



# Results of the IGES Fifth Phase External Review

February 2014

Programme Management Office

## Table of Contents

<b>1. Introduction .....</b>	<b>1</b>
<b>2. Review Procedure.....</b>	<b>1</b>
<b>3. Results and Responses.....</b>	<b>3</b>
Overall Results: Summary of Common Themes .....	3
Synthesis of IGES-wide Recommendations and Overall Responses .....	3
Additional Discussion of Overall Issues.....	6
<b>4. Suggestions for Future Reviews .....</b>	<b>8</b>

## Appendix

<b>A. Reports from the Reviewers and Responses from the Review Groups.....</b>	<b>9</b>
1. Kitakyushu Urban Centre .....	11
2. Climate Change Group .....	28
3. Natural Resource Management Group (Freshwater Sub-group and Adaptation team) and the Beijing Office.....	37
4. Kansai Research Centre .....	45
5. Economy and Environment Group.....	52
6. Natural Resource Management Group (Forest Conservation and Biodiversity team).....	58
7. Governance and Capacity Group (with the Programme Management Office) .....	77
8. Sustainable Consumption and Production Group .....	83
9. Programme Management Office and the Bangkok Office.....	91
<b>B. Guidelines for External Reviews of IGES Fifth Phase.....</b>	<b>97</b>
<b>C. Total Outputs for the 4th and 5th Phases .....</b>	<b>103</b>

---

## Tables and Figures

<b>Table 1: Review Groups and External Reviewers .....</b>	<b>2</b>
<b>Figure1. Total amount of external funds .....</b>	<b>6</b>
<b>Figure2. Total Number of Publications .....</b>	<b>7</b>

## 1. Introduction

In order to ensure accountability of each research project and provide feedback to improve overall effectiveness, IGES has traditionally conducted a review at the end of each Phase by external experts.

The IGES External Reviews examine to what extent studies and activities conducted in the Fifth Phase satisfied the original targets and intentions of the studies, and what meaningful impacts have been created in important policy processes. Also important is how achievements made and lessons learnt in the Fifth Phase could be properly integrated into studies and activities planned for the Sixth Phase (FY2013-2015). All in all, the external review is expected to promote better implementation of the IGES strategic research in the Sixth Phase.

While the reviews have focused on both research and administrative aspects, the emphasis has evolved to some extent. In the earlier phases, much more emphasis was placed on the research aspects and outputs compared to administrative and management aspects. In later phases, particularly in the most recent Fifth Phase Review, the scope has expanded significantly beyond research outputs to incorporate more discussion about engagement in important policy processes, networking and partnership with other stakeholders and research institutes, and generating impacts. Likewise, in the earlier phases, most reviewers came from academic backgrounds, but in later phases, again particularly in the most recent Fifth Phase Review, selection of reviewers was more balanced between those with academic backgrounds, and those with more experience in policy and NGO management.

## 2. Review Procedure

The review focused on individual 5th Phase research groups, including the satellite offices and the Programme Management Office (PMO). Some smaller groups were combined together, as were some groups with related activities, in order to keep the total number of review groups manageable. Nine groups were reviewed in total, as listed in Table 1. Two or three reviewers were selected for the review panel for each group to be reviewed.

Several criteria were used to select candidates for the review panels. First, all review panels included one Japanese and one non-Japanese reviewer. Second, reviewers were selected not simply based on their research expertise, but also by their understanding of relevant policy processes and strategic management issues faced by policy-related research institutes and similar NGOs. Therefore, candidates for reviewers included not only professors at universities, but also people with experience in policymaking, international organizations, and NGO management. IGES operates at the intersection of the policy and research worlds, so as much as possible we tried to find reviewers with a broader range of experience. Third, there was an effort to find a balance between reviewers who had some understanding or even familiarity with the distinctive nature of IGES operations on one hand, and reviewers with greater distance from IGES who would have a fresh perspective, on the other hand. People directly working with IGES on existing projects were excluded from consideration (these collaborators may give us suggestions on a more regular and informal basis). Fourth, in the case of non-Japanese reviewers, some preference was given to candidates nearby in Asia rather than Europe or North America due to financial concerns, although a few exceptions were made, and in one case a reviewer from North America participated through an internet communication service. Finally, in some cases, people with good potential as future collaborators (but not collaborating currently) were selected.

The selection process for the review panels was conducted from the bottom up. First, suggestions from the research groups and senior management were collected. Then, the pool of candidates was evaluated according to the criteria mentioned above. The final review panels were selected based on

mutual agreement between the research groups and senior management with a view towards achieving a good balance of diverse perspectives.

**Table 1: Review Groups and External Reviewers**

Date	Review Groups	External Reviewers
6 Aug. 2013	<ul style="list-style-type: none"> <li>• <b>Kitakyushu Urban Centre</b></li> </ul>	<ul style="list-style-type: none"> <li>• <b>Prof. Hiroyuki Miyake</b>, The University of Kitakyushu</li> <li>• <b>Dr. Bernadia Irawati Tjandradewi</b>, United Cities and Local Governments</li> </ul>
29 Aug. 2013	<ul style="list-style-type: none"> <li>• <b>Climate Change Group</b></li> </ul>	<ul style="list-style-type: none"> <li>• <b>Prof. Hidenori Niizawa</b>, Hyogo Prefectural University</li> <li>• <b>Prof. Maosheng Duan</b>, Tsinghua University</li> </ul>
27 Sep. 2013	<ul style="list-style-type: none"> <li>• <b>Natural Resource Management Group</b> <ul style="list-style-type: none"> <li>➢ Freshwater</li> <li>➢ Adaptation</li> </ul> </li> <li>• <b>Beijing Office</b></li> </ul>	<ul style="list-style-type: none"> <li>• <b>Prof. Kazuya Yasuhara</b>, Professor, College of Engineering, Ibaraki University</li> <li>• <b>Dr. Srikantha Herath</b>, UNU ISP Tokyo</li> </ul>
25 Oct. 2013	<ul style="list-style-type: none"> <li>• <b>Kansai Research Centre (Business and Environment)</b></li> </ul>	<ul style="list-style-type: none"> <li>• <b>Dr. Venkatachalam Anbumozhi</b>, Asian Development Bank Institute</li> <li>• <b>Prof. Seiji Ikkatai</b>, Musashino University, Faculty of Environmental Science</li> </ul>
1 Nov. 2013	<ul style="list-style-type: none"> <li>• <b>Economy and Environment Group</b></li> </ul>	<ul style="list-style-type: none"> <li>• <b>Prof. Jeong-In Kim</b>, Dean, Graduate School of Industry &amp; Entrepreneurial Management, Chung-Ang University, Korea</li> <li>• <b>Prof. Toshihide Arimura</b>, Professor, Faculty of Political Science and Economics, Waseda University</li> </ul>
6 Nov. 2013	<ul style="list-style-type: none"> <li>• <b>Natural Resource Management Group</b> <ul style="list-style-type: none"> <li>➢ Forest Conservation</li> <li>➢ Biodiversity</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• <b>Dr. Mitsuo Matsumoto</b>, Forestry and Forest Products Research Institute</li> <li>• <b>Prof. Kentaro Yoshida</b>, Nagasaki University</li> <li>• <b>Dr. Hwan Ok Ma</b>, International Tropical Timber Organisation (ITTO)</li> </ul>
14 Nov. 2013	<ul style="list-style-type: none"> <li>• <b>Governance and Capacity Group (with part of the Programme Management Office)</b></li> </ul>	<ul style="list-style-type: none"> <li>• <b>Prof. Ryo Fujikura</b>, Hosei University</li> <li>• <b>Dr. Maria Ivanova</b>, University of Massachusetts Boston</li> </ul>
5 Dec. 2013	<ul style="list-style-type: none"> <li>• <b>Sustainable Consumption and Production Group</b></li> </ul>	<ul style="list-style-type: none"> <li>• <b>Dr. Kersty Hobson</b>, The University of Oxford</li> <li>• <b>Prof. Shinichi Sakai</b>, Kyoto University</li> </ul>
13 Dec. 2013	<ul style="list-style-type: none"> <li>• <b>Programme Management Office</b></li> <li>• <b>Regional Centre</b></li> </ul>	<ul style="list-style-type: none"> <li>• <b>Mr. Surendra Shrestha</b>, Director, UNEP International Environmental Technology Centre (IETC)</li> <li>• <b>Mr. Yasushi Hibi</b>, Conservation International Japan</li> </ul>

Regarding the structure of the review sessions, most were for a full day, and a few were held over a half day. Written materials were sent to reviewers a few weeks in advance of the review session, including the Integrative Strategic Research Programme of the 5<sup>th</sup> and 6<sup>th</sup> Phases, draft 5th Phase Reports of the review groups, a list of all of each group's publications during the 5th Phase, budget summary, list of 5<sup>th</sup> Phase staff and their term in office, and a written explanation of the review process, and a few major selected outputs.

During the review session, opening and closing remarks were made by either the Chair of the Board of Directors or the President. Sessions were moderated by the Senior Coordinator or Senior Advisory

of the Programme Management Office, who also explained the review's objectives and procedure. The review sessions began with presentations on the overview of each group's organisation and activities, followed by additional presentations on major components. Each presentation was followed by a Q&A session. An overview of each group's 6th phase activities was presented either separately or incorporated into the separate presentations of major components. After all of the presentations were finished a general discussion was held. Then, the review panel met to discuss the results between themselves for about one hour to prepare a short presentation summarizing the review findings. A final discussion was held after the presentation of the findings by the reviewers. Reviewers were requested to send a short written review report (a few pages long) to the review group a week after the review, and each review group prepared a short written response. The original review reports along with the responses of each group are attached to this report in the Appendix.

5th Phase group members as well as members of the 6th Phase successor group were required to attend the review meetings. In addition, other IGES staff members were allowed to attend the review sessions as observers. The Secretary General and Deputy Secretary General also attended most of the review sessions.

### **3. Results and Responses**

#### **Overall Results: Summary of Common Themes**

This section synthesizes the overall results of the review. It is based on common themes as well as some overall management issues that emerged from the reviews of the individual groups. Overall issues were also discussed to some extent in the review of the PMO.

The overall assessment was generally very positive. Reviewers generally found:

1. IGES produced a large number of outputs and engaged in a large number and wide range of activities.
2. IGES research groups are meaningfully involved in a wide range of important policy processes, many relating to international organizations but also including various ones at both the national and subnational levels.
3. IGES demonstrated a clear orientation to policymakers and other stakeholders; there was no impression of IGES as an academic research institute. It was noted that IGES produces both policy and academic oriented research, with significantly more emphasis on publications for policymakers rather than academic journals.
4. IGES has a large number of useful and effective partnerships and networks with other research institutes, international organizations, and other stakeholders.
5. IGES work was generally seen as very efficient (or even too efficient).
6. Reviewers generally felt that IGES is making positive impacts, although some felt that there was potential for enhancing their significance and scalability.
7. Existing activities were generally encouraged to be continued. No existing activities were recommended to be terminated.
8. A number of new areas were suggested for new IGES involvement.
9. Generally, IGES was quite successful at raising external funds during the Fifth Phase, so reviewers generally did not make major comments or recommendations in this area.

#### **Synthesis of IGES-wide Recommendations and Overall Responses**

A number of general and specific recommendations emerged from the reviews. Generally, IGES agrees with the recommendations, and has already been taking actions or planning to take actions in

these general directions. At the same time, some recommendations can be difficult to accomplish simultaneously. Flexible response to new opportunities is of course essential, and expansion to new areas is appealing, but they can lead away from core competencies and result in diffused focus. Moreover, most recommendations also would require additional human resources, and possibly funding. These recommendations are summarized below, together with IGES responses.

1. To strengthen impacts, some reviewers recommended more prioritization of activities, and to make greater effort to develop and focus on core competencies. The PMO/BRC review recommended to use Results Based Management for this.
  - ✓ It is expected that the strengthened milestone management process combined with the development of the Medium and Long Term Strategy will enhance the prioritisation of activities. Research groups will further clarify their influence strategies for targeted policy processes, and research and other activities will be linked. IGES now has a policy to reserve human resource time that can be used to respond to new developments, and the PMO has newly strengthened capacity to encourage and support this. Therefore, in principle, IGES should be able to respond to new opportunities without compromising existing projects to a certain extent. The milestone management system is already intended to be results-based, but there is room to strengthen this aspect.
2. In the PMO review, reviewers mentioned the importance of flexibility to deviate from the plan in order to take up new opportunities, but it was also recognized that this poses potential tradeoffs with the goal of focusing on core competencies and need for efficiency.
  - ✓ Responding to new opportunities is a high priority for IGES, and so some deviation from the Fifth Phase plan was considered highly desirable and inevitable. In the Fifth Phase, the PMO functioned to plan and coordinate new projects such as Rio+20 which required coordination among different groups, and sometimes took on an incubation function for projects which the other groups were not able to take on. Other groups also responded to new initiatives resulting in deviations from the original Fifth Phase Plan. New opportunities are also closely related to fundraising, which is also a high priority. Overall IGES was very successful in fundraising, but some modification of the plan was unavoidable because a few proposed components did not succeed in attracting funding while some proposals not in the original plan were successful. Moreover, ideally, all of the contracted projects in the 5th Phase are to contribute fully to the implementation of the 5th Phase Program, but in practice, there are sometimes limitations depending on the nature of the contracts, and there are some variations between projects. Changes in the Plan were clearly explained to the reviewers. The reviewers were satisfied by these explanations and no comments on this were made.
3. Reviewers generally observed that IGES was effectively outreaching policy messages in various policy processes, but some reviewers felt that these efforts should be expanded and strengthened, possibly to include a wider range of processes and stakeholders.
  - ✓ Of course, it is desirable to expand the outreach of the results of specific projects to additional policy processes and stakeholders. In some cases this may be possible, but due to limited human resources it may be difficult to do in practice. Therefore, it is necessary to consider which policy processes and stakeholders are the highest priority and focus on those.
4. A clearer communication strategy and identification of target audiences to strengthen impacts was recommended in some cases.

- ✓ Communication strategy and target audiences are to be clearly identified during the planning process in the strengthened milestone management system. This is also to be reviewed in the quality management process. The outreach and public relations function was moved from the Secretariat to the PMO in order to become more closely linked with the research groups.
5. Some reviewers recommended developing additional different publications for different audiences for a particular topic area (not just one publication with one target audience).
  6. Reviewers generally perceived that IGES publications are mostly aimed at policymakers and are of good quality. Nevertheless, in some cases, reviewers suggested that IGES policy research results were also academically significant, with good potential to be published in peer reviewed journal articles which would enhance credibility.
    - ✓ The reviewers' suggestions to expand different publications for different stakeholders (including peer reviewed journals) is certainly a very efficient way to expand influence generation efforts utilizing existing results, and it is already considered when developing publication and influence strategies. Nevertheless, any expansion would still require additional human resource time, which is not always available. Therefore, target audiences and publication strategies are currently prioritized. Future fundraising efforts may request additional human and financial resources for expanding publication strategies.
  7. Reviewers generally observed good cooperation and coordination among different research groups, but also felt that there was still potential for additional synergies. The PMO/BRC review recommended consideration of a matrix management approach.
    - ✓ Strengthening cooperation between groups was a major management priority during the 5th Phase, and the management structure was modified specifically to encourage this strongly. Overall, this was considerably successful. All research groups engaged in significant collaborative activities with other groups, and reviewers clearly recognized this. Of course, some areas are so important and broad that they are addressed by more than one group, and each group focuses on different aspects. Although there is always some room to improve collaboration between groups, already collaboration is significant, and the milestone management system ensures that duplication is avoided. Since the review scope covered only individual groups, the reviewers did not have enough information to fully assess cooperation between groups. A matrix approach could be considered to facilitate and regularise collaboration between groups.
  8. Human resources might be strengthened through stronger connections with graduate programs at universities or personnel exchanges with other institutes.
    - ✓ In the past, IGES has occasionally implemented personnel exchanges with other institutes and international organizations, most recently with the International Institute for Applied Systems Analysis (IIASA). In some cases this has been successful, but in other cases, the IGES researchers moved to the other institute (or elsewhere). This could have good potential, but the advantages and disadvantages need to be carefully considered on a case by case basis. It may be more feasible to make greater efforts to establish partnerships with universities so that graduate students or post-doc researchers can work on IGES projects either temporarily during their studies or on a longer term basis after graduation.

### Additional Discussion of Overall Issues

Overall issues in the Fifth Phase External Review were addressed to some extent by the review of the PMO/ Bangkok Regional Centre, and some overall issues were touched upon during the other group reviews. However, this review, like past ones, did not focus on overall management of IGES as a whole. Therefore, this section highlights the main trends in a few overall areas during the Fifth Phase. This section also highlights significant efforts which have been made to significantly strengthen these areas in the Sixth Phase.

### Fundraising

The amount of external funds was significantly higher during the Fifth Phase compared to the Fourth Phase (see Figure 1). There was an especially large increase in the first year of the Fifth Phase. This was due to special circumstances and could not be maintained, but nevertheless, the level of external funding in the remainder of the Fifth Phase was still significantly higher than in the Fourth Phase. Generally, the individual research groups did not feel that their activities were constrained by insufficient funding, and the external reviewers observed significant and successful fundraising efforts in each group. Some gradual diversification of funding sources was achieved, particularly from international organisations.

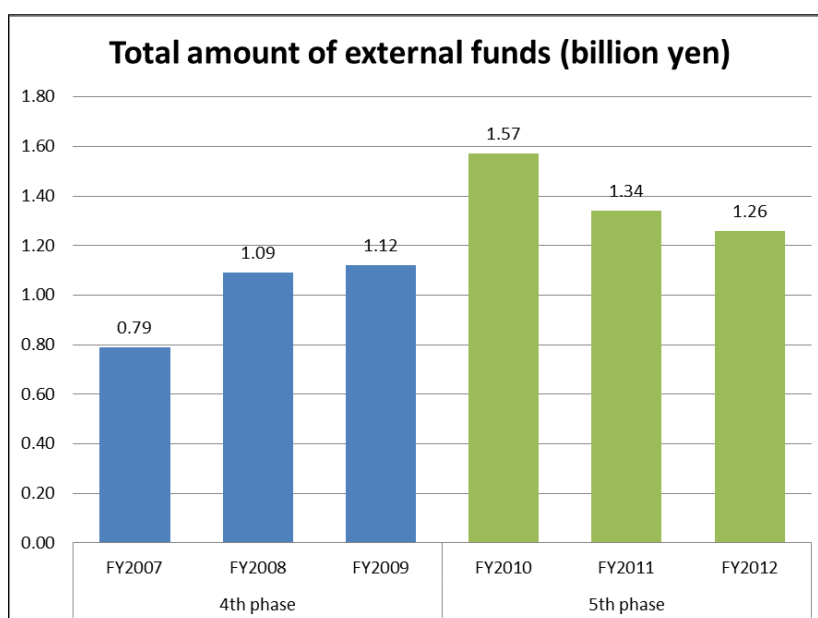


Figure1. Total amount of external funds

In the Sixth Phase, a part time Senior Fellow in charge of fundraising was appointed to help strengthen fundraising activities. The PMO's role in planning and coordination of fundraising will be strengthened. One important element is to have more interactive discussions with funders on how to more closely link funded activities with impact generation. Quality Management is also expected to contribute to strengthening the fundraising planning and application process.

### Human resource management

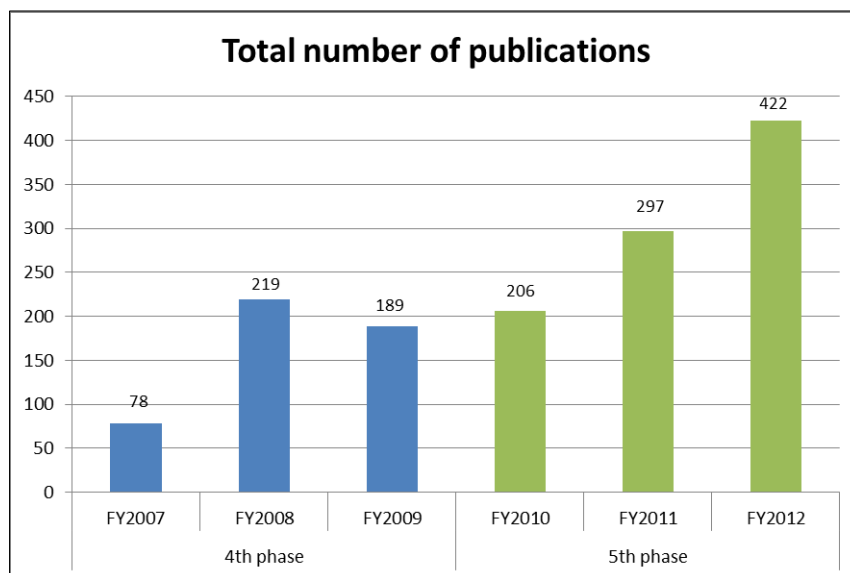
Human resource management was not a focus of the Fifth Phase Review, although reviewers made a few related comments. Human resource management received major management attention during the Fifth Phase. The milestone management system was strengthened and performance based salary was instituted. Group Directors were given more authority to hire associate researchers and research assistants on short term contracts of one year or less by using funds from external contracts. A human resource management consultant was engaged.



In the Sixth Phase, additional measures are being taken to strengthen human resource management. A specialized human resources section was established in the Secretariat by merging the human resources related functions of the General Affairs Section and the former Research Supporting Section. The milestone management system was strengthened by linking it with the time management system in order to better manage the time charged to external funds, secure time for non-contract related IGES priority work, and enhance overall work efficiency and effectiveness. Systematic in-house training was established through the cooperation of the Knowledge Management, Quality Management, and Human Resource sections.

### ***Publications***

The total number of publications significantly increased over the course of the Fifth Phase and compared to the Fourth Phase (see Figure 2). In the Fifth Phase External Review, reviewers generally praised the quality and quantity of IGES publications; there were no concerns raised about quality. Reviewers observed that publications were generally oriented towards relevant policy processes and achieved a certain level of impact, but felt that there was room to enhance the significance of these impacts and expand the target scope to include more stakeholders in some cases.



**Figure2. Total Number of Publications**

At the beginning of the Sixth Phase, the Quality Management function in the PMO was strengthened with the addition of a Senior Coordinator in addition to the part time Senior Advisor. The basic direction is to strengthen quality through all stages of the research and writing process (“clean production”), starting with the planning and fundraising stages, rather than simply checking after the publication has already been written (“end-of-pipe” checking), although end-stage review has also been strengthened.

### ***Networking and capacity building***

Networking has long been a priority for IGES, and its wide-ranging and extensive reach was appreciated by the reviewers. In the Fifth Phase, networking was to a large extent decentralized, with each research group engaged in its own networking activities and policy processes, with others managed and coordinated by the PMO and BRC. Expanding ISAP and linking it to various network meetings was another strategy for strengthening networking. Reviewers made a few incremental suggestions for additional possible networking partners, mainly based on their area of expertise.

In the Sixth Phase, networking was further strengthened by the establishment of a Senior Coordinator position in the PMO in an effort to strengthen the coordination between the various networking efforts. Networking support functions were moved from the Secretariat and concentrated in the PMO in order to strengthen the linkages between the PMO and the individual research groups and enhance the overall effectiveness.

A few projects related to external capacity development were conducted by a few groups and others were conducted by the PMO and BRC, although capacity development was not a major institute-wide priority in the Fifth Phase. These activities have been highly regarded by the participants, although the capacity development activities were not addressed in detail by the External Review.

In the Sixth Phase, external capacity development is planned to be expanded and more centrally coordinated through the newly established position of Senior Coordinator for Capacity Development and Knowledge Management. Internal capacity building will also be strengthened in the Sixth Phase, and this is discussed above under the “human resources” subheading.

#### **4. Suggestions for Future Reviews**

One of the main objectives of this review process was to receive suggestions for strengthening the implementation of the 6<sup>th</sup> Phase Plan. However, since the 6<sup>th</sup> Phase is already underway, the potential effect of the suggestions is limited in certain aspects. Therefore, if external feedback is considered desirable for future plans, it may be better to request external comments directly on these future plans (such as the 7<sup>th</sup> Phase Plan and the MLT) during the planning process rather than waiting for the next external review of past activities.

For the future external review of the 6<sup>th</sup> Phase, IGES may consider conducting a more comprehensive review including overall management system as well as research groups. This could be similar to the external review conducted by World Resources Institute based in the US, and procedures commonly used in Europe.<sup>1</sup> This review could be facilitated by a consultant, including logistical arrangements and report preparation. A smaller number of reviewers could be engaged to spend more time on a more in-depth, comprehensive, and integrated review.

---

<sup>1</sup> WRI's external review may be found here: <http://www.wri.org/sites/default/files/uploads/PSS-WRI-External-Review-Report.pdf>. WRI management's response is here: [http://www.wri.org/sites/default/files/uploads/WRI-Management\\_Response-to-PSS-report.pdf](http://www.wri.org/sites/default/files/uploads/WRI-Management_Response-to-PSS-report.pdf).

Results of the  
IGES Fifth Phase External Review

## Appendix A.

Reports from the Reviewers and  
Responses from the Review Groups



# Kitakyushu Urban Centre

6 Aug. 2013

## Reports from the Reviewers

- Prof. Hiroyuki Miyake, The University of Kitakyushu
- Dr. Bernadia Irawati Tjandradewi, United Cities and Local Governments

### I. Introduction

The Kitakyushu Urban Centre (KUC) is the IGES's research arm on urban development, which has been in operation for more than a decade with strong support from Kitakyushu City. This document is the report of the External Review of KUC's Fifth Phase (2010-2012), which was held in Kitakyushu on 6 August 2013. The Review was carried out by two external reviewers: Dr. Bernadia Irawati Tjandradewi, who has just been appointed as the Secretary General of UCLG ASPAC, based in Jakarta. She is familiar with KUC when she was previously the Programme Director of CITYNET. The second reviewer is Prof. Hiroyuki Miyake, Faculty of Law, the University of Kitakyushu. Prof. Miyake has been an advisor to JICA Kitakyushu Office and is a citizen of Kitakyushu City.

Unlike in the past, KUC management decided to hold the Review of the KUC's Fifth Phase of its work separately to allow staff members of KUC to participate. In the past, the review conducted at IGES HQ as part of the overall evaluation of all-IGES activities, and the meeting was attended by only one person from KUC.

### II. Objectives

The review was held to evaluate the Fifth Phase of KUC, which covered FY2010-2012. It also aimed to frame and set the direction of KUC activities in the Sixth Phase (FY2013-2015). The review was to meet the requirements set by IGES.

The research policies of KUC have the following goal and approaches. As given by the KUC's management, the goal is to contribute to the development of clean, sustainable, low-carbon (energy and resource efficient) and resilient (self-mitigating and self-recoverable from external impacts) cities without compromising the economic growth in Asia (and the Pacific).

The vision of KUC is to be a leading (and authoritative) knowledge centre in Asia on pragmatic and effective local policies for the development of clean, sustainable, low-carbon and resilient cities.

KUC's approach is to disseminate research outputs and recommendations with particular focus on pragmatic and effective local policies and actions (with respect to low-cost and low-technology options

using local knowledge) that could change the behaviour of individuals, policies of local governments and business models of the private sector.

### III. Methods

---

The review was conducted in one day with presentations on major components of KUC by the staff of KUC. Materials of KUC were sent a few days prior to the meeting. The management of IGES in HQ was available through video conference in order to answer and clarify the issues raised by reviewers.

A set of questions was given by the KUC management, which includes the following:

- a) Mission, strategy and priorities – Were the activities of the Fifth Phase in line with the mission, strategy and priority of KUC?
  - Is KUC heading in the right direction?
  - Is KUC responding to the demand of local governments in Asia?
  - Is KUC using its own strengths for that? Is KUC taking right approaches? (what are the strengths and weakness? Have they been addressed?)
  - Is KUC partnering with the right stakeholders? Who else are potential partners?
- b) Quality and Policy Relevance
  - Is KUC delivering expected quality products/outputs?
  - Is KUC influencing local policymakers sufficiently?
- c) Effectiveness
  - Is KUC using its own resources effectively and efficiently? How can it be improved further?
- d) Impacts
  - Are the impacts brought about by KUC activities satisfactory?

### IV. Results and Findings

---

The review was moderated by Dr. Mark Elder, Senior Coordinator, IGES HQ and opened by Mr. Hideyuki Mori from IGES HQ in Hayama who joined the meeting through video conference. It was then followed by self-introduction of participants in Kitakyushu and Hayama. Prof. Hamanaka joined the evaluation in the afternoon from his office in Tokyo. *Please refer to the attached programme and list of participants as Annexes.*

The presentations of the Fifth Phase were divided into:

- a) Overall operations of KUC, including members of KUC, projects and research system development/evolution, staff transition and main research activities, SWOT Analysis conducted by the KUC staff, and four components of KUC, as well as the collaborative activities in Kitakyushu City. The overall operations, progress and achievement were presented by Toshizo Maeda (the manager of KUC)
- b) Presentations and explanation of the outputs of the major components:
  - (1) Component 1 – Promotion of Environmentally Sustainable Cities through Networking) by Simon Gilby
  - (2) Component 2 – Research and Sustainable City Policies by Toshizo Maeda
  - (3) Component 3 – Promotion of Composting and Local Initiatives by Dr. Premakumara DGJ
  - (4) Component 4 – Project Implementation and Policy Formulation Support with Local Partners by Shiko Hayashi (who has just joined KUC from IGES HQ)

### **General overview**

After hearing the presentations made by the staff in charge, the external reviewers expressed their high impression of work being carried out at KUC despite limited staff members, high turnover as well as its financial struggle. Compared to the previous phases, the Reviewers believed that KUC has succeeded in expanding its works as shown from the increase in the number of staff, activities and funds as well as partners.

The reviewers found the decision to carry out the review separately from main IGES activities as the best course as many staff from KUC joined the meeting.

### **Relevancy**

Fields of research and activities are very much relevant to the needs of local governments and their challenges. There are strong synergies between bottom-up and top-down approaches. KUC was able to strike a balance between research and practical implementation. Nevertheless, there are areas that need improvement as they are not yet optimal, with many of the research outputs being published internally. Although it is not yet optimal, the reviewers felt that action-oriented/applied research is useful for practitioners. This keeps IGES/KUC a significant institution in the region as there are not so many research institutions that focus on applications for urban development and management.

### **Mission, strategy and priorities**

In terms of direction, KUC is on the right path, and its role is unique as a bridge between research and practical applications. This is made possible as there is good synergy between IGES and Kitakyushu City that has been built over decades.

### **Strategies**

KUC has been using different kind/diversification of approaches:

(\*) Demand-driven approach – ASEAN member states and local governments as seen under component 1 and 3 (although in component 1, some local governments have limited capacity in formulating project proposals for fundings)

(\*) Supply-driven approach – Kitakyushu (demand for cooperation especially from companies in Japan is quite high) as referred to in component 4

(\*) Donor approach – As shown from the requests from ADB and or JICA in expanding its activities and work

**Geographical balance:** This is not so broad, as the focus is mainly on South-East Asia. This may be related to the interests of donor agency/host city. As presented, KUC's mission is to cover Asia and the Pacific. KUC may have to interact direct or indirectly with cities in the Pacific if the Centre wants to declare its coverage within the Pacific as well. KUC may engage with cities networks like UCLG ASPAC as a new partner, which has active members from the Pacific region, as well as Australia and New Zealand.

**Involvement of stakeholders:** Compared to the previous phase, the Fifth Phase had much wider stakeholders participation – especially from private companies, JICA Kyushu, ASEAN National Governments and Local Governments. However KUC has not strategically worked with its existing partners, such as local universities and NGOs (in Japan and/or recipient countries/cities). Therefore, it is recommended that KUC review its existing partners and the agreements signed with them, and then clarify the roles that the partners can play (with non-monetary compensation as genuine partners).

As for other potential partners, KUC needs to expand to international/regional agencies such as SAARC, UCLG ASPAC, etc, as well as to other Japanese local governments, including Hamamatsu and Shizuoka (these plus CLAIR are members of UCLG ASPAC in Japan).

### **Quality and Policy Relevance**

Considering the limited number of staff and resources, the reviewers felt that KUC has made a significant contribution to urban development in Asia, particularly in South-East Asia.

KUC has focused on action-oriented research with major results including educational materials and guidelines (especially under component 3). However, it is necessary for KUC to structure its office and, for example, combine components 3 and 4, as the current structure seems to be based on the projects, not on mandate or objectives. *(Note: The Reviewers learned from the staff of KUC that the two components will be merged in the Sixth Phase)*

The advocacy effort is quite substantial because of KUC's strong connection with Ministries in Japan (MOEJ, MOFA) and Local Governments of other countries – component 1

### **Effectiveness and Efficiency**

Quite high (component 1, 3) – with limited funds from MOEJ and others, several projects at the local level have been carried out. However, it is necessary to put in-kind contribution in the documents to show its effectiveness. That will be useful for KUC to show the effectiveness of the projects and can help attract donor agencies for funding.

As for components 2, 4 and 5, the effectiveness and efficiency were not measured due to limited information given.

Since KUC has a high turnover of staff, more of the works can be outsourced (not necessarily funding) through existing institutions and networks, particularly in terms of upscaling.

### **Impacts**

It was quite challenging for the reviewers to be able to measure the impact as the evaluation was based on the published materials, report and presentations given to them, not through any interviews from the reviewers to beneficiaries and or partners of KUC. Based on the knowledge of the reviewers, KUC is seen as visible in some cities, especially Surabaya, as the impact can be felt by the majority of the community based on the long term cooperation between KUC/Kitakyushu City and Surabaya that has contributed to the creation of a clean and green Surabaya. However, as the impact is not yet seen in bigger regions, KUC's upscaling efforts will be even more vital.

The impact is relatively higher in developing countries/cities, but not in developed countries/cities including its host city, Kitakyushu. This observation might be due to lack of well documentations or publications produced by KUC in terms of benefits that the Japanese public (Kitakyushu) have gained.

As part of its outreach strategies, KUC needs to work more with national/regional/international local government associations in Asia-Pacific region and beyond.

## **V. Recommendations**

---

### **Raise its Visibility Especially Domestically**

KUC has made good documentation but mainly for internal use. Therefore, more effective dissemination is needed, such as publications for the general public (KUC may look for famous publishing companies). Furthermore, considering its contribution to Asian society, Japanese (Kitakyushu) citizens are not aware of KUC's activities. PR also is needed domestically to share KUC's activities and achievements.



### **Enhance Financial Stability**

Enhance financial stability through effective cooperation with private companies. KUC may establish the Trust Fund on “Low Carbon Society” that private companies can contribute monetary. A set of benefits and explanation on how private companies can gain and or be involved is needed.

Other funds can be found through holding seminars/forums (i.e. registration and/ or exhibition fees), other government funding opportunities and publishing the outputs.

### **Restructure the KUC**

Restructuring of KUC is needed to be in line with the mandate. Suggestions include the formation of the following divisions to support the consolidations of KUC’s work:

- A research group,
- A policy advocacy group, and
- A project implementation and networking (focusing on optimising the demand and supply)

### **Improve its staff management**

As KUC has a high turnover and relies on a number of temporary and dispatched staff (from external companies), it is necessary for KUC to ensure that all staff are aware of the missions and vision of KUC so that they can set the future direction of KUC together, and transform current weaknesses and threats to strengths and opportunities. Therefore, the reviewers recommend the conduct of LOGFRAME of KUC as an institution to help in the restructuring.

### **Expand its work to Japanese society**

KUC has been successful in the composting programme (component 3). The reviewers recommend that composting should prevail in Japanese society itself as no successful case has been found in Japan yet). KUC needs to produce environmental education materials on composting for Japanese schools.

### **Maximise the Participation of Private Sector in Technology Transfer**

To maximise the technology transfer, KUC needs to carry out an inventory on technology and services that Japanese companies have and can offer. As a research organisation, IGES should be able to provide a thorough analysis objectively – without any hidden agenda.

### **Analyse its Achievements in Institutional and Policy Changes**

It is necessary for KUC to be able to show its achievements particularly to its donors and supporting institutions and general public in Japan. Analysis on institutional and policy changes occurred in National Governments and Local Governments as the results of KUC’s contribution in all project components (especially components 1 and 3) needs to be done in order to publicise its work. KUC should publish a simple leaflet (in Japanese and English) that highlights its achievements (ie. policy and impact).

### **Anticipate Future Urban Development and Trends**

Fields of research – KUC may also need to focus on resiliency, which is one of the major concerns in the Asian region and is an area that Japan has strong expertise in. It is recommended that KUC carry out innovative institutional change by taking a holistic and integrated approach (component 2, JCM) in addressing urban challenges, including climate change that in many cases go beyond administrative boundaries.

## VI. Conclusion

---

The reviewers felt the one-day external evaluation is not long enough to provide much more comprehensive findings and recommendations. The recommendations given were made possible as the reviewers have been engaged and participated in most KUC's activities. That helped both reviewers in the evaluation to complete the assignment in just a day.

The reviewers hope the recommendations are useful and can be implemented to some degree for improving the work of KUC.

As a follow-up, this brief written report which is submitted within a week after the review, will be commented on by KUC as an official response. A written review will be published on the IGES website. Reviewers will be kept abreast of developments, and contacted for further advice as needed.

# Response from the Review Groups:

## Kitakyushu Urban Centre

External review on the performance of IGES Kitakyushu Urban Centre (KUC) in the Fifth Phase in FY2010-2012 was held on 6 August 2013 at IGES KUC office with the participation of the following two external reviewers:

- Dr. Bernadia Irawati Tjandradewi, Secretary General, United Cities and Local Governments Asia-Pacific (UCLG-ASPAC)
- Prof. Hiroyuki Miyake, Faculty of Law, University of Kitakyushu

The objective of the external review was to frame and confirm the direction of KUC activities in the Sixth Phase (FY2013-2015) by reviewing the activities and outputs in the Fifth Phase (FY2010-2012).

At the introductory session, Mr. Toshizo Maeda, KUC Deputy Director, explained the operational structure of the KUC in the Fifth Phase (Figure 1) and the transition of the staff and main researching activities since the Fourth Phase (Figure 2). He also explained the strengths, weaknesses, opportunities and threats (SWOT) of KUC by its self-analysis (Figure 3) and suggested following points for the discussion:

### **Proposed discussion points:**

#### (a) Mission, strategy and priorities

- Is KUC heading into a right direction?
- Is KUC responding to the demand of local governments in Asia?
- Is KUC using its own strengths for that? Is KUC taking right approaches? (What are the strengths and weaknesses? Have they been addressed?)
- Is KUC partnering with right stakeholders? Who else are the potential partners?

#### (b) Quality and policy relevance

- Is KUC delivering expected quality products / outputs?
- Is KUC influencing local policy makers sufficiently?

#### (c) Effectiveness

- Is KUC using its own resources effectively and efficiently? How can it be improved more?

(d) Impacts

- Are the impacts brought about by KUC activities satisfactory?

### **Recommendations by the External Reviewers**

After the presentations and discussion, external reviewers pointed out following eight recommendations to improve the performance of KUC activities:

- Raise its visibility especially domestically
- Enhance financial stability
- Restructure the KUC
- Improve its staff management
- Expand its work to Japanese society
- Maximise the participation of private sector in technology transfer
- Analyse its achievements in institutional and policy changes
- Anticipate future urban development and trends

KUC staff responded to each recommendation during the discussion. In this report, eight recommendations are numbered in the following order to summarise the responses in four sets as added to the following SWOT analysis figure (Figure 4):

Four sets of recommendations:

#### **Recommendations 1-3: Visibility, publications and outreach activities**

1. Raise its visibility especially domestically
2. Expand its work to Japanese society
3. Analyse its achievements in institutional and policy changes

#### **Recommendations 4-5: Staff management**

4. Improve its staff management
5. Restructure the KUC

#### **Recommendations 6-7: Financial sustainability**

6. Enhance financial stability
7. Maximise the participation of private sector in technology transfer

#### **Recommendations 8: New agenda on sustainable cities**

8. Anticipate future urban development and trends

## SWOT Analysis of KUC

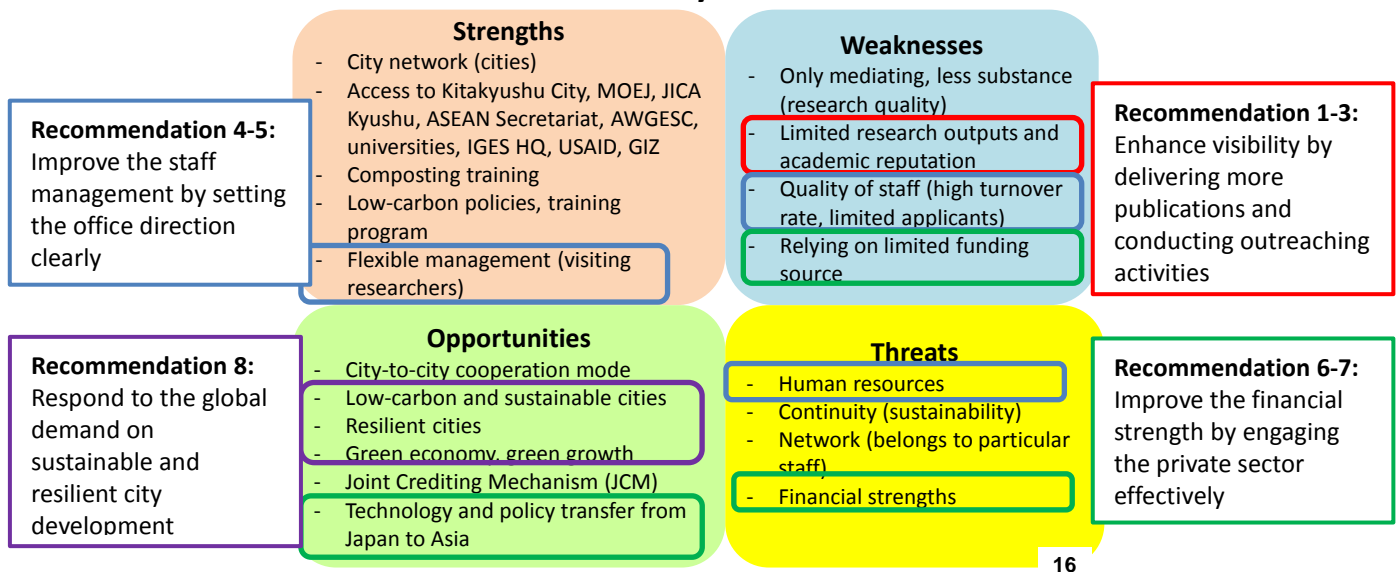


Figure 4 Four sets of recommendations in relation to the SWOT analysis of KUC

Responses to each recommendation are given below:

### Recommendations 1-3: Visibility, publications and outreaching activities

#### 1. Raise its visibility especially domestically

KUC has made good documentation but mainly for internal use. Therefore, more effective dissemination is needed, such as **publications for the general public** (KUC may look for famous publishing companies). Furthermore, considering its contribution to Asian society, Japanese (Kitakyushu) citizens are not aware of KUC's activities. **PR also is needed domestically** to share KUC's activities and achievements.

Response:

**KUC News website** has been updated periodically (11 issues News in English and 15 in Japanese since April to December 2013) to improve its visibility. KUC staff also participated and presented at the following domestic events:

- June 17 – July 5: JICA Low-Carbon City Planning Training
- July 8-9: Sustainable Design International Conference in Kitakyushu
- July 24: ISAP Session on Kitakyushu-Surabaya Cooperation
- Oct. 18: OECD Kitakyushu Report Launching Session (Chaired by Prof. Kage)

- Dec. 7: Human Resources Development Session at Kitakyushu University

In terms of publications, six papers were presented at four research societies, one peer-reviewed article was published (Dr. Premakumara) and one IGES Policy Brief will be published soon after the final confirmation (Ms. Shom) as of end of December 2013. JCM Feasibility Study in Surabaya, Indonesia was featured by Daily Industrial Newspaper in December 2013. In addition, following research reports will be published in the first half of 2014 (titles are tentative):

- JCM Feasibility Study Report on potential low-carbon projects in Surabaya (April 2014, Mr. Maeda)
- MRV capacity building support for local governments in Asia (March 2014, Dr. Akagi)
- Findings on existing resilient policies in four Asian cities (April 2014, Dr. Premakumara, Ms. Shom, Ms. Huang)
- ADB Study Report on business models of large-scale composting facilities (May 2014, Dr. Premakumara)
- Report on Food Waste Management Strategy Development in Malaysia (May 2014, Mr. Hayashi)

## **2. Expand its work to Japanese society**

KUC has been successful in the composting programme (component 3). The reviewers recommend that composting should prevail in Japanese society itself as no successful case has been found in Japan yet). KUC needs to **produce environmental education materials on composting for Japanese schools.**

### Response:

KUC developed a **Kids Composting Manual** in Japanese and English and used it for a hands-on compost production training course for after-school students in May and August 2013 as one of the classes Junior Science School of Kyushu Institute of Technology (KIT). Similar programmes will be implemented in FY2014 in cooperation with KIT and the Waste Management Division of Kitakyushu City.

The **composting promotion website** (Japanese and English) tagged to KUC website is updated periodically for information dissemination. Some updated news comes from cities that have participated in past JICA composting management training courses and JICA

volunteers on environmental education who undertook a five-day pre-training course in Kitakyushu before assignment.

KUC also conducts a number of organic waste management-related projects supported by several inter-related organisations are, as follows:

- Research on business models of large-scale composting facilities (ADB)
- Food Waste Management Strategy Development in Malaysia (MOEJ)
- National 3R Strategy Development in Viet Nam (MOEJ)
- Waste recycling business development by Nishihara Corporation in Surabaya (JICA)
- Solid waste management research in Cebu, Philippines and Surabaya, Indonesia under the Climate and Clean Air Coalition (CCAC)
- JICA Composting Management Training Course
- JICA Volunteers composting pre-training course in Kitakyushu
- JICA Nairobi Solid Waste Management Project

### **3. Analyse its achievements in institutional and policy changes**

It is necessary for KUC to be able to show its achievements particularly to its donors and supporting institutions, and to the general public in Japan. In order to publicise its work, KUC needs to conduct analysis on institutional and policy changes in National Governments and Local Governments as a result of KUC's contribution in all project components (especially components 1 and 3) . **KUC should publish a simple leaflet** (in Japanese and English) **that highlights its achievements** (i.e. policy and impact).

#### Response:

Each KUC project will prepare a **1-sheet project fact sheet** by end of April 2014 which will be uploaded on the website and compiled for presenting at the IGES Board of Directors and Board of Trustees (BOD & BOT) Meetings in June 2014 and for reporting to Kitakyushu City. This practice will be an annual routine from now on.

### **Recommendations 4-5: Staff management**

#### **4. Improve its staff management**

As KUC has a high turnover and relies on a number of temporary and dispatched staff (from external companies), it is necessary for KUC to ensure that all staff are aware of **the missions and vision of KUC** so that they can set the future direction of KUC together, and transform current weaknesses and threats to strengths and opportunities. Therefore, the reviewers recommend the conduct of LOGFRAME of KUC as an institution to help in the restructuring.

#### Response:

KUC's Goal, Vision and Approach have clearly been established as follows, with each Task Manager and Researcher planning their activities and setting their performance indicators in line with that:

**GOAL:** Contribute to the development of **green, low-carbon** (energy and resource efficient) **and resilient cities** without compromising the economic growth in Asia (and the Pacific) by providing useful research outputs and recommendations to local governments

**VISION:** To be **a leading** (and well-recognised) **knowledge centre** in Asia on pragmatic and effective **local policies and actions** for development of green, low-carbon and resilient cities

**APPROACH:** Through **disseminating research outputs and recommendations** with particular focuses on pragmatic and effective local policies and actions (with respect to low-cost and appropriate technological options using local knowledge) in view of changing the policies and management systems of local governments, business models of private companies and behaviour of individuals

Visiting researchers in KUC are vital in providing supplemental research and support for assigned projects as shown in Figure 5. They are also helpful in providing expert knowledge to other KUC staff through daily conversation and discussion in the office.

The visibility and reputation of KUC may be improving as there were several qualified applicants for the Task Manager's post advertised at the end of FY2012, which went against expectations based on past records. However, further efforts are deemed necessary to improve KUC's visibility and reputation.



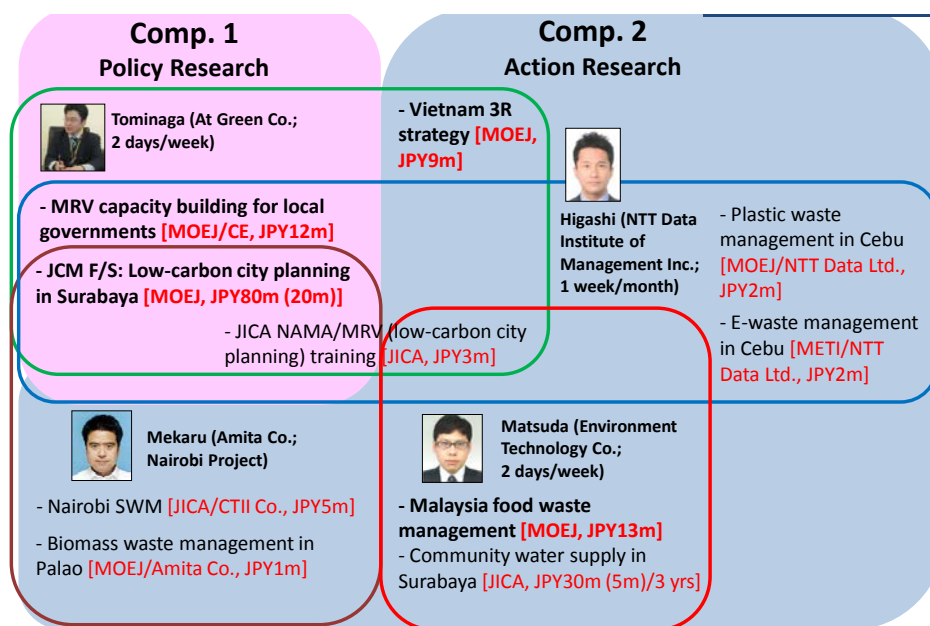


Figure 5 Tasks of visiting researchers

## 5. Restructure the KUC

**Restructuring of KUC** is needed to be in line with the mandate. Suggestions include the formation of the following divisions to support the consolidations of KUC's work:

A research group,

A policy advocacy group, and

A project implementation and networking (focusing on optimising the demand and supply)

### Response:

KUC has restructured the research components as given in Figures 6 and 7 based on the recommendation. Priorities are now given to policy research on green, low-carbon and resilient (i.e. sustainable) city development in Component 1, and implementation of the concepts on the ground in cooperation with the partners in Component 2.

**Component 1: Policy research on low-carbon and resilient cities**

**Component 2: Action research on efficient use of local resources**

**Component 3: Networking with cities and other organisations**

**Component 4: Collaboration with partners in Kitakyushu**

## IGES Kitakyushu Urban Centre (KUC) Staff

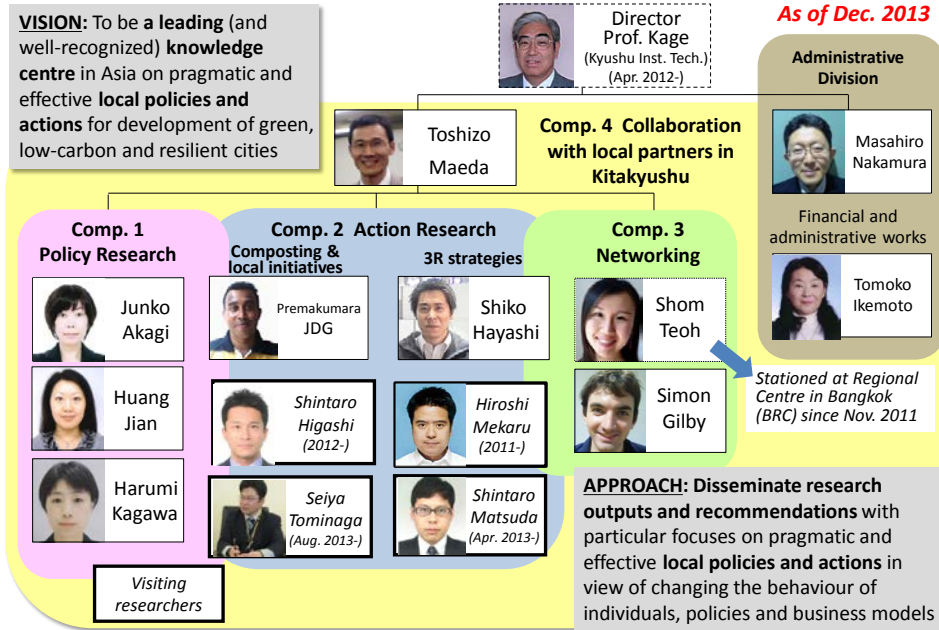


Figure 6 Revised structure of KUC components

## KUC Staff Transition and Main Research Activities

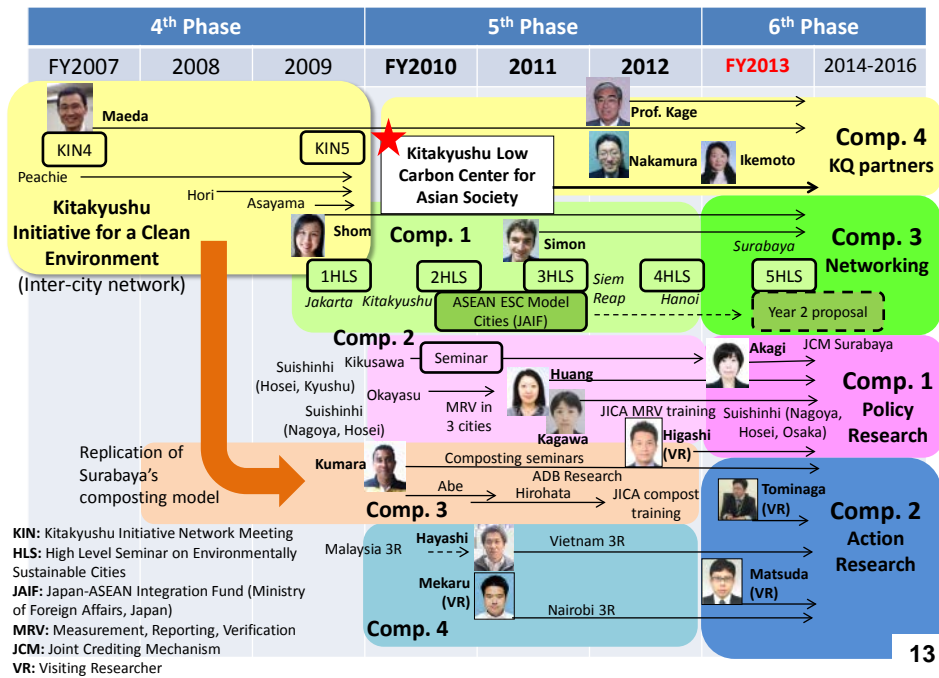


Figure 7 Revised figure on transition of KUC operation

## Recommendations 6-7: Financial sustainability

### 6. Maximise the participation of private sector in technology transfer

To maximise **technology transfer**, KUC needs to carry out an inventory on technology and services that Japanese companies have and can offer. As a research organisation, IGES should be able to provide a thorough analysis objectively – without any hidden agenda.

#### Response:

As KUC does not have a comparative advantage in technology transfer per se, rather, it will focus more on dissemination of effective and useful **environmental policies and practices**.

Potential areas for good policy transfer are the following:

- Promotion of low-carbon projects and supporting policies in energy, transport, solid waste and water management sectors based on the findings from the JCM Surabaya Project and JICA NAMA/MRV Training Course
- Promotion of measurement of greenhouse gas emissions at local level and assisting formulation of low-carbon policies by analysing the collected data based on the findings from the MRV Capacity Building Project
- Promotion of adoption of efficient organic waste management systems, policies and technical options based on the findings from the organic waste-related projects

### 7. Enhance Financial Stability

Enhance financial stability through effective cooperation with private companies. KUC may establish a **Trust Fund on “Low Carbon Society”** to which private companies can give monetary contributions. A set of benefits and explanations on how private companies can gain and or be involved is needed. Other funds can be found through holding seminars/forums (i.e. registration and/ or exhibition fees), other government funding opportunities and publishing the outputs.

#### Response:

Designing and implementing a Trust Fund concept will require further studies and guidance since KUC does not possess enough experience or an appropriate platform for that. *(IGES HQ may handle the subject in line with the Technology Needs Assessments of the Climate*

*Technology Centre and Network (CTCN) by CE Group and JCM Enterprise Platform by IPSS Group.)*

In order to improve its financial strength, KUC focuses more on **promotion of low-carbon policies at the local level** which has a strong global focus and momentum. As JCM Surabaya Project has successfully mobilised resources and accumulated project management know-how in KUC, another similar project is being developed in Hai Phong, Viet Nam, for application in FY2014 in close partnership with Kitakyushu City and associated private companies. Similarly, a new JCM feasibility study on organic waste management in Palao is being developed in cooperation with Amita Corporation.

### **Recommendations 8: New agenda on sustainable cities**

#### **8. Anticipate Future Urban Development and Trends**

Fields of research – KUC may also need to focus on **resilience**, which is one of the major concerns in the Asian region and is an area in which Japan has strong expertise. It is recommended that KUC carry out innovative institutional change by taking a holistic and integrated approach (component 2, JCM) in **addressing urban challenges, including climate change**, that in many cases go beyond administrative boundaries.

#### Response:

KUC has restructured **Component 1** to be policy research on low-carbon and resilient city development considering its importance and potential. KUC is also conducting research on resilient cities with Nagoya, Hosei and Osaka Universities in FY2013-2015.

JCM Surabaya Project is a showcase for possible low-carbon projects at city level. To supplement that, recommendations on supporting national policies particularly for energy-saving and renewable energy promotion are being explored with JICA Indonesia Office in view of supporting the Ministry of Finance, Indonesia, in formulating such policies. A similar project to JCM Surabaya project is being explored in Hai Phong, Viet Nam, in close cooperation with Kitakyushu City and associated private companies. In this way, practical recommendations toward development of low-carbon cities will be delivered to local governments.

Capacity building support for measurement of greenhouse gas emissions for local

governments officers (i.e. MRV project) was extended to five selected cities – Nonthaburi and Phitsanulok in Thailand, Ho Chi Minh City in Viet Nam, Surabaya in Indonesia, and Cebu in the Philippines – and an associated JICA NAMA/MRV (Low-Carbon City Planning) Training Course was conducted with these cities' participation. This was found to be effective in formulating low-carbon policies at local level and similar demands exist in many other cities, and so KUC will continue similar support by exploring other funding sources.

**End note:**

In retrospect, the external review was a good opportunity to objectively review the performance of KUC in the Fifth Phase (FY2010-2012), and plan the activities for the Sixth Phase (FY2013-2016). KUC staff deeply appreciate the constructive suggestions and recommendations provided by the two external reviewers and look forward to sharing the progress with them in the coming years.

# Climate Change Group

29 Aug. 2013

## Reports from the Reviewers

- Prof. Hidenori Niizawa, Hyogo Prefectural University
- Prof. Maosheng Duan, Tsinghua University

### Prof. Maosheng Duan, Tsinghua University

#### Results and findings:

##### General overview

After reviewing the material prepared by the group and hearing the presentations made by the task leaders, the external reviewer expressed his high appreciation of the work done by the climate change & market mechanism group, which is highly relevant to the decision-making and/or capacity building needs in the fields of climate change, market-based mechanisms and low-carbon society at national, regional and international levels. The reviewer is of the opinion that the group has identified adequate issues as research subjects or capacity building areas. All the identified issues are either central to climate change policy making, from international responses to climate change to impacts of low-carbon policies on industries, or they are key to improving the capacity necessary for effective participation of market mechanisms. The group's work has contributed effectively to develop clearer understanding of the challenges, to develop possible solutions/scenarios with underlying implications, to improve capacity related to urgent needs, and to decision-making at both national and international levels. The group has been very successful in making IGES an internationally influential institute, especially in the area of market mechanisms.

##### Mission, Strategy, and Priorities

It is the opinion of the reviewer that the work of the climate change & market mechanism group is fully consistent with the IGES's goals and responds to the challenges facing the international community, especially the Asia Pacific region. The work of the group has been

effective in assisting the decision-making of the national government and informing discussions at the international level, as well as enabling capacity improvement of selected developing countries in their use of the clean development mechanism. Work has also been done to develop the domestic carbon market, through full use of IGES's internal expertise. The group has identified appropriate partners with the necessary expertise in countries concerned. It has also identified target countries in urgent need of capacity building and target organisations that not only are in urgent need of capacity building but also can make a difference in those countries.

### **Quality and Policy Relevance**

It is felt that the projects conducted during the Fifth Phase were generally well designed and implemented, and the outcomes are responding directly to the decision-making and capacity building needs of relevant stakeholders, including relevant industries. Various whole solution-oriented approaches, including both qualitative and quantitative ones, case studies and scenario analysis, have been utilised in the study, and the underlying approaches are generally appropriate for the research needs.

### **Effectiveness and Efficiency**

The projects have been generally well planned and study priorities have been given to issues that are key to the decision-making of relevant stakeholders, especially funding partners. More and more research partners have been involved in the research projects of IGES and their expertise has been fully utilised. As for the capacity building component, key stakeholders have been identified, and activities have been designed and implemented responding to their most urgent needs. The successful outcomes justified the effective allocation of human resources during project implementation.

### **Accomplishments and Impacts**

The group has succeeded in achieving the expected outcomes of the projects as set out in the initial project plans. It is generally felt that the research did respond to stakeholders' needs in a timely manner, although the needs have been changing rapidly. Some of the recommendations proposed by the group have had obvious impacts at national, regional and international levels.

The climate change component analyzed not only the case of Japan but also that of developing countries, making the output more comprehensive and balanced and useful to stakeholders in various countries. As for the market mechanism component, tangible outcomes have been achieved, such as those that are CDM-related and new market mechanism-related and periodically updated databases and fact sheets, which have been frequently referred to and cited internationally. IGES has also developed partnerships with many internationally well-known organisations in the climate change area during this phase. At the national level, some proposals developed by the group have been reflected in the country position of Japan and analysis done has informed the decision-making of the national government and the industries. Some proposals have already been accepted internationally. LCS-Rnet and LoCARNet have been successful in bring together researchers and policy makers in the field of low-carbon development, making them interactive exchange platforms

which are useful to both researchers and policy makers. All this can clearly prove the successfulness of the work done by the group during the phase and the group is assisting IGES in achieving its mission and goals.

### **Recommendations**

The policy needs of decision-makers at all levels in the field of climate change can change rather quickly, given the fast changing situation of international negotiations, , for example. It is therefore necessary for the research group to maintain an appropriate level of flexibility during the project design and implementation so as to respond quickly to the changing needs, while continuing to move in the determined direction.

More and more research organisations, especially from developing countries are now involved in climate policy analysis and many developing countries are now taking substantial climate policies. It is therefore necessary for IGES to work more closely with international partners with the necessary expertise, especially those from developing countries, so as to meet the policy decision needs of developing countries and deal with increasingly intensive international competition. Cooperation with partners could take various forms, not necessarily the traditional form whereby IGES provides all/major funding needs for research.

Climate policies interlink with many other policies, so it is essential that the mixed expertise of IGES should be fully utilised through close cooperation and coordination of relevant groups within IGES. This is not only one of the advantages of IGES but also the needs to respond to the increasingly comprehensive research in the climate area.

The reviewer is of the opinion that clearer positioning of LCS-Rnet and LoCARNet could be useful for the two platforms to take more target-oriented actions and make them more unique and competitive.

Given its close connection with the national government, it would be useful for IGES to carry out more research work on Japan's domestic policies, including analysis of the effectiveness and impacts of Japan's climate policies, not only looking at experiences but also lessons. It is also beneficial to communicate the experiences and lessons of Japan fairly to stakeholders in other countries.



1. Mission, strategy and priorities

According to the mission and strategy, not only research but also policy recommendations, multi-stakeholder dialogues, capacity building, database development and maintenance, and networking have been well achieved.

According to the mission, policy oriented research is emphasised. Direct exposure to policy makers and involvement in policy making processes should be recognised as a chance and an advantage for IGES researchers (compared to university researchers, for example). The chance and advantage should always be recognised and utilised well.

Sometimes the given research subjects should be digested and redefined to get a better answer for them.

Quantitative analysis has been newly tackled by internal human resources. It is a step in the right direction.

Results of quantitative analysis depend on the specifications and parameters of the model. The results should be compared with other models.

2. Quantity and quality of outputs

Quantity and quality of outputs can be evaluated by the number of downloads as a proxy indicator of citation and impact. But that is not all.

3. Impacts generated in the major policy processes

4. Effectiveness of use financial and human resources

Collaboration with external institutes is expanding. Such collaboration can promote efficiency and effectiveness of internal resource use. The experience of collaboration can be a good chance to enhance the ability of IGES.

When a project has been carried out with external institutes or people, it should be referred to as such in the final report.

## 5. Recommendations for the Sixth Phase

Not only MRV but also NAMAs should be made explicit.

Please give a reminder about the relation between task 3 and task 4 because MRV of NAMAs is a fundamental part of climate finance.

When you use particular examples of a policy as a training material, please remember that they are examples. I recommend to begin with a text type explanation of the purpose and mechanism of the policy.

Issues of climate finance were already identified in the Fifth Phase. Please proceed with them.

## 6. As to whether research of domestic policy should be included or not.

The judgment depends on whether there are any advantages to IGES in doing such research.

# Response from the Review Groups:

## Climate Change Group

- 1) The policy needs of decision makers at all levels in the field of climate change can change rather quickly, given, for example, the fast changing situation of international negotiations. It is therefore necessary for the research group to maintain the necessary level of flexibility during the project design and implementation so as to respond quickly to the changing needs, while keep moving in the determined direction.*

### Response

Policy-making and research needs are quite dynamic and complex. Even one decision at the Conference of the Parties (COP) to the United Nations Framework Convention on Climate Change (UNFCCC) will change the needs of climate policy research for that year. The changing social, economic and political development and changes in each country may influence the domestic climate policy and this will interact with international and regional framework and activities. It is important for strategic policy research institutes like IGES to promptly respond to the emerging policy-related questions and make meaningful inputs to the policy-making process through the publication of well-timed policy briefs, submission of our own analysis and proposals to the issues concerned. It is also important to organise workshops in order to engage with relevant stakeholders to reflect different views. Providing mid-term and long-term policy directions with sound and scientific research is another important aspect of our work. These are all integral parts of our operation and we will make our every effort to work as a flexible and reliable policy research institution.

- 2) More and more research organizations, especially from developing countries are now involved in climate policy analysis and many developing countries are now taking substantial climate policies. It is therefore necessary for IGES to work more closely with international partners, especially those from developing countries, with the necessary expertise, so as to meet the policy decision needs of developing countries and increasingly intensive international competition. The cooperation with partners could be in various forms, not necessarily in the traditional form that IGES provides all/major funding needs for research.*

Response:

Research institutions and government organisations in developing countries will play significant roles in transforming the current growth pattern to a sustainable and low-carbon society while establishing the international climate policy architecture. Such organisations are the ones conducting policy research and supporting the decision of policy-makers in their own country. In order to support and influence international, regional and national climate policy, good partnership and collaboration with research institutes in developing countries is essential. IGES was established with the spirit of enhancing cooperation with research institutions particularly with the emerging Asia and Pacific region. More than twenty institutions including government and international organisations have signed the Charter for the Establishment of IGES, and the number of MOUs for joint research and activities is growing. There have also been changes in the way and approach that cooperative activities will be organised and implemented. Several research institutes are already equipped with high quality research capacity and have better access to the potential activities and funding so they can better provide research service and policy advice to those in need. In this respect, trilateral (south-south-north) and quadrilateral (south-south-north-north) collaboration will play a more significant role. IGES will develop such new and innovative cooperative frameworks in the region. Indeed, we have already established good relationships with China's Energy Research Institute and Tsinghua University, The Energy and Resources Institute (TERI) in India, the Korea Environmental Institute (KEI), as well as the Thai Greenhouse-gas management Organization (TGO), AIT (Asian Institute of Technology), and the Institute for SPONRE, to name a few. We are attempting to produce joint outputs and proposals with these partners on such topics as an international process for making nationally determined contributions more ambitious under a post-2020 framework.

***3) As climate policies are interacting with many other policies, it is essential that the mixed expertise of IGES could be fully utilized through close cooperation and coordination of relevant groups in IGES. This is not only one of the advantages of IGES but also the needs to respond to the increasingly comprehensive research in the climate area.***

Response:

CE group is making significant efforts to conduct cross-IGES projects/activities to take advantage of diverse expertise and unique characteristic of IGES researchers. For example, since FY2011 the MRV (monitoring, reporting and verification) project has been implemented as an IGES-wide activity involving most of the research groups in

the institute. Since FY2013, “the Asia Low Carbon Development Strategy Project” (formally, Joint Crediting Mechanism Large Scale Project Development) was launched to promote and demonstrate environmentally-sustainable cities in Asia through the Joint Crediting Mechanism (JCM) that the Government of Japan is currently proposing under the UNFCCC. The project is to provide a “packaged support” to partner cities in Asia with the introduction of low-carbon policies and measures. It also includes implementation of a feasibility study together with capacity building support for a wide range of sectors such as solid waste management, energy efficiency, water sanitation and transport, involving various stakeholders (e.g. local government, private sectors, research, NGOs). The task is implemented jointly by CE and other Areas, including KUC, KRC, IPSS, SCP and GE.

***4) The reviewer is of the view that clearer positioning of LCS-Rnet and LoCARNet could be useful for the two platforms to take more target-oriented actions and make them more unique and competitive.***

Response:

Until 2013, both networks were successfully organised based on collaboration among international researchers’ communities as well as on a close connection with decision-makers. Based on this, and from 2014, the first year of second phase of LCS-RNet and the third year of LoCARNet, both networks will set up plans and conduct activities in a more target-oriented manner, so as to take recommendations from these communities of researchers and reflect them into the international arena in line with UNFCCC process as it progresses into the 2020 regime. Other efforts have focused on enhancing South-South collaboration by involving Asian LoCARNet researchers in the activities of the climate change international training center in Thailand. These plans would provide the momentum to enhance participation of other IGES researchers in various fields.

***5) Given its close connection with the national government, it would be useful for IGES to do more research work on Japan’s domestic policies, including analysis of the effectiveness and impacts of Japan’s climate policies, not only experience but also lessons. It is also beneficial to communicate fairly the experiences and lessons of Japan to stakeholders in other countries.***

Response:

We recognise the importance of making contributions to current climate policy discussions at

the domestic level. Japan's newly announced 2020 target is tentative and is subject to future revision. In accordance with COP19 decisions, the Japanese government is set to communicate its post-2020 mitigation contributions in 2015. It is critically important for the Japanese government to establish not only a revised 2020 target but also a longer term strategy for reducing its emissions, with a view to taking steps to achieve its 2050 target of reducing emissions by 80%, and aligning its contribution to a global effort to keep emissions within the carbon budget for the two degrees target. We are determined to contribute to this policy process by analysing Japan's national carbon budget as well as by communicating with policymakers and other stakeholders on the implications of different scenarios for low-carbon transition utilising decision support tools such as the Calculator 2050.

**6) *Not only MRV but also NAMAs should be made explicit.***

Response:

CE has also been active in the research activity on NAMA since its introduction. IN 2011, CE conducted comparative studies on NAMA preparation in South East Asia and disseminated the results in a policy brief. CE has now started to support the development of NAMA at the local and city level through the preparation of GHG inventory, development of low-carbon policy, and scenario analysis. In order to realise low-carbon society in Asia and the Pacific, NAMA development and implementation at the national and local level is essential. To this end, CE will develop simple and practical approaches and tools to support the planning and development of NAMA.

**7) *Please be reminded of the relation between task 3 and task 4 because MRV of NAMAs is a fundamental part of climate finance. Issues of climate finance were already identified in the Fifth Phase. Please proceed with them.***

Response:

We recognised the importance of linking MRV and NAMAs as well as climate finance. NAMA financing is one of the themes that will be addressed in the Sixth Phase. Since FY2013 the research activity on climate finance has launched focusing on the roles and functions of existing and emerging institutional arrangements, financial initiatives, and negotiation agendas under and outside the UNFCCC. It aims to develop policy proposals through active involvement in the design process of the newly-established green climate fund (GCF). It also aims to make contributions to the possible consideration for coordination and cooperation among different climate finance regimes.

# Natural Resource Management Group

- Freshwater
- Adaptation

Beijing Office (Water components)

27 Sep. 2013

## Reports from the Reviewers

- Prof. Kazuya Yasuhara, Professor, College of Engineering, Ibaraki University
- Dr. Srikantha Herath, UNU ISP Tokyo

### Introduction

The IGES researchers presented the progress and achievements of two sections covering the following sessions:

1. **Review Session 1**
  - a. Water quality component
  - b. Groundwater component
  - c. Water-energy nexus study
2. **Review Session 2: Adaptation**
  - a. Adaptation research programme

A unified external report was made based on the results from the Presentations and Question and Answer Sessions as well as the final Review Comments and Discussion session after presentations of two components on 27 September, 2013 at IGES Headquarters.

The overall impressions of the achievements are summarised as follows:

- a. Excellent results have been obtained from research conducted in the two components during the Fifth Phase.
- b. These achievements make impressive contributions to current topics under discussion in international and global platforms on fresh water and adaptation themes.
- c.

A detailed report of the review was made in two sections:

- a. A general section pertaining to the role and character of IGES and alignment of research in relation to funding and stake holders.
- b. A specific review section that address each research topic with recommendations for future development.

## General Comments

Defining the role of the institute and aligning activities towards this objective is essential for the success of an institute. The objective of IGES is to define itself as renowned think tank on applied policy on topics that have a practical and current significance in realising a sustainable Asia Pacific region. In the recent past, it has been seen that the mode of conducting research had been undergoing a transformation towards partnership type of research due to changes in funding sources and availability of opportunities. One of the major challenges the institute would be facing is to keep the identification of a think tank for applied policy while conducting these funded research programmes. Some of the programmes may be of a consultancy nature. Some programmes resemble the work of a research institute, which requires long-term commitment in order to develop significant new knowledge in a particular area. Another complexity arises from the tensions between funded projects and integrative research. Keeping a balance between the depth required in a specific disciplinary area to acquire funded projects with the breadth needed to conduct integrative synthesis is not an easy task considering the present state of funding available for integrative research.

It is heartening to note that IGES staff are very much aware of these challenges, and several mechanisms are available at IGES to address these issues. One of the approaches would be to couple broader policy research themes with specific case studies that may be conducted either as part of the theme or as specific activities of a partnership project. Some notable results in this respect were seen in the presentations related to topics on MRV, Water-Energy nexus, Adaptation metric development, etc. Such case studies on practical solutions to specific problems help to highlight and explain the policy outcomes presented by the institute.

This approach can be connected to the reporting practice of the institute and the reporting obligations of each research group. The White Paper series as explained during the discussion would be a good vehicle for such integration. It may require allocation of necessary human resources for such synthesis. A further development could be to invite network partners to contribute to such synthesis reports that would be useful in establishing the institute as a think tank.

## Specific Comments

### Freshwater

1. Water Quality, WEPA; MRV; Sino-Japan
  - a. Water Quality and WEPA: The WEPA programme has over the years produced useful information related to the current status of water quality measurements, practice and tools in member countries. The programme may explore the possibility of establishing regional standards for some of these aspects so that regional collaboration can be easily carried out.
  - b. MRV: The MRV project is a very interesting example that shows close resemblance to concepts and practices promoted by the 'Zero Emissions Forum', and synergies with their findings may be explored. The development of a generic MRV framework based on the project could be useful to transfer this experience to other areas/countries.
  - c. Sino-Japan: The joint activities are very much appreciated not only



from the view point of research collaboration, but also on the importance of establishing close bi-lateral relations in the field of water quality and freshwater.

## 2. Ground water

- a. Groundwater is an area where long-term observations and monitoring is very important to understand the emerging challenges related to groundwater resources. Under current practices of project based ODA for groundwater development in the developing countries do not support such mechanisms where such information is very much needed. With the designation as a Knowledge Center for groundwater, IGES could play the important role of being a repository of such information, based on the success of WEPA information base. The networking role currently emphasised in the programme also would be useful in such activities.
- b. A re-examination of conjunctive use of surface and groundwater, from new perspectives, especially as a mechanism to address increasing variability under climate and environmental change could be an overarching theme to consolidate projects conducted under the programme.

## 3. Water-Energy Nexus

- a. This is a timely project, which is generating a growing interest worldwide. Expanding case studies, especially in Asia, will be an important extension for this program.
- b. Opportunities and Conflicts: Life cycle-based analysis on water use for energy generation as well as energy use for various water uses may reveal clearly the opportunities for energy conservation, managing conflicts among sectors such as power and irrigation. Such analysis may also investigate the importance of maintaining water quality in relation to water reuse.

## Adaptation

### 1. Metrics and Indicators

- a. Overview: This is a topic which IGES is well known for and has made important contributions to. Demonstration of the practical application of the metric through case studies as done in the review presentation is very important to highlight the concepts, constraints and potential of adaptation metrics at various stages of development.
- b. Future Directions: One of the major challenges in adaptation is attribution, both for causes of adverse impacts and for effectiveness of adaptation strategies. Investigation into the use of metrics is an important area for further research. In this respect, relating the metrics to loss and damage potential may be a fertile area for investigation, as the metrics are designed to capture adverse impacts.

### 2. Adaptive Policies

- a. Overview and comment: The research provides an interesting perspective on the adaptive policymaking. On one hand the uncertainty of the future, especially in relation to climate change, calls for policy changes to adapt to emerging conditions, but on the other hand frequent policy changes are shown as ineffective. An analysis on the causes, such as system inertia, stakeholders and targets, may further highlight directions to be taken in adaptive policy making.

### 3. Risk insurance

- a. Comment: This is a very important initiative, as increasing risks due to severe climatic events such as stronger typhoons and increasing storm intensities call for mechanisms to share losses and damages regionally. The findings of constraints for regional risk insurance is important and may be further analysed through categorisation of disaster frequencies and magnitude.
4. Capacity development
    - a. Comment: The capacity development activity showed an impressive approach to design and evaluation of training modules. Capacity development is a major and urgent global need and would benefit greatly from such activities. It should also be noted that effective capacity development requires long-term commitments and in this respect it is important to find ways to align capacity development with the research programmes of the institute.

### **Concluding Remarks**

The review showed a wide range of fresh, innovative and interesting research carried out at IGES. It is hoped this commitment to policy research in the areas of fresh water and adaptation is nurtured and promoted in accordance with the Sixth Phase Research programme to identify synergies and synthesise research. Pursuit of these research directions will support further enhancement of IGES as a think tank for applied policies in environmental strategies, at the local, national and international levels. The important challenges would be to (a) Keep focused on key areas of expertise development without fragmentation through small diverse projects and (b) Maintain policy research as the focus area of the institute and aligning existing and emerging programmes towards that. We believe that allocation of some core funds and White Paper production discussed, will provide viable mechanisms for this synthesis.

# Response from the Review Groups:

## Natural Resource Management Group

- Freshwater
- Adaptation

### Freshwater Sub-group

#### (1) General Comments

**Reviewer's Comments:** Defining the role of the institute and aligning activities towards this objective is essential for the success of an institute.

**FW's response:** We believe that IGES should become "Do-Tank" institute, creating impact to current policy or strategies in the region for realizing sustainable development both in the Asia-Pacific region and globally. In order to achieve the objective, we should not only produce research output but also alter current situation by utilizing it. Fortunately, FW has WEPA and groundwater knowledge hub as networking, and therefore, we would like to provide our knowledge obtained from our research activities to actual policy makers and implement capacity development by utilizing obtained knowledge.

#### (2) Water Quality and WEPA:

**Reviewer's Comments:** The program may explore the possibility of establishing regional standards for some of these aspects so that regional collaboration can be easily carried out.

**FW's response:** We agree that it is one good way for enhancing regional collaboration to discuss about the establishment of regional standard in the future activity. However, in the past activities of WEPA, we found "Diversity" in this region in the respect of natural, social and cultural conditions. Therefore, we have to consider different conditions in the different countries when we will discuss about this issue.

#### (3) Ground water

**Reviewer's Comments:** With the designation as a Knowledge Center for groundwater, IGES could play an important role of being a repository of such information based on the success of WEPA information base. The networking role currently emphasized in the program also would be useful in such activities.

**FW's response:** We also agree that IGES should enhance the networking role as groundwater knowledge hub. However, because we are now facing financial constrains to maintain this

networking, we would like to discuss internally how to utilize the groundwater knowledge hub in the future.

**Reviewer's Comments:** A re-examination of conjunctive use of surface and groundwater, from new perspectives, especially as a mechanism to address increasing variability under climate and environmental change could be an overarching theme to consolidate projects conducted under the program.

**FW's response:** FW's response: We also think that re-examination of conjunctive use of surface and groundwater is important aspects and there is growing interest on this issue in the face of climate uncertainty and increasing water demand. We would like to consider how to reflect conjunctive uses more in our future activities.

#### **(4) Water-Energy Nexus**

**Reviewer's Comments:** Life cycle based analysis on water use for energy generation as well as energy use for various water uses may reveal clearly the opportunities for energy conservation, managing conflicts among sectors such as power and irrigation. Such analysis may also investigate the importance of maintaining water quality in relation to water reuse.

**FW's response:** We developed a unique quantitative assessment tool to investigate the interrelationship between water and energy, which includes global circulation model, hydrological model, and water adjusted energy system model (MESSAGE). Life cycle based analysis on water use for energy has already been incorporated in the assessment tool through MESSAGE model. In the future research work we will include water adjusted land use model in the quantitative assessment tool to analysis tradeoff among sectors. Water quality issue cannot be addressed with current assessment tool. However, we would like to reflect water quality issue in our future research works.

---

## **Adaptation Team**

**General observation:** In general, the team is thankful to the reviewers for an overall positive evaluation of research areas, methods and approaches employed by the AD team. The comments are particularly helpful to the team in terms of expanding the mandate into new areas (as in case of application of metrics in loss and damage) or expansion and continuation of the research areas (as in case of adaptive policies, risk insurance and capacity building) which the team would strive to achieve as permissible within the direction that the institute takes in the near future as new and new areas emerge for focus.

#### **(1) Metrics and indicators**

**Reviewer's Comments:** This is a topic IGES is well known and had made important contributions to. Demonstration of the practical application of the metric through case studies as done in the review

presentation is very important to highlight the concepts, constraints and potential of adaptation metrics at various stages of development.

**AD's Response:** The team has noted the specific suggestion of implementing the metrics in a case study approach. As noted by the reviewers, the team has already been conducting this study in a case study mode with community engagement in the three countries of the Gangetic basin. In the last two years of the research is focused on identifying bottom up and top down priorities of operationalizing such indicator concept and evaluating the pros and cons of the same in integrating indicators into the local adaptation index being conceptualized.

**Reviewer's Comments:** One of the major challenges in adaptation is attribution; both for causes of adverse impacts and the effectiveness of adaptation strategies. Investigation in to the use of metrics is an important area for further research. In this respect, relating the metrics to loss and damage potential may be a fertile area for investigation, as the metrics are designed to capture adverse impacts.

**AD's Response:** The local adaptation index which is being conceptualized based on the global adaptation index already includes the climate change component in it in terms of change in rainfall and other climate parameters and hence the index is sensitive to these elements.

The suggestion of use of metrics for loss and damage is a unique one and the team will continue to strive to find applications in that area having embarked upon the loss and damage subject in FY 2013.

## **(2) Adaptive policies**

**Reviewer's Comments:** The research provides an interesting perspective on the adaptive policymaking. On one hand the uncertainty of future, especially in relation to climate change, calls for policy changes to adapt to emerging conditions, but on the other hand frequent policy changes are shown as ineffective. An analysis on the causes, such as system inertia, stakeholders and targets, may further highlight directions to be taken in adaptive policy making.

**AD's Response:** Though the research on adaptive policies came to a close with the closure of the APN research project funded under CRP2009-02NMY-Pereira, our interest on this subject is far from over especially for the same reason that the reviewers have pointed out. Further empirical research is required on the reasons why policies that are often modified need not be effective and we will try to integrate this aspect in other areas of research that the team would embark upon in the near future.

## **(3) Risk insurance**

**Reviewer's Comments:** This is a very important initiative, as increasing risks due to stronger climatic events such as typhoon strengthening and increasing storm intensities calls for mechanisms to share losses and damages regionally. The findings of constraints for regional risk insurance is important and may be further analyzed through categorization of disaster frequencies and magnitude.

**AD's Response:** The team has recently embarked upon a new APN research project ARCP2013-SP50-Prabhakar wherein the team envisage to look into the efficacy of different insurance measures in different categories of natural disasters and develop methodology to identify climate change adaptation and disaster risk reduction benefits of insurance measures. We will take this point with the team members of the project to further elaborate it into a research question compatible with our ongoing project.

#### **(4) Capacity development**

**Reviewer's Comments:** The capacity development activity showed an impressive approach to design and evaluation of training modules. Capacity development is a major and urgent global need and would benefit greatly from such activities. It should also be noted that effective capacity development require long term commitments and in this respect it is important to find ways to align capacity development with research programs of the institute.

**AD's Response:** This work is far from finished as the piloting of training modules has been taken up in countries of Nepal, Mongolia and Lao PDR in FY2013. Recognizing the importance, the IGES administration at large has already started consolidating all capacity building programs run by individual teams into a concerted action at the institute level. The reviewers comment is very valid in terms of need for long-term commitment and we hope that our initial contribution will attract attention to further expand this area of work in collaboration with wider stakeholder network we established.

# Kansai Research Centre

25 Oct. 2013

## Reports from the Reviewers

- Dr. Venkatachalam Anbumozhi, Asian Development Bank Institute
- Prof. Seiji Ikkatai, Musashino University, Faculty of Environmental Science

### **1. Introduction**

In response to the request made by Institute for Global Environmental Strategies (IGES) Kansai Research Centre (KRC), we undertook a peer review of its Fifth Phase research project on 25 October, 2013. The purpose of the peer review is to examine to what extent KRC activities conducted in the Fifth Phase satisfied the original targets and intentions of the studies and its impact created in important policy processes. The review was also expected to promote better implementation of the research in the Sixth Phase. We hope that this report will contribute to further improvement of KRC's research activities

### **2. Overall Assessment, Key Findings and Issues**

KRC performance has been evolving since its establishment in 2001. KRC has been able to move forward under its four phased research projects, having very good research network including environment-related companies as well as concerning governmental and international organisations. It is important to research and analyse companies' performance in order to design policies for protecting the environment to ensure sustainable development in line with the needs of the Asia Pacific Region.

#### **2.1 Mission, Strategy and Priorities**

IGES's vision statement and Fifth Phase research framework document seeks to emphasise the quality of research projects by pursuing excellence and originality in the areas where business

sector stakeholders have strategic advantage. From these points of view, we agree that the project “Research Partnership for Application of Low Carbon Technology for Sustainable Development in India (ALCT)” and the project “Market-based Instruments for Improving Company’s Carbon Performance in Northeast Asia (MBIs)” are both appropriate research projects for KRC according to its mission, strategy and priorities. Both projects have maintained strategic focus on the business sector with bifurcated roles of dealing with small and medium-sized enterprises and large sized business. While IGES and KRC overall mission and mandate have remained the same since they were established, the macro-environment and the context under which businesses operate have changed due to policy environments and international cooperation, which in turn has influenced the choice of research themes by KRC.

## **2.2 Quality and Policy Relevance**

The current group of researchers consists of KRC research staff, researchers and administrators seconded by Hyogo prefectural and MOEJ, as well as visiting researchers from businesses and supporting staff appropriate for the project implementation. KRC assigns the topics to those who are experts in the field or to those who have operational experience by often encouraging them to be seconded from business sector or government. In the selection of researchers, appropriate persons are selected based on their qualifications and availability. Quality control is done by an external and internal process. There are ad hoc internal procedures within KRC/IGES to maintain standards and quality in the determination of inputs and organisation for research products . There are strengths and weakness in the methodology of the analysis in research products wherever appropriate for either econometric and operational research analysis. The robustness of such approaches needs to be tested at the beginning of the research phase with respect to the use of alternate data sets, country settings and parameter values.

## **2.3 Effectiveness and Efficiency of the Project Plan**

Overall, KRC’s project plans are found to be relevant, effective and useful. KRC research products, planning and management are well organised. They have enhanced IGES’s effectiveness in providing valued added information to businesses and policy making community and contributed to the usefulness of such information. They add to the stock of available knowledge. The usefulness of KRC workshops and symposiums in terms of utilising event –obtained knowledge remains to be improved relative to the effectiveness and relevance of other similar events conducted by other projects in IGES HQ. Events like distinguished speaker seminars, brown bag discussions, evening thought business talks could be incorporated as projects where appropriate to the project design.



## **2.4 Accomplishments and Impacts**

The panel's overall evaluation of KRC's research is that it is generally useful, informative and appropriate to the needs of policy and business community. IGES/KRC is not an academic institution but tasked to provide strategic knowledge support to policy making process in the Asia-Pacific region. The panel found that almost all of the KRC Fifth Phase products chosen for review are of good quality and relevant to project objectives. Journal articles show the originality of research. Citation and impact analysis was not applied to KRC Fifth Phase research products, which could be done in a systematic way. Views of the panel included that KRC should strengthen its activities of informing practitioners (i.e. business and policy makers) about how the research findings will work and its implications for what they can do about it. The best work of KRC should serve to build bridges among research, business and policymaking communities.

## **3. Detailed Comments on ALCT and MBIs Study Components and suggestions for Sixth Phase research**

### **3.1 Application of Low Carbon Technology for Sustainable Development in India (ALCT)**

- It is quite valuable to introduce and show the performance of real energy-saving facilities for Indian small and medium enterprises (SMEs) directly in order to find out the problems and obstacles to applying them in India.
- The project is very well coordinated between Japanese side and Indian side. In the Sixth Phase, the project could focus on collecting Japanese perspectives and advocating the Indian side on categorising the proven technologies as environmental goods and services.
- Since this project has great potential to develop various valuable policies both for India and Japan, there should be records and reports of every experience, especially with regards to the cost of the project including the facilities and others borne by Japan and India
- At the same time, we are convinced that these records and reports may help for further analysis in the Sixth Phase on costs and financing of such technologies for large scale market uptake through sector and cluster focused approaches.
- We hope that KRC will carry out intensive follow-up research and find innovative ways of financing this project even after the official research period which ends in March 2014.

### **Market-based Instruments for Improving Company's Carbon Performance (MBI)**

- This project is well researched with regards to the MBIs policy measures in China, Korea and Japan,
- It is valuable to know company preference on MBIs, but care is needed to draw the policy implication according to their preference.
- It is important to know the reason and situation as to why these companies show such preference. From this point of view, it seems valuable to analyse the difference of background between EU and these three countries. For example, it is crucial to know how to set the GHG reductions target by the government. In Japan, the 2020 reduction target of 25% had a strong condition namely, “with a premise upon an agreement on aggressive reduction targets being achieved by all the major emitting countries”. In this situation, many Japanese companies do not think they should reduce GHG actively. On the contrary, EU set very clear GHG reduction target by 2020 without condition.
- From this view point, it is interesting to see the research result on determinants for industrial energy saving. It shows us that there is no “pressure from the government” (of 3 countries). A disaggregate analysis may help.
- If government could set clear GHG reduction targets with the strong consensus of the people, then MBIs could be a reasonable reduction measure for companies. In conclusion, it is too early to suggest the design of common MBIs for the three countries. It is appropriate to consider additional research and analysis on EU and member countries' experience, pragmatic assumptions on several other factors that limit the recommendations.
- The scope of the project in the Sixth Phase shall be expanded to include other regional countries like Mongolia, and issues like revenue neutrality.
- IGES has many related valuable research projects on MBIs in HQ, thus we strongly suggest creating synergy with HQ.

#### **4. Recommendations**

- Facilitate institutional changes to create synergy between IGES HQ and KRC to improve the effectiveness and outreach of KRC knowledge products, and further strengthen its linkage with other projects to increase the impact of the research results. Some options include making effective use of HQ by taking greater advantage of some of other projects access to policy process; monitoring and utilisation of results of other research projects, and increasing coordination between HQ at operational levels.

- Further strengthen the quality of research products and policy briefs to include other researchers, theoretical and operational underpinnings, to an extent that can guide study countries to formulate appropriate policies. Some options include strengthening quality control mechanisms so that they are more systematic at every stage of research production, further involvement of key stakeholders such as policy and business in respective countries at the beginning of the project, examining the organisational implications in KRC for innovations such as the White Paper and to improve synergies between two outreach workshops, and exploring formal institutional links and networks with selected knowledge partners in the Asia-Pacific region.
- Take strategic steps to increase KRC's visibility as a bridge between policymaking and the business community in the Asia-Pacific region, considering multidimensional improvements to reach a wider audience. Options include working with Kansai-based Kankeiren, JICA, UNEP-IETC, and APEC Business Council on ways to increase outreach, reassessing the distribution incidence of research publications to encompass more relevant constituents, and instituting further improvements and changes in the web based communication systems.

# Response from the Review Groups:

## Kansai Research Centre

12 November, 2013

The two reviewers undertook a peer review to the Fifth Phase research of KRC on 25 October 2013, focusing on two major projects, namely 'Research Partnership for Application of Low Carbon Technology for Sustainable Development in India (ALCT)' and 'Market-based Instruments for Improving Company's Carbon Performance in Northeast Asia (MBIs)'.

### **Overall Evaluations:**

Both projects have maintained emphasis on the business sector in line with the mission and priority of KRC. The research planning and management are well organised. The outputs are of good quality and policy relevant. Publication of a significant number of journal articles indicates the originality of research. The project products are informative and useful. Specifically, the ALCT project provides valuable information on the actual performance of energy saving facilities in small and medium-sized enterprises (SMEs) in India. The MBIs research was well done and clarified the business opinions to the pricing of carbon emissions from various perspectives. The findings have meaningful policy implications for the research target countries.

### **Recommendations:**

In addressing the importance of research quality, the review panel shared their recommendations from three major aspects. One is continuation of research activities of KRC in the current Sixth Phase under the high need for fundraising. The second is the synergy with IGES HQ for enhancing the impact generation of research outputs. The last expectation is to increase the visibility and advantage of KRC through continuous links with the business community.

### **Responses:**

KRC highly appreciates the positive and encouraging evaluations of the reviewers.

The importance of keeping the continuation of research activities was recognised. The ALCT project is scheduled to finish at the end of FY2013. On the basis of the accumulated experience from the ALCT project, the following activities in India, with possible extension to other Asian countries, are being planned. Priority will be given to spreading LCT in certain industrial

clusters and carrying out capacity building when necessary. With the closure of the ALCT project, the budget for KRC has become very restricted. KRC will make its greatest efforts in fundraising. A practical way for filling up the financial gap is to apply for external funding in cooperation with HQ. Recently, KRC has started discussions with the Climate and Energy (CE) area to integrate research in India and other optional Asian countries into the frame for the formation of large scale projects under Japan Crediting Mechanism, which may get funding from MOEJ.

KRC takes practical measures to enhance the impact generation of research outputs. More involvement of key stakeholders, like policymakers and businesses, will be arranged throughout the research process to gather their insights and make sure the research policy is relevant. Synergy with other teams at HQ, e.g. CE Area and LCS-RNet, will be enhanced to increase impact generation, taking advantage gain access to policy and research processes. KRC symposiums and IGES-wide events will be utilised efficiently for the dissemination of research findings. Extension of research networks and working with international organisations are effective ways for the outreach of research products.

Lastly, KRC intends to further strengthen the linkage with the business sector and make better use of its unique advantage for future activities. The network has been developed mainly by connecting with individual companies for their cooperation in research surveys and provision of technology knowhow. For policy research and technology diffusion on a broader scale, liaisons with business groups will be enhanced, including local based business organisations (e.g. Kansai-based Kankeiren and the industrial associations of Hyogo prefecture), industrial associations at country level and international business councils.

# Economy and Environment Group

1 Nov. 2013

## Reports from the Reviewers

- Prof. Jeong-In Kim, Dean, Graduate School of Industry & Entrepreneurial Management, Chung-Ang University, Korea
- Prof. Toshihide Arimura, Professor, Faculty of Political Science and Economics, Waseda University

Overall, the performance of the EE group at IGES over the past 3 years was quite impressive and the group was successful in securing external funds and good financial contributions as well as research results. EE team had three main topics: impact assessment, trade and environment, and economic instruments including green investment.

We as external reviewers want to make some comments on their projects and suggest further research areas in the future for the EE group in the Sixth Phase.

For research on the resource circulation system in Asia, the use of iron ore after the Japanese introduction of a resource tax in 2012 and trying to show the tax impacts on the six target countries brought feasible and interesting results for the recycling industry. However, the concept of a waste disposal charge on scrap may cause some confusion and be slightly difficult to understand. Scrap stock flow analysis may be a good area of research in the future.

Border carbon adjustment (BCA) research is certainly interesting and needs to be developed further as a research field. The results are also reliable and meaningful for trade and inventory. Meanwhile, a well-designed domestic policy is important, and export products credit creation is also critical. Future work will include study of products related to carbon reduction such as the export of products with carbon labelling export and concepts of credit will be defined at the first stage. We would like to add that the research on BCA was particularly relevant to policy discussion not only in the US and EU, but also in Japan.

The valuation of ecosystem services is good area for future research with the adoption of the Nagoya protocol. Different approaches have been carried out for research on biodiversity like PES, the impact of REDD plus, biodiversity offset, and productivity. The results of productivity of biodiversity are simple but effective indicators to explain to developing countries why they need to preserve the environment. The research team will consider, however, the biodiversity offset. Rather than having a one-to-one offset system, they need to

think about long-term period mechanism among the biodiversity offsets. Joint analysis reflects the unique results of WTP from the scenarios. Therefore, it is better to explain why the result was different from the ordinary results.

Accounting for material and carbon emissions is challenging work because of the data source for the input – output. Using 2004 as a whole is a little out of date for the analysis and it would be better to have current regional data sources. The same thing applies for the carbon footprint. Supply chain approaches are good for upstream products, but data availability is very important.

Lastly, the renewable energy market in EAS was another important but time-consuming research job. However, the research model was simple and intuitive. Selection of variable is too much but different meaning of independent variable. Good future candidates for analysis in the future might be power sector variables such as electric market system, i.e., price mechanism and green pricing and RPS.

In order to make better and more effective projects in the Sixth Phase, we recommend the following points:

1. Try to gain solid and constructive results for the research; green jobs will be a good area of research for IGES and developing countries.
2. Place more emphasis on green investment and financing for the research agenda, and also look at the impact of investment in the GTAP model.
3. Try to have reliable resource data such as renewable energy in the GTAP at IGES. This is essential and crucial in the future.
4. Nexus research is a good selection for the study; the energy-water nexus will be the first priority area of concern.
5. The project on renewable energy has great potential both from policy and academic perspectives. However, the project needs improvement in several directions. First, data collection work should be expanded to cover more years. Second, there need to be a better analytical approach. Involvement of experienced econometricians can be useful for this topic.
6. Data work on the disaggregation of the iron and steel sector for CGE and IO analysis has been unique, successful and potentially useful for researchers in policy-relevant modeling. Therefore, the data should be made publically available. In this way, the work can have strong contributions in the policy arena. Moreover, further work on the sector disaggregation should be encouraged.
7. The use of external academic researchers should be encouraged. By involving academic researchers with good publication records, EE group should be able to publish more output in peer review journals without spending more time on it. This helps to obtain more external funding.

For the given mission of IGES, EE group has adopted appropriate strategies and chosen the right priorities by studying important topics such as climate change, biodiversity, resource scarcity and renewable energy. It should be mentioned that research based on data construction with modeling work is also a step in the right direction. In general, this approach requires the collective work of individual researchers. This is the comparative advantage of a research institute such as IGES.

The efficiency of project design should also be pointed out. EE group made good use of modeling work by focusing on the iron and steel sector. Using the same data sources, the EE team has been able to answer difference policy relevant questions. This showed efficient use of limited resources.



# Response from the Review Groups:

## Economy and Environment Group

21 November 2013

### 1. General response

The two reviewers conducted a review of the overall presentation that summarised the Fifth Phase final report of the Economy and Environment Group (EE) and five presentations on the representative projects conducted by EE during the Fifth Phase, with particular focus on the following issues:

- (a) Mission, Strategy, and Priorities
- (b) Quality and Policy Relevance
- (c) Effectiveness and Efficiency of Project Plan
- (d) Accomplishments and Impacts

In addition to the overall comments covering the above issues, they also provided specific suggestions. We welcome all comments provided in the review report, as well as during the review session, which are considered relevant and constructive to the future research work of the Green Economy Area (GE) in the Sixth Phase.

### 2. Specific responses

The following are specific responses corresponding to the seven suggestions in the review report for future improvement of the GE Area.

- (1) Try to gain solid and constructive results for the research; green jobs will be a good area of research for IGES and developing countries

#### Response:

Green jobs assessment is a new research and policy area initiated by both international organisations (UNEP, ILO, etc.) and national governments of both developed and developing countries. There is no agreed definition of green jobs and the scope of green jobs is controversial, i.e. whether green jobs should include only direct jobs of the green sectors (renewable energy sector, ecological conservation, waste management, environmentally-friendly practices such as organic agriculture, etc.), or should also include indirect jobs (upstream sectors) and induced jobs. From a methodological viewpoint, there are many different approaches for estimating green jobs, including survey, statistical analysis and modelling, in particular input-output analysis and social accounting matrix. The big challenges for estimating green jobs are two-fold. One is a clear definition and scope of green jobs. The second is data. Current national statistics do not have particular category for green jobs. Relevant statistics may relate to the sector of environmental goods and services. However, in many countries, there are not even any statistics on the sector of environmental goods and services. IGES is now supporting ILO's green jobs assessment programme by conducting a national green jobs mapping study to take stock of national policies supporting the creation of green and decent jobs, as well as to define the criteria for identifying green jobs in the national context and identify the scope of green jobs. In addition, IGES is

also doing quantitative research (using IOA) on the job creation effects of green investment in Japan, China and ROK. These studies will contribute to fill in the knowledge gap on the scope of green jobs definition and data on the estimation of green jobs.

- (2) Place more emphasis on green investment and financing for the research agenda, and also look at the impact of investment in the GTAP model

Response:

We have started a model development to address green investment and financing area particularly focusing on the impact of the renewable energy sector investment related to green gifts that is being discussed on the political level in Japan. This model is a single country computable general equilibrium (CGE) model based on the detailed Japanese input-output table with further disaggregation of renewable energy related sectors, and based on this model we will estimate the economic impacts of green gifts including the impacts on tax revenues. This study will contribute to establishment of methodology relevant to address green investment and financing area.

- (3) Try to have reliable resource data such as renewable energy in the GTAP in IGES. This is essential and crucial in the future

Response:

We are continuing to develop global CGE models based on the GTAP database with necessary extension corresponding to the research questions. For example, the disaggregation of iron ore mining from the mining sector or disaggregation of iron-steel producing sectors into pig iron, blast furnace steel and electric arc furnace steel will provide a very useful database for addressing sustainable resource use in terms of iron. Further, we also would like to extend the green gift model of Japan to become a global model based on a renewable energy extended GTAP database. If this plan is implemented, we would like to publish the renewable energy extended GTAP database.

- (4) Nexus research is a good selection for the study; the energy-water nexus will be the first priority area of concern

Response:

We recognise the particular importance of energy-water nexus among the wider range of nexus issues. The researcher who led the nexus study in the Fifth Phase has left IGES, unfortunately, but we will seek ways to further develop research projects for this important issue.

- (5) The project on renewable energy has great potential both from policy and academic perspectives. However, the project needs improvement in several directions. First, data collection work should be expanded to cover more years. Second, there need to be a better analytical approach. Involvement of experienced econometricians can be useful for this topic

Response:

We recognise the importance of time series data as well as a more sophisticated analytical approach. Since this was a small-scale project with a limited time-frame of 4 to 5 months (including data collection), we could not elaborate on it further. Subject to the priorities that IGES puts on this research topic, the suggestions from the reviewers will be adopted accordingly.

- (6) Data work on the disaggregation of the iron and steel sector for CGE and IO analysis has been unique, successful and potentially useful for researchers in policy-relevant modeling. Therefore,

the data should be made publically available. In this way, the work can have strong contributions in the policy arena. Moreover, further work on the sector disaggregation should be encouraged.

Response:

Once the disaggregation work is complete, we plan to make the database publically available, as we have done for the biofuel extended GTAP database. The same idea will be applied for the renewable energy extended GTAP database.

- (7) The use of external academic researchers should be encouraged. By involving academic researchers with good publication records, the GE Area should be able to publish more output in peer review journals without spending more time on it. This helps to obtain more external funding

Response:

We fully agree with this suggestion and we believe that we have accumulated interesting products that can attract external academic researchers with good publication records. We will seek such opportunity to produce more outputs in order to obtain external funds.

# Natural Resource Management Group

- Forest Conservation
- Biodiversity

6 Nov. 2013

## Reports from the Reviewers

- Dr. Mitsuo Matsumoto, Forestry and Forest Products Research Institute
- Prof. Kentaro Yoshida, Nagasaki University
- Dr. Hwan Ok Ma, International Tropical Timber Organisation (ITTO)

### I INTRODUCTION

In pursuit of the IGES objectives conducting practical and solution-oriented environmental policy researches in the Asia-Pacific region, an external review for its Fifth Phase Strategic Research conducted by the Forest Conservation (FC) and Biodiversity/Payment for Ecosystem Services (PES) Teams took place on 6 November 2013 IGES Headquarters in Hayama, Japan.

The external review team included:

- Dr. Hwan-ok MA, International Tropical Timber Organization (ITTO), Japan
- Dr. Mitsuo MATSUMOTO, REDD Research and Development Center, Forestry and Forest Products Research Institute (FFPRI) and
- Prof. Kentaro YOSHIDA, Nagasaki University

Following a review of project documents and research papers and discussions with research teams of FC and Biodiversity/PES, the external review team produced this review report.

### II EXTERNAL REVIEW SCOPE, FOCUS AND APPROACH

The review system of IGES has been established to guide all factors relevant for the efficient and successful implementation of researches in accordance with the mandates and principles of IGES.

The objectives of this external review were to examine to what extent studies and activities

conducted by FC and Biodiversity/PES in the Fifth Phase have satisfied original targets and intentions of the studies, and what meaningful impacts have been created in important policy processes. In addition, it intended to assess how achievements made and lessons learnt in the Fifth Phase could be properly integrated into studies and activities planned for FC and Biodiversity/PES teams in the Sixth Phase (FY2013-2015).

The terms of reference for the external review called for the external review team to assess the following:

- i. Objectives of the studies and activities examined in the context of IGES missions and priorities;
- ii. Quantity and quality of the products concerned;
- iii. Impacts generated in the major policy processes concerned, through the products developed and activities conducted including information outreach, multi-stakeholder dialogues and capacity building initiatives; and
- iv. Financial as well as human resources management of IGES regarding the studies and activities concerned.

In keeping with these terms of reference, the external review team made a critical review to key outputs such as research papers and policy briefs resulted from FC and Biodiversity/PES Research Teams.

The external review focused on the following core research areas:

Research Team	Core research areas
Forest Conservation	REDD+
	Forest Products Trade
Biodiversity and Payment for Ecosystem Services	Economic instruments to promote sustainable biodiversity conservation
	Cooperation mechanism for biodiversity conservation in the CBD process

The approach taken in conducting the review included a desk review of IGES Fifth Phase Integrative Strategic Research Programme (ISRP) Final Report, policy reports, research reports, policy briefs and other research outcomes conducted by FC and Biodiversity/PES Research Teams prior to the external review meeting (although one of the key technical reports of biodiversity/PES Research Team was made available in Japanese prior to the commencement of the mission).

An intensive interactive discussion between the external review team and the FC and Biodiversity/PES research groups took place on 6 November 2013 at the External Review Meeting at IGES HQ. The Meeting was attended by the two research team members, Prof. Hironori Hamanaka, Chair, IGES Board of Directors and Mr. Hideyuki Mori, President, IGES from its Tokyo Office. It was moderated by Prof Hidefumi Imura, Senior Policy Advisor/Senior Fellow, IGES.

### III RESEARCH FACTS

The main objective of the Natural Resource Management (NRM) Group, which was a merger in the Fifth Phase of the Forest Conservation Project and the Freshwater Project of the Fourth Phase, was to elaborate policies that aim to protect and enhance ecosystem services provided by forests, freshwater and other renewable natural resources. The Fifth Phase explicitly included addressing biodiversity and ecosystem services. The mission of the Forest Conservation Team and overall research objectives of the Biodiversity/Payment for Ecosystem

Services Team set forth in the Integrative Strategic Research Programme of IGES for the Fifth Phase included the following:

Mission of FC:

*To develop and promote policy instruments for the sustainable management and use of forest resources for the wellbeing of present and future generations through strategic research, capacity building and outreach*

Main research objectives of the Biodiversity/PES:

*To help address the loss and degradation of biodiversity by designing innovative economic instruments to be applied internationally through conventions such as the Convention on Biological Diversity (CBD), and other Multilateral Environmental Agreements through designation of protected areas and species*

In order to achieve the goal of research for the Fifth Phase, research components were identified as follows:

Research Team	Core research areas	Main research components
Forest Conservation	REDD+	Local communities in forest biomass monitoring
		Good practices of REDD+ activities
		Reporting and analysis on the development of national REDD+ systems
		Reporting and analysis on the REDD+ negotiations
		National REDD+ forest governance standards
	Forest Products Trade	Legality and sustainability risks associated with export timber from Papua New Guinea (PNG)
	Legality and sustainability verification in PNG timber industry	
	Mitigation of the risks associated with PNG export timber	
Biodiversity and Payment for Ecosystem Services	Economic instruments to promote sustainable biodiversity conservation	Policy studies on Environmental Economics
		Biodiversity offset methods and advanced policy frameworks
		Mainstreaming of biodiversity and ecosystem services among businesses
	Cooperation mechanism for biodiversity conservation in the CBD process	Collaborative activity with the International Partnership for the Satoyama Initiative
	Support to the implementation of the Convention on Biological Diversity	

#### **IV. FINDINGS OF EXTERNAL REVIEW – the Fifth Phase Research of Natural Resource Management – Forest Conservation and Biodiversity and Payment for Ecosystem Services**

In the assessment of the FC and Biodiversity/PES research, the focus of the external review team included the topics which were presented at the external review meeting held on 6 November 2013. These include a general overview of the objectives, research outputs of the FC and Biodiversity and ES Teams as well as research plans of the two Teams for the Sixth Phase.

## **1. Relevance to Mission, Strategy, and Priorities of IGES**

The FC and Biodiversity/PES overall aims were consistent with the IGES's core objective of supporting sustainable development in the Asia-Pacific region, aimed at securing the protection and enhancement of ecosystem services provided by natural resources. Given the fact that deforestation and forest degradation in tropical countries have reduced the quality of environmental services derived from them, the research focuses of the FC and Biodiversity/PES had been clearly targeted at enhancing forest conservation and environmental services from tropical forests.

One of the main values of the FC and Biodiversity/PES could be derived from their complementarity with relevant international initiatives on REDD+ and biodiversity and ecosystem services as they can assess and analyse some of the important thematic subjects such as good forest governance and the full and effective participation of local communities in natural resource management and sustainable use.

In particular, several international initiatives have been launched and operated within the framework of REDD+ as a response to the Bali Action Plan of the 13th COP of the UNFCCC. It has been reported that there are more than 50 REDD+ demonstration projects across Indonesia involving many international organisations (UN-REDD, World Bank,,), bilateral aid organisations (JICA, GIZ,,) and environmental and civil society organisations (WWF, TNC,,).

The engagement of the Biodiversity/PES team in the International Partnership on the Satoyama Initiative is another clear showcase of the high relevance of the Fifth Phase research not only to the mission, strategy and priority of IGES, but also to the recent international level initiatives promoting sustainable use of biodiversity and payments for environmental services rendered by tropical forests.

## **2. Quality and Policy Relevance**

The fundamental focus of Natural Resources Management (NRM) of the Fifth Phase was to study effective policies and practices that contribute to the sustainable management of natural resources. NRM was intended to research global environmental issues such as climate change and biodiversity conservation. Based on this key focus of NRM, the specific focuses were placed on: (i) Payment for ecosystem services (PES), (ii) Adaptation: Research on adaptation policies, adaptation metrics, and identifying win-win adaptation options, (iii) Forest conservation through REDD and forest products trade, and (iv) Groundwater governance for sustainable development.

The fundamental focus of NRM was specified into the four selected areas and main research components were identified for each area. Main components of the proposed research on payment for environment services include: (i) Baseline study of biodiversity situation, its evaluation of ecosystem services to utilise economic instruments and its governance in Japan and the Asia-Pacific; and (ii) In-depth study on policy measures for better biodiversity management. Research of forest conservation through REDD and forest products trade included (i) REDD demonstration activities; (ii) National REDD readiness; and (iii) Forest products trade.

It appears that the objectives and main components of PES and REDD of NRM of the Fifth Phase had been clearly formulated with respect to the key problem of reducing deforestation and forest degradation, and enhancing environmental services. Respected methodologies for PES and REDD research were soundly identified. However, the expected outputs were not

sufficiently elaborated on to ensure the effective and successful achievement of such outputs from the planning to the evaluation stage in Document: Integrative Strategic Research Programme of IGES for the Fifth Phase – Appendix.

### **3. Impacts and outcomes generation**

Upon the completion of the Fifth Phase research, the key outcomes brought by the intervention of the NRM group were a set of social-economic, technical and policy information and analyses on the relevant aspects of REDD+ and community-based forest management in the Asia-Pacific, community carbon accounting systems for measuring and monitoring forest stock carbon stocks enhanced local capacity of the research sites in Cambodia, Indonesia, Lao PDR, PNG and Viet Nam, a comprehensive REDD+ online database compiling twenty-seven REDD+ projects in the three tropical regions by including their REDD+ strategies as well as methodologies, validation, verification, registration and issuance of credits. A draft national REDD+ forest governance standard for Nepal and two reports on analysis of REDD+ negotiations were also important outputs.

Under the Biodiversity and Ecosystem Services Team, there were also impressive outcomes. These include compiling good practices in the sustainable use of Socio-Ecological Production Landscapes and Seascapes (SEPLS) which clearly defines successful factors of such good practices including strong local management framework. This analysis of good practices could contribute to the identification of resilience indicators at the local level as important points for sustainable use of production landscapes at local level were well elaborated in the case studies. Case studies of payment for environmental services application in Japan has resulted in a very comprehensive publication entitled “The Economics of Biodiversity and Ecosystems” (in English and Japanese). Research on biodiversity offset methods provided an important review of the legal foundation of biodiversity offset programmes in US, Australia, Germany, France and the Netherlands. Latest information on best practices on business and biodiversity contributed to enhanced Japanese policies to promote biodiversity conservation by Japanese business sector. A mid-term review of the Japan Biodiversity Fund (JBF) conducted by the Biodiversity and Ecosystem Services Team evaluated the implementation of JBF for last two years with a recommendation to establish further collaboration and a clearer capacity building strategy.

Along with these tangible research results were the changes of condition with respect to enhanced knowledge, partnerships and networking of the NRM group ranging from several international and regional organisations, governments, universities, the private business sector, civil societies as well as society and local communities. Collectively, these outcomes were a marked improvement from the situation before the Fifth Phase that was characterised by limited understanding of the complexity of REDD+ and PES in the Asia-Pacific. Such deficiencies could be attributed to the absence of valid information and analyses of the problem; inadequate knowledge in promoting REDD+ and PES; and the evident lack of sustainable financial mechanisms to overcome the problem.

By many accounts, NRM research had been implemented at an acceptable level of efficiency and effectiveness. This is considering the fact that all research activities including additional activities were fully implemented within a reasonable time and that all research outputs were realised, thereby contributing to the achievement of the Fifth NRM objectives although some of the research work of Biodiversity/PES are still on-going in the framework of the Sixth Phase.

The impacts and effects of the NRM research occurred at every level – local, national and regional. Naturally, many of the impacts and effects were generated in the local communities of the five countries where community carbon accounting had been promoted. Specifically, the government sector of the five countries in the Asia-Pacific as well as the Ministry of the



Environment (MOE) and the Ministry of Economy, Trade and Industry (METI) METI of Japan benefited from the outputs generated, particularly in the enhancement of information and knowledge in analysing REDD+ and PES. For civil society, universities, communities and society in general, the impact of the project was profound in increasing awareness, changing attitudes, and building confidence, trust and commitment. This led to their involvement, participation and mobilisation towards sustainable management of natural resources.

At the time of the external review meeting, the Forest Conservation Research and Biodiversity and Ecosystem Services teams led by Henry Scheyvens, were very enthusiastic in actively highlighting the outputs of their activities. The sustainability of the research after the Fifth Phase would depend on the extent to which such enthusiasm and passions are maintained and enhanced in the Sixth Phase over the coming years. The difficulties in securing appropriate research funds and human resources may be viewed as an indication of the challenge of the Sixth Phase.

The final and arguably the most crucial consideration is the extent to which the NRM research has impacted on REDD+ and PES in the Asia-Pacific in general and in Cambodia, Indonesia, Lao PDR, PNG, and Viet Nam in particular. REDD+ is a very complex and challenging issue in international negotiations of UNFCCC, extending well beyond the Asia-Pacific boundaries in which the NRM group focused. It is, therefore, unrealistic to expect a single three-year research project to have a quick and lasting impact on the solution to the problem. It is also difficult to assess any impacts without clear baseline information. However, based on opinion, perception and observations made, it is felt that the NRM group has contributed its share towards alleviating the problem by establishing and nurturing the enabling conditions for a more efficient and effective approach to REDD+ as well as PES. The challenge is to ensure that these impacts and outcomes could be maintained and sustained in the Sixth Phase and extended to interested parties actively engaged in the promotion of REDD+ and PES.

#### **4. Effectiveness and Efficiency of the Project Plan**

Upon completion of the FC project of the Fifth Phase Research, most planned research activities except research related to responsible timber trade had been fully implemented, thereby contributing to the realisation of many outputs in the form of a series of policy briefs, technical reports, research reports & occasional papers, and peer reviewed articles.

The policy brief on “Community-based Forest Monitoring for REDD+: Lessons and reflections from the field” describes the meaningful roles of local people in forest measurements and enable conditions for such meaningful roles. Training manual on community carbon accounting is under finalisation and it is expected that it will be used as a good reference for carbon assessment at the local community level.

The REDD+ Online Database features the details of twenty-seven REDD+ project designs in terms of drivers of deforestation and forest degradation, accounting scope, and REDD+ strategies as well as methodologies, validation, verification, registration and issuance of credits. This database could provide a good platform for the design of REDD+ Project Design Document.

One of the key outputs is the five national studies on REDD+ readiness – State of Play. These studies include the review of an organisational framework for REDD+ readiness and implementation and national REDD+ strategy in the studied countries.

Another key output, a draft national REDD+ forest governance standard for Nepal was developed after a series of multi-level stakeholder consultations. The draft REDD+ governance standard contained two principles, four criteria and eleven indicators to provide guidance on

processes to strengthen forest sector and REDD+ governance.

Two analyses of international REDD+ negotiations covers the outcomes of UNFCCC COP 18 (Doha, Qatar, 26 Nov-8 Dec 2012) and UNFCCC SBSTA 38 (Bonn, Germany, 3 - 14 Jun 2013). The policy brief on “Customs Collaboration to Combat the International Trade in Illegal Timber” identifies policy recommendations on the comprehensive roles of customs to reduce illegal logging and associated trade.

In addition to the above main outcomes, there are numerous research papers and peer reviewed articles produced by FC research team. These include:

- A beginner's guide to payments for ecosystems services - Generating income from standing forests
- Exploring the links between community-based adaptation and microfinance
- Financing REDD+: A review of options and challenges
- An assessment of the impacts of the REDD+ pilot project on community forests user groups (CFUGs) and their community forests in Nepal
- Comparative analysis of four REDD+ project designs in Indonesia and Cambodia.

The Biodiversity/Payment for Ecosystem Services research team that merged in early 2011 under Natural Resource Management group had also produced various research outputs in collaboration with many partners. Key outputs of the Biodiversity/PES research team include the following:

- Promotion of sustainable use of Socio-Ecological Production landscapes and Seascapes (SEPLS) through the International Partnership for Satoyama Initiative (IPSI)
- Case studies on application of economics of ecosystems and biodiversity in Japan
- Promotion of biodiversity offset frameworks into revision of Japanese Environmental Impact Assessment Law
- Provision of study results of TEEB to Japanese audiences
- Indicators and certification systems to identify business impacts on biodiversity and ecosystem services
- Mid-term review of the Japan Biodiversity Fund

Key outputs produced by the FC and Biodiversity/PPES research teams include many interesting assessments and findings. The following table summarises the key outputs of the two research teams, gives some overall comments on the Fifth Phase research and recommendations for Sixth Phase research.

Effectiveness by key outputs	Overall comments on the quality of the Fifth Phase and recommendations for Sixth Phase Planning
<b>Forest Conservation</b>	
Findings of the community carbon accounting project - Local communities in forest biomass monitoring  Draft training manual on community carbon accounting	The research results on Community Carbon Accounting (CCA) are meaningful for readiness, sustainable REDD+ activities, payments to local peoples and also sustainable monitoring systems. However, CCA is not actually recognised by government experts in developing countries. Proposal of a method and pathway for integrating CCA into National Forest Monitoring System is required in the Sixth Phase  Attention and review should have been conducted with regards to the sustainability of CCA systems by including a cost analysis to ensure the lower cost of local community accounting systems compared to conventional accounting systems. There is a need to further review the integration of carbon monitoring with

	<p>biodiversity, illegal encroachment and logging, forest fires and to collect social-environmental information so as to support the implementation of social-environmental safeguards.</p> <p>There is a continued need for participatory mapping that defines its demarcation, land tenure, utilisation, and management strategies.</p>
REDD+ project booklet analysing project designs	<p>The research results on REDD+ project design analysis are successful and the report is a good output for the Fifth phase. Based on the results, guidance for providing PDD is hoped to be developed in the Sixth Phase.</p> <p>Updating the REDD+ online database will be important. It is recommended to update for selected outstanding REDD+ demonstration projects. It would be interesting to conduct further analysis of potential carbon benefits based on different ecosystems such as peatland swamp forests, tropical rainforests, and degraded secondary forests</p>
Reporting and analysis on the development of national REDD+ systems	<p>The analysis of research on National REDD+ systems is appropriate. The Sixth Phase should include work to deepen the findings, and to propose a structure over existing institutions for promoting REDD+ in developing countries.</p> <p>There are difficulties in reviewing the direct and indirect drivers of deforestation and forest degradation. In particular, the definition of forest degradation has not yet been agreed under UNFCCC.</p> <p>Since research on national REDD+ systems is policy oriented, it was suggested to include a section on “recommendations” to draw the attention of key stakeholders and encourage their possible action where appropriate.</p>
Reporting and analysis on the REDD+ negotiations	<p>Publishing English version of each report was encouraged so that such analysis can be disseminated to tropical countries.</p>
National REDD+ forest governance standards	<p>The research on quality-of-governances standards looks challenging. Considering the present status of REDD+ negotiations, it appears that developing countries may not accept such standards for evaluation of each country's governance. Proposals that developing countries can accept are required in Sixth Phase.</p> <p>In order to increase the effectiveness of quality-of-governances standards, there is a need to conduct a brief analysis of how reviews are carried out on the development and implementation of existing relevant standards (e.g. criteria and indicators for SFM) in the forest sector of Nepal.</p>
Promote responsible timber trade	<p>Lessons learned from the development and implementation of legality and sustainability verification systems in the PNG timber industry would be useful to address the drivers of deforestation and forest degradation. In addition, such lessons in particular with regard to verification are very relevant to the issue of establishing third-party verification systems of REDD+.</p>

Biodiversity and Payment for Ecosystem Services	
Promotion of sustainable use of Socio-Ecological Production landscapes and Seascapes (SEPLS) through the International Partnership for Satoyama Initiative (IPSI)	<p>Fifth Phase Research</p> <ul style="list-style-type: none"> <li>• Successful policy recommendation and dissemination</li> <li>• Explored and introduced new biodiversity research fields, PES, offset, indicators, green economy, business, etc.</li> <li>• Contribution to CBD COP10, IPSI, TEEB, etc.</li> <li>• For more external funding and drawing attentions to IGES works, more academic output will be needed. Especially economics field, biodiversity and ES are relatively new and data deficient</li> </ul>
Case studies on application of economics of ecosystems and biodiversity in Japan	
Promotion of biodiversity offset frameworks into revision of Japanese Environmental Impact Assessment Law	<p>Sixth Phase Research</p> <ul style="list-style-type: none"> <li>• As a leading organisation of biodiversity policy research</li> <li>• Follow up post-TEEB initiatives (business and national accounting), IPBES, (as mentioned in the slides)</li> <li>• Academic collaboration for more publications</li> <li>• Valuation and indicators, policy analysis</li> <li>• Satoyama concept is Japan-original but other common topics among international researchers and stakeholders</li> </ul>
Provision of study results of TEEB to Japanese audiences	
Indicators and certification systems to identify business impacts on biodiversity and ecosystem services	
Mid-term review of the Japan Biodiversity Fund	<p>After the case studies on application of economics of ecosystems and biodiversity in Japan, it is suggested to conduct an analysis of legal frameworks and fiscal aspects of promoting payments as there is a big gap between the estimated value of ecosystem services and real payments for such value.</p> <p>Future attention is encouraged with regard to the business sector's proactive investment in the conservation of forest, biodiversity and ecosystems in addition to the identification of business impacts on biodiversity and ecosystem services. For instance, the "Forest of Toyota" established by Toyota in 1997 has strived to create a twenty-first century <i>Satoyama</i> based on the model of the earlier Japanese <i>Satoyama</i>. (<a href="http://www.toyota-global.com/sustainability/corporate_citizenship/environment/forest_of_toyota/index.html">http://www.toyota-global.com/sustainability/corporate_citizenship/environment/forest_of_toyota/index.html</a>)</p> <p>Beyond on-going research, it is an interesting contribution. Addressing CBD COP decisions which were not included in the Japan Biodiversity Fund's original work programme would be considered as a positive contribution to the implementation of CBD. There is also a need for further familiarisation with evaluation methods (relevance, effectiveness, efficiency,,).</p>

Taken as a whole, the research outputs contributed to the attainment of the Natural Resource Management group's research objectives. The outputs of FC and Biodiversity/PES research were also found to be mutually supportive and reinforcing. For instance, two research projects on National REDD+ Systems and Biodiversity Offset Methods and Advanced Policy Frameworks provided interesting policy analyses on the framework of carbon and biodiversity offset mechanisms and served as a sound basis for the development of nationally appropriate

policies and legal frameworks to promote payments for environmental services.

Apart from research and analyses, the Natural Resource Management group's rationale of mobilising and securing more partnerships through the participation in international, regional and national initiatives appeared to have been enhanced during the Fifth Phase. For instance, the Natural Resource Management Group joined in mid-2012 the Responsible Asia Forestry and Trade (RAFT) partnership and secured funds for research on timber legality and sustainability issues in PNG which was stalled in the beginning due to lack of financing. Consequently, this research output directly paved the way for the fulfillment of the NRM research objectives.

## **V. CONCLUSIONS AND RECOMMENDATIONS FOR THE SIXTH PHASE RESEARCH**

### **1. CONCLUSIONS**

The overall observation by the external review indicates that the research conducted by the Forest Conservation Team and Biodiversity and Payment for Ecosystem Services Team of Natural Resource Management Group during the Fifth Phase had been satisfactorily implemented. It is worthwhile to mention that the two teams were fully motivated with high enthusiasm and published a series of policy briefs, technical reports and articles in collaboration with many partners. In term of the effectiveness of the research by the Forest Conservation and Biodiversity and Ecosystem Services Teams, it can be concluded that the project had achieved NRM specific objectives.

NRM research outputs as a whole contributed to the attainment of the group's objectives. Key points of the conclusions of the external review included the following:

- The FC and Biodiversity/PES's overall aims were consistent with IGES's core objective of supporting sustainable development in the Asia-Pacific region, aimed at securing the protection and enhancement of ecosystem services provided by natural resources.
- Despite difficulties of securing multi-year funding and a change of research staff members, overall, the research was effectively and efficiently implemented.
- Research outcomes were effectively and adequately disseminated.
- FC research contributed substantially to providing a better understanding of REDD+ design, national strategies and negotiations addressing some of the main constraints to the identification, design and formulation of REDD+ projects in developing countries which could be further developed in the framework of payments for environmental services.
- Biodiversity and PES research contributed substantially to the economic valuation of biodiversity and ecosystems and in particular, biodiversity offset mechanisms applications and biodiversity conservation in Japanese business sector and the potential of these researches to supporting to the conservation and sustainable use of biodiversity.
- Because of the complexity of the methodologies and rules governing REDD+ and PES as well as the fact that they are continually evolving, it is important that updating information and knowledge as well as analysing good practices should be on-going, with the NRM research as an important step.
- Additional efforts to find partners and financial resources from APN and the government of Australia have been useful in enhancing the NRM's partnerships and collaborative research mechanisms. Collaboration with the International Partnership for Satoyama Initiative (IPSI) should be continuously enhanced.

## 2. RECOMMENDATIONS FOR THE SIXTH PHASE RESEARCH of Natural Resource Management Group - Forest Conservation and Biodiversity/Payments for Ecosystems Services Teams

In the research area of Natural Resource Management Group, strategic research activities of the Sixth Phase have been designed to promote maintaining and enhancing the resilience of the natural resources and ecosystem services that support the livelihoods of people in Asian countries. Scaling up appropriate payment mechanisms for ecosystem services and community-based participatory good governance in natural resource management has been highlighted as a basic common viewpoint of the proposed Sixth Phase Research of NRM, taking into account the outcomes of the Fifth strategic research phase, namely forest conservation and biodiversity and payment for ecosystem services.

In connection with the Sixth Phase research, some recommendations were already identified in Section IV 4. above, Effectiveness and Efficiency of the Project Plan. In line with such recommendations, the following recommendations are presented for consideration based on the findings of this external review:

### 2.1 General recommendations

In light of the rich experiences of IGES's strategic researches, NRM could further enhance its Sixth Research through more innovative, inclusive and integrative approaches:

1. Further promotion of more **innovative approaches** in research evaluation, research planning and dissemination:

- Continue strengthening the internal (self) evaluation systems to ensure the efficient and effective implementation of the research. Such evaluation experience could contribute to the evaluation of other programmes like the implementation of the Japan Biodiversity Fund activities in 2013.
- Enhance the identification of policy research subjects taking into account the strategic needs of target countries in the Asia-Pacific as well as emerging issues in Japan. For emerging issues in Japan, perhaps NRM may consider exploring new research on the application of carbon offset, including REDD+ credits, and biodiversity offset programmes at the 2020 Tokyo Olympic. In addition, attention could be drawn to the REDD+ development in the joint crediting mechanism of Japan and engagement of NRM in reviewing REDD+ feasibility studies conducted with support of MoE of Japan could be explored.
- Continue strengthening knowledge management of the outcome of NRM research. "Policy Briefs" summarising key outcomes could continue to be promoted for the attention of policy makers where appropriate.
- Consider including REDD+ as a discussion topic in the International Forum for Sustainable Asia and the Pacific at its next session.

2. Further promotion of more **inclusive approaches** in research collaboration and recommendation of policy measures;

- Continue the engagement of research partners in Japan and target countries, including international organisations, as appropriate to ensure the wider impact of research. For instance, national or local partners could be invited to conduct research on Community based REDD+ approach, National REDD+ readiness, and Payment for environmental services. The engagement of relevant national or local partners is likely to contribute to the enhancement of a joint ownership of research outcomes and the sustainability.

- In the formulation of policy recommendations, a more inclusive stakeholders analysis is suggested with identification of recommendations for each of the key stakeholders such as international organisations, central and local governments, academic societies, civil society organizations and local communities, where appropriate.
3. Further promotion of more **integrative approaches** to enhance synergies among research programmes of NRM;
- Promote a more systematic review for a certain specific research component, covering social, economic and environmental aspects,. An integrative review of such important aspects could be developed.
  - Pay more attention to the increasing need of integrating REDD+ in the context of sustainable forest management.
  - Enhance synergies between REDD+ and biodiversity and payment for ecosystem service
  - Enhance synergies between mitigation and adaptation as well as resilience and vulnerability
  - Promote the integration of outcomes of the Fifth Phase into Sixth Phase research for value added. For instance, the outcomes of the Satoyama Initiative case studies would be useful in the identification of resilience indicators at the local level.

## 2.2 Specific recommendations

It is of the External Review Team's general view that key components of the FC and Biodiversity/PES research in the Sixth Phase has been well structured in line with the objectives of NRM and the research outcomes of the Fifth Phase. Under the currently well-structured research programmes, additional due attention is invited to the following:

### Community based REDD+ approach

- Include a review of methods and pathways for integrating Community Carbon Accounting (CCA) into National Forest Monitoring System. The sustainability of CCA would most likely depend on the integration of sustainable activities with participatory community mapping, community monitoring of illegal activities including forest fires, rapid biodiversity assessment, and collection of social-economic information to support social and environmental safeguard systems.
- A cost analysis is encouraged in connection with Community Carbon Accounting (CCA) and development of community-based REDD+ PDD as well as implementation of such community-based REDD+ activity.

### National REDD+ readiness and international REDD+ framework

- Provide guidance for the formulation of REDD+ Project Design Documents to ensure their quality. Consider preparing detailed technical guidelines/manuals in connection with a particular subject of REDD+ PDD development.
- Further deepen the findings of the Fifth Phase in order to propose appropriate institutional arrangements over existing institutions for promoting REDD+ in selected countries in the Asia-Pacific.
- Facilitate the adoption of the draft quality-of-governances standards for REDD+ in

Nepal with an additional assessment of opportunities and challenges in connection with the present REDD+ negotiations relating to social safeguard.

- Consider research on the development of appropriate financial mechanisms for REDD+. Since financing is the prime concern of all REDD+ hosting countries in the tropics, an in-depth research is encouraged. Particular emphasis could be given to the analysis of possible scenarios for result-based REDD+ payments in the context of a new climate change regime of UNFCCC which is due to be implemented after 2020 with the conclusion of its agreement texts by 2015.
- In the review of the international REDD+ framework, an analysis of the possible implication of REDD+ inclusion as NAMA is encouraged. In addition, it is important to continue research on third party verification of result-based REDD+ finance.

#### **Legality and sustainability verification standards**

- In addition to the Voluntary Partnership Agreement of EU, attention is invited to the implementation of Due Diligence when timber importers prepare supporting documents to ensure timber legality.
- Provide more attention to the implementation of existing timber legality assurance systems. For instance, Indonesian system which was endorsed by EU last October is a good reference. One of the important and difficult elements of such systems is the recognition of civil society organisations and individuals to monitor the implementation of the systems. Developing and improving an independent forest monitoring system in a most cost effective way is a big challenge.

#### **Biodiversity conservation**

- Follow up post-TEEB initiatives (business and national accounting), IPBES, and International Partnership for Satoyama Initiative
- Enhance research on valuation and indicators, policy analysis in collaboration with academic societies for more publications where appropriate
- Promote Satoyama concept in connection with other relevant common topics among international researchers and stakeholders.

#### **Payment for environmental services**

- Research focus should include legal frameworks, institutional arrangements and fiscal policy measures for successful PES systems not only in the Asia-Pacific but also in other regions. In addition, focus on benefit-sharing systems is suggested so as to contribute to systematic development of PES in the region.
- Consider including PES of tropical forests in as a discussion topic in a future session of the International Forum for Sustainable Asia and the Pacific.



## ACKNOWLEDGEMENT

The external review team - Mitsuo MATSUMOTO, Kentaro YOSHIDA and Hwan-ok Ma, wishes to express their sincere thanks to Prof Hironori Hamanaka, Chair of the Board of Director, IGES and Mr. Hideyuki Mori, President, IGES for the opportunity to undertake the external review as well as the valuable contributions during the expert review meeting. Appreciation also goes to Prof Hidefumi Imura for the moderation of the external review meeting.

The team also wishes to express its profound gratitude to the FC and Biodiversity/PES team members – Henry Scheyvens, Makino Yamanoshita, Taiji Fujisaki, Jintana Kawasaki, Federico Lopez-Casero, Ikuko Matsumoto and Sana Okayasu, as well as Junko Watanabe, Assistant, NRE, for their valuable assistance and support extended to the work of the external review.



# Response from the Review Groups:

## Natural Resource Management Group

- Forest Conservation
- Biodiversity

12 December 2013

The external review of the Forest Conservation (FC) and Biodiversity/PES teams' performance during IGES Fifth Phase by Dr. Hwan-Ok MA, International Tropical Timber Organization (ITTO), Dr. Mitsuo MATSUMOTO, REDD Research and Development Center, Forestry and Forest Products Research Institute (FFPRI), and Prof. Kentaro YOSHIDA, Nagasaki University, provided many important messages and recommendations. As required by IGES guidelines on the external review process, we are providing the following response to the external review report. We focus on the report's recommendations for the Sixth Phase.

### General recommendations

1. **Recommendation:** *Continue strengthening the internal (self) evaluation systems to ensure the efficient and effective implementation of the research.*

**Response:** IGES has a performance-based evaluation system, but it is also important for research teams to be regularly undertaking their own self-critique. Both strengths and weaknesses should be identified. Honest self-critique will contribute to stronger research projects. For the IGES Sixth Phase, the NRE Area Leader and the Task Managers for Forest Conservation, Adaptation, Biodiversity/PES, and Water Resources are working closely to ensure self-critique is an integral part of the research process.

2. **Recommendation:** *Enhance the identification of policy research subjects taking into account of the strategic needs of target countries in the Asia-Pacific as well as emerging issues in Japan. . . . Attention is invited to the REDD+ development in the joint crediting mechanism of Japan, and the engagement of NRM in reviewing REDD+ feasibility studies conducted with the support of MOE Japan could be explored.*

**Response:** It is very important for NRE to bring ideas for potential projects to MOEJ. We are strengthening our efforts to maintain close contact and good relations with the relevant MOEJ divisions.

3. **Recommendation:** *Continue strengthening knowledge management of the outcome of NRM research. "Policy Briefs" summarising key outcomes could continue to be promoted for the attention of policy makers where appropriate.*

**Response:** Both FC and BD/PES have produced a variety of outputs: policy reports, policy briefs, research articles, training manuals, guidance documents, video, etc. The external reviewers emphasised the value of policy briefs as documents that provide information, analysis and recommendations in a succinct, attractive manner. A number of policy briefs are included in the current milestones for FC and BD/PES. We will have to work hard to ensure these are produced within a reasonable time frame.

4. **Recommendation:** *Consider including REDD+ as a discussion topic in the International Forum for Sustainable Asia and the Pacific at its next session.*

**Response:** If we take up a cross-cutting issue such as governance, then REDD+ could be discussed with other sectors facing major governance issues.

5. **Recommendation:** *Continue the engagement of research partners in Japan and target countries, including international organisations as appropriate, to ensure a wider impact of the research. For instance, national or local partners could be invited to conduct research on Community based REDD+ approach, National REDD+ readiness, and Payment for environmental services. The engagement of relevant national or local partners is likely to contribute to the enhancement of a joint ownership of research outcomes and the sustainability.*

**Response:** A great deal of effort has been made recently to develop new partnerships and strengthen existing partnerships. Nevertheless, as pointed out by the external reviewers, there are cases where more effort could have been made to involve relevant partners in our research activities. We will ensure that partnerships are a key consideration when designing all future research activities.

6. **Recommendation:** *In the formulation of policy recommendations, a more inclusive stakeholders analysis is suggested with identification of recommendations for each key stakeholder such as international organisations, central and local governments, academic societies, civil society organisations and local communities, where appropriate.*

**Response:** Usually, our policy reports do finish with sets of recommendations; however, sometimes this is difficult when the reports are more descriptive than analytical. For future reports, we will endeavour to ensure our analysis allows us to make sharp and concrete recommendations for each major stakeholder group.

7. **Recommendation:** *In a certain specific research component, a more systematic review covering social, economic and environmental aspects could be further promoted. An integrative review of such important aspects could be further promoted.*

**Response:** Our researchers generally understand the need for a broad perspective of the contexts of the issues we are working on. Whether to provide detailed analysis of one specific aspect of an issue, or to provide a comprehensive perspective needs to be thought through carefully for any research project. For more focused studies, we can make more effort to include analysis of the broader issues.

8. **Recommendation:** *More attention to the increasing need of integrating REDD+ in the context of sustainable forest management could be promoted.*

**Response:** We could build from our research on national REDD+ systems to take up the topic of integrating REDD+ in the context of sustainable forest management. This is a key issue for the future success of REDD+ as a land-use management option.

9. **Recommendation:** *Enhance synergies between REDD+ and biodiversity and payment for ecosystem service*

**Response:** We discussed this idea when recently formulating a new research proposal. This is also a key topic for our researchers working on international processes, i.e. UNFCCC and CBD, to take up.

10. **Recommendation:** *Enhance synergies between mitigation and adaptation as well as resilience and vulnerability*

**Response:** We will be taking up these issues as part of our proposed synthesis research for the Sixth Phase.

11. **Recommendation:** *Promote the integration of outcomes of Fifth Phase into Sixth Phase research for value adding. For instance, outcomes of the Satoyama Initiative case studies would be useful in the identification of resilience indicators at local level.*

**Response:** We drew upon a lot of the knowledge, partnerships and experiences from the Fifth Phase when setting out our Sixth Phase research plans. We are now drafting guidance on the use of resilience indicators, and in one new funding proposal suggested using the indicators at proposed research sites in Thailand and Vietnam.

## Specific recommendations

### Community based REDD+ approach

1. **Recommendation:** *Include a review of methods and pathways for integrating Community Carbon Accounting (CCA) into National Forest Monitoring System. The sustainability of CCA would most likely depend on the integration of sustainable activities with participatory community mapping, community monitoring of illegal activities including forest fires, rapid biodiversity assessment, and collection of social-economic information to support social and environmental safeguard systems.*

**Response:** We totally agree with this recommendation and will integrate these ideas into our research agenda.

2. **Recommendation:** *A cost analysis is encouraged in connection with Community Carbon Accounting (CCA) and development of community-based REDD+ PDD as well as implementation of such community-based REDD+ activity.*

**Response:** We have just drafted a costing analysis for CCA in PNG. We will do the same in our other research countries. Ultimately, we hope to undertake a cost-benefit analysis for community-based REDD+.

## National REDD+ readiness and international REDD+ framework

1. **Recommendation:** *Guidance is needed for the formulation of REDD+ Project Design Documents to ensure their quality. Preparing detailed technical guidelines/manuals in connection with a particular subject of REDD+ PDD development could be considered.*

**Response:** This would be a large exercise and depends on human resources. It could be discussed with potential funders.

2. **Recommendation:** *Further deepen the findings of the Fifth Phase in order to propose appropriate institutional arrangements over existing institutions for promoting REDD+ in selected countries in the Asia-pacific.*

**Response:** Our intention is to conduct more detailed analysis of governance arrangements and initially publish the results as a peer reviewed article.

3. **Recommendation:** *Facilitate the adoption of the draft quality-of-governances standards for REDD+ in Nepal with an additional assessment of opportunities and challenges in connection with the present REDD+ negotiations relating to social safeguard.*

**Response:** We have been discussing with our partners how to take the governance work in Nepal forward. Further discussion will take place at a stakeholder's meeting in Nepal in January 2014.

4. **Recommendation:** *Consider conducting research on the development of appropriate financial mechanisms for REDD+. Since financing is of prime concern to all REDD+ hosting countries in the tropics, some in-depth research is encouraged. Particular emphasis could be given to the analysis of possible scenarios for result-based REDD+ payments in the context of a new climate change regime of UNFCCC which is supposed to be implemented after 2020 with the conclusion of its agreement texts by 2015.*

**Response:** A proper analysis would be a large undertaking and people with the necessary skills would have to be recruited. Some analysis could be conducted by taking advantage of FC participation in the UNFCCC COP negotiations.

5. **Recommendation:** *In the review of international REDD+ framework, an analysis of the possible implication of REDD+ inclusion as NAMA is encouraged. In addition, continued research on third party verification of result-based REDD+ finance is also important.*

**Response:** We will conduct an analysis of the relationship between REDD+, NAMA, and other elements of the future global climate regime, taking advantage of FC participation in the UNFCCC COP negotiations.

## Legality and sustainability verification standards

1. **Recommendation:** *In addition to the Voluntary Partnership Agreement of EU, attention is invited to the implementation of Due Diligence when timber importers prepare supporting documents to ensure timber legality.*

**Response:** FC has already been working on this issue with a legality study in PNG. If funding can be secured through RAFT, more concise guidance on due diligence for specific producer countries could be provided.

2. **Recommendation:** *More attention to the implementation of existing timber legality assurance systems could be provided. For instance, Indonesian system which was endorsed by EU last October is a good reference. One of the important and difficult elements of such systems is the recognition of civil society organisations and individuals to monitor the implementation of the systems. Developing and improving an independent forest monitoring system in a most cost effective way is a big challenge.*

**Response:** This idea could be connected with FC work on quality-of-governance standards. It also links with FC analysis of national REDD+ systems.

### **Biodiversity conservation**

1. **Recommendation:** *Follow up post-TEEB initiatives (business and national accounting), IPBES, and International Partnership for Satoyama Initiative*

**Response:** BD is involved in the International Partnership for the Satoyama Initiative under a contract with the Satoyama Secretariat at UNU-IAS. We are working on a toolkit to provide guidance to users of resilience indicators developed under the Satoyama Initiative. BD is attending IPBES 2 in Antalya, Turkey, and exploring options for contributing to the IPBES Work Programme 2014-2018.

2. **Recommendation:** *Enhance research on valuation and indicators, policy analysis in collaboration with academic societies for more publications where appropriate*

**Response:** BD is involved in two valuation research projects, one on valuation of ecosystem services and one on the quantification of ecosystem services. BD is also involved in the revision of resilience indicators of socio-ecological production landscapes.

3. **Recommendation:** *Promote Satoyama concept in connection with other relevant common topics among international researchers and stakeholders.*

**Response:** BD is promoting the concept as part of the above engagement with the IPSI, in collaboration with IPSI experts, such as at the IPSI experts meeting back to back with ISAP 2013. BD has also been involved in the design of the recently established Satoyama Development Mechanism, and serves as the implementing agency of this small grant fund.

### **Payment for environmental services**

1. **Recommendation:** *Research focus should include legal frameworks, institutional arrangements and fiscal policy measures for successful PES systems not only in the Asia-pacific but also in other regions. In addition, focus on benefit-sharing systems is suggested so as to contribute to systematic development of PES in the region.*

**Response:** BD is looking into options to secure funding to expand its research on ecosystems services beyond valuation to targeting policy processes for the establishment of PES systems through legal frameworks and institutional arrangements. A focus beyond the Asia-Pacific is difficult given IGES' focus on the region.

2. **Recommendation:** *Consider including PES of tropical forests as a discussion topic in a future session of the International Forum for Sustainable Asia and the Pacific.*

**Response:** We will keep an eye on opportunities to include this topic at the International Forum for Sustainable Asia and the Pacific or any comparable event.

# Governance and Capacity Group (with the Programme Management Office)

14 Nov. 2013

## Reports from the Reviewers

- Prof. Ryo Fujikura, Hosei University
- Dr. Maria Ivanova, University of Massachusetts Boston

On 14 November 2013, the Governance and Capacity Team convened to present the results of its work to a team of external reviewers (as noted above). The evaluation took place on site at IGES, and online from Tokyo, Bangkok and Boston. This report presents the findings of the external reviewers.

The main goal for IGES is to “achieve a new paradigm for civilization and conduct innovative policy development and strategic research for environmental measures, reflecting the result of research into political decisions for realizing sustainable development both in the Asia-Pacific Region and globally.” The purpose of the external review was to assess:

- objectives of IGES studies and activities during the Fifth Phase
- quantity and quality of outputs
- impacts of the outputs and activities
- overall financial and human resources management

Following an excellent presentation by Professor Hironori Hamanaka, Chair of the IGES Board of Directors, who set the stage for the review process, the reviewers adopted the following framework for the evaluation:

- assessment of the relevance of IGES projects
- evaluation of the influence of outputs
- discussion of the value-added of the work
- analysis of the adequacy of resource allocation

The panel’s findings are outlined below under each of these headings.



## **Relevance**

The research that IGES engages in is highly relevant to contemporary policy issues. Research projects have focused on issues that are important to various constituencies – from local communities to both local and central governments to international organisations. For example, IGES works on education, on air pollution across Asia, and on international environmental governance reform. Indeed, the Institute’s work on governance is comprehensive and impressive. IGES has engaged in policy processes relevant to regional governance and environmental cooperation in Asia (TEMM, ASEAN), in multilevel governance (RIO+20, GEO-5, Energy processes), local governance (Kanagawa prefecture, MRV processes), and capacity development and education in the region (PERL network, UNESCO processes). The work on regional and national governance related to air pollution has engaged IGES in collaborations with MOEJ as well as regional (LTP, EANET, TEMM, NEASPEC) and global (IUAPPA, GAPF) processes. Furthermore, the work on contributions of the local government to global issues is of particular value as IGES gains recognition beyond the Asia-Pacific region and establishes itself as an institution with increasing relevance in global issues and processes.

## **Influence**

Though difficult to measure, influence is clearly apparent in some research programmes such as air pollution, for example. Indeed, IGES’s work in this area is truly impressive both in depth and in breadth as well as in impact on the policy community. The reviewers believe that the focus on air pollution should be maintained and the work enhanced both substantively and politically. Throughout the evaluation process, it became clear that IGES researchers have produced outputs of significant value (for example in education projects) and that the implementation of such outputs is the next logical step for IGES to invest in. The reviewers recognise that implementation requires greater capacity both within IGES and in the communities where the projects will take place. With the initiation of appropriate partnerships such implementation would indeed take place naturally.

## **Value-added**

When outlining the assessment criteria, Professor Hamanaka acknowledged that the value-added dimension of IGES’s work needs to be defined more clearly. In and of itself the term is used to denote “extra” features of a product or service that go beyond the standard expectations and provide something in addition to the usual expectation while adding little or nothing to the cost. The reviewers thought that IGES could certainly provide examples of such products and processes and in essence create its own database of value-added projects. During the review process, it was clear that IGES’s air pollution work shows value-added to policy processes across Asia-Pacific and that much of the other work that IGES has initiated holds such value. It would indeed be useful for the IGES team to define the concept and carry out an internal assessment identifying the areas where researchers identify such value-added.



## **Resource allocation**

Both reviewers were impressed by IGES's success in raising funds for its core activities. Funding proposals by IGES have a very high rate of success and the Institute itself considers its budget appropriate for the scope of work it carries out. Moreover, it is apparent that the Japanese government places a high level of trust in IGES's work and continues to engage the Institute staff in various significant processes and events. Throughout the presentations, it was clear that IGES has been extremely efficient during the Fifth Phase. It has managed to complete an ever-increasing workload with a minimal research and administrative staff. While the human resources challenges are perhaps the most significant for IGES – the institute cannot hire enough of the kind of competent, driven, and highly analytical individuals that it seems to need – this challenge is not insurmountable. We outline some suggestions for addressing these issues in the sections below.

## **Recommendations**

The external reviewers would like to extend suggestions for improvement across three core categories: research, dissemination and people.

### *Research*

Research at IGES is highly policy-relevant and therefore seems to often be driven by policy needs. As policy impact is an important driver for IGES, this is a welcome trend. Many of the results of the research projects seem to stay within the grey literature provided to policymakers while they could be making it into academic scholarship in addition to (not instead of) the policy documents. To this end, the reviewers recommend that IGES:

- Balance policy and academic contributions by focusing on transforming some of the policy analyses into academic articles or even edited volumes. This could be done in collaboration with colleagues from other institutes and universities.
- Engage in scholarly networks beyond Asia (US, Canada, Europe in particular). Greater participation in academic conferences is one venue for such engagement and might provide impetus for the transformation of policy papers into academic research articles.
- Create targeted partnerships with universities across the world and particularly in the United States.

### *Dissemination*

The breadth of research outputs that IGES produces is impressive. Research staff are expected to publish several papers annually and such requirements lead to a very high research productivity. While IGES has been successful in communicating the research results to the policymakers concerned, the reviewers suggest investment in a broader dissemination strategy and recommend that IGES:

- Translate materials into relevant local languages (e.g. in Education projects).
- Foster and engage networks of scholars across the world. This could be done through

sponsoring joint events, and arranging for faculty, researcher, and student exchanges.

- Continue to engage policy communities in Asia and beyond in informal and formal dialogues.
- Publish in outlets beyond Asia.

### *People*

For an organisation to be successful, it is critical that it invests in the career and professional development of its staff. At IGES, researchers could benefit significantly from more individualised attention, from assignment of research subjects based on the expertise and willingness of researchers, and from engagement with colleagues in similar institutions. The reviewers therefore recommend:

- Engage more actively with faculty at universities in Asia and beyond. Given the breadth of IGES activities, joint research projects and joint publications would be a welcome initiative for many universities.
- Attract additional researchers through targeted partnerships with universities in Japan and beyond (can be engaged on site or virtually). For example, students could join IGES as researchers on concrete projects and, directed by a faculty member at their home university, could produce significant analytical research.

In conclusion, both external reviewers express high appreciation of the work that IGES engages in and carries out, and affirm their interest in collaborating with IGES.

# Response from the Review Groups:

## Governance and Capacity Group

The Group is very grateful for the very positive evaluation by the reviewers, summarized as “impressive.” Reviewers recognized that the Group’s work is very “comprehensive” in scope, “important,” and “highly relevant” for a wide variety of stakeholders, including gaining the “trust” of the Japanese government. Reviewers noted that the Group has been engaged in a wide variety of policy processes at various levels and has been very successful at raising external funds. Work was judged to be “extremely efficient” (verbal comments suggested even possibly “too efficient”), and outputs were judged to have “significant value.” The areas of education, air pollution, and local governance were specifically highlighted by the reviewers.

The Group agrees with the reviewers’ overall observation that implementation research recommendations will require greater capacity within IGES. Reviewers also correctly observed that appropriate partnerships will also be necessary, and the Group believes that concrete steps have already been taken in this direction, and more are planned, particularly in the areas of air pollution/cobenefits, SDGs, education, and local governance.

Reviewers’ specific recommendations focused on 3 main areas: research, dissemination, and people.

First, regarding research, reviewers underlined the importance of policy relevant research and publications, and the importance of having a balance of between policy and academic publications. However, they felt that the Group’s research also has good academic value added and therefore potential for more academic publications. They encouraged greater participation in academic conferences and targeted partnerships with universities, especially in the US.

Second, regarding dissemination, reviewers noted the Group’s success in communicating with policymakers, and recommended greater efforts to reach a broader audience, by translating materials into relevant local languages, greater engagement with networks of scholars across the world, and engaging in policy communities beyond Asia, and publishing in outlets beyond Asia.

Third, regarding people, reviewers recommended that IGES should invest more in the career and professional development of its staff, giving them more individualized attention. Assignment of research subjects should be based more on the expertise and interest of the researchers.

The Group is encouraged by the positive evaluation of the potential of its research, and would like to generate not only more academic publications, but also other kinds of publications to diversify outreach activities as recommended by the reviewers. However, any expansion of the scope of publications and outreach would require a greater quantity human resources. Greater cooperation with universities and other research institutes would certainly be helpful, but this cooperation itself would require additional human resource time.

The Group believes that it already has a fairly diversified engagement and dissemination strategy. Of course, the main focus is East Asia, but the Group has already developed strong global linkages particularly in the area of SDGs, where the Group is a key, active member of an influential consortium of global think tanks called the Independent Research Forum which has already developed a successful procedure to engage negotiators from key countries worldwide. In addition, the Group has been engaged with the global Earth System Governance project, and had an active presence in its global Tokyo conference in January 2013, organizing a side event on SDGs and contributing a number of presentations.

The suggestion to invest more in career and professional development of researchers is highly welcomed, as is the recommendation to give greater consideration to the expertise and interest of researchers when making assignments. The Group believes that this would meaningfully enhance the effectiveness of research and outreach activities, although this is an issue for overall IGES management; the Group's ability to influence this is limited. Still, it is important to note that there are always practical difficulties in assigning researchers to projects which may be impossible to overcome, especially for new and urgent projects.

In sum, the Group highly appreciates the time and effort made by the reviewers to understand the Group's wide-ranging activities, as well as the valuable and helpful recommendations. The Group basically agrees with the recommendations and will do its best to implement them to the extent feasible during the Sixth Phase, and in fact is already doing so in many cases.

# Sustainable Consumption and Production Group

5 Dec. 2013

## Reports from the Reviewers

- Dr. Kersty Hobson, The University of Oxford
- Prof. Shinichi Sakai, Kyoto University

### **Dr. Kersty Hobson, School of Geography and the Environment, The University of Oxford**

*9 December 2013*

I would like to begin by applauding the work of the SCP Group of IGES. The breadth and scope of the activities, outputs, and policy-related outcomes as presented are impressive and comprehensive, given the inherent institutional and budget constraints that were highlighted during the meeting of Thursday 5 December. The sample of publications I reviewed prior to the meeting were a mixture of scientific analysis through case studies (e.g. the Climate Co-Benefits paper), policy analysis, and more ‘how to’ publications, all of which are appropriate given the range of audiences the SCP group aims to engage with. I would particularly like to highlight the publication by Akenji et al. (2011) on ‘Waste Management and Research’ as being informative and well-written, making it accessible to a wide range of readers.

It has been highlighted that the SCP group, and indeed IGES as a whole, is an unusual institution in global terms, undertaking a mixture of primary research, advocacy and outreach, capacity building, and the production of high quality written outputs. As funding is often short-term and project-specific—and can reflect the possibly-shifting priorities of the MOEJ—there are evidently challenges with setting a medium to long-term agenda that can be followed through, independent of external changes. Thus the group’s current portfolio of activities is a lot broader than one would expect from, for example, a research-focussed university department or independent ‘think tank’. This is not a weakness per se but it does invite some careful consideration of how time and resources are being spent.

For example, it is clear that a not-insignificant amount of time is spent engaging with regional and international organisations such as the United Nations Environment Programme and the Asia-Pacific Roundtable on SCP. The presentations on 5 December highlighted some of the impacts that the Group has had on various processes and outputs from these organisations, which is of course commendable. Yet, I would like to see some consideration given to the knock-on impacts of these engagements. That is, to what extent is the work of the SCP group influencing the practices of, for example, UNEP: and indeed, do such organisations have a high enough impact in and of themselves? In short, does the

amount of time spent at meetings around the region equate to substantive impact on the ground?

I ask these questions highly mindful of the significant difficulties of tracing influence and impact: and thus perhaps there is scope for a small (independent?) project here e.g. interviewing key policy actors in the region to ask how much they have been influenced by the SCP group. At the least, organisations like UNEP should be conducting rigorous monitoring and evaluation of the impacts of their policies and programmes, and it would be useful to see these taken into account when members of the group decide which processes to participate in. Indeed, what does political and governance analysis suggest are the most effective leverage points in various Asian contexts?

Also highlighted in presentations on 5 December are the benefits and the considerable challenges in undertaking collaborations with researchers in the region. That is, 'outsourcing' data collection and analysis to in-country experts—whilst attractive on paper—can end up creating almost as much work as it saves. Perhaps then there is need to think a little creatively about how to address these issues given the considerable knowledge gaps that exist around key areas of SCP in the region. For one, is it possible to establish early on in the planning of a project that part of its overall aim is to build capacity in-country, perhaps by matching an experienced researcher with a local collaborator? This is obviously reliant upon the willingness of the funder to consider this a viable impact pathway, but this is an important issue as there is notably an ongoing tension between needing on-the-ground expertise (e.g. people who know the context and language): and the lack of capacity to conduct rigorous research in diverse countries in the region. Also opportunities to link PhD-funded projects with the work of the SCP should be explored. In the UK and Australia for example, some organisations (e.g. CSIRO) can host PhD scholars, who are co-supervised with staff at a nearby university, to ensure academic rigour is maintained. This may also enable some of the short-term nature of staffing to be partially addressed, as PhD scholars would be working solely on dedicated projects for at least 3 years and should come with some funding other than that from within the IGES e.g. established scholarship programmes.

Also highlighted in the presentations on 5 December was that the majority of written outputs aim to target non-academic audiences. A lot of this appears to take place face-to-face through presentations, which is commendable and evidently useful in terms of the added benefits of networking and dissemination. Beyond that, a clearer sense of the Group having a communications and dissemination strategy that extend beyond existing networks would be useful. For example, having read a few Policy Briefs as part of this review it was not clear who these are targeted at, how they are being disseminated and where the next steps would be for those receiving them, if they wanted to learn more about how to act the issues described. Certainly in other countries, the importance of knowledge exchange and knowledge brokering/translation has become a 'hot topic', as it is appreciated that one-way communication and dissemination is no longer adequate in and of themselves. Part of this is already being done through group members activities with stakeholders, but a more clearly articulated communication strategy would also serve as a useful guide when thinking about modes of engagement and relevant groups/organisations to involve.

Therefore, overall I do not have any major criticisms of, or concerns about, the group or the Sixth Phase work programme. The groups' mission, strategy, chosen work areas, and outputs all appear to be well thought through. I do think the one area that would benefit from further consideration is the issue of influence and impact beyond group members being asked to participate in policy processes or contribute chapters to reports. As already mentioned, finding this out is not a straightforward endeavour but I would think a clearer sense of the group's influence and impact would be beneficial, in terms of questions of resource allocation.

## Shinichi Sakai, Kyoto University

*15 December 2013*

The research and activities of IGES Fifth Phase Sustainable Consumption and Production Group (SCP) have been promoted focused on four separate items: 1) consumption, 2) resource circulation, 3) waste management and, 4) chemical management. The framework of this research covers wide range of global issues and has an excellent balance between each area.

The followings are my comments mainly from the viewpoint of my special research fields of waste management and chemical management areas.

### 1. Sustainable Waste Management with Multiple Benefits & Sustainable Consumption in Developing Asia

The group has achieved a good result on organic waste research. This approach is a bona fide lead as a measure for realising a low carbon society and waste sanitary control. The Practical Guide for improved organic waste management 2011 can also be appreciated from a practical aspect. When we see today's global movement (e.g. Food loss campaign initiated by EU), I think how we approach or withdraw the consumer awareness as consumption aspects will be the key point for success. ADB Housing PJ is also a gateway to the "REDUCTION" approach. The issue of construction waste can be integrated in this project. Recycling challenges of sustainable energy supply apparatus such as solar panels are also targeted for recycling in the near future. As the SCP group suggests, it is important to think about the relation structure of poverty with food insecurity, when tackling sustainable consumption issues in developing Asia. However, how to take effective approaches and how to propose concrete measures to realise the goal will be important themes in the future.

### 2. Chemical Management for Sustainable Product and Material Life-cycles

It is important to point out the lack of effective systems for compiling information on chemicals and for providing such information to recyclers and waste managers. It is also necessary to give suggestions regarding the weakness of certification schemes and lack of standards for recycling facilities. However, it seems that these statements are nothing more than mere suggestions. What can we do to make the comments useful?

### 3. Governance for Sustainable Resource Circulation in Asia

Asia Resource Circulation Project is a good challenge and has also important seeds for future challenges of waste-related SCP research. The activities of this group have made a huge contribution to the Regional 3R Forum in Asia and UNEP Resource Panel, and we expect to have the SCP group's continued support especially on realisation of their proposal on 3R policy indicators. "Regional 3R Forum in Asia" is an important platform to be continued and IGES is an essential partner.

### 4. Others

Fukushima Action Research is an urgent, major challenge for the Japanese research community. The involvement of IGES SCP is appreciated by society. Experiences in effective governance on decontamination and risk communication research can be also applied with regards to the siting and communication issues of material recycling and waste management facilities.

Category of publications for academic or policy by IGES rule is reasonable for policy related research. Some presentations such as an invited plenary speech in the academic society can be included for academic output.

It can be evaluated that SCP group has produced fruitful results in every aspect (e.g. policymaking, academic output and social outcome) by expanding the team from six to ten members. However, the SCP group has many issues to be addressed that need a sound and solid approach for each area. It is necessary for the team to create a solid vision whether they aim at being the leading group in each area, or being of assistance to comprehensive reviewers/policy makers.

## Response from the Review Groups:

### Sustainable Consumption and Production Group

#### 1. Dr. Kersty Hobson, School of Geography and the Environment, University of Oxford

- 1-1. The sample of publications I reviewed prior to the meeting are a mixture of scientific analysis through case studies (e.g. the Climate Co-Benefits paper), policy analysis, and more 'how to' publications, all of which are appropriate given the range of audiences the SCP group aims to engage with. I would particularly like to highlight the Akenji et al. (2011) publication in 'Waste Management and Research' as being informative and well-written, making it accessible to a wide range of readers.

We very much appreciate the favourable comments from the reviewer on our publications. We would like to continue to create value-added policy-relevant knowledge available for wide range of audiences. The publication mentioned in the comment was developed from a three-year project and backed by policy reports, policy briefs and several conference presentations. This demonstrates the need to have some system of internal knowledge management, and to plan projects and research phases such that they build on previous experiences, rather than frequently putting our hopes on new topics.

- 1-2. To what extent is the work of the SCP group influencing the practices of, for example, UNEP? And indeed, do such organisations have a high enough impact in and of themselves? In short, does the amount of time spent at meetings around the region equate to substantive impact on the ground? What does political and governance analysis suggest are the most effective leverage points in various Asian contexts?

How to evaluate the impacts of our research and operational activities, is one of the most significant issues we are always thinking about ourselves, as well as in relation to IGES as a whole. We try to generate value-added knowledge relevant to certain policy topics by engaging with these networks or organisations. By doing so, we can also find relevant topics for policy research. Thus, for impact



generation, we can expect synergetic cycles between research and engagement to networks. The relationship between the Regional 3R Forum and the 3R policy indicator WG would be a good example. Of course, we have to be very careful about any new engagements and commitments that we make to new policy processes or networks, bearing in mind impact creation. Continuity is the key to success for impact generation as well as for research. The SCP 10YFP is another example where we are selectively involved, mostly in activities where we see our outputs helping policy processes and practices to move forward.

- 1-3. **Perhaps then there is need to think a little creatively about how to address these issues given the considerable knowledge gaps that exist around key areas of SCP in the region. For one, is it possible to establish early on in the planning of a project that part of its overall aim is to build capacity in-country, perhaps by matching an experienced researcher with a local collaborator?**

We have had successful collaboration before with other organisations and experts, and frequently design our projects so that those with more local experience and expertise provide input to our publications and activities. However, we need to develop the means of nurturing longer-term collaborative relationships (with common and frequently explored interests, other than just IGES unilaterally commissioned activities), and not only single-project partnerships. Furthermore, we need to make a more conscious effort to not only involve academics but to work with practitioners, and indeed to work with them over a long time collecting and analysing data and feeding this back into policy design.

- 1-4. **Also opportunities to link PhD-funded projects with the work of the SCP should be explored. In the UK and Australia for example, some organisations (e.g. CSIRO) can host PhD scholars, who are co-supervised with staff at a nearby university, to ensure academic rigour is maintained. This may also enable some of the short-term nature of staffing to be partially addressed, as PhD scholars would be working solely on dedicated projects for at least 3 years and should come with some funding other than that from within the IGES e.g. established scholarship programmes.**

For the short-term, we have an internship programme. For the long-term, IGES as a whole is now trying to attract outside experts to work at IGES as visiting fellows in the form of collaboration. There is also interest in exploring post-doctoral fellowship arrangements, but such a mechanism will need to be sanctioned and designed at the higher institutional level.

- 1-5. Also highlighted in the presentations on 5<sup>th</sup> December was that the majority of written outputs aim to target non-academic audiences. A lot of this appears to take place face-to-face through presentations, which is commendable and evidently useful in terms of the added benefits of networking and dissemination. Beyond that, a clearer sense of the Group having a communications and dissemination strategy that extend beyond existing networks would be useful.... Part of this is already being done through group members activities with stakeholders, but a more clearly articulated communication strategy would also serve as a useful guide when thinking about modes of engagement and relevant groups/organisations to involve.

Yes, to shift more emphasis to SCP, there needs to be wider engagement with stakeholders. For example, for reduction-related work, we have started to work with an NGO, FoEJ. There is however a danger here of focusing too much on just communication and less on developing cutting-edge material. We need to explore where there is an optimal balance, and also take care not to spread ourselves too thin among several stakeholders, but rather identify strategically important ones for each topic/activity.

- 1-6. I do think the one area that would benefit from further consideration is the issue of influence and impact beyond group members being asked to participate in policy processes or contribute chapters to reports. As already mentioned, finding this out is not a straightforward endeavour but I would think a clearer sense of the group's influence and impact would be beneficial, in terms of questions of resource allocation.

This is important, not only for the group but for IGES as a whole. We propose to address this at IGES-wide planning meetings.

## **2. Prof. Shinichi Sakai, Kyoto University**

The research and activities of IGES Fifth Sustainable Consumption and Production Group (SCP) have been promoted focusing on four separate items: 1) consumption, 2) resource circulation, 3) waste management and, 4) chemical management. The framework of this research covers a wide range of global issues and has an excellent balance between each area.

### **2-1 Sustainable Waste Management with Multiple Benefits & Sustainable Consumption in Developing Asia**

The group has achieved a good result on organic waste research. This approach is a bona fide lead as a measure for realising a low-carbon society and waste sanitary control. And the Practical Guide for improved organic waste management 2011 can be

appreciated from the practical aspect. When we see today's global movement (e.g. Food loss campaign initiated by EU), I think how we approach or withdraw consumer awareness as consumption aspects will be the key point for success. ADB Housing PJ is also a gateway to the "REDUCTION" approach. Construction waste issues can be integrated in this project. Recycling challenges of sustainable energy supply apparatus such as solar panels is also targeted for recycling in the near future. As the SCP group suggests, it is important to think about the relationship structure between poverty and food insecurity, when tackling sustainable consumption issues in developing Asia. However, how to take effective approaches and how to propose concrete measures to realize the goal will be important themes in the future.

Food security and poverty issues are tightly interlinked and are increasingly being highlighted, especially in developing countries. This topic needs to be considered at IGES. However, it goes beyond the capacity of just one research area, given the many facets (agriculture, water, governance, livelihoods, etc). Thus what might be effective could be institute-wide coordination to approach this issue comprehensively. Here again, the issue of resources and capacity comes in.

A limited attempt currently, is the exploration to potentially include food as a key sector in the REDUCTION project.

## **2-2 Chemical Management for Sustainable Product and Material Life-cycles**

It is important to deal with the problem of the lack of effective systems for compiling information on chemicals and for providing such information to recyclers and waste managers. It is also necessary to give suggestions regarding the weakness of certification schemes or lack of standards for recycling facilities. However, it seems that these statements are nothing more than mere suggestions. What can we do to make the comments useful?

For this, we are now trying to reflect these comments through Japan's engagement to ESM framework development under Basel convention-related process. Dr. Hotta himself is on the advisory committee for Japan and aims to provide suggestions/comments based on this component to the process.

## **2-3 Governance for Sustainable Resource Circulation in Asia**

Asia Resource Circulation Project is a good challenge and has also important seeds for the future challenge of waste-related SCP research. The activities of this group have made huge contributions to the Regional 3R Forum in Asia and UNEP Resource Panel, and

we expect to have the SCP group's continued support especially on realisation of their proposal on 3R policy indicators. "Regional 3R Forum in Asia" is an important platform to be continued and IGES is an essential partner.

As suggested, we will continue to support Regional 3R Forum in Asia. We are trying to establish OECD-style working group for emerging/important topics for this international collaborative process.

#### 2-4 Others

Fukushima Action Research is an urgent and major challenge for the Japanese research community. The involvement of IGES SCP is greatly appreciated by society. Experiences in effective governance on decontamination and risk communication research can be also applied for the siting and communication issues of material recycling and waste management facilities.

We will try to develop our expertise in risk communication research based on our experience from the FAIRDO project in the near future.

Categorising publications for academic or policy according to IGES rules is reasonable for policy-related research. Some presentations such as invited plenary speeches for academic societies can be included as academic output.

Noted.

It can be evaluated that SCP group has produced fruitful results in every aspect (e.g. policymaking, academic output and social outcome) by expanding the team from six to ten members. However, the SCP group has many issues to be addressed that need sound and solid approach for each. It is necessary for the team to create a solid vision whether they aim at being the leading group in each area, or at comprehensively assisting reviewers/policy makers.

As we have already answered, we try to generate value-added knowledge relevant to certain policy topics by engaging with networks or organizations. By doing so, we can also find relevant topics for policy research. Thus, for impact generation, we can expect synergetic cycles between research and engagement with networks. The relationship between Regional 3R Forum and 3R policy indicator WG would be a good example. One of the possibilities for IGES would be to play a certain role in an OECD-style working group for value-added knowledge creation in emerging/important topics for the international collaborative process. We will try to be a good facilitator and partner of leading research organisations as well as international organisations for value-added knowledge creation.

# Programme Management Office and Regional Centre in Bangkok

13 Dec. 2013

## Reports from the Reviewers

- Mr. Surendra Shrestha, Director, UNEP International Environmental Technology Centre (IETC)
- Mr. Yasushi Hibi, Conservation International Japan

This report presents findings and recommendations by the External Reviewers on the Programme Management Office (PMO) and the Bangkok Regional Centre (BRC) under the IGES Fifth Phase Integrative Strategic Research Programme (ISRP). The Reviewers appreciate the opportunity provided by IGES to review, comment on, and recommend to IGES, specifically on their relevance, influence impact, and future directions.

### 1.0 Comments on the Strategic Direction:

The Reviewers support the vision for IGES becoming “an Agent of Change to promote the global transition towards a sustainable, low-carbon and resource-saving society (13 Dec 2013 Review Session 1 presentation)”. The Reviewers believe IGES, as a regional/international institution hosted in Japan, is in a good position to propose ideas, support stakeholders, and influence the international community for change towards a healthy sustainable society in a fast changing and unprecedented world of today in all three dimensions of sustainable development.

In order for IGES to realise its vision of becoming a true Agent of Change, there are five overall points the institution is suggested to consider in its Sixth Phase:

**1.1 Core Competence:** IGES is suggested to build a core competence in an area building on its many strengths. This is an area in which IGES will build up expertise and networks, and be known for in Japan and globally. It is also an area where IGES can be the centre of a knowledge hub (data, information, knowledge and wisdom).

**1.2 Knowledge Service:** IGES is suggested to have ‘SERVICE’ in all its functions as an international organisation. Service would provide relevant knowledge packaged for different stakeholders both in Japan and abroad.

**1.3 Organic Institution:** Continuous self and external evaluation is necessary to ensure IGES is going in the right direction at the right pace. IGES is a relatively small organisation and hence the competitive edge will be in recognising the need to be 'organic', flexible and decentralised in its operations with appropriate delegation of authority within the management chain.

**1.4 Results-based Management (RBM):** The Panel recommends IGES study and adopt RBM as part of its requirement in the management of programmes. RBM is becoming a requirement for all international organisations.

**1.5 Resource Mobilisation Strategy:** The panel recommends articulation of a resource mobilisation strategy with emphasis on core competency, emerging issues, service orientation and RBM as its key assets. The Strategy is suggested to be complimented by a strong media and outreach programme.

## 2.0 Programme Management Office (PMO):

The Reviewers recognise that PMO was set up as a coordination function to secure integrative and strategic implementation. PMO has added additional functions, including the provision of strategic direction and incubating new emerging issues such as the post-triple disaster response. There needs to be better articulation with clarity on PMO functions and how it secures relevance, and also how it responds to needs.

Documents and reports published by IGES (i.e. IGES White Paper) are of a high caliber and cutting edge, but how effectively these products are utilised in influencing IGES' clients and stakeholders to induce change needs to be documented. An enhanced engagement with the non-government stakeholders (civil society organisations (CSO), community-based organisations (CBO) and the private sector) will strengthen the 'Change Agent' role of IGES.

Specific recommendations suggested to be considered for further strengthening PMO's role to facilitate impact generation with an institution-wide scope include:

**2.1 Sustainable Development (SD):** In recognising that the International Community will be more focused on SD for the 21<sup>st</sup> century, a more holistic approach to future programmes will yield better relevance in a resource-scarce and complex environment. The Reviewers recommend considering the renaming of PMO to better reflect its current tasks i.e. "office of strategic planning and coordination" or "office of strategic direction".

**2.2. Results Base Management (RBM):** PMO is recommended to adopt RBM as the core of its programme initiation, review and evaluation process. The reviewers believe RBM will contribute to the quality assurance and resource mobilisation functions.

**2.3 Strategic Presence:** PMO may wish to actively consider holding ISAP in the region in alternate years. The reviewers believe that that this exposure with high officials from the host government and more regional participation will further enhance the relevance and credibility of IGES.

**2.4 Partnerships with CSOs/CBOs:** The Reviewers strongly recommend increased engagement with CSOs, CBOs and Private Sector for IGES to achieve its Mission. Some of the recommendations include engagement with the stakeholders from the programme planning stage and invitations to additional speakers from these categories of stakeholders.

**2.5 Communications and Outreach:** IGES needs to significantly enhance its communication and outreach. The Reviewers recommend that while IGES focuses on reaching out directly to decision-makers, social media will prove to be effective to reach out other stakeholders, especially the general public and the tax payers in Japan.

**2.6 Core Competence and Matrix Approach:** There is recognition that we need to move away from the 'silo' mentality to a more 'holistic' approach. Reviewers recommend a two pronged approach - i) building up a core competence in a relevant area which has expertise strength in IGES and ii) a matrix approach in programme and project implementation.

### 3.0 Bangkok Regional Centre (BRC):

The Reviewers noted with appreciation that BRC has moved rapidly from a representative liaison office in Bangkok to a secretariat (APAN, AECEN, and SDplanNet) function making substantive contribution to UNEP's GEO5 and ADAPT. The staff in Bangkok contribute to the credibility and visibility of IGES in the region. IGES may wish to further expand the scope of BRC to carry out functions of capacity development, resource mobilization, gathering of knowledge on SD and regional/international partnerships. Experience at BRC and HQ may be a required personnel condition for promotion to management positions to ensure relevance as well as solid linkage between science/research and policy setting.

Specific recommendations suggested to be considered for further strengthening BRC include:

**3.1 PMO BRC Synergy:** The Reviewers strongly believe that IGES has much to gain from the synergy between PMO's strategic direction function and BRC's 'regional window' making the institution's programmes increasingly more relevant. The President may wish to integrate and take advantage of this potential synergy.

**3.2 Core Competence and Staff Mobility:** The relevance of an institution's research oriented work requires the experts to be closer to the ground. The Reviewers recommend the following considerations: integrating functions of PMO and BRC into one service function; key experts of the Core Competence group to sit in the BRC; and staff mobility between HQ and BRC be made conditional for promotion to higher levels of management. Change in the operation of IGES will speak well to accomplish its vision as an 'Agent of Change'.

**3.3 Centre of Excellence (COE):** The Reviewers noted with commendation that BRC has provided secretariat services for regional networks as well as contributed substantively to many global and regional policy documents. Building on this reputation, BRC may be designated as COE for capacity development in the area of IGES Core Competence.

**3.4 IGES in Africa:** On 13 December, we discussed the importance of Asia and Africa regions for the 21<sup>st</sup> century. Japan through TICAD plays an important role in the development of Africa in the coming decades. The Reviewers believe Africa presents another opportunity for IGES to be a Change Agent in another fast emerging region.

**3.5 Resource Mobilisation:** Bangkok is the regional hub for the UN, Donors, CSOs as well as the Private Sector. A resource mobilisation strategy to access sources outside of Japan could be based at BRC. The Strategy could take advantage amongst other Japanese Private Sectors that are expanding to the region and benefit from knowledge of BRC of the region. A similar situation would occur be the case if an extension of BRC were to exist in Nairobi and/or Addis.

## Response from the Review Groups:

### Programme Management Office and Regional Centre in Bangkok

The external review of the performance of the Programme Management Office (PMO) and Bangkok Regional Centre (BRC) during the IGES 5<sup>th</sup> phase by Mr. Surendra Shrestha, Director of UNEP-IETC and Mr. Yasushi Hibi, Vice President for Asia Policy, Conservation International, provided many important messages and recommendations. PMO and BRC are providing the following responses to the external review report.

#### Responses from PMO

PMO appreciated reviewers' support for IGES's institutional direction to become an 'Agent of Change' as well as relevant comments/recommendations both on 'strategic direction' and 'PMO's operation'.

Building **core competence** (1.1) and providing relevant **knowledge service** (1.2) are considered priority challenges in the 6<sup>th</sup> phase. Streamlining varied expertise into institutional capacity for systemic service provision is now being tried out in such areas as 'promotion of low-carbon society'.

**Results-based Management** (RBM: 1.4 and 2.2) is also introduced with an emphasis on 'impact generation' for its planning and evaluation exercises. A balanced approach for an articulated **resource mobilization strategy** (1.5) and **flexible operations** (1.3) is also rightly pointed out as an important challenge for a relatively small institute as IGES.

A holistic approach to **sustainable development (SD)** is vital to the institute and strategic planning and coordination of institution-wide activities to promote SD (2.1) is the core function of PMO, although renaming the office after this function may require further discussion.

**Core competence and matrix/program approaches** (2.6) recommended should be kept in mind for strategic planning and coordination.

**Networking and outreach** related suggestions (2.3, 2.4 and 2.5) are considered important and a senior coordinator in charge has been appointed in the 6<sup>th</sup> phase.

#### Responses from BRC

The representatives from the Bangkok Office and Regional Centre found the comments and suggestions received from the reviewers relevant and invaluable for shaping future



operation, and they believe the intention and achievement by the Office and Centre were well-understood by the reviewers. While the PMO and BRC have different roles and responsibilities, they also share many similar challenges and opportunities regardless their locations. This became more apparent after conducting the joint external review.

The recommendations for a **strategic operation** (Point 3.1 and 3.4) will be possible by the BRC as well as PMO, provided both remain organic and nimble.

Recommendations for the **management issues** (Point 3.2, 3.5) should be considered in close communication with PMO.

To respond to the technical recommendations (Point 3.2 and 3.3), BRC would like to make further efforts in the areas that BRC is currently engaged in (climate change adaptation, environmental safeguards, and sustainable development) with experience and lessons so far, and assist in identifying and sharpening the areas that IGES as a whole will/should focus to achieve its mission.



Results of the  
IGES Fifth Phase External Review

## Appendix B.

Guidelines for External Reviews of IGES  
Fifth Phase

# Guidelines for External Reviews of IGES Fifth Phase

September 2013  
IGES PMO

## 1. Background and Objectives

Now that the Fifth Phase of IGES has been completed, all studies and activities conducted during this Phase must be externally reviewed.

The purpose of the IGES External Reviews is to examine to what extent studies and activities conducted in the Fifth Phase satisfied the original targets and intentions of the studies, and what meaningful impacts have been created in important policy processes. Also important is how achievements made and lessons learnt in the Fifth Phase could be properly integrated into studies and activities planned for the Sixth Phase (FY2013-2015). All in all, the external review is expected to promote better implementation of the IGES strategic research in the Sixth Phase.

## 2. Process of the External Review

- 1 Reviewers will be decided.
  - 2 Selected research outputs will be sent to the reviewers as review materials.
  - 3 Attendance at the review meeting: Reviewers will make a comprehensive evaluation of group's presentations and review materials.
  - 4 Submission of the report from reviewers within one week.
  - 5 Uploading of external review report on the IGES website.
- A Review Panel composed of two or three reviewers shall be formulated to evaluate each of the groups of the Fifth Phase. There can be certain flexibility on this point, as reorganisation has taken place in the Sixth Phase (See Section 4 below).
  - At least two weeks before the review, a representative of the group to be reviewed shall send the panel members basic information about the group including several selected products .
  - Prior to the external review sessions, each of the review panel members is expected to prepare a memo separately which will be modified and presented during the review sessions.
  - The final external review report, which contains suggestions for improvement, shall be submitted by the review panel to IGES within one week after the review day.
  - Staff members of the group concerned shall discuss the review results among themselves and reflect them properly in the way studies and activities for the Sixth Phase are to be conducted.
  - The external review report shall be uploaded onto the IGES website, together with potential responses from the IGES group concerned.

## 3. Participants of the External Review and roles of each member

The Panel members and the participants of the External Review are expected to follow the points below.

### The panel chair and its members:

- A Chair is appointed to lead the panel. The Chair is responsible for conducting external review sessions to ensure that the panel appropriately undertakes its assessment and completes the tasks. (see Attachment 1)
- All panel members are responsible for participating in the external review and finalising their

individual or integrated review report. They are also expected to present the main points of their review results at the end of the review sessions.

- The Review Panel is specifically requested to assess the following as much as possible:
  - i Objectives of the studies and activities examined in the context of IGES missions and priorities (see Attachment 2);
  - ii Quantity and quality of the outputs concerned;
  - iii Impacts generated in the major policy processes concerned, through the outputs developed and activities conducted including information outreach, multi-stakeholder dialogues and capacity building initiatives.
  - iv Overall financial as well as human resources management of IGES regarding the studies and activities concerned.

IGES staff concerned:

- The Sixth Phase research group will organise the External Review with the logistic assistance from the Programme Management Office (PMO).
- A professional attitude should be maintained to learn from the past and conduct constructive discussions.

#### **4. Groups to be reviewed**

- 1 Climate Change & Market Mechanism
- 2 Natural Resources Management: Forest Conservation & Biodiversity
- 3 Natural Resources Management: Adaptation & Freshwater (& Beijing Office)
- 4 Sustainable Consumption and Production
- 5 Economy and Environment
- 6 Governance and Capacity
- 7 Programme Management Office & IGES Regional Centre in Bangkok
- 8 Kitakyushu Urban Centre
- 9 Kansai Research Centre

#### **5. Documentation prepared for the review**

Basic Information on the project

- (1) Agenda of the External Review sessions
- (2) Integrative Strategic Research Programme of the Fifth Phase
- (3) Fifth Phase Research final report (draft)
- (4) A list of group members and their terms of office
- (5) Group/project budget overview (FY2010-2012) (i.e. list of components and funds)
- (6) Integrative Strategic Research Programme of the Sixth Phase

Research results

A few selected outputs both for policy makers and researchers, and a list of all publications during the Fifth Phase.

## **6. Review Report:**

Each of the reviewers will prepare the final report after the review.

- Although the External Review report is expected to be comprehensive, the Panel has considerable leeway in deciding on what issues are to be examined in detail. The report is expected to highlight the most significant issues during the Fifth Phase and make recommendations on how improvements could be made.
- The Review report is expected to be succinct and written in plain language, focusing on strategic issues. It can propose detailed comments on substance, impacts and management issues concerned, but at the same time forward-looking recommendations including overall directions and priorities. The writing style is expected to be direct, explicit and frank.
- The Review report will be prepared individually or combined as a panel, and submitted to the Chair of the Board of Directors of IGES within a week after the review session.
- The length of the report should be in approx. 3-5 pages. For the structure of the report, please see the section “Potential Topics to be covered at External Review” in the attachment 1.

## **Attachment 1**

### **External Review Principles**

- Objectivity and independence: the External Review must be objective, transparent and participatory. The External Review report(s) should be direct, precise and straightforward.
- The Review is expected to maintain high standards of quality and be rigorous in its insights. It is conducted by an independent and objective Panel of two to three experts selected according to national and international academic standards and other criteria, such as publication records.
- It is inevitable that the review process requires collaboration among all individuals concerned so that for various participants can produce a complex assessment report that has to meet high expectations and tight deadlines. The main participants in the External Review process are the Panel members, IGES research group members and additional resource persons, if necessary.
- External Review should lead to constructive feedback to the group/team. A healthy atmosphere of mutual respect and collaboration in the interchange of ideas with the group members is the key to the success of the review.

### **Potential Topics to be covered at External Review:**

- (a) Mission, Strategy, and Priorities
  - The appropriateness of the group's mission in light of IGES's goals (of designing policies for protecting the environment to ensure sustainable development in Asia and the Pacific)
  - The appropriateness of the research theme in responding to the needs of the Asia Pacific region
  - The appropriateness of the group priorities and research strategy in responding to the needs of beneficiaries, especially policy makers in the region
  - Comparative advantage (niche) of IGES in conducting the research relative to other existing research organisations
  - The appropriateness of the roles of relevant partners in the formulation and implementation of the group's strategy and priorities, considering alternative sources of partnership with other organisations
- (b) Quality and Policy Relevance
  - The appropriateness of the group design
  - The quality and policy relevance of research done at the group
  - The adequacy of the methodology employed
- (c) Effectiveness and Efficiency of Project Plan
  - The effectiveness of the group's processes for planning, priority setting, quality management (various quality and relevance assurance mechanisms) and impact assessment
  - The effectiveness of the group's relationships with relevant research partners and other stakeholders
  - The effectiveness of human resource allocation
- (d) Accomplishments and Impacts
  - Success of the research: achieved results in comparison with the expected achievements set out in the initial plan
  - The appropriateness and timeliness of recent achievements
  - Impacts on international, domestic and regional policy processes
  - The effectiveness of the group's activities/products in terms of their impact and contribution to the achievement of the mission and goals of the IGES

## **Attachment 2**

### **About IGES**

The Institute for Global Environmental Strategies (IGES) was established on March 1998 under an initiative from the Japanese Government and with support from Kanagawa Prefecture based on the “Charter for the Establishment of the Institute for Global Environmental Strategies (<http://www.iges.or.jp/files/about/PDF/charter-e.pdf>)”. The aim of the Institute is to achieve a new paradigm for civilization and conduct innovative policy development and strategic research for environmental measures, reflecting the result of research into political decisions for realizing sustainable development both in the Asia-Pacific Region and globally. IGES made the transition to a Public Interest Incorporated Foundation in April 2012.

According to the Charter for the Establishment of the IGES, the Institute will tackle fundamental challenges to human society, which exists thanks to the bounty of the global environment, and to redefine the values and value systems of our present societies that have resulted in the global environmental crisis, in order to create new ways of conducting activities and a new paradigm for civilization. Based on the principles of this new paradigm, new social and economic systems will be built, so that a new era of the global environment can begin. IGES also recognises that the realisation of sustainable development in the Asia-Pacific region is a vital issue for the international community, as the region is home to more than half of the world's population and is experiencing rapid economic growth. Thus the region plays a critical role in the protection of the global environment.

By recognising these crucial issues, IGES will promote research cooperation with international organisations, governments, local governments, research institutions, business sectors, non-governmental organisations (NGO) and citizens. As well as conducting research, the Institute will share its research results and also host international conferences and study workshops.



Results of the  
IGES Fifth Phase External Review

## Appendix C.

IGES Total Outputs for the 4th and 5th  
Phases

## IGES Total Outputs for the 4th and 5th Phases

	4th Phase				5th Phase			
	FY2007	FY2008	FY2009	Total	FY2010	FY2011	FY2012	Total
Policy briefs	2	6	1		5	17	18	
Peer-reviewed journal articles	11	22	34		31	30	32	
Reports/books/chapters (policy, research, commissioned, occasional)	15	75	82		117	66	99	
Short & non-peer reviewed articles (including PR materials)	22	61	33		15	70	86	
Other papers (discussion/working/conference, proceedings, etc.)	28	38	38		38	82	114	
<b>Total Written Outputs</b>	<b>78</b>	<b>202</b>	<b>189</b>	<b>469</b>	<b>206</b>	<b>265</b>	<b>389</b>	<b>860</b>
Online resources	0	17	0	17	0	32	33	65
<b>Total Presentations</b>	<b>70</b>	<b>142</b>	<b>288</b>	<b>500</b>	<b>234</b>	<b>226</b>	<b>174</b>	<b>634</b>
Workshops (non-ISAP)	59	67	99	225	94	95	116	305
ISAP sessions			22	22	24	19	29	72
<b>Total Workshops</b>	<b>59</b>	<b>67</b>	<b>121</b>	<b>247</b>	<b>118</b>	<b>114</b>	<b>145</b>	<b>377</b>
<b>Total of All Outputs</b>	<b>207</b>	<b>428</b>	<b>598</b>	<b>1233</b>	<b>558</b>	<b>637</b>	<b>741</b>	<b>1936</b>
<b>For Reference</b>								
Number of researchers	56	73	68		81	96	99	
Total amount of external funds (billion yen)	0.79	1.09	1.12	3.00	1.57	1.34	1.26	4.17
Total number of contracts	38	65	77	180	75	62	67	204

### Notes:

1. Some outputs might not be registered.
2. Some outputs might be misclassified.
3. Workshops are from data submitted to Kanagawa Prefecture. FY2012 is from the event list; others also included web updates.
4. FY2010 and earlier policy reports include commissioned reports.
5. Presentations may be significantly under reported.
6. English version and Japanese version are counted separately for policy briefs and white papers.
7. White paper chapters are counted as book chapters for FY2008 and 2012, and as policy reports for FY2010.
8. Publication categories were combined in order to simplify this table.
9. Publication categories are not fully consistent across phases.