Sustainable Development Methodology

PART V: MONITORING AND REPORTING

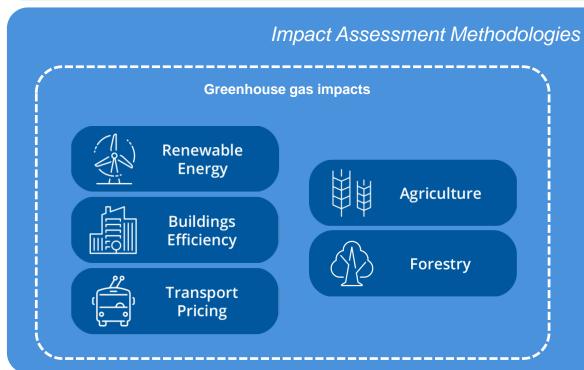




Overview of ICAT



Introductory Guide







Process Guidance Documents





Overview of the SD methodology



Climate Action
Transparency

Part V: Overview

Part V: Monitoring and Reporting

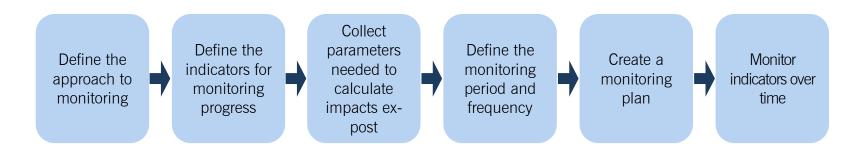
Monitor the performance of indicators over time (Chapter 12)

Report the results and methodology used (Chapter 13)



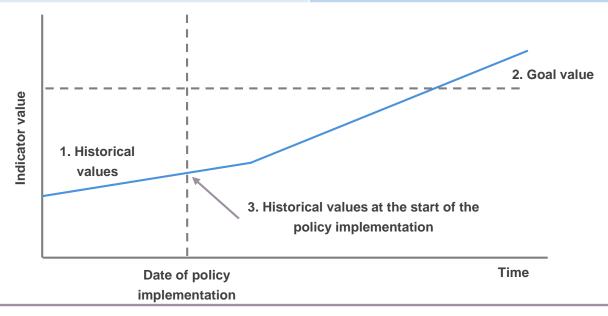
Chapter 12. Monitor the performance of indicators over time

How to monitor the performance of a policy over time by tracking the progress of key indicators, collect data needed for ex-post assessment and prepare a monitoring plan.



12.1 Define approach to monitoring

| MONITOR PERFORMANCE | EX-POST ASSESSMENT |
|--|--|
| Tracking of indicators only | Tracking of indicatorsCollection of a broader set of parameters |
| Useful for: Understanding progress over time Understanding whether indicators of interest are moving in the right direction Tracking progress towards meeting goals | Baseline scenario is required to attribute observed impacts to a specific policy (correlation does not entail causality) |





12.2 Define indicators for monitoring progress and data collection (12.3)

When selecting indicators, users should consider:



- Monitoring based on monitoring plan (Section 12.5) and chosen approach (Section 12.1)
- Selection based on an inclusive stakeholder consultation.

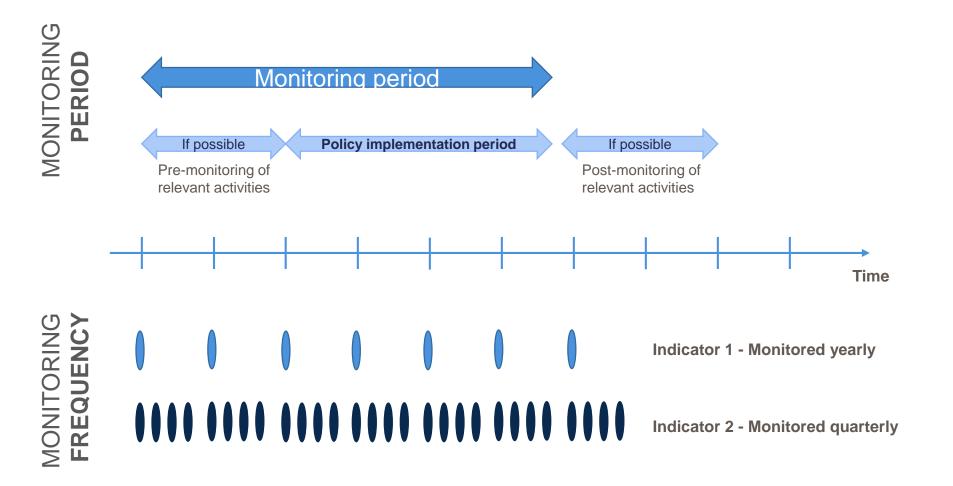
 Refer to ICAT Stakeholder Participation Guide
- For ex-post quantitative assessments: identification and collection of needed parameters (Chapter 5)
 - Define indicators that will be used to track performance of the policy over time for each impact category included in the assessment
 Collect data needed for ex-post assessments.







12.4 Define the monitoring period and frequency



12.5 Create a monitoring plan

KEY ELEMENTS TO INCLUDE

- Brief **description** of each indicator
- Source of data for each indicator and parameter
- Monitoring period
- Monitoring frequency
- Measurement or data collection methods
- Historical value
- Goal value
- Entities or institutions responsible for monitoring the respective indicator and collection of parameters

ADDITIONAL INFORMATION

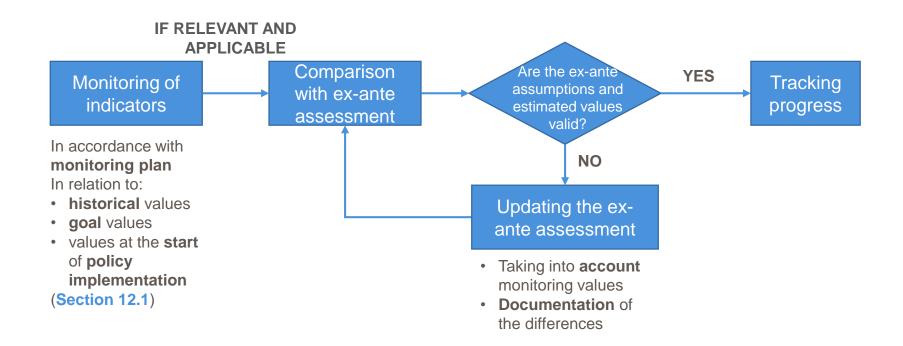
- Methods for generating, storing, collating and reporting data
- Level of uncertainty of data and how this uncertainty will be accounted for
- Databases, tools or software systems to be used for collecting and managing data
- Procedures for internal auditing, quality assurance and quality control, including record keeping and internal documentation procedures, and length of time data will be archived
- Whether data are verified and, if so, verification procedures used
- Roles and responsibilities of relevant personnel involved in monitoring
- **Competencies** required and any training needed to ensure that personnel have the necessary skills.

Create a plan for monitoring indicators.





12.6 Monitor indicators over time and tracking progress



- Monitor each of the indicators over time in accordance with the monitoring plan.
- Separately monitor indicators for different groups in society where relevant (men/women, urban/rural areas etc.).





12.7 Tracking progress towards SDGs

- Tracking overall progress towards SDGs should be aligned with existing and emerging national frameworks, targets and indicators
- Establishment of MRV system for data collection to individual policies and actions

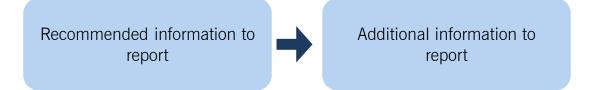




Insight

Chapter 13. Report the results and methodology used

Reporting the results, methods and assumptions used is important to ensure that the impact assessment is transparent, and gives decision makers and stakeholders the information they need to properly interpret the results.



13.1 Recommended information to report

| | The name of the policy/action assessed. | | | | | |
|---|---|--|--|--|--|--|
| GENERAL INFORMATION | The person(s)/organization(s) that did the assessment | | | | | |
| | The date of the assessment | | | | | |
| | Whether the assessment is an update of a previous assessment, and if so, links to any previous assessments | | | | | |
| 2. OBJECTIVES | Describe the objective(s) and intended audience(s) of the assessment | | | | | |
| 3. KEY CONCEPTS AND, | Whether the assessment consists of a qualitative assessment, quantitative impact assessment and/or tracking progress of indicators over time. | | | | | |
| STEPS | Opportunities for stakeholders to participate in the assessment | | | | | |
| 4 05000101110 7115 | State whether the assessment applies to an individual policy/action or a package of related policies | | | | | |
| 4. DESCRIBING THE POLICY OR ACTION | Provide a description of the policy or action included recommended information | | | | | |
| T GEIGT GRANGTION | State whether the assessment is ex-ante , ex-post , or a combination | | | | | |
| 5. CHOOSING WHICH IMPACT CATEGORIES AND | A list of impact categories included and excluded from the assessment boundary, with justification for exclusions of impact categories that may be relevant, significant or identified by stakeholders | | | | | |
| INDICATORS TO ASSESS | Indicator(s) selected for each impact category included in the assessment boundary. | | | | | |
| 6. STARTING SITUATION | A list of all sustainable development impacts identified, using a causal chain and/or table format | | | | | |
| | The assessment period | | | | | |
| | A description of each specific impact | | | | | |
| 7. QUALITATIVELY ASSESSING IMPACTS | The outcomes of the qualitative assessment for each impact (including likelihood, magnitude and whether it is positive or negative), including which identified impacts are significant, and the methods and sources used | | | | | |
| | A summary of the qualitative assessment results for each impact category, including impacts of the policy on different groups in society, where relevant | | | | | |

Report information about the assessment process and the sustainable development impacts resulting from the policy .



13.1 Recommended information to report

A list of **impacts** and **indicators** included in the quantitative assessment boundary and a list of any impacts that are not quantified, with justification A description of the baseline scenario for each indicator being estimated and a justification for why it is considered to be the most likely scenario The methods, assumptions and data used to estimate the baseline scenario for each indicator being estimated, including the source of the baseline scenario if adapted from a previous analysis The baseline values for each indicator being estimated over defined time periods, such as annually over the assessment period, if feasible 8. ESTIMATING THE The methods, assumptions and data sources used to calculate baseline values BASELINE (quantitative approach) A list of policies, actions and projects included in each baseline scenario, with justification for any implemented or adopted policies, actions or projects with a potentially significant impact that are excluded from a baseline scenario A list of non-policy drivers included in each baseline scenario, with justification for any relevant non-policy drivers excluded from a baseline scenario Which planned policies are included in the baseline scenario, if any Justification for the choice of whether to estimate new baseline values and assumptions or to use published baseline values and assumptions If it is not possible to report a data source, justification for why a source is not reported The estimated net impact of the policy, for each indicator, over defined time periods, such as annually and cumulatively over the assessment period, if feasible The total in-jurisdiction impact and, separately, the total out-of-jurisdiction impact, for each indicator, if relevant and feasible Justification for why any impacts in the assessment boundary have not been estimated, with a qualitative description of the impacts 9. ESTIMATING The assessment methods used **IMPACTS EX-ANTE** A description of the policy scenario for each indicator being estimated The policy scenario values for each indicator being estimated, and the methods, assumptions and data sources used to calculate policy scenario values **Distributional impacts** on different groups in society

Report information about the assessment process and the sustainable development impacts resulting from the policy .



13.1 Recommended information to report

| | The estimated net impact of the policy , for each indicator, over defined time periods, such as annually and cumulatively over the assessment period, if feasible |
|--------------------------------------|--|
| | The total in-jurisdiction impact and, separately, the total out-of-jurisdiction impact , for each indicator, if relevant and feasible |
| 10. ESTIMATING IMPACTS EX-POST | Justification for why any impacts in the assessment boundary have not been estimated , with a qualitative description of the impacts |
| | The assessment methods used |
| | The policy scenario values for each indicator being estimated, and the methods, assumptions and data sources used to calculate policy scenario values |
| | Distributional impacts on different groups in society |
| 11. ASSESSING | The method or approach used to assess uncertainty |
| UNCERTAINTY | A quantitative estimate or qualitative description of the uncertainty and sensitivity of the results, to help users of the information properly interpret the results |
| | A list of indicators used to track progress over time and the rationale for their selection |
| 40 MONITODINO | Sources of indicator data and monitoring frequency |
| 12. MONITORING PERFORMANCE OVER TIME | The performance of the policy over time , as measured by the indicators, and whether the performance of the policy is on track relative to expectations |
| TIVIL | Whether the assumptions on key indicators within the ex-ante assessment remain valid, if applicable |
| | Trends in indicators for different groups in society |
| | |

Report information about the assessment process and the sustainable development impacts resulting from the policy .





13.2 Additional information to report

- The impact of the policy on different groups in society, such as men and women, people of different income groups, people of different racial or ethnic groups, people of different education levels, people from different geographic regions, and people in urban versus rural locations
- A range of likely values for the net change in each indicator, rather than a single estimate, when uncertainty is high
- Historical values for the indicators included in the assessment
- Sustainable development goals of the implementing jurisdiction
- The contribution of the assessed policy towards the jurisdiction's sustainable development goals
- How the policy is modifying longer-term trends
- Any potential overlaps with other policies
- Any limitations in the assessment not described elsewhere
- The type of technical review undertaken (first, second or third party), the
 qualifications of the reviewers and the review conclusions (further guidance
 on reporting information related to technical review is provided in Chapter 9
 of the ICAT Technical Review Guide)
- Other relevant information

Report information about the assessment process and the sustainable development impacts resulting from the policy.





Case Studies using this Methodology

 Sustainable Development Impact of the Cities Footprint Project on the Sustainable Development Goals in Five Cities of Bolivia

 An Assessment of the Sustainable Development Impact of Biodiversity Policy in South Africa through the ICAT SD Guidance



Checklist of key recommendations

| Chapter | Key recommendation |
|--|--|
| Chapter 12. Monitoring performance over time | Define indicators that will be used to track performance of the policy over time for each impact category included in the assessment. |
| | If estimating impacts ex-post, collect data needed for ex-post assessment |
| | Create a plan for monitoring indicators. |
| | Monitor each of the indicators over time, in accordance with the monitoring plan. |
| | Separately monitor indicators for different groups in society, where relevant. |
| Chapter 13. Reporting | Report information about the assessment process and the sustainable development impacts resulting from the policy (including the information listed in Section 13.1) |

12.2 Selected indicators for monitoring progress of a solar PV incentive policy

| Impact category | Indicator | Explanation of chosen indicator |
|---|---|---|
| Energy (SDG 7) | Solar capacity installed (MW) Electricity delivered from solar PV installations (MWh) | These indicators will track the quantity of renewable energy installed and generated from the solar PV incentive policy. |
| Health (SDG 13) | Emissions of PM _{2.5} , PM ₁₀ , SO ₂ and NO _X Number of premature deaths due to air pollution Number of health clinics electrified | The policy will improve health of people by avoiding burning of kerosene/paraffin, which causes severe indoor air pollution by emitting noxious fumes and soot. Kerosene lighting is hazardous, and is responsible for many burns and deaths. The policy will also improve health-care conditions by providing lighting and refrigeration for health clinics. |
| Quality of life (SDGs 1, 2, 16) | Number of households having access to clean, reliable and affordable electricity | The policy will provide more reliable lighting conditions, allowing children to study at home, which has a significant impact on improving child education in rural families and future employability. With a more reliable light source, adults can pursue productive activities in the house after nightfall. |
| Access to clean energy/energy security (SDG 7) | Share of people having access to reliable electricity services | In the absence of reliable grid electricity, people depend mostly on diesel generators and kerosene/paraffin lamps for lighting. The policy will make people less dependent on expensive fuels and reduce the need to purchase fuel. The policy will enable use of local energy sources, independent of geopolitical uncertainty. |
| Empowerment of women (SDG 5) | Share of female entrepreneurs | The policy will create opportunities for new income-generating activities for women and women's associations. |
| Employment/job creation and income generation (SDG 8) | Number of people (men/women) in jobs Household income | The policy will encourage new job-creating and income-generating activities related to renewable energy supply and installation, mini-grid operation, awareness raising, and marketing and accounting, thereby creating many new jobs. The generation of income will enhance economic growth and provide the means to afford electricity. |
| Economic productivity (SDG 8) | Number of households with improved economic productivity | The policy will foster productivity, increase production efficiency and enable added-value activities. |
| Food security (SDG 2) | Number of households with improved food security | The policy will reduce food waste by improving refrigeration. It will also promote better food processing, adding value to agricultural products. |
| Safety (SDG 3) | Number of people affected by hazardous conditions | Kerosene/paraffin lighting is hazardous and is responsible for loss of property through fire, as well as burns and death. The policy will foster the implementation of safety measures such as street lighting, security lighting, remote alarm systems, electric fences and road signs. |



12.5 Template for monitoring plan

| Indicator | Source of data | Monitoring frequency | Measurement method | Responsible entity or institution | Historical value in 2015 | Goal value for 2022 |
|--|--------------------------|----------------------|---|-----------------------------------|--------------------------|---------------------|
| Rooftop solar capacity installed | Government statistics | Monthly | Name plate showing installed capacity; ground verification on a random sample basis | Ministry of Energy | | |
| Electricity delivered from solar PV installations | Government statistics | Monthly | Electricity meters; ground verification on a random sample basis | Ministry of Energy | | |
| Number of health clinics electrified | Survey | Annual | Community-level assessment | Health Ministry | | |
| Number of households having access to clean electricity | Survey | Annual | Community-level assessment | Ministry of Energy | | |
| Number of people having access to electricity services | Survey | Annual | Community-level assessment | Ministry of Energy | | |
| Number of female entrepreneurs | Survey | Annual | Community-level assessment | Ministry of Social Affairs | | |
| Number of people in jobs, disaggregated by gender | Government statistics | Monthly | Community-level assessment | Ministry of Social Affairs | | |
| Money saved through replacement of kerosene by solar energy (which requires further parameters to calculate cost of kerosene, and amount of kerosene saved | Statistics and/or survey | Biennial | Sector-level assessment (cost of kerosene); community-level assessment (amount of kerosene saved) | Ministry of Energy | | |





12.5 Example of a monitoring plan in South Africa

| Indicator | Source of data | Monitoring frequency | Measurement method | Responsible entity or institution | Goal value for year Y |
|---|---|---|--|--|--|
| Areas protected (ha, km, km²) | Provincial conservation authorities, South Africa's Scientific Authority | National Biodiversity Assessments are updated every 7 years | Land survey | SANBI, with support of DEA and CSIR | By 2028, in protected areas: 10.8 m land- based hectares, 353 km inshore; 210,000 km² marine offshore in SA's EEZ plus 93,300 km² marine offshore in Prince Edward Islands EEZ |
| Percentage of threatened species conserved ex situ | Provincial conservation authorities, South Africa's Scientific Authority | Every 4 years (monitoring processes being developed by 2020) | Counts of threatened species (IUCN Red List) | SANBI and Botanical Society of South Africa | 60% of threatened plant species by 2020 |
| Percentage of species with ex situ collections active in restoration programmes | SANBI | Every 4 years | Reported | DEA, with support from SANBI's zoological and biological gardens | 1% of plant species by 2020 |
| Threat status of ecosystems | Provincial conservation authorities, DEA, DAFF, CSIR, research institutions | National Biodiversity Assessments are updated every 7 years | Four datasets (ecosystem types, ecological conditions, protected areas, biodiversity targets); local datasets where possible, otherwise global with some ground truthing | SANBI | Minimum 60% of each ecosystem type in good ecological condition |
| Protection level of ecosystems | Provincial conservation authorities, South Africa's Scientific Authority | National Biodiversity Assessments are updated every 7 years | As above | SANBI | Minimum 20% of each ecosystem |
| Benefit sharing: patents that exist for products made from local biodiversity, or that use local or indigenous knowledge, and that have benefit-sharing agreements | International patent registry; agreements registered under South Africa's Bioprospecting, Access and Benefit-Sharing Regulatory Framework | Every year | Desktop review | DEA | By 2025, benefit-sharing agreements exist for patents that are commercialized. Benefit-sharing agreements have been reviewed |
| Percentage of spatial development frameworks (SDFs), integrated development plans and land-use schemes that include biodiversity considerations | All national, provincial and municipal departments responsible for development planning and monitoring; Department of Rural Development and Land Reform | Every 5 years | Reporting progress on the Mid Term Strategic Framework | Presidency | By 2020, 100% of SDFs include maps for critical biodiversity areas and control development |
| Increase in average annualized GDP growth rate of the South African bioprospecting and wildlife sectors | StatsSA | Every year | NBES | DEA | By 2030, 10% increase compared with 2020 |



12.7 Illustrative example of selecting national indicators for tracking progress (1/2)

| Examples of goals | Examples of corresponding targets | Indicator | Source of data | Monitoring frequency | Measurement method | Responsible entity or institution | Historical value | Target value | |
|---|---|---|----------------|----------------------|----------------------------|-----------------------------------|------------------|-----------------|--|
| Examples of SDGs relating to a renewable energy policy | | | | | | | | | |
| SDG 3: Ensure healthy lives and promote wellbeing for all at all ages | Target 3.8: Achieve universal health coverage, including financial risk protection, access to quality essential health-care services and access to safe, effective, quality and affordable essential medicines and vaccines for all | Number of health clinics electrified | Survey | Annual | Community-level assessment | Health Ministry | 75 | 250 | |
| SDG 5: Achieve gender equality and empower all women and girls | Target 5.5: Ensure women's full and effective participation and equal opportunities for leadership at all levels of decision making in political, economic and public life | Share of female entrepreneur s (%) | Survey | Annual | Community-level assessment | Ministry of Social Affairs | 10 | 30 | |
| SDG 7: Ensure access to affordable, reliable, sustainable and modern energy for all | Target 7.1: By 2030, ensure universal access to affordable, reliable and modern energy services | Share of people with access to electricity services (%) | Survey | Annual | Community-level assessment | Ministry of Energy | 58 | 85 | |
| SDG 8: Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all | Target 8.5: By 2030, achieve full and productive employment and decent work for all women and men, including for young people and persons with disabilities, and equal pay for work of equal value | Share of people (men/women) in jobs | Survey | Monthly | Community-level assessment | Ministry of Social Affairs | 65 | 85 | |





12.7 Illustrative example of selecting national indicators for tracking progress (2/2)

| Examples of goals | Examples of corresponding targets | Indicator | Source of data | Monitoring frequency | Measurement method | Responsible entity or institution | Historical value | Target value |
|--|--|---|---|----------------------|--|-----------------------------------|--|--|
| Examples of other SDGs in a | country | | | | | | | |
| SDG 2: End hunger, achieve food security and improved nutrition and promote sustainable agriculture | Target 2.3: By 2030, double the agricultural productivity and the incomes of small-scale food producers | Rice yield growth (kg/ha) | National rice information system | Annual | Combined remote- sensing/crop modelling approaches | Ministry of Agriculture | 2125 kg/ha in 2010 | 2700 kg/ha by 2020 |
| SDG 3: Ensure healthy lives and promote wellbeing for all at all ages | Target 3.1: By 2030 reduce the global maternal mortality ratio to less than 70 per 100,000 live births | Reduction in the national maternal mortality rate | Survey, civil registration systems | Annual | Large population- based surveys, counting | Health Ministry | 300 in 2010 | 50 by 2030 |
| SDG 6: Ensure availability and sustainable management of water and sanitation for all | Target 6.1: By 2030, achieve universal and equitable access to safe and affordable drinking water for all | Proportion of population that has access to a sustainable, safe water supply and hygienic sanitation in the household | Survey | Annual | Large population- based surveys | Health Ministry | 75% in 2015 | 100% by 2030 |
| SDG 7: Ensure access to affordable, reliable, sustainable and modern energy for all | Target 7.2: By 2030, increase substantially the share of renewable energy in the global energy mix | Share of renewable energy in national energy mix | National energy information system | Annual | Calculation based on MW of renewable energy installed | Ministry of Energy | 65% in 2016 | 85% by 2027 |
| SDG 9: Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation | Target 9.1: Develop quality, reliable, sustainable and resilient infrastructure, including regional and transborder infrastructure, to support economic development and human wellbeing, with a focus on affordable and equitable access for all | National Construction Code for buildings takes into account extreme wind events | National Constructio n Code | Once (in 2018) | Presence/absence of features on extreme wind events in National Construction Code for buildings | Ministry of Construction | In 2014, National Construction Code for buildings does not take into account extreme wind events | By 2018, National Construction Code for buildings includes features on extreme wind events |



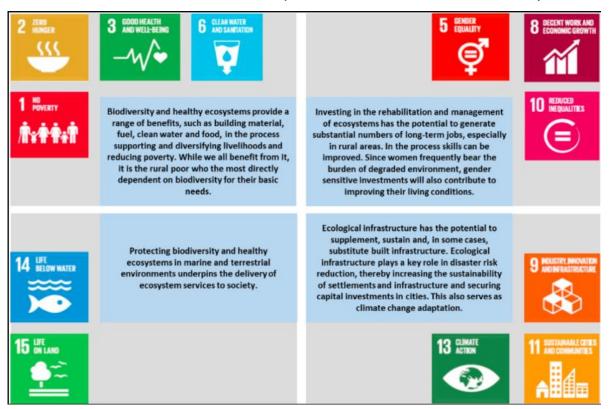
12.7 Monitoring progress towards SDGs by cities in Bolivia

| SDGs or other goals | Corresponding targets | Indicator | Level of data collection | Source of data | Responsible entity or institution | Measurement method | | |
|---------------------|---|---|---|--|---|---|---|--------|
| of water and | Target 6.4: By 2030, substantially increase water-use efficiency across all sectors and ensure sustainable withdrawals and supply of fresh water to address water scarcity and substantially reduce the | 6.4.1: Change in water-use efficiency over time | General Sources | National Statistical Office (INE), particularly for economic data. Administrative data collected at country level by the relevant institutions, either technical (for water and irrigation) or economic (for value added). These data are then compiled by FAO, World Bank, UNSD and other international institutions; harmonized; and published in sectoral databases such FAO's AQUASTAT, the World Bank's Databank and UNSD's UNdata. | Ministry of Water and Irrigation | Water use efficiency is defined as the value added for a given major sector divided by the volume of water used. The unit of the indicator is value/volume (commonly \$/m³). Services' water supply efficiency is calculated as the | | |
| | number of people suffering from water scarcity | | City of La Paz City of | Report from Public Social Enterprise of Water and Sanitation of La Paz (EPSAS) Report from Cochabamba Municipal Service of | water and sanitation directorate (EPSAS) | service sector value added divided by water used for distribution by the water collection, treatment and supply industry, expressed in | | |
| | | | | | Cochabamba | Drinking Water and Sanitation (SEMAPA) | water and sanitation directorate (SEMAPA) | \$/m³. |
| | | | City of Santa Cruz | Report from Drinking Water and Sanitary Sewer Service (SAGUAPAC) | Municipal government water and sanitation directorate (SAGUAPAC) | | | |
| | | City of El Alto | Report from Public Social Enterprise of Water and Sanitation of El Alto (EPSAS) | Municipal government water and sanitation directorate (EPSAS) | | | | |
| | | | City of Tarija | Report from Co-op for Water Services and Sanitation Tarija (COSSALT) | Municipal government water and sanitation directorate (COSSALT) | | | |



Insights from South Africa

 Conservation and sustainable use of biodiversity in South Africa is linked to 12 SDGs. (United Nations, 2017)



See Chapter 3 in: <u>An Assessment of the Sustainable Development Impact of Biodiversity Policy in South Africa through the ICAT SD Guidance (Keen 2019)</u>

