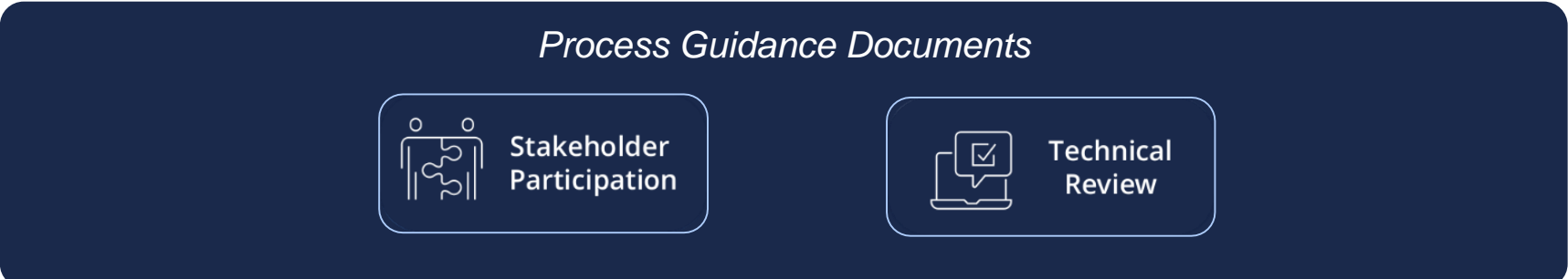
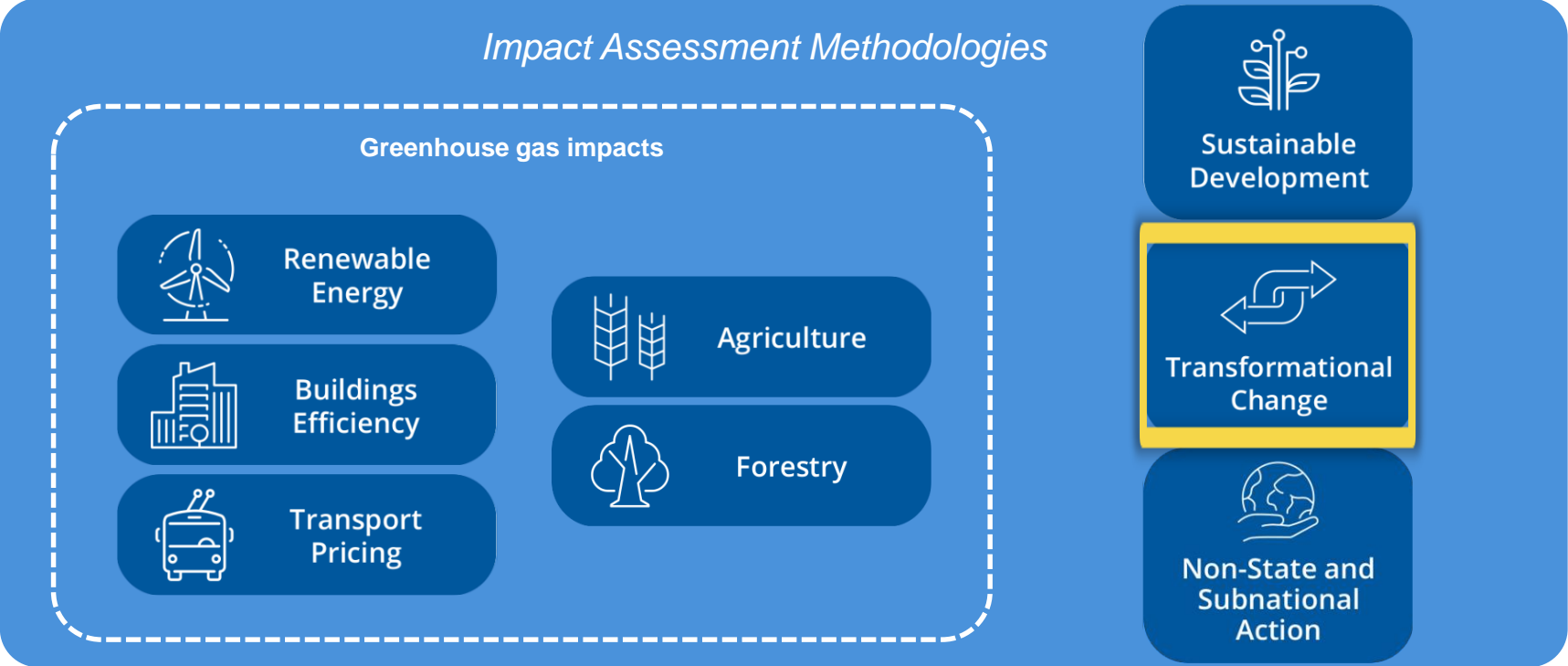


# Transformational Change Methodology

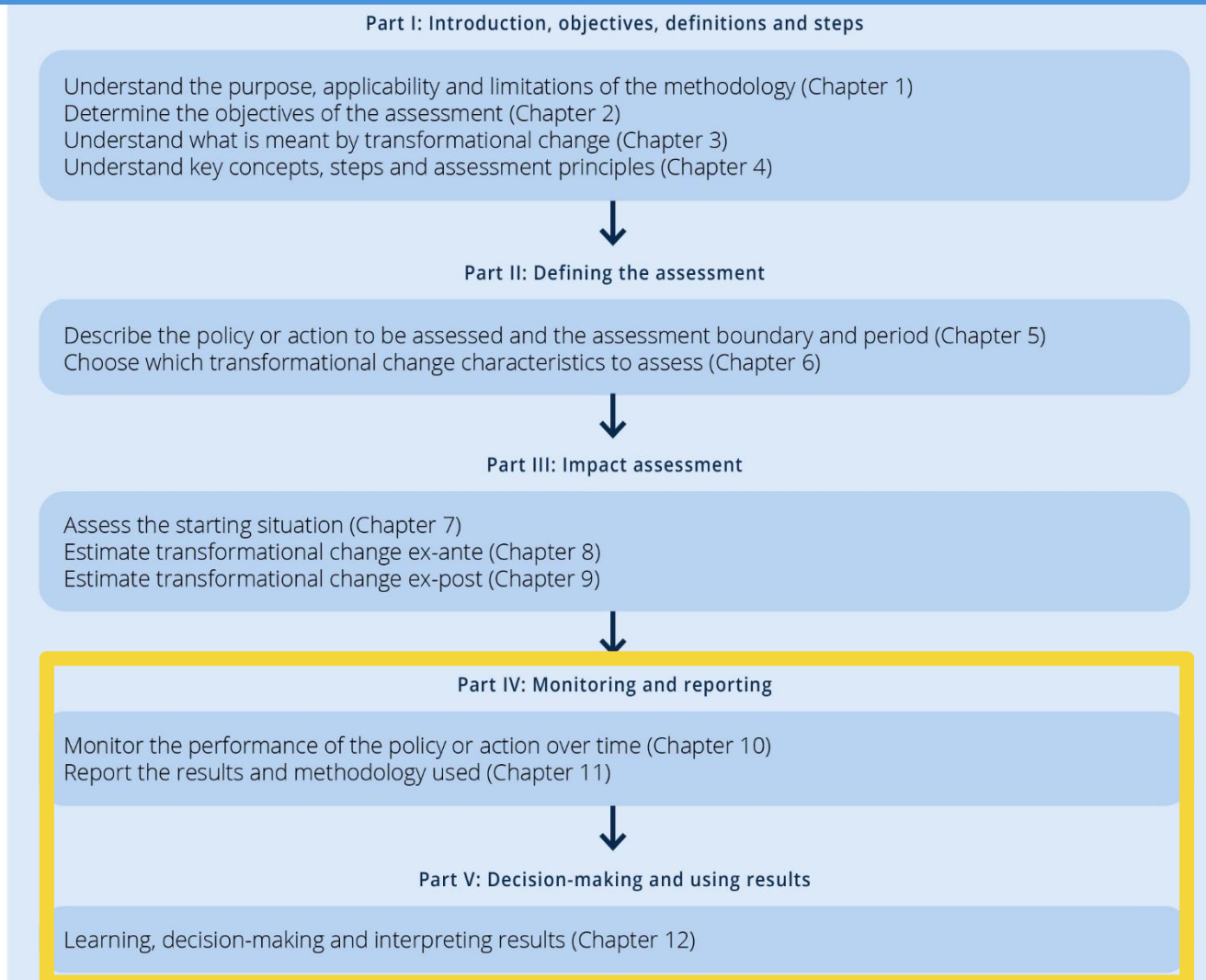
PART IV & V: MONITORING, REPORTING AND DECISION MAKING



## Introductory Guide



# Overview of the methodology



# Overview of the methodology

## Part IV and V: Monitoring, reporting and decision making

Monitoring performance over time (Chapter 10)

Reporting (Chapter 11)

Learning, decision making and interpreting results (Chapter 12)

This indicates a  
key recommendation



Chapter 10

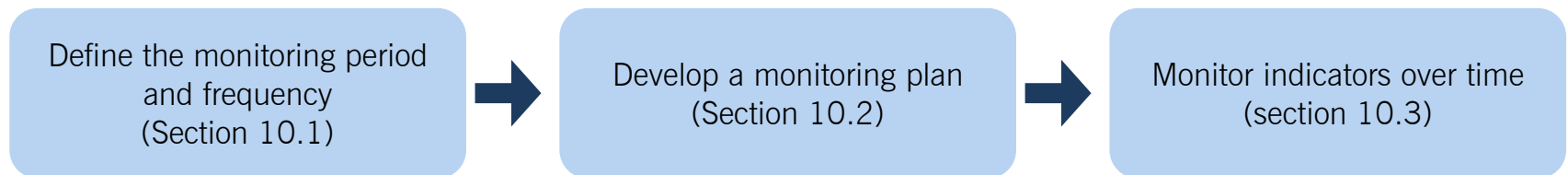
Chapter 11

Chapter 12

This is an interactive panel: navigate  
by clicking on a particular step

# Chapter 10. Monitoring

## Monitoring performance over time



# 10. Monitoring period and frequency

## MONITORING PERIOD

- Time period over which the policy or action is monitored
- Includes the assessment period
- In general, the longer the monitoring period is, the more robust the impact assessment is

## MONITORING FREQUENCY

- Should be based on the needs of decision makers and stakeholders.
- Trade-offs between the type of impacts and indicators being monitored, cost, and data availability
- Users may align with the five-year reporting cycles of Nationally Determined Contributions and/or national climate or development reporting cycles to embed monitoring within existing processes.

Define a monitoring period that is long enough to capture the full range of transformational impacts



# 10. Monitoring plan

To ensure that the monitoring plan is robust, consider including:

MONITORING PLAN		
Roles and responsibilities	Competencies	Methods
Monitoring period and monitoring frequency	Collecting and managing data	Quality assurance and quality control (QA/QC)
Record keeping and internal documentation	Continual improvement	Other related policies

Users should review and update the monitoring plan on a regular basis

Develop a plan for monitoring key performance indicators



# 10. Monitor indicators over time

- For each characteristic included in the assessment, users identify indicators to monitor performance of the policy or action over time. Users should consider:



- Strong institutional arrangements play a central role in coordinating monitoring activities to strengthen the procedures and the system
- Appropriately budget for monitoring and analysis, and secure the necessary financial resources.

Identify the key performance indicators that is used to track performance of the policy over time

Monitor each indicator over time in line with the monitoring plan





# Chapter 11. Reporting

Reporting the results, methodology and assumptions

Recommended  
information to report

# 11. Recommended information to report

2. OBJECTIVES	Describe the <b>objective(s)</b> and <b>intended audience(s)</b> of the assessment
4. KEY CONCEPTS AND, STEPS	Discuss opportunities for <b>stakeholders</b> to participate in the assessment
	List the <b>principles</b> on which the assessment is based
5. DESCRIBING POLICY AND THE ASSESSMENT BOUNDARIES	State whether the assessment applies to an <b>individual policy/action</b> or a <b>package</b> of related policies
	Provide a <b>description of the policy</b> or action
	State whether the assessment is <b>ex-ante</b> , <b>ex-post</b> , or a combination
	State the <b>assessment boundary</b> in terms of impacts covered, and geographical and sectoral coverage
6. CHOOSING WHICH TRANSFORMATIONAL CHANGE CHARACTERISTICS TO ASSESS	State the assessment period
	Describe the <b>phase of transformation</b> to understand the context in which the policy is being implemented
	Describe the policy's <b>vision for transformational change</b>
	Describe identified <b>barriers</b> to transformational change
7. STARTING SITUATION	Describe <b>relevant transformational change characteristics</b> of the policy
	Describe the <b>starting situation</b> for characteristics impacted by the policy
8. EX-ANTE ASSESSMENT	Describe the <b>extent</b> and <b>likelihood</b> of transformation expected and provide the <b>underlying rationale</b>
	Discuss disaggregated results in terms of the policy or action's expected impact on individual characteristics
9. EX-POST ASSESSMENT	Discuss <b>disaggregated results</b> in terms of the policy or action's impact on individual characteristics using indicators
	Describe the <b>extent</b> and <b>likelihood</b> of transformation achieved and provide the <b>underlying rationale</b>
10. MONITORING PERFORMANCE OVER TIME	State the monitoring period
	Describe the <b>performance of the policy</b> or action over time, as measured by the <b>indicators</b>
	Discuss whether the assumptions for key indicators within the ex-ante assessment remain valid, if relevant
12. DECISION MAKING	Provide insights gained from the assessment, and how results are used to revise ongoing or future policies

Report information about the assessment process and the transformational impacts resulting from the policy



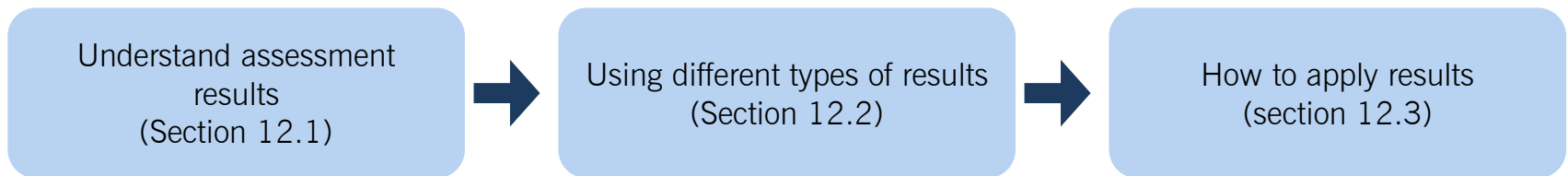
Chapter 10

Chapter 11

Chapter 12

# Chapter 12. Decision making

## Learning, decision making and interpreting results



# 12. Understanding assessment results

## LIMITATIONS

- Qualitative assessment: better to be approximately right than exactly wrong
- High uncertainty given the unpredictable nature of how complex systems evolve over long-term
- Flexibility and choice diversity limit comparability

→ Focus on the **transparency** of reporting of assumptions and choices made

## POTENTIAL

- Results can greatly aid in
- prioritizing policies
  - modifying existing interventions
  - shortlisting actions for financial support
- Depending on the case and objectives, disaggregated and singular results can be more helpful than aggregated and numerical results

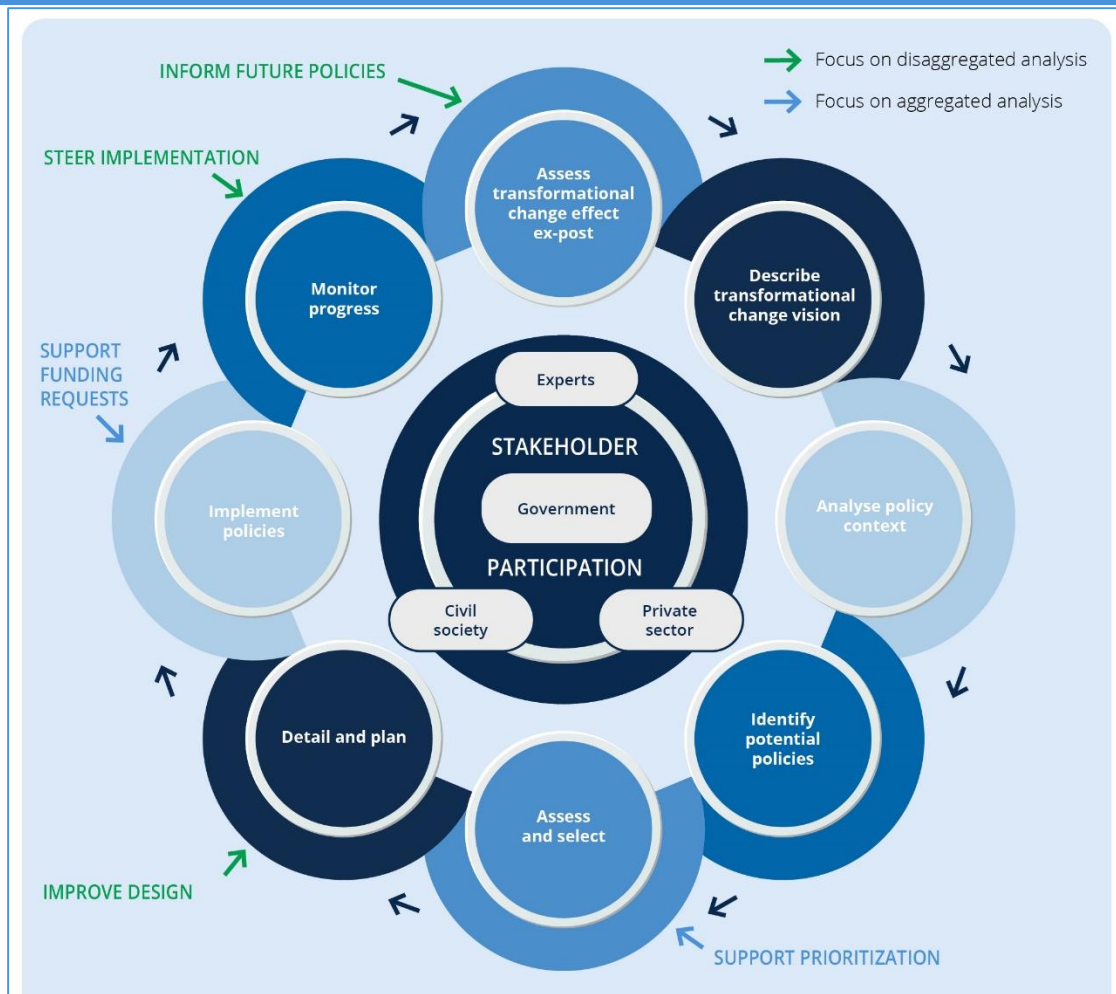
# 12. Which type of results to use ?

## Type of results:

- Aggregated
- Disaggregated

Which type of results to use depends strongly on

- The objective of the assessment
- The status of the policy



Describe insights gained from the assessment, and how results are used to revise objectives, design, planning and implementation of ongoing or future policies



# 12. Usefulness of results

SUPPORT PRIORITIZATION  
AND INFORM POLICY DESIGN  
OPTIONS

SUPPORT FUNDING REQUESTS  
TO ATTRACT FINANCE

STEER IMPLEMENTATION  
AND INFORM FUTURE POLICIES

## Aggregated VS Disaggregated

- Enables comparison and prioritization of policy options early in the implementation cycle
- ▲ Great caution in comparing results: ensure that methodology and choices do not render the results incomparable
- Can indicate areas of weaknesses and whether barriers are adequately addressed in policy design
- Can inform the design of future policies and actions, including informing updates on long-term strategies and plans
- Ex-post: Provide valuable insights on what worked and reasons for not achieving the desired impact

Describe insights gained from the assessment, and how results are used to revise objectives, design, planning and implementation of ongoing or future policies



Chapter 10

Chapter 11

Chapter 12

Example

Insight

# Pilot Case Studies using this Methodology

- Development of a Tonga Energy Efficiency Master Plan
- Assessment of the Transformational Change Potential for the Citizens of the Future Initiative in Bolivia
- Geothermal Energy Development Policy in Uganda
- Assessment of the Transformational Potential of the NACAG Initiative

# Thank You

The background of the slide is a photograph showing several pairs of hands, likely belonging to different people, working together to plant small green seedlings into individual blue plastic pots filled with reddish-brown soil. The hands are positioned over the pots, some holding the seedlings while others adjust the soil. The scene is brightly lit, suggesting an outdoor or well-lit indoor setting.

## Contacts:

Karen Holm Olsen, UNEP DTU  
kaol@dtu.dk

Neelam Singh, WRI  
nsigh@wri.org

[www.climateactiontransparency.org](http://www.climateactiontransparency.org)



# 10. Monitoring plan: data collection

Template for data collection illustrated for the solar PV policy example

Indicator	Type of data (quantitative/qualitative)	Monitoring frequency and date of collection	Data source/ collection method	Responsible entity	Observed data (unit)
Number of new solar PV installation businesses	Quantitative	Annual (January 2015)	Business license application	Department of Commerce or Energy	8 businesses /year
Number of trainings on solar PV installation	Quantitative	Monthly	Training workshop reports	Department of Energy	1 training /month
% share of solar PV in electricity mix	Quantitative	Annual (January 2015)	Electricity generation data	Department of Energy	5%

## 12. Example: transformational impact assessment in Mexico

**Action:** Implementation of the Nationally Appropriate Mitigation Action (NAMA) of “**Subnational Mitigation Actions for the Regeneration of Landscapes**”.  
→ state-led actions for the regeneration of forests and of planned grazing in 12 states

**User:** **Grupo Ecológico Sierra Gorda**, national NGO in Mexico applied the TC methodology to submit a funding proposal to an international donor

**Takeaways: learning experience** as it contributed to

- Improve the design of the NAMA
- Articulate more clearly the expected transformational impacts of the NAMA
- Define a specific objective for the regenerative reorientation of the system of government programs, technical support, incentives and finance mechanisms for the target sectors
- Form a critical mass of public officials decision makers, NGOs, educators, technicians and producers committed to regenerative management
- Incorporate a public awareness campaign in key cities
- Build a new integrated landscape management orientation for the NAMA with greater emphasis on intersectoral coordination and the clustering of interventions geographically in high-priority landscapes

# Insights from Bolivia

- Ex-ante assessment means high uncertainty about real outcomes later, but:
- Assessment process did unveil shortcomings in project design
- Assessment helped in adjusting the project before shortcomings could lead to further problems

See Chapter 6 in: Assessment of the Transformational Change Potential for the Citizens of the Future Initiative in Bolivia  
(Arteaga Valdivia 2019)