

CLIMATE INVESTMENT FUNDS

PPCR/SC.20/4
May 22, 2017

Meeting of the PPCR Sub-Committee
Washington, DC
Thursday, June 8, 2017

Agenda 4

REPORT ON PPCR MONITORING AND REPORTING STOCKTAKING REVIEW (SUMMARY)

PROPOSED DECISION

The PPCR Sub-Committee, having reviewed the document, PPCR/SC.20/4, *Report on PPCR Monitoring and Reporting Stocktaking review*, welcomes this assessment of the effectiveness, relevance and sustainability of the PPCR M&R system, in response to the PPCR Sub-Committee decisions from December 2012 and December 2016.

The Sub-Committee welcomes the progress that has been made in advancing the PPCR monitoring and reporting framework and notes with appreciation the inclusive, participatory, and consensus-based approach used during this review.

The Sub-Committee recognizes the importance of an effective PPCR results framework and welcomes the changes proposed to the PPCR M&R toolkit. The Sub-Committee endorses the conclusions, approves the recommendations of the stocktaking review, and requests CIF Administrative Unit, pilot countries, and MDBs to make necessary adjustments for PPCR M&R following the new guidance.

Executive Summary

Background, Purpose, and Scope

- I. Since 2012, further to the approval of the PPCR revised results framework by the PPCR Sub-Committee, both the CIF and the multilateral development banks (MDBs) have supported the original 18 PPCR pilot countries and two regional programs to develop participatory, country-led Monitoring and Reporting (M&R) systems.
- II. The design of the PPCR M&R system is rooted in the desire to maintain the inclusive, programmatic thrust of the Strategic Plan for Climate Resilience (SPCR) throughout the implementation of its projects and programs. It aims to engage PPCR stakeholder groups from government institutions at national, sub-national, and local levels, civil society, indigenous groups, academia, and the private sector to discuss progress made on the implementation of the SPCR, share lessons learned, and identify feasible solutions to the challenges encountered. The PPCR M&R system is based on five core indicators and the following four principles: (i) country ownership; (ii) stakeholder engagement; (iii) use of mixed methods (quantitative and qualitative); and (iv) learning by doing. These principles have guided country-driven results reporting and have become an integrated part of the PPCR implementation since 2014.
- III. Because the system is designed to evolve and adapt over time (the learning by doing principle), it is expected to generate lessons around usage, leading to its review and improvement each step of the way. The Stocktaking Review of the PPCR Monitoring and Reporting System aims to address this learning objective, as well as to respond to requests made by the PPCR Sub-Committee in 2012 and 2016 to provide an in-depth assessment of the system's effectiveness, relevance, and sustainability after three years of implementation.

Methodology

- IV. The review focused on eliciting feedback from relevant stakeholders regarding the benefits (or lack thereof) generated by the PPCR M&R system over the last three years. Adopting a mixed-methods approach that encompassed both quantitative and qualitative analytical tools, the overall review was carried out in three phases: (i) a comprehensive sub-review of PPCR policies, strategies, and guidance documents benchmarked with comparable M&E toolkits from relevant sister-organizations and a SWOT analysis; (ii) in-depth interviews with key stakeholders from 14 PPCR pilot countries, 1 regional organization, 5 MDBs, and 2 donor countries; (iii) a stakeholder validation workshop that convened on April 26-28, 2017 in Washington, D.C., including a discussion of suggested changes to the PPCR M&R system. The validation workshop drew lively participation of 57 representatives from 21 PPCR countries, including new pilot countries, 2 regional organizations, 4 MDBs, 2 observers, and 1 donor country, who shared experiences, discussed the findings of the review, and proposed solutions to enhance the effectiveness and usefulness of the PPCR M&R system moving forward.

Key Findings of the Stocktaking Review

Successes:

- V. The PPCR M&R system has been successful in keeping the programmatic nature of the PPCR alive from SPCR development through project and program implementation. The participatory, country-led annual scoring workshop has provided a practical and viable platform for multi-sectoral collaboration, building on synergies, and for climate change awareness-raising among and beyond government actors. It has also helped build capacity at the government level both in climate resilience, as well as in monitoring and evaluation more broadly.
- VI. Nearly all countries reported using the system for capacity-building and learning purposes, such as creating climate change awareness across ministries, strengthening coordination across sectors, sharing information, decision-making, and knowledge generation (e.g. producing reports for the government, identifying gaps in sector strategies or project implementation, and adjusting work plans through adaptive management). Half of the countries described the system as a specific mechanism for accountability.
- VII. The PPCR monitoring and reporting system has also led to significant uptake and institutionalization, inspiring or influencing frameworks for climate change governance, integration into appropriate climate change policy frameworks, national development strategies, or sector M&E systems. Examples include:
 - Samoa has achieved the greatest integration of PPCR core indicators by integrating all five of them into the country's national planning framework for development.
 - The country-owned Nepal Climate Change Program Results Management Framework (RMF) was developed through a national consultative process and uses the 5 PPCR core indicators to track progress on PPCR and non-PPCR (NAPA) projects at the programmatic level.
- VIII. In general, the PPCR M&R toolkit and indicators were deemed to be of high quality and of a useful nature.
- IX. Both financial and technical assistance support provided by the MDBs and the CIF AU were well appreciated by the countries.

Challenges:

- X. The predominant challenges identified related mostly to successful capacity-building and implementation of the system rather than its design and methodology. Many countries face weak M&E capacity, frequent turnover of scoring workshop participants, and/or logistical challenges for inclusive, cost-effective data collection and participation. Another common challenge was engaging non-state actors to participate in the workshops.
- XI. Despite the overall relevance of the core indicators to diverse climate resilience contexts and the generally useful guidance provided in the PPCR M&R toolkit, the PPCR countries' M&R practitioners raised a small number of technical issues that need to be addressed and they requested further guidance on certain unclear terminology and measurement criteria specific to each indicator in the toolkit.

- XII. The five PPCR core indicators, which are largely outcome-level indicators, cannot provide a comprehensive picture of the results achieved by the PPCR throughout the program cycle, especially during the early stages of project implementation.

Recommendations

- XIII. Based on the findings of the stocktaking review, a set of improvements to the PPCR M&R system was proposed, discussed, and endorsed by all parties in attendance at the validation workshop (i.e. countries, MDBs, donors, and observers). Six recommendations emerged from the process.
- XIV. **Recommendation 1:** Strengthen the PPCR M&R System by reinforcing the participatory, country-driven approach while also addressing the gap for interim results via complementary data sourcing. The strengthened M&R system should be composed of two tiers:
- (i) The current country reporting system (improved and made more user-friendly);
 - (ii) A complementary reporting pillar in which the CIF AU develops a reporting template to leverage the data already being reported in MDBs' results frameworks and implementation status reports in order to generate more information on project- and output-level indicators.
- XV. **Recommendation 2:** Update the PPCR M&R toolkit for the country reporting system with the technical improvements that were identified during the validation workshop. The CIF Administrative Unit should also revise the entire toolkit and include more examples and higher technical clarity in order to increase user-friendliness and reduce ineffective reporting requirements.
- XVI. **Recommendation 3:** The CIF AU, in collaboration with MDBs, should develop and implement a PPCR M&R Capacity-Building and Training Initiative in FY18. The initiative should target all PPCR countries/regional programs through country and/or regional trainings and other means (e.g. video, web platforms, etc.).
- XVII. **Recommendation 4:** The CIF AU and MDBs should also strive to optimize their potential role as a broker of knowledge-sharing activities. This might include the development of an online Community of Practice (CoP) platform for participants to exchange experiences, creating a brief best practice video on the M&R process, increasing publication of success stories and case studies, producing advocacy materials and technical support for national M&R promotion, and/or facilitating learning exchanges between new and established PPCR countries.
- XVIII. **Recommendation 5:** The CIF AU and MDBs should redouble their efforts to invest in participatory, regional-level monitoring and reporting systems for PPCR. The initial successes experienced with the regional scoring workshop piloted in the Caribbean Region in 2016 should be strengthened and reinforced for upcoming reporting cycles. A regional scoring workshop composed of country representatives should also be piloted in the Pacific Region, adapted according to the Pacific Region's context, and based on support and technical assistance from the CIF AU and MDBs. The CIF AU should also revise the PPCR Regional M&R toolkit to reflect the technical improvements relevant to this agenda.

XIX. **Recommendation 6:** Drawing from the solutions proposed at the workshop, the CIF Administrative Unit and MDBs should provide more technical assistance to PPCR pilot countries on the prevalent systemic challenges they are facing, namely:

- (i) Weak national M&E capacity
- (ii) Barriers to sustainability and institutionalization of M&E systems
- (iii) Poor stakeholder engagement