*ICAT Forest Assessment Reporting Template*

*This template is for the development of an ICAT Forest impact assessment. The reporting template is intended to serve as a guide to prepare a comprehensive report for communicating the results of the assessment.*

*This template aligns with the key recommendations throughout the ICAT Forest Methodology and the reporting recommendations in Chapter 11. It includes tables from the methodology to guide users to provide recommended information for each assessment step. Chapter references are provided if users need to refer to the ICAT Forest Methodology for additional information.*

*Users are encouraged to describe the output of each step in a narrative and/or visual form to prepare a comprehensive report. Further suggestions for completing the reporting template are given under each section heading below.*

*In alignment with the principle of transparency, users are encouraged to provide clear and complete information for stakeholders to assess the credibility and reliability of the results. Disclose and document all relevant methods, data sources, calculations, assumptions and uncertainties. Disclose the processes, procedures and limitations of the assessment in a clear, factual, neutral and understandable manner through an audit trail with clear documentation. The information should be sufficient to enable a party external to the assessment process to derive the same results if provided with the same source data.*

*If technical review is pursued, the assessment report should document all the information necessary to demonstrate how the impact assessment fulfills the key recommendations followed.*

*All instructions and reporting suggestions, including this introductory text, can be deleted from the final document.*

REPORT TITLE

Logo

Document Prepared by (individual or entity)

Contact Information

Report Date



**Table of Contents**

*Insert table of contents*

# Summary of the assessment

*Provide a general description of the assessment and a summary of the main findings, 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) that conducted the assessment*
* *Month/Year the assessment was completed*
* *Whether the assessment is an update of a previous assessment, if so, links to any previous assessments*
* *Objective(s) of the assessment (Reference: Chapter 2)*
* *Intended audience(s) of the assessment (Reference: Chapter 2)*
* *Opportunities for stakeholders to participate in the assessment (Reference: Chapter 4.2.5)*
* *The assessment boundary in terms of impacts covered, geographical and sectoral coverage, and the assessment period*
* *Whether the assessment is ex-ante, ex-post, or a combination of ex-ante and ex-post*
* *Main findings of the assessment(s) as well as any recommendations from the assessment team. A summary for policy makers should be short and concise.*
* *Technical review statement, if a technical review of the assessment was conducted*

# Description of the policy or action

*(Reference: Chapter 5)*

## Description of the policy

*Provide a description of the policy, including the following:*

* *Summary description of the policy*[[1]](#footnote-1) *(or a package of related policies) being assessed using the table below to provide the recommended information for the policy*

Table 2.1: Summary description of the policy

|  |  |
| --- | --- |
| Information | Description  |
| Title of the policy | *The policy name* |
| Type of policy | *The type of policy, such as those presented in Table 3.1*  |
| Description of specific interventions | *The specific mitigation practice and/or technology carried out as part of the policy or action, such as those presented in Box 3.1* |
| Status of the policy | *Whether the policy is planned, adopted or implemented* |
| Date of implementation | *The date that the policy comes into effect (not the date that any supporting legislation is enacted)* |
| Date of completion (if relevant) | *If relevant, the date the policy 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 no longer has an impact)* |
| Implementing entity or entities | *The entity or entities that implement(s) the policy, including the role of various local, subnational, national, international or any other entities* |
| Objectives and intended impacts or benefits of the policy | *The intended impact(s) or benefit(s) of the policy (e.g., the purpose stated in the legislation or regulation)* |
| Level of the policy | *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 is implemented or enforced, which may be more limited than all the jurisdictions where the policy has an impact* |
| Sectors targeted | *The sectors and subsectors targeted by the policy* |
| Greenhouse gases targeted | *The GHGs the policy aims to control, which may be more limited than the set of GHGs that the policy affects* |
| Other related policies or actions | *List other policies or actions that may interact with the policy assessed* |

* *Additional information about the policy, if relevant, using the table below*

Table 2.2 Additional information about the policy

| Information | Description |
| --- | --- |
| Intended level of mitigation to be achieved and/or target level of other indicators | *If relevant and available, the total emissions and removals from the sources and sinks targeted; the target amount of emissions to be reduced or removals to be enhanced as a result of the policy, both annually and cumulatively over the life of the policy (or by a stated date); and/or the target level of key indicators (such as hectares of land to conserve)* |
| Title of establishing legislation, regulations or other founding documents | *The name(s) of legislation or regulations authorizing or establishing the policy (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* |
| Enforcement mechanisms | *Any enforcement or compliance procedures, such as penalties for non-compliance or requirements for reporting* |
| Reference to relevant documents | *Information to allow practitioners and other interested parties to access any guidance documents related to the policy (e.g. through websites)* |
| Broader context or significance of the policy | *The broader context for understanding the policy*  |
| Outline of sustainable development impacts of the policy | *Any anticipated sustainable development benefits other than GHG mitigation* |
| Key stakeholders | *Key stakeholder groups affected by the policy* |
| Other relevant information | *Any other relevant information (e.g. costs, non-GHG mitigation benefits)* |

## Individual policy or package of policies

*Explain whether an individual policy or a package of policies is assessed. Describe the method used to determine whether to assess an individual policy or a package of policies. If a package of policies is assessed, describe which policies are included in the package.*

## Ex-ante or ex-post assessment

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

# Identification of impacts

*(Reference: Chapter 6)*

## GHG impacts

Describe the GHG impacts of the policy, including the following:

* A list of all the stakeholders affected by, or with influence on, the policy
* A description of the inputs and administrative activities, using the table below. Add or remove rows as appropriate.

Table 3.1: Inputs and administrative activities

|  | Detail/explanation | Geographic location of effect | Timing of effect |
| --- | --- | --- | --- |
| **Inputs** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| **Administrative activities** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

* A description of the intermediate effects, using the table below. Add or remove rows as appropriate.

Table 3.2: Intermediate effects

| Intermediate effect | Details | Affected parameter | Direction of effect | Amount of effect | Geographic location of effect | Timing of effect |
| --- | --- | --- | --- | --- | --- | --- |
|  | . |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|   |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|   |  |  |  |  |  |  |

* A list of all the potential GHG impacts of the policy. Note that all identified intermediate effects should be associated with a specific GHG impact.
* A causal chain, following the example below to display inputs and administrative activities, intermediate effects and GHG impact. A PowerPoint template for creating a causal chain is provided at: <https://climateactiontransparency.org/icat-toolbox/forest-sector/>

Figure 3.1 Causal Chain

Policy

Inputs and administrative activities

Inputs and administrative activities

Intermediate effect

Intermediate effect

Intermediate effect

GHG impact

Intermediate effect

GHG impact

Intermediate effect

Intermediate effect

GHG impact

Intermediate effect

Intermediate effect

GHG impact

Intermediate effect

Intermediate effect

GHG impact

Intermediate effect

GHG impact

Policy

Intermediate effect

GHG impact

Inputs and administrative activities

3.2 GHG assessment boundary

*List all the GHG impacts of the policy, using the table below. Indicate which GHG impacts are significant and therefore included in the GHG assessment boundary and explain the approach used to determine the significance. Include GHG sources and carbon pools that are excluded from the GHG assessment boundary, with justification for their exclusion.*

Table 3.3: GHG Impacts of the policy

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| GHG impact | GHG | Likelihood | Relative magnitude | Significance | Include or exclude, and explanation |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

3.3 GHG assessment period

*State the GHG assessment period and explain how it was defined.*

# Baseline scenario

*(Reference: Chapter 7)*

*State the approach chosen for estimating expected GHG impacts (emissions approach or activity data approach). (Reference: Chapter 4.2.2)*

## Description of the baseline scenario

Provide a description of the baseline scenario and justification for why it is considered to most likely scenario. Include the following:

* Justification for the choice of whether to develop new baseline assumptions and data or to use published baseline assumptions and data
* A list of policies, action and projects included in the baseline scenario
* A list of implemented or adopted policies, actions or projects that are expected to affect the GHG sources or carbon pools included in the GHG assessment boundary but are excluded from the baseline scenario, with justification for their exclusion.
* Whether the baseline includes any planned policies and, if so, which planned policies are included
* An explanation about assumptions, trends, models and methods used (Reference: Chapter 7.1)

## Estimated baseline emissions

Provide the cumulative GHG emissions and removals for the baseline scenario. including the following:

* A list of the intended policy outcomes and associated target drivers, using the table below

Table 4.1: Intended policy outcomes, target drivers and policy measures

|  |  |  |
| --- | --- | --- |
| Intended policy outcome | Drivers and barriers  | Policy measures  |
|  |  |  |
|  |  |   |
|  |  |  |
|  |  |  |

* A list of the key parameters affected by policy measures, using the table below

Table 4.2: Key parameters affected by policy measures

|  |  |  |
| --- | --- | --- |
| Intended policy outcome | Activity data  | Carbon stock change  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

* A list of non-policy drivers included in the baseline scenario and a list of non-policy drivers that were considered for inclusion but are excluded from the baseline scenario, with justification for their exclusion.
* The categories for land stratification, including the method used to stratify land, data sources, calculations, assumptions and uncertainties
* The area of land in each stratum, including the method use to estimate land area, data sources, calculations, assumptions and uncertainties
* The carbon stock change (i.e. emission factor) for each carbon pool in each land stratum, including the method used to estimate carbon stock change, data sources, calculations, assumptions and uncertainties
* The cumulative GHG emissions and removals for the baseline scenario, including the method used to estimate emissions, data sources, calculations, assumptions and uncertainties.

Tables and graphs can be used for providing and displaying information in a clear and concise way.

# GHG impacts of the policy ex-ante

*(Reference: Chapter 8)*

## Maximum implementation potential

Provide an estimate of the maximum implementation potential of the policy and a description of how it was estimated

## Policy design and national circumstances

Account for the effect of policy design and national circumstances on the maximum implementation potential of the policy, including the following:

* A description and justification for how policy design and national circumstances affect the maximum implementation potential of the policy, using the table below

Table 5.1: Accounting for policy design and national circumstances

|  |  |
| --- | --- |
| 1. Institutional arrangements and national circumstances | Score |
| a. | *Can the policy be implemented with existing governance structures, institutional arrangements and legal mechanisms?* |  |
| b. | *Is there corruption in the areas or regions under consideration? If so, how extensive?* |  |
| c. | *Do stakeholders receiving the benefits offered by the policy have clear title and rights?* |  |
| d. | *How well can the levels of governance that influence land use coordinate to achieve the intended outcome?* |  |
| *e.* | *How well can coordination (e.g. resources, enforcement, data sharing) be carried out at subnational levels (e.g. between local municipalities), if necessary, according to the policy?* |  |
| **2. Participation requirements** |  |
| a. | *Is participation in, or compliance with, the policy voluntary or mandatory?* |  |
| **3. Compliance monitoring and enforcement** |  |
| a. | *Is a monitoring programme planned or in place to assess policy implementation?* |  |
| b. | *Is an enforcement measure part of the policy? If so, to what degree are similar standards, rules and regulations enforced, and how?* |  |
| **4. Complementarity and synergies** |  |
| a. | *To what extent will supporting or complementary policies and actions in effect during the policy implementation period improve policy effectiveness?* |  |
| b. | *To what extent is the policy part of an interdisciplinary approach linking food security, ecosystem services and/or sustainable development?* |  |
| c. | *Are supportive measures in place to build the capacity and technical skills of affected stakeholders who will be implementing the policy?* |  |
| **5. Policy implementation risks** |  |
| a. | *To what extent are the intended policy outcomes vulnerable to risks (including natural events and disasters) that could jeopardize or reverse the policy outcomes?* |  |
| b. | *Have research and pilot studies been conducted in the areas where the policy will be implemented, and do they demonstrate that the expected outcomes of the policy are feasible?*  |  |

* A refined estimate of the implementation potential after accounting for policy design and national circumstances

## Financial feasibility

Account for the effect of financial feasibility on the maximum implementation potential of the policy, including the following:

* A description and justification for how financial feasibility affects the implementation potential of the policy
* A refined estimate of the implementation potential after accounting for the financial feasibility of the policy

## Other barriers

Account for the effect of other barriers on the maximum implementation potential of the policy, including the following:

* A description and justification for how other barriers affect the implementation potential of the policy, using the table below

Table 5.2 Accounting for other barriers

|  |  |
| --- | --- |
| 1. Institutional barriers | Score |
| a. | *Are there any conflicting goals or jurisdictions between ministries or other agencies with respect to the implementation of the policy?* |  |
| b. | *Is there the potential for institutional racism, gender bias or age discrimination that could limit the policy effectiveness – for example by limiting participation of certain stakeholders based on their race, religion, gender or age?*  |  |
| **2. Cultural barriers** |  |
| a. | *Are different languages used in the region where the policy will be implemented?* |  |
| b. | *Is the policy congruent with cultural norms and values?* |  |
| c. | *Are there gender issues in access to resources or communication?* |  |
| d. | *Are there generational differences in work ethics and work approaches that could result in conflicts or disputes among stakeholders that might limit the ability to effectively implement the policy?* |  |
| e. | *Are there any areas or landmarks with religious significance of the region under consideration?* |  |
| f. | *Is there a group that has very strong opposition to the policy?* |  |
| **3. Physical barriers** |  |
| a. | *Are land areas proposed for intervention easily accessible?* |  |
| b. | *Is the necessary physical infrastructure in place for the proposed policy?*  |  |
| c. | *Are there any war conflicts in the country that would limit access to certain land areas?* |  |

* A refined estimate of the implementation potential after accounting for other barriers

## GHG impacts of the policy ex-ante

Provide the GHG impact of the policy, including the following:

* Total annual and cumulative policy scenario emissions and removals over the GHG assessment period, if feasible based on the method used
* Year of expected fully realized GHG impact, if the policy implementation period or assessment period is shorter than the policy impact period
* An ex-ante estimate of the total net GHG impacts of the policy over the assessment period, and an estimate disaggregated by each GHG source and carbon pool included in the GHG assessment boundary
* Any methodologies and assumptions used to estimate policy scenario emissions, including the emissions estimation methods (including any models) used
* The policy scenario values for key parameters (e.g. activity data, emission factors, GWP values) in the emissions estimation method(s)
* The methodology and assumptions used to estimate policy scenario values for key parameters, including whether each parameter is assumed to be static or dynamic
* All sources of data used to estimate key parameters, including activity data, emission factors, GWP values and assumptions
* The method or approach used to assess uncertainty
* An estimate or description of the uncertainty and/or sensitivity of the results, to help users of the information properly interpret the results

Tables and graphs can be used for providing and displaying information in a clear and concise way.

# GHG impacts of the policy ex-post

*(Reference: Chapter 9)*

## Estimated or updated baseline emissions

If applicable, provide an updated baseline emissions estimate using observed values for parameters that are not affected by the policy and estimated values for parameters that are affected by the policy.

## GHG impacts of the policy ex-post

Provide the GHG impact of the policy, including the following:

* The performance of the policy, including whether the inputs, activities and intermediate effects that were expected to occur, according to the causal chain, actually occurred
* Total annual and cumulative policy scenario emissions and removals over the GHG assessment period
* Year of expected fully realized GHG impact, if the policy implementation period or assessment period is shorter than the policy impact period.
* The methodology and assumptions used to estimate policy scenario emissions, including the emissions estimation methods (including any models) used
* All sources of data to estimate key parameters, including activity data, emission factors, GWP values and assumptions
* An estimate of the total cumulative GHG impacts of the policy over the assessment period, and disaggregated by each GHG source and carbon pool included in the GHG assessment boundary
* The method or approach used to assess uncertainty
* An estimate or description of the uncertainty and/or sensitivity of the results, to help users of the information properly interpret the results

Tables and graphs can be used for providing and displaying information in a clear and concise way.

# Monitoring performance over time

*(Reference: Chapter 10)*

## Key performance indicators

Provide a list of the key performance indicators used to track performance over time and the rationale for their selection, using the table below. Add or remove rows as needed.

Table 7.1: Key performance indicators to monitor

|  |  |  |
| --- | --- | --- |
| Key performance indicator | Indicator description | Rationale for including |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

## Monitored parameters

Provide a list of parameters necessary to estimate GHG emissions ex-post, including sources of data, parameter type and monitoring frequency, using the table below. Add or remove rows as needed.

Table 7.2: Monitored parameters

|  |  |  |  |
| --- | --- | --- | --- |
| Parameter | Source of data | Parameter type | Monitoring frequency |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

## Monitoring plan

Provide a description of the monitoring plan for monitoring key performance indicators and parameters.

# Additional information

Include any additional information that is relevant to the policy assessment including:

* How the policy is modifying longer-term trends in GHG emissions and removals
* The economic, social and environmental (sustainable development), and transformational impacts of the policy
* The type of technical review undertaken (first, second or third party), the qualifications of the reviewers and the review conclusions. More guidance on reporting information related to technical review is provided in Chapter 9 of the ICAT Technical Review Guide.
1. Throughout this template, where the word “policy” is used without “action,” it is used as shorthand to refer to both policies and actions [↑](#footnote-ref-1)