Transformational Change Methodology

 *Assessing the transformational impacts of policies and actions*

*June 2019*

# Reporting Template for Transformational Change Assessment

*This template is for the development of a Transformational Impact Report. The reporting template is intended to serve as a guide to prepare a comprehensive report for communicating the results of the assessment.*

*It aligns with the key recommendations in Chapter 11 of the ICAT Transformational Change Methodology. It includes tables from the ICAT Transformational Change Methodology to guide users to provide recommended information for each assessment step. Users are encouraged to go beyond the table structure of the Assessment Template (see B.1) and describe the output of each step in a narrative and/or visual form where feasible to prepare a comprehensive report. This will help avoid a report that is essentially a series of tables.*

*Further suggestions for completing the reporting template are given under each section heading below. It is also indicated where users may need to refer to the ICAT Transformational Change Methodology for additional information.*

REPORT TITLE

Logo

Document Prepared by (individual or entity)

Contact Information

Report Date



**Table of Contents**

*Insert table of contents*

Part I and II: Defining the assessment

1. General information about the assessment

*Provide a general description of the assessment to enable an understanding of the assessment including the following:*

* *Name of the policy or action assessed indicating whether the assessment applies to an individual policy/action or a package of related policies/actions. If a package is assessed, which policies or actions are included in the package.*
* *Person (s) or organization(s) doing the assessment*
* *Month/Year when the assessment is done*
* *Objective(s) of the assessment*
* *Intended audience(s) of the assessment*
* *Opportunities for stakeholders to participate in the assessment*
* *Whether the assessment is ex-ante, ex-post, or a combination of ex-ante and ex-post*
* *The assessment boundary in terms of impacts covered, and geographical and sectoral coverage, and the assessment period*
1. Describe the policy or action
* *Include a summary description of the policy or action (or a package of related policies/actions) being assessed utilizing the table below to provide the recommended information for the policy or action.*

|  |  |
| --- | --- |
| Information | Description  |
| Title of the policy or action | *Insert the policy or action name* |
| Type of policy or action | *Describe the type of policy or action*  |
| Description of specific interventions | *Describe 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 | *State whether the policy or action is planned, adopted or implemented* |
| Date of implementation | *State the date that the policy or action comes into effect (not the date that any supporting legislation is enacted)* |
| Date of completion (if relevant) | *State 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 | *List 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 | *State 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 | *State the level of implementation, such as national level, subnational level, city level, sector level or project level*  |
| Geographic coverage | *State 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 | *Describe which sectors and subsectors are targeted*  |
| Other related policies or actions | *List other policies or actions that may interact with the policy or action assessed* |
| Reference | *Provide a link or full reference to access further, detailed information about the policy or action* |

1. Understanding the context of policy or action
* *Describe the phase of transformation to understand the context in which the policy or action is being planned or implemented.*
* *Describe the policy or action’s vision for transformational change. Use the table below to provide the recommended information.*

|  |  |
| --- | --- |
| Time periods | Description of the vision for desired societal, environmental and technical changes |
| Long-term (≥15 years) | *Describe the long-term vision for transformational change including actions to be taken and impacts to be achieved in the future* |
| Medium-term (≥5 years and <15 years) | *Describe the medium-term vision for transformational change including actions to be taken and impacts to be achieved beyond the current planning cycle* |
| Short-term (<5 years) | *Describe the short-term vision for transformational change including actions to be taken and impacts to be achieved immediately within the current planning cycle* |

* *Describe barriers to transformational change given the specific context and the phase of transformation. Use the table below to provide the recommended information*

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

1. Choosing transformational change characteristics to assess
* *Describe process characteristics for a policy or action that are relevant for transformational change. Complete columns A-D in Table B.2.1 given at the end of the reporting template to provide the recommended information.*
* *Describe outcome characteristics for a policy or action. Complete columns A-C in Table B.2.2 given at the end of the reporting template to provide the recommended information.*

Part III: Impact Assessment

1. Assessment of the starting situation
* *Describe the starting situation for relevant process characteristics for transformational change. Complete column G in Table B.2.1 given at the end of the reporting template.to identify indicators.*
* *Describe the starting situation for outcome characteristics for transformational change. Complete column F in Table B.2.2 given at the end of the reporting template to identify indicators.*
1. Ex-ante assessment
* *Describe the final ex-ante assessment result explaining the extent of transformation expected and the likelihood that the expected transformation can be realized over the assessment period. Describe the result in qualitative, narrative terms explaining the underlying rationale for the conclusion.*
* *Provide recommended disaggregated information for the final ex-ante assessment result:*
* *Describe process characteristics for ex-ante assessment. Complete columns E-F and H-I in Table B.2.1 given at the end of the reporting template to provide the recommended information.*
* *Describe outcome characteristics for ex-ante assessment. Complete columns D-E and G-H in Table B.2.2 given at the end of the reporting template to provide the recommended information.*
* *Describe the results of ex-ante analysis at process category level. Complete Table B.2.3 given at the end of the reporting template to provide the recommended information. Also describe the results using a narrative format with supporting visuals as feasible.*
* *Describe results of the ex-ante analysis at outcome category level. Complete Table B.2.4 given at the end of the reporting template to provide the recommended information. Also describe the results using a narrative format with supporting visuals as feasible.*
1. Ex-post assessment
* *Describe the final ex-post assessment result over the assessment period. Describe the result in qualitative, narrative terms explaining the underlying rationale for the conclusion.*
* *Utilize the tables below for providing recommended disaggregated information for the final ex-post assessment result:*
* *Describe ex-post assessment of process characteristics based on indicators. Complete columns E-F, H and J in Table B.2.1 given at the end of the reporting template to provide the recommended information.*
* *Describe ex-post assessment of outcome characteristics based on indicators. Complete columns D-E, G and I in Table B.2.2 given at the end of the reporting template to provide the recommended information.*
* *Describe results of the ex-post analysis at process category level. Complete Table B.2.3 given at the end of the reporting template to include the recommended information. Also describe the results using a narrative format with supporting visuals as feasible.*
* *Describe results of the ex-post analysis at outcome category level. Complete Table B.2.4 given at the end of the reporting template to include the recommended information. Also describe the results using a narrative format with supporting visuals as feasible.*
1. Monitoring
* *State the monitoring period if the policy or action is monitored after the assessment*
* *Describe the performance of the policy or action over time, as measured by indicators*
* *Discuss whether the performance of the policy or action is on track and in line with projected indicator values during the ex-ante assessment*

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

1. Decision making
* *Discuss how the results of the assessment have been utilized for learning and decision making*

Table B.2.1

*If both ex-ante and ex-post assessments are undertaken, insert additional set of columns E-F naming these appropriately for each kind of assessment to avoid confusion. If only one kind of assessment is being carried out, delete the indicator value column (I or J) that does not apply.*

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Category | Process Characteristic | Description - specific to a policy or action  | Relevant/ Possibly relevant/ Not relevantProvide justification  | Score | Rationale justifying the score  | Indicators | Indicator value at starting situation | Indicator value for expected transformation  | Indicator value observed  |
| A | **B** | **C** | **D** | **E** | **F** | **G** | **H** | **I** | **J** |
| 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 |  |  |  |  |  |  |  |  |

Table B.2.2

*If both ex-ante and ex-post assessments are undertaken, insert additional set of columns D-E naming these appropriately for each kind of assessment to avoid confusion. If only one kind of assessment is being carried out, delete the indicator value column (H or I) that does not apply.*

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Category | Outcome Characteristic | Description – specific to a policy or action, including status at the beginning of the assessment period | Score | Rationale justifying the score | Indicators | Indicator value at starting situation | Indicator value for expected transformation | Indicator value observed  |
| A | **B** | **C** | **D** | **E** | **F** | **G** | **H** | **I** |
| 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 |  |  |  |  |  |  |  |

Table B.2.3

*If both ex-ante and ex-post assessments are being carried out, insert additional columns B-D naming these appropriately for each kind of assessment to avoid confusion.*

|  |  |  |  |
| --- | --- | --- | --- |
| Category | Score | Rationale for scoring | Relative importance of category including rationale |
| A | **B** | **C** | **D** |
| Technology |  |  |  |
| Agents |  |  |  |
| Incentives |  |  |  |
| Norms  |  |  |  |

Table B.2.4

*If both ex-ante and ex-post assessments are being carried out, insert additional columns B-C naming these appropriately for each kind of assessment to avoid confusion.*

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