

**Integrative Strategic Research Programme of IGES
for the 8th Phase (ISRP8)**

**(Approved at the Board of Directors and Trustees Meetings
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Institute for Global Environmental Strategies

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1. Introduction

The Integrative Strategic Research Programme for the 8th Phase (ISRP8) is a four-year programme for IGES to implement from July 2021 to June 2025. It was initiated by an internal process within IGES in February 2020 and developed through deliberations by the IGES Boards of Directors and Trustees (BOD/BOT) in 2020-2021. A draft of the Major Directions for ISRP8 and the first draft of ISRP8 were broadly supported and received comments and suggestions at the BOD/BOT meetings in May and October 2020, respectively. The first draft, in which draft key performance indicators and renewed organisational arrangements were laid out, received in-principle approval from the BOD/BOT in October 2020 and was further fine-tuned for official approval by the BOD/BOT in May 2021.

ISRP8 remains in line with the *Medium-to-Long Term Strategy 2016-2025* (MLS), which was developed and approved by BOD/BOT in 2015, with necessary updates in vision, mission and value proposition statements. ISRP8 also takes into account progress made and challenges remaining during the 7th Phase, particularly those spelt out in the “*Mid-Phase Review Report (April 2019)*” and other internal review documents and surveys carried out by IGES, most important of which is the “*Third-party Satisfaction Assessment of IGES Staff Members*” concluded in July 2020.

2. Overall Context

2.1. Medium-to-Long Term Strategy 2016-2025 (MLS)

The MLS set a broad framework for ISRP for 10 years until 2025. IGES specified its vision, mission and value proposition in the MLS in 2015 and updated the strategy in part in 2020 (below) together with the discussion of the first draft of ISRP8, given the substantial changes observed during the period between 2016 and 2020) including profound implications resulting from COVID-19 pandemic since 2020 and the progress made by IGES on many fronts. The updated vision, mission and value proposition for ISRP8 are as follows:

Vision

IGES steadily promotes a transition towards a sustainable, resilient, shared and inclusive Asia-Pacific region and the world, where planetary boundaries are fully respected, and a green economy is substantially and flexibly implemented. Such a transition is fully aligned with zero-carbon development in line with the Paris Agreement, circular economy, resilience and biodiversity conservation, as well as improvements to the well-being of people based upon the SDGs.

Mission

IGES will act as an Agent of Change, conducting strategic research and operations based upon co-design, co-implementation, co-production, and co-delivery with key stakeholders, thereby generating impacts on policies, programmes and practices of various stakeholders to move society towards a more sustainable and resilient future, especially in Asia and the Pacific.

Value Proposition

IGES is a strategic research institute located in Asia, trusted by international/regional institutions and national governments concerned through timely and quality delivery of knowledge products, experienced in generating innovative ideas and disseminating practical knowledge for problem-solving by means of effective communications and other means, and appreciated by key stakeholders such as businesses, cities, civil society at various levels for strategic networking/partnership, for global transition to sustainability and resilience.

2.2. Overall Messages of the Mid-Phase Review Report (April 2019)

The investment fund introduced in FY2018 was applied to strengthening IGES capacity for publications (e.g. translation) and communications. Results were significant: e.g. more translation products of significant importance, a significant increase in monthly downloads of publications, and a significant increase in media coverage. Thus, capacities strengthened by this investment should be

sustained and further mobilised.

Units dealing with three issue areas, i.e. Climate and Energy (CE), Natural Resources and Ecosystem Services (NRE) and Sustainable Consumption and Production (SCP) should further build up analytical capacity (CE and SCP), improve their financial base by developing larger scale projects (NRE), as well as to bridge policy and science across disciplines to seek synergetic solutions (integrated approach). They should also swiftly respond to important emerging issues.

Two Centres, i.e. Centre for Strategic and Quantitative Analysis (QAC) and Centre for Sustainability Governance (SGC) have started producing unique knowledge products (publications and tools). They should bolster collaboration with the above three issue areas and other internal units with a sharper focus on integrated and inclusive approaches in finding solutions.

Three Taskforces — Business (BIZ), City (CTY) and Finance (FIN) — are making headway in building their recognition and partnerships. They can also widen their roles in consolidating best practices related to their target stakeholders and disseminating them through their stakeholders and channels for replicating success stories. In so doing, they should actively share knowledge with other units which could be very important to promote co-design, co-production and co-distribution of relevant research and analysis. Also important will be to secure resources to sustain initiated activities.

Satellite Offices — Kansai Research Centre (KRC), Kitakyushu Urban Centre (KUC), Bangkok Regional Centre (BRC), Tokyo Sustainability Forum (TSF) and Beijing Office (BJG) — have also been maintaining and expanding productive partnerships with their specific counterparts. Their accumulated knowledge and best practices will have a great potential for impact generation with other Units, such as climate change adaptation, and substantial collaboration with key stakeholders such as cities and business.

The last two years (2019-2020) have seen a few significant developments for more substantial collaboration. IGES and the Asia-Pacific Network for Global Change Research (APN) now have joint capacity building activities on climate change adaptation, IPCC Task Force on National GHG Inventories Technical Support Unit (IPCC-TSU) and IGES worked together in implementing capacity building for transparency for Asian developing countries, and the Japanese Centre for International Studies in Ecology (JISE) and IGES have just started joint operations/research in Kenya and Lao PDR. It is suggested that such collaboration should be further strengthened, drawing upon the strengths of each organisation/programme.

2.3. Summary of the Third-party Satisfaction Assessment of IGES Staff Members (July 2020)

Overall satisfaction level has substantially improved compared to the previous survey conducted in 2016. The most significant factor contributing to this is the “Empathy to the vision and mission of IGES.” A significant improvement was recognised in “Workload management” over the last four years.

- Satisfaction rates remained low in issues such as “Evaluation & conditions (incl. salary),” “Capacity building” and “Relationship & communication with other units.”
- Female staff show lower satisfaction in several issues such as “Evaluation & conditions,” “Work design & allocation,” and “Capacity building.”
- Staff members at satellite offices show lower satisfaction in the most issues, especially in “Relationship & communication with other units” as well as “Work design & allocation.”

2.4. Summary of Comments and Suggestions Received from the BOD/BOT on the Major Directions of ISRP and First Draft of ISRP8 (2020)

At the BOD/BOT meetings in May and October 2020, a few important points were received for finalising ISRP8 as below:

IGES internal strategy

- The benchmarking approach is considered effective, and which institutes are to be benchmarked is critical.
- Strengthening IGES research capabilities and products is essential, but a good balance between academic research and impact generation is difficult to achieve.
- While it is laudable that IGES is striving to become SDGs compatible, it is important to set clear quantitative goals including the percentage of female staff members in management positions and consider how to retain valuable human resources for the longer-term.

Research focuses

- The concept of a Circulating and Ecological Sphere (CES) needs to be further developed and refined through generating successful stories and cases in the region.
- The implications of COVID-19 on sustainable development for IGES research and activities should be fully examined.

Basic approaches

- Importance of finance needs to be fully recognised for full SDGs implementation and the required social transformation.
- Establishing ISC as a unit dealing with SDGs and realisation of net-zero society in an integrated manner is a good move to respond to cross-cutting issues at IGES.
- Collaboration with business, cities and other implementation partners, as well as communication with the general public continues to be important, thus the stakeholder approach should be further promoted.
- Collaboration with partner institutions should be an asset, and essential for effective IGES operations for research and impact generation.

3. Key Performance Indicators (KPI) and SMO

3.1. Overall Performance

MLS set a long-term overall target of the institute “*to become one of the top 10 institutes in the world.*” The overall indicator to measure this during the 7th Phase has been the *Global Go To Think Tank Index Report* by the University of Pennsylvania. IGES has maintained a ranking of around 40th (Environmental Think-Tank category) for the last five years or so.

The think-tank ranking has high global visibility. However, the ranking criteria are still not clear enough, with insufficient transparency on how they are used to measure institutions. Thus, it is very difficult to develop an effective strategy to improve the ranking. Moreover the ranking of institutes below the top ten changes very little from year to year, suggesting that solid methodology may not have been applied to the ranking. Therefore while the international think-tank ranking will be followed up during ISRP8 as a reference indicator, it should not be the main focus for measuring the overall performance of IGES.

Instead, emphasis should be placed on more specific comparisons with internationally renowned sustainability research institutes regarding how an institute improves impacts, outputs and governance. IGES will introduce a benchmarking approach by which a few institutes having excellent records of impact generation, policy research and governance are to be modelled. Such institutes could include International Institute for Sustainable Development (IISD), Stockholm Environment Institute (SEI), World Resources Institute (WRI), Potsdam Institute for Climate Impact Research (PIK), Wuppertal Institute, The Energy and Resources Institute (TERI), and International Institute for Applied Systems Analysis (IIASA). This will enable IGES to flexibly develop strategies to improve its overall performance.

The long-term target of “*becoming one of the top 10 institutes in the world*” is maintained, which will be supplemented by an additional statement to “*become among the top-performing institutes in Asia*”

and the Pacific.”

3.2. Impacts and Outputs

3.2.1. Overall Target

The 7th Phase (ISRP7) target for impact generation was 25 impact cases to be generated and reported annually, keeping in mind the basic concept of impacts depicted in Figure 1.

IGES maintains its mission as an agent of change, thereby moving society towards full sustainability. We continue to be fully committed to co-generation of impacts with key partners. While these basic principles remain the same, we will introduce a more systemic approach for impact generation.

During the 8th Phase, at least 30 intended impacts will be developed and reported annually to BOD/BOT. IGES will go beyond merely reporting a certain number of separate and sporadic impact cases. An impact generation plan will be prepared so that linkages existing among different individual impact cases will be fully worked upon, and this way, much larger scale impacts will be generated. Thirty (30) reported impact cases will be broken down to three (3) cases of large-scale impacts, about seven (7) medium-sized impacts, and about 20 small-sized specific impacts. Some impacts are standalone and specific to one of the five categories below. This type of impact remains in the outcome level (see Figure 1) and is mostly small-scale. Other impacts are composed of a combination of a few specific cases, most of which are considered to be middle scale. The last type of impact is much larger scale, composed of a cluster of multiple related cases, sometimes reaching even to the level of impact 1 or 2 (Figure 1).

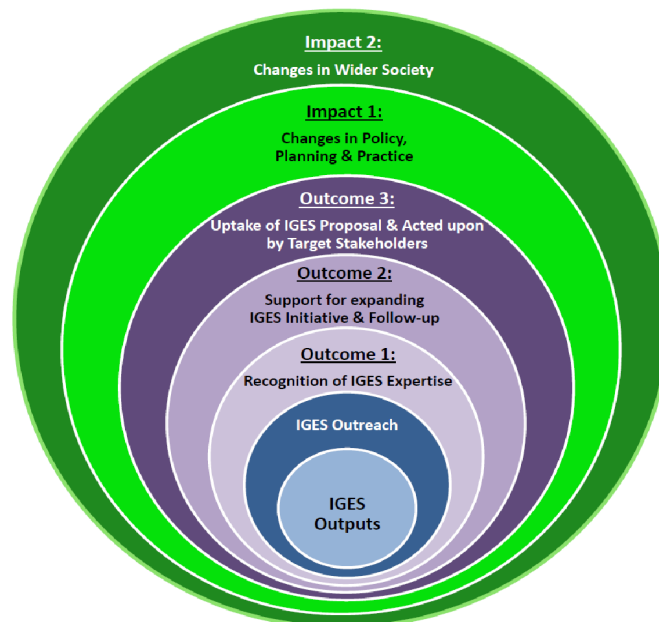


Figure 1: Results Chain of IGES Impact Generation Strategy
(i.e. outputs, outcomes and impacts) – Image of rippled effects of IGES outputs with outreach activities¹

(Impact Categories)

We have identified five distinctive categories of impacts based upon an analysis of the past impact

¹ A 'Framework of IGES Impact Generation Strategy', together with working definition of output/activity, outcome and impact, intends to illustrate how we create influences (i.e. outcomes and impacts) external to IGES. In short, output is defined as a tangible product based on IGES strategic research. Output is also something that IGES can control. Outcome is defined as positive actions taken by key stakeholders in response to IGES outputs and relevant activities. Impact is defined as real changes following the outcomes created by IGES and others. Therefore, impacts are usually not solely due to IGES efforts, but rather generated through collective efforts of relevant stakeholders.

cases reported (Figure 2). The first four impacts are underpinned by scientific analysis and assessment on strategies, policies and practices. They are elaborated with various examples below:

- (1) **Impacts in international processes:** (i) contributions to international negotiations, such as UNFCCC Conference of Parties (COP), Convention on Biological Diversity (CBD) COP, United Nations Environment Assembly (UNEA), High-Level Political Forum (HLPF) and Asia-Pacific Forum on Sustainable Development (APFSD), and (ii) flagging emerging issues/approaches such as CES, COVID-19, and air/climate co-benefits, in the form of flagship or other types of publications.
- (2) **Impacts regarding policy/institutional change:** targeting national governments, groups of governments such as ASEAN, or sub-national governments, including (i) regional and sub-regional strategies/operations such as plastics strategy, and Asia-Pacific Adaptation Information Platform (AP-PLAT), (ii) national or sub-national level policies and action plans, including those related to waste management strategies, SCP and Nationally Determined Contributions (NDCs), and (iii) influence on national or sub-national level policy considerations such as those related to coal phase-out.
- (3) **Impacts through practical solutions:** specific impacts developed for groups of key stakeholders or individual implementation partners, including those related to (i) contributions to advancing initiatives by groups of likeminded businesses such as Japan Climate Leaders' Partnership (JCLP) and Global Compact Network Japan (GCNJ), (ii) contributions to initiatives by groups of local governments such as Voluntary Local Review (VLR), ICLEI and the ASEAN Sustainable Cities Program, and (iii) specific projects/actions through Joint Crediting Mechanism (JCM), and under city-to-city partnerships.
- (4) **Media impacts:** (i) media briefings, media coverage both domestic and international, (ii) substantial contributions to news stories, TV documentaries and investigative reporting, (iii) use of social media, visualised promotion of products, viewership² and/or downloads from the IGES website, and (iv) collaboration with CSOs in advocating sustainability, gender and other social issues.
- (5) **Academic impacts**³: (i) publications of high quality academic papers including peer-reviewed journal articles (aiming at journals with higher impact factors), (ii) contributions to global and regional assessments such as those conducted by IPCC, IPBES and Global Environment Outlook (GEO), and (iii) recommendations to international communities together with likeminded scientific organisations, such as the Earth League.



Figure 2: Impact Categories

(Systemic Impact Generation)

Impact generation should be understood as a series of actions/reactions taken by relevant stakeholders. Thus, it is important to map out which intended impacts are closely related to which other impact opportunities. Up until now this linkage has not been clearly understood, nor has it been intentionally

² The level of improvement will be monitored by *Google Analytics pageview*.

³ Refer to Section 3.3 for detail.

acted upon. As a result, IGES may have missed potential impact occasions in the past. In the 8th Phase, we will identify a series of impact opportunities beforehand, and a few specific units will work together to generate a cluster of related impacts on a larger scale and/or a higher level. This will lay the basis for the impact generation plan to be developed in the 8th Phase.

The Strategic Operation Fund (SOF) will be the central mechanism to drive IGES to realise its impact generation plan. Thus, SOF should be made more effective, linking related impact opportunities to generate three major impacts planned for that year, for example. In this respect, SOF should be divided into two categories — top-down and bottom-up. The top-down SOF will support intended large-scale impacts through, for example, strategically supporting interventions in key international processes of that year. On the other hand, the bottom-up SOF will act upon opportunities for small to medium-sized impacts.

SOF will support the funds necessary to be engaged in certain international/regional/national/sub-national processes for impact generation. It will also support the preparation of various other outputs contained in the impact generation plan necessary to generate specific impacts. This will be an important part of the milestones, which will be regularly followed up in the 8th Phase.

The President and other key staff of IGES should be more directly involved in impact generation. IGES initiated actions such as the International Forum for Sustainable Asia and the Pacific (ISAP) and debriefing seminars following the Conference of the Parties (COP) on climate change should be strategically designed to instigate larger-scale impact cases.

(SMO-Knowledge and Communications or SMO-KC)

Impacts will be generated by each of the IGES units either independently or in collaboration. The overall planning and coordination regarding impact generation is to be carried out by SMO-KC.

In addition SMO-KC will contribute to impact generation through effectively utilising the two strategic skills elaborated below:

Networking skills

IGES has provided secretarial and other services for many international and regional forums such as LCS-RNet (the International Research Network for Low Carbon Societies), and the ASEAN Sustainable Cities Program. Also substantial collaboration has been realised with key international entities such as UNEP (IGES Centre Collaboration with UNEP on Environmental Technologies or CCET (the IGES Centre Collaborating with UNEP on Environmental Technologies), UNFCCC Regional Collaboration Center or RCC), and EU (e.g. SWITCH-Asia SCP Facility⁴).

These skills have been an important basis for impact generation, and we need to systematically improve our capabilities to strengthen such collaboration. Capacity should include IT-based tools to enable information-sharing, capacity development, and teleconferencing. In addition capabilities are required to equip staff with skills for effective facilitation/presentation as well as strategic communications. Given teleconferencing is becoming a dominant mode, additional skills could include capacities for meeting summary preparation, video/caption preparation, translation and simultaneous interpreting. SMO-KC should be the front runner within IGES in this respect. SMO-KC could complement other units to generate impact generation by making their internal capacities available.

One specific example worth reporting is the translation services that have been strengthened over the last two years. We have developed an internal system whereby willing staff members engage in specific translations with a small incentive. We have received several requests for quality translation from the Ministry of the Environment, Japan (MOEJ), and Keidanren for example. Also IGES has contributed to an increasing number of translated publications, which have become some of the most popular reports downloaded from the IGES website such as 2050 Net-Zero vision and a series of joint

⁴ EU-funded program to promote SCP in Asian countries, implemented by GIZ, Adelphi and IGES.

publications with GCNJ on SDGs, which were originally published in Japanese and then translated into English. Similar efforts should continue in the 8th Phase.

Strategic communications

IGES has substantially strengthened its communication operations during the 7th Phase. We regularly organise media briefings to share recent research results, present key focus point in upcoming negotiations, and summarise essential points of important international publications. As a result, media coverage during the 7th Phase substantially increased both in Japan and internationally. As this is the basis for the media impacts mentioned above, this capacity should continue to be strengthened.

3.2.2. Outputs for Impact Generation

It should be noted that impacts created by IGES are usually be accompanied by at least one output. This is essential because IGES is a policy research institute and our messages should, in principle, be backed by facts and underpinned by science.

In the 7th Phase, we had an output target of about 100 publications annually for impact generation. For the 8th Phase, this target will be raised to 150 and will include a wider range of output types. Additionally the number of publication downloads from the IGES website will be continuously monitored to evaluate readership.

This target of 150 outputs includes various types of papers listed up in the subsequent paragraph (referred to as “strategic outputs”), but excludes academic articles and equivalent books and book chapters (referred to as “academic outputs,” Section 3.3).

IGES will redouble its efforts to produce diverse outputs for impact generation. Naturally different types of outputs should be prepared according to specific contexts in which intended impacts are to be generated.⁵

For producing impacts in international processes, several different kinds of outputs may be developed. For example, a flagship publication could be launched and submissions could be made to the relevant processes. Policy briefs could be prepared to propose recommendations, and discussion papers could be presented for deliberation at side events. Where impact cases are linked, there is a clear need to plan beforehand to generate a cluster of impacts through an international process.

Generation of impacts regarding policy/institutional change for national governments could be facilitated by an official request from the government concerned, backed by funding through a particular channel or reinforced under a particular platform. A policy report, often prepared in collaboration with certain partner institutes of target countries, could be effective. When more than one country is targeted, a comparative study could be instrumental, which would usually require a full and detailed consultation. To make the above reports even more effective, regular monitoring and observations on strategies and policies of particular countries will be useful.

Regarding impacts through practical solutions, our basic approach is co-production. Depending upon the needs of our partner organisations, different outputs such as policy or technical reports, position papers, policy or issue briefs with policy recommendations have to be prepared with appropriate timing. Such outputs should be used in situations where impacts are generated in a most effective manner. Depending on the nature of the outputs, the IGES name may not always be clearly recognised.

Media impacts are generated through regular sessions for the media, flexible provision of key information through summaries of key messages in IGES outputs, or by publishing commentaries or op-ed pieces. For example, we have prepared various materials for the Japanese media before major

⁵ IGES Output Types such as Policy reports, Policy briefs, Briefing notes, Commentary/op-eds, Submission to policy processes, Non-peer reviewed articles, Translations, etc., excluding commissioned reports, Public relations materials, and others that are not considered directly linked to intended impact generation.

international conferences. This should be made more strategic and refined. Timely provision of new international developments could be effective, for example through issue briefs, and contributions to investigative reporting could be useful. Additionally efforts should be made to raise the profile of IGES in international media, utilising high-profile research outputs focusing on Japan, for example.

Aside from producing a variety of types of outputs, it is also important to recognise the different ways in which IGES is associated with specific outputs. This is all the more apparent as we have broadened our relationship with various stakeholders. What is most critical in many cases is how to maximise the ownership of our target stakeholders over specific outputs. In certain situations, the IGES name may not appear on the front page, even though its contributions are sometimes mentioned on the back page. Examples include outputs produced on behalf of a particular group of stakeholders (such as JCLP), and publications made in the name of international organisations (such as UNEP). These outputs will be also counted as a part of the 150 strategic outputs to be reported.

Specific outputs that need to be prepared will be different according to the different categories of impacts (Figure 3).

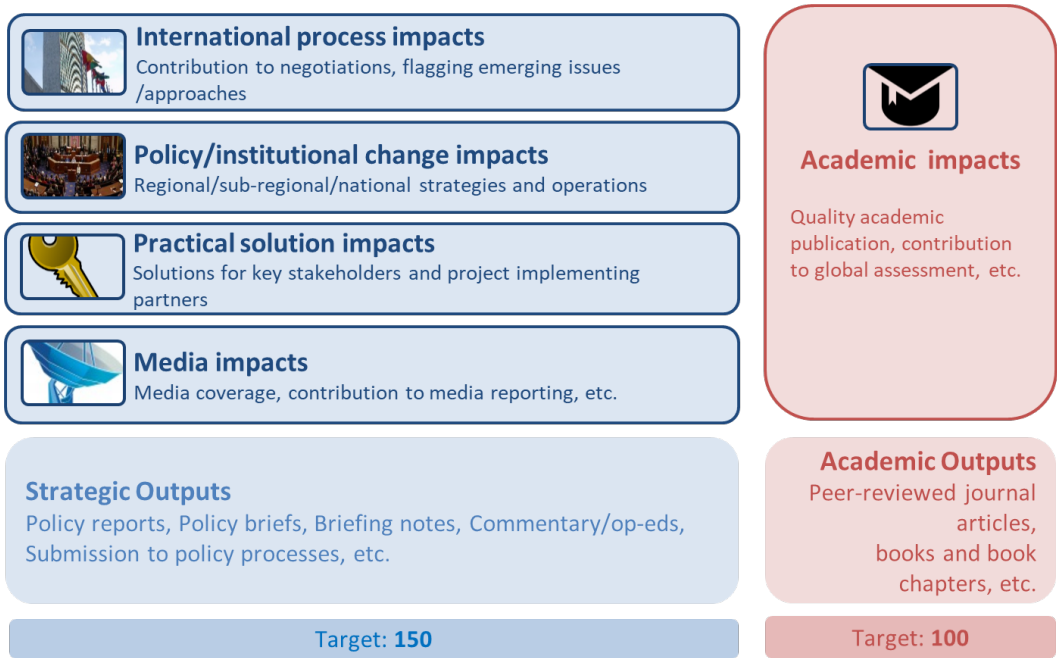


Figure 3: Outputs for Impact Generation

(Capacity Development for Impact Generation)

As indicated above, impact generation involves a wide range of cases requiring diversified outputs for different stakeholders. This indicates that IGES needs to substantially improve its capacity to meet this challenge. We will organise regular in-house capacity development sessions so that useful techniques and skills can be shared amongst staff members. Such capacity may include presentation/facilitation techniques, and writing/translation skills. When necessary, external experts will be invited for such sessions.

3.3. Academic Outputs and Impacts

The target for peer-reviewed journal articles in ISRP7 was 30 per year. This target had been met throughout the previous phase, and over-achieved in recent years.

ISRP8 basically strengthens this output target and broadens the scope to include other types of academic publications in addition to peer-reviewed journal articles. Importance is placed not only on

quantity but also on the quality of the outputs. New targets for the 8th Phase are as follows:

- (i) About 100 academic outputs⁶ will be prepared every year. About 20 of these academic articles should have an IGES researcher as the first author.
- (ii) Indicators to measure impacts generated by peer reviewed journal articles are:
 - Number of articles published in journals whose impact factor is larger than 3, and
 - Number of citations received in a calendar year, which will be applied only to recent articles not older than five years.However too much dependence on the above two quantitative indicators is not considered appropriate. Thus an internal process such as the selection of good quality academic articles for the President Awards will facilitate complementary qualitative evaluation of academic outputs.
- (iii) Flagship publications will be promoted.

Academic publications will be generated by each unit of IGES either independently or in collaboration. The overall planning and coordination regarding publication is carried out by SMO Research and Publication (SMO-RP). SMO-RP will be further strengthened in the 8th Phase by operationalising a few new tools as elaborated below.

(Overall Research Support)

To effectively meet the above publication challenges, a substantial improvement will be made to the publication plan of IGES. The publication plan in the 8th Phase has three types of academic publications. The first type covers externally published academic journal articles, books, and book chapters, and the second type includes IGES flagship publications. The final type contains various research publications of IGES, such as research reports and working papers. Some of these outputs will contribute to global, regional and other important assessments. The publication plan should be fully integrated in the milestone management, and each staff member should be fully committed to his or her expected publications. Research publications will also help to strengthen research fundraising proposals.

The Strategic Research Fund (SRF) will underpin the effective implementation of the publication plan. It will fund, albeit in a small way, IGES researchers to prepare academic articles, research publications, and draft proposals for external funding. Particular emphasis will be placed on the following:

Emerging Issues

How IGES could address emerging issues has been a strategic matter for many years. Looking back, we had no capacity with regards to the issue of radioactivity after the Fukushima nuclear accident, but carried out an important policy study linking experts in Europe and Japan. Recently we encountered a similar situation with plastics. Past experiences like these remind us that it is critical important for IGES to address these emerging issues in a proactive manner. Even when only limited expertise on that matter exists within the institute, it could still be useful to draw on our networking capacities, to build a team composed of relevant experts from various institutes as a first step. SRF will enable a quick exploratory review to identify what we could do to make value added contributions to addressing emerging issues.

Strategic involvement in international scientific assessment

IGES should further strengthen its linkage with international scientific assessments such as IPCC, IPBES, the GEO, and all other key reviews on essential sustainability issues. We have accommodated a secretariat unit for IPCC's national greenhouse gas inventory, and for a couple of IPBES assessment reports, which justifies more proactive engagement in these processes. Up to now, IGES has made

⁶ IGES Output Types such as Peer reviewed journal articles, as well as Books (academic contents), Book Chapters, Research reports and Working papers that receive similar levels of review. These outputs will also contribute to scientific assessments and addressing emerging issues.

substantial contributions to IPCC's special reports, and GEO publications. Association with these assessments has taken various forms. Our researchers have served, for example, as co-chairs, coordinating lead authors, lead authors, contributors, reviewers, and chapter scientists. Our research outputs have been cited in the assessments themselves. In some cases, IGES helped prepare communication materials, and disseminate key messages through the internet and other means. The renewed SRF will explicitly support these contributions for international scientific assessments.

Seed funding

SRF will continue to serve as a seed fund to secure external funding opportunities provided by various research funds, including the Asia Pacific Network for Global Change Research (APN), *Suishin-hi*, *Kaken-hi*,⁷ and the Belmont Forum. In this case, major outputs include research proposals to be submitted to relevant funding organisations. Collaboration with capable partner institutes should be explored in such studies to make the proposal more attractive to potential funders.

(Academic Articles)

Sustainability Science, an internationally recognised journal with a high impact factor (5.301, 2019⁸), is now a joint publication between IGES and the University of Tokyo. IGES will make efforts to strategically utilise this journal to generate more academic impacts, by submitting an increasing number of articles written by our staff, and inviting world-class researchers to contribute articles.

The Strategic Publication Fund (SPF) was introduced in FY2020 and this should be effectively utilised to help IGES articles to be included in high impact journals with open access, which is instrumental to increase citations of such articles.

We will create an opportunity for good quality articles to be presented once a year to demonstrate IGES's research capability to leading researchers concerned. Internally this will supplement the President Awards, which are accorded annually to the best research article generated by the institute. ISAP is considered an appropriate forum to accommodate this. Invitations could be extended to those external researchers who have contributed relevant articles to Sustainability Science, and those having published important papers closely related to IGES priority topics.

(Flagship Publications)

IGES flagship publications continue to be promoted in a flexible manner covering emerging issues (such as implications of COVID-19) and key approaches (such as CES). They could be published as IGES's own publications (IGES policy or research reports), but also developed as special editions of Sustainability Science or as books in Springer's e-book series "Science for Sustainable Societies," for a much wider audience. Flagship publications will accommodate not only articles written by IGES staff, but also those prepared by researchers of partner institutes. A separate internal fund continues to support flagship publications.

(Internal Capacity Development for Strategic Research)

QAC has developed several unique methodologies to be applied to strategic research: i.e. (i) interlinkage tools and (ii) scenario modelling tools. Interlinkage tools have generated significant interest in several countries including Bangladesh and Indonesia. Scenario modelling tools were applied to a range of analysis carried out by IGES, for example, "A Net-Zero World – 2050 Japan –."

There are certain staff who have other expertise such as GIS skills. GIS was expertly applied to an adaptation project conducted on the Laguna lake region in the Philippines. However, full application of these tools is still limited, as they are not fully integrated into specific analyses executed by other

⁷ Japan's Grant-in-Aid for Scientific Research

⁸ Source:

https://www.springer.com/journal/11625?gclid=EAIaIQobChMIqo2T5qXq6wIVS6mWCh2BdA2JEAAAYASAAEgLi_kfD_BwE (Accessed: 15 September 2020)

units.

Systematic efforts need to be made (i) to develop capacities to use essential analytical tools, and (ii) to apply these tools wherever such analysis is needed. Thus, regular in-house sessions to develop capacity will be organised in the 8th Phase to share advanced research tools and skills so that researchers can produce relevant journal articles and other research papers. When necessary, external experts can be invited for such sessions.

(Strengthened Partnerships)

In relation to the above, collaboration with IGES family entities such as APN and JISE is considered strategically important, and as such will be further strengthened to enhance specific research projects and research capacities. We have already started collaboration with APN on adaptation and CES. JISE will relocate to the IGES HQs early in the 8th Phase, ensuring stronger mutual collaboration.

3.4. Governance

Currently IGES has several targets for governance in place. They are broadly related to fundraising, human resources management, and internal management. During the 7th Phase we made substantial progress in achieving these targets. In the 8th Phase, we want to further strengthen the capacity of the institute by maintaining a stable financial base, enhancing human resource capabilities, and raising productivity so as to create further impacts as stated in the previous paragraphs.

Therefore, in principle, the current governance targets should be maintained, or further strengthened wherever possible. In addition a few new indicators have been proposed. These reflect the rapid shift to teleworking in response to the COVID-19 pandemic, and are indicative of an emerging trend towards inclusive governance to ensure the institute is fully compatible with SDGs. The benchmarking approach to be implemented during the 8th Phase is likely to result in more advanced practices, which may require additions and/or modifications of the proposed governance-related targets.

Fundraising, human resource management, and internal management are matters that affect all IGES units and the overall performance of the institute. The overall planning and coordination regarding governance is carried out by SMO Planning and Management (SMO-PM). Given the huge challenges facing governance, SMO-PM should be further streamlined and at the same time strengthened in the 8th Phase.

3.4.1. Fundraising

Fundraising related indicators during ISRP8 are as follows:

- (i) The core fund contribution from MOEJ (JPY 500 million annually) should be maintained at the same level.
- (ii) Subsidies from the three local governments in Japan should be maintained at the same level.
- (iii) The volume of external funds currently set in the range of USD 20 to 25 million, will be slightly raised to the range of USD 22 to 27 million (about 10% increase).
- (iv) The ratio of international external funds currently set at about 25% of the total external funds will be raised as much as 40%.
- (v) The ratio of discretionary external funds currently acquired at about 2% of the total external funds will be increased.
- (vi) The ratio of project financial value-added (FVA, set at 52% in FY2020) will be gradually increased to about 55% during the 8th Phase.

It continues to be essential that IGES secures current levels of core funding from MOEJ and local government subsidies as we pursue the ultimate objective set out in the IGES Charter in 1997, which is to become an international policy research institute on sustainable development. We are aware that we need to make further efforts during the 8th Phase to approach the level of the most renowned

sustainability think tanks in the world. We must strive to demonstrate our progress towards that ultimate goal to MOEJ and the three local governments concerned.

The overall external funding level will be about 10% higher than the level set during ISRP7, when it was set at between USD 20 and 25 million to keep a good balance with the core funds. The actual figures during the 7th Phase ranged between USD 21 million to 24 million, so we think it is feasible to slightly increase the level of external funds for ISRP8. A certain increase in external funds should be realised by all IGES staff members, including management. In the 8th Phase, however, such efforts will be supported by a financial focal point within the institute.

This focal point will be established within SMO-PM to facilitate fundraising in a more proactive manner, especially for those units whose external funding levels are relatively low. The focal point will set up an inter-unit team regarding fundraising, and share updates on the fundraising level with the management and team members, as well as information on important funding opportunities such as those provided by international funding entities. The focal point will also assist the internal project proponent to establish a project team, ensure appropriate FVA for IGES, and help prepare attractive proposals.

The ratio of external funds from international sources was set at about 25% during the 7th Phase. This target had been met throughout the phase, and was overachieved particularly in recent years. The ratio in FY2020 was about 38%. This trend is very much in line with a long-standing IGES policy of diversification of funding sources. It is also positive in light of IGES becoming a full-fledged international policy research institute. But at the same time, full attention needs to be paid to risks and uncertainties associated with funds from international sources. Thus, we will set our target for funding from international sources at 40% of the total external funds, assuming a gradual increase over the next four years of the 8th Phase.

ISRP8 envisages substantial strengthening of our research capabilities. Currently the level of research funds is minimal, so systemic efforts need to be made to increase research funds. Thus, as stated in the section of “Academic outputs” above, all accessible research funds such as APN and *Suishin-hi* should be approached with improved proposals developed with other capable institutes. For that purpose, SRF should be strategically utilised as a seed fund, and ISAP should provide opportunities to demonstrate IGES’s research capabilities.

FVA ratio was introduced in ISRP7 as an indicator to use our own internal capacity to the maximum extent to carry out externally funded projects. This has become a critical factor in designing a project team for any external project. The target figure of FVA ratio had been gradually increased over the 7th Phase, reaching 52% for FY2020. FVA ratio will be further strengthened on a gradual basis up to 55% during ISRP8.

It might be quite a challenge for us to meet the FVA ratio target, as it secures more funds from international sources. This is because large international projects generally tend to have lower FVA rates than others. This indicates a critical need to develop internal capacity so that we can better meet the requirements of large-scale international projects as elaborated in the next paragraph. However, we should not forget that the absolute volume of FVA held by internationally funded projects is substantial. Thus IGES needs secure a few internationally funded projects even when FVA ratio is less than the target set for the 8th Phase.

IGES needs to develop new capabilities which better match operations responding to external demands. For example, we have developed the capacity to assist in international/regional networking over many years on various occasions. Given the rapidly changing situation due to the COVID-19 pandemic, capacities necessary to provide services for effective international networking have changed substantially. Required capabilities have now evolved through more strategic use of IT backed by more sophisticated facilitation and other skills. If we can further enhance our capabilities to meet these emerging needs, it will be possible to capture more substantial funding

opportunities, not only from domestic funding sources but also from regional and international sources.

3.4.2. Human Resources Management

Indicators for human resources management include:

- (i) Total number of staff: A slight increase in the total number of staff is envisaged. This should be, in principle, in accordance with a corresponding increase in funding. Each unit (Section 5 below) will be in principle led by one director and one research leader (Principal position staff), and additional Principal staff may be added, considering the size of unit and/or scale of operation by the unit.
- (ii) Ratio of administrative staff in total: The ratio is 11% in FY2020 and this will be reduced to 9% during the 8th Phase, as the internal management process will be streamlined with more effective use of IT.
- (iii) Ratio of tenure/tenure track staff in total: Tenure and tenure track staff members of the institute should be substantially increased. During ISRP8, tenure and tenure track staff members will be at least 50% of the total staff members,
- (iv) Indicators for gender and other social concerns:
 - Ratio of female staff members in management positions (Principal staff): The ratio is 19% in FY2020 and this will be gradually raised to 30% during the 8th Phase.
 - Special consideration for staff who are pregnant, or taking care of children and elderly family: IGES continues to take necessary measures for this purpose to keep up with good practices in accordance with relevant public certificate systems.
- (v) Indicators for working environment:
 - The standard level of teleworking (non COVID-19) is set at 40% at the individual level. Teleworking will be maintained at this level until its operation becomes stable and effective, and synergistic effects such as no-barrier coordination and communications with satellite offices are realised.
 - The rate of annual leave taken was 57% in FY2019. The rate will be increased to 80% by the end of ISRP8.
 - During the 7th Phase the target for overtime reduction was 50%, and the target was met. Overtime work has been reduced with the introduction of teleworking in 2020 and further efforts will be made to reduce/eliminate it with additional measures (such as introduction of flexible working hours to those staff members who are not under the discretionary workhour system).

Human resources (HR) management of IGES will properly address economic, social and other concerns of its staff members, thereby making IGES an SDG-compatible organisation during ISRP8. This is considered as an important action to secure capable staff members on a sustainable basis. In addition, various experiences and lessons from the COVID-19 pandemic, including the introduction of teleworking, will be reflected to improve our working environment and develop a robust HR strategy in the future.

The IGES HR strategy recognises the importance of key elements of the SDGs such as diversity, gender, and work-life balance in our research and operations. For instance, we aim to recruit and retain a diverse set of employees from different backgrounds, nationalities and experiences. This should be further promoted as long as the quality of research and operations is secured.

We want to raise staff capacity and support career development within IGES via diverse opportunities including secondment and other forms of staff exchange with other organisations while reviewing the main features of performance evaluation, salary and other matters that may influence staff retention. From the 8th Phase, we will slightly modify the IGES staff positions to clarify certain roles and promote career development.⁹

⁹ The major structure of employees consists of two categories remains the same, namely "Professional Staff members" and "Assistant Staff members" (renamed from "Supporting staff members"). Professional Staff members

For a better life/work balance, we will promote teleworking, reduction of overtime, and other flexible working styles as much as possible, backed by reinforced and streamlined accountability expected of each staff through the enhancement of IT and other modern management technologies. This will also be effective to deal with emergency situations generated by various natural and man-made disasters such as the current COVID-19 crisis. This type of flexible working has additional benefits such as reduction in CO2 emissions as well as commuting time/costs.

- (i) Gender, nationality, language-related and any other social concerns including unconscious bias, or any forms of harassment and discrimination should be properly addressed by IGES through modifying the internal systems and procedures concerned.
- (ii) The performance based tenure and tenure-track system will be expedited further in the 8th Phase so that IGES can gain stronger and longer-term commitments from staff members concerned, which will be a base for IGES's further development.
- (iii) In response to the needs of diverse and flexible working styles, diverse forms of employment contracts between IGES and staff members should be promoted. Task-based contracts such as the IGES Fellow system should be more flexibly applied. This will also contribute to securing diverse expertise while maintaining the right volume of personnel costs.

Once the IGES Directors and Trustees have approved to ISRP8, we will make any necessary modifications to IGES Regulations on Personnel Matters and other IGES internal organisational documents.

3.4.3. Internal Management

The basic features governing internal management should be international, swift and transparent, in support of IGES's research and operations. Although it has to meet all the requirements of financial and other auditing, the nature of IGES internal management should be facilitation, not control. Internal management has to be focused on substantial issues, avoiding unnecessary control over issues of minor importance to the institute (avoidance of micro-management).

All the important discussions and decisions are made by the management either at MSS¹⁰ held once a month, or at SMO-EX¹¹ held, in principle, once or twice a week. MSS provides opportunities to discuss institution-wide matters, while specific decisions are made by SMO-EX. Decisions made by SMO-EX will include; (i) milestones of each unit, (ii) submission of proposals for external funding, (iii) conclusion of MOUs, (iv) substantial procurements, and (v) any other actions important for the institute as a whole.

Indicators for internal management include:

- (i) Establishment and operationalisation of a consistent management system:

The milestone system should be further developed as a fair and rational work load planning tool for each and every staff member. As a general rule, at least 60% of staff time should be spent for projects implemented by the unit to which they belongs, while the rest of their time could be spent for inter-units projects, and/or institution wide initiatives. Another essential point is that a sufficient number of work days should be secured by externally funded projects.¹² The milestone system also functions as the basis

have positions of "Principal," "Senior," "Associate (renamed from "Professional") and newly added "Administrative Specialist" which is to recognise the importance of the functions and necessary expertise to operate projects and the Institute efficiently.

¹⁰ Monthly Senior Staff meeting facilitated by the Executive Director.

¹¹ SMO executives meeting (SMO-EX) is a weekly meeting among the IGES Management (IGES President and Operating Directors) and SMO Directors, facilitated by the section director of SMO-PM.

¹² Because over 85% of personnel costs for IGES strategic research is required to be covered by externally funded

for the impact generation plan and the publication plan of the institute, as well as the basis for individual performance evaluation. Indicators for the above include:

- The percentage of staff members covered by the milestone system: This will be expanded to cover all staff members of IGES (covering all research, operations and management staff) as early as possible in the 8th Phase.
- Development of a summary of projects to cover all research, operations and management activities: This will be expanded to cover all relevant activities as soon as possible during the 8th Phase. The summary includes objectives, components, allocated budgets, staff involved, and other basic information about a project.
- A comprehensive internal database for every fiscal year: This will be expanded to cover all research, operations and management activities of IGES, ranging from externally funded projects, through internally funded activities, to no-fund operations, as early as possible in the 8th Phase.

(ii) Tracking system from planning through implementation to evaluation:

A tracking system will be established to monitor the progress made in each of the projects included in the milestones both externally-funded projects and those with IGES support (with or without specific funds). SMO-EX should function as the body to which all the progress reports are presented. Additions, deletions and modifications to the milestones are important elements of the monitoring. All these tracking updates should be linked to revision of other key plans including the publication plan, the impact generation plan, and the final evaluation.

- Implementation of the tracking system: The final goal is to establish a bi-monthly monitoring covering all units and all projects. Record-keeping of decisions is crucial.
- Linkage with related systems: This tracking system is linked to the publication plan, the impact generation plan, substantial procurements, and performance evaluation. Thus timely updates in these related systems are important for tracking purposes.

(iii) Processing of specific actions:

There are a few different categories of activities requiring specific approval, such as finalising organisational agreements and implementing projects. For each of these categories, a set of guidelines will be developed to clarify what the conditions are for approval. These conditions will be reflected into forms that each staff will fill out for swift and transparent approval. Appropriate and effective forms should be developed to facilitate the processes. Any staff within IGES responsible for a project is requested simply to fill out the relevant forms, which require confirmation from only a very limited number of staff members concerned to ensure the approval process is swift. The minimum number of approving staff will be three (director of staff member, an officer in charge within the relevant unit of SMO, and their director).

- The degree of improvement will be monitored by comparing with the existing practices and conducting surveys to users.

IT infrastructure and services should be equally available across all IGES offices, and to this end, we will make necessary investment to enhance IGES's internal capacity. The main components of this initiative will be purchasing the necessary tools and implementing internal training. Manual and paper-based systems should be eliminated as quickly as possible during the 8th Phase. This will enhance transparency and enable equal access to final decision-making across all IGES offices. It will also facilitate teleworking for an increasing number of IGES staff members, and further reduce the number of administrative staff.

projects based on the FY2020 budget with given assumptions, it is essential to secure equivalent funded work-days for IGES staff in an effort to raise the total institutional FVA. The ratio of externally-funded days may vary depending on the staff members, but it should be at least 70% at the individual staff level.

- The indicator: the reduction in number of remaining paper-based systems not yet replaced by web-based systems.

(iv) Management costs:

Management costs include rent, maintenance, utility and security at IGES offices, IT communication systems, BOD/BOT and other governance operations, and fringe benefits accorded to staff members. These tend to occupy a substantial part of IGES expenditure, and should be regularly monitored. Appropriate actions should be taken whenever necessary to make management costs more effective and efficient.

- The total costs for management should be kept at a minimum out of IGES total expenditure, considering both further streaming of operations and upgrading internal management systems (IT system and others). The target for that purpose during the 7th Phase was 9%, which will be maintained in the 8th Phase by prioritising the budget while strengthening the ICT-related infrastructure to accomplish the aforementioned IGES operations and capacity.
- Zero-carbon, recycling and other sustainability targets should be fully applied to all aspects of IGES operations, including commuting, travel (both international and domestic), energy purchasing, and waste management. Targets should be fully incorporated into IGES's eco-office initiative under environmental management for which IGES has been certified since 2012. The extent of CO2 emissions reduction will be based on improvements in the overall management practices of IGES. The targets will be set for primarily two major sources: (i) CO2 emissions reduction from energy use at Hayama headquarters through saving energy and switching to renewable energy, and (ii) that from overseas mission travel, reduction of commuting through teleworking, and others.¹³

4. Institute-wide Priorities

Political, economic and social environments surrounding global sustainability will continue to change during the 8th Phase. Emergencies such as the COVID-19 crisis resulting from a disturbance in the relationship between humans and nature are likely to increase. IGES should continue to be relevant even under these uncertain situations. Advanced ICT technologies introduced for teleworking will further facilitate joint projects and activities between our headquarters and satellite offices.

Given the above, we should address the following two institute-wide priorities during ISRP8. The organisational structure is presented in Figure 4.

¹³ COVID-19 pandemic made large impacts on CO2 emissions both from energy use and overseas missions. The target will be developed for post COVID-19 period.

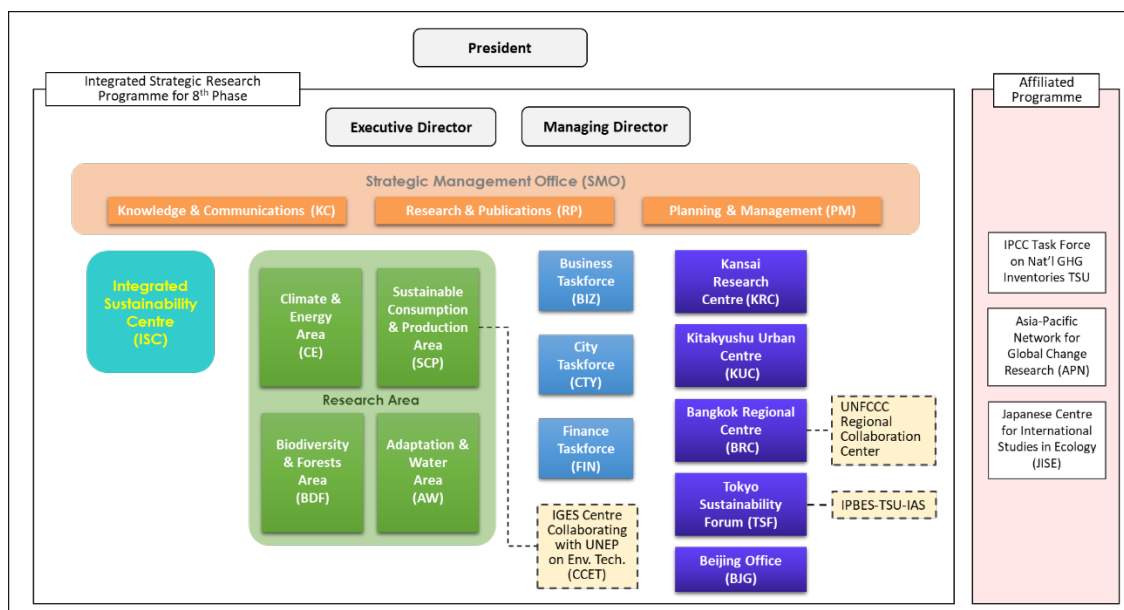


Figure 4: Organisational Structure for ISRP8

4.1. Full Integration for Sustainability

Integration of climate change, circular economy, biodiversity and disaster risk reduction should be fully explored under the overarching framework provided by the SDGs. In this respect, IGES has been collaborating with UNDESA to promote synergies between sustainable energy and the SDGs. This is in line with international efforts to achieve socio-economic transformation towards decarbonisation. At the Asia Pacific Forum on Sustainable Development in 2019, we presented a set of key messages corresponding to the six entry points of the Global Sustainable Development Report. In addition, we have started to pay more attention to the concept of “just transition.”

IGES capabilities accumulated during the 7th Phase should be further refined to carry out enhanced analysis on policies, programmes and practices, as well as to pursue effective governance at all levels. The interlinkage tool developed by QAC (the Centre for Strategic and Quantitative Analysis) and the co-benefit approach promoted by SGC (the Centre for Sustainable Governance) are considered instrumental in this regard. The interlinkage tool has been recognised as a useful SDGs tool by UNDESA and has been applied to action plans being developed in several countries. For the co-benefit approach, IGES has been leading the Asian Co-benefits Partnership and promoting practical solutions recognised in a number of publications.

We have also strengthened our collaboration with key stakeholders on SDGs. Close collaboration with GCNJ, a pro-SDGs business group in Japan, is now a long-standing operation. An annual questionnaire regarding the progress of SDGs implementation in Japan, including information on diverse good practices, has gained significant attention¹⁴ within Japan and internationally (English version). This collaboration has now been further extended to Keidanren, and the World Business Council for Sustainable Development (WBCSD).

The concept of CES is sometimes equated as the localisation of SDGs. In fact the importance of CES lies in an integrated bottom-up approach and urban/local linkage. This concept originated in Japan, so its application to developing countries has to be flexible and must take into account different socio-economic conditions of the local areas concerned. An analytical tool such as Shared Socioeconomic Pathways (SSPs) developed by the climate change research community has also been employed to a city-level case study in Viet Nam. IGES has already started to refine a clear understanding of this

¹⁴ The most popular documents downloaded from the IGES website over the last few years.

concept. In addition, IGES and START¹⁵ have agreed to organise a couple of sub-regional workshops to investigate the feasibility of this concept in Asia, based on a study on food/water/energy nexus in the context of developing countries carried out by our adaptation/water sub-units during the 7th Phase. This sub-group has also taken a leading role to promote the new concept of CES for water resource management in developing countries, which is expected to be scaled up in ISRP8 through an IGES-wide initiative as well as formulation of joint programmes with START, APN and other key partners.

The COVID-19 pandemic, as an emerging issue, has become a major crisis, impacting not only on peoples' health but also on economies and societies in all Asia-Pacific nations and across the entire world. Immediate actions are needed as a response to on-going challenges such as proper treatment of healthcare waste. The extent to which climate change and other sustainability concerns are to be incorporated in recovery packages is another important concern. In the long run, how to redesign supply chains and tourism, and our daily workstyles and lifestyles should be the focus so that a similar crisis can be avoided in the future. The Triple-R framework (i.e. response, recovery, and redesign) advocated by IGES could lay a basis for global discussions for improved sustainability and resilience. In fact the On-line Platform for Redesign 2020,¹⁶ led by the Ministry of the Environment, supported by the United Nations, and managed by IGES, focuses on the need for "redesign" in the post-COVID era.

All of the issues mentioned above have been discussed intensively at regional and international forums such as APFSD, UNEA, HLPF, and General Assembly of the United Nations (UNGA), as well as global assessments such as GEO. We realized that we need to consolidate our staff members to address these overall sustainability issues in a more integrated and consistent manner. Thus, the Integrated Sustainability Centre (ISC) will be established through the integration of SGC and QAC.

In the 8th Phase, the Integrated Sustainability Center (ISC) will work with stakeholders in Asia and the Pacific to accelerate progress on the SDGs and formulate an ambitious post-2030 agenda. ISC will work toward this objective by strengthening the science-policy-society interface. ISC's research and programming will combine science-based tools and methods (interlinkages analysis, scenario analysis and machine learning); socially-response governance models and strategies (polycentrism and metagovernance); and cutting-edge policy frameworks and solutions (e.g. Regional-CES, Triple-R framework, green recovery, just transition, co-benefits integrated NDC (Nationally Determined Contribution)/VNR (Voluntary National Review)/NBSAPs (National Biodiversity Strategies and Action Plans), integrated local climate action/VLR (Voluntary Local Review)/LBSAPs (Local Biodiversity Strategies and Action Plans)). This unique combination of tools and perspectives will be employed in concrete case studies and shared during key policymaking processes (e.g. APFSD/HLPF/UNGA, UNEA, and G7/G20), solidifying our position as a change agent on sustainability in Asia-Pacific and beyond.

4.2. Enhanced Collaboration with Non-state Stakeholders

IGES has deepened collaboration with major non-state actors such as businesses, cities, and financial institutions by establishing three taskforces. This was based upon the belief that the substantial focus will be placed upon actual implementation, as two major international agreements (i.e. the Paris Agreement and 2030 Agenda for Sustainable Development/SDGs) were already developed by 2015.

One critical step forward in the 8th Phase could be to engage these key stakeholders fully in co-generation of impact. Two potential approaches are to help develop practical pathways for 100% renewables with business partners, and create zero-carbon scenarios for cities. Also important could be to identify and address bottlenecks these key stakeholders have faced through sharing good practices both in Japan and overseas.

¹⁵ A core international partner of the United States Global Change Research Program

¹⁶ This was attended by more than 96 countries (as of 3 September 2020), international organisations, and many other NGOs and institutes.

IGES has seen many positive developments in relation to the three taskforces set up during the 7th Phase. Their partners, i.e. businesses, cities and financial institutions, will continue to be critical partners for us to stimulate implementation. Thus, we will further promote the three taskforces during the 8th Phase.

4.2.1. Business Taskforce (BIZ)

The Business Taskforce (BIZ) has made substantial progress in partnership with a pro-climate business group in Japan – the Japan Climate Leaders' Partnership (JCLP). Its membership has grown rapidly and is now a major business group with increasing visibility and influence. JCLP participated in the committee and working group set up by the Ministry of the Environment, Japan and Expert Panel on Climate Change at the Prime Minister's Office to convey recommendations for ambitious policy engagement from a corporate perspective. It has made critical recommendations to relevant ministries in Japan, and promoted an important international initiative, RE100, among major industries and a number of government ministries. BIZ has also started an important initiative within Japan (i.e. ReAction¹⁷) together with some of our partners.

In the 8th Phase, BIZ will continue activities to exert influence on Japan's Energy Mix Policy, more ambitious NDC for UNFCCC COP, and to support adaption of carbon pricing in Japan. To create impact through the business sector, we will continue to work on increasing progressive companies as JCLP members and to expand the needs of renewable energy through growing the size of RE100/RE Action membership. In addition, we will support companies in its decarbonisation in areas beyond renewable energy towards achieving net-zero by 2050.

4.2.2. City Taskforce (CTY)

The City Taskforce (CTY) has mobilised various cities in Japan and overseas. It has collaborated with Japanese cities, and produced several specific strategies to promote the SDGs, drawing on local socio-ecological features. CTY has also been enhancing collaboration with ICLEI Japan in supporting zero-carbon initiatives by local municipalities. Internationally CTY spearheaded the idea of Voluntary Local Review (VLR) backed by the VLR-Lab. The first three VLR reports from municipalities in Japan were presented at the 2018 UN High Level Political Forum held in New York and a number of cases have followed to date. The online VLR lab has been operated in partnership with the United Cities and Local Governments Asia-Pacific (UCLG ASPAC) and other global partners as a knowledge support platform for local governments. We have also contributed to ESCAP's Asia-Pacific Regional Guidelines on Voluntary Local Reviews, the first official guidelines on VLRs produced by the UN. Furthermore, CTY promoted localisation of the SDGs and CES not only among leading cities in ASEAN in partnership with UNESCAP and UN-HABITAT but also SMEs. Within IGES, CTY has been serving as the focal point to promote the CES.

In the 8th Phase, aiming to encourage more cities to become carbon-neutral, resilient and sustainable, and to ensure credible policy planning and implementation of cities, we will continue to work closely with local and regional governments in Japan and overseas. It aims to provide necessary knowledge support, including methodologies in policymaking and implementation developed through scientific interpretation on the good practices of cities, especially those of Japanese local governments. To this end, CTY will work in close partnership with international organisations and city networks such as UNESCAP, UN-HABITAT, ICLEI, and UCLG. City-to-city collaboration and mutual learning is one of the core approaches CTY will take. Cross-unit collaboration within IGES will be strengthened more in the 8th Phase to address diverse and complex sustainability challenges of cities.

CTY will keep two main topics of its activities/research from the 7th Phase, namely climate change and the SDGs. Since more cities are now aiming for carbon neutrality by 2050, we will conduct research and activities that aims to provide policy support and capacity of local governments to address climate issues. SDG localisation also continues to be a priority topic. Through promoting mutual

¹⁷ An initiative to promote renewables for SMEs in Japan.

learning on localisation mainly through VLR, we will provide necessary capacity development support with our analysis of good practices on the integration of the SDGs in existing policy frameworks and governance, partnership building, and monitoring and evaluation systems. Specific SDGs will be addressed based on the needs of cities and the availability of external funds (e.g. waste, mobility, urban planning, etc.).

4.2.3. Finance Taskforce (FIN)

The Finance Taskforce (FIN) has identified the subject of green bonds as its initial focus. IGES has been working closely with the Ministry of the Environment, Japan to support the issuance of green bonds in Japanese market through development of the Green Bond Guidelines, and serving as secretariat of its knowledge platform. IGES has also consolidated information on the status of the global green bonds market and was selected as an Advisory Council member of the International Capital Markets Association (ICMA) in 2019. In this process, we have also built broader knowledge on green finance including classification of eligible green/sustainable activities, impact measurement, and information disclosure. These achievements laid a basis for the taskforce's full operationalisation in ISRP8 in the area of sustainable finance. On this issue, IGES joined the stakeholder discussion at Japan-EU Policy Dialogue on Climate Change, where we worked to facilitate understanding of, and discussions around differing policy approaches to sustainable finance by comparing its-related policies between Japan and the EU.

In the 8th Phase, FIN intends to provide practical solutions to generate impacts in the following three areas: (1) actual environmental benefits or impacts by green and sustainable finance, (2) shifting financial flows to decarbonised efforts in Japan, and (3) mobilising finance contributing to the SDGs at the local and regional level (implemented, for example, through Regional-CES) in both Japan and the wider Asia Pacific region.

5. Key Sectoral Issues

5.1. Climate and Energy (CE)

In the last four years, CE in collaboration with other units contributed to international and domestic climate policy debates and implementation. In the international arena, CE has been involved in international climate negotiations for the Paris rulebook, through providing capacity building programmes for Article 6 and the transparency framework, and making submissions to UNFCCC regarding Article 6, the transparency framework and the global stocktake. On the domestic front, CE has contributed to discussions over Japan's NDC as well as its long-term strategy. These activities were based upon CE's research, some of which has been published in distinguished peer-reviewed journals, including *Journal of Cleaner Production*, *Carbon Management*, *Energy for Sustainable Development*, and *Energy Policy*. CE staff members also contributed to Chapters of *UNEP Emission Gap Report 2019*, *Air Pollution in Asia and the Pacific: Science Based Solutions* and *IPCC AR6 WG II Asia Chapter (Energy Systems)*. The CE team has had notable presence in reputed domestic and overseas media, including *NHK*, *BBC*, *Strait Times*, *Asahi*, *Yomiuri*, *Mainichi*, *Nikkei* and *Toyo Keizai*. The external funding level of CE's activities was satisfactory and stable. With a series of carbon neutrality declarations, including those by Japan and China, CE activities have geared up for domestic and international initiatives to achieve net-zero emissions, and initiated a series of CE webinars to inform domestic stakeholders on up-to-date, world-wide movement of policies and actions.

Implementation of the Paris Agreement was a key area where CE significantly contributed. In this regard, CE expertise on Article 6 through its substantial involvement in the JCM was well recognised, both domestically and internationally. CE has substantially contributed to the implantation of JCM through developing methodologies, recommending guidelines and providing capacity-building programmes for partner countries. Also well recognised was our expertise on transparency, through participation in UNDP's Global GHG Inventory Capacity Assessment. All the expertise mentioned above could enable CE to provide research-based capacity-building regarding how countries would

report their climate actions regarding Article 6 under the transparency framework in future.

CE has contributed to discussions over Japan's NDC, new establishment of coal-fired power plants, as well as its long-term strategy, through publishing relevant journal articles, working papers, commentary and policy recommendations, as well as holding public and press seminars. CE also contributed to the preparation of "A Net-Zero World -2050 Japan-". Based upon the experience of developing the Net-zero vision for Japan, CE, QAC and CTY have been contributing to the development of the Kanagawa Vision for 2050 Net Zero, in collaboration with Kanagawa Prefecture. In collaboration with external experts, CE is also engaged in a study on the maximum deployment of renewable energy through improving operation of the current grid system in Japan. All of these could contribute to moving the updated NDC of Japan more in line with net-zero carbon in 2050.

Implications of energy policy for climate change mitigation in Asia was another important focus of CE research. CE's research on carbon pricing in Northeast Asia has been well addressed. By strengthening cooperation with SGC, CE has also been developing expertise on the climate change-air pollution co-benefit approach, and has significantly contributed to the preparation of the abovementioned *Solutions Report*. Similarly, CE in collaboration with QAC is now conducting research to make significant recommendations on energy transition for Asia in the post-COVID-19 era. The composition of IGES staff members well represents major countries in the region, which enables IGES to analyse Asia's transformation towards decarbonisation.

Reflecting the successive declarations of carbon neutrality, we have recognised that it is vital to put more focus on research and operations to support the achievement of net-zero emissions and energy system transition. In this regard, modelling and other quantitative analyses continue to be a cornerstone for effective delivery of policy messages. Thus, it is critically important for IGES to have one consolidated team for the climate change and energy area,

In the 8th Phase, CE will strive to generate impacts on (1) implementation of the Paris Agreement, in particular, the implementation, evaluation and updating of NDCs, the submission of biennial transparency report under the Transparency Framework, and contribution to Global Stocktake; (2) formulation of long-term zero emissions strategies and the implementation of short-term measures consistent with the long-term goals in Japan, and other Asian countries, including the practices of state and non-state actors toward the smooth and just transition, and (3) implementation of carbon pricing, JCM and other offset mechanisms to achieve net zero emissions.

5.2. Sustainable Consumption and Production (SCP)

For practical implementation of SCP policy in a more integrated manner, the circular economy initiative could be an entry point for developing Asia. The circular economy policy is an increasingly influential policy concept and initiative to achieve SDG 12. Critical in this regard is strategic analysis of policy implications of transition to circular economy in developing Asia. Positive as well as negative aspects of this transition should be examined. Now that current policy discussion emphasises plastic pollution and transition to circular economy as the key priorities of sustainability agenda in the Asia-Pacific region, the life cycle approach will continue to be important. It is vital for circular economy policy to be designed to stimulate technological innovations, new business models, sustainable infrastructure, and associated lifestyle changes.

In this connection, the successful launch of the "1.5 Degrees Lifestyle" report in 2019, which fully utilises the life cycle approach to identify policy priorities, could provide a good basis. This report has substantially increased the importance of lifestyle change, moving society towards full sustainability. Additionally, lifestyle issues may well have important implications to effectively deal with future crises, like the COVID-19 pandemic.

In terms of resource efficiency and circular economy, over the last 20 years, IGES has strengthened our position as a distinguished knowledge centre on circular economy and resource efficiency both domestically and globally. We will continue to engage in important international policy processes such

as G20 resource efficiency dialogue, G7 resource efficiency alliance, International Resource Panel (IRP), OECD and WEF (World Economic Forum)-PACE (Platform for Accelerating Circular Economy). Currently, IGES is expected to contribute to PACE as a knowledge partner, as well as to Japan Partnership for Circular Economy (J4CE) to input our knowledge and create a bridge between Japan and the global society. We will continue to strengthen these networks to facilitate resource efficient and circular economy transition. Furthermore, one immediate opportunity for IGES is to provide policy-relevant analysis and practical policy recommendations. Another issue of major importance is the surge of policy interest over plastic pollution in the region. IGES is now taking these opportunities to establish itself as a regional knowledge centre of excellence in plastics and the circular economy. For this to happen, collaboration with many partner institutions and forums including ERIA is essential, while involving different units within IGES.

Improved solid waste management and the 3Rs are two of our long-standing pillars. It is noteworthy that CCET operations have already produced a several notable impacts in targeted countries. We have accumulated relevant expertise to develop strategies and action plans for solid waste management. Notably, CCET has recently developed the guidelines to properly handle health care waste as one of the key publications of UNEP to help deal with the current COVID-19 crisis. However, we hope to develop further capacity to carry out, for example, cost-benefit analysis to identify the most efficient pathways for solid waste management.

Considering the increasing concentrations of international projects on SCP, circular economy and plastics in ASEAN and South Asia, IGES is expected to contribute to coordinated actions in our role as knowledge catalyst in the region. In this regard, IGES has carried out substantial collaboration with UNEP through the operation of CCET, with EU through the operation of the SWITCH-Asia SCP Facility, and with ASEAN and UNESCAP through the implementation of some plastics-related projects. Given the above, it is hoped that such collaboration will be further expanded to include the World Bank and ADB and other key institutions for facilitating coordinated actions for implementation.

In the 8th Phase, SCP will boost IGES's standing as a vital and indispensable policy think-tank and development partner for ASEAN and ASEAN member states for circular economy, sustainable lifestyles and marine plastic issues. We want to be associated as having a publicly-recognized functional role in policy harmonization and regional integration of Asia and the Pacific region. CCET will be a strategic partner of UNEP and other UN agencies operating in the Asia-Pacific region, as an instrumental arm for capacity development of national and local governments in emerging countries.

5.3. Natural Resources and Ecosystem Services (NRE)

NRE is the largest group within IGES composed of four sub-units, i.e. biodiversity, forests, water, and adaptation. Although NRE has developed the so-called landscape approach as a narrative common to all its sub-units, this has not yet firmly rooted in NRE and is arguably equally relevant to various other units outside NRE. Likely focus areas for NRE in the 8th Phase could be landscape approaches, nature-based solutions for management of natural resources, while being substantially involved in promotion of CES, and climate change adaptation for the region. As these two sub units have distinctly different directions and potential areas of focus, it has been decided to form two new units out of the sub-units currently constituting NRE in ISRP8, i.e. Biodiversity and Forests (BDF) and Adaptation and Water (AW). It should be noted, however, that the two units should maintain collaboration on some of the projects involving researchers from both units.

5.3.1. Biodiversity and Forests (BDF)

During ISRP7, the biodiversity and forests teams (hereafter called by their name in the ISRP8, BDF) produced an impressive number of quality outputs, including numerous peer-reviewed journal articles, and influenced policy through various inter-related projects.

BDF coordinated IGES's input into a number of important global review processes, to establish the

institute as a consistent and reliable contributor. Included under that function were discussions regarding new biodiversity targets to be agreed at CBD COP15 in 2021, and evaluation of the progress of the New York Declaration on Forests (NYDF). BDF's key role in the post-2020 Satoyama Initiative is considered critical as that initiative moves into a renewed phase, in which the promotion of the CES is expected to play an important part. BDF has contributed directly and indirectly to various IPBES assessments, including through authorship review and advice to IPBES technical support units hosted by BDF's involvement in these international processes should be maintained, and even strengthened.

BDF also contributed to the development of the Japanese Clean Wood Act through research into legal frameworks and timber production and trade in both timber producing and timber consuming countries, including Japan. That research has enabled BDF to contribute to global and domestic discussions to combat illegal logging and associated trade. In collaboration with ITTO, BDF is further expanding efforts to promote legal trade and sustainability in Asia's timber supply chain. In related work, we have also worked on deforestation and climate change, including support of the Forestry Agency and Ministry of the Environment of Japan through guidance and implementation for Reducing Emissions from Deforestation and Forest Degradation (REDD+) under the Joint Crediting Mechanism (JCM).

Also important for this new unit is collaboration with JISE. This has been promoted over the past few years, and a couple of specific projects have been implemented, through funds from private sources. This signifies the importance of working together with businesses. Furthermore collaboration with JISE will give IGES additional expertise, such as on-the-ground rehabilitation with indigenous tree species.

In the 8th Phase, we will formalise our contribution to international policy processes, including those of the CBD and the IPBES, through their official meetings and assessments. The post-2020 global biodiversity framework and New York Declaration on Forests will be key processes with which to align. BDF will also contribute to promoting sustainable forest management with guiding key legislation at the national level, as well as frameworks for assessing biodiversity and implementing subsequent measures. We will contribute to an improved understanding of how to promote sustainable socio-ecological production landscapes and seascapes (SEPLS), and to an understanding of how communities can be assisted in responding to degradation of key habitats.

5.3.2. Adaptation and Water (AW)

The adaptation and water teams (hereafter called by their name in the ISRP8, AW) have also been making significant contributions in Asia to address water pollution issues toward achieving SDG 6 on water and sanitation through, among others, providing secretariat service for the Water Environment Partnership in Asia (WEPA), a regional platform on water governance for information-sharing and collaborative actions. We have also been providing technical support and policy advice to ASEAN Member States for large-scale deployment of decentralised domestic wastewater management systems, which will gradually facilitate the ASEAN countries in achieving relevant target under SDG 6, particularly target 6.3.

Substantial involvement in AP-PLAT could facilitate increased integration between adaptation and nature conservation, a focus of which could be on "nature-based solutions." Specific tools and expertise such as hydrological simulation, GIS, and community-based approaches like socio-hydrology developed and refined by IGES in implementing adaptation projects should be applied widely to other adaptation projects in the region. AP-PLAT is expected to become a large-scale regional platform operation, thus considered critical for the future of this team. It is also important to note that AP-PLAT provides opportunities to collaborate more with APN.

In the 8th Phase, AW will work closely with BRC for the successful full-fledged operation of AP-PLAT's capacity-building programme. For that purpose, we will keep strengthening the partnership with capacity building institutions and international initiatives in Asia and identifying the opportunities of collaborative works, promoting basic studies and developing adaptation tools and materials to lay down the foundation of the programme, and engaging in concrete capacity-building

efforts, among others. AW will keep working on critical research and projects on adaptation, including M&E, ILK, EbA, transboundary adaptation, PWLM/PCLM, socio-hydrology, DRR-CCA integration, and compound risks. In addition, we will continue to contribute to international efforts on adaptation, including UNFCCC, IPCC, PCCB, PEMSEA, HUC, APAN Forum, and AWBI. AW will maintain its secretariat service for WEPA to achieve better water environmental governance in Asia. We also plan to work closely with ASEAN Secretariat and international partners to further promote a decentralised wastewater management approach in ASEAN countries and utilise this approach to address the challenge of emerging pollutants such as microplastics. It is expected that CES will become an institution-wide programme building on efforts for Nexus among others.

6. Satellite Offices

IGES has five satellite offices: KRC (Kansai Research Centre), KUC (Kitakyushu Urban Centre), BRC (Bangkok Regional Centre), TSF (Tokyo Sustainability Forum) and Beijing Office (BJG). Overall these offices have performed well to meet their original expectations set during the 7th Phase. As these satellite offices mature, a new strategy has to be worked out for each, taking into account their respective strengths accumulated in ISRP7.

There is a general consensus that each satellite office should produce impacts in collaboration with particular stakeholders with whom it has a special relationship. For example, IGES Headquarters is located in and supported by Kanagawa Prefecture, so it should work closely with Kanagawa, contributing to Kanagawa's net-zero vision for 2050, developing local adaptation strategies, and assisting with related events and conferences as appropriate.

HQ should be ready to provide results of strategic studies, tools for analysis and other capabilities needed by satellite offices. Satellite offices could be more proactive in taking leadership for impact generation in collaboration with relevant HQ staff as well as outside experts. Also important is to install an improved IT communications system within IGES so that no barriers exist between HQ and satellite units regarding internal management. A focal point will be set up within SMO-PM in order to facilitate satellite/HQ collaboration as mentioned above.

6.1. KRC

During the 7th Phase, KRC further promoted low-carbon technology transfer with India through the Japan-India Technology Matchmaking Platform (JITMAP) network in cooperation with TERI and Japanese companies, and this could be up-scaled or replicated in other countries utilising external funds available from various sources. One case has been initiated in Thailand with the Ministry of Energy, and data analysis indicated that energy conservation contributed to improvement in production. At the same time, KRC should promote specific projects on climate change adaptation and CES in collaboration with Hyogo Prefecture and partner institutes located in the prefecture. KRC has been coordinating a pilot case with various key local stakeholders in Hokusetsu region of Hyogo Prefecture to design and realise CES. APN would be increasingly an important partner for KRC on the promotion of CES overseas.

In the 8th Phase, KRC will continue promoting technology transfer in India, Thailand and other countries where opportunities arise. Activities in India are expanding to the areas of pollution management focusing on air pollution caused by thermal power plants and energy-intensive industries, whereas the focus in Thailand is on energy saving of industries and buildings in association with the Japan Platform for Redesign: Sustainable Infrastructure (JPRSI). Collaboration with Hyogo Prefecture is expanding as well, ranging from designing a woody biomass utilisation business model in Hokusetsu region, supporting cities pledged to be carbon neutral by 2050, to designing a decarbonising road map, matching private companies with service providers of renewable energy power purchase agreement (PPA), and promoting decarbonised society development among university and high school students.

6.2. KUC

During the 7th Phase, KUC developed a steady stream of projects on low-carbon, resilience and sustainable waste management in close collaboration with Kitakyushu City, local companies, local cities overseas (Philippines, Malaysia, Bangladesh, Thailand, etc.) and other partners with support from diversified funding sources. On this basis, KUC is expected to expand its partners in ISRP8, particularly those based in Kyushu. One specific collaboration with Minamata City could be a good example in that direction. Also important is to respond to increasing requests from major international institutions. It is noteworthy that KUC has already produced an excellent report for OECD, and now has responded to requests from the World Bank and UN-HABITAT regarding plastics-related policies and practices. Lastly, collaboration with the Asia Low Carbon Center is essential to further promote the role of Kitakyushu in Asia.

In the 8th Phase, KUC continues to bolster local actions in the area of zero-carbon, circular economy, green growth, and the SDGs. KUC will further explore ways to contribute to the institutionalisation of a sustainability concept in city policies and practices in Asia-Pacific cities; the dissemination of information on the global trend of environmental agenda to local stakeholders in Kitakyushu and Kyushu region; as well as the local coordination in transition to zero-carbon cities, circular cities, localising the SDGs as a local hub in Kitakyushu and Kyushu region in this area.

6.3. BRC

BRC has become fully operationalised since its launch in 2011. It has developed a few large-scale projects on sustainable cities and climate change adaptation for ASEAN, and has accommodated two important partners in its office, i.e. UNFCCC-RCC and the SWITCH-Asia SCP Facility of EU. ASEAN Projects engage with the national governmental agencies in integration of DRR and CCA into development plans or a number of local governments in developing innovative solutions. Collaboration with UNFCCC-RCC focuses on Paris Agreement implementation on the issues of climate finance, carbon pricing and transparency. The SCP unit at IGES has been assisting activities in Lao PDR and Viet Nam. It is now expected that BRC will accommodate AP-PLAT for capacity building to help countries in the region develop specific adaptation projects. Since BRC is conveniently located to promote collaboration with relevant international organisations, BRC should continue to be proactive in identifying opportunities for effective impact generation.

In the 8th Phase, BRC intends to create the following impacts: (1) increase the capacities of ASEAN governments to develop and implement climate change adaptation policies and projects through ASEAN project on disaster risk reduction by integrating climate change projection into flood and landslide (2nd phase) and AP-PLAT, (2) adopt know-how driving clean development and mobilise resources for regional engagement in climate change activities by implementing several projects of UNFCCC-RCC, (3) improve environmental compliance and enforcement of pollution control practices in 18 Asian member countries of Asian Environmental Compliance and Enforcement Network (AECEN), and (4) improve environmental quality in ASEAN cities through better long-term city planning and higher capacity to implement transformative local actions, closely linked to the SDGs by proposing and conducting ASEAN SDGs Frontrunner Cities Programme (2nd phase).

6.4. TSF

TSF has also become fully operational, having accommodated the IPBES Technical Support Unit for Invasive Species Assessment (IPBES-TSU-IAS) since 2019, as well as ICLEI Japan. In addition a wide range of meetings have been held for various key stakeholders of IGES, including governmental agencies, businesses, cities, NGOs and the media. A notable initiative recently started is a series of evening seminars, inviting leading government officials and researchers for discussion with IGES staff members. The utility of TSF has been clear for HQ staff, as the number of HQ staff visiting TSF had substantially increased up until the COVID-19 crisis. In addition TSF managed some specific projects (one on nature conservation, the other on EIA) together with HQ staff. TSF should be further developed in the 8th Phase in close collaboration with HQ, taking full advantage of its convenient

location.

In the 8th Phase, TSF will continue to contribute to the impact generation of IGES by providing a comfortable and safe office environment for IGES staff. In particular, TSF will strengthen its support for online meetings and remote work, which are rapidly increasing at TSF in the era of “new normal.” TSF will also support IGES Management in attending online international conferences to showcase the latest findings of IGES.

TSF will strive to improve its operations with regular feedback from IGES staff. In addition, TSF will hold seminars and workshops to enhance the collaboration between IGES and national agencies such as the Ministry of the Environment, as well as non-national stakeholders including the private sector and local governments. TSF will provide necessary assistance to IPBES-TSU-IAS and ICLEI-JAPAN and conduct activities to strengthen the collaboration with them.

Furthermore, TSF will work on projects in cooperation with relevant IGES teams on Biodiversity and emerging issues that do not fall under the scope of other units. In particular, with regard to Environmental Impact Assessments, TSF will actively work on necessary surveys, development of information platform, and bilateral support to strengthen the Environmental Impact Assessment systems and implementation in Asian countries in support of the overseas business expansion of Japanese companies.

6.5. BJJ

IGES has had a project office in Beijing since 2006, to promote bilateral environmental collaboration between Japan and China. It has been promoting an ongoing air pollution co-benefit project involving many cities in both countries, as well as wastewater management and other key environmental issues in response to the needs in China. Further developments are expected to extend this collaboration to involve business entities, and to extend the collaboration to a few developing countries in the region.

In the 8th Phase, as the Integrated Coordination Platform between the governments/cities/companies of Japan and China, BJJ will conduct the model projects introducing air pollution control technologies etc. with co-benefits effect, whose outcomes will be disseminated and promoted on the markets in the Asian region including China. By doing so, BJJ will contribute to materialising a decarbonised society, and will support environmental business between Japanese and Chinese companies.