Process Indicators to Measure Intermediate Progress of Social Impacts of an Individual Organization's Transition-related Research

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Introduction

- It's difficult to assess social impact of transition research (especially in the short term)
- This paper develops an assessment framework which classifies the different stages or process of impact generation and proposes intermediate process-based indicators drawing on this framework.
- We hope this will be practically useful to help organizations to plan more effective strategies and demonstrate intermediate results well before final impacts are visible.
- This paper assessed the applicability and usefulness of this framework based on a comparative case study of five completed projects at IGES that have all resulted in a certain level of impact

Existing project assessment frameworks, challenges

Frameworks	Description
OECD/DAC	Relevance, effectiveness, efficiency, impact, and sustainability
Balanced Scorecard	From financial management to performance management
Results Based Management (RBM)	Assess situation, define causes & objectives, plan actions, define resources & timeline, implement & adapt, review & lessons.
LogFrame	resources/inputs → activities → outputs → outcomes → impacts

Challenges of Measuring Social Impacts	
Causality	Difficult to establish peer review
Attribution	Different fields use different methods
Collective nature of achievements	There is not just one successful model
Timescale	Impacts are not always positive

Results Chain of the IGES Impact Generation Strategy

Outputs

Outreach

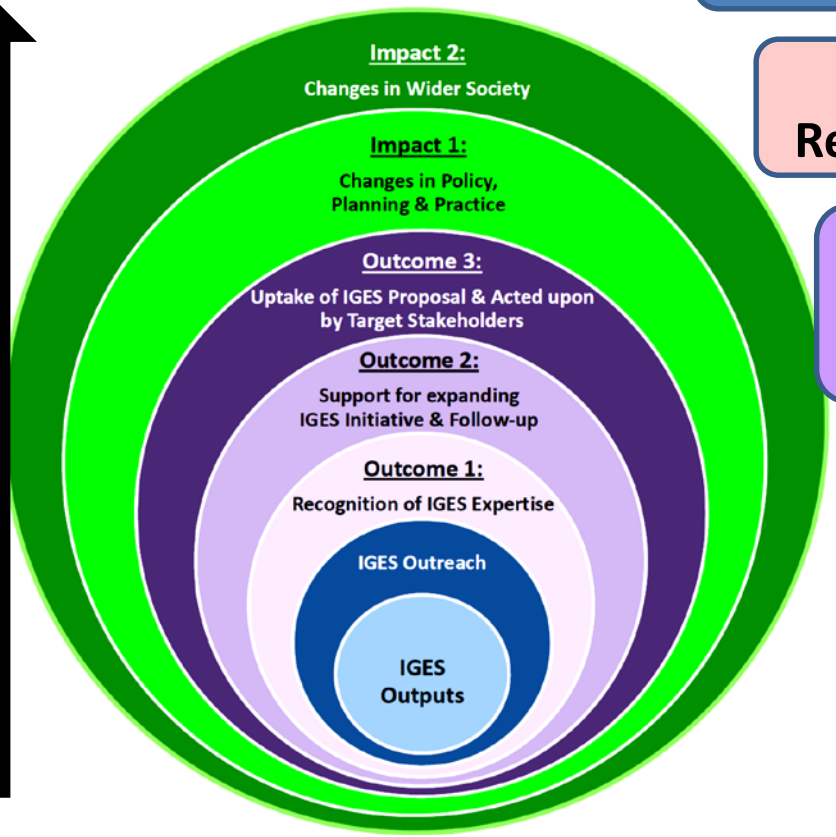
Outcome Level 1:
Recognition of IGES Expertise

Outcome Level 2:
Support expanding IGES Initiative & Follow-up

Outcome Level 3:
Stakeholders act on IGES proposals

Impact Level 1:
Changes in Policy, Planning & Practice

Impact Level 2:
Changes in Wider Society



Cases

Cases
1. *Making Land-Use Climate Sensitive (Philippines)* • Integrated watershed management, land use planning
2. *Action Research Project to Develop a National Quality-of-governance Standard for REDD+ and the Forest Sector (Nepal)*
3. *Technology Transfer (India)* • Energy saving/ heat pumps, small & medium enterprises
4. *Green Gift (Japan)* • Tax exemption
5. *Composting (Asia)* • For municipal solid waste management

Rationale for Case Selection	Limitations of Case Selection
Achieved a certain level of impact	Small number of cases
Variety of activity types	No cases with limited no impacts/outcomes
Variety of impact generation strategies	No cases where support was withdrawn
Data availability (newer cases)	

Summary of Basic Elements of Cases

Short title	Making Land-Use Climate Sensitive	Forest Governance Standard	Technology Transfer	Green Gift	Composting
Location	Philippines	Nepal	India	Japan	Asian cities
Target level/ stakeholder	City level	National level and Community Forest Groups	Small and medium enterprises	National level	City level
Target audience/ beneficiaries	Researchers, policy makers (city)/ local residents	Policy makers (national)/ forestry stakeholders	Private sector, policymakers, general public	Policy makers on finance (national)/ general public	Policy makers (city)/ local residents
Expected/ actual impacts	Increased resilience to climate change	Improved forest sector livelihoods	Low carbon tech adoption, GHG reduction	Increased inv. in low-carbon tech., GHG reduction	Improved livelihoods of residents
Partners	Univ.of the Philippines Los Banos; municipal governments	Griffith U, U. Southern Queensland, Min. Forests & Soil Conservation (MoFSC) of Nepal	The Energy and Resources Institute (TERI)	Gained the support of Japan's parliament members	UNESCAP, municipal governments
Timeline	2014-2015	2014-present	2009-2012	2013-2015	2000-present

Outcome Level 3, Impact Level 1

	Outcome Level 3: Action by Stakeholders
Land use	4 local governments established an Integrated Watershed Management Council for harmonizing land use planning across the watershed.
REDD governance	The Quality-of-Governance standard has been piloted.
Tech. transfer	Pilot projects were implemented and some technology was transferred.
Green gift	Policymakers came to support the plan.
Composting	Pilot projects implemented; policymakers decided to adopt the system.
	Impact Level 1: Changes in Policy, Planning & Practice
Land use	Local governments are applying adaptation countermeasures in their land use plans and implementing them in practice.
REDD governance	In process. Government of Nepal is considering adopting the new Governance standard and incorporating it into its Community Forestry Guideline.
Tech. transfer	Some Indian companies decided to use the piloted technology.
Green gift	The green gift tax plan was enacted into law in Japan.
Composting	The composting system was adopted by a few cities.

Process Indicators Relating to Preparation, Outputs, and Outreach

	Process Indicators
Preparation	• The research plan was based on collaborative partnerships. • Appropriate target stakeholders and policymakers were identified and relevant impact generation plan was developed. • Initial project plans were modified based on feedback from stakeholders.
Outputs	• Outputs relevant to stakeholders were generated.
Outreach	• Outreach was conducted with stakeholders (co-design and co-production) through workshops, focus groups, field research, onsite visits, and advocacy. • Validity of generated knowledge was tested through stakeholder engagement.

Process Indicators Relating to Outcomes

	Outcome-based	Activity-based
Outcome Level 1	• Concrete indications of stakeholder recognition of IGES expertise. • Evidence of changed stakeholder perceptions resulting from IGES initiatives	• Use of stakeholder co-design and co-production of research
Outcome Level 2	• Concrete indications of stakeholder support for further expanding activities. • Stakeholders engage in cooperative action or partnership with IGES.	• Ownership by stakeholders was promoted through the use of pragmatic and consensus validation to test the validity of generated knowledge.
Outcome Level 3	• Evidence of actions taken by stakeholders • Expansion/replication of activities/pilot projects to new sites and locations.	• Continuity of project team's activities • Steps taken to formalize and institutionalize stakeholder actions such as forming a committee

Conclusions

- Overall, the IGES framework seems useful to track the progress of generating outcomes and impacts.
- The framework was broadly applicable to a variety of types of projects, including both local and nationally focused projects
- However, it may not be easy to use this framework directly to make decisions about continued implementation of the project.
- Finally, this paper points to the importance of further study of longer term outcomes and impacts.

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