Agenda

- Introduction to ICAT (5 min)
- Sustainable Development Guidance (20 min)
- Stakeholder Participation Guidance (5 min)
- Technical Review Guidance (5 min)
- How to provide comments (10 min)
- Q&A (10 min)
Introduction to ICAT
ICAT objectives

Provide policymakers around the world with tools and support to assess the impacts of their climate policies and actions, to further transparent and ambitious climate action.

Two components:
- ICAT series of guidance
- Country support to build capacity
Multi-stakeholder partnership

DONORS

- Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety
- CHILDREN’S INVESTMENT FUND FOUNDATION
- MINISTERO DELL’AMBIENTE E DELLA Tutela DEL TERRITORIO E DEL MAR
- ClimateWorks

GRANT MANAGEMENT

- UNOPS

IMPLEMENTATION PARTNERS

- UNEP DTU PARTNERSHIP
- VCS VERIFIED CARBON STANDARD
- WORLD RESOURCES INSTITUTE

SUPPORTING PARTNERS

- Rainforest Alliance
- CCBA The Climate, Community & Biodiversity Alliance
- management institute
- INFRAS
- NEW CLIMATE INSTITUTE
ICAT Guidance

Introduction to the series of guidance
Supporting Guidance

Stakeholder Participation

Technical Review

Non-State and Subnational Action

Impact Assessment Guidance

Greenhouse gas impacts:
- Renewable Energy
- Buildings Efficiency
- Transport Pricing
- Agriculture
- Forest

Sustainable Development

Transformational Change
Who can use the guidance?

- Governments
- Donor agencies and financial institutions
- Businesses
- Research institutions and non-government organisations (NGOs)
- Stakeholders affected by policies and actions, such as local communities and civil society organisations
What can the guidance be used for?

Deciding on policy/action design and implementation

Understanding effectiveness of policies/actions

Reporting on policy/action impacts

ex-ante

ex-post

Source: Adapted from GIZ 2016
Principles for guidance development

- **Enabling**
  - User-friendly guidance, not rules and requirements

- **Flexible**
  - Non-prescriptive, accommodates national circumstances

- **Leveraging**
  - Build upon existing and emerging work

- **Participatory**
  - Engage broadly in development processes
Guidance for assessing the environmental, social and economic impacts of policies and actions
### Sustainable Development Goals

<table>
<thead>
<tr>
<th>Goal Number</th>
<th>Goal Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>No Poverty</td>
</tr>
<tr>
<td>2</td>
<td>Zero Hunger</td>
</tr>
<tr>
<td>3</td>
<td>Good Health and Well-Being</td>
</tr>
<tr>
<td>4</td>
<td>Quality Education</td>
</tr>
<tr>
<td>5</td>
<td>Gender Equality</td>
</tr>
<tr>
<td>6</td>
<td>Clean Water and Sanitation</td>
</tr>
<tr>
<td>7</td>
<td>Affordable and Clean Energy</td>
</tr>
<tr>
<td>8</td>
<td>Decent Work and Economic Growth</td>
</tr>
<tr>
<td>9</td>
<td>Industry, Innovation and Infrastructure</td>
</tr>
<tr>
<td>10</td>
<td>Reduced Inequalities</td>
</tr>
<tr>
<td>11</td>
<td>Sustainable Cities and Communities</td>
</tr>
<tr>
<td>12</td>
<td>Responsible Consumption and Production</td>
</tr>
<tr>
<td>13</td>
<td>Climate Action</td>
</tr>
<tr>
<td>14</td>
<td>Life Below Water</td>
</tr>
<tr>
<td>15</td>
<td>Life on Land</td>
</tr>
<tr>
<td>16</td>
<td>Peace, Justice and Strong Institutions</td>
</tr>
<tr>
<td>17</td>
<td>Partnerships for the Goals</td>
</tr>
</tbody>
</table>

Context: SDGs and Paris Agreement
Purpose of the guidance

• Help analysts and policymakers systematically assess the social, economic, and environmental impacts of policies and actions in an integrated way, in order to:
  • Help achieve the SDGs and the Paris Agreement – for example, to identify actions that achieve sustainable development benefits and help achieve NDCs
  • Build support for climate actions by demonstrating their multiple social, economic and environmental benefits
  • Improve policy design to maximize positive impacts and minimize negative impacts across multiple types of impacts
  • Report on multiple impacts, e.g. in BURs
  • Facilitate increased access to climate finance
Guidance development process

- First draft developed through a multi-stakeholder process between July 2016 and July 2017:
  - Secretariat: World Resources Institute and UNEP DTU Partnership
  - Technical Working Group: 30 members
  - Drafting Team (part of TWG): 10+ members
- First draft out for a 60 day public comment period through September 24
- The draft guidance will be applied in several countries to test how it works in practice and produce case studies to include in the final version
Scope and applicability of the guidance

- General guidance applicable to all types of policies and actions, all sectors, and all sustainable development impacts
- Includes both qualitative and quantitative approaches
- Covers both forward-looking (ex-ante) and backward-looking (ex-post) assessments
- The guidance does not provide specific methods for specific impacts (e.g., jobs, health, air quality)
  - To complement the general guidance, the ICAT website provides an Excel database of available tools, resources, and models for quantifying specific types of impacts:
## Examples of environmental impacts

<table>
<thead>
<tr>
<th>Dimension</th>
<th>Groups of impact categories</th>
<th>Impact categories</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Environmental impacts</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| Air             |                             | • Climate change mitigation (SDG 13)  
• Ozone depletion  
• Air quality and health impacts of air pollution                                                                                           |
| Water           |                             | • Availability of freshwater (SDG 6)  
• Water quality (SDG 6, SDG 14)  
• Biodiversity of freshwater and coastal ecosystems (SDG 6, SDG 14)                                                                                |
| Land            |                             | • Biodiversity of terrestrial ecosystems (SDG 15)  
• Land use change, deforestation, forest degradation, and desertification (SDG 15)  
• Soil quality (SDG 2)                                                                                                                                 |
| Waste           |                             | • Waste generation and disposal (SDG 12)  
• Treatment of solid waste and wastewater (SDG 6)                                                                                               |
| Other/cross-cutting |                             | • Resilience of ecosystems to climate change (SDG 13)  
• Adverse effects of climate change  
• Energy (SDG 7)  
• Toxic chemicals released to air, water and soil                                                                                               |
### Examples of social impacts

<table>
<thead>
<tr>
<th>Dimension</th>
<th>Groups of impact categories</th>
<th>Impact categories</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Social impacts</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Health and well-being</td>
<td></td>
<td>• Hunger, nutrition, and food security (SDG 2)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Access to clean, reliable and affordable energy (SDG 7)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Quality of life and well-being (SDG 3)</td>
</tr>
<tr>
<td>Education and culture</td>
<td></td>
<td>• Accessibility and quality of education (SDG 4)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Capacity, skills, and knowledge development (SDG 4, SDG 12)</td>
</tr>
<tr>
<td>Institutions and laws</td>
<td></td>
<td>• Quality of institutions (SDG 10)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Access to information and public awareness (SDG 12)</td>
</tr>
<tr>
<td>Welfare and equality</td>
<td></td>
<td>• Poverty reduction (SDG 1)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Protection of poor and negatively affected communities (SDG 12)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Gender equality and empowerment of women (SDG 5)</td>
</tr>
<tr>
<td>Labour conditions</td>
<td></td>
<td>• Quality of jobs (SDG 8)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Quality and safety of working conditions (SDG 8)</td>
</tr>
<tr>
<td>Communities</td>
<td></td>
<td>• City and community climate resilience (SDG 11)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Mobility (SDG 11)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Community/rural development</td>
</tr>
<tr>
<td>Peace and security</td>
<td></td>
<td>• Resilience to climate change and extreme weather events (SDG 13)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Security (SDG 16)</td>
</tr>
</tbody>
</table>
Examples of economic impacts

<table>
<thead>
<tr>
<th>Dimension</th>
<th>Groups of impact categories</th>
<th>Impact categories</th>
</tr>
</thead>
<tbody>
<tr>
<td>Economic impacts</td>
<td>Overall economic activity</td>
<td>- Economic activity (SDG 8)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Economic productivity (SDG 8, SDG 2)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Economic diversification (SDG 8)</td>
</tr>
<tr>
<td></td>
<td>Employment</td>
<td>- Jobs (SDG 8)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Wages (SDG 8)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Worker productivity</td>
</tr>
<tr>
<td></td>
<td>Business and technology</td>
<td>- New business opportunities (SDG 8)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Growth of new sustainable industries (SDG 7, SDG 17)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Competitiveness of domestic industry in global market</td>
</tr>
<tr>
<td></td>
<td>Income, prices and costs</td>
<td>- Income (SDG 10)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Prices of goods and services</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Costs and cost savings</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Cost of policy implementation and cost-effectiveness of policies</td>
</tr>
<tr>
<td></td>
<td>Trade and balance of payments</td>
<td>- Balance of trade (imports and exports)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Government budget surplus/deficit</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Energy independence, security or sovereignty</td>
</tr>
</tbody>
</table>
Guidance structure

- Part 1: Introduction, objectives and key concepts
- Part 2: Defining the assessment
- Part 3: Qualitative approach to impact assessment
- Part 4: Quantitative approach to impact assessment
- Part 5: Monitoring and reporting
- Part 6: Decision making and using results
Part I: Introduction, objectives and key concepts
Understand purpose and applicability of the guidance (Chapter 1)
Determine the objectives of the assessment (Chapter 2)
Understand key concepts, steps and assessment principles (Chapter 3)

Part II: Defining the assessment
Clearly describe the policy or action to be assessed (Chapter 4)
Choose which impact categories to assess (Chapter 5)

Part III: Qualitative approach to impact assessment
Identify specific impacts of the policy or action within chosen impact categories (Chapter 6)
Qualitatively assess each specific impact (Chapter 7)

Part IV: Quantitative approach to impact assessment
Estimate baseline values for impacts included in the quantitative assessment boundary (Chapter 8)
Estimate policy scenario values for the same impacts (ex-ante) (Chapter 9)
Estimate policy scenario values for the same impacts (ex-post) (Chapter 10)
Assess uncertainty (Chapter 11)

Part V: Monitoring and reporting
Monitor the performance of indicators over time (Chapter 12)
Report the results and methodology used (Chapter 13)

Part VI: Decision making and using results
Interpret results, evaluate tradeoffs and decide which policies and actions to implement (Chapter 14)
## Chapter 4: Describe the policy or action

<table>
<thead>
<tr>
<th>Information</th>
<th>Example (illustrative)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Title of the policy or action</strong></td>
<td>Solar PV incentive policy</td>
</tr>
<tr>
<td><strong>Type of policy or action</strong></td>
<td>Financial incentive policy</td>
</tr>
<tr>
<td><strong>Description of specific interventions</strong></td>
<td>The policy provides a financial subsidy up to 30% of the cost for grid-connected rooftop solar PV (with installed capacity up to 500 kW) in the residential and institutional sectors.</td>
</tr>
<tr>
<td><strong>Status of the policy or action</strong></td>
<td>Implemented (currently in effect)</td>
</tr>
<tr>
<td><strong>Date of implementation</strong></td>
<td>1 January 2016</td>
</tr>
<tr>
<td><strong>Date of completion</strong></td>
<td>31 December 2022</td>
</tr>
<tr>
<td><strong>Objectives and intended impacts or benefits of the policy or action</strong></td>
<td>The policy is intended to scale up investment, installation and R&amp;D in the solar sector, increase access to clean energy, increase energy security, create jobs, reduce greenhouse gas emissions, and improve air quality</td>
</tr>
<tr>
<td><strong>Level of implementation / geographic coverage</strong></td>
<td>National</td>
</tr>
<tr>
<td><strong>Sectors targeted</strong></td>
<td>Energy supply (grid-connected solar PV)</td>
</tr>
</tbody>
</table>
### Chapter 5: Choose which impact categories to assess

#### Illustrative example for a solar PV incentive policy

<table>
<thead>
<tr>
<th>Dimension</th>
<th>Impact category</th>
<th>Relevant?</th>
<th>Significant?</th>
<th>Included in the assessment boundary?</th>
<th>Brief description/rationale</th>
</tr>
</thead>
<tbody>
<tr>
<td>Environmental</td>
<td>Air quality and health impacts of air pollution</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Expected to significantly reduce air pollution by replacing fossil fuel electricity with solar energy</td>
</tr>
<tr>
<td></td>
<td>Climate change mitigation</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Expected to significantly reduce GHG emissions by replacing fossil energy with solar energy</td>
</tr>
<tr>
<td></td>
<td>Energy</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Expected to significantly increase renewable energy generation by replacing fossil energy with solar energy</td>
</tr>
<tr>
<td></td>
<td>Land use change</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
<td>Not expected to significantly affect these impact categories</td>
</tr>
<tr>
<td></td>
<td>Biodiversity</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
<td>Not expected to significantly affect these impact categories</td>
</tr>
<tr>
<td></td>
<td>Soil quality</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
<td>Not expected to significantly affect these impact categories</td>
</tr>
</tbody>
</table>
### Chapter 5: Choose which impact categories to assess

#### Illustrative example for a solar PV incentive policy

<table>
<thead>
<tr>
<th>Dimension</th>
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<th>Significant?</th>
<th>Included in the assessment boundary?</th>
<th>Brief description/rationale</th>
</tr>
</thead>
<tbody>
<tr>
<td>Social</td>
<td>Access to clean, affordable, and reliable energy</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Expected to significantly improve access to clean, affordable and reliable energy</td>
</tr>
<tr>
<td></td>
<td>Capacity, skills, and knowledge development</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Expected to significantly improve training for skilled workers in the solar manufacturing, installation and maintenance sectors</td>
</tr>
<tr>
<td></td>
<td>Gender equality</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Expected to increase women’s participation in the labour force through new jobs and business opportunities</td>
</tr>
<tr>
<td></td>
<td>Access to safe drinking water</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
<td>Not expected to significantly affect these impact categories, though reduced energy costs may reduce poverty</td>
</tr>
<tr>
<td></td>
<td>Poverty</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
<td></td>
</tr>
</tbody>
</table>
## Illustrative example for a solar PV incentive policy

<table>
<thead>
<tr>
<th>Dimension</th>
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<th>Included in the assessment boundary?</th>
<th>Brief description/rationale</th>
</tr>
</thead>
<tbody>
<tr>
<td>Economic</td>
<td>Jobs</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Expected to create new jobs in solar manufacturing, installation and maintenance</td>
</tr>
<tr>
<td></td>
<td>Income</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Expected to lead to financial savings for households through reduced energy costs</td>
</tr>
<tr>
<td></td>
<td>Wages</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
<td>Expected to increase wages for workers in the solar sector, but it was not expressed as a priority of stakeholders</td>
</tr>
<tr>
<td></td>
<td>New business opportunities</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Expected to create new business opportunities in the solar manufacturing, installation and maintenance sectors</td>
</tr>
<tr>
<td></td>
<td>Energy independence</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Expected to improve energy independence by reducing energy imports</td>
</tr>
</tbody>
</table>
Chapter 5: Choose which impact categories to assess

*Illustrative example for a solar PV incentive policy*

<table>
<thead>
<tr>
<th>Dimension</th>
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<tbody>
<tr>
<td>Environmental</td>
<td>Climate change mitigation</td>
</tr>
<tr>
<td></td>
<td>Air quality and health impacts of air pollution</td>
</tr>
<tr>
<td></td>
<td>Energy</td>
</tr>
<tr>
<td>Social</td>
<td>Access to clean, affordable, and reliable energy</td>
</tr>
<tr>
<td></td>
<td>Capacity, skills, and knowledge development</td>
</tr>
<tr>
<td></td>
<td>Gender equality</td>
</tr>
<tr>
<td>Economic</td>
<td>Jobs</td>
</tr>
<tr>
<td></td>
<td>Income</td>
</tr>
<tr>
<td></td>
<td>New business opportunities</td>
</tr>
<tr>
<td></td>
<td>Energy independence</td>
</tr>
</tbody>
</table>
Chapter 6: Identify specific impacts within each impact category

Illustrative example for a solar PV incentive policy

- Solar PV incentive policy
  - Increased installation of solar PV systems by households due to lower cost
  - Increased electricity generation from rooftop solar systems
  - Increased jobs for solar installation, operations and maintenance sectors
  - Increased jobs for solar PV manufacturing
  - Increased jobs for solar PV manufacturing
  - Decreased demand for grid-connected electricity (coal and natural gas)
  - Decreased jobs for fossil fuel power plant operations and maintenance
  - Decreased jobs for fossil fuel extraction, transportation and import/export

Policy or action
Intermediate impact
Jobs
Chapter 6: Identify specific impacts within each impact category

Illustrative example for a solar PV incentive policy

**Policy or action**
- Solar PV incentive policy

**Intermediate impacts**
- Increased installation of solar PV systems by households due to lower cost
- Decreased demand for grid-connected electricity (from coal and natural gas)
- Decreased demand for distributed generation (from diesel generators)
- Increased access to electricity due to cheaper solar power for self-consumption, especially in remote areas
- Increased household disposable income due to reduced electricity costs
- Increased production of solar PV
- Increased mining of silica
- Increased jobs for solar installation, operations maintenance sectors
- Increased income from increased jobs

**Jobs**
- Increased business opportunities for solar related sectors
- Increased renewable energy generation from solar PV
- Increased access to electricity due to cheaper solar power for self-consumption, especially in remote areas
- Increased GHG emissions from solar PV production
- Increased manufacturing and silica mining sectors
- Increased income from increased jobs

**Income**
- Increased household disposable income due to reduced electricity costs
- Increased waste generation from solar panel mining and production
- Increased employment in solar manufacturing and silica mining sectors
- Increased income from increased jobs

**Climate change mitigation**
- Decreased demand for grid-connected electricity (from coal and natural gas)
- Decreased demand for distributed generation (from diesel generators)
- Decreased business opportunities for fossil fuel sectors
- Decreased jobs for fossil fuel extraction, transportation, import/export, and power plant operations and maintenance
- Decreased waste generation and disposal from fossil fuel mining and generation
- Decreased training for skilled workers in fossil fuel sectors
- Decreased income from reduced fossil fuel jobs

**Air quality**
- Reduced fossil fuel consumption
- Reduced GHG emissions from fossil fuel generation, extraction
- Reduced air pollution from reduced fossil fuel generation
- Reduced imports of fossil fuels
- Reduced air pollution from solar PV production
- Reduced waste generation and disposal from solar panel mining and production
- Reduced imports of fossil fuels
- Increased access to electricity due to cheaper solar power for self-consumption, especially in remote areas

**Energy**
- Reduced fossil fuel consumption
- Reduced GHG emissions from fossil fuel generation, extraction
- Reduced air pollution from reduced fossil fuel generation
- Reduced imports of fossil fuels
- Increased renewable energy generation from solar PV
- Increased energy independence
- Increased access to electricity due to cheaper solar power for self-consumption, especially in remote areas
- Increased GHG emissions from solar PV production
- Increased air pollution from solar PV production
- Increased jobs in solar manufacturing and silica mining sectors
- Increased income from increased jobs

**Waste**
- Increased household disposable income due to reduced electricity costs
- Increased waste generation from solar panel mining and production
- Increased employment in solar manufacturing and silica mining sectors
- Increased income from increased jobs

**New business opportunities**
- Increased business opportunities for solar related sectors
- Increased renewable energy generation from solar PV
- Increased access to electricity due to cheaper solar power for self-consumption, especially in remote areas
- Increased GHG emissions from solar PV production
- Increased manufacturing and silica mining sectors
- Increased income from increased jobs

**Access to clean, affordable, reliable energy**
- Increased household disposable income due to reduced electricity costs
- Increased waste generation from solar panel mining and production
- Increased employment in solar manufacturing and silica mining sectors
- Increased income from increased jobs

**Capacity, skills, and knowledge development**
- Increased business opportunities for solar related sectors
- Increased renewable energy generation from solar PV
- Increased access to electricity due to cheaper solar power for self-consumption, especially in remote areas
- Increased GHG emissions from solar PV production
- Increased manufacturing and silica mining sectors
- Increased income from increased jobs

**Energy independence**
- Increased installation of solar PV systems by households due to lower cost
- Decreased demand for grid-connected electricity (from coal and natural gas)
- Decreased demand for distributed generation (from diesel generators)
- Increased access to electricity due to cheaper solar power for self-consumption, especially in remote areas
- Increased household disposable income due to reduced electricity costs
- Increased production of solar PV
- Increased mining of silica
- Increased jobs for solar installation, operations maintenance sectors
- Increased income from increased jobs

**Key:**
- Policy or action
- Intermediate impacts
- Jobs
- Income
- Climate change mitigation
- Air quality
- Energy
- Waste
- New business opportunities
- Access to clean, affordable, reliable energy
- Capacity, skills, and knowledge development
- Energy independence
## Chapter 7: Qualitatively assess impacts

<table>
<thead>
<tr>
<th>Impact categories included in the assessment</th>
<th>Specific impacts identified</th>
<th>Likelihood</th>
<th>Magnitude</th>
<th>Positive or negative impact</th>
<th>Significant impact?</th>
<th>Summary for each impact category</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Jobs</strong></td>
<td>Increased jobs in solar manufacturing, installation, operations and maintenance</td>
<td>Very likely</td>
<td>Major</td>
<td>Positive</td>
<td>Yes</td>
<td>Major net positive impact from new solar jobs, which outweigh minor job losses in fossil fuel sector</td>
</tr>
<tr>
<td></td>
<td>Decreased jobs in fossil fuel power plants</td>
<td>Likely</td>
<td>Minor</td>
<td>Negative</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td><strong>Air quality and health impacts of air pollution</strong></td>
<td>Reduced air pollution from grid-connected fossil fuel power plants</td>
<td>Very Likely</td>
<td>Major</td>
<td>Positive</td>
<td>Yes</td>
<td>Major positive impacts from displacing fossil fuel electricity with solar electricity. While negative impacts exist, they are insignificant.</td>
</tr>
<tr>
<td></td>
<td>Increased air pollution from solar PV manufacturing</td>
<td>Likely</td>
<td>Minor</td>
<td>Negative</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td><strong>Income</strong></td>
<td>Increased income for households due to reduced energy costs</td>
<td>Very likely</td>
<td>Major</td>
<td>Positive</td>
<td>Yes</td>
<td>Major positive impact from reduced energy spending</td>
</tr>
</tbody>
</table>

Illustrative example for a solar PV incentive policy
Chapter 8-11: Estimating impacts ex-ante or ex-post

- Indicator value
- Impact of policy or action
- Time

Baseline scenario
Policy scenario
Chapter 8-11: Estimating impacts ex-ante or ex-post

Illustrative example for a solar PV incentive policy
Chapter 12: Monitoring performance over time
## Example of a monitoring template

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Source of data</th>
<th>Monitoring frequency</th>
<th>Measurement method</th>
<th>Responsible entity or institution</th>
<th>Historical value in 2015</th>
<th>Goal value for 2022</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rooftop solar capacity installed</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Electricity delivered from solar PV installations</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of health clinics electrified</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of households with access to clean electricity</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of people having access to electricity services</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of female entrepreneurs</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of people in jobs, disaggregated by gender</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Money saved</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Chapter 13: Reporting

- Provides recommended information to report, including:
  - Information about the policy or action
  - The results: estimated impact of the policy or action on the impact categories included in the assessment
  - Methodology and assumptions used
Chapter 14: Decision making and using results

- Suggested criteria for evaluating policies and actions, given multiple objectives and potential tradeoffs between impact categories:
  - Effectiveness
  - Efficiency or cost-effectiveness
  - Coherence

- Guidance provided on three methods:
  - Cost-effectiveness analysis
  - Cost-benefit analysis
  - Multi-criteria analysis
Introducing guidance to support stakeholder participation in design, implementation and assessment of policies and actions, including sustainable development impacts
Why stakeholder participation is important

- Raise awareness and enable better understanding for all parties involved
- Build trust, collaboration, shared ownership and support for policies
- Address stakeholder perceptions of risks and impacts, and reduce negative impacts and enhance benefits for all stakeholder groups
- Enhance the credibility, accuracy and comprehensiveness of the assessment, drawing on diverse expert and local knowledge
- Enhance transparency, accountability and legitimacy
- Enable enhanced ambition and finance by strengthening the effectiveness of policies and the credibility of reporting
When stakeholder participation is important

<table>
<thead>
<tr>
<th>Step of sustainable development impact assessment</th>
<th>Why stakeholder participation is important at this step</th>
<th>Relevant chapters in Stakeholder Participation Guidance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chapter 5 - Choosing which impact categories to assess</td>
<td>Enhance completeness by including impact categories that are relevant and significant for the priorities and concerns of diverse stakeholder groups</td>
<td>Chapter 5 – Identifying and understanding stakeholders</td>
</tr>
<tr>
<td></td>
<td>Identify and address possible unintended or negative impacts early on</td>
<td>Chapter 7 – Providing information</td>
</tr>
<tr>
<td></td>
<td>Identify credible sources of information for selected indicators</td>
<td>Chapter 8 – Designing and conducting consultations</td>
</tr>
</tbody>
</table>
Elements covered in the guidance

**Part I: Introduction, objectives and key concepts**
- Understand the purpose and applicability of the guidance (Chapter 1)
- Determine the objectives of stakeholder participation (Chapter 2)
- Understand key concepts, elements and principles (Chapter 3)

**Part II: Key elements of effective stakeholder participation**
- Develop a stakeholder participation plan (Chapter 4)
- Identify and understand the stakeholders of the policy (Chapter 5)
- Create multi-stakeholder bodies (Chapter 6)
- Provide information to stakeholders (Chapter 7)
- Design and conduct consultations (Chapter 8)
- Establish a grievance redress mechanism (Chapter 9)

**Part III: Reporting on stakeholder participation**
- Report how stakeholder participation was designed and conducted (Chapter 10)
Introducing guidance to support the review of the impacts of policies and actions
Why technical review is important

- Enhance credibility, accuracy and comprehensiveness of the assessment through learning and improvement
- Enhance transparency and legitimacy of reported assessments
- Enable increased ambition in, and financing of, policies by strengthening the effectiveness of policies and the credibility of reporting
Types of technical review

- **First-party**: carried out by the user; that is, the same government agency that is responsible for the implementation of the policy and/or the impact assessment.

- **Second-party**: performed by a person or organisation that has an interest in or affiliation with the user.

- **Third-party**: performed by a person or organisation that is independent from the user of commercial, financial or legal interests.
Matrix for selecting a review type

### Step 1
Answer each question in the table and note the type of review each question suggests is most appropriate.

### Step 2
Evaluate the distribution of responses.

### Step 3
Identify the considerations that could significantly impact the type of review selected.

<table>
<thead>
<tr>
<th>Considerations for technical review</th>
<th>High</th>
<th>Medium</th>
<th>Low</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Is the technical review of an ex-ante assessment?</td>
<td>First, Second</td>
<td>-</td>
<td>Third</td>
</tr>
<tr>
<td>2. How difficult is it for entities other than the user to gain access to information, assumptions and data regarding the impact assessment?</td>
<td>First</td>
<td>Second</td>
<td>Third</td>
</tr>
<tr>
<td>3. How important is it for the technical reviewer to be, or to be perceived as, minimally vulnerable to conflicts of interest?</td>
<td>Third</td>
<td>Second</td>
<td>First</td>
</tr>
<tr>
<td>4. How experienced with undergoing technical review is the user?</td>
<td>First</td>
<td>Second</td>
<td>Third</td>
</tr>
<tr>
<td>5. How much funding is available for the technical review process?</td>
<td>Third</td>
<td>Second</td>
<td>First</td>
</tr>
<tr>
<td>6. What level of independence is necessary for the technical review?</td>
<td>Third</td>
<td>Second</td>
<td>First</td>
</tr>
<tr>
<td>7. What level of transparency and stakeholder confidence in the technical review results is necessary?</td>
<td>Third</td>
<td>-</td>
<td>First, Second</td>
</tr>
<tr>
<td>8. Does the donor and/or private financier of the policy require technical review?</td>
<td>Second, Third</td>
<td>-</td>
<td>First</td>
</tr>
<tr>
<td>9. Is it necessary for the reviewer to have an accreditation?</td>
<td>Third</td>
<td>-</td>
<td>First, Second</td>
</tr>
</tbody>
</table>
Overview of the technical review process

1. Conduct ex-ante or ex-post impact assessment
2. Determine objectives, criteria, scope and type of technical review
3. Plan the technical review
4. Conduct technical review
5. Prepare for technical review
6. Report on the technical review
7. Learn and improve for future assessments

Green: Completed by the user
Blue: Completed by the reviewer
Collaborase is an online software that supports an unlimited number of reviewers and allows reviewers to more easily provide comments and navigate documents.
Accessing the guidance documents

To comment on the guidance, submit your email address on the document page(s) linked below. A confirmation email will be sent to your email account with a link to access the document.

<table>
<thead>
<tr>
<th>ICAT Introductory Guide</th>
<th>ICAT Sustainable Development Guidance</th>
</tr>
</thead>
<tbody>
<tr>
<td>ICAT Renewable Energy Guidance</td>
<td>ICAT Transformational Change Guidance</td>
</tr>
<tr>
<td>ICAT Buildings Efficiency Guidance</td>
<td>ICAT Stakeholder Participation Guidance</td>
</tr>
<tr>
<td>ICAT Transport Pricing Guidance</td>
<td>ICAT Technical Review Guidance</td>
</tr>
<tr>
<td>ICAT Agriculture Guidance</td>
<td>ICAT Non-State and Subnational Action Guidance</td>
</tr>
<tr>
<td><strong>ICAT Forest Guidance</strong></td>
<td>****</td>
</tr>
</tbody>
</table>
Accessing the documents

ICAT Forest Guidance

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To post a comment, click the ‘Comment’ button below any section title. Where relevant, we recommend comments include (1) a comment title/issue and (2) a proposal for a change or new text. The comment form allows you to add images, files and/or links. You can also view comments that have already been submitted.

To view comments in a single section, click the ‘Comment’ button below the section title to display the list of comments for that section. Click the comment title to read the comment and any replies. To view all comments for the full document, click the ‘Comment’ tab at the top of the webpage – this will open the comments page with a searchable sortable table of all the comments. If you view comments by other reviewers, we encourage you to use the ‘Vote’ button to easily express your agreement or disagreement.

Enter your email address ✴

Submit
9 Estimating Impacts Ex-Ante

This chapter describes how to estimate the expected future impacts of the policy or action (ex-ante assessment). In this chapter, users estimate policy scenario values for the indicators included in the assessment boundary. The impacts of the policy or action are estimated by subtracting baseline values (as determined in Chapter 8) from policy scenario values (as determined in this chapter). Users not quantitatively assessing impacts ex-ante can skip this chapter.

Figure 9.1: Overview of steps in the chapter

- Define and describe the policy scenario for each indicator (Section 9.1)
- Estimate policy scenario values for each indicator (Section 9.2)
- Estimate the net impact of the policy or action on each indicator (Section 9.3)

Checklist of key recommendations

- Define a policy scenario that represents the conditions most likely to occur in the presence of the policy or action over time for each indicator being estimated, taking into account all specific impacts included in the quantitative assessment boundary
- Estimate the net impact of the policy or action on each indicator by subtracting baseline values from policy scenario values, taking into account all specific impacts included in the quantitative assessment boundary
- Separately assess the impacts of the policy or action on different groups in society where relevant
This chapter describes how to estimate the expected future impacts of the policy or action (ex-ante assessment). In this chapter, users estimate policy scenario values for the indicators included in the assessment boundary. The impacts of the policy or action are estimated by subtracting baseline values (as determined in Chapter 8) from policy scenario values (as determined in this chapter). Users not quantitatively assessing impacts ex-ante can skip this chapter.

Figure 9.1: Overview of steps in the chapter

1. Define and describe the policy scenario for each indicator (Section 9.1)
2. Estimate policy scenario values for each indicator (Section 9.2)
3. Estimate the net impact of the policy or action on each indicator (Section 9.3)
How to comment in Collaborase

9.2 Estimate GHG impacts
Updated 12 days ago by Sinclair Vincent

Reviewer Comments

No Comments Yet

Add a comment

Issue* - brief description of a problem: Deemed estimates approach

Proposal - suggested change or solution to the problem:
For users following the deemed estimates approach suggest allowing the following:
When using the deemed estimates approach, users can calculate the GHG impact of the policy directly, without explicitly defining separate baseline and policy scenarios. In this case, users should use the instructions in Section 8.6 with ex-post activity data and emission factors.

Estimate the GHG impact of the policy

Publish
How to comment in Collaborase

9.2 Estimate GHG impacts

Updated 12 days ago by Sinclair Vincent

Comments 1

Reviewer Comments

1 Open 0 Closed Newest

Deemed estimates approach
Reviewer Comment opened by Carolyn Ching 1 minute ago on version 2

New comment
How to comment in Collaborase

9.2 Estimate GHG impacts

Updated 12 days ago by Sinclair Vincent

Deemed estimates approach  #1

Carolyn Ching opened this comment 1 minute ago on V.2 - 0 replies

Estimate the GHG impact of the policy

Carolyn Ching:

For users following the deemed estimates approach suggest allowing the following:

When using the deemed estimates approach, users can calculate the GHG impact of the policy directly, without explicitly defining separate baseline and policy scenarios. In this case, users should use the instructions in Section 8.6 with ex-post activity data and emission factors.

Your reply

Publish
How to comment in Collaborase

9.2 Estimate GHG impacts

Updated 12 days ago by Sinclair Vincent

Reviewer Comments

1 Open 0 Closed Newest

Deemed estimates approach

Reviewer Comment opened by Carolyn Ching 2 minutes ago on version 2

#1

1 like 0 dislikes
Answering survey questions in Collaborase

6 Choosing Which Transformational Change Characteristics to Assess

This chapter provides guidance on identifying and choosing transformational change characteristics that are relevant for a policy or action. It also defines the transformational change assessment boundary and the assessment period.

Figure 6.1: Overview of steps in the chapter

1. Describe transformational change characteristics of the policy or action (Section 6.1)
2. Choose transformational change characteristics to be assessed (Section 6.2)
3. Define the assessment boundary and the assessment period (Section 6.3)

Checklist of key recommendations

- Identify and describe transformational characteristics of the policy or action
- Choose characteristics to be assessed based on their relevance to a policy or action and the society in which it is implemented
- Define the assessment boundary in terms of geographical and sectoral coverage of transformational characteristics selected for assessment
- Define the assessment period
Answering survey questions in Collaborase

6 Choosing Which Transformational Change Characteristics to Assess

Updated 15 days ago by Sinclair Vincent

This chapter describes characteristics of transformational impact. Are the descriptions of characteristics sufficient and clear enough to enable assessment of impacts for transformation specific to a policy or action? If not, how can we improve them?

It would be helpful if these descriptions could be more detailed.

In Table 6.4 users are asked to describe characteristics of transformational outcomes for GHG and SD at scale and over time. Is further guidance needed on how to use other ICAT guidance for GHG and SD impact assessment and how to assess impacts of multiple outcomes for GHG and SD?

☑ Yes
☐ No

The guidance provided is sufficient.
Collating and reviewing comments

ICAT Agriculture Guidance

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0 results

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Questions?

To review the guidance and provide comments:


Consultation period ends September 24
Thank You

David Rich, WRI
drich@wri.org

Questions about Collaborase:
Sinclair Vincent, VCS
svincent@v-c-s.org

www.climateactiontransparency.org