (especially 10YFP) within Asia in 2015, a key year for finalising the 2030 Agenda for Sustainable Development..

## 2.8 Key Performance Indicators

68. The table below provides the list of 18 Key Performance Indicators (KPIs) of the Project, as listed in the SWITCH-Asia RPSC ProDoc (i.e. 2013 Description of the Action). Project reporting on the progress on these KPIs is provided in Annex V.

**Table 3: Key Performance Indicators of RPSC (See also Annex V)**

#	KPIs of RPSC
1	Number of continuously interested and committed countries
2	Number of successfully trained policy/decision makers
3	Per cent of positive feedback and learning objectives reached amongst trained decision makers and other training beneficiaries (at least 80%)
4	Number of Asian SCP-policy experts involved in the programme and frequency of communication
5	Number of session organised successfully on SCP during key regional events with high policy maker attendance
6	Number of inter-ministerial and policy dialogue events organised with positive feedback
7	Number of policy declarations and statements on SCP and Resource Efficiency (RE)
8	Number of policy tools on RE and SCP designed and submitted to government in the target countries
9	Number of countries mainstreaming SCP into policies, planning or other framework government initiatives
10	Number and quality of partnerships developed with expert institutions, national partners and other key stakeholders (according to strategic partnerships and policy advocacy strategy)
11	Number of and quality (based on collected feedback) of publications, awareness-raising, and training materials developed for target audience
12	Per cent of positive feedback from National Focal Points and other key stakeholders and partners within the Action (at least 80% positive feedback on performance and delivery)
13	Quality of communication and cooperation with regional initiative and with national Asian Centres on SCP
14	Number of national or other key policy training or learning institutions inserting SCP into curricula for ongoing training of new policy makers
15	Number of downloads of key publications and other communications tools (e.g. infographics) on SCP in Asia

#	KPIs of RPSC
16	Number of high-level or other key stakeholders confirmed as SCP "Policy Champions" in countries via key achievements in advancing SCP policies in country
17	Number of experts and key stakeholders active within established network or "Community of Practice" on SCP in Asia
18	Number of activities SWITCH-Asia RPSC contributes or leads within the 10YFP Roadmap for the Asia-Pacific and its implementation

## 2.9 Previous evaluations

69. The following implementation issues were recorded in UNEP's Programme Information Management System (PIMS):
- Project implementation needs to show flexibility in adapting to changing political situation at country level. The project needs to expand the number of primary partners in target countries. Country partnerships need to be explored or institutional commitments must be broadened.
  - Changes in governments are stalling project delivery in terms of policy change and commitments. There is a need to broaden support for SCP across many government institutions to ensure continuity of SCP as policy priority.
  - While the project continues to implement the capacity-building pillar of activities, it is challenging to assess if actual capacity is being built on a uniform level as a result of all the training activities because there is no set tools or method to assess whether the trainings have any impact on increasing policymaker/target audience knowledge on SCP. SWITCH-Asia RPSC has adapted a Kirkpatrick Level 1 and Level 2 evaluation tools and frameworks, but this is only at a test stage. If there was higher level support to implement and scale these tools into other project activities then learning impact could be better assessed for project, and the pillar on capacity development could have real results to report.
  - Coordination between different UNEP and UN initiatives at country level is necessary and strongly recommended by national counterparts: often SCP focal points at country level are also focal points for green economy, circular economy and green growth, to avoid overlapping and duplication of work streams, programme managers should respond positively to country's request for coordination.
70. The following findings were presented in an independent Mid-Term Review (MTR) of the SWITCH Asia Program in 2013<sup>3</sup>:
- The decision to create a PSC addressed identified needs in the region and was very relevant. The decision to entrust UNEP with the implementation of the regional part of the RPSC seemed to be sensible considering their expertise in SCP.
  - Overall, implementation efficiency during the first half of the four-year term has been satisfactory, but at first sight less effective. Activities have been implemented, but no analysis of what has actually been achieved is provided. UNEP acknowledges the limited number of achievements justified by political changes at senior policy levels and by the time needed for consultations.
  - Activities have been well received by beneficiary countries which may indicate that stakeholders see benefits in the support provided by the Regional Policy Support Component; how this translates into policy changes however remains to be seen.

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<sup>3</sup> Evaluation of the SWITCH Asia Programme, June 2013, by Pierre Mahy, funded by the EU.

- A major weakness identified during this evaluation is the total gap existing between the Regional Policy Support component and the grant component in all countries. The lack of communication with the grant projects, mainly involving SMEs as well as various private sector associations is a major deficiency in the approach of the Regional Policy Support Component. At the same time, the communication and cooperation with the Network Facility and with the National Policy Support projects is very limited; the Regional PSC does not appear as a well-integrated component of the Programme.
71. The following recommendations are included in an independent evaluation<sup>4</sup> of the EU SWITCH Asia project, which included an assessment of UNEP's Regional Policy Support Component:
- The recommendations to the Regional Policy Support component mainly relate to its interaction and cooperation with the other components.
  - The interaction with grant projects is non-existing and needs to be initiated without any delay in order to secure uptake of project results at highest possible policy level.
  - A study on "Policy uptake by projects" should be undertaken by the Regional Policy Support Team; this is to be seen as a full inventory of successful uptakes achieved by projects;
  - The Regional Policy Support Team needs to increase coordination with Network Facility and with the National Policy Support projects.
  - The tools, in particular the Handbook, and possibly other future publications developed by the Regional Policy Support component should be translated in local languages.
72. In addition, previous evaluations have referred to the following three areas that require strengthening:
- More follow up required after training activities.
  - Greater outreach required beyond those who are trained.
  - Materials/knowledge products would be more useful if they were less general and more specific to country contexts and needs.

## 2.10 Theory of Change

### Reconstructed Theory of Change of the project

73. A Theory of Change (ToC) is a key component for evaluations. It illustrates how the intervention intends to achieve the desired results. By reconstructing the ToC and reviewing progress along a causal pathway the UNEP ToC approach aims to demonstrate 'credible association' with planned change.
74. The reconstructed Theory of Change for the SWITCH-Asia RPSC is presented in Figure 2. This ToC provides an important input and mechanism for discussing the evaluation findings in Chapter 3.

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<sup>4</sup> EU evaluation of SWITCH Asia Regional and National Policy Support Components (Malaysia, Indonesia), 2015, Pierre Mahy.



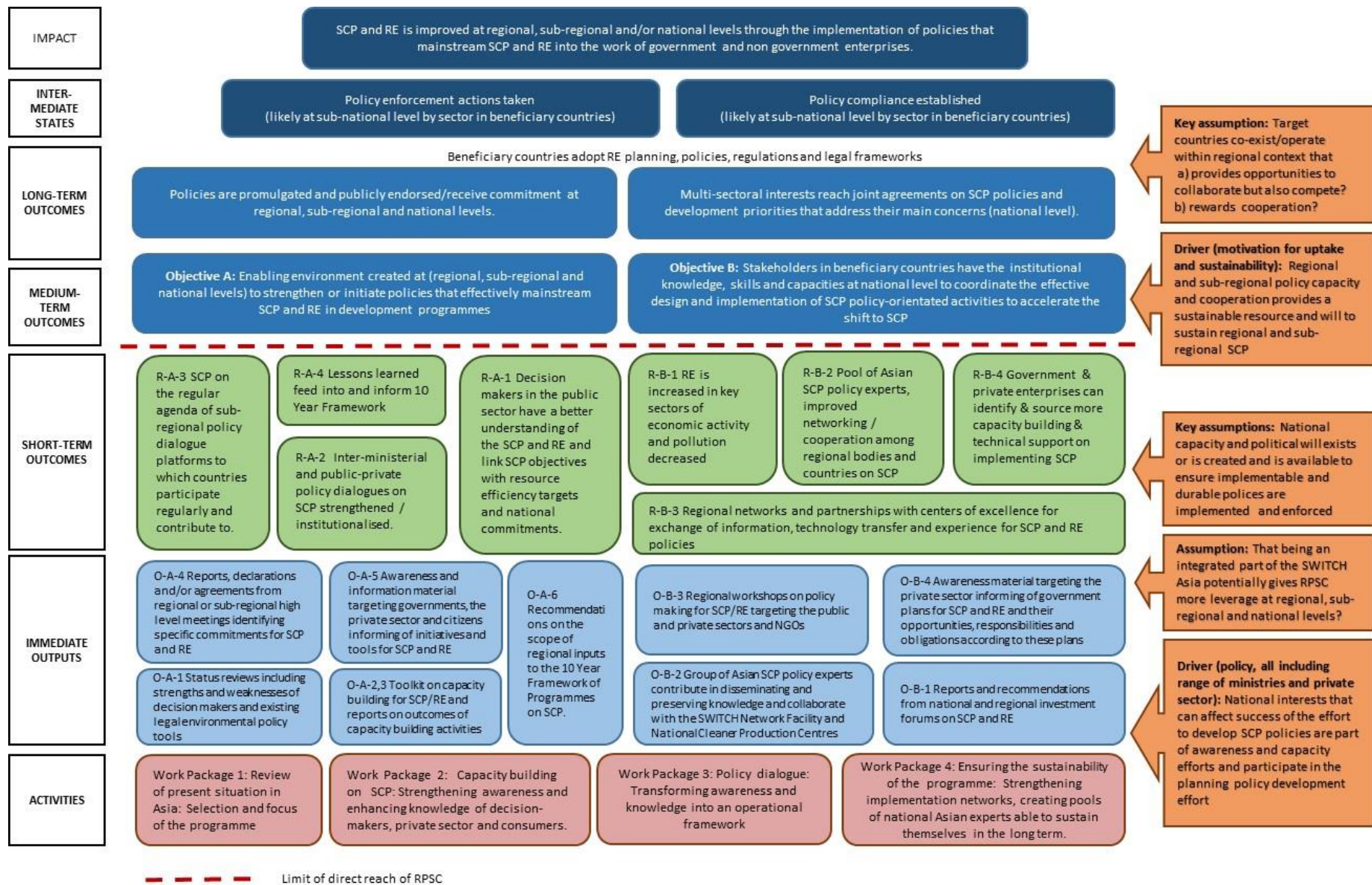
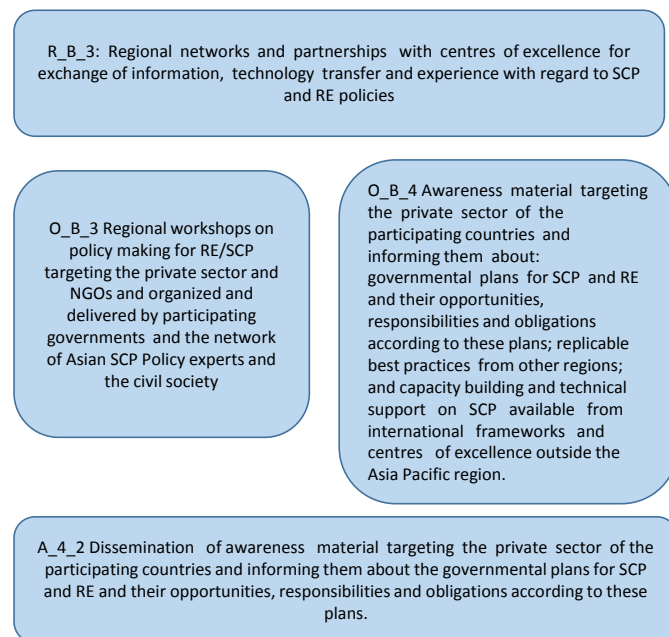


Figure 2: Reconstructed Theory of Change for SWITCH-Asia RPSC

75. The Reconstructed ToC was developed as follows. The SWITCH-Asia RPSC ProDoc (UNEP, 2010) contains a logframe (p.19) and a logic table (p.22 Annex 1 ProDoc). A ToC for the larger program is presented in 614.2 ProDoc "Mainstreaming resource efficiency aspects into sustainable development planning, policies and regulatory frameworks". The evaluation team used materials from Annex 1 Section 1.7 (Description of the Action and its effectiveness) and Section 1.8 (Methodology) to develop a program logic for the programme. This outlines the main achievements that the program is targeting to reach the two objectives of (A) an enabling environment and (B) capacity. Materials from Section 1.8 and other program sources were then used to identify the key mechanisms and assumptions on which the success of the program depends. These items are presented in the revised Theory of Change (Figure 2). The ToC includes the four work programs but not activities. Objectives above the red line in Figure 3 indicate that many other sources strongly influence achievement of these objectives and their successful implementation. RPSC's contributions and responsibilities are located below the red line.
76. Insight into the RPSC approach is potentially provided by the unnumbered table on page 19 of Annex 1 of the RPSC ProDoc which presents how each activity generates multiple outputs which in turn contribute to results. It is acknowledged that it is very difficult to represent the complexity of an initiative such as the RPSC in a figure or table. However, the table is the main vehicle where the developers of the RPSC project address the activity-output-result connectivity that underlies the logic of any intervention. Review of this table suggests an intervention whose logic has not been sufficiently developed.
77. To illustrate, consider the activity – outcome – result flow presented in Figure 3 which is drawn from the content in Annex 1 of the RPSC ProDoc. "A" indicates an activity, "O" an output and "R" results. The logic is that dissemination of awareness material to the private sector establishes, shapes or contributes to the two outputs one of which, (O\_B\_4), effectively repeats the activity and the second is a separate activity and certainly not an output from A\_4\_2, which is part of Work Program 4 (Dissemination of awareness material targeting the private sector of the participating countries and informing them about the governmental plans for SCP and RE and their opportunities, responsibilities and obligations according to these plans). From this it can be expected to get regional networks, partnerships including with centres of excellence. The logic is circular and does not articulate a plausible pathway to successful achievement of the results. This is not an unusual situation. Many projects present this type of challenge and this is the reason that evaluations reconstruct the theory of change or logic of the project. In addition, it is noted that the presence of result R-B-1 (RE is increased in key sectors of economic activity and pollution decreased) is in fact an impact that requires implementation of the policies that this project promotes and actions by industry and other forces.





**Figure 3: Example for considering the activity – outcome – result flow**

78. The evaluation team could have reconstructed a ToC for this project but the renovation would have been very extensive and it would have been difficult to maintain sufficient fidelity to the underlying project approach. Another option, and the one adopted in this evaluation, is to go with the output-result-objective framing provided in the RPSC ProDoc. Gaps in logic should be reflected in shortfalls in results. Figure 2 provides a reconstructed ToC for the RPSC adding assumptions and drivers where appropriate. One implication of this approach is that it does not identify intermediate states or provide some disaggregation of results that are central to the Review of Outcomes to Impact (ROtI) approach of synthesising an assessment of the achievements of the initiative.

### Collective impact

79. The Terms of Reference (ToR) for this evaluation includes a question directing the evaluators to consider collective impact. Many projects and programs operate as functionally separate entities not connected or only loosely connected to the important goals that provide the rationale for their existence. Collective impact is one of several ways that this problem has been articulated. The restructuring of Scottish government to identify the most important public goals and focus the coordinated efforts of government on these is a good example of this in practice (Elvidge, 2012). Another is the writing of Eleanor Chelimsky about partitioning of programs and the public interest (Chelimsky, 2012). These concepts are highly salient for the RPSC, as will be discussed in the next section. The RPSC is connected to the overall EU SWITCH Asia programme and, in national and regional settings, with many other related efforts supported and implemented by other donors and agencies. There are many opportunities to improve coordination that could bring important improvements to the broader RE effort. The reasons that coordination does often not occur sufficiently may have to do with many factors including agency/donor agendas and missions, national agendas and strategies and different knowledge foundations for the interventions. This is a situation that is well known and widely acknowledged. With the available resources, this evaluation would not be able to advance understanding much beyond the current level of awareness and knowledge and discussed in the next chapter on evaluation findings.

### 3 EVALUATION FINDINGS

#### 3.1 Strategic relevance

80. At the UN Conference on Sustainable Development in 2012 (Rio+20), governments formally adopted the Ten-Year Framework of Programmes (10YFP) on SCP patterns, and agreed that Green Economy (GE) is an important tool for achieving sustainable development and poverty eradication. With the adoption of the global 10YFP, governments have created an institutional mechanism, which has a vision, goals, functions, an initial open list of programmes and a secretariat hosted by UNEP. Further, the adoption of Agenda 2030 and supporting SDGs by UN member states in September 2015 (will) make SCP a priority for international, regional, and national government agencies. The need for adequate legal and policy frameworks to mainstream SCP and GE objectives in response to the strengthened Rio+20 mandate and SDGs are the main driving forces behind this project. The project is clearly justified with reference to the importance of addressing sustainable use of resources and more specifically the improvement of resource efficiency and changes in consumption patterns in Asia.
81. The SWITCH-Asia RPSC is consistent with the objectives of EU SWITCH Asia Program and UNEP that relate to SCP, GE and RE, including the broader UNEP umbrella project 614.2 'Mainstreaming Resource Efficiency Aspects into Sustainable Development Planning, Policies and Regulatory Frameworks'.
82. Key findings from the review of the UNEP umbrella project 614.2 and the SWITCH-Asia RPSC project design against the UNEP Programme of Work (PoW) are as follows:
  - The targeted outcomes of 614.2 and RPSC are relevant and aligned with the UNEP PoW and its Sub-Programme on Resource Efficiency. The design of 614.2 and RPSC aim to contribute to the development, provision, and implementation of Green economy and sustainable consumption and production tools of an economic, legal or policy nature, in countries and regions (Expected Accomplishment a, Output 4).
  - The most relevant PoW output referred in the 614.2 ProDoc is not so specific on actual implementation, but rather focused on development/provision of tools and country support on action plans and policy frameworks (PoW Output 4). Therefore, it is likely that the RPSC's contribution towards PoW output(s) will be achieved within the duration of the PoW.
  - Overall, the 614.2 ProDoc establishes that the project outputs contribute to UNEP PoW Expected Accomplishment (a) Output 4 in a foundational manner by supporting the development of a knowledge base and tools, building awareness, and building momentum for change through improved policy frameworks and engagement of key partners. However, the 614.2 and RPSC ProDoc do not sufficiently address how the project is following up on the diverse range of awareness raising, training, and policy support events held (e.g. monitoring decisions made, actual use of the training materials) in order to ensure the targeted outcomes are achieved.
83. South-South Cooperation is implicitly addressed through the organisation of technical workshops at the regional/sub-regional level or within clusters of countries, for sharing experience on mainstreaming SCP and the design and implementation of national SCP programmes. These workshops bring together participants from government, the private sector and the civil society, and key influential stakeholders in order to exchange experience, promote south-south cooperation on sustainable consumption and identify regional level priorities for work on sustainable consumption. Further, South-South Cooperation is enhanced in the RPSC through engagement of researchers from CSIRO (Australia) and IGES (Japan) in normative activities.
84. The gender analysis and log frame in the 614.2 project doc provides details on the importance and direct/indirect gender parity effects to be achieved through the project

activities (e.g. capacity building events and in improved legislation and policies as a result of the project). A formal approach to gender equality or an analysis of the gender situation with regards to SCP policy support was not applied as part of the project, although the project team reported that the UNEP Guidance Note On Gender Analysis at Project Level (2013) was applied where possible throughout the project. A pragmatic and gender sensitive approach to gender mainstreaming was applied to relevant project activities (e.g. training and capacity building events, recruitment). A review of various samples of participant lists of RPSC events and selection processes (e.g. ASEAN+3 Leadership Program, BLISS School, SCP Winterschool, APRSCP events, UNITAR online training) confirmed RPSC's efforts to achieving a gender balance.

**Rating for strategic relevance:**

**Highly Satisfactory (HS)**

### 3.2 Project design

85. The evaluation team reviewed SWITCH-Asia RPSC project design documents during the Inception Phase of the evaluation and conducted introductory interviews with UNEP staff involved in the design to assess the overall quality of project design. Overall, the RPSC was sufficiently designed (ie rated as 'Satisfactory') but would have benefited from clarification of several issues to provide more guidance for the implementation. In particular:
- Strengthen the internal logic of the intervention (see para 73 above), preferably with reference to the Theory of Change that guides UNEP's Resource Efficiency programme.
  - Include observable and quantified performance targets for the SWITCH-Asia RPSC activities, outputs and outcomes.
  - Clearly summarise the roles and responsibilities of the SWITCH-Asia RPSC and specific components of the broader, EU SWITCH Asia Programme.
  - Describe the roles and responsibilities of project in the project documents and annual work plans.
  - Describe in more the detail the synergies from the inter-linkages between the projects carried out under the 614.2 umbrella projects (e.g. SWITCH Asia, SWITCH Med).
  - Specify the activities/resources to follow-up on the signed agreements, trainings, and policies optimised/developed to ensure sustainability of the project action.
  - Describe the approach to seek financial contributions from the participating countries for services provided.
86. Project Review Committee (PRC): The main issues raised by PRC that were sufficiently addressed as part of the project approval processes cover Technical Quality (12 points), Stakeholders engagement (3 points), Gender and socio-economic issues (2 points), Sustainability and replicability (1 point), and budgeting, tracking progress and reporting (1 point). Key issues raised by PRC that were not fully accepted include the implementation arrangements: Comment was made by PRC that 614.2 may be overambitious and "only 8 target countries". This comment does not seem to have resulted in a change in the 614.2 project design. Further, the question of resource rights (e.g. land ownership, access to credit) to female producers and how this impacts SCP was raised by PRC and the project team responded that, although a valid point, it could not be explored in detail until it was known how much the policy work would engage resource access from a rights-based perspective.
87. Project preparation and readiness: The stakeholder consultation and analysis, situation and problem analysis, and gender analysis appear to have been undertaken to a

satisfactory level in the design of the RPSC. The RPSC ProDoc is very clear on the type, role and participation of UN partners, intra-UNEP collaborations, regional and national partners. Interlinkages and synergies between the RPSC and other SWITCH Asia Components (e.g. Networking Facility, National Policy Support Components, and grant projects) are described throughout the RPSC ProDoc, however, it would have been beneficial to clearly summarise and separate the roles and responsibilities of the RPSC and specific components of the SWITCH Asia Program in the project document.

88. Intended results and causality at project design: The overall objective of the project is stated as "Strengthen national and regional policy frameworks to promote the shift towards more sustainable consumption and production patterns and resource efficiency, thereby contributing to green growth and reduction of poverty in Asian countries". The targeted outcomes, activities, and supporting KPIs lack sufficient detail to assess progress and do not provide a sufficiently coherent logic or evidence based logic for the project. The main target groups and stakeholders are identified in the project document, however their roles for each causal pathway are not sufficiently described. The main reason for this is that national programmes of activities will be elaborated in response to the nationally owned strategies and documents. The RPSC project document does not sufficiently address how the project is following up on the diverse range of awareness raising, training, and policy support events held (e.g. monitoring decisions made, actual use of the training materials). Articulation of the causal and contributory connectivity of activities, outputs and results is weak.
89. Efficiency in project design: The project is clearly framed as building on the existing work of UN and SWITCH Asia Programme and other relevant stakeholders. Complementarities with the ongoing work of other organisations (and sub-programmes) are identified but the project design does not go very far in seeking to realise synergies and potential efficiencies. The baseline assessment, policy tools, and other planned publications represent a development and use of existing data sets and analysis.
90. Sustainability / replication and catalytic effects in project design: The project document of the UNEP umbrella project 614.2 contains a sustainability strategy, but the RPSC project document does not. As a result, it is not entirely clear how the sustainability strategy from 614.2 is being applied in the RPSC. The continuation strategy is largely based on the implementation of project's activities within existing national governance frameworks, which is regarded as justified and sustainable. There are no clear references to what extent and how the RPSC is seeking financial contributions from the participating countries for services provided. The project design does not include sufficient activities/resources to follow-up on signed agreements, trainings, and policies optimised/developed to ensure sustainability of the project activities.
91. Risk identification and safeguards in project design: A risk analysis is included in the 614.2 project document, but not in the RPSC documentation. The assumptions included in the RPSC logical framework are regarded as sufficient, however only a proportion of the assumptions are included in the risk analysis in the 614.2 ProDoc. Risk management strategies for those risks identified in the 614.2 project doc are regarded as appropriate. No evidence in the project documents of RPSC and its umbrella project 614.2 that risks and assumptions been discussed with key stakeholders.
92. Governance and supervision arrangements at project design: Structures and governance arrangements were clearly designed and presented including roles and responsibilities for the project implementation which were clear and feasible. The interlinkages and synergies between the RPSC and other SWITCH Asia Components (e.g. Networking Facility, National Policy Support Components, and grant projects) are described throughout the RPSC ProDoc. However, it would have been beneficial at the project design phase to clearly summarise and separate the roles and responsibilities of the RPSC and specific components of the SWITCH Asia Programme.

93. Management, execution and partnership arrangements at project design: The RPSC project document is clear on the defined roles of the project team. The RPSC project documentation does not make any reference to the UNEP umbrella projects 614.2 and 61-P7. It is therefore difficult to see the interlinkages and synergies with regards to the project teams/staffing. The roles and responsibilities of project stakeholders (in particular the beneficiaries in the target countries) are not sufficiently described in the project documents and annual work plans.
94. Financial planning / budgeting at project design: The action is co-funded by EC (85%) and UNEP (15%). Staff costs represent about 35% of the total eligible budget, which is appropriate in view of the nature of work to be delivered. No obvious deficiencies in the budgets / financial planning have been identified, but there is a limited breakdown of the budget.
95. Monitoring at project design: The description of the activities, objectives and results provided in the RPSC ProDoc (Section 1.7) do not present a logic for the program. "SMART" Objectively Verifiable Indicators (OVI) and KPIs have been developed for most objectives, expected results and activities. However, these OVI are not quantified so it is difficult to assess the project performance against these indicators. Specific milestones are not included in the RPSC ProDoc, only in the 614.2 ProDoc. This makes it more difficult to translate and track progress of the milestones from the umbrella 614.2 project for the RPSC.

<b>Rating for project design: Satisfactory (S)</b>
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### 3.3 Achievement of outputs

96. This section provides an assessment on the projects' success in producing the planned outputs (products and services delivered by the project itself) and any modifications/revisions later on during project implementation, both in quantity and quality, as well as their usefulness and timeliness. The assessment on achievement of product outputs is done for regional outputs and countries covered by the field visits.
97. There is a broad thematic (SCP) connection between regional and national outputs provided through RPSC. However, the regional-country connection in RPSC is not entirely clear in terms of SCP policy support approaches (e.g. linkage between SCP indicator publication and 10YFP, linkages between regional roadmaps produced as part of RPSC and its country level activities and other SWITCH Asia components). Multiple stakeholders noted that they do not see the RPSC storyline or claim not to know details of the RPSC outputs and outcomes at regional and country level. This observation is supported by a review of the SWITCH Asia website by the evaluators including the RPSC pages. It is rather difficult to place different activities and outputs promoted by the RPSC into perspective or see "the big picture".
98. Overall, RPSC's outputs at regional level are more diverse and mature than at country level. UNEP having a country office in China seems to have had utility for the country level SCP support, given RPSC's work in China is more advanced compared to other RPSC core countries (e.g. India, Viet Nam, Cambodia, Bhutan, Lao PDR, Afghanistan, Pakistan). The 2015 evaluation<sup>5</sup> also noted that a permanent presence in countries allows for ongoing interactions with the beneficiaries and having a strong network and relationship with key decision makers.

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<sup>5</sup> EU evaluation of SWITCH Asia Regional and National Policy Support Components (Malaysia, Indonesia), 2015, Pierre Mahy.

## Regional level outputs

99. A summary listing of regional RPSC outputs is provided in Table 4. Mapping of RPSC's regional activities is provided in Annex II.
100. Overall, the quality of technical outputs produced by RPSC (e.g. studies, policy papers) is satisfactory. The project has delivered valuable outputs which have been well received by the project stakeholders consulted as part of the evaluation.
101. Review of the present situation in Asia, scoping, indicators and SDGs:
- IGES and CSIRO led the scientific work on the assessment of SCP status and the identification of capacity building needs. The SCP policy assessments were completed in 2012<sup>6</sup> as part of the initial stage of RPSC. These assessments, which are comprehensive, informed the decision making on the priority areas for RPSC at regional and country levels.
  - Since 2015, in collaboration with the SWITCH-Asia Network Facility, the RPSC developed and maintained a more real-time and interactive "country profiles" for the entire SWITCH-Asia Programme's activities in countries, including policy status<sup>7</sup>. These country profiles contain valuable background information on existing policy frameworks, but are rather "dry" and it is rather difficult for readers to find relevant information of interest to them. The tab "UNEP's relevant activities" should have a broader focus on "SWITCH Asia's activities" which is believed to be more appropriate in light of SWITCH Asia Program and stakeholder interest areas.
  - UNEP project team is pleased with their SCP indicator work undertaken to date (e.g. indicator handbook, Asian SCP indicator database), providing the project with access to key discussions and precipitate discussions towards national strategies, and promote SCP more broadly. The regional SCP indicator framework has attracted some attention from policy makers in Asia. The project team notes that a key comparative country level indicator which triggers further interest from individual countries (e.g. Bhutan, Mongolia) in working with RPSC on SCP policy issues is "resource use per US\$ GDP". The project further notes that this is the first time that such a comprehensive data set and support SCP indicators have been made available for Asia to compare performance, differences and similarities between different countries. Further efforts in RPSC phase 2 are needed to use this work to influence SCP policy making and implementation in the region.
  - The adoption of Agenda 2030 and supporting SDGs by UN member states in September 2015 (will) make SCP a priority for international, regional, and national government agencies. Examples of how SCP indicators and SDGs have started to shape RPSC's work and outputs include the work with UNDP to assist with the integration of SDG 12 into national legal framework, request from Mongolia ministry of environment to assist with SCP and SDG indicators, and development snapshot reports on "Natural Resources and the SDGs" produced for RPSC's core countries.
  - From the stakeholder discussions held, it is clear that there is further potential for RPSC (e.g. in phase 2) to align its work with SDGs at international, regional and country levels. The SDGs will assist in positioning and framing in SCP in policy making processes. The project team notes that some further work will be required to fully align the existing SCP indicator set with the SDGs and governments' SDGs priority targets.

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<sup>6</sup> [www.switch-asia.eu/switch-policy/news/needs.html](http://www.switch-asia.eu/switch-policy/news/needs.html)

<sup>7</sup> [www.switch-asia.eu/countries/](http://www.switch-asia.eu/countries/)



- 17 SDGs are said to bring further clarity to national governments and international organisations (including EU, SWITCH Asia and UNEP) on “first tier and broad mix” of SDG targets at national level. There seems an opportunity for RPSC to assist with the development of a uniform set of “second tier” and “not too many” SMART indicators to identify priorities and measure progress of project/programme level initiatives (e.g. SWITCH Asia, RPSC) towards the SDGs.

#### 102. Capacity building:

- Capacity development activities undertaken by the RPSC can be grouped in two categories, namely the provision of training courses, workshops, seminars and direct coaching, and the development of knowledge products.
- The 2015 evaluation noted that knowledge products provided by UNEP are recognized as good sources of information however lacking practical implementation guidelines, and using a generic “one-fits-all” format. Key efforts by RPSC to address this point include the translation of selected outputs in local languages (e.g. SCP policy handbook), snapshot reports on “Natural Resources and the SDGs” produced for RPSC’s core countries, and country level capacity building and awareness events organised in 2015-2016. These efforts are viewed as a satisfactory response.
- Overall, the capacity building activities implemented by the RPSC have been well received (as confirmed by evaluation questionnaires available to evaluators). Very positive responses were received from a small number of selected alumni suggested for interviews by the RPSC and the facilitator (AIT) on the two SCP Winterschools organised through the RPSC. These winterschools targets young potential change agents in the region who keep in touch to share and apply learning after training. Further, the survey undertaken by UNITAR with alumni in the three editions of the UNITAR online SCP course held to date (2014, 2015, and 2016) indicated that 96% of respondents evaluated the course as very or mostly useful after 6 months and 83% often or very often use the knowledge acquired (e.g. in their profession).<sup>8</sup> It is noted that post-training surveys are typically used as indicators of immediate responses to learning opportunities.
- Rather than one off approaches, the 2015 evaluation noted that there is need for more systemic and long-term approaches. This point is acknowledged by the project team as a topic which requires further attention and is being addressed. Examples of trainings supported by RPSC which include follow-up activities beyond dissemination of summary report:
  - *UNITAR e-learning course on SCP:* Coaching provided to participants and a Small Grants Programme to support the implementation of most promising action plans developed during the course by participants<sup>9,10</sup>. At the end of the course each participant develops a practice-oriented SCP Action Plan. Examples from 2015 UNITAR include the action plans for developing a National SCP Policy for Nepal from the SWITCH-Asia focal point, strengthening the education and knowledge of SCP in Mongolia, promoting behaviour changes and awareness raising at the University of Sri Jayewardenepura in Sri Lanka, and sustainable energy production for the Maldives.
  - *SCP Winterschool:* Several policy interventions have been made by SCP Winter School alumni. Alumni from the 2014 and 2016 SCP Winter Schools have gone on to make contributions to national SCP related actions (e.g. Viet Nam’s National Action Plan on SCP, integrate SCP into Pakistan’s trade strategy). Alumni keep in

<sup>8</sup> [www.switch-asia.eu/news/switch-asia-and-unitars-3rd-edition-of-the-e-learning-course-on-sustainable-consumption-and-produ/](http://www.switch-asia.eu/news/switch-asia-and-unitars-3rd-edition-of-the-e-learning-course-on-sustainable-consumption-and-produ/)

<sup>9</sup> [www.switch-asia.eu/news/scp-champion-series-sri-lankas-upendraarjeeewani-and-uthpalasankalpani/](http://www.switch-asia.eu/news/scp-champion-series-sri-lankas-upendraarjeeewani-and-uthpalasankalpani/)

<sup>10</sup> [www.unitar.org/sri-lankan-universities-go-green-one-day-trainings-sustainable-consumption-and-production](http://www.unitar.org/sri-lankan-universities-go-green-one-day-trainings-sustainable-consumption-and-production)



close contact with each other to share experiences and assist each other with Q/A through dedicated Facebook page and whatsapp group.

103. Policy dialogues and institutionalisation:

- Increased awareness and understanding on SCP at regional level is mentioned by most stakeholders interviewed as a key output and outcome where RPSC made an important contribution. “SCP is now on the agenda of many senior policy makers in Asia”. It is noted that there are other efforts targeting SCP and RE in the region.
- The RPSC has organised a number of Asia-wide and sub-regional conferences to support the policy dialogues and institutionalisation. Key examples of these outputs include the annual events of ASEAN+3 SCP Leadership Forum and Asia Pacific Roundtable on Sustainable Consumption and Production (APRSC).
- Multiple stakeholders commented that “There are (too) many SCP related government policies, strategies, and roadmaps in Asia, this can be confusing. Policy implementation is lacking in Asia”. The question is how regional SCP approaches are supported by national ministries (environmental and other ministries), and translated in national SCP policy efforts. Evaluations from other international development projects with a SCP policy component pointed to increasing efforts on assisting policy makers with the implementation of existing policies rather than developing new policies (e.g. Mid Term Review of EaP Green Project). Such decision will affect the types of mechanisms and outputs the RPSC should focus (e.g. in phase 2).
- There is a need to distinguish and customise SCP policy support efforts between ASEAN and SAARC countries. ASEAN is further developed than SAARC. The 2015 evaluation noted that sub-regional activities involving countries with common interests generate a higher level of attention than Asia-wide events. RPSC has made this distinction by applying customised approaches to ASEAN Forum on SCP and South Asian Forum on SCP, including supporting sub-regional events (e.g. 1<sup>st</sup> South Asia SCP Winter School through Sri Lanka National Policy Support Component, BLISS School offered through TERI).

104. Sustainable consumption and lifestyles:

- It is widely acknowledged by numerous stakeholders interviewed that the RPSC has contributed to bringing the topic of sustainable consumption to the attention of policy makers in Asia through its capacity building and policy dialogue events and policy-scientific outputs produced throughout the duration of the project.
- Multiple outputs from RPSC have a strong focus on sustainable consumption and lifestyles, including sustainable consumption guide for policy makers, Regional 10YFP Roadmap (2014-2015), Asia Pacific Roadmap for SCP (2016-2018).
- The 4 Billion Dreams on Sustainable Lifestyles initiative coordinated by RPSC is viewed as an innovative, multi-stakeholder and multi-country communication campaign to increase awareness and interests in the topic. 25 people from 22 countries were trained as Youth Ambassadors to conduct and film lifestyle interviews of people of “different walks of life”. For example, the Youth Ambassador in India who is working at MoFECC organised a video message on sustainable lifestyles by the Minister for Environment.

**Table 4: Summary of key RPSC outputs at regional level**

Year(s)	Key outputs	Key partnership(s) to deliver output
<b>Review of present situation in Asia, scoping, indicators and SDGs</b>		
2012	Consultation with national ministries relevant for SCP in 19 SWITCH eligible countries.	CSIRO, IGES
2013	Summary final report on SCP capacity building and policy needs in 19 SWITCH eligible countries, including country profiles with a review of existing legal environmental policy tools.	
2013-14	Framework for regional SCP indicators.	CSIRO, University of Sydney
2015	Regional SCP indicators database and report.	
2015	In-depth assessments of SCP indicators in six countries.	
2015	Training of two National Statistical Officers (e.g. Mongolia, Lao PDR and Thailand).	CSIRO, PAGE
2016	Mongolia workshop to link SCP indicators with national policy and to train National Statistical Officers.	PAGE, NSO
2016	Snapshot reports on "Natural Resources and the SDGs" for RPSC core countries.	CSIRO, University of Sydney
<b>Capacity building</b>		
2011-16	Annual events of ASEAN+3 SCP Leadership Forum.	ASEAN, UNIDO, UNU-IAS, HSF
2013-2015	Policy handbook on SCP (Asian and global editions).	10YFP, IGES
2013-2015	SC guide for policy makers	IGES
2014 + 2016	Two SCP Winter School training programmes for future decision makers	AIT, UNU
2014 + 2016	Two SCP online trainings for Asian policy makers	UNITAR
2015 + 2016	Two SCP online course (BLISS) to train and prepare stakeholders for the forthcoming sustainable development challenges	TERI
<b>Policy dialogues and institutionalisation</b>		
2014	11st APRSCP in Bangkok	APRSCP, SWITCH NF, 10YFP
2012-2016	Establishment, consultations and workplan for ASEAN Forum on SCP.	ASEAN, UNIDO, UNU-IAS, HSF
2013-2014	Regional 10YFP Roadmap for Asia Pacific undertaken, including understanding of Asian lifestyles and "Lifestyle Assessment"	10YFP, APRSCP, Norway, Sweden, IGES
2013-2016	Secretarial services for APRSCP.	APRSCP
2015-2016	Establishment, consultations and workplan for South Asian Forum on SCP.	SACEP
2015-2016	ASEAN SHINE initiative to increase market share of efficient air-conditioners.	ACE
2016	12th APRSCP event in Siem Reap	APRSCP, SWITCH NF, 10YFP
2016	Asia Pacific Roadmap for SCP	10YFP, APRSCP
2016	Draft SWITCH Asia policy briefs (e.g. Behavioural Science, Marine Plastic Pollution in Asia, Achieving SDG 12 on SCP).	10YFP
<b>Sustainable consumption and lifestyles</b>		
2013-2014	Sustainable consumption workshop at SWITCH Network Facility meeting	SWITCH NF, Nepal
2013-2014	Background paper on sustainable consumption	IGES
2015	Online launch of sustainable consumption guide for policy makers	IGES
2016	4 Billion Dream Campaign on sustainable lifestyles in Asia, including multi-media exhibition	Sweden, Norway

**Rating for achievement of outputs (regional level):** **Highly Satisfactory (HS)**

## Country level outputs

105. Table 5 provides a summary listing of RPSC outputs for the countries visited as part of the evaluation. Mapping of RPSC's activities in these countries is provided in Annex III. Mapping of RPSC's activities in countries not visited as part of the evaluation is provided in Annex IV.
106. The rating for country level outputs are strongly informed based on the progress achieved in visited countries, but the rating also takes into account the outputs and progress in countries which not visited as part of this evaluation (e.g. a number of representatives from these countries were interviewed at the APRSCP event in Siem Reap).
107. A proportion of RPSC outputs in the countries are planned for the second part of 2016, which requires attention to ensure these outputs are produced in sufficient quality and quantity to create impact.
108. The RPSC country level work and outputs seem the most diverse and advanced in China, compared to other RPSC core countries (e.g. India, Viet Nam, Cambodia, Bhutan, Lao PDR, Afghanistan, Pakistan). UNEP having a country office in China seems to have had utility for the country level SCP support.
109. RPSC outputs in Viet Nam:
  - The key focal point of RPSC in Viet Nam for producing outputs and outcomes is MoNRE, Viet Nam Environmental Administration (VEA), Department of International Cooperation. There is an increasing collaboration of RPSC with Ministry of Industry and Trade (MoIT), although not yet through formalised agreements.
  - The initial engagement of RPSC with MoNRE focused on the delivery of a national roundtable, drafting a National Action Plan on SCP (NAP-SCP) and supporting indicators. MoNRE was initially leading efforts on the NAP-SCP in the country, but government responsibilities for SCP (including the NAP-SCP) shifted from MoNRE to the Ministry of Industry and Trade (MoIT) in 2015. The NAP-SCP, led by MoIT, was approved by the prime minister's office in January 2016, and detailed planning of the activities under the action plan is currently being undertaken. An alumni from the SCP Winter School is coordinating the development and implementation of NAP-SCP in Viet Nam, which illustrates the contribution of RPSC created through its capacity building efforts.
  - The media workshop on SCP facilitated through MoNRE held in April 2016 presents an innovative and effective approach to raise awareness and build local capacity among editors/reporters/journalists on SCP. This training seems to results in articles being published in various magazines on SCP (e.g. article on NAP-SCP in Environment Magazine). The SCP media workshop seems to have been delivered well.
  - The workshop held on water foot-printing and its potential for companies in industrial parks seems to be a one-off information sharing event. Therefore, the workshop is not likely to have resulted in actual uptake and implementation of the water foot-printing methodology by industrial parks and their companies. The project team noted that a request was made to RPSC to follow-up on this workshop by assessing the footprints of key products for export, but this request was considered beyond the financial availability under current the phase of RPSC.
  - A substantial proportion of the work under current contract with MoNRE is planned for the second half of 2016 (e.g. study on current status and opportunity areas to integrate SCP into fiscal policies, train the trainer workshops on SCP, and adaptation and translation of SCP handbook/materials in Vietnamese). Progress on the outputs has been hindered by an environmental incident in the Viet Nam mining sector which required significant resources from MoNRE.

- Discussion with AIT Viet Nam indicate that synergies are created between UNEP Paris/AIT led Eco-Innovation Project and RPSC work in Viet Nam (e.g. RPSC providing expert comments on eco-innovation policy assessments, involvement and participation in RPSC and eco-innovation capacity building events). The Eco-Innovation Project identifies which policies need to be revised in light of eco-innovation or which new policies need to be created (work in progress).
- The country has multiple existing strategies and action plans related to SCP. For example, National Green Growth Strategy, National Cleaner Production Strategy, NAP-SCP, National Program Energy Efficiency and Savings, National Strategy on Environmental Protection. Most stakeholders interviewed acknowledge the abundance of existing strategies and roadmaps in Viet Nam, and list the actual implementation and duplication of existing strategies as a key challenge in the country. Specific reference is made to the National Green Growth Strategy which is led by the influential Ministry of Planning and Investment and coordinated with relevant ministries. No synergies or collaborations through the RPSC has been established to date with this (likely important) policy initiative.

#### 110. RPSC outputs in China:

- The 2015 evaluation<sup>11</sup> raised some concerns about the extent and impacts from the RPSC work in China “Implementing a few activities in China cannot have a major influence on policy setting; a more intensive intervention could potentially generate more changes.” The RPSC work and associated outputs in China has significantly gained momentum in 2015 and 2016 as reflected in the RPSC story for China in Annex III.
- Agreements in China were with the China-ASEAN Environmental Cooperation Center (CAEC, part of the Ministry of Environmental Protection), China Academy of Science, and China United Environmental Certification Centre (CEC), and also included government institutions for direct policy access through the National Development and Reform Commission and the China Council for the Promotion of International Trade. The latter were more policy engagement on sustainable value chains in the country, The work with these stakeholders include linkages and recommendations to policy development and implementation. RPSC anticipates that the upcoming establishment of the 10YFP focal point with NDRC will expand these government linkages.
- The RPSC work in China includes a focus on industries and SMEs through its engagement with China Chain Store and Franchise Association (CCFA), China Environmental United Certification Centre (CEC), China-ASEAN Environmental Cooperation Center (CAEC), International Trade Center (ITC), China Council for the Promotion of International Trade (CCPIT).
- National Development and Reform Commission (NDRC): NDRC has been engaged in RPSC since 2013, and assisted with setting up collaborations and SCP policy priorities to work on. The intensity of RPSC and NDRC collaboration has not been very intensive to date, but it is anticipated that the upcoming establishment of the 10YFP focal point with the NDRC and adopted Green Consumption Guideline will strengthen the SWITCH Asia work in Asia on sustainable consumption and production in China.
- All China Environment Federation (ACEF): All key outputs from the funding agreement seems to have been delivered by ACEF in sufficient quality, including surveys on sustainable consumption, a set of sustainable consumption indicators and standards for communities in Beijing, a proposal on changing policies and regulations

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<sup>11</sup> EU evaluation of SWITCH Asia Regional and National Policy Support Components (Malaysia, Indonesia), 2015, Pierre Mahy.

to promote sustainable consumption patterns, and a publication on “Perception and Priorities on Sustainable Consumption in Communities in China”. The sustainable consumption indicators that have been developed are not quantified, which raises questions about the actual use of these indicators for China policy makers.

- *G20 Energy Efficiency Finance Task Group*: With funding support from RPSC, an IISD consultant provided assistance with obtaining endorsements from five Chinese Banks for UNEP FI's and European Bank for Reconstruction and Development (EBRD) in the context of the G20 Energy Efficiency Finance Task Group's activities. Endorsements from Chinese banks (and other international banks) were presented at G20 Energy Ministers Meeting in Beijing held in June 2016 to demonstrate that financial institutions are ready to engage in dialogue and work on energy efficiency. RPSC provided financial support to National Industry Dialogue Event (April 2016, Beijing) on Enhancing Capital Flows to Energy Efficient Investment in China's Building Sector.
- *China Environmental United Certification Centre (CEC)*: All key outputs seem to have been delivered by CEC in good quality and on time, including trainings with 250 companies on Low-Carbon Certification and Energy Savings Audits. Trainings provided seem to focus more on GHG accounting and larger companies rather than on identifying energy efficiency opportunities and SMEs. However, this training seems valuable for industries to meet their GHG emission limits which are set by NDRC and getting increasing strict.
- *China Chain Store and Franchise Association (CCFA)*: Work with CCFA is closely aligned with the private sector, including Sustainable Consumption Week, China Sustainable Retail Roundtable, Green Supply Chain Forum and China Retail Sustainable Consumption Platform. The link of this work to SCP policies is made by assisting retailers to access up-to-date information on available eco-labelling and certification schemes and products. Retailers are an important target group for driving forward SCP and greening supply chains, as they are connecting producers and consumers, and also have ability to influence consumer decisions (e.g. choice influencing, marketing and advertising). This is a key strength of the RPSC work with CCFA.
- *Ministry of Environmental Protection (MEP), International Trade Center (ITC)*: In partnership with CEAC, ITC provided technical assistance to China Council for Promotion of International Trade (CCPIT) and RPSC on a 4-day training on policies for sustainable value chains, export readiness, sustainability standards for food and textile products (July 2016, 52 participants). There is also an upcoming EU-China sustainable value chain Forum on textiles and fashion. Capabilities claimed by MEP for the participants cover an increased understanding of the importance of sustainability standards and markets, know-how to search sustainability standards from the ITC standards map<sup>12</sup>, increased understanding of sustainability and investments in other countries, and insights into tools to offer sustainability related services<sup>13</sup>.
- *China Council for the Promotion of International Trade (CCPIT)*: The work with CCPIT runs from April to December 2016, with the objective of developing policy recommendations that foster increased productivity and competitiveness in China's tea, coffee and cotton sectors through SCP practices. Most work is in progress, covering baseline assessments, two business case publications, two draft action plans for implementation of SCP practices, three training sessions and one policy advocacy event “China-Europe Sustainable Value Chain Forum on Sustainable Textiles”. RPSC's

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<sup>12</sup> [www.standardsmap.org](http://www.standardsmap.org)

<sup>13</sup> [www.trademap.org](http://www.trademap.org)

key contact at CCPIT is a member of the expert group of SCP-CCICED Task Force and Green Consumption Guidelines recently adopted by NDRC and 10 ministries in China. There is no direct link between RPSC work and the Green Consumption Guideline. An indirect link is that the expert group may have used some of the knowledge gained from RPSC events in the commenting process of the Green Consumption Guidelines. Another indirect link may be the RPSC report produced for CCICED on international experiences on sustainable consumption, although awareness of the RPSC report was not confirmed through interviews.

- Chinese Academy of Sciences (CAS): With RPSC funding, CAS has undertaken an extensive number of research activities to develop a national SCP indicators framework. However, it remains to be seen to what extent the research undertaken through CAS will influence policies on this topic. The indicators developed are not quantified and the policy recommendations are not developed into sufficient detail. A workshop was held to discuss the draft methodology and indicators, but no workshop was held at end of the work to discuss the final framework and actual use of the results.

### RPSC outputs in India:

- RPSC's work with its focal points in India, the Ministry of Environment, Forest and Climate Change (MoEFCC) could not go ahead due to external political challenges and subsequent delays with the establishment of MoU between UNEP and MoEFCC. These external challenges are beyond the direct sphere of influence of UNEP.
- In the absence of a MoU with MoEFCC, UNEP started discussions with UNIDO India office on short-term collaborations to deliver a multi-stakeholder national roundtable on SCP. A longer-term UNEP-UNIDO collaboration opportunity is on providing technical assistance and capacity building on a national eco-labelling pilot program in the construction sector. This approach illustrates the flexible and adaptive approach taken by RPSC to drive forward SCP policy support at country level.
- The current work of the RPSC in India is mainly with TERI University. Stakeholder interviews held indicate that TERI University is a very well respected institution in India delivering high quality work.
- BLISS summer and winter schools on SCP: Two BLISS schools (5 days training) with a specific focus on SCP in 2015 and 2016, were delivered both offline and online to a national and international target audience from public and private sectors, including senior policy makers. BLISS schools have been running since 2013 without RPSC funding. The outreach of these BLISS schools is enlarged through the opportunity for participants to take course online (60% of participants join online). BLISS Schools received positive feedback from participants (based on feedback surveys available to evaluators). BLISS Schools on SCP had 234 participants in 2015 (68% online) and 90 participants (34% online) in 2016. Both BLISS Schools covered participants from multiple Asian countries. Female representation was about 28%.
- Mini BLISS schools for secondary schools in low-income communities to complement learning for sustainable development issues and challenges in schools: The training material and concept is clear and easy to understand. With the support of RPSC, customised training (half-day) is delivered to secondary schools in two pilot regions. 900 secondary school students from 30 schools in low income areas will be reached through mini BLISS by the end of the project. The evaluators had a positive impression from the mini-school class which was taking place at TERI at day of the field visit. However, the link to SCP policy support is not clear to the evaluators based on the the mini-BLISS resource materials made available.
- Integration of SCP in postgraduate program: This course is regarded by the project as the first graduate course on SCP in a developing country. The intention is to make this



course a fixed part of the TERI University's MA on Public Policy and Sustainable Development, and also other forthcoming MA programme. The model for this course is being shared with Universities in Sri Lanka and across South Asia. The overall concept and agenda of the course is satisfactory, including speakers from industry, academic and linkages to SWITCH Asia Grant Projects in India. The pilot course started the week before the field visit of the evaluator. TERI noted that the content of upcoming classes is being refined as the course progresses in the coming months. 16 policy makers from various ministries in India are participating in the pilot course. This a low number given the target was to have 30 participants. There are some questions about the selection process, which occurred mainly through nomination by different ministries (e.g. it is not clear why representatives from the Ministry of Defence are participating in the pilot course).

- *Start-up research on SCP related topics:* Start-up research focusing on three topics is being undertaken, including consumer behaviour, climate resilient housing and sustainable tourism in South Asia with a specific focus on Bhutan, Nepal and Himalayan region in India. This research was in finalisation phase at the time of the evaluation. The results will be used to scope post-graduate research in these topics which are relevant to SCP and which are a priority to TERI University. Although the research seems valuable, the question is whether the RPSC should invest in start-up research which will likely have a limited direct impact on SCP policy making.
- *Special events at World Sustainable Development Summit, Delhi October 2016:* Two special events for this upcoming summit are being organised through TERI with RPSC funding, including “Young Researchers’ South Asian Symposium on Sustainable Development Goals (SDGs)” and “Ensuring Sustainable Consumption and Production Patterns (SDG 12) through Higher Education Learning”. Review of the concept notes show the relevance and value of these events to SCP policy support in India.
- *SCP Winterschool:* An alumni of the regional SCP Winter School from India is organising various outputs building upon learnings from SCP Winter School (e.g. webinars, industry training through the work at National Productivity Council, smart phone application to locate green products/services in Delhi). The alumni seems to act as a change-agent for SCP, encouraging and promoting SCP in their current position, including upcoming industry training workshop on SCP.
- *SCP Youth Ambassador:* One SCP Youth Ambassador (RPSC initiative) MoFECC organised a video message on sustainable lifestyles by Minister for Environment, in addition to five other interviews with people from “different walks of life” in India. These interviews are now being integrated and completed through UNEP. The pre-recorded video message from the Minister for Environment seems an effective channel to promote and create awareness on sustainable lifestyles in India.

### RPSC outputs in Thailand:

- It is noted that Thailand is not a core country targeted for detailed RPSC policy support as the country had a National Policy Support Component (NPSC) from 2011 to 2015. Detailed follow-up on the Thailand NPSC and development of national SCP roadmap was undertaken through the EU funded EU-Thailand Policy Dialogue Initiative. However the evaluator was able to include interviews with Thai partners in his itinerary to visit UNEP’s Regional Office for West Asia, based in Bangkok.
- Most stakeholders interviewed in Bangkok counterparts recognise the relevance and attribution of RPSC to regional SCP policy support activities and outputs (e.g. awareness raising and capacity building with policy makers).
- RPSC work in Thailand started in 2016. There is no evidence of synergies created with the NPSC and its follow-up through EU-Thailand Policy Dialogue Project. It is not fully understood by the evaluators why these synergies have not materialised.

- RPSC's current work with MoNRE (Office for International Cooperation) is focused on food wastes, including awareness raising and capacity building, potential participation in UNEP's Sustainable Food Waste Program and food waste mapping and baseline assessment. This work builds upon awareness raising events on food waste in Bangkok co-hosted by RPSC in November and December 2015 in partnership with OzHarvest, ESCAP, Save Food Initiative, and Think-Eat-Save. This work on food wastes is seen as relevant to RPSC and meeting the needs of national counterparts. RPSC reports that ONEP has since requested training on the SCP indicators, which will be delivered on 21-22 November. The cooperation on food waste will also go ahead, with (1) the establishment of ThaiHarvest to redistribute surplus food to charity, (2) measurement of food waste starting 2018 within the Thai government budget, or early if funding can be identified, and (3) design of a food waste prevention program including policy change, business sector action and behaviour change among consumers.
- RPSC is starting collaborations with key national government agencies (e.g. NESDB, ONEP, NSO, NSTDA) to deliver training on "Measurement and Monitoring of Materials Flows and Resource Productivity Data of Thailand for SDGs Indicators". First training is scheduled for November 2016. This is a positive development given the increasing importance of the SDGs and this training builds upon RPSC's regional level work on SCP indicators.

**Table 5: Summary of key RPSC outputs at country level**

Year(s)	Key outputs	Key partnership(s) to deliver output
Viet Nam		
2013-2014	National Roundtable on SCP	MoNRE Viet Nam, MoIT Viet Nam
2013-2014	Support to draft of NAP-SCP under MoNRE leadership	MoNRE Viet Nam
2015	Workshop on water foot printing	
2015-2016	Support to NAP-SCP under MoIT leadership	MoIT, support through UNEP eco-innovation project
2016	Media workshop on SCP	MoNRE Viet Nam
2016	Study on integrating SCP into fiscal policies (in progress)	
2016	Train the trainer workshops on SCP (in progress)	
2016	Translation of RPSC publications in Vietnamese (in progress)	
China		
2013-2014	SME energy efficiency certification and training	CEC
2013-2014	Development of national SCP Indicators framework	CAS
2013-2014	Regional meeting for SCP Indicators for a resource efficient Asia	
2013-2016	Research on sustainable consumption and lifestyles	ACEF
2015	Consultations and policy research paper through the Sustainable Consumption Task Force	CCICED
2015-2016	Sustainable Consumption Week	CCFA
2015-2016	China Sustainable Retail Roundtable	
2015-2016	Green Supply Chain Forum	
2015-2016	China Retail Sustainable Consumption Platform	CCFA, UN China Sustainable Consuming Partnership Program
2016	Support to National Policy-Industry Dialogue event: Enhancing Capital Flows to Energy Efficiency Investments in China’s Building Sector	G20 Energy Efficiency Task Force and UNEP FI
2016	Baseline assessment of tea/coffee and textile supply chains, using Life Cycle Assessment and proposing good practices.	CCPIT

Year(s)	Key outputs	Key partnership(s) to deliver output
2016	Local training on productivity and competitiveness in China’s tea, coffee and cotton sectors through SCP in Hefei, Anhui and Qingdao China	
2016	High level policy advocacy event (planned)	
India		
2015	BLISS school on SCP	TERI
2016	Video message on sustainable lifestyles by Minister for Environment	SCP Youth Ambassador Programme
2016	Series of mini BLISS schools for secondary schools in low-income communities (in progress)	TERI
2016	Young Researcher Forum and special event on SCP education at World Sustainable Development Summit in Delhi (in progress)	
2016	Awareness raising short films on SDGs (in progress)	
2016	Integration of SCP in postgraduate program (in progress)	
2016	Start-up research on SCP related topics (in progress)	
Thailand		
2015	Awareness raising events on food waste in Bangkok	OzHarvest, ESCAP, Save Food Initiative, Think-Eat-Save
2015	InSPIRE Sustainable Tourism Award	PATA
2016	Awareness raising and capacity building on food wastes (in progress)	MoNRE Thailand
2016	National training on the natural resource use indicators and SDGs (in progress)	NESDB, ONEP, NSO, NSTDA

**Rating for achievement of outputs (country level): Satisfactory (S)**

### 3.4 Effectiveness

111. The RPSC pursues two objectives: objective A seeks to create an enabling policy environment to effectively mainstream SCP and RE in regional, sub-regional and national development programs and objective B seeks to ensure that stakeholders (government, private sector and civil society) have the capacities to coordinate the effective design and implementation of SCP policy-orientated activities that accelerate the shift to SCP. The extent to which these objectives are likely to be attained is largely a function of the extent of achievement of the results that nest under each objective, as well as other contributions from outside the RPSC. Thus, the level of attainment of these results is first assessed and then the likelihood of attaining the two objectives is considered.

#### Achievement of results

112. The underlying logic of a project is articulated by the outputs and results and the connectivity of results to outputs, to the context or setting and to the larger project objectives or impacts. Project activities and outputs contribute to achievement of results in the context of other factors. The RPSC is connected to the larger EU SWITCH Asia programme and occurs in the context of many other efforts contributing to SCP undertaken by other UN and multilateral agencies, national, provincial and local governments, industry and regional organisations, singly and together. The policy landscape is rapidly changing in many countries, in the Asia Pacific region, and globally. In such settings, attributing credit for observed results and responsibility for the lack of the results is extremely challenging.

113. In establishing a ToC for the RPSC (Figure 2) the evaluators decided to rely principally on the results articulated in the project document and revised somewhat to better articulate these. Each of these results is discussed here and in the order they are presented in the RPSC ProDoc (UNEP, 2010 pp. 13-15).

**R\_A\_1:** Decision makers in the public sector have a better understanding of the benefits of SCP and RE and link SCP objectives with resource efficiency targets and national commitments. Sub-regional and regional capacity building exercises are carried out, aiming to increase the understanding and awareness SCP issues. Training programs, "train the trainers" courses and seminars are organized, including show-casing of European and Asian success stories in the field of SCP

114. Creating awareness among decision makers and other public and private sector actors is an important RPSC result. Workshops, regional events, communications efforts, websites, press conferences and production and release of reports are vehicles used by RPSC to create awareness. The indicators work by CSIRO and the communications efforts associated with the release and promotion of this work is perhaps the most important mechanism, or at least the mechanism mentioned most frequently by interview respondents. Other contributing efforts include the consultation forums and specific sector undertakings such as sustainable tourism. The media workshop on SCP in Viet Nam (May 2016) was reported as effective as were several Chinese events such as the supply chains workshop and policy dialogue events. Many other efforts to raise awareness of senior policy makers on various aspects of SCP and RE are also undertaken in the region and individual countries. Respondent comments indicate these are often considered as not connected to each other.
115. The SCP indicators work supported by the RPSC has clearly had influence and was frequently mentioned by regional and national respondents as an important contribution to creating awareness and understanding of the priority of SCP issues and the need for actions on these. The efforts to communicate the indicators were also cited as an important contribution and reported to be especially important in Bhutan and Mongolia. The indicators appear to have stimulated follow up work in several countries such as screening potential indicators in Vietnam. The indicators are also being used in association with SDG reporting. It is notable that indicators were mentioned by respondents from industry ministries.
116. The RPSC also pursues increasing SCP understanding through capacity building, the perception of one interview respondent was that capacity building accounted for about three quarters of the RPSC effort. The evaluators do not have sufficiently detailed budget information to assess this claim, but capacity building is clearly at the core of the RPSC approach. The approach is to develop materials and provide training to a cadre who then train others thereby raising awareness of the importance of SCP and knowledge of SCP issues. One of the early tasks under RPSC was developing training materials and manuals and then training trainers. The training manuals were completed in 2012 which was also when training of trainers began. TERI University in India has taken SCP into the postgraduate program and their BLISS sustainability summer schools and online training through UNITAR was piloted in 2014 and was scaled up and repeated in 2015 and 2016. The 2015 report illustrates how the train the trainer approach unfolded:
- A SE Asia sub-regional training of trainers was held in Manila in 2012 and resulted in the training and network forming of 34 SE Asian policy makers or advisors from 10 countries
  - Additional training of trainers were carried out in 2012 in Beijing (47 policy makers from China and Mongolia subsequently trained) and in Negombo (33 policy makers from 7 countries were subsequently trained). (UNEP, 2015 p.28)
117. The SCP Winter School also contributes to this result. The training is delivered through an agreement with the Asian Institute of Technology (AIT) in Bangkok. The evaluators have

reviewed the 2014 and 2016 Winter School reports and regard the curriculum positively based on the level of participatory opportunities throughout the training, the learning outcomes, the quality of the trainers and the feedback from participants included in the reports. It is noted that the learning tests are appended to the reports but results of the tests were not included. A scan of the 2014 Winter School trainees suggests that two-thirds are mid-career government officials equally divided between ministries of environment and other ministries (including planning, finance, central banks, trade) and the remaining third academics, students and industry associations. Two-thirds of the 2014 participants were female.

118. An online training program was developed through a contract with UNITAR with the first training offered September 2014 and repeated each year since. The training curriculum was based on the SCP handbook and includes skill development opportunities through development of a SCP Action Plan. It targets mid to higher level government managers involved in developing SCP policies. In practice the course has drawn from broader sectors with government representing only about a third of participants and with strong participation from NGOs, the private sector and international organisations (many associated with other aspects of the SWITCH Asia effort). To date 173 professionals have taken the training with a roughly equal gender balance and from all SWITCH-Asia countries with a few participants coming from Europe and North America and a 90% graduation rate; graduation criteria included the requirement to submit their Action Plan as well as passing assessment tests. Course ratings have been very positive, participants say the training is relevant to their job and UNITAR evaluations include several plausible stories of how the training has been applied in pursuit of SCP policies. UNITAR has partnerships to deliver the course in Latin American and Africa and it has been translated into French and Spanish. UNITAR says that further funding will be required to continue the course.
119. Whether those who participate in RPSC sponsored training are sufficient to represent a significant change mechanism in favour of SCP policies and their implementation could not be addressed by this evaluation. Nor could related questions be assessed, such as whether the capacities are in the strategically correct positions, are they being used to pursue SCP, to what level have capacities been developed and are they sustained? The project document called for monitoring capacity building efforts using Kirkpatrick's stages. However contemporary knowledge about successful training is more associated with the work of Brinkerhoff (Mooney, 2008) who has built on Kirkpatrick's stages and who points to the selection process, support from supervisors and managers and opportunities to apply the learning following the training as the key factors in successful training. A key question is thus the extent to which trainee selection has focused on those who are likely to use the training to train others or for promotion of SCP and developing SCP policies. Several interview respondents suggested that a number of the trainees did not fit these criteria. There were also questions about the training curriculum suggesting that it focused too much on technical SCP issues and that more social science input on how to successfully develop and introduce new policies would be beneficial.
120. Notwithstanding the concerns and questions from the previous paragraph, it is clear that a significant training effort has been undertaken and seems to be of appropriate quality and focus to successfully satisfy the intended result.

**R\_A\_2:** Inter-ministerial and public-private policy dialogues on SCP are strengthened and institutionalized via formal platforms, learning from existing initiatives such as the Retail Forum in the EU.

121. There are hierarchies in governmental ministries with ministries of development, planning, finance and industry more senior and more authoritative than ministries associated with the environment. There is also a tension between the interests of ministries of the environment (protection of natural resources and human health from adverse environmental conditions) and economic / industry development requiring use

of natural resources potentially contributing to their degradation. At the core SCP is about sustainable resource usage which can be regarded as a constraint on development, this is recognised and addressed in efforts such as Green Economies. Reaching agreements on feasible and efficacious policies is challenging where contributing interests are not harmoniously, or at least sufficiently, aligned with the goals of the policy. The literature on multi-party agreement seeking dialogues supports the importance of this result and points to the need to engage all key interests (often described as those interests who can say no or otherwise influence success) in processes that address individual and collective interests. In the context of SCP policies inter-ministerial agreement is a core requirement for effective policies that will be implemented and sustained. At issue is whether SCP policies can be mainstreamed and sustained as called for in Objective A, or are challenged, ignored and sidelined. Industry<sup>14</sup> is a core interest in SCP policy so their involvement in the policy dialogues is important.

122. Understandably Ministries of Environment are the usual representatives to UNEP from Member States<sup>15</sup>. They often tend to also be the ministries tasked with leadership on SCP in the country. Ministries of the Environment are the UNEP focal points for most countries. Where ministries addressing industries are recently assigned the implementing agency role (for example the Ministry of Industry and Trade in Viet Nam 2014) the evaluators have not found information that would connect this decision to the work of the RPSC, more likely it was a result of the rising recognition of the importance of resources for development in Viet Nam leading to a variety of legislation and strategies such as on Green Growth, energy and environmental protection. There is at least an alignment of SCP intent and national decisions in Viet Nam. It is noted by the project team that UNEP and EU do not decide for the countries which ministry should be the SCP focal point, however both UNEP and EU strongly advise engaging the other ministries.
123. Consultation forums appear to be one of two main functions of the RPSC intended to contribute to SCP dialogues with inter-ministerial and industry participation. The second function is national commitments at regional high level meetings. The comments received during the interviews focused on the lack of inter-ministerial and industry dialogue on SCP. Many of the national or regional respondents were unable to point to active inter-ministerial or industry collaboration on SCP policies associated with the RPSC effort, nor harmonisation of SCP policies with other similar efforts. The following comments from Siem Reap respondents illustrate this:

“There seems a lack of real collaboration amongst ministries as part of the policy development process and likely also in the implementation as well. This may explain the abundance of existing strategies and roadmaps in Viet Nam... It is a bit surprising that RPSC has not engaged at all with MPI (Ministry of Planning and Investment) to seek synergies on the National Green Growth Strategy.”

“UNEP/RPSC’s approach to ministries is not correct. RPSC were/are in contact with national environmental ministry in India. RPSC should have approached the EU Delegation India to identify right contacts for the SCP policy support work. This did not happen (India). At a regional SWITCH Asia event held in India in September 2015, there was no single policy agency present from India.”
124. The evaluation notes, but has not been able to confirm, the claim in the KPIs that eight countries have mainstreamed SCP into policies, planning or other framework government initiatives.

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<sup>14</sup> The evaluators note the importance of state-owned industry in several of the countries and the *public-private* phrasing in R-A-2 and interpret this as inclusion of industry regardless of ownership structure.

<sup>15</sup> Fourteen of nineteen SWITCH focal points and seventeen of nineteen UNEP focal points are ministries of environment or natural resources (UNEP, 2015).



125. Undoubtedly there are many factors influencing the possibility and extent of inter-ministerial dialogue. For example, part of the issue is that the level of donor and national funding for environment is far less than for industry, meaning the environment ministries could be reluctant to give up control over a funding source such as RPSC or a workstream such as SCP. Another interpretation is that such national dialogues are often beyond the direct reach of UNEP and the regional focus of the RPSC. The implicit RPSC logic is that the regional dialogues and capacities will contribute to shaping national dialogues to be inter-ministerial and inclusive of industry and to harmonise SCP with other similar initiatives. The evaluators have not found evidence that this is occurring sufficiently to realise the intent of the result. The RPSC project team notes that regional processes should stimulate the interest for a national dialogue, and the project team is not aware of where a country has gone on to have national dialogues without involvement from the RPSC.

**R\_A\_3:** SCP is put on the regular agenda of sub-regional policy dialogue platforms. Countries participate regularly and contribute to sub-regional and regional SCP policy dialogue platforms. SCP is put on the regular agenda of these meetings. SWITCH project success stories are presented, in order to reach policy makers and foster the up-take of individual project results in the national policy making.

126. The intended result from R\_A\_3 is interpreted as coming from sharing reports and information and recommendations and securing discussion of these on the agendas of sub-regional policy dialogue platforms in which countries participate and through increased awareness of national policy makers' contributing to increased national up-take. The KPI reporting from the project indicate seven sessions on SCP have been organised at regional events and 32 country or sub-regional level policy dialogue events. This could be termed as fairly regular occurrences. Examples include the UNEP organised 2012 SCP conference, the 2013 policy dialogue in Nepal, the 2014 ASEAN forum on SCP and the 2014 APRSCP event in Bangkok.
127. The key question is the level of up-take in national policy. The self-assessment by the RPSC of contributions to key performance indicators (Annex V of this report) records fourteen national declarations or statements<sup>16</sup>. The evaluators have been able to validate a sufficient number of these that the claim is regarded as credible, but note that for some of these the verification came from a SWITCH website (e.g. <http://www.switch-asia.eu/countries/vietnam/> for the 2016 Viet Nam National Action Plan on SCP). While the evaluators are unable to trace connections from the regional and sub-regional policy dialogues to national policies this does not mean that the RPSC efforts did not provide some connectivity. The RPSC 2015 Annual Report does not report results from either consultation forums. Thus the evaluation can confirm that SCP has regularly been on agendas and that national policies have occurred. Assessing the contribution of the former to the latter is beyond our resources.

**R\_A\_4:** SWITCH Policy Support Component results are fed into the 10 Year Framework of Programmes, its design and implementation so that Governments in the region can receive more tailored support from this global framework to realise the long-term economic potential of SCP.

128. The vision was that RPSC would start to engage with 10YFP in 2013. This was introduced into the third work package in the 2013 revised RPSC ProDoc, it was not in the 2010 version. The main mechanisms were workshops for countries to share lessons on mainstreaming SCP and implementing national SCP programs. The intent was to provide a vision and support design and implementation of SCP policies within the region in line

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<sup>16</sup> Bhutan=6, Pakistan=2, Mongolia=1, Viet Nam=3.

with the 10YFP Roadmap for the Asia-Pacific region. Linkages were provided through the Asia Pacific Roundtable on SCP. The end of 2015 KPI update indicated that the 10YFP Roadmap for Asia Pacific 2014-2015 activities were 66% complete which seems a reasonable assessment at that time. The SCP Roadmap 2016-2018 for Asia Pacific was launched at 12th APRSCP in Siem Reap. Several interview respondents including but not only from Siem Reap commented that development of the roadmap did not involve the right people, did not include sufficient private sector input and did not engage other important multilateral contributors to SCP. Others stated that the breadth of national ministerial consultation was insufficient and did not involve sufficient of the ministries that would be key to implementation. Also that the roadmap seemed to be more an output which had to be delivered and questions about the extent that it is really new or just rebranding older concepts (e.g. cleaner production, eco-innovation, green procurement, eco-labelling)? Comments too that the real challenge was implementation at country level, Development of new policies and roadmaps is relatively easy. This can be done by one ministry in Asia. There are so many SCP related policies, strategies, and roadmaps. It is confusing. (Siem Reap respondent)".

129. The level of achievement of creating an enabling policy environment is assessed as moderately satisfactory recognising that this requires time and that many factors come into play that both enhance and challenge mainstreaming SCP. The evaluators observe policy dialogues at regional and national levels but note that there is still limited engagement of ministries other than that of the Environment and of the private sector causing concern that the new or enhanced policies are less likely to have the needed implementation authority and mechanisms. Offsetting this is the likelihood that the RPSC has provided notable contributions to raising awareness and understanding of SCP and that SCP has a moderate presence on regional and sub-regional agendas.

**Rating for achievement of Objective A (Create an enabling policy environment to effectively mainstream SCP and RE in regional, sub-regional and national development programs): Moderately Satisfactory**

130. The 2010 RPSC ProDoc includes a result R\_B\_1 (*Resource efficiency is increased in key-sectors of economic activity and pollution is decreased in participating countries*). This is an impact that the RPSC could contribute to, but it cannot be realistically considered as a direct result of the project.

**R\_B\_2:** Establishment of a pool of Asian SCP-policy experts and improved networking and cooperation among regional bodies and countries in Asia on SCP through the establishment or strengthening of regional networks and partnerships with centers of excellence for exchange of information and experience with regard to SCP-policies

**R\_B\_3:** Regional networks and partnerships with centres of excellence for exchange of information, technology transfer and experience with regard to SCP and RE policies.

131. These two results entail considerable overlap and are addressed here together. They are part of the strategy for sustaining the initiative by strengthening Asian expertise and networks to provide a pool of national Asian experts able to ensure that the necessary knowledge for dissemination in Asian countries is available and preserved. The KPI report (Annex V) indicates that there are 33 such experts who are most active in the seven countries with policy support agreements. Is roughly four experts per country sufficient? It seems light but of course there is no standard to assess this by. While the evaluation does not have independent information on these experts our interviews with Winter School graduates suggests that at least some of these can be considered as SCP "champions" within their countries and that they have established social media networking with each other.

132. Facilitating regional cross-national partnerships can be a challenging undertaking as mentioned by one Siem Reap respondent who pointed to the need to understand regional dynamics and co-influences of countries, another described the effort as a social not technical process requiring inputs from fields such as those associated with the diffusion of ideas and policy influencing factors and behaviours. Another aspect mentioned during the Siem Reap interviews was the need to consolidate lessons from the various RPSC efforts such as capacity building and share these regionally. The partnerships with AIT for the Winter School training and TERI University on the BLISS School appear to be working well and providing effective training in SCP.
133. Knowledge and expertise on SCP from outside the region has certainly been introduced through the training materials, indicators work and through other venues. The Winter School includes material from outside the region and SCP Winter School graduates are potentially aware of useful SCP knowledge from outside the region and the possibility of networking to these sources when needed.
134. The level of the contribution of the RPSC to the capacities of stakeholders to coordinate the effective design and implementation of SCP policies and activities is assessed as moderate. There is a modest number of Asian SCP policy experts that government and the private sector should be able to identify and who bring through their training knowledge from outside the region. However, the level of cross-national sharing and support appears weak.

**Rating for achievement of Objective B (Stakeholders (government, private sector and civil society) have the capacities to coordinate the effective design and implementation of SCP policy-orientated activities that accelerate the shift to SCP): Moderately Satisfactory**

#### **Likelihood of impact using ROtI approach**

135. The data gathered during this evaluation suggests that the outputs have been delivered sufficiently to allow an assessment of the likelihood of outcomes being converted, in the longer term, to the intended impact. This assessment draws on the evidence set out in Annexes II, III, and IV.
136. The outcomes revolve largely around the development of contemporary SCP and RE capacity among a group of policy makers who are connected to each other through a range of information exchange mechanisms. There are indications that this capacity and networking has been developed at various levels across the targeted countries at least in the short term and that, in some cases, agents of change have taken action to either engage further in the dialogue or to reach out to others to continue advocating for change. However, the continuation of positive outcomes is still largely dependent on specific circumstances (e.g. whether people remain in their current positions), the broader global policy context (e.g. the content of the SDGs) and the level and effect of pressures encouraging countries to promote or require more sustainable use of resources. In order to increase the momentum behind the direct outcomes of the project a much wider range of decision makers still need to be brought on board.
137. There is evidence to suggest that there is an emerging enabling environment among the targeted countries to support the mainstreaming of SCP and RE and that appropriate knowledge and skills have been transferred. However, converting these encouraging signs into the implementation of policies within which SCP and RE have been mainstreamed will require that a wider base of political will is developed; competing interests are addressed; technical and economic solutions continue to be put forward and discussed and that the potential benefits of collaborating with other initiatives outside the RPSC are fully adopted.
138. The likelihood of the achievement of current direct outcomes being translated into the longer term desired impacts is assessed as 'Moderately Likely'.

**Table 6: ROTI for RPSC**

Results rating of project entitled:		“SWITCH to Sustainable Policies and Innovation for Resource Efficiency in Asia - Regional Policy Support Component” (SWITCH Asia RPSC)					
Outputs	Outcomes	Rating (D - A)	Intermediate states	Rating (D - A)	Impact (GEBs)	Rating (+)	Overall
O_A_1 to O-A-5  Largely delivered	R_A_1 Decision makers with better understanding R_A_2 Stronger inter-ministerial and public-private dialogues R_A_3 SCP on regular sub-regional policy agenda R_A_4 Lessons learned informing 10YFP	B	1. Enabling environment created (regional, sub-regional, national) to strengthen or initiate policies that effectively mainstream SCP and RE in development programming.	C	1. SCP and RE is improved at regional, sub-regional and/or national levels through the implementation of policies that mainstream SCP and RE into the work of government and non-government enterprises.	BC	Moderately Likely
O_B_1 to O-B-4  Largely delivered	R_B_1 Increased resource efficiency in key sectors R_B_2 Pool of Asian policy experts networked and cooperating R_B_3 Regional networks and partnerships are established with centres of excellence for information exchange R_B_4 government and private enterprises source more capacity building and technical support on SCP		2. Stakeholders in beneficiary countries have the institutional knowledge, skills and capacities at national level to coordinate the effective design and implementation of SCP policy-oriented activities to accelerate the shift to SCP.				
			3. Policies are promulgated and publicly endorsed/receive commitment at regional, sub-regional and national levels.				
			4. Multi-sectoral interests reach joint agreements on SCP policies and development priorities that address their main concerns at national level				
	Rating justification:	Rating justification:		Rating justification:			
	The project’s intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding.	The measures designed to move towards intermediate states have started, but have not yet produced results.		The ratings of B and C for outcomes and intermediate states suggest a rating of <i>Moderately Likely</i> . This is largely due to the capacity that has been developed and opportunities for networking that have been created. As considerable global attention and policy support is available for this issue, to increase the likelihood of impact the project will need to increase the coordination of its			

Results rating of project entitled:		“SWITCH to Sustainable Policies and Innovation for Resource Efficiency in Asia - Regional Policy Support Component” (SWITCH Asia RPSC)					
Outputs	Outcomes	Rating (D - A)	Intermediate states	Rating (D - A)	Impact (GEBs)	Rating (+)	Overall
					approaches with other initiatives and adopt a more strategic approach to capacity development that recognises the needs of change agents.		

**Rating for likelihood of the achievement of current direct outcomes: Moderately Likely**

### 3.5 Sustainability and replication

139. The key considerations here are the sustainability of the direct outcomes from RPSC at country and regional levels and the extent to which the RPSC investments are likely to stimulate further efforts as offshoots or continuances of the RPSC project.
140. As mentioned above RPSC is being implemented in an environment with many related initiatives in the region such as SWITCH Asia, Green growth, national strategies, efficient energy use by industry and so on. It is of course challenging to assess the effect of removing one of these on sustaining the overall effort, and it is equally difficult to assess how RPSC might have catalysed SCP efforts separately from the other initiatives. Thus, to address sustainability and catalytic role the evaluators focus on two relatively unique and central elements of RPSC, capacity building and establishing regional networks and resources, elements that receive less attention from the other SCP initiatives.
141. The project addressed sustainability through Work Package 4: *Ensuring sustainability of the programme*. This included establishing a network of Asian SCP (policy) experts with an effective communications mechanism to share lessons and advice, and dissemination of awareness material to the private sector and provision of some facilitation to assist in building awareness in the sector. A limited pool of SCP experts has been established with some connecting mechanisms. The evaluators do not know how resilient this will prove to be, and are also not aware of notable private sector advances on awareness of SCP attributable to the RPSC.
142. *Socio-political sustainability*: As indicated above under Strategic Relevance, issues of SCP and RE are strategically relevant to the work of implementing and funding agencies as well as having been embedded in the Sustainable Development Goals. This global interest in sustainable development in general and SCP in particular suggests that any achievements delivered by RPSC are likely to be sustained by the conducive global and institutional context.
143. *Institutional sustainability*: The extent to which the direct outcomes of RPSC, particularly capacity building and establishing networks, will be sustained at an institutional level in individual countries is dependent on the level of continuity of trained personnel in their existing positions and their level of ownership for driving SCP and RE issues forwards. There is some evidence that there is momentum behind further training, however the lack of a convincing process for selecting participants suggests there is no conscious or articulated plan for extending the outreach of those whose capacity has been developed through RPSC or for managing their succession. High levels of turnover in focal points within ministries of environment has been noted. The high concentration of effort on

ministries of environment also limits the scope for institutional sustainability after the close of the project. However, as sustainability and RE have gained a presence in countries it is noted (e.g. Viet Nam) that responsibilities for these is elevated beyond Environment to more senior Ministries. It is thus entirely possible for SCP to be subsumed in these changes, although this would not be attributable to the RPSC. The risk is that the more challenging aspects of SCP might be deferred if SCP is integrated into broader sustainability and RE efforts. At a regional level RPSC has contributed to increased networking between countries and SCP institutionalisation in Asia (e.g. APRSCP, ASEAN Forum on SCP, and South Asian Forum on SCP).

144. Financial sustainability: Continuation of some project efforts require continued funding. For example, without continued funding the trainings conducted through CCPIT (China) in tea, coffee, and cotton sectors are said to not continue. Similarly, follow-up after 4-day training on policies for sustainable value chains, export readiness, sustainability standards for food and textile products will not be replicated without external funding. However other training is already continuing without ongoing RPSC support such as trainings on Low-Carbon Certification and Energy Savings Audits, and CCFA has a long-term commitment to the China Retail Sustainable Consumption Platform. Further, the BLISS Schools will continue in coming years regardless of future RPSC funding, including the focus on SCP related issues. BLISS school have been run by TERI University since 2013. RPSC helped to accelerate SCP content and impacts and SCP is a priority area to TERI University. It is however unlikely that the SCP Winterschool would continue without further project funding.
145. It does not appear that the efforts to create regional capacity and a structure to support SCP policy development and implementation is sufficiently advanced to sustain without continued RPSC support, especially since RPSC provides secretariat support to APRSCP and facilitates and supports several functions and activities such as the ASEAN Forum on SCP.

### Catalytic role and replication

146. RPSC efforts can be seen as potentially catalytic by expanding capacities. Likewise, efforts to build regional level networks and supports have the potential to catalyse promotion of SCP policies. However, much will depend on the level of success in actually enacting and implementing these policies and this evaluation remains sceptical of this without stronger inter-ministerial dialogues and participation of leading national ministries such as industry and planning. At present, there is potential but RPSC could not yet be considered as catalytic.
147. The overall assessment for sustainability and replication refers to sustaining and integrating SCP within countries and the region and on that the evaluators are optimistic.

<b>Rating for sustainability and replication: Likely</b>
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## 3.6 Efficiency

### Timeliness

148. Issues of timeliness often arise in initiatives as complex as the RPSC. Any stakeholder expectations that regional and national policies and plans would be enacted in the first half of the project seemed too ambitious. Understandably, it took some time for the RPSC to set up the required institutional arrangements, baseline assessments and networks in early phases of the project.
149. The difficulty and time required to obtain consensus was underestimated as well as supporting stakeholder consultations on what was required in terms of SCP policy support at regional and country level. The development and implementation of country



activities was more challenging and slower than envisaged. Many country activities did not get into full swing until 2014 and 2015, as evident from the mapping of RPSC stories presented in Annexes III and IV.

150. From an evaluator's perspective, and while fully appreciating that reporting can often come second to implementing action in terms of meeting performance criteria, the absence of the 2015 annual report during the main evaluation phase and country field visits made the evaluation more difficult and time consuming. With respect to timeliness, the issue of reporting and progress tracking is symptomatic of wider issues on the project management and implementation. This issue is further discussed in the next section on factors affecting performance under implementation approach and management.
151. RPSC would have benefitted from more synthesised analyses of impacts achieved throughout the project. Previous evaluations of SWITCH-Asia in 2013<sup>17</sup> and 2015<sup>18</sup> (which also covered the RPSC) highlighted the absence of a results measurement system in the RPSC. This still has not changed until now. RPSC applies the standard six-monthly reporting approach of UNEP which lacks systematic collection and reporting of results.

### **Cost efficiencies, adaptation and effect of delays**

152. The original total budget for RPSC was 6.70 million Euros. This budget was extended to 8.47 million Euros in December 2013. For the extended budget, the European Commission's financial contribution accounts for 85% and UNEP's contribution for 15%. The budget allocation to RPSC and UNEP's is justified by the regional dimension of this component, and the fact that a substantial proportion of the funds will be distributed by UNEP to selected international, regional and national stakeholders through funding agreements.
153. A revised Action Description came into effect in December 2013, extending the project duration from 48 months (2011 – 2014) to 66 months (2011-2016). The key reason for the extension was to allow further time for project implementation and include activities implemented in or directly benefiting more countries (e.g. Pakistan, Cambodia, China, India, Lao PDR, Nepal, Myanmar and Viet Nam).
154. UNEP covers the two management/coordination positions for RPSC with internal staff (UNEP contribution) and other RPSC team positions are funded with the EU contribution. The two managerial positions were defined on part-time basis only (50% for the regional coordinator in Bangkok and 25% for the focal point in Paris). The subsequent extension to the RPSC in 2013 kept the same ratio of time/budget allocation for the management positions. A full-time allocation for the regional coordinator based in Bangkok would have been more appropriate to allow for a closer project management role and interaction with other components of the SWITCH Asia programme.
155. To ensure an optimal fulfilment of the project on its work plan, the RPSC was granted a no-cost 6-month extension from June to December 2016. The UN's new administrative system (UMOJA), for which UNEP has been one of the UNE Secretariat pilot organisation since May 2015, has been a factor to this extension. The system piloting system has now concluded. This extension did not affect the project design.
156. The evaluators understand that some planned activities and draft funding agreements had to be cancelled in 2016, but the rationale has not been made entirely clear to the evaluators. The project team notes that the transition from IMIS to UN's new administrative system (UMOJA), for which UNEP has been one of the UN Secretariat pilot organisation since May 2015, has posed a substantial challenge to the project reporting,

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<sup>17</sup> Evaluation of the SWITCH Asia Programme, June 2013, by Pierre Mahy, funded by the EU.

<sup>18</sup> EU evaluation of SWITCH Asia Regional and National Policy Support Components (Malaysia, Indonesia), 2015, Pierre Mahy.

financial management, monitoring of funds, resulting also in a delayed submission of the financial report for 2015.

### Building upon and adding value to other initiatives

157. The project design phase and subsequent detailed country needs assessments undertaken at the start of the project identified opportunities for the RPSC to build on existing and planned activities. From the desktop review of RPSC documentation and interviews with stakeholders, it is clear that substantial efforts were made by the project team to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects.
158. At the regional level, examples where the RPSC supported initiatives build upon pre-existing initiatives and partnerships are (further examples and details are provided in Annex II):
- Collaborations and synergies with the 10YFP and APRSCP (e.g. regional roadmaps for 2014-2015 and 2016-2018).
  - Partnership with APRSCP (e.g. 11<sup>th</sup> APRSCP event in Bangkok, 12<sup>th</sup> APRSCP event in Siem Reap).
  - Partnership with ASEAN secretariat, ASEAN Environment Ministries, UNIDO, UN University Institute for Advances Study of Sustainability (UNU-IAS), Hanns Seidel Foundation (HSF) on ASEAN+3 SCP Leadership Forum and establishment of ASEAN Forum on SCP.
  - Partnerships and supporting consultations to establish a South Asian Forum on SCP under SACEP.
  - Collaborations with CSIRO, University of Sydney, IGES on science-policy outputs (e.g. framework for SCP indicators, SCP policy handbook, sustainable consumption guide) which build upon previous work and initiatives.
159. At the country level, examples where the RPSC supported initiatives build upon pre-existing initiatives and partnerships are (further examples and details are provided in Annexes III and IV):
- China: Consultations and policy research paper through the Sustainable Consumption Task Force for China Council for International Cooperation on Environment and Development (CCICED).
  - India: Integration of SCP in postgraduate program at TERI University.
  - Cambodia: Partnership with UNDP to assist with Environmental Governance Reform in Cambodia and effective integration of SDG 12 on SCP into national legal framework and national information system.
  - Bhutan: Integrating SCP Learning in Technical and Vocational Education and Training (TVET), tertiary, civil servant and non-formal education. The SPP programme builds on the SWITCH-Asia grant project GPP-Bhutan.
160. A further discussion on stakeholder participation, cooperation and partnerships are discussed in Section 3.7, in particularly the need for RPSC to engage beyond environmental ministries.
161. A notable proportion of recommendations from previous evaluations related to the RPSC integration into and synergies with the SWITCH Asia Program Components (e.g. Grant Projects, National Policy Support Component, Network Facility). This topic is addressed in Section 3.8 of this evaluation report.

**Rating for efficiency: Satisfactory (S)**

### 3.7 Factors affecting performance

#### Preparation and readiness

162. “Project design”, which was assessed in the Inception Phase of this evaluation, has been included as a separate evaluation criteria in this report. Further details on project preparation and readiness are addressed in Section 3.2.

#### Implementation approach

163. RPSC is providing SCP policy support and capacity building on the development of new policies/roadmaps and integration of SCP into existing policies. Multiple stakeholders commented that “There are too many SCP related policies, strategies, and roadmaps in Asia which is confusing”. The question raised is how regional SCP approaches are supported by national ministries (environmental and other ministries), and translated in national SCP policy efforts. Evaluations from other international development projects with a SCP policy component pointed to increasing efforts on assisting policy makers with the implementation of existing policies rather than developing new policies (e.g. Mid Term Review of EaP Green Project).
164. Some stakeholders highlighted that voluntary instruments and outputs (e.g. green awards, roadmaps, eco-labelling) cannot function without functional legislative framework (e.g. enforcement of existing regulations is often lacking in Asian countries). Stakeholders note that this needs to be taken more into consideration in SCP policy efforts undertaken by various agencies, including the RPSC.
165. The project team noted that many of their country contacts are approached by multiple national and international agencies to address climate change, green growth, green economy, SCP. As a result various actions plans, roadmaps, strategies are often produced which lead towards similar sustainability objectives (e.g. UNDP is coordinating Low Emission Climate Resilient Development plans), while the central challenge of effective governance and policy implementation/enforcement remains. It is understood that this is often linked to donor processes and fundraising, but for effective interventions it is important to address direct policy mainstreaming, effectiveness and enforcement activities. It is acknowledged that in specific cases, RPSC is progressing this route for example in Cambodia (e.g. work with UNDP to assist with Environmental Governance Reform) and Bhutan (e.g. cross-cutting activities such as project management workshops). They report this as a lesson learned as part of the current project.
166. There seems to be a case to increase efforts on the integration and implementation of SCP through existing policies, regulations, and roadmaps which are already supported by relevant and influential ministries in the countries, rather than developing new policy documents and roadmaps mainly through environmental ministries.

#### Project management

167. The RPSC ProDoc states that overall project management and administration responsibilities lie with UNEP's DTIE Paris, while ROAP Bangkok is responsible for direct implementation of activities (through partnerships with regional bodies and national institutions). The following is an extract from RPSC ProDoc:
- The head of the Goods and Services unit of the SCP Branch in DTIE, based in Paris; being the focal point for the EC headquarters, supervising the intra-UNEP links of the project, development of linkages with the 10YFP, and the relations with the UNDESA.
  - The regional coordinator for Resource Efficiency/SCP, based in the UNEP ROAP in Bangkok; being responsible for the co-ordination and overall management of the project, the links with regional UN agencies, coordination with the EC delegations in the countries and for the regional consultations.

- A project manager based in the UNEP ROAP in Bangkok being responsible for the daily implementation of the project.
  - A network manager based in the UNEP-DTIE office in Paris being responsible for the daily relations with the EC, and channelling support from the relevant programmes and institutions operating in the 10 YFP to the project team and governments and the private sector in the region.
  - An administrative assistant based in the UNEP regional office in Bangkok.
168. This shared structure was established at the start of project in 2011. This split has created some inefficiencies in project management and implementation throughout the project. Although some internal efforts were put in place to streamline procedures early 2016, there is a continuing need to clarify roles and responsibilities between DTIE, ROAP, and UNEP country offices.
169. Collaboration and synergies between DTIE, ROAP, UNEP country offices are the key to successful delivery of RPSC.
- DTIE: Create synergies with global and other regional programs (e.g. 10YFP, SWITCH Africa), provide access and learnings to available SCP tools/approaches.
  - ROAP: Implementation of regional level activities, fostering regional networks.
  - UNEP country offices: Connect and engage with national stakeholders, provide local/national contexts, implementation of country-level activities.
170. There is a need for better information sharing between DTIE, ROAP, UNEP country offices, but also stakeholders engaged through funding agreements to share, monitor and promote results. This information sharing needs to be enhanced for an effective monitoring system, annual project reporting, compilation of project impact stories, and effective and efficient sharing of resources and learnings between project stakeholders.
171. The project does not seem to maintain easily accessible and updateable data on important project outputs such as on SCP Winter School and other training participants. A simple Excel or database would enable the project to update easily and more importantly to use in reflective internal assessments or for follow-up inquiries.
172. The evaluators note that in 2015 the project moved to the UMOJA administrative system causing unavoidable delays and challenges. It is understood that this has not been an easy transition for others as well. The project notes that their staffing levels are insufficient (2015 report p.46).

### Stakeholder participation, cooperation and partnerships

173. Funding agreements in RPSC's core countries have mostly been developed with UNEP/RPSC's focal points based at Ministries of Environment (e.g. Viet Nam, Cambodia, Nepal, Pakistan, Thailand). Funding agreements for RPSC's regional activities are undertaken through a range of partners with environmental focus (e.g. SACEP, IGES) and beyond (e.g. UNITAR, APRSCP, CSIRO, AIT). As SCP is truly a multi-disciplinary concept covering multiple topics (e.g. materials supply, waste, energy, water, finance), policy support needs to go beyond environmental related policies and to be integrated with existing policies with different ministries. Multiple stakeholders noted that RPSC needs to engage more with influential ministries beyond the Ministries of Environment (e.g. Ministries of Planning, Investment, Industry). Although there is evidence that RPSC has engaged with other ministries it is felt that this engagement should further expanded.
174. There are often changes in government focal points for SWITCH-Asia. Engagements through UNEP/RPSC focal points resulted in some challenges and delays in project work in countries (Bhutan, Pakistan, India). For details, see Annexes III and IV with RPSC's activities at country level. Various stakeholders note that Offices of International Cooperation at environmental ministries are not the right entry point for RPSC because

these contacts are not driven or well placed to address complex SCP issues (“These contacts are not change agents”).

175. The RPSC country level work seems the most diverse and advanced in China, compared to other RPSC core countries (e.g. India, Viet Nam, Cambodia, Bhutan, Lao PDR, Afghanistan, Pakistan). UNEP having a country office in China seems to have had utility for the country level SCP support.
176. An assessment of synergies and to what extent the RPC builds upon (pre-)existing is provided in Section 3.6 on efficiency.

### **Country ownership and driven-ness**

177. Multiple stakeholders noted the importance of working with change agents in different ministries and regional institutions to drive forward the development, integration and implementation of SCP policies. In addition to knowledge of SCP concepts, these change agents need to be trained on communication, negotiation, and multi-stakeholder engagement skills. SCP Winter School (AIT), online SCP course (UNITAR), and SCP Youth Ambassador Program are seen as good examples of how RPSC has engaged with potential change agents committed to drive change towards SCP at country and regional levels. The UNEP/RPSC focal points currently select government participants in RPSC’s capacity building and SCP policy support events. This process does not ensure that necessary change agents from relevant ministries are involved in these events. This point is also confirmed by the 2015 evaluation<sup>19</sup> which states that the participation of beneficiaries in the events organised by the RPSC was much more passive, despite the interest shown by some participants.
178. There is a broad thematic (SCP) connection between regional and national policy support provided through RPSC, but the regional-country connection in RPSC is not entirely clear in terms of SCP policy support approaches. (e.g. linkage between SCP indicator publication and 10YFP, linkages between regional roadmaps produced as part of RPSC and RPSC country level activities and other SWITCH Asia components). This issue is further discussed in Section 3.2 on achievement of outputs.
179. Numerous stakeholders note that alignment with 10YFP is important, but this alignment should not be exclusive. It is argued that customised and adaptive SCP policy support approaches are needed at (sub-) regional and country level, taking into account country contexts and priorities which are not necessarily covered by 10YFP. Such adaptive and flexible approach is also important to create country ownership.

### **Financial planning and management**

180. A summary of key financial data available on RPSC is provided in Annex VI of this evaluation report, including budget summary, sources of funding, project expenditures as per 31 December 2015, and a summary of funding agreements established by RPC with international, regional and national partners. 5.3 million Euros was the project total expenditure at the end of 2015. The RPSC team notes that the total project budget will have been spent at the end of the project.
181. Based on the calculations done by the evaluators, a total of 52% (5.22 million Euro) of the total amended budget (8.47 million Euros) was distributed by UNEP to project partners to deliver specific RPSC initiatives and outputs. The review of funding agreements over the duration of the project shows that 42% and 19% of the funding amounts were signed in 2015 and 2016 respectively. This largely explains the increase in efforts and outputs in the past two years of the project. About 60% of amount distributed through funding

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<sup>19</sup> EU evaluation of SWITCH Asia Regional and National Policy Support Components (Malaysia, Indonesia), 2015, Pierre Mahy.



agreements (31% of total amended project budget) were allocated to regional activities. This is considered acceptable given the regional nature of the project activities. For the 9 core countries of RPSC, the allocated funding accounted for 38% of the total amount of funding agreements (20% of total amended project budget). China and India received 12% and 9% of the funding agreement amounts. The total funding amounts used for country-level activities in Cambodia and Nepal is low. Lao PDR and Myanmar did not receive any direct funding through funding agreements.

182. Financial expenditure data for years 2011 to 2014 are available from the RPSC annual reports. However, financial management and expenditure information for 2016 has not been received by the evaluators, and could therefore not be reviewed as part of this evaluation. The compliance of RPSC with UNEP and EU's financial, administrative and reporting requirements can therefore not be confirmed.
183. The interviews held with project team and donor noted that RPSC's annual budgeting and costing templates of UNEP and EU are not aligned. This has resulted in project management inefficiencies and substantial time investments from RPSC project team to align UNEP's project reporting and accounting with EU requirements.
184. In the final stages of the evaluation, it became apparent that the financial planning and management systems were inadequate to support the commitment made by the project to contracted parties (e.g. project payments to agreed schedules). This has to be addressed by UNEP, especially in light of ongoing discussion for a second phase from the same donor.

#### **UNEP supervision and backstopping**

185. The RPSC ProDoc provides clear instructions on the RPSC supervision. The head of the Goods and Services unit of the SCP Branch in DTIE, based in Paris; being the focal point for the EC headquarters, supervising the intra-UNEP links of the project, development of linkages with the 10 YFP, and the relations with the UNDESA.
186. Supervision of the RPSC with key project stakeholders was undertaken through a Technical Advisory Committee (TAC). The TAC is seen as an appropriate and valuable supervision mechanism to review project progress and approve annual work plans. TAC meetings were held in 2013, 2014, 2015, and 2016, back-to-back with regional RPSC support events to ensure participation from broad range of stakeholders (e.g. EU, APRSCP, 10YFP, UNITAR, NPSC, focal points, and national partners).
187. See findings discussed in this section under "Implementation approach and management" and "Financial planning and management".

#### **Project monitoring and evaluation**

188. "Project design" has been included as an additional evaluation criteria in this report (in Section 3.2), including monitoring planning at project design. The key point is that "SMART" Objectively Verifiable Indicators (OVI) and KPIs have been developed for most objectives, expected results and activities. However, these OVI are not quantified so it is difficult to assess the project performance against these indicators. The KPIs were not established in a manner, or at a level, that could be useful for gathering evidence beyond the completion of activities.
189. Although the project makes efforts to monitor their achievements (e.g. reporting against the logframe in annual reports, UNEP's Programme Information Management System (PIMS)), the project lacks result-based and impact monitoring through the project as part of its ongoing implementation. Progress against the 18 KPIs defined in the ProDoc are presented in Annex V. Overall these KPIs have limited value to measure collective impact as the KPIs are not quantified and most of indicators will not provide sufficient evidence with regard to the impact which may have been achieved (e.g. the percentage of positive



feed-back among trained decision-makers, the number of successfully organised SCP sessions, the number of publications, the quality of communication).

190. Efforts are being invested by RPSC to address recommendations from UNEP's Programme Information Management System (PIMS), Mid-Term Review of the SWITCH Asia Program in 2013, and 2015 independent evaluation of EU SWITCH Asia including the RPSC. "Follow-up on previous evaluations" (Section 3.8) has been included as additional evaluation criteria in this report.
191. Based on the above assessment, factors affecting the project performance are rated at Unsatisfactory (U). It is noted that these factors have also affected the overall effectiveness of the project discussed in Section 3.4.

**Rating for factors affecting performance: Unsatisfactory (U)**

### 3.8 Follow-up on previous evaluations

#### UNEP's Programme Information Management System (PIMS)

192. A summary on how the RPSC addressed the implementation issues recorded in UNEP's Programme Information Management System (PIMS) is provided in the table below.

**Table 7: Follow-up on implementation issues recorded in UNEP's PIMS**

Key implementation issues in PIMS	Review of follow-up by RPSC
Project implementation needs to show flexibility in adapting to changing political situation at country level. The project needs to expand the number of primary partners in target countries. Country partnerships need to be explored or institutional commitments must be broadened.	<ul style="list-style-type: none"> <li>In recent years RPSC has expanded its national level partnerships through funding agreements to deliver SCP policy support activities in RPSC's core countries.</li> <li>Institutional arrangements have been broadened and established with 10YFP, APRSCP, ASEAN Forum on SCP, South Asian Forum on SCP, and ASEAN+3 Leadership Program.</li> <li>Flexibility in adapting to changing political situations at country level has been demonstrated by RPSC (e.g. work with UNDP in Cambodia, work with TERI university due to delays with MoU with MoEFCC).</li> <li>See Annexes II to IV of this evaluation report, presenting RPSC's activities and initiatives at regional and country levels.</li> </ul>
Changes in governments are stalling project delivery in terms of policy change and commitments. There is a need to broaden support for SCP across many government institutions to ensure continuity of SCP as policy priority.	<ul style="list-style-type: none"> <li>There are often changes in government focal points for SWITCH-Asia. Engagements through UNEP/RPSC focal points resulted in some challenges and delays in project work in some countries (e.g. Bhutan, Pakistan, India). RPSC focal points need to be expanded beyond one person and ministries of environment (e.g. through working group consisting of key ministries and departments working on SCP in country).</li> <li>From the mapping of the RPSC activities included in Annexes II to IV of this evaluation report, it is clear that RPSC has engaged with a broader base of country partners.</li> </ul>
While the project continues to implement the capacity-building pillar of activities, it is challenging to assess if actual capacity is being built on a uniform level as a result of all the training activities because there is no set tools or method to assess whether the trainings have	<ul style="list-style-type: none"> <li>This point is acknowledged by the project team, and this is a topic which requires further attention within RPSC.</li> <li>An example of this point has been addressed is the RPSC partnership with UNITAR to deliver an e-learning course on SCP<sup>20</sup>. This training is addressing Kirkpatrick Level 1</li> </ul>

<sup>20</sup> [www.switch-asia.eu/news/switch-asia-and-unitars-3rd-edition-of-the-e-learning-course-on-sustainable-consumption-and-produ/](http://www.switch-asia.eu/news/switch-asia-and-unitars-3rd-edition-of-the-e-learning-course-on-sustainable-consumption-and-produ/)

Key implementation issues in PIMS	Review of follow-up by RPSC
any impact on increasing policymaker/target audience knowledge on SCP. The SWITCH-Asia project has adapted a Kirkpatrick Level 1 and Level 2 evaluation tools and frameworks, but this is only at a test stage. If there was higher level support to implement and scale these tools into other project activities then learning impact can be better assessed for project, and the pillar on capacity development could have real results to report.	(reaction from trainees), Level 2 (measure learnings), Level 3 (behaviour change of trainees), and Level 4 (final results from training). The TERI BLISS course and SCP Winterschool also show assessments of training results through follow-up surveys.
Coordination between different UNEP and UN initiatives at country level is necessary and strongly recommended by national counterparts; Often SCP focal points at country level are also focal points for green economy, circular economy and green growth, to avoid overlapping and duplication of work streams, programme managers should respond positively to country's request for coordination.	<ul style="list-style-type: none"> <li>• Efforts to coordinate between different UNEP and UN are increasingly evident. Examples include the collaboration with UNDP in Cambodia, UNEP Finance Initiative on G20 event in Beijing, ASEAN+3 Leadership Program, 10YFP roadmaps developed for the Asia Pacific, UNITAR on e-learning course on SCP.</li> <li>• As noted above, there is need to expand focal points beyond one person and ministries of environment (e.g. through working group consisting of key ministries and departments working on SCP in country).</li> <li>• See Annexes II to IV of this evaluation report, including UNEP and UN agencies involved in RPSC.</li> </ul>

### Independent Mid-Term Review (MTR) of SWITCH Asia Program<sup>21</sup>

193. The original design of the SWITCH-Asia Programme did not include a Policy Support Component as such; policy dialogue and the reinforcement and implementation of legal environmental and safety instruments were to be taken care of by the grant projects and by the Network Facility. The RPSC was initiated after the Mid-Term Review of the Programme which pointed out the lack of supportive policy measures and poor understanding at policy making level of SCP benefits; this observation had also been reported by the EU Delegations in Asia. The MTR noted that the decision to create a RPSC addressed identified needs in the region and was very relevant.

194. Table below provides an assessment on the follow-up by RPSC on the findings from the MTR.

**Table 8: Follow-up on the Mid-Term Review (MTR) of SWITCH Asia Program**

Key findings from MTR related to RPSC	Review of follow-up by RPSC
Overall, implementation efficiency during the first half of the four-year term has been satisfactory, but at first sight less effective. Activities have been implemented, but no analysis of what has actually been achieved is provided. UNEP acknowledges the limited number of achievements justified by political changes at senior policy levels and by the time needed for consultations.	<ul style="list-style-type: none"> <li>• See discussion in Section 3.4 on effectiveness.</li> <li>• See Annexes II to IV of this evaluation report, presenting RPSC's activities and initiatives at regional and country levels.</li> </ul>
Activities have been well received by beneficiary countries which may indicate that stakeholders see benefits in the support provided by the Regional Policy Support Component; how this translates into policy changes however remains to be seen.	<ul style="list-style-type: none"> <li>• See discussion in Section 2.10 on Theory of Change.</li> <li>• See discussion in Section 3.4 on effectiveness.</li> </ul>
A major weakness identified during this	<ul style="list-style-type: none"> <li>• It is evident that RPSC has made efforts to become a more</li> </ul>

<sup>21</sup> Evaluation of the SWITCH Asia Programme, June 2013, by Pierre Mahy, funded by the EU.

Key findings from MTR related to RPSC	Review of follow-up by RPSC
evaluation is the total gap existing between the Regional Policy Support component and the grant component in all countries. The lack of communication with the grant projects, mainly involving SMEs as well as various private sector associations is a major deficiency in the approach of the Regional Policy Support Component. At the same time, the communication and cooperation with the Network Facility and with the National Policy Support projects is very limited; the RPSC does not appear as a well-integrated component of the Programme.	<p>integrated part of SWITCH Asia Program in 2015 and 2016, but further efforts are required to advance on this integration.</p> <ul style="list-style-type: none"> <li>The integration issue is not only a task for RPSC and UNEP to address, but this rather needs to be an overall effort coordinated by the EU at the level of the SWITCH Asia Program in collaboration with relevant partners.</li> <li>The evaluators understand that this topic is also being addressed and coordinated through the EU, also in light of the next phase of the SWITCH Asia Program.</li> </ul> <p><i>Evidence and sources on increasing level of integration of RPSC in SWITCH Asia:</i></p> <ul style="list-style-type: none"> <li>UNEP consultant is current undertaking a review of SWITCH-Asia grant projects' policy components and mapping of linkages to country and regional level policy initiatives and institutions (work in progress).</li> <li>Increasing collaborations with SWITCH Network Facility on co-hosting of events (e.g. SWITCH-Asia Networking Event New Delhi in November 2015, EE finance in Indonesia in 2015), SWITCH Asia website (e.g. country profiles, news articles), forthcoming book chapter on Asian Public Governance and SCP.</li> <li>Invitation to SWITCH Grant Project representatives to regional and national events supported by RPSC (e.g. Involvement of SWITCH Grant Projects in India in TERI's BLISS Schools).</li> </ul> <p><i>Evidence and sources on remaining gaps of integration of RPSC in SWITCH Asia:</i></p> <ul style="list-style-type: none"> <li>Limited evidence of RPSC using results from SWITCH grant projects and SWITCH Network Facility in capacity building and policy support events and publications.</li> <li>Need to further distil learnings from SWITCH grant projects for SCP policy support practitioners in Asia. For example, the NPSCs in Sri Lanka and Malaysia are not aware about the SCP policy learnings from other SWITCH Asia projects.</li> <li>Overall stakeholders interviewed as part of this evaluation noted that they have seen limited improvements in the integration of RPSC and Network Facility over past 1.5 years. Comments were made that co-hosted events are not yet fully integrated or aligned (e.g. APRSCP 2016 event in Siem Reap).</li> </ul>

### Independent evaluation of the EU SWITCH Asia project including RPSC<sup>22</sup>

195. The recommendations for RPSC from this evaluation mainly relate to its interaction and cooperation with the other components of the SWITCH Asia Program.
196. A review summary on how the RPSC addressed the key recommendations from the 2015 evaluation is provided in the table below.

**Table 9: Follow-up on independent evaluation of EU SWITCH Asia project**

Key findings from independent evaluation related to RPSC	Review of follow-up by RPSC
The interaction with grant projects is non-existing and needs to be initiated without any delay in order to secure uptake of project results at	<ul style="list-style-type: none"> <li>See review responses in Table 8 (last row).</li> <li>UNEP consultant was contracted by RPSC as of March 2016 to strengthen the policy review of each SWITCH-Asia</li> </ul>

<sup>22</sup> EU evaluation of SWITCH Asia Regional and National Policy Support Components (Malaysia, Indonesia), 2015, Pierre Mahy.

Key findings from independent evaluation related to RPSC	Review of follow-up by RPSC
highest possible policy level.	Project with a core policy component and then map these to each country policymaker for greater take up. This review process of each SWITCH Asia project was still in progress at time of this evaluation.
A study on “Policy uptake by projects” should be undertaken by the Regional Policy Support Team; this is to be seen as a full inventory of successful uptakes achieved by projects.	<ul style="list-style-type: none"> <li>• UNEP consultant was contracted by RPSC as of March 2016 to strengthen the policy review of each SWITCH-Asia Project’s policy components and potential uptake. This study was in progress at time of this evaluation.</li> </ul>
The Regional Policy Support Team needs to increase coordination with Network Facility and with the National Policy Support projects.	<ul style="list-style-type: none"> <li>• See review responses in Table 8 (last row).</li> </ul>
The tools, in particular the Handbook, and possibly other future publications developed by the Regional Policy Support component should be translated in local languages.	<ul style="list-style-type: none"> <li>• Translation of SCP Policy Handbook developed through RPSC in local languages is undertaken by national partners in Viet Nam, Bhutan, Lao PDR, and Mongolia. These translations were in progress at the time of this evaluation.</li> </ul>

### Three areas requiring strengthening based on previous evaluations

197. In addition, previous evaluations have referred to three areas that require strengthening. An assessment on how the RPSC is addressing these three areas is provided in paragraphs below.

198. More follow up required after training activities.

- This point is acknowledged by the project, and this is a topic which requires further attention and strengthening within RPSC. Most training activities at regional and national level result in a summary report and news article on SWITCH Asia website including linkages to training presentations, training agenda.
- Examples of trainings supported by RPSC which include follow-up activities beyond dissemination of summary report:
  - *UNITAR e-learning course on SCP*: coaching provided to participants and Small Grants Programme to support the implementation of most promising action plans developed during the course by participants<sup>23, 24</sup>.
  - *SCP Winterschool*: Alumni keep in close contact with each other to share experiences and assist each other with Q/A through dedicated Facebook page and whatsapp group.

199. Greater outreach required beyond those who are trained.

- In recent years RPSC has expanded its national level partnerships through funding agreements to deliver SCP policy support activities in RPSC’s core countries.
- Institutional arrangements have been broadened and established with 10YFP, APRSCP, ASEAN Forum on SCP, South Asian Forum on SCP, and ASEAN+3 Leadership Program.
- See Annexes II to IV of this evaluation report, presenting RPSC’s activities and initiatives at regional and country levels.

200. Materials/knowledge products would be more useful if they were less general and more specific to country contexts and needs.

<sup>23</sup> [www.switch-asia.eu/news/scp-champion-series-sri-lankas-upendraarjeewani-and-uthpalasankalpani/](http://www.switch-asia.eu/news/scp-champion-series-sri-lankas-upendraarjeewani-and-uthpalasankalpani/)

<sup>24</sup> [www.unitar.org/sri-lankan-universities-go-green-one-day-trainings-sustainable-consumption-and-production](http://www.unitar.org/sri-lankan-universities-go-green-one-day-trainings-sustainable-consumption-and-production)

- Through funding agreements with national partners, knowledge products have and are being produced which are specific to country contexts and needs. Examples include:
  - Work with MoNRE and MoIT in Viet Nam on National Action Plan on SCP.
  - Work with China Chain Store and Franchise Association (CCFA) to launch of China Retail Sustainable Consumption Platform (CRSCP) with support of UN China Sustainable Consuming Partnership Program.
  - Support to Kingdom of Bhutan's Gross National Happiness Commission on sustainable tourism through the development of green hotel guidelines and the integration of sustainable tourism into the tourism policy.
  - Work with TERI on Integration of SCP in postgraduate program.
- For further details, see Annexes III and IV of this evaluation report, presenting RPSC's activities and initiatives at country level.
- See discussion in Section 3.2 on achievements on outputs.
- See discussion in Section 3.4 on effectiveness.

<b>Rating on follow-up on previous evaluations:</b>	<b>Satisfactory (S)</b>
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## 4 CONCLUSIONS AND RECOMMENDATIONS

### 4.1 Conclusions

201. Based on the extensive number of stakeholder consultations undertaken as part of this evaluation (see Annex VII), key achievements from the RPSC to date can be summarised as follows:
- SCP is on the agenda of policy makers in Asia: It is widely acknowledged by the stakeholders interviewed that RPSC has contributed to the strengthening of regional SCP capabilities and awareness in the Asia Pacific, in particular bringing the topic of sustainable consumption to Asia.
  - Institutional networks: Increased networking between countries and SCP institutionalisation in Asia (e.g. APRSCP, ASEAN Forum on SCP, and South Asian Forum on SCP).
  - Policy manuals: Established reference frameworks and manuals for the development and implementation of SCP related policies customised to Asia Pacific.
  - SCP baseline data and indicators: Regional SCP indicator framework developed through RPSC can assist policy makers with building the evidence base for policy, policy monitoring and working towards SDGs (in particular SDG 12 on SCP). Emerging examples of countries expressing an interest in applying the indicator framework (e.g. Viet Nam, Mongolia).
  - Innovative capacity building approaches: As part of the RPSC, some innovative and interactive learning and capacity building approaches have been developed and implemented with young(er) policy makers as potential change agents (e.g. SCP Winterschool, UNITAR online SCP training course).
202. RPSC should adopt a more results-driven approach: The RPSC project is structured around activities and outputs without a coherent or plausible pathway from these to the results. This might occur because the project was the first SWITCH program which made it a challenge to articulate its understanding when the project was designed in 2010, or because it has not developed an evidence based critical knowledge of how the results occur and what influences this. Regardless of the reason the project needs to improve the articulation of the logic.
203. Engagement beyond environmental ministries is critical to make an impact: SCP is a multi-disciplinary concept covering multiple topics, therefore policy support needs to go beyond environmental related policies and to be integrated with existing policies with different ministries. Although RPSC has engaged with ministries beyond environmental ministries this engagement should be further expanded.
204. The sustainability and impact of the RPSC and SWITCH focal points need to be strengthened: Engagements through individual UNEP/RPSC focal points resulted in some challenges and delays in project work in some countries (e.g. Bhutan, Pakistan, India). RPSC focal points need to be expanded beyond one person and ministries of environment.
205. Change agents to drive forward SCP related policies: Working with change agents in relevant ministries and regional institutions to drive forward the development, integration and implementation of SCP policies is very important to create impacts. In addition to knowledge of SCP concepts, these change agents need to be trained on communication, negotiation, and multi-stakeholder engagement skills. Some good examples of encouraging the development of change agents exists within RPSC (e.g. SCP Winter School, UNITAR online SCP course, Youth Ambassador Program). The current process of UNEP/RPSC focal points selecting government participants in RPSC's capacity building and SCP policy support events does not ensure that necessary change agents from relevant ministries are involved.



206. Emerging opportunities from SDGs to strengthen and synergise RPSC: The adoption of Agenda 2030 and supporting SDGs by UN member states in September 2015 (will) make SCP a priority for international, regional, and national government agencies. SDGs have started to shape RPSC's work and outputs (e.g. SCP indicators, work with UNDP in Cambodia). The SDGs will assist in positioning and framing in SCP in policy making processes, and therefore it is important for RPSC to further align its work with SDGs at international, regional and country levels. The SDGs will enable UNEP / RPSC to work more closely with government agencies beyond environmental ministries. It is believed that the SDGs will also strengthen the regional-country connection in RPSC which is not currently entirely clear in terms of SCP policy support approaches. (e.g. linkage between SCP indicator publication and 10YFP, linkages between regional roadmaps country level activities).
207. Alignment of RPSC and SCP policy in Asia with 10YFP: It is important to continue creating synergies between 10YFP and RPSC initiatives at regional and country level (e.g. share learnings between Asia and international initiatives, connect Asian and international stakeholders), as well as with other complementary UNEP initiatives such as PAGE. However, this alignment should not be exclusive. Customised and adaptive SCP policy support approaches are needed at (sub-) regional and country level to take into account country contexts and priorities which are not necessarily covered by 10YFP. For example, SCP topics such as chemicals management, textiles, fish processing, manufacturing are not covered by current 10YFP but are of key importance to Asian countries (e.g. Viet Nam, Pakistan, Bangladesh, China). This is also evidenced in the SCP needs assessments undertaken through RPSC.
208. Development, integration and implementation of SCP in policies through RPSC: Given that there are (too) many existing SCP related governmental policy mechanisms which often lack in implementation, there is a need for increasing efforts on assisting policy makers with the implementation of existing policies rather than developing new policies. Further, the question on how regional SCP approaches are translated in national SCP policy efforts by environmental and other ministries needs to be addressed further. It is acknowledged that the country level policy support provided by the RPSC is based on the policy needs assessment carried out at the start of the project and specific requests made to the project through the focal points. Further, specific needs from countries change over time due their increased awareness and (inter)national developments such as the SDGs.
209. Governance and enforcement: The overall challenge of effective governance and policy implementation/enforcement remains in many Asian countries, and therefore it is important for the RPSC to also address direct policy mainstreaming, effectiveness and enforcement activities. It is acknowledged that in specific cases, the RPSC is progressing on this (e.g. Cambodia, Bhutan).
210. Integration into SWITCH Asia Program: Although there is some evidence of RPSC becoming a more integrated part of SWITCH Asia Program, further efforts are required to strengthen synergies and collaborations between RPSC and other SWITCH Asia components namely the National Policy Support Components, Network Facility, and Grant Projects. It is noted that this integration should be a coordinated and structured effort involving all SWITCH stakeholders and service providers. The evaluators understand that this coordination started to take place through DEVCO.
211. Need to clarify roles/responsibilities and strengthen information sharing and result-oriented monitoring: Effective collaboration between DTIE, ROAP, UNEP country offices are key to successful delivery of RPSC, including phase 2. Although some internal efforts were put in place to streamline procedures, there is a continuing need to clarify roles and responsibilities between DTIE, ROAP, and UNEP country offices, and project partners on project management, implementation and result-oriented monitoring. Better information sharing is needed between with stakeholders engaged through funding agreements to monitor, share and promote results.

212. *Storytelling*: The communications on the “storyline and bigger picture” of RPSC need to be strengthened to enhance stakeholder awareness on the RPSC’s activities, outputs and outcomes relevant to them and attract more engagement from relevant and influential stakeholders from the public and private sectors. This conclusion is also applicable to the wider SWITCH Asia Program, National Policy Support Components and Network Facility. The storyline on the SWITCH Grant Projects is relatively clear (through their project fact sheets, impacts sheets, project SWITCH webpage, and user friendly search engine on SWITCH Asia website ), so there are communication learnings from these experiences.

## 4.2 Summary of project findings and ratings

213. The table below provides a summary of the ratings and finding discussed in Chapter 3. Overall, the project demonstrates a rating of ‘Satisfactory’.

**Table 10: Summary of project findings and ratings**

Criteria	Summary assessment	Rating
Strategic relevance	The project is clearly justified with reference to the importance of addressing sustainable use of resources and the improvement of resource efficiency and changes in consumption patterns in Asia. RPSC is solidly within the set mandate and consistent with the objectives of EU SWITCH Asia Program, UNEP, and government commitments made at Rio+20 and SDGs.	HS
Project design	RPSC was sufficiently designed but would have benefited from clarification of several issues to provide more guidance for the implementation. These include quantified performance targets, clear roles and responsibilities of RPSC and project stakeholders, and detail the required level of synergies and collaborations with components of the SWITCH Asia Programme.	S
Achievement of outputs		S
<ul style="list-style-type: none"> <li>Regional level outputs</li> </ul>	The quality of technical outputs produced by RPSC is considered to be good overall (e.g. country assessment reports, SCP indicators, policy handbooks). The project has delivered valuable outputs which have been well received by the different stakeholders. Capacity building activities implemented by the RPSC have been well received. There is need for more systemic and long-term capacity building approaches, and strengthening processes to ensure that necessary change agents from relevant ministries are involved in these efforts. This point is acknowledged by the project. Examples of RPSC addressing this issue are evident (e.g. SCP Winterschool, UNITAR online training, BLISS School). There is a broad thematic (SCP) connection between regional and national outputs provided through RPSC. However, the regional-country connection in RPSC is not entirely clear in terms of SCP policy support approaches. Multiple stakeholders noted that they do not see the RPSC storyline or claim not to know details of the RPSC outputs and outcomes at regional and country level.	HS
<ul style="list-style-type: none"> <li>Country level outputs</li> </ul>	Overall, quality of country level outputs produced was satisfactory. These were produced based on specific needs of country focal points. The delivery of country level outputs gained momentum since 2015. A proportion of RPSC outputs in the countries are planned for second part of 2016, which requires attention to ensure these outputs are produced in sufficient quality, quantity to create impact. The evaluators acknowledge the external challenges faced by RPSC to initiative and deliver country level outputs (e.g. establish MoU with MoFCC in India, change or periodic absence of country focal points). Overall, RPSC’s outputs and outcomes at regional level are more diverse and mature than at country level. UNEP having a country office in China seems to have had utility for the country level SCP support, given RPSC’s work in China is more advanced compared to other RPSC core countries (e.g. India, Viet Nam, Cambodia, Bhutan, Lao PDR, Afghanistan, Pakistan). A permanent presence in countries allows for ongoing interactions with the beneficiaries and having a strong network and relationship with key decision makers. This point was also raised in the 2015 evaluation.	S
Effectiveness		

Criteria	Summary assessment	Rating
<ul style="list-style-type: none"> <li>Achievement of project objectives and results</li> </ul>	<p>We assess the level of achievement of creating an enabling policy environment as moderately satisfactory recognising that this requires time and that many factors come into play that both enhance and challenge mainstreaming SCP. The evaluators observe policy dialogues at regional and national levels but note that there is still limited engagement of ministries other than the Environment and of the private sector causing concern that the new or enhanced policies are less likely to have the needed implementation authority and mechanisms. Offsetting this is the likelihood that the RPSC has provided notable contributions to raising awareness and understanding of SCP and that SCP has a moderate presence on regional and sub-regional agendas. There is a modest number of Asian SCP policy experts that government and the private sector should be able to identify and who bring through their training knowledge from outside the region. However, the level of cross-national sharing and support appears weak.</p>	MS
<ul style="list-style-type: none"> <li>Likelihood of impact</li> </ul>	<p>SCP and RE capacities have been developed at various levels across the targeted countries at least in the short term. In some cases, agents of change have taken action to either engage further in the dialogue or to reach out to others continue advocating for change. To increase the momentum behind the direct outcomes of the project a wider range of decision makers still need to be brought on board. There is an emerging enabling environment among the targeted countries to support the mainstreaming of SCP and RE. However, converting these encouraging signs into the implementation of policies within which SCP and RE have been mainstreamed will require that a wider base of political will is developed, competing interests are addressed, technical and economic solutions continue to be put forward and discussed and that the potential benefits of collaborating with other initiatives outside the RPSC are fully adopted.</p>	ML
Sustainability and replication	<p>There are elements in the RPSC agenda that still require financial and programmatic support and the capacity of sectors judged key to sustainability (pool of connected experts and private sector awareness) by the project are not yet strong enough to sustain the RPSC.</p>	L
Efficiency	<p><u>Timeliness:</u> Issues of timeliness often arise in initiatives as complex as the RPSC. The development and implementation of country activities was more challenging and slower than envisaged. Many country activities did not get into full swing until 2014/2015. RPSC would have benefitted from more synthesised analyses of impacts achieved throughout the project.</p> <p><u>Cost efficiencies, adaptation and effect of delays:</u> The budget allocation to RPSC and UNEP is justified by the regional dimension of this component, and the fact that a substantial proportion of the funds are distributed through funding agreements. To ensure an optimal fulfilment of the project on its work plan, the RPSC was granted a no-cost 6-month extension from June to December 2016. Some planned activities and draft funding agreements had to be cancelled in 2016, but the rationale has not been made entirely clear to the evaluators. The project team notes that the transition from IMIS to UN's new administrative system (UMOJA) has posed a substantial challenge to the project reporting, financial management, monitoring of funds.</p> <p><u>Building upon and adding value to other initiatives:</u> The project design phase and subsequent detailed country needs assessments undertaken at the start of the project identified opportunities for the RPSC to build on existing and planned activities. Substantial efforts were made by the project teams to build upon pre-existing partnerships. Integration of RPSC into SWITCH Asia is discussed under "follow-up on previous evaluations".</p>	S

Criteria	Summary assessment	Rating
Factors affecting performance	<p><u>Preparation and readiness:</u> "Project design" has been included as a separate evaluation criteria in this report.</p> <p>Implementation approach: The question raised is how regional SCP approaches are supported by national ministries, and translated in national SCP policy efforts. There seems to be a case to increase efforts on the integration and implementation of SCP through existing policies, regulations, and roadmaps which are already supported by relevant and influential ministries in the countries, rather than developing new policy documents and roadmaps mainly through environmental ministries. Although there is evidence that RPSC has engaged with other ministries, the engagement with more influential ministries beyond the Ministries of Environment should further expanded.</p> <p><u>Project management:</u> Collaboration and synergies between DTIE, ROAP and UNEP country offices are key to successful delivery of RPSC. There is a need for clearer roles/responsibilities and better information sharing between DTIE, ROAP, UNEP country offices, but also stakeholders engaged through funding agreements. Engagements through UNEP/RPSC focal points resulted in some challenges and delays in project work in countries (Bhutan, Pakistan, India).</p> <p><u>Country ownership and driven-ness:</u> SCP Winterschool, UNITAR online course, and SCP Youth Ambassador Program are seen as good examples of how RPSC has engaged with potential change agents. The UNEP/RPSC focal points currently select government participants in RPSC's capacity building and SCP policy support events. This process does not ensure that necessary change agents from relevant ministries are involved in these events.</p> <p><u>Financial planning and management:</u> A total of 51% (5.09 million Euro) of the total amended budget (8.47 million Euros) was distributed by UNEP to project partners to deliver specific RPSC initiatives and outputs. 40% and 20% of the partnership funding amounts were distributed to project partners through agreements in 2015 and 2016 respectively. This largely explains the increase in efforts and outputs in the past two years of the project. 60% of total amount distributed through funding agreements (31% of total amended project budget) were allocated to regional activities, which is considered acceptable. The funding amount for country-level activities is low for number of core countries (e.g. Cambodia and Nepal). Lao PDR and Myanmar did not receive any direct funding through funding agreements. In the final stages of the evaluation, it became apparent that the financial planning and management systems were inadequate to support the commitment made by the project to contracted parties (e.g. project payments to agreed schedules). This has to be addressed by UNEP, especially in light of ongoing discussion for a second phase from the same donor.</p> <p><u>Project monitoring:</u> A reasonable project logic and theory of change is an important foundation for monitoring. The RPSC project lacked these and so any monitoring of achievement of the necessary conditions and trends would not have provided the type or quality of information that would enable the project to adaptively manage its efforts. It is commendable that evaluation efforts were taken for some of the contracted capacity building but there was no effort to monitor important issues such as how and to what extent the capacities were being applied and having effect. The KPIs are largely counts and are of marginal utility in terms of providing insights and knowledge about the project beyond what is required for formal accountability purposes.</p>	U
Follow-up on previous evaluations	Efforts are being invested by RPSC to address recommendations from UNEP's Programme Information Management System (PIMS), Mid-Term Review (MTR) of the SWITCH Asia Program in 2013, and 2015 independent evaluation of EU SWITCH Asia including RPSC. A notable proportion of recommendations from previous evaluations related to the integration of RPSC into SWITCH Asia. Building upon efforts made in past year, there is a need to further strengthen interlinkages, communications, and utilise learnings with other components of SWITCH Asia Program (e.g. Grant Projects, National Policy Support, Network Facility).	S

**Overall project rating: Satisfactory**

### 4.3 Recommendations

**Recommendation 1. UNEP and DEVCO to revisit the logic of the RPSC approach to better articulate the results and intermediate outcomes that need to be achieved for the objectives to be realised.**

214. Cross-reference(s) to rationale and supporting discussions:

- Section 3.4 Effectiveness.

215. Specific recommendation(s):

- Some of the gaps in the project logic were identified in the section on the Theory of Change. The project should be able to articulate the main outcomes that lie between achievement of the outputs and realisation of the results. In addition, many of the results need to be better expressed as results, currently some are expressed as outputs or activities and some merely replicate one of the outputs or activities.

**Recommendation 2. RPSC to further strengthen interlinkages and shared learnings with other components of SWITCH Asia Program (e.g. Grant Projects, National Policy Support Components, Network Facility).**

216. Cross-reference(s) to rationale and supporting discussions:

- Section 4.1 Conclusions.
- Section 3.8 Follow-up on previous evaluations.

217. Specific recommendation(s):

- Building upon integration efforts initiated after a previous evaluation (Pierre Mahy, 2015), UNEP / RPSC should continue to further strengthen interlinkages and communications to create shared learnings with other components of SWITCH Asia Program. Specific illustrative examples include:
- Increase utilisation of learnings from Grant Projects, NPSC, Network Facility in RPSC publications and capacity building, and vice versa.
- Further increase role of Grant Projects in RPSC supported events at country and (sub-regional level, and vice versa.
- Where feasible and relevant, streamline the integration of regional events organised between RPSC and the Network Facility.
- DEVCO (or representing agency) to lead the coordination between SWITCH Asia service providers on a regular basis to scope and monitor required synergies and collaborations in the different SWITCH Asia Program components. The evaluators understand that this coordination started to take place recently through DEVCO.

**Recommendation 3. The RPSC to strengthen project management, implementation, and communications through the clarification of roles between DTIE, ROAP, UN country offices and project partners as well as through better information sharing, result-oriented monitoring and storytelling.**

218. Cross-reference(s) to rationale and supporting discussions:

- Section 4.1 Conclusions.
- Section 3.3 Achievement of outputs.

- Section 3.7 Factors affecting performance, subsection on implementation approach and management.

219. Specific recommendation(s):

- UNEP to clarify roles and responsibilities for RPSC project management, implementation, information sharing, and monitoring. Collaboration and synergies between DTIE, ROAP, UNEP country offices are the key to successful delivery of RPSC.
- A principle grouping of content related project responsibilities (as outlined in the RPSC ProDoc) includes:
  - DTIE: Create synergies with global and other regional programs (e.g. 10YFP, SWITCH Africa), provide access and learnings to available SCP tools/approaches.
  - ROAP: Implementation of regional level activities, fostering regional networks.
  - UNEP country offices: Connect and engage with national stakeholders, provide local/national contexts, implementation of country-level activities.
- UNEP to apply regular result-oriented monitoring and impact-driven KPIs at regional and country level.
- UNEP and DEVCO to seek to alignment of budgeting and costing templates for the RPSC in order to reduce project management and time inefficiencies.
- UNEP, in close collaboration with DEVCO and other SWITCH Asia Components, to improve the communications on the “storyline and bigger picture” of RPSC. This is needed to enhance stakeholder awareness on the RPSC’s activities, outputs and outcomes relevant to them and attract more engagement from relevant and influential stakeholders from the public and private sectors.
- As the country level work benefits from country presence, a recommendation for the RPSC is to further expand its cooperation with other UN initiatives in related topics (e.g. PAGE, Green Economy, PEI, etc operating at country level).
- As the recommendation above applies to overall SWITCH Asia Program, DEVCO to coordinate efforts to strengthen the “storyline and big picture” of SWITCH Asia Program and its components. The storyline on the SWITCH Grant Projects is relatively clear (through their project fact sheets, impacts sheets, project SWITCH webpage, and user friendly search engine on SWITCH Asia website<sup>25</sup>), so there are communication learnings from these experiences.

***Recommendation 4. RPSC is advised to expand its processes to identify, develop and maintain change agents to drive SCP in public and private sectors.***

220. Cross-reference(s) to rationale and supporting discussions:

- Section 4.1 Conclusions.
- Section 3.4 Effectiveness
- Section 3.7 Factors affecting performance, subsection on stakeholder participation, cooperation and partnerships, subsection on country ownership and driven-ness.

221. Specific recommendation(s):

- UNEP / RPSC to expand processes to identify, develop and maintain SCP change agents in public and private sectors. This includes enhanced procedures to select change agents (e.g. early/mid-career policy makers) for regional and national events,

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<sup>25</sup> [www.switch-asia.eu/projects/](http://www.switch-asia.eu/projects/)



targeted capacity building, connecting change agents, and ongoing long-term support. Applying the guidance for successful training provided by Brinkerhoff would enhance such efforts.

- UNEP / RPSC to incorporate more skills development on communication, negotiation, and multi-stakeholder engagement into trainings and capacity building events. These “soft skills” are critical to create successful and impactful SCP change agents. Current capacity building offered through the RPSC has a strong focus on technical and various content related aspects of SCP (e.g. SDGs, policy making, public procurement, sustainable consumption). This is very valuable of course, but increased focus on developing “soft skills” is recommended.
- UNEP / RPSC to strengthen procedure to select change agents and influential government officials from relevant ministries in RPSC’s capacity building and SCP policy support events.
- UNEP / RPSC to explore the application of the Brinkerhoff method in their capacity building events to assess the extent to which trainee selection has focused on those who are likely to use the training, to train others, or for the effective promotion, development, implementation of SCP policies.

***Recommendation 5. RPSC to strengthen and expand collaborations with influential ministries beyond Ministries of Environment, including RPSC’s country focal points.***

222. Cross-reference(s) to rationale and supporting discussions:

- Section 4.1 Conclusions.
- Section 3.7 Factors affecting performance.

223. Specific recommendation(s):

- UNEP / RPSC to expand and strengthen its engagements with influential ministries (e.g. Ministries of Planning, Investment, Industry) beyond the Ministries of Environment. Although there is evidence that RPSC has engaged with other ministries, this engagement should be further strengthened, leveraging the shift in governance resulting from the adoption of the SDGs. SCP is truly a multi-disciplinary concept covering multiple topics and ministries, policy support needs to go beyond environmental related policies and to be integrated with existing policies with different ministries.
- UNEP / RPSC to consider, in future project design, expanding its country focal points beyond one person and ministries of environment in order to reduce the risks to sustainability and to strengthen interactions with relevant country ministries.
  - One option that could be further explored is a (working) group consisting of key ministries and departments working on SCP in a country. Such an option would also provide a mechanism for RPSC to formalise its engagements with relevant ministries beyond environmental ministries.
  - Another option currently being trialled by the RPSC is through the sub-regional platforms, where each SCP focal point should bring 2 additional participants from planning ministries, sector ministries, private sector organisations or youth organisations, depending on the event/process. This small delegation would then form a core for national level SCP planning.

***Recommendation 6. RPSC to apply a stronger regional focus on the implementation of SCP through existing policy mechanisms, and supporting capacity building on effective governance, enforcement and implementation of existing policies.***

224. Cross-reference(s) to rationale and supporting discussions:

- Section 4.1 Conclusions.
- Section 3.6 Efficiency, subsection on stakeholder participation, cooperation and partnerships.
- Section 3.7 Factors affecting performance.

225. Specific recommendation(s):

- RPSC is advised to develop a stronger (sub-)regional focus on advocacy, science-policy interface, and capacity building towards the integration and implementation of SCP into existing policy mechanisms which are already supported by relevant and influential ministries.
- A particular focus should be on supporting the translation and integration of international and (sub-)regional policy mechanisms into existing national level and sectoral policies/plans. This means a lesser focus of RPSC on developing new policy documents, action plans and roadmaps.
- The RPSC is advised to further expand its efforts on direct policy mainstreaming, effectiveness and enforcement activities as many Asian countries still lack effective governance and policy implementation/enforcement. It is acknowledged that in specific cases, the RPSC is progressing on this (e.g. Cambodia, Bhutan). Voluntary instruments and outputs cannot function without functional legislative framework.

***Recommendation 7. RPSC to strengthen alignment with SDGs and maintain synergies (but not full alignment) with 10YFP on SCP, as well as with other complementary UNEP initiatives (e.g. PAGE).***

226. Cross-reference(s) to rationale and supporting discussions:

- Section 4.1 Conclusions.
- Section 3.1 Strategic relevance.
- Section 3.3 Achievement of outputs.
- Section 3.6 Efficiency, subsection on stakeholder participation, cooperation and partnerships.

227. Specific recommendation(s):

- UNEP and project stakeholders to continue synergies and the sharing of learnings between 10YFP and RPSC initiatives. However, the recommendation is not to fully align 10YFP and RPSC priorities in order to ensure flexibility in addressing country specific contexts and priorities not covered by 10YFP.
- RPSC should build upon the adoption of Agenda 2030 and supporting SDGs by UN member states in September 2015, which allow UNEP / DEVCO to further align RPSC towards assisting policy makers with the implementation and monitoring of the SDGs (in particular SDG 12 on SCP). This way RPSC work will be anchored within current priorities of national government agencies, including ministries beyond environment.
- The 17 SDGs are said to bring further clarity to national governments and international organisations on the “first tier and broad mix” of SDG targets at national levels. Building upon RPSC current work on SCP indicators, there is an opportunity for RPSC to assist with the development of a consolidated set of “second tier” and “not too many” SMART indicators to identify priorities and measure progress of project/programme level initiatives towards the SDGs.

#### 4.4 Lessons learned

228. Based on the evidence, findings and conclusions of the evaluation, key lessons learnt of wider applicability beyond the evaluated Project can be summarised as follows:
229. As SCP is truly a multi-disciplinary concept covering multiple topics (e.g. materials supply, waste, energy, water, finance), policy support on **SCP needs to go beyond environmental related policies and to be integrated with existing policies with different ministries**. Projects should carefully consider whether there is a case to increase efforts on the integration and implementation of SCP through existing policies, regulations, and roadmaps which are already supported by relevant and influential ministries in the countries, rather than developing new policy documents and roadmaps mainly through environmental ministries.
230. Change agents play a key role in projects which focus on creating enabling environments to strengthen existing or initiate new policies through institutional networks and capacity building. In these sort of projects, **mechanisms need to be in place to select change agents within relevant and influential organisations, to provide targeted capacity development, connect change agents with each other, and to provide ongoing long-term support**. Projects need to have a good strategy to select change agents in selected countries and coordinated efforts to sustain them.
231. In addition to technical training these change agents need to be **trained on ‘soft skills’ such as communication, negotiation, and multi-stakeholder engagement skills** to enable policy and knowledge brokering processes and co-design (often complex) policy mechanisms. It is (of course) important to have high quality technical content and political context in project trainings.
232. For complex and multi-disciplinary programmes/projects involving a range of stakeholders, **it is important to develop and maintain a “clear storyline and bigger picture”**. This is needed to effectively disseminate and promote success cases and also to assist with attracting (further) influential institutions in the public and private sector to the programme/project.

## ANNEX I. RPSC'S OBJECTIVES, EXPECTED RESULTS AND OUTPUTS

**Table 11: RPSC'S objectives, expected results and outputs**

<b>SWITCH Asia: Long term goal</b>		
To increase sustainable consumption and production in Asia		
<b>SWITCH Asia RPSC: Overall objective</b>		
To strengthen national and regional policy frameworks to promote the shift towards more SCP patterns and resource efficiency, thereby contributing to green growth and the reduction of poverty in Asian countries.		
<b>Specific objectives</b>	<b>Expected results</b>	<b>Planned outputs</b>
1. Create enabling conditions and factors to strengthen or initiate policies that efficiently mainstream SCP and RE in regional, sub-regional, and national development programmes	<p>R_A_1: National inter-ministerial and public-private policy dialogues on SCP are strengthened and institutionalized.</p> <p>R_A_2: SCP is put on the regular agenda of key regional and sub-regional policy dialogue platforms</p> <p>R_A_3: National and regional measurement and assessment of resource efficiency is increased in pre-identified priority sectors of economic activity.</p> <p>R_A_4: National and regional level partnerships are established to reduce financing gaps for SCP initiatives at national level.</p> <p>R_A_5: SWITCH RPSC lessons learned and results are periodically fed into the 10YFP, informing its design and implementation.</p>	<p>O_A_1: Reviews on current national status of SCP/RE, incl. thorough assessment of existing legal environmental policy tools, national commitments, governance frameworks and action plans for improvement on SCP/RE across government ministries.</p> <p>O_A_2: Reports, policy recommendations, declarations and/or agreements from regional or sub-regional high-level meetings between governmental officials, UN entities, the EC, regional IGHOs and other institutional stakeholders identifying specific commitments to SCP and RE.</p> <p>O_A_3: Awareness-raising and information material targeting governments, the private sector and citizens.</p> <p>O_A_4: An indicators framework for national measurement of progress on SCP, to be aligned with 10YFP and other national measurement efforts, for national application by specific countries.</p> <p>O_A_5: Recommendation on the scope of the regional inputs to the development of the 10YFP on SCP to be delivered at International Preparatory Meetings within the CSD cycle.</p> <p>O_A_6: Communications pieces, briefings, reports and information shared with the SWITCH-Asia Network Facility and national PSCs, in order to be presented at the annual SWITCH-Asia Networking Meetings and to be spread to the SWITCH projects.</p>
2. Develop institutional knowledge, skills and capacities among stakeholders in the Action countries (government, private sector, civil society), to coordinate the effective design and implementation of SCP policies and activities that accelerate the shift to Sustainable Consumption and Production	<p>R_B_1: Decision makers in the public sector across government ministries demonstrate higher understanding of the benefits of SCP and RE within national contexts.</p> <p>R_B_2: A pool of Asian SCP-policy experts and national focal points, with key national strategic partnerships, are established.</p> <p>R_B_3: Strategic networking and cooperation on SCP is improved among regional bodies and countries in Asia</p> <p>R_B_4: Government across ministries and private enterprises in priority country sectors successfully participate in capacity-building, advocacy, consultation and technical assistance activities.</p>	<p>O_B_1: Research on key challenges and priorities for advancing SCP and RE policies in the region.</p> <p>O_B_2: A group of Asian SCP policy experts and strategic national partnership base to contribute in the dissemination and preservation of knowledge, policy advocacy and collaboration.</p> <p>O_B_3: Regional training and capacity-building activities on policy making for SCP/RE targeting the government, private sector and NGOs and other key stakeholders as identified, organized and delivered.</p> <p>O_B_4: Online training, curriculum development on SCP for policy makers in Asia and a training toolkit on capacity building for SCP/RE.</p> <p>O_B_5: Knowledge exchange, networking, advocacy and partnerships established among target institutions and stakeholders participating in training and capacity building activities towards developing a regional community of practice.</p>

## ANNEX II. RPSC REGIONAL STORIES

### RPSC story of capacity building

RPSC objectives	List of (potential) short-term outcomes from Theory of Change	RPSC activities working towards these outcomes
Enabling environment created at (regional, sub-regional and national levels) to strengthen or initiate policies that effectively mainstream SCP and RE in development programmes	Decision makers in the public sector have better understanding of SCP and RE and link SCP objectives with resource efficiency targets and national commitments.	<ul style="list-style-type: none"> <li>Developed SCP policy handbook and supporting trainings</li> <li>Developed SCP policy guide for sustainable consumption</li> </ul>
	Inter-ministerial and public-private policy dialogues on SCP strengthened / institutionalised.	<ul style="list-style-type: none"> <li>Annual events of ASEAN SCP Leadership Forum</li> </ul>
	SCP on regular agenda of sub-regional policy dialogue platforms to which countries participate regularly and contribute to.	<ul style="list-style-type: none"> <li>This outcome is not directly applicable to capacity building</li> </ul>
	Lessons learned feed into and inform 10 Year Framework	<ul style="list-style-type: none"> <li>Policy needs assessments undertaken in Asian countries</li> </ul>
Stakeholders in beneficiary countries have the institutional knowledge, skills and capacities at national level to coordinate the effective design and implementation of SCP policy-orientated activities to accelerate the shift to SCP	RE is increased in key sectors of economic activity and pollution decreased.	<ul style="list-style-type: none"> <li>No evidence to date</li> </ul>
	Pool of Asian SCP policy experts, improved networking / cooperation among regional bodies and countries on SCP.	<ul style="list-style-type: none"> <li>SCP online trainings through UNITAR</li> <li>SCP Winterschools</li> <li>BLISS SCP online course through TERI</li> </ul>
	Regional networks and partnerships with centers of excellence for exchange of information, technology transfer and experience for SCP and RE policies.	<ul style="list-style-type: none"> <li>This outcome is not directly applicable to capacity building</li> </ul>
	Government and private enterprises can identify and source more capacity building and technical support on implementing SCP.	<ul style="list-style-type: none"> <li>Developed SCP policy handbook and supporting trainings</li> <li>Developed SCP policy guide for sustainable consumption</li> </ul>

RPSC activities and outputs – SCP capacity building					
Based on discussions with UNEP RPSC project team members					
2011	2012	2013	2014	2015	2016
<ul style="list-style-type: none"> <li>Policy needs assessments identified capacity building as priority</li> <li>Lack of SCP training materials for Asia. Therefore decision to develop SCP policy handbook</li> <li>Regional workshop on sustainable consumption</li> </ul>	<ul style="list-style-type: none"> <li>SCP handbook developed as training guide and subregional trainings held</li> <li>Decision to develop 2<sup>nd</sup> edition of SCP policy handbook based on training feedback</li> <li>Request received to develop global version of SCP handbook</li> </ul>	<ul style="list-style-type: none"> <li>1<sup>st</sup> SCP online training through UNITAR</li> <li>1<sup>st</sup> SCP Winterschool through AIT</li> </ul>		<ul style="list-style-type: none"> <li>Launch of Global SCP Handbook</li> <li>SCP online course (BLISS) through TERI</li> </ul>	<ul style="list-style-type: none"> <li>2<sup>nd</sup> SCP online training through UNITAR</li> <li>2<sup>nd</sup> SCP Winterschool through AIT</li> <li>1<sup>st</sup> South Asia SCP Winterschool through Sri Lanka National Policy Support Component</li> </ul>
Annual events of ASEAN+3 SCP Leadership Forum					

#### Abbreviations:

AIT:	Asian Institute of Technology
BLISS:	Building Learning in Sustainability Science
IGES:	Institute for Global Environmental Strategies

**Figure 4: RPSC story of capacity building**



## RPSC story of institutionalisation and policy dialogue

RPSC objectives	List of (potential) short-term outcomes from Theory of Change	RPSC activities working towards these outcomes
Enabling environment created at (regional, sub-regional and national levels) to strengthen or initiate policies that effectively mainstream SCP and RE in development programmes	Decision makers in the public sector have better understanding of SCP and RE and link SCP objectives with resource efficiency targets and national commitments.	<ul style="list-style-type: none"> <li>ASEAN SHINE initiative to increase market share of higher efficient air-conditioners</li> </ul>
	Inter-ministerial and public-private policy dialogues on SCP strengthened / institutionalised.	<ul style="list-style-type: none"> <li>Establishment of ASEAN Forum on SCP</li> <li>Establishment of South Asian Forum on SCP</li> <li>Secretarial and support services for APRSCP</li> <li>Engagement with SAARC / SACEP Governing Council on SCP</li> </ul>
	SCP on regular agenda of sub-regional policy dialogue platforms to which countries participate regularly and contribute to.	<ul style="list-style-type: none"> <li>Funding support to regional APRSCP events</li> <li>Engagement with SAARC / SACEP Governing Council on SCP</li> </ul>
	Lessons learned feed into and inform 10 Year Framework	<ul style="list-style-type: none"> <li>Funding support to regional APRSCP events</li> <li>10YFP regional roadmap 2014-2015 and Asia Pacific SCP roadmap 2016-2017</li> </ul>
Stakeholders in beneficiary countries have the institutional knowledge, skills and capacities at national level to coordinate the effective design and implementation of SCP policy-orientated activities to accelerate the shift to SCP	RE is increased in key sectors of economic activity and pollution decreased.	<ul style="list-style-type: none"> <li>No evidence to date</li> </ul>
	Pool of Asian SCP policy experts, improved networking / cooperation among regional bodies and countries on SCP.	<ul style="list-style-type: none"> <li>Establishment of ASEAN Forum on SCP</li> <li>Establishment of South Asian Forum on SCP</li> <li>Secretarial and support services for APRSCP</li> <li>Engagement with SAARC / SACEP Governing Council on SCP</li> </ul>
	Regional networks and partnerships with centers of excellence for exchange of information, technology transfer and experience for SCP and RE policies.	
	Government and private enterprises can identify and source more capacity building and technical support on implementing SCP.	<ul style="list-style-type: none"> <li>This outcome is not directly applicable to Institutionalisation and policy dialogue</li> </ul>

RPSC activities and outputs – Institutionalisation and policy dialogue					
Based on discussions with UNEP RPSC project team members					
2011	2012	2013	2014	2015	2016
<ul style="list-style-type: none"><li>• Policy assessments (e.g. recognised need for platforms on SCP, dialogue events)</li><li>• APRSCP identified as existing regional platform to strengthen</li></ul>	<ul style="list-style-type: none"><li>• ASEAN Forum on SCP conceptualised</li></ul>	<ul style="list-style-type: none"><li>• APRSCP co-hosted workshops on sustainable consumption and SCP indicators</li></ul>	<ul style="list-style-type: none"><li>• ASEAN ministers made SCP statement calling for ASEAN Forum on SCP</li><li>• SAARC / SACEP Governing Council requested SACEP to address SCP at sub-regional level</li><li>• 11st APRSCP event held in Bangkok, in collaboration with SWITCH Network Facility</li></ul>	<ul style="list-style-type: none"><li>• Meeting of ASEAN Forum on SCP in Delhi which agreed on forum mechanisms and workplan</li><li>• Consultations to establish a South Asian Forum on SCP under SACEP, including agreement on forum function, priorities, and workplan</li></ul>	<ul style="list-style-type: none"><li>• Drafting SWITCH Asia policy briefs as part of 10YFP collaboration (e.g. Behavioural Science, Marine Plastic Pollution in Asia).</li><li>• SACEP / UNEP agreement signed of 2016 work plan including: South Asian Forum on SCP, Policy dialogue and training on sustainable tourism, SCP in tertiary curriculum, SCP winterschool</li><li>• 12<sup>th</sup> APRSCP event in Siem Reap (in collaboration with SWITCH Network Facility) which adopted the Asia Pacific Regional SCP Roadmap</li></ul>
		<ul style="list-style-type: none"><li>• Regional 10YFP Roadmap for Asia Pacific</li></ul>		<ul style="list-style-type: none"><li>• ASEAN SHINE initiative to increase market share of higher efficient air-conditioners through harmonisation of test methods, minimum energy performance standards, policy roadmap, changing consumer purchasing attitudes</li></ul>	
		<ul style="list-style-type: none"><li>• RPSC providing secretarial services for APRSCP</li></ul>			

### Abbreviations:

ASEAN:	Association of Southeast Asian Nations
APRSCP:	Asia Pacific Roundtable on Sustainable Consumption and Production
SAARC:	South Asian Association for Regional Cooperation
SACEP:	South Asia Co-operative Environment Programme
SHINE	Standards Harmonization Initiative for Energy Efficiency

Figure 5: RPSC story of institutionalisation and policy dialogue



## RPSC story of SCP indicators

RPSC objectives	List of (potential) short-term outcomes from Theory of Change	RPSC activities working towards these outcomes
Enabling environment created at (regional, sub-regional and national levels) to strengthen or initiate policies that effectively mainstream SCP and RE in development programmes	Decision makers in the public sector have better understanding of SCP and RE and link SCP objectives with resource efficiency targets and national commitments.	<ul style="list-style-type: none"> <li>Regional workshop on SCP indicators</li> <li>China workshop to review draft national SCP indicator framework developed by CAS</li> <li>Launch of regional SCP indicators database and report at Asia Pacific Ministers Forum for Environment</li> <li>Mongolia workshop to link SCP indicators with national policy and to train National Statistical Officers</li> </ul>
	Inter-ministerial and public-private policy dialogues on SCP strengthened / institutionalised.	<ul style="list-style-type: none"> <li>This outcome is not directly applicable to SCP indicators</li> </ul>
	SCP on regular agenda of sub-regional policy dialogue platforms to which countries participate regularly and contribute to.	<ul style="list-style-type: none"> <li>Launch of regional SCP indicators database and report at Asia Pacific Ministers Forum for Environment</li> <li>Mongolia workshop to link SCP indicators with national policy and to train National Statistical Officers</li> </ul>
	Lessons learned feed into and inform 10 Year Framework	<ul style="list-style-type: none"> <li>No evidence to date</li> </ul>
Stakeholders in beneficiary countries have the institutional knowledge, skills and capacities at national level to coordinate the effective design and implementation of SCP policy-orientated activities to accelerate the shift to SCP	RE is increased in key sectors of economic activity and pollution decreased.	<ul style="list-style-type: none"> <li>No evidence to date</li> </ul>
	Pool of Asian SCP policy experts, improved networking / cooperation among regional bodies and countries on SCP.	<ul style="list-style-type: none"> <li>Training of National Statistical Officers (e.g. Mongolia, Lao PDR)</li> </ul>
	Regional networks and partnerships with centers of excellence for exchange of information, technology transfer and experience for SCP and RE policies.	<ul style="list-style-type: none"> <li>This outcome is not directly applicable to SCP indicators</li> </ul>
	Government and private enterprises can identify and source more capacity building and technical support on implementing SCP.	<ul style="list-style-type: none"> <li>Development of framework for regional SCP indicators</li> <li>Development of regional SCP indicators database</li> <li>In-depth assessment of SCP indicators in six countries</li> </ul>

RPSC activities and outputs – SCP indicators					
Based on discussions with UNEP RPSC project team members					
2011	2012	2013	2014	2015	2016
<ul style="list-style-type: none"> <li>Policy needs assessments highlighted SCP indicators as priority topic for China and regional level</li> <li>Set up funding agreement with CAS to set up SCP indicators framework for China</li> </ul>	<ul style="list-style-type: none"> <li>Results from China SCP indicators framework presented by CAS at TAC meeting</li> <li>Other countries requested regional policy dialogues on SCP indicators</li> </ul>	<ul style="list-style-type: none"> <li>China workshop to review draft national SCP indicator framework developed by CAS</li> <li>Regional workshop on SCP indicators</li> <li>Development of draft framework for regional SCP indicators</li> </ul>	<ul style="list-style-type: none"> <li>Draft framework for regional SCP indicators adopted at TAC meeting, with request for indicator data</li> <li>Set up agreement with CSIRO to develop data for regional SCP indicators and report</li> </ul>	<ul style="list-style-type: none"> <li>Launch of regional SCP indicators database and report at Asia Pacific Ministers Forum for Environment</li> <li>In-depth assessments of SCP indicators in six countries</li> <li>Training of two National Statistical Officers (e.g. Mongolia and Lao PDR)</li> </ul>	<ul style="list-style-type: none"> <li>Mongolia workshop to link SCP indicators with national policy and to train National Statistical Officers.</li> </ul>
<ul style="list-style-type: none"> <li>SCP indicator framework for China set up by CAS</li> </ul>					

### Abbreviations:

CAS:	China Academy of Science
CSIRO:	Commonwealth Scientific and Industrial Research Organisation (Australia)
TAC:	Technical Advisory Committee (of SWITCH Regional Policy Support Component)

**Figure 6: RPSC story of SCP indicators**

## RPSC story of sustainable consumption and lifestyles

RPSC objectives	List of (potential) short-term outcomes from Theory of Change	RPSC activities working towards these outcomes
Enabling environment created at (regional, sub-regional and national levels) to strengthen or initiate policies that effectively mainstream SCP and RE in development programmes	Decision makers in the public sector have better understanding of SCP and RE and link SCP objectives with resource efficiency targets and national commitments.	<ul style="list-style-type: none"> <li>IGES-UNEP developed background paper on sustainable consumption</li> <li>Online launch of sustainable consumption guide for policy makers</li> </ul>
	Inter-ministerial and public-private policy dialogues on SCP strengthened / institutionalised.	<ul style="list-style-type: none"> <li>Sustainable consumption week focusing on the private sector</li> </ul>
	SCP on regular agenda of sub-regional policy dialogue platforms to which countries participate regularly and contribute to.	<ul style="list-style-type: none"> <li>Funding support to regional APRSCP events, including focus on sustainable consumption and lifestyles</li> </ul>
	Lessons learned feed into and inform 10 Year Framework	<ul style="list-style-type: none"> <li>10YFP regional roadmap 2014-2015 and Asia Pacific SCP roadmap 2016-2017, including focus on sustainable lifestyles</li> </ul>
Stakeholders in beneficiary countries have the institutional knowledge, skills and capacities at national level to coordinate the effective design and implementation of SCP policy-orientated activities to accelerate the shift to SCP	RE is increased in key sectors of economic activity and pollution decreased.	<ul style="list-style-type: none"> <li>No evidence to date</li> </ul>
	Pool of Asian SCP policy experts, improved networking / cooperation among regional bodies and countries on SCP.	<ul style="list-style-type: none"> <li>Sustainable consumption workshop at SWITCH NF meeting</li> <li>27 Youth Ambassadors trained</li> <li>I4 Billion Dream Campaign on sustainable lifestyles in Asia, including multi-media exhibition</li> </ul>
	Regional networks and partnerships with centers of excellence for exchange of information, technology transfer and experience for SCP and RE policies.	<ul style="list-style-type: none"> <li>No evidence to date</li> </ul>
	Government and private enterprises can identify and source more capacity building and technical support on implementing SCP.	<ul style="list-style-type: none"> <li>IGES-UNEP developed background paper on sustainable consumption</li> <li>Online launch of sustainable consumption guide for policy makers</li> </ul>

RPSC activities and outputs – Sustainable consumption and lifestyles					
Based on discussions with UNEP RPSC project team members					
2011	2012	2013	2014	2015	2016
<ul style="list-style-type: none"> <li>Policy needs assessments identified sustainable lifestyles as a priority, although other SCP priorities needed to be addressed first</li> </ul>	<ul style="list-style-type: none"> <li>Request from RPSC Technical Advisory Committee (TAC) meeting for regional capacity building workshop on sustainable consumption</li> </ul>	<ul style="list-style-type: none"> <li>Sustainable consumption workshop at SWITCH Network Facility meeting</li> <li>IGES-UNEP developed background paper on sustainable consumption</li> <li>Request made to convert background paper into policy guideline</li> </ul>		<ul style="list-style-type: none"> <li>Online launch of sustainable consumption guide for policy makers</li> </ul>	<ul style="list-style-type: none"> <li>I4 Billion Dream Campaign on sustainable lifestyles in Asia, including multi-media exhibition</li> <li>27 Youth Ambassadors trained who each undertake five interviews on food, housing, transport, leisure, traditions and dreams</li> <li>Sustainable consumption week focused on private sector, including policy-industry dialogue, sustainable advertising competition, hackathon for sustainable consumption, and sustainable chef challenge</li> </ul>

### Abbreviations:

10YFP: 10- year Framework of Programme (10YFP) on sustainable consumption and production  
 IGES: Institute for Global Environmental Strategies

**Figure 7: RPSC story of sustainable consumption and lifestyles**

## ANNEX III. RPSC COUNTRY STORIES – EVALUATED THROUGH FIELD VISITS

### RPSC story of Viet Nam

RPSC objectives	List of (potential) short-term outcomes from Theory of Change	RPSC activities working towards these outcomes
Enabling environment created at (regional, sub-regional and national levels) to strengthen or initiate policies that effectively mainstream SCP and RE in development programmes	Decision makers in the public sector have better understanding of SCP and RE and link SCP objectives with resource efficiency targets and national commitments.	<ul style="list-style-type: none"> <li>• SCP Winterschool alumni is working at MoIT and coordinating the development and implementation of NAP-SCP.</li> <li>• Study on integrating SCP into fiscal policies (in progress)</li> </ul>
	Inter-ministerial and public-private policy dialogues on SCP strengthened / institutionalised.	<ul style="list-style-type: none"> <li>• National Roundtable on SCP</li> </ul>
	SCP on regular agenda of sub-regional policy dialogue platforms to which countries participate regularly and contribute to.	<ul style="list-style-type: none"> <li>• Participation from country government officials in regional RPSC and APRSCP events</li> </ul>
	Lessons learned feed into and inform 10 Year Framework	<ul style="list-style-type: none"> <li>• No evidence to date at national level</li> </ul>
Stakeholders in beneficiary countries have the institutional knowledge, skills and capacities at national level to coordinate the effective design and implementation of SCP policy-orientated activities to accelerate the shift to SCP	RE is increased in key sectors of economic activity and pollution decreased.	<ul style="list-style-type: none"> <li>• No evidence to date at national level</li> </ul>
	Pool of Asian SCP policy experts, improved networking / cooperation among regional bodies and countries on SCP.	<ul style="list-style-type: none"> <li>• Train the trainer workshops on SCP (in progress)</li> <li>• National Roundtable on SCP</li> </ul>
	Regional networks and partnerships with centers of excellence for exchange of information, technology transfer and experience for SCP and RE policies.	<ul style="list-style-type: none"> <li>• No evidence to date at national level</li> </ul>
	Government and private enterprises can identify and source more capacity building and technical support on implementing SCP.	<ul style="list-style-type: none"> <li>• Workshop on water foot printing</li> <li>• Media workshop on SCP</li> <li>• Train the trainer workshops on SCP (in progress)</li> <li>• Translation of RPSC publications in Vietnamese (in progress)</li> </ul>

RPSC activities and outputs – Viet Nam					
Based on discussions with UNEP RPSC project team members					
2011	2012	2013	2014	2015	2016
<ul style="list-style-type: none"> <li>• Policy needs assessment undertaken, including Viet Nam</li> </ul>		<ul style="list-style-type: none"> <li>• National Roundtable on SCP (through MoNRE and MoIT)</li> <li>• 1<sup>st</sup> draft of NAP-SCP completed by MoNRE</li> </ul>		<ul style="list-style-type: none"> <li>• Workshop on water foot printing through MoNRE</li> </ul>	<ul style="list-style-type: none"> <li>• NAP-SCP adopted by government in January 2016.</li> <li>• Media workshop on SCP through MoNRE</li> <li>• Work in progress by MoNRE:</li> <li>• Study on integrating SCP into fiscal policies</li> <li>• Train the trainer workshops on SCP</li> <li>• Translation of RPSC publications in Vietnamese</li> </ul>
				<ul style="list-style-type: none"> <li>• Through eco-innovation project, UNEP support to NAP-SCP under MoIT.</li> <li>• SCP Winterschool alumni is working at MoIT and coordinating the development and implementation of NAP-SCP</li> </ul>	

SCP incorporated into Environmental Protection Act

National Green Growth Strategy and action plan established through MPI

SCP responsibility moved from MoNRE to MoIT

#### Abbreviations:

MoNRE:	Ministry of Natural Resources and Environment
MoIT:	Ministry of Industry and Trade
MPI:	Ministry of Planning and Investment
NAP-SCP:	National Action Plan on Sustainable Consumption and Production

**Figure 8: RPSC story of Viet Nam**



## RPSC story of China

RPSC objectives	List of (potential) short-term outcomes from Theory of Change	RPSC activities working towards these outcomes
Enabling environment created at (regional, sub-regional and national levels) to strengthen or initiate policies that effectively mainstream SCP and RE in development programmes	Decision makers in the public sector have better understanding of SCP and RE and link SCP objectives with resource efficiency targets and national commitments.	<ul style="list-style-type: none"> <li>Development of national SCP Indicators framework</li> <li>Baseline assessment of tea/coffee and textile supply chains</li> </ul>
	Inter-ministerial and public-private policy dialogues on SCP strengthened / institutionalised.	<ul style="list-style-type: none"> <li>Engagement in SC Task Force of CCICED</li> <li>Support to G20 Energy Efficiency Task Force and UNEP FI on National Policy-Industry Dialogue event</li> <li>Sustainable Consumption Week with retail sector</li> <li>China Sustainable Retail Roundtable</li> <li>Green Supply Chain Forum</li> <li>Upcoming high level policy advocacy event through CCPIT</li> <li>Participation from country government officials in regional RPSC and APRSCP events</li> </ul>
	SCP on regular agenda of sub-regional policy dialogue platforms to which countries participate regularly and contribute to.	
	Lessons learned feed into and inform 10 Year Framework	<ul style="list-style-type: none"> <li>Engagement in SC Task Force of CCICED</li> </ul>
Stakeholders in beneficiary countries have the institutional knowledge, skills and capacities at national level to coordinate the effective design and implementation of SCP policy-orientated activities to accelerate the shift to SCP	RE is increased in key sectors of economic activity and pollution decreased.	<ul style="list-style-type: none"> <li>No evidence to date at national level</li> </ul>
	Pool of Asian SCP policy experts, improved networking / cooperation among regional bodies and countries on SCP.	<ul style="list-style-type: none"> <li>SME energy efficiency certification and training</li> <li>Local training on productivity and competitiveness in China's tea, coffee and cotton sectors through SCP in Hefei, Anhui and Qingdao China</li> <li>Training on Sustainable Supply Chains to build local capacity of CCPIT and connect stakeholders</li> </ul>
	Regional networks and partnerships with centers of excellence for exchange of information, technology transfer and experience for SCP and RE policies.	<ul style="list-style-type: none"> <li>Work with China Chain Store and Franchise Association (CCFA), including China Retail Sustainable Consumption Platform</li> <li>Engagement in SC Task Force of CCICED</li> </ul>
	Government and private enterprises can identify and source more capacity building and technical support on implementing SCP.	<ul style="list-style-type: none"> <li>China Retail Sustainable Consumption Platform</li> <li>Research on sustainable consumption and lifestyles</li> </ul>

RPSC activities and outputs – China					
Based on discussions with UNEP RPSC project team members					
2011	2012	2013	2014	2015	2016
<ul style="list-style-type: none"> <li>Policy needs assessment undertaken, including China</li> </ul>	<ul style="list-style-type: none"> <li>CEC: SME energy efficiency certification and training</li> <li>CAS: Development of national SCP Indicators framework</li> <li>Regional meeting for SCP Indicators for a RE Asia with CAS, targeting policy makers and practitioners in Asia</li> </ul>	<ul style="list-style-type: none"> <li>UNEP took part in consultations with the Government of China on Sustainable Consumption through the Sustainable Consumption Task Force in China Council for International Cooperation on Environment and Development (CCICED).</li> <li>UNEP developed and submitted policy research paper on China and sustainable consumption to the Task Force</li> </ul>	<ul style="list-style-type: none"> <li>CCFA: Sustainable Consumption Week, China Sustainable Retail Roundtable, and Green Supply Chain Forum</li> <li>CCFA: Launch of China Retail Sustainable Consumption Platform (CRSCP) with support of UN China Sustainable Consuming Partnership Program, other UN agencies, international organizations, NGOs, private sector and media partners.</li> </ul>	<ul style="list-style-type: none"> <li>Support to G20 Energy Efficiency Task Force and UNEP FI on National Policy-Industry Dialogue event: Enhancing Capital Flows to Energy Efficiency Investments in China's Building Sector Shenzhen</li> <li>CCPIT: baseline assessment of tea/coffee and textile supply chains, using Life Cycle Assessment and proposing good practices.</li> <li>CCPIT: Local training on productivity and competitiveness in China's tea, coffee and cotton sectors through SCP in Hefei, Anhui and Qingdao China</li> <li>ITC and CAEC: Training on Sustainable Supply Chains to build local capacity of CCPIT and connect stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Planned: CCPIT High level policy advocacy event</li> </ul>
<ul style="list-style-type: none"> <li>ACEF: Research on sustainable consumption and lifestyles</li> </ul>					

### Abbreviations:

ACEF:	All China Environment Federation
CAEC:	China-ASEAN Environmental Cooperation Center
CAS:	China Academy of Science
CCFA:	China Chain Store & Franchise Association
CCICED:	China Council for International Cooperation on Environment and Development
CCPIT:	China Council for the Promotion of International Trade
CEC:	China Environmental United Certification Centre
ITC:	International Trade Center
NDRC:	National Development and Reform Commission

Adoption of Green Consumption Guidelines by 10 Chinese Ministries

NDRC will be new 10YFP focal point in China

Figure 9: RPSC story of China

## RPSC story of India

RPSC objectives	List of (potential) short-term outcomes from Theory of Change	RPSC activities working towards these outcomes
Enabling environment created at (regional, sub-regional and national levels) to strengthen or initiate policies that effectively mainstream SCP and RE in development programmes	Decision makers in the public sector have better understanding of SCP and RE and link SCP objectives with resource efficiency targets and national commitments.	<ul style="list-style-type: none"> <li>Two BLISS schools on SCP</li> <li>Integration of SCP in postgraduate program at TERI University</li> <li>SCP Youth Ambassador organised video message on sustainable lifestyles by Minister for Environment</li> </ul>
	Inter-ministerial and public-private policy dialogues on SCP strengthened / institutionalised.	<ul style="list-style-type: none"> <li>Alumni SCP Winterschool working at the National Productivity Council and coordinating SCP trainings for industries</li> </ul>
	SCP on regular agenda of sub-regional policy dialogue platforms to which countries participate regularly and contribute to.	<ul style="list-style-type: none"> <li>Young Researcher Forum and special event on SCP education at World Sustainable Development Summit in Delhi</li> <li>Participation from country government officials in regional RPSC and APRSCP events</li> </ul>
	Lessons learned feed into and inform 10 Year Framework	<ul style="list-style-type: none"> <li>No evidence to date at national level</li> </ul>
Stakeholders in beneficiary countries have the institutional knowledge, skills and capacities at national level to coordinate the effective design and implementation of SCP policy-orientated activities to accelerate the shift to SCP	RE is increased in key sectors of economic activity and pollution decreased.	<ul style="list-style-type: none"> <li>No evidence to date at national level</li> </ul>
	Pool of Asian SCP policy experts, improved networking / cooperation among regional bodies and countries on SCP.	<ul style="list-style-type: none"> <li>Two BLISS schools on SCP</li> <li>Integration of SCP in postgraduate program at TERI University</li> <li>Alumni SCP Winterschool working at the National Productivity Council and coordinating SCP trainings for industries</li> </ul>
	Regional networks and partnerships with centers of excellence for exchange of information, technology transfer and experience for SCP and RE policies.	<ul style="list-style-type: none"> <li>Start-up research on SCP related topics</li> </ul>
	Government and private enterprises can identify and source more capacity building and technical support on implementing SCP.	<ul style="list-style-type: none"> <li>Two BLISS schools on SCP</li> <li>Integration of SCP in postgraduate program at TERI University</li> <li>Series of mini BLISS schools for secondary schools in low-income communities</li> </ul>

RPSC activities and outputs – India					
Based on discussions with UNEP RPSC project team members					
2011	2012	2013	2014	2015	2016
<ul style="list-style-type: none"> <li>Policy needs assessment undertaken, including India</li> </ul>	<ul style="list-style-type: none"> <li>No recorded activity</li> </ul>			<ul style="list-style-type: none"> <li>One BLISS school on SCP (through TERI)</li> </ul>	<ul style="list-style-type: none"> <li>One BLISS school on SCP (through TERI)</li> <li>SCP Youth Ambassador organised video message on sustainable lifestyles by Minister for Environment</li> <li>Alumni SCP Winterschool working at the National Productivity Council and coordinating SCP trainings for industries</li> <li>Work in progress (through TERI): <ul style="list-style-type: none"> <li>Series of mini BLISS schools for secondary schools in low-income communities</li> <li>Young Researcher Forum and special event on SCP education at World Sustainable Development Summit in Delhi (through TERI)</li> <li>Awareness raising short firms on SDGs (through TERI)</li> </ul> </li> </ul>
				TERI University (in progress): <ul style="list-style-type: none"> <li>Integration of SCP in postgraduate program</li> <li>Start-up research on SCP related topics</li> </ul>	
				<ul style="list-style-type: none"> <li>Ongoing consultations and delays with the establishment of UNEP's MoU and funding agreement MoEFCC</li> </ul>	

### Abbreviations:

MoEFCC Ministry of Environment, Forest and Climate Change  
BLISS: Building Learning in Sustainability Science

Establishment of  
UNEP India  
country office

**Figure 10: RPSC story of India**

## RPSC story of Thailand

RPSC objectives	List of (potential) short-term outcomes from Theory of Change	RPSC activities working towards these outcomes
Enabling environment created at (regional, sub-regional and national levels) to strengthen or initiate policies that effectively mainstream SCP and RE in development programmes	Decision makers in the public sector have better understanding of SCP and RE and link SCP objectives with resource efficiency targets and national commitments.	<ul style="list-style-type: none"> <li>National training on natural resource use indicators and SDGs (in progress)</li> <li>Awareness raising and capacity building on food wastes (in progress)</li> </ul>
	Inter-ministerial and public-private policy dialogues on SCP strengthened / institutionalised.	<ul style="list-style-type: none"> <li>No evidence to date</li> </ul>
	SCP on regular agenda of sub-regional policy dialogue platforms to which countries participate regularly and contribute to.	<ul style="list-style-type: none"> <li>Participation from country government officials in regional RPSC and APRSCP events</li> </ul>
	Lessons learned feed into and inform 10 Year Framework	<ul style="list-style-type: none"> <li>No evidence to date</li> </ul>
Stakeholders in beneficiary countries have the institutional knowledge, skills and capacities at national level to coordinate the effective design and implementation of SCP policy-orientated activities to accelerate the shift to SCP	RE is increased in key sectors of economic activity and pollution decreased.	<ul style="list-style-type: none"> <li>No evidence to date</li> </ul>
	Pool of Asian SCP policy experts, improved networking / cooperation among regional bodies and countries on SCP.	<ul style="list-style-type: none"> <li>Co-hosted awareness raising events on food waste in Bangkok with OzHarvest, ESCAP, Save Food Initiative, and Think-Eat-Save</li> <li>Awareness raising and capacity building with MoNRE on food wastes</li> </ul>
	Regional networks and partnerships with centers of excellence for exchange of information, technology transfer and experience for SCP and RE policies.	<ul style="list-style-type: none"> <li>Work with Pacific Asia Travel Association (PATA) on InSPIRE Sustainable Tourism Award</li> </ul>
	Government and private enterprises can identify and source more capacity building and technical support on implementing SCP.	<ul style="list-style-type: none"> <li>No evidence to date</li> </ul>

RPSC activities and outputs – Thailand					
Based on discussions with UNEP RPSC project team members					
2011	2012	2013	2014	2015	2016
<ul style="list-style-type: none"> <li>Execution of Thailand National Policy Support Component (NPSC) through GIZ led consortium. NPSC is not part of RPSC.</li> </ul>				<ul style="list-style-type: none"> <li>RPSC co-hosted awareness raising events on food waste in Bangkok in November and December 2015 with OzHarvest, ESCAP, Save Food Initiative, and Think-Eat-Save</li> <li>Work with Pacific Asia Travel Association (PATA) on InSPIRE Sustainable Tourism Award</li> </ul>	Work with NESDB, ONEP, NSA and NSTDA <ul style="list-style-type: none"> <li>National training on the natural resource use indicators and SDGs (work in progress)</li> </ul> Work with MoNRE: <ul style="list-style-type: none"> <li>Awareness raising and capacity building on food wastes (in progress)</li> </ul>

### Abbreviations:

NPSC:	National Policy Support Component
PATA:	Pacific Asia Travel Association
MoNRE:	Ministry of Natural Resources and Environment
MSW:	Municipal Solid Waste
NESDB:	National Economic and Social Development Board
NSA:	National Statistical Office
NSTDA:	National Science and Technology Development Agency
ONEP:	Office of Natural Resources and Environment

Figure 11: RPSC story of Thailand



## ANNEX IV. RPSC COUNTRY STORIES – DESKTOP EVALUATIONS

### RPSC story of Afghanistan

RPSC objectives	List of (potential) short-term outcomes from Theory of Change	RPSC activities working towards these outcomes
Enabling environment created at (regional, sub-regional and national levels) to strengthen or initiate policies that effectively mainstream SCP and RE in development programmes	Decision makers in the public sector have better understanding of SCP and RE and link SCP objectives with resource efficiency targets and national commitments.	• No evidence to date at national level
	Inter-ministerial and public-private policy dialogues on SCP strengthened / institutionalised.	• No evidence to date at national level
	SCP on regular agenda of sub-regional policy dialogue platforms to which countries participate regularly and contribute to.	• Participation from country government officials in regional RPSC and APRSCP events
	Lessons learned feed into and inform 10 Year Framework	• No evidence to date at national level
Stakeholders in beneficiary countries have the institutional knowledge, skills and capacities at national level to coordinate the effective design and implementation of SCP policy-orientated activities to accelerate the shift to SCP	RE is increased in key sectors of economic activity and pollution decreased.	• No evidence to date at national level
	Pool of Asian SCP policy experts, improved networking / cooperation among regional bodies and countries on SCP.	• No evidence to date at national level
	Regional networks and partnerships with centers of excellence for exchange of information, technology transfer and experience for SCP and RE policies.	• No evidence to date at national level
	Government and private enterprises can identify and source more capacity building and technical support on implementing SCP.	• No evidence to date at national level

Activities and outputs – Afghanistan					
Based on discussions with UNEP RPSC project team members					
2011	2012	2013	2014	2015	2016
• Policy needs assessment undertaken, including Afghanistan		• No recorded activity		<ul style="list-style-type: none"> <li>RPSC presentation at 3R Asian Pacific Forum (UNCRD) on regional SCP indicators</li> <li>Ministry of Urban Affairs (this ministry also covers environment) requested support from RPSC on waste management</li> </ul>	Agreement with UNEP Kabul Office on mapping of waste policies, national waste strategy and consultation workshops did not go ahead

#### Abbreviations:

SACEP: South Asia Co-operative Environment Programme  
 UNCRD: United Nations Centre for Regional Development

Afghanistan is Chair of SACEP Governing Council

Potential funding from Japan to support implementation of waste strategy

**Figure 12: RPSC story of Afghanistan**

## RPSC story of Bhutan

RPSC objectives	List of (potential) short-term outcomes from Theory of Change	RPSC activities working towards these outcomes
Enabling environment created at (regional, sub-regional and national levels) to strengthen or initiate policies that effectively mainstream SCP and RE in development programmes	Decision makers in the public sector have better understanding of SCP and RE and link SCP objectives with resource efficiency targets and national commitments.	<ul style="list-style-type: none"> <li>Support Sustainable tourism through the development of green hotel guidelines and the integration of sustainable tourism into the tourism policy (in progress)</li> <li>Support Sustainable Public Procurement through revision of national procurement policy documents (in progress).</li> </ul>
	Inter-ministerial and public-private policy dialogues on SCP strengthened / institutionalised.	<ul style="list-style-type: none"> <li>Support to mainstream SCP into national policy making (in progress)</li> </ul>
	SCP on regular agenda of sub-regional policy dialogue platforms to which countries participate regularly and contribute to.	<ul style="list-style-type: none"> <li>Participation from country government officials in regional RPSC and APRSCP events</li> </ul>
	Lessons learned feed into and inform 10 Year Framework	<ul style="list-style-type: none"> <li>No evidence to date at national level</li> </ul>
Stakeholders in beneficiary countries have the institutional knowledge, skills and capacities at national level to coordinate the effective design and implementation of SCP policy-orientated activities to accelerate the shift to SCP	RE is increased in key sectors of economic activity and pollution decreased.	<ul style="list-style-type: none"> <li>No evidence to date at national level</li> </ul>
	Pool of Asian SCP policy experts, improved networking / cooperation among regional bodies and countries on SCP.	<ul style="list-style-type: none"> <li>Integrating SCP Learning in Technical and Vocational Education and Training (TVET) (in progress)</li> </ul>
	Regional networks and partnerships with centers of excellence for exchange of information, technology transfer and experience for SCP and RE policies.	<ul style="list-style-type: none"> <li>No evidence to date at national level</li> </ul>
	Government and private enterprises can identify and source more capacity building and technical support on implementing SCP.	<ul style="list-style-type: none"> <li>Support to mainstream SCP into national policy making (in progress)</li> <li>Development of guidelines for Paperless Operations in the public sector</li> </ul>

RPSC activities and outputs – Bhutan					
Based on discussions with UNEP RPSC project team members					
2011	2012	2013	2014	2015	2016
<ul style="list-style-type: none"> <li>Policy needs assessment undertaken, including Bhutan</li> </ul>		<ul style="list-style-type: none"> <li>No recorded activity</li> </ul>	<ul style="list-style-type: none"> <li>Request made for RPSC support and country consultation on scope of work</li> </ul>	RPSC funding agreement with The Kingdom of Bhutan's Gross National Happiness Commission covering (work in progress): <ul style="list-style-type: none"> <li>Support to mainstream SCP into national policy making</li> <li>Support sustainable tourism through the development of green hotel guidelines and the integration of sustainable tourism into the tourism policy</li> <li>Support Sustainable Public Procurement through revision of national procurement policy documents.</li> <li>Integrating SCP Learning in Technical and Vocational Education and Training (TVET), tertiary, civil servant and non formal education</li> <li>Developing guidelines for Paperless Operations in the public sector</li> <li>Cross-cutting activities such as project management workshops and a national consultant to coordinate activities.</li> </ul>	

SWITCH Focal Point was on 2 year sabbatical and staff turn-over in country project team

### Abbreviations:

GNHC The Kingdom of Bhutan's Gross National Happiness Commission

**Figure 13: RPSC story of Bhutan**

## RPSC story of Cambodia

RPSC objectives	List of (potential) short-term outcomes from Theory of Change	RPSC activities working towards these outcomes
Enabling environment created at (regional, sub-regional and national levels) to strengthen or initiate policies that effectively mainstream SCP and RE in development programmes	Decision makers in the public sector have better understanding of SCP and RE and link SCP objectives with resource efficiency targets and national commitments.	<ul style="list-style-type: none"> <li>Work with UNDP to assist with Environmental Governance Reform in Cambodia and effective integration of SDG 12 on SCP into national legal framework and national information system.</li> <li>Stakeholder consultations and technical assistance for the development of an Environmental Code and Decision Support System (DSS) for Integrated Ecosystem Mapping</li> </ul>
	Inter-ministerial and public-private policy dialogues on SCP strengthened / institutionalised.	
	SCP on regular agenda of sub-regional policy dialogue platforms to which countries participate regularly and contribute to.	<ul style="list-style-type: none"> <li>Co-hosting of 12<sup>th</sup> APRSCP event in Siem Reap in partnership with Ministry of Environment.</li> <li>Participation from country government officials in regional RPSC and APRSCP events</li> </ul>
	Lessons learned feed into and inform 10 Year Framework	<ul style="list-style-type: none"> <li>No evidence to date at national level</li> </ul>
Stakeholders in beneficiary countries have the institutional knowledge, skills and capacities at national level to coordinate the effective design and implementation of SCP policy-orientated activities to accelerate the shift to SCP	RE is increased in key sectors of economic activity and pollution decreased.	<ul style="list-style-type: none"> <li>No evidence to date at national level</li> </ul>
	Pool of Asian SCP policy experts, improved networking / cooperation among regional bodies and countries on SCP.	<ul style="list-style-type: none"> <li>No evidence to date at national level</li> </ul>
	Regional networks and partnerships with centers of excellence for exchange of information, technology transfer and experience for SCP and RE policies.	<ul style="list-style-type: none"> <li>No evidence to date at national level</li> </ul>
	Government and private enterprises can identify and source more capacity building and technical support on implementing SCP.	<ul style="list-style-type: none"> <li>Stakeholder consultations and technical assistance for the development of an Environmental Code and Decision Support System (DSS) for Integrated Ecosystem Mapping</li> </ul>

RPSC activities and outputs – Cambodia					
Based on discussions with UNEP RPSC project team members					
2011	2012	2013	2014	2015	2016
<ul style="list-style-type: none"> <li>Policy needs assessment undertaken, including Cambodia</li> <li>Scoping detailed country activities through consultations</li> </ul>		<ul style="list-style-type: none"> <li>No recorded activity</li> </ul>			<ul style="list-style-type: none"> <li>Co-hosting of 12<sup>th</sup> APRSCP event in Siem Reap in partnership with Ministry of Environment.</li> <li>RPSC funding agreement with UNDP to assist with Environmental Governance Reform in Cambodia and effective integration of SDG 12 on SCP into national legal framework and national information system.</li> <li>Detailed activities funded through RPSC (work in progress) cover stakeholder consultations and technical assistance for the development of an Environmental Code and Decision Support System (DSS) for Integrated Ecosystem Mapping</li> </ul>

Uncertainties and different stakeholder perspectives about arrangements for SWITCH Focal Point in the country, including discussions between Ministry of Environment and Green Growth Council under Ministry of Planning. This delayed RPSC activities in Cambodia.

EU introducing RPSC to UNDP's work on strengthening the country's environmental code.

Issue with SWITCH Focal Point resolved, but at this time RPSC funding was already fully allocated.

### Abbreviations:

DSS                      Decision Support System  
UNDP                    United Nations Development Programme

**Figure 14: RPSC story of Cambodia**

## RPSC story of Lao PDR

RPSC objectives	List of (potential) short-term outcomes from Theory of Change	RPSC activities working towards these outcomes
Enabling environment created at (regional, sub-regional and national levels) to strengthen or initiate policies that effectively mainstream SCP and RE in development programmes	Decision makers in the public sector have better understanding of SCP and RE and link SCP objectives with resource efficiency targets and national commitments.	<ul style="list-style-type: none"> <li>Establish system for data collection, verification and monitoring of SCP indicators in Lao PDR (planned for 2017)</li> <li>Development of National Action Plan on SCP (planned for 2017)</li> </ul>
	Inter-ministerial and public-private policy dialogues on SCP strengthened / institutionalised.	<ul style="list-style-type: none"> <li>National roundtable on SCP (planned for 2017)</li> <li>Establish inter-ministerial collaborations on SCP (planned for 2017)</li> </ul>
	SCP on regular agenda of sub-regional policy dialogue platforms to which countries participate regularly and contribute to.	<ul style="list-style-type: none"> <li>Participation from country government officials in regional RPSC and APRSCP events</li> </ul>
	Lessons learned feed into and inform 10 Year Framework	<ul style="list-style-type: none"> <li>No evidence to date at national level</li> </ul>
Stakeholders in beneficiary countries have the institutional knowledge, skills and capacities at national level to coordinate the effective design and implementation of SCP policy-orientated activities to accelerate the shift to SCP	RE is increased in key sectors of economic activity and pollution decreased.	<ul style="list-style-type: none"> <li>No evidence to date at national level</li> </ul>
	Pool of Asian SCP policy experts, improved networking / cooperation among regional bodies and countries on SCP.	<ul style="list-style-type: none"> <li>Two trainings on SCP indicators (planned for 2017)</li> </ul>
	Regional networks and partnerships with centers of excellence for exchange of information, technology transfer and experience for SCP and RE policies.	<ul style="list-style-type: none"> <li>No evidence to date at national level</li> </ul>
	Government and private enterprises can identify and source more capacity building and technical support on implementing SCP.	<ul style="list-style-type: none"> <li>Two trainings on SCP indicators (planned for 2017)</li> </ul>

RPSC activities and outputs – Lao PDR					
Based on discussions with UNEP RPSC project team members					
2011	2012	2013	2014	2015	2016 (continuing in 2017)
<ul style="list-style-type: none"> <li>Policy needs assessment undertaken, including Lao PDR</li> </ul>	<ul style="list-style-type: none"> <li>No recorded activity</li> </ul>		<ul style="list-style-type: none"> <li>Scoping detailed country activities and priorities through consultations</li> </ul>	<ul style="list-style-type: none"> <li>Drafting of RPSC funding agreement, including consultation mission</li> </ul>	RPSC funding agreement signed (Sept 2016) for work in 2017, with funding from UNDA: <ul style="list-style-type: none"> <li>Two trainings on SCP indicators</li> <li>Scoping study on SCP indicators</li> <li>Establish system for data collection, verification and monitoring of SCP indicators in Lao PDR</li> <li>Establish inter-ministerial collaborations on SCP</li> <li>National roundtable on SCP</li> <li>Development of National Action Plan on SCP</li> </ul>

### Abbreviations:

NAP-SCP: National Action Plan on Sustainable Consumption and Production

Ministerial meeting in Bangkok on indicators for a resource efficient and green Asia and Pacific generated interest from Lao PDR government to work on this topic.

Figure 15: RPSC story of Lao PDR



## RPSC story of Mongolia

RPSC objectives	List of (potential) short-term outcomes from Theory of Change	RPSC activities working towards these outcomes
Enabling environment created at (regional, sub-regional and national levels) to strengthen or initiate policies that effectively mainstream SCP and RE in development programmes	Decision makers in the public sector have better understanding of SCP and RE and link SCP objectives with resource efficiency targets and national commitments.	• Development of draft SCP indicator dataset
	Inter-ministerial and public-private policy dialogues on SCP strengthened / institutionalised.	• No evidence to date at national level
	SCP on regular agenda of sub-regional policy dialogue platforms to which countries participate regularly and contribute to.	• Participation from country government officials in regional RPSC and APRSCP events
	Lessons learned feed into and inform 10 Year Framework	• No evidence to date at national level
Stakeholders in beneficiary countries have the institutional knowledge, skills and capacities at national level to coordinate the effective design and implementation of SCP policy-orientated activities to accelerate the shift to SCP	RE is increased in key sectors of economic activity and pollution decreased.	• No evidence to date at national level
	Pool of Asian SCP policy experts, improved networking / cooperation among regional bodies and countries on SCP.	• Training of NSOs in Mongolia on SCP indicators
	Regional networks and partnerships with centers of excellence for exchange of information, technology transfer and experience for SCP and RE policies.	• No evidence to date at national level
	Government and private enterprises can identify and source more capacity building and technical support on implementing SCP.	• Development of draft SCP indicator dataset • Training of NSOs in Mongolia on SCP indicators

RPSC activities and outputs – Mongolia					
Based on discussions with UNEP RPSC project team members					
2011	2012	2013	2014	2015	2016 (continuing in 2017)
• Policy needs assessment undertaken, including Mongolia	• No recorded activity s part of RPSC. Most activities are undertaken through PAGE.				RPSC work with funding through International Resource Panel: • Ministry of Environment request RPSC to assist on SCP and SDG indicators • Training of NSOs in Mongolia on SCP indicators • Development of draft SCP indicator dataset

Partnership for Action on Green Economy (PAGE). PAGE is a multi-country project (including Mongolia) which is jointly implemented by UNEP, ILO, UNDP, UNIDO and UNITAR.

### Abbreviations:

NSO: National Statistical Officer  
PAGE: Partnership for Action on Green Economy

Mongolia government launches Green Development Policy Action Plan

**Figure 16: RPSC story of Mongolia**

## RPSC story of Pakistan

RPSC objectives	List of (potential) short-term outcomes from Theory of Change	RPSC activities working towards these outcomes
Enabling environment created at (regional, sub-regional and national levels) to strengthen or initiate policies that effectively mainstream SCP and RE in development programmes	Decision makers in the public sector have better understanding of SCP and RE and link SCP objectives with resource efficiency targets and national commitments.	<ul style="list-style-type: none"> <li>Detailed SCP policy mapping</li> <li>Scoping integration of SCP into existing policies, including National SD Strategy and NAP-SCP</li> <li>SCP Winterschool alumni is working at Ministry of Commerce (Islamabad) and leading integration of SCP into trade policy</li> </ul>
	Inter-ministerial and public-private policy dialogues on SCP strengthened / institutionalised.	<ul style="list-style-type: none"> <li>National roundtable held "Adapting SCP to Pakistan's Context", with over 200 participants</li> <li>National roundtable on SCP (in progress)</li> </ul>
	SCP on regular agenda of sub-regional policy dialogue platforms to which countries participate regularly and contribute to.	<ul style="list-style-type: none"> <li>Participation from country government officials in regional RPSC and APRSCP events</li> </ul>
	Lessons learned feed into and inform 10 Year Framework	<ul style="list-style-type: none"> <li>No evidence to date at national level</li> </ul>
Stakeholders in beneficiary countries have the institutional knowledge, skills and capacities at national level to coordinate the effective design and implementation of SCP policy-orientated activities to accelerate the shift to SCP	RE is increased in key sectors of economic activity and pollution decreased.	<ul style="list-style-type: none"> <li>No evidence to date at national level</li> </ul>
	Pool of Asian SCP policy experts, improved networking / cooperation among regional bodies and countries on SCP.	<ul style="list-style-type: none"> <li>SCP integration into lower and higher education curriculum</li> </ul>
	Regional networks and partnerships with centers of excellence for exchange of information, technology transfer and experience for SCP and RE policies.	<ul style="list-style-type: none"> <li>Establishment of national SCP centre</li> <li>Support to chemicals management</li> <li>Sectoral SCP support activities</li> </ul>
	Government and private enterprises can identify and source more capacity building and technical support on implementing SCP.	

RPSC activities and outputs – Pakistan					
Based on discussions with UNEP RPSC project team members					
2011	2012	2013	2014	2015	2016
<ul style="list-style-type: none"> <li>Policy needs assessment undertaken, including Pakistan</li> </ul>	<ul style="list-style-type: none"> <li>National SWITCH Focal Point at MoCC requested Pakistan to become core RPSC country</li> <li>Scoping detailed country activities and priorities through consultations with national stakeholders</li> </ul>	RPSC funding agreement with MoCC, including: <ul style="list-style-type: none"> <li>NAP-SCP</li> <li>National roundtable held "Adapting SCP to Pakistan's Context", with over 200 participants</li> <li>Support to chemicals management</li> <li>Establishment of national SCP centre</li> </ul>		<ul style="list-style-type: none"> <li>MoCC was re-established and reconnected through South Asia Forum on SCP</li> <li>Country mission to re-establish connections and re-scope SCP priorities</li> </ul>	RPSC funding agreement with MoCC covering (work in progress) <ul style="list-style-type: none"> <li>National roundtable on SCP</li> <li>Detailed SCP policy mapping</li> <li>Scoping integration of SCP into existing policies, including National SD Strategy and NAP-SCP</li> <li>Sectoral SCP support activities</li> <li>SCP integration into lower and higher education curriculum</li> </ul>
				<ul style="list-style-type: none"> <li>SCP Winterschool alumni is working at Ministry of Commerce (Islamabad) and leading integration of SCP into trade policy (Strategic Trade Policy Framework Pakistan 2015 – 2018).</li> </ul>	

MoCC was dissolved and merged into Climate Change Division, resulting in loss of local project team

UNEP raised additional funding from UN Development Account to mainstreaming SCP in Pakistan

### Abbreviations:

MoCC	Ministry of Climate Change
NAP-SCP:	National Action Plan on Sustainable Consumption and Production
SD	Sustainable Development

Figure 17: RPSC story of Pakistan



## ANNEX V. PROJECT REPORTING AGAINST KEY PERFORMANCE INDICATORS

Reporting by project team process of RPSC against the 18 Key Performance Indicators (KPIs) listed in the revised Action Description signed in 2013.

**Table 12: RPSC reporting against KPIs – Status as of October 2016**

#	KPIs	Reported progress against the KPIs
1	Number of continuously interested and committed countries.	<b>8</b> - China, Pakistan, India (non-government), Bhutan, Viet Nam, Indonesia, Mongolia, Cambodia <i>(ASEAN And South Asia institutions should also be counted here)</i>
2	Number of successfully trained policy/decision makers.	At least: <b>650</b> According to data collected from formal training events: (173) All three UNITAR online courses, 16 (India MA SCP graduate course), (67) 8 <sup>th</sup> ASEAN+3 Leadership Programme, India (90+62) and Thailand Winter/Summer Schools (34+28), ITC China training (66) 2012 Manila training for ASEAN (34) 2012 Beijing North-East Asian Training (47) 2012 Negombo South Asia training (33)
3	Per cent of positive feedback and learning objectives reached among trained decision makers and other training beneficiaries (at least 80%).	Percentage of positive feedback was measured at the 2015 and 2016 ASEAN+3 Leadership Programmes and the UNITAR online training, and reported to be over 80%. Example of impact evaluation survey of UNITAR's SCP e-learning course: 97% of respondents evaluated course as very or mostly useful after considerable time have passed and 83 % often or very often use knowledge acquired in their profession.
4	Number of Asian SCP-policy experts involved in the programme and frequency of communication.	<b>33</b> with frequency of communication most active in 7 countries with policy support agreements
5	Number of sessions organised successfully on SCP during key regional events with high policymaker attendance.	<b>7</b> events 2015 Inter-Ministerial dialogue where Indicators report was launched, 2013 Regional Implementation Meeting Bangkok 2012 and 2014 Asia Pacific Roundtables 2013, 2014 and 2015 Technical Assistance Committee Meetings held back to back with others events
6	Number of inter-ministerial and policy dialogue events organised with positive feedback.	<b>32</b> dialogues 1 China-EU policy dialogue session in 2016 3 Policy-Industry Dialogues in Nov 2013, Nov 2014 and April 2016 1 Inter-Ministerial event organised with UNEP ROAP in May 2015 Pakistan: 10 (two national, 8 subnational by end 2016) Bhutan: 4 national Mongolia: 1 national Viet Nam: 7 (4 national, 3 subnational pending end of 2016) SACEP: 6

#	KPIs	Reported progress against the KPIs
7	Number of policy declarations and statements on SCP and Resource Efficiency (RE).	<b>16</b> Pakistan: 2 (trade policy, proceedings of National roundtable), 2 in process (NAP, revised NSDS) Bhutan: 6 (paperless guidelines, green hotel guidelines, policy screening tool, assessment of consumption and production, SPP policy, SCP in National Environment Strategy) Mongolia: 1 (SCP as strategic objective 1 in Green Dev Policy) Viet Nam: 3 (NAP on SCP, SCP integrated into National Environmental Protection Act, proceedings of the National Roundtable on SCP) SACEP: 2 (SAARC, SACEP) Regional: 3 (2 regional SCP roadmaps, 1 Ministers meeting)
8	Number of policy tools on RE and SCP designed and submitted to governments in the target countries.	<b>21</b> – China, Indonesia, India and Cambodia with multiple policy tools in each one Pakistan: 2 (NAP, trade policy) Bhutan: 8 (paperless guidelines, green hotel guidelines, policy screening tool, assessment of consumption and production, vocational training toolkit, civil service toolkit, SPP policy, SCP in National Environment Strategy) Mongolia: 1 (Economy wide material flow accounting for SDG indicators) Viet Nam: 1 (NAP on SCP)
9	Number of countries mainstreaming SCP into policies, planning or other framework government initiatives.	<b>8</b> – With support from project – Cambodia, Bhutan, Pakistan, India, Viet Nam, China, Indonesia and Mongolia
10	Number and quality of partnerships developed with expert institutions, national partners and other key stakeholders (according to strategic partnerships and policy advocacy strategy).	<b>31 partnerships based on all formal agreements developed, plus the following 30 partnerships within the countries:</b> Pakistan: 12 (8 province level governments, UNDP, Ministry of Planning, MoCC, Higher Education Commission) Bhutan: 12 (Gross National Happiness Commission, Prime Minister's Office, UNDP, Tourism Council of Bhutan, Hotel Association of Bhutan, Association of Bhutanese Tour Operators, Ministry for Education, College of Science and Technology, Royal Institute of Management, Royal Thimphu College, Ministry for Information and Communication) Mongolia: 2 (MEGDT, NRSO) Viet Nam: 4 (MONRE, MOIT, AIT-VN, UNIDO) Regional: IGES, CSIRO, AIT, SACEP, ASEAN Sec, ESCAP, PATA, ASEAN Energy Center, International Copper Association
11	Number of and quality (based on collected feedback) of publications, awareness-raising, and training materials developed for target audience.	At least <b>13</b> Publications and training materials At least <b>32</b> formal Awareness-raising materials
12	Per cent of positive feedback from National Focal Points and other key stakeholders and partners within the Action (at least 80% positive feedback on performance and delivery).	As per two surveys conducted in 2013 and 2015 – all provided positive feedback – <b>100%</b>
13	Quality of communication and cooperation with regional initiative and with national Asian Centres on SCP.	This has not been assessed – no metrics to assess developed
14	Number of national or other key policy training or learning institutions inserting SCP into curricula for ongoing training of new policymakers.	<b>6</b> learning institutions TERI University Two Universities in Sri Lanka Three training institutions in Bhutan

#	KPIs	Reported progress against the KPIs
15	Number of downloads of key publications and other communications tools (e.g. Infographics) on SCP in Asia.	<b>2,126</b> Youtube views <a href="https://www.youtube.com/watch?v=mKnqWwgHHoc">https://www.youtube.com/watch?v=mKnqWwgHHoc</a> Others not measured
16	Number of high-level or other key stakeholders confirmed as SCP “Policy Champions” in countries via key achievements in advancing SCP policies in country.	<b>72</b> champions identified through formal engagements.
17	Number of experts and key stakeholders active within established network or “Community of Practice” on SCP in Asia.	<b>No formal regional monitored community of practice as a result of project yet</b> – targeted to be APRSCP – loosely there are groups on Facebook (e.g. for India, SCP Winterschool), there is the APRSCP roundtable network, there is also groups on the SCP Clearinghouse for Asia, there is the SCP online course network of participants which also formed groups on the SCP Clearinghouse
18	Number of activities SWITCH-Asia RPSC contributes or leads within the 10YFP Roadmap for the Asia-Pacific and its implementation.	<b>16</b> activities (As per progress update for closing of first two-year 10YFP Roadmap in December 2015).

## ANNEX VI. PROJECT BUDGET AND EXPENDITURES

**Table 13: RPSC budget summary**

Items	Original budget (48 months 2011 – 2014) Total costs (Euros)	Amended budget (66 months 2011 – 2016) Total costs (Euros)
1. Human resources		
1.1 Salaries, local staff	588,000	897,600
1.2 Salaries, expat/international staff	1,532,400	2,109,425
1.3 Per diems for missions/travel	155,120	680,020
<b>Subtotal Human resources</b>	<b>2,275,520</b>	<b>3,687,045</b>
2. Travel		
2.1 International travel (Europe-Asia)	96,000	132,000
2.2 International travel (Asia-Asia)	140,400	193,500
2.3 International travel (Europe-Europe)	15,000	20,000
2.4 Local transportation in project countries (12 countries)	120,000	165,000
<b>Subtotal travels</b>	<b>371,400</b>	<b>510,500</b>
3. Equipment and supplies		
3.1 Purchase of vehicles	0	0
3.2 Furniture, computer equipment, office equipment	7,000	6,999
<b>Subtotal equipment and supplies</b>	<b>7,000</b>	<b>6,999</b>
4. Local office		
4.1 Vehicle costs	0	0
4.2 Office rent	100,000	137,500
4.3 Consumables - office supplies	45,600	62,700
4.4 Other services (tel/fax, electricity/heating, maintenance)	0	0
<b>Subtotal Local office</b>	<b>145,600</b>	<b>200,200</b>
5. Other costs, services		
5.1 Publications	0	150,000
5.2 Studies, research	590,000	1,150,000
5.3 Auditing costs	Pro-bono UN	Pro-bono UN
5.4 Evaluation costs	150,000	50,000
5.5 Translation, interpreters	28,000	47,070
5.6 Financial services (bank guarantee costs etc.)	0	0
5.7 Costs of conferences/seminars	2,208,000	1,819,000
5.8 Visibility actions	488,000	291,000
<b>Subtotal Other costs, services</b>	<b>3,464,000</b>	<b>3,507,070</b>
6. Other	0	0
<b>Subtotal Other</b>	<b>0</b>	<b>0</b>
7. Subtotal direct eligible costs of the Action (1-6)	6,263,520	7,911,814
8. Provision for contingency reserve (maximum 5% of 7, subtotal of direct eligible costs of the Action)	0	0
9. Administrative costs (maximum 7% of 7, subtotal of direct eligible costs of the Action)	438,446	553,827

Items	Original budget (48 months 2011 – 2014) Total costs (Euros)	Amended budget (66 months 2011 – 2016) Total costs (Euros)
<b>10. Total eligible costs (9+10)</b>	<b>6,701,966</b>	<b>8,465,641</b>

**Table 14: RPSC sources of funding**

Amended RPSC budget (66 months 2011 – 2016)	Amount (Euros)	Percentage of total (%)
UNEP's financial contribution	1,266,460	14.96 %
European Commission contribution	7,199,181	85.04 %
<b>Total contributions</b>	<b>8,465,641</b>	<b>100 %</b>

**Table 15: Project expenditures by end of 2015 (in Euros)**

1.1 Salaries (gross amounts, local staff)					84,783
1.2 Salaries (gross amounts, expat/int. staff)					340,099
1.3 Travel Per Diems (now into Travel below)					180,091
<b>Subtotal Human Resources</b>				<b>3,687,045</b>	<b>2,292,300</b>
<b>2. Travel</b>				510,500	
2.1. International travel	Per flight	299	3,000	345,500	-
2.2 Local transportation	Per flight	2,200	75	165,000	-
<b>Subtotal Travel</b>				<b>510,500</b>	<b>408,136</b>
<b>3. Equipment and supplies</b>					
3.1 Purchase or rent of vehicles	Per vehicle				-
3.2 Furniture, computer equipment	Per item	4	2,000	6,999	-
3.3 Machines, tools...	Per item				-
3.4 Spare parts/equipment for machines, tools					-
3.5 Other (please specify)					-
<b>Subtotal Equipment and supplies</b>				<b>6,999</b>	<b>5,111</b>
<b>4. Local office</b>					
4.1 Vehicle costs	Per month				-
4.2 Office rent	Per office/yr	11	16,000	137,500	12,070
4.3 Consumables - office supplies	Per month	132	950	62,700	-
4.4 Other services (tel/fax, electricity/heating, maintenance)	Per month				-
<b>Subtotal Local office</b>				<b>200,200</b>	<b>65,342</b>
<b>5. Other costs, services</b>					
5.1 Publications	Per publication				-
5.2 Studies, research, demonstration projects	Per study/de	13	140,000	1,150,000	-
5.3 Auditing costs					-
5.4 Evaluation costs	Per piece	1	50,000	50,000	-
5.5 Translation, interpreters	Per activity	2,354	20	47,070	-
5.6 Financial services (bank guarantee costs etc.)					-
5.7 Costs of conferences/seminars	Meeting	79		1,819,000	-
5.8 Visibility actions					-
<b>Subtotal Other costs, services</b>				<b>3,357,070</b>	<b>2,350,101</b>
<b>6. Other</b>	Misc.				
<b>Subtotal Other</b>					
<b>7. Subtotal direct eligible costs of the Action (1-6)</b>				<b>7,761,814</b>	<b>4,989,944</b>
<b>8. Provision for contingency reserve (maximum 5% of 7, subtotal of direct eligible costs of the Action)</b>				0	-
<b>9. Total direct eligible costs of the Action (7+ 8)</b>				<b>7,761,814</b>	<b>4,989,944</b>
<b>10. Administrative costs (maximum 7% of 9, total direct eligible costs of the Action)</b>				543,327	314,190
<b>11. Total eligible costs (9+10)</b>				<b>8,305,141</b>	<b>5,304,134</b>
<b>12. Taxes</b>				0	-
<b>13. Total accepted costs of the action (11+12)</b>				<b>8,305,141</b>	<b>5,304,133.93</b>

**Table 16: Review of funding agreements<sup>26</sup> established through RPSC with international, (sub)regional, and national partners**

		Amount (US\$)	Euros <sup>27</sup>	% of total established agreements	% of total amended budget
<b>All funding agreements 2011-2016</b>		<b>5,222,100</b>	<b>4,438,785</b>	<b>100%</b>	<b>52%</b>
<b>Signed agreements by year</b>					
2011		397,870	338,189.50	8%	4%
2012		353,154	300,181	7%	4%
2013		778,658	661,859	15%	8%
2014		498,982	424,135	10%	5%
2015		2,190,956	1,862,313	42%	22%
2016		1,002,480	852,108	19%	10%
<b>Key beneficiaries from agreements</b>					
(Sub-) regional	Sub-regional - ASEAN	379,750	322,788	7%	4%
	Sub-regional - South Asia	367,553	312,420	7%	4%
	Regional - Asian partners	1,320,457	1,122,388	25%	13%
	Regional - International partners	998,270	848,530	19%	10%
	<b>Sub-total (sub)-regional</b>	<b>3,066,030</b>	<b>2,606,126</b>	<b>59%</b>	<b>31%</b>
Core countries of RPSC	Bhutan	200,000	170,000	4%	2%
	Cambodia	77,760	66,096	1%	1%
	China	623,923	530,335	12%	6%
	India	449,473	382,052	9%	5%
	Lao PDR	0	0	0%	0%
	Myanmar	0	0	0%	0%
	Nepal	66,196	56,267	1%	1%
	Pakistan	257,000	218,450	5%	3%
	Viet Nam	291,648	247,901	6%	3%
	<b>Sub-total core countries</b>	<b>1,966,000</b>	<b>1,671,100</b>	<b>38%</b>	<b>20%</b>
Non-core countries of RPSC	Afghanistan	0	0	0%	0%
	Bangladesh	0	0	0%	0%
	DPR Korea	0	0	0%	0%
	Indonesia	121,070	102,910	2%	1%
	Malaysia	0	0	0%	0%
	Maldives	0	0	0%	0%
	Mongolia	0	0	0%	0%
	Philippines	59,000	50,150	1%	1%
	Sri Lanka	0	0	0%	0%
	Thailand	0	0	0%	0%
	<b>Sub-total non-core countries</b>	<b>180,070</b>	<b>153,060</b>	<b>3%</b>	<b>2%</b>

<sup>26</sup> Small Scale Funding Agreements (SSFAs).

<sup>27</sup> Using average exchange rate 1 US\$ = 0.85 Euros.



## ANNEX VII. PEOPLE CONSULTED DURING THE EVALUATION

### Field visit to Bangkok, Thailand (28 June to 2 July, 2016 + 2 September, 2016)

**Table 17: People met during field visit in Thailand (15 persons)**

Organisation	Name	Position
UNEP Bangkok Office (RPSC project team)	Ms. Janet Salem	Programme Officer, Resource Efficiency and Sustainable Consumption and Production
	Mr. Sabin Basnyat	Regional Coordinator, Resource Efficiency Asia and the Pacific
	Mr. Henrik Jakobsen	Associate Programme Officer, Resource Efficiency and Sustainable Consumption and Production
	Ms. Loraine Gatlabayan	Consultant – SCP and Resource Efficiency
UNEP Bangkok Office	Ms. Isabelle Louis	Acting Regional Director and Representative for Asia and the Asia Pacific
	Mr. Jonathan Duwin	Project Manager SHINE- ASEAN Standards Harmonization Initiative for Energy Efficiency
	Ms. Emily McQualter	Consultant SHINE- ASEAN Standards Harmonization Initiative for Energy Efficiency
	Ms Loraine Gatlabayan	Consultant – SCP and Resource Efficiency
EU Delegation to Thailand	Ms. Sutthiya Chantawarangul	EU Delegation Focal Point for SWITCH Asia
Ministry of Environment, Pollution Control Department	Mr. Suwan Nanthasarut	Deputy Director General – SWITCH Government focal point
	Ms. Amida Tawatsin	Environmental Officer
	Ms. Jantira Duangsai	Environmental Officer
Office of Natural Resources and Environmental Policy and Planning (ONEP)	Dr Chatchai Inatha	Environmental Official
Department of Industrial Works	Dr. Decha Pimpisut	Executive Director, Bureau of Public Participatory Promotion
Asian Institute of Technology	Prof. Chettiyappan Visvanathan	Contracted facilitator for SCP Winterschool
GIZ Bangkok	Mr. Thomas Lehmann	Project Director
Pacific Asia Travel Association (PATA)	Mr. Mario Hardy	Chief Executive Officer

### Field visit to Hanoi, Viet Nam (3 to 10 July, 2016)

**Table 18: People met during field visit in Viet Nam (18 persons)**

Organisation	Name	Position
EU Delegation to Viet Nam	Mr. Hoang Thanh	Focal Point SWITCH Asia
Ministry of Industry and Trade (MoIT)	Mr. Nguyen Huy Hoan	Deputy Director General of Science and Technology Department
	Ms. Kieu Nguyen Viet Ha	Official Science and Technology Department
	Mr. Hoan Tran	SCP Winter School alumni and developing National Action Plan on SCP
MoNRE, Viet Nam Environmental Administration (VEA), Department of International Cooperation	Ms. Nguyen Thien Phuong	Deputy Director, SWITCH Asia / RPSC Focal Point
	Mr. La Tran Bac	Environmental Officer

Organisation	Name	Position
MoNRE, Vietnam Environment Administration Magazine	Mr. Pham Dinh Tuyen	Reporter – Editor
MoNRE, Viet Nam Environment Administration (VEA), Pollution Control Department	Ms. Tran Thi Hien Hanh	Vice Head of Pollution Control Division for Air and Recycling Materials
MoNRE	Ms. Pham Thi Tui	4 Billion Dreams SCP Youth Ambassador
Freelancer, formerly with MoNRE	Ms. Le Hoang Lan	Working on study of current status and opportunity areas to integrate SCP into fiscal policy
Ho Chi Minh City Open University	Ms. Chi Do Thi Kim	Alumni SCP Winterschool
Centre of Environmental Training and Communications (CETAC)	Ms. Tran Linh Chi	Training of trainer courses on SCP in Viet Nam
Asian Institute of Technology (AIT-Viet Nam)	Ms. Hoa	Program Officer, ITIMS
	Dr. Fredric Swierczek	Director
Viet Nam Cleaner Production Centre	Dr. Tran Van Nhan	Director
Institute of Policy and Strategy for Agriculture and Rural Development	Dr. Nguyen Do Anh Tuan	Director General
Strengthening Capacity and Institutional Reform for Green Growth and Sustainable Development in Viet Nam (CIGG Project)	Mr. Le Minh Tuan	CIGG Project Management Unit – Communications Manager
	Mr. Hieu	CIGG Project Management Unit – Project Officer

### Field visit to Siem Reap, Cambodia (12 to 14 July, 2016)

**Table 19: People met during field visit in Cambodia (21 persons)**

Organisation	Name	Position
Asia Pacific Roundtable on Sustainable Consumption and Production (APRSCP)	Mr. Thumrongrut Mungcharoen	Vice President, APRSCP Board of Trustees Associate Professor, Kasetsart University, Thailand
	Mr. Sena Peiris	Immediate Past President, Board of Trustees, Past President NCPC Sri Lanka
	Mr. Shun Fung (Anthony) Chiu	Past President/Member of the APRSCP Board of Trustees
	Mr. Chaiyod Bunyagidj	Member of the Board, Vice President APRSCP Foundation, Thailand
	Mr. Darrell Reeve	Member of the Board of Trustees, APRSCP Managing Director and Consultant, Cleaner Production, Australia
	Mr. Chhun Vannak	Member of the Board of Trustees, APRSCP Ministry's Advisor, National Focal Point of 10YFP & SWITCH-Asia, Ministry of Environment, Kingdom of Cambodia
	Ms. Ambreen Waheed	Member of the Board of Trustees, APRSCP Executive Director, Responsible Business Initiative, Pakistan
South Asia Forum on SCP	Mr. Muhammad Khurshid	Head of South Asia Forum on SCP Director general SACEP, Sri Lanka

Organisation	Name	Position
ASEAN Forum on SCP	Mr. Noer Adi Wardoyo	Head of ASEAN Forum on SCP Director Centre for Environment and Forestry Standards, Indonesia
EU SWITCH to Green Facility	Mr. Jens Norgaard	Senior Specialist
EU Delegation India	Ms. Sarojini Kaul	Project Manager Cooperation
UNIDO	Mr. Rene van Berkel	Chief Technical Advisor, National Resource Efficient and Cleaner Production Programme Indonesia Former Chief of UNIDO Resource Efficient and Cleaner Production Unit, Vienna
United Nations University	Ms. Zinaida Fadeeva	Senior Specialist for Policy and Strategy, UNU Institute for the Advanced Study of Sustainability
IGES	Mr. Lewis Akenji	Senior Policy Fellow, Japan
Let's Do It, Philippines	Ms. Jessica Wu	4 Billion Dreams SCP Youth Ambassador
UNDP Cambodia Office	Ms. Moeko Saito Jensen	Senior Policy Advisor
Ministry of Climate Change, Pakistan	Mr. Jawed Ali Khan	UNEP-SCP Coordinator, Pakistan
	Mr. Adil-Bin-Zahid	Team member SCP, Pakistan
Ministry of Mahaweli Development & Environment, Sri Lanka	Mr. Gamini Senanayake	Key Expert, SWITCH-Asia SCP NPSC for Sri Lanka
Ministry of Natural Resources and Environment, Pollution Control Department, Lao PDR	Mr. Heuan Chanphana	Director of Administration and Planning
Royal Government of Bhutan	Mr. Karma Tshering	Senior Programme Officer

## Visit to Paris, France (11 August 2016)

**Table 20: People met during field visit in France (10 persons)**

Organisation	Name	Position
UNEP Paris Office (RPSC project team)	Ms. Charles-Arden-Clarke	Head 10YFP Secretariat
	Ms. Sara Castro-Hallgren	Programme Officer
	Ms. Aline Saint-Laurent	Policy Mainstreaming Consultant
UNEP Paris Office	Ms. Llorenç Mila I Canals	Programme Officer, Scientific and Technical Affairs, Resource Efficiency
	Ms. Fabienne Pierre	10YFP Secretariat
	Ms. Liazzat Rabbiosi	Programme Officer, EU Eco-Innovation Project
	Ms. Bettina Heller	Associate Programme Officer, 10YFP Consumer Information Programme
	Ms. Cecilia Lopez y Royo	10YFP Secretariat Coordinator
	Ms. Helena Rey	Programme Officer, 10YFP Sustainable Tourism Programme
	Ms. Maria Jose Baptista	Economic Affairs Officer, International Resource Panel

## Visit to Brussels, Belgium (12 August 2016)

**Table 21: People met during field visit (2 persons)**

Organisation	Name	Position
European Commission Brussels	Ms. Alina Neacsu	EU Program Manager for SWITCH Asia
	Ms. Shana Impens	Program Officer

## Field visit to Beijing, China (22 to 26 August, 2016)

**Table 22: People met during field visit in China (18 persons)**

Organisation	Name	Position
UNEP China Office	Ms. Jiang Nanqing	National Officer
	Ms. Chang Yan	National Project Manager
	Ms. Shaoxin Li	Project Assistant
All China Environment Federation (ACEF), Department of International Cooperation	Ms. Gao Xiaoyi	Director
	Ms. Lindy Yao	Program Officer
EU Delegation to China	Ms. Huang Xueju	Project Officer - Cooperation Section EU Delegation Focal Point - RPSC
International Institute for Sustainable Development (IISD)	Ms. Ting Su	Researcher IISD China Program
China Environmental United Certification Centre (CEC)	Mr. Zhang Xiaohui	Director – Research and Development Department
	Mr. Zhou Caihua	Deputy Director – Climate Change Department
	Ms. Meng Lingbo	Project Manager – Climate Change Programme
China Chain Store & Franchise Association (CCFA)	Ms. Wendy Wang	Director of Sustainability Promotion Department
Ministry of Environmental Protection (MEP), China-ASEAN Environmental Cooperation Center (CAEC)	Mr. Shi Feng	Deputy Division Director – Regional Environmental Strategy
	Ms. Fan Wenjia	Project Officer – APEC Green Supply Chain Office
Ministry of Environmental Protection (MEP), International Trade Center (ITC)	Ms. Cloris Ji	Consultant – Trade for Sustainable Development
China Council for the Promotion of International Trade (CCPIT)	Ms. Zhao Ping	Director – Department of International Trade Research
Chinese Academy of Sciences (CAS)	Prof. Shaofeng Chen	Head of the Division of Sustainable Development Strategy
	Ms. Li Yingming	Associate Professor
National Development and Reform Commission (NDRC)	Mr. Xia Cheng	Advisor – Watershed Environmental Management and Sustainable Development Division 10YFP Focal Point (to be appointed)

## Field visit to New Delhi, India (29 to 31 August, 2016)

**Table 23: People met during field visit (26 persons)**

Organisation	Name	Position
UNEP India Office	Mr. Vijay Samnotra	UNEP Country Director
EU Delegation India	Ms. Sarajini Kaul	SWITCH Asia focal point EU
TERI	Dr. Leena Srivastava	Chancellor
	Dr. Rajiv Seth	Pro-Vice Chancellor
	Mr. Shaleen Singhal	Head, Department of Policy Studies
	Dr. Chubamenla Jamir	Assistant Professor, Dept. of Natural Resources
	Ms. Mughda Malik	Research Associate
	Dr. Sukanya Das	Assistant Professor, Dept. of Policy Studies

Organisation	Name	Position
	Ms. Fawzia Tarannum	Lecturer, Dept. of Regional Water Studies
	Dr. Nandan Nawn	Associate Professor, Dept. of Policy Studies
	Dr. Shilpi Kapur	Fellow, TERI
	Mr. D. Kiran Kumar	Fellow, TERI
	Mr. Sourabh Jain	Ph.D. Scholar, TERI University
	Ms. Surbhi Chetwani	M.Sc. Economics, TERI University
	Ms. Aparna Choudhary	Research Associate, TERI
	Dr. Lakshmi Raghupathy	Guest Faculty, TERI University
	Dr. Malini Balakrishnan	Adjunct Faculty, Dept. of Energy and Environment
	Dr. Nandan Nawn	Ass.Prof., Dept of Policy Studies
	Dr. Ritika Mahajan	Faculty member, Dept of Business Sustainability
UNIDO	Ms. Ayumi Fujino	UNIDO Representative in India and Regional Director for South Asia
	Mr. Suresh Kennit	National Coordinator India – Eco-Industrial Parks
Ministry of Industry, National Productivity Council	Ms. Kajol	Asst. Director - Energy Management Division (RD Delhi), SCP Winterschool Alumni
	Mr. Manoj Saxena	Regional Director
	Mr. Sunil Kumar	Functional Director (Industrial Engineering)
	Mr. K.D. Bhardwaj	Director (Environment), Director (International Services)
Ministry of Environment Forestry and Climate Change	Ms. Jyotsna Mehta	Consultant Climate Change, SCP Youth Ambassador India (4 Billion Dreams)

## Telephone interviews (15 to 20 September 2016)

**Table 24: People who participated in telephone interviews (15 persons)**

Organisation	Name	Position
UNEP Nairobi	Mr. Dirk Wagener	Sub-programme Coordinator for Resource Efficiency
	Ms. Anna Stabrawa	Regional Coordinator
UNEP Bangkok Office / ESCAP	Mr. Stefanos Fotiou	Senior Regional Coordinator RPSC (previous position)
UNEP DTIE	Mr. Arab Hoballah	Chief Sustainable Lifestyles, Cities and Industry
United Nations Institute for Training and Research (UNITAR)	Ms. Amrei Horstbrink	Specialist, Green Development and Climate Change Programme
	Ms. Maya Valcheva	Assistant Green Economy Learning
SWITCH-Asia Network Facility	Mr. Uwe Weber	Team Leader
	Ms. Silvia Sartori	Communication and Networking Expert
	Mr. Frans Verspeek	Former Team Leader
GFA Consulting / independent	Mr. Gerhard Weihs	Former Team Leader of SWITCH NPSC Malaysia
Living Prospects Ltd Greece	Mr. Alexander Cahlembous	Team Leader SWITCH to Green Facility
CSIRO, Australia	Mr. Heinz Schandl	Senior Principal Scientist
UNEP Finance Initiative	Ms. Annie Degen	Special Advisor – Long Term Finance
	Ms. Sarah Challe	Energy Efficiency Finance Consultant
SWITCH to Green Facility	Mr. Alexander Cahlembour	Team Leader
Ministry of Commerce, Directorate General of Trade Policy (DGTP), Islamabad	Ms Tayaba Batool	Senior Research & Evaluation Specialist

## ANNEX VIII. KEY DOCUMENTS CONSULTED DURING THE EVALUATION

### Project planning and reporting documents

- Annex 1 Description of the Action - Reference Contract No DCI- Asie/2010/235-650 – October 2010.
- EU Contribution Agreement - Addendum No 1 to Contract No DCI- Asie/2010/235-650 – December 2013.
- RPSC Work Plan 2015 – mid 2016 (version 2 as of 18/12/2015). SWITCH-Asia RPSC Technical Advisory Committee meeting.
- Modified RPSC budgets.
- Project Document "Policies and tools at the national level - Mainstreaming resource efficiency aspects into national economic and development planning". June 2010. Project 61-P7.
- Project Document "Mainstreaming resource efficiency aspects into sustainable development planning, policies and regulatory frameworks". PoW 2014-2015. Project 614.2.
- Response of the Project Review Committee (PRC) to the 614.2 Project Document.
- RPSC document with contacts, partnerships, and organogram.
- RPSC Annual Report 2011.
- RPSC Annual Report 2012.
- RPSC Annual Report 2013.
- RPSC Annual Report 2014.
- RPSC Annual Report 2015.
- Meeting reports from Technical Advisory Committee (TAC) meetings 2013, 2014, and 2015.
- UNEP Biennial programme of work and budget for 2014–2015.
- Request and approval documents for no-cost extension of RPSC to December 2016.

### Project outputs – Overall

- Regional Policy Support Component section on the SWITCH Asia website. [www.switch-asia.eu/rpsc/](http://www.switch-asia.eu/rpsc/), including news articles on RPSC related initiatives, activities, outputs, and outputs.
- The SWITCH-Asia countries at a glimpse, including SWITCH projects, SCP policy profile, news and resources. [www.switch-asia.eu/countries/](http://www.switch-asia.eu/countries/).
- Set of draft and signed Small-Scale Funding Agreements (SSFA) established through RPSC with international, regional, and national stakeholders, including SSFAs for countries visited as part of the evaluation.

### Project outputs work package 1: Review of present situation in Asia - Selection and focus of the programme

- UNEP, CSIRO, and University of Sydney (2016). SDG Country Snapshot Reports.
- UNEP (2013). Capacity Building and Policy Needs Assessment for Sustainable Consumption and Production. Final report. SWITCH-ASIA Regional Policy Support Component in collaboration with IGES and CSIRO.



- Technical workshop on Sustainable Consumption policies for Asia Taking Action towards Sustainable Consumption: Switching back to Asia's roots - Resource Pack.

### **Project outputs work package 2: Capacity-building on SCP: Strengthening awareness and enhancing knowledge of decision-makers, private sector and consumers**

- Winter School on Sustainable Consumption and Production in Asia and the Pacific. 2014-2015 Summary Report, Participant Booklet, Evaluation Form Responses, Selection of Participants, Notes of Appreciation. [www.switch-asia.eu/events/un-winter-school-on-sustainable-consumption-and-production-in-asia-and-the-pacific-1/](http://www.switch-asia.eu/events/un-winter-school-on-sustainable-consumption-and-production-in-asia-and-the-pacific-1/).
- UNITAR Online Introduction Course to Sustainable Consumption and Production in Asia. Evaluation Report 2016, Course Brochure. [www.switch-asia.eu/news/switch-asia-and-unitars-3rd-edition-of-the-e-learning-course-on-sustainable-consumption-and-produ/](http://www.switch-asia.eu/news/switch-asia-and-unitars-3rd-edition-of-the-e-learning-course-on-sustainable-consumption-and-produ/).
- 4 Billion Dreams SCP Youth Ambassador Program concept note and selected presentations. [www.switch-asia.eu/events/the-4-billion-dreams-asia-pacific-sustainable-consumption-and-production-scp-youth-ambassador-trai/](http://www.switch-asia.eu/events/the-4-billion-dreams-asia-pacific-sustainable-consumption-and-production-scp-youth-ambassador-trai/).
- 7th ASEAN-Plus-Three Leadership Programme. on Sustainable Production and Consumption and Workshop on National SCP Policy Developments – Progress and Impacts. 30 September - 3 October 2014. Bali, Indonesia. [www.switch-asia.eu/404/](http://www.switch-asia.eu/404/).
- 8th ASEAN-Plus-Three Leadership Programme. Workshop on ASEAN and SCP Governance in the 2030 Agenda for Sustainable Development. 20-23 October 2015, Kuala Lumpur, Malaysia; <http://www.switch-asia.eu/events/switch-asia-workshop-on-asean-and-scp-governance-in-the-2030-agenda-for-sustainable-development/>.
- Flyer to e-learning course "Introduction to SCP in Asia". 1 September -24 October 2014. [www.switch-asia.eu/events/e-learning-course-introduction-to-scp-in-asia/](http://www.switch-asia.eu/events/e-learning-course-introduction-to-scp-in-asia/).
- 6th ASEAN plus three Leadership Programme on SCP. 15-18 October 2013. Siem Reap, Cambodia. Webpage. [www.switch-asia.eu/6thasean/](http://www.switch-asia.eu/6thasean/).
- Strengthening the capacity of policy makers in Asia. Webpage. [www.switch-asia.eu/cp/](http://www.switch-asia.eu/cp/).
- Sustainable Consumption and Production: A Handbook for Policymakers (Asia-Pacific 2nd edition). [www.switch-asia.eu/fileadmin/user\\_upload/RPSC/Publications/03SCP-Handbook-AP\\_low-resolution .pdf](http://www.switch-asia.eu/fileadmin/user_upload/RPSC/Publications/03SCP-Handbook-AP_low-resolution.pdf).
- Sustainable Consumption and Production: Instructions for Trainers (Asia-Pacific 2nd edition). [www.switch-asia.eu/fileadmin/user\\_upload/RPSC/Publications/04Instructions-for-Trainers-AP.pdf](http://www.switch-asia.eu/fileadmin/user_upload/RPSC/Publications/04Instructions-for-Trainers-AP.pdf).
- Sustainable Consumption and Production: A Handbook for Policymakers (Global Edition). [www.switch-asia.eu/fileadmin/user\\_upload/RPSC/Publications/05SCP-Handbook-Global Low-resolution .pdf](http://www.switch-asia.eu/fileadmin/user_upload/RPSC/Publications/05SCP-Handbook-Global_Low-resolution .pdf).
- Sustainable Consumption and Production: Instructions for Trainers (Global Edition). [www.switch-asia.eu/fileadmin/user\\_upload/RPSC/Publications/06Instructions-for-Trainers-Global.pdf](http://www.switch-asia.eu/fileadmin/user_upload/RPSC/Publications/06Instructions-for-Trainers-Global.pdf).

### **Project outputs work package 3: Policy dialogue - Transforming awareness and knowledge into an operational framework**

- 10 Year Framework of Programmes on Sustainable Consumption and Production (10YFP). 10YFP Progress Report 2016, 10YFP Brochures (Sustainable Lifestyles and

Education, Consumer Information, Public Procurement, Buildings and Construction, Tourism, Food Systems).

- Draft SWITCH Asia policy briefs (e.g. Behavioural Science, Marine Plastic Pollution in Asia and Achieving SDG 12 on SCP).
- Database with resource efficiency indicators, featuring 26 countries in the Asia-Pacific region and 40 years of resource use. <http://uneplive.unep.org>.
- UNEP (2015). Indicators for a resource efficient Green Asia and the Pacific. Final report. United Nations Environment Programme, Bangkok. [www.switch-asia.eu/fileadmin/user\\_upload/RPSC/Publications/Indicator-for-a-RE\\_Low-resolution .pdf](http://www.switch-asia.eu/fileadmin/user_upload/RPSC/Publications/Indicator-for-a-RE_Low-resolution.pdf).
- UNEP (2015), Resource use in the Asia-Pacific - A booklet of infographics, United Nations Environment Programme, Bangkok. [www.switch-asia.eu/fileadmin/user\\_upload/RPSC/Publications/09Infographic\\_Low-resolution .pdf](http://www.switch-asia.eu/fileadmin/user_upload/RPSC/Publications/09Infographic_Low-resolution .pdf).
- Interactive infographics on resource use in the Asia-Pacific (2010 data). <http://zangtumbtumb.com/UNEP/>.
- Asia Pacific Roadmap 2016-2018 on Sustainable Consumption and Production. [www.switch-asia.eu/events/regional-stakeholder-consultation-workshop-on-implementing-sustainable-consumption-and-production-s](http://www.switch-asia.eu/events/regional-stakeholder-consultation-workshop-on-implementing-sustainable-consumption-and-production-s).
- 10 Year Framework of Programmes on Sustainable Consumption and Production (10YFP). Roadmap for the 10YFP implementation in Asia and the Pacific 2014-2015. Developed under the auspices of the Asian members of the 10YFP Board: Republic of Indonesia and Republic of Korea. [www.unep.org/10yfp/Portals/50150/Asia\\_Pacific\\_10YFP\\_Roadmap\\_2014\\_2015\\_Final\\_Launched.pdf](http://www.unep.org/10yfp/Portals/50150/Asia_Pacific_10YFP_Roadmap_2014_2015_Final_Launched.pdf).
- First Asia Pacific Meeting of the 10 Year Framework of Programmes on Sustainable Consumption and Production (10YFP). 7-8 November 2013, Bangkok, Thailand. Agenda, presentations, and press release. [www.switch-asia.eu/policy-support-components/rpsc/policy-dialogue/ap-meeting-10yfp/](http://www.switch-asia.eu/policy-support-components/rpsc/policy-dialogue/ap-meeting-10yfp/).
- Policy-Industry Dialogue. 6 November 2013, Bangkok, Thailand. Agenda and presentations. [www.switch-asia.eu/policy-support-components/rpsc/policy-dialogue/policy-industry-dialogue/](http://www.switch-asia.eu/policy-support-components/rpsc/policy-dialogue/policy-industry-dialogue/).
- Regional SWITCH-Asia RPSC Technical Advisory Committee (TAC) meeting. 5 November 2013, Bangkok, Thailand. Agenda and presentations. [www.switch-asia.eu/policy-support-components/rpsc/policy-dialogue/switch-asia-psc-and-tac/](http://www.switch-asia.eu/policy-support-components/rpsc/policy-dialogue/switch-asia-psc-and-tac/).
- Seminar on Resource Efficiency and the Decoupling Approach. 15-16 October 2013, Siem Reap, Cambodia. Webpage. <http://www.switch-asia.eu/re-decoupling-approach/>.
- Indicators for a Resource Efficient Green Asia. 25-26 September 2013, Beijing, P.R. China. Agenda, presentations, and reference documents. [www.switch-asia.eu/policy-support-components/rpsc/policy-dialogue/scp-indicators/](http://www.switch-asia.eu/policy-support-components/rpsc/policy-dialogue/scp-indicators/).
- Sustainable consumption policies. 20-21 June 2013, Kathmandu, Nepal. Webpage, information sheet, agenda, participant list, presentations, workshop report. [www.switch-asia.eu/policy-support-components/rpsc/policy-dialogue/kathmandu/](http://www.switch-asia.eu/policy-support-components/rpsc/policy-dialogue/kathmandu/).
- 10 Year Framework of Programmes on Sustainable Consumption and Production (10YFP): Solution to sustainable development challenges for Asia and Pacific. 24 April 2013, UN, Bangkok, Thailand. Webpage, agenda, presentations. [www.switch-asia.eu/policy-support-components/rpsc/policy-dialogue/10yfp/](http://www.switch-asia.eu/policy-support-components/rpsc/policy-dialogue/10yfp/).

- SCP in Asia Conference. 12-13 November 2012, Bangkok, Thailand. Webpage, brochure, logistic note, agenda, conference report. [www.switch-asia.eu/scp-in-asia/](http://www.switch-asia.eu/scp-in-asia/).
- High Level Seminar on Resource Efficiency and Decoupling Approach. 3-4 April 2012, Bangkok, Thailand. Information package, presentations, and final report. [www.switch-asia.eu/bangkok-seminar/](http://www.switch-asia.eu/bangkok-seminar/).
- Workshop on the Policy needs assessment. 7-8 November 2011, Yogyakarta, Indonesia. Webpage, agenda, annexes, presentations. [www.switch-asia.eu/yogyakarta/](http://www.switch-asia.eu/yogyakarta/).

#### **Project outputs work package 4: Ensuring the sustainability of the programme - Strengthening implementation networks, creating pools of national Asian experts able to sustain themselves in the long term**

- 11th Asia Pacific Roundtable for Sustainable Consumption and Production (APRSCP). 19-20 May 2014, Bangkok, Thailand. [www.switch-asia.eu/policy-support-components/rpsc/networking-and-institution/aprscp](http://www.switch-asia.eu/policy-support-components/rpsc/networking-and-institution/aprscp).
- 12th Asia Pacific Roundtable for Sustainable Consumption and Production (APRSCP). 21-22 March 2015, Siem Reap, Cambodia. Brochure and list of participants. <http://www.switch-asia.eu/news/call-to-action-acting-together-for-our-future-sustainability-the-12th-asia-pacific-roundtable-for/>.
- ASEAN Forum on SCP. Concept Note, Directory, Management Report 2015, Milestones and Work Plan 2016. [www.switch-asia.eu/policy-support-components/rpsc/networking-and-institution/asean-forum/](http://www.switch-asia.eu/policy-support-components/rpsc/networking-and-institution/asean-forum/).

#### **Country data**

- Relevance samples from RPSC activities and supporting initiatives in the countries visited by evaluator (Annex III of this evaluation report) as part of this evaluation and countries reviewed through desktop assessment (Annex IV of this evaluation report).

#### **Previous evaluations**

- AETS (2013). Evaluation of the EU funded SWITCH-Asia Programme. Evaluation report prepared for European Commission.
- IBF International Consulting (2015). Evaluation of SWITCH-Asia Regional and National Policy Support Components Malaysia and Indonesia. Evaluation report for European Commission.

#### **Reference documents**

- UNEP Programme Manual. May, 2013.
- UNEP (2012). Global Outlook on Sustainable Consumption and Production Policies Taking action together. [www.unep.fr/shared/publications/pdf/DTIx1498xPA-GlobalOutlookonSCPPolicies.pdf](http://www.unep.fr/shared/publications/pdf/DTIx1498xPA-GlobalOutlookonSCPPolicies.pdf).
- UNEP (2008). SCP Indicators for Developing Countries, A Guidance Framework. [www.unep.fr/shared/publications/pdf/DTIx1085xPA-SCPindicatorsEN.pdf](http://www.unep.fr/shared/publications/pdf/DTIx1085xPA-SCPindicatorsEN.pdf).
- UNEP (2012). Measuring Progress Towards an Inclusive Green Economy. [www.unep.org/greeneconomy/Portals/88/documents/research\\_products/Measuring%20Progress%20report.pdf](http://www.unep.org/greeneconomy/Portals/88/documents/research_products/Measuring%20Progress%20report.pdf).
- UNEP (2010). ABC of SCP - Clarifying Concepts on Sustainable Consumption and Production. Towards a 10-Year Framework of Programmes on Sustainable Consumption and Production. [www.switch-asia.eu/fileadmin/user\\_upload/RPSC/policy-dialogue/scp-in-asia/ABC\\_of\\_SCP-Clarifying\\_Concepts\\_on\\_SCP.pdf](http://www.switch-asia.eu/fileadmin/user_upload/RPSC/policy-dialogue/scp-in-asia/ABC_of_SCP-Clarifying_Concepts_on_SCP.pdf).

- UNEP (2012). Sustainable Consumption and Production for Poverty Alleviation. [www.switch-asia.eu/fileadmin/user\\_upload/RPSC/policy-dialogue/scp-in-asia/DTIx1515xPA-SCPforPovertyAlleviation.pdf](http://www.switch-asia.eu/fileadmin/user_upload/RPSC/policy-dialogue/scp-in-asia/DTIx1515xPA-SCPforPovertyAlleviation.pdf).
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## ANNEX IX. COUNTRY SELECTION FOR FIELD VISITS

### Country selection for field visits

Four of the nine core countries (Bhutan, Cambodia, China, India, Lao PDR, Myanmar, Nepal, Pakistan and Viet Nam) have been selected for evaluation field visits. Thailand will also be considered for a field visit, given the location of the project office in Bangkok and associated synergies. The criteria for selection of the countries is designed to provide the maximum opportunity to assess the likelihood of impact.

- The criteria which to assist in the selection of countries for the field visits are:
- Country classification (e.g. developing status and income per capita) - Field visits should to cover countries in different stages of development.
- Total size of economy in terms of Gross Domestic Product (GDP): If the SWITCH Asia is scoring well in several lower materiality countries but not in Asia's larger and fastest growing economies, SWITCH Asia will not likely be seen as a very well performing program by EU on the long-term.
- Countries where RPSC's engagement in country has been of sufficient intensity.
- Year in which UNEP started its SWITCH Asia work in each of the following countries – Field visit should cover countries involved since early stage of RPSC, but also at least one country which joined the RPSC country-level work at later stage.
- Types of SCP policy support provided by RPSC in country.
- Whether a SWITCH Asia National Policy Component has been undertaken in the country – Field visit should at least include one country which has implemented a NPSC to assess interlinkages and synergies.

Based on the review against the selection criteria, it is proposed to visit the following four countries as part of this evaluation of the RPSC:

**Table 25: Selection of countries for field visits and rationale**

Selected countries	Rationale for selection
Thailand	<ul style="list-style-type: none"> <li>• Evaluators to spend time at regional UNEP project office to gain in depth understanding of RPSC through discussions with the project team.</li> <li>• Case study on how synergies were or could be established with National Policy Support Components (NPSCs) which are undertaken in five countries. The Thailand NPSC closed late 2014.</li> <li>• Thailand was not covered in depth by the SWITCH evaluation carried out in 2015<sup>28</sup>.</li> </ul>
China	<ul style="list-style-type: none"> <li>• RPSC has worked with Viet Nam on SCP policies since 2012.</li> <li>• China has a large and fast growing economy with rapidly increasing SCP patterns and impacts. Country is one of the four BRIC countries with newly advanced economic developments.</li> <li>• China is on RPSC team's list of prioritised countries for field visits.</li> </ul>
India	<ul style="list-style-type: none"> <li>• India has a large and fast growing economy with rapidly increasing SCP patterns and impacts. India is one of the four BRIC countries with newly advanced economic developments.</li> <li>• If RPSC had/has challenges to engage with India on its SCP policy making, the country would potentially be a good case study to explore barriers to SCP policies and supporting services.</li> </ul>

<sup>28</sup> Evaluation of the SWITCH Asia Regional and National Policy Support Components, Malaysia and Indonesia, August 2015, by Pierre Mahy, funded by the EU.

Selected countries	Rationale for selection
Viet Nam	<ul style="list-style-type: none"> <li>• RPSC has worked with Viet Nam on SCP policies since 2013. Country showed strong progress and ownership in SCP policy development.</li> <li>• Viet Nam is country with significant GDP and population undergoing significant economic growth and thereby increasing SCP patterns and impacts.</li> <li>• Viet Nam is on RPSC team's list of prioritised countries for field visits.</li> </ul>
Cambodia	<ul style="list-style-type: none"> <li>• Cambodia was selected for field visit to meet national, regional and international stakeholders participating in the 12<sup>th</sup> Asia Pacific Roundtable on Sustainable Consumption and Production (APRSCP) held in Siem Reap, 12-14 July 2016,</li> <li>• Case study of smaller Asian country in earlier stages of SCP policy development. Cambodia is classified as a least developing country.</li> </ul>



### Objective and scope of the evaluation

In line with the UNEP Evaluation Policy and the UNEP Programme Manual, the Terminal Evaluation is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and its partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation, especially where subsequent project phases are anticipated.

The SWITCH-Asia project has been the subject of two independent evaluations in June 2013 and August 2015, within which the RPSC was evaluated, along with the Network Facility, grants project and national policy support components. Of particular interest in this UNEP TE will be:

- a) an assessment of the likelihood of the project contributing to impact.
- b) the extent to which earlier findings and recommendations have been acted upon to strengthen the initiative.
- c) the provision of substantive recommendations for the design of a potential future project phase.

To assess the likelihood of the project contributing to substantive impact, the Consultant will be requested to use the Review of Outcomes to Impact (ROtI) approach that is standard in UNEP evaluations to assess the likelihood of influencing impact. This involves reconstructing a Theory of Change ToC, for the intervention in conjunction with the Project Team and other identified key stakeholders. Under this approach the intervention logic presented explicitly in project design documents is updated to reflect changes in the intervention's logic during implementation. The ToC aims to illustrate the causal pathways by which the intervention aims to bring about change and reviews those external factors, both those within the influence of the project (Impact Drivers) and those outside the project's sphere of influence (Assumptions), that are necessary for change to be brought about.

Establishing attribution is challenging in normative work, however by reconstructing the ToC and reviewing progress along a causal pathway the UNEP approach aims to be able to demonstrate 'credible association' with planned change through:

- Identifying the intervention logic.
- Capturing data from a sufficient number of different sources, both quantitatively and qualitatively, to enable 'triangulation'. (Triangulation reduces the chance of bias in any particular data source).
- Establishing plausible connections between the interventions and the changes identified.
- Exploring other explanations for the changes with an open mind before eliminating them.

The TE will provide responses to the following sets of key questions, based on the project's intended outcomes, which may be expanded by the consultants as deemed appropriate:

1. How relevant was the project to beneficiary needs and UNEP's mandate, its Medium Term Strategy (2014-17) and the current PoWs (2014-15 and 2015-16)? How coherent was the project with the umbrella projects' objectives and proposed intervention strategies, and how complementary was it to other sub-projects and other UNEP projects in the same fields? More specifically, has the SWITCH-Asia RPSC become a fully

integrated part of the wider SWITCH Asia initiatives with close collaboration with the other EU-funded components?

2. To what extent and how efficiently did the project deliver its intended outputs? How well did the project contribute to its expected outcomes, and the expected outcome(s) of the umbrella project(s)?
3. To what extent is the project likely to contribute to a longer term impact envisaged as: the adoption of sustainable consumption and production (SCP) patterns and demonstrated resource efficiency, strengthening of green economic growth and a reduction in poverty. To what extent has the impact of the RSPC been constrained or facilitated by the other components of the SWITCH Asia project?
4. What were the internal and external factors that most affected performance of the project? What management measures were taken to make full use of opportunities and address obstacles to enhance project performance? What substantive lessons can be taken forward to inform the design of the next project design phase?

### Overall approach and methods

The TE will be conducted by independent consultants under the overall responsibility and management of the UNEP Evaluation Office in consultation with the UNEP Project Manager and the Resource Efficiency Sub-programme Coordinator.

It will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used to determine project achievements against the expected outputs, outcomes and impacts. It is highly recommended that the consultants maintain close communication with the project team and promotes information exchange throughout the evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation findings.

The findings of the evaluation will be based on the following:

a) A desk review of:

- Relevant background documentation.
- Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget.
- Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence etc.
- Project outputs.
- Two previous evaluations of the SWITCH Asia project (Mahy, P., June 2013 and August 2015. See footnotes 4 and 5).
- Evaluations/reviews of similar projects, including the national policy support components of SWITCH Asia, which is implemented by GFA Consulting Group and includes country-level work in Indonesia, Malaysia, Philippines, Thailand and, most recently, Sri Lanka. (<http://www.switch-asia.eu/policy-support-components>).
- Monitoring data, especially those that relate to the project's Key Performance Indicators (see below). Note also that the project has been piloting the Kirkpatrick Level 1 (customer satisfaction, engagement and relevance) and Level 2 (knowledge, skill, attitude, confidence and commitment) assessment criteria within their training components.

b) Interviews (individual or in group) with:

- UNEP Project Manager.
- Project management team.
- UNEP Financial Management Officer.
- UNEP Regional Office representatives.
- Government focal points and other representatives.
- Relevant resource persons.
- Participants from training events.
- Project partners, from the following:
  - ASEAN
  - ASEAN Network on SCP
  - ASEAN Senior Officials of the Environment Group
  - Asia Pacific Roundtable on SCP (APRSCP)
  - Association of Development Financing Institutions in Asia and the Pacific (ADFIAP)
  - EU (and other steering committee members)
  - International Resource Panel
  - SWITCH-Asia Network Facility and its partners
  - UNDP
  - UN- Economic and Social Consortium for Asia and the Pacific (UN-ESCAP)
  - UNEP hosted projects
  - UNIDO
- c) **Surveys** – to be proposed by the consultants as part of the inception phase.
- d) **Field visits** (Four of the core countries will be selected for visits, based on pre-agreed criteria. The selection of these countries will be part of the inception stage).
- e) Other data collection tools (as deemed appropriate).

### Key evaluation principles

Evaluation findings and judgements should be based on sound evidence and analysis, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the greatest extent possible, and when verification is not possible, the single source will be mentioned. Analysis leading to evaluative judgements should always be clearly spelled out.

The evaluation will assess the project with respect to a minimum set of evaluation criteria grouped in five categories:

1. Strategic Relevance.
2. **Attainment of objectives and planned results**, which comprises the assessment of outputs achieved, effectiveness and likelihood of impact.
3. **Sustainability and replication**, including sustainability relation to the socio-political context, financial resources, institutional framework and the environment.
4. Efficiency.
5. **Factors and processes affecting project performance**, including preparation and readiness, implementation and management, stakeholder participation and public

awareness, country ownership and driven-ness, financial planning and management, UNEP supervision and backstopping, and project monitoring and evaluation.

The evaluation consultants can propose other evaluation criteria as deemed appropriate.

**Ratings.** All evaluation criteria will be rated on a six-point scale. Annex of the ToR for the evaluation provides guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.

**Baselines and counterfactuals.** In attempting to attribute any outcomes and impacts to the project intervention, the evaluators should consider the difference between what has happened with, and what would have happened without, the project. This implies that there should be consideration of the baseline conditions, trends and counterfactuals in relation to the intended project outcomes and impacts. It also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions, trends or counterfactuals is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

**The “Why?” Question.** As this is a terminal evaluation and a follow-up project is likely [or similar interventions are envisaged for the future], particular attention should be given to learning from the experience. Therefore, the “Why?” question should be at the front of the consultants’ minds all through the evaluation exercise. This means that the consultants need to go beyond the assessment of “what” the project performance was, and make a serious effort to provide a deeper understanding of “why” the performance was as it was, i.e. of processes affecting attainment of project results (criteria under category). This should provide the basis for the lessons that can be drawn from the project. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultants to explain “why things happened” as they happened and are likely to evolve in this or that direction, which goes well beyond the mere review of “where things stand” at the time of evaluation.

A key aim of the evaluation is to encourage reflection and learning by UNEP staff and key project stakeholders. The consultant should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons.

**Communicating evaluation results:** Once the consultant(s) has obtained evaluation findings, lessons and results, the Evaluation Office will share the findings and lessons with the key stakeholders. Evaluation results should be communicated to the key stakeholders in a brief and concise manner that encapsulates the evaluation exercise in its entirety. There may, however, be several intended audiences, each with different interests and preferences regarding the report. The Evaluation Manager will plan with the consultant(s) which audiences to target and the easiest and clearest way to communicate the key evaluation findings and lessons to them. This may include some or all of the following; a webinar, conference calls with relevant stakeholders, the preparation of an evaluation brief or interactive presentation.

### **Evaluation deliverables and review procedures**

The evaluation team will prepare an inception report containing: a thorough review of the project context; project design quality; a draft reconstructed Theory of Change (ToC) of the project; a stakeholder analysis, the evaluation framework, selection of the countries for field visits and a tentative evaluation schedule.

It is expected that a large portion of the desk review will be conducted during the inception phase. It will be important to acquire a good understanding of the project context, design and process at this stage. The review of project design quality will cover the following aspects:

- Strategic relevance of the project.
- Preparation and readiness.

- Financial planning.
- M&E design.
- Complementarity with UNEP strategies and programmes.
- Sustainability considerations and measures planned to promote replication and up-scaling.

The inception report will present a draft, desk-based **reconstructed ToC** of the project. It is vital to reconstruct the ToC before most of the data collection (review of progress reports, in-depth interviews, surveys etc.) is done, because the ToC will define which direct outcomes, drivers and assumptions of the project need to be assessed and measured – based on which indicators – to allow adequate data collection for the evaluation of project effectiveness, likelihood of impact and sustainability. The reconstructed ToC will be reviewed by the Project Team and members of the Steering Committee, including the EU, before data collection goes ahead.

The inception report will also include a **stakeholder analysis** identifying key stakeholders, networks and channels of communication. This information should be gathered from the project document and discussion with the project team.

The **evaluation framework** will present in further detail the overall evaluation approach. It will specify for each evaluation question under the various criteria what the respective indicators and data sources will be. The evaluation framework should summarise the information available from project documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified. Evaluations/reviews of other large assessments can provide ideas about the most appropriate evaluation methods to be used.

The inception report will also present a tentative **schedule for the overall evaluation process**, including a draft programme for the country visit and tentative list of people/institutions to be interviewed.

At inception stage a proposal will be submitted for which four countries will be visited for the collection of primary data. The criteria for selection of the countries will be designed to provide the maximum opportunity to assess the likelihood of impact. At a minimum the criteria will reflect:

- Duration of UNEP's engagement on RE, GE and SCP with the country.
- Nature of UNEP's engagement.

The final criteria for country selection will be outlined, and the evidence used to assess each country, laid out in a tabular format in the inception report.

Effective communication strategies help stakeholders understand the results and use the information for organisational learning and improvement. While the evaluation is expected to result in a comprehensive document, content is not always best shared in a long and detailed report; this is best presented in a synthesised form using any of a variety of creative and innovative methods. The evaluator is encouraged to make use of multimedia formats in the gathering of information (e.g. video, photos, sound recordings). Together with the full report, the evaluator will be expected to produce a **2-page summary of key findings and lessons**.

The inception report will be submitted for review and approval by the Evaluation Office before any further data collection and analysis is undertaken.

When data collection and analysis has almost been completed, the evaluation team may be asked to prepare a **short note on preliminary findings and recommendations** for discussion with the Evaluation Manager and the project team. The purpose of the note is to allow the evaluation team to receive guidance on the relevance and validity of the main findings emerging from the evaluation.

**The main evaluation report** should be brief (no longer than 40 pages – excluding the executive summary and annexes), to the point and written in plain English. The report will follow the annotated Table of Contents. It must explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate. To avoid repetitions in the report, the authors will use numbered paragraphs and make cross-references where possible.

**Review of the draft evaluation report.** The evaluation team will submit a zero draft report to the UNEP EO and revise the draft following the comments and suggestions made by the EO. Once a draft of adequate quality has been accepted, the EO will share this first draft report with the Project Manager, who will alert the EO in case the report contains any blatant factual errors. The Evaluation Office will then forward the first draft report to the other project stakeholders for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. It is also very important that stakeholders provide feedback on the proposed recommendations and lessons. Comments would be expected within two weeks after the draft report has been shared. Any comments or responses to the draft report will be sent to the UNEP EO for collation. The EO will provide the comments to the evaluation team for consideration in preparing the final draft report, along with its own views.

The evaluation team will submit the final draft report no later than 2 weeks after reception of stakeholder comments. The team will prepare a **response to comments**, listing those comments not or only partially accepted by them that could therefore not or only partially be accommodated in the final report. They will explain why those comments have not or only partially been accepted, providing evidence as required. This response to comments will be shared by the EO with the interested stakeholders to ensure full transparency.

**Submission of the final evaluation report.** The final report shall be submitted by Email to the Head of the Evaluation Office. The Evaluation Office will finalize the report and share it with the interested Divisions and Sub-programme Coordinators in UNEP. The final evaluation report will be published on the UNEP Evaluation Office web-site [www.unep.org/eou](http://www.unep.org/eou).

As per usual practice, the UNEP EO will prepare a **quality assessment** of the zero draft and final draft report, which is a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against the criteria outlined in annex of the evaluation ToR.

The UNEP Evaluation Office will assess the ratings in the final evaluation report based on a careful review of the evidence collated by the evaluation consultants and the internal consistency of the report. Where there are differences of opinion between the evaluator and UNEP Evaluation Office on project ratings, both viewpoints will be clearly presented in the final report. The UNEP Evaluation Office ratings will be considered the final ratings for the project.

At the end of the evaluation process, the Evaluation Office will prepare a **Recommendations Implementation Plan (RIP)** in the format of a table to be completed and updated at regular intervals by the Project Manager. After reception of the RIP, the Project Manager is expected to complete it and return it to the EO within one month. (S)he is expected to update the plan every six months until the end of the tracking period. As this is a Terminal Evaluation, the tracking period for implementation of recommendations will be 18 months, unless it is agreed to make this period shorter or longer as required for realistic implementation of all evaluation recommendations. Tracking points will be every six months after completion of the implementation plan.



## Logistical arrangements

**The Consultants' Team.** For this evaluation, the evaluation team will consist of a Team Leader and one Supporting Consultant. Details about the specific roles and responsibilities of the team members are presented in the annex of these TORs. The Team Leader should have at least 10 years of technical / evaluation experience, including of evaluation large, regional or global programmes and using a Theory of Change approach; and a broad understanding of large-scale, consultative assessment processes and factors influencing use of assessments and/or scientific research for decision-making. The Supporting Consultant will have a solid technical experience of GE/SCP and professional experience; adequate monitoring and evaluation experience; and experience in managing partnerships, knowledge management and communication.

The Team Leader will coordinate data collection and analysis, and the preparation of the main report for the evaluation, with substantive contributions by the Supporting Consultant. Both consultants will ensure together that all evaluation criteria and questions are adequately covered.

By undersigning the service contract with UNEP/UNON, the consultants certify that they have not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, they will not have any future interests (within six months after completion of the contract) with the project's executing or implementing units.

Two independent evaluation consultants for this TE will be contracted by the UNEP Evaluation Office. The consultants will work under the overall responsibility of the UNEP Evaluation Office and will consult with the EO on any procedural and methodological matters related to the evaluation. It is, however, the consultants' individual responsibility to arrange for their travel, visa, obtain documentary evidence, plan meetings with stakeholders, organise online surveys, and any other logistical matters related to the assignment. The UNEP Project Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the evaluation as efficiently and independently as possible.

## ANNEX XI. BRIEF CVS OF THE EVALUATORS

### Dr. Dick van Beers

<b>Profession</b>	Independent and International Sustainability Professional
<b>Nationality</b>	Dutch
<b>Country experience</b>	<ul style="list-style-type: none"> <li>Europe: Germany, Netherlands, Belgium, Georgia, Moldova</li> <li>Africa: South Africa, Ghana, Kenya</li> <li>Americas: USA, Peru, Colombia</li> <li>Asia: Pakistan, Thailand, Japan, Sri Lanka</li> <li>Oceania: Australia, New Zealand</li> </ul>
<b>Education</b>	<ul style="list-style-type: none"> <li>PhD (Resources and Environment), Curtin University of Technology, Australia</li> <li>MSc (Applied Science), University of Cape Town, South Africa</li> <li>BSc (Industrial Engineering), University of Professional Education Tilburg, The Netherlands</li> </ul>

### Short biography

Dick van Beers is an independent sustainability professional and engineer specialised in international development. Dick has 18 years international work experience in various sectors, including manufacturing, resource processing, waste processing, government. He is passionate about working with companies, government agencies, and development organisations to improve their economic, environmental, societal performance and scale up their innovations.

Key specialties and capabilities cover:

- Resource efficiency and cleaner production.
- Independent evaluations of projects, programs and proposals.
- Policy development and government strategies.
- Sustainable business and industrial development.
- Development and implementation of strategic waste management studies.
- Sustainable design and development of industrial estates.
- Development of eco-innovation and business model strategies.
- Project and client management.

### Selected assignments and experiences

#### Independent evaluations:

- 2016: Technical evaluator for submitted year 2016 proposals for the EU funded LIFE Program. Evaluations undertaken through MWH International.
- 2015: Independent Final Evaluation of the National Cleaner Production Programme (NCPP) in the Republic of Moldova. United Nations Industrial Development Organisation (UNIDO).  
[http://www.unido.org/fileadmin/user\\_media\\_upgrade/Resources/Evaluation/UEMOL11002-104143\\_NCPP\\_EvalRep-F\\_151020\\_01.pdf](http://www.unido.org/fileadmin/user_media_upgrade/Resources/Evaluation/UEMOL11002-104143_NCPP_EvalRep-F_151020_01.pdf).
- 2015: Technical evaluator for submitted year 2015 proposals for the EU funded LIFE Program. Evaluations undertaken through MWH International.
- 2014: Evaluation Baseline Study and Implementation Plan for Sustainable Production Pilot Activities through Green Industry Mark (GIM) Program. EU SWITCH Asia Policy Support Thailand on Sustainable Consumption and Production. GIZ, TEI, and CSCP.
- 2010: Review of Zero Waste Plan Development Scheme (ZWPDS) and Regional Funding Program (RFP) Pilot. GHD Engineering Consultancy Report for the Waste Authority and the Department of Environment and Conservation, Perth, WA, Australia.

### **UNEP and UNIDO experiences in the field of resource efficiency:**

- 2015: Independent Final Evaluation of the National Cleaner Production Programme (NCP) in the Republic of Moldova. UNIDO.
- 2015: UNIDO Resource Efficient and Cleaner Production Training for the Construction Materials Sectors. RECP Demonstration Programme for the Eastern Partnership (EaP Green). Armenia, Azerbaijan, Belarus, Georgia, Moldova, Ukraine). United Nations Industrial Development Organisation (UNIDO).
- 2014: International expert in Validation Workshop for the UNEP Eco-Innovation Manual, Paris.
- 2014: International expert in UNEP-UNIDO Eco-Industrial Park Workshop, Vienna, May 2014.
- 2013: International expert in UNIDO-UNEP Review Workshop and Expert Group Meeting on Eco-Industrial Parks (EIPs) in Emerging and Developing Countries, Montreux, September.
- 2012: Preparation of Resource Efficiency Strategy Guidebook for Support Organisations on Overcoming SME Challenges. Assignment as part of UNEP/Wuppertal Institute Collaborating Centre of Sustainable Consumption and Production.
- 2013: Mission to UNIDO to Peru to provide international learnings and recommendations on eco-industrial park development.
- 2012: Inventory of Industrial Applications and Innovative Business Models for Resource Efficiency and Cleaner Production in SMEs. Assignment as part of UNEP/Wuppertal Institute Collaborating Centre of Sustainable Consumption and Production.
- 2012: Presentation on Innovative Business Models for Resource Efficiency – SMEs in Developing and Transition Economies. UNEP/UNIDO Conference on Resource Efficient and Cleaner Production (RECP), 17-18 October, Nairobi, Kenya.

### **Sustainable consumption and production**

- 2015 – current: Dick van Beers Sustainability Engineering, Gevelsberg, Germany. Independent and International Sustainability Professional assisting clients (development agencies, government bodies, industries, specialised service providers) with the development, planning and implementation of sustainability and business oriented projects.
- 2010 – 2014: Collaborating Centre on Sustainable Consumption and Production, Wuppertal, Germany. Team Leader for Sustainable Business and Entrepreneurship and Senior Expert for various projects on sustainable production and consumption in developing, developed, and transition countries.
- 2008-2012: GHD Pty Ltd (Engineering Consultancy Firm), Perth Australia. Principal Sustainability Consultant assisting industry and government clients with the economic and environmental optimisation and innovation of industrial and commercial processes, products, services, and industrial estates.
- 2004-2008: Centre of Excellence in Cleaner Production, Perth, Australia. Project Leader and Senior Research Fellow Practical and strategic support to large scale processing industries in the Kwinana Industrial Area (WA) with the identification, evaluation and implementation of industrial ecology and resource efficiency projects (e.g. reuse of by-products, energy, and water).
- 2000 – 2004: Yale University, Centre for Industrial Ecology, New Haven, USA. Africa and Oceania Regional Coordinator for Stocks and Flows (STAF) Project. The STAF project assists industry and policy makers in improving recycling rates of waste materials. My responsibilities included assessments of the recycling potential of metals at continental, country, and city level for Africa and Oceania.
- 2000 – 2002: African Environmental Solutions Pty Ltd, Cape Town, South Africa. Senior Environmental Consultant in Environmental Management Systems, Industrial Ecology, and Cleaner Production.

## Dr. Andy Rowe

<b>Profession</b>	Economist and Evaluation Specialist
<b>Nationality</b>	Canadian
<b>Country experience</b>	Canada, US, UK, EU, India, Bangladesh, Belize, Barbados, Fiji, Vanuatu, Indonesia, Palau, South Africa, Kenya
<b>Education</b>	<ul style="list-style-type: none"><li>• PhD (London School of Economics)</li><li>• MPhil (Memorial University – Canada)</li><li>• BA (University of Guelph – Canada)</li></ul>

### Short biography

Dr. Rowe is an economist and evaluation specialist working primarily with conflict resolution and natural resource interventions in North America and internationally. He undertakes summative, formative and developmental evaluation assignments. His theories of change for environmental conflict resolution and outcome-focused approaches to evaluate conflict resolution programs are widely used. He has developed methods and principles for evaluation in natural resource and sustainable development settings including a rapid impact evaluation approach, the concept of the negotiated alternative, and the principles for evaluation in natural resource settings.

He is a former President of the Canadian Evaluation Society and is active in the American Evaluation Association including former chair of the International Committee. The Canadian Evaluation Society named him the 2013 Fellow of the Society.

Dr. Rowe has a PhD from the London School of Economics. He also studied national and regional economic planning at the University of Glasgow, and holds an M.Phil in regional economics from Memorial University of Newfoundland and a BA with concentrations in economics and agricultural economics from the University of Guelph.

He has worked in evaluation for over thirty years; first with the Research Division of the Canadian housing agency (Canada Mortgage and Housing Corporation 1980-83), then as Director of Socio-Economics and Statistics (1985-90) at the Newfoundland Ocean Research and Development Corporation (a provincially-owned oceans R&D corporation) and since then as a consultant except for two years (1998-2000) spent heading a results-based-accountability effort for state government in South Carolina USA.

He currently works with multilateral and selected government and philanthropic clients in evaluation of conflict resolution, governance and climate change, natural resource management and sustainable development. He developed an evaluation approach for these settings to address gaps left by other evaluation methods. The approach is named Rapid Impact Evaluation and is being applied in a range of settings and being piloted by Treasury Board of Canada for inclusion in the Canadian National Evaluation Policy and applied by the Global Environment Facility (GEF) in current evaluations. He is also on the Board of Ecotrust Canada <http://ecotrust.ca/>.

### Selected assignments and experiences

- Evaluation of the UNEP International Resource Panel (ongoing).
- Case studies for the Evaluation of Programmatic Approaches in the GEF (ongoing).
- Provision of Specialist Evaluation and Quality Assurance Services to DFID through IOD PARC (ongoing).
- Piloting of Rapid Impact Evaluation in Canadian National Evaluation Policy (to October 2015).
- Technical Assistance for design and implementation of evaluation system for Alberta Energy Regulator Hearing Commission and staff ADR (ongoing).

- Evaluation of the FAO Climate Change program (to September 2015).
- Evaluation of the UNEP GEO-5 program (completed 2014).
- Evaluation of the sustainable community managed fisheries program of the Locally Managed Marine Areas (LMMA) Network in the Pacific (ongoing).
- Evaluation of the environmental and economic results of using mediation for US EPA Superfund cases. The evaluation of the contribution of mediation to these major environmental decisions began in 2010 and continues through 2015 (ongoing).
- With Kai Lee of the Packard Foundation Science Program developed a use-inspired approach for philanthropic funding of science (completed 2013).
- With Mark Valentine developed funding strategies for the Marine Area Planning Partnership (MAPP) in British Columbia (completed 2013).
- Conducted a review of human system indicators for the Great Bear Rainforest for TNC (completed 2012).
- With Mark Valentine conducted an evaluation of the Oak Foundation Arctic Fisheries program (completed 2011).
- For Mark Valentine surveyed conservation impact investors for a study undertaken by Mark Valentine and Renee Cheung funded by ngo and private donors (completed 2013).
- Advisor and trainer to the World Bank funded Africa regional Centre of Excellence in Evaluation and Results (CLEAR) based at The University of the Witwatersrand, South Africa (ongoing). Includes support to the Department of Performance Monitoring and Evaluation (DPME) of the Government of South Africa (ongoing).
- Currently assisting the Compliance Audit and Ombudsman Office (CAO) of the International Finance Commission update their evaluation system for Compliance Audit, Dispute Resolution and Advisory Services. This updates the pilot system Andy Rowe developed for CAO in 2006. (ongoing).
- Currently evaluating mediation cases and conflict resolution training for the Conflict Prevention and Resolution Centre at the US Environmental Protection Agency. This applies the approaches developed by Andy Rowe. We have been working with CPRC continuously since 2004.
- Currently evaluating the CORE PLUS workplace conflict management system for the US Department of the Interior (DOI). Andy Rowe designed and is implementing the evaluation approach since 2010.
- Evaluation services for design and implementation of the Packard Foundation Science Program (Completed).
- Evaluation of the Packard Foundation Ecosystem Based Management Initiative (completed).
- With the US EPA and the US Department of the Interior evaluation of two groups of natural resource decisions that used mediation. For EPA five environmental protection water cases, and for DOI rules for Off-Road Vehicle use on the Cape Cod the Fire Island National Seashores. (Completed).
- Evaluation of the National Fish and Wildlife Foundation Chesapeake Bay Small Grants program (Completed).
- William and Flora Hewlett Foundation – develop and test methodology to evaluate the environmental and economic effects of different approaches to natural resource management decisions. Successfully applied to six major natural resource decisions in Oregon (Completed).

- For Center for International Forestry Research (CIFOR) developed a theory of change for sustainability certification for forests as part of a wider effort to develop evaluation approaches for forest certification led by a team from the University of Florida. (Completed).
- For Cities Alliance (World Bank housed) evaluated the Community-Led Infrastructure Finance Facility in Mumbai – The CLIFF facility provided financial support for slum improvement efforts of Homeless International, the Society for the Promotion of Area Resource Centers (SPARC) and the National Slum Dwellers Federation. (Completed).
- M&E team leader for the DFID-funded Madhya Pradesh Urban Management Program seeking to achieve Millennium Development Goal targets for health, poverty reduction and environmental sustainability by building the capacity of city governments and provision of urban environmental services (Completed).
- M&E team leader for the DFID-funded Andhra Pradesh Urban Environmental Services for the Poor Program (APUSP) – led the initial evaluation team in this, the first of the DFID-funded urban environmental services and governance projects. The program provided technical assistance for improving urban environmental services for the poor in Andhra linked with improvements in governance. (Completed).
- Assessment of Citrus Markets in India – two projects for the Florida Department of Citrus who were considering how Florida juice producers might access growing Indian markets (completed).
- Evaluation of technical assistance projects for the Caribbean Development Bank. (Completed).



## ANNEX XII. QUALITY ASSESSMENT OF THE EVALUATION REPORT

Evaluation Title:

**“SWITCH to Sustainable Policies and Innovation for Resource Efficiency in Asia - Regional Policy Support Component” (SWITCH Asia RPSC)**

All UNEP evaluations are subject to a quality assessment by the Evaluation Office. The quality assessment is used as a tool for providing structured feedback to the evaluation consultants.

The quality of both the draft and final evaluation report is assessed and rated against the following criteria:

	UNEP Evaluation Office Comments	Draft Report Rating	Final Report Rating
<b>Substantive report quality criteria</b>			
A. <b>Quality of the Executive Summary:</b> Does the executive summary present the main findings of the report for each evaluation criterion and a good summary of recommendations and lessons learned? (Executive Summary not required for zero draft)	<p><b>Draft report:</b> A good initial attempt at an Executive Summary, which naturally needs refinement and completion for the final</p> <p><b>Final report:</b> A good stand alone summary of the key elements of the evaluation.</p>	4	5.5
B. <b>Project context and project description:</b> Does the report present an up-to-date description of the socio-economic, political, institutional and environmental context of the project, including the issues that the project is trying to address, their root causes and consequences on the environment and human well-being? Are any changes since the time of project design highlighted? Is all essential information about the project clearly presented in the report (objectives, target groups, institutional arrangements, budget, changes in design since approval etc.)?	<p><b>Draft report:</b> A complete description of the project context and project itself.</p> <p><b>Final report:</b> As in draft with revisions based on comments.</p>	5	6
C. <b>Strategic relevance:</b> Does the report present a well-reasoned, complete and evidence-based assessment of strategic relevance of the intervention in terms of relevance of the project to global, regional and national environmental issues and needs, and UNEP strategies and programmes?	<p><b>Draft report:</b> A well-reasoned, complete and evidence-based assessment of strategic relevance of the intervention</p> <p><b>Final report:</b> As in draft with revisions based on comments.</p>	5	6
D. <b>Achievement of outputs:</b> Does the report present a well-reasoned, complete and evidence-based assessment of outputs delivered by the intervention (including their	<p><b>Draft report:</b> A good attempt at assessing outputs, some confirmation of details and completion needed.</p> <p><b>Final report:</b> Section completed to a high standard, including detailed information</p>	4.5	6

	UNEP Evaluation Office Comments	Draft Report Rating	Final Report Rating
quality)?	at country level.		
E. <b>Presentation of Theory of Change:</b> Is the Theory of Change of the intervention clearly presented? Are causal pathways logical and complete (including drivers, assumptions and key actors)?	<p><b>Draft report:</b> A preliminary section delivered, which will need further work and completion.</p> <p><b>Final report:</b> The work on the TOC didn't quite reach the level of insight anticipated and focuses mainly on the shortcomings in the logical design of the initiative.</p>	4	5
F. <b>Effectiveness - Attainment of project objectives and results:</b> Does the report present a well-reasoned, complete and evidence-based assessment of the achievement of the relevant outcomes and project objectives?	<p><b>Draft report:</b> A detailed discussion of progress in meeting project objectives and outcomes.</p> <p><b>Final report:</b> A thorough discussion, responsive to project team comments.</p>	5	6
G. <b>Sustainability and replication:</b> Does the report present a well-reasoned and evidence-based assessment of sustainability of outcomes and replication / catalytic effects?	<p><b>Draft report:</b> An incomplete section received initially.</p> <p><b>Final report:</b> A well-reasoned assessment across all required elements of sustainability.</p>	3.5	5
H. <b>Efficiency:</b> Does the report present a well-reasoned, complete and evidence-based assessment of efficiency? Does the report present any comparison with similar interventions?	<p><b>Draft report:</b> A well-reasoned, complete and evidence-based assessment of efficiency</p> <p><b>Final report:</b> As in draft.</p>	5	5
I. <b>Factors affecting project performance:</b> Does the report present a well-reasoned, complete and evidence-based assessment of all factors affecting project performance? In particular, does the report include the actual project costs (total and per activity) and actual co-financing used; and an assessment of the quality of the project M&E system and its use for project management?	<p><b>Draft report:</b> A good attempt at this section, although financial section incomplete and lacking details.</p> <p><b>Final report:</b> A well-reasoned and complete assessment of factors affecting performance, financial information annexed. Issues raised at draft stages addressed.</p>	4	5
J. <b>Quality of the conclusions:</b> Do the conclusions highlight the main strengths and weaknesses of the project, and connect those in a compelling story line?	<p><b>Draft report:</b> Some gaps that need discussion within the evaluation team.</p> <p><b>Final report:</b> An effective conclusion highlighting key achievements of the project</p>	3.5	5
K. <b>Quality and utility of the recommendations:</b> Are recommendations based on explicit evaluation findings? Do recommendations specify the actions	<p><b>Draft report:</b> A good initial attempt at recommendations, further discussion within the evaluation team and with the project team needed.</p> <p><b>Final report:</b> Clear and concise</p>	3.5	5

	UNEP Evaluation Office Comments	Draft Report Rating	Final Report Rating
necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented?	recommendations.		
L. <b>Quality and utility of the lessons:</b> Are lessons based on explicit evaluation findings? Do they suggest prescriptive action? Do they specify in which contexts they are applicable?	<b>Draft report:</b> Initial draft with some gaps needing further discussion within the evaluation team.  <b>Final report:</b>	3.5	5
<b>Report structure quality criteria</b>			
M. <b>Structure and clarity of the report:</b> Does the report structure follow EO guidelines? Are all requested Annexes included?	<b>Draft report:</b> Well-structured.  <b>Final report:</b> Well-structured and complete.	5	6
N. <b>Evaluation methods and information sources:</b> Are evaluation methods and information sources clearly described? Are data collection methods, the triangulation / verification approach, details of stakeholder consultations provided? Are the limitations of evaluation methods and information sources described?	<b>Draft report:</b> Limited information on the evaluation provided under Exec Summary.  <b>Final report:</b> Methods addressed in Executive Summary.	3.5	5
O. <b>Quality of writing:</b> Was the report well written? (clear English language and grammar)	<b>Draft report:</b> Clear and professional style of writing.  <b>Final report:</b> High quality written work.	5	6
P. <b>Report formatting:</b> Does the report follow EO guidelines using headings, numbered paragraphs etc.	<b>Draft report:</b> Adheres to guidelines.  <b>Final report:</b> Adheres to guidelines.	6	6
<b>OVERALL REPORT QUALITY RATING</b>		<b>4.4</b>	<b>5.5</b>

The quality of the evaluation process is assessed at the end of the evaluation and rated against the following criteria:

	UNEP Evaluation Office Comments		Rating
<b>Evaluation process quality criteria</b>			
Q. <b>Preparation:</b> Was the evaluation budget agreed and approved by the EO? Was inception report delivered and approved prior to commencing any travel?	The inception report was delivered and approved before travel. Although the evaluation budget was agreed and secured before the evaluation contracts were signed, during the course of the process it was not possible to pay the consultants as agreed due to cash insufficiency. This generated a great deal of stress, led to enormous amounts of lobbying for solutions and is reflected in a lower rating for factors affecting performance.		2
R. <b>Timeliness:</b> Was a TE initiated within	All deadlines were respected as far as		6

the period of six months before or after project completion? Was an MTE initiated within a six month period prior to the project's mid-point? Were all deadlines set in the ToR respected?	practical and the TE/MTE were initiated according to the evaluation policy.		
S. <b>Project's support:</b> Did the project make available all required documents? Was adequate support provided to the evaluator(s) in planning and conducting evaluation missions?	Key information on the completion of activities, expected to be in the Annual Report for 2015, was not received until the very final stages of the evaluation. This undermined the effectiveness of in-country discussions. Financial information was also delayed.		3
T. <b>Recommendations:</b> Was an implementation plan for the evaluation recommendations prepared? Was the implementation plan adequately communicated to the project?	An implementation plan is in draft and will be finalised as per Evaluation Office procedures.		5
U. <b>Quality assurance:</b> Was the evaluation peer-reviewed? Was the quality of the draft report checked by the evaluation manager and peer reviewer prior to dissemination to stakeholders for comments? Did EO complete an assessment of the quality of the final report?	The evaluation was peer-reviewed prior to circulation among external stakeholders.		6
V. <b>Transparency:</b> Were the draft ToR and evaluation report circulated to all key stakeholders for comments? Was the draft evaluation report sent directly to EO? Were all comments to the draft evaluation report sent directly to the EO and did EO share all comments with the commentators? Did the evaluator(s) prepare a response to all comments?	Transparency measures were undertaken as per Evaluation Office best practices.		6
W. <b>Participatory approach:</b> Was close communication to the EO and project maintained throughout the evaluation? Were evaluation findings, lessons and recommendations adequately communicated?	Good communications were maintained between the evaluation consultants, project team and Evaluation Office throughout, although some requests required multiple reminders and chasing before being delivered.		4.5
X. <b>Independence:</b> Was the final selection of the evaluator(s) made by EO? Were possible conflicts of interest of the selected evaluator(s) appraised?	Evaluation Office contracted the consultants and any potential conflicts of interest were discussed prior to consultant engagement.		6
<b>OVERALL PROCESS RATING</b>			4.8

#### Rating system for quality of evaluation reports

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1

The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.