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# MAINSTREAMING SUSTAINABLE CONSUMPTION AND PRODUCTION AND RESOURCE EFFICIENCY INTO DEVELOPMENT PLANNING

UNITED NATIONS ENVIRONMENT PROGRAMME

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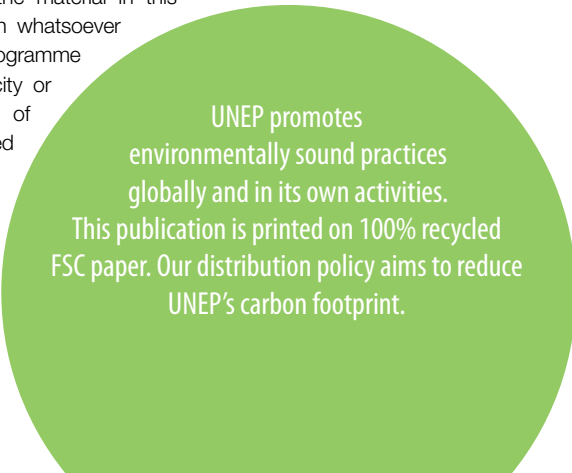
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# **Mainstreaming Sustainable Consumption and Production and Resource Efficiency into Development Planning**





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# 1. Introduction

The world is facing a host of environmental and social challenges that threaten both humankind and the planet. These include climate change, land degradation, air and water pollution, depletion of non-renewable resources, poverty and hunger. Unsustainable patterns of consumption and production, including inefficient use of resources, contribute significantly to these challenges.

**Many national and subnational governments have developed and implemented policies, programmes and projects that directly or indirectly aim to address some of the specific causes or impacts of unsustainable production and consumption.** However, most of these measures have been ad hoc and not only largely disconnected from day-to-day government policy, but in some cases at odds with it. Such measures are also generally low on government agendas, particularly in times of economic slowdown or uncertainty.

Concerns about the impacts of unsustainable consumption and production led to a call for the development of the 10-Year Framework of Programmes specified in the Johannesburg Plan of Implementation agreed on at the World Summit on Sustainable Development in 2002. The Marrakech Process was initiated in response to this call; it supports the implementation of sustainable consumption and production (SCP) projects and the development of a 10-Year Framework of Programmes to “...accelerate a shift towards sustainable consumption and production...thus promoting social and economic development within the carrying capacity of ecosystems by de-linking economic growth from environmental degradation.” This initiative is expected to result in a global framework for action on SCP that countries can commit to and thus drive a shift towards sustainable consumption and production patterns.

A strong interest in—and a clear request for—support to governments for the development of national SCP programmes was expressed early on in the Marrakech Process. In response, the United Nations Environment Programme (UNEP) published *Planning for Change* (UNEP DTIE SCP 2008a), a set of guidelines that provides advice on how to plan, develop, implement and monitor national SCP programmes, including consideration of the efficiency with which resources are used. Supplementing these guidelines is an online clearinghouse ([www.unep.fr/scp/nap/clearinghouse/](http://www.unep.fr/scp/nap/clearinghouse/)) that gathers the experiences of more than 30 countries that have developed or are developing national programmes on SCP and resource efficiency (RE).

The present publication was developed to complement the national SCP programme guidelines and illustrate ways to integrate SCP approaches and tools into wider policies, strategies and initiatives—a process known as **mainstreaming**.

This publication, together with *Planning for Change: Guidelines for National Programmes on Sustainable Consumption and Production* (UNEP DTIE SCP 2008a) provides countries with guidance on building their national SCP programmes, integrating them into national development/sectoral strategies and successfully implementing these strategies and programmes.

Further information on mainstreaming in terms of poverty-environment linkages is available in UNDP-UNEP PEI (2009), [www.unpei.org/Knowledge-Resources/PEI-Handbook.asp](http://www.unpei.org/Knowledge-Resources/PEI-Handbook.asp).

## 1.1 Target Audience

The intended users of these guidelines include the following:

- **Champions at the country level.** Champions are influential practitioners who take a lead role in advocating for the integration of SCP and RE into development planning at the national, subnational, local and sectoral levels. They include high-level decision-makers and government officials as well as members of business, industry, academia and civil society.
- **Practitioners at the country and regional levels.** These are other stakeholders with an interest in improving regional and country SCP and RE performance. Examples of such practitioners include government actors (head of state's office, environment, finance and planning bodies, sector and subnational bodies, political parties and parliament, and the judiciary system), non-governmental actors (civil society, academia, business and industry including industry/sector bodies, general public, communities and the media) and development actors.
- **Practitioners at the subnational and sectoral levels.** These are stakeholders who want to design, implement and sustain individual projects or measures towards improved SCP and RE.
- **Specialized agencies or institutions, donor agencies and non-governmental organizations (NGOs).** These are entities that engage with the government and private sector to support both the mainstreaming and implementation of SCP and RE initiatives.

## 1.2 Experience in SCP and RE Mainstreaming

Very limited international experience exists on undertaking a formal process of mainstreaming SCP and RE into wider policies, strategies and initiatives. This publication draws on experience in the development of regional and country-level SCP programmes, as well as individual initiatives related to SCP and RE from around the world.

Mainstreaming SCP and RE is not a separate process from an overall poverty-environment mainstreaming effort, and, where relevant, these efforts can inform each other. Furthermore, the mainstreaming of SCP and RE may initiate the development of a broader mainstreaming effort, and studies focused on SCP and RE can provide country-specific evidence and help make the case to mainstream poverty-environment linkages and SCP and RE in national policy processes.

Thus, while this publication on mainstreaming SCP and RE has implications for countries that need to mainstream poverty-environment linkages, it has relevance beyond poverty—for example, to rapidly industrializing countries where the focus is no longer on the alleviation of extreme poverty.

## 1.3 Organization

The document is organized as follows:

- **Section 1** discusses the rationale for this document and its target audience.
- **Section 2** provides an introduction to SCP and RE, and discusses its importance, particularly with respect to environmental protection and poverty alleviation.
- **Section 3** provides a brief introduction to the development of national SCP programmes.
- **Section 4** discusses the concept of mainstreaming.
- **Section 5** provides in-depth guidance on the programmatic approach to mainstreaming SCP and RE into development planning.
- **Section 6** presents conclusions and a proposed way forward.

A list of **references and resources** is also included, compiling the further reading recommendations presented throughout.

The programmatic approach presented in section 5 consists of a series of analysis elements (light green boxes) and action elements (dark green boxes) to, respectively, consider and follow in mainstreaming SCP and RE in development planning. The analysis elements are conveyed as guiding questions that should be used to inform the outcomes. The action elements are incorporated in action checklists that enumerate what needs to be done to achieve the desired outcomes.

## 2. The Significance of SCP and RE

### 2.1 SCP and RE Defined

**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 1994).

- **Sustainable consumption** takes on a different focus in developing and developed countries. In **developing countries**, where there are often insufficient accessible resources to meet basic needs, sustainable consumption would target more efficient use of resources, thereby effectively expanding the resource base to meet human needs. Examples include increasing access to energy through renewable or clean energy technologies and the use of forests for energy, food and construction in such a way that the forests are not irreversibly damaged and can regenerate themselves. In **developed countries**, where resource use is more excessive, wasteful and inefficient, the emphasis is on altering consumption patterns to achieve reduced overall material and energy use, as well as reduced intensity per unit of functional utility. Here an example could be changing consumer preferences towards organic produce, which has lower resource inputs and environmental impacts than produce from conventional farming methods.
- **Sustainable production** aims at improving products and/or production processes in order to reduce consumption of resources, use of hazardous materials and production of waste and pollutants in the provision of products. These improvements are made with due consideration of the full life cycle of products or processes, rather than confining analysis to narrow geographical or supply chain boundaries. Examples are seeking alternative raw materials for production processes, recycling waste and wastewater streams, and reducing energy use per unit of product.

SCP thus involves achieving economic growth while respecting environmental limits, finding ways to minimize damage to the natural environment and making use of the Earth’s resources in a sustainable way. SCP also has the potential to contribute to reducing environmental risks by protecting ecosystem services.

SCP incorporates a broad range of policies, activities and instruments spanning various sectors, and thus has an impact on policymaking and implementation across many government departments.

**Resource efficiency refers to the way in which resources are used to deliver value to society.** RE recognizes the need to consume fewer resources and produce less waste while delivering the same, or even more or improved, end services or products.

SCP and RE can contribute to decoupling or breaking the link between economic growth and environmental degradation so growth can continue without exceeding environmental limits. Furthermore, SCP and RE represent an opportunity for developing countries to “leapfrog”—bypassing inefficient, polluting and ultimately costly phases of development by jumping straight onto a sustainable development path. Leapfrogging could, for example, mean using solar energy in rural areas to replace existing unreliable or limited sources of energy.

In this publication, the term **SCP and RE measures** refers to policies, programmes, economic instruments, voluntary measures, sector-specific initiatives and activities that are implemented to achieve the above aims.

These measures will span a variety of economic sectors; examples include the following:

- **Policies:** renewable/clean energy policies, transport policies
- **Programmes:** national or regional education programmes on water, wastewater and waste management, large-scale roll-out of improved infrastructure for water management across a region or country
- **Economic instruments:** environmental taxes and levies, incentive schemes
- **Voluntary measures:** voluntary targets for energy efficiency and water savings that are not formally monitored or enforced
- **Sector-specific initiatives:** implementation of sustainable forestry certification, water-saving targets across the mining sector, development and implementation of green building certification programmes
- **Activities:** implementation of sustainable farming practices, park-and-ride schemes, recycling activities

## 2.2 The Role of SCP and RE in Poverty Alleviation

**The ultimate aim of developing and implementing SCP and RE measures is to reduce pressure on natural resources by making more efficient use of them.** Efficient resource use reduces the likelihood of running up against environmental limits in ensuring current and future generations’ needs. The environmental protection exemplified by SCP and RE practices has strong linkages to poverty alleviation (and vice versa), particularly from a developing country perspective. Examples of these linkages are described in box 2.1. Their relevance depends on geographic location, scale and the economic, social, and cultural characteristics of countries, individuals, households and social groups.

Both positive and negative feedback loops can exist between environmental preservation and poverty reduction. For example, healthier populations are more economically productive, so protection of health contributes to livelihoods and economic development, which in turn contributes to greater access to nutrition and health services. Conversely, greater exposure to environmental risks through poor land management can result in a scarcity of resources,

### Further Reading & Resources: SCP and RE Defined

- UNEP DTIE SCP, [www.unep.fr/scp/](http://www.unep.fr/scp/)
- CSCP, [www.scp-centre.org/](http://www.scp-centre.org/)
- *The Story of Stuff*, [www.storyofstuff.com/](http://www.storyofstuff.com/)

### Further Reading & Resources: Role of SCP and RE in Poverty Alleviation

- **OECD (2008)**, <http://browse.oecdbookshop.org/oecd/pdfs/browseit/4308081E.PDF>
- **Poverty Environment Net**, [www.povertyenvironment.net/](http://www.povertyenvironment.net/)
- **UNDP-UNEP PEI**, [www.unpei.org/](http://www.unpei.org/)
- **UNDP-UNEP PEI (2009)**, [www.unpei.org/Knowledge-Resources/PEI-Handbook.asp](http://www.unpei.org/Knowledge-Resources/PEI-Handbook.asp)
- **World Bank**, <http://go.worldbank.org/PZ1VKX8XD0>

#### Box 2.1 Linkages between SCP and RE and Poverty Alleviation

**Resilience to environmental risks.** Poor people are more vulnerable to natural disasters such as floods, droughts, the effects of climate change and other environmental shocks that threaten their livelihoods and undermine food security. SCP and RE measures can result in improved management of land, watersheds and forests, thus increasing resilience and limiting the exposure of poor people to environmental risks. SCP and RE can further reduce direct exposure to harmful pollutants (e.g. those in air, water, food and solid waste).

**Health.** Environmental conditions account for a significant portion of the health risks to poor people. Environmental risk factors are responsible for disease, and millions of deaths could be prevented annually through a healthier environment. Good health conditions provide further benefits in terms of resilience, livelihoods and economic development. SCP and RE can contribute to health through, for example, improved access to clean water and food, and improved waste management.

**Livelihoods.** Ecosystems provide services (e.g. food, fibre, fuel, freshwater and clean air) on which poor people rely disproportionately for their well-being and basic needs. The environment also provides an income stream in sectors such as agriculture, fishing, forestry and tourism, both through formal and informal markets. SCP and RE measures allow for more efficient use of these resources, and so effectively expand the resource base to meet human needs. Furthermore, SCP and RE can link very effectively to pro-poor development, particularly in instances where labour intensity (and associated employment) replaces a high dependency on inputs or energy-intensive mechanized processes. Environmentally sustainable initiatives can also often be part of a wider shift towards socially and economically responsible production and consumption, which can further strengthen poverty alleviation benefits.

#### **Economic development and the move towards a green economy.**

Environmental quality contributes both directly and indirectly to a country's economic development and employment; this is especially true in developing countries. The agricultural, energy, forestry, fisheries, tourism and other sectors contribute to economic development through mechanisms such as provision of food for consumption and sale or trade, provision of resources for manufacture of goods for local sale and export, and attraction of local and foreign tourists. SCP and RE measures contribute to preserving and enhancing these ecosystem services and thus support economic development. In addition, many SCP and RE measures that have environmental protection as their primary focus have additional economic development benefits. For example, the use of organic farming not only benefits the environment in terms of lower pesticide and fertilizer use, but the elimination of expensive fertilizer inputs and increasing manual labour inputs can enhance profitability and create employment.

Source: Adapted from UNDP-UNEP PEI 2009.

negative health impacts due to poor nutrition, contamination of water resources and a drop in economic activity.

The implementation of SCP and RE initiatives and activities in developed countries has the potential for benefiting developing countries as well. The vast majority of production and consumption occurs in developed countries; thus, SCP and RE activities in developed countries can have global effects and can contribute to poverty reduction or greater economic equality. This impact arises in two ways:

- More resource-efficient and less polluting production within developed countries reduces the global demand for scarce resources and the extent of global environmental impacts such as climate change that often affect developing countries disproportionately.
- More sustainable consumption contributes to an increased demand for more sustainable products, which may in turn generate new trade opportunities for developing countries.

**There is a strong potential for SCP and RE measures to contribute to progress towards the Millennium Development Goals (MDGs).** Examples of some of the MDGs and SCP and RE measures that affect achievement of these are listed in table 2.1.

**Table 2.1 Contribution of SCP and RE to Meeting the MDGs**

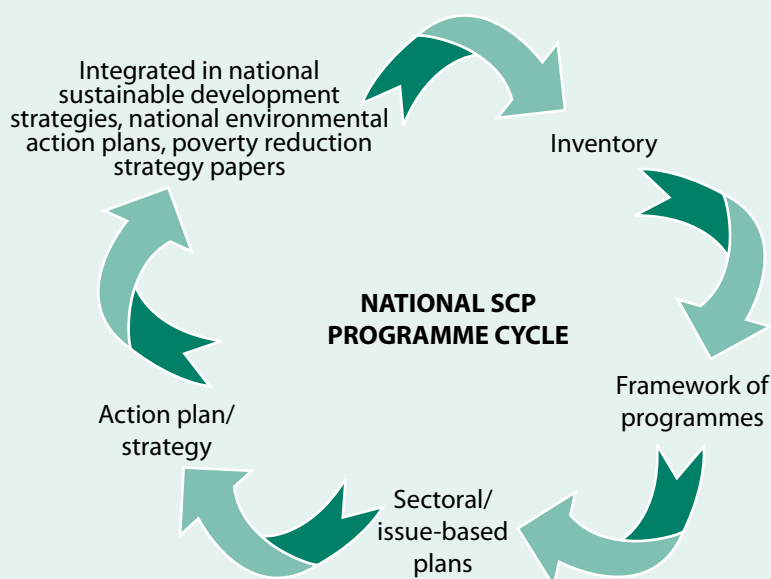
MDG	Target	Contribution of SCP and RE
<b>Goal 1:</b> Eradicate extreme poverty and hunger	<b>Target 1:</b> Halve, between 1990 and 2015, the proportion of people whose income is less than \$1 a day	Greater efficiency in resource use over the life cycle of goods and services results in improved productivity and reduced costs. Growth in consumer demand for sustainable products can provide sustainable producers in developing countries with access to new markets, an opportunity for job creation and price premiums for their products, all of which can facilitate the transition towards a green economy.
	<b>Target 2:</b> Halve, between 1990 and 2015, the proportion of people who suffer from hunger	Better management of resources and agricultural land through more sustainable farming practices will result in improved land productivity and thus greater availability of food.
<b>Goal 4:</b> Reduce child mortality	<b>Target 5:</b> Reduce by two-thirds, between 1990 and 2015, the under-five mortality rate	Improved health will be achieved through access to clean water (which will result from water supply infrastructure programmes and protection of water resources), clean energy (from decentralized renewable energy programmes) and improved nutrition (from sustainable agriculture projects).
<b>Goal 5:</b> Improve maternal health	<b>Target 6:</b> Reduce by three-quarters, between 1990 and 2015, the maternal mortality ratio	
<b>Goal 7:</b> Ensure environmental sustainability	<b>Target 10:</b> Halve, by 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation	Improved water treatment infrastructure, pollution prevention programmes, education on water resource protection, and programmes focusing on management of industrial wastewaters will increase the resource availability for drinking and improving sanitation.

### 3. Developing National SCP Programmes: Planning for Change

While acknowledging that there is no single approach by which national SCP programmes can or should be instituted, the UNEP guidelines referenced earlier (UNEP DTIE SCP 2008a) present a generic 10-step process that may be used in developing such programmes. These 10 steps are as follows:

1. Establish an advisory group.
2. Conduct a scoping exercise.
3. Set the institutional framework.
4. Select the priority areas.
5. Define objectives and set targets.
6. Select policies and initiatives.
7. Obtain official approval of the programme.
8. Implement the programme.
9. Document, monitor and evaluate the programme.
10. Sustain and improve the programme.

**Figure 3.1 National SCP Programme Cycle**



Source: Adapted from UNEP DTIE SCP 2008a.

UNEP notes that these 10 steps do not have to be conducted sequentially. Furthermore, once developed and implemented, national SCP programmes should be improved and updated, in accordance with a cycle of continuing improvement as illustrated in figure 3.1.

This publication complements the SCP programme development process by helping to ensure that the resulting SCP programme is integrated into national development planning (box 3.1). Several of the activities described here parallel the 10-step process described above, but the focus is on the mainstreaming component of these activities.



### Box 3.1 Country and Regional Experiences: Drivers for Exploring SCP and RE

The Johannesburg Plan of Implementation—the action plan established by the 2002 World Summit on Sustainable Development—and the Marrakech Process—the summit’s follow-on initiative to develop a 10-Year Framework of Programmes on SCP—have spurred the world’s regions to explore and implement SCP measures in a broad-based, coordinated manner. For example, in March 2008, the Council of Arab Ministers Responsible for Environment, the UNEP regional office for West Asia, and the Economic and Social Commission of West Asia, in collaboration with the United Nations Department of Economic and Social Affairs and the United Arab Emirates Federal Environmental Authority, organized a roundtable meeting of experts on SCP in the **Arab region**. Subsequently, a draft regional SCP strategy, incorporating the roundtable’s findings and recommendations, was presented at the 40th Meeting of the Council of Arab Ministers Responsible for Environment.

The Marrakech Process has sparked and supported the development of other regional SCP programmes as well. **Africa** launched its 10-Year Framework of Programmes on SCP with institutional support from the African Ministerial Conference on the Environment, the New Partnership for Africa’s Development, the African Union, the United Nations Economic Commission for Africa and UNEP. **Latin America** developed its regional strategy on SCP and established a regional council of government experts on SCP supported by the regional Forum of Ministers of Environment. The **Asia Pacific** region has set up a regional SCP help desk ([www.scp-help.org/](http://www.scp-help.org/)) and is implementing a regional Green Growth initiative ([www.greengrowth.org/](http://www.greengrowth.org/)).

Internal drivers have led various countries to explore SCP and RE measures on their own, outside of the demands of international agreements:

- Recent economic downturns and natural disasters such as Hurricanes Gus and Ike have convinced decision-makers in **Cuba** of the need to improve the productive and environmental performance of the country’s business sector and to make the most efficient use of available resources.
- A desire to improve the efficiency, equity and sustainability of water use in **Peru** led to the establishment of the Water for Everyone programme, which is focused on water supply and demand in the country.
- Concerns about the impacts of climate change have resulted in the establishment of sustainable energy programmes by **Brazil, China, India** and **Thailand**, among others. Their programmes address the promotion of electricity generation using renewable resources, the use of solar water heaters and energy efficiency initiatives.
- In **Benin**, the recognition of the negative impacts of various pesticides, including Endosulfan, used in the country’s cotton plantations has led to a number of initiatives aimed at moving towards organic farming methods that do not use pesticide products.

#### Further Reading & Resources: Development of National SCP Programmes

- UNEP DTIE SCP (2008a), [www.unep.fr/scp/publications/details.asp?id=DTI/1028/PA](http://www.unep.fr/scp/publications/details.asp?id=DTI/1028/PA)
- UNEP DTIE SCP, Clearinghouse for National SCP Programmes, [www.unep.fr/scp/nap/clearinghouse/](http://www.unep.fr/scp/nap/clearinghouse/)

## 4. What Is Mainstreaming and Why Mainstream SCP and RE?

Mainstreaming seeks to systematically integrate a given idea or theme into an institution or process to change the nature of that entity's culture and practices (box 4.1). **Mainstreaming an issue into national development planning thus refers to incorporating that issue into all elements of a country's plans, policies, programmes, strategies and budgets and their implementation.**

### Box 4.1 Examples of Mainstreaming

- **Gender.** Gender—specifically, gender equality—is possibly the issue that has been most widely addressed through mainstreaming efforts. The United Nations General Assembly (1997) defines the mainstreaming of a gender perspective as “the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in all areas and at all levels...so that women and men benefit equally and inequality is not perpetuated.”
- **Youth.** Youth mainstreaming aims at ensuring that the development and needs of young people are addressed in policy and projects across various sectors of governance and the economy.
- **Informal economy.** Informal economy mainstreaming includes ensuring that all policies and measures targeted at specific economic sectors or broadly across the supply side take into account those segments of the economy that operate outside the formal sector, the particular issues they face and the potential implications that measures in the formal sector may have on the informal.
- **Poverty-environment linkages.** Mainstreaming a perspective that highlights the connections between the environment and poverty reduction efforts is a relatively new approach. The relationship between poverty alleviation and environmental protection is highlighted in box 2.1; a handbook on mainstreaming of poverty-environment linkages into development planning was developed by UNDP-UNEP PEI (2009).

Mainstreaming contributes to **ensuring policy sustainability** as it lessens the risk of a measure being viewed as a one-off project or programme and makes it a priority when decisions on budget allocations are taken. Furthermore, many developing countries receive direct budget support from donors. If a given issue is part of the overall development effort in a country, the chance of securing funds for implementation will increase. Mainstreaming is a multi-year effort that must be carried out at multiple scales—national, subnational and sector.

Effective mainstreaming requires a **range of tactical approaches** to encourage integration and prioritization of the issues into planning and policy. The International Institute for Environment and Development identifies a variety of mechanisms and approaches by which environmental considerations in particular are brought to the attention of organizations and individuals involved in decision-making on the economic, social and physical development of a country (at national and subnational levels), and by which the environment is considered in taking those decisions (IIED 2008). These mechanisms include the following:

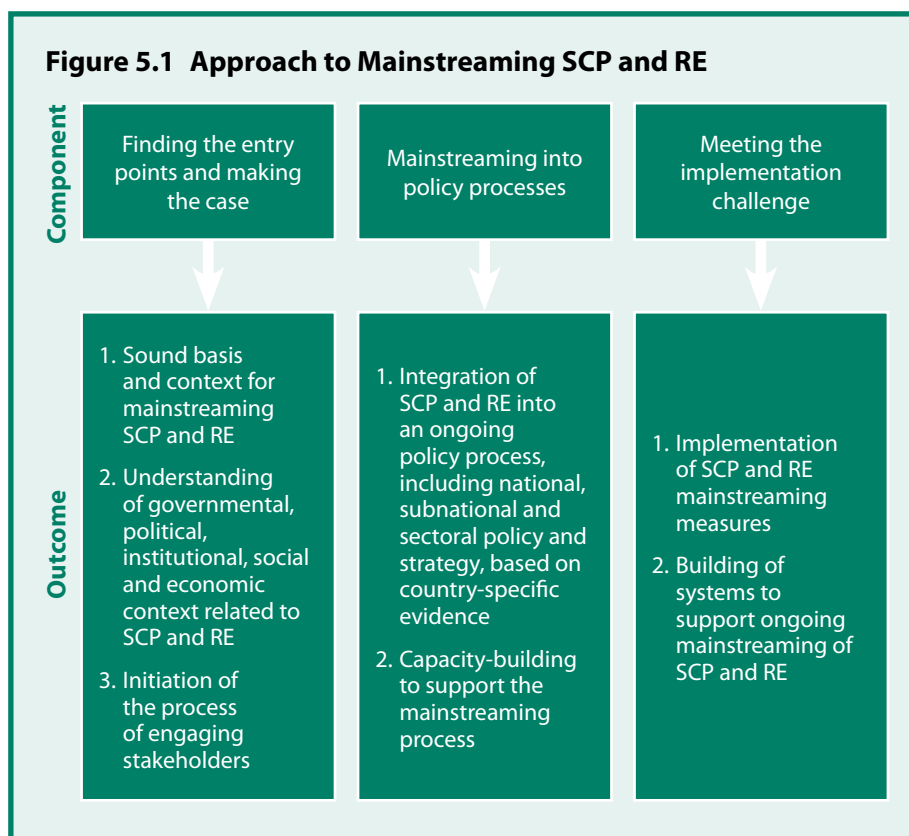
- Broad tactics (ways of raising issues and making a case/getting heard)
- Specific instruments, technical tools and analytical methods (e.g. for gathering information, planning and monitoring)
- Methods for consulting with and engaging stakeholders
- A range of more informal, voluntary and indigenous approaches

The approach to mainstreaming of SCP and RE proposed in this publication incorporates many of these elements.

SCP and RE must be mainstreamed into the full range of government policies, programmes, strategies and budgets, including macroeconomic and sectoral ones, to support the goals of more resource-efficient and less polluting patterns of producing and consuming goods and services.

# 5. Programmatic Approach to Mainstreaming SCP and RE

Experience and lessons learned over the years by the United Nations Development Programme (UNDP) and UNEP in supporting government with mainstreaming poverty-environment linkages into development planning suggests that successful mainstreaming requires a sustained programmatic approach tailored to national circumstances. The framework for mainstreaming SCP and RE proposed here is based on this programmatic approach. It consists of three components, each of which involves a set of activities for which a range of methodologies and tools can be used (UNDP-UNEP PEI 2009). The three components, along with their intended outcomes, are illustrated in figure 5.1.



### Further Reading & Resources: Programmatic Approach

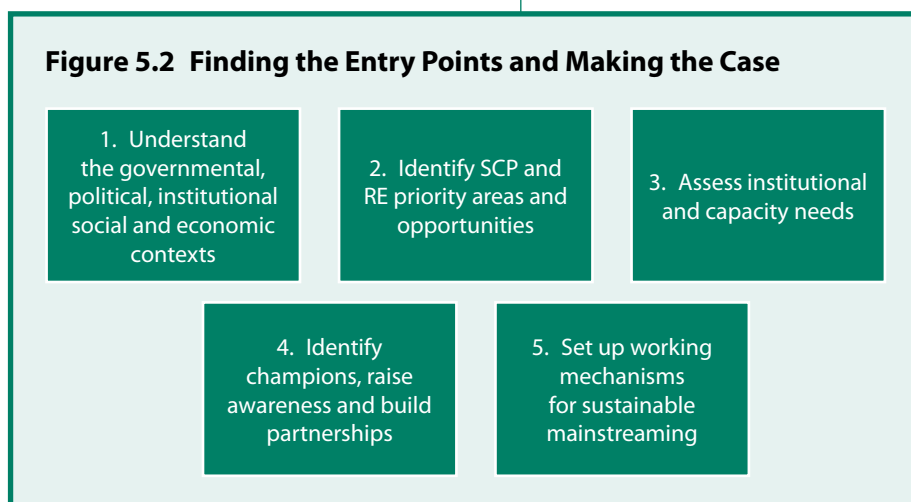
- UNDP-UNEP PEI (2009), [www.unpei.org/Knowledge-Resources/PEI-Handbook.asp](http://www.unpei.org/Knowledge-Resources/PEI-Handbook.asp)

Stakeholder engagement, coordination with the development community, and institutional and capacity strengthening take place throughout the mainstreaming effort, from inception to the point where integration of SCP and RE opportunities into all policy and planning processes becomes institutionalized.

A more detailed discussion of the three components of the mainstreaming programme is presented in sections 5.1, 5.2 and 5.3, respectively.

## 5.1 Finding the Entry Points and Making the Case

Figure 5.2 shows the elements involved in this first component of finding the entry points and making the case. The first three elements relate to the analyses required for setting the stage for mainstreaming; the last two are focused on the actions required for getting ready for mainstreaming.



### 5.1.1 Understand the Governmental, Political, Institutional, Social and Economic Contexts

#### Guiding Questions

##### Policy Processes

- What are the processes used to develop policies, strategies and budgets shaping resource use, production and consumption, notably in areas and sectors such as energy, water, resource management and rights allocations, trade and industrial development, education and environmental protection? These processes could include internal departmental planning, intergovernmental consultations and decision-making guidelines, parliamentary processes and commissioned research.
  - Are these processes developed on an annual basis or over a longer time frame?
  - What are the main outputs of these processes (white papers, policy frameworks, strategic plans, etc.)?
- How are environmental, economic and development priorities formulated? In other words, what informs national development plans, national environmental policies or action plans, relevant sectoral policies, national sustainable development strategies and budget processes?
- How do technical, political and institutional processes relate to each other?
- What existing or future plans, policies, processes, strategies and activities have relevance to SCP and RE mainstreaming?

##### Roles and Responsibilities

- Who are the key people in shaping resource use, production and consumption trends in the country? (These could include decision-makers and leaders in government, NGOs, industry and business, the media and civil society.) How do they do so?
- Who are the key people who influence policy processes? (These may include politicians, researchers, media, technocrats, consumer groups and the private sector.) How do they do so?
- What other stakeholders are involved in decision-making, and how?

Successful integration requires a thorough understanding of the contexts into which SCP and RE are being mainstreamed. This in turn relies on a comprehensive mapping exercise that enables thorough understanding of the governmental, political, institutional, social and economic contexts.

If the country has developed a national SCP programme using the UNEP guidelines (UNEP DTIE SCP 2008a), much of the information required for this mapping will already have been gathered. Further reviews may be conducted to identify information gaps and to collect additional information where necessary. Sources of information may include government documents such as planning and budgetary guidelines, national and sectoral policies and economic development agendas, as well as targeted consultations with stakeholders.

Entities that may be included in the institutional mapping include the following:

- **Ministries or organs of state**, including those involved in the environment, finance, the economy, strategic planning, trade and industry, subnational government/municipalities, tourism, energy, education, transport, water and forestry
- **NGOs**, including environmental NGOs, community groups, land rights groups, indigenous groups, consumer and trade cooperatives, and private sector associations
- **Other entities**, including industry bodies (industry associations, chambers of commerce, import and export associations), trade unions, agricultural unions, academics and research institutions, consumers and consumer lobby groups, retailers and the media

Table 5.1 lists examples of plans, policies, processes and strategies that may have relevance to SCP and RE, and should be included in the mapping, where they exist.

**Table 5.1 Mapping of Plans, Policies, Processes or Strategies**

Type of plans, policies, processes or strategies	Examples
National plans and strategies	Poverty reduction strategy papers, national environmental action plans, national development plans, MDG-based national development strategies, national sustainable development action plans and strategies, MDG implementation plans
Sector plans and strategies	Policies on waste, water, health, energy, trade and industry, government procurement, agriculture, transport, education, private sector development, research and development/innovation, mineral rights
Budget processes	National budget allocation process or review (e.g. medium-term expenditure framework, public expenditure review), sector budgets, subnational budgets
Issue-based strategies	Climate change, biodiversity, cleaner production, industrial development, mineral resource development
Subnational level plans and processes	Local integrated development plans, municipal or subnational budgets, subnational economic development initiatives, decentralization policies

## 5.1.2 Identify SCP and RE Priority Areas and Opportunities

### Guiding Questions

- What are the environmental, economic and development priorities in the country?
- What SCP and RE areas have been covered by existing policies, instruments and regional, national, subnational and sectoral activities and initiatives? The plans, policies, processes, strategies and implementation measures identified during the institutional mapping will provide guidance in answering this question.
- What areas were covered by discontinued policies or completed activities?
- What have similar countries used as their priority areas?
- What areas would be the most challenging to implement?
- What important areas have not yet been covered?

(Source: UNEP DTIE SCP 2008a.)

In asking these questions, it is also useful to explore the following:

- What SCP and RE areas and opportunities will be easiest to implement early in the mainstreaming process?
- Which people, groups or institutions have the greatest leverage or influence on the system? These may include politicians, researchers, media, technocrats, consumer groups and the private sector.
- Which processes are currently under development or review and provide opportunities for intervention?

Ideally, mainstreaming will be built on the process of developing national SCP programmes. If such a programme has been developed for the country, SCP and RE priority areas and opportunities will already have been identified. Where there has been a time lag between development of SCP programmes and the mainstreaming process, there may be some value in revisiting these priority areas and opportunities to ensure that they are still valid.

If SCP and RE priorities and opportunities have not yet been developed, they should be generated through one-on-one meetings and stakeholder workshops with key governmental and non-governmental stakeholders, and through reviews of existing documents and studies, including those pertaining to the following:

- **International, regional, national, subnational and sectoral activities.** These should include independently developed initiatives that are not yet coordinated (either because they have been developed by different agents or designed at different levels). Examples include regional 10-year framework programmes (such as the African 10-Year Framework Programme on SCP), regional cleaner production programmes (such as the African Brewery Sector Water-Saving Initiative) and other relevant initiatives, e.g. those focused on reducing waste production or energy consumption within a specific industrial sector.
- **The present situation in the country.** These should include reports on the state of the environment (highlighting current and emerging challenges in the country), resource endowments (minerals, water, agricultural potential, human capital, biodiversity, etc.), resource consumption and production, imports and exports, economic profiles, social and economic priorities and research and development spending patterns.

- **Forecasts.** These should cover projected industrial, commercial and household consumption and production patterns and population and demographic trends.

Box 5.1 highlights country and regional experiences on how SCP and RE priority areas have been identified; box 5.2 gives further examples of priority areas.

### Box 5.1 Country and Regional Experiences: Approaches to Identifying SCP and RE Priority Areas

- In developing its national SCP programme, **Senegal** undertook an in-depth analysis of priority national social and economic development sectors, including existing and desirable consumption patterns. This analysis helped identify both existing good practices with respect to SCP and areas in which production was not considered to be in line with sustainability principles, and led to a summary of the programme's key focus areas. Multiple perspectives were incorporated in the analysis through a comprehensive stakeholder process.

The final programme identified a broad range of SCP priority areas spanning the primary (forestry, agriculture, water, livestock), secondary (industry, construction, energy) and service (tourism, transport, commerce) sectors.

- The strategic priorities of the **Mauritius** SCP programme were chosen by conducting expert consultations and focused interviews with key stakeholders. The objective of these discussions was to arrive at a set of priorities that would meet the following requirements:

- Encourage linkages between existing policies and programmes
- Avoid duplication of existing strategies and programmes
- Accomplish the objectives of the government and the United Nations
- Achieve the maximum possible beneficial outcomes

The priority areas identified were the following:

- Resource efficiency (energy, water and sustainable buildings and construction)
- Education and communication for sustainable lifestyles
- Integrated solid waste management and recycling
- Sustainable public service practices
- Market supply and demand for sustainable products

- In the early stages of exploring SCP, **Argentina** undertook two research studies on consumption patterns in households, one qualitative and one quantitative. These studies contributed to identifying the consumption priority areas for ultimate inclusion in the country's SCP programme (which has not yet been finalized).
- In **Cuba**, priority areas were defined by considering the environmental problems, objectives and goals identified in the National Environmental Strategy and the country's urgent needs after the devastation caused by Hurricanes Gustav and Ike. The preliminary priority areas were identified as food production, energy, water resources management, sustainable construction and waste management.
- Expert roundtable meetings are another approach to identifying priorities. Such a meeting was held with representatives of the Arab region to discuss priority SCP areas. The regional SCP priorities identified were energy, water, waste, rural development and poverty alleviation, and education and sustainable lifestyles. Sustainable public procurement was also flagged as a potential area of interest in the region.



### Box 5.2 Examples of SCP and RE Priority Areas and Opportunities

- **Energy.** Many countries around the world have set targets for increasing renewable energy production, including generation from solar, wind, hydro, biomass and geothermal sources, as well as the use of solar water heaters and cookers. For example, **China** has set a target of 15 percent of its total energy demand to be met by renewables by 2020; Pakistan has set a target of 10 percent by 2015; and Argentina has an 8 percent target for renewable energy consumption by 2016.
- **Water.** The **United Republic of Tanzania** is proposing a variety of activities for demand-side management of water as part of its national SCP programme. These activities include public awareness and education programmes to promote efficient water use and practices, encouraging institutions and households to collect rainwater for use and promotion of water pricing models that encourage efficient water use. Community-based water and sanitation programmes in urban and rural areas are being proposed to improve sanitation.
- **Transport.** As part of its national SCP programme, **Mauritius** has proposed influencing consumer behavioural changes and a shift to new transport modalities through measures such as park-and-ride schemes, incentives for carpooling and promoting increased bicycle use through education and awareness campaigns.
- **Construction and buildings.** Around the world, nations are focusing on more sustainable building design and operation. **South Africa** is introducing a voluntary Green Star Building Rating System that can be used to rate the environmental performance of buildings.

### 5.1.3 Assess Institutional and Capacity Needs

#### Guiding Questions

- What are the institutional and capacity strengths that will promote the SCP and RE mainstreaming process? What are the institutional and capacity weaknesses that will constrain the process?
- What are the current and likely future institutional challenges to mainstreaming?
- What capabilities need to be developed to support successful mainstreaming?
- What industry, business and/or consumer support will be available to promote SCP and RE mainstreaming?

The institutional and capacity assessment initially focuses on evaluating the level of understanding of SCP and RE challenges and opportunities within specific sectors, along with the underlying governmental, institutional and political contexts (box 5.3). The assessment is also aimed at determining capacity with respect to the mainstreaming process itself.

### Further Reading & Resources: Assess Institutional and Capacity Needs

- GEF Global Support Programme (2005), <http://ncsa.undp.org/docs/54.pdf>
- OECD (2009), [www.oecd.org/dataoecd/60/7/42898798.pdf](http://www.oecd.org/dataoecd/60/7/42898798.pdf)
- UNDP (2007), [http://europeandcis.undp.org/uploads/public/File/Capacity\\_Development\\_Regional\\_Training/UNDP\\_Capacity\\_Assessment\\_Users\\_Guide\\_MAY\\_2007.pdf](http://europeandcis.undp.org/uploads/public/File/Capacity_Development_Regional_Training/UNDP_Capacity_Assessment_Users_Guide_MAY_2007.pdf)

Many other methodologies and tools are available and can be adapted to national priorities and circumstances. More information is available at [Capacity.org](http://Capacity.org), [www.capacity.org/](http://www.capacity.org/), and [IIED](http://www.iied.org), [www.environmental-mainstreaming.org](http://www.environmental-mainstreaming.org).

### Box 5.3 Country Experiences: Institutional Strengths and Challenges

- One of the key institutional limitations identified in **Cuba** is a lack of awareness on SCP-related issues among decision-makers in the different ministries and a shortage of human resources. A lack of financial and material resources poses a further challenge. The strengths identified include the political will of the government in developing more sustainable policies and practices, and the existence of working groups in different ministries.
- The challenges associated with supporting development of a national SCP programme and mainstreaming of SCP and RE in **South Africa** include a lack of succession plans for individuals who are currently championing the process, and high staff turnover in government and competition (and hence lack of coordination) between government departments.

The exercise is carried out through a review of existing institutional and capacity assessments. If a national SCP programme has been developed, some of this information will already be available.

### 5.1.4 Identify Champions, Raise Awareness and Build Partnerships

It is vital to identify and engage champions to drive the ongoing SCP and RE mainstreaming process. Ideally, multiple champions should be brought into the process, some in senior civil service and some in private sector posts; the latter are likely to have a lower staff turnover rate and thus greater continuity. Champions should be engaged not only within the environmental sector but also across all sectors where SCP and RE are relevant, particularly within trade and industry and consumer-related bodies. Box 5.4 details recent country experiences with champions. The varying degrees of success illustrated by these experiences reinforce the idea that there should be multiple champions and that some may need to be trained or mentored.

In addition to engaging champions and other representatives of governmental and non-governmental bodies, countries embarking on SCP and RE mainstreaming should try to connect with external partners, including those from

#### Action Checklist

- ✓ Engage government, NGOs, civil society, industry, consumer and media bodies early on in the mainstreaming process to increase awareness and build consensus, commitment and partnerships.
- ✓ Mobilize champions to support the mainstreaming process.
- ✓ Position the mainstreaming effort within existing and related initiatives.
- ✓ Access learning and good practices from countries with similar experiences.
- ✓ Engage the development community.
- ✓ Use the media for information dissemination.

### Box 5.4 Country Experiences: Champions for SCP and RE

- In **Cuba**, the National Group for Cleaner Production and Sustainable Consumption, created in 2004, is championing the country's SCP and RE processes. This group is led and coordinated by the Ministry of Science, Technology and Environment, which, after defining its champion team, requested that other relevant ministries designate representatives or coordinators for conducting SCP work in each sector. In this way, the ministry has ensured the support of its government counterparts.
- The Secretary of Environment and Sustainable Development in **Argentina** was initially the champion for exploring SCP in that country, and received strong support from the Ministry of Science and Technology and the Secretariat of Energy. Additional support was provided by the private sector through its active participation in working groups and committees.
- In **Argentina** and **Senegal**, dependence on a single individual for championing SCP has been detrimental to the process of developing (and ultimately mainstreaming) a national SCP programme. In both countries, the individual who was championing these processes was replaced, which has led to a reduced focus on finalizing and/or implementing the SCP initiative.
- The coordinating agency and champion for implementation of the national SCP programme in **Mauritius** is the Ministry of Environment. Its commitment to the process has led to the formation of a special unit dedicated to the programme.

neighbouring countries who may have had experience in this area. A particular emphasis should be placed both nationally and internationally on reaching out to trade and industry, and to business and consumer bodies.

Members of the development community—such as international funding institutions, multilateral and bilateral donors, and international and national NGOs—can also be useful partners. They can make important contributions to the mainstreaming process, and can set up joint initiatives or provide in-country funding for implementation of SCP and RE measures.

Awareness raising—whether aimed at the identification and engagement of champions, the building of partnerships or the edification of the public—can be achieved through one-on-one meetings, workshops with governmental and non-governmental actors, field visits, working with the media (box 5.5), consumer awareness campaigns and by making use of locally generated consumer preference information.

Mainstreaming of SCP and RE should not be conducted in isolation. Where possible, forces should be joined with other poverty and environment mainstreaming efforts to create synergies at various levels.

### Further Reading & Resources: Identify Champions, Raise Awareness and Build Partnerships

- **Asia Pacific Roundtable for Sustainable Consumption and Production**, [www.aprscp.net/](http://www.aprscp.net/)
- **African Roundtable for Sustainable Consumption and Production**, [www.arscp.org/](http://www.arscp.org/)
- **Tennyson (2003)**, [www.iblfr.org/resources/general.jsp?id=49](http://www.iblfr.org/resources/general.jsp?id=49)
- **UNEP and Futerra (2005)**, [www.unep.fr/scp/publications/details.asp?id=DTI/0679/PA](http://www.unep.fr/scp/publications/details.asp?id=DTI/0679/PA)

### Box 5.5 Country Experiences: Involving the Media in Awareness Raising

- In **Lebanon**, SCP planners send out periodic press releases and buy air time to disseminate information on SCP, and invite the media to cover all government and privately organized SCP-related events.
- Indalo Yethu is a coordinated environmental campaign initiated by the government in **South Africa**. The campaign promotes green and eco-friendly practices as a viable lifestyle, making extensive use of the media to achieve its aims.
- The national SCP programme developed in **Mauritius** recommends, among other things, that the government consider implementing a 1 percent tax on advertising and use the money collected to produce and air advertisements on sustainable lifestyles. It has also recommended that the Ministry of Environment coordinate regularly with newspaper journalists covering environmental issues so as to communicate programme objectives, targets and achievements. In this regard, journalists who write regularly on environmental issues in the country's two most popular newspapers were included on the advisory committees and working groups involved in the establishment of the national SCP programme. The journalists consequently published numerous articles on various subjects related to the SCP, thus helping raise the programme's profile in the country.
- **Cuba** recognizes the important role the media play in SCP programme implementation by participating in information dissemination campaigns, for example, those related to water and energy savings, waste recycling and other activities. The media have been engaged in the development of the SCP programme through workshops, press releases, TV programmes (including a course on cleaner production and environmental protection). Media involvement has shown to be effective in private sector education and in developing an interest in improving the environmental performance of private sector organizations.
- **Nicaragua** has used the media to publicize clean production projects and initiatives as well as to showcase best practices through the launch of prizes awarded for cleaner production.

### 5.1.5 Set up Mechanisms for Sustainable Mainstreaming

Sustained—and sustainable—mainstreaming relies on effective mechanisms that allow the champions involved in the process to engage effectively with each other and with key sector ministries, subnational bodies, non-governmental actors and the development community. The following activities are integral in creating these mechanisms:

- **Identification of a lead institution responsible for providing substantial guidance to the mainstreaming process.** In many countries, this role is fulfilled by the ministry of the environment or similar environmental management authority. The lead institution should not rely on a single individual, and a suitable succession plan must be in place should an individual leave an organization. Strong buy-in from the office of the vice presidency/presidency and/or the ministry of finance and planning for the mainstreaming process is crucial.
- **Engaging or establishing a steering committee responsible for providing strategic and political guidance to the effort.** The committee could include

#### Action Checklist

- ✓ Identify existing mechanisms and institutions that can support mainstreaming.
- ✓ Identify a lead institution.
- ✓ Establish or engage a steering committee and task teams or technical committees.
- ✓ Put institutional and management arrangements and support systems in place.
- ✓ Put succession plans in place.

high-level representatives from environmental institutions, planning and finance ministries, sectoral ministries, subnational bodies and non-governmental actors, including industry, business and consumer groups. The steering committee function can be attached to an existing mechanism, such as an environmental or sustainability working group, a national cleaner production activity steering committee or the steering committee of a broader mainstreaming initiative.

- **Establishing or engaging existing task teams or technical committees responsible for carrying out the activities and tasks required to achieve mainstreaming.** These teams or committees may be focused on a particular sector (e.g. with representatives from trade and industry, energy and/or water) or issue (such as mineral resources management, biodiversity protection, consumer rights protection) or may span several sectors and issues.

The committees can then put in place arrangements for how they will contribute to the national development planning process, such as thematic working groups, stakeholder meetings, preparation of working papers or policy briefs, liaison with the drafting team of a national development policy or strategy, etc. (UNDP-UNEP PEI 2009).

The teams should define a common management framework including agreement on human resource provisions and financial arrangements for the mainstreaming process (such as budget, accountability mechanisms, sources of funds, etc.). Further relational arrangements must be determined such as the work plan for mainstreaming, reporting, monitoring and evaluation, and access to technical assistance. Sufficient human resources should be allocated for day-to-day implementation of the mainstreaming effort, including managerial, technical advice and administration (UNDP-UNEP PEI 2009).

Although no countries have undertaken a formal, integrated SCP and RE mainstreaming process, box 5.6 presents two country-specific examples of mechanisms that could be used in developing national SCP programmes and supporting SCP-related activities.

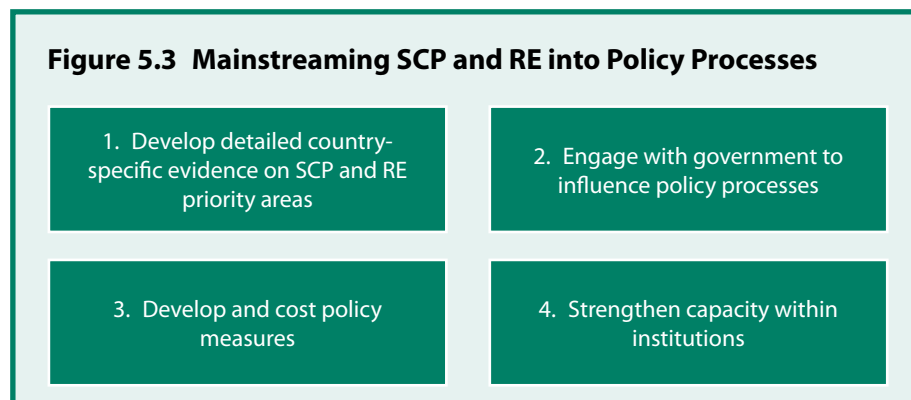
Existing mechanisms and institutions should be used where possible. New tools and entities should only be created if no suitable existing mechanisms can be found.

### Box 5.6 Country Experiences: Mechanisms for Mainstreaming

- A variety of useful mechanisms evolved in **Argentina** during development of its SCP plan. Three working groups with representatives from government, industry, NGOs and academia were initially established to identify priority SCP areas. From these working groups, an advisory committee on SCP was established for the purpose of guiding SCP development and implementation within the country. This advisory committee was institutionalized by a resolution signed by the Secretariat of Environment and Sustainability, and hence theoretically has significant influence. The country has also established a SCP division under the Secretariat of Environment and Sustainability with the sole focus of promoting SCP in Argentina. Nonetheless, due to political changes within the secretariat, SCP-related activities were given a different priority and focus. Consequently, the committee has been inactive and implementation has mainly focused on cleaner production. As of this writing, there was some indication that committee activities may resume soon.
- In **Cuba**, an existing mechanism (the National Group for Cleaner Production and Sustainable Consumption and its task teams in the relevant ministries) was used to support SCP programme development. The Ministry of Science, Technology and Environment leads and coordinates the work of all the stakeholders and other champions, and leads and coordinates the work at the sectoral level, according to current policies and strategies. Each ministry that belongs to the national group has sectoral working groups, and its champions work directly with industry groups, individual industries and other organizations. They also disseminate information about SCP activities and achievements through the media.

## 5.2 Mainstreaming SCP and RE into Policy Processes

Figure 5.3 shows the elements of the next component of the mainstreaming effort. Elements 1 and 2 represent further analysis requirements, while elements 3 and 4 relate to actions that need to be taken.



### 5.2.1 Develop Detailed Country-Specific Evidence on SCP and RE Priority Areas

#### Guiding Questions

- What are the priority areas for SCP and RE mainstreaming?
- Which areas and opportunities have the greatest potential for positive impact on society and the environment?

The activities undertaken earlier in the process (see section 5.1.2) **qualitatively** identify SCP and RE priority areas and opportunities as well as existing SCP programmes and policies. This information is now expanded to develop **quantitative** and semi-quantitative evidence for preferred SCP and RE priority areas. Information sources for developing such evidence may include the following:

- State of the environment reports
- Trade data
- Data on industrial production and commercial activity
- Industrial and domestic consumption activity data
- Economic studies
- Experience from other countries

Once the evidence is gathered, it must be analysed with a view towards evaluating SCP and RE opportunities. Box 5.7 describes two sets of approaches that may be useful in this regard. Note, however, that budgetary and time constraints may limit the extent to which such tools can be applied.

This element of mainstreaming can have a political dimension to it, as there may be political pressure to focus on high-profile areas that have the potential to win votes or community favour, rather than on those that have the greatest benefit for society and the environment. Where possible, attempts should be made to ensure that political agendas that might preclude addressing high-impact mainstreaming issues do not dominate.

#### Further Reading & Resources: Develop Detailed Country-Specific Evidence on SCP and RE Priority Areas

- [UNDP-UNEP PEI \(2008\),  
www.unpei.org/PDF/primer-complete-LR.pdf](http://www.unpei.org/PDF/primer-complete-LR.pdf)

### Box 5.7 Tools and Approaches to Support Assessment of SCP and RE Opportunities

- **Life-cycle approaches** enable analysis beyond the boundaries of a single enterprise or activity so as to include the full life-cycle impacts or costs of a product or service. Such analysis looks at supply chains (the extraction, processing and transport of the raw materials used in a particular process or service), use of the product or service, and the disposition of material products (e.g. through reuse, recycling or disposal schemes). Taking a life-cycle approach means recognizing how choices at one point in the life cycle influence what happens at each of the other points. Once equipped with this information, an explicit effort can be made to balance trade-offs at various points in the life cycle, and decisions can be taken for the system as a whole that have the greatest positive benefits for the economy, the environment and society. **Life-cycle impact assessment** refers to a quantitative approach to determining these overall impacts from an environmental point of view; **life-cycle costing** refers to understanding the relevant monetary costs. **Supply chain analysis** also falls into this broad category. Useful information on life-cycle assessment can be found online at [www.doka.ch/lca.htm](http://www.doka.ch/lca.htm) and [www.life-cycle.org/](http://www.life-cycle.org/).
- **Sensitivity analysis and scenario planning** involve assessing alternative possible future developments in order to understand how these alternatives would affect the intended outcomes of any initiative, as well as how they would affect the relative cost-benefit equation. Scenario planning highlights major forces (e.g. changing economic or social realities, changing technologies, etc.) and provides insight on how these forces may interact; it does not attempt to predict one specific outlook. Various future scenarios are envisaged and planned for; this can be done qualitatively or through a combination of quantitative and qualitative assessments.

### 5.2.2 Engage with Government to Influence Policy Processes

For an issue like SCP and RE to become part of the institutional and policy process requires interaction by a champion at the personal level to convince policymakers to include the issue in policy development. The findings of preliminary assessments and country-specific evidence, including details of SCP and RE priority areas and the associated costs, are used as a basis for this engagement. Business, industry and consumer support are key in this regard.

The information to support the process of influencing policy can be gathered through policy analysis, stakeholder consultation and expert input, results of country-specific analyses and existing studies, and possibly further studies to demonstrate the benefits of SCP and RE. Complex, time-consuming analysis is often not required, and simple analytical arguments and concrete examples can be effective in supporting the process.

#### Action Checklist

- ✓ Mobilize champions.
- ✓ Provide platforms for open communication.
- ✓ Define a timetable and approach for mainstreaming.
- ✓ Provide mechanisms for dissemination of information and for working on shared projects.
- ✓ Build relationships.

### 5.2.3 Develop and Cost Policy Measures

#### Guiding Questions

- What are the preferred policy measures for mainstreaming the prioritized SCP and RE areas?
- What are the costs and benefits of proposed SCP and RE policies and programmes, and which areas and opportunities are the most financially and commercially profitable?
- What is the cost of doing nothing?
- What are the costs of alternative approaches or scenarios?
- What financing sources are available for implementation?

The absence of prioritized and costed policy measures is one of the main reasons environmental priorities do not figure prominently in government budgets—and why such priorities are not implemented (UNDP-UNEP PEI 2009). Because all countries, particularly developing countries, are faced with the challenge of balancing a limited budget across a wide range of priorities, it is critical that SCP and RE efforts, as far as possible, identify the potential costs and benefits of any initiative in order to prioritize preferred areas of intervention.

The costs and benefits of the preferred SCP and RE policies and programmes must therefore be determined in tandem with identifying the costs of implementation (box 5.8). The latter tend to be the major cost items, as opposed to the drafting and institutionalization of the policy itself.

Decision-making time frames and information gaps often do not allow for a comprehensive costing of all of these aspects. It is therefore often necessary to have a “best guess” estimate of costs, based on local experiences with similar policies or international benchmarked costs that have been adjusted for major differences in local cost structures. Comparative costs will also need to be estimated—for example, what is the cost of doing nothing? What is the cost of alternative approaches or scenarios? The tools associated with life-cycle costing will help provide the answers to such questions.

Costing policy measures is best achieved through a participatory approach, in coordination with budget and financial specialists from ministries including finance and planning, sector ministries and subnational bodies to ensure that measures are aligned and included at various levels of budgeting at a later stage. Non-governmental actors with experience in resource management should be included in the process, particularly in determining the costs and benefits of subprogrammes and initiatives. Such actors include economists, academics and business people. Where possible, existing mechanisms and institutions should be used to support this element, with the requisite information being gathered from the results of existing studies as possible. New studies should only be carried out if entirely necessary and critical to the process. “Win-win” opportunities should be sought, where sustainable consumption or production activities can result in increased economic output, employment and poverty alleviation, for example through waste recycling programmes.

From a government budgeting perspective, it is important to understand which costs are additional and which are redirected spending from programmes that would have taken place before but with a different focus. Governments are

#### Further Reading & Resources: Develop and Cost Policy Measures

- UNEP DTIE SCP (2009), [www.unep.fr/scp/publications/details.asp?id=DTI/1136/PA](http://www.unep.fr/scp/publications/details.asp?id=DTI/1136/PA)



### Box 5.8 Tools and Approaches for Assessing Policy and Implementation Requirements

- *Towards Triple Impact: Toolbox for Analysing Sustainable Ventures in Developing Countries* (UNEP DTIE SCP 2009) provides guidance on **identifying opportunities, understanding determinants of success and assessing the costs and benefits** of sustainable ventures. This understanding is crucial to supporting the ongoing viability of the enterprise and in increasing its scale and outreach. The toolbox provides guidance in assessing four determinants: the enablers, constraints, opportunities and risks to the venture.
- Traditional **financial accounting assessment** approaches yield an assessment of payback periods on investments and the rate of return on investments.
- **Multicriteria decision analysis (MCDA)** refers to a set of approaches that have been developed to support decision-makers who are faced with making numerous and conflicting evaluations around a particular decision. MCDA aims at highlighting these conflicts and finding a way to reach a compromise in a transparent process. The tools under the MCDA banner offer guidance on effective means of **decision structuring**, including problem definition, stakeholder engagement, options generation, criteria and performance measures, as well as **decision analysis**.
- **Scorecard approaches** allow various aspects of alternatives to be scored and summed (with or without weightings) to provide a ranking of alternatives.

likely to find it easier to increase funding for something that can be linked to an existing budget line. More information on budgeting is in section 5.3.2.

### 5.2.4 Strengthen Capacity within Institutions

Institutional capacity-strengthening is common to many mainstreaming processes and aims to raise the level of awareness and provide hands-on practical experience to stakeholders so they will better support the initiative. It is not conducted separately, but is integral to many of the other mainstreaming elements. It is highlighted here to call attention to its importance and detail the ways in which it may be achieved.

#### Action Checklist

- ✓ Train individuals to support the mainstreaming process.
- ✓ Build infrastructure and systems in institutions.

Approaches to strengthening the capacities of **individuals** include the following (UNDP-UNEP PEI 2009):

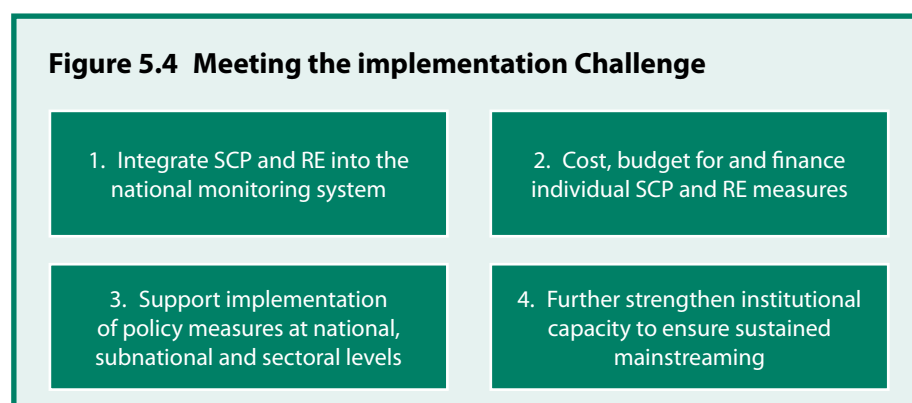
- On-the-job learning
- Collaborating with interdisciplinary teams
- Working with non-governmental actors, including communities, businesses and industry (possibly including secondment to other countries or institutions)
- Formal training
- Twinning cooperation between national organizations and their counterparts in other countries
- Exchange visits
- Technical support

Beyond building capacity among individuals, it is vital to build the capacity of institutional systems so that the loss of one individual does not result in a collapse of the entire mainstreaming process. Requirements for **institutional** capacity-building may include the following, with the relevance and level of complexity depending on the country context:

- Building information management systems
- Enhancing communication systems both within and among government departments
- Enhancing coordination systems
- Implementing structural changes to the institution, including the establishment of new jobs/positions
- Introduction of new technologies
- Alignment of record-keeping and accountability systems

### 5.3 Meeting the Implementation Challenge

The final component of the mainstreaming process consists of the series of action elements outlined in figure 5.4.



#### 5.3.1 Integrate SCP and RE into the National Monitoring System

Integration of SCP and RE into the national monitoring system helps ensure that progress on meeting goals from policy measures is monitored and thus supports successful implementation. This integration will allow policymakers and implementers to demonstrate the impact of policy measures, share learning, adjust policies, and guide budget and resource allocation. It will further aid in identifying emerging issues to be addressed in future policy.

##### Action Checklist

- ✓ Develop a list of country-specific SCP and RE indicators.
- ✓ Identify data sources for information.
- ✓ Integrate SCP and RE monitoring into the national monitoring system.

Indicators are usually developed through an extensive process of research and consultation, and need to reflect the full extent of the impacts of SCP and RE measures, specific to the country context (box 5.9). Guidance on the

### Box 5.9 Country Experiences with SCP Indicators

- **Nicaragua** has received support from the Embassy of the Netherlands to develop environmental and sustainable development indicators to be used in monitoring water, energy and raw materials consumption in a variety of industries and sectors including fisheries, dairies, beverages, fruit and vegetables, ceramics, hotels, hospitals, abattoirs, coffee, leather and footwear, textiles and clothing.
- The **United Republic of Tanzania** has a set of 96 national development targets monitored as part of its National Strategy for Growth and Reduction of Poverty. Sixteen of these targets are related to the environment; several are relevant to the concepts of SCP and RE. Any monitoring programme established in association with further initiatives to mainstream SCP and RE should thus be able to make use of data that are already being collected rather than have to initiate new data collection processes.
- Following the approach developed by UNEP (UNEP DTIE SCP 2008b), **Mauritius** has defined a set of 30 indicators for use in monitoring the effectiveness of its national SCP programme. These indicators have been grouped into the four aspects of compliance, efficiency, connectivity and critical stock.

development of SCP and RE indicators is provided in a complementary publication by UNEP (UNEP DTIE SCP 2008b), which emphasizes the importance of developing customized indicator sets, rather than picking and choosing from predefined lists of indicators. To inform public policy in a meaningful manner, indicators should provide information at both the macro (country) level and the micro level (individual producer or consumer).

Four perspectives should be taken into consideration when developing indicator sets of relevance for SCP and RE:

- **Compliance.** Indicators should gauge the coverage of SCP-related issues in terms of legislation (e.g. on pollution, waste and human rights), the provision of adequate staffing of national or subnational inspectorates, and increasing levels of compliance by companies. A particular area of concern in developing countries is often the performance of small and medium enterprises and the informal sector, much of which is not regulated. **Examples of specific indicators include number of pollution events, number of community complaints about environmental and employment conditions and number of government waste control officers per number of companies and gross domestic product.**
- **Efficiency.** Indicators should capture the material, energy and water intensity of products and processes, or where products offer greater efficiency or the ability to reduce resource use while retaining utility. **Specific indicators could include water demand or waste per unit product or turnover, or by sector, waste going to landfill and energy consumption per unit of gross domestic product.**

#### Further Reading & Resources: Integrate SCP and RE into the Monitoring System

- UNEP DTIE SCP (2008b), [www.unep.fr/scp/publications/details.asp?id=DTI/1085/PA](http://www.unep.fr/scp/publications/details.asp?id=DTI/1085/PA)

- **Connectivity.** Connectivity enhances the ability to forge relationships of mutual benefit through access to information, knowledge, transportation, communications and other social networks.. It can be measured at the personal level (e.g. access to Internet services), the organizational level (e.g. providing information to stakeholders) and the country level (e.g. the rate of rural migration). **Specific indicators may include percentage of population with access to public transportation networks, percentage of population with Internet access, access to schools, graduates from tertiary institutions and Gini coefficient.**
- **Critical stock.** Indicators should illustrate the degree to which production and consumption systems are transforming to take account of the need to restore (or at least not systematically degrade) critical stocks of natural capital. **Indicators may include rate of deforestation, share of renewables in energy supply and use of organic farming methods.**

Multiple data sources will be accessed to obtain the information required to populate the indicator sets. Strong coordination mechanisms should be put in place to avoid duplication of effort, and to ensure that existing systems are used before any new systems for data collection are developed. Strengthening capacity in various offices that collate data is essential for limiting duplication and streamlining data collection.

### 5.3.2 Cost, Budget for and Finance Individual SCP and RE Measures

Following the policy process (see section 5.2.3), the costs and benefits of SCP- and RE-related policies and programmes, as well as the costs of implementation of SCP and RE activities and initiatives, are determined. These measures may require significant capital investment for their establishment or may consist merely of fiscal measures such as taxes or tax incentives aimed at encouraging specific behaviours by producers and consumers. Not all measures are costly: some can be achieved with minimal or no investment, while others may be leveraged off existing budgets in other government departments. Box 5.10 describes various countries' experience in funding SCP and RE measures.

Where capital investment is required, this may be accessed from either the private or public sector, or both. Where measures are potentially profitable (such as where it is possible to create demand for new products or obtain price premiums for environmentally sustainable processes or products), **private sector investment** is likely. Examples include organic agriculture, road congestion pricing and forestry stewardship programmes.

#### Action Checklist

- ✓ Confirm funding requirements and revenue streams of SCP and RE activities and initiatives.
- ✓ Identify funding sources and the roles and contributions of government, the private sector and donor agencies in financing.
- ✓ Influence decision-making within the budget allocation process.
- ✓ Ensure that budgets are allocated to sectoral and subnational bodies.

### Box 5.10 Country Experiences: Funding of Individual SCP and RE Measures

- **Argentina** recently obtained a \$40 million loan from the Inter-American Development Bank in support of a two-pronged environmental protection programme. The programme's first prong will support cleaner production and eco-efficiency in small and medium enterprises through promotion, capacity-building and training activities, as well as financing of technological improvements. The second prong relates to environmental protection and mainstreaming in the mining sector.
- In **Cuba**, each ministry allocates a limited budget to environmental investments, some of which are associated with SCP strategies.
- A portion of the levy charged on plastic bags supplied at supermarkets in **South Africa** is used to promote the recycling of plastic waste and general environmental awareness across all sectors of society.
- Implementing the actions identified in **Mauritius**'s ambitious national SCP programme is estimated to cost approximately Rs 35 million (about \$1.17 million), with much of the expenditure to be incurred in the programme's first three years. Accessing funding remains one of the critical challenges to programme implementation; several approaches to sourcing funding and in-kind technical support have been proposed:
  - Accessing direct funding from the programme-based budgeting process
  - Generating revenue for specific projects through existing and proposed taxes administered by the Ministry of Finance and Economic Development
  - Accessing the Maurice Île Durable Fund, a government fund set up to support various sustainability-related projects in Mauritius
  - Conduct liaison with the task forces involved in the Marrakech Process to identify opportunities for technical assistance and funding
  - Obtain technical support from the UNEP/Wuppertal Institute Collaborating Centre on Sustainable Consumption and Production (CSCP) on developing pilot projects into proposals that could be submitted for fund mobilization by countries
  - Development aid
  - Sponsorship by the private sector as part of its corporate social responsibility activities

In other cases, the benefits of intervention are at the level of the “public good,” or accrue over such a long period of time that private sector investment is unlikely to be forthcoming on the basis of profitability alone. Here, **public sector funding** will be required, or the private sector may get involved through corporate social responsibility or marketing initiatives. In many cases, particularly where capital costs and risks are relatively high, a combination of public sector and private sector funding is the norm. For example, in the case of sustainable energy projects, the public sector may finance some of the core infrastructure while the private sector finances ongoing operations, or the public sector will provide investment incentives to catalyse private sector investment.

Market mechanisms such as the Clean Development Mechanism and similar opportunities for carbon trading are a further source of funding and revenue, as is donor funding that may be accessed to support these measures.

To influence national, sectoral or subnational budgets, it is necessary to understand how budgets are prepared, and engagement must follow the budgetary calendar, practice and standards of the appropriate ministries. Engagement with the budget should, where relevant, include short- and medium-term budgets such as medium-term expenditure frameworks, particularly where new infrastructure is needed to support SCP and RE measures.

Various ministries may need to be engaged, as control of budgets and specific areas of policy where SCP and RE measures are housed are likely to be different, and hence coordination among them is essential. Business, industry and civil society should be mobilized to provide support for budget allocation to SCP and RE measures. Suitable budget allocation should also be made to sectoral and subnational bodies to support their role in the implementation of SCP and RE measures.

The role of SCP and RE measures in contributing to public finances should be highlighted. Revenue collected through taxes and levies will contribute to public finances, providing a revenue stream that could be reinvested in further measures.

### 5.3.3 Support Implementation of Policy Measures at National, Subnational and Sectoral Levels

After SCP and RE have been integrated into policies and programmes, it is necessary to ensure that the related policy measures are actually implemented at national, sectoral and subnational levels (box 5.11). It is only through such implementation that mainstreaming will have a strong impact on the day-to-day realities of government agencies, businesses and citizens.

Policy implementation can be supported through the following mechanisms:

- Requirements and vehicles for visible, regular reporting on progress and lessons learned to facilitate sharing of lessons and foster coordination
- Service-level agreements or memoranda of understanding established among different entities to help clarify roles, time frames and consequences of not achieving tasks and goals
- Dissemination of SCP and RE success stories and information about individuals making significant contributions to the process

#### Action Checklist

- ✓ Develop an implementation plan, including budget allocation, and confirm roles and responsibilities for achieving implementation.
- ✓ Monitor progress and review actions.
- ✓ Evaluate and collect experience from the implementation process itself.
- ✓ Replicate measures where appropriate and practicable.
- ✓ Regularly review the implementation plan.

## Box 5.11 Regional, National and Subnational Examples of SCP and RE Activities

### Transport

- The cities of Curitiba in **Brazil** and Bogotá in **Colombia**, as well as many **Chinese** cities, have or are planning integrated rapid transport systems. Such systems aim to provide better transport service than regular bus systems through such mechanisms as dedicated lanes on roads, prepayment of fares to reduce driver time in fare collection, and more frequent and express services.
- Various countries have public transport systems that run partially or entirely on fuels other than petrol and diesel. Many of the buses in **Brazil** operate on a blend of biodiesel, alcohol and diesel fuels; many of the public buses in Johannesburg, **South Africa**, operate on natural gas.

### Waste

- Numerous countries around the world have policies, strategies and activities focused on waste reduction, reuse and recycling in order to reduce the volume of waste that must be collected and disposed of and to recover resources that would otherwise go to landfills. These activities often have the added benefit of revenue generation from recycling and reuse activities, particularly for lower income groups, as well as human health benefits by reducing the exposure of humans and animals to wastes. Cities including Maseru in **Lesotho**, Wuxi in **China** and Pune in **India** have developed integrated solid waste management plans.
- In Curitiba, **Brazil**, lower income groups bring their waste to a central collection point where it can be exchanged for food or bus tickets. This programme reduces waste management and disposal burdens as well as amount of litter on the streets.
- Many countries operate extended producer responsibility and container deposit legislation schemes that aim to recover end-of-life products and thereby reduce primary resource consumption and the amount of waste going to landfills.

### Water

- **Peru's** Water for Everyone programme includes 270 projects in the water and sanitation sector. The upgrading of water and wastewater plants in many parts of the country to ensure the provision of clean water and reduce the time spent in fetching water is supported by educational activities aimed at changing the culture around water utilization.
- The **African** Brewery Sector Water-Saving Initiative looks to achieve water savings for breweries by promoting the application of cleaner production principles. Water savings of 20 to 50 percent have been demonstrated ([www.unep.fr/scp/water/projects.htm](http://www.unep.fr/scp/water/projects.htm)).
- In an effort to provide an acceptable basic level of water and sanitation to all households in rural and peri-urban communities, the eThekweni municipality in **South Africa** recently conducted a large-scale roll-out of ventilated improved pit latrines, urine diversion toilets and yard tanks to households.

### Tourism

- **Bali's** Village Ecotourism Network promotes a tourism initiative whereby travellers can stay in community-designed and -managed villages rather than in hotels and have access to local guides and foods. The network aims to minimize the impact of tourism on the environment; profits contribute to community development and conservation activities in Bali's villages.

*(continued)*

### Box 5.11 Regional, National and Subnational Examples of SCP and RE Activities (continued)

- **Botswana's** National Conservation Strategy and Tourism Policy was created to promote tourism while protecting wildlife areas. It focuses on low-volume, high-value tourism by targeting a market of middle- to high-income tourists. This approach helps ensure relatively fewer disturbances to the natural environment through reduced tourist traffic.

#### Energy

- **China** and **Nepal** are world leaders in small-scale production of biogas for cooking and sometimes lighting from agricultural and household wastes; they have active programmes promoting these technologies.
- A project is under way in **Albania** to promote the development of a market for solar water heaters.

#### Retail and Consumers

- **Bangladesh** and **Rwanda** have a ban on all plastic shopping bags. **South Africa** has banned all bags of less than 30 microns thick, and requires retailers to charge a levy on all other plastic shopping bags. Plastic bag legislation not only cuts down on wasteful use of resources but reduces littering and secondary environmental impacts such as clogging of water courses and ingestion by animals.
- Eco-labels help consumers select products that meet certain minimum standards of sustainability performance. These labels may relate to a specific topic (e.g. **Tunisia** has its own organic standards, compatible with those of the European Union, and certification and inspection systems for organic produce; **Colombia** has a Florverde label which certifies that all flowers grown and harvested in that country meet specific social and environmental standards). There are also more generic eco-labels accorded a variety of products meeting minimum performance requirements in a wide range of environmental and social categories. **Tunisia** and **Thailand** are among the countries using these latter eco-labelling mechanisms.
- Many national and subnational governments, particularly in developed countries such as the **United Kingdom** (with its Public Sector Food Procurement Initiative) and local governments in **Canada**, the **United States** and **Italy**, have or are developing public procurement policies that include requirements for sourcing from local and organic suppliers. These are being used in school meal programmes, hospitals, prisons and other hospitality services for government offices.

#### Construction and Buildings

- **Brazil** and **India** have established Green Building Councils to support a move towards more sustainable practices in building construction and use.

#### Education

- **CLEAN-India**, the Community Led Environment Action Network, is a programme established by an NGO with the aim of promoting environmental assessment, awareness, advocacy and action. The programme is led by school students, who play a central role in influencing consumption patterns—and, to a lesser degree, production practices—within their communities.

#### Forestry

- Several country-specific sustainable forestry management programmes are in operation. In **Costa Rica**, FUNDECOR is an NGO that focuses on the promotion of sustainable production and use of timber and other products from old growth forests.



### 5.3.4 Further Strengthen Institutional Capacity to Ensure Sustained Mainstreaming

The final element of the effort—common to all mainstreaming processes—entails strengthening institutions and capacities to ensure that the mainstreaming initiative is sustained over the long term through ongoing integration in policymaking, budgeting, implementation and monitoring, once the initial mainstreaming effort is complete.

The aim is to embed SCP and RE understanding into government and institutional processes, practices, procedures and systems to develop a long-term approach to the institutionalization of SCP and RE mainstreaming. Linking performance management systems for institutions and individuals to progress towards SCP and RE goals will contribute to achieving this embedding.

Begin by conducting an analysis of all existing efforts towards institutional and capacity strengthening throughout the mainstreaming process, including the institutional and capacity needs assessment. In particular, give consideration to routine government and institutional processes, practices, procedures and systems in relation to SCP and RE that are crucial for sustaining the mainstreaming effort, such as the following (UNDP-UNEP PEI 2009):

- **Recurrent entry points.** Periodically revised key policy documents offer an opportunity for institutionalization. Such documents include poverty reduction strategy papers and other national development plans, national environmental action plans, national sustainable development action plans and strategies, cleaner production strategies, relevant sectoral level policy documents and reviews of national budget allocation processes.
- **Institutional cooperation mechanisms.** Mechanisms for long-term engagement between the environment, finance, planning, sector and subnational bodies should be put in place. These may include thematic working groups (including industry organizations, community groups, etc.), national cleaner production centres (box 5.12), stakeholder meetings or use of existing

#### Action Checklist

- ✓ Provide support, capacity-building and infrastructure development to ensure sustained mainstreaming.
- ✓ Link performance management systems for institutions and individuals to progress towards SCP and RE goals and targets to ensure implementation is taken seriously.

#### Box 5.12 Capacity-Building in Lebanon

Lebanon's Cleaner Production Centre centralizes knowledge and expertise in cleaner production and undertakes a variety of activities at the regional level to promote and establish linkages between industry and the environment. It conducts awareness-raising activities, in-plant demonstrations, and training and capacity-building throughout the Middle East. It has established ties with Europe by virtue of its donors, which include the United Nations Industrial Development Organization and the government of Austria, and continues to promote linkages between Lebanon and European countries. A major focus of the centre is securing sustainable financial resources so it can continue promoting SCP nationally and regionally.

governmental committees. New structures can be created or existing mechanisms leveraged. The modalities of operation of such working mechanisms (such as frequency of meetings, terms of reference, composition) should be determined.

- **Roles, human resources and accountability mechanisms.** Environmental units and officers in sector ministries and subnational bodies should be established, and issues of staff turnover and succession plans should be addressed.
- **Administrative procedures and systems.**

## 6. Conclusions and the Way Forward

This publication presents a flexible approach to support practitioners, champions and specialized agencies or institutions, donor agencies and NGOs in mainstreaming SCP and RE into national development planning. The approach consists of three components, each of which involves a set of analysis and action elements supported by a range of methodologies and tools that can be used. The three components are as follows:

- **Finding the entry points and making the case** is concerned with setting the stage for mainstreaming.
- **Mainstreaming into policy processes** focuses on integrating SCP and RE issues in all levels of relevant policy processes.
- **Meeting the implementation challenge** aims to ensure SCP and RE mainstreaming into budgeting, implementation and monitoring.

The programmatic approach presented here should help guide the choice of activities, tactics, methodologies and tools that can be deployed to address a particular country situation. The importance of coordinating poverty-environment and SCP and RE mainstreaming has been highlighted, and mainstreaming SCP and RE is an integral part of developing national SCP programmes.

Country- and region-specific case studies show some of the opportunities—as well as the challenges—associated with mainstreaming. The approach presented here is intended to help overcome some of the limitations and capitalize on the opportunities.

UNEP intends to build on this document through ongoing analytical work to provide further information to support the mainstreaming of SCP and RE, as well as through capacity-building across all levels of government to support effective and ongoing mainstreaming of this issue into policy. These efforts will ultimately contribute to managing the use of natural resources within the economy in such a way as to promote inter- and intra-generational equity.

# Abbreviations and Acronyms

MCDA	multicriteria decision analysis
MDG	Millennium Development Goal
NGO	non-governmental organization
RE	resource efficiency
SCP	sustainable consumption and production
UNDP	United Nations Development Programme
UNEP	United Nations Environmental Programme

All \$ referred to in this report are US\$, unless otherwise specified.

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## About the UNEP Division of Technology, Industry and Economics

The UNEP Division of Technology, Industry and Economics (DTIE) helps governments, local authorities and decision-makers in business and industry to develop and implement policies and practices focusing on sustainable development.

The Division works to promote:

- > sustainable consumption and production,
- > the efficient use of renewable energy,
- > adequate management of chemicals,
- > the integration of environmental costs in development policies.

### **The Office of the Director, located in Paris, coordinates activities through:**

- > **The International Environmental Technology Centre** – IETC (Osaka, Shiga), which implements integrated waste, water and disaster management programmes, focusing in particular on Asia.
- > **Sustainable Consumption and Production** (Paris), which promotes sustainable consumption and production patterns as a contribution to human development through global markets.
- > **Chemicals** (Geneva), which catalyzes global actions to bring about the sound management of chemicals and the improvement of chemical safety worldwide.
- > **Energy** (Paris), which fosters energy and transport policies for sustainable development and encourages investment in renewable energy and energy efficiency.
- > **OzonAction** (Paris), which supports the phase-out of ozone depleting substances in developing countries and countries with economies in transition to ensure implementation of the Montreal Protocol.
- > **Economics and Trade** (Geneva), which helps countries to integrate environmental considerations into economic and trade policies, and works with the finance sector to incorporate sustainable development policies.
- > **Urban Environment** (Nairobi), which supports the integration of the urban dimension, with a focus on environmental issues that have both a local and an international dimension.

*UNEP DTIE activities focus on raising awareness, improving the transfer of knowledge and information, fostering technological cooperation and partnerships, and implementing international conventions and agreements.*

For more information,  
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*The world is facing various challenges that threaten both ecosystems and humankind. These include climate change, land degradation, air and water pollution, depletion of non-renewable resources, poverty and hunger. Sustainable patterns of consumption and production (SCP), including efficient use of resources, can help address these challenges.*

*This publication was developed to provide countries with support in integrating SCP approaches and tools into policies and strategies, thereby ensuring SCP is considered at all levels of development planning. The publication complements two other publications, Planning for Change, a set of guidelines on how to plan, develop and monitor national SCP programmes, and the UNDP-UNEP handbook for practitioners, Mainstreaming Poverty-Environment Linkages into Development Planning.*