

Background Paper #1

10-Year Framework of Programmes on Sustainable Consumption and Production (10YFP): A Review of Options for Institutional Structure

**For discussion at
High-Level Intersessional Meeting of the
Commission on Sustainable Development**

Panama City, Panama

13-14 January 2011



I. Introduction

Sustainable consumption and production is referenced in the Johannesburg Plan of Implementation (JPOI), adopted at the World Summit on Sustainable Development in 2002, as one of three overarching objectives of, and essential requirements for, sustainable development, together with poverty eradication and managing the natural resource base of economies.

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During discussions on the 10-year framework of programmes on sustainable consumption and production (10YFP) at the eighteenth session of the Commission on Sustainable Development, a number of initiatives on sustainable consumption and production were discussed, highlighting existing opportunities to

national and regional levels as well as to help member States and other stakeholders address new and emerging SCP challenges. Initiatives to date, such as the Marrakech Process³, have

been voluntary in nature, and, while they have been effective as an interim means of bringing together communities of interest and sharing knowledge and information across countries and regions, they lack a formal mechanism that would ensure sustainability.

The Commission recognized that the framework could provide a platform for the broad sharing of experiences, lessons learned, best practices and knowledge at multiple levels and could allow for the replication and scaling up of successful initiatives. It could also assist countries in monitoring progress toward their own goals and objectives. It was also noted by many Delegates that the framework should help to mobilize the technical and financial support necessary to allow the implementation of national and regional initiatives.

At CSD-18, Member states expressed interest in being presented with a variety of potential institutional structures for a 10YFP. In response to these requests, this paper reviews six models which provide options for the institutional design of the 10YFP, considering the functions that such a framework needs to fulfil and several criteria for assessing effectiveness.

Progress during the January 2011 Intersessional Meeting in Panama City (for which this paper serves as background) on the formulation of a coherent and effective 10YFP will be important to a successful Intergovernmental Preparatory Meeting (IPM) (28 February – 4 March 2011) and CSD-19 negotiations (2-13 May 2011) on the 10YFP on SCP.

II. Functions and needs to be filled

The 10YFP should support a set of ambitious, but realistic actions and initiatives, giving them impetus, incentives, direction, cohesion, and the flexibility to evolve for the period 2011-2020. The starting point is the range of actions that were identified in the JPOI in paragraphs 15 to 19. The 10YFP needs to include programs that support national and regional initiatives, which may vary *inter alia* with level of development and natural resource endowments, but which will all need to promote human de

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Framework needs to be sufficiently flexible to evolve, in order to respond effectively to emerging issues and changing contexts, and in order to accommodate new actors.

The following functions for the Framework draw from the activities of the Marrakech Process on Sustainable Consumption and Production. A number of these functions match those

highlighted during the RIMS and at CSD18. Further discussions on these functions may be needed before the form of the 10YFP can be agreed.

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cess with a Secretariat
 jointly held by UNEP and UNDESA, an Advisory Committee (AC) representing each UN
 region and major groups, which has supported and guided consultation on potential elements
 for a 10YFP. Being informal, it does not integrate any formal monitoring, accountability
 mechanisms, financial mechanisms or formal high-level commitment. Implementation has
 mostly happened through the work of seven voluntary Task Forces financed by developed
 countries. The Marrakech Process has also organized a number of international and regional
 expert meetings, where regional priorities on SCP have been identified. Progress of the
 Marrakech Process has been reported at the UNEP Governing Council and the CSD.

Strategic Approach to International Chemicals Management (SAICM)

SAICM is a voluntary global policy framework to ensure that, by 2020, chemicals are produced and used in ways that minimize significant adverse impacts on human health and the environment. SAICM was initiated by the UNEP Governing Council in 2002, developed by a multi-stakeholder Preparatory Committee and adopted by the governing body, the International Conference on Chemicals Management (ICCM), in Dubai on 6 February 2006, after a three-year consultation.

SAICM comprises the Dubai Declaration on International Chemicals Management and an Overarching Policy Strategy (OPS). The Declaration is a high-level political commitment while the OPS sets out objectives (risk reduction; knowledge and information sharing; governance; capacity-building and technical cooperation; and addressing illegal international trade in chemicals). The Declaration sets out principles and approaches, and implementation measures. The OPS provides guidance and guidance on implementation, as well as a list of implementation measures.

The Open-ended Working Group is a subsidiary body for the preparation of ICCM sessions and the Quick Start Programme supports financially initial enabling conditions for implementation. SAICM

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programme implementation. It is supported by an Executive Committee, the Secretariat, the
Committees, and Advisory Committees.

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General Assembly in
they are reflected in the Millennium Declaration. Most targets derive from the global
conferences of the 1990s as well as from international norms agreed upon over the past half-

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7) **Effectiveness/scale of impact in achieving its goals:** is the model effective in delivering support at regional and national levels, in supporting scale up and replication

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derives from the Johannesburg Plan of Implementation agreed by UN Member States at the World Summit on Sustainable Development in 2002.

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Global Plan of Action (GPA) reflects stakeholder priorities and is the basic
of SAICM. The integration of national and regional
are identified

and, where practicable, are the basis for implementing actions, including those undertaken with the support of the financial mechanism. The SAICM model is also effective in identifying gaps that require responses beyond national or regional capability. A similar approach is taken in the Marrakech Process, although less formalised. Regional and national priorities have been identified, and collaborative programs developed and implemented to address them.

4) Broad participation of stakeholders:

to the UN family. UN-Water does partner with other major related organisations. Oceans encourages major NGO participation in Task Forces. GAVI involves a wide range of stakeholders in the delivery of vaccines: the governance arrangements involve the representation of all stakeholders, with legal agreements between key partners. CGIAR also involves a wide range of stakeholders in delivery arrangements, but not in the governance arrangements. The incentive for participation by stakeholders relates mainly to access to the products or research results. Both SAICM and the Marrakech Process have wide participation of stakeholders, but with differing degrees of formality. SAICM is a community comprising stakeholders from Governments, intergovernmental organisations and civil society, including the private sector. A network of SAICM national focal points is maintained by the SAICM secretariat. The designation of focal points provides a mechanism for communication and for access to support from the SAICM Programme Trust Fund. Participation in SAICM involves formal endorsement by governing bodies or CEOs of agencies. Incentives for participating relate to improved access to funding, knowledge sharing, and potential for collaboration. The Marrakech Process brings together a range of different stakeholders – governments, NGOs, business, researchers and academia, local authorities, intergovernmental organisations

7) Effectiveness/scale of impact in achieving its goals:

Only CGIAR, GAVI and the MDGs have been in operation for a decade or more, and hence provide a sound basis for review of effectiveness. For others, it is only possible to reflect on the progress to date, but conclusions about effectiveness should be drawn cautiously. CGIAR has been in operation since 1971; GAVI and the MDGs were launched in 2000; the Marrakech Process and the UN interagency models in 2003-4; and SAICM in 2006. Both CGIAR and GAVI have the benefit of systematic evaluation processes that allow conclusions to be drawn about their effectiveness. GAVI has enabled higher levels of immunisation and at a faster rate than would otherwise have been possible. CGIAR can demonstrate a 9:1 return on investment in CGIAR and its programs. The annual reporting of the MDGs indicates that the goals are being met in an increasing number of countries. UN-Water has made considerable progress in providing key information to decision makers and in providing a useful platform for addressing key issues and concerns. UN-Oceans reduce needs and increased accountability by establishing a “distributed secretariat” divided among participating organizations. The Marrakech Process has widespread improvement in the understanding of SCP issues, and has development of SCP programs in 20 countries and the incorporation of SCP planning processes of 30 more. SAICM so far has been effective in focussing g achieve sound management of chemicals, and in mobilising efforts of differe in a coherent manner. Regional meetings are held to review progress on imple the Strategic Appro

borrowed against these pledges on capital markets, raising funds that can be disbursed to enable a more concentrated effort early in the program. The MDG Achievement Fund was established to help national governments, local authorities and civil society in their actions towards meeting the goals. The MDGs have also raised resources from the private sector and citizens by setting specific goals and inviting all to contribute. Both SAICM and UN-Water have Funds established to assist with activities. SAICM's Quick Start Program (QSP) provides limited funding for initial enabling activity in the five pre-agreed SAICM has also mobilised donor funding for specific initiatives. The Marr does not have a specific financial mechanism, but has attracted donor contributions of its activities, notably but not only the work of the Marrakech Task Force organization

Within the community of those engaged in SCP policy and practice, there are s

given to an effective partnership model. If greater consistency in approach is required, there will be the need for a common vision and established procedures for development and operation of the partnerships. That in turn requires overall mechanism for oversight of initiatives within the 10YFP to ensure that they are consistent with each other, and to avoid unnecessary overlaps or duplication, while supporting national and regional needs and priorities.

The UN-x model and SAICM both aim with some success to foster greater coherence among multiple initiatives and programmes with overlapping objectives. These could be adapted to fostering greater UN system collaboration, including with the IFIs, on implementing the SCP agenda. The challenge will be for the UN to reach out, engage and interest other partners in collaboration.

F. Awareness raising, education and civil society mobilization:

The engagement of major groups and civil society will be essential for the successful pursuit of SCP goals. Given the cross cutting nature of SCP, it would seem desirable to engage those groups as equal partners at all levels of the SCP framework. This is the approach followed specifically by SAICM and the Marrakech Process. It is followed to a lesser extent with GAVI in relation to vaccine delivery and the promotion of immunisation campaigns. In the case of SAICM, business, civil society and academia participate directly as well as through the formal regional and national networks. Development and implementation of broad scale public awareness campaigns is facilitated and supported through the QSP. The MDGs approach also utilises a wide range of partnerships, campaigns and actions, including high level advocacy, to inform and mobilise stakeholders. It is unlikely though that SCP will achieve the status of the MDGs, and hence the SAICM approach would be more realistic and applicable.

VI. Conclusions

The Marrakech Process is the only model reviewed

specifically for development. Of the time to do so its own would be criteria.

though, that a suitable framework can be developed, drawing on best experiences and mechanisms from each model. Each of the models reviewed has features that could be

achievement manner in which and ambition on the current a broad shift to

es common but goals for different groups of countries, achievable in a 10-year time frame (2011-21). The MDG goals, universally endorsed at the highest levels, have for instance helped set the agenda for and galvanized the international community, civil society and the business sector around those goals. The CSD could use the vision and goals developed under the Marrakesh Process as a starting point for discussing vision and goals as part of a 10YFP.⁵ High level endorsement

tries and into the realm of the other important ministries such as industry, finance, and economics ministries.

ill vary across els of resource endowments and institutional types. Thus, goals must be broad enough to galvanize action

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building, e identified as ssibly located s would presumably have different areas of focus and expertise, depending on regional priorities. specific SCP e CGIAR experience with the national agricultural research systems, these e of technical

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be in accordance with comparative expertise, or centralized in a single entity?

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d reported and to what forum, to ensure progress towards establishing SCP patterns? What approach, ground rules should be used

Model	SAICM	GAVI	Marrakech Process (MP)	Millennium Development Goals (MDGs)	CGIAR	UN-Water, -Energy, -Oceans
Main Function(s)	To coordinate, catalyse, facilitate and provide greater coherence in global actions on sound management of chemicals. Established 2006, SAICM operates under its own governance arrangements that were adopted as part of its establishment.	To increase access to immunisation in poor countries. Launched in 2000. GAVI operates under specific statutes and by-laws developed and agreed by its partners	To provide a global and multi-stakeholder platform for SCP knowledge and experience sharing. Launched in 2003, Task Forces are voluntary initiatives led by governments, which - in co-operation with various other partners from the North and the South and support from UNEP and DESA - commit themselves to carrying out a set of concrete activities at a national or regional level that promote a shift to SCP patterns.	A set of eight comprehensive and specific development goals that 192 United Nations member States and at least 23 international organizations have agreed to achieve by the year 2015. Adopted in 2000.	Mobile secure governance Established in 1971, it operates as a loose association of autonomous research centers and interested donors that share objectives but pursue them with only weak strategic coordination. As the result of several evaluations, CGIAR will move to a new model that emphasizes binding contractual obligations and clear lines of accountability.	The three programs all aim to promote system-wide collaboration with a coherent and consistent approach. Established in 2003-4.

Performance Criteria:

1) Provide global focus for common vision and goals

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3) Support national and regional initiatives

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UN-Water facilitates and supports work being carried out at the regional and sub-regional levels, both within the UN System and with partners. Regional UN-Water arrangements are expected to operate based on terms of reference and work plans that are coherent and aligned with those of UN-Water itself, considering the specific priorities of each region.

4) Broad participation

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organisations (including from environment, industry and health sectors). Commitment to SAICM is at governing body or CEO level. Incentive to commit derives

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5) Coherence within the UN system

The key UN agencies involved with chemicals participate in SAICM, both directly and through the aegis of the IOMC. In that regard, the SAICM model constitutes a UN interagency framework in relation to chemicals. Each agency has recognised SAICM with a view to incorporating it in their programmes, thus enabling SAICM activities to be set within broader initiatives. The agencies also serve on the funding mechanism established under SAICM (the Quick Start Programme).

WHO and UNICEF, along with the World Bank, are active partners.

UNEP and DESA are key agencies supporting the MP. Other agencies are involved on a voluntary basis - UNECE and UNESCO are engaged on education for sustainable consumption and lifestyles; UNIDO and UNECA on technical cooperation with Africa and UNIDO on cleaner production centers; ILO on sustainable public procurement: & UN W sustaina

The M an ini Unite the 19 Natio States international organizations have agreed to achieve the MDGs. All UN agencies have integrated the MDGs into their programmes and agency goals. The expertise of all agencies is brought to bear on a well-focused and defined bl .

F th re U sp but ar

Greater cooperation, coordination and coherence are common aspirations for all the areas, however it is not clear the extent to which this is achieved. The voluntary nature of involvement, and the lack of agreement on roles (eg, with UN-Energy) limits the effectiveness.

ibility: - country, regional, stakeholder differentiation

it to SA own e GPA needs and priorities. The QSP provides funding for eligible stakeholders for enabling activities.

focuses on oor countries with limited infrastructure and health syst 0aUnrieJ-M8itesFP AMCI2 -1.15 T5.3876158

P ca ific n diffe lopm k For al by governments. New task forces can be created in response to emerging priorities.

eight MDGs are pposed to take into account needs and ors and groups. MDGs are ible enough to llow these different regional priorities. At the same time, the model does not easily accommodate new goals.

UN-Water has identified a need to work more proactively in identifying merging trends and challenges and develop, with its members and partners, collaborative response. In UN-Energy, individual members respond to requests for energy related projects.

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7) **Effectiveness**
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**9) Leveraging o
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10) Conclusion

There are strong inter-linkages between chemicals management and SCP. Hence, implementation of SAICM can be seen as a contribution to the objectives of SCP and sustainable development more broadly. However SAICM's focus is limited to chemicals. Its structure reflects many features relevant to SCP. Its performance to date demonstrates many of the problems faced in addressing an issue that is not only cross-cutting, but also essential to achieve

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relevant for a 10YFP is
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 the fact that there are
 very concrete measures
 of success is a plus.

The three UN interagency models have evolved differently. UN-Water is the most formal model, with dedicated funds and strong coordination, which foster ownership and coherence inside the UN system on water related issues. It includes a strong Result Based Framework to achieve externally determined objectives. UN-Energy is still very informal, without clear goals and objectives and dedicated resources. Yet, UN-Energy is the only model that has set targets to be achieved. UN-Ocean demonstrates that, for politically sensitive issues, the partnership model will most likely be limited to developing tools and sharing knowledge without setting specific goals or targets. The most interesting feature of UN-Water is the results-based framework, which could be a model for funding support to SCP initiatives. Inter-agency coordination is a positive feature shared by all three.