EVALUATING TRANSFORMATIVE CHANGE IN TROPICAL FOREST-LANDSCAPE INITIATIVES

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Partnerships for Forests
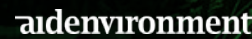
Evaluative Learning Team Briefing
V. Nelson, J.J. Kessler, J.W. Molenaar, September 2020

⊕ KEY MESSAGES

Why is transformative change, and its assessment, important?

There is growing, urgent demand for solutions to climate, biodiversity, and food security challenges that are effective, inclusive, work at scale, and will be sustained over time. Thus, interventions should move beyond incremental objectives, to transformative ones. Funders and implementers are increasingly keen to achieve and claim transformative change, and see the private sector as playing a key role to leverage scarce aid resources. Defining and measuring success is challenging due to the complexity of forest-landscapes, which are constantly changing socio-ecological systems, with uncertainties and unpredictability. Further, the impacts of interventions frequently occur after project and programme interventions have ended. This brief explains what is transformative change, and how we can learn from assessing the extent to which programmes are transformative in design and early emerging evidence of effectiveness, with learning loops feeding such lessons back into adaptive management processes.

What is transformative change?

Essentially transformative change involves a fundamental shift in the functioning and dynamics of forest-landscape systems. To achieve system transformation, deep changes are required (i.e. root causes must be addressed), ideally simultaneously or closely sequenced, across all components of a target system, as opposed to segmented, incremental changes of limited magnitude. Whereas incremental change is shallow in nature, of limited magnitude, and restricted to individual actors or components, transformative change

has depth, greater magnitude and addresses all system components.

What is transformative change in forest-landscape and sector contexts?

Transformative designs need to be tailored to forest-landscape contexts, including all relevant drivers of change in the sectors and at all scales to address root causes of challenges. Combinations of interventions catalyse simultaneous changes in actors' mindsets and norms, capacity, and practices across different system components, such as sustainable harvesting or multi-stakeholder landscape governance. Different actors can contribute to different components if there is good coordination and participation.

How to assess transformative change

We propose a systematic approach for assessing transformative change, underpinned by a Transformative Change Framework (TCF). The approach involves setting out how transformative change is anticipated to occur and assessing the contribution claim of the intervention. The TCF guides indicator-setting, evaluative scales development, and data collection and analysis to assess change across different system components and relationships. Visible, semi-visible and invisible dimensions are considered, as well as communication of findings. Ideally, stakeholder participation is facilitated, especially local producers, and communities in defining and monitoring transformative change in forest-landscape systems.

INTRODUCTION

Development actor ambitions increasingly seek to cata-lyse transformative change, to achieve more sustainable and inclusive change. But definitions lack clarity and practical approaches for assessing transformative change are needed. To respond to growing climate, sustainability, and livelihood challenges in forest and land use sectors, development agencies have increasing ambitions for their programmes to achieve transformative not just incremen-tal change. Donors increasingly seek to engage the private sector to leverage scarce aid resources to catalyse 'more inclusive growth across whole sectors' (Ripley, 2019).[1] This briefing outlines a Transformative Change Framework (TCF) which offers a way forward for better design and evaluation of transformative change in target systems.

The Partnerships for Forests Programme (P4F)[2] funded by UKAID, seeks to catalyse investment in business models for sustainable forests and land use. It has transformative ambitions: 'We're delivering significant results across our portfolio, contributing to a growing evidence base for our approach to creating transformational change within the forests and land use sector'.[3] This briefing delves into how transformative change (i.e. change that is systemic in nature) is anticipated to occur resulting from programme interventions and draws on early empirical insights from evaluative learning studies using a Transformative Change Framework. It explores what transformative change is and how to assess it. An independent evaluative-learning team is providing the P4F programme with guidance on how to define, evaluate and learn about transformative change in forest-landscapes and sectors. This briefing aims to inform the P4F programme, but also DFID, BEIS and the wider community of practice, by presenting the TCF, which has been field tested in baseline or early implementation studies in 2020, with further studies planned for 2021.

[1] https://beamexchange.org/uploads/filer_public/19/56/19563f72-b342-4387-a963-bf43a976933d/dced_msdwg_promoting_et_through_msd_18092019_compressed.pdf

[2] Funded by the Department for International Development and BEIS

[3] https://partnershipsforforests.com/

WHAT IS TRANSFORMATIVE CHANGE?

Definitions vary, but essentially transformative change involves a fundamental shift in the functioning and dynamics of a socio-ecological system. To achieve system transformation involves deep and synchronous or appropriately sequenced changes in invisible as well as visible system conditions, components and relationships. Incremental approaches focus on individual actors or single segments of a system only, with limited ambition in terms of the changes sought and addressing symptoms rather than underlying causes. Transformative change has depth, greater magnitude, and addresses all relevant system components.

The desired end system state should be well defined at design stage, preferably as a vision which is co-designed and shared by multiple stakeholders, including communities and marginalized groups.

As contexts vary, so tailored approaches are needed. Co-designing shared visions, coordination and building relationships based on trust are key for achieving sector and landscape transformations. At the same time, it is important to recognize that different landscape and sector actors have differing values, priorities, rights, and levels of power and so there can be complex trade-offs given the multiple demands on land and forest resources. Multi-stakeholder platforms and processes are increasingly common in sustainable landscape and sector-based initiatives as a means of engaging these competing interests in collaborative governance. But it is important not to assume that they function effectively in this regard. Evaluation should consider how equitable such multi-stakeholder processes are and whose vision and interests are being advanced, as well as their effectiveness from an environmental perspective.

WHAT IS TRANSFORMATIVE CHANGE IN FOREST-LANDSCAPE AND SECTOR CONTEXTS?

Transformative approaches involve tackling root cause challenges to shift the internal dynamics and relations of a system, leading to a crossing of multiple social and environmental tipping points to achieve a new system state (e.g. sustainable forest and land use in an area). But, if / when a system crosses multiple tipping points to a new state is unpredictable. Further, data demands are significant and evidence gaps are sizeable.

To tackle forest degradation and deforestation, and promote restoration and livelihood development, there are growing numbers of initiatives which have transformative ambitions. This implies an intervention design that seeks to tackle the root causes of systemic challenges by addressing relevant drivers and components – ideally in a synchronous manner or in an appropriate sequence. Often there are different actors seeking to effect change in any specific geography or sector, hence the importance of collaborative governance and participatory processes, linked to a clear understanding of the transformative vision and anticipated path to achieving it, as well as attention to broader enabling conditions and ex-territorial power holders and institutions. Specifically, for forest-landscapes, the aim should be to achieve progressive shifts along forest transition curves, i.e. to restore degraded forests, achieve improved management, protection, and restoration in farm-forest frontiers, and to protect intact forests. Positive livelihood and community participation changes are equally crucial as part of the transformative change process.

To achieve transformative change in forest-landscapes, there will be need to specifically address the sectors and value chains that influence the forest-landscapes, as these are often forming the drivers for deforestation. This is why forest-landscape and sector / value chain system changes are both required.

A sustainable landscape approach is based on the principle of collaborative governance to manage competing stakeholder interventions. The specific boundaries of a target landscape may include biophysical characteristics, shared socio-cultural identities or governmental jurisdictions. P4F seeks to facilitate such sustainable forest and land use transformations. The evaluation team has worked with the P4F programme to develop the programme theory of change, which includes actions to promote public-private-civil society partnerships in key landscapes and the sectors that influence these landscapes, as well as multi-scale enabling conditions and demand side measures. Combined, these measures are anticipated to catalyse transformative change across sets of actors (e.g. harvesters, producers, communities, companies and service providers, landscape governance and national actors) and appropriate institutions and rules. This theory of change is visualised in Figure 1, with additional blue boxes showing how relevance and effectiveness can be tracked.

For each of the system components, namely the five impact pathways embedded in the theory of change, it is possible to analyse how far designs have incremental or transformative potential. Similarly, if implementation is underway and data on progress and effectiveness is collected, this can be used to assess the early indications that change is occurring across different sets of actors in the desired manner. This also helps landscape actors to identify necessary course corrections. Again, the extent of incremental or transformative potential can be assessed. See Table 1 for descriptions of incremental and transformative change across the five impact pathways used to guide such an assessment.

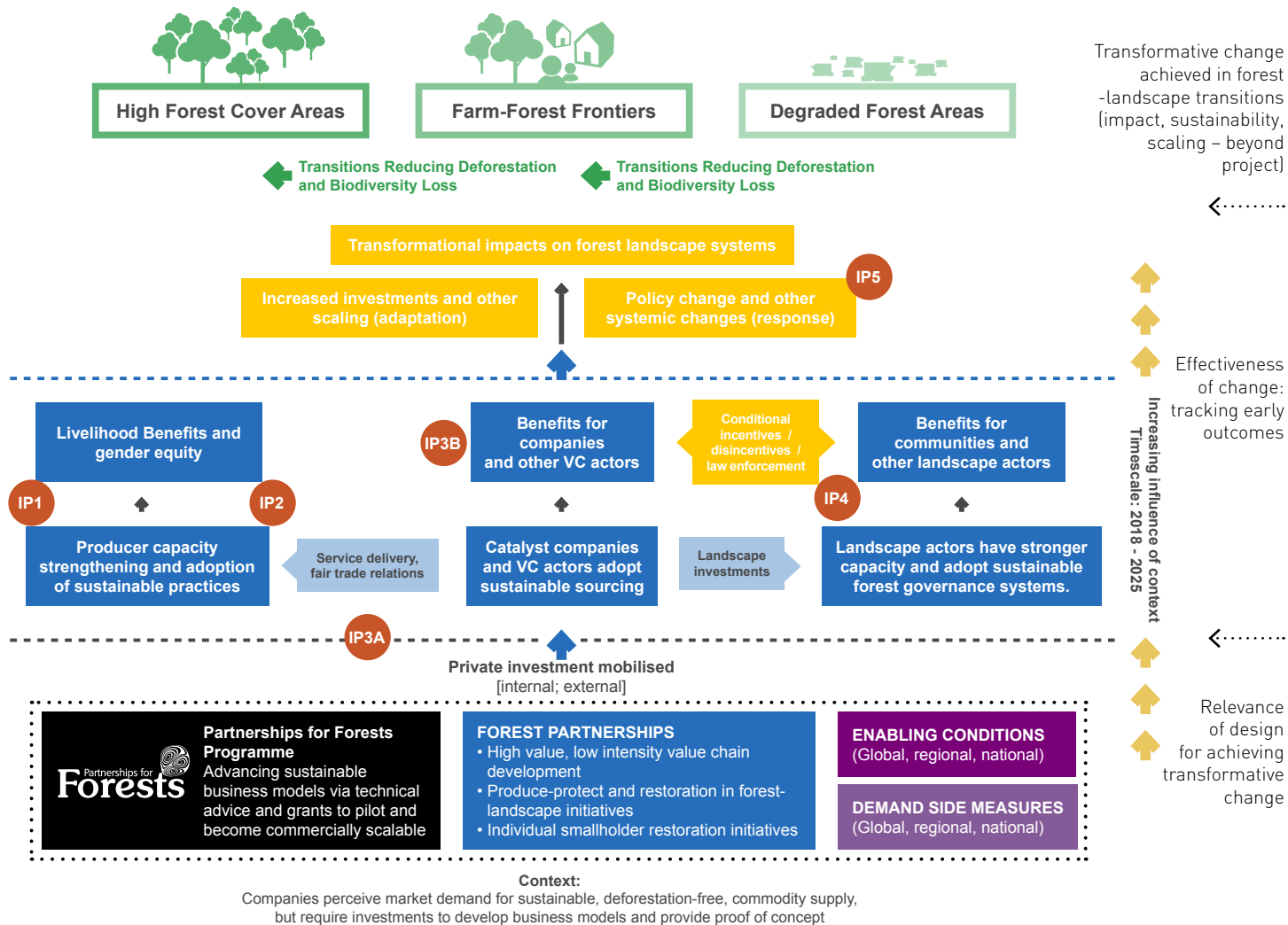**Figure 1:** Partnerships for Forests Theory of Change

High Forest Cover Areas | Farm-Forest Frontiers | Degraded Forest Areas

Transitions Reducing Deforestation and Biodiversity Loss

Transitions Reducing Deforestation and Biodiversity Loss

Transformative change achieved in forest-landscape transitions (impact, sustainability, scaling – beyond project)

Transformational impacts on forest landscape systems

Increased investments and other scaling (adaptation)

Policy change and other systemic changes (response)

IP5

Effectiveness of change: tracking early outcomes

Livelihood Benefits and gender equity

Benefits for companies and other VC actors

IP3B

Conditional incentives / disincentives / law enforcement

Benefits for communities and other landscape actors

IP1

IP2

Producer capacity strengthening and adoption of sustainable practices

Service delivery, fair trade relations

Catalyst companies and VC actors adopt sustainable sourcing

Landscape investments

IP4

Landscape actors have stronger capacity and adopt sustainable forest governance systems.

IP3A

Private investment mobilised
[internal; external]

Increasing influence of context
Timescale: 2018 - 2025

Relevance of design for achieving transformative change

Partnerships for Forests Programme
Advancing sustainable business models via technical advice and grants to pilot and become commercially scalable

FOREST PARTNERSHIPS
• High value, low intensity value chain development
• Produce-protect and restoration in forest-landscape initiatives
• Individual smallholder restoration initiatives

ENABLING CONDITIONS
(Global, regional, national)

DEMAND SIDE MEASURES
(Global, regional, national)

Context:
Companies perceive market demand for sustainable, deforestation-free, commodity supply, but require investments to develop business models and provide proof of concept

Table 1: Description of incremental versus transformative change along five impact pathways creating a P4F evaluative scale

Impact Pathway	Incremental change	Transformative change
1 Targeted producer performance and livelihood benefits	Improved practices and technologies are not fully adopted, or only by some types of farmers. The practices contribute to some extent to the desired impacts (protection, restoration, livelihoods, gender equity). The continuation of practice adoption (sustained use) or evidence of impact is still unsure.	Improved and new practices and technologies are fully adopted, contributing to the establishment of a new farming (or harvesting) system, with benefits for different type of farmers. The practices have clear contributions to the desired impacts (protection, restoration, livelihoods, gender equity). It is likely that these practices will be sustained over time and more widely adopted or adapted by others (scaling).
2 Targeted producers' organisations as viable business units	Producer organisations show enhanced capabilities to improve their performance to meet market demand and assure benefits for at least some of their members. It is not certain whether the capabilities will be sufficient to govern the organization, as a viable and accountable business entity with longer-term resilience. The inclusiveness (to all type of producers), potential scale and replication of the models is limited.	New / enhanced models of producer organization effectively facilitate service provision, market transactions and voice in landscape or sector governance systems. The organizations have the capabilities to ensure participation, accountability, defending member's interest and commercial viability. This leads to strong incentives for sustainable practices and enhanced and sustained profitability for producers. The models can sustain in a changing context, are replicable and reach diverse types of producer.
3 Value chain actors and service providers with business benefits	Value chain actors have enhanced relationships with producers/ producer organisations and service providers offer more or improved services to producers and value chain actors. The inclusivity, scale and effectiveness of these relationships is limited, and their sustainability is still unclear.	Value chain relationships have transformed into true partnerships with strong incentives for sustainable performance and a fair distribution of value and risks. Service provision models are inclusive, scalable, and effective in supporting sustainable practice adoption. Both value chain and service provision models are based upon sound business models allowing to improve and sustain in a changing context. There is crowding in by other value chain actors and service providers.
4 Forest/landscape actors and governance systems	Capacity building of forest landscape stakeholders and governance system shows improvement in reducing and mitigating deforestation risk. Governance innovations are partial and / or insufficiently linked to root causes of deforestation. The effectiveness of the governance system with respect to is unsure, nor is crowding in of all relevant landscape actors assured.	Forest landscape governance systems are supported by all relevant landscape actors. They are effective in managing and mitigating the causes of deforestation and stimulating forest restoration and sustainable ecosystem management with positive impacts for communities. The systems are based upon good governance principles and have the financial and human capabilities to sustain.
5 Enabling conditions to support scaling and systemic change	Public actors (at local, national /regional /global level) have enhanced capacities and show more commitment to improve existing policies and incentive systems which are supportive of more farming systems, producer organisation, value chain and service provision business models and relations, and forest landscape governance systems that enhance sustainable impact. Measures likely lead to more uptake, but not necessarily system-wide	There is evidence of public policies, laws and regulations that create a level playing field and provide incentives which drive mainstream transformation of farming systems, producer organisations, value chain and service provision and forest landscape governance. These changes contribute to reduced deforestation risk and reversing the trend towards forest restoration

Changes are needed not only in visible system conditions, such as policies, practices, and resource flows, but also in semi-visible relationships, connections, and power dynamics, and in invisible mindsets and norms. The latter have been neglected in the past, but they are a crucial to facilitating transformative change. Transformative interventions seek to bring about deep, systemic changes, by changing the conditions that hold a problem in place, including within: a) visible policies, practices and resource flows; b) semi-visible relationships, connections and power dynamics, and c) invisible mindsets and norms (FSG, 2018[4]). These components and their changes are all inter-connected, being part of one larger system.

To change these system conditions, the interventions need to embed the following principles and features:

▶ **Coverage of all relevant system components:** It is important that the programme, or other stakeholders, are addressing all relevant components of the system to achieve transformative change. This requires proper diagnosis to set priorities, agree on appropriate sequencing, partnerships and coordination. Prioritisation on the most urgent/important issues to address is key, as is planning for appropriate sequencing, partnerships, and coordination. Rather than focusing on individual companies or producer groups, more transformative approaches would seek interventions that engage broader groups of companies and producers. Multi-stakeholder initiatives are increasingly common, although the quality of participation and representation varies. The fairness (and indeed the performance, competitiveness and the sustainability) of value chain relations is often neglected, yet it is key to ensuring that economic incentives reach sufficient magnitude to catalyse behaviour change, for the credibility of origin products branded on forest conservation and community development, as well as from an equity perspective. The terms of incorporation of smallholders and collectors is a part of the social sustainability of value chains, but ultimately imply different business models. Recognition of (socially) legitimate land rights and Free, Prior and Informed Consent are critically important for transformative initiatives.

▶ **Deep interventions addressing root causes:** Does the design of the intervention address root cause challenges rather than symptoms? For example, rather than seeking to commercialise one individual non-timber forest product value chain, a more in-depth intervention would also engage governments to unlock legal and regulatory changes which can support commercialisation of forest products across the board and work to build market demand for sustainable products.

▶ **A focus on actor mindsets and behaviour:** A broad view of the stakeholders involved is important, but also an understanding of what their mindsets are and what drives their behaviour. Conditionalities can be placed on economic incentives, but it is also necessary that the benefits they are linked to are of sufficient magnitude to catalyse change and meet the needs interests and priorities of intended beneficiaries. It is important to recognize that humans do not only respond to economic rationality, but also to socio-cultural rationalities. Apart from commitment and motivation, effective sanctions for non-compliance are also pre-requisites for an effective approach. Shared visions, alignment of interests and trust building, and coordination functions are also important at the landscape or sector level.

▶ **Recognition of power dynamics and specific contexts requiring tailored designs:** Transformative change is 'rooted in issues of participation, power, politics, and policies' (Ripley, 2019). The boundaries of the target systems and components should be delineated, with attention given in identifying challenges and potential solutions to horizontal landscape governance relationships, but also to vertical value chain governance relations. Baseline contexts vary significantly, in terms of drivers of deforestation and poverty and power relations. There is often a need for community empowerment, and strengthening of civil society engagement.

▶ **Transformative ambition, long-term commitment, and willingness to learn and adapt:** The scope and intent of the programme affects the ultimate outcomes. More ambitious initiatives backed by longer-term financing, institutional innovations and capacity strengthening, and national political-buy in and support, are likely to have greater capacity to sustain outcomes. As changes will occur in the target system, often unpredictable ones, a willingness to monitoring key assumptions in the theory of change is necessary to identify areas where transformative change is and is not occurring, and/or where gaps exist is important. This is also necessary because conditions change and new opportunities arise, especially when shocks and crises occur.

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[4] A transformative change framework was developed by the evaluative learning team, with 11 key dimensions. This can be clustered against the Six Conditions of System Change identified in 'The Water of Systems Change' by J. Kania, M. Kramer, P. Senge (2018), FSG.

Table 2: Examples of interventions mapped against the Transformative Change Framework

Pre-intervention, baseline Challenges	Transformative Change[5] Components	Theory of Change Assessment (Design & Progress/Effectiveness) EXAMPLES *Capacity, Practice, Benefits, Impacts*				
		Impact Pathway 1: Producers / Community	Impact Pathway 2: Producer Organisation	Impact Pathway 3: Value Chain actors	Impact Pathway 4: Landscape governance	Impact Pathway 5: Enabling Conditions
e.g. ▶ Lack of alternative, sustainable livelihood options leading to illegal timber, cattle ranching, mining practices. ▶ Demand for agro-export commodities, leading to deforestation. ▶ Lack of business outlook and skills in community-based forest enterprises. ▶ Lack of purpose-oriented business models. ▶ Risks putting off forest investors. ▶ Unfavourable policies and regulations. ▶ Existing interventions risk increasing deforestation, having limited impacts or effects not sustained, not benefitting smallholders.	**Invisible (Mindsets)** • Changing mental models, social norms	environmental sensitisation, conditional incentives, co-visioning of landscape.	building business outlook for community-based and NGO-supported enterprise staff	facilitate change in mindsets and capacities of companies to appreciate value of 'purpose' as core to business.	co-development of vision / future scenarios exploring trade-offs and synergies for landscape actors.	engaging investors, regulators, and policymakers on specific actions
	Semi-visible (Power and relationships) • New organisational models • Relationship building • Coordination and dialogue • Accountability and participation • Monitoring and learning	measures to ensure representation and voice of marginal groups in multi-stakeholder initiatives for landscapes and sectors monitoring producer/ community benefits to ensure compliance with 'no deforestation' establishing revolving funds to increase benefits.	link producer groups to marketing platforms and groups of ethical buyers. developing new types of community-company partnerships with environmental conditionalities developing new aggregation arrangements for producers to receive services and inputs linked to no deforestation commitments.	facilitating enhanced linkages and sales between producers and buyers, especially purpose-driven companies. co-development of fairer trading principles. integrating producer support services to increase productivity, sustainability practices, livelihood diversification, food security, 'no deforestation'. monitoring of value chain relations especially benefits for companies.	facilitation of trust in multi-stakeholder cross-scale landscape governance systems, including community forest management committees and landscape management boards. capacity strengthening of state forest law enforcement. linking national parks, and large concession holders for joint patrolling and actions. clarifying land tenure and recognizing socially legitimate land rights, plus community legal empowerment. monitoring of forest cover and human rights	facilitating development of sector roadmaps and public-private initiatives setting national sustainable production standards national level 'nature-based solutions' roadmaps. linking buyer country governments in market demand measures
	Visible (Policies, resource flows, practices) • Business models • Investment models • Enabling policies • Market demand • Technological innovations • Support services • Economic incentives linked to goals.	income benefits from increased productivity, quality and sustainability of production, plus premium and PES scheme payments with education on conditionalities, plus monitoring and enforced sanctions	business case analyses for community-based enterprises, sales and marketing capacity strengthening, attracting investment to disrupt markets by proving a new business model which benefits producers.	develop forest-provenance landscape brands. create landscape buyer coalitions and traceability systems to check for encroachment. develop funding model for multi-scale landscape governance structures developed. create forestry partnerships, premium payments, PES schemes to incentivize 'no deforestation' production with sanctions. prove new business cases for best in class plantations or stacked regenerative value chains, plus sharing to promote crowding-in. digital platforms facilitating consumption enterprise innovations	investing forest-based value chain returns to support increased community forest vigilance. unlocking landscape bonds for longer-term landscape finance. facilitating buyer coalitions or facilitating direct forest producer-consumer business model innovations.	support for new NTFP regulation to encourage commercialisation public procurement supporting forest-based production. engaging buyer country governments to make commitments establishing new investment funds and mechanisms, such as sustainable commodity compensation brokerage.

[5] Building on Kania et al (2018) 'Water of Systems Change'.

HOW TO ASSESS TRANSFORMATIVE CHANGE?

The difficulty of measuring transformative change means that donor programmes and public-private partnerships may over-claim their levels of success, which in the longer-term could damage confidence in the approach. A lack of data also means that adaptive management is more difficult to apply. However, much can be learnt from assessments of the extent to which programmes:

a) are transformative by design;

b) whether the implementation process aims to integrate and align between different pathways thus creating the synergy to achieve transformative change;

c) whether early emerging evidence demonstrates good progress and effectiveness across key system conditions and on root cause issues; thus indicating high transformative potential in the longer-term, mostly likely post-projects and programmes.

d) have embedded learning loops in the design of programme management systems, with the use of theory of change, monitoring and reflection points. The extent to which a programme or project can change strategy is highly dependent on the flexibility shown by the donor / funder.

Proportionate monitoring and evaluation (M&E) of donor initiatives, including their relative contribution to transformative change, is always important – to maximise positive outcomes and avoid negative unintended impacts. Investing in landscape-sector M&E can help donors to better account for impact and ensure learning from experience, sustaining public support for aid. Learning processes and systems should be part of programme design from the outset – moving beyond success stories, to in depth analysis of cases to support decision-making linked to theory of change thinking. This can instil an 'impact orientation culture', and ideally, involve strong stakeholder participation.

Longer-term, sustainable landscape initiatives should build a credible and legitimate institutional home, including a monitoring and learning function. This is because change in complex, adaptive systems is highly unpredictable, and achieving transformative change can take many years. An independent convenor of a landscape or sector initiative can build local ownership and mandate, and there is a public good case for support for monitoring and evaluation. Frameworks are emerging which can guide such assessments[6], and there are important remote sensing and big data developments which can support such analyses. However, independent convenors do not exist in all cases, and it can be challenging to fund such initiatives over the longer-term. Further, existing frameworks tend to provide indicators focused on ultimate impacts, overlooking earlier indicators of change - which in fact provide critical indications of the direction of travel and key gaps. Areas requiring improvement may include forest law enforcement capacity strengthening and increasing community empowerment.

KEY STEPS IN ASSESSING TRANSFORMATIVE CHANGE

To assess transformative change requires actions by both implementers and evaluators. Ideally in a collaborative manner. Figure 2 indicates the five stages: a) articulation of transformative change and contribution claim; b) development of evaluative scales and indicators; c) collecting qualitative and quantitative data; d) analysing transformative change potential and emerging evidence against the theory of change; e) communicate findings using scores and traffic light colour scheme. More information on each step in the process is provided below.

Figure 2: Key steps in assessing transformative change potential

Step 1: Programme Articulation of Transformative Change

Theory of Change: Where a project or programme has transformative ambitions, it should firstly analyse what is undesirable in the current situation. This should be based on a detailed diagnosis of the system, including the system conditions (visible, semi-visible, and invisible), the root causes of challenges, and ensuring proper focus on mindsets, behaviour drivers and power relations. Then it should explore a desirable future vision involving stakeholders. At this stage, the types of changes required, and appropriate solutions should be diagnosed, using a systems lens. Then the programme should set out how transformative change is anticipated to occur in its target systems, by visualising the cause-effect linkages in the theory of change and key assumptions. Such a diagnosis can indicate which system components need to change (relevant issues) and which of these can be addressed by the programme or project , and which partners should be sought to address other systemic gaps – recognizing that achieving change in entire systems will involve a diversity of actors and multi-year initiatives, including sequenced support from different funders. Where specific collaborative governance innovations are established, these should have a funding model and political support to facilitate their long-term continuation and taking of responsibility for monitoring. A 'cluster approach' is also possible within programmes such as Partnerships for Forests, whereby a range of interventions are supported, monitored and evaluated in a specific sector or landscape to build up synergies. Ideally co-design processes should be facilitated, including strong participation from local stakeholders to build trust and to ensure that different values, priorities, and trade-offs are being adequately recognized.

Transformative change contribution claim: the programme claim should be established with respect to the specific target systems, in terms of the components, relationships and dimensions that the project or programme is seeking to tackle. Clear targets should be laid out, but also flexibility given to enable the project or programme to work adaptively, learning from monitoring and evaluative learning insights along the way. Evaluators can su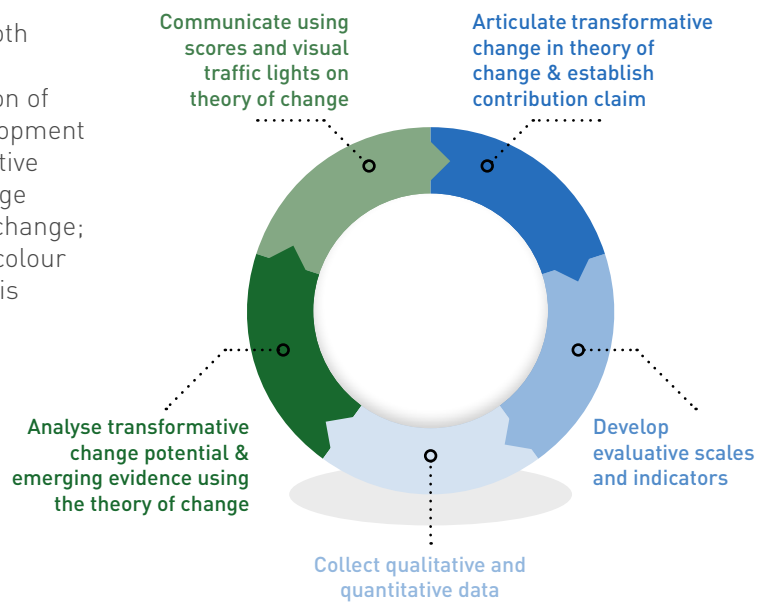pport this process. Ideally, local level stakeholders should be centrally involved in such processes, especially landscape visioning and design of actions, as well as monitoring and course corrections – and should be supported to do so.

Step 2: Evaluative Scales and Indicators

Evaluative scales can be developed to characterise incremental and transformative change in the differing components of the system, (as per impact pathways) and in the overall system (overarching theory of change). See Table 1 above, which describes the state which is achieved if change is incremental or transformative and provides a way of supporting assessment of progress. . Change can lie on a spectrum from purely incremental to highly transformative and is somewhat subjective. More stages to the evaluative scale can be articulated, for example, but by setting out the scale this creates greater transparency about evaluative judgements. Sets of indicators can be formulated which trace key stages of the theory of change. Qualitative and quantitative datasets can be collected according to these indicators. Ideally, stakeholder participation, especially local producers, and communities in defining transformative change in socio-ecological systems such as a specific forest-landscape, and in monitoring and learning about change. 'Traffic light' scoring can be helpful for programmes to communicate progress and findings in a simpler manner. Note, however, that such scoring is mainly meant to support discussion, as is the entire approach to assessing transformative change.

Step 3: Collect data

Data can be collected through case studies of target landscapes and sectors. Use of the Transformative Change Framework in evaluation can help to generate insights, through comparative case analysis.

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[6] Emerging frameworks guide companies to assess accountability in their own supply chains, for example, (Accountability Framework), and at landscape level (e.g. LandScale). The latter provide useful sets of impact indicators, but they are of less utility to funders and implementers seeking to evaluate their contributions to change.

Box 1: Applying the Transformative Change Framework in Practice

The evaluation team have conducted a series of case studies drawn from the P4F portfolio to generate insights on transformative change potential. These included case studies on a) a set of cocoa interventions in West Africa; b) a set of palm oil interventions, also in West Africa; c) a set of interventions which have recently been integrated into a landscape approach in Jambi Province, Indonesia; d) a set of non-timber forest product focused interventions in Latin America. All the cases include combinations of Forest Partnerships, enabling conditions initiatives and demand side measures, which P4F have been supporting, with varying levels of intended integration between the components. Across the cases, the evaluative learning team found evidence for mindset changes, relations and power dynamics, and policies, practices, and resources being planned or (partially) realized, but there were variable levels of comprehensiveness and also examples of possible gaps and assumptions which still need to be tested in practice. These lessons have been shared with programme managers and inform many of the examples shown in Table 2. Our research indicates that the strongest potential for transformative change occurs where there is a holistic and shared vision of the desirable future state of the system, identified root cause challenges and a design and implementation process that responds by integrating all five impact pathways – or ensures that other actors are covering all system components, including those beyond the scope of the specific P4F intervention. An analysis was conducted for each of all the case studies. An example of the visual communication of scores can be seen in Figure 3.

Qualitative and quantitative evidence is collected on the indicators tracing the theory of change and association assumptions.

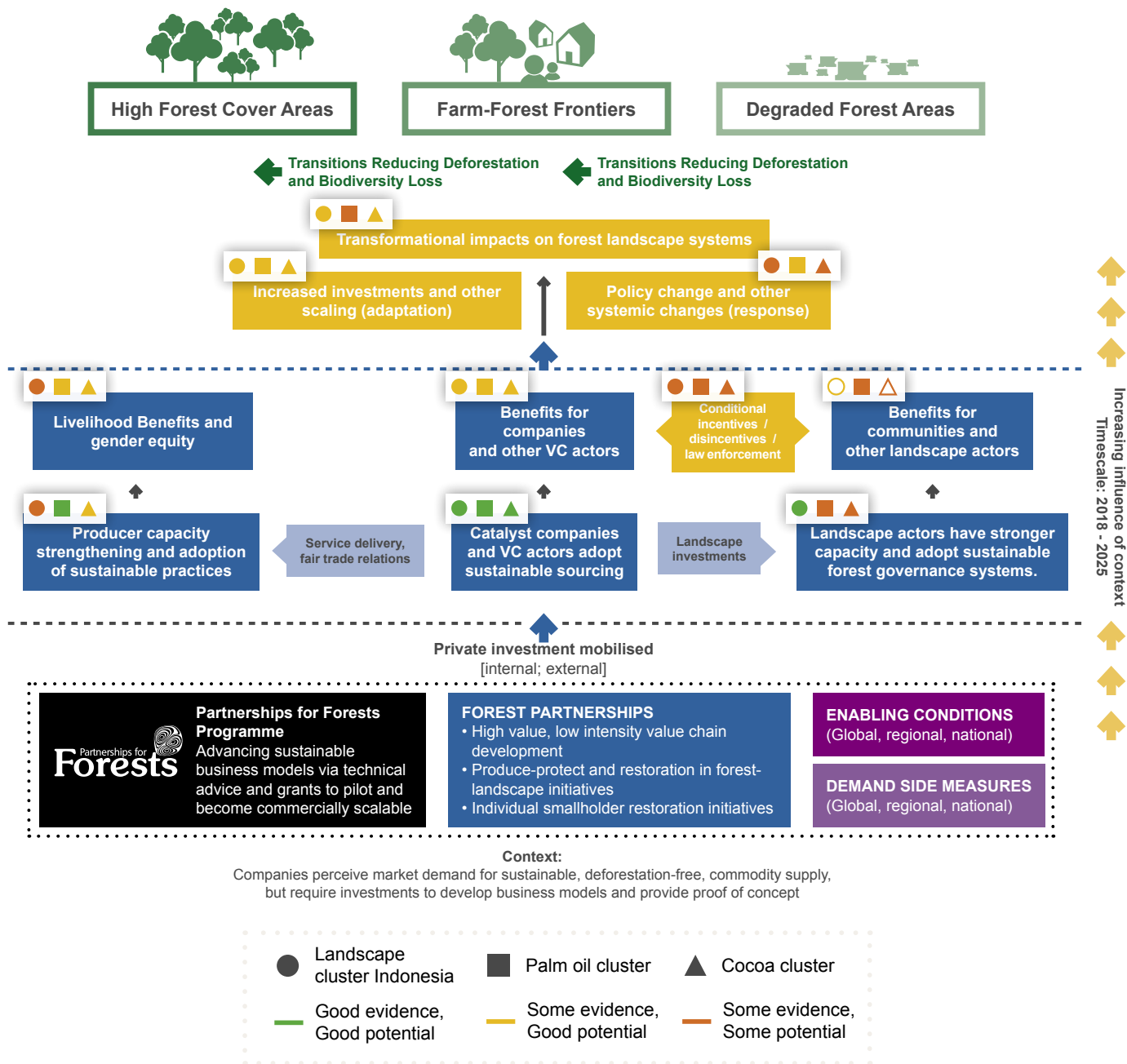### Step 4: Analyse Transformative Change Potential in Designs and based on emerging evidence

Analysis can be done to inform the design of an intervention or once it is starting to be implemented, to assess the relevance of the approach and identify potential adaptations to strategy. As implementation progresses it is possible to assemble different pieces of qualitative, quantitative and stakeholder evidence to test progress and effectiveness against the theory of change and using the Transformative Change Framework, to interrogate assumptions and using a form of Contribution Analysis to assess relative contribution of programme to transformative change - including programme and stakeholder validation to the extent feasible.

Step 5: Communication of Findings and Regular Learning Loops

The scoring of transformative change is based on the transformative potential of the design and the progress made along the pathway to the desirable future vision. The strength of the available evidence can also be assessed using evaluative scales. These have been combined in an evaluative scorecard. The analysis can be conducted at impact pathway level and/or at overall theory of change level. This assessment is done in relation to the desired transformative change vision established by the stakeholders, although critical reflection by evaluators is also possible. Traffic light colour schemes and dots can be used to visually communicate the different levels of relevance (with respect to transformative change in the design) and strength of emerging evidence. See Figure 3 (which shows the scoring for three studies on clusters of cases) and table 3 which shows various examples of transformative change from across four 'clusters of cases' studies.

Figure 3: Case Study Assessments of Transformative Change

High Forest Cover Areas

Farm-Forest Frontiers

Degraded Forest Areas

Transitions Reducing Deforestation and Biodiversity Loss

Transitions Reducing Deforestation and Biodiversity Loss

Transformational impacts on forest landscape systems

Increased investments and other scaling (adaptation)

Policy change and other systemic changes (response)

Increasing influence of context
Timescale: 2018 - 2025

Livelihood Benefits and gender equity

Benefits for companies and other VC actors

Conditional incentives / disincentives / law enforcement

Benefits for communities and other landscape actors

Producer capacity strengthening and adoption of sustainable practices

Service delivery, fair trade relations

Catalyst companies and VC actors adopt sustainable sourcing

Landscape investments

Landscape actors have stronger capacity and adopt sustainable forest governance systems.

Private investment mobilised
[internal; external]

Partnerships for Forests Programme
Advancing sustainable business models via technical advice and grants to pilot and become commercially scalable

FOREST PARTNERSHIPS
• High value, low intensity value chain development
• Produce-protect and restoration in forest-landscape initiatives
• Individual smallholder restoration initiatives

ENABLING CONDITIONS
(Global, regional, national)

DEMAND SIDE MEASURES
(Global, regional, national)

Context:
Companies perceive market demand for sustainable, deforestation-free, commodity supply, but require investments to develop business models and provide proof of concept

● Landscape cluster Indonesia   ■ Palm oil cluster   ▲ Cocoa cluster

— Good evidence, Good potential   — Some evidence, Good potential   — Some evidence, Some potential

Scorecard: Assessment of potential for transformative changes per IP and theory of change

		Traffic Light Scores
0	Transformative change unlikely: current state gives no indication of transformative change (impact, durability, scaling)	●
1	Some potential, but no evidence for transformative change: current state partly complies with TC, but no evidence from indicators	●
2	Some potential, and some evidence for transformative change, current state partly complies with TC, some evidence from indicators	●
3	Good potential, and some evidence for transformative change, current state complies with TC, some evidence from indicators	●
4	Good potential, and good evidence for transformative change, current state complies with TC, good evidence from indicators	●

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