



FRAMEWORK CONTRACT COM 2015 Europe Aid/ 137211/ DH/ SER/ Multi  
Lot 1: EVALUATION

**Evaluation of EU international cooperation on Sustainable  
Consumption and Production**  
Europe Aid/ 137211/ DH/ SER/ Multi Lot 1

**FINAL REPORT**

**Volume 2: Appendixes**

**18<sup>th</sup> December 2017**

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|-----------------------|---|
| Project Title:        | <b>Evaluation of EU international cooperation on Sustainable Consumption and Production</b>   |
| Project Number:       | <b>Europe Aid/ 137211/ DH/ SER/ Multi Lot 1</b>   |
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The opinions expressed in this document represent the authors' points of view which are not necessarily shared by the European Commission or by the authorities of the concerned countries.

Date of report: 18<sup>th</sup> December 2017

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## Appendix 1: Terms of Reference



EUROPEAN COMMISSION

Directorate-General for International Cooperation and Development

### FRAMEWORK CONTRACT COM 2015

EuropeAid/137211/DH/SER/Multi

### Evaluation of EU international cooperation on Sustainable Consumption and Production

## SPECIFIC TERMS OF REFERENCE

### 1. MANDATE AND GENERIC OBJECTIVES

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Systematic and timely evaluation of its programmes, activities, instruments, legislation and non-spending activities is a priority<sup>1</sup> of the European Commission<sup>2</sup> in order to demonstrate accountability and to promote lesson learning to improve policy and practice.<sup>3</sup>

The generic purpose of this evaluation is:

- To provide an independent assessment of EU international cooperation on green economy, with a focus on Sustainable Consumption and Production (SCP);
- To identify key lessons and to produce recommendations to improve current and inform future choices on the formulation and implementation of international cooperation actions on green economy and SCP.

### 2. EVALUATION RATIONALE AND SPECIFIC OBJECTIVES

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The EU has provided support to developing countries to adopt green economy and SCP practices for many years. New allocations are planned, in line with relevant EU programming documents and with the 2030 Agenda for Sustainable Development which includes a dedicated Sustainable Development Goal (SDG) on SCP. In this context, a proper assessment of EU past and ongoing cooperation on green economy and SCP is necessary. Evaluations at project level have already been conducted, but there is a lack of comprehensive analysis of EU's overall support in this area. This evaluation will address this gap. It will guide future planning and implementation of international cooperation on SCP, in particular the development of the SWITCH TO GREEN flagship initiative<sup>4</sup>, as announced in the Global Public Goods and Challenges (GPGC) Programme<sup>5</sup> and in the Commission Communication on the role of the private sector in achieving inclusive and sustainable growth in developing countries<sup>6</sup>.

The specific purpose of the evaluation is to assess EU's cooperation on green economy, with a focus on SCP, on the basis of relevant projects (see list under section 4), in line with standard EU evaluation issues and criteria (relevance, efficiency, effectiveness, impact, sustainability, 3Cs (coherence, complementarity and co-ordination) and EU added value).

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<sup>1</sup> EU Financial Regulation (art 27); Regulation (EC) No 1905/2000; Regulation (EC) No 1889/2006; Regulation (EC) No 1638/2006; Regulation (EC) No 1717/2006; Regulation (EC) No 215/2008.

<sup>2</sup> SEC(2007) 213 "Responding to Strategic Needs: Reinforcing the use of evaluation"; Better regulation package

<sup>3</sup> COM (2011) 637 "Increasing the impact of EU Development Policy: an Agenda for Change"

<sup>4</sup> <http://www.switchtogreen.eu/>

<sup>5</sup> [https://ec.europa.eu/europeaid/sites/devco/files/mip-global-public-goods-and-challenges-2014-2020-c20145072\\_en\\_0.pdf](https://ec.europa.eu/europeaid/sites/devco/files/mip-global-public-goods-and-challenges-2014-2020-c20145072_en_0.pdf)

<sup>6</sup> <http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX%3A52014DC0263&qid=1400681732387&from=EN>

Particular attention will be given to the impact of EU cooperation on SCP (e.g. number of jobs created, savings and income generated by SMEs, reduction in resources consumption...), which appears to have been less documented in relevant projects evaluation. The evaluation will present case studies of selected projects and best practices to showcase impact achieved as well as challenges faced. The evaluation should take into account the fact that many EU funded SCP projects are pilot / demonstration projects meant to support the scaling-up of SCP practices and tools, the focus being on long-term impact, including capacity development, as opposed to direct immediate impact.

The evaluation should be forward looking and will provide recommendations for future international cooperation actions. Recommendations should be provided for all issues and criteria (i.e. relevance, efficiency, effectiveness, impact, sustainability, 3Cs (coherence, complementarity and co-ordination) and EU added value) but particular attention will be given to emerging issues identified in the context of ongoing projects, including decent and green job creation, green SMEs access to finance, and eco-entrepreneurship.

### **3. BACKGROUND**

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EU development policy provides a clear mandate for EU international cooperation on green economy in partner countries. The "Agenda for Change"<sup>7</sup> states that "EU development policy should promote a 'green economy' that can generate growth, create jobs and help reduce poverty..." Subsequently, the EU has also underlined the importance of the green economy in relevant areas of its development policy such as engagement with civil society and with the private sector. The 2030 Agenda for Sustainable Development, which will guide future EU international cooperation, does not refer specifically to the green economy but it commits the international community to further integrate environment sustainability and development globally. Among others, the new Agenda prioritises SCP under SDG 12 and across several other SDGs.

Complementarily, the European Commission adopted in December 2015 an Action Plan on circular economy<sup>8</sup>. This Action Plan aims to stimulate Europe's transition towards a circular economy, which will boost global competitiveness, foster sustainable economic growth and generate new jobs. It acknowledges the global dimension of the circular economy and supply chains and, in this context, says that the Commission will cooperate closely with international organisations and other interested partners as part of the global efforts to reach the 2030 Sustainable Development Goals.

In line with this policy framework, the EU provides support to the green economy transformation in developing countries, with a particular focus on SCP. As formulated in the EU Global Public Goods and Challenges (GPGC) –one of the main EU instruments financing green economy cooperation in developing countries- key objectives of EU cooperation in this area are 1) Inclusive green economy policy reforms take shape/are in place in a number of partner countries and 2) Economic actors are better equipped and have greater opportunities to develop green business and/or apply SCP practices in partner countries.

To support these objectives, the EU finances various "dedicated" green economy initiatives (e.g. SWITCH regional programmes, Partnership for Action on Green Economy, Green Economy Coalition...). DG DEVCO is currently developing a "SWITCH TO GREEN" flagship programme on green economy. This flagship is meant to bring together existing and new initiatives funded from the GPGC and other EU sources to avoid fragmentation, ensuring high impact and highlighting and expressing EU key interest and policies. Green economy and SCP are not stand alone cooperation areas. It should be acknowledged that cooperation in various sectors also contribute to the green economy in partner countries, while SCP offers plenty of opportunities for synergies with other key areas, such as private sector development, trade cooperation, agriculture, energy, and climate change.

The main ongoing initiatives on SCP and green economy to which the EU financially contributes to include:

#### SCP focused initiatives

- SWITCH Asia<sup>9</sup>

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<sup>7</sup> COM (2011) 637 final: *Communication from the Commission "Increasing the impact of EU Development Policy: an Agenda for Change"*

<sup>8</sup> COM(2015) 614 final: *Communication from the Commission: Closing the loop - An EU action plan for the Circular Economy*

<sup>9</sup> <http://www.switch-asia.eu/>

- SWITCH Med<sup>10</sup>
- SWITCH Africa Green<sup>11</sup>
- 10 Years Framework Programme on SCP<sup>12</sup>

#### Green economy initiatives

- Partnership for Action on Green Economy<sup>13</sup>
- Green Economy Coalition<sup>14</sup>
- Projects under the resource efficiency and green economy priority of the EU-UNEP Strategic Cooperation Agreement: 1) the "eco-innovation project"<sup>15</sup>, 2) "Advancing Caribbean States' Sustainable Development through Green Economy", 3) "Supporting Entrepreneurs for Sustainable Development in Africa<sup>16</sup>", 4) "Stimulating the demand and supply of sustainable products through Sustainable Public Procurement and Eco-labelling<sup>17</sup>"

#### Other relevant initiatives

The EU implements or finances other initiatives that do not aim to support SCP exclusively, but which objectives, approaches and/or tools make them relevant to EU objectives on green economy and SCP. These include, among others, the UNDP-UNEP Poverty Environment Initiative<sup>18</sup>, EU guidelines on environment integration<sup>19</sup>, as well as blending instruments<sup>20</sup> that combine EU grants with loans or equity from public and private financiers to attract additional financing for important investments which, in many cases, complement EU actions on green economy in developing countries.

## **4. SCOPE**

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### **Legal scope**

The evaluation will focus on the following initiatives:

- SWITCH Asia
- SWITCH Med
- SWITCH Africa Green
- EU support to the 10 YFP

The other initiatives listed in section 3 will not be the main focus of the evaluation. However, for comparative purposes, and for the analysis of the integration of EU support on SCP to the broader EU cooperation on green economy, these other programmes should be taken into account in the evaluation.

### **Temporal scope**

The evaluation will cover the entire implementation phase of the SWITCH programmes, i.e. since 2008 (launching of the first SWITCH programme in Asia) until now.

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<sup>10</sup> <http://www.switchmed.eu/>

<sup>11</sup> <http://www.switchafricagreen.org/>

<sup>12</sup> <http://www.unep.org/10yfp>

<sup>13</sup> <http://www.un-page.org/>

<sup>14</sup> <http://www.greeneconomycallition.org/>

<sup>15</sup> <http://www.unep.org/resourceefficiency/Business/CleanerSaferProduction/Eco-InnovationTheUNEPApproach/TheEco-InnovationProject/tabid/106016/Default.aspx>

<sup>16</sup> <https://www.seed.uno>

<sup>17</sup> <http://www.unep.org/resourceefficiency/Consumption/SustainableProcurement/SustainablePublicProcurementandEcolabelling/tabid/130240/Default.aspx>

<sup>18</sup> <http://www.unpei.org/>

<sup>19</sup> <http://capacity4dev.ec.europa.eu/t-and-m-series/document/integrating-environment-and-climate-change-eu-international-cooperation-and-development-tow>

<sup>20</sup> [https://ec.europa.eu/europeaid/policies/innovative-financial-instruments-blending\\_en](https://ec.europa.eu/europeaid/policies/innovative-financial-instruments-blending_en)

## Thematic scope

At policy level, the EU Sustainable Consumption and Production and Sustainable Industrial Policy Action Plan defines the scope of SCP at EU level. The 2030 Agenda for Sustainable Development, which includes a dedicated SDG on SCP, further defines its scope. It should be noted that, in this Agenda, SDG12 on SCP is closely connected to at least 12 other SDGs, providing critical connections among them and making the SDGs more tightly linked as a network.

At programme level, the thematic scope of the SWITCH interventions and of the 10 YFP is very broad, in terms of:

- Areas of support, including in particular policy development, private sector capacity building, and awareness raising;
- SCP practices, including resource efficiency, eco-labelling, industrial symbiosis, improved product design etc.
- Economic sectors under which SCP practices are promoted, including sustainable tourism, waste management and recycling, agri-business industries, chemicals, textile etc.

The SWITCH Asia projects database provides a good illustration of the practices and sectors covered by the SWITCH programmes (see <http://www.switch-asia.eu/projects/>).

## Geographical scope

The evaluation study will cover all countries covered by the SWITCH Programmes and the 10 YFP. For practical reasons, particular attention will be given to selected countries, in particular for field visits. However, the conclusions will always have to be drawn with respect to all partner countries.

## 5. EVALUATION ISSUES AND CRITERIA

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In line with standard EU methodology, and taking into account specific needs considered important for the development of the SWITCH TO GREEN flagship initiative, this evaluation will cover the following criteria:

- **Relevance:** The extent to which the objectives of EU funded programmes on SCP are consistent with beneficiaries' requirements, country needs, global priorities and partners' and EC's policies. This should take into account the changing global framework on SCP, in particular the adoption of the 2030 Agenda for Sustainable Development, the adoption of green economy related policies at national level in many developing countries, and relevant developments in the EU, such as the adoption of the circular economy action plan. Attention will also be given to the relevance of EU cooperation on SCP to other EU flagship initiatives / priority cooperation sectors.
- **Effectiveness:** The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance. This criterion should be used to examine if/to what degree the development interventions in focus, promote or have promoted a transition to an inclusive green economy.
- **Efficiency:** The extent to which outputs and/or the desired effects are achieved with the lowest possible use of resources/inputs (funds, expertise, time, administrative costs, etc.). Lessons from private sector development programmes should be used to answer this question.
- **Sustainability:** The continuation of benefits from a development intervention after major development assistance has been completed; the probability of continued long-term benefits; the resilience to risk of the net benefit flows over time. Particular attention will be given to the barriers and potential for scaling up of the results achieved, and on the extent to which the interventions have established mechanisms that will allow the scaling-up of SCP uptake by SMEs.
- **Impact:** Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended. This should look at the establishment of relevant policies and tools contributing to long term impact (e.g. improvement of standards and/or policies for access to more sustainable products, including sustainable supply chain management, eco-labelling,

etc.) as well as direct impact on the final recipients, in particular socio-economic impact (e.g. decent jobs created or maintained, income and savings generated by SMEs receiving support, livelihoods improvements etc.).

- **Coherence/complementarity:** This criterion may have several dimensions: Coherence within the Commission's development programme; Coherence/complementarity with the partner country's policies and with other donors' interventions. This should include, among others, existing or potential complementarities with EU national indicative programs, with the 10 YFP, with EU Member States interventions, with relevant initiatives like the UNEP Green Economy Initiative, and with relevant EU domestic actions in support to SMEs.
- **EU value added:** The extent to which the development intervention adds benefits to what would have resulted from Member States' interventions only in the partner country. This should look into potential complementarities and overlaps with MS interventions promoting inclusive green economy in the target regions

Evaluation questions should be proposed in the consultant offers on the basis of these criteria. The evaluation questions will be refined during the inception phase.

The evaluation will be forward looking, giving strong attention to lessons learnt, documenting best practices, and providing detailed recommendations for future EU cooperation on SCP.

## 6. RESPONSIBILITY FOR THE MANAGEMENT OF THE EVALUATION

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DEVCO Unit C2 is responsible for the management and supervision of the evaluation. The progress of the evaluation will be followed closely by a Steering Group consisting of Commission staff with an interest in the development of the SWITCH TO GREEN flagship initiative, i.e. from the following units:

- DEVCO C2 (Environment, ecosystems, biodiversity and wildlife);
- DEVCO B3 (Migration, Employment, Inequalities);
- DEVCO C3 (Financial Instruments);
- DEVCO C4 (Private Sector Development, Trade, Regional Integration);
- DEVCO H2 (Development coordination Central Asia, Middle East/Gulf and Pacific);
- DEVCO 04 (Evaluation);
- NEAR B2 (Regional Programmes Neighbourhood South);
- ENV E1 (International Relations).

Its principal functions will be to:

- Discuss and comment on the Terms of Reference;
- Discuss draft reports produced by the evaluation team;
- Ensure the evaluation team has access to and consults all relevant information sources and documentation on activities undertaken;
- Discuss and comment on the quality of work done by the evaluation team;
- Provide feedback on the findings, conclusions and recommendations of the evaluation.

## 7. PROCESS AND DELIVERABLES

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The overall guidance to be used is available on the web page of the DG DEVCO Evaluation Unit ([http://ec.europa.eu/europeaid/evaluation-approach-and-methodology\\_en](http://ec.europa.eu/europeaid/evaluation-approach-and-methodology_en)).

The basic approach to the assignment consists of three main phases. Deliverables in the form of reports and slide presentations should be submitted at the end of the corresponding stage.



The table below summarises these phases:

| <i><b>Evaluation phases:</b></i> | <i><b>Stages:</b></i>   | <i><b>Deliverables:</b></i>   |
|----------------------------------|---|---|
| 1. <u>Desk phase</u>             | <ul style="list-style-type: none"> <li>• Inception: Structuring of the evaluation</li> </ul>                  | ➤ Inception report  |
|                                  | <ul style="list-style-type: none"> <li>• Data collection</li> <li>• Analysis</li> </ul>                       | ➤ Desk report   |
| 2. <u>Field phase</u>            | <ul style="list-style-type: none"> <li>• Data collection</li> <li>• Verification of the hypotheses</li> </ul> | ➤ Evaluation notes (Field phase report) and slide presentation  |
| 3. <u>Synthesis phase</u>        | <ul style="list-style-type: none"> <li>• Analysis</li> <li>• Judgements</li> </ul>                            | <ul style="list-style-type: none"> <li>➤ Draft final report and slide presentation</li> <li>➤ Final report and Executive summary in French and Spanish</li> </ul> |

All reports will be written in English. The final report will also include an executive summary in French and in Spanish. All documents will be submitted electronically for approval to the EC evaluation manager. 3 hard copies of the approved final report will also be submitted.

The evaluation should follow the phases and stages summarised in the above table and described below.

A first orientation meeting will take place in Brussels, in which the team of experts will be briefed on the assignment by the EC evaluation manager in DEVCO C2; experts from the SWITCH to Green facility will be also participating in the meeting.

## 1) Desk Phase

### *Inception*

- Definition of the evaluation approach and methodology, including for the collection of the required inputs, and formulation of detailed questions, in line with these TOR and European Commission Guidelines for Evaluations; Collection of inputs will entail at least literature review, field visits, meetings and interviews. Other methods, such as the organisation of a survey of main stakeholders (e.g. grantees and MSMEs) should be considered.
- Identification of persons and organisations to meet / interview, including the European Commission, EU Delegations in selected partner countries, implementing partners, programme grantees, beneficiaries, and other stakeholders. The selection of partner countries and grantees to visit should be based on clearly identified criteria, take into account monitoring / evaluations already undertaken, allow comparisons between diverse countries and sectors;
- Meetings / Interviews preparation, including identification of key questions and drafting of discussion guides; Questions and discussion guides will be sent to interviewees before the interviews in order to facilitate their preparation;
- Drafting and submission of Inception Report and presentation slides, for approval by the EC evaluation manager, with final evaluation questions, describing the methodology, and providing a general work plan; Presentation of the inception report to the EC and steering group in Brussels.
- Presentation of draft inception report at the 2016 SWITCH Coordination meeting due to be held in Brussels on 26-27 September 2016. Feedback received at the meeting will be duly taken into consideration by the team of experts and integrated in the inception report, as appropriate.
- Presentation of the inception report to the EC to steering group in Brussels.

### *Data collection and analysis*

- Collection and analysis of all relevant documentation related to programmes covered by this evaluation and to the wider strategy/policy framework. This indicatively includes relevant programming documents, actions descriptions, work plans, progress reports, existing monitoring and evaluation reports and others;
- Drafting and submission of Desk Report and presentation slides, for approval by the EC evaluation manager, presenting preliminary findings and providing a detailed work plan for the Field Phase including an approved list of meetings, phone interviews and field visits, and attached surveys and discussion guide; Presentation of the desk report to the EC to steering group in Brussels.

## **2) Field Phase**

Given the broad geographical scope of the actions to be evaluated, the Field Phase is expected to make best use of phone interviews and e-mail contact, as well as planned relevant programme networking events and meetings, with a view to limiting the number of international flights and field visits to maximum of 6 countries (i.e. 2 countries covered by SWITCH Asia, 2 countries covered by SWITCH Med, 2 countries covered by SWITCH Africa). Some of the evaluation questions might be partially answered on the basis of available documents.

Field visits in selected countries, phone calls with international partners and meetings, inter alia, with:

- Responsible project managers / policy officers at the European Commission and in EU Delegations
- Staff of UNEP and other international organisations involved in relevant programmes;
- Relevant Technical Assistance and / or Networking Facilities;
- Grantees, programmes' beneficiaries (i.e. MSMEs) and public institutions receiving support from relevant programmes
- Other organisations not directly involved in EU funded initiatives but with relevant expertise (e.g. private sector associations, public authorities in partner countries...)

The EC evaluation manager will facilitate access to relevant staff in various Directorate Generals of the European Commission and EU Delegations in partner countries involved in the implementation of SCP-related interventions.

Interviews with identified counterparts will take place, phone interviews, e-mail questionnaires and other tools will be used to collect the required information. These will follow the plan of activities identified in the Desk Phase.

A field phase report, providing detailed field phase evaluation notes will be submitted for approval by the EC evaluation manager. It will include a list of interviews and interviewees, together with a brief description of the main outcomes of each interview and survey. The experts will present the desk report to the EC steering group in Brussels.

## **3) Synthesis phase**

This phase is mainly devoted to the preparation of the Evaluation Report.

Building on the findings of the Desk Research and of the Field Phase, the experts will describe the facts, analyse and interpret them in accordance with the key questions pertinent to each of the evaluation criteria. This will include lessons learnt, conclusions and recommendations.

In line with the instructions of the "EC methodology for evaluation procedures" and of the "Project Cycle Management Manual", the report should have the following structure:

- Executive Summary (no more than 5 pages, usable as a free-standing document);
- Short presentation of the methodology;
- Answers to the evaluation questions;
- Lessons learnt, identification of best practices, conclusions, and recommendations. These should be presented as a separate chapter. In principle, there should be conclusions on each key question of the evaluation, and corresponding recommendations related to each conclusion;

- Annexes including map of areas/actions covered by the evaluated interventions, list of interviewees, list of documents used and any other text or table which contains facts used in the evaluation;

The team of experts will ensure that their assessment is objective and balanced, affirmations accurate and verifiable, and recommendations realistic. The team of experts are required to use their professional judgement and experience to review all relevant factors and to bring these to the attention of the European Commission. The team of experts may be requested to present the conclusions of the evaluation in relevant meetings in Brussels (e.g. meeting with EU Delegations).

## 8. THE EVALUATION TEAM

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The Evaluation will be conducted by a team of 3 senior experts: a team leader, a green economy/SCP expert, and a private sector development expert. The evaluation team as such is expected to possess expertise in:

- Evaluation methods and techniques in general and in the field of international cooperation and development;
- Previous relevant expertise in the main regions covered by the programmes subject to the evaluation (Asia, the Mediterranean, Africa);
- Relevant thematic fields: SCP related environmental policy and regulatory frameworks (e.g. resource efficiency, eco-innovation, eco-labelling), private sector development (e.g. SME support, access to finance, public private partnerships, and eco-entrepreneurship), trade cooperation, and social policy (e.g. decent and green job creation, vocational education and training, OH&S). Multi-disciplinary expertise will be considered as an additional advantage;
- The main working knowledge will be English. At least one of the experts should also speak French. Knowledge of Spanish by one of the experts would be an advantage. If not, resources should be foreseen for the translation of the final report summary in Spanish.
- Communication, both oral and written, and ability to rapidly produce high-quality reports.

### Key expert 1: Team Leader (approximately 60 working days)

S/he will be the main interlocutor of DEVCO C2 for the management of the evaluation. S/he will be responsible for ensuring high quality of the deliverables and will coordinate the inputs of the other experts.

#### *Qualifications and skills*

- Master's degree in economics, natural resources management, environmental science, development studies or other fields relevant to the assignment or alternatively relevant professional experience of minimum 12 years; A multidisciplinary background such as economics/environment would be an asset;
- Good overall knowledge of the green economy and SCP concepts, related policies and best practices, in the EU and in developing countries;
- Good knowledge of international cooperation and development programs;
- Excellent writing and communication skills;
- Fluency in English required. Knowledge of French or other languages would be an asset.

#### *General professional experience*

- At least 10 years of professional experience, including 5 years in the context of international cooperation and 3 years working on green economy related issues (relevant assignments may count for both the international cooperation experience requirement and the green economy experience requirement).

#### *Specific professional experience*

- Experience as team leader on at least 3 assignments;
- Experience with project / programme / policy evaluation on at least 3 assignments
- Work experience in developing countries of at least 2 years

## Key expert 2: Green economy / SCP expert (approximately 45 working days)

### *Qualifications and skills*

- University degree in economics, natural resources management, environmental science, development studies or other fields relevant to the assignment; A multidisciplinary background such as economics/environment would be an asset;
- Excellent knowledge of the green economy and SCP concepts, related policies and best practices, in the EU and in developing countries;
- Good knowledge of international cooperation and development programs;
- Good writing and communication skills;
- Fluency in English required. Knowledge of French or other languages would be an asset.

### *General professional experience*

- 10 years of experience, including 7 years working on green economy related issues and 3 years related to international cooperation (relevant assignments may count for both the international cooperation experience requirement and the green economy experience requirement)

### *Specific professional experience*

- Experience with project / programme / policy evaluation on at least 3 assignments
- Work experience in developing countries of at least 2 years

## Key Expert 3: Private sector development expert (approximately 45 working days)

### *Qualifications and skills*

- University degree in business management, enterprise policy, economics, green economy or other fields relevant to the assignment; A multidisciplinary background such as business management / environment / social issues would be an asset;
- Knowledge of the green economy and SCP concepts; knowledge of related employment and labour market concepts, including green jobs, would be an asset;
- Good knowledge of international cooperation and development programs;
- Good writing and communication skills;
- Fluency in English required. Knowledge of French or other languages would be an asset.

### *General professional experience*

- 10 years of experience, including 7 years working on private sector development and 3 years related to international cooperation (relevant assignments may count for both the private sector development experience and the international cooperation experience requirement)

### *Specific professional experience*

Experience with project / programme / policy evaluation on at least 3 assignments

Work experience in developing countries of at least 2 years

All experts must be independent and free from conflicts of interest in the responsibilities they take on and must be independent from the programmes and projects to be evaluated. Should a conflict of interest be identified in the course of the evaluation, it should be immediately reported to the Evaluation manager for further analysis and appropriate measures.

The offer should clearly state the category of each team member and which tasks the proposed team members are supposed to take responsibility for and how their qualifications relate to the tasks (if this is not self-evident from their profile). A breakdown of working days per expert must also be provided.

The team will have excellent writing and editing skills. The Contractor remains fully responsible for the quality of the report. Any report which does not meet the required quality will be rejected.

During the offers evaluation process the contracting authority reserves the right to interview by phone one or several members of the evaluation teams proposed.

## 9. TIMING

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The project implementation is due to start as soon as possible, and by mid-September at the latest. The expected duration is of 6 months maximum. As part of the technical offer, the framework contractor must fill-in the timetable in the Annex 2. This table shall not start by a precise date but by "day/week 1".

## 10. OFFER FOR THE ASSIGNMENT

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The financial offer will be itemised to allow the verification of the fees compliance with the Framework contract terms.

The total length of the technical offer (excluding annexes) may not exceed 20 pages; a CV may not exceed 4 pages. References and data relevant to the assignment must be highlighted in bold (font minimum Times New Roman 12 or Arial, 11).

## 11. TECHNICAL OFFERS SELECTION CRITERIA

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The Contracting authority will select the offer with the best value for money using an 80/20 weighing between technical quality and price. Experts' CVs will be evaluated vis-a-vis the requirements set out in section 6. Technical quality will be evaluated on the basis of the following grid:

|   | Maximum |
|---|---------|
| Total score for Organisation and methodology    | 10      |
| Key expert 1: Team Leader                       | 40      |
| Key expert 2: Green economy expert              | 25      |
| Key Expert 3: Private sector development expert | 25      |
| Overall total score                             | 100     |

## Appendix 2: Definitions

|  |  |
|--|--|
| Sustainable Consumption and Production (SCP)           | SCP aims at “doing more and better with less,” increasing net welfare gains from economic activities by reducing resource use, degradation and pollution along the whole lifecycle of a service or a product, while increasing quality of life. This change towards SCP involves different stakeholders, including business, consumers, policy makers, researchers, scientists, retailers, media, and development cooperation agencies, among others. It requires a systemic approach and cooperation among actors operating in the supply chain, from producer to final consumer. It involves engaging consumers through awareness-raising and education on sustainable consumption and lifestyles, providing consumers with adequate information through standards and labels and engaging in sustainable public procurement, among others.  |
| Green Economy as defined by the EU                     | <p>The Communication "Rio+20: towards the green economy and better governance"<sup>21</sup> presents EU's approach to the green economy. It highlights the need to build an "economy that can secure growth and development, while at the same time improving human well-being, providing decent jobs, reducing inequalities, tackling poverty and preserving the natural capital upon which we all depend" and stresses that "moving towards a green economy necessitates preserving and investing in the assets of key natural resources... ..It also means making use of low-carbon and resource efficient solutions and stepping up efforts to promote sustainable consumption and production patterns".</p> <p>Building on this definition, the Agenda for Change states that "EU development policy should promote a 'green economy' that can generate growth, create jobs and help reduce poverty" and presents the move towards an inclusive green economy as founded on “valuing and investing in natural capital, including through supporting market opportunities for cleaner technologies, energy and resource efficiency, low-carbon development while stimulating innovation, the use of information and communication technologies, and reducing unsustainable use of natural resources”, as well as contributing “to improving the resilience of developing countries to the consequences of climate change”.</p> <p>As defined by the European Environment Agency the inclusive green economy can also be seen as an economic model that differs from traditional ones in that it takes due consideration of environmental and social externalities, and does not focus on GDP growth as the ultimate economic goal.</p> |
| Circular Economy as defined by the EU <sup>22</sup>    | The EU Action Plan on the Circular Economy highlights that "the transition to a more circular economy, where the value of products, materials and resources is maintained in the economy for as long as possible, and the generation of waste minimised, is an essential contribution to the EU's efforts to develop a sustainable, low carbon, resource efficient and competitive economy. Such transition is the opportunity to transform our economy and generate new and sustainable competitive advantages for Europe". The circular economy is expected to boost the EU's competitiveness by protecting businesses against scarcity of resources and volatile prices, helping to create new business opportunities and innovative, more efficient ways of producing and consuming; to create local jobs at all skills levels and opportunities for social integration and cohesion, to save energy and help avoid the irreversible damages caused by using up resources at a rate that exceeds the Earth's capacity to renew them in terms of climate and biodiversity, air, soil and water pollution.   |
| Resource Efficiency as defined by the EU <sup>23</sup> | The vision formulated in the Resource Efficient Europe roadmap clarifies the resource efficiency concept: "Resource efficient development (...) allows the economy to create more with less, delivering greater value with less input, using resources in a sustainable way and minimising their impacts on the environment. In practice, this requires that the stocks of all environmental assets from which the EU benefits or sources its global supplies are secure and managed within their maximum sustainable yields. It will also require that residual waste is close to zero and that ecosystems have been restored, and  |

<sup>21</sup> COM(2011) 363 final: Rio+20: towards the green economy and better governance

<sup>22</sup> COM(2015) 614 final: Closing the loop: an EU Action plan for the Circular Economy

<sup>23</sup> (COM(2011) 571): **Roadmap to a Resource Efficient Europe**

|  |  |
|--|--|
|  | systemic risks to the economy from the environment have been understood and avoided. A new wave of innovation will be required'.   |
| Inclusive Green Growth as defined by the OECD (2011) | “Green growth means fostering economic growth and development, while ensuring that natural assets continue to provide the resources and environmental services on which our well-being relies” In order to reflect the concept of sustainable development that is inclusive in addressing inequalities and ensuring that participation in economic growth is made possible for all reference is made throughout the text to ‘inclusive green growth’.  |
| Climate-resilient low emissions growth <sup>24</sup> | The concept of low carbon development has its roots in the UNFCCC adopted in Rio in 1992. In the context of this convention, low carbon development is now generally expressed using the term low-emission development strategies (LEDS - also known as low-carbon development strategies, or low-carbon growth plans). Though no formally agreed definition exists, LEDS are generally used to describe forward-looking national economic development plans or strategies that encompass low-emission and/or climate-resilient economic growth (OECD, IEA 2010)". |

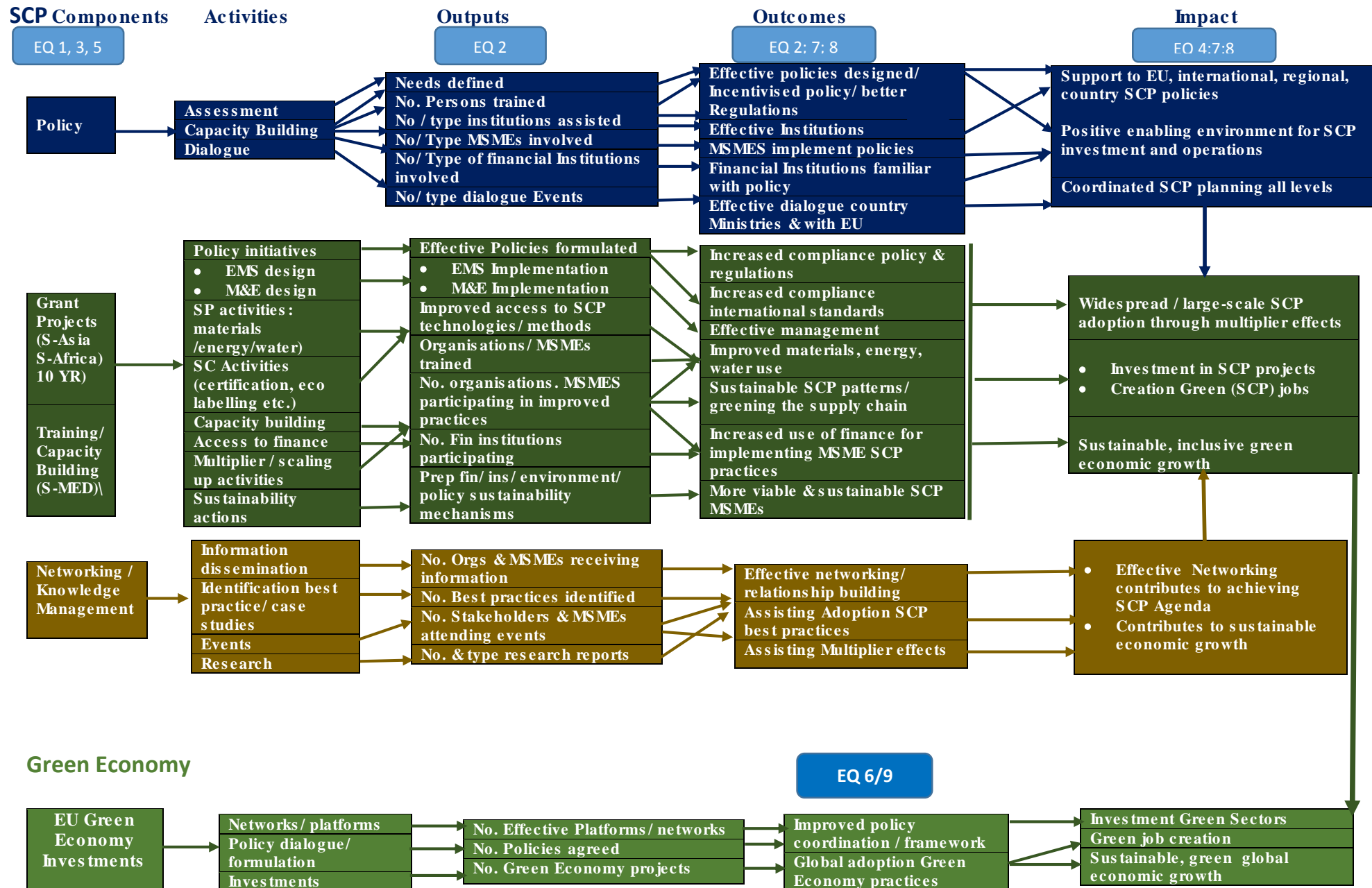
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<sup>24</sup> Source: <https://sustainabledevelopment.un.org/index.php?menu=1448>

### **Appendix 3: Intervention Logic**

The reconstruction of the intervention logic by the consultant is reflected overleaf.





#### Appendix 4: Evaluation Key Questions, Judgement Criteria, Indicators, Data Sources and Methods

| EVALUATION QUESTIONS                                     | JUDGEMENT CRITERIA  | INDICATORS   | DATA SOURCES  | DATA COLLECTION/ ANALYSIS METHODS  |
|--|---|--|---|--|
| <b>1. Relevance</b>                                      |   |  |   |  |
| EQ 1: To what extent is the intervention still relevant? | <ul style="list-style-type: none"> <li>• Relevance of programmes to SCP / Green Economy strategies and policies</li> <li>• Relevance of programmes to needs and constraints of stakeholders, particularly MSMEs</li> <li>• Extent to which the drivers of change are addressed</li> </ul> | <p><u>Strategic level</u>: Extent to which programmes are relevant to:</p> <ul style="list-style-type: none"> <li>• EU SCP and Green Economy strategies and policies</li> <li>• Global SCP and Green Economy strategies and policies</li> <li>• Regional SCP and Green Economy strategies and policies</li> <li>• National SCP and Green Economy strategies and policies</li> </ul> <p><u>Operational level</u></p> <ul style="list-style-type: none"> <li>• Extent of promotion and adoption of SCP and Green Economy policies</li> <li>• Extent to which the needs and constraints of target groups, in particular MSMEs at national level have been addressed</li> <li>• Adaptation to national and regional SCP policy and technological advances</li> </ul> | <p><b>Desk Phase</b></p> <ul style="list-style-type: none"> <li>• Documentation (international, EU, regional, national, and Projects)</li> <li>• Monitoring reports</li> <li>• Programme evaluations</li> <li>• Interviews with EC DEVCO contact persons</li> </ul> <p><b>Field Phase</b></p> <ul style="list-style-type: none"> <li>• Surveys/ interviews with stakeholders</li> </ul> | <p><b>Desk Phase</b></p> <ul style="list-style-type: none"> <li>• Policy, technical, networking documentation</li> <li>• Interviews (telephone and face-to-face) with EU stakeholders</li> <li>• Qualitative analysis of relevance</li> <li>• Initial identification of major strengths, weaknesses, best practice, lessons learned</li> </ul> <p><b>Field Phase</b></p> <ul style="list-style-type: none"> <li>• Major strengths and weaknesses, best practice, , lessons learned, recommendations</li> </ul> |

| EVALUATION QUESTIONS  | JUDGEMENT CRITERIA  | INDICATORS   | DATA SOURCES   | DATA COLLECTION/ ANALYSIS METHODS   |
|---|---|--|--|---|
| <b>2. Effectiveness</b>   |   |  |  |   |
| EQ 2: To what extent have the SCP objectives and results been achieved? | <ul style="list-style-type: none"> <li>• Extent to which SCP policies have been formulated</li> <li>• Extent to which SCP technologies have been taken up by stakeholders, particularly MSMEs</li> <li>• Extent of support to transitioning to the to the Green Economy</li> <li>• Extent of effectiveness of network contributions to EU and global SCP Agendas</li> </ul> | <u>Policy</u> <ul style="list-style-type: none"> <li>• No. Workshops held/ No. Persons trained</li> <li>• No / type institutions assisted No/ Type MSMEs involved</li> <li>• No/ type dialogue Events</li> <li>• Policies formulated</li> <li>• Policies implemented</li> <li>• Extent of increased knowledge and skills related to SCP, as a result of training, capacity-building, and technical assistance</li> <li>• Degree of Improved national inter-ministerial</li> <li>• Degree of Improvement in coordinated inter-ministerial SCP planning</li> <li>• Degree of improvement in national policy collaboration with the EU</li> </ul> <u>Technical SP Indicators</u> <ul style="list-style-type: none"> <li>• No. capacity building Workshops held/ No persons attending workshops</li> <li>• Degree of relevance of training topics</li> <li>• Extent of improvements in natural resource use and efficiencies ( materials, waste, energy and water)</li> <li>• Extent of reductions in GG emissions</li> <li>• Changes to resource use in major sectors</li> <li>• Extent of increase in numbers of MSMEs using SCP technologies</li> <li>• Extent of multiplication and scaling-up</li> </ul> <u>Technical SC Indicators</u> <ul style="list-style-type: none"> <li>• Extent of change to consumer awareness</li> <li>• Extent of changed consumer behaviour</li> <li>• Extent of changes to consumer footprint (materials, energy, water, GG emissions)</li> </ul> <u>Economic Indicators</u> | <p><b>Desk Phase</b></p> <ul style="list-style-type: none"> <li>• Documentation (international, EU, regional, national, and project data)</li> <li>• Monitoring reports (project)</li> <li>• Programme evaluations</li> </ul> <p><b>Field Phase</b></p> <ul style="list-style-type: none"> <li>• Surveys Delegations, Projects, MSMEs</li> <li>• Interviews with stakeholder groups in EU and regions</li> </ul> | <p><b>Desk Phase</b></p> <ul style="list-style-type: none"> <li>• Policy, technical, networking documentation</li> <li>• Interviews (telephone and face-to-face) with EU stakeholders</li> <li>• Qualitative and quantitative analysis of effects</li> <li>• Initial identification of major strengths and weaknesses, best practice, lessons learned</li> </ul> <p><b>Field Phase</b></p> <ul style="list-style-type: none"> <li>• Major strengths and weaknesses</li> <li>• Identification of best practices</li> <li>• Case studies</li> <li>• Lessons learned</li> <li>• Recommendations</li> </ul> |

| EVALUATION QUESTIONS  | JUDGEMENT CRITERIA   | INDICATORS   | DATA SOURCES  | DATA COLLECTION/ ANALYSIS METHODS   |
|---|--|--|---|---|
|   |  | <ul style="list-style-type: none"> <li>• Increase in No. SMEs involved in greening the supply/ demand chain ( green products, demand for green products, increase in trade of green products)</li> <li>• Increase in No. MSMES using eco-labelling and accessing green product certification schemes</li> <li>• Increase in number of financial institutions giving access to SCP/Green Economy finance</li> <li>• Increase in number of MSMEs with improved access to finance</li> <li>• Increase in viability of enterprises</li> <li>• Employment numbers</li> <li>• Effectiveness of sustainability mechanisms (policy, finance, institutional, tools)</li> </ul> <u>SCP Networks</u> <ul style="list-style-type: none"> <li>• No. new networks formed</li> <li>• Extent of formation of relationships, information and knowledge dissemination</li> <li>• Extent of identification by networks of best practices by sector</li> <li>• Influence on multiplier/ scaling-up effects at project, national, programme levels by sector</li> </ul> |   |   |
| <b>3. Efficiency</b>  |  |  |   |   |
| EQ 3: How efficient and cost effective has the intervention been? | <ul style="list-style-type: none"> <li>• Justification of costs in relation to benefits achieved</li> <li>• What are the factors influencing efficiency</li> </ul> | <ul style="list-style-type: none"> <li>• Timeliness of implementation</li> <li>• Effectiveness of management of the intervention</li> <li>• Relevance and quantity of programme costs in relation to benefits</li> <li>• Affordability of costs to different stakeholder groups</li> <li>• Sufficiency of benefits by stakeholder group all levels (policy, technical, networking)</li> </ul>  | <b>Desk Phase</b> <ul style="list-style-type: none"> <li>• Project records</li> <li>• Stakeholder records</li> <li>• Programme records</li> <li>• External organisations records</li> <li>• EC Stakeholder interviews</li> </ul> <b>Field Phase</b> | <b>Desk Phase</b> <ul style="list-style-type: none"> <li>• Policy, technical, networking documentation</li> <li>• Interviews (telephone and face-to-face) with EU stakeholders</li> <li>• Qualitative and quantitative analysis of efficiency of interventions</li> </ul> |

| EVALUATION QUESTIONS   | JUDGEMENT CRITERIA   | INDICATORS   | DATA SOURCES   | DATA COLLECTION/ ANALYSIS METHODS  |
|--|--|--|--|--|
|  |  | <ul style="list-style-type: none"> <li>Impact of resource constraints (time, management, people/ skills, budget limitations) to achieving intended outcomes and results</li> </ul>   | <ul style="list-style-type: none"> <li>Interviews with stakeholder groups in EU and regions</li> </ul>   | <ul style="list-style-type: none"> <li>Initial identification of major strengths and weaknesses, best practice, lessons learned</li> </ul> <p><b>Field Phase</b></p> <ul style="list-style-type: none"> <li>Major strengths and weaknesses</li> <li>Identification of best practices</li> <li>Case studies</li> <li>Lessons learned</li> <li>Recommendations</li> </ul>  |
| <b>4. Impact</b>   |  |  |  |  |
| EQ 4: What is the long term policy, technical and networking impact of the intervention on the SCP and Green Economy objectives? | <ul style="list-style-type: none"> <li>Extent of support to EU, international, regional, country SCP policies</li> <li>Extent of multiplier effects and scaling up of SCP practices by stakeholders, particularly MSMEs</li> <li>Extent of drivers for change to sustainable SCP practices</li> <li>Extent of contribution to the Green Economy</li> </ul> | <p><u>Policy</u></p> <ul style="list-style-type: none"> <li>Extent of implementation and use of relevant policies and tools contributing to long term SCP impact</li> <li>Extent of improvement of standards and/or policies for access to more sustainable products, including sustainable supply chain management, eco-labelling, etc.)</li> <li>Increased compliance of government agencies and MSMEs with improved SCP/ Green Economy policy &amp; regulations</li> <li>Long term impact in relation to EU, international, programme, national SCP objectives and agendas</li> <li>Increased compliance government agencies and MSMEs with international standards</li> <li>Plans for achieving further policy, technical and networking SCP impact</li> <li>Contribution to SGD 12</li> <li>Contribution to other environmental SDGs</li> <li>Contribution to other SDGs</li> <li>Contribution to inclusive green growth and reductions in poverty</li> </ul> <p><u>Technical SP impact</u></p> | <p><b>Desk Phase</b></p> <ul style="list-style-type: none"> <li>Documentation (international, EU, regional, national, projects)</li> <li>Monitoring reports (project)</li> <li>Programme evaluations</li> </ul> <p><b>Field Phase</b></p> <ul style="list-style-type: none"> <li>Surveys Delegations, Projects, MSMEs</li> <li>Interviews with stakeholder groups in EU and regions</li> </ul> | <p><b>Desk Phase</b></p> <ul style="list-style-type: none"> <li>Policy, technical, networking documentation</li> <li>Interviews (telephone and face-to-face) with EU stakeholders</li> <li>Qualitative and quantitative analysis</li> <li>Initial identification of major strengths and weaknesses, best practice, lessons learned</li> </ul> <p><b>Field Phase</b></p> <ul style="list-style-type: none"> <li>Major strengths and weaknesses</li> <li>Identification of best practices</li> <li>Case studies</li> <li>Lessons learned</li> <li>Recommendations</li> </ul> |

| EVALUATION QUESTIONS                     | JUDGEMENT CRITERIA   | INDICATORS  | DATA SOURCES  | DATA COLLECTION/ ANALYSIS METHODS   |
|--|--|---|---|---|
|  |  | <ul style="list-style-type: none"> <li>Compared to the baseline (without EU intervention) status the extent of long term improvements in use of materials, waste, energy, water over the long term</li> <li>Extent of long term reduced GG emissions</li> <li>Extent of long term broad based take up of SCP practices</li> </ul> <u>Technical SC impact</u> <ul style="list-style-type: none"> <li>Long Term reduced Carbon footprint, changed consumption patterns, degree of greater access to SC markets</li> </ul> <u>Economic impact</u> <ul style="list-style-type: none"> <li>Extent of increases in green product trade</li> <li>Changes to environmental trade balance</li> <li>Extent of decent green jobs created or maintained</li> <li>Extent of income and savings generated by SMEs receiving support</li> <li>Extent of livelihoods improvements</li> <li>Extent of increased investment, access to finance, MSME viability, contribution to inclusive Green Economy</li> <li>Extent of contribution to human development effects</li> </ul> <u>Impact of SCP networks</u> <ul style="list-style-type: none"> <li>Extent of established, relationships, information and knowledge dissemination, multiplier effects</li> </ul> <u>Identification of Drivers for Change</u> |   |   |
| <b>5. Coherence/ Complementarity</b>     |  |   |   |   |
| EQ 5: To what extent is the intervention | <ul style="list-style-type: none"> <li>Extent of internal coherence</li> <li>Extent of complementarity,</li> </ul> | <ul style="list-style-type: none"> <li>Degree of internal coherence – matching of objectives with outcomes and results with the means deployed and instruments adopted</li> </ul>   | <b>Desk Phase</b> <ul style="list-style-type: none"> <li>Documentation (international, EU,</li> </ul> | <b>Desk Phase</b> <ul style="list-style-type: none"> <li>Policy, technical, networking documentation</li> </ul> |

| EVALUATION QUESTIONS   | JUDGEMENT CRITERIA   | INDICATORS  | DATA SOURCES   | DATA COLLECTION/ ANALYSIS METHODS  |
|--|--|---|--|--|
| coherent internally?<br>EQ 6: To what extent is the intervention complementary to other SCP and Green Economy interventions?   | <ul style="list-style-type: none"> <li>synergies with other EU, international SCP and Green Economy programmes</li> <li>Barriers to coherence and complementarity</li> </ul>   | <ul style="list-style-type: none"> <li>Degree of complementarity, synergies, avoidance of overlap, identified gaps of EU funded SCP programmes with international SCP and Green Economy programmes</li> <li>Identification of barriers to coherence, complementarity of EU SCP and Green Economy programmes with external SCP and Green Economy programmes</li> </ul>   | <ul style="list-style-type: none"> <li>regional, national, projects)</li> <li>Monitoring reports (project)</li> <li>Programme evaluations</li> </ul> <p><b>Field Phase</b></p> <ul style="list-style-type: none"> <li>Interviews with stakeholder groups in EU and regions</li> </ul>  | <ul style="list-style-type: none"> <li>Interviews (telephone and face-to-face) with EU stakeholders</li> <li>Qualitative and quantitative analysis</li> <li>Initial identification of major strengths and weaknesses, best practice, lessons learned</li> </ul> <p><b>Field Phase</b></p> <ul style="list-style-type: none"> <li>Major strengths and weaknesses</li> <li>Identification of best practices</li> <li>Lessons learned</li> <li>Recommendations</li> </ul>   |
| <b>6. Sustainability</b>   |  |   |  |  |
| EQ 7: How likely is policy, technical, financial, institutional sustainability?<br>EQ 8: How likely is it that there will be a continuation of long – term benefits after assistance has been completed? | <ul style="list-style-type: none"> <li>Effectiveness of sustainability mechanisms taking into account the evolving policy and institutional framework and general socio-economic conditions</li> <li>Risks to net benefit flows over time</li> </ul> | <p><u>Policy</u></p> <ul style="list-style-type: none"> <li>Identification of any motivation for policy reversal</li> <li>Identified risks regarding reversal of the capabilities created at national level</li> </ul> <p><u>Financial</u></p> <ul style="list-style-type: none"> <li>Identified sources of project funding</li> <li>Plans for future EU funding of SCP interventions</li> <li>Positive future net benefit flows</li> </ul> <p><u>Technical</u></p> <ul style="list-style-type: none"> <li>Positive/ widespread multiplication and scaling up</li> <li>Identified barriers to scaling up of the results achieved by projects</li> </ul> <p><u>Institutional</u></p> <ul style="list-style-type: none"> <li>Strength of institutional structures and their management</li> </ul> | <p><b>Desk Phase</b></p> <ul style="list-style-type: none"> <li>Documentation (international, EU, regional, national, projects)</li> <li>Monitoring reports (project)</li> <li>Programme evaluations</li> </ul> <p><b>Field Phase</b></p> <ul style="list-style-type: none"> <li>Interviews with stakeholder groups in EU and regions</li> </ul> | <p><b>Desk Phase</b></p> <ul style="list-style-type: none"> <li>Policy, technical, networking documentation</li> <li>Interviews (telephone and face-to-face) with EU stakeholders</li> <li>Qualitative and quantitative analysis</li> <li>Initial identification of major strengths and weaknesses, best practice, lessons learned</li> </ul> <p><b>Field Phase</b></p> <ul style="list-style-type: none"> <li>Major strengths and weaknesses</li> <li>Identification of best practices</li> <li>Case studies</li> <li>Lessons learned</li> <li>Recommendations</li> </ul> |

| EVALUATION QUESTIONS   | JUDGEMENT CRITERIA  | INDICATORS   | DATA SOURCES   | DATA COLLECTION/ ANALYSIS METHODS  |
|--|---|--|--|--|
|  |   | <ul style="list-style-type: none"> <li>Identified tools and mechanisms for long term sustainability</li> </ul>   |  |  |
| <b>7. EU Added Value</b>   |   |  |  |  |
| EQ 9: What is the added value resulting from the EU support/ intervention(s), compared to what would have been achieved by national and other external agencies? | <ul style="list-style-type: none"> <li>Added value in relation to policy, technical and networking impacts without the EU intervention</li> <li>Extent to which the issues addressed by the intervention continue to require action at EU level</li> <li>Likely consequences of stopping or withdrawing the existing EU intervention</li> </ul> | <ul style="list-style-type: none"> <li>Added value in relation to policy, technical, and networking impacts</li> <li>Identified contributions / support given to EU, international, national and regional strategies and policies and their added value</li> <li>Identification of issues addressed by the intervention continuing to require action at EU level</li> <li>Identification of consequences of stopping or withdrawing the existing EU interventions</li> </ul> | <p><b>Desk Phase</b></p> <ul style="list-style-type: none"> <li>Documentation (international, EU, regional, national, projects)</li> <li>Monitoring reports (project)</li> <li>Programme evaluations</li> </ul> <p><b>Field Phase</b></p> <ul style="list-style-type: none"> <li>Interviews with stakeholder groups in EU and regions</li> </ul> | <p><b>Desk Phase</b></p> <ul style="list-style-type: none"> <li>Policy, technical, networking documentation</li> <li>Interviews (telephone and face-to-face) with EU stakeholders</li> <li>Qualitative and quantitative analysis</li> <li>Initial identification of major strengths and weaknesses, best practice, lessons learned</li> </ul> <p><b>Field Phase</b></p> <ul style="list-style-type: none"> <li>Major strengths and weaknesses</li> <li>Lessons learned</li> <li>Recommendations</li> </ul> |



## Appendix 5: Evaluation Criteria

1. **Relevance:** Relevance of EU funded programmes to SCP / Green Economy policies, needs and constraints and EU cooperation with other EU flagship initiatives and priority sectors, with the requirements, objectives, priorities, policies/ practical implementation of projects by each different category of beneficiaries, relevance of SCP regional and EU networks:
  - Strategic level: Adoption and promotion of SCP and Green Economy related policies and networks at global; EU; regional; and national partner countries
  - Operational level: Focus on the extent to which individual and aggregated SCP and Green Economy projects and programmes are relevant to overall EU objectives at the regional and national levels, the needs and constraints of target groups, in particular MSMEs
2. **Effectiveness:** The extent to which the intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance. This criterion is used to examine if/to what degree the interventions promote or have promoted a transition to an inclusive SCP/ Green Economy
3. **Efficiency:** Extent to which outputs and the desired effects are achieved with the lowest possible use of resources/inputs (funds, expertise, time, administrative costs, etc.); with a focus on the relationship between the resources used/ spent under the EU's programme support and the results achieved. This analysis is of critical importance considering the increased pressure to demonstrate the value for money of the EU's support within a context characterized by financial crisis and growing doubts among political and public stakeholders on the real impact of aid expenditure<sup>25</sup>.
4. **Impact:**
  - Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended
  - The establishment of relevant policies and tools contributing to long term impact (e.g. improvement of standards and/or policies for access to more sustainable products, including sustainable supply chain management, eco-labelling, etc.)
  - The direct impact on the final recipients, in particular socio-economic impact (e.g. decent jobs created or maintained, income and savings generated by SMEs receiving support, livelihoods improvements etc.)
5. **Coherence/complementarity:** This criterion has several dimensions:
  - Coherence within the Commission's development programme
  - Coherence/complementarity with the partner country's policies and with other donors' interventions
  - Existing or potential complementarities with EU national indicative programs, with the 10 YFP, with EU Member States interventions, with relevant initiatives like the UNEP Green Economy Initiative and other Donor programmes and relevant EU domestic actions in support to SMEs
6. **Sustainability:** The continuation of benefits from the completed or ongoing EU interventions, the probability of continued long-term benefits; and the resilience to risk of the net benefit flows over time. Particular attention will be given to:
  - Policy sustainability
  - Institutional sustainability
  - Financial sustainability
  - Multiplier effects
  - The barriers and potential for scaling up of the results achieved and the extent to which the interventions have established mechanisms that will allow the scaling-up of SCP uptake by SMEs.

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<sup>25</sup> A recent OECD-DAC report on the EU development cooperation stressed that a major part of the EU institutions' accountability to taxpayers and Member States should be to ensure development funding has an impact, and to learn lessons to improve performance there and elsewhere (see, OECD-DAC, Peer Review of the EU development Cooperation, 2012).

**7. EU Value Added:** The extent to which the development intervention:

- Adds benefits to what would have resulted from other global, regional and partner interventions
- Potential complementarities, synergies and avoidance of overlaps with external interventions promoting SCP and the Green Economy in the target regions/ countries

## Appendix 6: Documentation Consulted

Note: Referenced documents are presented in the text of the main Report.

### International development policies

- Terminal Evaluation of the UNEP Project: Global Platform for Action on Sustainable Consumption and Production (SCP): Supporting the Implementation of the 10 Year Framework of Programmes on SCP (10YFP)
- 2030 Agenda for Sustainable Development - <https://sustainabledevelopment.un.org/post2015/transformingourworld>
- Sustainable Development Goals (SDGs) - <http://www.undp.org/content/undp/en/home/sustainable-development-goals.html>
- UNIDO and European Union Cooperation 2005 – 2015 – a partnership for inclusive and sustainable industrial development gives the official overview of cooperation - [http://www.unido.org/fileadmin/user\\_media\\_upgrade/Worldwide/Offices/LIAISON\\_OFFICES/EU\\_UNIDO\\_2005-2015.pdf](http://www.unido.org/fileadmin/user_media_upgrade/Worldwide/Offices/LIAISON_OFFICES/EU_UNIDO_2005-2015.pdf)
- UNEP/UNIDO Cooperation with the EU: Fruitful cooperation in more than 100 countries around the world.
  - ✓ [Report](#) on UNIDO and European Union Cooperation 2005-2015: green chapter contains joint “green” projects. More info under: [link](#)  
UNIDO’s role in green economy: UNIDO is one of the key UN agencies in this field with a strong track record and the specificity of being able to mobilize and work with the private sector and leverage their investments
  - ✓ [GEF Figures](#): Operational Completed Projects 65; Ongoing Projects 204 (~\$400 million).  
Leverage effect around 1:4.
  - ✓ [Montreal protocol](#): UNIDO implements ~27% and has been best implementing agency since more than 10 years.
  - ✓ [MED Test brochure](#): Leverage 1:10 (similar results expected for MED-TEST II as part of SwitchMed)
  - ✓ [MED Test I overall results](#): The results can be found from page 15 on.  
UNIDO indicators:
  - ✓ [Enterprise Level Indicators for Resource Productivity and Pollution Intensity](#): A primer for SMEs (UNIDO and UNEP).
  - ✓ [GMIS](#) – Global Manufacturing and Industrialization Summit.
  - ✓ [Sustainable Development Goals Indicators Report 2016](#)  
Final List of proposed SDG indicators.  
Uncovering Pathways towards an Inclusive Green Economy: [http://web.unep.org/greeneconomy/sites/unep.org.greeneconomy/files/ige\\_narrative\\_summary.pdf](http://web.unep.org/greeneconomy/sites/unep.org.greeneconomy/files/ige_narrative_summary.pdf)  
UNEP Green Economy Analysis  
[http://web.unep.org/greeneconomy/sites/unep.org.greeneconomy/files/publications/ger/ger\\_final\\_dec\\_2011/1.0-Introduction.pdf](http://web.unep.org/greeneconomy/sites/unep.org.greeneconomy/files/publications/ger/ger_final_dec_2011/1.0-Introduction.pdf)

### EU development policy

- COM (2011) 637 "Increasing the impact of EU Development Policy: an Agenda for Change": <http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX%3A52011DC0637&qid=1412922281378&from=EN>
- DEVCO (2014) A Stronger Role of the Private Sector in Achieving Inclusive and Sustainable Growth in Developing Countries - COM(2014) 263 final: <http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX%3A52014DC0263&qid=1400681732387&from=EN>

- Policy Coherence for Development, European Consensus on Development (2005)  
[http://ec.europa.eu/europeaid/policies/policy-coherence-development\\_en](http://ec.europa.eu/europeaid/policies/policy-coherence-development_en)
- EU STRATEGIC APPROACH TO INTERNATIONAL COOPERATION ON GREEN ECONOMY: Seizing new opportunities to generate growth, create jobs, and help reduce poverty (draft DEVCO paper, not published yet – see attachment n°1)
- Revision of the EU Aid for Trade Strategy
- <http://ec.europa.eu/trade/policy/countries-and-regions/development/aid-for-trade/>
- MED TEST – a document produced by UNIDO has an excellent presentation of impact in terms of resource efficiency in the MED region  
<http://www.themedpartnership.org/med/publish/p/doc/c1a485a4f2d76bec6fe915db45ea3238>
- Development Cooperation Instrument regulation: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2014:077:0044:0076:EN:PDF>
- Global Public Goods and Challenges multiannual indicative programme:  
[https://ec.europa.eu/europeaid/sites/devco/files/mip-gpgc-2014-2017-annex\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/mip-gpgc-2014-2017-annex_en.pdf)
- EUBEC Platform for collaboration  
<http://ec.europa.eu/transparency/regexpert/index.cfm?do=groupDetail.groupDetail&groupID=2852>  
(EU PLATFORM FOR BLENDING IN EXTERNAL COOPERATION (E02852))
- European Commission (2014) Green Employment Initiative: Tapping into the job creation potential of the green economy - COM(2014) 446 final:  
<http://ec.europa.eu/transparency/regdoc/rep/1/2014/EN/1-2014-446-EN-F1-1.Pdf>
- Action Plan on circular economy (COM(2015) 614 final: Communication from the Commission: Closing the loop - An EU action plan for the Circular Economy: [http://eur-lex.europa.eu/resource.html?uri=cellar:8a8ef5e8-99a0-11e5-b3b7-01aa75ed71a1.0012.02/DOC\\_1&format=PDF](http://eur-lex.europa.eu/resource.html?uri=cellar:8a8ef5e8-99a0-11e5-b3b7-01aa75ed71a1.0012.02/DOC_1&format=PDF)
- EU SCP Action Plan: <http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52008DC0397&from=EN>
- Focus in line with new EU External Investment Plan  
[http://eeas.europa.eu/sites/eeas/files/4\\_external\\_investment\\_plan\\_3pg.pdf](http://eeas.europa.eu/sites/eeas/files/4_external_investment_plan_3pg.pdf)
- SWITCH flagship: concept note (see EU STRATEGIC APPROACH TO INTERNATIONAL COOPERATION ON GREEN ECONOMY: Seizing new opportunities to generate growth, create jobs, and help reduce poverty (draft DEVCO paper, not published yet))
- 10YFP: website  
(<http://www.unep.org/10yfp/Programmes/Whatarethe10YFPProgrammes/tabid/106264/Default.aspx>)  
, EU contribution document, annual reports: annual magazine for 2015 -  
<http://sdt.unwto.org/annualreport-10yfp-stp>)
- SWITCH to Green facility: TOR, inception report, 1st interim report
- EU-UNEP Strategic Cooperation Agreement: MoU, draft 2016 evaluation report
- PAGE: action description and donors inception review + website (<http://www.un-page.org/>)
- GEC: action description + strategy + website: <http://www.greenecommycoalition.org/>
- Thematic evaluation of the EU support to environment and climate change in third countries (2007-2013)

## ASIA

- SWITCH-Asia: SWITCH NF website (<http://www.switch-asia.eu/>) with info on the programme, including the policy support component and the supported projects, Action Fiche for Switch-Asia 2012, Action Fiche for SWITCH-Asia phase II (in process), last ROM monitoring, Final evaluation of NF 2008-2013, Guidelines for Applicants 2015 CFP (to understand current setup for Grants)
- The Strategy Paper for Asia 2007-2013<sup>26</sup>
- Regional Programming for Asia Multiannual Indicative Programme 2014-2020
- National Indicative Programmes for China, Laos, Thailand, Sri Lanka, Bangladesh
- SWITCH-Asia: SWITCH NF website (<http://www.switch-asia.eu/>) with info on the programme, including the policy support component and the supported projects
- Action Fiche for SWITCH-Asia 2012

<sup>26</sup> European Commission: REGIONAL PROGRAMMING FOR ASIA(\*) STRATEGY DOCUMENT 2007-2013

- Action Fiche for SWITCH-Asia 2007
- Action Fiche for SWITCH-Asia phase II
- Evaluation of the SWITCH-Asia Programme: Contract No. 2012/304532: June 2013: Pierre Mahy
- EU funded evaluation of SWITCH-Asia Regional and National Policy Support Components Malaysia and Indonesia carried out by UNEP
- SWITCH-Asia ROM monitoring reports 2010 and 2011 and 2016/16
- Policy Support Component Progress Reports
- Guidelines for Applicants 2015 CfP
- Contracts and Progress Reports selected projects in China, Laos, Thailand, Sri Lanka, Bangladesh (28)
- Terminal evaluation: “SWITCH to Sustainable Policies and Innovation for Resource Efficiency in Asia - Regional Policy Support Component” (SWITCH-Asia RPSC): Final evaluation report: Dr. Dick van Beers and Dr. Andy Rowe: Draft Version No. 2: 18 November, 2016

## AFRICA

- website: <http://www.switchtogreen.eu/?lang=en>
- SWITCH Africa Green: Project description, annual reports 2015 and 2016, ROM report of March 2016 (see attachments) + <http://www.switchafricagreen.org> Joint Africa-EU Strategy Action Plan 2011-2013.
- The African 10 Year Framework Programme (10YFP) On Sustainable Consumption and Production. [http://www.unep.org/roa/docs/pdf/Africa\\_10YFP\\_March05.pdf](http://www.unep.org/roa/docs/pdf/Africa_10YFP_March05.pdf)
- Uganda Micro, Small and Medium Enterprise (Msme) Policy, *Sustainable MSMEs for Wealth Creation and Socio-Economic Transformation - Ministry of Trade, Industry and Cooperatives (MTIC) of Uganda, June 2015.* ([http://www.ugandainvest.go.ug/uia/images/MSME\\_Policy\\_July\\_2015.pdf](http://www.ugandainvest.go.ug/uia/images/MSME_Policy_July_2015.pdf))
- South Africa Government priority document: *Creating decent jobs -Plans for 2015/16* (<http://www.gov.za/issues/government-priority-creating-decent-jobs>)
- Kenya Green Economy Strategy and Implementation Plan (GESIP), May 2015 (<http://www.environment.go.ke/wp-content/uploads/2015/05/Kenya-Green-Economy-Strategy-and-Implementation-Plan-GESIP-.pdf>)
- Uganda fact Sheet, SWITCH Africa Green, SAG Website (<http://www.switchafricagreen.org>).
- Kenya Fact Sheet, SWITCH Africa Green, SAG Website (<http://www.switchafricagreen.org>).
- Multicountry, Fact Sheet, SWITCH Africa Green, SAG Website (<http://www.switchafricagreen.org>).
- South Africa, Fact Sheet, SWITCH Africa Green, SAG Website (<http://www.switchafricagreen.org>).
- Uganda Vision 2040 Full Document, Official Government of Uganda web portal (<http://www.gou.go.ug/>).
- Final National SCP Programme Document for Uganda, May 2011 (Uganda Cleaner Production Centre, with the support of UNEP).
- Contracts and Progress Reports of the selected projects in Uganda.
- ROM Report on SWITCH Africa Green Programme, C-316212: February 2016 by I. Arizkorreta and A. Phylactopoulos

## MED

- SwitchMed: Action Fiche existing programme period
- SwitchMed website (<http://www.switchmed.eu/en>), including publications available for download online, ROM/other evaluation report
- Project Document for the Policy Component
- Project Document for the Demonstration and Networking Components
- Annual progress reports for all components for years 2013, 2014, 2015 and partial progress of 2016.
- Factsheets country scoping missions
- Regional SCP Action Plan for the Mediterranean (deliverable of the Policy component)
- Policy toolkit for SCP in the Mediterranean (deliverable of the Policy component)
- Six SCP National Action plans (deliverables of the Policy component)
- Power point presentations of progress and achievements of each demonstration subcomponent.

## Other relevant documents

- Blending instruments website info: [http://ec.europa.eu/europeaid/policies/innovative-financial-instruments-blending\\_en](http://ec.europa.eu/europeaid/policies/innovative-financial-instruments-blending_en) and related links for LAIF, AIF, IFCA, AfIF, ITF, CIF, IFP, and thematic initiatives (ElectriFI, AgriFI and Climate Finance Initiative)
- Action documents for Investment Facilities, e.g. LAIF: [http://ec.europa.eu/europeaid/action-document-latin-america-investment-facility-laif\\_en](http://ec.europa.eu/europeaid/action-document-latin-america-investment-facility-laif_en) (available through the IF websites)
- EU guidelines on environment integration in Development Cooperation (updated version available at CAP4DEV): <http://capacity4dev.ec.europa.eu/public-environment-climate/document/new-guidelines-integrating-environment-and-climate-change-eu-international-cooperation-and->
- DG DEVCO Evaluation Unit Guidelines: [http://ec.europa.eu/europeaid/evaluation-approach-and-methodology\\_en](http://ec.europa.eu/europeaid/evaluation-approach-and-methodology_en)

## Appendix 7: Persons Interviewed

| European Commission  |   |
|--|---|
| DG DEVCO C2 (TM)   | Thibaut Portevin ((Policy Officer – Forests and Green Economy Environment, ecosystems, biodiversity and wildlife)   |
| DG DEVCO H1 (SWITCH-Asia)  | Alina Neacsu (managing SWITCH-Asia)   |
| DG DEVCO C2 (SWITCH Africa Green)  | Thibaut Portevin ((Policy Officer – Forests and Green Economy Environment, ecosystems, biodiversity and wildlife)   |
| DG NEAR (SwitchMed)  | Nicola Di Pietrantonio (managing SwitchMed)   |
| DG NEAR (EAP Green)  | Angela Bularga (managing Greening Economies in the European Union's Eastern Neighbourhood - EAP Green)  |
| DEVCO C4   | Betrand Jolas (following green economy issues in DEVCO's private sector unit - and Thais Leray  |
| DEVCO C3   | Yves Ehlert (working on blending instruments)   |
| DEVCO B3   | Jean Paul Heerschap (working on employment)   |
| DEVCO Evaluation Unit  | Jean – Louise Bolly   |
| DG ENV   | Luca Marmo (contact persons for 10 YFP at DG ENV)<br>Peter Czaga (policy officer)<br>Lana Zutelija (policy officer)   |
| DG DEVCO Asian Investment Facility   | Ms Hilde Timmerman  |
| UN Agencies  |   |
| UNEP/ UNIDO Brussels   | <ul style="list-style-type: none"> <li>• Florian Peter Iwinja (UNIDO)</li> <li>• Christophe Yvetot (UNIDO)</li> <li>• Ulf Bjornholm (UNEP)</li> <li>• Aurore De Crombrughe (UNEP)</li> <li>• Dirk Wagener (Nairobi, Kenya office)</li> </ul>  |
| 10 YFP   | <ul style="list-style-type: none"> <li>• Charles Arden Clarke (10YFP Secretariat)</li> <li>• Fabienne Pierre (UNEP DTIE): Mike Spilsbury</li> <li>• Elisa Calcaterra (Evaluation Officer UNEP)</li> <li>• Margareta de Goys (TL- Internal UNEP Evaluation 10YFP)</li> </ul>                                   |
| PAGE (Partnership for Action on Green Economy)   | Asad Naqvi (UNEP-DTIE)  |
| Green Economy Coalition  | Oliver Greenfield (Green Economy Coalition)   |
| Resource Efficiency and Eco-Innovation in Developing and Transition Economies project: | Liazzat Rabiosi, UNEP   |
| Advancing Caribbean States' Sustainable Development through Green Economy              | Asad Naqvi (UNEP-DTIE)  |
| Supporting Entrepreneurs for Sustainable Development in Africa / SEED initiative       | Rainer Agster (Adelphi)   |
| Sustainable products through Sustainable Public Procurement and Eco-labelling project  | Farid Yaker (UNEP-DTIE)   |
| Other UN Persons met - interviewed   | <ul style="list-style-type: none"> <li>• Ms. Elisa Tonda, Head of Unit, responsible industry and value chains - in particular for RECP, eco-innovation and MSME work</li> <li>• Mr. Fulai Sheng, Head of Unit, Economics research (may be particular interesting to discuss your mission to China)</li> </ul> |



## **SWITCH-Asia Programme**

- DG DEVCO H1: Alina Neacsu (managing SWITCH-Asia)
- Centre for Sustainable Production and Consumption: Uwe Weber (managing)
- Delegation of the European Delegation to **China and Mongolia**:
  - ✓ Laurent.Bochereau (Head of Economic & Finance Section)
  - ✓ Xueju Huang: Policy officer Cooperation Section
  - ✓ Ronan Pecheur: Attache EU Cooperation Instruments
- UNEP China Office:
  - ✓ Nanqing Jiang: Programme Management Office
  - ✓ Chang Yang: Programme Management Office
  - ✓ Li Shaoxin: Programme Management Office
- Xia Cheng: China national Focal Point for SWITCH-Asia and the 10YFP - National Development and Reform Commission (NDRC)
- Dimitris de Boer: Consultant with UNIDO experience and 16 years environmental experience in China
- DCI-ASIE/2011/262-965, Energy Housing in Sichuan and Shenzhen, China - Enable and enforce energy efficient building construction:
  - ✓ Malte Beckman (GIZ)
  - ✓ Professor Zhang Mingshun (Senior Lecturer China University of Civil Engineering and Architecture):
- DCI-ASIE/2012/307-186 SCP Models and Certification Tools in Chinese Food Supply Chains:
  - ✓ Jokin Garatea: garatea@gaia.es - GAIA
  - ✓ Zhang Xiaoshuan – China Agricultural University
  - ✓ Chen Song - Institute of Quality Standard and Testing Technology for Agro-products
  - ✓ Chen Tianjin - Institute of Quality Standard and Testing Technology for Agro-products
  - ✓ Shi Haoifei - China Society of Commodity Science
  - ✓ Zhang Jichuan – Beijing Louis For Fast – Frozen food Coy, LTD
  - ✓ Liao Mengjie: China Institute of Food Science and Technology
- DCI-ASIE/2011/262-880 Improving energy-efficiency and environmental performance of Chinese SMEs and large companies facilitated by voluntary public-private partnerships. (VA3):
  - ✓ Erik ter Avest: Netherlands Enterprise Agency (RVO.nl)
  - ✓ Professor Ming Shun ZANG (Senior Lecturer - China University of Civil Engineering and Architecture)
  - ✓ Professor Essor Hu Xiuchen (ERI of NDCRC)
  - ✓ Professor Mingshun Zan (BJUCEA)
  - ✓ Liu Haibin: Nanjing Research Institute of Environmental Protection
  - ✓ Two Chairmen of Nanjing Laundry Associations
  - ✓ Two owners of Laundry Businesses in Nanjing
- DCI-ASIE/2012/308-698, China Heat Pump Water Heater Challenge Program:
  - ✓ Mr. Song Zhongkui) - China Energy Conservation Association
  - ✓ Mr. Xu Haisheng - China Energy Conservation Association
  - ✓ Hu Xiulian – Energy Research Institute National Development and Reform Commission
  - ✓ Jamie Wu – China Electronics Enterprises Association
  - ✓ Cooper Zhao – International Copper Association of Asia
  - ✓ Eva Yin - Nanjig IMEDA Translation Co. Ltd. -
  - ✓ China Shanghai Jiaotong University (SJU)
  - ✓ China National Institute of Standardization (CNIS)
  - ✓ SP Sveriges Tekniska Forskningsinstitut AB (SSTF)
- DCI-ASIE/2011/263-084 Improving resource efficiency for the production and recycling of electronic products by adoption of waste tracking system. (REWIn):
  - ✓ Mr. Stefan Salhofer – University of Natural Resources and Life Sciences, Vienna
  - ✓ Mingshun Zhang - Beijing University of Civil Engineering and Architecture
  - ✓ Jerry Shou – E-CYCLE Environment Tech (Bonjour Earth)



- ✓ Zeng Jixin - China Electronics Enterprises Association (CEEA)
- ✓ National Solid Waste Management Centre of China of the Ministry of Environmental Protection of China
- ✓ Rijkswaterstaat/Jingzhou Environmental Protection Bureau
- Delegation of the European Union to **Nepal**: "SHRESTHA Ranjan Prakash – IC SWITCH-Asia
- PPP for 4Gs:
  - ✓ Winrock International (WI)- Binod Prasad Shrestha
  - ✓ PlaNet Finance (PF)
  - ✓ Namsaling Community Development Center (NCDC)
- Ministry of Industry Nepal: Rishi Raj Koirala (Joint Secretary)/ Amit Achrya (Under Secretary)
- Ministry of Population and Environment Nepal: Raju Babu Pudasaini (Under Secretary)
- National Contact Focal Point: Mr. Jay Ram Adhikari : Under Secretary (Technical) Ministry of Environment, Science and Technology
- Sustainable Carpet and Pashmina:
  - ✓ Mercy Corps (MC) - Surendra Chaudhary / Sanjay Karki
  - ✓ Society for Environment and Economic Development- Nepal (SEED-Nepal)
- Bio-Energy Project:
  - ✓ Bharat Pokharel - HELVETAS Swiss Inter-cooperation (HSI)
  - Winrock International (WI) / Binod Prasad Shrestha
- Helvetas: Juerg Mertz/ Bharat K. Pokharei
- Delegation of the European Union to **Thailand**: Sutthiya Chantawarangul (IC SWITCH-Asia)
- DCI-ASIE 2012/291458: Promotion and deployment of energy efficient air conditioners in ASEAN:
  - ✓ Pierre Cazelles - International Copper Association (IC)
  - ✓ Sukvivatn ASEAN-SHINE Project Manager International Copper Association
- DCI-ASIE 2015/369-182: Sustainable Freight and Logistics in the Mekong Region:
  - ✓ Wilasinee.Poonuchapha: Co-Director for EU SWITCH Green Freight Project
  - ✓ Office of Transport and Traffic Policy Plan (OTP)
  - ✓ Department of Land Transport (DLT)
- UNEP Thailand Office: Ms Isabelle Louis: Regional Director and Representative for Asia and the Pacific / Janet Slalem/ Mushtaq Ahmed Memon/ Jose Medina Valle
- Delegation of the European Union to **Sri Lanka and Maldives**: Harshini Halangode (Programme Manager | Cooperation Section)
- Delegation of the European Union to **Laos**: Bryan Fornari and Ignacio Oliver-cruz
- Delegation of the European Union to **Bangladesh**: Mohammed-Sifayet and Manfred Fernholz (Food Security & Climate Change)

## **SWITCH Africa Green**

### **Kenya**

- Mr. Patrick Mwesigye (UNEP)
- Ms. Rhoda Wachira (UNEP)
- Ms. Celia Marquez (UNOPS East Africa Hub (EAH))
- Mr. David Githaiga (UNDP)
- Ms. Lily Chebet Murei (UNDP)
- Ms. Mercy Gatobu (UNDP)
- Dr. Alice Kaudia (Kenya Ministry of Environment, Water and Natural Resources (MEWNR))
- Mr. Thomas Musandu (Kenya Ministry of Environment, Water and Natural Resources (MEWNR))
- Dr. Charles Mutai (Kenya Ministry of Environment, Water and Natural Resources (MEWNR))
- Mr. David Gitonga (Ministry of Tourism, Kenya)
- Mr. Benson Kimani (Ministry of Devolution and Planning)
- Mr. George Onyango (Kenya Kenya Leather Development Council (KLDC))
- Ms. Georgina Guillen-Hanson (Collaborating Centre on Sustainable Consumption and Production (CSCP) gGmbH)

- Ms. Yang Deng (Collaborating Centre on Sustainable Consumption and Production (CSCP) gGmbH)
- Mr. Francis Kodhiambo (Federation of Community Tourism Organizations (FECTO))
- Dr. Wilber Iwande (The International Centre of Insect Physiology and Ecology (ICIPE))
- Mr. James Ligare Muliru (Farmers Conservation Group (MFCG))
- Mr. Alex Nene (Kenya Private Sector Alliance (KEPSA))
- Mr. Andrew Omariba (Kenya Agribusiness and Agro Industry Alliance (KAAA))
- Ms. Jane Nyakan'go (Africa Roundtable on Sustainable Consumption and Production (ARSCP))
- Mr Peter Ohon (Africa Roundtable on Sustainable Consumption and Production (ARSCP))
- Ms. Janet Nyamusi (Kenya National Cleaner Production Center (KNCP))
- Ms. Marion Müller vom Berge (SEED)
- Mr. Pauline Kimani (Pamat Foods)
- Mr. James Mwaura (Champion Shoes)
- Mr. Richard Gituro (Alive and Kicking)

## **Uganda**

- Mr. Richard Musinguzi (UNDP Uganda)
- Mr. Teddy Twine Nsubuga (UNDP - SWITCH Africa Green Project National Co-ordinator)
- Mr. Nicolas Burunde (UNDP Uganda)
- Ms. Jastine Kabirizi (UNDP Uganda)
- Mr. Duncan Kimani Muturi (Afri-Banana Products and Limited (ABP))
- Ms. Harriet Achieng (Centre for Research In Energy And Conservation (CREEC))
- Ms. Daphine Akankwatsa (Centre for Research In Energy And Conservation (CREEC))
- Ms. Samuel Tumwesigye (Plan International Uganda)
- Ms. Beckie Nantongo (National Organic Agricultural Movement of Uganda (NOGAMU))
- Mr. Peter Masaaba (Partner -B-Space (U) Ltd)
- Mr. John K. Walugembe (Uganda Small Scale Industries Association (USSIA))
- Mr. Nelson Tashobya (Uganda Small Scale Industries Association (USSIA))
- Mr. Silver Ssebagala (Uganda Cleaner Production Centre (UCPC))
- Mr. Tomson Akankwasa (Uganda Cleaner Production Centre (UCPC))
- Mr. Eric Tugume (Uganda Cleaner Production Centre (UCPC))
- Mr. Edson Twinomujun (Uganda Cleaner Production Centre (UCPC))
- Ms. Harriet Bakisa (Uganda Cleaner Production Centre (UCPC))
- Mr. James Ludigo (Uganda Cleaner Production Centre (UCPC) - Deputy Director)
- Mr. Petter Ssekajja (Uganda Cleaner Production Centre (UCPC))
- Dr. Joshua Mutambi (Ministry of Trade, Industry and Cooperatives)
- Mr. Kassim Semanda (Ministry of Trade, Industry and Cooperatives)
- Ms. Patience Rwamigisha (Ministry of Agriculture, Animal Industry and Fisheries)
- Mr. Innocent Akampira (Uganda National Council for Science and Technology)
- Mr. Mike Ineriro (Uganda National Environment Management Authority (NEMA))
- Dr. Evelyn Lutalo (Uganda National Environment Management Authority (NEMA))
- Ms. Florence Grace Adongo (Uganda Ministry of Water and Environment)
- Mr. David Mugabi (Uganda Ministry of Water and Environment)
- Mr. George Oeroyesigire (Uganda Ministry of Tourism, Wildlife and Antiquities)
- Mr. Julius Masereka (Uganda Ministry of Local Government)
- Mr. Fred Nsubuga (Ministry of Gender, Labour and Social Development)
- Mr. David Okwii (Ministry of Finance, Planning and Economic Development)
- Mr. Enock Nimpamyia (Uganda Civil Society)
- Ms. Jalia Kobusinge (EU Delegation in Uganda)
- Ms. Prosie Nakawuki (Uganda Investment Authority)
- Mr. George Badagawa (Uganda Private Sector Foundation)
- Ms. Clare Kaweesa (Uganda Free Zones Authority)

## **SwitchMed**

- DG NEAR: Nicola Di Pietrantonio (managing SwitchMed until October 2016)
- UNIDO / SCP/RAC /UNEP DTEI
  - ✓ Project Manager, Carolina Gonzalez, Demonstration and networking component.
  - ✓ Chief Technical Advisor, Roberta De Palma, Subcomponent MED TEST I
  - ✓ SwitchMed HQ Coordinator, Vladimir Anastasov, Subcomponent MED TEST II
  - ✓ SCP/RAC, Director, Enrique De Villamore,
  - ✓ SCP/RAC, Deputy Director, Roger Garcia Noguera,
  - ✓ SCP/RAC, Team Leader – SwitchMed Policy Area, Magali Outters, Policy component
  - ✓ SCP/RAC, Team Leader SwitchMed – Green Entrepreneurship & Civil Society, Girogio Mosangini, Subcomponent Green Entrepreneurship & Civil Society
  - ✓ SCP/RAC, Team Leader, SwitchMed Networking Facility, Burcu Tuncer, Networking component
  - ✓ UNEP/DTIE, SwitchMed National Policy Coordinator, Luc Reuter, Subcomponent SCP National Action Plans (NAPs)
- EU Delegation **Morocco**, Sandrine BEAUCHAMP, Chargée de programmes Secteur Privé
- UNIDO **Morocco**: Abdallah NAIT-BRAHIM, Coordinator MEDTEST for Morocco
- Ministry of Environment **Morocco**: Ms. Seloua Amaziane, on behalf of Mr. Mohamed Benyahia, Directeur, Division du partenariat, Direction du partenariat, de la Coopération et de la Communication Département de l'Environnement
- Ministry of Industry **Morocco**: Mr. Bouchaib Elfatine, Chief Executive
- Implementing partner Demonstration Component **Morocco**:
  - ✓ FRAQUEMAR, MEDTEST implementing partner, Yvan GRAVEL, Director
  - ✓ MSI, MEDTEST implementing partner, El Mustapha SAOUD, Director
- Beneficiary companies MEDTEST sub-component **Morocco**
  - ✓ PIF, Textile Emotions (company beneficiary), Zouhair BENNANI, Plant manager
  - ✓ EXCELO, Biscuits (company beneficiary), Mohamed MAMOUMI, Quality Director
- Ministry of Environment **Lebanon**: Mr. Bassam Sabbagh, Head- Urban Environment Service
- Ministry of Industry **Lebanon**: Mr. Ramzi Shasha, Engineer
- Ministry of Environment **Tunisia**: Mr. Nabil Hamdi, Directeur, Prospective et Planification, Direction Générale du Développement Durable,
- Ministry of Industry **Tunisia**: Mr. Ridha KLAI, Directeur Général, Infrastructure industrielle et technologique
- Implementing partner Demonstration Component **Tunisia**, Centre National du Cuir et de la Chaussure – Ministère de l'Industrie (implementing partner for MEDTEST), Nadia SOMAI BOUBAKER, Chef de Service Coopération et Environnement.

## **Appendix 8: Case Studies (Derived by the Consultant from SWITCH-Asia Network Facility Project Impact Sheets, Project “Narrative” Progress Reports)**

The project Impact Sheets prepared by the NF in conjunction with Grant projects provide a good deal of evidence of effectiveness and also impact (to some extent). They also provide examples of good practice and some projects are of a sufficiently high standard with significant impact and provide the basis for Case Studies. This is illustrated by presentation of the consolidated content of one multi-country project, and selected Impact Sheets for each of the 5 countries for which country reports have been prepared and one additional project in Indonesia and the Philippines.

The **effectiveness of Grant Projects** is illustrated under 6 headings, which is particularly valuable because information is provided on the effectiveness of projects related to indicators on policy, economic, environmental, climate change, multiplier effects and stakeholder engagement, social and cooperation between the EU and Asia. There are variations in the quality of the data in the Sheets. Indicators are not uniform, particularly regarding economic effectiveness; for example there is almost no data on the number of jobs created and limited data on green finance and investments. In some Sheets there is no aggregation of data of all MSMEs or government agencies targeted, and in these cases data sets are limited only to the Grant Project in question.

### **1. China Examples**

#### **1.1 Improving energy-efficiency and environmental performance of Chinese SMEs and large companies facilitated by voluntary public-private partnerships (abbreviated as: VA3 China, EC4C VA3 or Collective Impact by Green Incentives)**

##### **Success factors:**

- Appropriate partnership:
  - ✓ Government Nanjing Environmental Protection Institute with local government contacts and the ability to link policy to the aims of the project for environmental and economic impact
  - ✓ Technically and financially competent EU partner
  - ✓ Changchun and Chinese Laundry Associations (CLA)
- Engendering the right mind –set for a partnership approach involving academia, private enterprise and government
- A phased approach including consultations with target MSME trade associations; working with their members and providing training, preparation of a detailed Feasibility Study, development of business models, facilitating access to finance
- Nanjing one participating city in project with 3 phases of VPA. Chairman of 19 Laundry of Associations. Associations have members – 200 companies.
- Clear environmental targets (energy, water, waste)
- An effective monitoring system
- Sharing of information
- Establishing Trust
- Considerable level of effort given to achieving multiplier effects (22 cities visited)

##### **Objectives**

Improving energy-efficiency and environmental performance of Chinese SMEs and large companies facilitated by voluntary public-private partnerships (VA3) project aims to scale up Sustainable Consumption and Production (SCP) practices by facilitating voluntary public private partnerships throughout China and thereby contributing significantly to the mitigation of climate change. In this VA3 project at least 700 PPPs will be signed with individual SMEs in the cities of Nanjing and Jingzhou, and at least 100 PPPs with SMEs and large companies in Chinese mega cities such as Jinan, Hangzhou, Xian, Baoding and Tianjin. The main focus is on the laundry and textile SME sectors. The project develops and implements a China-specific manual on how to implement and facilitate voluntary PPPs for SMEs. The project builds capacity with industrial and governmental trainers to reach out to 700 target SMEs in Nanjing and Jingzhou. These trained PPP facilitators

will encourage and streamline the signing of voluntary agreements between these SMEs and local governments and the development of PPP-related financial incentives by means of local banks and government. The VA3 action will be implemented in period 2012-2015.

### Activities/ Strategy

The project partners broaden the cost-effective voluntary PPPs on sustainable development from large companies to SMEs in China. This widening to a large number of SMEs has been facilitated by Chinese SME associations taking into account EU SME best practices. The self-sustainability of this action will be realised by the management of three integrated SCP work packages developing and demonstrating PPP replication towards SMEs (WP1), improving PPP policy framing related to 12th FYP cycle (WP2) and strengthening PPP financial and institutional enabling environment(WP3). Thereby scaling-up of PPPs for improving industrial resource-efficiency will be guaranteed throughout China.

### Target groups

a) 550 laundry & dyeing SMEs in Nanjing and 150 textile SMEs in Jingzhou; b) large energy-intensive companies in Nanjing and Jingzhou that also facilitate transfer of PPP knowledge and motivation to SME sectors; c) NGOs, SME associations such as Nanjing Laundry and Dyeing Industrial Association with more than 1,000 members and Jingzhou Textile Association with 348 members; d) local and national governments that will use and promote PPPs as cost-effective policy implementation tools during the 12th Five-Year-Plan (FYP) period; local environmental and local economic and/or trade departments will act as one governmental party for signing voluntary agreements with local SME associations and its SME members.

Final beneficiaries are: a) Chinese Ministries National Development and Reform Commission of the People's Republic of China (NDRC), Ministry of Industry and Information Technology (MIIT) and Ministry of Environmental Protection of the People's Republic of China (MEP) as well as provincial and local environmental, economic, trade and DRC governmental departments; b) Chinese SMEs and large companies achieving 12th FYP targets; c) Chinese NGOs and citizens enjoying better quality of life and living conditions through lower energy consumption and reduced emissions

### Scaling-up Strategy

*Public Private Partnerships as a cost effective tool to scale-up SCP for SMEs:* The PPP focus is on development and demonstration of an optimal mix of communicative, financial and regulatory policy implementation instruments for addressing and accelerating SCP. Therefore the project applies participatory principles of discourse and trust management that go beyond the limitations of technical training only. This leads to much higher level of management commitment from public and private partners and supports top-down and bottom-up communication within companies and governments and increases constructive dialogue between public and private partners. This change from environmental DAD (decide, announce, deliver) to DDD (discuss, decide, deliver) model enables win-win-win SCP situations for all public and private partners and Chinese citizens enjoying better quality of life and living conditions. Scaling-up of PPPs is envisaged from large companies to SMEs and more regions. The VA3 partner Energy Research Institute of NDRC links to the national policy level while the regional authorities can pick up on the tangible results of PPPs and include this flexible PPP mix of policy instruments in their five year plans.

- *Engaging Industrial Associations and Governments for uptake and wider outreach:* A serious constraint is the short-term attitude of SMEs characterized by exclusive interest in profit and poor environmental awareness. A win-win co-operation licensing authorities, SMEs and SME associations have to be created. The industrial associations together with governmental organisations here play a crucial role. In China, the municipal authorities have environmental funds that can be used to provide financial incentives for industrial companies signing voluntary agreements. This leaves a very good opportunity to support SME sectors that sign PPPs with local government.
- *Facilitating Investments to green industries:* The project works towards developing new financial instruments for encouraging green projects and providing SME-specific financial loans and incentives for implementing PPPs. Local banks in Nanjing and Jingzhou have expressed their interest in this



action. They have included this VA3 action on SCP into their own low-carbon development strategies for SMEs.

*“Our VA3 project team has experienced that discourse management is a cheap SCP and innovation catalyst for successfully implementing public-private partnerships. Discourse management creates a learning PPP community sharing relevant knowledge in various directions between for example EU and Chinese partners, Chinese governmental and industrial organisations or SME associations and individual SME companies. Valorisation of this PPP knowledge will result in large energy savings and emission reductions far beyond business as usual, policy framing and strengthening financial enabling environment for achieving sustainable economic growth in China. Tai bang le!” Erik ter Avest project coordinator from the Netherlands Enterprise Agency (RVO.nl).*

## Results

The Chinese VA3 Collective Impact action has accelerated green growth for both large companies and SMEs. The action has facilitated and managed constructive cooperation on energy savings and environmental management between public and private organisations in China by initiating, signing and implementing voluntary Public-Private Partnership (PPP) agreements. The tangible results in the action period 2012-2015 have exceeded the ambitious SCP objectives in terms of number of participating SMEs, achieved energy savings and emission reductions and scaling up of the Collective Impact approach to Changchun and Chinese Laundry Association (CLA) by signing two Memoranda of Understanding on cooperation with Changchun public and private stakeholders and CLA representatives.

- *Capacity built to reach out to SMEs:* A train-the-trainer course for SMEs has been successfully completed. This course has largely contributed to bridge the knowledge valorisation gap on VA3 process and contents between EU and China. Thirty Chinese VA3 facilitators have been trained. At the Shanghai Laundry Expo the latest and most advanced technologies, machines, apparatus and chemicals for laundry and dry-cleaning were showcased. The VA3 SME toolkit including lessons-learned from the Shanghai course has been applied to pilot SMEs in Nanjing and Jingzhou. Training of 140 SMEs was expected to take place in 2012. At the end of 2012 already 262 SMEs have been trained by Chinese PPP facilitators, so VA3 action is progressing fast.
- *Signing of PPPs with SMEs* including incentives provided by local government. By the end of 2012, all 262 trained SMEs have completed their Energy-Efficiency and Emission Reduction Potential Scan (EE&ERPS) reports. The aggregated data in these confidential reports have been used for negotiating targets and signing PPPs. Each EE&ERPS report has approval from management of the SME Company. In period 2012-2015 at least 700 SMEs and 100 large energy-intensive companies will sign PPPs on improving resource-efficiency with local government. Consensus has been built up on SCP challenges ahead for SMEs and China-specific SME needs and requirements through signing of PPPs including governmental incentives and established action teams in SME pilot companies.
- *Scaling up PPP approach* by PR and dissemination activities Early 2012 the action website [www.VA3China.com](http://www.VA3China.com) has been developed and launched. The website is in both English and Chinese and has been used as a platform for internal and external communication. This VA3 action established a formal and informal action network of partners, associate partners (in particular local bank authorities), SME target groups, national and local governmental authorities as well as local mass media. The network started off crucial trust and discourse management by jointly discussing impressions of energy consumption and environmental performance of laundry and textile SME sectors in China. Chinese emission trading policy needs and requirements have been informally discussed and elaborated in more detail for digesting and taking advantage of VA3 benefits.
- *Two very strong and well formulated conclusions are that financial loans are not a main SCP barrier for (M)SMEs as with effective green business case developments as a result of Collective Impact intervention with combined technical and social innovation have been the driver for accessing funds.*

The project's target area: Beijing, Nanjing, Jingzhou and other interested mega-cities like Jinan, Hangzhou, Xian, Baoding and Tianjin: Duration: 1/2012 - 12/2015: Total budget: EUR 1,942,233 (EU Contribution: 80%)

### Policy Development

- Both national and local governments are willing to include innovative approaches of voluntary PPPs into their sustainable consumption and production policy framework for the 13th Five-year-Plan period 2016-2020
- In November 2015, Collective Impact SCP policy recommendations were presented in New Delhi in a panel chaired by UNEP Paris
- In the final VA3 conference in Beijing SCP policy findings and recommendations were presented and discussed with participating policy makers from the EU and China and Non-State-Actors such as NGOs and SMEs
- Formal and informal contacts with NDRC and MEP were continued on implementing voluntary PPPs in China. The partners ERI, BJUCEA and to a lesser extent RVO.nl have had various contacts with representatives from NDRC aimed at clarifying the added value and benefits achieved by VA3 Collective Action aimed at mobilising SMEs to take up SCP practices
- Informal contacts were made with NDRC representatives on replicating lessons-learned and scaling up sustainable impact of voluntary PPPs to other policy implementation areas such as emission trading
- Options with MEP and Environmental Protection Bureaux By-law Scheme (EPBs) were discussed for Chinese mega-cities for widening and deepening voluntary public-private partnerships to more Chinese cities and more industrial sectors
- NDRC and MEP were provided with SCP policy recommendations. As a result organisational and technical suggestions have been formulated with respect to including PPPs as a mix of innovative and powerful SME instruments into national SCP 13th FYP policy
- This indicates how a VA3 Collective Impact market-oriented mix of regulatory, financial and communication instruments could be applied within the 13th FYP cycle to achieve or even exceed ambitious SCP targets
- This innovative and powerful policy tool combines a well-proven mix of SCP policy instruments that are crucial for realisation of large energy savings and emission reductions. This is needed within Chinese and Asian context, as various research reports conclude that no single SCP policy can achieve ambitious 13th FYP targets on green growth.
- Established VA3 SCP discourse and trust management policy dialogues at Chinese national, provincial and local levels shifting from traditional command-and-control governance towards more civil society Collective Impact PPP cooperation with crucial SCP Non-State-Actors, both large companies and SMEs.
- **Voluntary agreements have been included into local 13th FYP** for achieving SCP targets
- The Beijing government has asked BJUCEA to make available a Beijing Voluntary Approach instrument and action plan that could be included into Beijing's policy package on energy savings and emission reduction programme. This could significantly contribute to the Beijing Blue Sky Programme that is a top priority of the Municipality of Beijing
- Voluntary Approaches in combination with regulatory instruments will be applied in Beijing for achieving ambitious Blue Sky targets. This additional Beijing outcome on top of VA3 logical framework deliverables shows the attractiveness of VA3 Collective Impact participatory approach in line with joint market and governmental needs and requirements
- Various financial incentives and investment sources are available from local DRC (e.g. energy saving awards) and local EPB (lower emission fee and environmental incentive funds) for supporting VA3 follow-up activities. During this action, a total of € 13 million has been provided as financial PPP incentives. This mix of financial incentives has been optimised in this action for SMEs and will also be available for the period 2016-2010, as the participatory PPP instrument has been made available as a powerful policy implementation tool in energy savings and emission reductions in China
- In addition, both national and local governments assign top priority to improve resource-efficiency. This ensures that necessary green incentives and funds will be made available for Chinese companies implementing SCP practices

### Economic and Green Finance Impact

- Incentives have been provided for participating SMEs by Nanjing and Jingzhou EPBs. Green PPP incentives have been provided by reallocation of existing funds. By this VA3 action € 2 billion of economic SCP benefits have been realised as a result of €13 million green incentives (multiplier factor

of 150). This shows that VA3 PPP organisational and financial incentives are suitable for achieving SCP by SMEs and large companies

- Annual cost reduction and margin increases by implementing SCP measures in all 960 companies are over 15 billion Chinese RMB or € 2 billion. The share of annual cost reductions and margin increases for all participating SMEs is over 900 million Chinese RMB or € 120 million – an overall CI multiplier of 4,000 has been achieved (€ 2 billion annual SCP benefits at (EC SWITCH-Asia) intervention costs of € 0,5 million)
- In 2015 both Nanjing and Jingzhou have conducted VA3 networking events discussing new options to accelerate green growth. In 2015 Jingzhou suffered from a strong economic decline in the SME textile sector and four Jingzhou textile SMEs that have signed VA3 public-private partnerships, have been closed due to economic reasons
- Nanjing SMEs and government have continued constructive discussions on a green industrial laundry park that would enable additional SCP benefits and more investments in innovative technologies such as tunnel washers with associated large savings on energy and water consumption compared to traditional washing equipment
- If Chinese SMEs have user-friendly access to European best practices and innovative technologies, building an SCP business case is relatively easy for them
- As a result of the attractive green business case with relatively low financial risks (facilitated by VA3 trust management principles) access to SME family, governmental and/or bank investment funds or schemes is not the main barrier anymore
- No access to SCP loans has been mentioned quite often by SMEs as a main reason for not achieving SCP targets. After joining the VA3 action with EU-China discourse management on how to realise SCP SMEs report that this financial SCP barrier has decreased significantly for participating SMEs
- Combined EU and Chinese Collective Impact findings showing sustainable impact of relatively small green financial incentives within PPP framework that could also be used for accelerating and scaling up SCP throughout China and to other Asian countries
- Jingzhou EPB has included environmental subsidy funds in the VA3 framework. and subsequently financial incentives were signed with SME members
- The PPP green incentives fund has been distributed to the target laundry companies that have achieved their VA3 targets at the end of 2015
- Local partners have informed local banks of VA3 findings and have discussed with them how they could benefit from VA3 action benefits and how VA3 financial lessons learnt could be included into their low carbon strategies
- Green financial support facilities and green loan programmes have been established by local banks for target SMEs in Nanjing and Jingzhou implementing SCP projects and measures

### **Multiplier Effect/ Stakeholder Engagement**

- In the period 2012-2015 918 SMEs and 42 large companies have signed PPPs on improving resource-efficiency with local governments.
- At the end of 2015 1,421 Nanjing SME participants and 214 Jingzhou SME participants were trained by Chinese VA3 trainers and all 918 trained SMEs have completed their Energy-Efficiency and Emission Reduction Potential Scan Reports (EE&ERPS). The aggregated data in these confidential reports have been used for negotiating targets and signing PPPs. Each EE&ERPS report has received approval from management of the SME company
- There have been various requests for further Asian outreach
- The first VA3 PPP replication conference was successfully combined with the annual progress meeting and workshop in Changchun in June 2014. The second PPP replication conference took place in Beijing (final VA3 conference and CLA Professional Textile Care training workshop) and Shanghai (Texcare Asia exhibition) in November 2015
- The VA3 Collective Impact experiences and benefits for inclusion in SCP policy mix including organisational and financial incentives and green investments were presented and discussed in Changsha in March 2015 during a Clean Technology Promotion Mechanism (CTPM) workshop in cooperation with Asian Development Bank (ADB). The ADB / Hunan Low Carbon Innovation Center (HNLIC) workshop concluded that VA3 Collective Impact PPPs have both provided a bridge and a support function for green development



- Both ADB and the Changsha government expressed their interest in the envisaged SUPER VA3 Collective Impact follow-up within and outside China
- All visits to municipal governmental economic and environmental departments covered knowledge exchange and discussion on best of “EU and Chinese” worlds on sustainability challenges. Most scaling up visits clearly showed that there is still a large amount of room for Chinese SCP improvement facilitated by adoption of VA3 discourse and trust management type of Collective Impact principles
- SCP Collective Impact scaling up facilitated by PPPS would enable local governments in all 22 Chinese mega-cities that have been visited in the period 2012-2015 by the VA3 action team, to exceed their ambitious 12th FYP targets related to energy savings and emission reductions. All three cities have expressed their interest in adopting and implementing Voluntary Agreements
- In large-scale training and replication of VA3 opportunities for the Chinese SME laundry sector in combination with e-learning training options for all CLA members throughout China was held
- At various meetings and conferences in 2015 there was attendance by EC SWITCH-Asia representatives from Brussels, New Delhi and Beijing and other SCP experts from China and Asia
- Among others UNEP Paris has concluded that implementation of five Collective Impact principles is crucial for achieving 17 Sustainable Development Goals in developed and developing countries
- A China-specific SME manual has been published with guidelines on how to set up and implement voluntary PPP agreements on SCP. Collective Impact benefits have been disseminated face-to-face to 22 Chinese megacities and a large number of Asian countries at various conferences
- In the period 2016-2020 Collective Impact initiatives will be continued in China and possibly also in other Asian countries. This will greatly contribute to both mitigating climate change and achieving two-thirds of the seventeen Sustainable Development Goals of the United Nations with involvement of national and local governments as well as relevant Non-State Actors

#### Environmental and Climate Change Impact

- SCP goals have been exceeded, achieved results on energy savings of > 200 PJ/a, CO2 emissions reduction > 17 Mton/a, reduction of water consumption >> 180 Mm3/a, reduction of waste water discharge >> 140 Mm3/a, reduction of SO2 emission >> 26 kton/a, reduction of NOx emission >> 16 kton/a
- In total 960 PPPs have been signed in period 2012-2015. This has resulted in a potential energy saving of 503 PJ/a and a potential water consumption reduction of 464 Mm3/a in 2015 compared to 2011. This has led to an annual reduction of CO2 emissions of 17 Mton at production costs of far less than 1 €/ton CO2

#### Europe – Asia Cooperation

- There has been learning at various levels between public-private partners, between Chinese cities and between the EU and China
- EU-China knowledge exchange has focused on pragmatic VA3 Plan-Do-Check-Act M&S improvement issues
- M&S methodology has been largely based on Dutch Long-Term Agreement experiences and other European M&S lessons learnt.
- Various networking events have taken place in cooperation with EU and Chinese policy representatives, SMEs and the China Laundry Association (CLA) representatives

### 1.2 Promoting residential heat pump water heaters (HPWH) in China

The project is the first of its type in China. It has been successful and has achieved impact. **Key success factors** are:

- The partnership is very much in line with needs and includes two trade associations
  - ✓ China Energy Conservation Association, China
  - ✓ Shanghai Jiaotong University (SJU)
  - ✓ China National Institute of Standardization (CNIS)
  - ✓ International Copper Association Ltd., China (ICA)
  - ✓ SP Sveriges Tekniska Forskningsinstitut AB (SSTF)

- It has the full support of the government in China and policy has been enshrined in law
- The technical scope was supported by visits to Europe to the best technicians
- It is founded on shared knowledge and works along the supply chain with a strong marketing component
- MSMEs have made the switch to green because of the technical and economic benefits of doing so; a considerable amount of investment has been made by MSMEs

In China, the broad uptake of heat pump water heater (HPWH) technologies faces many challenges. Firstly, the upfront cost of an HPWH is higher than that of an electric water heater, and similar or a slightly higher than a solar water heater. Secondly, consumer awareness in China is still very low. Consumers also have no means to compare between different types of water heater. Thirdly, the level of HPWH technology used in China is significantly lower than in Europe, leading to lower reliability, lower efficiency, less-than-ideal refrigerants used and a limited product range.

The project aims at reducing environmental impacts from the utilisation and production of water heaters in China translating into a reduction of 1 million tonnes of CO<sub>2</sub> emissions per year, by increasing the market share of household heat pump water heaters from less than 2% to 6.5% in Southern China. The project combines voluntary (labelling) and mandatory (standards) approaches in order to induce a positive market transformation in favour of HPWH. It consults with local stakeholders (energy conservation organisation, national-level policy makers, China National Institute of Standardisation (CNIS), and Standardisation Administration of China (SAC). Subsequently, the development of single energy efficiency (EE) standards for water heaters and of a labelling scheme will build upon European experience through a study tour to Europe for Chinese policy and standard makers.

The specific objectives include:

- To train 2 000 HPWH distributors and retailers;
- To train 480 HPWH installers;
- To raise awareness among consumer associations and consumer groups;
- To train 300 HPWH manufacturers;
- To develop a single energy efficiency standard and label for water heaters.

Target Groups

- 300 small- and medium-sized HPWH producers
- Distributors, retailers and installers
- Residential consumers in 8 selected pilot cities: Kunming, Hefei, Wuhan, Changsha, Nanchang, Nanning, Chongqing, Chengdu
- Local governments in 8 cities
- Energy efficiency standards and labelling institutions in China

Activities

- *Capacity Building of Intermediaries and Manufacturers:* Through training workshops, the project builds the capacity of sales intermediaries (distributors, big electrical appliance selling stores, do-it-yourself stores) that influence residential consumer's final choice and of HPWH installers to ensure a proper installation. The capacity of HPWH manufacturers will be strengthened to enhance the quality and performance of their products. This project activity also strengthens the China Heat Pump Alliance (CHPA), expands its membership, and establishes a link with the European Heat Pump Alliance (EHPA).
- *Raising Consumers' Awareness:* The project develops marketing strategy and campaign to reach residential consumers, using various communication channels such as newspapers, topic-oriented media (magazines, reviews), and the internet (CHPA website). The website will also contain promotional information and a section where consumers can compare all types of water heaters. The project also trains consumer organisations about the benefits of HPWH. Subsequently, an ex-post survey will be carried out to measure the actual improvement of consumers' awareness.
- *Developing Eco-Design Guidelines:* In cooperation with the South China University of Technology, the project develops practical recommendations on how to integrate eco-design into the HPWH

manufacturing. Best practices will be identified and compiled as a basis for eco-design guidelines and training materials. The guidelines will be distributed during training workshops to 300 HPWH manufacturers (75% of all SMEs in the industry). As project associates, 8 local energy conservation organisations will further distribute the guidelines to their members. Promoting Eco-Labels and Standards. The project combines voluntary (labelling) and mandatory (standards) approaches in order to induce a positive market transformation in favor of HPWH. It consults with local stakeholders (energy conservation organisation, national-level policy makers, China National Institute of Standardisation / CNIS, and Standardisation Administration of China / SAC). Subsequently, the development of a single EE standards for water heaters and of a labelling scheme will build upon European experience through a study tour to Europe for Chinese policy and standard makers.

### Scaling up Strategy

- *Increasing HPWH Market Share:* Through capacity building and awareness-raising programmes, the project creates favourable conditions for HPWH manufacturer to increase their market share from less than 2% to 6.5% in Southern China. The categorisation of HPWH as renewable energy in at least one of the pilot cities will pave the way for similar categorisation at national level. This in turn will provide a direct financial resource for the deployment of HPWH in the city and subsequently across China.
- *Enabling Policy Environment* for HPWH Official recognition of HPWH as renewable energy technology (like in Europe) by one of the pilot cities within the implementation period of the project will be instituted, and subsequently at national level by China's government authorities. *Therefore, the technology can benefit from government subsidies, and the deployment of HPWH will be further facilitated.*
- *Long-term Sustainability:* Maintaining the CHPA will offer opportunities for activities, such as consumer information, media coverage, events, and the like to be continued at no extra cost. To ensure CHPA's financial sustainability several options will be explored such as registration fee for seminar participation, possibility for manufacturers to advertise at seminars, and CHPA membership fees. CHPA will offer a range of services to HPWH manufacturers as well.

*“Currently, Chinese people own 130 million units or sets of water heaters, 40 million of which are electric water heaters consuming electricity about 67 billion KWh per year. HPWH represents less than 2% of the total market in terms of units sold, leaving room for further market development. By replacing electric water heaters with HPWHs, the potential to further reduce energy consumption and the resulting CO2 emissions is very great”. Mr. Chen Neng China Energy Conservation Association.*

### Results

- *Established the China Heat Pump Alliance:* CHPA currently has about 100 members, including HPWH manufacturers, distributors, media companies, academic institutions, and representatives of the central government. The Alliance organises regular meetings and encourages collaboration among members. In addition, an agreement for formal cooperation with the European Heat Pump Alliance will be developed and signed to facilitate knowledge transfer between European and Chinese alliances.
- *Built Capacities of Intermediaries and Manufacturers:* Certificates of attendance are provided to the participants of training workshops, who will be able to include this in their CV, thus raising their personal and company's profiles. Participants also received marketing materials and tools that further help them convince consumers as well as carrying out proper installation of HPWH. HPWH manufacturers received trainings to enhance the quality and performance of their products. Eco-design guidelines will be produced and disseminated, and training workshops organised.
- *Consumer Awareness Increased:* Activities specifically aimed at increasing residential consumers' demand for HPWH and communicating its benefits have been developed. These will provide a way to measure the improvement of consumer awareness during the project.
- *Energy Efficiency (EE) Standard and Label Adopted:* The development of EE standard for water heaters as well as a labelling scheme will build upon European experience, in particular expertise from the European Heat Pump Alliance. In the future, HPWH shall be recognised by Chinese authorities as a renewable energy, thus enjoying government subsidies and support

*“We have used the HPWH for a year and it has really saved us much electricity costs. In the summer, most days it consumes just 1 KWh for the whole family to bath. When we still used the electric water heater, it could reach 4 KWh or even more. In winter, although the HPWH will consume around 2 KWh, it’s still more efficient than the electric water heater. So, I think there must be large amounts of energy to be saved if more people were to use HPWHs”. Mr. Li Xiaodong, a consumer from Wuhan, Hubei province.*

Project Duration: 02/2013 - 01/2017 PROJECT TOTAL BUDGET EUR 2 069 861 (EU contribution: 80%)

| Policy Development   |
|--|
| <ul style="list-style-type: none"> <li>Recommendations were submitted to China’s National Energy Bureau to classify HPWH as a renewable energy technology in order to qualify for government subsidies</li> <li>The project will develop HPWH national energy efficiency standard and engage with policymakers for adoption of the standards and labelling scheme</li> <li>The project contributes to development of design standards for energy efficiency in public buildings</li> <li>General secretary of the Heat Pump Alliance (EHPA) attends the 2015 conference organised by the project and gave a presentation about the Europe heat pump market and policies</li> <li>Policy implementation: the energy efficiency standard and labelling schemes for Chinese heat pump water heaters in Shanghai held a seminar for policy implementation of the energy efficiency standard and labelling schemes for Chinese water heaters</li> <li>In order to set up Eco-design standards and industry guidelines in China, conducted field monitoring project by working with Shanghai Jiaotong University, and also started the Eco-design study by working with the China National Institute of Standardization. The heat pump water heater field metering project covered several targeted cities of our program. Its results could support guideline development and standard making process.</li> <li>Create renewable energy policy making group - worked with the China Ministry of Housing and Urban-rural Development (MOHURD) - created a joint renewable policy research group which included university professors, manufactures, and policy makers.</li> <li>Renewable energy policy implementation for heat pump water heater in Changzhou - worked with the China Ministry of Housing and Urban-rural Development (MOHURD) completed a renewable policy guidance for China 13th five year plan, which accepted heat pump water heater as renewable energy product</li> <li>China national government will include HPWH into national renewable energy product list in the 13th five-year plan for building energy conservation, Air source heat pump (Aerothermal) renewable energy policy feasibility study and also push province-level governments to consider subsidy policy for HPWH as renewable energy product.</li> </ul> |
| Economic and Green Finance Impact  |
| <ul style="list-style-type: none"> <li>In 2013, the HPWH industry in China saw an increase in product sales by 26.3%, partly due to this project</li> <li>Overall, the Chinese HPWH industry has shown sustained growth, attracted significant investment in new companies and created new jobs</li> <li>According to the market survey implemented by the project, HPWH domestic sales in China grew by 22.1% in 2014 comparing with 2013</li> <li>The publication of the annual report of HPWH by the China Heat Pump Alliance (CHPA) will enhance confidence of the whole industry</li> <li>According to the market survey at the beginning of 2016, sales in 2015 grew by 10% compared with 2014</li> <li>Conduct ex-post surveys in consumers’ awareness of HPWH; Based on the baseline survey According to the research results, consumers’ awareness to heat pump water heater is improved from 4.3% to 10.8%</li> </ul>  |
| Multiplier Effect/ Stakeholder Engagement  |
| <ul style="list-style-type: none"> <li>Engaged 70 producers and 450 retailers in 2013 alone.</li> <li>Involved more than 30 stakeholders, including the Sichuan Energy Conservation Center, Anhui Energy Conservation Center, and Guangxi Energy Conservation Center.</li> </ul>   |

- Types of involvement included the annual forum of the China Heat Pump Alliance, capacity building of sales intermediaries for residential consumers, marketing strategy and campaigns and market baseline surveys
- Mandatory HPWH energy efficiency labelling comes into effect - held 2 seminars for public presentation of the energy efficiency standard and labelling schemes for Chinese water heaters in Shanghai and Guangzhou. Nearly 100 manufacturers sent representatives to participate in the seminars
- Held the 2015 Annual Conference of China Heat Pump Alliance in Nanjing. Over 300 participants attended the conference. Discussed the technology trends of heat pump on a global scale. Other relevant topics such as annual output value, grand, installing, marketing and sales promotion ways discussed. 2015 CHPA Annual Conference made in the next years it can play the role of the conference pointing the way forward of the HPWH industry
- China Engineering Cost Association CECA and EHPA signed a collaboration agreement for collaboration in conducting European training and certification program for heat pump installers (EUCERT) heat pump installer training in China. 9 people from China attended the training for trainers event in Vienna, conducted by Austria Institute of Technology
- Translated the full version EUCERT heat pump installer training material
- Training seminar in Chongqing with 100 participants for distributors and retailers in Training seminar in Changsha with 130 participants; Training seminar in Chenzhou with 110 participants; Training seminar in Shijiazhuang with 200 participants; Training seminar in Nanjing with 100 participants; Training seminar in Kunming with 200 participants; Training seminar in Chongqing with 80 participants
- Held a policy implementation seminar in Changzhou. Nearly 50+ building renewable policy regulators and 30 enterprises participated in the seminar
- China heat pump exhibition 2015 in Beijing, more than 30 manufactures
- The power and influence of the Alliance extended to whole industry. Trained over 3000 intermediaries of HPWHs, and over 80% of them expressed satisfaction after the training course.

#### Environmental and Climate Change Impact

- Reduction of electricity use from 3.2 KWh per day to 1.2 KWh per day
- Reduced the use of standard coal by 0.2 tonne per HPWH over the product's lifetime, assuming that the HPWH replaces an electric water heater
- Reduced energy use by 730 KWh per HPWH per year, and CO2 emission by 0.73 tonnes per HPWH per year
- Additional reduction of CO2 emission due to project activities was estimated about 146 000 tonnes in 2013

#### Europe – Asia Cooperation

- Initiated an official partnership with the European Heat Pump Association to share experience and best practice
- Co-organised the International Heat Pump Industry Forum-China in Wuxi in 2013 involving more than 300 participants
- Learned policy experience from Europe, including the renewable energy policy for air source heat pump water heater and the new ErP standard and labelling
- Organized 15 people delegation to participate in the 8th EHPA Annual Forum in Brussel. Visited project partner SSTF, and several European heat pump manufactures, including Bosch, Emerson, and Stiebel Eltron, etc. - forged collaboration with EHPA in assisting with SSTF, and build connections between China and Europe heat pump industries

### 1.3 Improved resource efficiency of e-waste recycling in China (REWIN)

The project has been successful and is probably sustainable: **Key Success Factors** are:

- The product has been “taken to market” through the design and implementation of a trading platform for electronic waste goods (suppliers register their products daily and purchases can be made face-to-face or online)



- An economic incentive is given to suppliers through an economic subsidy for recycling waste and using the circular economy principle
- Three hundred companies were involved in 56 workshops to design the projects, thus private enterprise was involved from the beginning
- Trust has been established between the company managing the trading platform and suppliers and buyers

The production of electrical and electronic equipment (EEE) is growing rapidly. Growing amounts of EEE causes severe environmental damage when not handled properly as waste and post-consumer Waste Electrical and Electronic Equipment (WEEE) contain many materials that are valuable when used as secondary raw materials in the production processes of electronics. In addition, the recycling of residual materials from the electronics production industry saves valuable resources. According to a 2009 United Nations Environment Programme (UNEP) report, “China already produces about 2.3 million tonnes of e-waste (2010 estimate) domestically, second only to the United States with about 3 million tonnes.” And, despite having banned e-waste imports, China remains a major e-waste dumping ground for developed countries.

The overall objective of the project was to contribute to sustainable production for both Chinese producers of and recyclers, via promoting resource efficiency in order to lower the environmental impact of WEEE. The project covered three key activities: • Linking supply and demand of secondary raw materials in electronic production and recycling (chain approach); • The development of an adequate recycling infrastructure for WEEE as post-consumer waste and secondary raw materials from the electronic producing industry; and • The development of a knowledge structure on Design for Recycling between the recyclers and the electronic producing industry. Duration: 12/2011 - 07/2015: PROJECT TOTAL BUDGET EUR 1 751 391 (EU contribution: 80%).

#### **Policy Development**

- Conducted 15 policy events, including four formal policy dialogues that resulted in five new policy recommendations based on best practice and local showcases of the technology

#### **Economic and Green Finance Impact**

- The use of recycled materials increased by 10-15% by the target producers of electrical and electronic equipment (EEE)
- Eco-design in the electronics sector has been stimulated by the project and introduced to China
- More green products (by increased use of secondary raw materials) have entered the market
- More recycling activities of waste electrical and electronic equipment (WEEE) have been conducted in an environmentally friendly manner
- Supported about 1 100 SMEs to gain better access to finance through Chinese government’s subsidy for WEEE recycling.

#### **Multiplier Effect/ Stakeholder Engagement**

- Engaged around 1 100 SMEs and 2 200 stakeholders in project activities
- Organised 40 outreach activities – including training sessions, workshops, dialogues, A&S missions, and news releases – that involved business associations, local environmental protection authorities, and local and central media.

#### **Environmental and Climate Change Impact**

- Achieved a reduction in resource use by 20% and of solid waste by 3%
- Established an electronic waste tracking system (e-WTS) ensuring that all recycling processes are tracked and inspected
- Reduced soil contamination through better treatment of hazardous waste
- Hazardous waste generated from WEEE recycling has been managed according to environmentally friendly standards
- Achieved a reduction in energy use by 17% and of GHG emissions by 21%

### **Social Impact**

- Work related accidents have been reduced by 23%, after the SMEs adopted new safety measures and informal recycling that generated substantial safety risks has been forbidden
- Local communities benefitted from reduced pollution caused by poor handling and recycling of e-waste

### **Europe – Asia Cooperation**

- Twenty-four events (joint workshops, trainings, A&S missions, and policy dialogues) were organised with European and Asian participants
- Two new EU-Asia partnerships were initiated during the project
- SCP knowledge, methodologies and experience were shared and transferred at both the managerial and the technical level

## **2. Nepal Examples**

### **2.1 VSKB – Vertical Shaft Brick Kiln**

Kathmandu valley is viewed as one of the most polluted cities in Asia. Exhaust fumes increased four times over the past decade. Poor dispersion conditions, due to high hills and low wind-speeds predisposition Kathmandu to serious air pollution problems. An increasing number of vehicles and conventional bricks kilns are worsening the situation. The construction sector, including conventional brick production is a key source of CO<sub>2</sub> emission. Sustainable Construction Practices and Behaviour have far-reaching consequences for the environmental, and social and economic sustainability.

The overall objective of the project is to contribute to the mitigation of global warming and environmental degradation by reducing greenhouse gases and black carbon emission, by fostering sustainable (economic, environmental and social) production to contribute to economic prosperity, as well as poverty reduction in Nepal, while networking and out-reaching into surrounding areas in South Asia: Duration: 1/2012 - 7/2015: Total budget: EUR 2,146,750 (EU Contribution: 90%)

### **Policy Development**

- The project reached out to policymakers through 22 dialogues, meetings and technology exposure visits.
- Together with SWITCH-Asia project Green Homes, the VSBK project advocated and promoted the introduction of a new green construction building code, including the promotion of Rat Trap Bond walling technology.
- The project advocated the enforcement of existing policy such as banning of illegal licenses, and cleaner production certification and incentives to promote SCP. It developed and submitted a white paper on VSBK technology.
- Brought about changes in Nepal's construction sector as the project successfully contributed to policy enforcement and reducing the number of misused VSBK construction licenses in various districts of Nepal

### **Economic and Green Finance Impact**

- Increased the market share of green brick/VSBK technology from 3% to 5%.
- Private investment of EUR 2.5 million generated by roughly EUR 0.5 million project cost for training and consulting services to VSBK entrepreneurs.
- Created new business opportunities through the production and marketing of green construction products resulting in consumer market extension.
- Strengthened the supply chain through increased awareness of the benefits of green construction materials among consumers and producers, and improved technical and marketing skills among supply chain actors (SCAs) and SMEs.
- Introduced new green products in the market such as green bricks, concrete door and window frame, concrete hollow block, micro concrete roofing tiles, rat trap bond know-how, natural round aggregate, etc.
- Engaged with 12 new entrepreneurs investing in VSBK.

- Two SMEs benefitted from better access to green finance, e.g. Clean Energy Development Bank (CEDB) loan with total amount of EUR 250 000.
- Initiated the signing of MoU between VSBK Entrepreneur Association and CEDB. The favourable green loan scheme has been promoted by the bank representatives during National Annual VSBK EP Workshops and other events.
- Developed new financial instruments such as VSBK loan, project loan and overdraft loan

#### **Multiplier Effect/ Stakeholder Engagement**

- Engaged more than 400 SMEs in training activities and promotion events. • Involved five relevant ministries, four business associations, and two associations of construction professionals.
- The project organised or participated in more than 50 promotional events and reached about 130 000 potential consumers and producers.
- Engaged with FNCSI, VSBK Entrepreneurs' Association, National Cement-Based Production Material Entrepreneurs' Association, Contractor Associations (Kumarwari Nirman Sewa, Chitwan Nirman Sewa), Nepali Engineering Association; Society of Nepali Architects; Nepal Federation of Environmental Journalists, Community Forest Users Group, and Institute of Advanced Sustainability Studies (IASS) in Potsdam, Germany.
- Stakeholder groups were reached through technical workshops, training, exposure visits, exhibitions, trade fairs, marketing and promotion of SCP products, radio and TV interviews and broadcasts

#### **Environmental Impact**

- Compared to traditional Fixed Chimney Natural Draught Straight Line Firing, VSBK technology in brick making resulted in considerable energy and emission reductions per 100 000 bricks
- Reduction of energy consumption (coal) by 28%, from 255 000 MJ / 100 000 bricks to 183 000 MJ / 100 000 bricks
- Reduction of mass emission load by 87%, from 251 kg of suspended particulate matter (SPM) to 33 kg SPM
- Reduction of SO<sub>2</sub> by 95%, from 82 600 g to 3 800 g
- Reduction of CO<sub>2</sub> by 78%, from 40.8 tonnes to 9 tonnes
- Reduction of black carbon by 99%, from 32.6 kg to 0.3 k
- The project promoted and implemented a wide range of SCP technologies, adapted to local conditions and targeted to consumer markets.

#### **Climate Change Impact**

- Achieved energy saving by reducing the use of coal of 1 620 tonnes per year.
- Reduced 13 000 tonnes of GHG emissions and 12.79 tonnes of black carbon per year.
- Introduced green technology among SMEs and promoted green construction materials among consumers, contributing to GHG mitigation.
- Enhanced awareness on climate change via training, radio interviews and TV

#### **Europe – Asia Cooperation**

- Conducted three events involving European and Asian partners, where the International Brick Symposium attracted representatives from Asia, Africa, the Americas and Europe. The symposium was held on February 23-24, 2015.
- Promoted knowledge transfer on issues of global warming; brick sector facts, standard and national policies; cement-based construction materials and technologies; earthquake resistant and national directives and standards. These have contributed to VSBK technology development, such as new bricks, operation, mechanisation, green brick and internal fuel, etc.

## **2.2 SEID - Sustainable and Efficient Industrial Development**

Landlocked countries, Nepal and Bhutan, are among the least developed countries (LDCs), with 77% of the population in Nepal and 49% in Bhutan living under the poverty line (ADB, 2010). Urban and rural dwellers



in Nepal suffer from an acute energy crisis. Nepal also faces challenges to revive its tourism industry, which is affected by the recent earthquake. Bhutan's economy depends heavily on imported goods and services, and local enterprises have difficulties in creating their own competence, which is pivotal for the future sustainability of the country's economy and society. In both countries, there is great potential in development of the agro-based and tourism sectors, considering the climate and topographical conditions, as well as their rich cultural and historical heritages. Project objective - To contribute towards sustainable development of Nepal's and Bhutan's economy with clear focus on national industrial sectors that impact environment and which have huge potential for employment generation and poverty alleviation. Duration: 2/20012 - 11/2015: Total budget: EUR 2,160,000 (EU Contribution: 90%).

#### **Policy Development**

- Engaged policy makers through meetings, training workshops, large scale seminars (40+ participants), exhibition of local building materials, and a technology showcase trip to Austria.
- Three new policies were defined, based on the project's recommendations.
- Submitted a revision for hotel rating standards in Nepal; supported the release of green building guidelines in Bhutan; submitted a proposal for a public-private partnership programme for renewable energy use.

#### **Economic and Green Finance Impact**

- Achieved cost savings through resource and energy saving measures:
  - ✓ Nepal: NPR 5 323 400 (approx. EUR 44 600) annually, based on estimations from 57 MSMEs;
  - ✓ Bhutan: BTN 11 654 000 (approx. EUR 133 000) annually, based on estimations from 38 MSMEs.
- Additional business opportunities through SCP implementation:
  - ✓ Service quality (hot water, lighting) improved, which could result in increased room rates at hotel
  - ✓ Increased business volume for green technology suppliers.
  - ✓ Improved the supply chain by linking suppliers (service providers) with buyers, promoting green technology / products / service providers, etc.
- Improved the supply chain by linking suppliers (service providers) with buyers, promoting green technology / products / service providers, etc.
- Introduced two banks and one association of bankers to the concept of green finance for MSMEs
- Supported a national subsidy programme in Nepal for a biogas digester and improved cook stoves with the involvement of local consultants and MSMEs through dissemination forums
- Provided information on feasibility to apply for a national subsidy (public-private partnership) programme in Bhutan, for a solar water heater. This demonstration showed fiscal feasibility for investment by the beneficiaries, technology providers and the government at the ratio of 30%, 30% and 40% respectively, with a payback period of 6 to 8 years

#### **Multiplier Effect/ Stakeholder Engagement**

- Reached more than 350 MSMEs via the CEO Forum in seven regions, benefitting some 200 MSMEs with environmental consulting
- Involved 10 stakeholder groups through more than 25 outreach activities, such as CEO Forums, (field) training sessions, stakeholder conferences, best practice forums, business association programmes, meetings with other ongoing SWITCH-Asia projects, etc.
- Engaged various stakeholders, such as hotel associations, industry associations and the Ministries of Industry, Environment and Tourism in Nepal; Department of Renewable Energy in Bhutan, Ministry of Works and Human Settlement in Bhutan, industrial park management authorities, etc.

#### **Environmental and Climate Change Impact**

- In Nepal, based on the analysis of 57 MSMEs, 1 166 306 litres of water saved every year.
- In Bhutan, based on the analysis of 38 companies, 924 865 kWh electricity, and 5 809 000 litres of water saved every year

- Reduced solid waste by approx. 25% in two example hotels
- Implemented SCP measures, such as the adoption of renewable-based technologies (heat pumps), insulation of hot water pipes from the solar water heater to reduce the electric load for geysers, and PV panels to reduce diesel consumption
- Reduced water scarcity (via installation of aerator taps and reduction of cistern volume) and reduced air pollution (reduction of diesel combustion and firewood)
- 57 MSMEs in Nepal reduced their GHG emissions by 113 613 kg of CO<sub>2</sub> every year.
- Reduced fuel consumption (firewood, diesel, LPG, kerosene)
- Promoted the use of renewable energy, e.g. solar water heater, natural solar lighting in 34 MSMEs.
- Promoted various GHG mitigation measures that were implemented by SMEs, e.g. more efficient combustion for roasting beaten rice, improved cook stoves, reduced diesel consumption, shift to solar technologies, switch from LPG stoves to electric stoves (applicable only in Bhutan, where hydropower is abundant and affordable)
- Enhanced business awareness of climate change risks, e.g. metering and logging of consumption data for resource, fuel and waste; guest behaviour change campaign; placement of posters at MSMEs, for example to lower the temperature at geysers.

#### **Social Impact**

- Improved working conditions by reducing indoor air pollution up to 80% in the example beaten rice company; reducing the emissions of carbon monoxide and smoke by increasing the efficiency of cook stoves; creating a workers' welfare fund in three hotels/restaurants; and introducing health and safety risk reduction measures
- Improved the livelihood of local communities, e.g. reducing dust pollution around beaten rice industries in Nepal and reducing noise pollution

#### **Europe – Asia Cooperation**

- Organised two EU-Asia study tours to Austria
- Promoted knowledge transfer by bringing 35 local consultants and technical experts from Europe to visit India for SCP technology showcases
- Conducted 30+ company site visits in Nepal, Bhutan and India by European SCP experts
- Initiated EU-Asia partnerships through new consortia with Alternative Energy Promotion Centre, Nepal Trust, Hotel Association Nepal (HAN), Organic Agro Production Center (OAPC), Alternative Energy Promotion Centre (AEPC), and Annapurna Conservation Area Project (ACAP) in Nepal
- Types of SCP knowledge / experience shared: resource efficiency, cleaner production, green building technologies, building energy performance, waste management, occupational health and safety (OHS)

### **3. Thailand Example**

#### **3.1 Greening Supply Chains in the Thai Auto and Automotive Parts Industries**

The overall objective of the action is to improve sustainable production of SMEs in the Thai auto and automotive parts supply chains. Expected results are:

- Productivity and quality of products of at least 250 SMEs have increased, while environmental impacts per production unit have been reduced;
- Number of SMEs complying with international environmental regulations has increased;
- New financial packages for SMEs to invest in improvement measures are widely used in the market;
- Alliances and networks for greening the supply chain of Thai automotive industry have improved;
- Good practices and related policies have been promoted.

The target group is 3 000 related companies in Thailand, of which more than 90% are SMEs

The direct target groups of the project were 500 SMEs in Tier 2 and 3 organised either in supply chains, related associations, product clusters or industrial areas in six provinces. Industries covered included tyres, safety glass, lights, engines, batteries, input shafts and crank shafts. Despite the diversity, basic production processes

are similar, such as stamping, forging, casting or machining: Duration: 2/2012 - 1/2015: Total budget: EUR 2.020,000 (EU Contribution: 80%)

#### **Policy Development**

- Organised four policy events / dialogues with policymakers. Contributed to three policies regulating the automotive sector, and resource and energy efficiency: • Thai Automotive Industry Master Plan; • Thai Green Industry Mark; • 20 Year-Energy Efficiency Plan.
- Major policy recommendations focused on: • Incentive mechanisms, e.g. improving processes and criteria for soft loans, subsidies, tax exemptions; • Improving standard infrastructure, e.g. simplifying the certification procedure and reducing the processing time for applications, enhancing the capacity of auditors, considering supply chain greening initiatives such as green procurement guidelines; • Law and regulation, e.g. broadening excise taxes to cover pollutant emissions from vehicles, setting up a sub-committee to ensure coordination between policies in different ministries.
- Ministry of Industry adopted the recommendation on improving the process of standard application, such as improving rewards and incentives for the Green Industry Mark (GIM) programme, improving the process of a GIM application. This encouraged SMEs to implement SCP practice

#### **Economic and Green Finance Impact**

- Achieving monetary saving of EUR 7.9 million
- Created additional business opportunities for SMEs by: • improving Thai suppliers' production performance as they implemented resource and energy measures to meet the Green Procurement criteria set by Tier 1 companies and car makers, such as 40 suppliers within Calsonic company's supply chain; • reduced production costs by using resource and energy more efficiently, which in turn created higher profit; • increasing interest from car makers like BMW and Audi that wished to source from Thai local suppliers which has increased their performance.
- Increased the supply chain's efficiency by encouraging SMEs to make resource plans and calculations when employing new measures. Some SMEs in Tier 1 and 2 established an award or incentive system for their workers who successfully implemented the measures
- 376 SMEs invested in measure implementation with a total one-off investment of EUR 2 million.
- 1 SME benefitted from better access to finance. • Total amount of Green Finance leveraged for SMEs: EUR 623 000.
- Training and workshops were conducted to target SMEs as well as to identify the gap/obstacles of accessing green financial packages. The project facilitated matching funds and improve the access to ESCO service.
- The project used existing green financial products and subsidy programmes, e.g. Productivity Improvement Loans from the SME Bank, Energy Guarantee Saving Programme from the Kasikorn Bank, and 80-20 Subsidy Programme from the Ministry of Energy

#### **Environmental and Climate Change Impact**

- Achieved total water use saving of 118 230 m<sup>3</sup>/year, representing an average saving of 51% and total solid waste saving of 2 161 tonnes/year, representing an average saving of 49%.
- Reduced environmental risks by implementing SCP measures, such as good housekeeping, recycle and reuse, and reduction in use of raw materials/inputs.
- Reduced greenhouse gases (GHG) through implementation of SCP measures, soil contamination through reduced solid waste, and wastewater disposal/ Reduced GHG emissions of 16 413 tonnes CO<sub>2</sub> equivalent per year
- Achieved total energy saving of 114 433 082 GJ per year or an average saving of 27%
- SCP measures implemented to increase energy efficiency include technology modification and change of materials/product inputs. • Measures carried out to enhance business awareness on climate change risks: • Information workshop to provide general information on climate change and its impact; • Training courses where SMEs visualised the potential impact of lowered energy consumption. SMEs learned to calculate GHG emission reduction brought by a reduced energy consumption (electricity, natural gas)

- Demonstration of green procurement guidelines of brand car makers (e.g. BMW, Audi, TOYOTA) that require GHG emission reduction. This made SME suppliers aware of the importance of climate change to their business.

#### **Multiplier Effect/ Stakeholder Engagement**

- Engaged 502 SMEs in project activities and organised three outreach activities • Involved 22 stakeholders:
  - International Car Makers e.g. TOYOTA, BMW, Audi, Mercedes Benz, VW, Isuzu. They contributed by sharing knowledge and good practice to SMEs during a study trip as well as sourcing potential Thai suppliers.
- Industrial associations e.g. Thai Auto Parts Manufacturers Association (TAPMA), Thai Sub-contracting Association, Thai Automotive Association, Glass Association, Rubber Association, Iron and Steel Association. They were engaged in pursuing member participation in the project training course.
- Financial institutions e.g. SME Bank, Kasikorn Bank, Bangkok Bank, ESCO association. They were involved to facilitate training on the application of financial loan/packages
- Government agencies e.g. Ministry of Industry, Ministry of Energy. They contributed in improving the process of Green Industry Mark application, and access to ESCO service and 80-20 subsidy programme.
- The Automotive Institute embedded Loss Reduction Process (LRP) into their training service to improve the quality of local trainers

#### **Social Impact**

- Achieved 35% reduction in work-related accidents through the implementation of health and safety risk reduction measures introduced in SMEs, such as less exposure to dust, safer chemical handling, less noise, reduced risks of metal scrap related injuries, reduced overwork due to clearer work instructions, etc.

#### **Europe – Asia Cooperation**

- Six events were held with European and Asian participants.
- Four EU-Asia study tours were organised. This included a study trip to Germany to gain knowledge of SCP good practice in German car production, as well as matchmaking between German buyers and Thai SMEs.
- Two new EU-Asia partnerships were initiated.
- Attended international events, e.g. SWITCH-Asia networking meetings, SCP Leadership Programme for SCP, the 11th Asia Pacific Roundtable for Sustainable Consumption and Production (APRSCP), and UN Winter School for SCP.
- Contributed to SCP knowledge exchange in automotive supply chain management including tools, showcases and success factors

## **4. Sri Lanka Example**

### **4.1 Up-scaling biogas technology for sustainable development and mitigating climate change in Sri Lanka**

The availability of sustainable, clean and reliable energy sources is the essential driver for development. In Sri Lanka's growing economy there is an opportunity to reduce poverty by realising the use of renewable energy where there is limited access to conventional sources of energy. The Sri Lankan tourism industry is also booming with an increasing number of tourists annually. Hotel and restaurant facilities need to deal with the growing amount of waste and energy costs. Biogas production is a sustainable win-win solution to manage waste while contributing to energy needs and reducing energy costs. However, development of biogas technology requires strong technical capacity of biogas units' constructors. The lack of after-sale service and maintenance of biogas units, as well as lack of SME appropriate entrepreneurial capacities, has hampered sustainability of past projects.

The project *Sri Lankan Renewable Energy* aims to create an enabling environment for large-scale dissemination of biogas technology for SMEs in the tourism industry and in households. To achieve it, the project targets both the demand side and the supply side by mobilising the manufacturing and construction private sector, micro finance institutions (MFIs), tourism industry and the society as a whole. The specific objectives include to:

- Have a Provincial Biogas Programme (PBP) operational in 5 provinces
- Advocate an improved regulatory framework at the provincial level
- Increase the total accumulated funds loaned/granted for biogas system installation
- Increase the level of involvement and awareness of sustainability issues among hotels and households
- Reduce waste further
- At least 200 professionals from public and private sector to have increased knowledge and skills and to have a role in the installation and promotion of biogas.

Duration: 01/2014 - 05/2017: Budget: EUR 831 931 (EU contribution: 80%)

#### **Policy Development**

- Engaged with policymakers through 15 policy events
- Contributed to the development of the North-western Province's action plan to upscale biogas technology for the next 5 years, aligned with the provincial energy plan, including creating a by-law on solid waste management including biogas technology as one possible solution for solid waste management, and developing a code of practice for new buildings where biogas systems will be mandatory to replace septic tanks
- Contributed to developing the Eastern Province's action plan to upscale biogas technology for the next 5 years, aligned with the provincial energy plan and created a by-law on solid waste management including biogas technology as one possible solution for solid waste management
- Contributed to developing actions plans for the Southern and Western Provinces to upscale biogas technology for the next 5 years, aligned with the provincial energy plan

#### **Economic and Green Finance Impact**

- Achieved monetary savings of LKR 6 200 000/year (EUR 37 500/year). Savings were made by hotels, households, and farmers by reducing expenses in LPG gas purchase and in waste management
- Created new business opportunities through biogas by installing 475 new biogas units done by 40 MSMEs trained by the project
- Introduced green products of biogas and bio-slurry organic fertilizer for private use, replacing and reducing expenses spent on chemical fertilizers

#### **Multiplier Effect/ Stakeholder Engagement**

- Engaged 40 MSMEs in technical training to strengthen the quality and quantity of biogas service providers
- Engaged 1 200 people from different provincial departments in awareness sessions to promote biogas technology
- Engaged 40 hoteliers through eight exposure visits to hotels and other industries using biogas systems

#### **Environmental and Climate Change Impact**

- Reduced household firewood consumption of 263 tonnes per year
- Reduced organic waste of 10 000 tonnes per year through 12 biogas systems built in hotels, 225 built at the farmer/household level, and 250 small systems installed in schools
- Reduced GHG emissions of 2 895 tonnes CO<sub>2</sub>e/year by installing biogas systems
- Created wider awareness among the general public as well as in the private sector, financial institutions and consumers regarding climate change risks through promotion campaigns to increase the biogas technology uptake
- Reduced GHG emissions of 2 895 tonnes CO<sub>2</sub>e/year by installing biogas systems



- Created wider awareness among the general public as well as in the private sector, financial institutions and consumers regarding climate change risks through promotion campaigns to increase the biogas technology uptake

#### **Social Impact**

- Provided new skills in biogas technology for 110 professionals, that could contribute in the creation of self-employment and new start-ups
- Involved 191 women in capacity-building programmes for fibre-glass biogas constructors, domestic biogas users, designers, promoters, policy-level decision-makers
- Encouraged 200 households to be involved in the initiative where women can save nearly 1.5 hours a day on cooking-related activities. Out of 200 households, 150 shifted to clean cooking fuel, that is from firewood to biogas, and 50 shifted from LPG to biogas, with an overall cost saving of LKR 1 000 per month per household (EUR 6/month)

#### **Europe – Asia Cooperation**

- Contributed to EU-Asia partnerships by organising an international biogas conference gathering 80 participants from various countries (November 2015)
- Participated in two EU-Asia exposure visits to the national biogas programme in Cambodia

## **5. Bangladesh Example**

### **5.1 Strengthening the value chain of jute diversified products in Bangladesh**

Bangladesh is the largest exporter, the second largest producer of jute in the world, and with the highest quality of jute fibre. However, the jute industry lost its momentum in the 1980s due to inadequate policy strategies, such as trade and export policies, as well as wide scale production and use of plastic commodities. Little has been done until now in terms of investment and diversification of this sector, which provides an income to many rural poor communities. Empowerment of jute producer groups and development of cluster-based and semi-industrial based jute diversified products (JDPs) are the major tasks to be addressed in order to develop this sector. Issues include inadequate and un-timely supply of quality jute seeds, scarcity of water, flood, the retting process, weak direct linkages between jute millers and farmers, lack of knowledge by and low capability of SMEs.

The project seeks to contribute to pro-poor economic growth through social business promotion, with an emphasis on sustainable agricultural sector and poverty reduction in the Northwest and Southwest regions of Bangladesh. Specifically, it aims in strengthening the export competitiveness of Bangladesh through the promotion of environmentally friendly JDPs. The specific objectives include:

- To increase income levels of targeted jute growers, producers of organic fertilizer and JDP workers
- To increase the market share by selected SMEs of green and environment friendly JDPs
- To improve social and gender positions of female producers and JDP workers;
- To increase purchase orders of eco-friendly JDPs from international buyers;
- To increase production of JDPs by the SMEs;
- To adopt action plans and regulatory instruments in favour of eco-friendly JDP production and export.

Duration: 03/2013 - 08/2016: PROJECT TOTAL BUDGET EUR 2 222 170 (EU contribution: 90%)

#### **Policy Development**

- Conducted 9 policy workshops in sub-districts
- Provided policy recommendations: four at district level and one at national level
- Increased the export competitiveness of Bangladeshi jute sector through promotion of environmentally friendly JDPs: Four memoranda of understanding (MoUs) in the North-West region

- Increased the export competitiveness of Bangladeshi jute sector through promotion of environmentally friendly JDPs: Four memoranda of understanding (MoUs) in the North-West region
- Three MoUs signed with SMEs – Golden Handicrafts (BD) Limited (Rangpur), Charushi Satranji & Crafts (Rangpur) and Anek Asha Kutir Shilpa (Rangpur)
- One MoU signed in the South-West region, with RRF Product (Jessore)

#### **Economic and Green Finance Impact**

- Achieved savings of BDT 3 192 390 (EUR 37558) by the jute producers and JDP workers through the self-help savings practice.
- Improved farmers' livelihood through: 2 368 ha of land which is currently under cultivation (334 ha more than in project inception year 2013)
- An increased jute price due to a direct linkage with local traders and jute mills.
- Improved jute production: In 2015 farmers produced 4 972 tonnes of fibres, which is 1 769 tonnes more than the project inception year 2013
- In 2015, 1 516 jute farmers used line sowing methods compared to 879 jute farmers in 2014
- Line sowing contributes to seed cost saving of BDT 99 per hectare and BDT 2 766 (EUR 31) from the labour cost, and produces 321 kg more fibres and 173 kg more jute sticks
- Increased income of organic fertilizer producers: each could earn BDT 27 850 (EUR 290). Farmers also benefitted from the increased use of organic fertilizers which cost less than commercial fertilizers
- Increased competitiveness in jute fibre production and reduction of dependency on imported jute seed from neighbouring countries.

#### **Multiplier Effect/ Stakeholder Engagement**

- Engaged 20 SMEs and 18 060 people through project activities
- Mobilised 10 000 farmers to form 400 producer groups in 2013 and a further of 6 000 farmers and 240 groups in 2014
- Trained 60 female organic fertilizer producers
- Conducted workshops and trainings: 9 lesson learnt workshops in sub-district areas, 2 three-day Training of Trainers (ToT) courses for 60 participants, 4 refresher sessions for 100 jute producer leaders
- Engaged stakeholders from industry associations, private sector, entrepreneurs, NGOs, local governments, and civil society organisations
- Improved the supply chain by: establishing direct linkages among farmers, jute mills, public/private agro-dealers and extension service providers (via 12 workshops); introducing local jute workers and SMEs to exporter SMEs to improve their market access
- Established linkages with village community groups (via 40 workshops) linking JDP workers with SMEs, where 80 worker groups formed and 2 000 workers orientated
- Improved JDP marketing via 1 000 project brochures; training modules and 700 sets of flip chart on modern jute cultivation, retting and harvesting techniques; manual for organic fertilizer; and database of 16 000 jute producers

#### **Environmental and Climate Change Impact**

- Promoted environmentally friendly jute cultivation processes and the use of organic fertilizers over chemical alternatives.
- Contributed to the absorption of 98 000 tonnes of CO<sub>2</sub> through jute cultivation under the project (during production seasons of 2013 – 2015). There was an increased trend of CO<sub>2</sub> absorption since 2013 due to more efficient jute cultivation processes.

#### **Social Impact**

- Around 20 000 poor people (at least 35% of whom are women) from rural and urban areas will have improved employment and income opportunities in the jute supply chain

- Empowered women in the jute sector through the involvement of 99% female JDP workers, 100% female organic fertilizer producers, 80% female SME workers, and 23% female jute producers
- Self-help savings increased the jute producer and worker groups' sense of ownership. This helped realise their short term capital needs
- Built the capacity of 2 000 poor female and male workers through six-month training sessions managed by local jute SMEs

## 6. Indonesia and Philippines Example

### 6.1 Promoting sustainable handwoven eco-textiles in Indonesia and the Philippines

Traditional hand-woven eco-textiles (HWET) are produced in one third of provinces in the Philippines and throughout the Indonesian archipelago. These artisan products use natural colourings and fibres that are biodegradable, eco-friendly and which stimulate biodiversity. The textiles have strong cultural value, and are used in clothing, homewares, and fashion accessories and for ceremonial purposes. In both Indonesia and the Philippines, the industry is dominated by micro, small and medium-sized enterprises (MSMEs). Producers are typically poor women from local ethnic groups, loosely organised, who work on a 'weave to order' basis. Given their lack of access to improved production techniques, market information, business networks and micro-financing, female producers are often unable to fulfil buyer demands for quantity, quality and timeliness.

The *Handwoven Eco-Textiles (HWET)* project seeks to contribute to poverty reduction and economic prosperity in Indonesia and the Philippines through developing a sustainable HWET value chain and its enabling policy environment. The project also seeks to reduce the environmental and social costs of HWET production.

Duration: 02/2013 - 02/2017 PROJECT TOTAL BUDGET EUR 1 999 972.60 (EU contribution: 80%)

#### Policy Development

- Conducted lobbies and policy advocacy to local governments of 3 provinces in the Philippines and 4 provinces in Indonesia
- Established multi-stakeholder forums at local level to enable policy development
- Prepared policy recommendations for governments to promote the use of sustainable dyes and eco-fibres within the green-textile industry, to support implementation of national quality standards, and provision of in-kind or budgetary support to HWET producers

#### Economic and Green Finance Impact

- Initiated changes in the HWET supply chain, e.g. introduction of product standards, and helped streamline the supply chain, e.g. establishing direct connections between producer cooperatives and exporters. A beneficial business linkage has been formed with a Philippine exporter of eco-textiles.
- Negotiations have begun with major micro-finance providers on behalf of 3 000 entrepreneurs

#### Multiplier Effect/ Stakeholder Engagement

- The project engaged with individual entrepreneurs, producer groups and cooperatives, local and provincial governments in 10 Indonesian provinces and 9 Philippine provinces, and textile research institutions. It has engaged with more than 200 cooperatives and producer groups
- The engagement included technical training, management and business training, knowledge exchange for producers, documentation and dissemination of vanishing traditional practice, and lobbying and advocacy
- 1 555 entrepreneurs have participated in weaving training; 872 entrepreneurs in natural dye production and application; 67 entrepreneurs in eco-fibre production; and 104 entrepreneurs in shop management
- One fashion show and outreach activities at four international trade exhibitions have been conducted

#### Environmental and Climate Change Impact

- Production and use of natural, non-toxic dyes have reduced damage to the environment



- Promoted the use of biological enzymes instead of chemical reagents for fixing dyes to fibre

| Social Impact  |
|--|
| <ul style="list-style-type: none"> <li>• Development of best practice guidelines for HWET production, including safe use of dyes</li> <li>• Improved health due to increased use of natural rather than synthetic dyes</li> <li>• Increased capacity of MSMEs to form business cooperatives</li> <li>• Improved producers' technical skills, leading to better quality products and higher income potential</li> </ul> |

| Europe – Asia Cooperation  |
|--|
| <ul style="list-style-type: none"> <li>• Participated in the Reiselivsmessen Oslo International Tourism Exhibition, Norway (January 2014), reaching 600 individuals</li> </ul> |

## 7. Multi-country Project Example

### 7.1 Lead Elimination Project

Exposure to lead causes significant and widespread injury to human health. The project will promote sustainable production and consumption and contribute to global efforts aimed at the elimination of the production and use of all decorative lead paints. Its overall objective is to reduce childhood lead poisoning in the eight participating countries by decreasing production and use of lead paint with a trend toward their elimination. The project targets consumers and manufacturers of paint in the following countries: Bangladesh, India, Sri Lanka, Nepal, China, Thailand, Philippines and Indonesia. Duration: 12/2011 - 6/2015: Total budget: EUR 1,798,563 (EU Contribution: 77.80%). The legislative and policy effectiveness and impact of the project are significant. Economic effectiveness is described in broad terms without any data, although immediate multiplier effects are clear and are significant. Clearly the project was well managed and coordinated, which is a challenge with multi-country projects and best practice management techniques were applied, including clear communications and reporting with regular monitoring of progress.

- **When the project started**, the majority of solvent-based, decorative enamel paint from leading brands analysed in the seven participating countries **contained high lead levels**. At the conclusion of the project in June 2015, the market-leading brands in all seven countries had eliminated lead from their decorative paint, as had many smaller manufacturers.
- **Two participating countries, Nepal and Philippines**, have established **mandatory limits on lead in paint** of 90 parts per million (ppm) total lead (dry weight) - as protective as any regulatory control in force anywhere in the world. The Nepalese standard requires information on paint can labels about lead concentrations and a precautionary message about avoiding lead exposure during repainting and building renovation. The Philippine paint regulation covers both industrial and decorative paint, making it the most rigorous regulation in the world.
- **In Sri Lanka, additional legislation** demanding lead content labelling of paint cans was enacted to enforce the existing lead paint legislation, which came into force just before the start of the project. Now, 90% of the brands on the market comply with the 600 ppm legal limit.
- In the other four countries, **Bangladesh, India, Indonesia, and Thailand**, mandatory regulations to control lead in paint were in development. Senior public officials have indicated support for lead paint regulation, and the project expects their formal adoption soon. However, paint manufacturers have quickly taken initiative; in each of these countries, market leaders have reformulated their paint to meet the proposed new standard

| Policy Development  |
|---|
| <ul style="list-style-type: none"> <li>• The project established 15 contacts per policy event per country per year, resulting in: <ul style="list-style-type: none"> <li>✓ The drafting or enactment of lead paint regulations (enforcing legal limits for lead in paint and/or legally binding restriction in the use of lead in decorative paint) in the seven target countries</li> <li>✓ Lead-free regional public procurement policies in Nepal, the Philippines, and Sri Lanka</li> <li>✓ Mandatory labelling of paint cans in the three countries</li> </ul> </li> </ul> |

- In total, 13 new policies, regulations or standards were established

#### **Economic Impact**

- Lead paint is one major source of exposure and its removal will reduce the economic loss. Scientific evidence indicates that childhood lead exposure in Asia can contribute to significant economic loss (almost 2% of GDP), as expressed in lifelong earning power.
- Increased demand for lead-free paint raw materials creates new business opportunities throughout the paint value chain.
- The Lead Safe Paint certification programme established under the project opens up new business opportunities for both paint manufacturers and local labs.
- New green products, lead-safe certified paints, introduced in the market.

#### **Multiplier Effect/ Stakeholder Engagement**

- On average, the project involved 20-30 SMEs per country and 40-50 stakeholders per country in various project activities.
- 20 outreach activities (media events, paint manufacturers consultations, school visits, and individual meetings with different stakeholders) were organised in each country per year.
- These involved a number of stakeholders such as:
  - Paint manufacturers (both SME and multinationals);
  - Paint Manufacturers' Associations;
  - Policymakers;
  - Civil Society Organisations;
  - Health Associations;
  - Education Organisations;
  - Media.

#### **Environmental Impact**

- At the end of the project, the market leading brands in all seven countries had eliminated lead from their decorative paints along with many smaller manufacturers
- Paint reformulation to eliminate lead from the paint production had reduced damage to the environment through reduced soil contamination; reduced amount of hazardous waste; and reduced environmental impact of building construction and reconstruction.

#### **Social Impact**

- Removing lead from production reduced lead exposure in workers as well as worker's families by contamination brought home.
- Communities were empowered to purchase lead-free paint by more awareness as well as access to lead-safe certified paints. Reduced lead exposure leads, in general, to better school results, better job opportunities and higher life earnings.
- Participating NGO partners in Asia increased their standing with stakeholders such as communities, industry and policymakers.

#### **Europe – Asia Cooperation**

- Three events were organised per country involving European and Asian participants.
- Seven new European Union - Asia partnerships initiated.
- Cooperation events were held in the form of joint workshops, media events, lead paint studies in each target country, and joint events at international chemical policy meetings
- SCP knowledge transferred was on overcoming problems in removing lead from paint production and preventing lead dust hazards.

## Appendix 9: Analysis of Survey of Grantees of the SWITCH-Asia Programme; the SWITCH Africa Green Programme and the SWITCH MED Programme

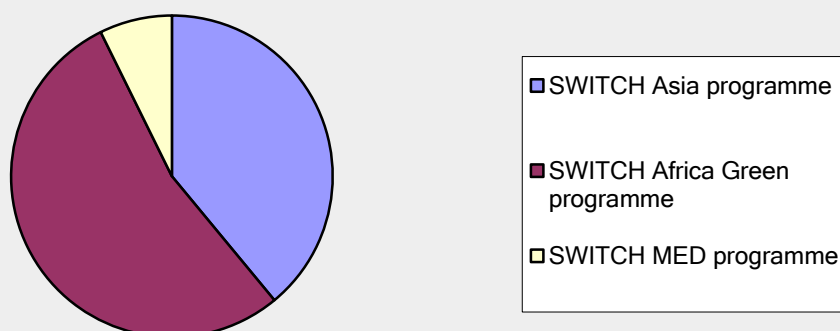
### 1. Responses

- The overall response rate was 27 % (41 participants)
- However the number of respondents varied greatly and much of the data is not statistically significant
- Nonetheless much useful data and information was supplied and rough estimates of quantitative data on green economy data was estimated through extrapolation
- Almost all responses were from Switch Asia and Switch Africa Green
- Although through filtering the data from Switch Med can be acquired separately it was not analysed as there were only three responses

Please select the SWITCH programme with which you are working.

| Answer Options                | Response Percent | Response Count |
|-------------------------------|------------------|----------------|
| SWITCH Asia programme         | 39.0 %           | 16             |
| SWITCH Africa Green programme | 53.66%           | 22             |
| SWITCH MED programme          | 7.3 %            | 3              |
| <i>answered question</i>      |                  | <b>41</b>      |
| <i>skipped question</i>       |                  | <b>0</b>       |

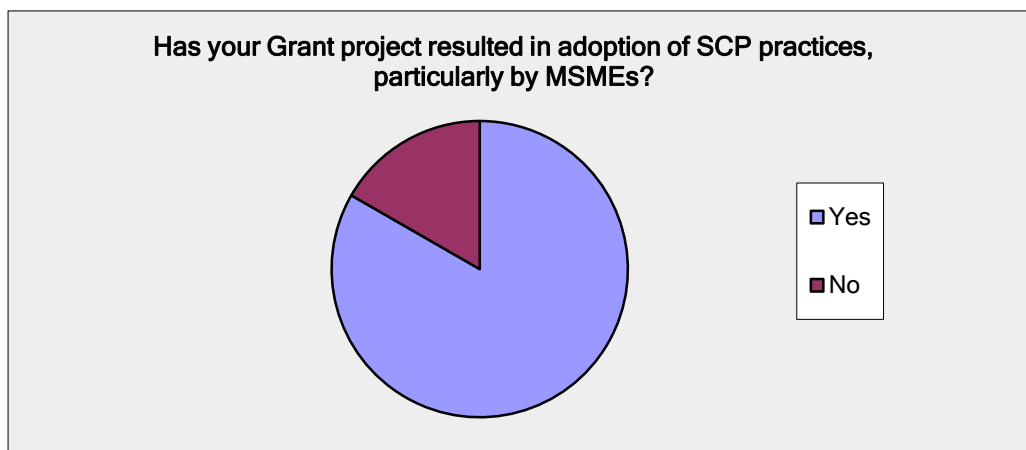
Please select the SWITCH programme with which you are working.



### 2. Has your Grant project resulted in adoption of SCP practices, particularly by MSMEs?

- **Overall** a high proportion of Grantees reported that their project has resulted in SCP adoption by MSMEs (over 83 %)
- **In Asia** 78 % reported that their project has resulted in SCP adoption by MSMEs.
- **In Africa** 85.6 % reported that their project has resulted in SCP adoption by MSMEs

| Answer Options           | Response Percent | Response Count |
|--------------------------|------------------|----------------|
| Yes                      | 83.33%           | 30             |
| No                       | 16.67%           | 6              |
| <i>answered question</i> |                  | <b>38</b>      |
| <i>skipped question</i>  |                  | <b>3</b>       |



### 3. Please estimate the Number of MSMEs taking up SCP Practices as a Result of Your Project?

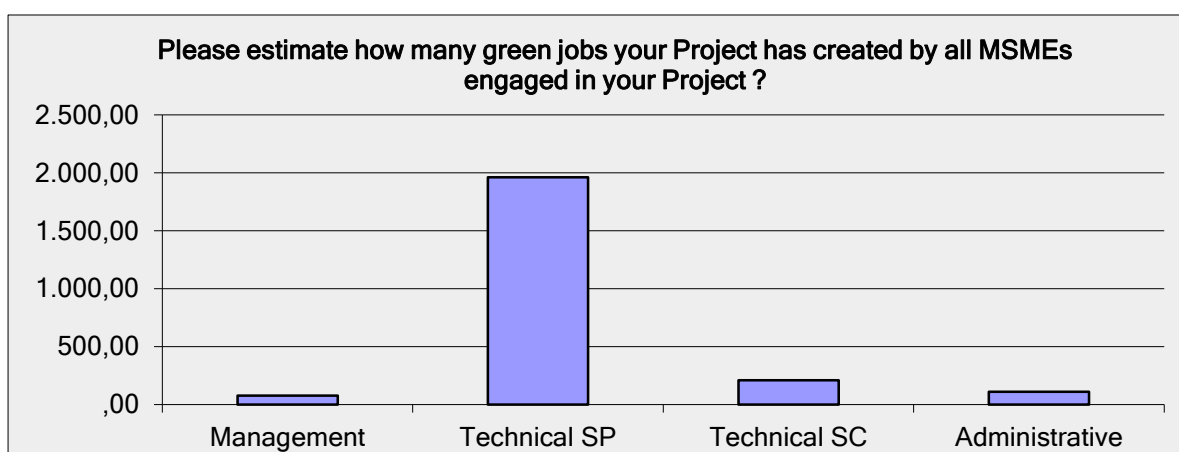
- The total number of MSMEs taking up SCP practices was reported as 21,300 by 34 respondents. This figure is not really accurate as some data had to be interpreted as best as possible
- The numbers vary widely depending on the type of project with a range from 2 to 12,000
- The average number of MSMEs taking up SCP was 627, however this average is distorted by very high numbers for 2 projects amounting to 17,600 between them
- Extrapolating these numbers – if the total from 34 respondents was 21,300 and this number is multiplied by 4.4 (total number of Grantee projects divided by the total number of respondents) then the total number of MSMEs impacted would be some 93,720
- **In Asia** 12 projects reported a total number of 9,582 MSMEs taking up SCP practices. If all 93 projects were to take up practices in line with the 12 projects for which data is available then some 74,000 MSMEs would have adopted SCP practices in Asia
- **In Africa** 13 projects reported a total number of 828 MSMEs taking up SCP practices. If all 34 projects were to take up practices in line with the 13 projects for which data is available then some 28,000 MSMEs would have adopted SCP practices in Africa

**4. Please estimate how many green jobs your Project has created by all MSMEs engaged in your Project?**

- Extrapolating the data below shows that for all Grantee projects to date the number of green jobs created would have been some 352,000. This is a large number
- **In Asia** an average of 5,749 “technical” green jobs was created per project. If all 93 projects created green technical jobs in line with the SP average then 534,000 would have been created in total. The figure for SC jobs is 8,463
- **In Africa** an average of 295 “technical” green jobs was created per project. If all 34 projects created green technical jobs in line with the SP average then 10,030 would have been created in total. The figure for SC jobs is 10,098

| Answer Options | Response Average | Response Total | Response Count | Extrapolation all Grantee Projects based on Response Totals |
|----------------|------------------|----------------|----------------|---|
| Management     | 76               | 1,365          | 18             | 10,950  |
| Technical SP   | 1,960            | 31,367         | 16             | 294,000   |
| Technical SC   | 208              | 2,499          | 12             | 31,200  |
| Administrative | 108              | 1,407          | 11             | 16,200  |
|                |                  | <b>36,638</b>  |                | <b>352,350</b>  |

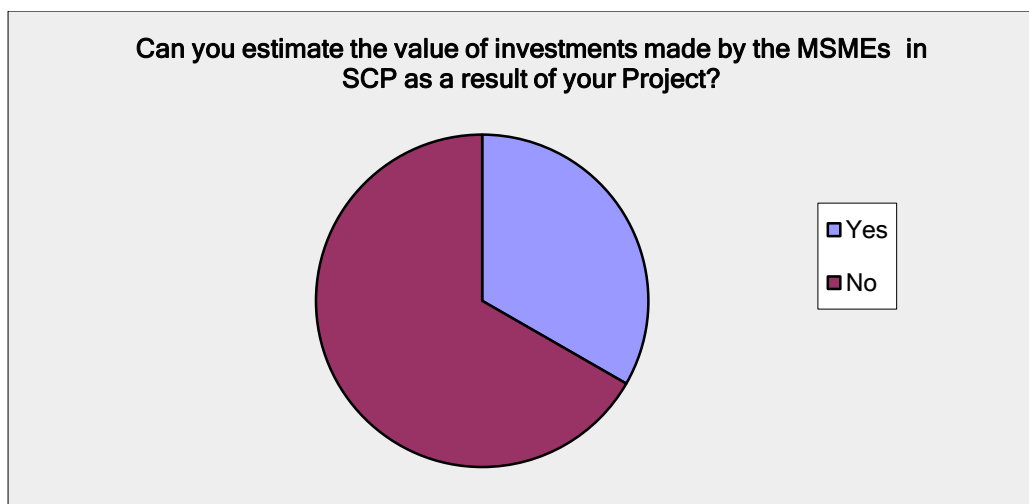
- The average number of jobs created per project per category is shown below



**5. Can you estimate the value of investments made by the MSMEs in SCP as a result of your Project?**

- Only 33.3 % of Grantees were able to estimate the value of investments made in SCP as a result of the projects
- **In Asia** only 46 % are able to estimate the investment made in SCP practices
- **In Africa** only 30.7 % are able to estimate the investment made in SCP practices

| Answer Options           | Response Percent | Response Count |
|--------------------------|------------------|----------------|
| Yes                      | 33.3%            | 12             |
| No                       | 66.7%            | 24             |
| <i>answered question</i> |                  | <b>36</b>      |
| <i>skipped question</i>  |                  | <b>5</b>       |



**6. Please enter the estimated value of Capital Investments made by MSMEs in SCP as a result of your Project?**

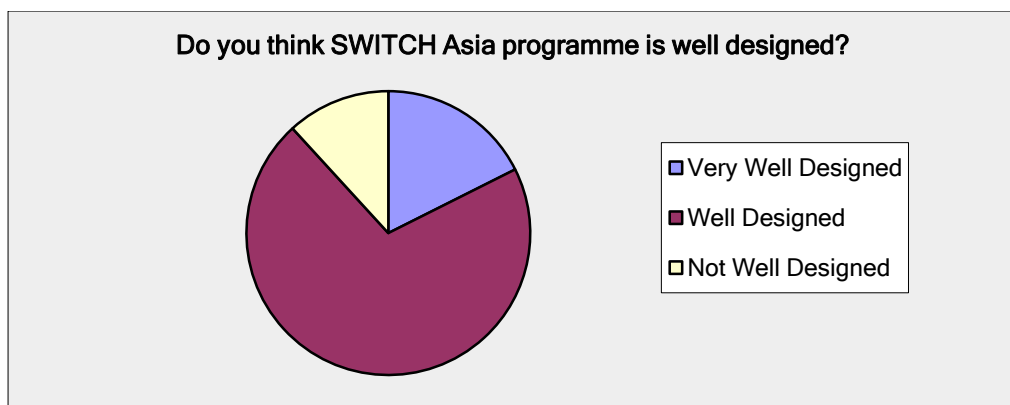
- The estimated value of capital investments made by MSMEs in SCP as a result of the projects indicates quite high numbers
- Eleven respondents estimated capital values of € 9.06 million on average per project or € 81.5 million in total
- If these figures are at all representative (this is very difficult to discern) then it can be extrapolated that some € 1.35 billion has been invested/ will be invested in all projects
- In Asia** € 13.6 million was the estimated average amount for 6 respondents. If all 93 projects resulted in investments of this amount then for 93 projects the total amount invested would be € 1.26 billion
- In Africa** € 4,552 was the estimated average amount for 3 respondents. If all 34 projects resulted in investments of this amount then for 34 projects the total amount invested would be € 154,000

| Answer Options           | Response Average | Response Total | Response Count |
|--------------------------|------------------|----------------|----------------|
| US \$                    | 256,413.50       | 2,051,308      | 8              |
| Euros                    | 9,060,762.33     | 81,546,861     | 9              |
| <i>answered question</i> |                  |                | <b>11</b>      |
| <i>skipped question</i>  |                  |                | <b>22</b>      |

**7. Do you think the SWITCH Asia/ Africa/ MED programme is well designed?**

- Only a small proportion of Grantees think that the programmes are not well designed

| Answer Options           | Response Percent | Response Count |
|--------------------------|------------------|----------------|
| Very Well Designed       | 17.6%            | 6              |
| Well Designed            | 70.6%            | 24             |
| Not Well Designed        | 11.8%            | 4              |
| <i>answered question</i> |                  | <b>34</b>      |
| <i>skipped question</i>  |                  | <b>7</b>       |



## 8. What improvements do you think are required in programme design?

| Answer Options           | Response Count |
|--------------------------|----------------|
|                          | 21             |
| <i>answered question</i> | <b>21</b>      |
| <i>skipped question</i>  | <b>20</b>      |

Comments and suggested improvements include:

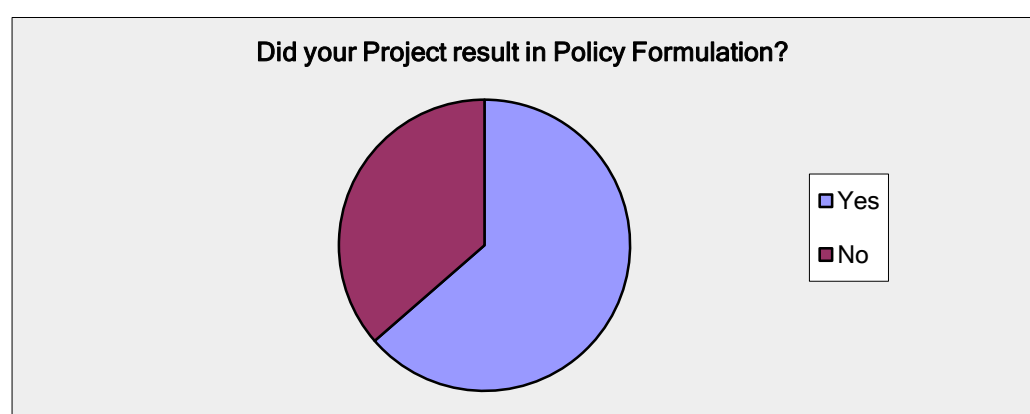
- The process to approve technical reports is too long in my opinion. The consequence is delays in releasing the next instalments and then sometimes delays in activities implementation
- The funding scale makes the project implementation and impact enhancement difficult
- Demonstration and practical training involving civil works as well as equipment ought to be eligible payments using project funds but must be seek approval
- Participation of for profit organisation should be considered
- More space for Eco-Entrepreneurship throughout SWITCH
- Better integration of the policy components with the projects
- Clearer or at least some added value of the policy components to the grant projects
- More scrutiny in selection of measures for policy support
- The programme should be anchored with the government agencies at the federal, regional and local level, to scale up policy level initiatives
- The program design has improved over the past years by emphasizing gender element in the design and facilitating promotion of project's product.
- The design should consider alignment with Switch Asia priority with the needs of the country's current context
- Incorporation of research and design into the programme to better conclude to application
- Switch Asia programme calls are highly ambitious due to which the targets designed in the proposal are relatively difficult to meet
- The projects under Switch Asia should consider provision of preparatory period enabling the projects to align and meet the government's process on project registration prior to kick off
- Need flexibility to redesign the original approved project
- Facilitate mechanisms of meaningful interaction between not-for-profit organizations and businesses
- More focus is needed in promoting financing. Most of the MSMEs are struggling to manage capital financing to upgrade their technology to make their production resource & energy efficient, so a matching grant for MSMEs would be hugely motivating and effective

- More gender focused. Gender not only as a cross cutting issue but to give more opportunities to women and youth and their social-economic development. Switch Asia is highly technical and addresses well technicalities of industries but doesn't address or take into consideration a major problems in Asia which is Labour Rights ...sometimes we might be benefiting directly SMEs but not their workers (as they continue to work under unfair conditions)
- Could have focused just on SMEs or small artisanal clusters. Having both, spread the focus of attention
- Programme design assumed SME readiness of beneficiaries. Evidence shows this is a time consuming process and requires preparation project of its own and unlikely to go from no experience to thriving SME in 3 years. For example, in South Africa, 90% of small businesses are known to fail. Also, the programme design language was broad enough to encompass a range of types of SMEs, but the SAG Project Management Team seem to struggle with the range of beneficiaries and how to quantify the impact across such a broad suite of projects
- Consider to include provision of seed funding for purchasing equipment and process improvement
- SAG also aims to work strategically with government - as a beneficiary to the programme and an organization that obviously would also like to foster relationships with relevant government departments, some feedback as to what has been achieved bilaterally between SAG and the South African government would be useful
- It is quite well designed, although there could have been stronger links among projects - especially knowledge transfer once the project(s) are closed

## 9. Did your Project result in Policy Formulation?

- Nearly two thirds of respondents stated that their project resulted in policy formulation

| Answer Options           | Response Percent | Response Count |
|--------------------------|------------------|----------------|
| Yes                      | 63.6%            | 21             |
| No                       | 36.4%            | 12             |
| <i>answered question</i> |                  | <b>33</b>      |
| <i>skipped question</i>  |                  | <b>8</b>       |



## 10. Please list policies formulated

1. Integrated waste management for Koudougou commune
2. Child labour prevention & remediation policies

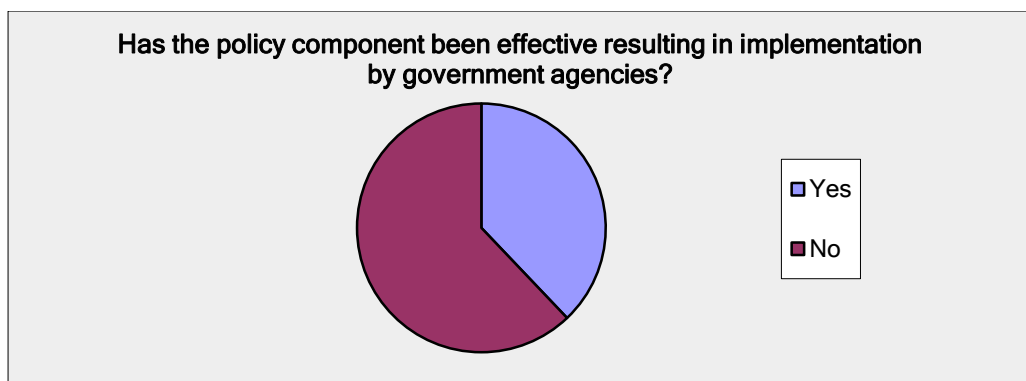


3. Policy for enhancing capacity building support for CBT quality improvement (in progress)
4. Revised Building code 2016 - draft
5. Policy Recommendations on GPP in Bhutan
6. E-waste Rules in India
7. Development and registration of a National Competency Standard of traditional hand weaving by the Ministry of Manpower of Indonesia
8. Sustainable Industrial Policy (Policy Formulation is underway)
9. Promote bioenergy in Burkina Faso
10. National Law on Plastic Bag Waste Reduction
11. Mandatory Jute Packaging for certain types of commodities
12. Sri Lanka National SCP policy - waste and energy sections (under development and to be approved before the end of 2018)
13. Focus on Occupational Health & Safety for Artisans in the Textiles industry in the 11th Five Plan
14. Only in year 1, intention is for this to be achieved by end of project.
15. Micro, Small and Medium Enterprises Policy
16. Regional policy roadmap to promote higher efficiency ACs (increase minimum energy performance standards), adopted by ASEAN Ministers of Energy Meeting
17. Recommendation for solid waste management within SAVAR leather industrial park
18. Integrated waste management for Dédougou commune
19. Grievance policies
20. Policy for enhancing collective CBT marketing initiative (in progress)
21. National Biogas Strategy for Ghana - draft
22. E -waste implementation guidelines in India
23. Give grants to SMEs that want to valorize their waste
24. Local By-Laws to Implement the National Regulatory Framework
25. Recognition of the need for Effluent Treatment National policies to promote higher efficiency ACs (increase minimum energy performance standards) endorsed by Ministries of Energy in 7 ASEAN countries
26. Recommendations for cleaner technologies to be adopted by SMEs
27. OHS policies
28. Renewable Energy - Waste-to-energy: Biogas component
29. Promote energy to waste in SMEs
30. Policy guidelines on how to set up a viable solid waste management strategy at the local level
31. ASEAN standards for testing method for ACs harmonized
32. Recommendation to have common facilities e.g. chrome recovery plants
33. Remuneration policies
34. First aid policies

**11. Has the policy component been effective resulting in implementation by government agencies?**

- Nearly two thirds of grantees stated that policies have not resulted in implementation by government agencies

| Answer Options           | Response Percent | Response Count |
|--------------------------|------------------|----------------|
| Yes                      | 37.9%            | 11             |
| No                       | 62.1%            | 18             |
| <i>answered question</i> |                  | <b>29</b>      |
| <i>skipped question</i>  |                  | <b>12</b>      |



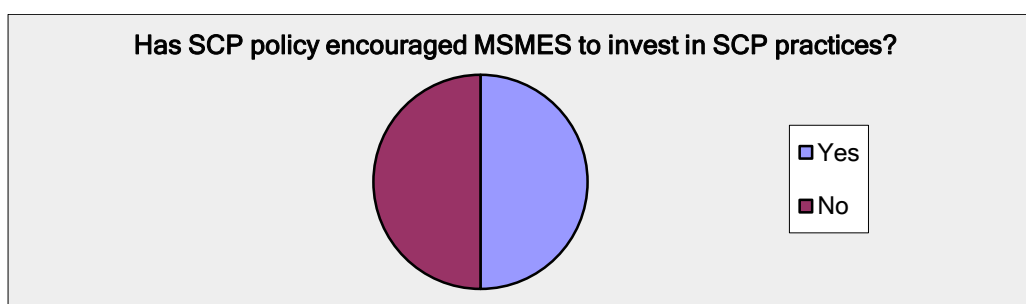
**12. Which Policies did Government Agencies Implement? Please List if any**

1. Integrated waste management for Koudougou commune
2. Renewable Energy Policy: Biogas
3. E-waste Rules and implementation guidelines in India
4. Most of the component of the Jute Policy of the Bangladesh
5. Inclusion of Occupational Health & Safety for Artisans in the Textiles industry in the 11th Five Year Plan
6. Micro, Small and Medium Enterprises Policy
7. All policies developed by the project have been endorsed by Ministries of Energy – ASEAN Air Conditioners project
8. Chrome recovery plants constructed
9. National Biogas Strategy
10. Mandatory packaging using jute sacks

**13. Has SCP policy encouraged MSMES to invest in SCP practices?**

- Fifty percent of respondents stated that SCP had not encouraged MSMEs to invest in SCP practices

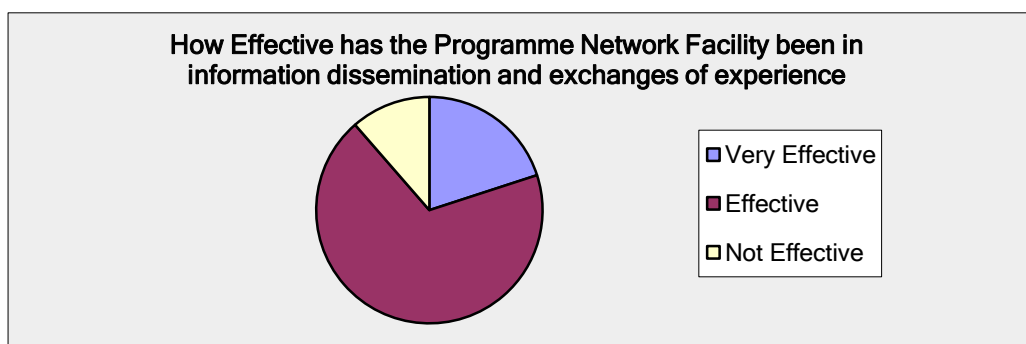
| Answer Options           | Response Percent | Response Count |
|--------------------------|------------------|----------------|
| Yes                      | 50.0%            | 14             |
| No                       | 50.0%            | 14             |
| <i>answered question</i> |                  | <b>28</b>      |
| <i>skipped question</i>  |                  | <b>13</b>      |



**14. How effective has the Programme Network Facility been in information dissemination and exchanges of experience?**

- The majority of Grantees think that the Network Facility has been effective in information dissemination (68 %) and 20 % think that the NF has been very effective

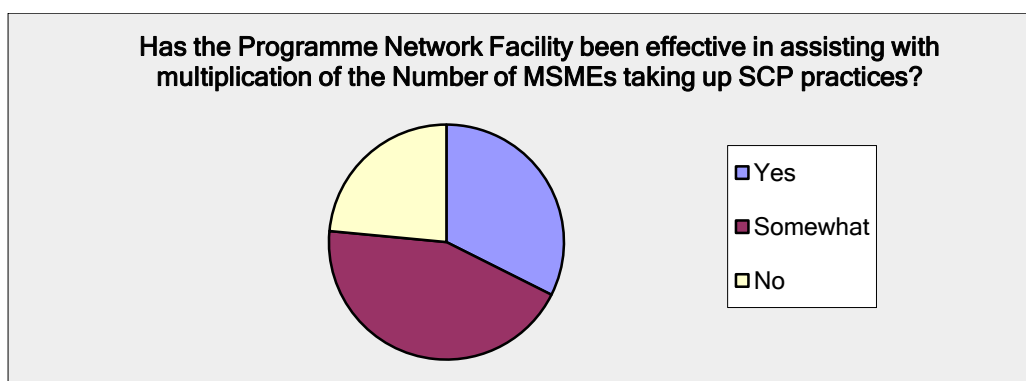
| Answer Options           | Response Percent | Response Count |
|--------------------------|------------------|----------------|
| Very Effective           | 20.0%            | 7              |
| Effective                | 68.6%            | 24             |
| Not Effective            | 11.4%            | 4              |
| <i>answered question</i> |                  | <b>35</b>      |
| <i>skipped question</i>  |                  | <b>6</b>       |



**15. Has the Programme Network Facility been effective in assisting with multiplication of the number of MSMEs taking up SCP practices?**

- Only 32 % of respondents hold the view that the NF have been effective in assisting with multiplication of the number of MSMEs taking up SCP practices

| Answer Options           | Response Percent | Response Count |
|--------------------------|------------------|----------------|
| Yes                      | 32.4%            | 11             |
| Somewhat                 | 44.1%            | 15             |
| No                       | 23.5%            | 8              |
| <i>answered question</i> |                  | <b>34</b>      |
| <i>skipped question</i>  |                  | <b>7</b>       |



**16. If the Network Facility is not achieving intended results, please list reasons, and give brief comment**

- The project being in the first year, has not explored the network facility completely.
- No interest in connecting projects or grantees - no added value to implementation - frequent meetings, but not facilitation of networking and synergies - actually a massive hindrance to project implementation overall.
- The networking facility is not anchored or approached the government agency at the federal or local levels, thus the policy level impacts can remained at the project level and not been scaled up.
- The information provided by the NF have not yet reach wider audience and too project's (intervention) focused.
- However through recent facilitation provided by the NF in promoting project's products (online and offline), it is expected that it will provide more benefit to the MSMEs directly, and can attract more MSME to practice SCP.
- It is achieving limited results. I guess detail dissemination of specific interventions is missing.
- This project is one of the first approved and were not really involved in countries. Things have improved over the years of Switch Asia. The Network facility is much more pro-active now.
- Beneficiaries do not access Programme Network Facility, they are too busy, do not have internet access, struggle with technology, do not have global interest. Network Facility is useful for Grantees to learn and share from each other though.
- The Programme Network Facility has been very useful in terms of learning exchange etc. The experience however has been that each organization has been focused on delivering the outputs it needs to under SAG and that there has not been the 'space' to really engage with the other organizations apart from the quarterly meetings. Perhaps if the active linking with the other organizations part of the network was part of the project delivery in some way, there may have been more achieved. Fairtrade Label have actively engaged Proudly South Africa on numerous occasions outside of the network facility.
- Network Facility is only doing networking among grantees, which by nature work on different topics, so not so useful.
- The networking events should bring the granted projects to meet with the industry, beneficiaries, doing outreach. Also, the Network Facility is only collecting information from grantees to publish newsletters and project profile, and we do not know the value of this. The Network Facility is not pro-active at all. One could expect such highly qualified experts in SCP to come to projects and suggest networking opportunities, by doing some work on learning about the projects.
- One challenge is that there are different industries (sectors) and specific recommendations e.g. for sugar industry is not easy to find. Network Facility is also Project based, and there should be an institution which is looking beyond the project cycle.

**17. Please list lessons learned**

- From our project, one lesson we learned is that it is difficult to address properly the waste management issue without building capacities in waste recycling including developing enterprises in the sector.
- As SUS-TOUR is an ongoing project, the questions on the impact does not fit well its current status. One of our key learnings is the relevance of discuss and agree with SAG on the indicators

to be used for measuring the progress and achievements BEFORE kicking off the project. Such situation requests modifications in the design of the project, situation that also reflects in our resources. SUS-TOUR is a program that focuses on enhancing sustainable tourism by empowering community-based-tourism development, which, according to UNWTO, is catalyst of social cohesion, going beyond the immediate impact of job creation and its positive economic consequences and enhances, for instance, local governance capabilities which multiply the tourism impact even further. Therefore, SUS-TOUR capacitates community based tourism organizations and tour operators on developing quality CBT products and enhancing marketing visibility to make the current tourism portfolio (which has strong focus on safari and beaches) more sustainable. The measurement of success aren't quantified in terms of eco-efficiencies implemented to save water or energy rather in people who is able to develop and market quality CBT products. Please note that the policy recommendations are a result of the project, it is intended to produce the recommendations upon the completion of the work package 3, which will take place in mid-February 2017 and questions 10 and 11 will be able to be filled only after March 2017.

- Lessons on project management (operations and finance) through communication with the EU mission in Delhi, as well as through the networking facility events.
- Including state department allows more effective work on policy component.
- Participation of Industry bodies helps scaling up initiatives and garnering support-scaling up of pilots, cooperation and networks for multi-stakeholder engagement, policy formulation and capacity development.
- Work with multiple grant entities EC, UNEP, UNDP, UNOPS is a massive distraction to achieving the project objectives, resulting in delays and inefficient and ineffective implementation - eco-entrepreneurship is more regarded as an unwelcome addition, rather than the very interesting opportunity.
- Important to engage with market players to ensure sustainability in market - Provide incentive to MSME to practice SCP - Integrate gender perspective to ensure that the project is not burdensome to women.
- The project has to manage time in accordance to the priorities and time of MSMEs rather than project work plan and timings.
- Provide technical assistance interventions change accordingly with change in market dynamics and time.
- Stakeholders' priorities deviate due to change in context, political change, policies.
- Habits and consolidated practices are hard to change, thus when it comes to introduce SCP in any given society or industry, a longer-time perspective should to be taken into consideration; - Policy formulation often clashes with Governments' reluctance. Effective policy or normative changes may hardly be attained in a time frame as established under Switch-Asia projects (max 3 years).
- When addressing SMEs or MSMEs, at a first look the number of beneficiaries may appear narrow or insignificant in comparison to more traditional international development assistance actions. Yet, impact should be envisioned bearing in mind that businesses work differently and may require a wider time span to achieve their goals. Market dynamics differ substantially from international assistance.
- SMEs should invest more on skill development of workers.
- Workers and producers were not equally benefitted from improved business performance.
- Engagement of National and subnational authorities in Sri Lanka is always slow Exposing decision makers to similar successful experiences in other countries with Biogas Up-scaling Programs is of vital importance to grow their enthusiasm and support to the program.

- There is a need for a lot of handholding for micro-enterprises to make changes. Resources are not available to support the change process so we need to do more on this front. Need to get consumers to demand green products and be willing to pay better prices in order to create an enabling environment for MSMEs to invest.
- The handcrafted textiles industry needs more regulation to prevent exploitation of small artisans who are forced to produce low quality products just to survive.
- Starting a project with stakeholders in November leads to implementation delays, only real engagement can start in the New Year and has knock on impacts for project.
- Improving energy efficiency in production needs addressing the entire value chain within the enterprise's operations.
- Enterprises were not aware and not paying much attention on the energy usage visa-vis total production costs (Energy efficiency concept). The total production costs are very high as a result of some energy inefficiencies which are not identified by the staff.
- Important lessons learned: - Policy Formulation/ Change: Being part of the SAG Programme also heralded in first time contact and engagement of Fairtrade Label South Africa with the public an policy sphere of South Africa. Although a lot of ground work has been achieved, 24 months - the duration of the Project - is a relatively short time in which to address any type of policy formulation or change. In achieving that impact, the organization remains dependent on a very slow bureaucratic process for impact to show. In this way, the SAG Network could perhaps be utilized more for necessary public dialogue. - MSME Update of SCP Practices While the MSME's targeted seemed positive regarding SCP practices - i.e. Fairtrade Certification to trade ethically, the pro-active implementation on their end has been less than successful with not a lot of ownership. Next actions is to create more ownership from MSME's targeted for this objective; to not only adopt SCP practice but to also affect change in that particular value chains.
- Engage with final beneficiaries as early as possible (at concept stage if possible), create steering committee with final beneficiary to ensure ownership. Engage all stakeholders and make careful stakeholders needs analysis to ensure adoption of recommendations or tools by the beneficiaries.
- To be capable to achieve goals and objectives of "SWITCH - Asia" - projects should have very strong ownership from all partners, and especially knowledge management - dissemination; during the project and also after the project. Also many organizations are rather academic and not linked with industry; therefore many results are rather virtual.

## **18. Please give recommendations for improving the SWITCH Programmes**

- In waste management especially, to have a real and an effective impact the program need to reconsider its position about purchasing materials. Secondly, it's is important for the program to have a coordinator or focal in charge of monitoring of the Grantees in the region. In my opinion, it will help to have an easier governance of the Grantees and their projects.
- We appreciate the continuous support from the EU, UNOPS and UNEP. We'd appreciate if SAG could have an effective measure that enables European partners to involve in the quarterly meetings and other ad-hoc discussions. Also, we'd appreciate SAG to share good practices of grant projects in terms of implementation and achieving the impact.
- Including for profit organisations - Including Ministry of Environment to be a stakeholder at the programmatic level to improve acceptance of Switch Asia Project initiatives.
- The information to the government counterparts could be channelized through the EU delegation from the respective countries to streamline action and support process.



- The policy incidence or impacts from the projects could be a case for other projects to learn; thus some buffer budget could be made available for these past projects to participate in the networking meetings to share these policy level learnings.
- Add financing incentives / financial cooperation to the tools possible.
- Projects designed to address SCP should be considered a longer time frame interventions to validate behavioural changes, sustainability and adoption of SCP.
- Provision of preparatory period/ moratorium period for the programs to register and fulfil government's requirement prior to kick off - Matching of grant period and actual implementation.
- Timely guidance, feedback and suggestions to improve from the donor / representative Redesign flexibility.
- Shape requirements and criteria of calls for proposals more in line with business real needs; Facilitate to a greater extent the dialogue among non-profits, businesses and investors.
- The programme has now cross cutting theme on decent employment, occupational health, gender equality etc. but it must include these as mandatory focus for future focus, so that producers and workers get equal benefit from improved business performance.
- MoU between EU Delegations and Governments to expedite the process of launch and implementation of SWITCH ASIA projects. EU Delegation lacks initiative of effectively promote interaction of different SWITCH ASIA actions at National level.
- The programme has done an amazing job to highlight the need for Sustainable production and consumption processes in a range of industries. It has supported innovation. This needs to continue. The key shift we would like to see is the ability to bring in private sector players as partners, rather than just associates. This will provide the incentive for change. The other for the network facility also needs to work closely with governments to encourage the enabling environment and for governments to allocate resources for sustainable production processes in their respective countries.
- Essential to plan meetings, networking, conferences, reporting etc. more than a month in advance! Both Grantees and Beneficiaries are busy and have schedules to stick to, lack of timeous planning and advanced warning leads to disruption for all involved and puts strain on relationship between Grantee and SME.
- Increase the funding to the project in Switch Africa Green.
- Involve beneficiaries more in the high level bilateral engagement between SAG and the South African Government.