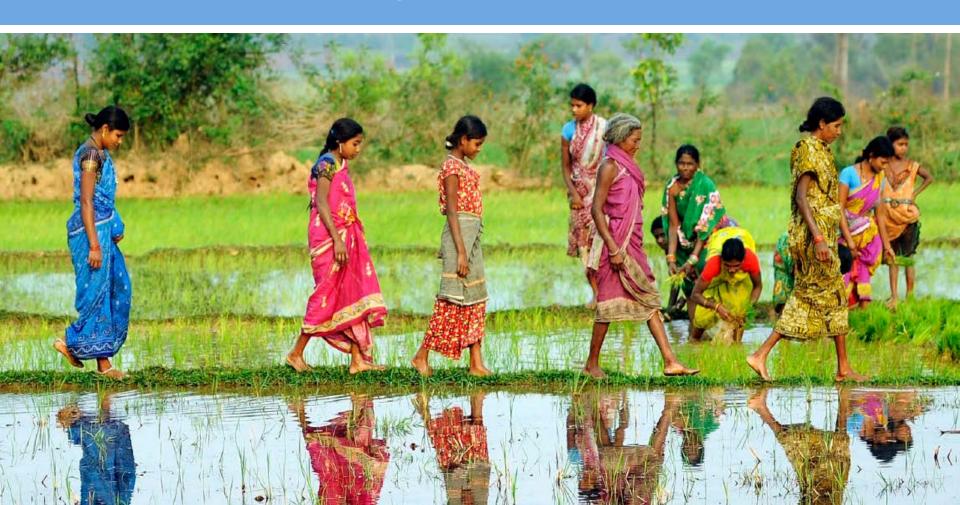
Transformational Change Assessment Case Study Exercise

VI Regional LEDS LAC Workshop | Hilton Reforma Hotel, Mexico City Block 5, Training session C, October 17th 2017



Agenda

- Describe the transformational change vision of a policy or action (30 min)
- Assessment of the starting situation (30 min)
- Presentation of results and example of ex-ante impacts estimated (30 min)

Guidance structure

Part I: Introduction, objectives and steps

Understand the purpose, applicability and limitations of the guidance (Chapter 1)

Determine the objectives of the assessment (Chapter 2)

Understand what is meant by transformational change (Chapter 3)

Understand key concepts, steps and assessment principles (Chapter 4)



Part II: Defining the assessment

Describe the policy or action to be assessed and the vision for transformational change (Chapter 5)

Choose which transformational change characteristics to assess (Chapter 6)



Part III: Impact assessment

Assess the starting situation (Chapter 7)

Estimate transformational impacts ex-ante (Chapter 8)

Estimate transformational impacts ex-post (Chapter 9)



Part IV: Monitoring and reporting

Monitor the performance of the policy or action over time (Chapter 10)

Report the results and methodology used (Chapter 11)



Part V: Decision-making and using results

Learning, decision-making and interpreting results (Chapter 12)

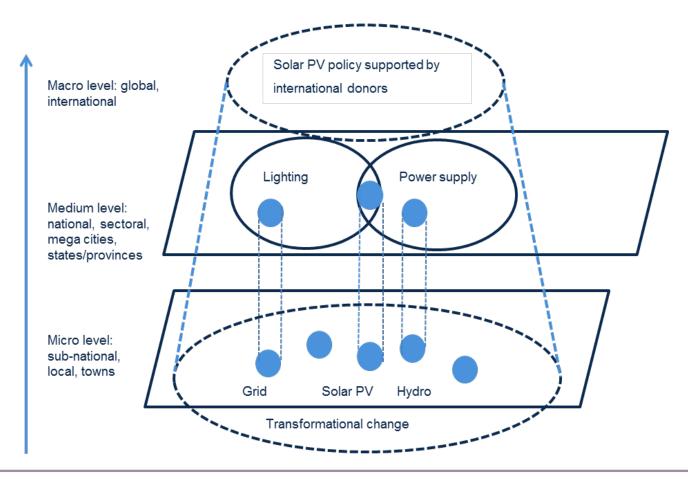
Exercise 1

Describe the vision for transformational change

Describe the vision for transformational change

- It is a key recommendation to describe the transformational vision of the policy or action, through consultation with key stakeholders.
- Guidance: To identify how a policy or action seeks to change society towards zero-carbon and sustainable practices, it is useful to describe the vision for transformational change over time at different levels of society.

Example of how a solar PV policy interacts with society at multiple levels



Template to describe the vision of transformational change

Levels of society and time periods	Description of the vision for desired societal and technical changes at each level and time period	Hypothetical example: Solar PV policy
Global or international level (macro level)	Describe the vision for desired changes at this level	
National or sectoral level (medium level)	Describe the vision for desired changes at this level	
Subnational level (micro level)	Describe the vision for desired changes at this level	
Long-term change (≥15 years)	Describe the long-term vision for transformational change	
Medium-term change (≥5 years and <15 years)	Describe the medium-term vision for transformational change	
Short-term change (<5 years)	Describe the short-term vision for transformational change	

Exercise 1

Use the hypothetical example in Table 5.1
 (Checklist of recommended information to understand and describe the policy or action) to describe the vision for transformational change using the template in Table 5.2

Alternatively, use your own case to fill in Table
 5.2

Exercise 2

Assessment of the starting situation

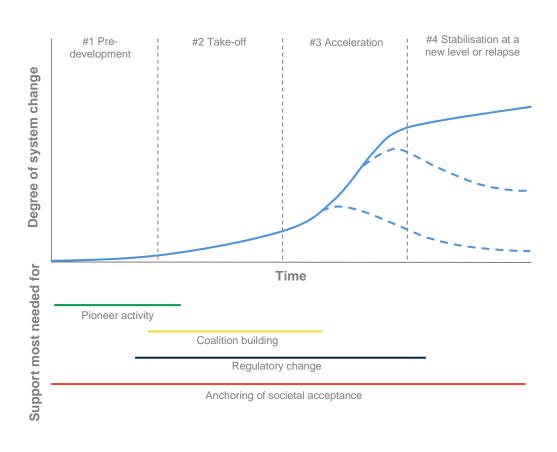
Overview of steps to assess the starting situation



Key recommendation:

 Identify the phase of transformation to understand the context in which the policy or action is being planned or implemented

Identify the phase of transformation



Template to identify the phase of transformation

Predevelopment

- Existence of pressure coming from local civil society or other actors
- •Little or no questioning or challenging of existing paradigms; lack of open debate and general level of awareness and mobilization is weak or low
- Visible signs of unsustainable development, but lack of or low collective awareness or action to embrace new pathways
- Solutions proposed to solve social and economic problems continue to follow predominant paradigms

Take-off

- Significant increase of pressure for new solutions and change
- •Innovations and new paradigms are integrated and promoted i.e. experiments gain importance and become wide spread and visible
- •There is general optimism that new solutions and pathways are feasible and realistic
- Disagreement exists among parties on which options are the most suitable to address the problems
- Open competition for innovation is not yet promoted
- Business models that favour low-carbon pathways are not yet pre-dominant
- •Strong resistance from those benefiting from the existing paradigms is common

• 711

- •Innovations and new solutions openly challenge and start pushing away established paradigms
- •Innovations and new solutions are widely accepted and spreading

•The speed of change has increased significantly and is accelerating, existing paradigms are feeling the pressure to embrace innovation and new pathways or run the risk of being outpaced and pushed aside

Acceleration

• Systemic changes are happening, with visible interconnected dynamics between technological, economic, institutional, social changes

Stabilization or relapse

- •Nearly all barriers to innovation and transformational change have been overcome;
- •New pathways and models may now have been widely adopted and accepted, and may have become the new normal or dominant state;
- •The rate and magnitude of change and innovation has stabilized, resulting from the adoption and integration of new social and economic norms;
- •There may no longer be a visible risk of relapsing back to the old state of unsustainability and remain locked into a high carbon development model

Exercise 2

 Use Figure 7.3 as a template to identify the phase of transformation for the hypothetical example. Imagine a society in which the solar PV policy is being implemented

 Alternatively, use your own example and identify the phase of transformation for the society that the policy or action wishes to change

Presentation of results

Exercise 1 - vision of transformational change

Exercise 2 - starting situation

Results of exercise 1

Levels of society and time periods	Example: Solar PV policy
Global or international level (macro level)	Contributing to the global vision of zero-carbon and sustainable development, the desired future change is to achieve zero carbon electricity production with international support. The policy does not result in a change at the global level.
National or sectoral level (medium level)	The policy has set the following goals at the national/sectoral level: Annual emission reductions of 200,000 tCO ₂ e 2000 new green jobs (e.g., in solar PV installation and maintenance sectors)
Subnational level (micro level)	The solar PV policy is implemented at subnational levels supported by incentives for private sector involvement and knowledge development. In rural districts and towns solar PV mini-grids enable economic growth, poverty reduction and new jobs
Long-term change (≥15 years)	The long-term vision by 2050 is to achieve 60% solar PV in the national electricity mix and create 10,000 new green jobs
Medium-term change (≥5 years and <15 years)	The mid-term vision by 2030 is to achieve 30% solar PV in the national electricity mix and create 5,000 new green jobs
Short-term change (<5 years)	The short-term vision by 2022 is to install 40,000 MW of rooftop solar PV and create 2000 new green jobs in doing so

Results of exercise 2

Predevelopment

- •Existence of pressure coming from local civil society or other actors
- Little or no questioning or challenging of existing paradigms; lack of open debate and general level of awareness and mobilization is weak or low
- Visible signs of unsustainable development, but lack of or low collective awareness or action to embrace new pathways
- Solutions proposed to solve social and economic problems continue to follow predominant paradigms

- Significant increase of pressure for new solutions and change
- novations and new paradigms are integrated and promoted i.e. experiments gain importance and become wide spread and visible
- There is general optimism that new solutions and pathways are feasible and realistic
- •Disagreement exists among parties on which options are the most suitable to address the problems
- Open competition for innovation is not yet promoted
- Business models that favour low-carbon pathways are not yet pre-dominant
- •Strong resistance from those benefiting from the existing paradigms is common

Take-off

- •Innovations and new solutions openly challenge and start pushing away established paradigms
- •Innovations and new solutions are widely accepted and spreading
- •The speed of change has increased significantly and is accelerating, existing paradigms are feeling the pressure to embrace innovation and new pathways or run the risk of being outpaced and pushed aside

Acceleration

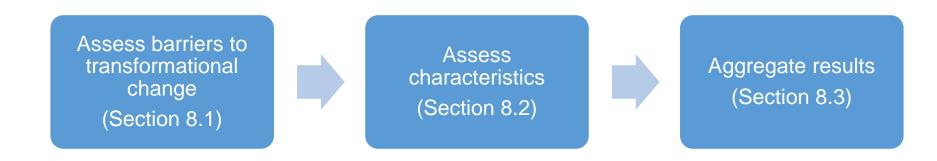
• Systemic changes are happening, with visible interconnected dynamics between technological, economic, institutional, social changes

Stabilization or relapse

- •Nearly all barriers to innovation and transformational change have been overcome;
- •New pathways and models may now have been widely adopted and accepted, and may have become the new normal or dominant state;
- •The rate and magnitude of change and innovation has stabilized, resulting from the adoption and integration of new social and economic norms;
- •There may no longer be a visible risk of relapsing back to the old state of unsustainability and remain locked into a high carbon development model



Overview of steps and key recommendations



Checklist of key recommendations:

- Assess and qualitatively score how barriers modify the extent of transformation expected for each characteristic
- Assess and qualitatively score each characteristic using the scale provided in Table 8.3 and explain the underlying assessment
- Aggregate the results for all characteristics and barriers to the process and outcome level

Barrier assessment

Scale for scoring barriers:

Scale	Description
High impact	The barrier has the potential to completely counteract the envisaged effect of the characteristic
Medium impact	The barrier is expected to have a moderate impact on the achievement of a characteristic
Low impact	The barrier is expected to have a very limited impact on the achievement of a characteristic

Assessment of characteristics - processes

Scale for scoring: - processes

Scale	Description of scale		
	Process characteristics		
3	If a characteristic represents a key element of the policy or action design, and there are no or only low impact barriers to implementation, it can realistically be expected that the policy or action will impact this characteristic over the assessment period		
2	If a characteristic is an important part of the policy or action design but not the main focus and there are medium impact barriers to implementation, it can realistically be expected that the policy of action will directly or indirectly impact this characteristic over the assessment period		
1	If a characteristic is not an important part of the policy or action design and there are high impact barriers to implementation, it is less likely that the policy or action will directly or indirectly impact this characteristic over the assessment period		
0	If a characteristic is not at all a part of the policy or action design, it is unlikely that the policy or action will impact this characteristic over the assessment period		

Assessment of characteristics: - outcomes

Scale for scoring: - outcomes

Outcome ch	aracteristics – scale
3	The policy or action results in GHG and sustainable development impacts that relative to the starting situation represent large emission reductions and significant, positive sustainable development impacts at the level of assessment targeted
2	The policy or action results in GHG and sustainable development impacts that relative to the starting situation represent moderate emissions reductions and moderate, positive sustainable development impacts at the level of assessment targeted
1	The policy or action results in GHG and sustainable development impacts that relative to the starting situation represent minor emission reductions and minor, positive sustainable development impacts at the level of assessment targeted
0	The policy or action does not result in GHG and sustainable development impacts relative to the starting situation at the level of assessment targeted
-1	The policy or action results in GHG and sustainable development impacts that relative to the starting situation represent a net increase in emissions or negative sustainable development impacts at the level of assessment targeted
Outcome ch	aracteristics – time
3	The policy or action results in GHG and sustainable development impacts that are very likely to be sustained over the assessment period
2	The policy or action results in GHG and sustainable development impacts that are likely to be sustained within the assessment period
1	The policy or action results in GHG and sustainable development impacts that are less likely to be sustained within the assessment period
0	The policy or action results in GHG and sustainable development impacts that are not expected to be sustained over the assessment period

Aggregate results - category level

Outcomes assessed:

Category	Score	Rationale for scoring
Scale of	2	The policy is expected to result in GHG and sustainable
outcome		development impacts that relative to the starting situation
		represent moderate impacts at national and subnational levels
Outcome	3	Based on the policy's expected impact on adoption and scale
sustained		up, it is highly likely that the policy or action will sustain the
over time		penetration of solar in the country over the assessment period.

Aggregate results - category level

Processes assessed:

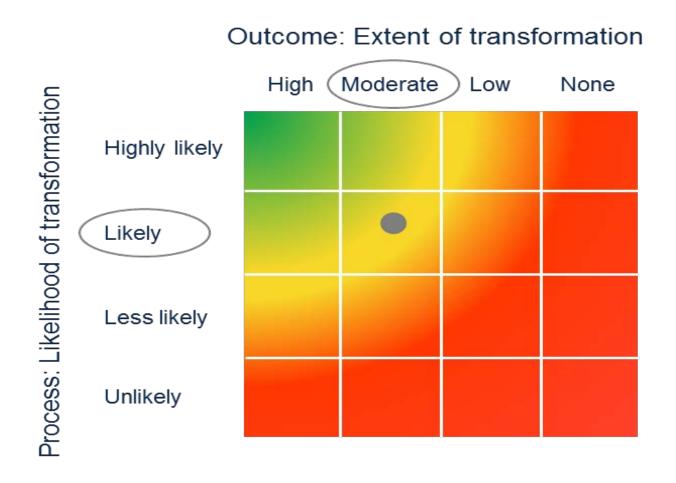
Category	Score	Rationale for scoring	Relative importance	Rationale for importance
Technology	3	The policy or action will positively influence the penetration of solar in the country. Since the technology is known, adoption and scale up are important to focus on over the assessment period.	30%	The country is still in the pre- development phase, which emphasises the importance of introducing new solar PV technology.
Agents	2	Overall the policy is likely to engage entrepreneurs in bringing transformation. A greater emphasis is needed to tap into the beneficiaries and others who can potentially play a key role in preventing policy reversal.	30%	Entrepreneurs who can introduce and lead technology penetration is equally important to technology change.
Incentives	2	The policy is likely to fully utilise financial incentives and institutions and regulations; however it is not likely to utilise disincentives to discourage the use of fossil fuels.	30%	In a developing country context the role of financial incentives is crucial to support technology and agents of change.
Norms	1	The policy is less likely to bring significant shifts in this category.	10%	Demonstrating the benefits of solar PV technology is more important than changing norms in society at this early stage of transition.

Aggregate results - impact level

Scale for scoring: - process and outcome

Outcome - extent of	Process - transformational
transformation expected is	outcome is
High	Highly likely
Moderate	Likely
Low	Less likely
None	Unlikely

Ex-ante impacts estimated - solar PV example



Questions?





















