

# The Actor and Policy Mapping Tool

An open-access tool to map sectoral actors and policies

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On behalf of:



Federal Ministry  
for the Environment, Nature Conservation  
and Nuclear Safety

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*Capacity Development for climate policy in the countries of South East, Eastern Europe, the South Caucasus and Central Asia, Phase III*

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
# 1 Why actor and policy mapping?

The mapping of actors and policies enables users, such as policy makers, to better understand the status quo of the policy and stakeholder landscape as well as policy making processes in a sector or thematic area. An actor and policy mapping can be a starting point for many activities related to climate policy planning and implementation, for example when initiating sector planning processes linked to the development or review of Nationally Determined Contributions (NDC), Long-Term Strategies (LTS), or other national or sub-national climate action plans. The tool is not explicitly limited to climate policy planning and can also be used in other sectoral planning processes. If continuously updated, the tool can serve as a comprehensive reference point to enable effective engagement with stakeholders in different climate relevant sectors.

The following sections introduce the Actor and Policy Mapping Tool developed by NewClimate Institute and provide guidelines on how to apply the tool.

## 1.1 Introducing the Actor and Policy Mapping Tool

The Actor and Policy Mapping Tool is an open-source, Excel-based tool to map actors, policies, and policy planning processes in a structured and transparent manner. It includes features to track linkages between actors and policies, and to visually display policy planning processes. The tool consists of the **three components** listed below.

	<b>Actor mapping component</b>	This component allows users to list relevant stakeholders (institutions and individual persons). The collected information can be used as input for a political economy analysis.
	<b>Policy mapping component</b>	This component allows users to list relevant policies and to track information on their status, implementation timeline, and impact (achieved and forecast).
	<b>Process visualisation component</b>	This component allows users to visualise policy making and planning processes between institutions and actors. The visual overview can link back to both the actor and policy mapping components.

The Actor and Policy Mapping Tool can be applied for **different purposes**, including:

- ⇒ **Tracking sectoral developments:** Users can apply the tool to track policy developments in one or across several sectors and to identify relevant stakeholders. The tracking of actors and policies enables users to obtain an up-to-date overview of a given sector or thematic area.
- ⇒ **Political economy analysis:** Users can apply the tool to conduct a simple political economy analysis of key stakeholders in a sector or thematic area. The political economy analysis aims to identify the level of influence, main interests and positions of stakeholders in a sector or on a specific topic. This analysis can be updated when users obtain new information and can be linked to a visualisation of decision-making processes.<sup>1</sup>

<sup>1</sup> Interested users can refer to more in-depth introductions to political economy analyses, for example by the Governance and Social Development Resource Centre under [www.gsdr.org/topic-guides/political-economy-analysis/](http://www.gsdr.org/topic-guides/political-economy-analysis/).

- ⇒ **Interaction with key sectoral stakeholders:** The tool enables users to interact with key stakeholders to exchange on recent (policy) developments and processes in a sector or thematic area. Given its open-source and spreadsheet-based format, the tool can be used for an internal and confidential assessment or can be shared with policy makers and other stakeholders to update information or to discuss relevant issues. Users are however advised to use caution when sharing the tool, as some of the information under the 'Actor mapping' component might be based on rather subjective judgement and exclusively be suited for confidential use.

Different **user types** might find the Actor and Policy Mapping Tool useful for their work, including:

- ⇒ **Climate change directorates (or similar institutions):** Institutions responsible for steering climate change planning processes can use the tool to get an up-to-date overview of relevant actors, policies and processes in certain sectors or thematic areas. This information could be particularly relevant when initiating climate planning processes linked to regular updates of Nationally Determined Contributions (NDC), Long-Term Strategies (LTS), or other national or sub-national climate action plans. A political economy analysis could further support climate change directorates to better understand underlying power structures and actors' interests.
- ⇒ **Climate change focal points in line ministries:** Climate change focal points in line ministries can use the tool to track governmental and non-state actors and use this information when conducting stakeholder consultation processes.
- ⇒ **Analysts, researchers, or NGOs:** Analysts, researchers, or non-governmental organisations (NGOs) can apply the tool to collect relevant information for analysis, outreach, or lobbying in sectors or thematic areas.

The Actor and Policy Mapping Tool provides the following **flexible options for application**, which can be selected based on users' needs, interests and available resources.

- **Sectoral coverage:** Users have flexibility to either apply the tool for specific sectors (e.g. energy supply or transport) or relevant cross-sectoral thematic areas (e.g. coal phase-out).
- **Geographical coverage:** Users have flexibility to apply the tool for actors and policies at the national or sub-national level (region, district, or city), or a combination thereof.
- **Tool component coverage:** Users have flexibility to only use certain components of the Actor and Policy Mapping Tool (e.g. only actor mapping component used). Section 1.2 provides more specific guidance on this point.

## 1.2 Guidelines for application

The following guidelines are **recommendations for using** the Actor and Policy Mapping Tool.

### 1 Decide on why and how to apply tool before use

We recommend users to assess why and how to use the Actor and Policy Mapping Tool before starting to fill it with information. This includes considering the purpose for which the tool would be used and the available resources to collect information.

### 2 Choose scope of analysis

Based on the objectives and available resources identified, users can select the scope of analysis in terms of sectors or thematic areas to cover, the chosen jurisdiction (national or sub-national government), and tool components. The time demand for filling the tool depends on the scope and content depth chosen for each tool component, starting at a few days as a minimum.

### 3 Collect information from other (policy) databases and/or sectoral experts

Collecting information from existing policy databases (or other relevant ones) can be an effective first step when filling and updating the tool. Exchanging with experts can also be useful if no information is available on databases or where the analysis requires specific insights.

### 4 Conduct regular updates

To make best use of the tool we recommend that users conduct regular updates to ensure all information on actors and policies is valid and up to date. This ensures changes in policies, actors in key institutions and planning process can be reflected. Regular update cycles (e.g. every 3-6 months) and clear responsibilities can facilitate this process.

### 5 Fill out a summary factsheet (if relevant)

The information compiled in an Actor and Policy Mapping Tool can also be presented in form of summary factsheet presenting most relevant information. The *Annex 1 – Factsheet* template provides an example of how information of the Actor and Policy Mapping Tool can be summarised in a user-friendly format for use in sectoral consultation with line ministries.

The following box presents an **illustrative hypothetical example** for the application of the Actor and Policy Mapping Tool by a Climate Change Directorate in the Ministry of Environment.

#### 1 Decide on why and how to apply tool before use

The Climate Change Directorate in the Ministry of Environment decides to use the Actor and Policy Mapping Tool to track relevant actors and policies in five sectors: energy, transport, buildings, agriculture and industry. The Ministry aims to use this information to engage in sectoral consultations with ministries responsible for these sectors as part of their NDC review and revision process in 2020.

#### 2 Choose scope of analysis

Based on this decision, the Climate Change Directorate sets up one tool for each sector with a focus to fill the actor mapping and policy mapping components. Due to limited staff availability over the next six months, neither an in-depth political economy analysis nor a process visualisation is being conducted. The Ministry aims to add such analysis at a later point in time.

#### 3 Collect information from other (policy) databases and/or sectoral experts

The Climate Change Directorate decides to consult with the national university that runs an independent policy database to obtain a complete list of national and sub-national policies in each sector. In addition, sectoral experts (one for each sector) provide further information and updates on policies and relevant actors.

#### 4 Conduct regular updates

The Climate Change Directorate decides to regularly update all tools in the future as up-to-date information will be important for steering NDC and LTS revisions. For this purpose, the Directorate agrees to exchange on latest sectoral policy developments in an inter-ministerial information exchange every six months. These consultations will be used to update all information regularly.

#### 5 If relevant, share the Actor and Policy Mapping Tool with external parties

The Climate Change Directorate decides to produce sector-specific factsheets summarising (1) key policies and sectoral targets, (2) recent sectoral developments, (3) international support programmes, (4) main sectoral barriers and challenges, and (4) key open questions for consultation with each line ministry. These factsheets are to be shared and discussed with the ministries involved and sectoral experts consulted.

## 2 Actor and Policy Mapping Tool - A user manual

### 2.1 Actor mapping component

In the actor mapping component of the tool, users can list relevant actors linked to the sector or thematic area they have selected – and provide information on their role, position, professional background and influence. Table 1 provides a detailed overview of all categories available and explanations on how to fill them.

Some categories are dropdowns whereas others require users to fill information with text. For the latter, it is recommended to keep the information concise and where possible under bulleted format so that the database remains manageable.

The tool includes two illustrative, fictional examples to show users what the actor mapping could look like when filled with information. The first example is an individual actor, whereas the second example depicts an organisation as a whole.

Table 1: Overview of categories in the actor mapping component

Category	Explanation
<b>Institution / Organisation</b>	In this column, users can write the name of the institution or organisation.
<b>Actor type</b>	This is a dropdown list where users can classify actors based on the type of institution they represent. The choices are: (1) government, (2) private sector, (3) academia or think-tank, (4) trade union, (5) NGO, and (6) other.
<b>Actor name (if applicable)</b>	If the actor is an individual person, the name can be written in this column. If the 'actor' is an institution or organisation, this column can be left blank.
<b>Description of role</b>	Here users can include further details about the role of the individual actor and/or the institution or organisation.
<b>Description of level and area of influence</b>	In this column, users can describe the level and scope of influence the actor has over the specific sector or thematic area under analysis. This could include information on policy areas the actor has influence on or specific measures they can take to influence decision-making.
<b>Level of influence</b>	This is a dropdown list where users can rank the level of influence the actor has in the specific sector or thematic area. The options included are (1) high, (2) medium, and (3) low.
<b>Description of position and core interest(s)</b>	Here users can provide details about the position and main interests of the actor regarding the sector or thematic area under analysis. This could include a description of a specific issue the individual actor or organisation has strong views about in the sector or thematic area and details about the stakes involved. If the position of the individual actor is different to that of the organisation or institution they are affiliated to, users may also choose to make a note of it under this category.

Category	Explanation
<b>Additional categories 1 &amp; 2</b>	Users can rename these two column titles to new categories not included in the tool. This could for example be used to add links to websites or other sources used for the analysis, or other useful information.
<b>Clarifications</b>	Here users can include further details or clarifications to the information provided in the categories listed above.

**Use and protection of sensitive data:** We recommend users to be mindful of the fact that some of the information entered here may be of sensitive or personal nature – and therefore to use caution, particularly when sharing the data file with external parties. Should users wish to restrict access to the file, it is possible to do so by protecting the Excel file with a password.

**How to restrict access by password protecting the file?** Go to 'File' and then 'Info'. Select 'Protect Workbook' and choose 'Encrypt with Password'. Once the password is entered twice, the file is protected and can only be opened with the selected password.

## 2.2 Policy mapping component

In the policy mapping component of the tool, users can list all relevant existing and planned policies linked to the sector or thematic area they have selected (see *Annex 2 – Policy instruments typology* for a full overview). Table 2 provides a detailed overview of all categories available and explanations on how to fill them.

As for the actor mapping, we recommend all categories that require text input to be kept concise and where possible under bulleted format to make it easier to access information. The tool includes an illustrative example to show users what the policy mapping could look like when filled with information.

Table 2: Overview of categories in the policy mapping component

Category	Explanation
<b>Policy name (official)</b>	In this column, users can write the official name of the policy.
<b>Jurisdiction</b>	This is a dropdown list where users can choose between (1) national, (2) state/region, and (3) city depending on the level of decision making at which the policy is implemented or planned.
<b>Responsible institution(s)</b>	Here users can add the name(s) of the institution(s) responsible for the drafting and implementation of the policy.
<b>Main policy objective</b>	This is a dropdown list where users can select the main objective of the policy. The default choices are: (1) mitigation, (2) adaptation, (3) energy security, (4) reducing air pollution, and (5) economic development. <i>Users can also add further categories to this dropdown if needed under the worksheet 'Dropdowns' in the column labelled 'Policy objective'. These will then automatically be added to the dropdown list in the 'Policy mapping' worksheet.</i>



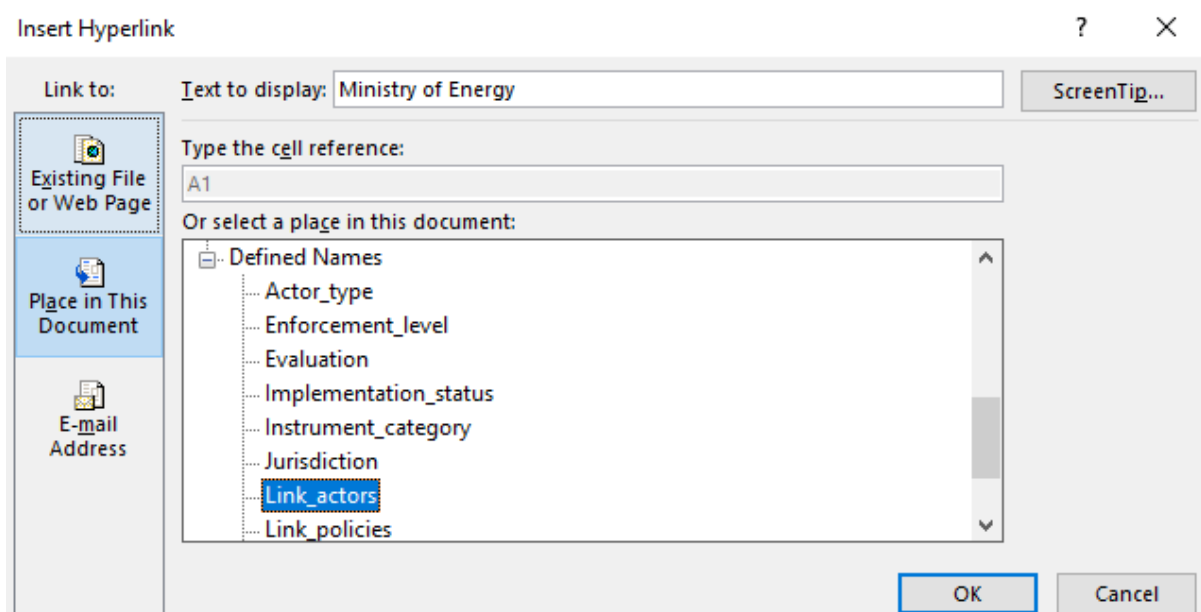
Category	Explanation
<b>Secondary policy objective(s) (if relevant)</b>	In this category, users can add secondary objectives of the policy. There is no dropdown here, users can freely list the objectives they find most relevant, if any.
<b>Policy description</b>	This category allows users to briefly describe the policy and its main components.
<b>Type of policy instrument</b>	This is a dropdown list where users can choose the type of policy instrument. The default choices are: (1) economic instrument, (2) regulatory instrument, (3) information and education, (4) policy support, (5) research, development & demonstration (RD&D), (6) voluntary approach, (7) barrier removal, (8) climate strategy, and (9) target. <i>Annex 2 – Policy instruments typology provides further information on these policy categories informed by the Climate Policy Database.</i>
<b>Enforcement level</b>	This is a dropdown list where users can select the level of enforcement of the policy, with the choices being: (1) voluntary, (2) mandatory, and (3) voluntary and mandatory.
<b>Sectoral coverage</b>	This is a dropdown list where users can choose the main sector targeted by the policy. The default list includes the following options: (1) economy-wide, (2) energy, (3) transport, (4) buildings, (5) industry, (6) waste, and (7) agriculture, forestry and other land use (AFOLU). <i>Users can also add further categories to this dropdown if needed under the worksheet 'Dropdowns' in the column labelled 'Sectoral coverage'. These will then automatically be added to the dropdown list in the 'Policy mapping' worksheet.</i>
<b>Implementation status</b>	This is a dropdown list where users can identify the implementation status of the policy, with the following options: (1) planned, (2) partially implemented, (3) fully implemented, and (4) closed / superseded.
<b>Date of decision</b>	Here users can enter the date when the policy was officially approved by the government. If the policy is planned, users may leave this category blank or add the expected date of decision in parentheses.
<b>Start date of implementation</b>	Here users can enter the date of implementation of the policy. If the policy is planned, users may leave this category blank or add the expected date of implementation in parentheses.
<b>End date of implementation</b>	Here users can enter the (expected) end date of implementation of the policy. If the policy is planned, users may leave this category blank or add the foreseen end date in parentheses.
<b>Level of impact</b>	This is a dropdown list where users can estimate the level of impact of the policy in the selected sector or thematic area (e.g. in terms of reducing emissions), with the options (1) low, (2) medium, and (3) high.
<b>Impact evaluation (ex-ante, ex-post or during implementation)</b>	In this category, users can list any policy impact evaluations that have been or will be conducted. These can include evaluations done prior to the implementation of the policy (ex-ante), after implementation (ex-post) or during implementation. These evaluations can include assessments done by the government but also by third parties (e.g. consultants, universities,

Category	Explanation
	etc.). The impact evaluation can be continuously updated as new or updated information becomes available.
<b>Impact indicator (if applicable)</b>	In this category, users can list any impact indicator that may have been selected to evaluate the progress and/or success of the policy.
<b>Source(s) or document link(s)</b>	Here users can add links to sources or documents used for the policy mapping analysis.
<b>Additional category</b>	Users can rename this column title to a new category not included in the tool.
<b>Clarifications</b>	Here users can include further details or clarifications to the information provided in the categories listed above.

**Optional feature:** Users can link the category “Responsible institution(s)” of the policy mapping table to the “Institution / Organisation” column of the actor mapping sheet. For example, if the institution in charge of the policy is the Ministry of Energy, by clicking on the cell the user would automatically be moved to the Actor mapping sheet where they can look for information related to the Ministry of Energy. An example of this feature is provided in the Excel tool.

**How to do this?** In the policy mapping sheet, select the institution(s) to be linked in column E. Right click and select ‘Link’ or go to ‘Insert’ and ‘Link’. A dialogue box such as the one shown in Figure 1 should appear on the screen. Click on ‘Place in This Document’ and choose ‘Link\_actors’ under ‘Defined Names’. The cell(s) in the policy mapping sheet are now linked to the ‘Institution / Organisation’ column under actor mapping. To delete the link, right click on the chosen cell(s) and select ‘Remove hyperlink’.

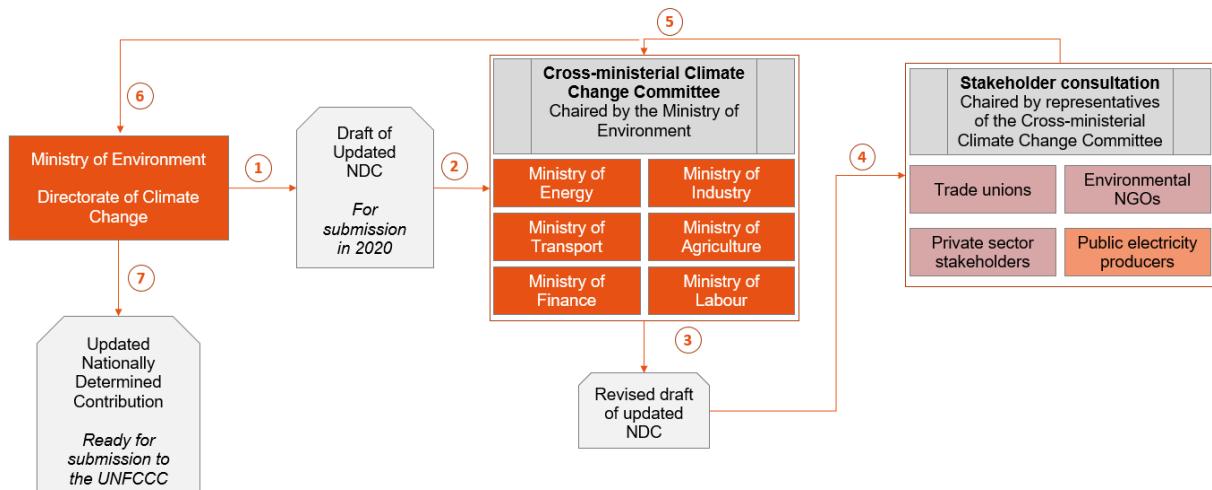
Figure 1: Inserting a hyperlink in Excel



## 2.3 Process visualisation component

The process visualisation component of the tool allows users to visually map the relationships between different actors for a given policy process. The tool includes an illustrative example of what such a visualisation could look like for a fictional NDC update process (see Figure 2).

Figure 2: Illustrative example for process visualisation



Users can recreate their own process visualisation by selecting and copying the elements that are already included under 'Legends & Descriptions' or 'Symbols'. Should users wish to use more elements than those provided in the tool, additional elements can be found under 'Insert' and 'Shapes'.

**Optional feature:** As in the policy mapping component, institutions, organisations or individuals under the process visualisation can be linked to the actor mapping sheet. In addition to linking actors, the user may also choose to link policies to the policy mapping component. In this way, users can directly refer to the explanations under the actor or policy mapping components by clicking on a specific element. The tool includes two examples of such linking under the worksheet 'Process visualisation'.

**How to do this?** In the worksheet 'Process visualisation', select the element to be linked (e.g. 'Ministry of Energy' or 'Law II on Renewable Energy' as shown in the tool). Right click and select 'Link' or go to 'Insert' and 'Link'. A dialogue box such as the one shown in Figure 1 should appear on the screen. Click on 'Place in This Document', then choose 'Link\_actors' (for linking to the worksheet 'Actor mapping') or 'Link\_policies' (for linking to the worksheet 'Policy mapping') under 'Defined Names'. To delete the link again, right click on the box and select on 'Remove Link'.

## Annex 1 – Factsheet template

The following factsheet template gives an indication of how information of the Actor and Policy Mapping Tool can be summarised in a user-friendly format, for example, for use in sectoral consultation with line ministries.

<b><i>[Sector to be filled]</i></b>	<b>Responsible line ministry:</b> <i>[to be filled]</i> <b>Other relevant institutions:</b> <i>[to be filled]</i>
<b>Summary results as of [Month] [Year]</b>	
<b>Summary of key policies and sectoral targets</b>	<i>[Overview main adopted policies and sectoral targets, including their status of implementation and recent amendments]</i>
<b>Recent sectoral developments (since iNDC submission)</b>	<i>[Provides a short overview of key sectoral developments over the last five years since the submission of the iNDC in 2015]</i>
<b>International support programs</b>	<i>[Provides a short overview of key international support programs in the respective sector]</i>
<b>Main sectoral barriers and challenges</b>	<i>[Provides an overview of main sectoral barriers and challenges, centrally linking to problems / delays in implementation of current policies and targets; also includes reference to “brown” developments in the sector]</i>
<b>Potential to raise ambition &amp; next required steps considering international developments</b>	<i>[Provides an overview of sectoral potentials to raise mitigation ambition and next steps to initiate the sectoral transformation based on national and international developments, including current intentions by line ministries on planned policies or planned targets]</i>
<b>Recommendations for consultation with line ministry</b> <i>(internal use only)</i>	<i>[Lists main issues that require further consultation / clarification with the respective line ministry]</i>  <i>Recommendations for Ministry of [to be filled]</i>  <i>Issues for discussion with Ministry of [to be filled]</i>

## Annex 2 – Policy instruments typology

The policy instruments typology from the Climate Policy Database ([www.climatepolicydatabase.org](http://www.climatepolicydatabase.org)) was developed based on the IEA policies and measures database ([www.iea.org/policiesandmeasures/](http://www.iea.org/policiesandmeasures/)), to which a set of new categories were added.

Instrument category	Sub-category	Policy instrument
Economic instruments	Direct investment	Funds to sub-national governments
		Infrastructure investments
		Procurement rules
		RD&D funding
	Fiscal or financial incentives	CO2 taxes
		Energy and other taxes
		Feed-in tariffs or premiums
		Grants and subsidies
		Loans
		Tax relief
		User charges
		Tendering schemes
	Market-based instruments	Retirement premium
		GHG emissions allowances
		GHG emission reduction crediting and offsetting mechanism
		Green certificates
Regulatory instruments	Codes and standards	White certificates
		Building codes and standards
		Product Standards
		Sectoral Standards
	Other	Vehicle fuel-economy and emissions standards
		Auditing
		Monitoring
		Obligation schemes
Information and Education	Performance label	Other mandatory requirements
		Comparison label
	Other	Endorsement label
		Advice and aid in implementation
		Information provision

<b>Instrument category</b>	<b>Sub-category</b>	<b>Policy instrument</b>
		Professional training and qualification
<b>Policy support</b>	-	Institutional creation
		Strategic planning
<b>RD&amp;D</b>	<b>Research programme</b>	Technology deployment and diffusion
		Technology development
	<b>Other</b>	Demonstration project
<b>Voluntary approaches</b>	-	Negotiated agreements (public/private sector)
		Public voluntary schemes
		Unilateral commitments (private sector)
<b>Barrier removal</b>	-	Net metering
		Removal of fossil-fuel subsidies
		Removal of split incentives
		Grid access and priority for renewables
<b>Climate Strategy</b>	-	Formal & legally binding climate strategy
		Political & non-binding climate strategy
		Coordinating body for climate strategy
<b>Target</b>	-	Energy efficiency target
		GHG reduction target
		Renewable energy target

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On behalf of:



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*Capacity Development for climate policy in the countries of South East, Eastern Europe, the South Caucasus and Central Asia, Phase III*

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