

## Metadata Sustainable Development Goals:

### SDG indicator 12.1.1

#### Goals and Targets addressed

**Goal:** SDG 12 Ensure Sustainable Consumption and Production Patterns

**Target 12.1:** 12.1 Implement the 10-year framework of programmes on sustainable consumption and production, all countries taking action, with developed countries taking the lead, taking into account the development and capabilities of developing countries

**Indicator 12.1.1:** Number of countries developing, adopting, or implementing policy instruments aimed at supporting the shift to Sustainable Consumption and Production.

#### Linkage with Goals and Targets.

The 10 year framework of programmes on Sustainable Consumption and Production is linked to all targets of SDG 12, literature research shows that SDG 12 is connected to a total of 14 other SDGs - making SCP the number one most cross-cutting theme across the SDGs<sup>1</sup>.

#### Main Associated SDG indicators:

12.7.1 # of countries implementing sustainable public procurement policies and action plans;

12.b.1 # of sustainable tourism strategies or policies and implemented action plans with agreed monitoring and evaluation tools

Linked SDGs: 12.2.1/8.4.1, 12.2.2/8.4.2, 12.3.1, 12.5.1., 12.6.1, 12.8.1, 13.2.1, 14.c.1, 14.6.1, 15.8.1

Considering that the development, adoption and implementation of policy instruments integrating SCP are creating the enabling environment for sustainable development, there are potentially many more associated SDGs, targets and indicators.

#### Definition and method of computation

##### Definition and concepts:

This indicator allows for the quantification (#) and monitoring of countries making progress along the policy cycle of binding and non-binding policy instruments aimed at supporting Sustainable Consumption and Production.

- **Sustainable Consumption and Production:** The working definition of Sustainable Consumption and Production (SCP) used in the context of this framework is: “The use of services and related products, which respond to basic needs and bring a better quality of life while minimising the use of natural resources and toxic materials as well as the emissions of waste and pollutants over the life cycle of the service or product so as not to jeopardise the needs of future generation.”<sup>2</sup>
- **Policy:** Although quite flexible and contexts specific, a policy is usually defined as a course of action that has been officially agreed by an entity or an organization (governmental or non-governmental) and is effectively implemented to achieve specific objectives.

<sup>1</sup> Le Blanc, 2015: “[Towards integration at last? The sustainable development goals as a network of targets](#)” DESA Working Paper No. 141 ST/ESA/2015/DWP/141

<sup>2</sup> UNEP (2010). ABC of SCP: Clarifying Concepts on Sustainable Consumption and Production.

- **Policy instruments for SCP:** Policy instruments refer to the means – methodologies, measures or interventions – that are used to achieve those objectives. In the case of SCP, such instruments are designed and implemented to reduce the environmental impacts of consumption and production patterns, with a view of generating economic and/or social benefits.
- **Policy instruments are distinguished in legally binding and non-legally binding policies:**
  - **Legally binding:** a legally binding policy instrument refers to a system of rules, procedures and/or principles which are prescribed and enforced by a governing authority with the aim of requiring or preventing specific actions or providing incentives that lead to change in actions or preferences. It includes: laws, regulations, standards, by-laws, codes, etc. They can relate to different types of jurisdictions such as a ministry, state, municipality, or group of states.
  - **Non legally binding:** a non-binding policy instrument refers to a coherent set of decisions associated to a common vision, objective and/or direction, and to a proposed course of action to achieve these. It includes, for instance: action plans, policies, strategies, programmes, and projects. They can fall under the responsibility of different types of organisation (ministry, company, international organisation, NGO, etc.) and have different scopes of application (international, national, local, etc.).
- **Different categories of policies can be distinguished:**
  - **Macro-policies with SCP objectives** (e.g. national strategies/action plans, new institutions/entities);
  - **Regulatory and legal instruments** (e.g. laws, standards, enforcement measures);
  - **Economic and financial instruments** (e.g. taxes and tax incentives, grants, preferential loans, etc.);
  - **Voluntary and self-regulation schemes** (e.g. sectoral partnerships, codes of conduct, CSR initiatives).
- **Policy cycle:** this political science concept is widely used to analyse and inform public policy-making processes, but can be transposed to any recurrent pattern leading to the implementation of a policy or policy instrument, either led by governmental or non-governmental entities. The following approach with regards to the various stages of the policy cycle is adopted:
  - a) **Policy development**, including Agenda setting (e.g. the problem identified is high enough on the public agenda that action becomes likely) and Policy design (e.g. setting objectives, identifying costs-benefits of potential policy instruments and selecting);
  - b) **Policy adopted or officially launched** (e.g. adopting or authorizing the preferred policy options through the legislative process and refined through the bureaucratic process);
  - c) **Policy under implementation through specific actions** (e.g. translating policy into concrete action and policy instruments); results and impacts are being monitored;
  - d) **Policy and related action plan has reached its end date and has been evaluated.**

### Method of computation

- To be reported under this indicator, a government should have moved through one or more new stage(s) of the “Policy cycle” on one or more policy instrument(s) during the current reporting period
- As per the 10YFP Indicators of Success, although they can be linked, a policy instrument is not the same thing as a change in practice, a commitment, a coordination mechanism or a knowledge resource or tool.
- This indicator is calculated at relevant aggregation levels based on the information collected from the National Focal Points and other government officials; users of the data should be mindful of double counting one same policy, when aggregating data across reporting years.

## Rationale and interpretation

- Mainstreaming SCP in decision-making at all levels is a core function of the 10YFP. As per the mandate of the 10YFP, it should also “support the integration of sustainable consumption and production into sustainable development policies, programmes and strategies, as appropriate, including, where applicable, into poverty reduction strategies”. The purpose of the indicator is to help assess the volume and geographical repartition of countries progressing on SCP, including those supported by 10YFP, and to monitor the evolution of such volume over time. This should support evaluation of how much / how fast governments progress in the development and application of policies integrating SCP, at cross-cutting and sectoral levels, under the influence of the 10YFP and, to the extent that is possible, beyond.
- Binding policies are essential to the shift towards SCP across and within sectors, as they provide the legal ground for SCP and can be used for enforcement or to provide incentives. The ability to develop, pass and implement legislation is an indication of jurisdictions’ engagement in the shift towards SCP. This indicator can also help monitor the evolution of the global SCP legislative landscape.
- Non-binding policies are essential in ensuring institutional engagement, commitment and ownership. In some cases, such non-binding policies can lead to the creation of new legal ones. The development and implementation of non-binding policies across sectors also provides information on engagement of partners and other stakeholders in SCP and can help monitor the evolution of the global SCP policy landscape.
- Progress of Countries on policies supporting the shift to SCP can be measured through a number of other output and outcome indicators, such as those identified in the 10YFP Indicators of success (e.g. trainings, knowledge resources and tools, etc.).

## Disaggregation

- Country (using the official SDG country list provided by UNDESA) .
- Ministry: Ministry of Environment / Sustainable Development / Natural Resources / Energy; Ministry of the Economy / Finance / Treasury; Ministry of Industry / Trade / Commerce / Labour; Ministry of Planning / Development / Infrastructures; Ministry of Foreign Affairs / Regional / International Cooperation; Ministry of Energy / Mineral Development / Power; Ministry of Science / Research / Technology / Innovation; Ministry of Agriculture / Livestock / Fisheries / Forestry / Food Security / Rural Affairs; Ministry of Tourism / Culture / Sports; Ministry of Transports / Roads / Works / Construction / Building; Ministry of Urban Development / Land Management / Housing; Ministry of Education / Higher Education / Youth; Ministry of Poverty Alleviation / Social Welfare / Families / Women.
- Policy: macro-policy; policy instrument.
- Type of macro-policy: macro-policy specifically focused on SCP; macro-policy with SCP as a key priority/objective; sectoral macro-policy with SCP objectives.
- Focus of “macro-policy with SCP as a key priority/objective”: sustainable development; green economy/green growth; circular economy; development/poverty eradication; other (specified).
- Type of instrument: regulatory/legal; economic/financial; voluntary/self-regulatory
- Policy cycle stage: Under development (initial stage); just adopted; under implementation through specific actions; has reached its end date and has been evaluated.
- Year of adoption: 2002 to 2022.
- Legal status: binding/non-binding.

- Sectors: Agriculture and fishery; Buildings and construction; Consumer goods; Culture and recreation; Financial sector; Education; Energy, Food & Beverage; Forestry; Environmental protection; Environmental services; Government and Civil Society; Housing; Industrial sector (Including SMEs); Scientific Research, Development and Innovation; Tourism; Transport; Waste (including Chemicals); Water.
- Actors involved: national ministries or other specialized national agencies; local authorities; civil society organizations; scientific and technical organizations; United Nations/inter-governmental organizations; business sector.
- Support received from non – national partner: United Nations/inter-governmental organizations; multilateral financial institutions; bilateral organizations; international non-governmental organizations.
- Support received from 10YFP: encouraged the development/implementation; technical support; financial support; capacity-building activities; experience and knowledge-sharing tools; no connection to 10YFP.
- Support received from 10YFP programmes: sustainable public procurement; sustainable tourism; consumer information for SCP; sustainable food systems; sustainable lifestyles and education; sustainable buildings and construction; none of the above.
- Link to other SDGs: SDG 1;2;3;4;5;6;7;8;9;10;11;13;14;15;16;17
- Impact measured: Resource efficiency; environmental impact; human well-being. More detailed impact indicators in the 10YFP Indicators of Success.
- Relevant links and attachments including electronic copies of the policies, or their drafts, relevant official reports, summary of consultations and any other relevant associated documents and web links should be attached to the reporting.

### Sources and data collection

- Data is collected through an online survey based on this metadata sheet (questionnaire is provided in Annex 1).
- Data is provided by 10YFP National Focal Points.
- The survey is administered by the 10YFP Secretariat.
- The survey may include additional questions, such as those on inter-ministerial and/or multi-stakeholder coordination mechanism for SCP.
- A pilot data collection and reporting will be undertaken to test the methodology and reporting tools in 2017. On the basis of this pilot the methodology may be further revised.
- The questions included in the survey can be revised as needed, in particular as data becomes available through the survey and alignment may be required with related ongoing work under the SDGs.
- The 10YFP or 10YFP secretariat is not responsible for the quality of the data provided.
- The 10YFP Global Survey on National SCP Policies and Initiatives, administered by the 10YFP Secretariat in 2015, and reported on by 10YFP National Focal Points may complement information and data collected.

### Comments and limitations

Whereas the indicator quantifies and monitors countries' progress along the policy cycle of binding and non-binding policy instruments aimed at supporting Sustainable Consumption and Production; it does not provide any qualitative information and whether policies were well-designed or if a proper background

analysis had been conducted, the quality of implementation, level of enforcement, and its effects. These aspects will have to be looked at through narrative reports / qualitative analysis.

The indicator encompasses policy instruments supporting the shift to SCP, including: policies which identify SCP as a key priority, policies focused on SCP and sectoral policies with SCP objectives. It is acknowledged that sectoral policies are also being reported under other SDG indicators and in particular 12.7.1 (# of countries implementing sustainable public procurement policies and action plans) and 12.b.1 (# of sustainable tourism strategies or policies and implemented action plans with agreed monitoring and evaluation tools).

Establishing baselines and targets can be time and resource intensive and depends on the willingness of 10YFP National Focal Points to communicate necessary information.

Main aspects regarding precision, reliability, attribution and double counting are addressed above. If you come across additional issues, please inform the 10YFP Secretariat.

### Current data availability / indicator tier

This indicator is currently classified as Tier III: Indicator for which standards need still to be developed and data not regularly produced by countries.

The Global survey on national SCP policies and initiatives administered by the 10YFP secretariat provided information on 287 policies and initiatives contributing to the shift towards sustainable consumption and production patterns, led by national governments and public institutions. In total 47 countries plus the European Union participated in the 2015 pilot Global survey.

### Responsible entities

- National data provider: 10YFP National Focal Points – the full list of National Focal Points is available [here](#). In countries there is no nominated 10YFP national focal point, the survey will be sent to the UN Environment Focal Point.
- Organisations responsible for data collection and compilation on this indicator at the global level: UN Environment, the 10YFP Secretariat administers the data collection through a dedicated online tool. UN Environment, the 10YFP or the 10YFP Secretariat are not responsible for the quality of the data provided.

### Data collection and data release calendar

- Reporting on this indicators should be done in accordance with the methodology presented here.
- 10YFP National Focal Points are responsible for relevance, accuracy and methodological rigour of any information reported.
- The pilot reporting and data collection scheduled for Q4 of 2017; related data release is scheduled for Q2 2018.
- It is envisaged that the data is collected every 2 years.

### References

- [10YFP Indicators of Success: principles, process and methodology, January 2017](#)
- Sustainable Consumption and Production: A handbook for policy-makers. UNEP, 2015.
- ABC for SCP: clarifying concepts on Sustainable Consumption and Production, UNEP, 2010
- 10YFP Secretariat's inventory of SCP National Action Plans and other strategies integrating SCP
- Methodological note and questionnaire of the 10YFP Global Survey on National SCP Policies and Initiatives

- UNEP Live (Natural Resources: DMC, Energy, GHG, Water Footprint) <http://uneplive.unep.org>
- Global Outlook on SCP, UNEP, 2011
- Sustainable Consumption and Production indicators for the future SDGs. UNEP, 2015
- Capacity-building and policy needs assessment for SCP developed by SWITCH Asia <http://www.switch-asia.eu/policy-support-components/rpsc/policy-assessment>

The metadata for SDG indicator 12.1.1 has been developed by the 10YFP monitoring and evaluation Task Force, and is fully based on the 10YFP indicators of Success: principles, process and methodology (available [here](#)). The following countries have also been engaged to test the online pilot reporting tool: Lao PDR, Colombia, Honduras, Pakistan, Zambia; in addition to testing by UN Environment regional offices.

The pilot reporting launched in September 2017 is undertaken to test the methodology and reporting tools. On the basis of this pilot the methodology may be further revised.

Annex I: Overview of the SDG 12.1 pilot reporting questionnaire, to be administered in Q4 2017

Pilot reporting on national policies and instruments for Sustainable Consumption and Production in the context of SDG 12.1

IDENTIFYING QUESTIONS

1. Country
2. Institution/department
3. Name of person reporting
4. Functional title of person reporting
5. Email of person reporting
6. Are you a 10YFP National Focal Point
7. Have you collected data/information from other ministries as part of your inputs for reporting? (yes/no/no, but other ministries are reporting directly through this tool themselves)
8. Which ministries have shared/been requested to share information? (see annex II)
9. Have other public agencies been requested to share information as part of your inputs for reporting?
  - o Please provide the names of the public agencies

I would like to report on:

- A macro-policy with SCP objectives (e.g. laws, standards, enforcement measures)
- Policy instrument contributing to the shift to SCP
- An inter-ministerial and/or multi-stakeholder coordination mechanism for SCP ((e.g. national strategies/action plans, new institutions/entities)

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QUESTIONS TO BE DISPLAYED IF “MACRO-POLICY WITH SCP OBJECTIVES” IS SELECTED

1. Please specify the category of the macro-policy
    - o A macro-policy in which SCP is identified as a key priority or objective (e.g. strategy on sustainable development, green economy, poverty eradication, etc.) – IF SELECTED then show the sub-question below:
      - What is the main focus of this policy? (closed options, refer to disaggregation in metadata)
    - o A macro-policy specifically focused on sustainable consumption and production (e.g. national strategy, action plan on SCP)
    - o A sectoral macro-policy with sustainable consumption and production objectives (e.g. energy, buildings, agriculture, etc.)
  2. Please indicate the exact title of this macro-policy
  3. (for sectoral policies only) Please identify the concerned sector (closed options, refer to disaggregation in metadata)
  - 3b. What are the priority sectors, if any, identified in this macro-policy (closed options, refer to disaggregation in metadata)
  4. When was / will this macro-policy (be) adopted?
  - 4b. (if the answer before 2015) Was this macro-policy replied through the pilot survey on national SCP policy conducted by the 10YFP Secretariat in 2015? (Yes, No, I don't know)
  5. Is this macro-policy legally binding? Yes/No
- At what advancement stage is this macro-policy currently? (closed options, refer to disaggregation in metadata)
6. Who was at the initiative of this macro-policy? (open field)
  7. Please identify the stakeholders consulted and/or involved in the development and/or implementation of this macro-policy (closed options, refer to disaggregation in metadata)

8. **Has your country received technical or financial support from non-national partners to develop and/or implement this macro-policy?** (closed options, refer to disaggregation in metadata)
  9. **Has your country developed and / or implemented this macro-policy in the context of the 10YFP?** (closed options, refer to disaggregation in metadata)
  10. **More specifically, has your country received support from one or several 10YFP programmes for this macro-policy (e.g. technical guidance, financial support, information sharing)?** (closed options, refer to disaggregation in metadata)
  11. **In addition to SDG 12, to which other SDGs is this macro-policy contributing?** (closed options, refer to disaggregation in metadata)
  12. **Please indicate which impacts of this macro-policy are to be measured** (closed options, refer to disaggregation in metadata)
- Please attach any relevant documents
  - Please attach any high quality photos

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**QUESTIONS TO BE DISPLAYED IF REPORTING IS ON “POLICY INSTRUMENT CONTRIBUTING TO THE SHIFT TO SCP”**

1. **Please specify the type of the instrument**
  - Regulatory/ Legal instruments (e.g. taxes and tax incentives, grants, preferential loans, etc.)
  - An economic / financial instruments contributing to the shift to SCP (e.g.)
  - A voluntary / self-regulation scheme (e.g. sectoral partnerships, codes of conduct, CSR initiatives)
2. **Please indicate the exact title of this instrument**
3. **If this instrument is contributing to the implementation of a macro-policy you have reported on, please specify which one**
4. **When was / will this instrument (be) enforced for the first time?**
- 4b. (if the answer before 2015) **Was this macro-policy replied through the pilot survey on national SCP policy conducted by the 10YFP Secretariat in 2015?** (Yes, No, I don't know)
5. **If this instrument is focused on one or several specific sectors, please specify which ones** (closed options, refer to disaggregation in metadata)
6. **Please describe in 50 words maximum the purpose of this instrument**
7. **Is this instrument legally binding?** Yes/No
8. **Who is leading the development and implementation of this instrument?**
9. **Please identify the stakeholders consulted and/or involved in the development and/or implementation of this instrument** (closed options, refer to disaggregation in metadata)
13. **At what advancement stage is this instrument currently?** (closed options, refer to disaggregation in metadata)
14. **What is the budget or estimated financial cost of this instrument?**
15. **Has your country received technical or financial support from non-national partners to develop and/or implement this instrument?** (closed options, refer to disaggregation in metadata)
16. **Has your country developed and / or implemented this instrument in the context of the 10YFP?** (closed options, refer to disaggregation in metadata)
17. **More specifically, has your country received support from one or several 10YFP programmes for this macro-policy (e.g. technical guidance, financial support, information sharing)?** (closed options, refer to disaggregation in metadata)
18. **Please indicate which impacts of the macro-policy are to be measured** (closed options, refer to disaggregation in metadata)
19. **Please attach any relevant documents**
20. **Please attach any high quality photos**

21. Would you like to highlight anything specific about this instrument and its implementation as best practice (e.g. specific activity)?
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QUESTIONS TO BE DISPLAYED IF “INTER-MINISTERIAL AND/OR MULTI-STAKEHOLDER COORDINATION MECHANISM FOR SCP” IS SELECTED

1. Please provide the exact title of the mechanism
  2. What type of mechanism is it?
    - It is a high-level coordination body (e.g. located in the Prime Minister’s cabinet, Presidential Office)
    - It is a National Commission for Sustainable Development or a similar body responsible for supporting coordination on sustainability issues in general, including SCP
    - It is an operational coordination mechanism only dedicated to SCP (e.g. Inter-ministerial committee on SCP)
    - Other, please specify
  3. Who is leading and supervising the activities of this coordination mechanism?
  4. Please identify the actors involved in the coordination mechanism (closed options, refer to disaggregation in metadata)
  5. Approximately how many organisations are involved in the coordination mechanism?
  6. Which ministries are participating in this coordination mechanism (closed options, refer to disaggregation in metadata)
  7. How often do the actors involved in this mechanism meet?
    - Less than once a year
    - Once a year
    - More than once a year
    - I don’t know
  8. When was the last meeting?
  9. What are the functions of this coordination mechanism?
    - Information and knowledge sharing on SCP across ministries
    - Stakeholders consultations and transparency
    - Identification of ad hoc opportunities for synergies and cooperation
    - Design of overarching or sectoral policies with SCP objectives
    - Coordinated policy implementation across ministries
    - Monitoring and evaluation of policies relevant to SCP
    - Reporting on progress at national and/or international level
    - Communicating to the general public on SCP
    - None of the above
  10. Has this coordination mechanism been influenced by or benefited from the 10YFP? (closed options, refer to disaggregation in metadata)
  11. Please attached relevant documents (brochures, members list, terms of reference, reports)
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