Transformational Change Methodology

*Assessment Template*

*June 2019*

This assessment template is provided to help users apply the *Transformational Change Methodology.* It contains the key recommendations for reporting from Chapter 11. It also includes the key assessment tables from the methodology, which can be filled out directly. Users can consult the *Transformational Change Methodology* while using this template for information about how to carry out the steps. The template presents one way of documenting the recommended information. Users may record their assessment results in any format considered most useful to the intended audience.

Part I & II: Defining the Assessment

Chapter 1: Objectives

* The objective(s) and intended audience(s) of the assessment

Chapter 4: Steps and assessment principles

* Opportunities for stakeholders to participate in the assessment
* Principles on which the assessment is based

|  |  |
| --- | --- |
| 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 |  |
| Opportunities for stakeholders to participate in the assessment |  |
| Principles on which the assessment is based |  |

Chapter 5: Describing the policy or action and the assessment boundary and period

* Whether the assessment applies to an individual policy/action or a package of related policies/ actions, and when a package is assessed, which policies and actions are included in the package

|  |  |
| --- | --- |
| Information | Assessment information |
| 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 |  |

* A description of the policy or action (or package of policies or actions) (including the information in Table 5.1)

|  |  |  |
| --- | --- | --- |
| 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 that the policy or action comes into effect (not the date that any supporting legislation is enacted) |  |
| Date of completion (if relevant) | 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(ies) 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), including specific goals for GHG emission reductions and sustainable development impacts where available |  |
| 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 and subsectors are targeted |  |
| Other related policies or actions | Other policies or actions that may interact with the policy or action assessed |  |
| Reference | Include a link or full reference to access further, detailed information about the policy or action |  |

* The assessment boundary in terms of impacts covered, and geographical and sectoral coverage
* The assessment period

|  |  |
| --- | --- |
| Information | Assessment information |
| The assessment boundary in terms of impacts covered |  |
| The assessment boundary in terms of geographical coverage |  |
| The assessment boundary in terms sectoral coverage |  |
| The assessment period |  |

* Whether the assessment is ex-ante, ex-post, or a combination of ex-ante and ex-post

|  |  |
| --- | --- |
| Information | Assessment information |
| Whether the assessment is ex-ante, ex-post, or a combination of ex-ante and ex-post |  |

Part III: Impact Assessment

Chapter 6: Choosing which transformational change characteristics to assess

* Phase of transformation to understand the context in which the policy or action is being planned or implemented

*Note: See Figure 6.4* *for criteria to identify the phase of transformation of a system for inspiration to fill out the template*

* Policy or action’s vision for transformational change

*Note: See Table 6.3 for an example of filling out the template shown below*

|  |  |
| --- | --- |
| Description of the vision for desired societal, environmental and technical changes | Assessment information |
| Long-term (≥15 years) |  |
| Medium-term (≥5 years and <15 years) |  |
| Short-term (<5 years) |  |

* Barriers to transformational change specific to the phase of transformation

*Note: See Table 6.4 for an example of filling out the template shown below*

|  |  |  |  |
| --- | --- | --- | --- |
| Barriers | Explanation | Characteristics affected | Barrier directly targeted by the policy or action |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

* Transformational change outcome and relevant process characteristics of the policy or action (including information in Table 6.4 and Table 6.5)

*Note: See Table 6.6 for an example of filling out the relevant process characteristics template below*

|  |  |  |  |
| --- | --- | --- | --- |
| Category | Process characteristics | Description of characteristic – specific to a policy or action | Relevant/ Possibly relevant/ Not relevant  Provide justification |
| Technology | Research and development (R&D) |  |  |
| Adoption |  |  |
| Scale up |  |  |
| Agents | Entrepreneurs |  |  |
| Coalitions of advocates |  |  |
| Beneficiaries |  |  |
| Incentives | Economic and non-economic |  |  |
| Disincentives |  |  |
| Institutional and regulatory |  |  |
| Norms | Awareness |  |  |
| Behaviour |  |  |
| Social norms |  |  |

*Note: See Table 6.7 for an example of filling out the template for outcome characteristics below*

|  |  |  |
| --- | --- | --- |
| Category | Outcome characteristics | Description – specific to a policy or action, including status at the beginning of the assessment period |
| Scale of outcome – GHGs | Macro level: GHG outcome is large in magnitude at international/global level |  |
| Medium level: GHG outcome is large in magnitude at national or sectoral levels |  |
| Micro level: GHG outcome is large in magnitude at subnational, subsector, city or local levels |  |
| Scale of outcome – Sustainable development | Macro level: Sustainable development outcome is net positive in magnitude at international/global level |  |
| Medium level: Sustainable development outcome is net positive in magnitude at national or sectoral levels |  |
| Micro level: Sustainable development outcome is net positive in magnitude at subnational, subsector, city or local levels |  |
| Outcome sustained over time – GHGs | Long term: GHG outcome is achieved and sustained ≥15 years from the starting situation |  |
| Medium term: GHG outcome is achieved and sustained ≥5 years and <15 years from the starting situation |  |
| Short-term: GHG outcome is achieved and sustained <5 years from the starting situation |  |
| Outcome sustained over time – sustainable development | Long term: Sustainable development outcome is achieved and sustained ≥15 years from the starting situation |  |
|  | Medium term: Sustainable development outcome is achieved and sustained ≥5 years and <15 years from the starting situation |  |
|  | Short-term: Sustainable development outcome is achieved and sustained <5 years from the starting situation |  |

Chapter 7: Assessment of the starting situation

* The starting situation for characteristics impacted by the policy or action

*Note: See Table 7.1 for an example of filling out the template below*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Process category | Process characteristic | Description of the starting situation (same as description column in Table 6.6) | Indicator | Indicator value at starting situation |
| Technology | Research and development |  |  |  |
| Adoption |  |  |  |
| Scale-up |  |  |  |
| Agents | Entrepreneurs |  |  |  |
| Coalitions of advocates |  |  |  |
| Beneficiaries |  |  |  |
| Incentives | Economic and non-economic incentives |  |  |  |
| Disincentives |  |  |  |
| Institutional and regulatory |  |  |  |
| Norms | Awareness |  |  |  |
| Behaviour |  |  |  |
| Social norms |  |  |  |

*Note: See Table 7.2 for an example of filling out the template given below*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Outcome category | Outcome characteristic | Description of the starting situation (same as the Description column in Table 6.7) | Indicators | Indicator value at starting situation |
| Scale of outcome – GHGs | Global or international level (macro level) |  |  |  |
| National or sectoral level (medium level) |  |  |  |
| Subnational level (micro level) |  |  |  |
| Scale of outcome – Sustainable development | Global or international level (macro level) |  |  |  |
| National or sectoral level (medium level) |  |  |  |
| Subnational level (micro level) |  |  |  |
| Outcome sustained over time  - GHG | Long-term:  (≥15 years from the starting situation) |  |  |  |
| Medium term:  (≥5 years and <15 years from the starting situation) |  |  |  |
| Short term:  (0<5 years from the starting situation) |  |  |  |
| Outcome sustained over time  - Sustainable development | Long-term:  (≥15 years from the starting situation) |  |  |  |
| Medium term:  (≥5 years and <15 years from the starting situation) |  |  |  |
| Short term:  (0<5 years from the starting situation) |  |  |  |

Chapter 8: Estimating impacts ex-ante

* Disaggregated results in terms of the policy or action’s expected impact on individual characteristics

*Note: See Table 8.2 for an example of filling out the template*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Category | Characteristic | Score | Rationale justifying the score | Indicators (same as respective column in Table 7.1) | Indicator value at starting situation (same as respective column in Table 7.1) | Indicator value for expected transformation |
| Technology | Research and development |  |  |  |  |  |
| Adoption |  |  |  |  |  |
| Scale up |  |  |  |  |  |
| Agents | Entrepreneurs |  |  |  |  |  |
| Coalition of advocates |  |  |  |  |  |
| Beneficiaries |  |  |  |  |  |
| Incentives | Economic and non-economic incentives |  |  |  |  |  |
| Disincentives |  |  |  |  |  |
| Institutional and regulatory |  |  |  |  |  |
| Norms | Awareness |  |  |  |  |  |
| Behaviour |  |  |  |  |  |
| Social norms |  |  |  |  |  |

*Note: See Table 8.3 for an example of filling out the template*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Category | Characteristic | Score | Rationale justifying the score | Indicators (same as respective column in Table 7.2) | Indicator value at starting situation (same as respective column in Table 7.2) | Indicator value for expected transformation |
| Scale of outcome- GHG | Macro level |  |  |  |  |  |
| Medium level |  |  |  |  |  |
| Micro level |  |  |  |  |  |
| Scale of outcome- sustainable development | Macro level |  |  |  |  |  |
| Medium level |  |  |  |  |  |
| Micro level |  |  |  |  |  |
| Outcome sustained over time-GHG | Long-term |  |  |  |  |  |
| Medium-term |  |  |  |  |  |
| Short-term |  |  |  |  |  |
| Outcome sustained over time-sustainable development | Long-term |  |  |  |  |  |
| Medium-term |  |  |  |  |  |
| Short-term |  |  |  |  |  |

*Note: See Table 8.4 for an example of filling out the template below*

|  |  |  |  |
| --- | --- | --- | --- |
| Category | Score | Rationale for scoring | Relative importance of category including rationale |
| Technology |  |  |  |
| Agents |  |  |  |
| Incentives |  |  |  |
| Norms |  |  |  |

*Note: See Table 8.5 for an example of filling out the template below*

|  |  |  |
| --- | --- | --- |
| Category | Score | Rationale for scoring |
| Scale of outcome-GHGs |  |  |
| Scale of outcome – sustainable development |  |  |
| Outcome sustained over time – GHGs |  |  |
| Outcome sustainable over time – sustainable development |  |  |

* The final ex-ante assessment result expressed in terms of the extent of transformation expected and the likelihood that the expected transformation can be realized over the assessment period, including the underlying rationale

*Note: See Figure 8.2 for an example of how to illustrate the final result in the Transformational Impact Matrix*

Outcome: Extent of transformation

Major

Moderate

Minor

None

Very likely

Likely

Very unlikely

Unlikely

Process: Likelihood of transformation

Possible

Negative

|  |  |
| --- | --- |
| Information | Assessment information |
| The final ex-ante assessment result in terms of the extent of transformation expected and the likelihood that the expected transformation can be realized over the assessment period, including the underlying rationale | *Provide descriptive information with rationale* |

Chapter 9: Estimating impacts ex-post

* Disaggregated results in terms of the policy or action’s impact on individual characteristics using indicators

*Note: See Table 9.2 for an example of filling out the template*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Category | Characteristic | Score | Rationale justifying the score | Indicators (same as respective column in Table 7.1) | Indicator value at starting situation (same as respective column in Table 7.1) | Indicator value observed |
| Technology | Research and development |  |  |  |  |  |
| Adoption |  |  |  |  |  |
| Scale up |  |  |  |  |  |
| Agents | Entrepreneurs |  |  |  |  |  |
| Coalition of advocates |  |  |  |  |  |
| Beneficiaries |  |  |  |  |  |
| Incentives | Economic and non-economic incentives |  |  |  |  |  |
| Disincentives |  |  |  |  |  |
| Institutions and regulations |  |  |  |  |  |
| Norms | Awareness |  |  |  |  |  |
| Behaviour |  |  |  |  |  |
| Social norms |  |  |  |  |  |

*Note: See Table 9.3 for an example of filling out the template*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Category | Characteristic | Score | Rationale justifying the score | Indicators (same as respective column in Table 7.1) | Indicator value at starting situation (same as respective column in Table 7.1) | Indicator value observed |
| Scale of outcome - GHGs | Macro level |  |  |  |  |  |
| Medium level |  |  |  |  |  |
| Micro level |  |  |  |  |  |
| Scale of outcome – sustainable development | Macro level |  |  |  |  |  |
| Medium level |  |  |  |  |  |
| Micro level |  |  |  |  |  |
| Outcome sustained over time - GHGs | Long-term |  |  |  |  |  |
| Medium term |  |  |  |  |  |
| Short-term |  |  |  |  |  |
| Outcome sustained over time – sustainable development | Long-term |  |  |  |  |  |
| Medium term |  |  |  |  |  |
| Short-term |  |  |  |  |  |

*Note: See Table 9.4 for an example of filling out the template*

|  |  |  |  |
| --- | --- | --- | --- |
| Category | Score | Rationale for scoring | Relative importance of category including rationale |
| Technology |  |  |  |
| Agents |  |  |  |
| Incentives |  |  |  |
| Norms |  |  |  |

*Note: See Table 9.5 for an example of filling out the template*

|  |  |  |
| --- | --- | --- |
| Category | Score | Rationale for scoring |
| Scale of outcome-GHGs |  |  |
| Scale of outcome – sustainable development |  |  |
| Outcome sustained over time – GHGs |  |  |
| Outcome sustainable over time – sustainable development |  |  |

* The final ex-post assessment result expressed in terms of the extent of transformation achieved and the likelihood that the transformation is sustained over time, including the underlying rationale for the conclusions

*Note: See Figure 9.2 for an example of how to illustrate the final result in the Transformational Impact Matrix.*

Outcome: Extent of transformation

Major

Moderate

Minor

None

Very likely

Likely

Very unlikely

Unlikely

Process: Likelihood of transformation

Possible

Negative

|  |  |
| --- | --- |
| Information | Assessment information |
| The final ex-post assessment result in terms of the extent of transformation expected and the likelihood that the expected transformation can be realized over the assessment period, including the underlying rationale for the conclusions | *Provide descriptive information with rationale* |

Part IV: Monitoring and Reporting

Chapter 10: Monitoring performance over time

* Define the monitoring period
* Identify the key performance indicators that is used to track performance of the policy or action over time

|  |  |
| --- | --- |
| Information | Assessment information |
| Define a monitoring period that is long enough to capture the full range of transformational impacts |  |
| The key performance indicators that are used to track performance of the policy or action over time |  |

* Monitor each key performance indicator over time in line with the monitoring plan

*Note: See Table 10.1 for an example of filling out the template*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Indicator | Type of data (quantitative/ qualitative) | Monitoring frequency and date of collection | Data source/ collection method | Responsible entity | Observed data (unit) |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

Part V: Decision Making and Using Results

Chapter 12: Learning, Decision-making and Using Results

* Insights gained from the assessment, and how results are used to revise ongoing or future policies and actions

|  |  |
| --- | --- |
| Information | Assessment information |
| Insights gained from the assessment and how results are used to revise ongoing or future policies and actions |  |