Sustainable Development Methodology

*Assessing the environmental, social and economic impacts of policies and actions*

*June 2019*

Assessment template

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This template is provided to help users apply the *Sustainable Development Methodology*. It includes the key assessment tables which can be filled out directly. It also contains the key reporting recommendations from Chapter 13. Users should consult the *Sustainable Development* *Methodology* while using this template for additional information about how to carry out the steps.

Part I & II: Defining the Assessment

1. General information about the assessment

|  |  |
| --- | --- |
| General information  | Assessment information  |
| Name of the policy or action assessed |  |
| Person(s)/organization(s) that did the assessment |  |
| Date of the assessment |  |
| Whether the assessment is an update of a previous assessment, and if so, links to any previous assessments |  |
| Objective(s) of the assessment  |  |
| Intended audience(s) of the assessment  |  |
| Whether the assessment consists of a qualitative impact assessment, quantitative impact assessment and/or tracking progress of indicators over time |  |
| Opportunities for stakeholders to participate in the assessment |  |
| Whether the assessment applies to an individual policy/action or a package of related policies/ actions, and if a package is assessed, which policies and actions are included in the package |  |
| Whether the assessment is ex-ante, ex-post, or a combination of ex-ante and ex-post |  |
| The assessment period  |  |

1. Recommended information to describe the policy or action being assessed

Note: See Table 4.1 of the Sustainable Development Methodology for an example of filling out the template.

|  |  |  |
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| Information  | Description  | Assessment information  |
| Title of the policy or action | Policy or action name |  |
| Type of policy or action | The type of policy or action, such as those presented in Table 1.1, or other categories of policies or actions that may be more relevant |  |
| Description of specific interventions | The specific intervention(s) carried out as part of the policy or action, such as the technologies, processes or practices implemented to achieve the policy or action  |  |
| Status of the policy or action | Whether the policy or action is planned, adopted or implemented |  |
| Date of implementation | The date the policy or action comes into effect (not the date that any supporting legislation is enacted) |  |
| Date of completion (if applicable) | If applicable, the date the policy or action ceases, such as the date a tax is no longer levied or the end date of an incentive scheme with a limited duration (not the date that the policy/action no longer has an impact) |  |
| Implementing entity or entities | The entity or entities that implement(s) the policy or action, including the role of various local, subnational, national, international or any other entities |  |
| Objectives and intended impacts or benefits of the policy or action | The intended impact(s) or benefit(s) the policy or action intends to achieve (e.g., the purpose stated in the legislation or regulation) |  |
| Level of the policy or action | The level of implementation, such as national level, subnational level, city level, sector level or project level  |  |
| Geographic coverage | The jurisdiction or geographic area where the policy or action is implemented or enforced, which may be more limited than all the jurisdictions where the policy or action has an impact |  |
| Sectors targeted | Which sectors or subsectors are targeted  |  |
| Other related policies or actions | Other policies or actions that may interact with the policy or action being assessed |  |

1. Checklist of additional information that may be relevant to describe the policy or action being assessed

*Note: See Table 4.2 of the Sustainable Development Methodology for an example of filling out the template.*

|  |  |  |
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| Information  | Description  | Assessment information  |
| Relevant SDGs | Sustainable Development Goals the policy or action focuses on or contributes to  |  |
| Specific intended targets, such as intended level of indicators  | Target level of key indicators, if applicable  |  |
| Title of establishing legislation, regulations, or other founding documents | The name(s) of legislation or regulations authorizing or establishing the policy or action (or other founding documents if there is no legislative basis) |  |
| Monitoring, reporting and verification procedures | References to any monitoring, reporting and verification procedures associated with implementing the policy or action |  |
| Enforcement mechanisms | Any enforcement or compliance procedures, such as penalties for noncompliance |  |
| Reference to relevant documents | Information to allow practitioners and other interested parties to access any guidance documents related to the policy or action (e.g., through websites) |  |
| The broader context or significance of the policy or action | Broader context for understanding the policy or action |  |
| Key stakeholders | Key stakeholder groups affected by the policy or action  |  |
| Other relevant information | Any other relevant information |  |

1. Impact categories included and excluded from the assessment boundary

Note: Add/remove impact categories as appropriate. The list of impact categories should be as comprehensive as possible. See Table 5.1 and Table 5.5 of the *Sustainable Development Methodology* for a non-exhaustive list of impact categories and indicators. See Table 5.2 for for an example of filling out the template.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Dimension | Impact category | Relevant? | Significant? | Included in the assessment boundary? | Brief description (rationale for the determination of relevance and significance) and justification for exclusions (of impact categories that may be relevant, significant or identified by stakeholders) | Indicator(s) selected for each impact category included in the assessment  |
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Part III: Qualitative Impact Assessment

1. Sustainable development impacts identified in the assessment

*Note: Add or remove the rows for impact categories and specific impacts as appropriate. Users should also develop a causal chain to show cause-and-effect relationships between the policy or action and various specific impacts. See Table 6.3 of the Sustainable Development Methodology for an example of filling out the template.*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Impact categories included in the assessment | Specific impacts identified (within each impact category) | In- or out-of-jurisdiction | Type of impacts (optional) | Methods/ sources used to identify impacts (optional) |
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1. Qualitative impact assessment

*Note: Add or remove the rows for impact categories and specific impacts as appropriate. See Table 7.5 of the Sustainable Development Methodology for an example of filling out the template.*

|  |  |  |  |
| --- | --- | --- | --- |
| Chapter 5 | Chapter 6 (Identify specific impacts) | Chapter 7 (Qualitatively assessing impacts) | Chapter 8 (Defining the quantitative assessment boundary) |
| Impact categories included in the assessment | Specific impacts identified | In- or out-of-jurisdiction | Type of impacts (optional) | Likelihood | Magnitude  | Positive or negative impact | Significant? | Summary of qualitative assessment results for each impact category | Methods/sources used  | Feasible to quantify? | Included in the quantitative assessment boundary? | Justification for exclusions or other comments |
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Part IV: Quantitative Impact Assessment

1. Quantitative assessment boundary (i.e., the set of impact categories, specific impacts and indicators to be quantified)

*Note: Add or remove rows for impact categories and specific impacts as appropriate. See Table A.1 of the Sustainable Development Methodology for an example of filling out the template.*

|  |  |  |
| --- | --- | --- |
| Impact categories included in the assessment | Specific impacts included in the quantitative assessment boundary | Indicator(s) to quantify |
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1. Baseline scenario assumptions

*Note: Add or remove the rows of impact categories as appropriate. See Table A.2 of the Sustainable Development Methodology for an example of filling out the template.*

|  |  |
| --- | --- |
| Impact categories  | Baseline scenario assumptions  |
| **General baseline assumptions** |
| Description of the baseline scenario and a justification for why it is considered to be the most likely scenario |  |
| Policies, actions and projects included in the baseline scenario; justification for any implemented or adopted policies, actions or projects with a potentially significant impact that are excluded from a baseline scenario; any planned policies included in the baseline scenario |  |
| Non-policy drivers included in the baseline scenario; justification for any relevant non-policy drivers that are excluded |  |
| Rationale for the choice of whether to estimate new baseline values and assumptions or to use published baseline values and assumptions |  |
| **Impact category specific baseline assumptions**  |
| [Name of impact category]  |  |
| [Name of impact category]  |  |
| [Name of impact category]  |  |
| [Name of impact category]  |  |
| [Name of impact category]  |  |
| [Name of impact category]  |  |

1. Estimated net impact of the policy or action on each indicator over the assessment period (scenario method)

*Note: Use one table for each indicator and specific impact. Create additional tables as needed to include all indicators and all specific impacts included in the assessment. Edit the assessment period (e.g., years) as appropriate. This format uses the scenario method. See Appendix A for examples. If relevant, the results should include distributional impacts on different groups in society and the total in-jurisdiction impact separately from total out-of-jurisdiction impact, if feasible.*

|  |  |
| --- | --- |
| Impact category #1 | [Name of impact category]  |
| Indicator #1 |  |
| Specific impact |  |
| Assessment method | Scenario method |
| Equation |  |
| Parameters needed |  |
| Assumptions | *[Description of the policy scenario and specific assumptions made]* |
| **Assessment period** | **2016** | **2017** | **2018** | **2019** | **2020** | **2021** | **2022** | **2023** | **2024** | **2025** | **Cumulative impact** |
| Baseline values |  |  |  |  |  |  |  |  |  |  | N/A |
| Policy scenario values |  |  |  |  |  |  |  |  |  |  | N/A |
| Change in indicator per year from the policy |  |  |  |  |  |  |  |  |  |  | [Sum] |

1. Estimated net impact of the policy or action on each indicator over the assessment period (deemed estimates method)

*Note:* Use one table for each indicator and specific impact. Create additional tables as needed to include all indicators and all specific impacts included in the assessment. *This format uses the deemed estimates method. See Appendix A for examples. If relevant, the results should include distributional impacts on different groups in society and the total in-jurisdiction impact separately from total out-of-jurisdiction impact, if feasible.*

|  |  |
| --- | --- |
| Impact category #1 | [Name of impact category]  |
| Indicator #1 |  |
| Specific impact |  |
| Assessment method | Deemed estimates method |
| Equation |  |
| Parameters needed  |  |
| Assumptions  | *[Description of the policy scenario and specific assumptions made]* |
| **Assessment period** | **2016** | **2017** | **2018** | **2019** | **2020** | **2021** | **2022** | **2023** | **2024** | **2025** | **Cumulative impact** |
| Change in indicator per year from the policy |  |  |  |  |  |  |  |  |  |  | [Sum] |

1. Estimated impact of the policy or action on all impact categories included in the assessment

*Note: Add or remove rows of impact categories and indicators quantified as appropriate.*

|  |  |  |  |
| --- | --- | --- | --- |
| Impact category | Indicator quantified | Estimated impact (Cumulative impact over the assessment period) | A quantitative estimate or qualitative description of the uncertainty and sensitivity of the results |
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Part V: Monitoring and Reporting

1. Additional information related to monitoring and uncertainty

*Note: Create additional tables as needed to include all impact categories included in the assessment.*

|  |  |
| --- | --- |
| Impact category #1 |  |
| The performance of the policy or action over time, as measured by the indicators, and whether the performance of the policy or action is on track relative to expectations |  |
| Whether the assumptions on key indicators within the ex-ante assessment remain valid, if applicable |  |
| Trends in indicators for different groups in society |  |
| The method or approach used to assess uncertainty.  |  |

1. Selected indicators and explanation of chosen indicator

*Note: Add or remove rows of impact categories and indicators as appropriate. See Table 12.1 of the Sustainable Development Methodology for an example of filling out the template.*

|  |  |  |
| --- | --- | --- |
| Impact category  | Indicator(s) | Explanation of chosen indicator |
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1. Monitoring template for the selected indicators and parameters

*Note: Add or remove rows of indicators as appropriate. See Table 12.2 of the Sustainable Development Methodology for an example of filling out the template.*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Indicator | Source of data | Monitoring frequency  | Measurement method | Responsible entity or institution  | Historical value in year X | Goal value for year Y |
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1. Monitoring template with SDGs

*Note: Add or remove the rows as appropriate. See Table 12.4 of the Sustainable Development Methodology for an example of filling out the template.*

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| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| SDGs or other goals | Corresponding targets | Indicator(s) | Source of data | Monitoring frequency  | Measurement method | Responsible entity or institution  | Historical value in year X | Goal value for year Y |
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